



Academy of Human Resource Development

PROCEEDINGS

AHRD 2004 CONFERENCE

Austin, Texas
March 3 – March 7, 2004

Volume 1

Toby Marshall Egan

Editor

Michael Lane Morris

Associate Editor

Vinod Inbakumar

Managing Editor



Academy of Human Resource Development

**Proceedings
AHRD 2004 Conference**

Individual authors retain the copyright for the papers in these Proceedings.
Unauthorized use is not permitted. Content, editing, and proofreading were the responsibilities of each author.

For information, additional copies, or for a CD-Rom version, please contact:

Academy of Human Resource Development

College of Technology
Bowling Green State University
Bowling Green, OH 43403

Telephone: (419) 372-9155
Fax: (419) 372-8385
E-Mail Address: ahrd@bgnet.bgsu.edu
Website: www.ahrd.org

Editor: Toby Marshall Egan
Associate Editor: Michael Lane Morris
Managing Editor: Vinod Inbakumar

See the 2004 AHRD Conference Program for a full list of conference volunteers and contributors.

AHRD 2004



Academy of Human Resource Development

PROCEEDINGS
AHRD 2004 CONFERENCE

TABLE OF CONTENTS

Volume 1

From the Editors

Call for Papers – AHRD 2005 Conference

AHRD 2004 Conference Overview

Pre-Conferences

Wednesday and Thursday, March 3 – 4

Bridging HRD Research and Practice: Motivating, Collaborating, and Communicating through Awards, Partnerships, and Translations <i>Chris Squillaci, Darren Short, Ghazala Ovaice, Marijke Kehrhahn, Martin Kormanik, Nancy Berger, Philip Graham, and Jamie Callahan</i> (PC-1 No Description)	PC
International Adult and Continuing Education: Expanding the Horizons (in Conjunction with the Induction of the 2004 Class of the IACE Hall of Fame) <i>Richard Swanson</i> (PC-5 No Description)	
Factor Analysis: Exploratory and Confirmatory - Advanced Faculty Professional Development Seminar on Quantitative Research Methodology Tools <i>Bruce Thompson</i> (PC-6 No Description)	
E-learning in Human Resource Development <i>Theo Bastiaens and Rob Martens</i>	PC-2
OD Consulting Engagements Gone Wrong: A New Framework for Analyzing and Learning from Our Mistakes <i>Joanne Provo, Monica M. Danielson, Gregory M. Henderson, Terrence Gray, Kshanika Anthony</i>	PC-3
Continuing Professional Education: Linking CPE and Workplace Learning <i>Tonette Rocco and Jasper van Loo</i>	PC-4

Conference Papers

Friday, March 5 • 10:30 AM – 12:00 PM

Symposium 1: HRD with International and Multinational Groups

Corporate Universities v Traditional Universities: Comparison Through Published Organisation Documentation <i>John S. Walton and Michele Martin</i>	1-1
Current Status of Executive Coaching Interventions as Identified by Selected Consultants to Multinational Organizations <i>Brandi L. Plunkett, Toby Marshall Egan, and Marco Garza</i>	1-2
An Evaluation Case Study of an International Student Services Office: Assessing Satisfaction and Productivity <i>Laura Hammons, Yi-Hsuan Lee, Ralitsa Akins, Usha V Somasundaram, and Toby Marshall Egan</i>	1-3

Symposium 2: Learning in Communities

Adult and Community Learning in England: A New Era for HRD in the Community? <i>Jonathan Winterton</i>	2-1
Adult Literacy: Issues and Directions Impacting HRD <i>Don Seaman, Susan A. Lynham, Thomas Chermack, and Wendy Ruona</i>	2-2
Giving Voice to the Factors that Promote and Inhibit Learning in a Community- Based Multicultural Immersion Program: Adult Learner Perspectives Implications for Research and Practice in HRD <i>Chaunda Scott</i>	2-3

Symposium 3: Learning Measurement and International HRD	
Neural Network Analysis in Cross-Cultural and Comparative Management Research:	3-1
Implications for International HRD	
<i>Aahad M. Osman-Gani</i>	
Construct Validation of an Arabic Version of the Learning Transfer System Inventory (LTSI) for Use in Jordan	3-2
<i>Samer Khasawneh, Reid A. Bates, and Elwood F. Holton, III</i>	
Validating Constructs of a U.S.-Based Transfer Instrument in Taiwan	3-3
<i>Hsin-Chih Chen, Elwood F. Holton, III, and Reid A. Bates</i>	
Symposium 4: Gender in HRD	
Women's Socio-economic Development in India: The Role of Non-governmental Organizations - Research and Theory	4-1
<i>Meena Razvi and Gene L. Roth</i>	
Women in Information Technology	4-2
<i>Rose Mary Wentling and Steven Thomas</i>	
Symposium 5: Intellectual Capital and Human Capital Theory	
Continuing Professional Education and Human Capital Theory	5-1
<i>Jasper B. van Loo and Tonette S. Rocco</i>	
Intellectual Capital: Opportunities and Challenges	5-2
<i>Madeleine Doran</i>	
Human Capital Theory: A Reflection on Retention of Employees in the Hospitality Industry	5-3
<i>Hanna B. Hayes, Meera Alagaraja, and Larry M. Dooley</i>	
Symposium 6: Connecting Education and Practice	
Making Connections: The Link between HRD Education, Practice, and Research	6-1
<i>Lindsay M. Taylor and Jamie L. Callahan</i>	
Human Resource Development in Newspaper Recruitment Advertisements: A Resource for Curriculum Design	6-2
<i>Kit Brooks, Fredrick M. Nafukho, and Mary Herrington</i>	
Symposium 7: Formal and Informal on-the-job Learning	
Work Practice, Learning Worker Characteristics and Informal Learning	7-1
<i>Anja J. Doornbos</i>	
Contextual Factors and Detractors Shaping Informal Workplace Learning and Its Facilitation: The Case of 'Reinventing Itself Company'	7-2
<i>Andrea D. Ellinger</i>	
Unanticipated Effects on Trainers Using Structured OJT: The Literature Review	7-3
<i>Dae Yeon Cho and Ronald L. Jacobs</i>	
Innovative Session 1	
Organizational Development in Universities	I-1
<i>Ken Bartlett, Francine Crystal, Victoria Marsick, Richard Torraco, and Karen Watkins</i>	
Friday, March 5 • 1:30 PM – 3:00 PM	
Symposium 8: International Human Resource Development	
The Why's of Bhopal Revisited	8-1
<i>Meera Alagaraja and Sudha Arlikatti</i>	
Socio-economic Status of Women in India	8-2
<i>Meena Razvi and Gene L. Roth</i>	
The Role of HRD in Chinese State-owned Banks and Implications for Future HRD Policies and Practices	8-3
<i>Jie Ke, Kenneth E. Paprock, and Susan A. Lynham</i>	

Symposium 9: HRD Methods and Tools

The Web-based Delphi Research Technique as a Method for Content Validation in HRD and Adult Education Research 9-1
Sharon Colton and Tim Hatcher

Competencies and Training Needs of Financial Aid Administrators 9-2
James F. Lane, Jr.

Development and Change through Scenario Planning 9-3
Thomas J. Chermack and John S. Walton

Symposium 10: Considerations for Distance Education

Online and Face-to-face Training: A Cost Matrix 10-1
Sharon J. Bartley and Jennifer H. Golek

Designing an Assessment Model for Implementing a Quality Online Degree Program 10-2
Rita L. Dobbs and W. Clayton Allen

Symposium 11: Gender and Mentoring

Organizational Politics and Culture: An Essential Attribute of the Mentoring Experience for Women Faculty 11-1
Sharon K. Gibson

Do Formal Mentoring Programs Matter? : A Longitudinal Randomized Experimental Study of Women Healthcare Workers 11-2
Toby Marshall Egan and Manda H. Rosser

Symposium 12: Emotions in Organizations

Creating Consumer Resistance through Adbusters: Managing Emotion beyond Organizational Boundaries 12-1
Jennifer A. Sandlin and Jamie L. Callahan

Identity Consistency: The Role of Emotion Management across Contexts 12-2
Aubrie Horrocks and Jamie L. Callahan

Symposium 13: Creativity and Aesthetics

Developing the Creative Class: A Role of Human Resource Development Programs 13-1
Consuelo L. Waight, Shirley Ezell, and Katy Greenwood

Practise In and Perceptions of HRD: Do we Need an Aesthetic Perspective? 13-2
Stephen Gibb

Symposium 14: Collaboration

Building Web-based Communities: Factors Supporting Collaborative Knowledge-building 14-1
Jennifer Calvin, David S. Stein, and Joe E. Wheaton

There is No "We" in Team: Learning to Learn across Difference in Problem-based Teams 14-2
John M. Dirkx and Regina O. Smith

Innovative Session 2

Teaching the Ins and Outs of Evaluation in Organizations I-2
Hallie Preskill and Darlene F. Russ-Eft

Friday, March 5 • 3:30 PM – 5:00 PM**Symposium 15: Cross Cultural Training**

Context beyond Culture: Implications for Human Resource Development? 15-1
David Ripley and Irene Hudson

Intercultural Training for Business Expatriates: Cultural-specific Training Needs of US Business Expatriates on Assignment to Taiwan 15-2
Tien-Chen Chien and Gary N. McLean

Connecting Cross-cultural Training Transfer with Performance 15-3
Anne W. Drewry, Vickie Johnson Stout, and Brian Walker

Symposium 16: Strategic Human Resource Development	
The Emotional Reactions of HRD Professionals to the Decision to Outsource HRD <i>Nicole Simons, Jean Woodall, and Stephen Gourlay</i>	16-1
Testing a Model of Employee Selection: A Contextual Approach <i>Kiyoe Harada and Jeffry S. Bowman</i>	16-2
An Integrated Approach to Planning in Organizations <i>Thomas J. Chermack</i>	16-3
Symposium 17: Learning	
Transformational Learning and Human Resource Development: Advances Toward a Knowledge Based Society through Humor <i>Joanne Parke</i>	17-1
Escaping the Tyranny of Belief <i>Albert K. Wiswell and C. Leanne Wells</i>	17-2
Asking the Right Questions, Looking in All the Right Places: Re-embedding Knowledge Construction in Professional Education <i>Suzanne J. Gallagher</i>	17-3
Symposium 18: Mentoring	
A Summary Analysis and Prescriptions for Mentoring in Multicultural Organizations <i>Ray K. Haynes</i>	18-1
The Advantages of Reporting to Your Mentor: A Comparison of Managers with Supervisory and Non-supervisory Mentors <i>Sarah A. Hezlett</i>	18-2
A Systems Approach to Mentoring: A Review of Literature <i>Jeeyon Paek</i>	18-3
Symposium 19: Organizational Commitment	
Voluntary Organizations: Commitment, Leadership, and Organizational Effectiveness <i>Terry P. Ekeland</i>	19-1
Training and Organizational Commitment among Nurses in New Zealand and United States Public Hospitals Experiencing Industry and Organizational Change <i>Kenneth R. Bartlett and Dae-seok Kang</i>	19-2
Commitment Elements Reframed (Antecedents and Consequences) for Organizational Effectiveness <i>Sandra L. Fornes and Tonette S. Rocco</i>	19-3
Symposium 20: Knowledge Management	
Knowledge Sharing in Organizations: An Analysis of Motivators and Inhibitors <i>Minu Ipe</i>	20-1
Knowledge Management Leadership: Exploring the Role of the Chief Knowledge Officer <i>Tina M. Chindgren</i>	20-2
A Critique of Selected Knowledge Management Models <i>Baiyin Yang, Wei Zhen, and Chris Viere</i>	20-3
Symposium 21: Defining Human Resource Development	21-1
Human and Organization Studies: The Discipline of HRD <i>Neal Chalofsky</i>	
A Survey of Current and Former Members of the Academy of Human Resource Development <i>Fredrick M. Nafukho and Barbara E. Hinton</i>	21-2
Bridging the Great Divide: Exploring Resistance to HRD in Adult Education <i>Laura Bierema, Wendy Ruona, Maria Cseh, Andrea D. Ellinger, and Karen Watkins</i>	21-3

Innovative Session 3

Behaviorally Anchored Competencies as Assessment Tools

I-3

*Kim E. Dooley, James R. Lindner, Larry M. Dooley, Meera Alagaraja, Gary Jedynak, and Elaine Patterson***Saturday, March 6 • 10:30 AM – 12:00 PM**

Symposium 22: Exploring International Human Resource Development

Grounding Our HRD Practice in the Challenges of Management Development: A Case of China

22-1

Jia Wang and Wendy Ruona

A Review of HRD Research in Three Areas of East Asia: Mainland China, Japan, and Taiwan

22-2

Yi-Hsuan Lee, Jie Lin, Susan A. Lynham, Kenneth E. Paprock and Jie (Jessica) Li

HRD in Latin America: An Exploratory Review of the Literature

22-3

*Michael G. Hasler, Monica D. Thompson, Susan A. Lynham, and Kenneth E. Paprock***Symposium 23: Change in International Human Resource Development**

The Change Agent in the Global Environment: An Exploration of a Role in Transition

23-1

Toni Powell

Managing Effectively as a Global Manager in Thailand

23-2

Boon-Anan Phinaitrump

Institutionalization of Organizational Change: A Study of HRD Interventions in Singaporean,

23-3

US, Japanese, and German Companies

*AAhad M. Osman-Gani and Ronald L. Jacobs***Symposium 24: Supervisory Social Support**

Empirically Based Recommendations for Training and Development of Supervisory Social

24-1

Support

Duchduen Bhanthumnavin

The Value of Critically Reflective Work Behaviour

24-2

Marianne van Woerkom

Tools and Strategies for Engaging the Supervisor in Technology-supported Work-based Learning

24-3

*Manuela Bianco and Betty Collis***Symposium 25: Organizational Learning and Culture**

Organizational Learning Culture, Transfer Climate and Perceived Innovation in Jordan

25-1

Reid A. Bates and Samer Khasawneh

A Conceptual Exploration of the Antecedents of Organizational Trust

25-2

Sam Adams and Albert K. Wiswell

Diagnosing the Learning Capacity of a Financial Services Institution

25-3

*Wayne Connell, Dana Papke, Robert Stanton, and Sue Wise***Symposium 26: Education Customization**

Customizing Learning Programs to the Organization and Its Employees: How HRD Practitioners

26-1

Create Tailored Learning Programs

Rob F. Poell and Ferd J. Van der Krogt

Constructing a Theoretical Model of Human Resource Development Knowledge Innovation in

26-2

Corporate Settings

Yu-Shu Chen

Relationship between Learning Style Learning and Learning Modality of Employees of a

26-3

Healthcare Organization

Geri McArdle, Paul VanBuskirk, and Nancy Edwards

Symposium 27: Executive Training and Development

Applications of Psychology-based Theoretical Approaches to Executive Coaching: A Summary and Exploration of Potential Utility 27-1
Brandi L. Plunkett and Toby Marshall Egan

An Investigation of CEO's Learning Experiences: Implications for Leadership Training 27-2
Margot B. Weinstein

In Support of Coaching Models of Management and Leadership: A Comparative Study of Empirically Derived Managerial Coaching/Facilitating Learning Behaviors 27-3
Bob Hamlin, Andrea D. Ellinger, Rona S. Beattie

Symposium 28: Diversity Programs and Initiatives

Diversity Training in the Heartland: An Exploratory Study of Small and Mid-size Organizations 28-1
Linda M. Hite and Kimberly S. McDonald

HRD in Community Development: A U.S. Case Study of Diverse Community Development 28-2
Mesut Akdere

Diversity and Human Resource Development 28-3
Rose Mary Wentling

Innovative Session 4

Publication Tips and Strategies: A Scholar's Perspective on How to Get Published I-4
Laura Boehme, Darlene Russ-Eft, Tim Hatcher, Tonette Rocco, and Baiyan Yang

Volume 2

AHRD 2004 Conference Overview

Conference Papers

Saturday, March 6 • 1:30 PM – 3:00 PM

Symposium 29: Learning Assessment

Implementation of a Learning-oriented Evaluation for HRD Programs <i>Youngsook Song</i>	29-1
The Constructivist Learning Environment Scorecard: A Tool to Characterize Online Learning <i>Barbara J. Helland</i>	29-2
Organisational Factors Influencing the Assessment of Formal and Informal Learning <i>Nicholas R. Clarke</i>	29-3

Symposium 30: Culture and Organizational Socialization

Development of a Theory of Continuous Socialization for Organizational Renewal <i>Monica M. Danielson</i>	30-1
Coworker Relationships, Acculturation and Socialization-related Job Knowledge <i>Thomas G. Reio, Jr. and Mike A Boyle</i>	30-2
Cultural Effects on Medical Residents Evaluations of Interpersonal Skills and Professionalism <i>Carol Packard</i>	30-3

Symposium 31: Theoretical Frameworks of Performance and Human Resource Development

Toward a Meta-theory of Learning and Performance <i>Darlene Russ-Eft</i>	31-1
Taking Hope to Work--Extending Hope Theory to Include Performance Communication <i>Vickie Johnson Stout, Kristye Yvette Raby, and Michael L. Morris</i>	31-2
A Rationale for HRD-Ethics and its Inclusion as a Theoretical Foundation <i>Tim Hatcher</i>	31-3

Symposium 32: Human Resource Development in Law Enforcement

Vicarious Traumatization: The Role of the Human Resource Development Practitioner <i>Lynn A. Tovar</i>	32-1
Understanding the Formation of Prejudice Attitudes of Police Officers <i>Lisa M. Snow and Rose Mary Wentling</i>	32-2

Symposium 33: Motivation

Motivating Employees During Lean Times: A Review of the Employee Participation Literature <i>Murray D. MacTavish</i>	33-1
An Exploratory Examination of Selected Growth Theories of Individual Motivation and How They Inform Performance in Organizations <i>Melissa A. Noggle and Susan A. Lynham</i>	33-2
Taking on the Teacher Supply and Retention Challenge: A Performance Focused Model for School-University Partnerships <i>Dorian Martin, William E. Reeves, Eric Wilson, Lisa O'Dell, and Toby Marshall Egan</i>	33-3

Symposium 34: Human Resource Development Policy in Asia

State-led Policy in Human Resource Development: Korea Case <i>Hae-young Lee</i>	34-1
Needs Assessment for Career Development Programs in the Taiwan Power Company (TPC): A Factor Analysis of Employees' Career Development Needs for Their Present and Future Positions <i>Yi-Hsuan Lee and Walter Stenning</i>	34-2
National Human Resource Development in the People's Republic of China <i>Baiyin Yang, De Zhang, and Mian Zhang</i>	34-3

Symposium 35: Diversity's Impact on Change and Learning

Leveraging Diversity—Strategic Learning Capabilities for Breakthrough Performance <i>Terrence E. Maltbia</i>	35-1
Viewing Older Workers' Social and Human Capital Capacity Development to Evolve an Adaptive Future Workplace <i>Donald L. Venneberg, Vida D. Wilkinson, and Gary D. Geroy</i>	35-2
The Relationship between an Individual's Margin in Life and Readiness for Change <i>Susan R. Madsen, Cameron John, Duane Miller, and Emily Warren</i>	35-3

Innovative Session 5

Cross-Cultural Multi-Theory Perspectives in Research: Dialogue Based on Theory and Data from the US and Netherlands on Action Learning Programs <i>Rob F. Poell, Lyle Yorks, Victoria J. Marsick, and Jean Woodall</i>	I-5
---	-----

Saturday, March 6 • 3:30 PM – 5:00 PM

Symposium 36: The Future of Career Development

Career Development within HRD: Foundations or Fad? <i>Marieke S. van Kijk</i>	36-1
Career Development Challenges for the 21 st Century Workplace: A Review of the Literature <i>Thomas J. Conlon</i>	36-2
Perceived Effectiveness and Application of Organizational Career Development Practices <i>Carroll M. Graham and Fredrick M. Nafukho</i>	36-3

Symposium 37: Organizations and Change

Involvement in the Investigative Phase of a Merger and Acquisition: Perceptions of HRD Professionals <i>Consuelo L. Waight</i>	37-1
Organizational Identity and Its Implication on Organization Development <i>Yueh-Ysen Lin</i>	37-2
Change and Higher Education: A Multi-disciplinary Approach <i>Julia Storberg-Walker and Richard Torraco</i>	37-3

Symposium 38: Theorizing Human Resource Development	
Conceptualizing a Theory of Scenario Planning	38-1
<i>Thomas J. Chermack</i>	
Agency Theory: Implications for Human Resource Development	38-2
<i>Mesut Akdere and Ross E. Azevedo</i>	
Neoclassical and Institutional Economics as Foundations for HRD Theory	38-3
<i>Greg Wang and Elwood F. Holton, III</i>	
Symposium 39: Adult Learning Theory and Defining Training and Development	
A Critical Evaluation of Adult Learning Theories and Implications for Human Resource Development	39-1
<i>Baiyin Yang</i>	
Training and Development: An Examination of Definitions and Dependent Variables	39-2
<i>Usha V. Somasundaram and Toby Marshall Egan</i>	
The Realities of Clarifying and Redefining the Trainer Role	39-3
<i>Geri McArdle and Nancy Edwards</i>	
Symposium 40: E-learning and Culture	
Cross Cultural Differences in Online Learning Motivation	40-1
<i>Doo H. Lim</i>	
The Relationship between National Culture and the Usability of an E-learning System	40-2
<i>Steve Downy, Rose Mary Wentling, Tim Wentling, and Andrew Wadsworth</i>	
Symposium 41: Relating Human Resource Development and Human Resource Management Internationally	
Expatriate Practices in Taiwan's Multinational Companies	41-1
<i>Chi-jung Fu and Hui-chin Chu</i>	
Training Evaluation: A Case Study of Taiwanese Benchmark Companies	41-2
<i>Bella Y. Lien and Richard Y. Y. Hung</i>	
Devolving HRM and HRD to Line Managers: The Case of Hilton International's UK Hotels	41-3
<i>Gillian A. Maxwell and Sandra Watson</i>	
Symposium 42: Performance Appraisal	
Seeking Symmetry between Supervisory Ratings and Self-ratings of Employee Problem-solving Skill	42-1
<i>Margaret C. Lohman</i>	
Preferences of Training Performance Measurement: A Comparative Study of Training Professionals and Non-training Managers	42-2
<i>Diane D. Chapman</i>	
Using Behaviorally Anchored Self-assessment Instruments to Evaluate Employee Performance	42-3
<i>James R. Lindner, James A. Buford, Jr., Kim E. Dooley, Gary Jedynak, Elaine Patterson, and Larry M. Dooley</i>	
Innovative Session 6	
Playing with Perspective: Emotions in Organizations	I-6
<i>Jamie L. Callahan, Aubrey Horrocks, Carrie Machala, Rose Opengart, Sharon Turnbull, and Darren Short</i>	

Sunday, March 7 • 9:00 AM – 10:30 AM

Symposium 43: Perceptions of Online Education

Distance Learning Roles and Competencies: Exploring Similarities and Differences between Professional and Student Perspectives <i>Toby Marshall Egan and Mesut Akdere</i>	43-1
The Competitive Advantage of Online Versus Traditional Education <i>Jillian A. Peat and Katherine R. Helland</i>	43-2
Adult Students' Perceptions of Web and Interactive Video Classes <i>Dale E. Thompson, Cecelia Thompson, Buddy Lyle, and Betsy Orr</i>	43-3

Symposium 44: Learning Transfer and Human Resource Development Effectiveness

Reconceptualizing the Learning transfer Conceptual Framework: Empirical Validation of a New Systemic Model <i>Constantine Kontogiorghes</i>	44-1
A Theoretical Framework for Addressing Training Needs Associated with Sexual Harassment Prevention Programs <i>Mary Lynn Berry and Michael L. Morris</i>	44-2
Strengthening a Comprehensive Model for Explaining HRD Effectiveness <i>A. M. Wognum and Bernard P. Veldkamp</i>	44-3

Symposium 45: Human Resource Development Degree Programs

Defining Human Resource Development Technical Knowledge and Job Skills at the Undergraduate and Graduate Levels: Where's the Beef? <i>Thomas R. Giberson and Monica W. Tracey</i>	45-1
Identifying Benefits of an Internship Program through Appreciative Inquiry Interviews <i>Debbie L. Mackey and Connie Thomas</i>	45-2
Academic Service-learning in the HRD Curriculum <i>Ovilla Turnbull and Susan R. Madsen</i>	45-3

Symposium 46: Technology Perceptions

Conceptualizing and Measuring Employee Response to Imposed Technological Change <i>Robert Reardon</i>	46-1
Effective Management Communication: A Study of Employees' Perceptions of Online and Face-to-face Communications <i>Sharon J. Bartley, Virginia W. Kupritz, and Jennifer L. Mills</i>	46-2
Technology as a Critical Issue in HRD: Effects on the Organization <i>Meera Alagaraja, Jamie L. Callahan, and Larry M. Dooley</i>	46-3

Symposium 47: Virtual Teams

Team Development of Virtual Teams <i>Sooyoung Kim</i>	47-1
Leading Virtual Teams: Three Cases <i>James Johnson and Laurel Jeris</i>	47-2
Two Group Development Patterns of Virtual Teams: Linear Progress and Adaptive Progression <i>Seung-won Yoon</i>	47-3

Symposium 48: Ethics

Graduate Business Students Perceptions of the Qualities and Behaviors of Ethical Leaders: An Approach to Ethical Leadership Development <i>Catherine Marsh</i>	48-1
The Relationship between Ethical Climate and Job Satisfaction in Small Businesses <i>Clyde T. Conine, Jr., and Robert W. Rowden</i>	48-2
Ethics Teaching and Training Practices in the Workplace: A Review of Approaches Used in Academic and Corporate Institutions and the Special Challenges of Multiculturalism <i>Judith A. Kolb, Dee Frisque, and Hong Lin</i>	48-3

Symposium 49: Assessing Online Learning	
The Effect of Flexible Learning Schedule on Online Learners' Learning, Application, and Instructional Perception <i>Doo H. Lim</i>	49-1
The Development of a Research Instrument to Analyze the Application of Adult Learning Principles to Online Learning <i>Sharon Colton and Tim Hatcher</i>	49-2
A Path Analytic Study of the Determinants of College Students' Motivation to Use Online Learning Technologies <i>Reid A. Bates and Samer Khasawneh</i>	49-3
Innovative Session 7	
Using Appreciative Inquiry to Build and Enhance a Learning Culture <i>Rachelle Lehner and Wendy Ruona</i>	I-7
Sunday, March 7 • 11:00 AM – 12:00 PM	
Symposium 50: Emotions at Work	
Emotion in Organizational Learning: Implications for HRD <i>Sharon Turnbull</i>	50-1
Women Managers: Learning about Emotional Expression in the Workplace <i>Rose Opengart</i>	50-2
Symposium 51: Competencies in Human Resource Development	
Speaking of Competence: Toward a Cross-translation for Human Resource Development (HRD) and Continuing Professional Education (CPE) <i>Laurel Jeris and Kathleen Johnson</i>	51-1
Competency-based Human Resource Development Strategy <i>Noordeen T. Gangani, Richard A. Braden, and Gary N. McLean</i>	51-2
Symposium 52: Human Resource Development Faculty	
A Mediated Hierarchy Regression Analysis of Factors Related to Career Research Productivity of Human Resource Education and Development Postsecondary Faculty <i>Heather A. Williams and Joe W. Kotrlík</i>	52-1
Variables Influencing Time Spent in Research of Human Resource Education and Development Faculty Members <i>Heather A. Williams and Joe W. Kotrlík</i>	52-2
Symposium 53: Professional Development	
Learning and Context: Connections in Teacher Professional Development <i>Barbara J. Daley</i>	53-1
Professional Training Programs as Effective Interventions for Staff Development and Launch Pads for Learning Transfer: A Case Study <i>Khalil M. Dirani</i>	53-2
Symposium 54: Leadership	
An Examination of the Relationship between Emotional Intelligence and Leadership Style <i>Lisa A. Weinberger</i>	54-1
Safety Leadership Development in the Oilfield: Operationalizing Lynham's Theory of Responsible Leadership for Performance <i>Jim Rushing and Susan A Lynham</i>	54-2

Symposium 55: Graduate Student Research Skills	
Research in Higher Education: Graduate Student Perspective	55-1
<i>Mesut Akdere</i>	
Lessons Learned in a Virtual Team: An Integrative Model for Graduate Student Research Skill Development	55-2
<i>Kristie Abston, Cindy Crowder, and Vickie Johnson Stout</i>	

Symposium 56: Quality Management	
Impact of ISO Certification on Training and Development Activities in the Electronics Industry in Taiwan	56-1
<i>Wen-Rou Huang and Ronald L. Jacobs</i>	
Total Quality Management Practices and Their Effects on Organizational Performance	56-2
<i>Richard Y. Y. Hung and Bella Y. Lien</i>	

Innovative Session 8	
Learning Lessons from the (Dance) Floor	I-8
<i>Jamie L. Callahan</i>	

Posters

Friday, March 5 • 10:30 AM – 12:00 PM

Toward an Understanding of Targets' Reactions to Workplace Abuse	P-1
<i>C. Leanne Wells</i>	
Rapid Adaptation To An Online Format	P-2
<i>Geri McArdle and Nancy Edwards</i>	

[Author Index](#)

[Keyword Index](#)



From the Editors

It is with great pleasure that we welcome you to Austin and the celebration of our eleventh Annual Academy of Human Resource Development Conference! This year's AHRD 2004 Conference Proceedings once again reflect a rich collection of scholarly voices committed to the ongoing challenge of leading our evolving discipline through research.

The collection of research in the over 160 papers and conference sessions contained in these Proceedings celebrate the work and effort of authors from five continents. The papers cover a wide array of topics, methods, and contexts of enquiry and represent a growing consciousness and worldwide recognition of the importance of developing and unleashing human skills and expertise, and of celebrating and recognizing the greatness within every human being. As reflected in these papers, HRD continues to contribute to and influence thoughtful dialogue, discovery of new knowledge, and improved practice in HRD, and in so doing, have increasing impact in multiple contexts and domains of learning and performance.

Using the Proceedings

1. This year's Proceedings are divided into *two volumes, reflecting the Conference Program*. Volume One covers all symposia through Saturday morning, while Volume Two covers the remainder of Saturday and whole of Sunday symposia.
2. The *Table of Contents*, provided at the beginning of each Volume of the Proceedings, covers the contents for both Volumes. The comprehensive Author Index and Keyword Index are included at the end of each Volume.
3. A *Program Overview* is included in both Volumes of the Proceedings. The full version of the Conference Program is printed as a separate document.
4. Papers are grouped by *symposium number*. Symposium numbers are used in the Author and Keyword indices.
5. As in past years, we also have a *CD-Rom* version of the Proceeding. Instructions for use of the *CD-Rom* are provided in digital text.

Our most sincere thanks to all of the authors featured in these Proceedings — without YOU this celebration of HRD scholarship would not be possible.

Our very best wishes to each of you for an enjoyable, engaging, and energetic conference in Austin! May you leave the Conference having had fun, made new friends, found new opportunities for collaboration and enquiry, and reenergized to continue to demonstrate and pursue our important professional mission of "Leading HRD through Research." Yeeh-Hawh!!

Toby Marshall Egan, Editor
 Michael Lane Morris, Associate Editor
 Vinod Inbakumar, Managing Editor

Texas A & M University
 University of Tennessee
 Texas A & M University



Human Resource Development Scholarly and Professional Community

Dear HRD Professional:

The Academy of Human Resource Development strives toward a vision of "***Leading Human Resource Development Through Research.***" A key component in achieving this vision is our annual research conference, which convenes scholars, students, and reflective practitioners from business, government, non-profits, the military, the academic sector, and any other setting to discuss research and forge relationships that foster cooperation and collaboration. As the world grows increasingly smaller, we are particularly interested in extending that cooperation and collaboration to the international community. Accordingly, we extend a special invitation to international scholars, students, and reflective practitioners to submit manuscripts and attend the conference.

We urge every HRD scholar and professional to give the call for papers the widest possible dissemination. In addition to giving the hard copy of the call for papers to an interested associate, you may refer those interested to the EVENTS AND CONFERENCES section of the AHRD website <http://www.ahrd.org> or ask them to contact the AHRD office.

We are also interested in expanding the number and quality of innovative and poster sessions and, towards that end, have provided additional information on various formats, submission requirements, and acceptance criteria as part of this call for papers. Finally, in an effort to expand and refresh our preconference offerings, we have gone to a proposal format for those sessions, also. We urge you to be creative and innovative in putting together either half-day or full-day sessions that would attract the interest of the HRD community.

We look forward to receiving a wide variety of submissions and proposals from the worldwide HRD community and making this 11th annual research conference the best we have had. Thank you for sharing our vision, and I look forward to seeing you in Estes Park, Colorado, Feb 24 – 27, 2005.

Best Regards,

Gene L. Roth

Gene L. Roth
President
Academy of Human Resource Development

ACADEMY OF HUMAN RESOURCE DEVELOPMENT

International Research Conference 2005

Call for Papers

Conference Dates:

February 24 – 27, 2005

Submission Address:

<http://hrd.utk.edu/AHRDsubmit>

Conference Hotel:

Holiday Inn Rocky Mountain Park
P.O. Box 1468
Estes Park, Colorado 80517
Telephone: 970-586-2332
 800-803-7837
Fax: 970-586-2038
www.rockymountainparkinn.com

Conference Hosted by:

Colorado State University

Questions about Papers:

Direct all questions regarding submissions to Lane Morris, Program Chair: AHRDsubmit@utk.edu

Questions about the Conference:

Direct all questions regarding the Conference to the AHRD Office: Office@ahrd.org
(419) 372-9155

The Academy of Human Resource Development, an international organization having the mission of encouraging the systematic study of human resource development theories, processes, and practices, encourages you to submit manuscripts for the 2005 International Research Conference.

All scholars interested in HRD are invited to submit manuscripts for consideration. The conference is attended by researchers and students from the areas of HRD, business, psychology, education, economics, sociology, technology, and communication. In addition, HRD researchers and reflective practitioners from business, industry, and government participate fully in the conference.

Manuscripts may be submitted in five categories: Research and Theory Symposium, Poster, Research in Progress, Innovative Session, and Pre-conference. Research and Theory, Poster, and Innovative Session manuscripts will be blind reviewed and should be of new unpublished research. Research in Progress manuscripts will be blind reviewed but will not be published in the proceedings. Pre-conference proposals will not be blind reviewed but will be published in the proceedings. Manuscripts accepted for the conference program will be published in the conference proceedings and may be published elsewhere following the conference.

At least one author for each submission must register for the conference by January 10, 2005, in order for the submission to be included in the program and proceedings. The registration form will be available at www.AHRD.org.

Submission Deadlines

Manuscripts Due: **5 PM (Eastern) Monday, September 20, 2004**

Decision Notification: **October 25 – November 1, 2004**

Camera-ready Papers: **Friday, December 3, 2004**

Online Submission Address: <http://hrd.utk.edu/AHRDsubmit>

AHRD International Research Conference 2005

Submission and Formatting Requirements

-
- Manuscripts **must not exceed 8 pages** in length (10 point font), including everything except the cover sheet (all figures, graphs, references, and tables must be included in the 8 pages). Submissions must be made via the online submission site (<http://hrd.utk.edu/AHRDsubmit>). The online submission form will not accept more text than what is stated in this document, so ensure your paper fits the requirements before trying to submit the paper. **The deadlines are firm. The submission site will be disabled at 5:01 PM (Eastern) Monday, September 20, 2004. Exceptions to this deadline will be made only for true emergencies or extraordinary circumstances, so please submit your paper early. If you have problems or issues when submitting your paper, then immediately send an e-mail to AHRDsubmit@utk.edu for assistance.**
 - Upon successful submission and completion of the submission process, authors will receive a confirmation message via email.
 - Manuscripts must be blind review ready upon submission. The cover sheet will be the only page with any identifying information. **This information will be required during completion of the online submission form.** The header, footer, and the body of the manuscript as well as the file properties must not contain any author names or identifying information. The cover sheet must include the following:
 1. Each author's full name, academic or business affiliation, complete address, work phone, fax, and e-mail address. All communications with authors will be via e-mail, so addresses are required for each author.
 2. Abstract (**no more than 75 words**)
 3. Category of the manuscript: Research and Theory Symposium, Poster, Research in Progress, Innovative Session, and Pre-conference
 4. Primary research methodology: Quantitative, Qualitative, Theory, Literature Review, etc.
 5. Three keywords – choose from those made available on the submission site.
 - Manuscripts should be camera-ready upon submission. Formatting requirements for all manuscripts include the following:
 1. First page includes the abstract (**75 words maximum**), three descriptive keywords, and the primary research methodology immediately below the manuscript title.
 2. Margins of 1.0" (left, right, top, and bottom)
 3. Times New Roman font, 10 point
 4. Single line spacing
 5. The first line of each paragraph should be indented 0.25" from the left, except for the first line under a major heading.
 6. Full justification throughout
 7. Do not start references on a new page. Follow APA (5th edition) throughout except when specified otherwise in this Call for Papers.
 8. Embed tables and figures into the document.
 - You and/or your co-author(s) must be available to present **at any time** throughout the duration of the conference. As soon as the conference program has been finalized, you will be notified about the assigned date and time of your presentation.

AHRD International Research Conference 2005

Category Requirements

Research and Theory

Full manuscripts of 8 pages are required for this category. Submissions must be new and unpublished research and theory. Research papers, as appropriate to the methodology used, should contain the following elements:

1. Title
2. Problem statement
3. Theoretical framework
4. Research questions or propositions
5. Methodology and/or research design with limitations
6. Results and findings
7. Conclusions and recommendations
8. How this research contributes to new knowledge in HRD

Research and theory papers will be combined according to the three keywords submitted by the authors and presented orally in symposium format with at least one other paper. AHRD also welcomes manuscripts presenting methodologies including new scholarly theory, models, conceptual analyses, literature reviews, and case studies. While these papers may not yet offer results (#6 above), they must otherwise follow the above requirements.

Poster

Manuscripts with a maximum of 8 pages (including the poster miniatures) are required for submission. Visual representations of the posters can enhance the clarity of the research and help us view the field of HRD in new and different ways. Posters are not a substitute for a scholarly paper. Posters will remain up throughout the conference, and a session will be scheduled to allow interaction between the author(s) and conference participants.

The following criteria MUST be included in the manuscript:

1. Title
2. Theoretical Framework
3. Substantive contribution to HRD knowledge
4. Reduced copies of the posters
5. Accepted posters will have no more than two, professional appearing, 2' x 3' poster boards that must be readable from a distance of six feet.

Research in Progress

Research in progress manuscripts have the same requirements as Research and Theory papers. While these papers may not yet offer results, they must otherwise follow the stated requirements. Furthermore, by the conference date, it is anticipated that the presenters be able to share preliminary results, conclusions, and recommendations.

AHRD International Research Conference 2005

Category Requirements

Innovative Session

Proposals up to 8 pages in length may be submitted for this category. An innovative session is designed to present new and innovative HRD work through creative, interactive presentation formats that do not fit within the research and theory symposium process.

The formats described below are offered as suggestions only. The intent of these examples is to be useful to those considering alternatives to the standard paper and symposium session formats. Preference will be given to proposals with a research or theoretical basis.

Debate. The debate format can be an effective way to present two opposing views about a topic. One structure for a debate is to have a moderator and two, two-person teams. The debate begins with the moderator stating a position. One team then presents arguments that affirm the proposition and the other team presents arguments against the proposition. Each team member has a fixed amount of time (e.g., 10 minutes) to present arguments. Time for rebuttal can be incorporated into the session and/or a discussant can sum up the main points of the session. When submitting a debate proposal, be sure to include a statement of the proposition to be debated and descriptions of the major points likely to be argued by each side.

Panel Discussion. In a panel discussion, the chairperson plays a very active role, serving as a moderator who asks questions of the panelists and ensures that all panelists (three to six people) have the opportunity to speak. Diversity among panelists is important to the success of the session. Further, all panel discussion members must recognize the need for advance preparation. Panelists and chair do not prepare papers. They make brief introductory remarks before engaging in ad hoc give and take for which they may have prepared themselves but which cannot be predicted or entirely controlled (a chair skilled in discussion management is essential). Panel discussions should generate spontaneous interaction among participants and between participants and the audience. A panel discussion proposal should describe the questions that will be addressed by the panel, the underlying issues or themes to be discussed, and the structure or format of the session.

Practitioner Forum. A Practitioner Forum provides an opportunity for HRD professionals to discuss challenges in the work environment and innovative solutions that are linked to HRD research issues. Each forum is devoted to a single topic. A chair introduces the session, three or four presenters take approximately 10 minutes each to discuss applied research and practice issues, and audience members spend the remaining time interacting with presenters and each other, offering their own ideas about applied research and practice. Practitioner Forum topics are welcome on any "cutting edge" topic. Special effort should be made to link theory and practice.

The following criteria MUST be addressed in the proposal:

1. Title
2. Session Description
3. Presenters/Panelists (name, affiliation, and contact information for each person)
4. Purpose
5. Goals
6. Content of session with evidence that it is new, is innovative, addresses research or scholarship, and makes a substantive contribution to HRD knowledge. The content section should include a theoretical framework.
7. Description of format, style, and an agenda for the presentation that is to be innovative, intellectually stimulating, generative of a high level of scholarly dialogue, and participative by both presenters and audience.

AHRD International Research Conference 2005

Category Requirements

Pre-Conference

The AHRD Conference Planning Committee seeks dynamic learning experiences that would be of significant interest to HRD researchers and reflective practitioners. Pre-conference sessions may be problem oriented, professional-development oriented, focus on knowledge transmission, address recent methodological and substantive developments in HRD research, or serve as organizing sessions for special interest groups exploring an HRD related subtopic in depth. AHRD welcomes sessions that extend beyond traditional research paradigms and methods and especially encourages offerings that merge research and practice.

- Full-day sessions and half-day seminars (4-hour) are available. Pre-conferences will run on Wednesday and Thursday before the annual conference.
- The following criteria must be addressed in the proposal:
 1. Cover page with each author's full identification and contact information as required for all submissions
 2. Title
 3. Committee or Panel Members with affiliations and contact information
 4. Purpose including a statement about how the session advances the mission and vision of the Academy
 5. Constituency or target audience
 6. Specific goals
 7. Draft agenda
- Pre-conference proposals will not be blind reviewed but will be judged on their contribution to advancing the vision of the Academy. The Conference CEO will make the final decisions on pre-conference proposals. Pre-conference manuscripts will be included in the proceedings.
- An example proposal can be found on the AHRD website <www.ahrd.org> under EVENTS AND CONFERENCES.
- No budgets are allocated by AHRD for pre-conferences, except for refreshment breaks.
- All pre-conference attendees are expected to pay the fee including invited speakers.
- No pre-conference is guaranteed approval from one year to the next.
- **As with the other types of submissions, the pre-conference proposals must be submitted online at <http://hrd.utk.edu/AHRDsubmit>. All deadlines are firm. Exceptions will be made only for true emergencies or extraordinary circumstances.**



Call for Papers

Academy of Human Resource Development, International
Jointly with the
Korea Academy of Human Resource Development (KAHRD), Korea

Announces the

Third Asian Conference of the Academy of HRD

November 21 - November 23, 2004
(Pre-conference Workshops: November 20-21)

Venue:
Seoul Olympic Parktel, Seoul, Korea

Host Institution:
Korea Academy of Human Resource Development (KAHRD), Korea

Conference Theme:
Human Resource Development in Asia:
Harmony and Partnership

The Asian Chapter of the Academy of HRD (the top global scholarly organization in the field of HRD), in cooperation with the Korea Academy of Human Resource Development (KAHRD), invites scholarly papers (empirical or conceptual) for its third Asian Regional conference. The conference will bring together researchers and practitioners in the field of HRD coming from various disciplines and fields of study (HRD and HRM, business management, education, IT, economics, psychology, sociology and others). It will also be an effective forum for networking and professional interactions among leading HRD researchers and practitioners from around the world who have interests in HRD in Asia. From throughout Asia, attendance is expected from Japan to New Zealand, from Vietnam to Saudi Arabia, as well as participants from the USA and Europe.

The Korea Academy of Human Resource Development (KAHRD), established in 2003, aims at a center for scholars' and practitioners' community who have interests in the field of HRD. It holds forums, seminars and other conferences designed to share and discuss HRD related ideas, research, practices, and programs in both corporate and not-for-profit settings and national policy areas.

The Academy of HRD, headquartered in the USA, is supported by four international publications: *Human Resource Development Quarterly (HRDQ)*, *Human Resource Development International (HRDI)*, *Advances in Developing Human Resources*, and the new *Human Resource Development Review*. All of these journals are published quarterly by reputed publishing houses in the USA and the UK. Papers from this conference may be submitted for publication consideration in these journals.

Possible Topics or Issues to be Covered in the Conference (not an exhaustive list):

Harmony and Partnership in HRD

- Labor-management cooperative HRD, partnership building of HRD, partnership and alignment between government and business, and partnerships among academia, industries, and research institutes.

HRD in Policy Areas

- HRD at the National/Strategic Level (national policy initiatives, national innovation system, various strategies used, focus and interpretations of HRD in different countries, regional HRD, regional innovation system)
- Lifelong Education & Learning Policy and Practice (trends in research and practice, adult education & learning, international comparison of lifelong education and learning, future of lifelong education & learning)

Training and Development in Corporate Sector

- HRD in the Business or Corporate Sector (recent trends, leadership development, competency mapping research, roles and responsibilities of HRD staff, performance management systems, HRD Audit, career planning, coaching and mentoring and their effectiveness.)

HRD in Non-Government Sector/Non-Profit Sector

- HRD in the Not-for-Profit Sector (NGO, national & local development, social infrastructure, health, education, services sectors, community development)

HRD Concept, Model, Tools, Techniques and Theory

- HRD Theory, Concepts, Frameworks, Systems (relevance and application to Asian context)
- HRD Tools, Techniques, and Innovations (instructional technology, performance technology, performance management systems, adult learning & teaching methodology, assessment centers.)
- HRD Professionals and HRD Roles (emerging roles of HRD professionals, new competencies, new knowledge & skills, academics & consultants)

Diagnosis and Evaluation in HRD

- Measuring and Managing the Impact of HRD (HRD audit, HRD measurement & evaluation, implementation research, assessment centers)
- HRD and Information Technology Driven Change (role of IT in HRD, role of HRD in change management, particularly in technological changes, such as SAP, ERP)

Organizational Development

- Organization Development and Learning Organization (OD and change management, organizational survey feedback, team-building & development, group dynamics, inter-departmental cooperation, organizational learning & learning organization, action research case studies, appreciative inquiry, action learning)

Career Development and Change

- Career Assessment, Change, Development, and Planning (Career development theory and practices, CD and HRM, Career change and transition, Career coaching & counseling, Assessment of career interests and career seeking behaviors)

Global HRD

- International/global HRD (International flow of human resource: studying abroad, employment, immigration & emigration and its impact, cultural influences on HRD practice, cross-cultural differences, comparative analyses, culture change and change management)
- HRD Interventions Based on Indigenous Culture and Values
- Impact of Globalization on Human Resource Development in Asian Countries.
- HRD Research in Asia (potentials, problems, strategies used, partnerships among academia and industry)

[In all cases, please keep in mind that the list above is suggestive only. Any paper that forwards our scholarly understanding of the HRD field is eligible for review and consideration. While an Asian focus is desirable, it is not essential for acceptance.]

Guidelines for Submission of Papers

- Please send a summary of less than 200 words as an e-mail attachment in MS Word file. All summary will be accepted with no feedback. After you submit a full paper by August 15, 2004, you will receive feedback on whether your paper is acceptable.
- Please e-mail summary and full paper to: kahrd@plaza.snu.ac.kr.
- For the full paper, follow the same guidelines as for the annual AHRD Conference submissions. The guidelines are available from the web site, www.ahrd.org. All papers are to be in English and must be complete at the time of submission. If English is not your native language, please have the paper edited before submission.
- Deadline for sending 200 words summary : May 30, 2004
- Deadline for submission of full papers: August 10, 2004
- Information on the acceptance of papers: September 15, 2004
- Submission of final revised papers: September 30, 2004

Pre-conference Workshops and Skillshops

Interested professionals and institutions (research institutes, companies, consulting agencies, etc) are requested to offer pre-conference workshops on any related themes.

The following research themes are being considered at present:

- | | |
|--|---|
| <ul style="list-style-type: none"> - Partnership in HRD - Leadership Development | <ul style="list-style-type: none"> - Ethical Dimensions in HRD - National HRD |
|--|---|

- Cultural Dimensions in HRD
- Return on Investment of HRD
- HRD for Managing Change
- Other proposals will be considered
- Evaluation of HRD Programs
- Evaluation of OD Interventions
- Knowledge Management & HRD

Each theme will be for one half/full day duration. The pre-conference workshop will be led by one person or a group of persons and should be designed for professional development. Those who desire to offer such workshops may send details of the workshop to pre-conference coordinator Dr. Young-sik Ahn at Fax: 82-51-890-1209 , Tel: 82-51-890-2184, or e-mail: ays@deu.ac.kr.

The details should include the purpose and objectives of the workshop, coverage, time schedule, prerequisites, if any, for participation, and the presenter's qualifications. One conference registration will be waived for offering a half-day workshop; if there are two presenters for a full-day workshop, both presenters will have their conference registrations waived.

Registration

Conference registration fee (payments received by September 20, 2004): For members of AHRD International: US \$150 (covers opening cocktail dinner on November 21, conference materials, proceedings, and coffee breaks on November 22 and 23, and the concluding dinner on November 23); For non-members, US \$200.

After September 20, the fee will be \$185 and \$235, respectively. (Student discount of US\$75 will be provided upon recommendation from his/her advisor/supervisor).

Registration fee for each pre-conference workshop: US \$30 per half-day and \$55 for each one-day workshop or two half-day workshops. Registrants for a full-day pre-conference workshop or two half-day workshops on the same day will be provided with lunch as part of their workshop registration fees. Details of the pre-conferences will be mailed to all registrants as soon as possible.

To register: please mail, fax, or e-mail completed Registration Form to a conference organizer:
Contact person: Ms. Mihwa Lee

Mailing Address: Department of Education, Seoul National University
 San 56-1 Sillim-dong, Gwanak-gu, Seoul, 151-742 Korea
 E-mail: polk0070@empal.com
 Tel: 82-11-9838-3790 Fax: 82-2-880-7635

For credit card payment: Please fill up the credit card payment information on the Registration Form. Be sure to include full name on credit card, type of credit card (acceptable cards are: Visa, MasterCard, Discover, American Express), credit card account number, and expiration date.

For wire transfer payment, and for local Korea delegates: Please remit the appropriate registration fees (including pre-conference) to bank account as follows. And please fax remittance slip to Fax: 82-2-880-7635. Be sure to indicate your full name and university or company on the remittance slip, as well as the amount submitted. Confirmation will be sent to you by e-mail upon receipt of payment.

Account Name: Mihwa Lee
 Account No: Saving Account No. 079-12-665093 (same as Control Number)
 Bank Name: National Agricultural Cooperative Federation (Swift Code: NACFKRSEXXX)
 Bank Address: National Agricultural Cooperative Federation Seoul National University Branch .
 San 56-1 Sillim-dong, Gwanak-gu, Seoul, 151-742 Korea

Conference Venue

Seoul is the capital of Korea with over 600 years of history. It is the heart of Korea's culture and education as well as politics and economy. Seoul is unique in that historical sites such as grand royal palaces and modern cultural facilities coexist in harmony. Seoul is a world-class city with numerous amenities and shopping districts such as Myeong-dong, Apgujeong-dong, and Itaewon Special Tourist Zone.

Travel from Incheon International Airport to the conference venue at Seoul Olympic Parktel is easy. The best-recommended way is by airport limousine bus #606 (bus stop 5B, 12A at airport, 5:40 AM- 10:50 PM). It takes about 90 minutes to the conference venue. The best way to explore Seoul at a low cost is by subway. The public bus is also available at a low cost but not recommended for first timers to Seoul. Seoul map will be available in the conference package upon arrival.

Accommodation

For your convenience, hotel accommodation is available at the conference venue, the Seoul Olympic Parktel, located approximately one and half hours from Incheon International Airport. Seoul Olympic Parktel agreed to offer great discount rates for AHRD participants.

Single or double rooms are available at 119,000 Korean won (inclusive of tax and service charge) per room per night inclusive of morning buffet breakfast (which is about US \$100 per room per night at current exchange rate of Korean won 1,200 per US\$).

Advance booking **before November 1, 2004** is strongly recommended. For room reservation, please e-mail, or fax to Ms. Jeong Eun Kim at Seoul Olympic Parktel . E-mail: parktel@sosfo.or.kr, or Fax: 82-2-410-2100. Tel: 82-2-410-2514 or 82-17-290-1180.

Credit card information, your full name, and address are required for hotel room reservation. Please clearly indicate period of stay, bedding preference (SGL or DBL), arrival & departure flight detail, in your e-mail or fax for making reservations. Hotel confirmation will be sent to you by e-mail.

Sightseeing and Excursions

Delegates may plan for pre & post conference sightseeing excursions in Seoul and throughout Korea. Half-day and full day excursions in Seoul and its vicinities are available at special discount rates for conference delegates. Some are the must-visits: Royal Grand Palace([Gyeongbokgung Palace](#), [Deoksugung Palace](#)) Insa-dong, Itaewon Special Tourist Zone, Dongdaemun and Namdeamun Market, and Korea House. To explore more of Korea through full day excursions, recommendations are: Yongin Folk Village, City of Gyeongju (designated as a World Heritage by UNESCO, capital of the Silla Kingdom for almost a thousand years), or DMZ(Demilitarized Zone).

Advance reservation is recommended. A Tour Table will be set up at the venue for your convenience. For more details, inquiries, questions, and concerns regarding accommodation, excursions, package tours, and general information, please feel free to contact Ms. Yoonmi Choi. E-mail: ymchoi03@snu.ac.kr or Fax: 82-2-880-7635. Tel: 82-11-9749-8409.

Conference Schedule (Details will be announced later)

- Seoul city tour in the afternoon of November 19. Please make reservations with Ms. Yoonmi Choi (ymchoi03@snu.ac.kr). (Also, the city tour is available everyday if there are more than six persons per trip.)
- Pre-conference workshops will be held at the conference venue on November 20 and 21.
- Get Acquainted icebreaker on November 21 starting at 5:30 PM.
- This will be followed by a plenary session at 6.00 PM with introduction of the Conference and first Keynote speech.
- Opening Dinner will follow the first plenary session at the conference venue on November 21.
- AHRD conference parallel sessions will be on November 22 and 23 from 9:00 AM onwards.
- Conference will close on November 23 at 4:30 PM after the final plenary session.
- Cultural evening and Closing Dinner at Seoul Olympic Parktel on the evening of November 23 at 7:00 PM.

Conference Chairs and Committee Members

Conference CEO and AHRD Asia Chapter Coordinator:

Dr. AAhad M. Osman-Gani

Professor of HRD and International Business

Nanyang Business School (S3-B3A-27)

Nanyang Technological University, Singapore 639798

Tel: (65) 6790-4982 Fax: (65) 6791-8377

E-mail: aahad@ntu.edu.sg

Conference Co-Chair and Site Coordinator:

Dr. Shinil Kim

President of Korean Academy of Human Resource Development

Professor at Department of Education, Seoul National University

San 56-1 Shillim-dong, Gwanak-gu, Seoul, Korea, 151-742.

Tel: 82-2-880-7643 Fax: 82-2-884-8542.

E-mail: kshinil@snu.ac.kr

Advisor:

Dr. Gene L. Roth, AHRD International Board Liaison and Past-President

Professor and Director of Office of HRD and Workforce Preparation,

Northern Illinois University, Dekalb, Illinois 60115-2854 USA

Tel: 1-815-753-1306 Fax: 1-815-753-9309

E-mail: groth@niu.edu

Conference Site Co-Chairs:

Dr. AAhad Osman-Gani and

Dr. Yonglin Moon

Professor at Department of Education, Seoul National University

San 56-1 Shillim-dong, Gwanak-gu, Seoul, Korea, 151-742.

Tel: 82-2-880-7648 Fax: 82-2-880-7635.

E-mail: moonyl@snu.ac.kr

Program Associate Chairs:

Dr. T.V. Rao, India: tvraoad1@sancharnet.in

Dr. Baiyin Yang, China: yinyang@umn.edu

Dr. Kiyo Harada, Japan: HRDHarada@aol.com

Dr. Jamilah Othman, Malaysia: jamilah@ace.upm.edu.my

Dr. Bella Ya-Hui Lien, Taiwan: bmayhl@ccunix.ccu.edu.tw

Dr. Ahmad A. Ajarimah, Middle-East & Gulf: ajarimaa@aramco.com.sa

Dr. David Ripley, NewZealand and Australia: d.ripley@mang.canterbury.ac.nz

Dr. Hunseok Oh, Korea: ohhs@snu.ac.kr

Financial Committee Chair

Dr. Jongcheol Yang: jcylife@kornet.net

Program Committee Chair:

Dr. Eunsang Cho: aquinascho@hanmail.net

Conference Proceedings Editors:

Dr. Yonglin Moon, Dr. AAhad M. Osman-Gani, Dr. Gene Roth,

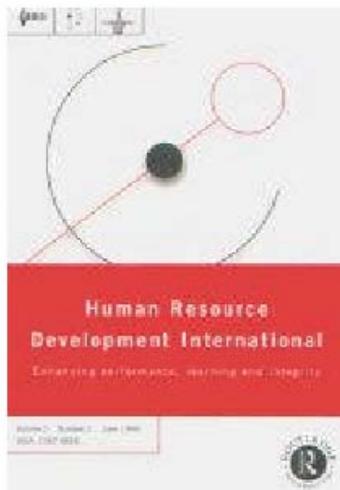
Dr. Hunseok Oh, & Dr. Eunsang Cho

E-mail: kahrd@plaza.snu.ac.kr / Papers and Summaries to be sent at kahrd@plaza.snu.ac.kr

	<h2>Academy of Human Resource Development</h2>
VISION	To Lead Human Resource Development through Research
MISSION	The Academy was formed to encourage systematic study of human resource development 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.
PUBLICATIONS	AHRD in cooperation with our publishing partners, provides a full range of scholarly and professional publications:
	<ul style="list-style-type: none"> ◆ <i>Human Resource Development Quarterly</i>, our research journal ◆ <i>Human Resource Development International</i>, our new international journal ◆ <i>Advances in Developing Human Resources</i>, a quarterly monograph series ◆ <i>Human Resource Development Review</i>, a quarterly theory journal ◆ <i>AHRD Standards on Ethics and Integrity</i> in Human Resource Development ◆ <i>Human Resource Development Research Handbook</i>, a book for both researchers and practitioners ◆ Blind Refereed Annual Conference Proceedings published annually in conjunction with the annual research conference
MEMBERSHIP BENEFITS	AHRD membership includes the following <ol style="list-style-type: none"> 1. Being a member of the only global organization dedicated to advancing the HRD profession through research 2. Subscription to all four AHRD sponsored scholarly journals: <ul style="list-style-type: none"> ◆ <i>Human Resource Development Quarterly</i> ◆ <i>Human Resource Development International</i> ◆ <i>Advances in Developing Human Resources</i> ◆ <i>Human Resource Development Review</i> 3. Copy of <i>AHRD Standards on Ethics and Integrity</i> 4. Subscription to the <i>Forum</i>, the Academy newsletter 5. Subscription to the Academy Listserv, for timely professional and career information annual 6. Discount on annual conference participation 7. Research conference with full proceedings of research papers (1200+) pages 8. Research partnering, funding, and publishing opportunities
ANNUAL RESEARCH CONFERENCE AWARDS PROGRAM	AHRD holds an annual research conference in the early spring of each year. The 2005 conference will be held in Estes Park, Colorado. The conference will be hosted by Colorado State University
	AHRD recognizes professional excellence in the HRD profession through its awards program, including: HRD Scholar Hall of Fame Outstanding HRD Scholar Award Richard A. Swanson Research Excellence Award Outstanding Human Resource Development International Article Malcolm S. Knowles Dissertation Award HRD Book of the Year Award AHRD Outstanding Academic Program "Cutting Edge" Top Ten Conference Proceedings Papers



Human Resource Development International



AVAILABLE ONLINE

Editor-in-Chief: [Jean Woodall](#), Kingston Business School, Kingston University, UK

Editors: [Allan Hixson Church PhD](#), Director, Organization and Management Development, Pepsico, USA

[Rob Poell](#) University of Nijmegen, The Netherlands

Reviews Editor: [Darren Short](#), Office for National Statistics

Reviews Sub-Editor: [Reid Bates](#), Louisiana State University, USA

Special note: Jean Woodall will be Editor-in-Chief for the journal from January 2003, and as of August 1, 2002 all new submissions should be sent to the new editorial office: Penny Macoustra, Editorial Assistant, HRDI, Kingston Business School, Kingston University Kingston Hill, Kingston Upon Thames, Surrey, KT2 7LB.

Monica Lee, in consultation with Jean Woodall, will continue to handle all manuscripts already under consideration by HRDI. All files, regardless of decision status will be transferred to Jean Woodall at the end of 2002.

Publication Details:

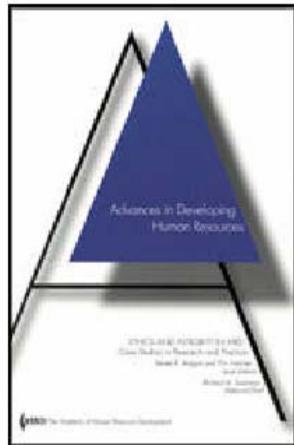
Volume 6, 2003, 4 issues per year

ISSN 1367-8868

*A preferential rate is available to accredited members of the Academy of Human Resource Development (AHRD) and the University Forum for Human Resource Development (UFHRD)



Taylor & Francis is a member
of CrossRef



 Sage Publications
Thousand Oaks • London • New Delhi

Advances in Developing Human Resources

The essential tool for Human Resource Development specialists...

Advances in Developing Human Resources

Editor:

Scott Johnson	University of Illinois at Urbana-Champaign
Wendy Ruona	University of Georgia, Athens, GA

Submission Guidelines

Advances in Developing Human Resources provides a central focus for the reporting on sound theory and practice within topical areas of interest to the profession. Members of the profession are encouraged to submit issue proposals and should contact the editor-in-chief for current proposal guidelines.

The **Advances** editorial board utilizes a two-tier blind review process. The first tier is the review of proposals for individual issues; the second tier is the review of completed manuscripts. Issue proposals are reviewed for (1) relevance to the HRD profession, (2) potential in advancing the theory in HRD, and (3) potential in advancing the practice in HRD. Complete manuscripts are reviewed for (1) completeness of the ideas, (2) quality of the writing, (3) advancement of HRD theory, and (4) advancement of HRD practice.

Human Resource Development Review



Elwood F. Holton III, Editor

Louisiana State University

Richard J. Torraco, Associate Editor

University of Nebraska



**A quarterly refereed journal from the Academy of Human Resource Development
Published by Sage Publications**

Human Resource Development Review is a theory journal for scholars of human resource development and related disciplines. **Human Resource Development Review** publishes articles that make theoretical contributions in papers devoted to theory development, foundations of HRD, theory building methods, and integrative reviews of the literature.

The journal provides new theoretical insights that can advance our understanding of human resource development, including:

- Syntheses of existing bodies of theory
- New substantive theories
- Exploratory conceptual models
- Taxonomies and typologies developed as foundations for theory
- Treatises in formal theory construction

Send manuscripts to:

Dr. Elwood F. Holton, III, Editor

Electronic submission (preferred) to eholton2@lsu.edu.

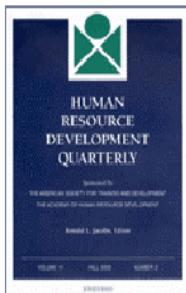
Human Resource Development Review

School of Human Resource Education and Workforce Development

Louisiana State University

142 Old Forestry Building

Baton Rouge, LA 70803, U.S.A.



Human Resource Development Quarterly

Sponsored by the
American Society for Training and Development and the
Academy of Human Resource Development.



Human Resource Development Quarterly - <http://www.josseybass.com>

Sponsored by the
American Society for Training and Development and the Academy of Human Resource
Development.
Darlene Russ-Eft, Editor

Editor **Darlene Russ-Eft**, Ph. D., is currently with the American Institutes for Research in Palo Alto, CA. *Human Resource Development Quarterly (HRDQ)* is the first scholarly journal focused directly on the evolving field of human resource development (HRD). *HRDQ* has become the national forum for interdisciplinary exchange on the subject of HRD. Sponsored by the **American Society for Training and Development** and the **Academy of Human Resource Development**.

INFORMATION FOR AUTHORS AND CONTRIBUTORS

Human Resource Development Quarterly is a publication sponsored by the Academy of Human Resource Development and the Research Committee of the American Society for Training and Development (ASTD). It provides a central focus for research on HRD issues, as well as the means for disseminating such research. *HRDQ* recognizes the interdisciplinary nature of the HRD field and brings together relevant research from related fields, such as economics, concerned solely with the practice of HRD are not within the scope of this journal, but may be more appropriate for practitioner-oriented publications such as *Human Resource Development International* or *Training and Development Magazine*.

Authors may contribute to *HRDQ* by submitting three types of manuscripts:

- Peer Review
- nonrefereed Forum Section
- nonrefereed Review Section

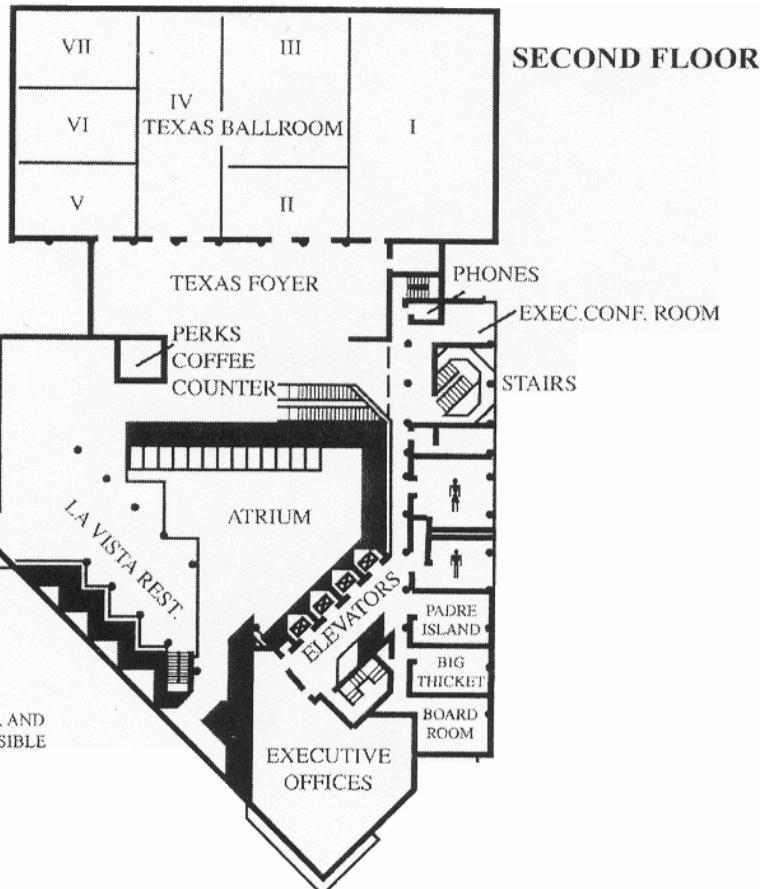
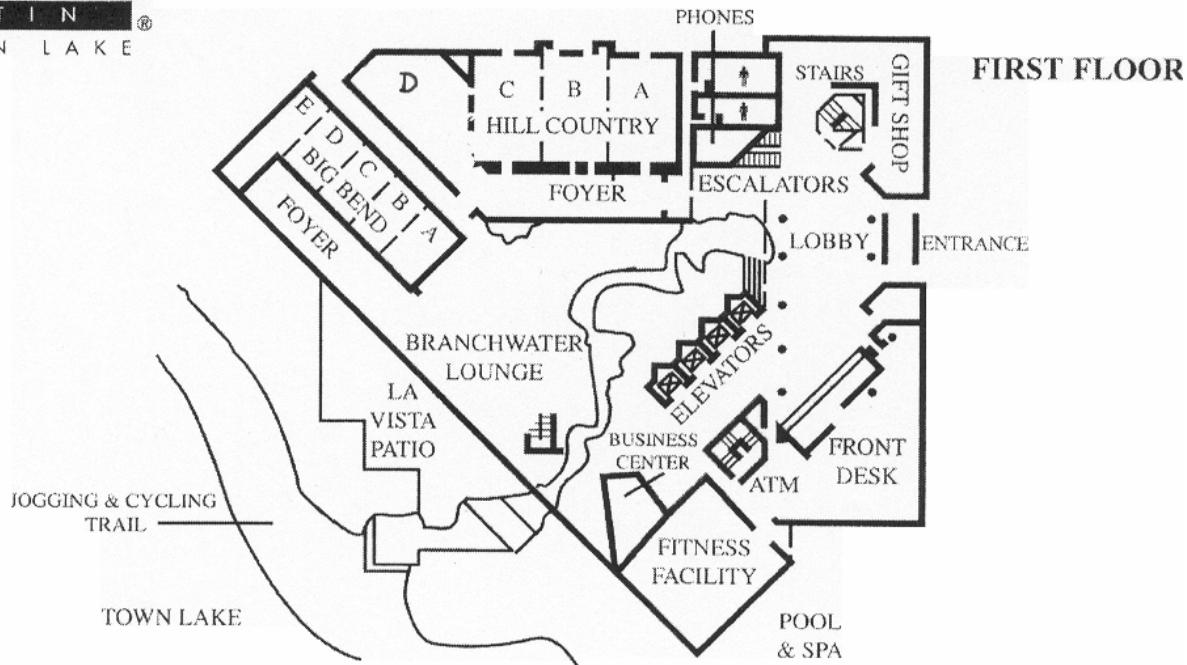
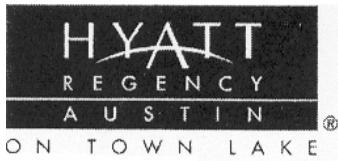
Submit forum manuscripts to Darlene Russ-Eft, Edition, *HRDQ*, 1791 Arastradero Road, Palo Alto, CA 94304

MORNING OVERVIEW

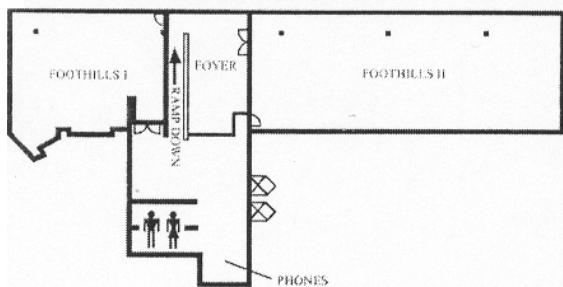
Time	Wednesday March 3	Thursday March 4	Friday March 5	Saturday March 6	Sunday March 7
6 AM to 8:30 AM			<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM Food-N-Thought 	<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM Food-N-Thought 	<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM ▪ Food-N-Thought ▪ 8 – 9 AM AHRD Board Meeting ▪ 8 – 9 AM SLDC Breakfast
8:30 AM to 10 AM			<p>Keynote: Bill Gardner, Advanced Micro Devices</p>	<p>Keynote: Yvonna Lincoln, Texas A & M University</p>	<p>9 AM – 10:30 AM SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Perceptions of Online Education ▪ Learning Transfer and HRD Effectiveness ▪ HRD Degree Programs ▪ Technology Perceptions ▪ Virtual Teams ▪ Ethics ▪ Assessing Online Learning ▪ Innovative Session
10:30 AM to 12 PM		<p>8:30 AM to 5 PM</p> <p>Registration and Conference Central</p>	<p>SYMPOSIA</p> <ul style="list-style-type: none"> ▪ HRD with International and Multinational Groups ▪ Learning in Communities ▪ Learning Measurement and International HRD ▪ Gender in HRD ▪ Intellectual Capital and Human Capital Theory ▪ Connecting Education and Practice ▪ Formal and Informal OJT Learning ▪ Innovative Session ▪ Poster Session 	<p>SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Exploring International HRD ▪ Change in International HRD ▪ Supervisory Social Support ▪ Organizational Learning and Culture ▪ Education Customization ▪ Executive Training and Development ▪ Diversity Programs and Initiatives ▪ Innovative Session 	<p>11 AM – 12 PM SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Emotions at Work ▪ Competencies in HRD ▪ HRD Faculty ▪ Professional Development ▪ Leadership ▪ Graduate Student Research Skills ▪ Quality Management ▪ Innovative Session

AFTERNOON AND EVENING OVERVIEW

Time	Wednesday March 3	Thursday March 4	Friday March 5	Saturday March 6	Sunday March 7
12 PM to 1:30 PM	1 PM to 5 PM Pre-conferences Wednesday, 3/3 through Thursday, 3/4	<ul style="list-style-type: none"> ▪ 12 – 3 PM IACE Hall of Fame ▪ 1 PM AHRD Foundation Board 	<ul style="list-style-type: none"> ▪ 12 – 1:30 PM International Committee Meeting ▪ 12:15 – 1:15 Food-N-Thought 	<ul style="list-style-type: none"> ▪ 12 – 2 PM HRDR Editorial Lunch ▪ 12 – 2 PM ASTD/AHRD Lunch ▪ 12 – 2 PM Advances Editorial Board Lunch ▪ 12:15 – 1:15 Food-N-Thought 	12 - 5 PM ASTD Research to Practice (and Monday, 8 – 12 PM) 12 PM - 2004 AHRD International Research Conference adjourned. <i>See you next year in Estes Park, Colorado!</i>
1:30 PM to 3 PM		TOURS <ul style="list-style-type: none"> ▪ 1 - 2:30 PM Tour of Austin area and State Capitol on “Austin Duck,” Pick up at the Hyatt ▪ 3 – 5 PM Tour and Presentation at Applied Materials, Bus Pick up at the Hyatt 	SYMPOSIA <ul style="list-style-type: none"> ▪ International HRD ▪ HRD Methods and Tools ▪ Considerations for Distance Education ▪ Gender and Mentoring ▪ Emotions in Organizations ▪ Creativity and Aesthetics ▪ Collaboration ▪ Innovative Session 	SYMPOSIA <ul style="list-style-type: none"> ▪ Learning Assessment ▪ Culture and Organizational Socialization ▪ Theoretical Frameworks of Performance and HRD ▪ HRD in Law Enforcement ▪ Motivation ▪ HRD Policy in Asia ▪ Diversity’s Impact on Change and Learning ▪ Innovative Session 	
3:30 PM to 5 PM		MEETINGS <ul style="list-style-type: none"> ▪ 3 - 5 PM HRDI Board of Directors and “Meet the Editors” – Jean Woodall ▪ 3 - 5 PM Diversity Committee ▪ 4 – 5 PM SLDC Meeting – Rob Poell 	SYMPOSIA <ul style="list-style-type: none"> ▪ Cross Cultural Training ▪ Strategic HRD ▪ Learning ▪ Mentoring ▪ Organizational Commitment ▪ Knowledge Management ▪ Defining HRD ▪ Innovative Session 	SYMPOSIA <ul style="list-style-type: none"> ▪ The Future of Career Development ▪ Organizations and Change ▪ Theorizing HRD ▪ Adult Learning Theory and Defining Training and Development ▪ E-learning and Culture ▪ Relating HRD and HRM Internationally ▪ Performance Appraisal ▪ Innovative Session 	
Evening Events	<ul style="list-style-type: none"> ▪ 5 PM – 7 PM Journal Editors Meeting 	<ul style="list-style-type: none"> ▪ 5 PM HRDI Editorial Team Meeting ▪ 4.30 – 5.30 PM Conference Orientation ▪ 5.30 – 6.30 PM Opening Reception ▪ 6.45 – 8:30 PM Town Forum: “HRD Theory or HRD Practice: Advancing the Profession” ▪ 8:30 PM – 9 PM Symposium Chair Meeting 	<ul style="list-style-type: none"> ▪ 5 - 6 PM AHRD Business Meeting ▪ 6 – 7 PM Student Reception ▪ 6 - 9 PM HRDQ Editorial Board Dinner and Meeting 	<ul style="list-style-type: none"> ▪ 5 – 6:30 PM Asian Chapter Meeting ▪ 5 – 6 PM Meet the Editors ▪ 6 - 10 PM President’s Reception/Dinner and Awards Banquet for all conference attendees (included in registration fee) 	



SEVENTEENTH FLOOR FOOTHILLS BALLROOMS



ALL MEETING SPACE, RESTROOMS, AND PHONES ARE WHEELCHAIR ACCESSIBLE

Pre - Conference Papers

Bridging HRD Research and Practice: Motivating, Collaborating, and Communicating through Awards, Partnerships, and Translations <i>Chris Squillaci, Darren Short, Ghazala Ovace, Marijke Kehrhahn, Martin Kormanik, Nancy Berger, Philip Graham, and Jamie Callahan</i> (PC-1 No Description)	PC
International Adult and Continuing Education: Expanding the Horizons (in Conjunction with the Induction of the 2004 Class of the IACE Hall of Fame) <i>Richard Swanson</i> (PC-5 No Description)	
Factor Analysis: Exploratory and Confirmatory - Advanced Faculty Professional Development Seminar on Quantitative Research Methodology Tools <i>Bruce Thompson</i> (PC-6 No Description)	
E-learning in Human Resource Development <i>Theo Bastiaens and Rob Martens</i>	PC-2
OD Consulting Engagements Gone Wrong: A New Framework for Analyzing and Learning from Our Mistakes <i>Joanne Provo, Monica M. Danielson, Gregory M. Henderson, Terrence Gray, Kshanika Anthony</i>	PC-3
Continuing Professional Education: Linking CPE and Workplace Learning <i>Tonette Rocco and Jasper van Loo</i>	PC-4

E-learning in Human Resource Development

Theo J. Bastiaens

Rob L. Martens

Open University of the Netherlands

Panel Members

Theo Bastiaens, Rob Martens

Purpose

'Web and internet technologies are transforming our educational world' is an often-heard one-liner, which is true in one way. We indeed have many new educational opportunities, which especially overcome time and distance restraints. When it comes to Human Resource Development it is more difficult to answer the question 'which are specific gains of technology?'. Nowadays there is no shortage of virtual learning environments, technical fixes and enthusiasts. There is no shortage of content available. However, where is the advice and assistance, based on models and theories, research evidence and good practice? It is time to start a special work-group or committee to take charge of this specific work area. The first initiative is this pre-conference workshop in which we want to share our experiences.

Target Audience

Everyone who is involved in e-learning research in the field of HRD or anyone who is struggling with the implementation of e-learning in an organisation or business.

Specific Goals

This one-day workshop wants to establish an state-of –the art overview of e-learning initiatives, problems, questions etc. in the field of HRD in general and more specific in the AHRD. Wherever possible we want to give answers based on our 14 years of experience with e-learning in HRD.

Draft Agenda

Morning

08.30- 10.30 What is e-learning? Why consider it? – experiences of attendees, demonstration of different kind of e-learning software.

10.30- 11.30 E-learning and collaboration

11.30- 12.30 Instructional design and e-learning

Afternoon

01.30- 02.30 The implementation of e-learning, new roles and tasks

02.30- 03.30 Evaluation of e-learning

03.30- 05.00 Towards a research agenda for e-learning in HRD and further activities to establish an e-learning committee within the AHRD.

This pre-conference session will be an active workshop in where we provide a framework to discuss experiences and ideas. We will support the workshop with best practices, instruments and empirical results from research.

Copyright © 2004 Theo J. Bastiaens & Rob L. Martens

OD Consulting Engagements Gone Wrong: A New Framework for Analyzing & Learning from our Mistakes

*Joanne Provo
Personnel Decisions International*

*Monica M. Danielson
Personnel Decisions International*

*Gregory M. Henderson
Henderson Consulting Inc.*

*Terrence Gray
Personnel Decisions International*

*Kshanika Anthony
Personnel Decisions International*

As OD practitioners and scholars alike, we counsel client organizations to learn from mistakes and failures, but how often do we turn that reflective assessment to our own mistakes and failures in OD engagements? OD initiatives do fail. The purpose of this pre-conference is to consider the learning opportunities that a systematic evaluation of unsuccessful OD initiatives that fail can provide, and to provide a framework to do so.

Keywords: Systems, Consulting, Failure

"There is much to be said for failure. It is more interesting than success."
Max Beerbohm, 1957

As OD practitioners and scholars alike, we counsel client organizations to learn from mistakes and failures, but how often do we turn that reflective assessment to our own mistakes and failures in OD engagements? OD initiatives do fail. Incomplete theories, inaccurate diagnoses, inappropriate change technologies, intractable organization members, incapable change agents, and inflexible organizations are among the many reasons why an OD intervention can go bad (Mirvis & Berg, 1977). The purpose of this pre-conference is to consider the learning opportunities that a systematic evaluation of unsuccessful OD initiatives that fail can provide. Based in systems thinking, a new framework for analyzing and capturing learning from OD engagements that have failed to meet their objectives will be presented and applied to a case study and the participants' own experiences in OD.

How this Session Furthers the Mission of AHRD

This pre-conference has elements that address three of the four components of the Academy's mission. The contributions to furthering the mission are as follows:

1. *To encourage systematic study of the field of HRD* – Through the use of small group work, individual reflection, and large group discussion, this session will encourage the systematic study of approaches to OD consulting engagements in organizations. More specifically, the systematic study of engagements that have not gone well. Reflection is often done individually and not shared with the larger HRD community, not to mention rarely published. Therefore, this new systems approach to analyzing "failed" engagements will prompt participants to engage with their experiences in a new way around OD interventions.
2. *To disseminate information about HRD through publications, projects, partnerships, professional contacts and meetings* – This session will begin with disseminating foundational as well as cutting edge thinking on the topic.
3. *To provide fellowship for individuals with scholarly and professional interests in HRD* – This pre-conference seeks to engage both scholars and practitioners in meaningful dialogue and promote future research and practice partnerships between those participants.

Copyright © 2004 Joanne Provo, Monica M. Danielson, Gregory M. Henderson, Terence Gray, & Kshanika Anthony

Session Audience

As the conference will be hosted by the Texas A&M staff and students, where there is a good proportion of adult working students, we believe there will be a fairly adequate mix of practitioners and scholars. Beyond the traditional academy members, these pre-conference committee members have connections with OD professionals practicing in the state of Texas; it is our hope to draw these members into the pre-conference and AHRD conference as well. Therefore, the agenda of the pre-conference will attempt to be broad enough to accommodate the interests and tap the expertise of the variety of possible attendees from the academic and practitioner communities.

Session Goals

The goals of this pre-conference session are, (1) to present a new framework for analyzing and capturing learning from OD interventions that failed to meet their objectives; (2) to apply this framework for analysis to real OD interventions and assess its utility and effectiveness; (3) to create a space where dialogue occurs between the academic and practitioner communities, including sharing of expertise and knowledge; and (4) to further weave the web of connections between attendees from the fields of research and practice, through participation in the pre-conference, next steps from action learning small groups, and a participant contact list.

Session Agenda

The pre-conference agenda is subject to change. Presently, the following agenda is offered. The pre-conference is a four-hour session, running on Thursday, March 4th, 2004. The session will begin at 8:30 am and end at 12:30 pm.

1. Welcome and Introductions, including:
2. Presentation of Systems Framework for Learning from Failure
3. Small Group Work on Consulting Case Study / Using the Framework
4. Individual Reflection Time on Personal Experiences
5. Large-Group Discussion/ Debrief
6. Assessment of the Effectiveness of the Framework

Proposal References

Fortune, J., & Peters, G. (1997). *Learning from failure: The systems approach*. John Wiley & Sons, New York.
Mirvis, P.H., & Berg, D.N. (1977). *Failures in organization development and change: Cases and essays for learning*. John Wiley & Sons, New York.

Continuing Professional Education: Linking CPE and Workplace Learning

*Tonette Rocco
Florida International University, USA*

*Jasper Van Loo
Maastricht University, The Netherlands*

Purpose Statement

Presently the field of continuing professional education (CPE) has no professional home. The majority of CPE practitioners and researchers affiliate with organizations within their individual professions, thus dividing the field of CPE into many diverse units. There remains a need for a national and international affiliation where CPE providers and researchers can come together to share research and practice ideas. This pre-conference assists in advancing the mission of AHRD by providing a professional affiliation for CPE providers and researchers by linking research and practice in CPE. The purpose of this preconference is to explore local and global issues that link CPE and workplace learning.

What are the foundations of structural and theoretical models for CPE?

- The relationship between CPE and workplace learning
- CPE across different professions and in multiple contexts
- The visible connections and subtle intersections between HRD and CPE
- Institutions and frameworks of CPE from an international perspective
- CPE and social justice

What is the significance of this research for CPE planning and evaluation?

- Different perspectives on the evaluation of CPE, ranging from economic cost-benefit analysis to social justice considerations
- Planning methods in CPE that incorporate political, economic, and cultural dimensions
- Connections/intersections of HRD and CPE

Planning Committee Members

Dave Branigan
Brenda Conley
Mary Cooper
Barbara Daley
Lilian Hill

Laurel Jeris
Vivian Mott
Bert Toolsema
Karl Umble
Margot Weinstein

Target Audience

CPE providers and researchers are making connections between CPE and HRD around the issues of workplace learning, competencies, and learning in context. The audience for this pre-conference will include CPE providers, researchers, and graduate students within the professions, including (but not limited to) such professions as law, engineering, medicine, nursing, social work, pharmacy, dentistry, accounting, and teaching. .

Preconference Agenda

Overview: Paper presentations will last 15-20 minutes. Reactions will last 10 to 15 minutes. An open discussion will follow.

Copyright © 2004 Tonette Rocco & Jasper Van Loo

Day 1 (1 - 5:30 p.m.)

(1 - 1:30 p.m.) Introductions and Overview *Jasper van Loo and Tonette S. Rocco*

(1:30 - 2:15) Work, Self and the Profession: CPE and the Inner Life,
John M. Dirkx, Michigan State University

For the most part, the practice of continuing professional education reflects a conception of lifelong learning oriented towards the demands of an outer world. In such a view, as knowledge within one's profession evolves, practitioners seek to stay current to meet the needs of an every changing and demanding world. Focusing largely on the changing nature of the knowledge base, this perspective of lifelong learning fails to represent the ways in which learning and self-understanding are shaped by both the emotional and cultural contexts of our work, and the movement of the soul's journey. In this paper, I develop a view of lifelong learning that springs from a dialectical and integrated understanding of the self, the socio-cultural context of one's work, and the discipline in which one works. The goal of this inquiry is to encourage an approach to CPE that nurtures a sense of vocational integration and self-understanding within the work of the professional.

Invited Reaction: Work, Self and the Profession: CPE and the Inner Life
Suzanne Gallagher & Greg Salters, Florida International University

(2:15 - 3:00) Asking the Right Questions, Looking in All the Right Places: Complexifying Knowledge Construction in Reflective Practice
Suzanne J. Gallagher, Florida International University

The paradigm shift in knowledge construction and the spiritual yearning in human resource development literature illuminate transforming questions and multiple sources of information for reflective practice. The shift in knowledge construction from a transmission model to a transformation model demands more complex models of reflective practice. Theological reflection, a form of reflective practice, embodies the knowledge construction shift, asks the praxis question, and incorporates social analysis and spirituality. The purpose of this of this paper is to review the literature on theological reflection to connect its purposeful questions and multiple sources of inspiration to reflective practice models.

Invited Reaction: Asking the Right Questions, Looking in All the Right Places: Complexifying Knowledge Construction in Reflective Practice
John M. Dirkx, Michigan State University

(3:00 – 3:45) Participation in CPE: The European Union vs. the United States
Jasper van Loo, Maastricht University, The Netherlands

Professionals' participation in CPE depends on many different factors. This paper attempts to explore the differences in CPE participation across a number of European countries with the participation in CPE in the United States. These differences might be explained through a preliminary exploration of the factors. These factors include the professional national organizations, policies and legal standards set by states. In order to optimize comparability between countries, the paper will focus on a limited number of 'universal' professionals, such as e.g. lawyers, accountants, nurses, etc.

Invited Reaction: The practitioner's perspective: Participation in CPE: The European Union vs. the United States
Lynn Atkinson-Tovar, Northern Illinois University

Invited Reaction: The researcher's perspective: Participation in CPE: The European Union vs. the United States
Jean Woodall, Kingston University

(Break 3:45 - 4)

(4:00 - 4:30) Keynote: Overview of Collaborative Directions for Continuing Professional Education
Alan B. Knox, University of Wisconsin

A preliminary plan for a Futures initiative on continuing professional education (CPE) includes two parts. The first part is on public issues and is underway with ten local exemplary programs. The second part is on collaborative future directions. The intent of each is to strengthen educational opportunities for adults for the benefit of adult learners and of society. The collaborative process can also strengthen the field. The mission for those who plan and implement this CPE initiative is to focus on forms of cooperation by people who coordinate CPE in various professional fields for a mutually beneficial exchange. Such cooperation depends on recognition of their enlightened self interest, so we will begin with people who value this connection.

(4:30 - 5:00) Discussion: How do we envision the CPE preconference connecting with the Futures project? What is the future of the CPE preconference? (To be continued over dinner, all CPE Preconference participants are welcome. To be arranged.)

Day 2 (8:30 a.m. to 1 p.m.)

(8:30 – 8:45) Greetings

(8:45 - 9:30) Using Teaching Perspectives Inventory and Critical Teaching Incident Questionnaire for Faculty Development of CPE Providers
Steve Ratcliff, DDS, The Pankey Institute
Tonette S. Rocco, PhD, Florida International University

Dental educators plucked from the ranks of exceptional clinicians and researchers, are expected to be able to facilitate the learning of others. They teach the way they were taught: turning out the lights, turning on the slides, telling “learners” what they do expecting that the telling deposits knowledge in the learner that translates into skill. This paper presents a critical reflection of an effort to foster the professional development of those that provide CPE.

Invited Reaction: Using Teaching Perspectives Inventory and Critical Teaching Incident Questionnaire for Faculty Development of CPE Providers
Steve Sligar, The Center for Sight & Hearing

(9:30 – 10:15) Portraits of Persistence: Professional Development of Academic Coordinators/Directors of Clinical Education in Physical Therapy
Alice Salzman, Northwestern University

The purpose of this study was to develop a model for the professional development of Academic Coordinators/Directors of Clinical Education (ACCEs/DCEs) in physical therapy academic programs. Comparative, qualitative case studies were used to examine similarities and differences in the professional development of six ACCEs/DCEs. Cross-case analysis resulted in a model with six themes: 1) responding to unexpected events, 2) match in interests and skills, 3) excitement for facilitating growth, 4) networking with colleagues, 5) supportive environments, and 6) mindful practice. Professional development requires the ability to learn from one's daily practice and is enhanced by having a network of individuals as learning resources.

Invited Reaction: Portraits of Persistence: Professional Development of Academic Coordinators/Directors of Clinical Education in Physical Therapy
Mary Cooper, University of Missouri/St. Louis

(10:15 – 11:00) Human Resources’ Role in Helping Professionals Meet Their Mandatory Continuing Professional Education Requirements
Claire Kostopoulos Nackoney, Florida International University

Each year organizations spend billions of dollars on both internal and externally facilitated HRD programs. Through HRD programs, employees acquire the skills, knowledge, and behaviors needed to help the organization be

successful and achieve its goals. Professionals, whether working within or outside of their professional contexts are required to complete mandatory CPE. This paper examines the link between CPE and HRD by exploring issues of benefits, resources, challenges, and organizational vs. professional needs.

Invited Reaction: Human Resources' Role in Helping Professionals Meet Their Mandatory Continuing Professional Education Requirements

Judy Bernier, Florida International University

(11:00 – 11:45) Continuing Professional Education: A Historical View of the professions to move forward in the emerging professions. **Continuing**

Margot B. Weinstein, Kingston Group Inc.

William H. Young, Ed.D., University of South Florida

This paper uses the “Characteristics Model” explained by Gilley and Eggland (1989) as Model to define and illustrate details of each field. Factors identifying and influencing professions are defined. Three categories emerge to frame these factors: traditional, service, emerging fields.

Invited Reaction: Continuing Professional Education: A Historical View of the professions to move forward in the emerging professions

Cynthia Sims, Northern Illinois University

(11:45 – 12:45) Orienteering for Boundary Spanning: Reflections on the Journey to Date and Suggestions for Moving Forward

Laurel Jeris, Northern Illinois University

Barb Daley, University of Wisconsin/Milwaukee

This presentation is based on a chapter that will appear in the February 2004 issue of *ADHR*. Continuing professional education and human resource development tend to have boundaries that are held strongly in place by theoretical premises, philosophical foundations, language, the practice arena, and the codification of knowledge in graduate programs. In this presentation, a grounded theory approach to boundary spanning is proposed using the Dirkx and Austin (2002) model as a compass to navigate between and among types of learning and development, focus of interest, and context. Future research directions for both continuing professional education and human resource development will be proposed.

Invited Reaction: Orienteering for Boundary Spanning: Reflections on the Journey to Date and Suggestions for Moving Forward

Alice Salzman, Northwestern University

Conference Papers

Corporate Universities v Traditional Universities: Comparison through Published Organisation Documentation

*John S. Walton
London Metropolitan University*

*Michele C. Martin
HSBC*

This paper is a part of an ongoing empirical, multi-modal comparative investigation into corporate universities in the US and the UK, the first stage of which was reported in Walton and Martin (2000). This second stage consists of an in-depth comparative study of the aims and objectives of corporate universities in the UK and US compared to traditional universities by means of mission statements/ guiding principles and associated documentation obtained from organisational web sites. The research has been undertaken to enable triangulation with data obtained from other sources.

Keywords: Corporate University, Mission Statements, Traditional University

Dasenbrock (2002) comments that: “references to the corporatization of the university are virtually ubiquitous in the discussion in the humanities about vectors of change in higher education”, a process that is being resisted by beleaguered humanists who are as decisively outnumbered as the Spartans were at Thermopylae. (p.1). From his perspective the phrase “corporate university” is a way of expressing that traditional universities are far more concerned with issues of profit and loss and competing in the marketplace than they were a generation ago. He alleges that the University of Phoenix in the United States is the icon of this shift, and that it is literally a *corporate* university. In reflecting on the core purpose of so-called traditional universities he goes on to differentiate between “credentialising” universities - where the student is purchasing essentially a credential not an education - and “research” universities.

This connotation is different to the dominant discourse in the HRD field on the subject of “corporate universities”, where commentary has focused on their emergence and rapid growth in the corporate world in recent years. Walton (1999) observed that “inspired by an original idea generated at the Walt Disney Corporation, the notion of a corporate university is becoming increasingly fashionable as an overarching designation for formal learning and knowledge-creating activities in an organization” (p.412). In 1990 there were held to be some 400 corporate universities of this type in existence, primarily in the United States. According to Corporate University Exchange (CUX), a New York consultancy firm that specialises in supporting corporate university development, this figure had risen to 2,000 by 2001. Heller (2001) forecasts that by the year 2010 the figure will have risen to 3,700. There is also evidence of this becoming increasingly a global phenomenon, with, for example, eight corporate universities reported in Germany. A number of definitions have been provided for a corporate university, of which the following are typical:

The strategic umbrella for developing and educating employees, customers and suppliers in order to meet an organisation’s business strategies. In a corporate university employees build individual and organizational competencies, thereby improving the company’s overall performance. (Meister 1998)

A corporate university is a function or department that is strategically oriented toward integrating the development of people as individuals with their performance as teams and ultimately as an entire organization by linking with suppliers and customers, by conducting wide-range research, by facilitating the delivery of content, and by leading the effort to build a superior leadership team. (Wheeler 1998)

A CU is an educational entity that is a strategic tool designed to assist its parent organization in achieving its mission by conducting activities that cultivate individual and organizational learning, knowledge and wisdom. (Allen 2002)

Taken collectively, the emphasis is instrumental, a strategic tool for helping an organisation to achieve its objectives and mission through learning processes. Learning, knowledge, research and wisdom are not perceived by these writers to be ends in themselves.

Copyright © 2004 J. S. Walton & M.C. Martin

Problem Statement

These different connotations on *corporate* universities provide a backdrop to this paper. There have been a number of academic and other studies that have looked into the relationship between corporate and traditional universities. Assertions have ranged from future-gazing statements to the effect that corporate universities may become a major threat to traditional universities as they compete for students and faculty (Thompson 2000), to the view that it is difficult to establish any relationship between two independent phenomena with different objectives and values (Blass 2001). Hard comparative evidence has been difficult to find, and reported case examples have mostly been small in number and based upon convenience sampling in one country. On the whole, the academic studies have treated the corporate universities as an emergent phenomenon that have to justify their claim to be a “university” and have treated the so-called traditional universities as relatively fixed in their aims and objectives. A number of questions remain unresolved. Is there any evidence of convergence of outlook between entities coming from different roots and traditions, yet drawing upon the same overarching designator for their activities? If there is evidence that traditional universities are becoming more “corporatised” and instrumental in approach, is this reflected in their expressed aims and objectives? If the corporate world is drawing upon terminology historically reserved for the academic arena, is this reflected in the published purpose statements of their “universities”?

Theoretical Framework

The ethos behind traditional universities has been discussed over the centuries since their origins in the Middle Ages when teaching was viewed as a commodity like any other and it was expected that new students would sample lecture courses before making their academic purchases (Cobban 1999). Newman (1853) defines a university as “a place of teaching universal knowledge”(p.1) and contends that “the very name of university is inconsistent with restrictions of any kind” (p.25). This has led to the espoused views that, ideally, a university should provide a sanctuary for democratic principles, uphold uncensored expression, and encourage the unfettered exchange of ideas and the right to dissent under the name of academic freedom.

Virtually all of contemporary universities fulfill at least three missions or purposes, regardless of nationality or prestige: teaching, research and public service (Perkins 1973) although the balance between these and their practical expression vary considerably. American higher education in particular is held to have a bewildering variety of institutional missions and objectives, a fact which Graham and Diamond (1997) commented on as being probably one of its greatest strengths. In the UK at the time of writing there is a hot debate over whether there should be a differentiation between teaching universities and research universities, with only the latter being entitled to public funding for research.

A number of commentators has suggested that in the context of the *corporate* university, the term *university* is used more for its aspirational and symbolic connotations to position of learning activities within an organisation than for any attempt to replicate traditional university practices or values (Thomas 1999, Walton 1999). Walton (1999) argued that virtually no corporate university would meet the requirements set out in dictionary definitions of the word “university”, nor would they wish to. Walton and Martin (2000) pursued this in their UK empirical study that evaluated the extent to which corporate universities meet the criteria conventionally associated with “university”. Criteria used were “sponsorship of research”; “openness of access”; “focus on education” as opposed to “training”; “provision of high level qualifications”; “evidence of scholarly activity and independence”. They concluded that:

Despite adopting the university label, and in some instances a faculty structure, the corporations studied did not achieve the curriculum range, broad-ranging academic expertise and research sponsorship of a conventional university; in many instances, developing partnerships with higher education to overcome this deficiency. The study brought to the fore the inevitable difference between the performance-driven learning imperative for corporations and the independence of thought required of a true academic community (p.9).

Blass (2001) conducted an exploratory study into differences and similarities between CUs and traditional universities. The criteria she adopted for her comparison were: origins from which universities took their title; historical development; aims and outcomes; level of education aspired to; size and diversity of student bodies; knowledge generation; issues surrounding ownership and control including notions of academic freedom; and linkages with other public universities. She concluded that finding any similarities at all was difficult. She also concluded that many of the corporate universities approached were often unable to answer her questions, as the issues had never previously been considered. Her overall conclusion was that the corporate university and public university are two very different configurations that will always remain separate entities. She also commented that corporate universities are eroding the value of traditional universities by taking on the title of “University”. In the

UK she had difficulty in identifying which organizations had a corporate university and only investigated two in detail. Thompson (2000) identified a common focus on lifelong learning as the only point of similarity with traditional universities. He also suggested that corporate universities should be perceived as a source of support to their counterparts in that they provided more than “20% of the voluntary support for higher education in the United States” (*ibid.* p.327).

Terminological confusions bedevil this field. Not all organisations that claim to have a corporate university use the term “university”. In the UK there are some legal restrictions on its use. “Academy”, “Institute of Learning”, “School of management”, “Learning network”, “College”, “Business learning” are all featured labels of organisations operating as members of Corporate University Exchange (CUX.). There is also a propensity to changes in nomenclature or even disappearance, especially within the CU arena. During the period covered by this study, Deutsche Bank dispensed with its CU and the Arthur D Little CU was acquired by Kaplan Higher Education, a division of Kaplan, Inc., which is a wholly owned subsidiary of The Washington Post Company. As a part of the agreement, the name of the ADL School of Management was changed to the Concord School of Management

In recent years there has been greater clarity on what corporate universities value, with the New York based Corporate University Exchange introducing in 1999 five criteria for excellence, listed by Murray (2002) as. 1. Alignment: aligning corporate learning to business strategies. 2. Alliances: developing strategic learning alliances with external providers. 3. E-learning: creating a learning environment through technology. 4. Marketing: developing and implementing innovative marketing and branding techniques. 5. Measurement: measuring the value of an organisation’s investment in learning. This would seem, at face value, to reinforce that corporate universities are different beasts to traditional universities. In order to obtain stronger empirical data, this paper has reviewed published statements such as mission statements, core values, guiding principles, aims and objectives from a sample of traditional universities and corporate universities in both the United States and the UK.

Such published documents from organisational web sites could be termed “value oriented texts”, designed to communicate with a range of internal and external audiences. They include core values and guiding principles; vision and mission statements; aims and objects. Such public expressions of what the organisation holds dear have become endemic in organizational life, although they can be perceived at one level to be no more than rhetorical declarations of intent, examples of “espoused values”, as opposed to “theory in use” (Argyis & Schon 1978). It was not the purpose of this research to establish whether what was written was replicated in practice, rather to establish a tangible source of data that could legitimately be used for purposes of comparison. David (1989) and others refer to mission statements as being distinctive to each organisation. However, the research looked for areas of similarity as well as difference, recognising that “organisational mimetics” and “institutional isomorphism” (DiMaggio & Powell, 1983) could lead to common areas of focus.

King and Cleland (1979) list as the espoused reasons given for organisations having mission statements: 1. to ensure unanimity of purpose within the organisation; 2. to provide a basis or standard for allocating organisational resources; 3. to establish a general tone or organisational climate; 4. to serve as a focal point for individuals to identify with the organisation’s purpose and direction; and to deter those who cannot, from participating further in the organisation’s activities. 5. to facilitate the translation of objectives into a work structure involving the assignment of tasks to responsible elements within the organisation. 6. to specify organisation purposes and the translation of those purposes into objectives in such a way that cost, time and performance parameters can be assessed and controlled.

David (1989) identifies from a content and statistical analysis of seventy-five mission statements that were obtained from chief executive officers of large companies the following nine areas of focus. 1. Customers. 2. Products or services. 3. Location. 4. Technology. 5. Concern for survival. 6. Philosophy. 7. Self-concept. 8. Concern for public image. 9. Concern for employees. He goes on to argue that mission statements should 1. Define what the organisation is and what the organisation aspires to be. 2. Be limited enough to exclude some ventures and broad enough to allow for creative growth. 3. Distinguish a given organisation from all others. 4. Serve as a framework for evaluating both current and prospective activities. 5. Be stated in terms sufficiently clear to be widely understood throughout the organisation.

Johnson and Scholes (1999) respond to criticisms that such statements are bland and too wide-ranging by commenting that it might be politically necessary to have published statements with which most if not all stakeholders can identify (p.243).

Methodology

For sampling purposes the population was first stratified, and then randomized. Thus, for traditional universities, the first stratification was between the UK and the US, and then within each country further sub-divisions were undertaken. In the UK 20 universities were initially sampled which was 15% of the total population. The 40 universities sampled from the US constituted just over 1% of the total population of 3,500 universities. This difference between the two countries was discussed by the researchers at the outset, and reviewed at various stages of the study, but it was always the intention to engage in non-probability sampling and not engage in a statistical analysis. Issues that were considered were that the primary methodology of content analysis is notoriously time consuming and that there was anxiety that the volume of data could become unmanageable. From the standpoint of the overall research project, this was always seen as a relatively small part of the investigation confirming or otherwise data obtained from fieldwork and the consistent conclusions being drawn in the literature that corporate and traditional universities were different types of entities. Had the findings in any way presented unexpected or interesting new data about the traditional universities then further sampling would have been undertaken. But by far the most significant reason influencing judgment over whether to engage in probability versus non-probability sampling concerned the corporate universities. Here appropriate web site data was patchy, subject to significant change over the course of the investigation, and in some instances non-existent, and the number of reported CUs was rapidly increasing over the course of the investigation. Web sites were randomly accessed until a sufficient number was reached from which meaningful comparative data could be obtained.

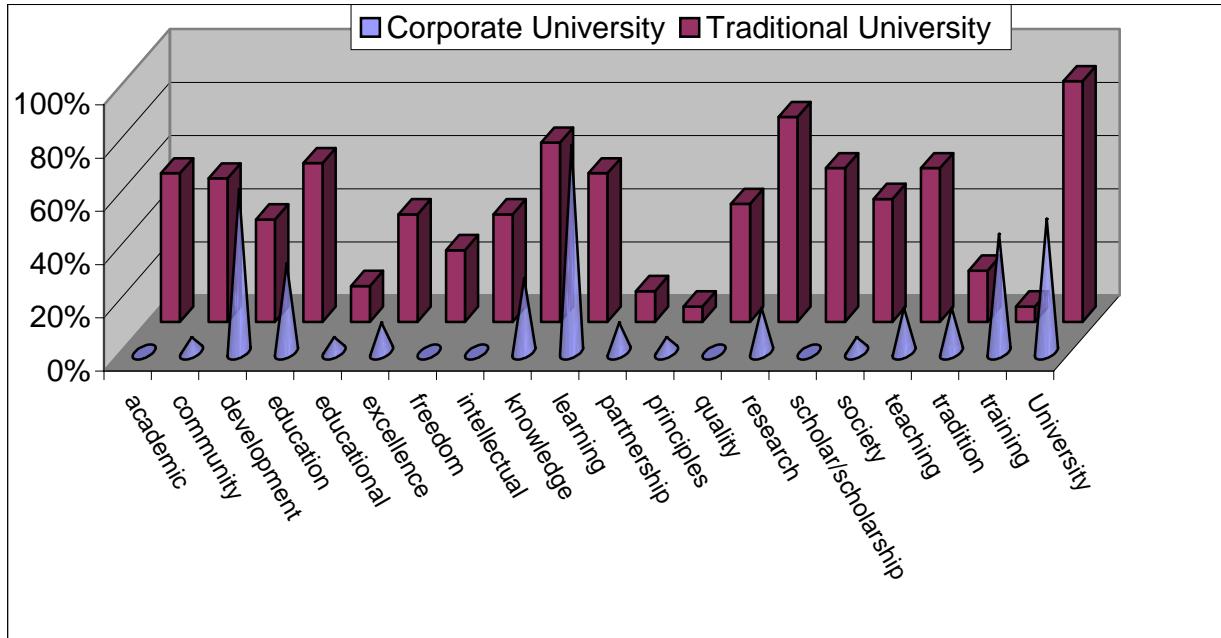
Using the terminology of Carley (1990), the original intention was to subject the texts from each institution to a conceptual content analysis in which both the existence and frequency of terms and associated constructs was elicited, coded and compared. This was the approach followed by David (1989) who subjected to a simple content and statistical analysis, seventy-five mission statements that were obtained from chief executive officers of large companies. However it quickly became apparent that the existence or otherwise of terms was sufficient for the purposes of coding and demonstrating similarities and differences between traditional and corporate universities. This was then followed by a relational analysis, in which the context in which terms were used and their relationship vis-à-vis each other was established and compared, where apparent areas of similarity emerged. The constructs identified by Walton and Martin (*op cit.*) were used by the authors as the initial basis for coding, but were modified and added to in accordance with the findings from the textual analysis. A variant of discourse analysis was used to identify key concepts, isolate and establish frequency of categories and themes that emerged from both the traditional and corporate university texts. Key themes and messages of each in turn were then compared and contrasted.

Findings

Each of the UK universities from the original sample had a web site that gave a clear indication of its value orientation. There was less consistency in the US universities, perhaps reflecting the conflict between academics and top management of what a university is about that emerged from the literature. The corporate university web sites were very variable in the volume and quality of information provided. Figure 1 is a simple content analysis of key terms that were identified, based on those universities from which appropriate data could be obtained.

Following the notion of institutional isomorphism, the higher level of congruence in traditional universities is not unexpected. Collectively, they have been in existence over a far longer period of time than their corporate university counterparts. But mere words in themselves can be deceptive – it is the context in which they are used that adds significance, the words they are associated with, and the meanings attributed. It is this realisation that underpins the relational approach to content analysis (Carley, *op. cit.*), and is essential to understand in comparative studies. As discovered in the Walton and Basra (2002) comparative survey of continuous improvement initiatives, the same word can denote very different things, both within and across organisational settings. Prior (2003) reinforces the perspective that textual analysis needs to attend to the “full pattern of referencing between objects cited” (p.122).

Figure 1. Comparative Analysis of Key Terms used by Traditional and Corporate Universities



n.1 = 60 Traditional Universities (40 from US and 20 from UK); n.2 = 40 Corporate Universities

Table 1. Terminology Usage

Corporate Universities	Traditional Universities
1. Learning referred to by 78% of those sampled	1. University referred to by 90% of those sampled
2. Development referred to by 61% of those sampled	2. Research referred to by 77% of those sampled
3. University referred to by 50% of those sampled	3. Knowledge referred to by 67% of those sampled
4. Training referred to by 45% of those sampled	4. Education referred to by 60% of those sampled
5. Education referred to by 33% of those sampled	5. Teaching referred to by 58% of those sampled
6. Knowledge referred to by 28% of those sampled	6. Scholar/scholarship referred to by 58% of those sampled
7. Research referred to by 17% of those sampled	7. Learning referred to by 56% of those sampled
8. Teaching referred to by 17% of those sampled	8. Community referred to by 54% of those sampled
9. Tradition referred to by 17% of those sampled	9. Society referred to by 46% of those sampled
<u>No other term was used more than by more than 12%</u>	10. Quality referred to by 44% of those sampled
	11. Intellectual referred to by 40% of those sampled
	12. Development referred to by 39% of those sampled
	13. Freedom referred to by 27% of those sampled
	14. Tradition referred to by 19% of those sampled

Below are some examples that are derived from the comparative analysis. By far the most common term used by corporate universities was “learning”, referred to in 78% of the CUs sampled. By comparison, usage of “learning” in traditional universities was about 56%. Below, in Table 2, are some typical examples of the context in which these words are used.

Table 2. "Learning" as Referred to in the Data Sample

Traditional - “seeks to establish a learning culture in which teaching and research of the highest quality are able to flourish equally” (University of Kingston, UK). “To support scholarly learning is the central mission of the University” (Syracuse University, US). “In the interest of learning and in recognition of the special role that society assigns to universities, we make parallel and inseparable commitments to teaching and research” (Case Western Reserve University, US)

Corporate - “Learning is a key part of our competitive advantage. To build that advantage and exploit it to enhance our employer brand we have created the BT Academy” (BT Academy, UK). “Where Learning never ends - The Tennessee Valley Authority, like most businesses today, operates in a constantly changing environment and must constantly reinvent itself to survive and thrive. At TVA, we view employee training as a tool that helps us achieve this. TVA University – our learning system is organised with that in mind” (TVA University US). “Oracle University offers a full range of organisational learning services and training products. By bundling services and training methods, we can give you maximum effectiveness and maximum value” (Oracle University US).

“Learning” within the traditional university is here associated with “scholarly” activity and a “teaching and research” culture giving a meaning oriented towards intellectual pursuits and a means unto itself. “Learning” within the corporate university is here associated with “competitive advantage”, “survival”, “effectiveness” and “growth” giving a meaning oriented towards the bottom line and a means to an end.

The words “develop”/ “development” represent the second highest word used within the corporate universities’ sample and were referred to 61% as opposed to 39% in traditional universities. Many different connotations emerged, covering both institutional and personal aspects. See Table 3 for examples of usage.

Table 3. "Development" as Referred to in the Data Sample

Traditional - “To identify new areas of study and research for development and enhancement, responding to contemporary developments in both the intellectual and national environment” (University of Oxford, UK). “Deliver that mission by the continuing development of its distinctive academic style, based on a belief that teaching and research are enhanced where the application of knowledge to useful ends, is seen as complementing the basic processes of acquiring and disseminating knowledge” (University of Bath, UK). “The university will provide personal development and social justice” (London Metropolitan University). “Develop responsible students capable of critical reasoning and practical action” (University of Plymouth, UK). “Students are the focus of the University as they seek intellectual, personal and cultural development” (Utah State University, US). In all areas, the goal is to develop students’ communication and critical-thinking skills, ethical judgment, global awareness, and scientific and technical knowledge. Students remain the primary focus of the University” (Clemson University, US).

Corporate - “The main elements included the development of a corporate-learning database for sharing best practice and publicising learning resources” (Rover Business Learning, UK). “We believe that people starting their careers will increasingly want to work in companies that make such a commitment to the long-term development of their employees” (BT Academy, UK). “The Center is recognized as one of the world’s premier facilities for business education and professional development” (Arthur Anderson, US). “Optimize your return on investment while saving on employee development” (Oracle University, US).

In this case, our sample of traditional universities shows the word “development” referring to the development of themes such as a “distinctive academic style”, “intellectual and national environments”, identifying new areas of study, and personal growth. Our corporate university sample refers to “development” in the context of themes such as a “corporate learning database” and “employee development”. We get a sense here that development in a corporate university context is primarily conveying sustainability of the business and is unabashedly corporate-centric in its usage. We did detect some overlap when talking about staff development. The University of Lancaster in the UK was typical of a number of traditional universities in seeking to fulfill its mission by *inter alia* “recruiting, retaining and developing high quality academic and support staff”.

The word “research” was the second most common term used by traditional universities (77%) as opposed to only 17% by corporate universities. This supports earlier research reported in Walton and Martin (2000) that found that only 3rd generation corporate universities look toward “sponsorship of research” as a core value. They write that a 3rd generation CU “combines continuous learning with research and technology acquisition and strategic development focused directly on the local and global needs of the business and employees”. Therefore, the findings

support the expectation that only a small percentage of the sample held any evidence of corporate universities utilizing the word “research”. These were most likely to be from CU’s of this 3rd generation classification.

Table 4. “Research” as Referred to in the Data Sample

Traditional - “We are committed to the advancement of knowledge through critical and independent scholarship and research of international significance” (University of Southampton, UK). “Serve the national, regional and international communities through: The conduct, dissemination and exploitation of internationally recognised research and scholarship which increases knowledge, skills and understanding, both for their own sake and as a means of contributing to economic, social and cultural development” (University of Durham, UK). Because research is essential to the mission of a land-grant university, Auburn University will continue development of its research programs. The primary focus of this research will be directed to the solutions of problems and the development of knowledge and technology important to the state and the nation and to the quality of life of Alabama citizens (Auburn University, US). “The University is committed to the advancement of knowledge and to the cultural improvement of society through the production of research and scholarship and the presentation of creative works in the arts” (Indiana State University, US).

Corporate – “Committed to build a self-sustaining culture of learning and continuous improvement right across the company through education, training and research in partnership with academia” (BAE Systems, UK). “Learning and research will be designed to contribute to improvements in healthcare standards” (National Health Services University, UK). “Air University conducts research in air and space power, education, leadership and management” (Air University, US).

Table 4 illustrates a different emphasis on the meaning of the word based ----on its context. “Research” in a traditional university is here associated with knowledge generation and “cultural improvement of society”. Research for a corporate university is much less aspirational in tone, very pragmatic and applied, and where appropriate to be done “in partnership with academia”, perceived as a separate entity.

The word “knowledge” represents the third highest word used within the traditional universities” sample and was referred to by 67% as opposed to 28% in corporate universities. See Table 5.

Table 5. “Knowledge” as Referred to in the Data Sample

Traditional - “Freedom as a means of advancing knowledge and the continuous development of teaching, research and scholarship”(London Metropolitan University, UK). “We will seek an environment in which faculty and students are engaged in the search for knowledge” (Tufts University, US). “Engage in research, artistic and scholarly activities that advance learning through the extension of the frontiers of knowledge and creative endeavor” (University of Pittsburgh US)

Corporate - “The promotion of better acquisition and transfer of knowledge within the organization” (Rover Business Learning UK). “We are a knowledge company working in a knowledge economy and we are deploying state of the art technology to give our people the learning edge we need” (BT Academy UK). “At TVAU knowledge isn’t locked behind ivy-covered walls. We believe in giving people training they can use on the job” (TVA University US). “Building knowledge bridges worldwide to create synergies. The CU aims to promote the participants” strategic orientation, competencies and capabilities to achieve the strategic goals” (Schering US).

“Knowledge” in the traditional university is associated with words like “advancing”, “search” and “extension of the frontiers” implying knowledge is a pursuit that adds to the stock of wisdom and entails profound understanding. Whilst “knowledge” in the corporate university is associated with “transfer of”, “company”, “economy” and “strategic goals” and indicates “knowledge” as a business tool aligned to furthering corporate objectives.

One last note of analysis, there was absolutely no evidence (0%) of the use of “intellectual” and/or “freedom” in any of the corporate universities sampled. Whereas in the traditional universities sampled, “intellectual” and “freedom” represent 40% and 27% respectively. As stated by Lou Henry Hoover House, President of Stanford University in 1997, “The traditional university has values that it prizes above all others: freedom (not just academic freedom), nondiscrimination and equality of opportunity to assure intellectual openness” (House 1997). Perhaps issues of “freedom” and “intellectual openness” reflect the fundamental differences in espoused value orientations between a traditional university and one coming that from the corporate world.

Conclusion

This study gives broad support to other reported findings that corporate universities and traditional universities have different aims, objectives and values. There is little evidence of convergence of outlook between entities coming from different roots and traditions. It also reveals a common set of values for traditional universities across the two countries as seen in the rhetoric, be it old or new universities in the United Kingdom or public or private in the United States. It reinforces the instrumental orientation that CUs attach to their activities. There is less evidence of expressed values reflecting the corporatisation of traditional universities. It also demonstrates the importance of conducting a relational analysis when studying texts, and establishing the context in which words are used. There is also evidence that CUs are still “feeling their way” in terms of projecting what they stand for. The question remains as to why corporations feel the need to use academic terminology to justify their learning initiatives.

References

- Allen, M. (2002). *The corporate university handbook. Designing, managing, and growing a successful program* AMACOM.
- Argyris, C., & Schon, D.A. (1978). *Organizational learning: A theory of action perspective*. Reading, M.A, Addison-Wesley.
- Blass, E. (2001). What's in a name: A comparative study of the traditional public university and the corporate university *Human Resource Development International*, 4(2), 153-172.
- Carley, K. (1990) Content analysis. In R. E. Asher (Ed.), *The encyclopedia of language linguistics*. Edinburgh, Pergamon Press.
- Cobban, A.R. (1999). *English university life in the middle ages*. UCL Press.
- Dasenbrock, R.W. (2002). *One and a half cheers for the corporate university*. ADE Bulletin, No.130, Winter.
- David, F. (1989). How organizations define their mission. *Long Range Planning*, 22(1), 90-97.
- DiMaggio, P.J., & Powell, W. W. (1983). The iron cage revisited: Institutional isomorphism and collective rationality in organizational fields. *American Sociological Review*, 48, 147-160.
- Graham, H. D., & Diamond, N. (1997). *The rise of American research universities; Elites and challengers in the post-war Era*. Baltimore, John Hopkins University Press.
- Heller, N. (2001). Changes see corporate universities on the rise. *Heller report on Educational Technology Markets*, 12, 8.
- House, L., & Henry, H. (1997). *Cares of the university*. Stanford University, Retrieved September 15, 2003 from <http://www.stanford.edu/home/stanford/cares/frames/mission.html>.
- Johnson, G., & Scholes, K. (1999). *Exploring corporate strategy*, (5th ed.) Hemel Hempstead, Prentice-Hall Europe.
- King, W.R., & Cleland, D.I. (1979), *Strategic planning and policy*. New York, Van Nostrand Reinhold.
- Murray, S. (2002). *Financial times inside track*. Section May 31, 2002.
- Newman, J.H. (1853). The ideal of a university. In F.M. Turner (Ed.), *John Henry Newman: The idea of a university*. New Haven, CT & London, Yale University Press.
- Perkins, J.A. (1973). *The university as an organization*. New York, McGraw Hill.
- Prior, L. (2003). *Using documents in social research*. Sage, London.
- Thomas, D. (1999). *Seminar on corporate business schools*. Henley Management College, 28th October
- Thompson, G. (2000). Unfulfilled prophecy: The evolution of corporate colleges. *The Journal of Higher Education*, 71(3), 322-41.
- Walton, J. (1999). Human resource development and the corporate university. In J. Walton, *Strategic human resource development*, (pp.412-437), Harlow, FT Prentice Hall.
- Walton, J.S., & Martin, M.C. (2000). The impact of the corporate university/ Case study analysis of developments in the UK. In D .H. Redmann (Ed.) *Defining the cutting edge, Outstanding papers from the 2000 Annual Research Conference*, (pp. 27-34) AHRD.
- Walton, J.S., & Basra, P.J. (2002). Continuous improvement through TQM: A case study in Rhetoric. In T.M.Egan & S.A.Lynham (Eds.) *Proceedings AHRD 2002 Conference*, Honolulu, Hawaii.
- Wheeler, K. (1998). *The uses and misuses of the term corporate university*. Retrieved September 10, 2003 from http://www.gresources.com/corp_ed/whatcu.htm.

Current Status of Executive Coaching Interventions as Identified by Selected Consultants to Multinational Organizations

*Brandi Lyn Plunkett
Toby Marshall Egan
Marco Garza
Texas A&M University*

This exploratory study examines the HRD role of executive coach and the theories, tools, techniques and steps utilized by experienced executive coaches in their work with multinational corporations. Executive coaches identified thirteen approaches to related theories, twelve commonly utilized tools and techniques, and supported action research as a coaching process model. Additionally, these executive coaches identified factors contributing to successes and challenges along with projections regarding the future of this rapidly emerging HRD practice.

Keywords: Coaching, Human Resource Development, Consulting

Executive coaching is one of the fastest growing HRD interventions in organizations today (Bennet & Martin, 2001; Bobkin, 2002; Deane, 2001; Filipczak, 1998; Fulmer, 1997; Hall, Otazo, & Hollenbeck, 1999; Maher, 2001; Morris, B., 2000; Morris, T., 2000; Peterson & Hicks, 1999; Smither, London, Flaaftt, Vargas, & Kucine, 2003). Coaching's position in HRD as a legitimate intervention has steadily grown over the past fifteen years (Berglas, 2002). Organizational leaders are looking for qualified HRD professionals to help them improve their ongoing performance. One explanation for the increase in executive coaching practice are the limitations often presented by other HRD interventions such as classroom training or interventions involving groups and departments (Peltier, 2001). Although group and large-scale HRD activities are important, they often fail to address specific executive needs (Conger, 1993; Edelstein & Armstrong, 1993; Filipczak, 1998; Zenger, Ulrich, & Smallwood, 2000).

Much of the current academic coaching literature has explored executive coaching from the perspective of counseling or clinical psychology (e.g., psychodynamic theory or psychotherapy or behavioral modification) (Foster & Lendl, 1996; Kilburg, 1997; Laske, 1999; Levinson, 1996; Richard, 1999; Rotenberg, 2000, Sperry, 1993). Despite a handful of articles examining core approaches associated with executive coaching, there appear to be a very limited number of articles exploring common theories, techniques, and tools associated with executive coaching interventions. This paper explores several dimensions regarding the practice of executive coaching including factors that influence the outcomes of executive coaching and the projected future for this HRD practice.

Purpose of the Paper and Research Questions

The purpose of this paper is to explore the practice of executive coaching with particular emphasis on theoretical influences, tools, and techniques influencing design, development, and implementation of executive coaching interventions used by coaches in multinational corporation settings. The research questions include: 1) What theories influence executive coaching applications?; 2) What tools and techniques are used by executive coaches?; 3) What are the general steps or processes used by executive coaches?; 4) What factors contribute to the success of executive coaching relationships?; 5) What factors have hindered executive coaching relationships?; and 6) What is the projected future for executive coaching?

Overview of Executive Coaching: Review of Current Literature

The notion of coaching employees in an organization can be found in the management literature as far back as the 1950's (Evered & Selman, 1989). The next two decades found business writers attempting to make connections to sports coaching. However, several scholars and researchers find athletic coaching to be lacking specific consideration of complex and unpredictable issues unique to coaching in an organizational setting (Evered & Selman, 1989; McLean & Kuo, 2000). Currently, we find terms such as executive coaching, managerial coaching, executive development, and several other derivations of the term to generally imply one of two types of relationships; a one-on-one relationship with a high level executive, frequently involving an external coach, or a

Copyright © 2004 Brandi L. Plunkett, Toby Marshall Egan, & Marco Garza

relationship involving a manager and his or her subordinate (Peltier, 2001). There are a number of other fields that use the term coach including: psychology, management training, industrial/organizational psychology, counseling, adult education and more (McLean & Kuo, 2000). The scope of this paper is limited to an examination of the one-on-one relationship of an executive and a coach, and the manager-as-coach phenomenon.

Defining Executive Coaching and Executive Coach

Similar to the field of HRD, there is no uniform definition of executive coaching, neither are there universally agreed upon practices, or aims (Morris, T., 2000). The International Coaching Federation (ICF) defines coaching as, "...an ongoing relationship that focuses on clients taking action toward the realization of their visions, goals, or desires," (Bennet & Martin, 2001, p. 6). Executive coaches approach their work in different ways and are identified by clients for different reasons. "Some executives use coaching to learn specific skills, others to improve performance on the job or to prepare for advancement in business or professional life, and still others to support broader purposes, such as an executive's agenda for major organizational change," (Smither, et.al., 2003, p. 24). Overall, the literature identifies executive coaching to be a short-term, confidential, one-on-one development strategy featuring a variety of desired outcomes that often depend on client needs and the abilities of the executive coach. Approaches to coaching executives or managers include assisting them to overcome problems, increase confidence, solidify new behaviors, increase motivation, and link individual performance with organizational goals for the primary purpose of achieving better business results (Bobkin, 2002; Ellinger, Ellinger, & Keller, 2003; Hall, Otazo, Hollenbeck, 1999; Judge & Cowell, 1997; Koonce, 1994; McLean & Kuo, 2000; Mellema, 2001; O'Brien, 1997; Witherspoon & White, 1996).

For the purposes of this paper, *executive coaching* will be defined as *processes and interventions facilitated by qualified consultants utilizing psychology and other HRD-related knowledge, skills, and techniques to assist positional leaders in the improvement of individual effectiveness, learning, and performance*. An *executive coach* is defined as *a trained HRD specialist who utilizes knowledge, skills, and techniques from psychology and HRD-related fields in the design, development, and implementation of individually focused change efforts aimed at improving executives' effectiveness, learning, and performance*. These definitions contrast from coaching literature emphasizing feedback techniques by managers in day-to-day manager-employee contacts where the focus of interest is exclusively on the behavior of the manager in relation to an employee(s). According to Witherspoon and White (1996), executive coaching leads to: clearer goals and roles, better self-awareness, better support for performance improvement, shared goals for success, better discovery of developmental needs, and better support for continuous development.

Gaps in the Current Research

Although the popularity of coaching as an applied field is experiencing growth, research and scholarly writing on the subject is sorely lacking (Ellinger & Bostrom, 2002; Ellinger, Ellinger, & Keller, 2003; Kilburg, 2000; McCall, 1988; McLean and Kuo, 2000; Smither, London, Flaault, Vargas, & Kucine, 2003). In addition, a study conducted in 1999 by Personnel Decisions International (PDI) showed that less than 10 percent of organizations using executive coaches were actually calculating the return on investment (ROI), indicating a lack of informed decision making (Peterson & Hicks, 1999). Finally, in 2001 Manchester, Inc. conducted what is believed to be the first major study to evaluate the impact of executive coaching and found the ROI to be almost six times the amount initially invested by corporations (Business Wire, 2001). While this study, and the popularity of coaching, speak the perceived value of executive coaching, it is clear that more scholarly research is needed to inform human resource development professionals regarding related theories, effective practices, and outcomes associated with the phenomenon of coaching (Ellinger, Ellinger, & Keller, 2003; Kilburg, 2000; McCall, 1988; McLean & Kuo, 2000; Smither, London, Flaault, Vargas, & Kucine, 2003).

Role of Executive Coaches from the Perspective of Available Popular Literature

The following section reviews the role of the executive coach as informed from popular literature. Popular literature is defined as information found in periodicals not typically refereed or perceived to be scholarly in nature. However, popular literature can be an indicator of key issues that are the focus of HRD practitioners and the organizations to whom they consult. Three broad roles were identified. They are divided into three broad categories, (1) Change-Oriented roles; (2) Growth Oriented roles; and (3) Therapist – Change and Growth Oriented Role Combination.

Change oriented roles. Change oriented roles are aimed at improving certain behaviors or skills (MacRae 2002; Management Development Review 1997; The Economist 2002; McKee 2003). The executive coach may take the role of the motivational speaker, performance improvement consultant, therapist, or personal confidant. In the role of the motivational speaker, the executive coach helps the executive develop the stories that will inspire those they lead. This role is heavily influenced from the sports psychology arena. From the perspective of change oriented

roles, the executive coach serves as a content expert hired by the client system to help the executive (Development and Learning in Organizations, 2003). In this role, the executive coach has a high amount of industry knowledge and is seen as an expert. The coach has achieved a high level of success utilizing there given formula of success. The executive coach then teaches/coaches the client to follow and mirror what has made the coach a success. The reoccurring theme in this style of coaching is, “do what has been successful for me and you too will be successful”.

Growth-oriented roles. Growth oriented roles are designed to sharpen overall performance. In this role, the executive coach may take on elements similar to the performance improvement consultant (Bergles 2002; Downs 2002; Fisher 2001; Hamilton 2000; Management Development Review 1997; O’Shaughnessy 2001Wozniak 2002). When operating from this role, the executive coach’s task is to help the assigned executives increase the breadth as well as rate in which information flows to and from the executive. The belief is that because executives are in high impact positions, the company is better served if executives maximize their abilities to enable information flow. The growth-oriented executive coach assists the executives improve their communication skills, improve relationships, improve behavior, and increase effectiveness. The danger in operating from this role is executive coaches can easily get trapped into using one methodology. As Bergels points out, “If all you have is a hammer, everything looks like a nail”

Therapist – Change and growth oriented role combination. The third role is a combination of both change and growth oriented roles. In this role, the executive coach serves as a personal therapist (Berglas 2002; Development and Learning in Organizations 2003; Foxhall 2002; Management Development review 1997; McRae 2003; The Economist, 2002). Elements found in the literature range from helping the executive adapt to change, empathetic listener, and stress manager. Specifically the coach helps the executive clarify personal and professional goals, identify the barriers to success, and assist them to remove the mental barriers preventing them from achieving the identified ideal mental state. In this role the coach “leads” the client and creates an environment that promotes reflection and encourages self-awareness. This is accomplished first by assisting the executive self-identify gaps between current performance and future performance and then lead the executive through self-exploration. The coach increases the executive’s self-sufficiency.

The coach’s primary role is to ask the “right questions” and provide the “right feedback” (MacRae, 2002). Coaching is a behavioral approach that both the executive and the organization in which the work in benefit from. It cannot be a one-time event, but rather a strategic process that adds value to the coach and the person being coached as well as the organization (Goldsmith, Lyons, & Freas, 2000). The danger in most popular literature is that coaching is positioned as a low cost and time efficient way to “fix” low performing executives. This creates a dangerous dilemma for organizations whose executive are looking for quick fixes to problems that actually require a more comprehensive and informed intervention approach. The need for the silver bullet and quick fix solutions has drawn sports styled coaches to the forefront. If not remedied, the credibility of executive coaching will suffer.

Theoretical Frameworks and Approaches

Action Research as a Framing Process

Action Research (AR) has been identified as an underlying framework for executive coaching interventions. Rothwell, Sullivan, and McLean (1995) indicated that AR may be used as a specific framework consultants engaging in individually oriented change efforts. Pareek (1995) identified three action research approaches including person-focused interventions, participant-active interventions, and consultant active interventions. AR is a framework for diagnosis, implementation and evaluation of executive coaching efforts. “It allows for collaboration between practitioner and client throughout the process in order to distribute knowledge and understanding within the organization” (Cady & Caster, 2000, p. 80). Additionally, AR utilizes well defined data collection and feedback systems. AR approaches varying from five to fourteen steps (Egan & Lancaster, *in press*). Most AR approaches include the following: entry, start-up, assessment and feedback, action planning, intervention, evaluation, and adoption (McLean & Sullivan, 1989; Egan & Lancaster, *in press*).

Specific Theoretical Frameworks Influencing Executive Coaching

AR appears to sufficiently describe a preferred course of action taken by an executive coach for a useful developmental relationship with an executive. However, AR does not make explicit assumptions regarding with individual development. Although clarification of appropriate steps in the coaching process is an important element of effective coaching, the nature of the relationship implies that the coach will, in fact must, have underlying assumptions regarding individual development. Ten applied theoretical frameworks associated with coaching were identified including: psychodynamic; Adlerian; Jungian; Person-centered; existential; cognitive; behavioral; systems; feminist; and athletic coaching approaches. Each framework is briefly reviewed below.

Theories associated with coaching provide distinctive frameworks for the framing of both the client-coach relationship and the underlying assumptions about the nature of human development. Some perspectives, such as the psychodynamic, Adlerian, and Jungian approaches presume essential issues such as individual history, family of origin, or psychological type account for present behavior. Utilizing these perspectives in coaching implies that there is a need to support the client in developing a basic framework for understanding the interaction between personal underlying orientations and workplace interactions. Unlike the therapeutic approach from which these frameworks emerge, coaching applications involve much less emphasis on client self-disclosure and more on assessment techniques that will support the client's understanding of some of the underlying workplace and decision-making issues.

Person-centered or existential view the present with much more emphasis than the three approaches identified previously. Similarities between person-centered and existential approaches are the focus on personal perspectives and individual responsibility for challenges being faced by the client. These two approaches often position the coach as an active listener but more passive talker than other approaches to working with clients.

Cognitive and behavioral approaches overlap in their more directive focus on the part of the coach and their focus on observable behavioral outcomes as a key indicator for goal setting and measured progress. Behavioral approaches focus more on the actions of clients in the context of their consistency or inconsistency with desired outcomes while the cognitive approach explores the manner in which the client has supported or inhibited belief systems that are either desirable or undesirable. In recent years, cognitive and behavioral approaches have been combined to cognitive-behaviorist approaches to coaching. These frameworks attempt to provide support and action planning for behavioral modification or reinforcement while paying attention to self-image, learning, and client use of the scientific method to solve problems.

Because of their focus on large scale impacts on individual functioning, systems and feminist perspectives overlap. Both perspectives insert an assumption involving interconnectedness of the parts of an organization or system and the potential for those parts to influence individual understanding, and outcomes. Both perspectives believe in the need to take a nonlinear approach to engaging a specific problem or issue in an organizational context. The departure between systems and feminist approach is at the point of causality, as feminist perspectives have a more narrowly defined set of explanations for the manner in which a system operates and by which outcomes occur..

Finally, athletic coaching is likely what influenced the term "executive coaching" (Peltier, 2001). Of the theories identified, athletic coaching is the least well formulated. However, in practice, athletic coaching is the most frequently used approach of all the areas identified in this study. Some key themes identified by Peltier include: 1) focus on individual drive; 2) focus on the development and use of fundamentals; 3) utilizing individualized approaches involving flexibility and ingenuity; 4) setting goals relevant to individual progress versus "top status" or "becoming the best.;" 5) using visualization; 6) accessing video feedback when possible; 7) learning from defeat; and 8) focusing on communication, trust, and integrity. Until recently, insights regarding athletic coaching have been communicated in popular literature and have lacked coherence and scholarly organization. However, academics in kinesiology, sports psychology, sports education, and sports management, and in business schools have begun to assemble more coherent discussions and research associated with theoretical and applied dimensions of athletic coaching. This literature may provide more specific conceptualizations of the influences of athletic coaching approaches to theory and practice in other realms of human development.

Methodology

This study was descriptive and exploratory. Two major methods of data collection were used: semi-structured face-to-face interviews and e-mail follow-up. The first stage of the study was in-depth, semi-structured face-to-face interviews with executive coaches. For the purpose of this study, multinational corporations are defined as businesses with an origin in one country, but subsidiaries in multiple countries. Twenty-two executive coaches with current coaching relationships involving several executives from multinational firms participated in the study. The data accessed through the interviews consisted of words in the form of rich verbal description (qualitative) as well as numerical description (quantitative). The quantitative data provided specific detail regarding activities and perspectives captured in the interviews, while the qualitative data provided specific description and context. Follow-up questions were sent via e-mail to participants asked for clarification regarding one-on-one interviews as well as reactions to data collected from all interviews. Both responses to clarifying questions as well as respondent reactions to the data collected overall were incorporated in the analysis and reporting for this study.

Population and Sample

The respondents for this study working primarily with multinational corporations and who had over twelve years of experience coaching managers and executives from a variety of cultural, ethnic, and national backgrounds

were all members of the ICF, had home bases in the Midwestern US, traveled to other US regions and internationally to provide coaching for executives. Participants were selected from a conference attendance list. Twenty-six executive coaches were identified to have a geographical location convenient for the researcher. Of the 26 executive coaches contacted, 22 met the criteria for the study and agreed to participate. The identified criteria for inclusion to the study were: (a) participants must have at least twelve years of executive coaching experience; (b) participants must be working regularly with multinational corporations; and (c) participants must coach executives with a variety of ethnic and national identities. Participants provided brief biographies as part of the interview process. Of those participants interviewed, ten executive coaches had formal training in counseling or psychology, twelve did not. Fourteen had experiences prior to becoming coaches in which they worked for-profit business and industry (with six having worked with large multinational firms prior to becoming executive coaches). Twelve participants were female, ten were male, fifteen were Caucasian, two were Hispanic, four were African-American, two were Asian-American. Nineteen of the participants were born in the US and nine had lived in at least one other country for a period of one year or more. All had done executive coaching work outside of the US.

Data Analysis

The data from the interviews were content-analyzed. Content analysis is an analysis technique used to systematically examine the content of communications—in this case, interview data. Data obtained from interviews were analyzed quantitatively and qualitatively. Qualitative data in the form of descriptions and examples were used to provide basic research evidence, while quantitative data (frequencies and percentages) were used to support qualitative data. Reliability was further explored by the inclusion of an outside person who was an experienced executive coach and researcher. The interpretation and ratings of the frequencies and emergent themes were reviewed for five randomly selected interviews and related correspondence. Interpretations and results similar to those of the research team were produced.

Results

Participants in the study were asked to describe their domestic and international executive coaching experiences (the previously identified definition of executive coaching was used for this study) for the purposes of answering the research questions identified above.

Coaching Processes

Study participants were asked to identify those steps they typically took from the beginning to the end of a coaching relationship. A content analysis from each face-to-face interview involved the identification and categorization of the steps identified by each participant into an existing AR model. The steps identified from the analysis were crosschecked with the interviewee to ensure accuracy. A tally of the steps identified is found below (Table 1).

Table 1. *Use of Action Research Steps (n=22)*

Action Research Steps (in order of AR model steps)	Formal Psychology Training (n=10)	No Formal Psychology Training (n=12)	Total	%
1 Entry	10	12	22	100
2 Start-up	10	12	22	100
3 Assessment & Feedback	8	7	15	68
4 Action Planning	5	6	11	50
5 Intervention	6	7	13	59
6 Evaluation	6	6	12	55
7 Adoption	10	12	22	100
8 Separation	10	12	22	100

Theoretical Influences

The study participants were provided a list of ten theoretical perspectives associated with executive coaching (Plunkett & Egan, 2003) and asked to identify those that had influenced their approaches to executive coaching. They were also asked to add any additional frameworks or concepts (“eclectic,” “none” and “other formal framework(s)” were added). Participants reported having a variety of exposures to theoretical frameworks associated with psychology and executive coaching. As might be expected, those who had formal training in counseling and psychology (n=10) identified theoretical frameworks to be more important in the shaping of their executive coaching practices than did those without formal backgrounds in psychology (n=12).

Table 2. Theoretical Frameworks Influencing Coaching Practices

Theoretical Frameworks	<i>Formal Psychology Training (n=10)</i>	<i>No Formal Psychology Training (n=12)</i>	<i>Total</i>	<i>%</i>
1 Eclectic or Drawing from Several Frameworks	10	11	21	95
2 Behavioral	10	10	20	91
3 Cognitive	9	6	15	72
4 Other Formal Framework(s)	9	6	15	68
5 Person-Centered	7	6	13	59
6 Existential	5	4	9	41
7 Jungian	5	4	9	41
8 Systems	5	3	8	36
9 Feminist	3	3	6	27
10 Athletic Coaching	2	3	5	23
11 Psychodynamic	2	0	2	9
12 Adlerian	1	0	1	5
13 None	0	1	1	5

Tools and Techniques

Twelve tools and techniques utilized in executive coaching were identified by participants. Executive coaches made connections between their approaches and their outlooks on how executive coaching should be approached. With the exception of listening, questioning, paraphrasing, and goal setting, executive coaches identified the use of tools and techniques to be circumstantial and dependent on the client's identified interests and needs. Many coaches indicated that they consider at least parts of their approaches to be unique to them or utilize proprietary information either developed by them or copyrighted by an organization with which they have affiliation.

Table 3. Tools and Techniques Used in Coaching Practices

Tools/Techniques	<i>Formal Psychology Training (n=10)</i>	<i>No Formal Psychology Training (n=12)</i>	<i>Total</i>	<i>%</i>
1 Listening	10	12	22	100
2 Questioning	10	12	22	100
3 Paraphrasing	10	11	21	95
4 Goal Setting	10	11	21	95
5 Goal Related Measures	8	9	17	77
6 Surveys/Questionnaires or Inventories	7	7	14	64
7 Proprietary Tools/Techniques	7	7	14	64
8 360 Degree Measures/Performance Appraisals	5	4	9	41
9 Reflection	5	4	9	41
10 Reading	4	4	8	36
11 Journaling	4	3	7	32
12 Visualization	2	1	3	14

Pathways and Pitfalls: Conditions Enabling or Restraining Successes in Coaching

Eleven pairs of "pathways and pitfalls" identifying enablers and restrainers of the success of coaches were identified. Many coaches indicated that the combination of environmental support and individual motivation to change were essential for successful executive coaching relationships and performance outcomes.

Table 4. Pathways and Pitfalls Associated with Coaching Relationships

Pathways	Pitfalls
Development of Rapport and Trust between Coach and Client	Mistrust and lack of rapport often associated with lack of relationship focus or concerns regarding parameters of confidentiality
Client Initiated or Supported Beginning a Relationship With a Coach	Third Party Initiated the Coaching Relationship making Client feel Obligated, but not necessarily motivated to engage in the relationship
Clients Cultural Background and/or Values Supports the Concept of Receiving Individualized Assistance from a Skilled Helper/Coach	Client's cultural Background and/Values Question whether working with a Skilled Helper/Coach is Appropriate. Client Views Coaching as Admission of Weakness or as a Sign of Underperformance.
Client is Open to Constructive Feedback and Reflective Support from a Coach	Client is Resistant to Facilitated Feedback and Reflection
Client is Active Participant in Self-Assessment Process leading to the Identification of Tangible Goals the Client is Motivated to Strive Toward	Client is Inactive or Finds Little Value in a Self-Assessment Process which May Lead to Unclear Goal Development and the Minimization of Client Focus Toward Goal Achievement
Client is Willing to Take Calculated Risks	Client is Resistant to Move Beyond a Familiar Comfort Zone
Client Works to Formulate Workable Goals and Objectives	Goal and Objective Development is Unclear, unrealistic or poorly defined
Client Creates Coaching Schedule and Makes Regular Contact with Coach	Client Manages Coaching Relationship Inconsistently and Does not Meet Regularly with Coach
Client Seeks Confirmation and Support for Behavior Changes Initiated During the Change process from Support Network	Client is Inactive Between Meetings with Coach or does not seek to develop and effective support network
Client Adopts both new behaviors and an understanding regarding the initiation of change independent of the coaching relationship	Due to overdependence or lack of connection, client is unable to adopt new behaviors or to engage in an independent change process
Client Engages in Clear Closure with Coach Seeking Mutual Understanding Regarding Separation	Client Engages Separation Abruptly with No Interpersonal Engagement with Coach or Movement Toward Closure

Future Trends and Outlook of Executive Coaching

In general, executive coaches were optimistic about the future of executive coaching. Most felt that although some approaches to executive coaching could be identified as “fads” or “trends,” the HRD practice of executive coaching was perceived to be a long-term intervention approach that will be around for the foreseeable future. The most frequently identified future trends were: 1) internet, phone, and web-based coaching; 2) more in-depth coaching certification; 3) exploring return-on-investment; 4) cultural awareness training for coaches; 5) individual-group coaching for executive teams; and 6) using appreciative inquiry in coaching.

Conclusion

This study reviewed available executive coaching literature, confirmed the use of an AR approach by participating executive coaches, supported the use of several theoretical approaches utilized by coaches, identified twelve related tools and techniques, clarified conditions typically enabling or restraining the successes of coaching relationships, and identified six future trends associated with executive coaching. Although not generalizable, the findings from this study contribute additional insight into this frequently utilized, but understudied HRD practice.

References

- Bergles S. (2002, June). The very real dangers of executive coaching. *Harvard Business Review*, 87-92.
- Downs, A (2002). *Secrets of an executive coach: Proven methods for helping leaders excel under pressure*. New York: AMA.
- Fisher, A. (2001, February 19). Executive coaching: With returns a CFO could love. *Fortune Magazine*, 250-256.
- Foxhall, K. (2002, April). Psychologist attracted to executive coaching field. *Monitor on Psychology*.
- Hamilton, B. (2000, May 8). Executive coaching: HR should play ball. *Canadian HR Reporter*, 13-18
- MacRae, D. (2002, March 1). A better person makes a better executive. *Business Week*.
- Management Development Review (1997). *Perspective: Cary on coaching*, 137-138.
- McKee, R. (2003, June). Storytelling that moves people: A conversation with screenwriter coach. *Harvard BusinessReview*, 51-57.

- O'Shaughnessy, S. (2001). Executive coaching: The route to business stardom. *Industrial and Commercial Training*, 194-197.
- The Economist. (2002). *Executive Coaching*.
- Wozniak, L. (2002, May 16). Coaching the chief executive. *Far Eastern Economic Review*, 19-56.
- Development and Learning in Organizations. (2003). *When executive coaching fails to deliver*.
- Bennett, J.L. & Martin, D.J. (2001). The next professional wave: Consultant/coach. *Consulting to Management*, 2(3), 6-8.
- Bobkin, S. (2002). Everything HR needs to know about executive coaching. *Canadian HR Reporter*, 15(10), 9-11.
- Executive coaching yields return on investment of almost six times its cost says study (2001). Business Wire, January 4th. Retrieved November 11th, 2002. http://www.findarticles.com/cs_0/m0EIN/2001_Jan_4/
- Cady, S., & Caster, M. (2000). A DIET for action research: An integrated problem an appreciative focused approach to organization development. *Organization Development Journal*, 18(4), 79-93.
- Conger, J. (1993). The brave new world of leadership training. *Organizational Dynamics*, 21(3), 46-59.
- Corey, G. (2000). *Theory and practice of counseling and psychotherapy* (6th ed.). New York: Wadsworth.
- Deane, R. (May/June, 2001). Coaching: A winning strategy. *The British Journal of Administrative Management*, 25, 22-23.
- Edelstein, B.,& Armstrong,D. (1993). A model for executive development. *Human Resource Planning*, 16(4), 51-68.
- Ellinger, A. D., & Bostrom, R.P. (2002). An examination of manager's beliefs about their roles as facilitators of learning. Management Learning*, 33(2), 147-179.
- Ellinger, A.D., Ellinger, A.E., & Keller, S.B. (2003). Supervisory coaching behavior: Is there a payoff? In S.A. Lynham & T. Marshall Egan (Eds.), *Proceedings of the 2003 Academy of Human Resource Development Conference* (pp.443-450). Bowling Green; OH: AHRD,
- Evered, R.D., & Selman, J.C. (1989). Coaching and the art of management. *Organizational Dynamics*, 18(2), 16-32.
- Filipczak, B. (1998). The executive coach. Helper or healer? *Training*, 35(3), 30-36.
- Fulmer, R. M. (1997). The evolving paradigm of leadership development. *Organizational Dynamics*, 25(45), 59-72.
- Hall, D.T., Otazo, K.L., & Hollenbeck, G.P. (1999). Behind closed doors: What really happens in executive coaching. *Organizational Dynamics*, 37(3), 39-53.
- Judge, W.Q., & Cowell, J. (1997). The brave new world of executive coaching. *Business Horizons*, 40(4), 71-78.
- Kilburg, R. (2000). *Executive coaching: Developing managerial wisdom in a world of chaos*. Washington D.C.: American Psychological Association.
- Koonce, R. (1994). One on one. *Tranining and Development*, 48(2), 34-40.
- Maher, S. (2001). The case for a coach. *Association Management*, 53(4), 78-85.
- McCall, M.W. (1988). Developing executives through work experiences. *Human Resource Planning*, 11(1), 2-11.
- McLean, G. N., Min-Hsun, K. (2000). Coaching in organizations: Self-assessment of competence. *Proceedings of the Academy of Human Resource Development Conference*, (Vol. 2, pp.638-645).Raleigh-Durham, NC.,
- McLean, G. N., & Sullivan, R. (1989). *Essential competencies of internal and external consultants*. Unpublished manuscript.
- Mellema, A. (2001). The many faces of executive coaching. *Canadian HR Reporter*, 14(11), G2-G4.
- Morris, B. (2000). So you're a player. Do you need a coach? *Fortune*, 141(4),144-154.
- Morris, T. (2000). Coaching: Rebirth of an age-old remedy. *AFP Exchange*, 20(3), 34-36.
- O'Brien, M. (1997, April). Executive coaching. *Supervision*, 58(4), 6-8.
- Peltier, B. (2001). *Psychology of executive coaching*. New York: Brunner-Rutledge.
- Peterson, D.B., & Hicks, M.D., (1999). Strategic coaching: Five ways to get the most value. *HR Focus* (February), 57-58.
- Rothwell, W., Sullivan, R., & McLean, G. (1995). *Practicing organization development*. San Francisco: JosseyBass.
- Smither, J. W., London, M., Flautt, R., Vargas, Y., & Kucine, I. (2003). Can working with an executive coach improve multisource feedback ratings over time? A quasi-experimental field study. *Personnel Psychology*, 56, 23-44.
- Witherspoon, R., & White, R.P. (1996). Executive coaching: What's in it for you? *Training and Development*, 50(3), 14-15.
- Zenger, J., Ulrich, D., & Smallwood, N. (2000). The new leadership development. *Training and Development*, 54(3), 22-27.

An Evaluation Case Study of an International Student Services Office: Assessing Satisfaction and Productivity

Laura Hammons

Yi-Hsuan Lee

Ralitsa Akins

Usha V. Somasundaram

Toby Marshall Egan

Texas A&M University

Multinational student involvement has emerged as an important feature to US education. Along with dramatic growth, the demands on colleges and universities to provide services and support to international students from a myriad of backgrounds has increased. This study explores the use of evaluation approach by researchers of an international student services office housed within a public university in the central US to explore international student satisfaction of an international student services office.

Keywords: International Student Services, Evaluation & Assessment, Performance Improvement

Multinational student involvement has emerged as an important feature to United States (US) education providing mutual benefit. Rudenstine (1997) noted, "There is simply no substitute for direct contact with talented people from other countries and cultures. We benefit from international students; they drive research and teaching in new directions that are very fruitful" (p. 3). The numbers of international students attending US universities has been expanding continually with only a recent downturn due to post-September 11th reactions by the US government. From 1954 to 1997 international college and university student enrollment increased by 1,200 percent (Davis, 1997) and the overall growth remains relatively stable into the new millennium.

Along with dramatic growth, the demands on colleges and universities to provide services and support to international students from a myriad of backgrounds has increased. This numerical growth, and the commitment of many higher education institutions to further increase their student populations, creates complex demands on college and university service personnel in support of students from around the world. Additionally, by admitting increasing numbers, colleges and universities have an obligation to welcome, serve, retain, and involve international students while ensuring that they follow appropriate immigration related procedures (Peterson, Briggs, Dreasher, Horner, & Nelson, 1999). As the numbers and variety of international students increases, many international student services (ISS) offices find themselves in need of ways to assess both the status quo and future needs for serving a growing international student body in an environment with increasing demands. Despite this identified need ISS offices have had difficulty integrating evaluation into practice (Tillman, 1990).

Authors of HRD-related research have been active in exploring a wide array of approaches and contexts associated with evaluation as an important step in the performance improvement process (Nilson, 1999; Pedler, 2002). This study explores the growing arena of international student services (ISS) offices in college and university contexts with particular focus on improvement-oriented evaluation implemented in an ISS office at a university in the central US. A review of the literature and discussion of the evaluation of an ISS office conducted by the authors precedes an exploration of more general need for comprehensive ISS evaluation approaches.

Problem Statement

Throughout the US, ISS offices are adjusting to the increased workload caused by changing immigration regulations that involve tedious monitoring, increased reporting, and greater demand in the advising of international clientele. As with most university offices that serve students, international student services offices strive to provide quality service; however, the new demands to meet federal regulations, coupled with limited resources, have caused great strain. Like other organizations, university international student services offices are struggling to survive amidst ongoing change. The use of assessment and evaluation is thought to assist organizations to increase their overall effectiveness (Rothwell, Sullivan, & McLean, 1995). However, training of ISS employees often does not include education in evaluation or related areas.

Copyright © 2004 Laura Hammons, Yi-Hsuan Lee, Ralitsa Akins, Usha V. Somasundaram, & Toby Marshall Egan

Purpose and Research Questions

This study explores the use of an evaluation approach by researchers of an international student services office housed within a public university in the central US to explore international student satisfaction of an ISS office. We explore what was learned through the evaluation process, actions taken by stakeholders in response to evaluation and feedback, and suggestions for general approaches to ISS evaluation. The research questions forwarded in this study include: (1) What are the critical elements or framework(s) identified in the literature for the evaluation of student satisfaction within a college or university international student services office?; (2) What is the applicability of evaluation findings in the current case study to performance improvement? (3) What are some of the unique challenges and opportunities in conducting evaluations in ISS contexts and what considerations should be made?

Review of Literature

The following section provides a review of related literature associated with this study, including literature on Student Services, Student Affairs, and HRD Assessment and Evaluation.

Student Services

Although there have been several HRD publications exploring student related issues, we found only one student services related article in the HRD literature. Brewer and Clippard (2002) explored burnout, and job satisfaction of a population of general student service workers at a large US university. Findings from this study indicated a significant inverse relationship between emotional exhaustion and job satisfaction, a significant positive relationship between personal accomplishment and job satisfaction, and an overall significant relationship between three identified components of burnout and job satisfaction among student support personnel.

A review of student services literature revealed few studies applicable to assessing the adequacy of services to international students by ISS offices. One relevant study by Selvadurai (1991) assessed the adequacy of academic and personal services to international students attending the New York City Technical College (NYCTC), City University of New York. Survey results showed that students were not satisfied with academic services provided in any of the areas surveyed (English language proficiency, academic advisement, instructional practices, format of examinations, and grading practices). In the area of personal services (finances, cultural adjustment, and personal problems) satisfactory levels of services were found only in the areas of financial aid, immigration, and tax counseling. Selvadurai noted that the study based its conclusions on the perceptions of international students on the selected variables and that different samples studied at a different time might reveal different results. Selvadurai also concluded that, because international students' needs change, dependent on a number of factors, ongoing assessment of student satisfaction is necessary.

Tillman (1990) argued that, in many cases, higher education institutions that enroll international students do not provide the necessary support services to meet the needs of this unique group and that “[t]he development of effective support services for international students is tied to the commitment of the college to an overall strategy and set of clear goals in support of international education activities” (p. 97). The need for the designation of a specific unit to be responsible for coordinating the services provided to international students was identified as one of the determinants in gauging the effectiveness of services to international students along with provision of services to encompass international students' experiences—from arrival to the US and arrival on campus through students' pursuits of studies and their preparation for return home (Tillman, 1990). According to Tillman (1990) the ideal array of services should include: 1) administration of the foreign-student advising office; 2) consultation and advisement with faculty and staff; 3) development of programs; 4) participation in academic-guidance programs; 5) coordination of financial aid; 6) fulfillment of immigration requirements; 7) advising and counseling, 8) coordination of community relations; 9) development and support of student activities; 10) maintenance of liaison with non-university agencies; 11) coordination of response to emergencies; and 12) provision for personal services.

The Student Services Program Review Project (SSPRP) (1986) was a unique, voluntary effort on the part of many California community colleges. Its purpose was to develop evaluation models to measure the efficacy of the various student services programs provided by the colleges. The SSPRP included the development of evaluation models, data collection, data analysis, and information-reporting procedures that could be widely disseminated for use in community colleges. The SSPRP study notes that there are certain criteria, which are essential to any evaluation. These include: 1) the evaluation should produce information which is useful to the program participants, administrators, and other intended users; 2) the program evaluation should be developed so that it can be done within the resources of the institution; 3) the evaluation being conducted should be appropriate to the institution and to its purposes; the college should be asking questions to obtain the appropriate information; and 4) the evaluation should be conducted with concern for attention to validity and reliability of the data being collected (p. 99).

The ISS office at a large US university was the target of this study. Samaha (1997) recognized that ISS is a service provider to a unique population with special needs. Samaha identified four key issues that need to be addressed by international student services offices: academic, legal, economic, and social. Major differences addressed by international student services offices are related to institutional foreign academic credentialing systems (study requirements, course equivalents, grading systems, etc.), student language proficiency, and perceptions about relationships with faculty. Additionally, international students face legal problems related to immigration restrictions and economic limitations related to visa status. Samaha (1997) considered intercultural and cross-cultural differences, such as moral values, social life, customs, involvement in group activities, and expectations related to "friendship," as the most pervasive and overwhelming challenges for foreign students. Thus, international students have special needs for counseling and help in making adjustments to the change in their academic and social environment.

Grieger (1996) argued that, in contemporary pluralistic society, educating an increasingly diverse group of students in multicultural competencies is central to the educational mission of US colleges and universities. Schuh and Upcraft (2001) presented successful models for the assessment of student services and critically questioned the rationale, importance, and results of such evaluations. For the purposes of our study we defined *assessment* as "any effort to gather, analyze, and interpret evidence which describes institutional, divisional, or agency effectiveness" and *evaluation* as "any effort to use assessment evidence to improve institutional, departmental, divisional, or institutional effectiveness" (Upcraft & Schuh, 1996, pp. 18-19). Upcraft and Schuh (2001) referred to designing an evaluative investigation in academic settings as an art, where the translation of logic into procedure depends upon context, purpose, and the expected payoff. Thus, meticulously following the scientific study design and methodology may be inadequate in guiding the evaluation process; for any evaluation study many good designs can be proposed and both, qualitative and quantitative research methods would provide useful information (Upcraft & Schuh, 2001).

Student Affairs

The role of student affairs in supporting international students through campus programs has been identified by Peterson et al. (1999) to: recruit, provide a welcoming environment, develop exchange relationships between US and international students, support intercultural development of US services personnel, and to create co-curricular experiences focusing in multicultural awareness and exchange. Although international student services offices face a number of unique challenges, they also bear a number of similarities to other student oriented university functions. Evaluation studies conducted in this realm may provide insight into assessment within an international student services office. Mines, Gressard, and Daniels (1982), presented a "metamodel framework for selecting evaluation models in student affairs and student services in order to assist practitioners in determining the merits, limitations, and utility of the various models and to guide decision-making of which model to choose in evaluating a particular program or organization" (p.195). This model provides specific questions regarding the intent, involvement in and formation of the evaluation purpose and procedures.

Pope (1993) proposed Multicultural Organizational Development (MOD) as a planned, proactive, comprehensive, systematic, and long-range model for introducing change for student affairs offices committed to transformation into multiculturalism. Pope (1993) developed a checklist, consisting of 58 items organized in 11 categories, based on MOD theoretical model to serve as a guide in the transformational process. The development of the checklist followed qualitative rather than quantitative procedures, where each category reflected an issue that has been repeatedly discussed in academic journal articles. Major categories in the MOD checklist are: mission, leadership and advocacy, policies, recruitment and retention, expectations for multicultural competency, multicultural competency training, scholarly activities, student activities and services, internship and field placement, physical environment, and assessment.

Evaluation

Evaluation has been identified in the HRD literature as a strategic process important to researchers and practitioners (Holton, 1996; Phillips, 1994; Swanson, 1994). Systematic evaluation and needs assessment have been identified as critical to performance improvement efforts, which can be utilized in support of an organization's strategy and objectives (Brinkerhoff & Gill, 1994; Robinson & Robinson, 1995). "Evaluation" can be defined as the process of specifying or identifying goals, objectives, or standards of performance; identifying or developing tools to measure performance (Gardner, 1977). Evaluation is identification and judgment of actual outcomes irrespective of goals, standards, etc. and/or the "concerns of constituents", where the principle focus of evaluation is professional judgment or an expert opinion of qualified professionals (Gardner, 1977).

According to Philip (1981), the purpose of the evaluation system is intended to aid in improving service (assure excellence), identifying weak services (those which lack viability), and providing an informed rationale for administrative decisions regarding expansion, deletion or modification of services. The primary use of evaluation is

to obtain information that will aid the improvement of existing programs and the design of new services and programs. This information can help administrators, managers, trainers, and designers to make decision about the future (Pfeiffer, 1988). Stake (1974) proposed a guiding framework for conducting an evaluation. Stake proposed the “prominent event cycle” to guide any evaluation process: 1) talk with clients, staff and audience; 2) identify program scope; 3) overview program activities; 4) discover purposes and concerns; 5) conceptualize issues and problems; 6) identify data needs according to identified issues; 7) select, observe, and analyze data using appropriate instruments; and 8) prepare and deliver presentations and formal reports. Because the researchers for this study had limited access, the approach used was implemented with the intent of educating the client as to the importance of larger systematic considerations in both continued evaluation as well as in the utilization of the findings from the evaluation. The recommended long-term approach is similar to that suggested by McLean and Sullivan (1989), and Swanson (1994).

Methodology

The approach to evaluating student satisfaction used for this study was a practical approach for ISS assessment. The research team had representatives from four different countries. This approach explored the perceptions of the international students, administrators, and support staff of ISS using surveys of ISS stakeholders. The choice of using a survey was a result of the access and time limitations for this initial evaluation. Given limitations provided to the evaluation team, surveying was thought to be an important first step helped to collect and document information about the services rendered to international students at the ISS, and to provide opportunities for clarification of direction, reasoning, and justification for the activity under scrutiny.

In examining the international student services office under study, we used the steps outlined by Upcraft and Schuh (1996): 1) define the problem; 2) determine the purpose of the study; 3) determine the appropriate assessment approach; 4) determine the outcomes; 5) identify control variables; 6) identify environmental variables; 7) select measurement instruments; 8) determine study population and sample; 9) determine modes of statistical analysis; 10) develop and implement plan for data collection; 11) record the data in usable form; 12) conduct appropriate analyses; 13) evaluate the analysis for practical implementations; and 14) develop strategies for utilization of the results. The outlined model was followed in conducting the evaluation. Some of the steps were modified by the research team to better fit the office activities that we studied.

Design of Questionnaires

Limited time and the difficulty of in-person access to a large population of international students determined the web-based survey method as the best option. The survey instrument was developed by the researchers based on the literature review. The survey was designed and administered to the international student population at a public university. The survey assessed the 17 closed-ended questionnaire items on a 5-point Likert-type scale, where “1” represented “very dissatisfied” and “5” represented “very satisfied.” A “non-applicable” answer also was a valid option. The three open-ended items in the survey instrument were used to request the respondents’ comments and suggestions. Five experts in the field of human resources and student services were asked to evaluate the content validity of the survey questionnaires. Ten international students at the university were asked to evaluate the readability and terminology used in the survey. The final survey questionnaire contained 19 items. Six items were used to measure the participants’ general perceptions toward the international student services office’s services, and 11 items were used to measure the participants’ satisfaction regarding the programs.

Population and Sample

The international student services office at the university under study approximately 3,500 international students from over 100 countries. The international student services office staff consisted of ten full-time staff members: one administrative position, seven advising positions, and three support staff positions. A randomly selected sample of two hundred and fifty international students was surveyed using an on-line instrument. The response-rate was 80% with a total of 199 respondents. In order to eliminate any gender or racial/ethnicity/nationality bias, no information regarding the ethnicity or gender of the participants was requested.

Data Analysis

In order to establish the reliability of the instrument, Cronbach’s coefficient alpha was used to assess the reliability of the scale and was determined to be .90. The data were analyzed using both quantitative and qualitative research methods. The quantitative data were analyzed using inferential descriptive statistics (mean, mode, and frequencies).

Limitations

The results of this study may have been limited by two factors: the disadvantages of using a web-based survey and the influence of self-report measures. Through the on-line survey, sampling bias may occur since some students

may be uncomfortable using the Internet. In addition, delivering the items by using an interactive homepage on the Internet may add bias to student answers (Hanson, 1997). Furthermore, the study is limited to the willingness of the international students to participate in the study, as it may reflect their perception toward the services of the international student services office. The finding may also be influenced by the bias present in self-reported measures (Dooley & Linder, 2003).

Evaluation Findings

The quantitative results indicated that students were most satisfied with the information/news provided and most dissatisfied with the response time by staff. Responses revealed that students were mostly satisfied with the services; however, there were a substantial number of neutral and negative responses in each of the areas. Clear satisfaction was shown in the area of provision of special programs for clientele, degree level changes, and support letters for international students. Tables 1 and 2 (below) report the results of the questionnaire descriptive statistics analysis. Throughout the survey, even when the results revealed many “satisfied” responses, a high number of “dissatisfied” and “neutral” responses could be found. Student responses in the qualitative portion of the survey lent insight to why this may have occurred.

Table 1. Descriptive Statistics: Student General Perceptions of ISS Service

Items	Mean	Median	SD
Satisfaction with response time by the ISS staff when you requested assistance	2.96	3	1.26
Courtesy and friendliness of the ISS staff who helped you	3.08	3	1.38
The ISS staff's overall knowledge in assisting you to identify and resolve your problems	3.24	3	1.21
Satisfaction with the information, news, and policies that keep you up to date	3.71	4	1.21
The practices and policies of ISS were consistently applied to all students	3.23	3	1.21
Your overall satisfaction with the service you received from the ISS	3.04	3	1.26

Note: 1= Very dissatisfied, 2= Dissatisfied, 3= Neutral, 4= Satisfied, and 5= Very Satisfied

Table 2. Descriptive Statistics: Overall Satisfaction with ISS services

ISS services	Mean	SD	Not Applicable (N)
Immigration services	3.14	1.20	143
Changes of status and degree level changes	3.31	1.37	147
Transfer to and from TAMU	3.04	1.21	171
Concurrent enrollment and full course of study waivers	3.14	1.26	164
Lost document replacements	3.64	1.26	152
Letters of invitation, certification and expense statements	3.36	1.22	160
Review and endorsement of immigration documents for travel aboard	3.34	1.30	146
Personal advising services	3.28	1.16	62
International students liaison services	3.12	1.24	64
Community and campus outreach activities	3.16	1.11	90
Special programs for international students.	3.52	1.17	63

Note: 1= Very dissatisfied, 2= Dissatisfied, 3= Neutral, 4= Satisfied, and 5= Very Satisfied.

The open-ended responses (N=228) revealed a number of themes: 1) perceived insensitivity of staff to language and cultural issues (6.9%); 2) long waiting times for appointments/advisors (9.2%); 3) perceived staff knowledge (20.7%); 4) perceptions of staff being rude and not helpful (20.7%); and 5) low service/dissatisfaction with service (10.3%). Analysis of historical data kept by the international student services office revealed that there was great demand placed on the office and very limited resources with which to meet these demands. The international student services office, in general, faces a number of unique challenges. The ISS must strive to provide quality service to a large, diverse group, must be able to assist students with a variety of language and cultural barriers, and must serve students with diverse educational purposes, pursuing a number of different majors and degrees (requiring knowledge of the various policies and requirement of the different departments and degree levels). In addition, the office was, during the time of this study, in a time of transition, as new immigration regulations (that required a number of fundamental changes in the way that the office operated) had recently become effective. Since the office was funded almost entirely by fees paid only by international students, financial resource limitation was the primary hindrance in meeting these challenges.

Applicability of Findings toward Performance Improvement

The results of the assessment showed that there were a number of issues that warranted further review. First, the study revealed a need for better communication. The office needed to build staff communication skills in order to be

able to effectively communicate with students from a variety of backgrounds, cultures, and languages. The study results emphasized the need for greater cultural sensitivity and better understanding of the cultural needs of the international student population. Next, clientele perceived that there was a need for improved staff knowledge of immigration regulations in order to be able to assist with special immigration regulations and requirements. Finally, access and response time were concerns for international students. The office needed an improved approach to dealing with student issues (many of which may be time sensitive) by providing greater access to advisors. Based on the results of the study, the following recommendations were made to the international student services office: 1) change in workflow; 2) redesign of the office structure; 3) address students' negative perceptions of the international student services office; 4) establish consistency in office policies and procedures; 5) increase the capabilities of the reception desk to meet students' needs; and 6) increase interaction of international student and staff in informal settings.

At the conclusion of the study, a presentation was made to the lead administrator of the office. Although her first response was guarded, the lead office administrator found that the assessment was accurate and would be useful to the office. The overall response by university administration was very positive and the response by office staff was mixed. Following the presentation, several changes were made in response to the report. To increase the capabilities of the reception desk, the office established a drop-off procedure for applications and placed an advisor at the reception desk. Communication was improved by requiring the use of name-tags, and staffing the reception desk with advisors on an as-needed basis for enhancing student access to advising resources. The researchers recommended that a follow-up study be conducted to determine if these changes in the ISS operations have increased student satisfaction.

The researchers also recommended that further organization development changes be implemented in the ISS. This study serves as a potential first step in the refinement of assessment tools and processes that could further benefit the ISS office under study, as well as other university offices. Future work in the development and improvement of the process reported here is currently underway.

Lessons Learned and Considerations for Future ISS Evaluation: Unique Challenges and Opportunities

There are three major insights that the researchers believe are important for HRD practitioners in conducting ISS evaluations: 1) it is beneficial to take a systems-oriented approach in evaluating ISS offices; 2) evaluation capacity building is an important long term goal for ISS offices; and 3) continuous improvement in the integration of multicultural understanding in evaluation and services is essential.

Systems-Oriented Evaluation

As previously mentioned, the researchers in this study approached the initial evaluation with some significant limitations in terms of access to stakeholders and resources. Despite these shortcomings, the evaluation was framed as an early stage of a systematic approach to service evaluation (Holton, 1996; McLean & Sullivan, 1989). As authors featured in our literature review have identified, it is important to recognize that evaluation will have little impact without being integrated into the larger system. This means that work performance and results must be tied to areas needing improvement and overall work processes.

Evaluation Capacity Building for Long-term Success

According to Trevisan (2002), the concept of evaluation capacity has just begun to emerge. Milstein and Cotton (2000) defined evaluation capacity as "the ability to conduct an effective evaluation; i.e., one that meets accepted standards of discipline" (p. 1). Evaluation capacity building refers to the integration of evaluation into practice in a manner that includes elements from the following framework recommended by Milstein and Cotton (2000):

- *Forces*: Policies, tacit expectations, and incentives that drive an organization toward evaluation;
- *Organizational environment*: Properties of the agency in which evaluation is conducted;
- *Workforce and professional development*: The knowledge and skills of those who conduct evaluation;
- *Resources and supports*: Funding, models, and methods for example, that an evaluator uses to ensure evaluations are effective and efficient; and
- *Learning from experience*: Lessons learned during and after evaluation activities that can positively impact future evaluation work.

By utilizing the above framework as an inventory to identify and assess factors impacting evaluation capacity in ISS, focused plans to strengthen both future evaluations and the integration of evaluation findings into a performance improvement system can be accomplished. Without such considerations, evaluations of ISS efforts will be haphazard and disconnected from meaningful practice activities.

Extending Multicultural Awareness

As a study team consisting of individuals from four different countries, we would like to highlight the importance of continuous pursuit of multicultural perspectives in ISS evaluations. Because of the study limitations, we were unable to utilize demographic information and did not undertake cross-national or cross-ethnic comparisons. In addition to pragmatic assessment problems such as the manner in which individuals may interpret survey items intercultural considerations such as those forwarded by Kluckhohn and Strodtbeck (1961) are important elements to consider during evaluation, analysis, and in taking action to address issues associated with student questioning and feedback. Kluckholm and Stodtbeck emphasize that individuals vary in the manner in which they order the complex principles and considerations "which give order and direction to the ever flowing stream of human acts and thoughts as these relate to the solution of human problems" (p. 4). How respondents organize their perceptions regarding their primary relationships, community, and authority may influence the way in which they interpret evaluation questions and processes in which they are involved.

Contributions to HRD

This research filled a gap in HRD research (in regard to evaluation in international student service offices) and helped the organization to identify the areas, which needed to improve their efficiency. The study helped construct a framework for assessment through evaluation in international student services office. Evaluation was based on determining the effectiveness and efficiency of the service provided by international student services offices and student perceptions about the services rendered by those offices. Scherer (1984) argued that effective HRD practitioners use their familiarity with the content and the learners (including the context in which assumptions seem warranted in a particular instance) to explore the importance of any assessment. It was evident from the study that formal assessment procedures can help in identifying important discrepancies between participants' current and desired proficiencies, as perceived by themselves and others. Assessment and evaluation help HRD practitioners to bridge the gap between the current and desired proficiencies and identify both implicit and explicit needs in strengthening the organization.

Conclusion

The study revealed that the framework identified by Upcraft and Schuh (1996) for assessment in student affairs is applicable to the evaluation of student satisfaction within a college or university international student services office. Evaluation findings did prove applicable, in the current case study for performance improvement within the organization. The research team was able to use the study findings to identify a number of potential issues. Based on the study results, recommendations were made for the improvement of the organization. The study identified a number of unique challenges and opportunities in conducting evaluations in an ISS context. The primary challenge related to finding a means to assess such a diverse group of students and retrieve accurate results. In addition, developing realistic recommendations that could be implemented by the ISS office also proved challenging, given the limited resources of the ISS office. When developing and conducting an evaluation study within an ISS office both aforementioned issues should be taken into consideration. Furthermore, using a systems-orientation, building evaluation capacity for long-term success and extending multicultural awareness need to be considered. Researchers need multi-faceted knowledge and experience, as well as a diversity of practical and theoretical knowledge. Finally, the high response rate by respondents reveals a great opportunity in conducting future evaluation studies. Students appear to show great concern and desire for involvement in assisting ISS offices toward performance improvement.

References

- Brewer, E. W., & Clippard, L. F. (2002). Burnout and job satisfaction among student support personnel. *Human Resource Development Quarterly*, 13(2), 169-186.
- Brinkerhoff, R. O., & Gill, S. J. (1994). *The learning alliance: Systems thinking in human resource development*. San Francisco: Jossey-Bass.
- Brown, L. D. (1973). *Inter-group relations and AR*. Academy of Management, Boston :MA
- Chein, I., Cook, S.W., & Harding, J. (1948). The field of AR. *American psychologist*, 3, 43-50.
- Dooley, L., & Lindner, J. (2003). The handling of nonresponse error. *Human Resource Development Quarterly*, 14(1), 99-110.
- Foster, M. (1972). The theory and practice of AR in work organizations. *Human Relations*, 25, 529-556.

- French, W. L. & Bell, C.H., Jr. (1978). *Organizational development*, (2nd ed.). Prentice-Hall, Englewood Cliffs, N.J.
- Gardner, D. E., (1977). Five evaluation frame works: Implications for decision making in higher education. *The Journal of Higher Education*, 48(5), 571-593.
- Grieger, I. (1996). A multicultural organizational development checklist for student affairs. *Journal of College Student Development*, 37(5), 561-73.
- Hanson, G. R. (1997). Using technology in assessment and evaluation. *New Directions for Student Services*, 78.
- Holton, E. F. III (1996). The flawed four-level evaluation model. *Human Resource Development Quarterly*, 7(1), 5-21.
- Kluckhohn, F., & Strodtbeck, F. (1961). *Variations in values orientations*. Westport, CT: Greenwood Press.
- Lewin, K. (1946). AR and minority problems. *Journal of Social issues*, 4, 34-46.
- Milstein, B., & Cotton, D. (2000). *Defining concepts for the presidential strand on building evaluation capacity*. University of Pennsylvania (CPRE Policy Briefs, RB-32).
- Mines, R. A., Gressard, C. F., & Daniels, H. (1982). Evaluation in the student services: A metamodel. *Journal of College Student Personnel*, 23(3), 195-201.
- Nilson, G. E. (1999). Organizational change through action learning. *Advances in Human Resources*, 2, 83-95.
- Pedler, M. (2002). Accessing local knowledge: Action learning and organizational learning in Walsall. *Human Resource Development International*, 2(3), 273-282.
- Pfeiffer, J. W., (1988). *Presentation and evaluation skills in Human Resource Development*. San Diego, CA:University Associates Inc.
- Peterson, D. M., Briggs, P., Dreasher, L., Horner, D. D., & Nelson, T. (1999). Contributions of international students and programs to campus diversity. *New Directions for Student Services*, 86, 67-77.
- Philip, T. V. (1981, April). *A procedure for evaluating student services in community colleges*. Paper presented at the Annual Conference of the National Association for Student Personnel Administrators, New York, NY.
- Phillips, J. J. (1994). *In action: Measuring return on investment* (Vol. 1). Alexandria, VA: ASTD.
- Pope, R. L. (1993). Multicultural organizational development in student affairs: An introduction. *Journal of College Student Development*, 34, 201-205.
- Robinson, D. G., & Robinson, J. C. (1995). *Performance consulting: Moving beyond training*. San Francisco: Berrett-Koehler.
- Rapoport, R.N. (1970). Three dilemmas in AR. *Human relations*, 23, 499-513.
- Rothwell, W., Sullivan, R., & McLean, G. (1995). *Practicing organization development: A guide for consultants*. San Francisco: Jossey-Bass.
- Rudenstine, J. A. (1997). *First Robert H. Atwell Distinguished Lecture to the American Council on Education*, Washington, D. C., February 23.
- Samaha, K. S. (1997). *History of the international program at the University of Michigan, 1847-1995: Demographics, services, and contemporary perspectives*. Unpublished doctoral dissertation. University of Michigan: UMI # 9722080.
- Scherer, J. J. (1984). How people learn: Assumptions for design. *Training and Development Journal*, 38(1), 64-68.
- Schuh, J. H., & Upcraft, M. L. (2001). *Assessment practice in student affairs: An application manual*. San Francisco: Jossey-Bass.
- Selvadurai, R. H. (1991). Adequacy of selected services to international students in an urban technical college. *The Urban Review*, 23, 271-285.
- Stake, R. E., (1974). *Responsive evaluation in the arts and humanities: To evaluate an Arts program*. Urbana, IL: Xeroxed.
- Student Services Program Review Project: *Final Report*. (1986, October). Retrieved July 28, 2003, from <http://www.cabrillo.cc.ca.us/oir/ssevaluation/theysaid.html>.
- Swanson, R. A. (1994). *Analysis for improving performance*. San Francisco: Berrett-Koehler.
- Tillman, M. J. (1990). Effective support services for international students. *New Directions for Community Colleges*, 20, 87-98.
- Trevisan, M. S. (2002). Evaluation capacity in K-12 school counseling programs. *American Journal of Evaluation*, 23(3), 291-305.
- Trist, E. L. (1977). A concept of organizational ecology. *The Australian Journal of Management*, 2, 171-175.
- Upcraft, M. L., & Schuh, J. H, (1996). *Assessment in student affairs: A guide for practitioners*. San Francisco: Jossey-Bass.

Adult and Community Learning in England: A New Era for HRD in the Community?

Jonathan Winterton

Groupe ESC Toulouse (Toulouse Business School), France

Increased policy emphasis on lifelong learning at the European level has been reflected in a drive to increase participation in learning in the UK, especially through Adult and Community Learning initiatives that take HRD beyond the workplace. Such an approach is important for promoting social inclusion since the unemployed are usually excluded from learning opportunities provided by employers. In 2001 a new framework was established for delivering Adult and Community Learning in England and this paper reports on the first evaluation of the perceived effectiveness of the new arrangements.

Keywords: Adult and Community Learning, Learning and Skills Council, Local Education Authorities

The research on which this paper is based (Winterton & Winterton 2003) was contracted by the UK Department for Education and Skills (DfES) to provide a baseline study of Adult and Community Learning (ACL) and explore the early impact of the new arrangements with the Learning and Skills Council (LSC), which assumed responsibility for all post-compulsory learning in England in April 2001. The UK Government sees ACL as facilitating wider participation of hard-to-reach learners, promoting social inclusion and community renewal, and developing the basic skills that individuals need to be active citizens and to engage in further development to enhance employability and quality of life. This is the first comprehensive study of ACL in England and was undertaken at an important juncture as the LSC took responsibility for ACL in conjunction with the Local Education Authorities (LEAs).

Theoretical Framework

The Secretary of State's remit letter to the Learning and Skills Council (DfEE 2000) describes ACL as a 'great heritage ... which developed in the 19th Century, when the pioneering efforts of the community movements helped many men and women to improve their lives through the power of learning.' The letter states the task of the LSC as being to build on this tradition to restore a culture of commitment to learning through working in partnership with others.

ACL is a narrower category than 'adult learning' in general. A succinct definition is elusive, but ACL takes place in a very wide range of settings; local authorities are major players; a strand of social action or regeneration is often present; much of the learning is non-vocational and non-accredited, though by no means unconcerned with the skills and employability of individuals; and this mode of learning is particularly suitable for outreach to disadvantaged people. ACL at its best takes the community aspect as central, and explicitly aims to play a central role in the efforts of communities to take control of their own destinies, as the report of the Policy Action Team on Skills, Skills for Neighbourhood Renewal (DfEE, 1999b) argued: 'Where learning really engages people's interests, it can have a pivotal role in helping communities to cohere, to identify what they have in common in terms of both needs and opportunities and to work together.'

Participation in ACL has significant benefits to individuals, communities and the economy. One survey of ACL participants revealed that despite largely social, recreational and self-developmental reasons for enrolment, a significant proportion also had practical and economic purposes in mind. Work on family learning showed that many of the adults moved into employment from these courses, and those in work progressed to more demanding jobs. Social and personal benefits are well documented, including health (Aldridge and Lavender 2000) and active ageing, self-esteem, communication skills, and improvements in family relationships. One of the most important benefits of ACL is that it provides a route back into more formal learning for individuals who would not otherwise participate. A further benefit is to cultural infrastructure involving imaginative approaches to learning in museums and arts centres, which enrich the learning experience for participants and raise interest in the arts within deprived communities.

Sources of information on adult participation in learning differ by reference period and by the defined scope of 'learning'. Surveys may take a snapshot of current participation or investigate all learning over an extended period such as three years. 'Learning' may be defined as formal taught provision only, but can also include self-directed and informal learning. Even broader conceptions of learning are current (Tight 1998a) according to which no adults are 'non-learners' since experiential learning is a daily phenomenon. However, a broadly consistent story of

polarisation is evident. As the House of Commons Education and Employment Committee (1999) points out, ‘a side-effect of the substantial improvement in participation during the last two decades has been to widen the gap between the educational “haves” and the “have-nots”.’ This polarisation is confirmed by the National Adult Learning Survey (NALS), National Institute of Adult Continuing Education (NIACE) surveys (Sargent *et al* 1997; Sargent 2000) and a wide range of analyses and independent studies (Field 1999; Gorard *et al* 1998; La Valle & Finch 1999; McGivney 2000; Yang 1998).

The first report of the National Advisory Group for Continuing Education and Lifelong Learning, NAGCELL (Fryer, 1997) identified a number of changes that made lifelong learning (and by implication ACL as one of its major components) an urgent priority:

- ◆ Economic globalisation, bringing about a shift in skill needs in the workplace;
- ◆ Demographic change, particularly in the age and sex profile of the workforce;
- ◆ New working practices such as team working and flatter management structures;
- ◆ A decline in unskilled employment;
- ◆ Greater need for key skills, at all levels;
- ◆ A need to recognise diversity and a range of cultures, with their associated needs for learning; and
- ◆ Shifts in traditional employment structures, which have often weakened communities and created a need for regeneration.

In recent writing on lifelong learning there is a predominant concern with ‘globalisation’, often addressed from a ‘human capital’ perspective focusing on economic competitiveness, possibly at the cost of curricular breadth according to critics (Bhola 1998; Ecclestone 1999; Forrester 1998; Giere 1994; Tight 1998b; Uden 1996). The two core purposes of adult learning – social learning and economic competitiveness – are rooted in the nineteenth century autodidactic working-class education tradition of organisations like the Plebs League. As W. E. Forster said in introducing the 1870 Education Bill in the Commons,: ‘Uneducated labourers – and many of our labourers are utterly uneducated – are, for the most part, unskilled labourers, and if we leave our work-folk any longer unskilled...they will become over-matched in the competition of the world.’ (Fieldhouse 1996). Community cohesion also features prominently in the literature. Schuller (1998) argues that the postponement of working life has been mirrored by a *de facto* reduction in the retirement age. From a societal perspective, not only is human capital lost when older people are ejected from the labour force, but social capital is eroded as networks and connections are broken. A learning society requires different patterns of working, which would allow a better mix of work and education.

Such is the rationale for increased policy emphasis on ACL, and this paper seeks to explore the extent to which the new policy arrangements in England are perceived as appropriate to achieving these diverse ends, while at the same time undertaking a mapping exercise and exploring explanations for the patterns of participation in the provision offered by LEAs.

Research Questions

The following research questions were formulated in discussion with representatives of the DfES, the LSC and LEAs:

- ◆ What are the main features of the emerging ACL sector?
- ◆ What is the role of partnerships in developing and delivering ACL?
- ◆ What are the views on LEA provision from those most closely involved?
- ◆ What are the views of those most directly involved concerning the role of the LSC?
- ◆ What are the patterns of participation in ACL and how can they be explained?
- ◆ What is the rationale for ACL policy in the LEAs?
- ◆ How is quality of provision assured given the multi-player character of ACL?
- ◆ How is access and choice of provision guaranteed?
- ◆ How is coherence of provision assured given the multi-player nature of ACL?
- ◆ What is the perceived impact of Formula Funding on ACL provision?

Methodology

The research comprised a questionnaire, administered as a mail survey (with telephone prompts and option of email) of all 150 LEAs in January 2002, in-depth case studies in 15 LEAs undertaken between March and July 2002 and a consultation exercise with stakeholders and experts to validate the findings.

Completed questionnaires were obtained from all but three LEAs (Havering, Isles of Scilly and Torbay), a response rate of 98 per cent. The survey was designed as a baseline study to establish the mode of delivery of ACL, especially where there is a mixture of direct and contracted out provision, and to capture LEA perceptions as the new arrangements with the LSC came into effect. In combination with published statistics and information from Adult Learning Plans submitted by LEAs to the UK Government, the survey was also designed to identify a range of LEAs for in-depth study.

Fifteen in-depth case studies were conducted between March and July 2002 in LEAs selected to capture the diversity of ACL provision in terms of the following characteristics:

- ◆ Predominant form of contractual arrangement for delivery of ACL (5 LEAs from each of the 3 different groups of contractual arrangements: direct, contacted out and mixed).
- ◆ Socio-demographic environment as measured by LEA multiple deprivation index quintile (MDI derived at LEA level from the official MDI at ward level).
- ◆ Level of ACL activity (2 LEAs in each of the bands of ACL participation rates identified in the published statistics (i.e. < 1 per cent, 1-1.99 per cent, etc. up to 6 per cent and above), with three cases drawn from the modal participation band (2-2.99 per cent).
- ◆ Trajectory of ACL provision (capturing increasing, decreasing and constant level of provision).

The characteristics of the final list of LEAs selected for detailed study are shown in Table 1 and are identified by a code made up of the delivery mode and MDI quintile to preserve anonymity and confidentiality.

Table 1. *Characteristics of LEAs Selected for Detailed Study*

LEA reference	delivery mode	MDI quintile	participation (per cent)	trajectory
D1	direct	1	2-2.99	constant
D2	direct	2	3-3.99	decreasing
D3	direct	3	4-4.99	increasing
D4	direct	4	1-1.99	constant
D5	direct	5	5-5.99	fluctuating
M1	mixed	1	2-2.99	constant
M2	mixed	2	2-2.99	constant
M3	mixed	3	2-2.99	small increase
M4	mixed	4	0-0.99	constant
M5	mixed	5	0-0.99	-
O1	out	1	6 and above	constant
O2	out	2	0-0.99	constant
O3	out	3	2-2.99	constant
O4	out	4	0-0.99	decreasing
O5	out	5	1-1.99	constant

Sources: Survey of LEAs (2002); Multiple Deprivation Index 2000; SFR (AE1 data) for 1998, 1999, 2000.

Results and Findings

Findings from the research are summarised below under the ten areas relating to the research questions established above:

- ◆ The emerging ACL sector
- ◆ Views on LEA provision
- ◆ Views on LSC role
- ◆ Participation in ACL
- ◆ Rationale
- ◆ Quality
- ◆ Access
- ◆ Coherence
- ◆ Impact of Formula Funding

The Emerging ACL Sector

The study provides a comprehensive picture of the emerging ACL sector in England. The survey confirmed that ACL is delivered in three different ways: direct delivery; contracted out; and a mixture of the two. For the 143 LEAs where such information was provided and unambiguous, 50 per cent reported that they secure ACL services entirely through direct provision, 27 per cent entirely through contracted out provision and 23 per cent through a combination of direct delivery and contracted out ('mixed', defined as less than 85 per cent provided through one of these routes). Taking a more liberal definition of 'mixed' (where there is any combination of direct and contracted out delivery) this category increases to 47 per cent.

Among the direct delivery authorities, the main advantages are control, coherence and QA. The main disadvantage is the weakness of community and voluntary delivery. The main attractions of the mixed delivery mode are ability to respond to local needs, flexibility and value for money, while the disadvantages are inadequate control, insufficient consistency and lack of coherence. In the outsourcing authorities, the main advantages are enabling the LEA to have a more strategic role, avoiding competition with providers and cost effectiveness, while the disadvantages are lack of control, inadequate information from providers, insufficient targeting of community needs and (in contradiction to the above) higher cost of cost of provision.

Partnerships

Irrespective of the mode of delivery or extent of local deprivation, all the authorities studied were involved in extensive partnerships, with both external and internal partners, for the delivery of ACL. Most LEAs work with other authority departments in delivering ACL, such as schools, community colleges, youth offending and youth and community teams, community development and neighbourhood renewal departments, local economic development and regeneration departments, Libraries, Museums and Music Services.

The quality of the relationships established with partners inevitably varies both between authorities and between partners within the same authority. The case studies suggest the quality of partnerships is unrelated to delivery mode, extent of local deprivation or participation rates, but is rather a function of the relationships established with individuals. However, the range of partners was less impressive in the outsourcing authorities, which tended to devolve the bulk of activity to relatively few providers.

Views on LEA Provision

In the survey, those responsible for ACL were mostly optimistic about the extent to which their LEAs are committed to developing appropriate provision and providing the necessary support. Over two-thirds of respondents felt their LEA monitors participation in learning of target groups; provides HRD to equip LEA staff with the competence to secure ACL; and demonstrates understanding of the roles of the LSC and DfES regarding ACL provision. Only a minority of respondents were positive about their LEA's Information Advice and Guidance, although there has been significant investment in this area since the survey.

In the case study authorities, perceptions of LEA support for ACL were more varied with a high degree of concordance between respondents in each case. Where authorities were showing real commitment to ACL and matching this commitment with financial support, all respondents recognised this. A number of authorities appeared to have increased their commitment to, and support for, ACL with the advent of the new arrangements for ACL. Those LEAs that have traditionally shown a major commitment to ACL were continuing to do so and others demonstrated enthusiasm to put in place new structures and processes to expand ACL, especially in the direct delivery and mixed delivery authorities. Notwithstanding these encouraging signs of improvement, in half of the cases, those involved believed there to be little real commitment to ACL, which was viewed as under-resourced and a poor relation to schools.

Views on LSC Role

In the survey, LEA respondents were more uncertain about LSC activity in relation to ACL since the new arrangements for ACL were only just in place. Nevertheless, positive views on the LSC role heavily outweighed negative ones: 74 per cent thought that communication between the LSC and LEA was effective; 68 per cent that the LSC was promoting partnership working; 61 per cent that the LSC had a clear view of priority target groups; 58 per cent that the LSC had provided adequate support in preparing their ALP for 2002/2003; and 53 per cent that the LSC was having a positive influence on strategic planning of ACL.

In the case studies, views on LSC capacity and relations were less clear cut; those interviewed acknowledged LSC effectiveness and enthusiasm in some areas and lack of understanding in others. The main criticisms were lack of understanding of ACL by LSC staff and the bureaucracy associated with LSC activity. Most authorities reported similar concerns over capital funding: purpose-built premises were needed to take ACL into the community and existing premises needed funding to be made compliant with the *Disability Discrimination Act*. Since the study there has been major investment to meet the latter need.

Participation in ACL

Gauging penetration of ACL services in the local adult population from official statistics is notoriously difficult, with official statistics expressing enrolments for each LEA as a percentage of the total adult population for the 19-59 age group, rather than headcount per head of population, and some learners may be enrolled on several courses. Participation rates for November 2001 varied across LEAs: most were in the range 1-4.99 per cent, but twelve LEAs had participation rates of 5 per cent and over.

ACL participation falls with increasing deprivation (MDI): among the 30 LEAs in the lowest deprivation quintile, six have participation rates under 1 per cent. However, of the seven LEAs in the top participation band (6 per cent and above), one is in the second to highest deprivation quintile. In the participation band 5-5.99 per cent, one of the five LEAs is in the second to highest deprivation quintile. Similarly, relative affluence is not universally associated with high levels of participation in ACL. Most respondents challenged the official statistics and offered different perceptions of actual participation rates.

Rationale

The rationale for ACL is a function of wider agendas of LEAs and councils, such as promoting neighbourhood renewal and improving the local economy. All LEAs gave details of activities conducted to analyse needs, such as postcode analysis and community profiling using census data, but many acknowledged the difficulties and the lack of systematic plans to meet the needs of target groups.

Notwithstanding local priorities, the case studies show a broad consensus concerning target groups, but exhibit significant differences in the degree of sophistication and detail, with the outsourcing authorities having much less well developed mechanisms. No significant differences were apparent in terms of extent of local deprivation or level of participation in ACL. Specific curricula have been developed to attract certain target groups, mostly relating to basic skills in combination with other subjects.

Quality

LEAs employ a wide range of processes to achieve improvements in the quality of ACL provision and some are developing coherent Quality Assurance systems for all Adult Education.

Direct deliverers were perceived as having the strongest QA systems, although LSC respondents felt that there was room for improvement. LSC respondents working with mixed delivery LEAs had contrasting views about their QA standards, while LSC respondents for outsourcing authorities thought QA was significantly underdeveloped. However, many LEAs sub-contracting their ACL work had procedures for monitoring and assessing quality. There was wide variation in the proportion of staff with ACL qualifications in the LEAs studied and some authorities were unable to supply details of staff qualifications. Many LEAs had chosen to develop staff expertise as a way of improving quality standards but even where financial support is offered to tutors, take-up of development is not guaranteed.

Access

Social inclusion is central to the UK Government's agenda for ACL and forms the rationale for widening, as opposed deepening, participation in learning. Two target groups for WP are people with additional learning difficulties or disabilities and men in different age bands. Half of all LEAs have an enrolment rate of 20-25 per cent for men aged between 19 and 55 and less than one LEA in fifteen has an enrolment rate of over 30 per cent for this group. In addition to these required groupings, many LEAs target other groups with particular needs, such as older adults, those in need of basic skills, black and ethnic minority groups.

In the case studies, respondents described learner support provided, which included general financial support, concessionary fees, travel costs and child care. Some LEAs were unable to supply details of retention rates and three simply referred to attendance rates. Several authorities reported difficulties in facilitating progression and in the majority there was no systematic and coherent tracking of ACL learners.

Coherence

Respondents were divided between and within case authorities as to whether information was shared between providers in their LEA and whether there were gaps in existing provision, but the majority reported overlap and duplication. The achievement of coherence in ACL delivery is an area where there are still significant problems to be addressed since competition between providers is rife. Some respondents believed the LSC should be developing coherence, and all emphasised the role of partnership working.

Apart from two of the outsourcing authorities all those studied were members of formal Local Learning Partnerships (LLPs), enabling them to develop a coherent approach with providers. Direct delivery authorities appear to be more implicated in LLPs than outsourcing authorities, suggesting that those authorities more directly engaged with ACL recognise the need to work in partnership to meet community needs. The limitation of partnership, especially when established to secure funding, was a common theme. Mixed delivery authorities

reported more problems with partnerships, which may be the result of the complexity of this delivery mode and competition between the LEA and external providers.

Impact of Formula Funding

Respondents in the case study LEAs reported a number of perceived challenges to ACL provision in the move to Formula Funding (FF). In general, there were reservations concerning the impact of FF on resources and costs, as well as the difficulties and costs of data collection. In most authorities, respondents were pessimistic about ACL under FF expressing concern over reduced funding and increased costs.

Respondents feared the direct impact of FF on WP, attracting hard-to-reach learners and learning for personal interest, especially given the higher costs of WP and outreach work and moves to charge full costs for 'recreational courses'. There was concern over retention and achievement targets with WP, Basic Skills and learning for personal interest, and the difficulty of maintaining small classes under FF. The move to FF was almost universally seen as forcing choices in the targeting of resources, with a risk of reducing flexibility and damaging high cost provision. Discussions over the impact of FF revealed tensions between the economic and social objectives of Lifelong Learning (LLL), reflected also in differences between vocational learning and learning for personal interest.

Conclusions and Recommendations

The complexity of the ACL sector and the different approaches adopted by LEAs to secure ACL provision reflect differences in local socio-economic environments as well as LEA traditions. The fact that different approaches have been adopted by those closest to ACL should be respected and the temptation to prescribe 'one size fits all' solutions resisted. The development of national frameworks has brought ACL to centre stage and while this should help maximise the impact of resources, it is important to retain the richness and diversity of provision.

There are advantages and disadvantages with each contracting approach; direct delivery offering better data collection and QA, but outsourcing offering more opportunity to engage with groups closest to the communities of learners being targeted. A mixed approach has the potential to combine the advantages of both but requires good LEA coordination and partnership working. Therefore, direct delivery LEAs should be encouraged to diversify delivery and engage with CVOs, while mixed and outsourcing LEAs should seek to undertake more systematic needs analysis, secure adequate provision and develop more coherence in delivery.

Many LEAs have made enormous progress with ACL. However, to deliver the necessary volume and quality of ACL all LEAs should give this higher priority and secure and commit resources, including SD and capital funding to raise internal competence and establish appropriate venues to offer better provision. The local arms of the LSC have established good communication channels and demonstrated commitment to supporting LEAs in preparing ALPs, introducing Individual Learner Records and moving towards FF. However, the LSC needs to develop more internal competence with ACL and, notwithstanding the need for better information on ACL activity, should seek to streamline procedures.

Patterns of participation in ACL reveal significant variations in the level of provision and uptake of learning opportunities. While geography is an important factor in targeting groups for WP, it is important to focus below LEA level and develop effective mechanisms to support a learner-centred approach. A general lack of accurate data is a problem for the LSC, DfES and the LEAs. This needs to be addressed to provide a picture of the pattern of provision and establish performance parameters. The level of ACL activity recorded in some areas raises questions of the validity of the statistics. In these circumstances it is difficult for the LSC to establish a base figure from which to calculate future performance. The LSC needs more information, and more accurate information, particularly on retention and achievement rates. To this end, LEAs should introduce MIS that are fit for purpose in collaboration with the LSC.

There are variations in the quality of ACL provision both within and between authorities. While many LEAs have made progress towards effective QA systems, more needs to be done, especially in relation to provision that is outsourced. All LEAs need to put in place comprehensive QA systems and develop SD for tutors and others involved in ACL, ideally in collaboration with the LSC. Similarly, the coherence of ACL varies between LEAs and needs to be given higher priority. In the cases studied, where effective LLPs were established there were signs of improvement and these should play an increased role in ACL development to avoid duplication and identify gaps in provision. The work of LLPs would be greatly enhanced by improving the quality of statistical information on ACL and by increasing transparency between providers.

The very groups that are targeted in the WP and social inclusion agenda are those for whom provision is most expensive as a result of outreach and small class sizes. Equally, retention and progression are most problematic with such target groups. If the social inclusion objectives are to be met, it is important that the application of formula funding is sufficiently flexible to promote this vital work. ACL contributes substantial wider benefits of learning,

such as health and social impacts, including active ageing and citizenship. These benefits should be acknowledged irrespective of the extent to which ACL may lead to vocational learning and promote employability.

Contribution to New Knowledge in HRD

The research was designed to meet the immediate needs of the DfES, the LSC and the LEAs in England, providing them with early feedback on the effectiveness of the new arrangements for ACL. In so doing, the research contributed to new knowledge in HRD in relation to methodology and, especially, substantive empirical knowledge of relevance to practitioners.

In methodological terms, the research developed a new index of deprivation at LEA level, making it possible to explore the effect of relative prosperity and mode of delivery of ACL on the nature of provision. By combining a comprehensive survey with in-depth case studies, it was possible to obtain an aggregate overview as well as detailed explanations of the perspectives of those closest to ACL.

In empirical terms, this study provides the first comprehensive picture of the emerging ACL sector in England and demonstrates the role of the wider community in developing human resources as well as the nature of the challenge of creating coherence in provision.

Given the importance of social inclusion in the European lifelong learning agenda, and the particular basic skills deficit in the UK, the evidence suggests that HRD practice needs to move beyond the workplace to address the needs of those with low skills, especially when they are currently out of the labour market. To the extent that HRD practitioners engage with this debate and contribute their expertise to provide better ACL, the possibilities for a 'joined up' approach to learning and development are immense. The benefits to the unemployed are self evident, since labour market participation is the most important single factor combating poverty and social exclusion. Equally for employers and HRD professionals, developing basic skills among would-be employees offers the benefit of concentrating HRD initiatives in the workplace on intermediate and higher-level skills. Beyond these economic objectives, the benefits of ACL in terms of health of the elderly, for example, also demonstrates the social importance of HRD in the widest possible sense and offers a vision of lifelong learning to develop human potential and foster societal cohesion.

References

- Aldridge, F., & Lavender, P. (2000). *The impact of learning on health*. Leicester: NIACE.
- Bhola, H. (1998). World trends and issues in adult education on the eve of the twenty-first century. *International Review of Education*, 44(5-6), 485-506.
- Callaghan, G., Newton, D., Wallis, E., Winterton, J., & Winterton, R. (2001). *Adult and community learning: What? Why? Who? Where? A literature review on adult and community learning*. Research Report RR262, Sheffield: Department for Education and Skills, July.
- Department for Education and Employment. (1999a). *Learning to succeed: A new framework for post-16 learning*. Cm 4392, London: The Stationery Office.
- Department for Education and Employment. (1999b). *Skills for neighbourhood renewal: Local solutions*. Final Report of the Policy Action Team on Skills. London: DfEE.
- Department for Education and Employment. (2000f). *The learning and skills council remit letter*. London: DfEE.
- Ecclestone, K. (1999). Care or Control? Defining learners needs for lifelong learning, *British Journal of Educational Studies*, 47(4), 332-347.
- Field, J. (1999). Participation under the magnifying glass. *Adults Learning*, 11(3), 10-13.
- Fieldhouse, R. et al (1996). *A history of modern British adult education*. Leicester: NIACE.
- Forrester, K. (1998). Adult learning: "A Key for the Twenty-first Century": Reflections on the UNESCO fifth international conference 1997. *International Journal of Lifelong Education*, 17(6), 423-434.
- Fryer, R.H. (1997b). *Learning for the Twenty-First century*. First Report of National Advisory Group for Continuing Education and Lifelong Learning. London: NAGCELL.
- Giere, U. (1994). Lifelong learners in the literature: A bibliographical survey. *International Review of Education*, 40(3-5), 383-393.
- Gorard, S., Reese, G., Fevre, R., & Furlong, J. (1998). Learning trajectories: travelling towards a learning society? *International Journal of Lifelong Education*, 17(6), 400-410.
- House of Commons Education and Employment Committee. (1999). *Access for all? A survey of post-16 participation*. London: The Stationery Office.

- La Valle, I., & Finch, S. (1999). *Pathways in adult learning: A follow-up to the 1997 National Adult Learning Survey*. RR 137 London: DfEE.
- McGivney, V. (2000). Adult participation in learning: Can we change the pattern? In F. Coffield (Ed.) *A national strategy for lifelong learning*. University of Newcastle.
- Sargant N. et al. (1997). *The learning divide: A study of participation in adult learning in the UK*. Leicester: NIACE.
- Sargant, N. (2000). *The learning divide revisited*. Leicester: NIACE.
- Schuller, T. (1998). Three steps towards a learning society. *Studies in the Education of Adults*, 30(1), 11-19.
- Tight, M. (1998a). Bridging the “learning divide”: the nature and politics of participation. *Studies in the Education of Adults*, 30(2), 110-119.
- Tight, M. (1998b). Education, education, education! The vision of lifelong learning in the Kennedy, Dearing and Fryer reports. *Oxford Review of Education*, 24(4), 473-485.
- Uden, T. (1996). Widening participation: Routes to a learning society. *Adults Learning*, 7(9), 224-227.
- Winterton, J., & Winterton, R. (2003). *Adult and community learning with the learning and skills council*. Research Report RR428, Sheffield: Department for Education and Skills, June.
- Yang, B. (1998). Longitudinal study of participation in adult education: a theoretical formulation and empirical investigation. *International Journal of Lifelong Education*, 17(4), 247-259.

Adult Literacy: Issues and Directions Impacting HRD

Don F. Seaman

Susan A. Lynham

Texas A&M University

Wendy E. A. Ruona

University of Georgia

Thomas J. Chermack

University of Minnesota

It is no longer realistic or viable for HRD to be isolated from the broader context of workforce development. Organizations, where HRD has been traditionally situated, have begun to realize the ominous workforce challenge that lies ahead—especially related to ensuring literate and skilled adults in the future. It is very important for HRD professionals to “tune into” these emerging trends because they will affect our roles and responsibilities.

Keywords: Literacy, HRD, Survey

HRD has been defined as “a process of developing and/or unleashing human expertise through organizational development and personnel training and development for the purpose of improving performance” (Swanson, 1995, p. 207). While this may characterize our past, it does not necessarily characterize our future. There are developments afoot in the United States that are beginning to demand a more integrated, coherent system of workforce development. It is no longer realistic or viable for HRD to be so isolated from the larger context of workforce development of which it is an integral part.

Organizations, where HRD has been traditionally situated, have begun to realize the ominous workforce challenge that lies ahead. Despite the recession that dominates our economy currently, the Office for Technical and Adult Education predicts that

a net total of 23 million new jobs will be created in the next 10 years if the trends of the last decade continue.

New job growth and retiree replacement together will produce a need for 18 million new baccalaureate degree holders by 2012. At current college and university graduation rates, the available new college degree holders will fall 33% short of demand. (D'Amico, 2002, pg. 2)

If these predictions are realized, it is nearly a guarantee that organizations will have to adopt a more proactive and involved role in ensuring an educated workforce. Like a domino chain, this will also likely affect the roles and responsibilities of HRD professionals as we are asked to respond to the need for qualified workers in areas of high demand.

Furthermore, adult literacy continues to emerge as a major challenge for organizations.

Adult literacy is defined in the Workforce Investment Act of 1998 as “an individual’s ability to read, write, speak in English, compute, and solve problems at levels of proficiency necessary to function on the job, in the family...and in society” (Meeder, 2002). The findings of the most recent national survey of adult literacy were published in the early 1990s. That survey found:

40 million American adults (ages 16 and older) functioning at the lowest level of literacy, and 90 million functioning at the two lowest levels. These individuals are not equipped with the skills they need to work effectively in the high-skill jobs that increasingly characterize our economy. (U.S. Department of Education, 2003, pg. 3)

Recent studies have shown that low literacy skills cost business and taxpayers \$20 billion in lost wages, profits and productivity annually (Meeder, 2002). Furthermore, companies surveyed in the AMA’s “Corporate Concerns” study ranked developing and improving workforce skills as the 8th most important corporate concern out of a possible 25 issues in 2001 (American Management Association, p.1). Also, 65% of the small business owners surveyed in the “Voices from Main Street: Assessing the State of Small Business Workforce Skills” study said that improving the quality of workforce skills and education was very important (American Express, Small Business Services, p.2).

Thirty eight percent of these small businesses reported that they already participated in local workforce skills improvement programs.

Copyright ©2004 W. E. A. Ruona, S. A. Lynham, T. J. Chermack, & D. F. Seaman

It is very important for HRD professionals to “tune into” these trends that are emerging and that will undoubtedly affect organizations in the coming decade(s). One important part of this effort will be to better understand the issues and challenges facing adult literacy professionals since adults are the primary focus of HRD’s work.

Purpose

The purpose of this manuscript is twofold: 1) it presents a review of the relevant literature regarding the issues and future trends prevalent in the field of Adult Literacy and 2) it presents the results of a survey conducted during Summer, 2001 which sought to elicit what 14 experts in the field of Adult Literacy thought would and will be the most significant challenges as the field moves forward in the 21st century.

Research Question

Thus, the research problem can be summarized in the following research question: what do experts in the field of Adult Literacy presume will be the most significant challenges as the field moves forward?

This paper begins with a literature review of relevant sources concerning general trends in Adult Literacy. This literature review is intended to provide a backdrop given that many HRD professionals may be unfamiliar with the current ideas and debates in the diverse field of Adult Literacy. It is from this backdrop that we, the researchers began to inquire in an exploratory nature what several Literacy experts may suggest are the core challenges on the horizon for the field and its professionals.

Part One: A Review of the Relevant Literature in Adult Literacy

Recent literature around Adult Literacy has included a focus on “information literacy” (Miller & Slater, 2000). Further, technological innovations have made information access the most fluid it’s ever been, although the expertise for making sense of this information and applying it in a useful way are quite another story. It seems that technology will likely be the most obvious driver for change in the realm of Adult Literacy, and for that matter, education in general. While technology will likely have a profound impact on the administration and evaluation of Adult Literacy, it is not the only factor in considering the future of the field. Other driving forces such as changing demographics, cultural issues, accessibility, and economic conditions will all have a direct impact on the ways in which people become literate.

Defining literacy is another sensitive topic. There appear to be two distinct views with regard to the definition of literacy; those pushing for a specific, crisp definition, and those who prefer the lines to remain a little bit blurry around how far the notion of literacy extends. There is one point on which both sides agree: literacy is big – encompassing a wide and increasing variety of contexts (see Barton, 2001 for a discussion of these definitional views).

Changes Since 1990

In earlier years, adult literacy programs focused upon basic reading, writing, and numeric skills, including English-as-a-Second Language (ESL) and preparing for the General Educational Development (GED) test. The decade of the 1990’s began the report from Secretary’s Commission for Achieving Necessary Skills (SCANS, 1991) that stimulated concern about skills that adult literacy programs needed to develop in their students. The report argued that several new basic competencies needed to be included in adult literacy programs, including the ability to process information, understand basic systems found in everyday life, and solve simple problems which adult constantly face. This stimulated changes in adult literacy teaching practices (Murnane and Levy, 1996). However, we are still trying to determine how adults with limited ability to read and write lead their lives in this print-based society, especially when many are not enrolled in literacy programs (Merrifield, Bingman, Hemphill, & deMarrais, 1997).

As the 21st century begins, the residents of the U.S. find themselves living and working in a new, more complicated economy - one built on a foundation of information and communications technology. This new economy provides advantages to people who possess both educational credentials and strong basic skills, where a high school diploma, without further education, no longer leads to a career with a good future (Kasworm, 1990; Sum, Fogg, & Mangum, 2001). The influence of technology cannot be overstated, especially in the adult learning classroom where computer-assisted instruction is believed by some educators to surpass all other forms of instructional methodology (Fletcher-Flinn & Gravatt, 1995).

Everyday living is becoming more complicated. Changes require adults to use their literary and math skills to acquire information for decisions about health care, finances and retirement, to name a few. For example, a recent review of the research literature suggests that a positive correlation exists between literacy skills and good health (Rudd, 1999). More than ever, citizens need strong skills to understand school issues, laws and codes, zoning

regulations, proposed legislation, and the platforms and qualifications of political candidates. They need to know how to gain access to administrators, policy makers and police, to unite and advocate for change, to inform one another, to negotiate among themselves and with those in power, to use their power of votes, and to seek and hold positions of power themselves (Kaplan & Venezky, 1994)

Contemporary Issues

Literature around Adult Literacy suggests five contemporary issues of specific importance, namely, 1) immigration, 2) corrections, 3) special learning needs, 4) volunteers, and 5) learning across cultures. This section examines each of these issues in brief and explores implications for Adult Literacy as a field.

Immigration. Immigrants represent 45 percent of the estimated net increase in the nation's population in the last decade and immigration has become a determinate factor in population growth (Camorata, 2001). In fact, the U.S. may now be dependant on these immigrants for future increases in the size of its workforce. The rise in the numbers of adults seeking English skills who have enrolled in literacy classes in some states has almost overwhelmed the system and those enrollees dominate program enrollments as well as the lists of those waiting to enroll (Revuelto, 1999). These adults face the task of learning English, while acquiring both educational credentials and high levels of skills to reach income levels adequate for viable family support (Loolock, 2001). There is no reason to believe this trend will decrease anytime in the near future.

Corrections. The need for adult literacy education in the correctional setting has also increased in recent years as the numbers of state prison and county jail populations continue to grow. "It is the problem that most educators do no know about, most politicians do not acknowledge, most corrections officials are unprepared to deal with, and most tax-payers resent having to pay for" (Newman, Lewis, & Beverstock, 1993 [need page number here]). There are efforts to determine what kinds of learning experiences will enable inmates to achieve the learning necessary to be successful outside the incarcerated setting (Batchelder & Rachel, 2000), but data to document achievements are lacking. However, for future planning purposes, one on the greatest issues is the inability of correctional facilities to accurately report the on the number of inmates participating in adult literacy and their progress, especially county jails (Sherman and O'Leary, 1994).

Adults with special learning needs. "The Americans with Disabilities ACT" (ADA) mandates that educational institutions provide academic accommodations, including appropriate educational programs, to persons with disabilities. Although the numbers of adults with special learning needs has begun to increase in recent years, there is some speculation they have always been there, but adequate screening instruments have been sadly lacking (Polson & White, 2000). Some efforts have been made to correct this situation, but more are needed in the future (Mellard, 1998; NIFL, 1998). How to meet the needs of this population should be an important future concern for adult literacy educators.

Volunteers. With tighter budgets and a large population to serve, there has been an increasing emphasis for adult educators to use more volunteers. Even in the 1980's, volunteers were used extensively in adult literacy programs, especially in school-based and community-based programs (Wu & Carter, 1986). Many tutoring programs in community-based agencies provide excellent services to adults who want to improve their reading and writing proficiencies. It is clear from the literature and from the large number of literacy programs in this country that experts believe basic reading and writing skills are important for survival and success in today's world. (Ginsburg, 1997). But can volunteers be counted upon to provide the comprehensive services needed in adult literacy education?

Learning across cultures. This concept, the theme of a recent issue of *Adult Learning*, has become a focus for adult educators. Adult educators have fostered learning in various cultures within the U.S. for many years (Mullins, 1999), but there is now an emphasis to extend even more beyond the borders of this country (Bélanger, 1998). This need was reinforced by the Hamburg Declaration on Adult Learning that advocated developing alliances among nations to share knowledge and other resources in an international effort to promote adult learning at all levels. However, in the future, how will this be done, and by whom?

The Future: How Will Adult Literacy be Perceived?

Planning for the future is always a formidable task. Through the planning process, educational programs are developed, modified and refined, essentially defining the nature of adult education practice (Mills, Cervero, Langore & Wilson, 1995). However, planning should be based upon the reasonable thinking of leaders who have some history and professional experience in the field, and the breadth of knowledge and skills to develop a logical approach to the probability of events occurring that will further shape adult literacy education. This will be difficult when most of those in need of services are not being reached. Some research shows that at present, the adult education and literacy system is serving less than 20 percent of the potential student population (Comings, Sum &

Uvin, 2001). However, attempts must be made to develop a future scenario to guide those who will be planning and implementing adult literacy education programs.

The United States and its many communities need the help and commitment of all their citizens. A lack of basic skills that narrows the range of an individual's opportunities for social participation and reduces the likelihood of a good income can lead to frustration and anger. People with high level of basic skills are more likely to develop future oriented perspectives that help them invest in constructive activities that can support improvements in the social and political system (Behrman & Stacey, 1997).

Given this brief overview of what is happening in the literature of Adult Literacy, an important additional question involves what is happening in the practice of Adult Literacy. And more specifically, what do some expert practitioners think about the future of Adult Literacy? Considering the amount of uncertainty that has presented itself in the field, a collection of the thoughts and views of prominent Adult Literacy experts presents the opportunity to learn a great deal about the profession and illuminate the areas that are not receiving attention.

Part Two: The Results of a Research Project on the Future of Adult Literacy

The following section of this paper presents the findings from a qualitative research project designed to elicit what 14 experts in the field of Adult Literacy thought would be the most significant challenges as the field of Adult Literacy moves forward in the 21st century. The theoretical framework, methodology, and findings are presented. Then, the paper concludes with a discussion of the findings and some implications for HRD.

Theoretical Framework for this Research

The study was situated in the context of scenario planning. Scenario planning has been defined as "a process of positing several informed, plausible and imagined alternative future environments in which decisions about the future may be played out, for the purpose of changing current thinking, improving decision making, enhancing human and organization learning and improving performance" (Chermack & Lynham, 2002, p. 372).

There are many methods for conducting scenario planning, however, The Centre for Innovative Leadership (1995) identified six steps, which mirror most of the methodologies available publicly today. These are: 1) identification of a strategic organizational agenda, including assumptions and concerns about strategic thinking and vision, 2) challenging of existing assumptions of organizational decision makers by questioning current mental models about the external environment, 3) systematically examining the organizations external environment to improve understanding of the structure of key forces driving change, 4) synthesis of information about possible future events into three or four alternative plots or story lines about possible futures, 5) development of narratives about the story lines to make the stories relevant and compelling to decision makers, and 6) use of stories to help decision makers "re-view" their strategic thinking.

The first step of the scenario planning method is to elicit the strategic insights of leaders in the field. These include tacit and explicit ideas of what is strategically important, what drives (or should drive) the success of the organization, and concerns and anxieties about the future (van der Heijden, 1997). In an effort to surface the strategic agenda, assumptions and vision of those in leadership positions in the field of Adult Literacy, this research elicits the views of people who are actively creating and shaping the profession, thus completing the first step described in the scenario planning process.

Methodology

Fourteen participants were surveyed. These participants were selected purposively as experts in the field of Adult Literacy (Patton, 1990). The participant pool included members of the National Institute for Literacy, the National Center for the Study of Adult Learning and Literacy, the National Center on Adult Literacy, among other important institutions involved in the study and practice of Adult Literacy. This was intended to be a participant pool consisting of people in leadership positions representing the most active groups in Adult Literacy in the United States as measured by prominence in the literature, funding, and program activity.

A verbal agreement and verification of participant e-mail addresses was completed during face-to-face meetings, telephone conversations, or written correspondence prior to the administration of the surveys. Each participant was sent the same survey electronically as an e-mail attachment, and asked to respond within an eight week time period. Participants were asked to answer 10 open-ended questions regarding the nature of the field, factors that may be influencing the field, and their opinions on the potential issues affecting the future directions of the field.

The initial response rate included seven participants out of fourteen. Follow up was conducted with the non-respondents by a reminder e-mail message. The final response rate included all targeted participants. This study reports themes that emerged from the participant responses.

Data Analysis

Data from the surveys was combined and the authors of this chapter inductively analyzed the data to identify emerging themes using a constant-comparative method of data analysis (Guba, 1978). This method included (a) coding the data to identify the large array of potentially important concepts and ideas and then (b) comparing each piece of data with others to generate meaningful themes supported by the data. We enacted Guba's (1978) method via a rigorous method for analyzing data in Microsoft Word developed by Ruona (in-review).

Guba (1978) suggested noting recurring regularities in the data and sorting them into categories. "Categories should then be judged by two criteria: internal homogeneity and external heterogeneity" (1978, p. 53). Internal homogeneity refers to the extent to which the data that belongs in a certain category hold together, while external homogeneity concerns the extent to which differences among categories are clear (Patton, 1990). The researcher then works back and forth between the data and the categories, verifying the meaningfulness and differentiation of the categories (Guba, 1978).

From this first stage of analysis, common themes began to emerge in participant responses. The themes were captured on 3x5 cards. The project team established internal and external homogeneity (Guba, 1978; Patton, 1990) through an iterative process encompassing data analysis, category creation and lively debate. Originally, an unmanageable number of themes emerged with some themes appearing in more than one category to reflect different perspectives on the same idea. Through an iterative process of cycling between the data and the categories, the researchers refined the meaningfulness of the themes that emerged and made adjustments (collapsed or expanded categories) as was directed by the data (Guba, 1978).

Emerging Themes

Several overarching themes appeared through the data analysis that led to the formulation of four major categories. The four categories included: 1) funding, 2) technology, 3) access and 4) fragmentation of the field. Each of these themes will be summarized and supported by comments taken directly from the survey responses, as it was the overall aim of this study to give voice to what several Adult Literacy experts think and feel about the future of the field. It would not be feasible to provide *all* participant responses related to these four themes. Therefore, the intent of this portion of the paper is to provide some illustrative examples of expert opinions that constitute the themes that have emerged in this study.

Funding. Funding was perhaps the most prominent issue revealed in the survey responses and this should not come as any surprise. The issue of funding was closely tied with the first question on the survey. We asked experts what things they would want to know about Adult Literacy over the next 10-15 years.

- 1) *"Is there policy backed up by legislation and funding that supports the lifelong learning approach for adults in this country similar to some European countries who pay for adult to go to training, higher ed with a sabbatical to do it?"*
- 2) *"Level of support – not only financial but that, too – for adult literacy from national and state leaders as well as general public and traditional levels of education (i.e., K-12 and higher education)."*
- 3) Several respondents also discussed an overall lack of government funding. In response to the second question on the survey -- what things may lead to the collapse of Adult Literacy as a field of practice, some experts responded:
- 4) *"Lack of adequate funding to provide high quality instruction to adults who, in many cases, have failed in the K-12 system to gain adequate basic skills or who had adequate skills on graduation from high school but have been left behind due to changes in work and community environments"*
- 5) *"Too many states fail to provide adequate support to their literacy programs while expecting every higher levels of accomplishment. We then collect performance data that is unsupportable and distribute it as if it was valid and reliable to policy leaders. This is a "house of cards" that is in imminent danger of collapse."*

Funding is not decreasing in its importance to the field of Adult Literacy. With ever-increasing budget cuts in nearly all forms of educational systems, it appears as though Adult Educators of all sorts are not likely to find their funding shortages solved anytime soon. What is clear is that Adult educators are finding more and more ways to stretch their current funding (Ginsburg, 1997), although the time frame through which they will be able to sustain such careful considerations of expenses is unclear.

Technology. Technology is re-shaping lives in innumerable ways. Adult Literacy is no exception. While funding shortages provide ever-increasing challenges to the field, technology may be one approach to lessening the burden. We asked experts what things would help the field of Adult Literacy grow and thrive over the next 10-15 years. Some responses included:

- 1) *"Wonderful facilities, accessible to those learners who want to be there in a variety of ways: traditional classrooms, technology, TV, palm pilot, etc."*

- 2) "We will have built service delivery systems in which all components essential to student and program success are present and well supported by federal, state and local funding sources."
- 3) "Sites that are open year round – basically 24/7"
- 4) "Learning centers in every community."

Technology may very well be one major contributor in the event that Adult Literacy thrives over the next several years. By providing the ability to reach more of those in need of Adult Literacy services than ever before, technology allows an increasingly inexpensive outlet and tool for Adult Literacy experts.

Access. Access was frequently mentioned as a core concern about Adult Literacy in participant responses. Particularly relevant to low-income segments of the population, and sections of the United States, access is broadened really only by technology. Therefore, many experts have considered universal access the high standard and goal for the field of Adult Literacy.

- 1) "Have we succeeded in providing every interested and motivated under-educated and limited English proficient adult with a successful educational experience that equips them for the next round of challenges in their lives – and thereby greatly reduced the number of eligible adults who are not benefiting from our services?"
- 2) "I think it would be an acceptable option to other equivalent forms of education and integrated into the established system of secondary and postsecondary education. It would also be integrated into workplace education. Therefore, individuals would be able to access literacy skills education in the workplace, community, postsecondary institutions and secondary institutions without feeling stigmatized for being a low-literate learner."

While technology may aid in providing more access than ever before, it will not solve the access issue in its entirety. Further means for providing access in low-income, or remote locations must be developed and examined.

Fragmentation of the field. Several experts expressed concern about the make-up of the field of Adult Literacy itself. Some urged for some form of professional certification, and others discussed merging with workforce education efforts. The point expressed may also relate to varying ways of defining Adult Literacy. With such a large and inclusive customer base, not only is it difficult to define Adult Literacy, but ambiguity can be confirmed among its practitioners (Barton, 2001). Comments related to the fragmentation of the field seem to indicate a general concern that a lack of cohesiveness and a joint sense of purpose could contribute to increasing difficulties in the pursuit of a fully literate society:

- 1) "It is difficult to determine an advantage and a competitive position for a field that tries to be all things to all people (for example: religious ed, military ed, adult basic ed, ESL, and workforce training)."
- 2) "Adult literacy instructors have to understand and be able to apply adult education theory to practice with specific adult populations and from different cultural perspectives."
- 3) "I don't like to think of them as "competitors" since the ultimate goal of providing education is the same, but in a sense the other facets of the education system – especially k-12, which sometimes seems threatened by the adult literacy system's existence. (If all kids got what they needed in school, our system would not be needed, or so the argument goes...)"
- 4) "There is a great danger that other education and training systems will develop their own literacy-like systems to meet their particular needs. In fact this is already happening. Perhaps it is the right way to go. If so, the only competency that will distinguish literacy is a specially trained workforce – which it does not really have now. That is, literacy will consist of a body of expertise and a cadre of people produced by colleges and other training centers and applicable to various needs, rather than a distinct service system."

The reality seems to be that Adult Literacy has a very diverse customer base that changes according to the context in which it is operating. Additionally, the field is inextricably intertwined with other forms of education systems, that at different times, perform some of the same work. Workforce training and education, k-12 education, and adult education in general are all other fields that share some of the same goals as Adult Literacy.

Discussion

This study has attempted to provide some expert views on the future of Adult Literacy. In hopes of prompting further debate and dialogue about the field, these expert views have been presented in the form of four general themes concerning the future of Adult Literacy, namely, 1) funding, 2) technology, 3) access, and 4) fragmentation of the field. These issues are clearly motivated and influenced by social, technological, economical, environmental, and political forces that are far beyond the control of any organization.

Survey participant results suggest five contemporary issues of specific importance, namely, 1) immigration, 2) corrections, 3) special learning needs, 4) volunteers, and 5) learning across cultures. While the expert opinions do

not mirror the prominent issues in the literature, considerable overlap is evident. For example, increased immigration into the United States is clearly affecting technology and access situations. Further, funding affects learning for special needs populations and also those with cultural and linguistic barriers.

While there can be no clear single direction for the future of Adult Literacy, this study has hopefully brought some prevalent issues from the minds of several Adult Literacy experts. A clear, single direction for the future of Adult Literacy is perhaps not a desirable outcome even if it were possible. What is possible is that the field of Adult Literacy and its practitioners and scholars will learn much about themselves through thoughtful reflection and dialogue about the future.

Implications for HRD

Clearly the issue of adult literacy is an issue of concern for and challenge to any profession focused on developing human skills and knowledge for the purpose of improving learning and performance, a focus that most definitely includes the HRD profession. In the age in which we live, where access to knowledge and skills are fundamental to social, community, and workplace performance, HRD has no choice but to integrate the issue of adult literacy into its frame of practice and inquiry. Adult literacy may in the past have been labelled as a societal issue beyond the realm of most organizations and therefore that of HRD. Today, however, there is just too much evidence, as suggested in this paper, to support that the issue of adult literacy is an issue of workforce and workplace development.

Horwitz (1999), in an article on the emergence of strategic training and development, highlights the significance of the “transfer of learning, new knowledge and the notion of intellectual capital...” (p. 180) as critical to the competitive success of organizations in the emerging age of a global economy. He further points out, and also highlighted in this paper, that labor markets are becoming increasingly open with the ability to transport skills across country borders, placing even higher demands on competency requirements of the new labor force. Whether a developed or underdeveloped nation, a prerequisite for the development of human capital, and the leveraging of that capital for competitive and societal success, must be a growing level of adult literacy. With the fast pace of change in job knowledge and skill requirements on the rise, the emergence of previously unimagined industries and their demands for completely new labor competencies, the increasing transportability of labor skills across national and international boundaries, the ability of adult workers to re-skill and multi-skill quickly and effectively has become a critical workforce requirement to organizations seeking to remain competitive in a global economy. This increasing gap between demand and supply for skilled and competent workers is clearly being impacted by increasing levels of adult illiteracy and is indeed demanding a more integrated, coherent system of workforce development.

HRD can no longer ignore the challenge of adult literacy to organizations. Nor can it ignore its role in being more proactive in the development of and contribution to the ‘supply’ of an educated workforce to the broader workforce system. Indeed, HRD can expect to be increasingly challenged to extend its theory, research and practice to the address of adult literacy, of adult education and development, in both specific and broader workforce contexts. To do so, though, HRD will need to expand its roles and responsibilities beyond that of the single organization or network of organizations.

References

- American Express Small Business Services (2000). *Voices from main street: Assessing the state of small business workforce skills*. New York, NY. Retrieved September 25, 2003, from <http://www.nifl.gov/nifl/facts/business.html>
- American Management Association. (2001). *American management association research survey: Corporate concerns*. New York, NY. Retrieved September 25, 2003, from <http://www.nifl.gov/nifl/facts/business.html>
- Batchelder, J.S., and Rachel, J.R. (2000). Efficacy of a computer-assisted instruction program in a prison setting: An experimental study. *Adult Education Quarterly*, 50(2), 120-133.
- Behrman, J., & Stacey, N. (Eds.). (1997). *The social benefits of education*. Ann Arbor, MI: University of Michigan Press.
- Bélanger, P. (1998). Confintea: A turning point. *Adult Learning*, 10(1), 7.
- Bingman, M. B., Ebert, O., & Smith, M. (1999). *Changes in learners' lives one year after enrollment in literacy programs: An analysis from the longitudinal study of adult literacy participants in Tennessee*. NCSALL Reports # 11. Cambridge, MA: National Center for the Study of Adult Learning and Literacy.
- Camorata, S.A. (2001). *Immigrants in the United States 2000: A snapshot of America's foreign born*. Washington, D.C.: Center for Immigration Studies.

- Comings, J., Sum, A. M., & Uvin, J. (2001). *New skills for a new economy*. Boston: Massachusetts Institute for a New Commonwealth.
- D' Amico, C. (2002). *Vocational education's future*. Retrieved September 25, 2003, from <http://www.ed.gov/about/offices/list/ovae/resource/index.html>
- Fletcher-Flinn, C.M., & Gravatt, B. (1995). The efficacy of computer assisted Instruction (CAI): A review of the experimental literature. *Journal of Computing Educational Research*, 12, 219-233.
- Ginsburg, L. (1997) Numeracy education: More than mathematics. *Adult learning*, 9(2), 12.
- Guba, E. G. (1978). *Toward a methodology of naturalistic inquiry in educational evaluation*. CSE Monograph Series in Evaluation no. 8. Los Angeles, CA: University of California, Center for the Study of Evaluation.
- Horwitz, F. M. (1999, May). The emergence of strategic training and development: the current state of play. *Journal of European Industrial Training*, 180-190.
- Kaplan, D., & Venezky, R. (1994). Learning and voting behaviour: A bivariate probit model with sample selection. *Social Science Research*, 23, 350-367.
- Kasworm, C.E. (1994). Adult undergraduates in higher education: A review of past research perspectives. *Review of Educational Research*, 60, 345-372.
- L. van der Merwe (personal communication, March 18, 2001).
- Lollock, L. (2001). The foreign-born population in the United States. *Current Population Reports, Series p-20, S34*. Washington, DC: U.S. Department of Labor.
- Meeder, H. (2002). Adult literacy. Retrieved September 25, 2003, from <http://www.ed.gov/about/offices/list/ovae/resource/index.html>
- Mellard, D.F. (1998). Screening for learning disabilities in adult literacy programs. In B.K. Lenz, N.A. Sturomski, M.A., & Corley, M.A. (Eds.). *Serving adults with learning disabilities: Implications for effective practice*. Washington, D.C.: National Adult Literacy and Learning Disabilities Center.
- Merrifield, J., Bingman, M.B., Hemphill, D., and deMarrais K. P. B (1997). *Literacy, language and technology in everyday life*. New York: Columbia University, Teachers College Press.
- Mills, D.P., Cervero, R., Langore, C., Wilson, A. (1995). The impacts of interests, power relationship, and organizational structure on program planning practice: A case study. *Adult learning quarterly*, 46, 1-16.
- Mullins, B.K. (1999). The cultural repertoire of adult learning. *Adult Learning*, 11, 1, 3-5.
- Murnane, R. J., & Levy, F. (1996). *Teaching the new basic skills*. New York: The Free Press.
- National Institute for Literacy (1998). *Disability and literacy: How disability issues are addressed in adult basic education programs*. Washington, D.C.
- Newman, A.P., Lewis, W., and Beverstock, C. (1993). *Prison literacy: Implications for program and assessment policy*. Philadelphia: The National Center for Adult Literacy.
- Polson, C.J., and White, W.J. (2000). Providing services to adults with learning disabilities: Barriers to accommodations. *Adult Basic Education*, 10(2), 90-99.
- Revuelto, J.S. (1999). Implementing a needs-based ESOL program in an inner-City neighbourhood in Houston. Retrieved April 19, 2002, from <http://www-tcall.tamu.edu/research/needesol.htm>
- Rudd, R. (1999). *Health and literacy: A review of medical and public health literature*. The annual review of adult learning and literacy. San Francisco: Jossey-Bass.
- Ruona, W.E.A (in-review). *Qualitative data analysis in Microsoft® word*. The Qualitative Report.
- Sherman, D., and O'Leary, M. (1994). *Correctional education survey field test*. Washington, D.C.: Pelavin Associates, Inc.
- Sum, A. M., Fogg, N., & Mangum, G. (2001). *Confronting the youth demographic challenge*. Baltimore, MD: Sar Levitan Center for Social Policy Studies, Johns Hopkins University.
- Swanson, R. A. (1995). Human resource development: Performance is the key. *Human Resource Development Quarterly*, 6(2), 207-213.
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- The Secretary's Commission for Achieving Necessary Skills (1991). *What work requires of schools: A SCANS report for America 2000*. Washington, D.C.: U.S. Department of Labor.
- U.S. Department of Education (June, 2003). *The adult basic and literacy education act of 2003: Summary of major provisions*. Retrieved September 25, 2003, from <http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>
- Wu, Y., & Carter, K. (1986). Volunteer voices: A model for the professional development of volunteer teachers. *Adult Learning*, 11(4), 16-19.

Giving Voice to the Factors that Promote and Inhibit Learning in a Community-Based Multicultural Immersion Program: Adult Learner Perspectives – Implications for Research and Practice in HRD

*Chaunda L. Scott
Oakland University*

This paper presents two elements of a broader set of findings resulting from a qualitative doctoral dissertation. This research gives voice to the learning experiences of 21 diverse adult learners who participated in a community-based multicultural immersion program. Key perspectives of their learning experiences were drawn from two main themes: 1) factors that promoted multicultural immersion learning and 2) factors that inhibited multicultural immersion learning.

Keywords: Multicultural Immersion Program, Community-Based Education, Diversity

Research on the changing demographics in the United States (Johnson & Packer, 1998), along with the rise in racial and sexual discrimination and harassment cases and complaints (Cox, 1993; DeSimone & Harris, 1998; Thomas, 1992), have alerted American communities and organizations to the importance of creating suitable social and work environments for all their members. In responding to this concern, many educational and community organizations have embraced the benefits of human diversity by creating multicultural education programs, which help individuals develop competencies for understanding and respecting human differences in dissimilar cultural settings (Banks, 1981). Moreover, many organizations have responded to this concern by developing diversity training programs, which help individuals become more knowledgeable about and responsive to human diversity in today's workplace, in an attempt to address environmental inequities such as racism and sexism (DeSimone & Harris, 1998).

Despite these efforts, research as confirmed that numerous problems still confront many minorities and women seeking to fully integrate into today's communities, organizations, and society (Johnson & Packard, 1987). For example, stories of discrimination, racial harassment, gender discrimination, gender harassment, discomfort, alienation, frustration, and overall lack of success in fully integrating into communities as well as organizations and society still abound (Banks, 1981; Cox, 1993; DeSimone & Harris, 1998; Kanter, 1993; Schraeder, 1999; Thomas, 1992; West, 1993). What is missing from this body of research is the learners' perspectives on the factors that have promoted and inhibited multicultural education learning and diversity training learning in such programs. In an attempt to build research and improve this practice in the areas of community-based multicultural education programs and similar programs with this focus, I conducted a focused case study of learners' experiences in a multicultural immersion program (MIP) that will shed light on the aforementioned factors.

Problem Statement and Purpose

Prior to presenting the research problem, I provide definitions for a number of terms and concepts (i.e., multiculturalism, multicultural education, multicultural immersion program (MIP) the research site, community-based education, diversity and diversity training) that are used throughout this study. Recognizing the myriad of ways these terms can be conceptualized, for clarity, this study will adhere to the following working definitions.

Multiculturalism — A philosophical position that stresses that the human diversity of a pluralistic society should be represented in all institutions (especially educational institutions), in such a way that encourages people to retain their individual cultural identities, as well as having equal access to power (Banks & Banks, 1993; Herbst, 1997).

Multicultural Education — A concept with supporting processes intended to help individuals in educational settings develop competencies needed to understand and respect human differences. Recognizing that equal access does not guarantee fairness for all, multicultural education strives to prepare individuals to work actively towards achieving structural equality in organizations (Banks, 1981; Grant, 1992).

Multicultural Immersion Program — A community-based multicultural education centered program in a Midwestern urban city where seventy-five people spend seven days experiencing food and the culture of five communities of color which include the following cultural groups; European American, African American, Hispanic American, Arab American and Native American discussing issues of concern to those communities (MIP Official Records, 1996).

Copyright © 2004 Chaunda L. Scott

Community-based Education — Education focused on the facilitation of responsive systems designed to take collective action where agencies work collaboratively within the community to address issues such as substance abuse, housing, violence, crime, teen pregnancy, ill literacy, and various kinds of discrimination using a broad range of resources (<http://www.ncea.com/> 2002).

Diversity — A term that captures the many ways in which human beings differ, for example people differ with regard to race, gender, age, class, language, disability, sexual orientation, military experience, personality and so on (Wentling and Palma-Rivas, 1998, p. 241).

Diversity Training — A concept practiced in the form of workshops and seminars designed to help individuals in organizational settings become more knowledgeable about, personally value, manage and generally become more responsive to human diversity in an attempt to address environmental and systemic inequalities such as racism and sexism (Herbst, 1997, p. 70; DeSimone and Harris, 1998).

The problem addressed in this study is that little is known about what factors promote and inhibit learning in community-based multicultural immersion programs in the U.S. from the perspective of adult learners. This lack of knowledge limits the ability of community-based multicultural educators and adult educators working in similar fields in determining what adults have learned in these kinds of programs along with what kinds of skills they take away. Moreover, it limits adult educators' ability to determine whether they are designing and facilitating multicultural programs that produce multicultural leaders and educators. Without a clear understanding of what has promoted or inhibited past and present learning in community-based multicultural programs from the perspective of adult learners, our current multicultural education practices may be failing to introduce the kind of information adult learners need in order to understand the complex nature of race and ethnicity in America, democratic values, and multicultural awareness, knowledge, understanding, and sensitivity. Therefore, a main purpose of this study was to help community-based multicultural program designers, facilitators, and adult educators working in the areas related to community-based multicultural education proceed from a more informed perspective when developing such programs.

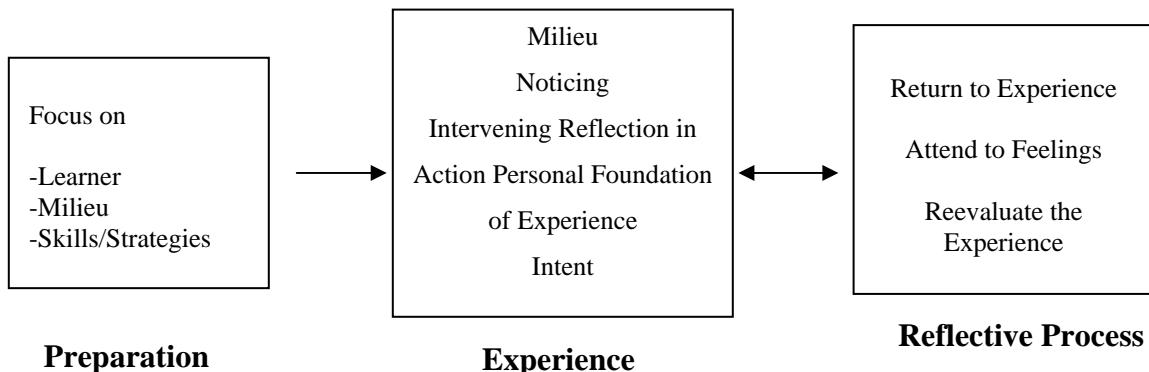
Theoretical Framework

To assist me in understanding and analyzing the learners' perspective of their learning experiences in the MIP through a theoretical lens, I drew on the work of four distinguished adult education authors, who focused on (a) learning from experience through reflective processes and attending to feelings (Boud & Walker, 1993), (b) leaning from experience related to polyrhythmic realities, the intersection of one's race, gender, class, language, and other cultural factors in the learning environment (Sheared, 1999), (c) learning from experience related to Schon's (1993) work on reflection in action offers five learning strategies known as framing, reframing, integrating perspectives, experimenting and crossing boundaries that describe learning as the interaction of action and reflection From these theoretical underpinnings, a conceptual framework for the study emerged and (d) learning from experience related to Kasl, Dechant and Marsick's (1993) work on group learning in the context of adult progression and growth in learning which describes their experience of learning together as a research team and how this experience enhanced their understanding of their research. The four theories are discussed in more detail in the following paragraphs.

1. Learning From Experience Through Reflective Processes and Attending to Feelings

Boud and Walker (1993) offered a means of analyzing an experience that is relevant to any type of learning experience, including that of adults participating in a community-based MIP. As part of their research, Boud and Walker analyzed a specific shared experience to understand how action and reflection interact; they then created a model of reflection processes in learning from experience (Figure 1).

Figure 1. Boud and Walker's Model of Reflection Processes in Learning from Experience



Source: Author's adaptation of concepts in D. Boud & D. Walker, "Barriers to Reflection on Learning" *Using Experience for Learning* Buckingham, UK: Open University Press, 1993, pp. 77

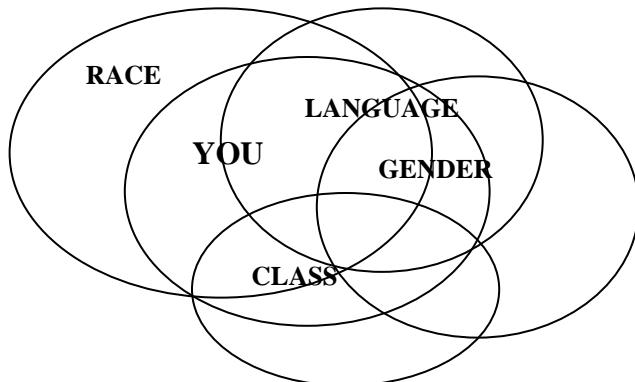
In this model, Boud and Walker illustrate how learning from experience occurs in nonlinear stages of preparation (the use of strategies and skills focused on promoting learning in the learning environment), experience (using experience as a foundation to stimulate reflection in action), and reevaluation (reflection, integration of experiences, validation of experiences, and appropriation or, in other words, owning experiences). A key component that distinguishes their model from similar work by Kolb (1984) and Cell (1984) is the inclusion of attending to feelings, which enhances or limits one's opportunity for learning.

2. Learning From Polyrhythmic Realities

Sheared's (1999) polyrhythmic realities model of learning from experience (see Figure 2) highlights the intersection of the learner's race, gender, class, language, and other cultural factors (i.e., history, sexual orientation, and religion) in the learning environment as they relate to the learner's lived cultural experiences. The concept of polyrhythmic realities is relevant to the process of giving voice to cultural factors in a multicultural learning environment. It is "an alternative way to address the effects of race, class, gender, language, and other cultural factors in a classroom environment" (p. 40).

The "YOU" in the center of the model represents the adult learner or the teacher. It is placed in the center to show that race, gender, class, language, and other cultural polyrhythmic realities affect how one may see oneself and how one may be perceived in the learning environment. The polyrhythmic-realities framework acknowledges a different way of knowing that is not grounded in the Western linear tradition.

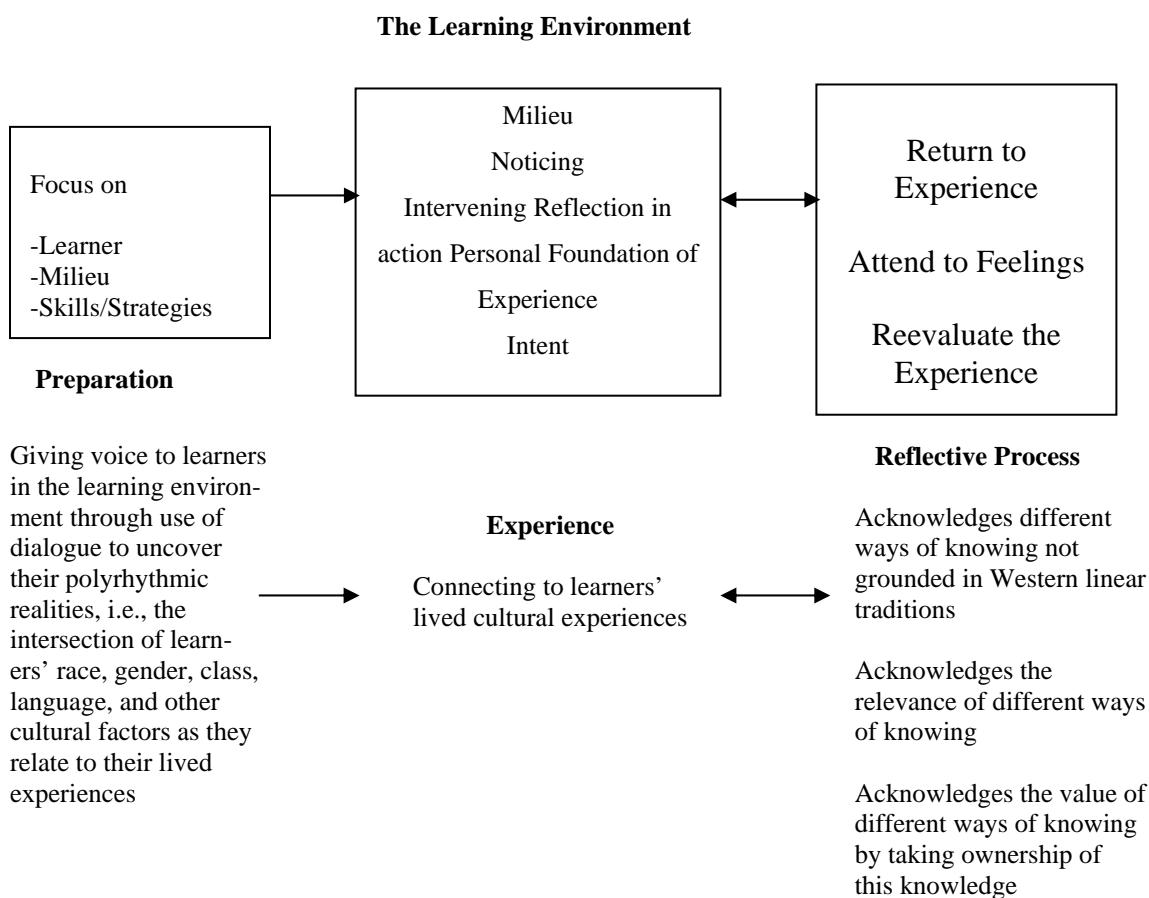
Figure 2. Sheared's Polyrhythmic-Realities Model of Learning from Experience



Source: Author's adaptation of concepts in V. Sheared, "Giving Voice: Inclusion of African American Students' Polyrhythmic Realities in Adult Basic Education," *New Directions for Adult and Continuing Education*, Summer 1999, No. 82, pp. 33-48.

Sheared's viewpoint was used in this study to connect the concepts of giving voice to polyrhythmic realities as they related to adult learners' lived cultural experiences and learning from reflection. A relationship was established between Boud and Walker's (1993) three-stage model and Sheared's (1999) concept of polyrhythmic realities. Sheared focused mainly on giving voice to learners' lived experiences in the learning environment as they intersect with race, gender, class, language, and other cultural factors. These concepts were inserted into Boud and Walker's model (depicted in Figure 1) and were used to translate the process of giving voice to polyrhythmic realities in the learning environment into a process that draws upon reflection in terms of thinking and action. The resulting new model is shown in Figure 3.

Figure 3. Boud and Walker's Model of Reflection Processes in Learning from Experience Related to Sheared's Model of Polyrhythmic Realities



Source: Author's adaptation of concepts in D. Boud & D. Walker, "Barriers to Reflection on Learning" Using Experience for Learning, Buckingham, UK: Open University Press, 1993, pp. 77; and V. Sheared, "Giving Voice: Inclusion of African American Students' Polyrhythmic Realities in Adult Basic Education," New Directions for Adult and Continuing Education, Summer 1999, No. 82, pp. 33-48.

3. Learning from Reflection in Action

Schon's (1993) work on reflection in action offers five learning strategies known as framing, reframing, integrating perspectives, experimenting and crossing boundaries that describe learning as the interaction of action and reflection. Schon (1983) defines his learning strategies that call for integration of thinking, action and reflection as follows:

- **Framing** — Framing is an initial perception of an issue, situation, person, or object based on past understanding and present input.
- **Reframing** — Reframing is a process of transforming that perception into a new understanding or frame.

Integrating Perspectives — Integrating Perspectives are divergent views are synthesized and apparent conflicts resolved, though not through compromise or majority rule.

- Experimenting — Experimenting is action undertaken to test a hypothesis or a move or to discover something new.
- Crossing Boundaries — Crossing Boundaries is when two or more individuals and/or teams communicate, they cross boundaries.

4. Learning from Group Learning in the Context of Adult Progression and Growth in Learning

Kasl, Dechant and Marsick's (1993) work on group learning in the context of adult progression and growth in learning describes their experience of learning together as a research team and how this experience enhanced their understanding of their research. Below, Kasal, Dechant and Marsick (1993, p. 144) define the four developmental phases of their group learning model as follows:

- Phase one: Contained learning — a group exists, but learning, if any is contained within individual members.
- Phase two: Collected Learning — individuals begin to share information and meaning perspectives. Group knowledge is an aggregate of individual knowledge; there is not yet an experience of having knowledge that is uniquely the group's own.
- Phase three: Constructed learning — the group creates knowledge of its own. Individuals' knowledge and meaning perspectives are integrated, not aggregated.
- Phase four: Continuous learning — the group habituates processes of transforming its experience into knowledge.

Schon's (1987) viewpoint of reflection in action and Kasl, Dechant and Marsick's (1993) viewpoint of reflection in action and on group learning in the context of adult progression and growth in learning were used in this study to analyze and interpret the findings. The work of Boud and Walker (1993), Sheared (1999), Schon (1987) and Kasl, Dechant and Marsick's (1993) provided the framework for this study in the context of giving voice to multicultural ways of knowing and being. The framework was useful to this study because it provided a perception of how learning takes place through reflection when giving voice to lived cultural experiences in the learning environment.

Research Question

The study sought to highlight not only what adult learners identified as the factors that promoted and inhibited learning in the MIP, but also how and why they perceived them as such. The following research question was posed to guide the collection of data: (1) What factors were perceived by adult learners to promote and inhibit their learning in the community-based MIP?

Methods and Limitations of the Study

A qualitative interpretive case study research design was employed to explore the factors that promoted and inhibited learning in a Midwestern community-based MIP from the perspective of 21 diverse adult learners. The primary rationale for employing a qualitative, interpretive case study design was linked directly to the core research listed earlier. Denzin and Lincoln (1998) stated that "qualitative research is multi-method in focus, involving an interpretive naturalistic approach to its subject matter" (p. 3). This means that qualitative researchers study phenomena in their natural settings, attempting to make sense of or interpret phenomena in terms of the meanings people bring to them.

I selected a unique community-based, social-action-focused MIP in a Midwestern city for the research site because I have an interest in these type of programs and I thought it was an ideal dissertation site to examine community-based education, multicultural immersion education, adult learning and uses of this learning in communities, workplaces and society simultaneously. The MIP was developed in 1996 by a member of the New City Coalition to address the racial tension this Midwestern city often experiences. The goal of this community-based MIP is to develop a network of multicultural leaders and educators who will be prepared to facilitate on-going dialogue and cross-cultural collaborations aimed at closing the racial divide in their communities, workplaces, and society in general (MIP Official Records, 1996).

People who apply and are accepted to participate in this free 7-month program represent various racial, ethnic, and cultural communities throughout the Midwest and a cross-section of nonprofit organizations, businesses, government agencies, educational institutions, civic groups, and health services. The MIP uses guest lecturers, books, role-play, art, games, music, and food, along with personal sharing, which both the program instructors and learners use to teach the program's content. The program's content consists of a multicultural ideology, the history

of racism and ethnicity in America, democratic values in America, and concepts of multicultural awareness, knowledge, understanding, and sensitivity (MIP Official Records, 1996).

The population sample comprised of 455 people who had participated in the MIP over a 7-year period, 1996 through 2002. Out of the population sample, I selected the 21 individuals who participated in this program from the MIP's master list who had taken part in the program from 1996 through 2002. To gain an understanding of what these 21 adults had learned from the MIP, I then selected three participants from each of those years based on their race and ethnicity, type of work setting (i.e., corporate, nonprofit, educational, government, or other), and availability to take part in the study to make up the sample of 21 participants.

Data were gathered through a demographic questionnaire, in-depth interviews, and official records from the MIP. Member checks and follow-up telephone interviews were also used to increase trustworthiness of this inquiry (Merriam, 1998). The analysis of data consisted of five parts: "organizing the data; generating categories, themes, and patterns; testing the emergent hypothesis against the data; searching for alternative explanations of the data; and writing the report" (Marshall and Rossman 1995 p. 113). The literature review helped in the initial phase of analysis. Using concepts from the readings, I constructed a matrix that helped me organize the data. The data-collection materials for each participant were assigned the same numerical code. This procedure helped to keep the data organized, while ensuring participants' anonymity. By using more than one source of data, I was able to look for consistencies and inconsistencies in participants' responses. Triangulation of the data also helped to ensure the validity and reliability of the data (Marshall & Rossman, 1995).

To begin the analysis process, I tabulated and compiled the questionnaire responses. This information allowed for a view of interview responses by participants' race/ethnicity, gender, age, educational level, occupation, work setting, and years of work experience. Next, I coded the interview transcripts for common themes and patterns, connections, and any discrepancies between interview and questionnaire responses. The responses initially were placed into six categories derived from Boud and Walker's (1993) work on reflective processes and Sheared's (1999) work on polyrhythmic realities. This helped me organize and make sense of the data that had been collected. Boud and Walker's framework helped me understand how action, attending to feelings, and reflection interact with regard to learning experiences. Sheared's framework on polyrhythmic realities, which focuses on the significance of giving voice to cultural intersecting realities such as race, gender, class, language, and other cultural factors in the learning environment, helped me identify and highlight learners' perspectives on giving voice to their polyrhythmic intersecting realities in the learning environment within varying sociocultural, educational, political, and historical contexts. Data also were placed in additional categories derived from Schon's (1993) work on reflection in action and Kasal, Dechant and Marsick's (1993) work on group learning in the context of adult progression and growth in learning as well as common themes and patterns I discovered during the coding and analysis process.

To establish inter-rater reliability (Merriam, 1998) after preliminary coding and categorizing of the data, I presented my findings to two advanced doctoral students and my advisor, who are experienced in analyzing qualitative data. The data then were placed in categories and matched to all others to determine whether there were any correlations between and among categories. Next, I discussed these categories with my advisor, peers, and colleagues in the field of multicultural education and human resource development, and then compared them to the concepts found in the literature. Last, I examined the various emergent categories and themes in order to synthesize the data and make meaning of it.

Limitations

There were also certain limitations due to the scope of the study and the use of qualitative research methodology. For example, these limitations included the following:

- The study sample was drawn from a volunteer population
- The study lacked a longitudinal perspective
- The constraints of using qualitative instruments such as questionnaires, interviews and follow-up interviews to achieve objectivity and subjective interpretations
- The researcher's bias as it related to her being committed to promoting racial and cultural awareness for 12 years in her community, workplace and society
- The sample size was small and limited in terms of representing different geographic areas and the many diverse cultures and ethnicities in today's society and
- The findings were not generalizable to the universe of diverse adult learners participating in similar MIPs in the U.S.

In recognizing these limitations and biases, I made every effort to ensure that I represented the ideas and perceptions of the participants accurately by remaining aware of the above limitations and biases when I analyzed interpreted and reported the findings.

Results and Findings

The study's findings revealed that the MIP content increased participants' understanding of multiculturalism, racism and oppression. The content on democracy however, only confirmed what participants already knew about democracy. In the MIP learning environment participants' learned from rules to guide learning and from reflecting on and giving voice to their lived experiences with cultural diversity and intersecting polyrhythmic realities (Sheared, 1999), their race, gender, class, language and other cultural factors. They also learned from meeting and talking with diverse people, visiting cultural sites, eating and making cultural foods, doing cultural dances, and making cultural crafts. Barriers identified by the participants' that inhibited learning in the MIP included: inexperienced instructors who lacked knowledge of and experience with multiculturalism, too much Information presented in a short amount of time, lack of time to continue discussions, socialize and network and lack of follow up programs to continue learning about multiculturalism.

Conclusions and Recommendations

The following conclusions emerged from this study.

Conclusion 1. Having ground rule to guide learning in the MIP allowed the participants' to tell their story without critique. It also kept them safe from verbal attacks, which made the MIP a safe environment in which to learn in.

Conclusion 2. Allowing participants' to giving voice to their past and present experiences with cultural diversity and their polyrhythmic realities, the intersection of race, gender, class and language and other cultural factors in the learning environment introduced them personally to real world multicultural ways of understanding, knowing and being. Participants' also had an opportunity to experience aspects of multiculturalism using a hands-on approach (i.e., by doing cultural dances, eating and making cultural food and making cultural crafts).

Conclusion 3. In selecting multicultural instructors, personnel managers should check applicants' references and access their expertise in the subject matter by observing them in practice, if possible and their competence in making presentations before hiring them.

Conclusion 4. Multicultural immersion education program developers should create a series of follow-up program to continue educating people on multiculturalism. Therefore it should be noted that one multicultural education class, session or workshop does not allow enough time to explore in-depth the many diverse aspects of multiculturalism.

Implication for Research and Practice in Human Resource Development (HRD)

The researcher hopes that this study's design and findings can make a positive contribution to HRD practitioner's and adult educators working in the areas of diversity training and multicultural education who wish to integrate concepts as rules to guide learning, hands on experience with multiculturalism and giving voice to polyrhythmic realities (Sheared, 1999) into their current practices. Moreover, the researcher hopes that the results of this study can be used to assist HRD practitioners and adult educators in selecting competent and experienced instructors to facilitate diversity and multicultural learning. Lastly, the researcher believes that this study adds to the literature in HRD and adult education, by expanding our understanding of reflective processes (Boud and Walker, 1993), polyrhythmic realities (Sheared, 1999), reflection-in action (Schon, 1993), and group learning in the context of adult progression and growth in learning (Kasal, Dechant and Marsick, 1993) in that these theoretical frameworks were used as multicultural lenses to examine and make meaning of the learning experiences of 21 diverse adult learners who had participated in a community-based multicultural immersion program. This is significant in this study of giving voice to the factors that promoted and inhibited learning in a community-based multicultural immersion program from the perspective of adults learners because it breaks new diversity training ground and multicultural education ground in all four of these adult education theoretical frameworks.

References

- Banks, J. A. (1981b). *Multiethnic education: Theory and practice*. Boston, MA: Allyn & Bacon.
- Banks, J.A., & Banks, C.A.M . (1993). *Multicultural education and prospectives*. (2nd ed.) Boston: Allyn & Bacon
- Boud, D., & Walker, D. (1993). Barriers to reflection on experience. In D. Boud, R. Cohen, & D. Walker (Eds.), *Using experience for learning* (pp. 73-86). Bristol, PA: Society for Research Into Higher Education and the Open University Press.
- Cell, E. (1984). *Learning to learn from experience*. Albany: State University of New York.
- Cox, T., Jr. (1993). *Cultural diversity in organizations: Theory, research and practice*. San Francisco: Berrett-Koehler Publishers.
- DeSimone, R. L., & Harris, D. M. (1998). *Human resource development*. Orlando, FL: Dryden Press.
- Grant, C. A. (1992). *Research and multicultural education: From the margins to the mainstream*. Washington, DC: Falmer Press
- Herbst, P. H. (1997). *The color of words: An encyclopaedia dictionary of ethnic bias in the United States*. Intercultural Press, Inc.
- Johnson, W. B., & Packer, A.H. (1997). *Workforce 2000*. Indianapolis, IN: Hudson Institute.
- Kanter, R. M. (1993). *The tale of O: On being different* (Video recording). Cambridge MA: Goodmeasure.
- Kasl, E., Dechant, K., & Marsick V. (1993) Living the learning: Internalizing our model of group learning. In D. Boud, R. Cohen, & D. Walker (Eds.), *Using experience for learning* (pp. 143-156). Bristol, PA: Society for Research Into Higher Education and the Open University Press.
- Marshall, C., & Rossman, G. B., (1995). *Designing qualitative research* (2nd ed). Thousand Oaks, CA: Sage
- Merriam, S. B. (1998). *Qualitative research and case study application in education*. San Francisco, CA: Jossey-Bass.
- Multicultural Immersion Program Official Records (1996)
- Multicultural Immersion Program Offical Records. (1996).
- National community education association website. (2002). <http://www.ncea.com/>
- Schraeder, T. (1999). Are your employees ready for the next millennium? *PIMA's Papermaker*, 81(4), 26.
- Schon, D. A. (1987) *Educating the reflective practitioner: Towards a new design for teaching and learning in the professions*. San Francisco: Jossey-Bass
- Sheared, V. (1999). Giving voice: Inclusion of African American students' polyrhythmic realities in adult basic education. In T. Guy (Ed.), *Providing culturally relevant adult education: A challenge for the twenty-first century* (New Directions for Adult Education, No. 82, pp. 33-48). San Francisco: Jossey-Bass.
- Thomas, R. R., Jr. (1992). Managing diversity: A conceptual framework. In S. E. Jackson & Associates (Eds.), *Diversity in the workplace* (pp. 306-317). New York: Guilford Press.
- Watkins, K., & Marsick, V (1993) *Sculpting the learning organization: Lessons in the art and science of systemic change* (pp.96-117). San Francisco. Jossey-Bass Publishers.
- Wentling, R. M., & Palma-Rivas, N. (1998). *Diversity in the workforce literature review* (Diversity in the Workforce Series Report No. 1). Berkeley, CA: National Center for Research in Vocational Education.
- West, C. (1993). *Race matters*. New York: Vintage Books.

Neural Network Analysis in Cross-Cultural & Comparative Management Research: Implications for International HRD

AAhad M. Osman-Gani

Nanyang Technological University, Singapore

This paper discusses the application of the neural network analysis in comparative & cross-cultural management research through simulating the information processing in the brain, to identify country clusters based on the perceptions of managers from various countries. Findings from such cluster studies would be useful in developing more effective cross-cultural training programs that might have significant implications for international HRD research.

Keywords: Neural Networks, Cluster Studies, International HRD Research.

The globalization of business has led to an increasing awareness of the cross-cultural environment and its importance for making significant strategic decisions. In the past, the study of differences and similarities among nations and cultures has been the exclusive concern of cultural anthropologists. As a result, corporations paid only limited attention to cultural research. Today comparative management studies have similar goals as anthropology: to understand culture and international management behavior, however, focusing on cultural differences from a business viewpoint rather than from a pure anthropological one. The goal of comparative management is to use the cultural knowledge to design the most effective organizational strategy and structure possible and to make the most effective use of human resources in different cultures.

There are three approaches to comparative management research: the universalist approach, the economic cluster approach, and the cultural cluster approach (Robinson, 1978). The universalist approach contends that few major differences exist among managers across cultures, and that management theories and practices transfer easily from one culture to another. The economic cluster approach emphasizes that the economic similarities and differences among nations, or among groups of nations, will determine management's task. The cultural cluster approach focuses on how behavioral and attitudinal differences among managers and employees from different cultures determine these tasks. All three approaches contribute to the understanding of the management process from a comparative viewpoint.

In the cultural cluster approach, countries were clustered together using different statistical techniques such as cluster analysis and Q-factor analysis. In this paper we introduce a new clustering technique based on the neural network analysis. Neural network architectures have invited a lot of interest from many diverse fields because of their capability in dealing with structurally complex problems. Neural networks, or more appropriately, artificial neural networks (ANNs) are massively connected assemblies of relatively simple processing units modeled after the nervous cells or neurons of the biological nervous system. Neural networks can acquire knowledge about a problem through a learning process and store this knowledge in the connections between neurons. The knowledge is thus stored in a distributed fashion as opposed to the more common localized storage (e.g. in digital computers). These characteristics, massive connectivity, learning and distributed storage, distinguish the neural processing paradigm from that of the digital computer, and enable neural networks to solve complex problems that are otherwise difficult to solve. Neural networks with sufficiently large number of free parameters (e.g. connection weights) can, in principle, solve any nonlinear classification problem (Hinton, 1987).

In the past decade or so, neural network applications have mushroomed in such diverse fields as pattern recognition, identification and control of dynamical systems (Narendra and Parthasarathy, 1990), data and image compression (Daugmann, 1988), speech recognition (Boulard and Morgan, 1994), automatic target recognition (Babri and Farhat, 1992), time series modeling and prediction (Moody and Darken, 1989), improving business effectiveness (Udo, 1992), prediction of bankruptcy (Tarn, 1991), and clustering (Kohonen, 1984; Kamgar-Parsi, Gualtieri, Devaney, and Kamgar-Parsi, 1990), among others. Neural networks have been demonstrated to be exceptionally effective in modeling mappings which contain both regularities and exceptions as illustrated by their application to stock performance modeling (Schoenenburg, 1990; Refenes, Zapranis, and Francis, 1994). In this regard Haykin (1994) provided an excellent comprehensive treatment of the state-of-art technique in artificial neural networks. Apart from non-business (e.g. engineering) applications, neural network has also been used in various business areas, such as: Finance, Marketing, E-commerce, and Travel industries (Lisboa, Edisbury & Vellido,

2000), but no research could be found that used ANN in human resource or international HRD areas.

This paper is based on the first attempt to introduce the application of neural networks in identifying country clusters based on managers' perceptions/responses to certain organizational management issues in large global organizations such as a multinational enterprise (MNE) (Osman-Gani & Babri, 1995). MNEs and other forms of international organizations employ managers and employees from various different cultural backgrounds. Identification of patterns in their response behavior through cluster studies would provide significant inputs for making important decisions in an effective and efficient manner.

Review of Literature

The theoretical framework for such studies could be drawn from an extensive review of literature focusing mainly on three relevant areas: country cluster studies, international management, cross-cultural & comparative management studies. The emerging field of international HRD is being built based on research from these areas.

Cluster Studies and International Management/HRD Research

International management research has attempted to establish clusters of countries based on their relative similarity according to relevant organizational variables. These variables are used to group countries or nations (as opposed to cultures), as the unit of analysis. By defining country as the unit of analysis, the clustering of these countries has important implications for managers and academicians. Managers in MNEs can better understand the basis for similarities and differences between countries. With this knowledge, they can more effectively place internal assignees, establish compatible regional units, and predict the results of policies and practices across national boundaries (Ronen and Kraut, 1977). Clusters can also help academicians by defining the extent to which results should be generalized to other countries. Clusters also aid the researchers in identifying variables that explain the variance in work goals and managerial attitudes and perceptions (Ronen and Shenkar, 1985). The cluster studies may also provide significant inputs for effective international HRD decisions in developing and implementing appropriate training & development programs for overseas managers in a MNE (Osman-Gani & Jacobs, 1996).

In specifying the significance of cluster studies, Hartigan (1975) contended that clustering allows for a more thorough understanding of macro-environmental factors that are associated with differences in actions and values. According to Hartigan, the principle functions of clustering are to: (a) name, (b) display, (c) summarize, (d) predict, and (e) provide explanation. These functions illustrate the implications of clustering countries according to their work values.

By giving a name to all countries (e.g., Anglo) in the same cluster, the characteristic work values and perceptions of the group are identified. The display of clusters may assist in grouping of business units or country organizations into international combinations (Kraut, 1975; Ronen and Kraut, 1977). The information may also help in deciding overseas assignments and in training personnel for such assignments. Data are summarized by referring to properties of clusters rather than to properties of individual countries. The summary of data helps in enhancing understanding of the interactions among various work values.

Predictive potential, among other reasons is one of the primary benefits of clustering (Ronen and Shenkar, 1985). Hartigan (1975) hypothesized that prediction might take place in two ways. (1) If a group (country) is classified into a given cluster, then information about behaviors of other members of that cluster would serve as predictors of expected behaviors of the classified group (country), and (2) new measures already shown to have cluster affinity would be predictive of the measures that would be expected of other members of a given group (Townsend, Scott, and Markham, 1990). Clustering also may enable better forecasting of problems associated with introduction of organizational policies and practices. Clear-cut clusters require an explanation of their existence and thus promote the development of theories. Of special importance are those clusters that differ from geographic, linguistic, and religious classifications.

So far, nine cross-national (cultural) cluster studies were identified through a literature search on empirical studies in international management area. They are: Haire, Ghiselli, and Porter (1966); Sirota and Greenwood (1971); Ronen and Kraut (1977); Hofstede (1976); Redding (1976); Badawy (1979); Griffeth, Horn, Denisi, and Kirchner (1980); Hofstede (1976); and Osman-Gani (1991). Two of the nine studies examined one world region each. Redding (1976) studied eight countries in Southeast Asia, and Badawy (1979) studied six countries in the middle east. Two other studies (Haire et al, 1966; Hofstede, 1984) were published in the form of books rather than papers. One study was done as a part of a doctoral dissertation (Osman-Gani, 1991). Some studies used in-house data collected by an MNE; others collected data designed specifically for the study (Haire et al, 1966).

Ronen and Shenkar (1985) provided an exhaustive review and synthesis of the eight cluster studies. These studies dealt with various variables that can be grouped into four categories: work-goal importance; need deficiency fulfillment, and job satisfaction; managerial and organizational variables; and, work role and interpersonal orientation.

Work-goal importance was surveyed by Haire et al. (1966) through an 11-item scale, later utilized by Redding (1976). Need deficiency fulfilment, and job satisfaction were examined by Haire et al., through the 11-items depicting a modified Maslow need categories. Badawy (1979) used a 13-item instrument based on Porter's (1961) derivation of Maslow's categories. Hofstede (1984) used more than one survey and therefore a different number of items. Griffeth et al. (1980) used an attitude survey to measure satisfaction with nine job facets. Four of the eight studies examined managerial or organizational variables. Haire et al. (1966) and Badawy (1979) used eight items depicting classical versus democratic managerial styles. Griffeth et al. (1980) examined organizational variables; role overload, organizational commitment, organizational climate, and organizational structure. Three studies surveyed work role and interpersonal orientation. Haire et al. (1966) researched cognitive descriptions of the managerial role using a semantic differential technique. Redding (1976) studied relations with subordinates. Hofstede (1976) used the survey of personal values (Gordon, 1967, 1976) to measure practical mindedness, achievement, decisiveness, orderliness, and goal orientation. Osman-Gani (1991) studied managers' perceptions on transferring and using management technology across countries using ten variables relating to management and human resource development (HRD) issues.

Cross-Cultural Research Methodologies

Although methodological issues in cross-cultural areas have been widely discussed by researchers operating in the domains of political science (Ross and Homer, 1976), sociology (Bendix, 1969), anthropology (Naroll, 1968), and social psychology (Berry, 1979), theoretical and methodological reviews of comparative management research up to early 1970s have been somewhat pessimistic in their conclusions (Roberts, 1970; Roberts and Snow, 1973; Triandis, 1972). Some developments, however, made management researchers more sanguine in this regard. Bhagat and McQuaid (1982) and Sekaran and Martin (1982) have pointed out that the cross-cultural literature of the 1970s gave reason for optimism concerning the future of research into organizational behavior. Child (1981) concluded that while macro-level variables (organizational structure and technology) are tending to become more and more similar across various cultures, micro-level variables are tending to maintain their cultural distinctiveness. Negandhi (1973) reached the same conclusion; he suggested that similarities may be explained in terms of industrialization, whereas differences may be explained in terms of cultural variables. Cross-cultural methodology is particularly important in terms of conceptualization, measurement, and interpretation of behavioral context. Sorge (1982) and Jamieson (1980) have argued that there is no culture-free content of organizations; even if the various organizational solutions are similar, they are constructed in a cultural context and may be interpreted as a reaction to a given constraint.

In an attempt to develop a classification scheme for the basic framework of cross-cultural studies, Murdock (1945) started the process by organizing 70 cultural universals which can be used to establish the variables of culture. Negandhi (1983) identified five approaches in this regard: (1) the historical approach looks at the past to determine what standards have been set; (2) the economic approach deals with transfers of technology from developed to underdeveloped countries; (3) the environmental approach looks at external facts to determine operating principles; (4) the behavioral research examines people and organizational structures; and (5) the organizational studies examines cross-cultural transfer effects on formal and informal groups. Barrette and Bass (1973) summarized many surveys in cultural research. They categorized the results around managerial functions such as motivation, organization, and decision making. England (1978) tested cultural research on 2500 managers. The research, supported strong cultural aspects of management principles. Also, young managers were found to have different goals and were less culturally bound than older managers. Hall (1959) developed practical techniques for increasing sensitivity to cultural differences in his message systems and cultural maps. These two dimensional matrices can give direction to communication and management decision making across cultural boundaries.

Adler (1982; 1997) has been instrumental in building methodology for the study of cross-cultural comparative management research. She outlined differences in approach such as parochial, ethnocentric, polycentric, comparative, geocentric, and synergistic. Adler developed the cultural synergy model. This model however did not assume that either part of the cultural integration was the better management principle. It suggested a new synergistic culture different from each of the parts and generally better in its ability to handle and cope with management functions. Given a certain set of environmental variables and cultural backgrounds, a system can be developed to maximize effectiveness and efficiency.

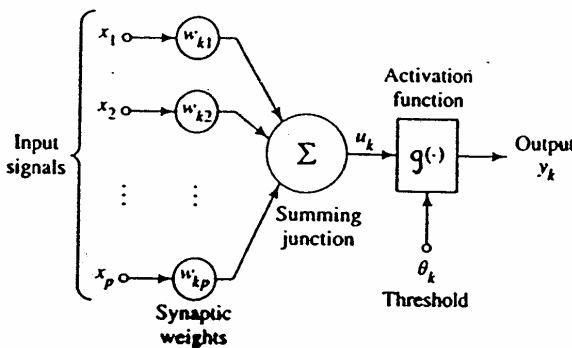
All the previous studies used various types of traditional statistical analysis techniques in the process of clustering countries. The studies that performed worldwide clustering all employed some type of multivariate statistical procedures in their analysis. Haire et al. (1966) used factor analysis to study cognitive descriptions of managerial role through a semantic differential technique. To create country clusters, the authors obtained a correlation matrix on the basis of all three parts of their study. A Q-Factor (inverted) analysis was used by Sirota and Greenwood (1971), Hofstede (1980), and Osman-Gani (1991). They found it as the most robust analysis procedure compared to others considering the nature of their data sets. Some authors found very close similarities among the results of Cluster

analysis and Q-Factor analysis. In his 1976 study Hofstede performed factor analysis within and between groups. He acknowledged trying smallest space analysis with very similar results to factor analysis. Griffeth et al. (1980) used generalized pythagorean distance measure D'' to measure profile similarity. Cluster analysis was then applied to the D'' scores to create country clusters. The only use of nonmetric multivariate analysis was by Ronen and Kraut (1977), who also employed the technique for reanalysis of two other studies (Haire et al. 1966; Sirota and Greenwood, 1971). So far, no study was found to have used Neural Network analysis as a technique for clustering countries. This paper attempts to discuss the neurocomputational perspective of grouping countries in general, and then discuss the applications in a hypothetical research setting dealing with cross-national data collected from different countries.

Brief Technical Overview of Neural Networks

An artificial neural network (ANN) is an abstraction of a real nervous system which consists of nerve cells or neurons communicating with each other via synaptic connections.

Figure 1. Schematic Diagram of an Artificial Neuron



The artificial neuron is a simple processing unit whose output is determined by a nonlinear function of the weighted sum of its inputs. Information is stored in the network in the connection strengths between the neurons. These connections can be modified by a learning rule to store new information. The geometry of these neural connections and the learning rule determine the capability of a neural network to solve a given problem. In the following we describe a simple model of a neuron and how it functions in a network of neurons.

Figure 1 shows a schematic diagram of a simple model of the neuron. A neuron i 's output y_i is a non-linear function $g(\cdot)$ of the weighted sum of the inputs it receives from other neurons and its internal threshold θ_i . Mathematically, this function is described by:

$$y_i = g\left(\sum_{j=1}^N w_{ij}x_j - \theta_i\right) \quad (1)$$

where N neurons with outputs $x_j ; j = 1, 2, \dots, N$ are connected to the neuron i through synapses or connection weights w_{ij} . The *logistic* function is defined by:

$$g(u_i) = \frac{1}{1 + \exp(-\beta u_i)} \quad (2)$$

This is extensively used to model the neuron's response to net input activation $u_i = \sum_j w_{ij}x_j - \theta_i$. Generally, neurons are arranged in layers or levels; the input layer, the output layer and possibly one or more intermediate layers. The geometry of interconnections between neurons allows one to classify neural networks into two broad categories. A network is of strictly *feed forward* type if all connections are unidirectional, going from the input to the output. A *recurrent* or *feedback* network contains at least one connection in the backward and/or lateral direction.

Learning in Neural Networks

Neural networks learn about a problem by gradually encoding information about the problem (e.g. through examples or instances of that problem) in the connections between neurons in the network. Depending on the available information about a problem, neural networks can learn in a *supervised* or *unsupervised* manner. In *supervised* learning, desired classification information on examples of the problem (training data) is available. A *learning rule* is used to modify the connection weights of the network based on the disparity between the desired classification and the actual classification obtained by the network at a given time instant. The *error backpropagation* (EBP) rule is the most widely used supervised learning rule (Rumelhart, Hinton, and Williams, 1986).

When desired classifications of training data are not available (e.g. in clustering of multinational data), the network has to learn in an *unsupervised* manner. In this case learning occurs under some measure of the quality of the representation that the network is required to learn. Connection weights are modified to optimize this measure. Kohonen's self-organizing feature maps (SOFM) (Kohonen, 1984) and Grossberg's adaptive resonance theory (ART) (Carpenter & Grossberg, 1988) are well known representatives of unsupervised learning.

Implications for Using ANN in Management/HRD Research

One example of the application of artificial neural networks (ANN) could be illustrated by developing a data matrix of numbers (values) with 'm' rows (each row representing a country) and 'n' columns (each column representing a management/HRD variable). The numbers (values) in the matrix may represent the mean response scores of managers from 'm' countries for each of the 'n' management/HRD research variable of interest (representing certain international/cross-cultural management issue). Kohonen's self-organizing feature map (SOFM) procedure for training ANN could then be performed on the data matrix.

A SOFM network with 'n' input neurons and 'm' output neurons could be used to observe the topological ordering of 'm' country scores based on the similarity contrast measure implemented by the network. An input pattern would be obtained by normalizing the average response scores of managers of a country to values between 0 and 1. Using the procedure described earlier the topological orderings of 'm' countries developed by 'm' and 'n' output neuron networks, after many (e.g. 10000) cycles. During the initial phase (1000 cycles) the learning rate parameter will decrease linearly (e.g. from initial value of 0.91 to 0.01), while the neighborhood radius of a maximally active neuron might be reduced to 0 starting from an initial value. The stability of the topological ordering could then be measured by calculating the average number of shifts in maximally active neurons responding to various countries. A stable map could be developed after about 2000-3000 cycles. As the number of output neurons is reduced below n-number, bigger clusters tend to form and become most consistent in the range of optimum output neurons. Over this range few distinct clusters with consistent topological ordering would emerge. Reducing the number of output neurons below might disturb this ordering. This is an indication that for this m-country set, these clusters represent a near-optimum grouping.

The SOFM neurocomputational approach to forming country clusters results in a hierarchical emergence of clusters as the number of output neurons is reduced. Starting with a relatively large array of output neurons, the countries are topologically ordered on the basis of a similarity-contrast measure implemented by the SOFM through its cooperative-competitive processing mechanism. As the number of output neurons is reduced to a certain number, a consistent ordering and clustering of the countries is observed. Beyond this number, the clusters become softer resulting in movement of some countries of different groupings. Since the developed clusters are also topologically ordered, the similarity (vs. contrast) between clusters that are closer to one another is more (vs. less) than those which are further away.

As far as clustering is concerned, the use of neural processing technique proposed in this paper offers an alternative tool for clustering countries. The emergent country clusters are topologically ordered on a similarity-contrast metric and can offer good insight into important factors that group countries or set them apart.

The SOFM performs topological ordering under symmetric constraints close to the center of the array. However, the probability of distortion in topological ordering increases as one approaches the edges of the open-ended array of output neurons. This can be rectified if the output-array could be closed by making it circular. Further studies should be conducted in this area to confirm the findings of such studies as well as to respond to new issues to be raised in this regard.

Managers' perceptions on certain phenomena are formed through a complex process involving interplay of a range of factors, which cannot be easily quantified. The neural processing paradigm is ideally suited to processing of information, which results from a rich and complex phenomenon because the structure and knowledge about the problem is obtained by learning from examples representing that phenomenon. In the traditional approaches, certain assumptions (e.g. about the underlying probability distribution of the data samples) provide support for the data

processing algorithm. The algorithmic approach is powerful when the assumptions meaningfully approximate the underlying data structure. However when this is not the case (e.g. data representing managers' perception), the neural processing approach holds greater promise. As indicated earlier, we may conclude that the neural network analysis can be considered as a potential tool in clustering countries for making significant cross-cultural management decisions, such as in the area of international HRD.

One of the potential use of such cluster studies could be in the design of more effective international/expatriate training programs. It may not be cost effective for large MNEs having thousands of employees in several countries to design and deliver different training and development programs for employees in each of their overseas subsidiaries located in different countries. On the other hand, previous research have established that it will not be effective to offer T&D programs to all the overseas managers/employees at the corporate headquarters (or at one location), which may not contribute to the performance improvement of the expatriate/international employees (Trompenaars, 1998; Osman-Gani, 2000). Therefore, if relevant and robust country/cultural clusters could be identified through the use of ANN paradigms, and appropriate cluster-based HRD programs could be designed and delivered accordingly, then performance of international employees at several overseas locations could be improved significantly. This process may also be more efficient and cost-effective than the traditional systems. Future research may confirm this with empirical evidence from cross-cultural studies.

It is observed that, data in cross-cultural research are hard to acquire. It is an expensive operation and requires the collaboration of researchers in different locations, and is long term in nature. So far, only few cross-national studies could be identified through an extensive literature search, and also, they do not provide even a near comprehensive coverage of the nations of the world. All the cross-national studies conducted so far included much of the free market economies of the western world. Many countries from Africa and Asia have not been studied at all; other countries from the middle-east and the far east, have not been studied sufficiently. These gaps in the research make it difficult to draw conclusions about cluster memberships in these parts of the world. Major studies need to be undertaken in which countries from all areas of the world will be included.

As multinational companies increase their foreign direct investment overseas, especially in newly emerging economies as well as in developing and consequently in less studied areas, they will require more in-depth information concerning their local employees in order to implement effective types of interactions between the organization and the host country. The knowledge acquired thus far can help one to understand better work values and attitudes of employees throughout the world. Traditional management theories developed in the USA and other western European countries may work well for those nations. But they are not equally applicable to non-western countries (Ronen and Shenkar, 1985; Hofstede, 1997; Trompenaars, 1998). Therefore, more cross-national cluster research is called for by including more countries from all parts of the globe, and also to cope with the constant changes occurring in the geo-political environment of the contemporary world. Currently, the authors are in the process of conducting comparative analysis among the results of other clustering techniques to identify specific strengths and weaknesses of neural clustering methods over others. This would provide further insights into the nature and type of cluster composition emerging from various techniques. Hopefully, propositions from this paper will trigger more research interests in the use/application of novel and non-traditional research techniques, such as Neural Networks Analysis in the fields of international HRD, comparative, and cross-cultural management in future.

References

- Adier, N. (1982). *Understanding the ways of understanding: Cross cultural management methodology reviewed*, Canada: McGill University.
- Babri, H.A. (1992). *Neurodynamic networks for recognition of radar targets*. Unpublished Doctoral Dissertation, University of Pennsylvania, Philadelphia, PA.
- Badawy, M.R. (1979). Managerial attitudes and need orientations of Mid-Eastern executives: An empirical cross-cultural analysis. Paper presented at the *Annual Meeting of the Academy of Management*, Atlanta, GA (August, 1979).
- Bendix, R. (1969). Contributions of the ccomparative approach. In J. Bodewyn (Eds.), *Comparative management and marketing*, Glenview, IL: Scott Foresman.
- Berry, J.W. (1979). Research in multicultural societies: Implications of cross-cultural methods. *Journal of Cross Cultural Psychology*, 10(4), 415-434.
- Bhagat, R.S., & McQuaid, S.J. (1982). Role of subjective culture in organizations: A review and direction for future research. *Journal of Applied Psychology Monograph*, 67(5), 635-685.

- Boulard, A.B., & Morgan, N. (1994). *Connectionist speech recognition: A hybrid approach*, Kluwer Academic Publishers, MA.
- Child, J. (1981). Contingency and capitalism in the cross national study of organizations. In L. L. Cummings & B. M. Staw (Eds.), *Research in Organizational Behavior, Vol. 3*, Greenwich, CT: Jai Press.
- Daugmann, J.G. (1988). Complete discrete 2-D Gabor transforms by neural networks for image analysis and compression, *IEEE Trans. Acoustics, Speech, and Signal Processing*, 36(7), 1169-1179.
- England, G.W. (1978). Managers and their value systems: A five country comparative study, *Columbia Journal of World Business*, 13(2), 35-44.
- Gordon, L.V. (1967). *Survey of personal values—Manual*. Chicago, IL: Science Research Associates.
- Gordon, L.V. (1976). *Survey of interpersonal values-revised manual*. Chicago, IL: Science Research Associates.
- Griffeth, R.W., Horn, P.W., Denisi, A., & Kirdmer, W. (1980). A multivariate multinational comparison of managerial attitudes. Paper presented at the *Annual Meeting of the Academy Management*, Detroit, MI.
- Haire, M., Ghiselli, E.E., & Porter, L.W. (1966). *Managerial thinking: An international study*, New York, NY: John Wiley & Sons, Inc.
- Hall, E. (1959). *The silent language*, Garden City, NY: Double Day & Co.
- Hartigan, J.A. (1975). *Clustering algorithms*, New York, NY: Wiley & Sons.
- Haykin, S. (1994). *Neural networks: A comprehensive foundation*, New York, NY: MacMillan College Publishing Co.
- Hofstede, G. (1976). Nationality and espoused values of managers. *Journal of Applied Psychology*, 61, 148-155.
- Hofstede, G. (1984). *Culture's consequences: International differences in work-related values*, Beverly Hills, CA: Sage Publications.
- Hofstede, G. (1997). *Cultures and organization~ Software of the mind*, NY: McGraw-Hill Book Company.
- Jamieson, I. (1980). Capitalism and culture: A comparative analysis of British and American manufacturing organizations, *Sociology*, 14, 217-245.
- Kamgar-Parsi, B., Gualtieri, J.A., Devaney, J.E., & Kamgar-Parsi, B. (1990), Clustering with neural networks, *Biol. Cybern.*, 63, 201-208.
- Kohonen, T. (1984). *Self-organization and associative memory*. Berlin: Springer.
- Kohonen, T. (1990). The self-organizing map, *Proceedings of the IEEE*, 78, pp. 1464-1480.
- Kraut, A.I. (1975). Some recent advances in cross-national management research. *Academy of Management Journal*, 18, 538-549.
- Moody, J., & Darken, C.J. (1989). Fast learning in networks of locally-tuned processing units. *Neural Computation*, 1, 281-294.
- Murdock, G.P. (1945). The common denominator of culture. In R. Linton (Eds.), *The science of man in world crisis*, New York, NY: Columbia University Press.
- Narendra, K.S., & Parthasarathy, K. (1990). Identification and control of dynamical systems using neural networks, *IEEE Trans. Neural Networks*, 1, 4-27.
- Naroll, R. (1968). Some thoughts on comparative methods in cultural anthropology. In H. M. Blalode & A. B. Blalock (Eds.), *Methodology in social research*. New York, NY: McGraw-Hill.
- Negandhi, A.R. (1973). *Modern organizational theory*, Kent, OH: Kent State University Press.
- Negandhi, A.R. (1983). Cross-cultural management research: Trends and future directions, *Journal of International Business Studies*, 14, 17-28.
- Osman-Gani, A.A.M. (1991). *International transfer of management technology within a multinational enterprise: A gross-national study of managers' perceptions*. Unpublished Doctoral Dissertation. The Ohio State University, Columbus, Ohio.
- Osman-Gani, A.A.M., & Babri, H.A. (1995). Neural processing paradigms in clustering countries for cross-cultural management decisions. Proceedings of the *Academy of International Business Annual Conference 1995*, Seoul, Korea, November 15-18, 1995.
- Osman-Gani, A.A.M., & Jacobs, R.L. (1996). Differences in perceptions of human resource development across countries: An exploratory study of managers in a multinational enterprise. *Journal of Transnational Management Development*, 2(3), 21-35.

- Osman-Gani, A.A.M. (2000). Developing expatriates for the Asia-Pacific Region: A comparative analysis of MNE managers from five countries across three continents. *Human Resource Development Quarterly*, 11(3), 213-243.
- Porter, L.W. (1961). A study of perceived need satisfaction in bottom and middle management jobs. *Journal of Applied Psychology*, 45, 1-10.
- Redding, G. (1976). Some perceptions of psychological needs among managers in South-East Asia, In H. Poortinga (Eds.), *Basic problems in cross-cultural psychology*, (pp. 338-343). Amsterdam, Netherlands: Swets & Zeitlinger B.V.
- Refenes, A.N., Zapranis, A., & Francis, G. (1994). Stock performance modeling using neural networks: A comparative study with regression models. In *Neural Networks*, Vol.7, No. 2, pp. 375-388, Elsevier Science Ltd., U.S.A.
- Roberts, K.H. (1970). On looking at an elephant: An evaluation of cross-cultural research related to organizations, *Psychological Bulletin*, 74(5), 327-350.
- Roberts, R.H., & Snow, C.C. (1973). A symposium: Cross national organizational research, *Industrial Relations*, 12(2), 137-247.
- Robinson, R.D. (1978). *International business management-A guide to tension making*, (2nded.), Hinsdale, IL: Dryden Press.
- Ronen, S., & Kraut, A.I. (1977). Similarities among countries based on employee work values and attitudes. *Columbia Journal of World Business*, 12(2), 89-96.
- Ronen, S., & Shenkar, O. (1985). Clustering countries on attitudinal dimensions: A review and synthesis. *Academy of Management Review*, 10(3), 435-454.
- Ross, M.H. and Homer, E. (1976). E. Galton's problem in cross-national research, *World Politics*, (October, 1976), pp. 1-28.
- Rumelhart, D.E., Hinton, G.E., & Williams, R.J. (1986). Learning internal representations by error propagation. In D.E. Rumelhart & J.L. McClelland, (Eds.), *Parallel distributed processing, Exploration of the microstructure of cognition*, vol. 1: *Foundations*. Cambridge: MIT Press.
- Sekaran, U. & Martin, H.J. (1982). An examination of the psychometric properties of some commonly researched individual differences. Job and organizational variables in two cultures. *Journal of International Business Studies*, 13(1), 51-65.
- Schoenenburg, E. (1990). Stock price prediction using neural networks: A project report. *Neurocomputing*, 2, 17-22.
- Sirota, D., & Greenwood, J.M. (1971). Understand your overseas workforce. *Harvard Business Review*, 49(1), 53-60.
- Sorge, A. (1982). Cultured organization. *International Studies of Management and Organization*, 12(4), 106-138.
- Tam, K.Y. (1991). Neural network models and the prediction of bankruptcy. *OMEGA Int. J. of Mgmt. Sci.*, 19, 429-445.
- Townsend, A.M., Scott, K.D., & Maikhamb, S.E. (1990). An examination of country and culture based differences in compensation practices. *Journal of International Business Studies*, 21(4), 667-678.
- Triandis, H.C. (1972). *The analysis of subjective culture*. New York, NY: Wiley & Sons.
- Trompenaars, F. (1998). *Riding the waves of culture: understanding cultural diversity in business*. London: The Economist Press.
- Udo, G.J. (1992). The implications of neural networks for improving business effectiveness: An analysis, *Int. J. of Mgmt.*, 9, 389-398.

Construct Validation of an Arabic Version of the Learning Transfer System Inventory (LTSI) for use in Jordan

Samer Khasawneh

Reid A. Bates

Elwood F. Holton III

Louisiana State University

The purpose of this study was to translate and validate an Arabic version of the Learning Transfer System Inventory (LTSI) for use in Jordan. The LTSI was administered to 450 employees employed by public and private sector organizations operating in Jordan. Principle axis factoring with oblique rotation was used to uncover the underlying structure of the Arabic version of the LTSI (ALTSI). Results showed a latent factor structure highly consistent with the original LTSI..

Keywords: Learning Transfer, Construct Validation, Jordan

The world has become a globalized economic system, where countries with high levels of technology, finance, and information have more advantages in controlling the sources of human capital, raw materials, and product development and distribution. Jordan, a small but strategic country, plugged into the world economic system by privatizing its economy to attract foreign investments and is pursuing further steps in developing human capital in both private and public sectors (Central Bank of Jordan, 1994). Human Resource Development (HRD) in Jordan leads to the economic development of the whole nation and plays an essential role in the development of the countries surrounding Jordan (Central Bank of Jordan, 1994).

Jordanian organizations, like organizations throughout the Middle East, have invested heavily in the training and development of their employees. For example, organizations in the Middle East spend more than twice on training per employee (\$783) than do organizations in Latin America (\$311). This level of investment per employee is also substantially higher than the overall world average (\$630) (ASTD, 2002). In short, Jordanian organizations - as with US organizations - see investment in training activities as critical for continuously improving individual job performance and overall organizational success.

The challenge of such investments, however, is assuring that the training that occurs can be transferred into on-the-job performance. Although virtually no research has been done on learning transfer in organizations operating Jordan or other Middle Eastern countries, it is likely that these organizations face similar transfer challenges as their Western counterparts. For example, in organizations operating in the US the transfer problem – or the inability of individuals to take what is learned in training and transfer it to improved job performance – is so pervasive that there is rarely a learning-to-performance situation in which such a problem does not exist (Broad & Newstrom, 1992). Although the precise amount of transfer that occurs across training programs has not been empirically determined, the most cited estimate is that only 10 to 15% of learning is ultimately applied on the job.

The transfer problem has generated a good deal of research interest in HRD. Since Baldwin & Ford's (1988) landmark review of transfer research over a decade ago a good deal of progress has been made in understanding the complex of factors that can influence learning transfer in the workplace. For example, a range of research has been focused on understanding the various dimensions of training design that can influence transfer (e.g., Kraiger, Salas, & Cannon-Bowers, 1995; Goldstein & Musicante, 1986). Other research has examined a range of individual difference variables that can affect transfer including readiness for training (Tannenbaum & Yukl, 1992), efficacy beliefs (Eden & Kinnar, 1991) and even workplace literacy (Bates & Holton, in press). Another stream of research has examined the influence of work environments focusing on factors such as interpersonal support, (Bates, Holton, Seyler, & Carvalho, 2000), opportunity to transfer (Ford, Quinones, Sego, & Sorra, 1992), and culture (Tracey, Tannenbaum & Kavanagh, 1995). More recently, researchers have concluded that a systems perspective of training transfer is a more useful approach because of the importance of examining a variety of factors that interact together to influence training transfer (Kozlowski & Salas, 1997; Mathieu, Martineau, & Tannenbaum, 1993). For example, Holton, Bates, & Ruona, (2000) conceptualized a model of training transfer, which included a whole set of transfer factors. The conceptual transfer model recognizes that transfer is influenced by a system of factors (the learning transfer system). This system includes factors such as interpersonal support for transfer, reward systems, personal characteristics, motivational influences, and training design elements. Coincident with this has been the recognition

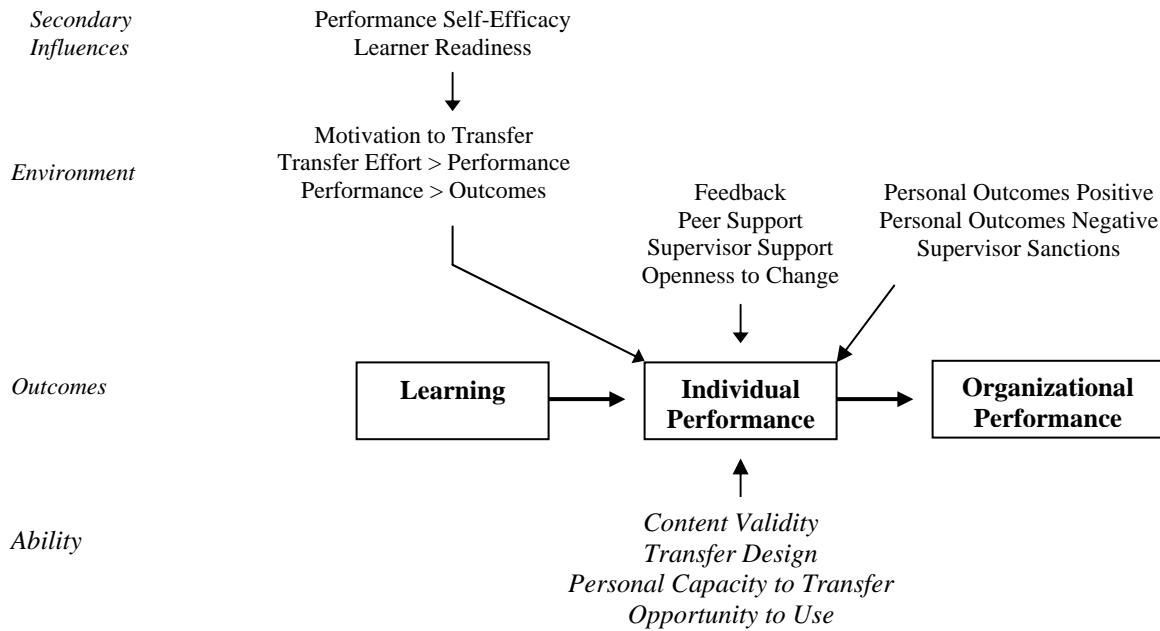
Copyright © 2004 Samer Khasawneh , Reid A. Bates, & Elwood F. Holton III

that a fundamental and critical shortcoming of transfer research has been the inability to assess, measure, and diagnose the complex or system of factors that can influence transfer. To this end, efforts have been made to develop valid and comprehensive measurement tools for assessing transfer and critical antecedent factors. One such instrument is the Learning Transfer Systems Inventory (LTSI) (Holton et al., 2000). The LTSI has been widely used across different organizations and training types to diagnose barriers and catalysts to transfer, and several studies have provided evidence of the instrument's construct (Holton et al., 2000; Bookter, 1999) and criterion-related validity (Bates, 2001; Bates, Holton, Seyler, & Carvalho, 2000). More recent research suggests the LTSI may also have cross-cultural applicability (e.g., Chen, 2003; Yamnill, 2001). The goal of the present study is to extend to cross-cultural applicability of the LTSI to organizations operating in Arabic cultures with a specific focus on Jordan.

The Learning Transfer Systems Inventory (LTSI)

The LTSI is currently the only validated instrument available that measures a comprehensive set of learning transfer system factors. It is based on the theoretical framework of the HRD Research and Evaluation Model (Holton, 1996). The macro-structure of the model (see Figure 1) views training outcomes as a function of ability, motivation, and environmental factors (Noe & Schmitt, 1986) at three outcome levels: learning, individual performance, and organizational performance. Secondary influences such as efficacy beliefs are included and are believed to influence transfer primarily through their influence on motivation. The LTSI assesses 16 factors that are grouped to represent the four factor in the macro structure of the Research and Evaluation Model. These include motivation elements (motivation to transfer, transfer-effort expectations, and effort-performance expectations), environmental elements (supervisor support, supervisor sanctions, peer support, personal-outcomes positive, personal-outcomes negative, and openness to change), ability/enabling elements (content validity, transfer design, opportunity to apply training, and personal capacity for transfer), and secondary elements (self-efficacy and learner readiness). The first three categories can directly influence learning transfer whereas secondary influences have indirect influence on learning transfer through their influences on motivation.

Figure 1. Conceptual Model of the LTSI



Copyright © 1998 E. F. Holton and R. Bates

The LTSI can be used in multiple ways to improve training effectiveness and transfer in organizations. It can be used before training as a diagnostic tool to discover unknown and potential transfer problems and identify leverage points for change. It can be used as an additional evaluative tool following training to obtain additional information about why a training program did or did not work. The LTSI is also valuable as a diagnostic tool for investigating known transfer of training problems; as a means for targeting interventions designed to enhance transfer; as a mechanism for incorporating evaluation of transfer into regular employee assessments; and as an assessment tool to identify knowledge and skills needed by supervisors and trainers to support learning transfer (Holton, 2003).

Research Question

For Jordanian organizations, access to instruments such as the LTSI is critical. The capacity to assess transfer and transfer-related factors would not only help provide more complete understanding of training effectiveness in Jordanian organizations, but accurate assessment is a critical first step if organizations are to realize the full benefit from training investments. This research reports on efforts to translate and establish construct validity of an Arabic version of the LTSI for use in Jordanian organizations. The following research question was addressed: *Will construct validation of an Arabic version of the LTSI (the ALTSI) using exploratory factor analysis result in an interpretable factor structure consistent with the original LTSI?*

Methodology and Research Design

Population and Sample

The population for this study included public and private sector organizations operating in Jordan. The sample was chosen as heterogeneous as possible to ensure organizational mixture. Initial access to the organizations was gained through personal contacts. Because of limited access to subjects in Jordan, both purposive sampling and convenient sampling (Ary, Jacob, & Razavieh, 1996) were used. Specifically, organizations were included in the study if they had provided some type of employee training within six months prior to our initial contact and were willing to participate in the study. Twenty-eight organizations participated and provided an initial sample of 500 employees. Data were collected from 450 subjects for a response rate of 90%.

Instrumentation

The LTSI is an 89-item instrument with two sections. The first section contains items measuring 11 constructs representing factors affecting the specific training program that respondents have completed. Respondents are directed “*to think about this specific training program*” when responding to these items. The constructs in this section are program specific in that they are expected to vary depending on the training program. The second section of the LTSI contains 26 items measuring five constructs that reference factors that reflect respondents’ general experience with training in the organization. Respondents are directed to “*think about training in general in your organization*” when responding to these items. Since transfer of learning refers to individual behaviors, items in the LTSI were designed to measure individual perceptions of constructs. Respondents are asked to rate the items on a Likert-type scale ranging from 1 = strongly disagree to 5 = strongly agree.

The LTSI was translated into Arabic. To ensure equivalence of meaning of the items and constructs between the Arabic and English versions of the LTSI, a rigorous translation process was used that included forward and backward translation and subjective, objective, and pilot evaluations. The goal of the translation and various evaluation procedures was to produce an Arabic version of the LTSI with items that were equivalent *in meaning* to the original English version. This last point is important because the goal was an *equivalent translation* not an identical word-by-word translation. Equivalent translations emphasize functional equivalence or the equivalence of meaning of items across the original and translated instruments. Functional equivalence helps to ensure that the instrument works in the new target culture as well as it does in the original culture because the item-by-item translation is based on achieving equivalence in meaning rather than just the form of the sentence or word-by-word translations. The translation process is summarized below.

Forward and backward translation. Two translators bilingual in English and Arabic separately translated the English version of the LTSI into Arabic (forward translation). These translators were instructed to retain both the form (language) and the meaning of the items as close to the original as possible but to give priority to meaning equivalence and they agreed to use common language in the translation. The two translations were then compared to assess the item-by-item consistency. In the case of discrepancies or disagreements, the items were discussed and revised until consensus was reached. When the Arabic translation was finalized, the instrument was then back-translated (from Arabic to English) by two other people bilingual in English and Arabic.

Subjective evaluation. The items in the back-translated English version were then evaluated by one of the original LTSI authors to ensure that the meanings of the LTSI items were equivalent in both the original English versions and the back-translated version. If substantial differences in meaning were found between items, those items were put through the forward and back-translation process again until the author was satisfied there was meaning equivalence.

Objective evaluation. Following the subjective evaluation, a more ‘objective’ approach was used to further establish meaning equivalence. In this evaluation, a group of 19 native English speakers (HRD graduate students and other HRD professionals) rated the equivalence of meaning between the original LTSI items and the back-translated (English) items. A 7-point Likert-type rating scale was used with anchors ranging from 1 (Not at all similar in meaning) to 7 (Very similar in meaning). Items with mean ratings below four were put through the forward and back-translation process until adequate meaning equivalence was established. No items fell below this threshold and therefore no further revisions were made to the translated instrument.

Pilot test. The Arabic version of the LTSI was pilot tested with a group of 12 employees in Jordan to collect feedback on instructions and language in the instrument. This feedback did not lead to any substantive changes.

Data Collection

The ALTSI was administered in Jordan to employees at varying time lengths following an episode of organizational training. Time of administration varied from directly after training to six months after training. When distributed immediately after a training program, either the researchers or the administrator of the training distributed and collected the instruments. In the other cases, the instruments were distributed to trainees through the human resources personnel and then returned to the researchers. Responses were anonymous.

Data Analysis

Exploratory (common) factor analysis was used to identify the latent construct structure of the ALTSI and to provide some evidence of construct validity. Common factor analysis is considered more appropriate than principal component analysis when the objective is identification of latent structures (Nunnally & Bernstein 1994) and more accurate than principal components analysis when the data correspond to the assumptions of the common factor model (Fabrigar, Wegener, MacCallum, & Strahan, 1999). Oblique rotation was employed because of its suitability for latent variable investigation when latent variables may or may not be orthogonal (Hair, Anderson, Tatham, & Black, 1998). The initial criterion used to determine the number of factors to retain was an eigenvalue greater than or equal to one.

Results

Demographic Profile

The 450 respondents were almost equally divided between males and females. The participants in this sample were predominantly age 30 and older (71.4%) and that the majority of the respondents held a bachelor’s degree (69.1%). Forty-two percent of the respondents had work experiences that ranged between four to ten years. Finally, most of the respondents (61.8%) worked in private organizations.

Factor Analysis

The data were screened in several ways to ensure their normality and appropriateness for factor analysis. With respect to normality, visual inspection of the histogram, mean, median, mode, skewness, and kurtosis for each item shows that the data are normally distributed. With regard to the appropriateness of the data for factor analysis, two statistical tests (overall Measure of Sampling Adequacy (MSA) and the Bartlett Test of Sphericity) were conducted. Both of these measures quantify the intercorrelations among variables and provide evidence of the factorability of the data. The results of the MSA (.87) and the Bartlett Test of Sphericity ($p < .05$) indicated that the data were suitable for factor analysis. The two sections of items in the instrument (training-specific and training-in-general) were factor analyzed separately since each represents a different domain of constructs.

Training-specific domain (63 items). The item-to-respondent ratios for the training-specific section was approximately 7:1, well within the recommended ratio for factor analysis. The MSA for individual items was examined first in order to exclude any that did not meet the minimum recommended value of .60 or higher (Hair et al., 1998). None fell below this value. The overall MSA for the training-specific items was then examined and at .87 it indicated this set of items was appropriate for factor analysis. Exploratory factor analysis procedures were completed for the purpose of identifying the latent constructs underlying the data. The criteria for determining how many factors to extract included eigenvalue greater than one rule, and a visual inspection of both the scree plot (Ary et al., 1996) and several trial solutions. The initial analysis was run without specifying how many factors to retain. This procedure resulted in 16 factors explaining 64.40% of the common variance. However, this factor structure did not appear to be the best representation of the data because of multiple cross-loadings and latent factors

that were difficult to interpret. The scree plot indicated the extraction of 9 to 13 factors. The final determination of how many factors to retain was made after comparing solutions extracting 13, 12, 11, 10, and 9 factors respectively.

The 12-factor solution for the training-specific items explained 57.23% of the common variance and produced the latent structure that was the best representation of the data. Of those 12 factors, 11 closely matched that the constructs in the original LTSI. However, the 12th factor was dropped because it contained two items that did not have a strong conceptual connection to one another and that cross-loaded (>.20) across multiple factors. The residual correlation matrix was also examined and no meaningful residuals were found, further suggesting that the 12-factor structure was the appropriate and that the extraction of more or fewer factors would not improve the structures representation of the data. Items were retained on factors if they had a minimum loading of .30 and were deleted if they had a cross loading above .20. Using these criteria, 44 items of the original 63 items were retained on the ALTSI and accounted for 55.16% of the total variance. Nineteen items were dropped because of low factor loadings and/or cross-loadings. All but one item loaded on the factor it was associated with in the original LTSI. Factor loadings for items retained in this solution ranged from .34 to .77 with an average loading of .61 on major factor and .05 on the rest of the factors. In short, the 12 factor solution extracted 11 interpretable factors including highly consistent with the following constructs from the original LTSI: learner readiness, motivation to transfer learning, personal outcomes-positive, personal outcomes-negative, personal capacity for transfer, peer support, supervisor/manager support, supervisor/manager sanctions, perceived content validity, transfer design, and opportunity to use training.

Table 1. Factor Loadings, Eigenvalues, and Variance Explained for the ALTSI Training-Specific Factors

Training-Specific Factors										
1	2	3	4	5	6					
Transfer Design	Sup Sanctions	Lrnr Readiness	P O Positive	Sup Support	Mot to Transfer					
Items	Loading	Items	Loading	Items	Loading	Items	Loading	Items	Loading	Items
52	.74	36	.62	13	.72	8	-.87	39	.72	4
54	.70	35	.63	10	.68	7	-.86	33	.70	3
51	.63	45	.62	9	.60	6	-.83	40	.69	2
53	.62	34	.60	1	.51	15	-.34	43	.65	5
55	.58	44	.44					37	.58	
		41	.43					32	.57	
Eigenvalues/percentage of variance explained										
11.71		5.28		3.05		2.75		2.07		1.87
18.59		8.39		4.85		4.37		3.28		2.97

Table 1 (con't)

Training-Specific Factors										
7	8	9	10	11						
P O Negative	Personal Capacity	Peer Support	Content Validity	Opp to Use						
Items	Loading	Items	Loading	Items	Loading	Items	Loading	Items	Loading	Items
21	.74	11	.74	29	.77	47	-.59	61	-.69	
14	.51	20	.59	30	.74	48	-.58	63	-.67	
24	.45	12	.48	28	.61	58	-.45			
				31	.58					
Eigenvalues/percentage of variance explained										
1.77		1.74		1.60		1.53		1.37		
2.81		2.77		2.53		2.43		2.18		

In sum, loading of items was characterized by interpretable simple structure, meaning that it has high loadings on one factor and minimum cross-loadings on the rest of the factors. Finally, all factors had an acceptable reliability ranging from .62-.87, with an average alpha of .76, suggesting that this factor structure should be retained. Eight of the 11 scales exceeded Nunnally and Bernstein's (1994) suggested minimum reliability of at least .70 for instruments in early stages of development.

Training-in-general domain (26 items). The item to variables ratio was approximately 21:1, again well within the recommended ratio for factor analysis.. All individual items in the training-in-general domain had an acceptable MSA value above .60 (Hair et al., 1998), and the MSA for the this section as a whole was .85, indicating it was appropriate for factor analysis. The initial examination of the eigenvalues greater than one suggested the presence

of seven factors, explaining 60.78% of the total variance. However, this factor structure contained multiple cross-loading greater than .20 and at least one scale that was difficult to interpret. In addition, the scree plot indicated the extraction of anywhere from 5 to 7 factors might be appropriate. In an effort to respond to these issues, the final decision of how many factors to extract was made after comparing solutions extracting 7, 6, and 5 factors respectively.

The five-factor solution explained 52.51% of the common variance, it represented the most meaningful solution in terms of interpretable latent factors, and it was highly consistent with the original LTSI (Holton et al., 2000). The residual matrix was also examined for the five-factor solution and very low correlations existed, suggesting that the extraction of additional factors may not be appropriate. After using a cut off value of .30, along with deleting cross-loadings above .20, 22 items of the original 26 items were retained. These factors included transfer of effort-performance expectations, performance-outcomes expectations, resistance/openness to change, performance self-efficacy and feedback/performance coaching. The average loading on major factor was .61 with an average loading of .05 on the rest of the factors. Overall reliabilities were above the minimum level (.70) except for the *resistance/openness to change* factor which yielded an alpha of .53. Reliabilities ranged from .79 to .86, with an average alpha of .76, indicating that true factors did exist.

Table 2. Factor Loadings, Eigenvalues, and Variance Explained for the ALTSI Training-in-General Factors.

Training-in-General Factors									
1 Feedback		2 Perf Self-Efficacy		3 Perf > Outcomes		4 Open to Change		5 Transfer Effort > Perf	
Items	Loading	Items	Loading	Items	Loading	Items	Loading	Items	Loading
80	.78	83	-.73	67	-.84	76	.57	66	.78
86	.75	84	-.59	68	-.80	74	.53	65	.65
81	.73	82	-.59	72	-.67	77	.44	69	.56
89	.59	85	-.52			73	.33	71	.52
88	.50					78	.30		
79	.37								
Eigenvalues/percentage of variance explained									
6.62		2.26		1.94		1.56		1.28	
25.45		8.71		7.45		6.00		4.90	

Summary of Factor Analysis Results

For both the training-specific and training-in-general analyses (a) factor loadings reflected interpretable simple structures; (b) only items with loading .40 or higher were included in the scales; and (c) average item loading values were greater than .50 on major factors and less than .15 on other factors for all scales. Except for the *Openness to Change* construct, all the ALTSI constructs showed acceptable levels of internal consistency as measured by Cronbach's alpha for scales in the early stages of development (.79-.86). For the training-specific domain, 11 factors emerged, explaining 55.16% of the total variance. All items (except for one item) loaded on their respective factors as hypothesized by the original LTSI. Finally, using a cut off for factor loadings of .30, and deleting cross-loading above .20, 44 items were retained for the calculation of scale scores. For the training-in-general domain, five factors were extracted, explaining 52.51% of the variance. Twenty-two items were retained and were highly consistent with that of the original LTSI items.

Discussion

The original LTSI is well-grounded in previous research and theory and has exhibited fairly robust psychometric qualities. Previous research in the U.S. has established the construct validity (Holton et al., 2000), convergent/divergent validity (Bookter, 1999), and criterion-related validity of the instrument (Bates, 2001; Bates et al., 2000; Seyler, Holton, Bates, Burnett, & Carvalho, 1998). In addition, the LTSI has shown evidence of cross-cultural construct validity in both Thailand (Yamnill, 2001) and Taiwan (Chen, 2003). The results of the present factor analysis indicated that 16 latent factors (with 66 items) emerged from the Jordanian data collected with the ALTSI. These factors closely matched the factors found in the original LTSI. Results suggest that the Arabic version of the LTSI can provide reliable and internally consistent measurement for learning transfer system constructs in Jordan. These results are consistent with other cross-cultural instrument validation research done with the LTSI and suggest the constructs assessed by the LTSI may be robust across cultures.

This study proposes new areas for future research. First, the psychometric properties of several ALTSI scales could be improved. For example, there is a need to increase the number of items on several factors. Factors such as *performance outcomes-negative, capacity for transfer, content validity, and performance outcomes-expectations* had only three items while *opportunity to use training* had two items. Increasing the number of items on these scales to four or five would enhance their reliability. In addition, the reliability estimate for the *openness to change* scale was lower than desirable (.53). Several items on this scale may require revision in order to enhance scale reliability.

The second recommendation would be to add more factors to the ALTSI that may specifically pertain to the Jordanian culture. A qualitative effort that includes interviews and focus groups would be helpful in uncovering those factors. For instance, Jordanians are characterized as being a collectivistic society, then organizational commitment and job involvement might play a role in facilitating or hindering learning transfer. Therefore, factors specifically related to these constructs could be developed.

At the third stage a confirmatory factor analysis (CFA) of the ALTSI would further establish the construct validity of the scales. CFA methodology is necessary to confirm that those items found to belong to a certain factor in the initial exploratory factor analysis actually exist. Once confirmed, the ALTSI can be explored with a different sample to ensure that the factor structure exists in the Jordanian culture. Path modeling and structural equation modeling are other techniques that could be used to demonstrate the predictive relationship and its direction among the ALTSI constructs in the Jordanian culture. These techniques could be used as a first step toward theory development. The fourth stage would be to establish the criterion validity of the ALTSI by establishing its ability to predict other important domains in the field of HRD such as organizational learning (Kaiser, 2000) and training participation (Bates, 2001).

The final stage would involve comparing the responses from the Jordanian culture with those from the American culture after employing invariance testing techniques. Invariance testing allows comparison of results across different sampling parameters to determine how similar or different the results are. This is an important technique in establishing the replicability of results for future research.

Implications for the Field of HRD

This research is important because it represents an important effort to disseminate and share HRD tools and expertise across geographic and cultural boundaries. This is critically important given the global nature of business today and the internationalization of the field of HRD. For example, creating an Arabic version of the LTSI will enable HRD practitioners in Jordan to investigate the factors that influence transfer and to more fully evaluate the effectiveness of training. It also has the potential to enable the comparison of transfer systems across geographic and cultural boundaries and to help us learn more about how learning and performance are linked and facilitated. Understanding this linkage may be even more critical in developing economies where effective learning-performance linkages are perhaps not as well understood or pursued but nevertheless have the potential to dramatically improve individual performance and organizational competitiveness. Certainly the study of learning transfer can draw attention to the importance of transfer in the viability of organizations and the economy as a whole in Jordan and spur greater intent and effort in understanding training effectiveness. Moreover, knowing that many international and multinational organizations are expanding overseas, the local and international HRD functions, will gain deeper understanding of the transfer systems that exists in Arabic cultures, develop interventions to enhance learning transfer, and ultimately improve organizational performance.

On the other hand, HRD in the U. S. will have further proofs to the validity and reliability of the LTSI psychometric properties. The LTSI can be used to guide the efforts of the HRD function in enhancing training effectiveness and diagnose early problems with learning transfer. Such effort will have a great benefit to the organization as a whole by contributing to the bottom line results and further may provide further evidence to the credibility of the HRD function.

References

- Ary, D., Jacob, L. C., & Razavieh, A. (1996). *Introduction to research in education*. (5th ed.). Fort Worth, TX: Harcourt Brace College Publishers.
- ASTD (2002). ASTD highlights international training trends in its 2002 international comparisons report. http://www.astd.org/virtual_community/press_room/ICReport.html.
- Baldwin, T. T., & Ford, J. K. (1988). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41(1), 63-105.
- Bandura, A. (1977). Self-efficacy: Toward a unifying theory of behavior change. *Psychological Review*, 84, 51-67.

- Bates, R. A. (2001). Public sector training participation: An empirical investigation. *International Journal of Training and Development*, 5(2), 136-150.
- Bates, R. A., & Holton, E. F. III (in press). Linking workplace literacy skills and transfer system perceptions. *Human Resource Development Quarterly*.
- Bates, R. A., Holton, E. F., Seyler, M. A., & Carvalho, M. A. (2000). The role of interpersonal factors in the application of computer-based training in an industrial setting. *Human Resource Development International*, 3(1), 19-42.
- Bookter, A. I. (1999). *Convergent and divergent validity of the learning transfer questionnaire*. Unpublished doctoral dissertation. Louisiana State University, Baton Rouge.
- Broad, M. L., & Newstrom, J. W. (1992). *Transfer of training: Action-packed strategies to ensure high payoff from training investments*. Reading, MA: Addison-Wesley.
- Bunch, K. J. (2001). Organizational culture and training effectiveness. *Proceedings of the Academy of Human Resource Development, USA*, p. 957-961.
- Central Bank of Jordan. (1994). *Monthly statistical bulletin*. National Center for Human Resource Development.
- Chen, H. C. (2003). *Cross-cultural construct validation of the learning transfer system inventory in Taiwan*. Unpublished doctoral dissertation, Louisiana State University, Baton Rouge.
- Eden, D., & Kinnar, J. (1991). Modeling Galatea: Boosting self-efficacy to increase volunteering. *Journal of Applied Psychology*, 76(6), 771-780.
- Fabrigar, L. R., Wegener, D. T., MacCallum, R. C., & Strahan, E. J. (1999). Evaluating the use of exploratory factor analysis in psychological research. *Psychological Methods*, 4(3), 272-299.
- Ford, J. K., Quinones, M., Sego, D., & Sorra, J. (1992). Factors affecting the opportunity to use trained skills on the job. *Personnel Psychology*, 45, 511-527.
- Goldstein, I. L., & Musicante, G. R. (1986). The applicability of a training transfer model to issues concerning rater training. In E. A. Locke (Ed.), *Generalizing from laboratory to field settings* (pp. 309-330). Lexington, MA: Lexington Books.
- Hair, J. F., Anderson, R. E., Tatham, R. L., & Black, W. C. (1998). *Multivariate data analysis*. (5th ed.). Englewood Cliffs, NJ: Prentice Hall.
- Holton, E. F. (1996). Holton, E. F. III. (1996). The flawed four-level evaluation model. *Human Resource Development Quarterly*, 7(1), 5-21.
- Holton, E. F. III, & Baldwin, T.T. (2000). Making transfer happen: an action perspective on learning transfer systems. *Advances in Developing Human Resources*, 8, 1-6.
- Holton, E. F., & Bates, R. A. (2002). *The LTSI administration's guide*. School of Human Resource Education and Workforce Development. Baton Rouge, LA.
- Holton, E. F., Bates, R. A., & Ruona, W. E. A. (2000). Development of a generalized learning transfer system inventory. *Human Resource Development Quarterly*, 11(4), 333-361.
- Kaiser, S. M. (2000). *Mapping the learning organization: Exploring a model of organizational learning*. Unpublished doctoral dissertation, Louisiana State University, Baton Rouge.
- Kozlowski, S., & Salas, E. (1997). *A multilevel organizational systems approach for the implementation and transfer of training*. Mahwah, NJ: Erlbaum.
- Kraiger, K., Salas, E., & Cannon-Bowers, J. (1995). Measuring knowledge organization as a method for assessing learning during training. *Human Factors*, 37, 804-816.
- Mathieu, J. E., Martineau, J. W., & Tannenbaum, S. I. (1993). Individual and situational influences on the development of self-efficacy: Implications for training effectiveness. *Personnel Psychology*, 46, 125-147.
- Nunnally, J. C., & Bernstein, I. H. (1994). *Psychometric theory*. New York: McGraw-Hill.
- Rouiller, J. Z., & Goldstein, I. L. (1993). The relationship between organizational transfer climate and positive transfer of training. *Human Resource Development Quarterly*, 4(4), 377-390.
- Seyler, D. L., Holton, E. F., Bates, R. A., Burnett, M. F., & Carvalho, M. A. (1998). Factors affecting the transfer of training. *International Journal of Training and Development*, 2(1), 2-16.
- Tannenbaum, S. I., & Yukl, G. (1992). Training and development in work organizations. *Annual Review of Psychology*, 43, 399-441.
- Tracey, J. B., Tannenbaum, S. I., & Kavanagh, M. J. (1995). Applying trained skills on the job: The importance of the work environment. *Journal of Applied Psychology*, 80, 239-52.
- Yamnill, S. (2001). *Factors affecting transfer of training in Thailand*. Unpublished doctoral dissertation, University of Minnesota, Twin Cities.

Validating Constructs of a U.S.-based Transfer Instrument in Taiwan

*Hsin-Chih Chen
Elwood F. Holton III
Reid A. Bates
Louisiana State University*

Learning Transfer System Inventory (LTSI) is the only research-based instrument of transfer learning in the U.S.A. to be used in diagnosing strengths and weaknesses of organizational transfer systems. This study validated the LTSI for use in Taiwan. The sample contained 583 responses collected from 20 different organizations. The results of exploratory common factor analyses showed that 15 factors were validated for use in Taiwan. Of the 15, fourteen were identical to the original LTSI.

Keywords: Learning Transfer, Instrument Development, Translation Issue

HRD is a relatively new profession but not a new concept in Taiwan. A review of the history of human resource development in Taiwan vividly illustrates that HRD has been embedded in the government's human resource policy and linked to economic growth since 1953. The Taiwanese government has long perceived that developing highly competent human resources will lead to the nation's economic growth (Kuo & McLean, 1999).

HRD has been instrumental in Taiwan's economic miracle in Asia since the 1960s. Taiwan has been perceived as one of the four "little dragons" (i.e., the most rapidly industrialized countries) in East Asia, along with Hong Kong, Singapore, and Korea. Yuen (1994) asserted that Taiwan's government has created technical training and vocational schools that have dramatically enhanced workers' skills, knowledge and abilities. This factor has led Taiwan to be one of the most powerful economies in the world. According to the global competitiveness report of the World Economic Forum, published by the Center for International Development at Harvard University, Taiwan was ranked 3rd in economic growth, trailing only the U.S.A. and Finland (Cornelius, 2003). Although other factors such as government financial policies or market forces may influence Taiwan's economic growth, the government policies that highly value human capital point out the contribution of HRD to Taiwan's economic growth. Indeed, in a country with limited natural resources such as Taiwan, human capital is a more vital concept than in countries with fruitful natural resources such as the United States or China.

Due to the new era of globalization, organizations in Taiwan have been facing more rigorous competition than ever in recent years. As a result, HRD has received additional attention in both the public and private sectors. In the public sector, Taiwan's government has embedded the concept of HRD into the government transformation process. Several recent government policies have reflected the intensive need for human development. One of the most dramatic government policies putting the human resource development concept into action has been the legislation called "Civil Servant Life-Long Learning Passport" (CSLLP), which is approved by the Central Personnel Administration Department, Executive Yuan (CPA 200264 Act, 2001). The vision of the CSLLP legislation is to build an integrated human resource system by promoting innovation, continual learning, and employee learning initiatives to effectively and efficiently increase civil service to citizens with an ultimate goal of creating a learning government.

In private sectors, training has been a prevalent concern for organization decision makers. A major industrial and business magazine, Common Wealth, conducted a nation-wide study to the top 1000 companies in Taiwan. The top two priorities of those companies were training and development and research and development. As many as 47.8% of the top 1000 organizations perceived that training and development was the highest priority they needed to address (Chuang, 1998).

Problem Statement and Research Question

The priority on training and increasing expenditures on training have warranted that organizations will, sooner or later, want to know if training has led to higher performance and has created better organizational results. However, a study conducted by Lin and Chiu (1997) found that training evaluation practices in Taiwan focus more on levels of reaction and learning than on those of transfer and organizational results. In addition, training is one way to develop human resources, while transfer is an approach to unleash human expertise. It seems clear that both

Copyright © 2004 Hsin-Chih Chen, Elwood F. Holton III, & Reid A. Bates

should be equally important to HRD in Taiwan. Nevertheless, the current HRD practices in Taiwan seem not to pay enough attention to transfer. In order to focus on transfer issues and to get greater results, researchers and practitioners in Taiwan need to assess work environment factors as well as training factors. Although some transfer research has been conducted in Taiwan, none of them focused on developing a generalizable, valid instrument of transfer for use in organizations. Measuring effectiveness of transfer interventions would not be warranted unless a valid instrument could be deployed. Therefore, developing a valid instrument of learning transfer is important because it will help organizations effectively and efficiently manage transfer interventions by diagnosing the strengths and weaknesses of their transfer systems. Without such an instrument, transfer interventions are difficult to compare and the results may vary from one study to another.

The LTSI is a theoretically-based, generalizable instrument to be used in diagnosing an organization's strengths and weaknesses for learning transfer (Bookter, 1999). It was developed by Holton, Bates, and Ruona (2000) and is the only research-based transfer instrument available in the U.S.A. Therefore, the purpose of this study is to validate, through translation with qualitative, quantitative evaluations and feedback loops, the LTSI for use in Taiwan. The specific research question was "Are the LTSI's 16 factors valid for use in Taiwan's organizations?"

Literature Review

Transfer of Learning Overview

The review on transfer of learning in this study was not intended to be comprehensive. Rather, it is to offer fundamental concepts of transfer of learning for later discussions. The term transfer varies from one discipline to another. From the human resource development perspective, the terms "transfer," "transfer of training," "training transfer," "learning transfer," and "transfer of learning" are generally perceived as interchangeable terms. In general, transfer of training is defined as *the extent to which trainees apply what they learned in training, such as knowledge, skills, behaviors, and attitudes, to their jobs*.

Transfer of training generally consists of some common elements. These common elements are people, outcomes, applications, and contexts. People involved in transfer of training may include trainees, trainers, supervisors, peers, and subordinates (Broad & Newstrom, 1992; Facteau, Dobbins, Russell, Tadd, & Kudisch, 1995). The outcomes of transfer of training include cognitive, skill-based, and affective outcomes (Kraiger, Ford, & Salas, 1993). The application refers to the degree to which trainees are able to maintain or generalize learned skills to their jobs (Baldwin & Ford, 1988). Finally, the context relates to work environment, such as opportunity to transfer and resource availability (Ford et al., 1992).

Factors affecting transfer of training. Baldwin and Ford (1988) suggested that trainee characteristic, work environment, and transfer design factors could influence transfer. Other research investigating personality traits such as self-efficacy (Tracey et al., 2001) and job attitudes (Noe & Schmitt, 1986) are related to training motivation and transfer. Research focusing on investigating the effect of training design factors to transfer finds that transfer strategies such as relapse prevention (Wexley & Nemerooff, 1975) or matching training content to job utility (Bates et al., 1997) will influence transfer. And, research on work environment factors affecting transfer suggests that transfer climate (Rouiller & Goldstein, 1993) and opportunity to perform (Ford et al., 1992) influence transfer.

Managing transfer interventions. Based on a timeframe that transfer interventions could affect transfer of training, Broad and Newstrom (1992) suggested that transfer interventions or strategies could be applied before, during, and after training. The concepts of the before- and after-training interventions are similar to Tannbaum and Yukl's (1992) pre-training and post-training interventions. Several studies have tried to establish the relationship of pre-training interventions to training outcomes (e.g., Facteau et al., 1995). Other studies focusing on the relationship between post-training interventions and transfer of training (e.g., Richman-Hirsch, 2001) investigated the relationships among post-training interventions, work environment, and transfer of training. The results indicated that the goal-setting post-training interventions could affect transfer outcomes. Still, some research examined a combination of pre-training and post-training interventions (Werner, O'Leary-Kelly, Baldwin, & Wexley, 1994). Finally, Holton and Baldwin (2000) provided a broader conceptual framework for managing learning transfer systems. The LTSI can be administered to incorporate this framework and help manage transfer interventions.

LTSI Development

A number of studies have been utilizing the LTSI in different settings. Because the focus of this study was to validate the LTSI in Taiwan, only literature that related to the LTSI development was reviewed. The LTSI development was based on Holton's evaluation model (Holton, 1996; Holton et al., 2000). A summary of the LTSI development can be found in Table 1.

Table 1. Summary of the LTSI Development

<i>Construct Validity</i>	
Version 1 (LTQ)-Holton, Bates, Seyler, & Carvalho (1997)	<ul style="list-style-type: none"> Major purpose: Factorize an interpretable factor structure for transfer climate. Instrument: Derived from Rouiller and Goldstein's study (1993) with some item modifications. Sample: 189 operating technicians at a petrochemical manufacturing facility. Methodology: Exploratory factor analysis. Results: <ul style="list-style-type: none"> People perceive transfer climate by organizational referents (e.g., supervisor, peer/task, or self) rather than the psychological cues suggested by Rouiller and Goldstein (e.g., goal cues or social cues). A nine-construct structure was identified.
<i>Divergent and Convergent Validity</i>	
Bookter (1999)	<ul style="list-style-type: none"> Major purpose: Examine the convergent and divergent validity of the LTSI. Instrument: The LTSI and 17 other instruments. Methodology: Partial Person's Product Moment correlation coefficient was used to determine the degrees of convergent validity, divergent validity, and nomological network of the LTSI. Sixty-eight validated LTSI items were used for the analysis. Sample: 204 training participants from the United States Postal Service completed three surveys with 352 items in total. Results: <ul style="list-style-type: none"> The LTSI was an instrument that contained unique constructs. The LTSI was divergent in nature. Two constructs revealed strong convergent validity.
<i>Cross-cultural construct validation of the LTSI</i>	
Yannill (2001)	<ul style="list-style-type: none"> Major purpose: Validate the LTSI constructs in Thailand. Instrument: Thai version of the LTSI created through a series of forward-backward translations. Methodology: Proportionate sampling, exploratory factor analysis. Sample: 1,029 participants from various organizations in Thailand. Result: 16 identical LTSI constructs were determined.
<i>Criterion Validity</i>	
Study 1-Ruona, Leimback, Holton, & Bates (2002)	<ul style="list-style-type: none"> Major purpose: <ul style="list-style-type: none"> Relationships between Utility Reaction and the LTSI factors. Degree to which Motivation to Transfer is explained by Utility Reaction. Instrument: The LTSI. Methodology: Correlation and multiple regression analyses. Sample: 1,616 participants from various organizations. Results: <ul style="list-style-type: none"> Utility Reaction has higher associations with ability-related and motivation-related constructs in contrast to environment-related constructs. Reaction Utility is a significant predictor to predict Motivation to Transfer ($\Delta R^2=.038$). Reaction Utility may be indirectly related to performance but directly related to Motivation to Transfer.
Study 2- Seyler, Holton, Bates, Burnett, and Carvalho (1998)	<ul style="list-style-type: none"> Major purpose: Degree to which Motivation to Transfer is explained by 5 sets of the factors. Instrument: Some LTSI scales and other instruments. Methodology: Correlation and multiple regression analyses. Sample: 88 participants in a computer-based training program from two units of a petrochemical organization. Results: <ul style="list-style-type: none"> The full regression model with all factors included explained 60.5% of variance of Motivation to Transfer. Environmental factors, which were derived from the LTSI, contributed to a large amount of variance when other factors were taken into account ($\Delta R^2=.264$).
Study 3 Bates, Holton, & Seyler (1997)	<ul style="list-style-type: none"> Major purpose: Degree to which individual performance is explained by 11 factors. Instrument: Some LTSI items and other instruments. Methodology: Correlation and multiple regression analyses. Sample: 73 operation operators from two continuous production units in a petrochemical organization. Results: <ul style="list-style-type: none"> The full regression with all factors included explained 36 percent of variance in performance rating. Interpersonal climate constructs were the most powerful predictors in the model.
Study 4 Bates, Holton, Seyler, & Carvalho (2000)	<ul style="list-style-type: none"> Major purpose: Examine the predictive relationship of interpersonal factors to individual performance. Instrument: Some LTSI items and other instruments. Methodology: Correlation and multiple regressions. Sample: 73 operation operators from two continuous production units in a petrochemical organization. Results: <ul style="list-style-type: none"> Interpersonal support factors, which explained 38 percent of variance in performance ratings, were significant predictors for individual performance.
<i>Summary of the LTSI Development</i>	
<ul style="list-style-type: none"> Theoretically based (Holton's Evaluation Model) and empirically tested. Psychometrically sound (Construct validity, statistical analysis, criterion validity, cross-cultural construct validity) with acceptable scale reliabilities (Alpha ranges from .63 to .91 with only three of them below .70). 	

Methodology

Instrument

The LTSI was the instrument used in this study. This version of the LTSI has 89 items, which measure 16 constructs representing two construct domains: Training in Specific (63 items) and Training in General (23 items). Of the eight-nine items, sixty-eight were previously validated (Holton et al., 2000) while 23 were research items that designed to improve relatively low but acceptable liabilities of five constructs. All of the items used a Likert-type scale ranging from 1 (strongly disagree) to 5 (strongly agree). The LTSI was translated into Mandarin language. Because the quality of translation will ensure the functional equivalence between the two versions of the LTSI, a forward-backward translation with subjective, objective, and pilot evaluations was used to create the Taiwan version of the LTSI (Chen, 2003).

Forward and backward translations. Two bilingual translators (one of whom was the first author) first separately translated the English version of the LTSI to Mandarin. Both translators received HRD graduate degrees. These two translators were attempting to retain the form and the meaning of the items as close to the original as possible, and they agreed to use common language in the translation. Upon completion of the translation, the two forward translators compared their translated instrument item by item to assess the consistency of the translation. Items with disagreement or errors were further discussed and revised until both translators reached a consensus. A first draft version of Taiwan's LTSI (TLTSI) was then finalized, and this version of LTSI was labeled as the TLTSI-draft. A bilingual backward translator, who has never seen the LTSI before and had strong skills in both languages, then translated the TLTSI-draft back to English.

Subjective evaluation. The backward translation was then evaluated by one of the original LTSI authors by comparing the English version to the English back-translation of the TLTSI. The primary focus in this step was to make sure that the meanings of the LTSI items were equivalent in both English versions. Problematic items were sent back through the entire process: that is, they were re-translated and re-back-translated, and reviewed by the LTSI author. This process continued until no items exhibiting substantial differences could be found by the LTSI author.

Objective evaluation. According to Sperber et al. (1994), in most of the cross-cultural studies, the success of translation is based on the "translator's satisfaction," and relatively few have been done through an objective evaluation. As a check on the possible individual bias of the LTSI author, a quantitative approach of evaluation through an objective lens was also conducted in this study. The purpose of this evaluation was to test the quality of the transition by evaluating the two English versions, the original LTSI and the TLTSI-back.

Two measures, comparability of language and similarity of interpretability, were assessed. The former assesses the similarity of words, phrases, and sentences while the later assesses the similarity of an item's meaning. An instrument using a 7-point Likert-type scales ranging from 1 (extremely comparable/similar) to 7 (Not at all comparable/similar) was developed for this step. The instrument was distributed to a group of HRD graduate students and experts. All of them were English monolingual raters. A total of eighteen individuals received the instrument and fifteen of responses were returned, thirteen of which were useable. A 3.0 criteria was set to determine the effect of the two measures (scores above 3.0 indicated potential problematic items.)

In terms of the comparability of language measure, the results showed that 15 items had mean values greater than 3.0, indicating that the wording was not comparable. However, on the similarity of interpretability measure, the results showed that only eight items had mean values greater than 3.0. The similarity of interpretability measure became the primary focus of the translation because it tackles equivalence of meaning and the Mandarin language forces some sentence forms that appear awkward to English readers when back translated. The eight items with mean values of similarity of interpretability measure greater than 3.0 was further examined. None of them has mean value grater than 4.0. A closer examination of these items suggested that problems with these items were due to differences between the two different languages and no further revision was made (see Discussion section for more information on language differences).

Pilot test. The TLTSI was sent to nine HRD practitioners in Taiwan to collect feedback on whether or not the instrument and its instruction were understandable, and the technical terms in the instrument were interpretable in Taiwan. The comments provided by these HRD practitioners indicated that the instrument seemed appropriate for use in Taiwan except for some concerns about the length and possible repetitive items in the instrument. However, the repetitive items were the research items intended to improve the reliability of some lower reliability scales. Therefore, all of the items were retained and the TLTSI was finalized.

Research Design, Population, Sample, and Implementation

This study was a non-experimental survey design. The target population was employees who attended training programs, either within or outside their organization, provided by trainers in Taiwan. Due to geographical, time, and

resource limitations, a combination of purposive and accidental sampling techniques was used. The sample was collected to be as heterogeneous as possible. The primary author attended international HRD conferences to solicit Taiwan's HRD practitioners to participate this study. Thirteen HRD practitioners agreed to serve as instrument administrators and help distribute the instrument in their organizations. Each practitioner received an administration guide and 30 to 100 instruments. The number of instrument to be disseminated in an organization depended on the firm size, trainee accessibility, variety of training programs conducted and organizational type. Some instrument administrators who served in public training institutes were able to distribute instruments to participants from more than one organization. The data, through instrument administrators, were collected from trainees either immediately after the training or not later than two weeks after training. There were 712 instruments distributed and 583 responses collected from 20 different organizations for an 82% response rate. The organizations represented public sector ($N=77$, $P=13.3\%$) and private sectors ($N=267$, $P=46.3\%$), education institutes ($N=59$, $P=10.2\%$), public-for-profit ($N=63$, $P=10.9\%$), and non-profit ($N=100$, $P=17.3\%$) organizations. These organizations included airline, army, civil service, computer technology, electronic, petroleum, restaurant, retail, shipbuilding, social work, stock investment, telecommunication, transportation, two insurance and five educational organizations.

Results and Findings

Exploratory factor analysis (EFA) was used in this study. Before the EFA was conducted, data was screened in various ways including tests for extreme values, response pattern, visual normality, and factorability. No serious violation was found. The overall Kaiser's measure of sampling adequacy (MSA) was .932, which means the data was very appropriate for an exploratory factor analysis (EFA). Item to respondent ratios for all of the EFAs described later in this section ranged from 9.2:1 to 22.1:1, supporting factorability of this dataset. An EFA was first conducted using the 68 validated items (Holton, et al., 2000). Following the English language validation procedure, two separate exploratory analyses were run for the two construct domains. In each analysis, common factor analysis with an oblique rotation (Oblimin) was used. A criterion of eigenvalue greater than one was used to determine number of factors to extract. The result showed that 10 out of the 16 LTSI factors were validated, and six were in need of further investigation (five for Training in Specific and one for Training in General). The six factors included two that did not emerge at all (Personal Capacity for Transfer and Performance Coaching), two that merged to a new factor (Perceived Content Validity and Transfer Design), one that had low reliability (Opportunity to Use Learning), and one that contained only two items (Supervisor Sanction).

Extended Analyses

Cross-cultural instrument validation such as was done in this study is not only involved in cultural issues, but also translation, implementation, and reliability issues. Each issue should be carefully examined before decisions are made about construct validity. Before concluding that the six factors were not valid in Taiwan, the authors decided to conduct additional analyses using the 23 research items (89 items in total) for two reasons. First, the TLTSI conducted in Taiwan included 68 validated items and 23 research items. The 23 research items were being tested to improve the scales with lower reliability in the original LTSI. These factors included: Personal Outcomes-Positive (.69), Personal Capacity for Transfer (.68), Supervisor Sanction (.63), Opportunity to Use Learning (.70), and Performance Coaching (.70). Interestingly, four of the six factors, which have not been validated in Taiwan in the 68-item analysis, matched these low reliability factors in the English LTSI. That raised suspicions that something other than cultural issues might be affecting the results. Second, this study was intended not only to validate the current LTSI in Taiwan, but also to develop the most valid LTSI for use in Taiwan. Because this study was exploratory in nature, to make an instrument useful, it seemed dangerous to conclude that factors such as Personal Capacity for Transfer and Performance Coaching do not exist without careful further examination. Also, it made more sense to develop the best possible instrument for use in Taiwan, which meant examining the research items to see if the troublesome factors could be strengthened. If the troublesome factors remained problematic, then the conclusion that certain constructs do not exist in Taiwan could be made more confidently. On the other hand, if problem factors were strengthened or re-emerged when the research items were included, then it seems likely that the problems may have occurred due to other artifacts and not true cultural differences. This is especially true when one considers that five of the six problem factors had been identified as having some weakness in English also.

The procedures for the extended analysis were the same as ones conducted in the previous section except for having research item included. In the Training in Specific domain, sixty-three items were used. These items included 45 validated items and 18 research items. Although the ratio of respondents to items in this analysis dropped to 9.2:1, it was still an acceptable ratio for factor analysis (Hair et al., 1998). Kaiser's measure of sampling adequacy in this analysis was .938. Using a .40 cutoff, quite interestingly, the result initially showed an 11-factor structure that was the same as the English version. These 11 factors explained 65 percent of total variance. However, one of the factors

had only two items with loading greater than .40 that was too weak to be considered as a factor, so it was dropped. A new factor emerged which merged items associated with the Transfer Design and Opportunity to Use Learning constructs in the original LTSI. The new factor was labeled Transferability and defined as *the extent to which trainees perceive that training is designed to facilitate opportunity to apply what they learn to the job*. In the Training in General domain, twenty-six items were used. These items included 23 validated items and three research items. The ratio of respondents to items in this analysis was 22.2: 1. Kaiser's measure of sampling adequacy in this analysis was .933. The results showed a five-factor structure and were consistent with the original LTSI factors. The five factors explained 61.4 percent of the total variance. Overall, reliabilities of the six problematic factors in the 68-item factor analysis all dramatically improved with exception of Opportunity to Use Learning and Transfer Design, which were blended as Transferability in Taiwan's settings. This result can be found in Table 2.

Table 2. Factors, Reliabilities, and Items Comparisons of the extended Analyses between the LTSI and the TLTSI

<i>Training in Specific</i>	<i>LTSI (11 factors)</i>		<i>TLTSI (10 factors)</i>	<i>Result</i>
	Validated items	Research items	Items	
Learner Readiness	1, 9, 10, 13 (.73)		9, 10, 13 (.65)	Validated
Motivation to Transfer	2, 3, 4, 5 (.83)		2, 3, 4, 5 (.83)	Validated
Personal Outcome Positive	6, 16, 17 (.69)	7, 8, 15, 18, 22	6, 7, 8, 15, 16, 18, 22 (.91)	Validated
Personal Outcome Negative	14, 21, 23, 24 (.76)		14, 21, 23, 24 (.79)	Validated
Personal Capacity for Transfer	19, 25, 26 , 27 (.68)	11, 12, 20	11 , 12 , 19 , 20 , 26 (.78)	Validated
Peer Support	28, 29, 30, 31 (.83)		28, 29, 30, 31 (.89)	Validated
Supervisor Support	32, 33, 37, 39, 40, 43 (.91)		32, 33, 37, 39, 40, 43 (.92)	Validated
Supervisor Sanction	38, 44, 45 (.63)	34, 35, 36, 41, 42, 46	34, 35, 36, 38, 41, 42, 45, 46 (.92)	Validated
Perceived Content Validity	47, 48, 49, 58, 59 (.84)		47, 48, 49 (.84)	Validated
Transfer Design	52, 53, 54, 55 (.85)		53, 54, 55, 56, 57, 58, 59 (.92)-	Future investigation
Opportunity to Use Learning	56, 60, 61 , 63 (.7)	50, 51, 57, 62	labeled as Transferability	
<i>Training in General</i>	<i>LTSI (5 factors)</i>		<i>TLTSI (5 factors)</i>	
Transfer Effort-Performance Expectation	65, 66, 69, 71 (.81)		65, 66, 69, 71 (.85)	Validated
Performance-Outcome Expectation	64 , 67, 68, 70, 72 (.83)		67, 68, 70, 72, 79 (.80)	Validated
Openness to Change	73, 74, 75 , 76, 77, 78 (.85)		73 , 74 , 75 , 76 , 77 , 78 (.80)	Validated
Performance Self-Efficacy	82, 83, 84, 85 (.76)		82, 83, 84, 85 (.86)	Validated
Performance Coaching	79, 86, 87, 89 (.7)	80, 81, 88	80, 81, 86, 87, 88, 89 (.88)	Validated

Note. (*)=Reliability. A .40 cutoff criterion was used. Bold numbers represent reverse items.

Discussions

As the result showed, fifteen TLTSI factors are validated for use in Taiwan. The differences in the factor structures between Taiwan and the U.S.A. can be looked at from four perspectives: cultural, translation, instrument design, and implementation. From the cultural standpoint, the merger of the two factors could be due to cultural differences in that trainees in Taiwan perceive Transfer Design and Opportunity to Use Learning as one concept. The predominant training method in Taiwan is more lecture-oriented. Relatively few training courses are designed in ways to encourage participation and involvement. In this sense, the concept of Transfer Design in the U.S.A., which encourages participation and involvement, might not be perceived as a unique factor in Taiwan's culture. Instead, trainees in Taiwan may perceive Transfer Design and Opportunity to Use Learning as a single construct of Transferability. Specifically, trainees in Taiwan may perceive training that they will have an opportunity to use as constituting a good transfer design.

Looking at the translation and instrument design perspectives together, the differences in the factor structures could also be due to either translation errors or the items associated with the lower reliability factors in the original LTSI. However, it is reasonable to think that both of the issues had been reduced somewhat in this study due to the fact subjective and objective evaluations of the translation were conducted. The pilot test with a group of Taiwanese individuals also helped ensure that the translation used common language in Taiwan so the instrument was more understandable. All of these efforts led to a reduction of translation errors and increased the functional equivalence between the instruments in two languages. With regard to instrument design, since the LTSI has strong psychometric qualities and had been validated in the U.S.A, the instrument design was believed to be strong. However, five of the factors that demonstrated problems had a reliability of .70 or lower in the English LTSI. Fortunately, this study was able to use the additional research items to help improve the reliability of the scales. The

results of the 89-item factor analysis show that reliability improved in all of the 5 factors except the Opportunity to Use Learning, which was not present in Taiwan.

From the implementation perspective, the data were collected either immediately after training or two weeks after training in this study. On the other hand, the data for the original LTSI was collected immediately after training only (Holton et al., 2000). The differences in implementation between these two studies could have influenced the factor structures. For example, respondents who returned the instruments immediately after training may have perceived Opportunity to Use Learning differently from those who returned the instrument two weeks after training. The first group of respondents would have reflected on the concept of Opportunity to Use Learning based on their perceptions of what they believed would happen in their work settings, while the latter respondents would have actually experienced whether or not they could apply the training to their jobs. Thus, it is possible that the concepts of Transfer Design and Opportunity to Use Learning may be indistinguishable to participants two weeks after training. In addition, their recall of course activities would be biased by their experience on the job. The author attempted to separate these two groups and to examine the factor structure for each group. Unfortunately, records were not kept of which surveys were returned after training so the analysis could not be completed. However, it is believed that enough were returned after training to possibly have altered the factor structure.

Like any research, this study is not without some limitations. This study began with an assumption that language would be fully translatable. Indeed, this assumption highlights the limitation of the forward-backward translation process. Since the two languages are so different, some translation dilemmas occurred. For example, there is no "tense" in Mandarin. People identify the time a task occurs either by the context of conversations or the modifier (e.g., time adverb) in a sentence. One alternative to eliminate these language limitations is to use the simultaneous instrument development approach. That is, researchers can first generate constructs of interests from both cultures. Once the constructs are identified and determined, researchers can then develop instruments for each language so that language limitations are eliminated. However, this approach also raises issues of cross-cultural comparability of results. In addition, the sampling techniques used limited its generalizability to the greatest extent.

This research also points to some possible revisions in the original LTSI. This study found that the five low reliability factors in the original LTSI are somewhat associated with the factors that did not emerge or continued to have reliability problems in the original LTSI. The same evidence can be found in Yamnill (2001). This implied that the 23 research items are well-developed items that would improve the reliability of the instrument, and further investigation of the 23 research items needs to be done in English to test this assumption. In addition, it is suggested that both the validated and research items be used for future validation of the LTSI in other language and settings so the factors that may exist would not be inappropriately eliminated.

Conclusions

Most of the cross-cultural research that translates instruments from one language to another has been based on direct translation methods (Kinzie & Manson, 1987) and many of the translation processes are completed based solely on a researcher's satisfaction (Sperber et al., 1994). This study took a more rigorous translation process by using the forward-backward translation approach with subjective, objective, and pilot evaluations of the translation that goes beyond what many cross-cultural studies do and what most of the cross-cultural research in HRD has done (e.g., Lien et al., 2002). The rigorous translation process has enhanced the quality of this research endeavor and reduced the biases that likely would have occurred in the translation process.

The LTSI is basically validated in Taiwan because 14 out of 15 validated TLTSI factors are identical to the original LTSI. The 15 validated factors of the TLTSI are ready for use in Taiwan. In addition, the sample included in this study has increased the generalizability of the LTSI. The results of this study combined with previous results in Thailand (Yamnill, 2001) provide encouragement that the LTSI's constructs will validate across cultures.

This study has provided an initial attempt to develop a valid, generalizable transfer instrument in Taiwan by validating the LTSI. Future research should focus on investigating additional factors, particularly in Taiwan's literature and practice, which have not been included in the LTSI. Other directions include, for instance, attempting to confirm the factor structure by using confirmatory factor analysis with different samples or aiming at reducing the size of the instrument to keep it parsimonious while remaining factor structure.

References

- Baldwin, T. T., & Ford, J. K. (1988). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41, 63-105.
- Bates, R. A., Holton, E. F. III., & Seyler, D. L.A. (1997). Factors affecting transfer of training in an industrial setting. *Academy of Human Resource Development Annual Conference Proceedings, USA*, 345-359.

- Bates, R. A., Holton, E. F. III, Seyler, D. L., & Carvalho, M. B. (2000). The role of interpersonal factors in the application of computer-based training in an industrial setting. *Human Resource Development International*, 3, 19-42.
- Bookter, A. I. (1999). *Convergent and divergent validity of the learning transfer questionnaire*. Unpublished doctoral dissertation, Louisiana State University, Baton Rouge.
- Broad, M. L., & Newstrom, J. W. (1992). *Transfer of training: Action-packed strategies to ensure high payoff from training investments*. Reading, Massachusetts: Addison-Wesley Publishing Company, Inc.
- Chen, H.-C. (2003). *Cross-cultural construct validation of learning transfer system inventory in Taiwan*. Unpublished doctoral dissertation, Louisiana State University, Baton Rouge.
- Chuang, T.-H. (1998, June 5). Economic perspectives of entrepreneurs. *Common Wealth*, 21, 52-58.
- Cornelius, P. K. (2003). *The global competitiveness report 2002-2003: World Economic Forum*. New York: Oxford University Press, Inc.
- Facteau, J. D., Dobbins, G. H., Russell, J. E., Ladd, R. T., & Kudisch, J. D. (1995). The influence of general perceptions of the training environment on pretraining motivation and perceived training transfer. *Journal of Management*, 21, 1-25.
- Ford, J. K., Quinones, M. A., Sego, D. J., & Sorra, J. S. (1992). Factors affecting the opportunity to perform trained tasks on the job. *Personnel Psychology*, 45, 511-527.
- Holton, E. F. III. (1996). The flawed four-level evaluation model. *HRDQ*, 7, 5-21.
- Holton, E.F.III., & Baldwin,T.T. (2000). Making transfer happen: An action perspective on learning transfer systems. *Advances in Developing Human Resources*, 2(4), 1-6.
- Holton, E. F. III, Bates, R. A., & Ruona,W.E. (2000). Development of a generalized learning transfer system inventory. *Human Resource Development Quarterly*, 11, 333-360.
- Holton, E. F. III, Bates, R. A., Seyler, D. L., & Carvalho,M.B. (1997). Toward construct validation of a transfer climate instrument. *Human Resource Development Quarterly*, 8, 95-113.
- Kuo, C.-M., & McLean, G. N. (1999). The history of Human Resource Development in Taiwan from 1949 to 1999. *Academy of Human Resource Development Conference Proceeding*, USA, p.15-1.
- Kraiger, K., Ford, J. K., & Salas, E. (1993). Application of cognitive, skill-based, and affective theories of learning outcomes to new methods of training evaluation. *Journal of Applied Psychology*, 78, 311-328.
- Lien, Y.-H., Yang, B., & Li, M. (2002). An examination of psychometric properties of Chinese version of the dimensions of learning organization questionnaire (DLOQ) in Taiwanese context. *Academy of Human Resource Development Conference Proceeding*, USA, p.34-2.
- Noe, R. A., & Schmitt, N. (1986). The influence of trainee attitudes on training effectiveness: Test of a model. *Personnel Psychology*, 39, 497-523.
- Richman-Hirsch, W. L. (2001). Posttraining interventions to enhance transfer: The moderating effects of work environments. *Human Resource Development Quarterly*, 12, 105-125.
- Rouiller, J. Z., & Goldstein, I. L. (1993). The relationship between organizational transfer climate and positive transfer of training. *Human Resource Development Quarterly*, 4, 377-390.
- Ruona, W. E. A., Leimback, M., Holton, E. F. III., & Bates, R. A. (2002). The relationship between learner utility reactions and predictors of learning transfer among traninees. *International Journal of Training and Development*, 6, 218-228.
- Sperber, A. D., Devellis, R. F., & Boehlecke, B. (1994). Cross-cultural translation: Methodology and validation. *Journal of Cross-Cultural Psychology*, 25, 501-524.
- Tannenbaum, S. I., & Yukl, G. (1992). Training and development in work organizations. *Annual Review of Psychology*, 43, 399-441.
- Seyler, D. L., Holton, E. F. III., Bates, R. A., Burnett, M. F., & Carvalho, M. B. (1998). Factors affecting motivation to transfer training. *International Journal of Training and Development*, 2, 2-16.
- Tracey, J. B., Hinkin, T. R., Tannenbaum, S. I., & Mathieu, J. E. (2001). The influence of individual characteristics and the work environment on varying levels of training outcomes. *HRDQ*, 12, 5-31.
- Wexley, K. N., & Nemerooff, W. (1975). Effectiveness of positive reinforcement and goal setting as methods of management development. *Journal of Applied Psychology*, 64, 239-246.
- Werner, J. M., O'Leary-Kelly, A. M., Baldwin, T. T., & Wexley, K. N. (1994). Augmenting behavior-modeling training: Testing the effects of pre- and post-training interventions. *HRDQ*, 5, 169-183.
- Yannill, S. (2001). *Factors affecting transfer of training in Thailand*. Unpublished doctoral dissertation, University of Minnesota, Twin Cities.
- Yuen, S.-C. (1994). Vocational and technical education: An important player in Taiwan's economic success. *Occupational Education Forum*, 22, 2-21.

Women's Socio-economic Development in India: The Role of Non-governmental Organizations

Meena Razvi

Gene L. Roth

Northern Illinois University

Jacobs (2000) and McLean (2000) affirm the need to expand boundaries of HRD to include multiple topics in a variety of contexts. Non-governmental organizations (NGOs) provide possibilities and limitations for the socio-economic development of women in India. The roles of NGOs in serving the socio-economic needs of women provide a broader, non-traditional context for exploring HRD processes and services at a national level.

Keywords: NGOs, Gender, Economic Development

Mainstream HRD literature fails to critically explore how NGOs function within the complex nature of women's socio-economic development in India. These entities seemingly have the potential to transform the poorest regions of India through economic, educational, and agricultural strategies (Jha & Kumar, 2000). This research explores the strengths, limitations, and possibilities of NGOs to serve the socio-economic needs of poor women in the complex cultural context of India.

India's present socio-economic situation does not favor poor women. Socio-economic forces (patriarchy, labor, education, and government initiatives) greatly influence NGOs' priorities for women's development in India. Each variable affects the complex nature of human development. This paper examines the extent to which these four themes influence the priorities of NGOs, and their effectiveness towards women's development in India.

A critique of NGOs illuminates their strengths, limitations, and possibilities for women's development issues. A brief description of the origins of NGOs introduces a discussion of their strengths and challenges to determine the extent to which they support poor women's socio-economic needs in India. Conflicting views about NGOs present an opportunity for discourse, reflection, and research. Finally, an exploration of recommendations for improvement of NGOs is presented to promote dialogue and action concerning social and economic empowerment of poor women in India.

Conceptual Framework

This study incorporates a literature review to explore the role of Indian NGOs in serving socio-economical needs of poor women. Utilizing a feminist framework, Bierema and Cseh (2003) conducted an analysis of 600 AHRD papers published between 1996-2000 and discovered a minimal six percent of topics that focused on diversity. Such a wide gap in inclusion of multiple frameworks indicates a need to explore non-traditional topics that can inform HRD. This article utilizes a conceptual framework of voluntarism, Gandhian philosophy of non-violent resistance, feminist theory, and HRD to investigate the role of NGOs in India. These disparate pluralities of theoretical and conceptual orientations can serve to expand the parameters of HRD scholars (Roth, 2003). Competing research perspectives and paradigms are healthy for the realm of HRD – they provide scholars access to fresh questions about HRD. The lead author of this article is a female of Indian decent with a strong interest in diversity, feminism, and international human development issues.

The boundaries of HRD scholarship become fuzzier as scholars around the globe search for common ground. Many Western authors focus on processes, systems, and people within organizations. Some Eastern scholars not only consider HRD within organizations, but they broaden HRD to include the political economy. A few authors go beyond workforce issues and encourage HRD scholars to consider the health and well-being of a nation's people. For example, Pavlish (2002) noted the disparities between the poor countries of the Southern Hemisphere compared to those of the Northern Hemisphere as outlined by the World Health Organization. She urged HRD scholars and practitioners to connect the role of HRD to the disparities of health, education, and knowledge that afflict residents of impoverished communities. With a focus on improving the overall health of the world's people, Pavlish suggested a human resource model for creating, crafting, collaborating, connecting and contributing knowledge to

Copyright ©2004 Meena Razvi & Gene L. Roth

construct humane and sustainable social communities. It is within this broad focus on knowledge capital and caring leadership that this research was inspired – an inquiry into the socio-economic conditions of women in poor sectors of India and how these factors influence NGO responses. This perspective is aligned with authors who stress strategies for workforce development that can serve a nation, and note the importance of aligning public and private systems for the betterment of people and organizations within social contexts (Jacobs & Hawley, 2003; Naquin, 2002; Holton & Naquin, 2002; Bates & Redmann, 2002).

Amartya Sen (1999) studied economic reforms in India and found that income enables other capacities, and argues that economic discrimination is a much “broader concept” and includes additional factors (p.108). Factors such as patriarchy, labor, education, and government initiatives emerged as the main underlying factors affecting the socio-economic status of poor women in India.

Culture permeates all aspects of life in India, so this research can contribute to the understanding of the complex nature of economic development. Each micro issue fits into a larger pattern of socio-economic relationships in the complex web of Indian society. Women in poor sectors of India suffer from gender and social discriminations that restrict their access to labor and education, while government initiatives struggle to provide sustainable socio-economic improvements for such marginalized populations. The notion of international HRD infers a world of interconnectedness. This study can inform HRD scholars and practitioners by extending existing literature and providing an understanding of an international perspective from a complex contextual location that should provide insights about leadership in Indian non-profit organizations.

Method

Multiple business and social studies databases were searched to explore the socio-economic status of marginalized women in India such as ABI Inform, ERIC, Wilson SelectPlus, Article First, PsycInfo, Social Sciences Abstracts, Social Services Abstracts, Sociological Abstracts, WorldCat, and Dissertation Abstracts. In addition, Journals and World Wide Web were utilized using a multiple search engine called Dogpile.com. Library books from national and international libraries were recalled on loan and scanned for recurring themes of Indian NGOs, women’s socio-economic status, and women’s development issues. Key descriptors and key words used were: NGOs, women, India, poverty, women’s development, research, social impact, economics, human resource, Asia, self-employment, women’s studies, culture, leadership, gender, and income. Searches were limited to India and women’s economic issues.

Origins of NGOs and Socio-economic Focus in India

The role of NGOs enables a broader exploration of a non-traditional context for exploring HRD processes and services at a national level. Although evidence of voluntarism in India dates back to 1500 BC, M.K. Gandhi is most noted for initiating a national effort of “institutionalized and individual or group voluntary actions, for the alleviation of suffering and social and economic development of the poor” (Rai & Tandon, 2000, p.4).

Many early voluntary organizations in India chose to follow either the Gandhian or religious ideology. The famine in Bihar during 1966 and the refugee problem in Bangladesh during 1971 influenced an increase of NGOs resulting in a new professional arena of opportunities for HRD (Rai & Tandon, 2000). Rai & Tandon argue that because human capital investment was not a major goal of many NGOs, economic development has not been adequate. Recently, many organizations in India have attempted to facilitate economic empowerment by providing access to micro-finance. Some organizations focus on policy issues at national levels by intervening on behalf of marginalized populations (Rai & Tandon).

Common NGO characteristics include: Private ownership and control, non-profit (or perhaps not-for-profit) status, legal status; principal function as people-centered development, and not financially self-reliant (Bhat, 2000). Initial conceptual frameworks for voluntary organizations in India were based on ideas of self-help and community service (S. Sen, 1999). In a collective society such as India, voluntary community service dates back to Vedic times. The absence of formal welfare programs prompted families and communities to work collaboratively during times of crisis. One famous voluntary organizer, Mahatma Gandhi, founded a national consciousness movement in India initiating a radical non-violent peace movement called satyagraha. Satyagraha originated from two Sanskrit words, sat (truth), and agra (firmness) (M. K. Gandhi, 1983). Many Indian NGOs continue to be greatly influenced by this Gandhian philosophy (Mathiot, 1998).

The Gandhian ideology explains why many Indians dislike the Western term “NGO” preferring to use the original term “voluntary agencies” (p. 332). Eventually, community organizations became formalized. Choudhary (2000) defined voluntary organizations as “a group of persons who organise themselves on the basis of voluntary

membership with external and State Control, for the furtherance of some common interests of members" (p. 37). In the Indian context, the government became involved in voluntary groups during the 20th century.

During the 1950s and 1960s India's government became conspicuously assertive in an attempt to assume the primary role of economic growth. Due to its inability to effectively implement this goal, the government requested NGO assistance with poverty eradication programs (Choudhary, 2000). Gradually as time and experience presented lessons learned, necessary changes became evident. During the 1980s the government focus shifted to socio-economic empowerment although minimal guidelines were provided (Choudhary). The Indian government had lofty economic goals, but did not possess the knowledge or expertise to implement this new ideology. NGOs were sought out as mechanisms to reach these economic goals. Debates continue regarding whether this was an effective tactical strategy.

Socio-economic needs of the Indian population influenced a change in conceptualization for NGOs. In the 1990s women were "discovered" as major participants in the economic arena and influenced NGO priorities (Mathiot, 1998, p. 97). A major sector of the Indian people suffers from dire economic conditions – thirty-six percent (320 million) of India's population lives in poverty (M. Sen, 2000). Large-scale government programs failed to provide relief for small-scale needs. A recent response to this troubling situation has been the micro-economic strategies of NGOs (Bhat, 2000). A commonly held tenet of NGOs is that micro-finance can make tangible, positive steps toward alleviating poverty (M. Sen, 2000). The supporting logic of this tenet is that low-income women cannot afford to wait for macro developments to take effect – they need micro strategies for their basic survival needs and their pursuit of economic self-reliance. Initial foci of new NGOs appear to support this claim. Many new NGOs initiate their efforts with small relief projects that allow women to gain experience, knowledge, status, and adequate funding. These small successes empower women and serve as a precursor to larger initiatives.

Successful Strategies of NGOs

Improvements of the economic status of women through the actions of NGOs have been well documented: Direct financing became available through banks, financial organizations, donors, private corporations, government programs, and as a result of NGO training programs (Jain, 2000). However, provision of these examples of services are not without contextual barriers. Jha and Kumar (2000) conducted a study of an NGO in a rural region of Bihar. They noted that government officials were reluctant to assist, rely on, or otherwise cooperate with NGOs. NGOs commonly overcome these barriers because locality, diversity, flexibility, and autonomy are their main strengths (Ebrahim, 2001; Kumar, 2000; Madon & Sahay, 2002; Sooryamoorthy & Gangrade, 2001).

NGOs are diverse in their nature, size, missions, goals, and purposes resulting in manifold descriptions and definitions. Viswanath (1991) defines NGOs as "non-governmental, organized collectives with a purpose" (p. 4). Descriptions of NGOs include a number of themes, including indigenous, intermediaries, voluntary organizations, reformist, visionary, transformist, pragmatic, idealistic, participatory, change agent, alternatives, flexible, creative, democratic, and advocacy (Appell, 1996; Das, 2001; Ebrahim, 2001; Madon & Sahay, 2002; A.K. Sen, 1999; Sooryamoorthy & Gangrade, 2001; Viswanath, 1991). This diverse list of descriptions implies that NGOs can function within multiple organizational cultures and sustain autonomy. Whereas slow turning wheels of government bureaucracy can create gaps between policy formulation and implementation, NGOs can find ways to fill these niches (Das, 2001; Madon & Sahay, 2002; Sooryamoorthy & Gangrade, 2001; Viswanath, 1991). NGOs seek to respond quickly with context specific programs whilst government agencies falter, enabling most NGOs to work directly and closely with poor women. As such they possess a greater ability to understand women's situational needs. Although these needs have always been prevalent in India, funding deficits have historically inhibited NGOs. Several contemporary funding organizations now favor gender equity which has greatly influenced NGO priorities (Mathiot, 1998). Handy, Kassam, & Ranade (2002) noted that most NGOs share a feminist perspective because many work towards women's empowerment rather than short-term gains that do not transform society. Most NGOs understand and work to eliminate poverty by providing relevant programs and services. Some adopt higher-level missions and aim to raise awareness and empower women but this strategy is not common. Missions, visions, goals, organizational size, staffing, knowledge, expertise, and funding determine the choice of strategies.

One successful Indian NGO is the Self-employed Women's Association (SEWA). SEWA is both an acronym and an Indian word meaning service (SEWA, 2001). SEWA's innovative alternative ideas aim to empower women. Because larger Indian banks refused to service poor women with their minimal incomes, SEWA Bank was formed in response to poor women's demands (Rose, 1992). In its 2001 annual report, SEWA listed two major goals: (1) To organize women for full employment at the household level, and (2) to help them achieve self-reliance. SEWA's "integrated approach" provides a range of benefits such as banking, credit, savings, and social security services (p. 8). SEWA has received both national and international recognition because of its efforts to assist socio-economic

development of poor women in India. Poor women with access to credit and savings programs now possess the capacity to increase their income through micro loans that expand their businesses and profits.

Gram-Vikas is a mixed NGO working with both genders. Viswanath (1991) conducted a study of Gram Vikas and another NGO called India Development Service (IDS) to determine their effectiveness in serving the needs of women. Viswanath's study compared the extent to which each NGO provided sustainable economic gains. Gram Vikas' strategies were more focused on short-term gains whilst IDS' strategies were long-term. Although Viswanath recommended that NGOs should adopt the Gram Vikas model, it must be realized that ignorance of long-term needs hinders sustainability and empowerment, and encourages dependency. Education is one approach for sustainability.

Lack of education hinders poor women from realizing their rights, and inhibits access to available resources. Some NGOs offer basic literacy education and formal training programs while others provide knowledge and expertise responding to client needs. Whether acting as relief workers, intermediaries, advocates, or change agents, many NGOs offer some form of formal or informal education to their clients. Improved efforts could increase access to education for poor sectors. However, NGOs work within governmental restrictions – some NGOs may be hesitant to delve into national responsibilities such as the provision of education.

NGO conflicts with the Indian government may have resulted from unfamiliarity regarding the different models used by these different parties. The government has adopted western models of development, whilst most NGOs operate within Indian concepts of self-sufficiency, community, and spiritual growth (Mathiot, 1998). NGOs understand that women's status is a function of socio-cultural discriminations and inept governmental agencies (Mathiot). Working within these two different paradigms can frustrate NGOs, governments, and their clients. NGOs have been known to empathize with client frustrations of government bureaucracy and gain women's trust by working within the cultural contexts while simultaneously pressuring for legal change when opportunities arise. Because NGOs often criticize the state, the government sometimes retaliates with control over NGOs (S. Sen, 1999). Such a love-hate relationship with the government is an interesting aspect of government-NGO relationships. As most NGOs are locally based within their clients' contexts, they possess the capacity to maneuver between local needs and government restrictions. NGOs understand the roots of oppression and how local contexts marginalize and exploit women. For example, NGO workers do not criticize religions but become frustrated with "their distortions and abuse" (Mathiot, p. 32).

Most NGOs function with an understanding that social discrimination creates economic instability of poor women. Unlike governmental departments, most NGO workers within the women's development field are females and reside close to their clients' geographical locations. These workers speak local languages and understand regional differences. This expertise provides NGOs with an important leverage over governmental programs that are more generic. Workers of NGOs observe, hear, and respond to first hand evidence of the women's status. Likewise, poor women reach out to NGOs as a source of hope and support knowing they will be heard with respect. Because most poor women request economic assistance, this also influences NGO responses. NGOs can choose to focus on micro, macro or a combination of issues, all of which are essential for women's socio-economic development. Immediate needs can be satisfied as well as planning for long-term sustainability via training and development while lobbying for change at macro levels of government.

A main disadvantage of Indian governmental agencies is that they are staffed by males; many of whom with patriarchal attitudes. Males are the major decision makers of policies and programs and the main gatekeepers of women's development in India. Governmental efforts of poverty alleviation are frequently unsuccessful, and a major reason might be the lack of understanding of needs of poor women by bureaucratic men.

A collective look at the factors that influence the success of NGOs in serving the needs of poor women in India would include: Alternative approaches, innovative methods, a focus on women's issues, committed leadership, motivated staff and volunteers, faster response rates than government, flexibility, access to national and international funds, context specific programs and services, local offices, and innovative strategies.

The Challenges Confronting NGOs

The very factors that allow NGOs to attain success in serving the needs of poor women – diversity and autonomy – may also be their weaknesses. Sooryamoorthy & Gangrade (2001) observed that although NGOs are initially "highly democratic", as they expand and develop they often drift away from democratic practices (p.152). Sooryamoorthy & Gangrade also noted that institutionalization commonly has detrimental influences on democracy and a spiritual outlook within NGOs. Formal layers of organizational structure can prevent field workers from accessing top leadership (Sooryamoorthy & Gangrade). The proliferation of NGOs in India is no guarantee that they can effectively advocate women's issues or serve the needs of poor women. Not all NGOs succeed regardless of their size or mission. Inexperienced staff, insufficient funds, lack of committed leadership, government bureaucracy,

competition, cultural barriers, and inability to forge linkages outside their area are some causes for failures (Choudhary, 2000; Jha & Mishra, 2000; Madon & Sahay, 2002; Mathiot, 1998; Prasad & Madaan, 2000). For example, Appell (1996) critically questioned whether SEWA is “more ideological than practical” (p. 225). Appell noted several gaps in SEWA’s ideology: SEWA cannot create jobs, it does not assist members in formal sectors, it is not participatory, and middle class workers are in most of the high-level positions in the organization (p. 224).

The effectiveness and growth of NGOs are hotly debated issues. Should they remain small and as a result risk lack of broader impact or sacrifice local connections and opt for organizational growth?

Future Directions for NGOs

Recommendations for future priorities of NGOs vary among authors. Some scholars note the need for motivated leadership (Appell, 1996; Mohan, 1973; Viswanath, 1991). Often, strong leadership of NGOs is not sustained when founding leaders retire, or leave the organization without succession plans and strategies sorely needed to enable smooth leadership transitions. Some organizations grow too large, lose sight of their democratic goals, and traditions dissipate through growth and affects of time, resulting in a loss of touch with client needs. Rapid growth within an NGO can alter advantages of faster response rates, flexibility, and innovation.

Collaboration among NGOs is a common practice in India. (Manzo, 2000; S. Sen, 1999; Yadama, 1997). Yadama described several advantages of collaboration among NGOs: Increasing the effectiveness of smaller NGOs, helping local NGOs to implement regional level programs, building credibility and trust, facilitating effective sharing of technology and information, increasing the power to deal with government bureaucrats, accessing markets for women, and enhancing effective evaluation by local and national funding organizations. However, contrasting views can be found in the literature regarding the benefits of collaborative work among NGOs.

Consensus differs regarding partnerships and growth of NGOs. Brinkerhoff (2003) noted that some partnerships could be counterproductive. Differing ideologies and missions along with conflicts of power and leadership may cripple joint ventures. Das (2001) suggested that NGOs could initiate pilot projects for new schemes. The smaller NGO can take advantage of its flexibility and rapid reaction time to implement such new ideas. To retain this advantage, Das recommended that NGOs could network and share data of valuable expertise. This may be a good solution for those NGOs that prefer to remain small and autonomous. Regardless of which method is used, it is imperative that NGOs remain focused on client needs. NGOs can achieve better success ratios by involving all stakeholders in decision-making and leadership – not just the privileged few at the higher levels of the organization. Micro-strategies are crucial for improvement of the immediate well-being of poor women and must be continued. Macro-strategies are critical for long-term sustainability in the absence of NGOs or other intermediaries. Elimination of one strategy may result in severe neglect of poor women who are often voiceless in the power structures of India. A balanced approach that utilizes both micro and macro-strategies should be considered. Leadership must continually focus on sustainable development that will release poor women from addiction to NGOs to achieve empowerment. (Ebrahim, 2001; P. J. Gandhi, 2000).

Critics argue that patriarchal attitudes infiltrate NGOs and they cite examples of women workers perpetuating the status quo (Carr, Chen, & Jhabvala, 1996; Mathiot, 1998). Many women centered NGOs do not question gender biases in the home. Although India has deep Vedic roots of equity, many Indians have lost sight of this important piece of their history. Additional research on the processes, strategies, and organizational dynamics of NGOs could serve to embellish the practices of NGOs (Manimekalai, 2000; Manzo, 2000; Prasad & Madaan, 2000).

Despite optimistic possibilities for the future of NGOs, they are not immune to the effects of bureaucratic ineptitude. NGOs and the Indian government each play important roles in initiating and enhancing women’s empowerment in India. In due course, most NGOs retreat from each area leaving poor women to fend for themselves until the next aid program comes along. Sustainable development can help women avoid this cycle of dependency and empower them to make their own decisions plus secure their own resources. Therefore, the most important role of NGOs is to act as important links to available resources by bridging the gap between government officials, institutions, aid agencies, and women. NGOs should incorporate empowerment training and development that can assist women in determining strategies to solve their own problems of patriarchy, labor, education, and government access.

Conclusions and Implications for HRD

Diverse cultural and geographical influences produce complex economic participation of women at work (United Nations, 1997). Sentiments regarding women’s economic status vary because of differing conceptual frameworks and insufficient empirical evidence. Understanding how complex factors affect the global workforce and how

leadership works in various contexts can provide important insights to HRD theorists and practitioners. Multinational corporations and business expatriates conducting business in India need to understand regional work practices in various contexts within India (Templer, 2002). India is a vast continent with many states so it is not within the scope of this study to cover all states. The state of Gujarat has been chosen as the focus of this research because the lead author is an Indian female familiar with the Gujarati culture and language.

NGOs must incorporate women-centered strategies in India to benefit disenfranchised poor sectors. Although the Indian government has recognized the effectiveness of women-centered NGOs, Mathiot cautioned practitioners about the “dangers of cooptation” (p.100). Viswanath (1991) recommended that newer NGOs should plan a gradual and cautious approach of development commencing with small local programs leading to a focus on larger issues and extended geographical regions.

The need for contextual common understandings is a frequent refrain in management literature. Viewing organizations through various cultural lenses has been popular since the 1980s (Hofstede, 1991). Hofstede described it as “the psychological assets of an organization” (p.18). Schein (1992) declared that “ultimately, all organizations’ are sociotechnical systems in which the manner of external adaptation and the solution of internal integration problems are interdependent” (p. 68). An NGO’s capacity to focus beyond “reductionist psychological theories of poverty and development” is its primary asset (Mathiot, 1998, p.96). In practice, however, many NGOs may be undermining their potential impacts by perpetuating patriarchal attitudes.

The proliferation of NGOs in India is no guarantee that they advocate women’s issues or succeed in their efforts. Over 95% of the female Indian workforce still labor in unstable informal sectors without benefits or employment security (Mishra, 1998). The Indian government has made slow progress between 1947-1990s by focusing its five-year plans from early issues of welfare and development to current issues of empowerment (Mishra).

One remedial possibility is motivated leadership (Appell, 1996; Mohan, 1973; Viswanath, 1991) vital for NGO success because it reflects the culture and ideologies of the organization. Viswanath (1991) noted the importance of fostering leadership capacity within clients in addition to organizational staff. Fostering “a collective spirit” involves sacrificing personal benefits (p. 165) and deliberately initiating and implementing this goal. Other authors (Manimekalai, 2000; Manzo, 2000; Prasad & Madaan, 2000) recommended research to aid deeper understanding of NGO functions and impacts. Critics disagree about the ideal missions and roles of NGOs. Despite recommendations, NGOs cannot be substitutes for ineffective governmental efforts. Each party is dependent upon the other to initiate and enhance women’s empowerment in India. Interfaces between the public and private organizations are poor (Mishra, 1998). NGOs can aid socio-economic and human capital development by acting as intermediaries on behalf of poor women in India.

References

- Appell, V. (1996). *The self-employed women's association: Ideology in action*. Unpublished doctoral dissertation, University of British Columbia, Vancouver.
- Bates, R., & Redmann, D. (2002). Core principles and the planning process of a world-class workforce development system. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 111-120). San Francisco: Berret-Koehler.
- Bhat, G. (2000). An assessment of innovative initiatives of non-governmental organisations in entrepreneurship development. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 44-57). New Delhi: Deep & Deep Publications.
- Bierema, L., & Cseh, M. (2003). Evaluating AHRD research using a feminist research framework. *Human Resource Development Quarterly*, 14(1), 5-26.
- Brinkerhoff, J. M. (2003). Donor-Funded Government-NGO Partnership for Public Service Improvement: Cases from India and Pakistan. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 14(1), 105-122.
- Carr, M., Chen, M., & Jhabvala, R. (1996). Introduction. In M. Carr, M. Chen & R. Jhabvala (Eds.), *Speaking out : women's economic empowerment in South Asia* (pp. 1-18). London: IT Publications.
- Choudhary, A. K. (2000). NGOs and their role in poverty alleviation. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 35-43). New Delhi: Deep & Deep Publications.
- Das, A. K. (2001). *The role of NGOs in improving shelter for the poor : a critical analysis of case studies from India*. Unpublished MA, Kansas State University, Manhattan.
- Ebrahim, A. (2001). NGO Behavior and Development Discourse: Cases From Western India. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 12(2), 79-101.

- Gandhi, M. K. (1983). *An autobiography : or the story of my experiments with truth*. London: Penguin.
- Gandhi, P. J. (2000). Rural development and the role of NGOs in India: An appraisal. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 29-34). New Delhi: Deep & Deep.
- Handy, F., Kassam, M., & Ranade, S. (2002). Factors influencing women entrepreneurs of NGOs in India. *Nonprofit Management & Leadership*, 13(2), 139-154.
- Hofstede, G. (1991). *Cultures and organizations: Software of the mind*. Maidenhead, Berks.: McGraw-Hill.
- Jain, S. (2000). Empowerment of women through NGOs: The SEWA bank experience. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 112-122). New Delhi: Deep & Deep Publications.
- Holton, E., & Naquin, S. (2002). Preface. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 107-110). San Francisco: Berret-Koehler.
- Jacobs, R. (2000). Determining the boundaries of HRDQ and HRD. *Human Resource Development Quarterly*, 11(1), 1-3.
- Jacobs, R., & Hawley, J. (2003). Workforce development: Definition and relationship with human resource development. In S. Lynham & T. Egan (Eds.) *AHRD 2003 Conference Proceedings* (pp. 1014-1020). Bowling Green, OH: Academy of Human Resource Development.
- Jha, A. K., & Kumar, A. (2000). Opportunities of NGOs in plateau region of Bihar: A case study of Vikas Bharti. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 221-227). New Delhi: Deep & Deep Publications.
- Jha, B. N., & Mishra, S. D. (2000). Development through Non-governmental organizations - Prospects and retrospect. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 13-23). New Delhi: Deep & Deep Publications.
- Kumar, M. M. (2000). A fresh legislative package needed for NGOs. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 58-66). New Delhi: Deep & Deep Publications.
- Madon, S., & Sahay, S. (2002). An information-based model of NGO mediation for the empowerment of slum dwellers in Bangalore. *Information Society*, 18(1), 13-19.
- Manimekalai, N. (2000). NGO's intervention through micro-credit for self-help women groups in rural Tamil Nadu. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 95-111). New Delhi: Deep & Deep Publications.
- Manzo, K. (2000). Nongovernmental organizations and models of development in India. *Journal of Environment & Development*, 9(3), 284-313.
- Mathiot, E. M. (1998). *NGOs and grassroots in development work in South India*. Lanham, MD: University Press of America.
- McLean, G. (2000). "It depends." In W. Ruona & G. Roth (Eds.) *Philosophical foundations of human resource development practice* (pp.39-43). San Francisco: Berret-Koehler.
- Mishra, S.N. (1998). *Land of contradictions*. Retrieved June 3, 2003 from <http://www.socialwatch.org/en/informesNacionales/259.html>
- Mohan, J. (Ed.). (1973). *Twenty-five years of Indian independence*. Delhi: Vikas Pub. House.
- Naquin, S. (2002). Developing policy, governance, and foundation systems. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 133-150). San Francisco: Berrett-Koehler.
- Prasad, K., & Madaan, D. K. (2000). Introduction. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. xi-xxvi). New Delhi: Deep & Deep Publications.
- Rai, M. K., & Tandon, R. (2000). Voluntary development organisations and socio-economic development. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 3-12). New Delhi: Deep & Deep Publications.
- Razvi, M. & Roth, G.L. (in press). Socio-economic development and gender inequality in India In T. Egan & L. Morris (Eds.). *Proceedings of the 2004 annual conference of the Academy of Human Resources Development*. Austin, TX: The Academy of Human Resource Development.
- Rose, K. (1992). *Where women are leaders : the SEWA movement in India*. London: Zed Books.
- Roth, G. (2003). *Contemporary issues in human resource development*. Presentation at the 2003 KSSE Conference, November 13, 2003, Seoul, Korea.
- Schein, E. H. (1992). *Organizational culture and leadership*. San Francisco: Jossey-Bass.
- SEWA. (2001). *Annual report*. Ahmedabad: SEWA Retrieved July 11, 2003 from www.sewa.org/annual report/ar-eng-1.pdf.
- Sen, A. K. (1999). *Development as freedom*. New York: Knopf.

- Sen, M. (2000). Self-help groups and micro finance: An alternative socio-economic option for the poor. In K. Prasad & D. K. Madaan (Eds.), *NGOs and socio-economic development opportunities* (pp. 77-94). New Delhi: Deep & Deep Publications.
- Sen, S. (1999). Some Aspects of State-NGO Relationships in India in the Post-Independence Era. *Development and Change*, 30(2), 327-355.
- Sooryamoorthy, R., & Gangrade, K. (2001). *NGOs in India: a cross-sectional study*. Westport, Conn.: Greenwood Press.
- Templer, K.J. (2002). Western expatriates in India: A challenge for the local HR department. In U. Pareek, A.M. Osman-Gani, S. Ramnarayan, & S.V. Rao (Eds.) *Human resource development in Asia: Trends and challenges*, (pp. 149-156). New Delhi: Oxford & IBH Publishing.
- Viswanath, V. (1991). *NGOs and women's development in rural south India: A comparative analysis*. Boulder: Westview Press.
- Yadama, G. N. (1997). Tales from the field: Observations on the impact of nongovernmental organizations. *International Social Work*, 40, 145-162.

Women in Information Technology

Rose Mary Wentling

Steven P. Thomas

University of Illinois at Urbana-Champaign

There is a major concern about the drop of young women entering Computer Science degree programs and a drop in the participation of women in these information technology occupations. In all levels of educational institutions across the nation, girls and women remain under-represented in computer and information science studies and subsequently, the technological workforce. Serious consequences occur not only to women's overall potential, which is not fully realized, but also to the world's economy. This literature review focuses on women in information technology by addressing the shortage of women in information technology (IT), the theoretical perspectives of women in IT, barriers to women in IT, and strategies for recruiting and retaining women in the IT workforce.

Keywords: Women, Information Technology, Workforce

The U.S. Department of Commerce projects that by 2006, not only will 50 percent of all U.S. workers be women, but also 44 percent of the U.S. workforce will be employed by industries that are engaged in producing or using information technology products and services (Newton, 2001). Information technology accounted for more than a third of the nation's real economic growth from 1995 to 1997 (U.S. Department of Commerce, 1999). The U.S. Bureau of Labor Statistics reports that approximately 137,800 new jobs in information technology (IT) occupations have been and will be produced each year from 1996 to 2006 (U.S. Department of Commerce, 1999). In addition, these occupations are experiencing a significant labor market shortage, while at the same time not attracting female participants at the same rate as in earlier decades (Camp, 1997). Female participation in the IT occupations has varied up to a high of approximately 35% in the early 1990s. From 1990 to 1999 the number of people in IT occupations have more than doubled and the female participation has dropped to approximately 27% (Information Technology Forum, 1999). This decline in female participation has caused concern, not only because of the low participation of women in IT occupations, but because there is a significant labor shortage in those occupations and the drop in participation of women further exacerbates the labor shortage (Freeman & Aspray, 1999; Information Technology Forum, 1999).

Information technology-related occupations include many different types of jobs – from data entry and computer operators to systems analysts to computer scientists. There is no generic IT job or IT worker. In the broadest sense, one could dispute that as the economy becomes more digitized, most of our jobs will involve the manufacture, operation, or use of equipment containing a computer chip; hence, all jobs will be IT jobs (Cooke, 2000). However, according to the U.S. Bureau of Labor Statistics (2003) the “core” IT occupations include: computer scientists, computer engineers, systems analysts and computer programmers. Workers in IT occupations design, manufacture, operate, repair, and maintain the IT infrastructure. The job options in the information technology field can be numerous and can lead to different levels of career growth.

Although women currently represent 47% of the total workforce, they comprise only 20% of the technology sector workforce (Catalyst, 2000; U.S Bureau of Labor Statistics, 2003). At present women make up 30% of computer scientists, 32 % of computer analysts, 25% of computer programmers, 10% of IT directors, and 18 % of IT project leaders (U.S. Bureau of Labor Statistics, 2003). Women have entered the labor market in increasing numbers during the last few decades. Despite impressive gains in employment, women are still under-represented in the IT field. The world of IT is still dominated by men, and the imbalance becomes more striking at the higher rungs of the corporate ladder (Catalyst, 2000). Obstacles and gender differences have created a gender gap that is responsible for the narrowing pipeline of women in IT careers. The shortage of women in IT fields has made it more difficult for them to obtain management positions (Leever, Dunigan, & Turner, 2002). Women hold only 8.1% of executive positions (VP and higher) at major technology companies. One of the reasons for the scarcity of women executives at technology firms is simply that there are fewer women in the technology-management pipeline (Catalyst, 2000).

Recently there has emerged a concern about the drop of young women entering Computer Science degree programs and a drop in the participation of women in these occupations (Camp, 1997). In all levels of educational institutions across the nation, girls and women remain under-represented in computer and information science

Copyright © 2004 Rose Mary Cordova-Wentling & Steven P. Thomas

studies and subsequently, the technological workforce (Balchita, Carver, Soffa, 2002). There are serious problems in attracting girls to engineering and computer-related fields and keeping them in the IT employment pipeline (Farmer, 1997). A limited number of studies and observations have been done to determine the cause of why women are deterred from continuing in the computer science pipeline (Farmer, 1997; Margolis & Fisher, 2002; Roberts, Kassianidou, & Irani, 2002). The American Association of University Women (1992) reported that even girls with high aptitude for math and science are less likely to pursue studies in science and technology than their male counterparts. Most women drop out of the engineering/computing pipeline when choosing an undergraduate degree. A 1995 report from the Office of Technology Assessment showed that out of a group of 2,000 students, 280 males and 220 females would have completed the necessary math and science courses to pursue a degree in computer science after high school. However, only 16% of the qualified females chose a degree in computer science, while 50% of the qualified males selected a career in computer science (Levenson & Klawe, 1995). Since the number of women at the bachelor's level affects the number of women at levels higher in the pipeline and in the job market, these facts are of great concern (Camp, 1997).

This literature review brings about a better understanding of women in information technology by focusing on the shortage of women in information technology (IT), the theoretical perspectives of women in IT, barriers to women in IT, and strategies for recruiting and retaining women in the IT workforce.

The Shortage of Women in Information Technology

The sweep of digital technologies and the transformation to a knowledge-based economy have created robust demand for workers highly skilled in the use of information technology. In the past ten years alone, employment in the U.S. computer and software industries has almost tripled. The demand for workers who can create, apply and use information technology goes beyond these industries, cutting across manufacturing and services, transportation, health care, education and government (Office of Technology Policy, 1997). Having led the world into the Information Age, there is substantial evidence that the United States is having trouble keeping up with the demand for new information technology workers (Office of Technology Policy, 1997). A recent survey of mid- and large-size U.S. companies by the Information Technology Association of America (ITAA) (2003) concluded that there are about 190,000 unfilled IT jobs in the United States today due to a shortage of qualified workers. In another study conducted by Coopers and Lybrand (1996), nearly half the CEOs of America's fastest growing companies reported that they had inadequate numbers of information technology workers to staff their operations.

Evidence suggests that job growth in IT fields now exceeds the production of talent. Between 1994 and 2005, more than a million new computer scientists and engineers, systems analysts, and computer programmers will be required in the United States—an average of 95,000 per year (Office of Technology Policy, 1997). Serious consequences occur not only to women's overall potential, which is not fully realized, but also to the world's economy that might have been shaped differently with more involvement from women in the area of technology. The consequences for the U.S. economy are significant (Halweg, 2002). The shortage of technology workers may cost as much as four billion dollars per year in lost production for the United States (*Valuing Diversity*, 2002). "If we continue to utilize the talents of American women – virtually half the population – at the level we are now, we will not have the workers we need in this country "(n.p.), says Arthur Bienenstock, associate director of science in the White House Office of Science and Technology Policy (Gaudin, 1999).

Unprecedented opportunity exists for IT professionals around the world; the field is experiencing a skills crisis that stems from the shortage of qualified IT professionals. This skills crisis is due, in part, to the fact that certain segments of the population are under-represented in IT. Among those under-represented are women. Despite significant growth in the IT profession in recent years, there remains a gender imbalance. The pipeline shrinkage problem for women in computer science is a well known and documented phenomenon where the ratio of women to men involved in computing shrinks dramatically from early student years to working years (Bryant & Irwin, 2001; Camp, Miller, & Davies, 1999; Camp, 2001; Camp; 2002; Davies & Camp, 2000; Freeman & Aspray, 1999; National Science Foundation, 2001; Thom; 2001). According to the Department of Commerce, only 1.1 percent of undergraduate women choose IT-related disciplines as compared to 3.3 percent of male undergraduates (Freeman & Aspray, 1999).

One of the most obvious patterns is that the percentage of women entering the computer science pipeline and earning the bachelor's degree in these IT fields has been dropping steadily since 1984. While the number of computer and information science degrees awarded decreased every year between 1986 and 1994, the decrease is occurring at a faster rate proportionately for women (Freeman & Aspray, 1999). This is in contrast to general trends in the graduation figures of U.S. colleges and universities during these same years, when the percentage of bachelor's degree recipients who were women increased from 50.8 percent to 54.6 percent. It is also in contrast to

the trends in scientific and engineering disciplines generally. The decrease in bachelor's degrees awarded to women has also affected the number of women in the graduate degree pipeline, contributing to the decrease in women completing a master's degree in the computer and information sciences area. The percentages at the doctoral level have stayed somewhat flat, with a reduction in the number of U.S. women apparently offset by an increase in the number of female foreign students entering the system at the graduate level (Freeman & Aspray, 1999).

Research on the career development of women managers in general has referred to the existence of a "glass ceiling" or invisible barrier, which restricts advancement of women to top executive positions (Igbaria & Wormley, 1992). According to the federal government Glass Ceiling Commission (1995), whose mission is to identify barriers to the employment and advancement of women and minorities and encourage companies to build a diverse workforce, fewer than 5% of women are in senior-level management positions. The literature indicates that such a barrier also exists in the IT field (Camp, 1997; Laberis, 1992). If women do decide to pursue management positions in the IT workforce, a glass ceiling exists and they do not have an equal chance to reach these management positions (Leever, Dunigan, & Turner, 2002). Several authors have suggested that proportional presence of women in higher ranks where decision-making takes place will go a long way toward making the workplace conducive to women's needs, however, women in IT fields are concentrated at the lower and middle levels and are under-represented at the higher levels (Camp, 1997). As of 1997, only 2% of women in IT reached the executive status (Igbaria, 1997).

In one of very few research studies that have focused on women in IT careers, Truman and Baroudi (1994) concluded that the IT field may not be immune to the problems of gender discrimination. They found that women received lower salaries than men even when job level, age, education, and work experience were controlled. They also observed that there were a disproportionately high number of men in the managerial ranks. Furthermore, Igbaria and Baroudi (1995) investigated the impact of gender on job performance evaluations, job performance attributions and career advancement prospects. Although they did not find any significant differences in job performance ratings, they did find that women are perceived to have less favorable chances for promotion than men. Igbaria and Baroudi (1995) request for further research in this area and stated: "future research should explore the potential barriers to promotability among women who have aspirations to IT upper management and executive careers. We need to look at the reasons for the existence of the barriers and possible ways to overcome them" (p. 117).

The increased shortage of women in IT is not confined within the borders of the United States. Other studies, including work by the Stanford Computer Industry Project, document that there is a worldwide shortage of IT workers (Office of Technology Policy, 1997). Recent international studies indicate that in the next four years, women will continue to be massively under-represented in the networking field, despite a major shortage of skilled engineers in Europe that threatens to hamper the industry (Freeman & Aspray, 1999; Mayfield, 2002). At the end of 2001, only 5.6 percent of engineers in Western Europe were female and that number is projected to increase to 7.3 percent by 2004, reaching almost 94,000, and that is only a fraction of the number of people working in the industry, according to a report by International Data Corporation (IDC) for Cisco Systems (CSCO). By the end of 2002, there was a shortfall of approximately 80,000 skilled IT staff, according to IDC. Industries in other countries are facing similar problems, exacerbating the U.S. problem, since the geographic location of such workers is of decreasing importance to the conduct of the work (Office of Technology Policy, 1997). U.S. employers will face tough competition from employers around the world in a tight global IT labor pool. Thus, the United States cannot expect to meet its long-term needs through increased immigration or foreign outsourcing. Instead, the U.S. must rely on retaining and updating the skills of today's IT workers as well as educating and training new ones. More than ever before, women have a critical place in replenishing the shortage of IT workers.

Theoretical Perspectives of Women in Information Technology

According to the National Science Foundation, there is agreement among researchers and scientists that systematic research efforts are needed to address the gender imbalance and under representation of women in IT (National Science Foundation, 2001). There is a documented need to study the gender imbalance in this field, this topic is both under-studied and under-theorized (Trauth, 2002). It is under-studied in so far as there have been minimal published papers in top IT journals on this topic. It is under-theorized in two ways. First, gender is seldom considered a relevant factor in socio-technical studies of IT in context (Wajcman, 2000). Second, gender and IT is under-theorized in so far as most of the published work focuses on data analysis rather than theoretical implications that relate to the existing body of gender, and gender and IT literature (Adam, Howcroft, & Richardson, 2001).

There are two dominant theoretical perspectives that are used to explain the engagement of women in information technology – essentialism and social construction. They offer insights on the issue of the under representation of women in the IT profession. Two dominant viewpoints are reflected in recent literature about

gender and IT. From these perspectives we can develop explanations regarding the participation of women in the IT profession. The essentialist perspective focuses on the presumption of inherent differences between women and men to explain the perception of IT as a male domain. The social construction perspective focuses on the social construction of IT as a male domain, which is interpreted as problematic with respect to the social construction of female identity.

The Essentialist Perspective

Essentialism is the assertion of fixed, unified and opposed female and male natures (Wajcman, 2000). When applied to the IT realm, this viewpoint focuses on inherent differences between men and women to explain the differences in their relationships to IT (and, by inference, the participation of women in the IT profession). In doing so, it reflects an essentialist perspective that observed differences in men and women's behavior are attributable to inherent, group-level differences that are based upon bio-psychological characteristics (Trauth, 2002). The essentialist perspective has spawned research that views gender as a fixed variable that can be manipulated within a positivist epistemology. An example from the recent IT literature is the work of Venkatesh and Morris (2000) and Venkatesh, Morris, and Ackerman (2000). This research includes gender as a variable in the application of the technology acceptance model (TAM) to understand differences in individual adoption and sustained usage of technology in the workplace. Their findings lead them to suggest that men, as a group, make decisions about using technology based upon different criteria than women, as a group. They conclude that men are influenced by the usefulness of the IT whereas women are influenced by social factors.

Several researchers have employed the psychological literature on gender to guide their interpretations of the empirical data on the adoption and use of IT by the women in their studies (Adam et al., 2001; Tashakkori, 1993; Venkatesh & Morris, 2000; Williams & Best, 1990). Venkatesh and Morris (2000) drew upon a statewide attitudinal survey of California high school students conducted in 1982-1983, to support their conclusion that "women typically display lower computer aptitude...than men" (p. 119). Adam et al. (2001) provided an analysis of this perspective in their critique of research on gender and IT. They noted the perils of ignoring existing gender and technology literature, particularly recent literature in this area. They went on to argue that, "focusing on a background literature of psychology places too much emphasis on individual gender characteristics where a form of 'essentialism' may creep in." They believe that it looks only to psychological explanations of observations without giving attention to the influence of context. They point out that this perspective adopts a determinist stance with respect to gender.

The Social Construction Perspective

An alternative explanation for women's relationship to information technology (and, by inference, their participation in the IT profession) can be found in societal rather than biological forces. The literatures of gender and technology in general (for example, Cockburn, 1983; Cockburn & Ormrod, 1993; Wajcman, 2000), and that of gender and information technology, in particular (for example, Adam et al., 2001; Balka & Smith, 2000; Spender, 1995; Star, 1995; Webster, 1996) look to social construction theory (Berger & Luckmann, 1966) rather than biological and psychological theories. According to this view, the social shaping of information technology as masculine interacts with the social construction of femininity in such a way as to place IT outside the domain of women. The inference that can be drawn from this perspective about addressing the level of female participation in the IT profession is that the explanation lies in the social construction of the IT profession as "men's work" (Trauth, 2002, p. 101).

Von Hellens et al. (2001) focused on women who address their "odd girl out" status by developing coping strategies in their attempt to fit into this male domain. However, another school of thought within the social constructivist perspective focuses on the need to reconstruct the world of computing to become more of a "female domain." Webster (1996) is representative of this approach. Her focus is on the social shaping of female gender identity and the implication for women's relationship to workplace technologies. At the heart of the issue, she believes, exist structural inequalities between men and women in work and in their relationships to technology. Spender (1995) analyzed the role of women as a social group in cyberspace with the goal of increasing the number of women who employ the Internet. Her argument was that what will follow from increased female presence will be the influx of female values into this new virtual world. She concluded that the same would happen as more women enter the IT profession.

While the timing for increasing women's participation in information technology fields appears propitious, current literature indicates that the supply of women in IT is alarmingly low. Although there are theories as to why women are under-represented in IT, there are no definitive answers to the problem. Women have made significant strides in several fields—notably in the natural science, however, their participation in engineering, mathematics, and information technology remains persistently low (Fountain, 2000). Based on the unanticipated and strong

societal impact women have had on other disciplines, it seems reasonable to hypothesize that stronger representation of women in IT will have deep influence on technology outcomes and processes (Fountain, 2000).

Barriers to Women in Information Technology

Under-representation of women in the IT workforce cannot be isolated to a single factor or barrier. Factors such as gender bias, lack of role models and mentors, perceptions, stereotyping, difficulty with work/life balance, and lack of corporate commitment all contribute to the under-representation of women in IT (Carver, 2000). These barriers are briefly described below.

Gender bias exists in the workplace for many women who are pursuing careers in IT. A male is more likely to be chosen for a position in a company when competing against an equally qualified female (Panteli, Stack, & Ramsay, 1999). Once in the workforce, many qualified women are assigned to menial tasks such as checking monitors and information retrieval, while men are left to perform the more choice and challenging assignments. Many women in IT also report that they have supervisors assigned to check their work, but men performing similar tasks are left alone to their own discretion. Harassment is also prevalent as women are still often viewed as inferior to men. In 1996, there were more than 15,000 gender bias or harassment suits throughout workplaces across the United States (Leever, Dunigan, & Turner, 2002).

Under-representation of women in IT leads to the inevitable “vicious cycle” or fewer professional role models and mentors for those who wish to enter the IT profession. Therefore, women may tend to view the IT profession as lonely and isolated or may find assimilation into mainstream networks of companies difficult due, in part, to a lack of common interests or a sense of just not belonging (ITAA, 2003). Frequently when women in IT look for support and mentoring through role models and social networks, they come up empty handed. Without the encouragement and guidance of role models and mentors, women in IT are left searching for support and are at a disadvantage (Balcita, Carver, & Soffa, 2002).

Much of the research on recruiting women into IT suggests that perception of the field of IT as unappealing (American Association of University Women (AAUW), 2000; Camp, 2001; Margolis & Fisher, 2002; Halweg, 2002). In a study conducted by the AAUW (2000), girls and young women reported technology-related careers unappealing because they were associated with jobs that were solitary, passive, and sedentary. The unattractive perception of information technology professionals in our culture continues to foster an image of a solitary and antisocial profession, dominated primarily by white males (Camp, 2001). The image of IT as a masculine industry may be causing women to reject IT as a viable career choice (AAUW, 2000).

In addition, to the image challenges that face the IT field, there are also limiting stereotypes that may affect the hiring and promotion of women. Among the negative stereotypes is the belief that women are not proficient in math, technology, and science, consequently this impedes the career progress of women in the IT field (Margolis & Fisher, 2002). Society regards males and females differently and has stereotyped associated traits such as assertiveness, confidence and achievement with men and not women. Employers seeking to fill positions in IT have placed value on masculine traits when seeking to fill positions in IT (Leever, Dunigan, & Turner, 2002).

The IT environment consists of long, irregular work hours as well as fair amounts of volatility. Women with spouses and/or children struggle to keep up with the fast-paced work environment as studies have shown that, unlike, men, they remain primarily responsible for family and home care (Powell, 1999). Long hours and heavy workload are not ideal conditions for women interested in combining work and family. Women constrained by their roles as working mothers may be disadvantaged in the IT work environment and unable to perform to expected time commitments.

Lack of corporate commitment remains a concern in the IT field. Companies lack consistent and proactive approaches to attracting, retaining, and promoting qualified women in IT (ITAA, 2003). Unfortunately, if women do decide to pursue positions in the IT workforce, a glass ceiling still exists (Camp, 1997; Laberis, 1992). Not only do women's salaries trail those of their male counterparts, most of them do not reach management positions. As of 1997, women in IT only made 83 cents for every dollar that men earned and only 2 percent of women reached executive level positions (Igbaria & Wormley, 1992).

Strategies for Recruiting and Retaining Women in the Information Technology Workforce

Changes in workplace culture are needed to remove the barriers that hinder women in information technology occupations. Bringing about organizational change effectively may be one of the most critical challenges facing organizations today (Kossek & Lobel, 1996; Norton & Fox, 1997). The under-representation of women in IT and those who manage to enter IT, but who are persistently excluded from the top level positions does little to change

the image of the IT culture. Due to the current skill shortage that the IT industry is facing along with the diversification of the IT occupations, there are excellent opportunities for women to enter the IT sector. However, if organizations want to attract and retain talented women into their IT workforce, they must do their part to develop and implement initiatives that will help women overcome the barriers to success that they encounter.

Mentors and role models are of vital importance to women's advancement in IT. However, women in IT may find it difficult to find mentors through the same informal mechanisms used by men, especially since individuals tend to mentor people who are very much like them and the IT field is predominantly male (Camp, 2001). A study conducted by (Catalyst, 1993) revealed that involvement in a mentor relationship alleviate the stress felt by many professional women by increasing their self-confidence and reducing their sense of isolation and powerlessness in a male-dominated company. Because having a mentor is critical to advancing in IT, especially to management positions, organizational leaders need to create formal mentoring programs that provide structure and help maximize opportunities for all employees, especially women who may otherwise have trouble obtaining a mentor (Ensher & Murphy, 1997).

Women in IT who progress in their careers may be impeded by their having to prove their technical credibility again and again. This may be the result of stereotyping of women's abilities as well as the perception that promoting women is riskier than promoting men. The perception that the competencies and traits associated with success in IT are male attributes is also prevalent (Mendoza & Johnson, 2000). Changing these perceptions requires long-term vision and is a challenging task, which needs to be implemented gradually with joint efforts from individuals from all levels of the organization (Catalyst, 2001). It necessitates a social and ethical responsibility for these individuals to work together to address these issues that have contributed to forming a male-dominated IT work environment. The change must come from well-established organizational policies and initiatives that encourage and support the recruiting, hiring, retention, and advancement of women in IT (Leever, Dunigan, & Turner, 2002).

Issues of work and family balance are also of paramount concern to women in the workforce. Therefore, organizational policies and benefits such as extended parental leaves, part-time work options, on-site child care facilities, and greater scheduling flexibility are needed. Access to quality, reliable, affordable child care is key to the retention of working women with children (Mendoza & Johnson, 2000). Policies and practices that help women overcome the difficult obstacles to success have a positive impact on the career development of women in IT over the long term (Catalyst, 2001).

Furthermore, rapid changes in technology demand new skills and render existing skills obsolete. Continuous training and development are vital in the IT industry. One way that human resource development (HRD) professional's can help women in IT achieve is to ensure that training and career development programs are more accessible to them and more adaptable to their needs. For example, training and development programs should be comprehensive enough to incorporate the needs of women employees with family responsibilities. Therefore, they should provide training opportunities for women returning from maternity leave, as well as women who work on a part-time or flexi-time schedule or telecommute (Panteli, Stack, Ramsay, 1999). Technological advancements open up new opportunities to HRD professionals for innovation in their training programs. For example, HRD professionals could provide online training to women who work remotely or from home. As IT is becoming one of the growing job markets, organizations needs to accommodate more effectively women in the workforce by rethinking career development and training programs, and thus building a healthier and more supportive work environment for women (Panteli, Stack, Ramsay, 1999).

Women must overcome the stereotypes presented by society as well as the conceptual role of women as a result of socialization. These obstacles and gender differences have created a gender gap that is responsible for the narrowing pipeline of women in IT careers. The shortage of women in IT fields has made it more difficult for them to obtain management positions. In order to reverse the diminishing number of women in the IT fields, a combination of organizational strategies and changes in perception are required. If these barriers are removed, it is likely that more women will consider careers in the fast-growing and lucrative field of information technology.

References

- Adam, A., Howcroft, D., & Richardson, H. (2001). Absent friends? The gender dimension in IS research. In N. L. Russo, B. Fitzgerald, & J. L. DeGross (Eds.), *Realigning research and practice in information systems development: The social and organizational perspective*. Kluwer Academic Publishers: Boston, MA.
- American Association of University Women. (1992). *The AAUW report: How schools shortchange girls*. Washington, DC: AAUW Educational Foundation.

- American Association of University Women. (2000). *Tech-savvy: Educating girls in the new computer age*. <http://www.aauw.org/2000/tech/>.
- Balcita, A., Carver, D., & Soffa, M. (2002). Shortchanging the future of information technology: The untapped resource. *SIGCSE Bulletin*, 34(2), 32-35.
- Balka, E., & Smith, R. (Eds.) (2000). *Women, work and computerization: Chartering a course to the future*. Kluwer Academic Publishers: Boston, MA.
- Berger, P. L., & Luckmann, T. (1966). *The social construction of reality: A treatise in the sociology of knowledge*. Doubleday: New York, NY.
- Bryant, R. E., & Irwin, M. J. (2001). 1999-2000 taulbee survey: Current and future PhD output will not satisfy demand for faculty. *Computing Research News*, 5-11.
- Camp, T. (1997). The incredible shrinking pipeline. *Communications of the ACM*, 40(10), 103-110.
- Camp, T. (2000). *Technology/circuits*. Retrieved May 4, 2003, from <http://www.nytimes.com/library/tech/00/07/circuits/articles/27wome.html>
- Camp, T. (2001). Women in computer science: Reversing the trend. *Syllabus Magazine*. Retrieved March 14, 2002 from <http://www.syllabus.com/syllabusmagazine/magazine.asp?month=8&year=2001>
- Camp, T., Miller, K., & Davies, V. (1999). *The incredible shrinking pipeline unlikely to reverse*. Retrieved March 14, 2002 from http://www.mines.edu/fs_home/tcamp/new-study/new-study.html
- Catalyst. (1993). *Mentoring: A guide to corporate programs and practices*. New York: Author.
- Catalyst. (2000). *MBA graduates in information technology*. New York: Author.
- Catalyst. (2001). *Leadership careers in high tech: Wired for success*. New York: Author.
- Carver, D. (2000). *Research foundations for improving the representation of women in the information technology workforce*. Retrieved May, 2003, from: <http://nsf.gov/search97cgi/vtopic>
- Cockburn, C. (1983). *Brothers: Male dominance and technological change*. Pluto Press: London.
- Cockburn, C., & Ormrod, S. (1993). *Gender and technology in the making*. Sage: London.
- Cooke, S. D. (2000). *The information technology workforce*. Retrieved May 2, 2003, from http://www.cisp.org/imp/april_2000/cooke/04_00cooke.htm
- Davies, V., & Camp, T. (2000). Where have women gone and will they be returning? *The CPSR Newsletter*, 18(1). Retrieved March 14, 2002 from <http://www.cpsr.org/publications/newsletters/issues/2000/Winter2000/index.html>
- Ensher, E. A., & Murphy, S. E. (1997). Effects of race, gender, perceived similarity, and contact on mentor relationships. *Journal of Vocational Behavior*, 50(3), 460-481.
- Farmer, S. (1997). *Diversity & women's career development*. Thousand Oaks, CA: Sage Publications.
- Fountain, J. E. (2000). Constructing the information society: Women, information technology, and design. *Technology in Society*, 22(1), 45-62.
- Freeman, P., & Aspray, W. (1999). The supply of information technology workers in the United States. *Computing Research Association Report*. Retrieved March 14, 2002, from <http://www.cra.org/reports/wits/cra.wits.html>
- Gaudin, S. (1999). *The critical shortage of women in IT*. Retrieved June 2, 2003, from <http://www.nwfusion.com/news/1999/1122women.html>
- Glass Ceiling Commission. (1995). *Good for business: Making full use of the nation's human capital*. Washington, DC: Author.
- Halweg, E. (2002). *Gender strategies in recruiting and retaining women in information technology*. Retrieved January 18, 2003, from the WorldCat database.
- Igbaria, M. (1997). Status report on women and men in the IT workplace. *Information Systems Management*, 14, 44-53.
- Igbaria, M., & Baroudi, J. (1995). The impact of job performance evaluations on career advancement prospects: An examination of gender differences in the IS workplace. *MIS Quarterly*, 19, 107-123.
- Igbaria, M., & Wormley, W. (1992). Race effects on organizational experiences and career success among MIS managers and professionals. *MIS Quarterly*, 16(4), 507-529.
- Information Technology Association of America (ITAA). (2003). *Report of the ITAA blue ribbon panel on IT diversity*. Arlington, VA.
- Information Technology Forum. (1999). *Women and minorities in information technology*. Hampton, VA.
- Kossek, E. E., & Lobel, S. A. (1996). *Managing diversity: Human resource strategies for transforming the workplace*. Cambridge, MA: Blackwell Publishers Inc.
- Laberis, B. (1992). Barrier breaker: Katherine Hudson. *Computerworld*, 20-22.

- Leever, S., Dunigan, M., & Turner, M. (2002). The power to change is in our hands. *The Journal of Computing in Small Colleges, 18*(2), 169-179.
- Levenson, N., & Klawe, M. (1995). Women in computing: Where are we now? *Communications of the ACM, 38*(1), 29-30.
- Margolis, J., & Fisher, A. (2002). *Unlocking the clubhouse: Women in computing*. Cambridge, MA: MIT Press.
- Mayfield, K. (2002). Retrieved December, 19, 2002, from
<http://www.wired.com/news/women/0,1540,48733,00.html>
- Mendoza, E., & Johnson, K. (2000). *Diversity as America's competitive edge in science, engineering and technology*. The congressional commission on the advancement of women and minorities in science, engineering and technology development. Washington, DC.
- National Science Foundation (2001). *Information technology workforce (ITWF) program announcement*. National Science Foundation, Arlington, VA. Retrieved from <http://www.nsf.gov/search97cgi/vtopic>
- Newton, S. (2001). Breaking the code: Women confront the promises and the perils of high technology. *Women's Studies Quarterly, 29*, 3-4.
- Norton, J. R., & Fox, R. E. (1997). *The change equation: Capitalizing on diversity for effective organizational change*. Washington, DC: American Psychological Association.
- Office of Technology Policy (1997). *America's new deficit: The shortage of information technology workers*. U.S. Department of Commerce: Washington, DC. Retrieved June 10, 2003, from
<http://www.ta.doc.gov/reports/itsw/itsw.pdf>.
- Panteli, A., Stack, J., Ramsay, H. (1999). Gender and professional ethics in the IT industry. *Journal of Business Ethics, 22*(1), 51-61.
- Powell, G. (1999). *Handbook of gender and work*. Thousand Oaks, CA: Sage Publications.
- Roberts, E., Kassianidou, M., & Irani, L. (2002). Encouraging women in computer science. *SIGCSE Bulletin, 34*(2), 79-83.
- Spender, D. (1995). *Nattering on the net: Women, power and cyberspace*. Spinifex Press Pty Ltd: North Melbourne, Victoria.
- Star, S. L. (Ed.) (1995). *The cultures of computing*. Blackwell Publishers: Oxford.
- Tashakkori, A. (1993). Gender, ethnicity, and the structure of self-esteem: An attitude theory approach. *Journal of Social Psychology, 133*, 479-488.
- Thom, M. (2001). *Balancing the equation: Where are women and girls in science, engineering, and technology?* The National Council for Research on Women: New York, NY.
- Trauth, E. M. (2002). Odd girl out: An individual differences perspective on women in the IT profession. *Information Technology & People, 15*(2), 98-118.
- Truman, G., & Baroudi, J. (1994). Gender differences in the information systems managerial ranks. *MIS Quarterly, 18*, 129-141.
- U.S. Department of Commerce, Office of Technology Policy (1999). *The digital work force: Building infotech skills at the speed of innovation* (OTP). Washington DC.
- U.S. Bureau of Labor Statistics (2003). *Occupational outlook handbook*. Retrieved April 20, 2003, from
<http://www.bls.gov/oco/ocos042.htm>. U.S Department of Labor.
- Valuing diversity* (2000). Retrieved June 14, 2003, from
<http://www.microsoft.com/issues/essays/11-15diversity.asp>
- Venkatesh, V., & Morris, M. G. (2000). Why don't men ever stop to ask for directions? Gender, social influence, and their role in technology acceptance and user behavior. *MIS Quarterly, 24*(1), 115-139.
- Venkatesh, V., & Morris, M., & Ackerman, P. (2000). A longitudinal field investigation of gender differences in individual adoption and usage of technology. *Organizational Behavior and Human Decision Processes, 83*(1), 33-60.
- Von Hellens, L., & Nielsen, S., & Trauth, E. M. (2001). Breaking and entering the male domain: Women in the IT industry. *Proceedings of the 2001 ACM SIGCPR Computer Personnel Research Conference*.
- Wajcman, J. (2000). Reflections on gender and technology studies: In what state is the art? *Social Studies of Science, 30*(3), 447-464.
- Webster, J. (1996). *Shaping women's work: Gender, employment and information technology*. Longman, London.
- Williams, J. E., & Best, D. L. (1990). *Measuring sex stereotypes: A multination study*. Sage Publications: Newbury Park, CA.

Continuing Professional Education and Human Capital Theory

*Jasper B. van Loo
Maastricht University*

*Tonette S. Rocco
Florida International University*

In this paper, continuing professional education (CPE) is linked to human capital theory. Since human capital theory does not explicitly focus on CPE but does provide important insights on training evaluation, we discuss the differences between CPE and training. We review the main insights on training evaluation and discuss the implications for the evaluation of CPE using human capital theory.

Keywords: Continuing Professional Education, Economics, Human Capital Theory

Continuing Professional Education (CPE) may be defined as “the process of engaging in education pursuits with the goal of becoming up-to-date in the knowledge and skills of one’s profession” (Weingand 1999). Both theory and practice surrounding continuing professional education have been fragmented with providers of CPE identifying with their individual professions and not with the field of adult education (Mott & Daley, 2000) or human resource development (HRD). Yet, CPE has been recognized by adult educators as an important area of study and practice since the 1960s (Houle, 1980; Cervero, 1988; Queeney, 2000). For instance, adult education graduate programs teach students effective practice in CPE as facilitators, program planners, and administrators (Cervero, 1989).

CPE is a growing concern for both adult education and HRD because of four trends: the amount of CPE offered in workplaces is surpassing CPE offered by other providers, CPE is increasingly being offered by universities through distance education, collaborations between universities and workplaces are expanding, and using CPE to regulate professionals’ practice is increasing (Cervero, 2000). In 1988, Cervero estimated that 25 % of the workforce claimed membership in a profession; this estimate could only have increased over the years (Cervero, 2000). As more professionals become corporate employees, CPE has become an important phenomenon in many workplaces making it the responsibility of HRD practitioners to manage and facilitate. As a result, during the last decades, the amount of CPE offered at the workplace has grown more than any other type of education (Cervero, 2001). Consequently, CPE at work takes resources away from training other classes of workers, the CPE-providers require more education and expertise increasing the costs of securing and retaining trainers, and since CPE is mandated by professional associations the content, timing, and costs to provide it are less controllable by the employer.

Cost benefit analysis and return on investment are terms that are increasingly being used by HRD to support training as a sound investment in human capital (Cascio, 1987; Fitz-enz & Davison, 2002; Swanson, 2001). Human capital has caught the attention of scholars and practitioners outside the economics domain since it is increasingly seen as the “profit lever of a knowledge economy” (Fitz-Enz 2000). Without a workforce that is constantly increasing its knowledge and skills, organizations cannot remain competitive (Fitz-Enz and Davison 2002). Most theoretical and empirical research has implicitly been concerned with cost-benefit analysis for training at the individual or societal level (Burke 1995). Cost-benefit analysis for CPE for individual organizations or for their customers has been rather scarce in the economic literature.

The field of human capital theory has contributed to research on training while paying little attention to the distinct characteristics of continuing professional education or the differences between training and CPE. This is due to the fact that the estimation of costs and benefits of CPE is not as straightforward as it would seem at first sight. Training and CPE are different in ways that make a simple application of training models to understanding the cost-benefit analysis of CPE, impossible. While standard principles from cost-benefit analysis can be used to determine why, how and how much an organization invests in training, these same principles do not directly apply to CPE.

Problem Statement and Research Questions

The main problem we are addressing in this paper is: how can continuing professional education be evaluated using insights from human capital theory? The purpose of this paper is to explore the factors that make CPE different from training and then to examine the issues that make a human capital theory evaluation of CPE different from the economic evaluation of training. Three research questions are addressed:

Copyright © 2004 Jasper B. van Loo & Tonette S. Rocco

1. What are the main insights from human capital theory?
2. What are the factors that differentiate continuing professional education from training?
3. What issues play a role when continuing professional education is analyzed using human capital theory?

Human Capital Theory

Human capital theory is an economic approach to the evaluation of the costs and benefits of the investment in skills and knowledge. While Theodore Schultz coined the term human capital, the foundations of the theory were laid by Gary Becker and Jacob Mincer (Becker, 1962, 1980; Mincer, 1962, 1974). The development of human capital theory began with the recognition that the investment in humans can be analyzed in a similar manner as the investment in physical capital. This implies that the impact of human capital investment (education or training) can be analyzed using economic models on the costs and benefits of investment. Benefits include higher wages, increases in productivity, and a stimulus of research & development and economic growth. Examples of costs are trainees' time investments, tuition fees, and the cost of the educational system.

In early human capital literature, educational background was considered one of the most important determinants of human capital. As a result, the classic empirical human capital studies focus on the value of additional years of education. One of the assumptions underlying classical human capital theory is that labor markets are competitive and that the wage is an unbiased estimator of individual productivity. Therefore, the empirical work relates human capital to wages using so-called 'mincerian' earnings functions.

The notion that various developments render parts of human capital obsolete, attracted attention from human capital theorists later. First, the focus was on "vintage-models", which take into account the differences in education in various periods and the implications for the variation in human capital and wages with age (Rosen, 1975; Ben-Porath, 1967). When the value of certain vintages of human capital decreases, training as a means of human capital investment becomes essential to keep skills up-to-date. The impact of technological, organizational and competitive developments has resulted in increased attention for training as a determinant for human capital (Baldwin & Johnson, 1995; Barrett & O'Connell, 1998; Bartel, 1991; Blundell, Dearden, & Meghir, 1996).

The analysis of training is full of economic considerations. Firstly, the training *need* can be related to the demand for and the supply of skills on the labor market. If the demand for a skill increases, for instance due to the introduction of a new technology in the workplace, it may be profitable for organizations and individuals to invest in training. Secondly, training options can be compared on the basis of costs, benefits or both. Cost comparisons are a relatively simple way of comparing different types of training. Organizations may also look at the long term benefits from training when they develop training programs that serve the strategic needs of the organization. Organizations may also compare different types of training by looking at both costs and benefits.

Human capital theory is known for its ability to address training issues in an abstract and quantitative manner. It predicts that rational agents (individuals, organizations, governments) will invest the amount of resources at which the marginal cost of an investment in training equals the marginal benefit. The *decisions* of whether and how much to invest in training can be analyzed using standard principles from cost-benefit analysis. Cost-benefit analysis is a technique that compares different choices by estimating the associated costs and benefits for each available option. Estimates for training *cost and benefits* at the individual level have been an area of research which human capital theory has become famous for. At the organizational level, cost-benefit analysis may be applied as well, but it is important to recognize that individual benefits and costs from training may not coincide with organizational benefits and costs. This may cause diverging interests between organizations and their employees. When an organization is unable to reap sufficient benefits from a training program while the trained employees benefit in terms of increased wages, this may lead to an under investment in training from an efficiency point of view.

In the classical human capital literature, the under investment in training has usually been linked to the provision of general training. General training leads to the acquisition of human capital that is applicable in many different contexts. Since organizations run a 'poaching' risk of losing the training investment when trained employees are recruited by other organizations that benefit from the training investment without bearing the cost, the incentive to provide general training is reduced. Although the reduced investment in general human capital may be rational from the organizations' perspective, from society's point of view, under investment occurs: investments that are potentially profitable are not undertaken since the benefits cannot be secured for those who incur the costs.

Factors that Differentiate CPE from Training

A systems view (Senge, 1990) is presented of the factors that influence the cost and benefits of CPE and that make

CPE different than training. This system includes public and private organizations employing professionals who have leadership roles within the organization and in society and who deliver services that can impact the quality of clients' lives (Scheneman, 1993). Factors include scope, stakeholders, control, and skill transfer.

First, The Scope of Training is Different from the Scope of CPE

According to Swanson (1995), HRD is a "process of developing and unleashing human expertise through organization development and personnel training and development for the purpose of improving performance" (p. 208). Personnel training is organization- and job-specific, occurs through formal, structured sessions designed to facilitate knowledge acquisition and skill development determined useful by the employer, and whether an internal or external service provider conducts the training the employer decides who should attend and what should be offered. Contrast this to CPE where knowledge and attendance are frequently regulated by an entity external to the organization such as a government or professional association.

Continuing professional education is directed towards the knowledge and skills in the professions. Commonly viewed characteristics of a profession are that preparation is through a distinct pre-professional college curriculum, that formal and informal learning is required throughout the working life, and that the profession is regulated through a set of professional standards or codes, accreditation, and/or licensure. These characteristics are predicated upon the belief that the profession's knowledge base is continually advancing and to stay current professionals must continue their education (Queeney, 2000). The need for CPE is often based on the desire to protect clients or society from ill informed or poorly prepared professionals. The training received is specific to the profession and not to the firm.

Second, Training has Different Stakeholders than CPE

Stakeholder theory defines stakeholder as "any group or individual who can affect or is affected by the achievement of an organization's purpose" (Freeman, 1984, p. 53). Taking this a step further a primary task for management is "to influence, or manage, or balance the set of relationships that can affect the achievement of an organization's purpose" (Freeman & Phillips, 2002). The balancing of competing stakeholder interests is a fundamental concern when considering the growing trend of corporations hiring professionals whose mandated continuing education requirements must be monitored or facilitated by HRD professionals.

Human capital models differentiate between specific training and general training. Specific training is felt to increase productivity in one specific firm while general training more readily goes with the individual (Veum, 1999). In specific training the key stakeholders are the employee and the organization since the benefit of this training is the organization as long as the employee remains. This simplistic model ignores the traditions behind lifelong learning that learning has the potential to enhance intellectual, cognitive, and social growth (Tennant & Pogson, 1995) which would mean the worker's knowledge, skills, and abilities are enhanced through specific and general training. While in some organizations training is moving away from the banking approach of depositing knowledge and into conceptions of learning organizations and lifelong learning, CPE does not seem to have moved beyond instrumental rationality (Battersby, 1999).

Training of professionals occurs prior to joining the firm and continues beyond any one firm being specific to the profession. For CPE the key stakeholders are society or the state, the professional organization, the professional, and the client. Since we are concerned with CPE when the professional is employed by an organization and not self employed or autonomous the employing organization is also a stakeholder. These five stakeholders-- the state, the professional organization, the firm, the professional, and the client—have overlapping interests and concerns. From an economic perspective, each stakeholder makes the decision whether to invest in CPE and the investment intensity is guided by cost-benefit considerations. Most theoretical and empirical research has implicitly been concerned with cost-benefit analysis for CPE at the individual or societal level (Burke 1995). Cost-benefit analysis for CPE for individual organizations or for their customers has been rather scarce in the economic literature. A reason for this is that the estimation of costs and benefits of CPE is not as straightforward as it would seem at first sight.

The state and professional association. The public and the professional association have an interest in professional services being regulated for consistency, to maintain quality, and to ensure the integrity of the professional and the service (Queeney, 2000). Both the professional organization and the state accomplish this through mandating and providing pre-professional education and continuing education content or amount of education measured in units of time often known as continuing education units. In some cases the state requirements and the association's requirements are coordinated and in other cases what the profession deems competent practice may not coincide with what the state feels is competent practice. In the United States, each state system regulates access to pre-professional education by determining the number and location of subsidized institutions of higher education offering pre-professional education in fields such as nursing, medicine, dentistry, accounting, and law. The location and number of state institutions determines who has access to preprofessional educational

opportunities, limits the number of professionals, increasing the cost of their services, and limiting the access of clients.

The state and or the professional association regulate entrance into the profession after the preprofessional education is completed through exams. The more specialized the pre-professional training and difficult the exams the more expensive the continuing education will be, because it will require well trained professionals from the same field to facilitate CPE.

Professional organizations are accountable to the public (Queeney, 2000) and to members. Public accountability is maintained through credentialing and establishing standards or codes of conduct. The development of standards or codes of conduct become ingrained in the professional culture and in the requirements for membership. This creates another barrier to entrance and can act to increase the prestige of a profession. In order to maintain membership in the professional association CPE is required in terms of content and hours. The professional association also determines content, number of hours, and acceptable CPE delivery systems. The prestige a profession enjoys is often illustrated by the glamorous locations selected for CPE programs.

For these two stakeholders costs are incurred a) by subsidizing CPE, b) during the deliberations that end with decisions about what CPE is needed, and c) in delivering CPE. Benefits are having a skilled professional workforce and when CPE programs offered by the state institutions and professional associations earn a profit.

The employing organization and the professional. Organizations that intentionally employ professionals do so because the organization needs these professionals for instance when an insurance company hires medical personnel or in the retailing of professional services (i.e. Sears Dental Clinics). Organizations also hire professionals because the professional training acts as an indicator of the level of skills and knowledge the worker possesses not because they need for instance someone trained in the law. In either case to maintain membership in the professional association or maintain licensure or certification the organization must allow time off for CPE, to pay for CPE, or to provide CPE. If the organization hired medical personnel specifically for the credential then it makes sense that the organization assumes the cost for the CPE and for the release time and replacement cost of the employee while engaged in CPE.

However, if the organization hired a lawyer because of knowledge and problem solving skills to manage a division and not to practice law the assumption of cost becomes a matter for negotiation and consideration within the organization's tradition and culture. The professional has a vested interest in maintaining membership in the association because the pre-professional training loses value when the professional is no longer a certified member of the profession. The professional working for an organization in a capacity other than what he or she was trained for has to decide on the value of maintaining the certification as in the example of the lawyer managing a division.

Costs incurred by the employing organization are release time, replacement time, and the cost of the CPE. The benefit is a professional employee in good standing in the field. This might fulfill a legal requirement for the employing organization or the professional's services might be the product sold by the organization as in the case of law or accounting firms. The professional might have to take vacation time and pay for the CPE.

CPE at the client/customer level. Internal and external clients want and expect competent professionals. Yet "CPE is neither a guarantee of competence nor the sole answer to competence assurance" (Queeney, 2000, p. 375). To ensure competence, evaluation procedures need to be developed that adequately measure the effects of CPE on performance and CPE should be delivered in ways that are practice oriented and context relevant which will increase the costs of CPE. Costs of CPE are passed down to clients through increased fees for service. A good example of this is what an accountant charges versus a certified public accountant.

Third, Training is Controlled by the Organization; CPE is Not

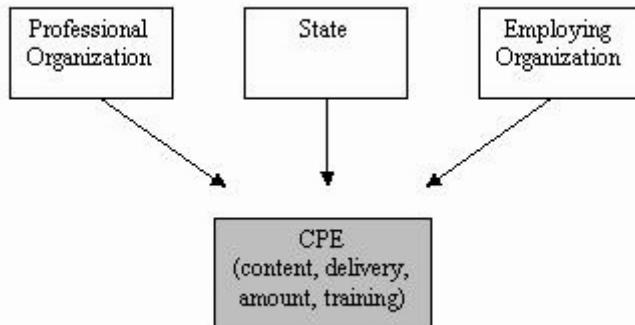
Training is largely controlled by the organization. Organizations determine who is trained, when and how much training the employee receives, and what the content of the training will be. The training content is determined by the upper hierarchy or training department of the firm. In contrast, most organizations only have a limited influence over CPE. CPE is largely controlled by a professional association and often guided if not legislated at the local, state, and federal levels. The association and government regulations dictate the amount and content of education the professional needs to maintain currency in the knowledge base of the field on a time sensitive basis. CPE is treated as a commodity that someone else designs and delivers and that through this process the professional's worth is increased (Battersby, 1999). The entities that have an impact on the content, the amount and the timing of CPE are summarized in figure 1.

Fourth, There are Differences in the Transferability of Training and CPE

Corporate training is industry and organization specific. Poaching of well-trained employees is a possibility if the prospect can demonstrate that skills are transferable to another organization. Non-professional employees are more mobile than professional employees because they can change industries and career tracks. Corporations run the

risk of training employees whose skills are valued by other firms in the industry and leave or who change careers and leave wasting resources spent training the employee.

Figure 1. Entities Controlling CPE Content, Delivery and Timing



CPE on the other hand is viewed as maintaining the professionals' currency or advanced knowledge of scientific and practice-specific knowledge and skills, which makes the professional desirable by all organizations that need the expertise of specific professionals. Or that value professional training as a proxy for advanced ability. Professional employees are viewed as knowledge workers with higher order cognitive abilities demonstrated by their professional credentials whose knowledge can go with them across industries. Organizations that require professional workers have no choice but to facilitate CPE for these workers. Even though the knowledge and credentials maintained belong to the professional and not to the organization. It is less likely that professionals will change careers because of the investment already incurred in the pre-professional education, certification and licensure, and competency maintenance.

A Summary of the Factors

These four factors: narrower scope, more stakeholders, less organizational control, and decreased transferability of professional training increase the costs to an organization to provide or facilitate CPE of professional workers. The more specialized the pre-professional training the more costly to hire the specialists to provide CPE.

Issues in an Analysis of CPE using Human Capital Theory

The four identified differences between training and CPE have implications for the way human capital theory should be applied to evaluate investments in CPE. Two aspects that make an analysis of CPE different from an analysis of training investments are discussed in turn.

The Cost-benefit Structure is Different

Training can be seen as the outcome of joint optimization decisions of individuals and organizations regarding the investment in human capital. Although individual professionals and organizations do play a role in who participates in CPE and what is learned, the state has a greater impact by setting professional standards and by regulating the profession. In terms of human capital theory, the assertion that the scope of training is different from the scope of CPE implies that both costs and benefit structures are different. The differences between training and CPE in terms of costs and benefits are laid out in table 1.

The provision of training has costs and benefits at three levels: the individual level, the organizational level and the level of the economy as a whole. Costs at the individual level include direct costs such as tuition and training materials and indirect costs such as time investment and effort. The indirect individual costs are usually opportunity costs, which imply that these costs do not necessarily lead to money outlays but rather represent the value of lost time or income. The individual benefits of training include increases in productivity, wage increases and improved career prospects. At the organizational level, examples of direct costs of training provision are tuition, the cost of materials, trainers' salaries and classroom space required for training activities. Indirect costs include the loss in production when training activities take place. Training requires that some effort or time of employees cannot be used in the production process, which implies that productivity will suffer in the short run. The long term benefit of training could be an *increase* in productivity. When workers are better trained, it is likely that their productivity will increase following the training period. Another possible benefit of training at the organizational level is that personnel will be more flexible, e.g. in a situation where tasks that are not part of the regular job need to be carried

out. At the level of the economy as a whole, the provision of training implies that resources that could have been used for other purposes have been spent on training. The benefits at the level of society include societies' economic success factors, such as economic growth, competitiveness and innovation.

The final column in Table 1 displays the additional societal costs and benefits for continuing professional education (CPE). Examples of the additional costs of CPE are the costs of having a preprofessional curriculum, professional organizations, the costs associated with regulating the professions and the enforcement costs. The benefits of CPE are an improved level of product and service quality and a reduction of risks associated with quality variations for clients of products and services. An example of the latter benefit is the guarantee that patients have that a certain level of quality of medical procedures is provided when a system for mandatory CPE for surgeons is in place.

Table 1. Training and CPE: Examples of Cost and Benefits at Various Levels

	Continuing Professional Education (CPE)			
	Training			
	Individual	Organizational	Economy	Society
Costs	<ul style="list-style-type: none"> • Direct costs: tuition, training materials • Indirect costs: time investment, effort 	<ul style="list-style-type: none"> • Direct costs: tuition, provision of materials, trainers, space • Indirect costs: production losses due to time investments 	<ul style="list-style-type: none"> • Resources spent on training 	<ul style="list-style-type: none"> • Costs of preprofessional curriculum • Costs of professional organizations • Cost of regulation • Enforcement costs
Benefits	<ul style="list-style-type: none"> • Increase in productivity • Possible wage increase • Improved career prospects 	<ul style="list-style-type: none"> • Increase in productivity • Added flexibility 	<ul style="list-style-type: none"> • Economic growth • Competitive-ness • Innovation 	<ul style="list-style-type: none"> • Improved level of product and service quality • Risk-reduction for clients of products and services

To determine the optimal level of investment in human capital from a society's perspective, cost-benefit analysis applies the equimarginal principle, which simply means that the level of human capital investment is optimal when the marginal costs of an extra unit of investment (e.g. a training course) equal the marginal benefits. The implication of the additional costs and benefits of CPE is that a cost-benefit analysis for CPE is different from a similar cost-benefit analysis for training.

CPE Evaluation is Normative

The discussion has already focused on the different stakeholders involved in CPE. The fact that CPE has more stakeholders than training implies that the determination of the optimal level of investment in human capital needs to take account of many more aspects. If there are conflicting interests between stakeholders, the analysis necessarily becomes *normative* instead of positive. If e.g. a mandatory CPE system acts as a deterrent to individuals that consider entering the profession, the earnings and other benefits of the certified professionals (the 'insiders') need to be weighed against the losses of those denied entry into the profession (the 'outsiders'). It is important to realize that human capital theory is only capable of judging different CPE options in terms of efficiency. The question of what stakeholders should lose or gain from CPE arrangements is a normative issue, which is left for political systems to decide upon. Human capital theory can however play an important role into providing decision makers with options that make sense from an economic point of view.

Conclusions and Recommendations

At first sight, an economic analysis of continuing professional education (CPE) has a lot to gain from the existing work on the evaluation of training, which plays a major role in the field of human capital theory. However, this paper has shown that CPE differs in four important aspects from training: The scope is different for training and CPE, CPE typically has more stakeholders, CPE is less controllable by organizations, and decreased transferability of professional training increase the costs to an organization to provide or facilitate CPE of professional workers.

The implications of these differences for a human capital analysis of CPE is that the cost-benefit structures are different for CPE evaluation and that the evaluation is normative since there typically are diverging interests between different CPE stakeholders.

The implications of the analysis in this contribution are both theoretical and practical. From a theoretical viewpoint, including elements from human capital theory, while keeping in mind that ideas and concepts from human capital theory need to be adjusted to reflect the distinct characteristics of CPE, has two advantages. First, it enables us to better explain the patterns and characteristics of the CPE programs that are currently in place. Second, it allows for the design of those CPE systems that benefit society most.

On a practical level, using human capital theory in the evaluations of CPE are important for three reasons. First, it allows CPE professionals to demonstrate the potential benefits of their efforts. Secondly, the professionals and their associations may use the new insights to optimize professional performance. Finally, at the level of governments or states, economic evaluations of CPE may guide the design and implementation of preprofessional curricula and CPE regulation that make sense from an economic point of view.

Future research has an important role to play in putting the ideas brought forward in this paper into practice. A first step could be the development of a cost-benefit analysis methodology, which incorporates the distinct characteristics of CPE. This methodology may subsequently be used in applied research that discusses the value and efficiency of current or future CPE systems.

Contribution to HRD

This study has shown that the combination of insights from human capital theory and human resource development adds to our understanding of the field of continuing professional education. This does not imply that a theoretically sound evaluation of continuing professional education using human capital theory can be achieved by merely applying existing concepts and methodologies. Rather, we have shown that the distinct characteristics of CPE require adjustment of the evaluation methodologies available in human capital theory. Such an approach is useful in expanding and reenforcing the multidisciplinary nature of HRD.

References

- Baldwin, J. R., & Johnson, J. (1995). *Human capital development and innovation: The case of training in small and medium-sized firms* (Analytical studies branch: research paper series 74). Ottawa: Micro-Economic Analysis Division, Statistics Canada.
- Barrett, A., and O'Connell, P. J. (1998). *Does training generally work, the returns to in-company training* (CEPR Discussion Paper 1879). London: Centre for Economic Policy Research.
- Barro, R. J. and X. Sala-I-Martin (1995). *Economic growth*. New York: McGraw-Hill.
- Bartel, A. P. (1991). *Productivity gains from the implementation of employee training programs* (NBER Working Paper Series 3893). Cambridge MA: National Bureau of Economic Research.
- Battersby, D. (1999). *The learning organization and CPE: Some philosophical considerations*. *The Learning Organization*. 6(2), 5-8.
- Becker, G. S. (1962). Investment in human capital: A theoretical analysis. *Journal of Political Economy*, 70(5), 9-49.
- Becker, G. S. (1980). *Human capital, a theoretical and empirical analysis, with special reference to education* (2nd ed.). Chicago/London: The University of Chicago Press.
- Ben-Porath, Y. (1967). The production of human capital and the lifecycle of earnings. *Journal of Political Economy*.
- Blundell, R., Dearden, L., & Meghir, C. (1996). *The determinants and effects of work related training in Britain*. London: The Institute for Fiscal Studies.
- Boon, M. (1998). *Employee training in dutch manufacturing*. paper, Heerlen/Voorburg: CBS.
- Bresnahan, T.F., Brynjolfsson E., & L.M. Hitt. (2002). Information technology, workplace organization, and the demand for skilled labor: Firm-level evidence. *The Quarterly Journal of Economics*, 117(1), 339-376
- Burke, G. (1995). Some aspects of the economic evaluation of vocational education and training. *The Economics of Education and Training 1995*. C. Sekby Smith. Canberra: ACER/Australian Government Publishing Service, 35-43.
- Cascio, W. (1987). *Applied psychology in personnel management* (3rd ed.). Englewood Cliffs: Prentice-Hall
- Cervero, R. (1988) *Effective continuing education for professionals*. San Francisco: Jossey-Bass, 1988.

- Cervero, R. (1989). Becoming More Effective in Everyday Practice. In *fulfilling the promise of adult and continuing education. New directions for continuing education*, no. 44, edited by B. A. Quigley. San Francisco: Jossey-Bass, Winter 1989.
- Cervero, R. (2000). Trends and issues in Continuing professional education. In V. Mott & B Daley (Eds.) *Charting a course for continuing professional education: reframing professional practice*, (pp.3-12). San Francisco: Jossey-Bass.
- Cervero, R. M. (2001). Continuing professional education in transition. *International Journal of Lifelong Education*, 20(1/2), 16-30.
- Dearden, L., H. Reed, et al. (2000). *Who gains when workers train? Training and corporate productivity in a panel of British industries*. London: Institute for Fiscal Studies.
- Fitz-Enz, J. (2000). *The ROT of human capital, measuring the economic value of employee performance*. New York: AMACOM.
- Fitz-Enz, J. and B. Davison (2002). *How to measure human resources management*. New York: McGraw-Hill.
- Freeman, R. E. (1984). *Strategic management: A stakeholder approach*. Boston: Pittman Publishing.
- Freeman, R. E., & Phillips, R. A. (2002). Stakeholder theory: A libertarian defense. *Business Ethics Quarterly*, 12 (3), 331-349.
- Garcia, F., J. Arkes, et al. (2002). Does employer-funded general training pay? Evidence from the US Navy. *Economics of Education Review* 21(1), 19-27.
- Hashim, J. (2001). Training evaluation: Clients' roles. *Journal of European Industrial Training*, 25(7), 374-379.
- Houle, C. O. (1980). *Continuing learning in the professions*. San Francisco: Jossey-Bass
- Huselid, M. A. (1995). The impact of human resource management practices on turnover, productivity, and corporate financial performance. *Academy of Management Journal*, 38, 635-672.
- Krueger, A. and C. Rouse (1998). The effect of workplace education on earnings, turnover, and job performance. *Journal of Labor Economics*, 16(1), 61-94.
- Mafi, S. L. (2000). Managing the HRD function and service quality: A call for a new approach. *Human Resource Development Quarterly*, 11(1), 81-86.
- Masten, M. K. (1995). A strategy for industry's continuing education needs. *Control Engineering Practices*, 3(5), 717-721.
- Mincer, J. (1962). On-the-job training: Costs, returns and some implications. *Journal of Political Economy*, 5(2), 50-80.
- Mincer, J. (1974). *Schooling, experience and earnings*. New York: Columbia University Press.
- Mott, V., & Daley, B. (Eds.). (2000). Charting a course for continuing professional education: Reframing professional practice. *New Directions in Adult and Continuing Education*, 86, San Francisco: Jossey Bass, Inc.
- Mulder, M. (2001). Customer satisfaction with training programs. *Journal of European Industrial Training*, 25(6), 321-331.
- Queeney, D. S. (2000). Continuing professional education. In Wilson, A.L. & Hayes, E.R. (Ed.). *Handbook of Adult and Continuing Education*. (pp.376-377). Jossey-Bass, San Fransicso.
- Rosen, S. (1975). Measuring the obsolescence of knowledge. In F. T. Juster (Ed.), *Education, income and human behavior*. (pp. 199-232). New York: Carnegie Foundation for the Advancement of Teaching & National Bureau of Economic Research.
- Scheneman, S. (1993). Continuing professional development: Education and learning. *Adult Learning*, 4(6), 6.
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York, NY: Doubleday.
- Stevens, M. (1994). A theoretical model of on-the-job training with imperfect competition. *Oxford Economic Papers*, 46, 537-562.
- Swanson. (1995). Human resource development: performance is the key. *Human Resource Development Quarterly*, 6(2), 207-213.
- Swanson, R. A. (2001). *Assessing the financial benefits of human resource development*. Cambridge MA: Perseus Publishing.
- Tennant, M., & Pogson, P. (1995). *Learning and change in the adult years: A developmental perspective*. San Francisco: Jossey-Bass.
- Tuijnman, A. C. (1997). Economics of adult education and training. *Adult Education and Development*. 49, 189-198.
- Veum, J.R. (1999). Training, wages and the human capital model. *Southern Economic Journal*, 65(3), 526.
- Weingand, D. E. (1999). *Describing the elephant: What is continuing professional education*. 65th IFLA Council and General Conference, Bangkok, Thailand: IFLA.

Intellectual Capital: Opportunities and Challenges

*Madeleine S. Doran
Barry University*

Natural and physical resources are wasted when used; human and intellectual resources are wasted when they are not used. Therein lies the significance of intellectual capital, an underreported and underutilized intangible corporate resource. Intellectual capital is the competitive edge in the twenty-first century, and it offers a plethora of research and career opportunities for HRD scholars and practitioners to unleash its potential, manage its collection and dissemination and explore ways to accurately measure its corporate value.

Keywords: Intellectual Capital, Knowledge Management, Intangible Assets

In the last decade there has been a rapid growth of companies serving industry. These companies rely heavily on the skill and competence of their workforce who depends on a specialized group of suppliers and a loyal following of customers. These service organizations rely on the professional expertise of their employees for their profitability and their greatest asset is knowledge. The term intellectual capital (IC) became a hot topic in the 90's although the term itself originated in the 1980's and its origins can be traced back to the 1950's. It appears, however, that it is not a passing fad. IC is manifested in a myriad of disciplines and is becoming increasingly more important and elusive as the number of knowledge intensive corporations continues not only to flourish but to expand. In this paper, I will review the historical perspectives of IC, describe IC's conceptual issues and significance to the economy and finally discuss the challenges and implications it presents for practitioners and scholars in the marketplace and in the classroom.

Historical Perspective of Intellectual Capital

The term Intellectual Capital, popularized in the 1990's, can be traced to the considerable study and emphasis on knowledge in the second half of the twentieth century. In 1962 Frantz Machlup published *The Production and Distribution of Knowledge in the United States* presenting his premise that *knowledge* was a major item of production in the United States (Cortada, 1998). While Peter Drucker may have received credit for popularizing the term "knowledge" during the same time period, Machlup was a distinguished economist who studied knowledge creation, distribution and economic significance from 1950 until his death in 1983. (Cortada, 1998). Thomas Stewart's article, "Brainpower," in *Fortune* magazine in 1991, however, was the first time that an article on intellectual capital was published in a national magazine (Sullivan, 2000). Also in 1991, Skandia AFS implemented the first corporate intellectual capital department and named Leif Edvinsson as the world's first Director of Intellectual Capital, followed in 1993 by Dow Chemical Company who named Gordon Pettrash as Director of Intellectual Assets (Sullivan, 2000). Since that time significant press has been devoted to the subject, particularly among practitioners in management.

There continues to be a dearth of research in the area of IC. Academicians shy away from topics that are frequently found in trade journals and perceived to be just another fad, i.e., emotional intelligence, total quality and quality circles. As a result most of the interest in intellectual capital to date has come from practitioners in the field or scholars who have a management background. The opportunities are limitless to expand IC research as it permeates the disciplines of economics, sociology, communication, accounting, finance and human resource development.

Conceptual Issues of Intellectual Capital

An "asset" is defined by Webster's Dictionary as (1) "a useful thing or quality" and (2) "a single item of property" (Winter, 1998). Assets are good and positive. Assets can be converted into cash, used to pay debts and used for borrowing money. Assets minus liabilities determine an individual and organization's net worth. These assets are tangible and typically found in land, buildings and equipment. They are easily quantified. Difficulties arise when an organization's most valuable assets are not tangible and do not appear in the balance sheet. They are intangible

Copyright © 2004 Madeleine S. Doran

and, therefore, invisible. What is this invisible asset that created a difference of \$63 per share between the book value and market value of the sale of Microsoft stock in 1995. Microsoft's balance sheet reflected a value of \$7 per share while the stock changed hands at \$70 per share (Sveiby, 1997). It appears that the invisible assets in today's knowledge intensive organizations—knowledge, ideas, creativity and innovation-- are more valuable than the tangible assets that appear on the company's financial records. Other companies with high levels of professional expertise reflect a marked difference between their net book value and the stock market value. When approximately 80 percent of today's corporate business assets consist of intellectual capital and when financial reports reflect only the 20 percent of tangible assets, "one starts to wonder about the accuracy and efficacy of these reports in reflecting the value of the enterprise and its future performance potential" (Al-Ali, 2003, p.53). Hamel and Prahalad (1994) cite ratios of market value to asset value from 2:1, 4:1 and even 10:1 and attribute this not to goodwill, but to core competence—people skills. The numerator in the ratio reflects investors' beliefs about the firm's competencies and the potential value gained by exploiting these unique competencies in the marketplace.

When a company changes hands for a value higher than its book value, traditional accounting practices require that the difference be recorded as "goodwill," which can be depreciated over up to a forty-year period (Sveiby, 1997). A unique difference between the tangible and intellectual assets is that tangible assets depreciate; they are worth less the more they are used. On the other hand, knowledge assets appreciate. The more they are shared and used, the higher the value.

Theoretical Framework

Bontis (2002) cites special challenges facing the field of intellectual capital. "It has no legacy, few world-renowned researchers, and a modest literature" (p.622). Because it overlaps many disciplines, there are a variety of perspectives. ". . . accountants are interested in how to measure it on the balance sheet; information technologists want to codify it in systems; sociologists want to balance power with it; psychologists want to develop minds because of it; human resource managers want to calculate a return on it ; and training and development officers want to make sure that they can build on it" (p. 622).

Clarifying and managing the composition of intellectual capital provides another challenge. Stewart (1997) defines intellectual capital as "the sum of everything everybody in a company knows that gives it a competitive edge. . . . Intellectual capital is intellectual material—knowledge, information, intellectual property, experience—that can be put to use to create wealth. It is collective brainpower" (p. v). Al-Ali presents one of the clearest distinctions between the two types of knowledge, tacit (information/knowledge) and explicit (individual/organizational knowledge). ". . . explicit knowledge includes all that can be codified or expressed in documents, manuals and databases. Tacit knowledge, on the other hand, encompasses all that cannot be clearly articulated but is the real source of knowledge and the basis of decision making. In addition to experience, skills and competence, tacit knowledge includes intuition and things that the employee 'just knows.'" (Al-Ali, 2003, p. 84). Since organizations use only 20 percent of the knowledge available to them (Brinker, 2002), extracting and managing the explicit knowledge accumulated in an organization's databases, routines, culture and practices and the tacit knowledge contained in the heads of the employees to create value is a formidable task.

The sharing of intellectual assets is critical to an organization's competitive edge. "A basic tenet of communication theory states that a network's potential benefits grow exponentially as the nodes it can successfully interconnect expand numerically (Quinn, 1998, p. 93). If two employees exchange knowledge, give and receive feedback and then share this knowledge with others, repeating the same process, exponential growth occurs. This growth is enhanced when the process is replicated with customers, specialists and suppliers. However, this mindset appears to be counter competitive; "it explicitly emphasizes cooperation, sharing and egalitarianism, principles that are often considered antithetical to the very idea of competition" (Ozaki, 1991, p. 3). The difficulty arises because many professionals are reluctant to share their knowledge for fear of losing their own competitive edge. This competition inhibits knowledge sharing for fear of not receiving "credit" for ideas. Furthermore, many professionals have little respect for other professionals with different responsibilities in the organization and are reluctant to share ideas even when working toward mutual goals. "The overall organizational climate is also a powerful influence on information politics" (Quinn, 1998, p. 103). Radical changes in the organization's structure and accountability will be necessary to release employees' inhibitions and encourage a free flow of information. Modifying the existing employee assessment system to value the employees' sharing of information and ability to work together, providing peer reviews and other alternative assessments can facilitate an environment that places a premium on information sharing.

Quinn, et. al (1998) describe the successful experiences of some companies who have "inverted" (p. 94) their organizations. They have abandoned the traditional hierarchies and have organized around the professional intellect

that brings value to the company. Novacare, the largest rehabilitation health care provider in the United States, employing over 5,000 specialists, has leveraged its intellectual capital by organizing the work around its therapists. Through sophisticated data systems, the collection and analysis of data is collected in ten-minute blocks and is available to all stakeholders allowing their professionals to have up-to-date, timely information that enables them to be autonomous and provide maximum effective care to their patients. The professionals have authority over line personnel, in effect “inverting” the traditional hierarchy (Quinn, et. al, 1998, p. 95).

Even as the need to share knowledge internally and externally is promoted, there is also a strategic advantage in knowing what not to share. Timing is everything as the race to increase market share intensifies. As intellectual capital was recognized as the key to wealth in the 1980’s, Joel Barker (1992) cautioned that in order for U.S. firms to benefit, the United States must take a strong stand on protecting its intellectual capital. When a product takes years to develop in the United States and a knockoff can be produced overseas and imported back into the United States without penalty or profit to the designer, it is counter productive (Barker, 1992).

There is agreement among many that the greatest challenge of intellectual capital is how to measure it (Al-Ali, 2003; Bonfour, 2003; Bontis, 2002; Chun & Bontis, 2002; Hamel & Prahalad, 1997; Stewart, 1997; von Krogh, et. al, 2000). In a survey of 431 organizations in the United States and Europe that ranked corporate issues by relative importance, “measuring the value and performance of knowledge assets” ranked second after “changing people’s behavior” (Skyrme & Amidon, 1997). Financial accounting practices in the United States are wed to the past and these practices are becoming increasingly more illogical and inaccurate. If investments are made to upgrade the skills and competencies of employees or increase the dollars allocated for research and development, traditional accounting methods reflect this as a cost, but is it a cost or an investment in the future profitability of the firm. What is needed is a system to reflect the true value of an organization, not based on tangible assets, but the value of its marketability, which includes intangibles (Bonfour, 2003). Bonfour (2003) draws an analogy between the current state of financial reporting and the longitude problem in navigation 300 years ago. The British Navy could only navigate with precision in a north-south direction—not east and west. Today’s balance sheet perspectives are vertical, reflecting cost accounting and tangible assets. What is needed is a representation of the value of intangibles—“key persons, networks and relationships, alliances, culture and knowledge”—that reside in the lateral perspective (p.xiv).

If we believe that intangible assets must be accounted for in financial records to reflect an accurate value of an organization’s worth, there are those that believe intellectual capital liabilities should be reflected as well. Double entry accounting principles reflect a negative for every positive and similar consideration should be given to intangible assets. “Microsoft Corporation and its loss in the famous antitrust case in 1999 is a perfect example” (Chun & Bontis, 2002, p. 15). The Exxon Valdez disaster in 1989 is another example of intellectual liability (Caddy, 2000).

After the debacle of Enron and others, public trust in the financial records of organizations and the accounting firms who prepare them is at an all-time low. It is time to overhaul the outmoded accounting principles of the past and include in assets to accurately reflect the true market value of a company’s worth.

Significance to HRD

Swanson and Holton (2001) define Human Resource Development as “a process for developing and unleashing human expertise through organization development and personnel training and development for the purpose of improving performance” (Swanson & Holton, 2002, p. 6). If we are to unleash already existing intellectual capital in the organization, it will require “minimizing mindless tasks, meaningless paperwork, unproductive infighting” (Stewart, 1997, p. 87). It requires that “we have the foresight and courage to let go of the Newtonian clockwork or machine metaphor on which most of our organizations are still founded and embrace . . . the principles of self-organization or unmanagement” (Ehin, 2000, p. 2). It will require visionary leaders who are willing to give up control and provide an environment of self sufficiency to employees, sophisticated data systems that collect and disseminate timely information to professionals and a corporate culture that rewards employees for sharing and collaborating to add value to the organization. HRD professionals have the expertise to develop and unleash human expertise, including classifying, analyzing and managing knowledge, and developing the processes and relationships to create a climate and culture that invites sharing and collaboration

As researchers in the disciplines of finance and accounting provide a means to measure intellectual assets, funds spent in research and training and development will be viewed as an investment in the future profitability of the organization instead of an expense. When the skills, competencies and creativity of the workforce are officially acknowledged in the financial records and standards are created and enforced that provide all publicly traded companies to disclose the value of intellectual assets, human resource development as a discipline will finally

achieve the recognition it deserves. Human resource development (HRD) professionals' career opportunities will be enhanced as attention continues to focus on the value of intellectual capital and accurate reporting to substantiate an organization's worth.

Research is needed to determine how HRD professionals can develop the organization to provide for the exponential growth of existing knowledge and restructure the organization so that the focus is on the professional expertise that adds value. Research is also needed on alternatives to the competitive climate that inhibits information sharing. Only when researchers have results will HRD academicians be able to enhance classroom instruction to create a repertoire of theory and best practices to embrace the opportunity of the wide acceptance and public validation of its most valuable asset, intellectual capital.

References

- Brinker, M. as cited in Pike, S., Rylander, A., & Roos, G. (2002) Intellectual capital management and disclosure In C. W. Choo & N. Bontis (Eds.), *The strategic management of intellectual capital and organizational knowledge* (pp. 657-671). NY: Oxford University Press
- Al-Ali, N. (2003). *Comprehensive intellectual capital management*. NY: John Wiley.
- Barker, J. (1992.) *Future edge*. NY: William Morrow & Co.
- Bonfour, A. (2003). *The management of intangibles*. London: Routledge.
- Bontis, N. (2002). Managing organizational knowledge by diagnosing intellectual capital. In C. W. Choo & N. Bontis (Eds.), *The strategic management of intellectual capital and organizational knowledge* (pp. 621-642). NY: Oxford University Press.
- Caddy, I. (2000). Intellectual capital: recognizing both assets and liabilities. *Journal of Intellectual Capital* 1(2), 129-146.
- Cortada, J. (Ed.). (1998). *Rise of the knowledge worker*. Boston: Butterworth-Heinemann.
- Choo, C.W., & Bontis, N. (2002). Knowledge, intellectual capital and strategy: themes and tensions. In C. W. Choo & N. Bontis (Eds.), *The strategic management of intellectual capital and organizational knowledge* (pp. 3-19). NY: Oxford University Press.
- Choo, C.W., & Bontis, N. (Eds.). (2002). *The strategic management of intellectual capital and organizational knowledge*. NY: Oxford University Press.
- Ehin, C. (2000). *Unleashing intellectual capital*. Woburn, MA: Butterworth-Heinemann.
- Hamel, G., & Prahalad, C.K. (1994). *Competing for the future*. Cambridge: Harvard Business School Press.
- Kim, C., & Mauborgne, R. (1997). Fair process: Managing in the knowledge economy, *Harvard Business Review*, July-Aug., 65-75.
- Klein, D. (Ed.). (1998). *The strategic management of intellectual capital*. Woburn, MA: Butterworth-Heinemann.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge creating company: how Japanese companies create the dynamics of innovation*. Oxford: Oxford University Press.
- Pike, S., Rylander, A., & Roos, G. (2002). Intellectual capital management and disclosure. In C. W. Choo & N. Bontis (Eds.), *The strategic management of intellectual capital and organizational knowledge* (pp. 657-671). NY: Oxford University Press.
- Quinn, B., Anderson, P., & Finkelstein, S. (1998). Managing professional intellect: Making the most of the best. In D. A. Klein, (Ed.), *The strategic management of intellectual capital* (pp. 87-97). Woburn, MA: Butterworth-Heinemann.
- Skyrme D.J., & Amidon, D.M (1997). *Creating the knowledge-based business*. London: Business Intelligence.
- Sullivan, P.H. (2000). *Value-driven intellectual capital: how to covert intangible corporate assets into market value*. NY: John Wiley
- Sveiby, K.E. (1997). *The new organizational wealth: Managing and measuring knowledge-based assets*. San Francisco: Berrett-Koehler.
- Swanson, R., & Holton, E. (2002). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Von Krogh, G., Ikujfro, N., & Nishiguchi, T. (Eds.). (2000). *Knowledge creation: A source of value*. NY: St. Martin's Press, Inc.
- White, G., Sondhi, A., & Fried, P. (1994). *The analysis and use of financial statements*. NY: John Wiley.
- Winter, S.G. (1998). Knowledge and competence as strategic assets . In D. A. Klein, (Ed.), *The strategic management of intellectual capital* (pp.165-187). Woburn, MA: Butterworth-Heinemann.

Human Capital Theory: A Reflection on Retention of Employees in the Hospitality Industry

*Hanna B. Hayes
Meera Alagaraja
Larry M. Dooley
Texas A&M University*

This paper examines human capital theory as a strategically implemented human resource development function with reference to retention in the hospitality industry. As noted in this paper, human capital theory demonstrates a need for the inclusion of human resource development within organizations in order to improve organizations' financial growth via the retention of employees.

Keywords: Human Capital Theory, Retention, Hospitality Industry

According to Navatorov (1997), management and organizational philosophy have begun to shift their focus from financial capital to a focus on human capital. Employers have recognized the need for human resource development and as Paxson (1994) explains, the value of employee commitment can reduce job turnover and increase productivity, which in turn, increases the competitiveness of an organization. As found in a recent study by Lam, Baum and Pine (2003), the average turnover rate in the hotel sector ranged from 27 percent to 41 percent between 1994 and 2000. In an effort to improve their bottom line, as well as their workforces, organizations must understand and implement Human Capital Theory into their organizations' human resource development framework.

Retention in the hospitality industry is difficult because employee experiences are often negative. "The lack of training is often cited as a main cause of turnover" (Breiter, 1991, p. 44). An increasing trend in human resource development has begun in most hospitality and service organizations. Allen, Shore and Griffeth (2003) suggest that a reason why this trend has begun is due to the fact that supportive human resources practices contribute to the development of perceived organizational support, which in turn, contributes to organizational commitment, thus increasing employee retention.

In today's high-turnover environment, sales and marketing directors like Tory Parks admit that, "It's far less expensive to invest in good employees than to continually retrain new hires" (2003, ¶3). Being able to measure and understand the complicated system of organizational development allows hospitality practitioners and professionals to develop more exhaustive human resource training programs, which in effect should lead to employee retention. Thus, there is real pressure on organizations in the hospitality industry to re-examine the role of human capital, as the economic benefit from retention of employees helps to assure both the survival of the company and improvement in the financial bottom line (Pittaway, Carmouche & Chell, 1998). How better to reflect the economic benefit of retention than with the foundational human resource development economic guiding concept of human capital theory.

The pressures that HRD faces in today's business scenario demands for the inclusion of economics as one of the foundational disciplines. Human capital theory is the economic theory most relevant for HRD. According to Swanson (2001), human capital theory provides a bottom-line orientation to HRD. With the emergence of the knowledge based economy, it is becoming clear that knowledge, skills and attitudes are key factors in for organizations to become economically productive. Therefore human capital theory is foundational to the field of HRD, as it draws its concepts from core theoretical foundations of economics.

Purpose of the Study

The purpose of this paper was to examine the ways in which human capital theory reflects upon retention in the hospitality industry. The researchers' goal was not to determine the effectiveness of human capital theory on retention; rather, the researchers wanted to uncover the impact that human capital theory has upon organizations' retention of employees. The central problem statement is: Does the "knowledge, expertise, and skill one accumulates through education and training" (Swanson & Holton, 2001, p. 109) in the hospitality industry lead to return to work intentions? It is the researchers' intention to add to the relationship model of human capital theory presented by Torraco (2001).

Copyright © 2004 Hanna B. Hayes, Meera Alagaraja, & Larry M. Dooley

Method

The design of this research effort was a conceptual analysis of literature on human capital theory in relation to the field of human resource development and the hospitality industry. This analysis focuses on the impact that education and training have on the retention of employees in the hospitality industry. Sources were located using computer searches using EBSCO, ERIC, and Academic Search Premier. The criteria for searches integrated keywords including: human capital, human capital theory, human resource development, employee, satisfaction, turnover, retention, and hospitality industry. To provide a richer literature source, a manual search for published and unpublished research on employee retention included the Academy of Human Resource Development proceedings, human resource development journals, human resource management journals, hospitality and tourism journals, and economic journals.

Theoretical Framework

Human capital theory, created by Shultz (1961) and Becker (1963) and modeled by Torraco (2001), provided the theoretical framework for this study. Schultz (1961) explains that economists have shied away from including human beings as capital due to conflicting positions regarding slavery and indentured servitude. “To treat human beings as wealth that can be augmented by investment runs counter to deeply held values. It seems to reduce man once again to a mere material component, to something akin to property” (Schultz, 1961, p. 2). Becker (1963) developed his human capital theory model based on the direct and indirect costs of education, especially benefits; moreover, Becker distinguishes between general and specific training. In 1962, Becker prophetically stated that human capital theory was “a development of great and lasting importance”

According to Torraco (2001) economics is a central element to HRD’s theoretical foundation. Several concepts from economics and the human capital theory have relevant applications for HRD. Some of these concepts have values and principles which add to HRD’s core theory base. The macroeconomic theory concerns itself with fiscal and monetary policy at the systemic level in contrast with microeconomics, which focuses on individual consumers, family or the organization. The supply and demand concepts have application for increasing organizational competitiveness by enhancing the value of the organizational human resources. Concepts of elasticity of demand, opportunity costs, production functions and agency theory are core concepts that help HRD professionals express their work in quantitative terms. Economic or financial measures serve as important indicators of organizational efficiency.

In this paper, the researchers suggest that human capital theory, as applied to the hospitality industry, is missing a foundational source of economic magnitude—employee retention. The main proposition of human capital theory is that human capital is considered a form of capital (Aliaga, 2001). Human capital theory is one of the only economic theories that seemingly explain the return on investment of education and training. Nafuko, Hairston, and Brooks (2003) believe that human capital theory is an economic theory that addresses the macro-economics of production and economic development; however this study focuses more in depth on the micro-economic effects of employee training on employee retention, which thereby lead to augmented earnings for both the employee and the organization.

Literature Review

“Employee turnover has long been a concern of the hospitality industry, and therefore of researchers who examine industry human-resources concerns” (Hinkin & Tracey, 2000, p.14). Most hospitality organizations underestimate the costs associated with turnover. The costs are substantial even in entry-level positions for relatively simple jobs (Hinkin & Tracey, 2000). Hsu, Jiang and Tang suggest, “HR managers have tried numerous approaches to reduce the turnover rate. They generally focus on methods related to pay structure, including higher than average salaries and staying bonuses” (2002, p.361). Simmons and Hinkin (2001) believe that companies may systematically survey employee attitudes and reward managers for the extent to which they can foster a satisfied and committed workforce. Yet rewarding management does not solve the increasing rate of employee turnover within the hospitality industry.

Wayne, Shore and Liden (1993) suggest that a pattern of reciprocity develops over time between an employee and their employing organization. Those employees who perceive low support may be more prone to leave the organization. “Employee turnover is strongly associated with decreased hotel profits” (Simons & Hinkin, 2001, p.67). In fact, Lam, Zhang and Baum advocate that, “most of the literature on employee turnover suggests that labor

turnover is a “hidden” cost for most organizations. Additional recruitment and training costs must be incurred as well as a resulting decrease in productivity” (2001, p.157).

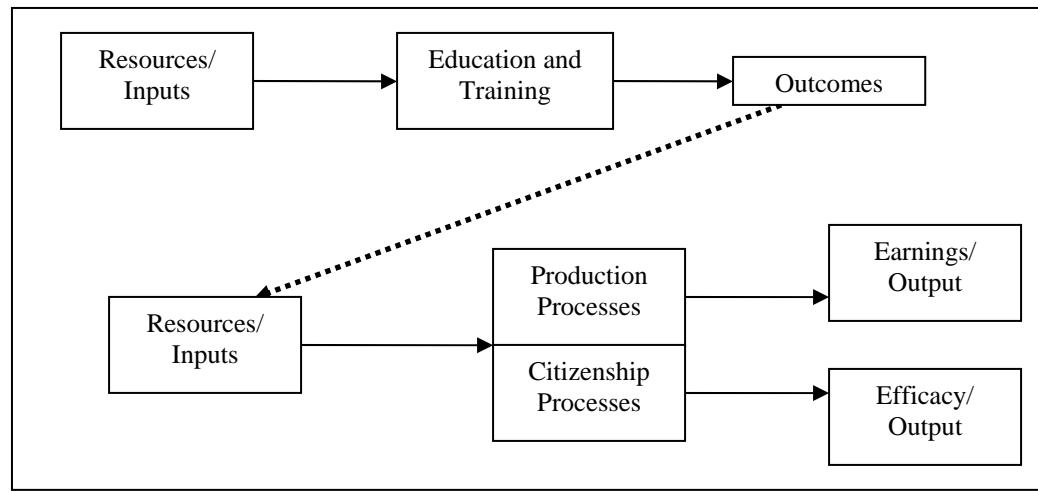
Hinkin and Tracey (2000) discovered that turnover is more likely to be associated with current job dissatisfaction rather than from an attraction to other job opportunities. In fact, employee commitment and job satisfaction are found to be negatively related to intentions to quit (Allen, et al., 2000). “Turnover is a symptom of underlying problems... caused primarily by poor supervision, a poor work environment, and inadequate compensation” (Hinkin & Tracey, 2000, p.21), not to mention, lack of training and organization dedication (Bowen, Kyriakidou & Warr, 2003). Bigne, Sanchez and Sanchez (2001) suggest, “in order to retain customers, organizations must seek to satisfy them, but a further objective must be to establish a lasting relationship” (p.608; Bigne, 1997).

Bayraktaroglu and Kutanis (2003) believe that the improvement of employees should be supported by the organization, and, as such, a suitable learning atmosphere should be created. This allows employees the opportunity to “contribute effectively to the performance of the organization” (p. 153). “During the past decade, [the workplace] has witnessed an increasing emphasis on learning at work and on the need to integrate learning and work for the good of both individual and organizations” (Ellstrom, 2001, p.421). In fact, according to Rowden, “developing the human resources of a company would seem to be key to increasing production and closing the gap between the level of worker skill and present and future needs” (2002, p.409-410). Allen, et al. (2003) proposes that certain human resource development programs should enhance retention.

Unbeknownst to the hospitality organization, management is utilizing the economic principle known as human capital theory as their guiding principle by incorporating education and training into their workforce. In fact, Parks (2003) suggests that “successful properties have realized that by keeping their employee’s skill level up and knowledge level sharp, they’ll benefit on several fronts” (2003, ¶ 1). Partlow (1996) proposes that quality training provides employees with the tools needed to recognize and solve problems.

However, investing in human beings to educate an organizations’ workforce is not a new process. In fact, the examination of training and development as an investment in human capital was pioneered in the early 1960s through works of important economic scholars like Schultz (1961), Mincer (1962), and Becker (1964) (Nafuko, Hairston, & Brooks, 2003). There are three key relationships in human capital theory. First, an investment in training leads to increased learning. Second, as learning increases, so does production. And third, as productivity increases, both individuals and the organization realize an increase in earnings. The model (figure 1.1) presented by Torraco (2001) incorporates these three ideas.

Figure 1. A Model of Human Capital Theory



As stated above and assumed from Torraco’s (2003) model, when the employees’ skills, productivity and quality of work improve, the organization realizes the benefits of education and training. According to Wang, Dou and Li (2002) “the effect of training on productivity growth is approximately five times as much as would be generated by compensation incentives” (Barron, Berger, & Black, 1993; Bishop, 1991 as cited by Wang, Dou & Li, 2002, pg. 205). Moreover, the return on investment (ROI) of training and education can be realized as “any

economic returns, *monetary* [those that can be measured and expressed in terms of dollar amounts] or *nonmonetary* [those that have economic impact on the organization, but can not be expressed in dollar values, such as employee job satisfaction]" (Wang, Dou & Li, 2002, pg. 212).

In understanding the ROI of human resource development practices, perhaps the organization is realizing an increase in earnings due to the retention of employees as well as increased output. In fact, according to a study conducted by Cox (2001) the "direct cost of turnover is estimated to be \$813 million. The opportunity cost of turnover is estimated to be between \$4.94 billion and \$5.8 billion" (slide 5). Cox (2001) assumes every \$1 direct costs equal to \$5 of opportunity costs. Cox suggests that turnover exceeds the entire industry's profit by 41 percent. These research findings propose that the increase an organization realizes by incorporating education and training into their workforce is due to retention rather than increased production.

In the hospitality industry, turnover is one of the leading causes of decreasing profits. In order to slow down decreasing profits, corporations have implemented rewards strategies rather than training strategies. In fact, hospitality organizations do not view training as a benefit, but merely as a cost. When budgets are strained, the training resources is the one of the first strategies of the firm to be put on hold, sometimes for a few weeks, in other instances, forever. Hospitality firms have been focusing on the short term benefits rather than the long term investment. Pollock & Ritchie (1990) posit that although firms seek to augment the skills of industry employees over lasting period of time, they develop a strategy to meet the short term training needs of the industry. According to Pollock & Ritchie (1990), firms implementing job training "have benefited from a useful preparation [of an employee] for an immediate position... [and] often do not perceive [training as] a long term career opportunity" (p.570).

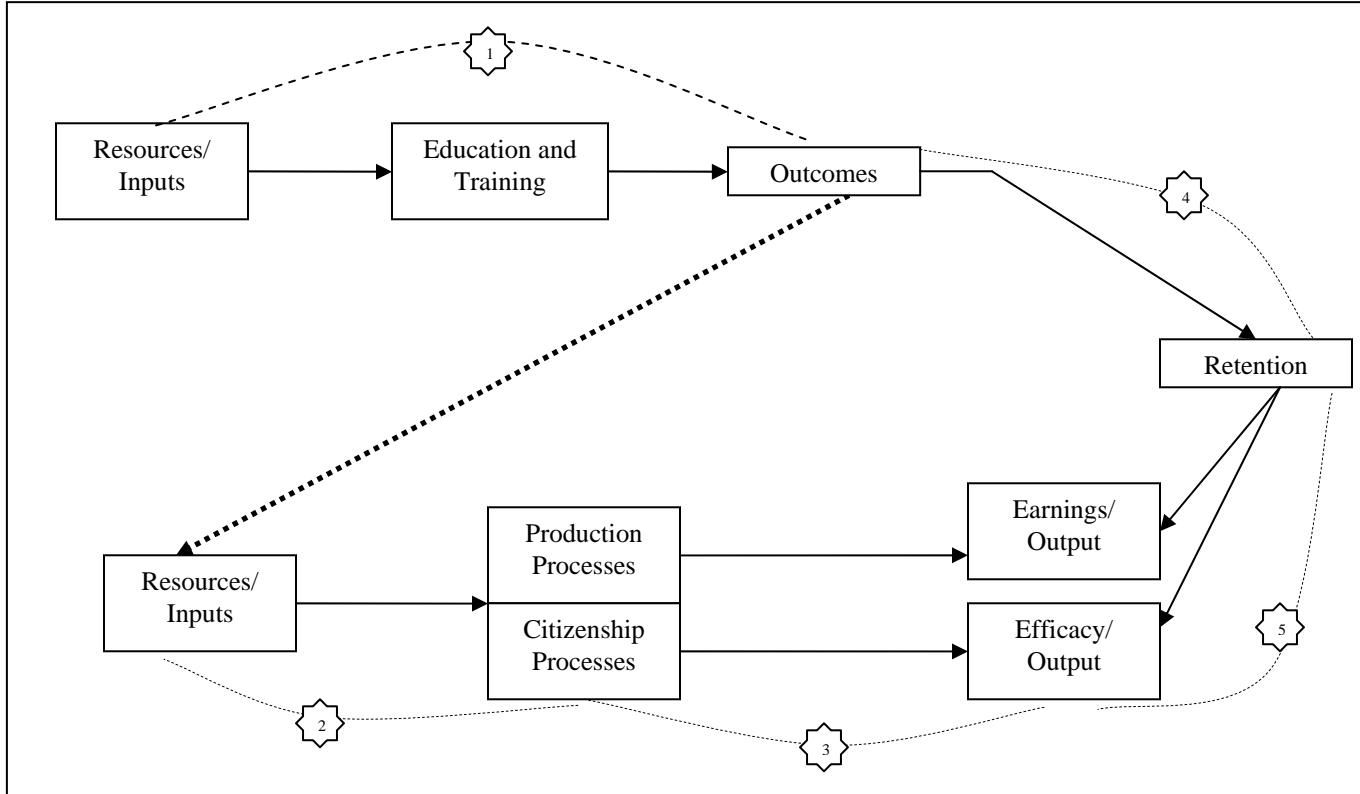
As stated before, "lack of training is often cited as a main cause of turnover" (Breiter, 1991, p. 44). Bowen, Kyriakidou, and Warr (2003) believe that "training demonstrates a commitment to the employee and signals a desire to retain and deploy the individuals and their skills over time" (p.51). Previous research published in tourism management and hospitality journals have dictated that organizational dedication is linked to employee retention. Griffeth, Hom, and Gaertner (2000, p.480) discovered work satisfaction has the highest relationship to turnover; however, their findings also conclude that "organizational commitment predict turnover better than does overall satisfaction." Moreover, Wright and Davis (2003) believe that job satisfaction has important implications on efficiency. "It is assumed that the benefits [job satisfaction] that employees receive from their organization influence the effort, skill, and creativity that employees are willing to provide their employer" (Wright & David, 2003, p.70).

Theory Building

Theory building has often not been recognized as having an important role in human resource development (HRD). Torraco (1997) states that a theory that is well constructed helps understand complex phenomenon. A simple and elegant theory provides a system for comprehending core ideas and inter-relationships among variables. Theories provide the basis for sound support of practice by helping us anticipate and address issues relevant for organizational performance. Theory building is therefore an invaluable tool for guiding practice in prescribing retention as important issue for increasing investments in human resource development. Incorporating retention to the human capital theory model can be recognized as a method of problem solving relevant to the hospitality industry. The statistics presented by Cox (2001) states that turnover exceeds the entire industry's profit by 41 percent. This is a clear indication of the significance of retention in adding economic value to the hospitality industry. By addressing retention as the missing link that may dramatically improve overall organizational performance in the hospitality industry, theory building in this case has direct applications for improving the scope of practice.

Incorporating retention into the human capital theory model seems to be a reasonable and well-documented addition. The researchers propose the following revision to Torraco's (2003) model (figure 1.2). The proposed model utilizes five key relationships that seem to be evident in human capital theory. First, an investment in training leads to increased learning. Second, as learning increases, so does production. Third, as productivity increases, both individuals and the organization realize an increase in earnings. Fourth, an increase in learning leads to augmented retention within the organization. And finally, an increase in retention leads to an increase in output as well as augmented earnings for the employee.

Figure 2. A Model of Human Capital Theory Including Retention



Conclusions and Recommendations

In conclusion, “employees stay with organizations because effective human-resources practices provide a supportive work-environment that affords opportunities to grow and develop” (Hinkin & Tracey, 2000, p.16). Moreover, Rowden suggests “organizations with the greatest harmony between organizational and individual goals are those that are sensitive to individuals and provide them with the resources and opportunities for learning and achievement” (2002, p.411). In the hospitality industry, human capital theory is an important and overlooked component of economics, focusing on education, and training. Perhaps investment in human capital leads to the retention of employees, thus positively or negatively affecting an organization’s financial status.

Swanson and Holton consider human capital theory as the branch of economics most applicable to human resource development (2001, p. 109). Human capital theory suggests that “society needs to invest in people for the sake of a stronger, more productive economy, and also to increase the opportunities and choices open to the individual” (Kagan, 2000, ¶ 8). However, some hospitality organizations view training as a benefit rather than as a standard firm procedure. The influence of human resource development programs on the turnover process has important implications for organizations; however, Allen, et al. (2003) remind managers that not all of the implemented human resource practices will directly affect turnover. Bartlett suggests that “HRD is one component of a complex set of management practices that together influence the attitudes and behaviors of employees” (2001, p. 349)

This paper is specific to the hospitality industry. Future studies need to be conducted that focus on the actual return on investment of training to retention. Moreover, research needs to be performed that depicts the process undergone in economic theory that reveals augmented earnings received from retention. Lastly, it is the researcher’s recommendation that future studies look at the benefits of retention on training and education of new employees within the industry. It is the author’s recommendation that further research regarding other HRD factors that also contribute to augmented earnings for both the employee and organization be studied.

Contribution to New Knowledge in HRD

As organizations recognize the importance of intangible assets and their impact on productivity and growth, few appear to correlate these assets and their measurement with the human resource development function (Cho & McLean, 2000). Previous studies have “recommended retention programs that could reduce turnover and its effects, [including] realistic job previews, job enrichment, workspace characteristics or socialization practices” (Pizam & Ellis, 1999 as cited by Milman, 2003, p. 19). Allen, et al. (2003) proposes that certain human resource development programs should enhance retention and contribute to employee motivation. Bartlett adds that “training and development contributes to desired workplace attitudes, including organizational commitment, which may in turn influence behaviors such as absenteeism and turnover” (2001, p. 349). Human capital theory “breaks down the barriers that now exist between organizational development approaches that attempt to influence climate and quality of work life, employee assistance, and other employee health and safety areas, and the more conventional training and development arena of human resource development” (Swanson & Holton, 2001, pp. 82-83).

This study will provide useful information to management and human resource practitioners within the hospitality industry. Most hospitality firms seek to reduce or manage employee because “employee turnover does more than reduce service quality and damage employee morale—it hits a hotel’s pocketbook” (Hinkin & Tracey, 2000, p. 14). Furthermore, the research will allow for the development of a more extensive human capital theory model to further research findings in the foundational guiding economic theories. This study will further research regarding human resource development and management techniques as related to hospitality organizations, so as to augment employee retention. Lastly, focusing on retention rates, human capital theory may be more quantifiable with regards to the return on investment of employee training practices.

References

- Aliaga, A.O. (2001). Human capital, HRD and the knowledge orientation. In O.A. Aliaga (Ed.) *Proceedings of the Academy of Human Resource Development* (pp. 427-434). Baton Rouge, LA: HRD.
- Allen, D.G., Shore, L.M., & Griffeth, R.W. (2003). The role of perceived organizational support and supportive human resources practices in the turnover process. *Journal of Management*, 29(1), 99-118.
- Bartlett, K. R. (2001). The relationship between training and organizational commitment: A study in the health care field. *Human Resource Development Quarterly*, 12(4), 335-352.
- Bayraktaroglu, S., & Kutanis, R.O. (2003). Transforming hotels into learning organizations: a new strategy for going global. *Tourism Management*, 24, 149-154.
- Becker, G.S. (1962). Investment in human capital: A theoretical analysis. *The Journal of Political Economy*, 70(5), Part 2: Investment in Human Beings, 9-49.
- Bigne, J.E, Sanchez, M.I., & Sanchez, J. (2001). Tourism image, evaluation variables and after purchase behavior: inter-relationship. *Tourism Management*, 22, 607-616.
- Bowen, A, Kyriakidou, O, & Warr, D. (2003). Strategies for employee retention in small hospitality businesses. *The Hospitality Review*, 5(1), 50-54.
- Breiter, D. (1991). Recruiting and retraining entry-level employees: The need for strategic change. *Hospitality & Tourism Educator*, 3(3), 44-47.
- Cox, J. (2001). *Fresh ideas for retaining employees*. Dallas ASTD. Retrieved on September 15, 2001 from: <http://www.dallasastd.org/resource/freshideasforretention.ppt>.
- Ellstrom, P. (2001). Integrating learning and work: Problems and prospects. *Human Resource Development Quarterly*, 12(4), 421-435.
- Griffeth, R.W., Hom, P.W., & Gaertner, R. (2000). A Meta-Analysis of Antecedents and Correlates of Employee Turnover: Update, Moderator Tests, and Research Implications for the Next Millennium. *Journal of Management*, 26 (3), 463-488.
- Hinkin, T.R. & Tracey, J.B. (2000). The cost of turnover. Putting a price on the learning curve. *Cornell Hotel and Restaurant Administration Quarterly*, June, 14-22.
- Hsu, M.K., Jiang, J.J., Klein, G., & Tang, Z. (2002). Perceived career incentives and intent to leave. *Information & Management*, 40, 361-369.

- Kagan, T. (2000). *History of education. Selected moments of the 20th century.* 1961: Theodore W. Schultz publishes Investment in Human Capital. Retrieved on September 6, 2003 from http://fcis.oise.utoronto.ca/~daniel_schugurensky/assignment1/1961schultz.html
- Lam, T., Zhang, H. & Baum, T. (2001). An investigation of employees' job satisfaction: the case of hotels in Hong Kong. *Tourism Management*, 22, 157-165.
- Lam, T., Pine, R. & Baum, T. (2003). Subjective norms. Effects on job satisfaction. *Annals of Tourism Research*, 30(1), 160-177.
- Milan, A. (2003). Hourly employee retention in small and medium attractions: the Central Florida example. *Hospitality Management*, 22, 17-35.
- Nafukho, F. M., Hairston, N. R., & Brooks, K. (2003). Human capital theory, HRD and economic growth. *Academy of Human Resource Development Conference Proceedings*, 2(47-1).
- Navatorov, E.V. (1997). An importance-performance approach to evaluating internal marketing in a recreation center. *Managing Leisure*, 2, 1-16.
- Parks, T. (2003, April). Online training as a cost-effective supplement; Hotel staff training can make or break a hotel. *Hotel-Online*. Retrieved from http://www.hotel-online.com/News/PR2003_2nd/Apr03_OnlineTraining.html
- Partlow, C.G. (1996). Human-resources practices of TQM hotels. *Cornell Hotel and Restaurant Administration Quarterly*, October, 67-79.
- Paxson, M.C. (1994). A review of the organizational commitment literature as applied to hospitality organizations. *In Progress in Tourism, Recreation and Hospitality Management*, 5, 211-230.
- Pittaway, L., Carmouche, R., & Chell,E. (1998). The way forward: Leadership research in the hospitality industry. *International Journal of Hospitality Management*, 17, 407-426.
- Pollock, A., & Ritchie, J. R. B. (1990). Integrated strategy for tourism education/ training. *Annals of Tourism Research*, 17, 568-585
- Rowden, R. (2002). The relationship between workplace learning and job satisfaction in U.S. small to midsize businesses. *Human Resource Development Quarterly*, 13(4), 407-425.
- Schultz, T. W. (1961). Investment in human capital. *The American Economic Review* (51:1)
- Simons, T. & Hinkin, T. (2001). The effect of employee turnover on hotel profits. A test across multiple hotels. *Cornell Hotel and Restaurant Administration Quarterly*, August, 65-69.
- Swanson, R. A., & Holton, E. F. (1997). *Human resource development research handbook: Linking research and practice*. San Francisco: Berrett-Koehler Publishers, Inc.
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler Publishers, Inc.
- Torraco, R.J. (1997). Theory building research methods. In Swanson, R. A. & Holton, E. F. (Eds.) *Human Resource Development Research Handbook*. (pp. 114-137). San Francisco: Berrett-Koehler Publishers.
- Torraco, R.J. (2001). Economics-human capital theory and human resource development. In Swanson, R. A. & Holton, E. F. (Eds.), *Foundations of Human Resource Development*. (pp.106-114). San Francisco: Berrett-Koehler Publishers, Inc.
- Wang, G.G, Dou, Z. & Li, N. (2002). A systems approach to measuring return on investment for HRD interventions. *Human Resource Development Quarterly*, 13(2), 203-224.
- Wayne, S.J., Shore, L.M., & Liden, R.C. (1997). Perceived organizational support and leader—member exchange: A social exchange perspective. *Academy of Management Journal*, 40, 82-111.
- Wright, B.E., & Davis, B.S. (2003). Job satisfaction in the public sector: The role of the work environment. *American Review of Public Administration*, 33(1), 70-90.

Making Connections: The Link Between HRD Education, Practice, and Research

*Lyndsay M. Taylor
Jamie L. Callahan
Texas A&M University*

This study addresses the question of whether or not there is a linkage between HRD education, practice and research. By reviewing HRD graduate curriculum, AHRD member research interests, and analyzing the contents of the primary HRD empirical journal, we analyzed three years worth of data. Results indicated that there are many overlaps in the foci of HRD university curriculum to current research interests and publications

When discussing Human Resource Development (HRD), a variety of debatable issues typically surface. What does HRD mean? (e.g., Lee, 2001; McLean & McLean, 2001; Walton, 2002). Does HRD have different meanings in different countries? (McLean & McLean, 2001). From which theoretical frameworks are HRD derived? (e.g., Swanson, 2001; McGoldrick, Stewart & Watson, 2001). Can we classify HRD as a discipline? (e.g., Kuchinke, 2001). Are there other, better ways to understand the nature of our field? (e.g., Ruona, 2002; Callahan & Dunne de Davila, 2003) Many of these questions are visible in HRD literature, university graduate courses and in the professional association for the field, the Academy of Human Resource Development (AHRD).

As HRD professionals in the United States, we have come to recognize and respect these debates that occur within the field of HRD. However, it is clear that these debates filter through not only the research and publications that inform our field, but also through the graduate programs that prepare researchers and practitioners to enter the field. Responding to calls from senior scholars in the field of HRD, Kuchinke (2002) conducted a study of the curriculum associated with HRD graduate programs in the United States. He noted a lack of alignment between publications in the field of HRD and curriculum in the graduate programs he studied:

When looking at the HRD curriculum, one sees that although much of the writing in the field stresses such topics as organizational learning, strategic HRD, international issues, workforce diversity, change management, distance learning, and the economic impact of HRD, these have not yet been translated universally into core curriculum content of HRD graduate programs (Kuchinke, 2002, p.140).

A lack of alignment between our research and practice could have serious consequences for our search for identity, as Kuchinke points out. Our research can include not only the publications in the core journal of our field, *Human Resource Development Quarterly*, but also the espoused research interests of members of AHRD. Our practice can be equated with the knowledge, skills, and abilities we impart through the educational programs that produce HRD professionals. Knowing more about linkage issues between HRD curriculum, HRD publications, and the research interests of HRD scholars could benefit novices in the field because they would be better informed about the nature of our community of practice. This information would also be beneficial to professionals in the field so that they might recognize if and where gaps exist that are contributing to the identity crises we are currently experiencing in HRD (Ruona, 2002). Thus, the purpose of this paper is to begin to identify both potential overlaps and gaps that currently exist between fundamental information taught to HRD graduate students (novices) and what today's HRD professionals are researching and writing about.

Research Method

This study consisted of collecting, categorizing and analyzing existing descriptive data from three primary sources. The first source of data was from Kuchinke's (2002) study of graduate level HRD curricula. From 1999-2001, Kuchinke studied the curriculum of United States – based HRD graduate programs (Kuchinke, 2002). One component of his study compares the HRD graduate course offerings to current HRD publications.

The second source of data was derived from the AHRD membership listings, which are found on CD-ROMs provided to AHRD members at the annual professional conference. In past years, these membership lists included research interests that individuals had provided as part of their professional membership applications. In order to appropriately compare data to Kuchinke's study, the present research utilizes data from 1999-2001, the same years

Kuchinke gathered his university curriculum data. However, the AHRD membership interests only appeared on the 2000 CD-ROM; the 1999 and 2001 membership listing did not contain the research interests of AHRD members. Therefore, the results of this study will only show what members were interested in researching during the year of 2000, and will not be representative of the three-year time span.

The third source of data came from a review and analysis of publications in the journal *Human Resource Development Quarterly (HRDQ)*. *HRDQ* is the primary research publication in the field of HRD. The data used for the present study was derived from the table of contents (TOC) for all issues of *HRDQ* during 1999, 2000, and 2001; there were four publications each year. This analysis would show the current topics pursued by researchers, as well as what the topics that the editors found to be important for sharing with the HRD community. This review of publication topics may also shed light on current interests within the field of HRD.

To maintain consistency with the first source of data, the assessment of graduate HRD curricula, we attempted to use the same themes when analyzing AHRD member research interests and *HRDQ* publications. The first author conducted an initial analysis using the constant comparative method (Glaser & Strauss); the second author also conducted an analysis and the results were compared. Using a dialogue approach to clarify assumptions and decisions, the two authors came to agreement upon the themes presented for AHRD member interests and publications.

HRD in Universities

"In the absence of a central accrediting body at the program level and institution-level professional organizations, little is known about the total number of [HRD] program[s] in this country" (Kuchinke, 2002, p.129). However, the American Society for Training and Development (ASTD) periodically publishes a list of HRD related graduate programs; this list is composed as a result of information volunteered by U.S. universities (Kuchinke, 2002). Therefore, the list is not fully representative of all U.S. HRD graduate programs.

The names of these HRD related programs are not all always called 'HRD'. Each program location, title and the required curriculum within the program are representative of the perceptions of *what HRD means* to that particular university, department and staff. Preparing students to go out into the world as HRD practitioners or leaders is ultimately in the hands of the university a student chooses to attend. Kuchinke's study, based on the ASTD list of HRD graduate programs, focused on the location, title of, and the core curriculum of U.S. graduate programs:

The fifty-five programs were located in departments or units that were strongly heterogeneous in name, ranging from department of public administration and urban studies to psychology, leadership and organization, management, human services, counseling, curriculum instruction, and many others. In fact, there were no two departments with the same name and only a small number with similar names (those indicating emphasis on counseling, educational leadership, and adult education) (Kuchinke, 2002, p.135-136).

The most frequently mentioned department name with an HRD related graduate program was that of the college of education; "this [location within the university] represented seventy-six percent of HRD programs" (Kuchinke, 2002, p.136).

Does the difference in program names and location within the university necessarily change the curriculum that students are exposed to? Will graduates of these varied programs come out with relatively similar or varied educational experiences? Each university program uses their own process for developing the curriculum they provide to their graduate students. However, ideas advocated by scholars such as McLagan (training competencies) and Swanson (the three legged stool), are generally utilized in HRD graduate curriculum. Therefore, although varied, the core curriculum for HRD related graduate programs are somewhat homogeneous.

Kuchinke found that, "the fifty-five programs addressed a total of 981 content areas, with the average program covering about one-half of all areas identified." (2002, p.138). The content areas were summarized into thirty-one topical content areas. Seventy-three percent or more of the programs required students to take courses in instructional design, instructional delivery, evaluation, and adult learning theories (Kuchinke, 2002, p.139). While just over fifty percent required courses relating to computer applications in HRD, organizational learning/learning organization, organization theory/behavior, and management of HRD. Forty to forty-five percent of programs required students to learn about communication, facilitation, psychological dimensions, strategic HRD, career development, distance learning, instructional media, diversity/multicultural HRD, and change management. Some less frequent, yet noteworthy, content areas that surfaced were leadership management (36%), international HRD (35%), action learning/research (31%), economic dimensions of HRD (27%), HRD/educational policy studies (22%) and quality management (20%).

We see that these graduate programs generally offer the same types of courses, although each individual program is slightly varied. We know this since there is not one content area that is covered in 100% of the HRD graduate programs. However, this shows us that even though our programs may be found in the management, education or psychology departments – and have different names such as HRD, OD, T&D or industrial psychology, each program offers similar HRD curriculum. For comparison purposes, Table 1 (below) contains an abbreviation of Kuchinke's table showing the top fifteen university curricula content areas.

Table 1. *Top 15 Content Areas Covered in Curricula Of Graduate HRD Programs*

<i>Rank</i>	<i>Content Areas</i>	<i>Frequency</i>	<i>Percentage</i>
1	Instructional design	43	78
2	Instructional delivery	41	75
3	Evaluation	41	75
4	Adult learning theories	36	73
5	Needs/performance analysis	35	65
6	History and philosophy of HRD	35	64
7	Instructional technology	33	60
8	Organization development	33	60
9	HRD consulting	32	58
10	Management of HRD	30	55
11	Organization theory/behavior	30	55
12	Organizational learning/learning organization	29	53
13	Computer applications in HRD	28	51
14	Principles of business/industry/management	27	49
15	Teams/group dynamics	26	47

n = 55

(Kuchinke, 2002, p. 139)

Again, Kuchinke offers that his study had the limitation that he has only included fifty-five HRD programs in the US, when there are potentially hundreds more that were not identified in this study. Now that we have learned about the content areas that universities use to prepare their students for a career in HRD, it is time to analyze and compare the research interests of AHRD members. This information on research interests might inform universities of changes or improvements being made in the real world of HRD.

Academy of Human Resource Development (AHRD) Member Interests

AHRD members typically consist of university researchers/professors and HRD university students. While there are certainly other professional associations to which HRD professionals belong (e.g., Academy of Management, Society of Industrial and Organizational Psychology, Institute for Behavioral and Applied Management), AHRD is the only professional association dedicated to the advancement of HRD scholarship. Further, there are members of AHRD who consider themselves to be 'HRD practitioners' and are not affiliated with a university. Practitioners tend to participate less often than do university affiliates; this is because AHRD is a research-focused organization, while other professional associations, such as ASTD, Society for Human Resource Management (SHRM), and the International Society for Performance Improvement (ISPI) are more practitioner-focused. Thus, we felt that using the membership of AHRD was a sufficient proxy for capturing the research interests of those who identify themselves as HRD researchers.

On the 2000 AHRD CD-ROM there were a total of 650 members. Five hundred and fifty members were from North America; ninety-five members were from Australia, Hong Kong, Singapore, Switzerland, Korea, or the Netherlands; and five members noted their origin as being either 'HRD' or 'ISPI' (International Society for Performance Improvement). We did not have access to the specific nationalities of each member, just the country in which they claim residency, for AHRD membership and correspondence records. For analyzing purposes, 'HRD' and 'ISPI' members will be analyzed as being residents of North America. Each member had the option of reporting his or her top three research interests. Seventy percent of members volunteered to report their primary research interest to be shared with other members. 398 North American members and 65 International members are who made up the research interest population for the year 2000. Therefore, 62.27% of North American members and 65% of International members participated by sharing their research interests.

Because few members reported a secondary research interest and even fewer reported a third, only primary research interests were included in the present study. There were 323 different 'primary' research interests given by the 458 total respondents. Since one purpose of this study was to determine whether there was a link between Kuchinke's curriculum study and the research interests of the HRD community, we began analyzing the primary research list by matching them to the content areas listed in HRD university core curriculum. This matching process enabled us to narrow the 323 different research interests into ninety-three research themes. Many interests were specific and did not fall under the general content areas listed in Table 1, nor did they match the interest of other AHRD members; this prevented further 'grouping' of themes. The top fifteen of the ninety-three research interests are reported, according to their frequency, in Table 2.

Table 2. *Top 15 Research Interest Themes As Reported by AHRD Members in 2000*

<i>Rank</i>	<i>Theme</i>	<i>Frequency</i>	<i>Percentage</i>
1	Leadership/management development	24	5.2
2	Transfer of training/learning	23	5.0
3	Organization development	21	4.6
4	Adult learning theories	20	4.4
5	Learning organization/organizational learning	20	4.4
6	International HRD	20	4.4
7	Evaluation	19	4.1
8	Training and development	18	3.9
9	Diversity/multicultural HRD	16	3.5
10	Needs/performance analysis	16	3.5
11	Action learning/research	14	3.1
12	Instructional technology	14	3.1
13	Workplace learning/group learning	14	3.1
14	Career development	12	2.6
15	Distance learning	11	2.4

n = 458

Because there were 458 individuals with 93 different topical research interests, most research interests accounted for only 0.2 to 1.0 percent of the total population of respondents. The top fifteen interests represent eleven percent or more of the total respondents. Although each member's interests are important, the purpose of this study was to analyze what AHRD members were *most* interested in researching, most of these are represented on Table 2. When the research interests were assessed by geographical location, members from North America were most interested in leadership/management development and transfer of training/learning, respectively. International members showed most interest in workplace learning/group learning, followed by training and development.

One interesting finding was that three research interest themes found in the top fifteen of AHRD member interests were not found on Kuchinke's curriculum content listing as separate, specific courses. Transfer of training/learning, training and development, and workplace learning/group learning are broader interest areas that are likely components of other courses in HRD graduate curriculum. On the other hand, twelve of the top fifteen research interests are being addressed in HRD graduate programs already. Some of the most frequently mentioned research themes are in fact being taught in the university, but are being taught less frequently than other content areas. For example, leadership/management development and international HRD are in the top six research interest of members, but in the university they are only listed as number 26 and 27 (out of 31) as their frequency of being present in university curriculum. Kuchinke's observation that HRD literature focuses on organizational learning, workforce diversity and international issues would seem to be valid, based on the top fifteen research interests listed in Table 2. These three issues are weighing on the minds of HRD professionals, but are not being taught specifically as core curriculum in our universities. It remains to be seen if the field is actually publishing manuscripts that address espoused research interests of AHRD members and core content of HRD graduate curricula.

HRDQ Publications

Human Resource Development Quarterly is the flagship empirical research journal within the field of HRD. The editors of this journal are responsible for making the final decision as to what is and what is not going to be

published in the journal. Therefore, what we read in *HRDQ* is not only representative of what is being submitted to the journal for publication (researcher interests), but also what the editors find worthy of publishing.

Since this study was meant to determine whether there was a linkage between university curricula, to professional interests, and finally to what we are actually publishing to inform the HRD community, *HRDQ* was the publication of choice. The authors obtained the TOC for the years of 1999-2001. Several components were analyzed during this process:

1. Were there themes in the titles of the articles that matched those of Kuchinke and the AHRD membership interests? If so, how many? And what were they?
2. Since there are both peer-reviewed and non peer-reviewed entries in the *HRDQ* journal, which themes were peer-reviewed, and which were not (which ideas are being published based on more than one HRD person's perspectives)?

The table of contents in *HRDQ* has five sections: editorial, feature, article, forum, and discussion. The only section in the journal that is peer-reviewed is the articles section. All other sections are included on the judgments of the editors; scholars do not conduct a blind review of the ideas, validity, and quality of articles/papers in the editorial, feature, forum and discussion sections. This component of analysis may or may not show that peer-reviewed articles are more likely to match themes found in the other two areas of this study.

During the three-year time span, there were twelve journals published. There were a total of sixty-seven items published in *HRDQ*. Of these sixty-seven items, thirty-five were peer-reviewed articles, and the remaining thirty-two were not peer-reviewed. The number of peer reviewed versus non-reviewed were nearly equal. Table 3 highlights the top themes found in *HRDQ* manuscripts. Only those themes that appeared more than twice were included in the present study, resulting in only nine reported themes.

Table 3. Top Themes Present in 67 *HRDQ* Articles From 1999 – 2001

Rank	Theme	Frequency	Percentage
1	Organizational analysis	9	13.5
2	Diversity/multicultural HRD	7	10
3	Leadership/management development	6	9
4	Facilitation	6	9
5	Transfer of training/Learning	5	7.5
6	Adult learning theories	4	6
7	History and philosophy of HRD	3	4.5
8	Needs/performance analysis	3	4.5
9	International HRD	3	4.5

n=67

Organizational analysis, diversity/multicultural HRD, leadership/management development, facilitation and adult learning theories, were by far the most apparent themes which were published in *HRDQ* between 1999 and 2001; these themes show us that we are in fact teaching current, real world HRD issues in the university setting. However, there is one content area that is very evident in the *HRDQ* publications and is reported as being the number two research interest of AHRD members, but is not specifically identified in university curriculum—transfer of training/learning.

Limitations

Limitations to this study are present in both our current study, as well as in the Kuchinke study, which is where 1/3 of the data was derived. Kuchinke's study "does not represent the universe of HRD programs, but a purposefully selected volunteer sample, thus the findings do not generalize beyond the fifty-five programs [studies]" (Kuchinke, 2002, p.141). Also, "even though coding curriculum content areas instead of course names gives a more detailed picture of what is being taught...the information in [his] article is likely to hide additional detail that would be uncovered in a fine-grained study" (Kuchinke, 2002, p.141).

Another limitation in the present study, regarding the AHRD membership interests is that we only had access to research interests reported in the year 2000. The other data analyzed in this study was representative of data reported during the three-year period of 1999 –2001. Therefore, different or additional key research interests could have been available from other sources with which to compare to curriculum and publications. Also, within the 2000 research interests, we focused on the primary research interests rather than all three-research interests reported. There were, by far, more primary research interests available than there were secondary or third research interests

In researching only AHRD member interests, we may get an accurate picture of what university students and academicians are interested in knowing more about concerning HRD issues; but we would not be representing HRD field practitioners, who are members of professional organizations like ASTD, SHRM, OD Network and other such associations. Had we collected and analyzed research interests of members belonging to these HRD-related organizations, we may have shown different or additional areas of interest. In addition, during this process of analyzing research interests was our goal was to remain neutral, but our perceptions as to what may or may not 'fit into' a certain 'content area' or category may be different than someone else's, thus possibly skewing the data.

By reviewing only *HRDQ*, we have limited ourselves to one journal's perspective on what is important to publish for the HRD community. Another approach might have been to identify each member of AHRD and to conduct literature review searches for their publications. Interestingly, such an approach would have given us access to what those who claim to be HRD scholars are writing, but, since our identity standard bearer is *HRDQ*, we would not have been exploring the link we sought. Namely, we wanted to know if what we taught was consistent with our declared interests as HRD scholars and with the portrait of HRD presented by our flagship journal. Again, we used personal judgments in which titles belonged to each 'theme'; and, although we conducted checks of our respective judgments by independently reviewing each others' analyses, our mental process in organizing the data may be different than someone else would have done it.

Implications for HRD Research and Practice

While the present study has limitations, the exploratory nature of the study reveals several areas for consideration in strategically positioning HRD as a viable professional and educational field. By reviewing the research (publications and interests) and practice (education) within the field of HRD, we see both overlaps and inconsistencies.

Kuchinke (2002) suggests that our graduate curricula should be updated to meet current research publication topics. While we do agree that the more popular themes in research publications and interests are not well represented in the graduate curriculum of most programs, the present study does suggest that we are on the right track with our HRD graduate education. For the most part, AHRD members express a high level of interest in issues associated with training and learning. This interest in training and learning concepts can also be seen in the major research publication of the field, *HRDQ*.

This interest is quite consistent with the history of the field. Training and learning have been foundations of the field since Nadler initiated the first HRD graduate program at George Washington University in the 1960s (Ruona, 2000; Callahan, 2003; Swanson & Torraco, 1996). However, the three-way comparison conducted in the present study reveals a potential disconnect between our research and practice. Our graduate programs tend to teach small components of the training process, with in-depth courses on assessment, design, delivery, and evaluation. Themes identified in both the publications and in member research interests suggest that at least two changes in our curriculum could (and should) be made.

First, the issue of transfer is clearly of substantial importance to current researchers. However, there are no specialization courses on this particular aspect of the training process as part of the core curriculum of graduate HRD programs. The curriculum suggests a focus on simply preparing and providing training, without substantive consideration of the impact of that training. This reflects a growing strategic orientation in current research, while current education lags behind. While this is largely due to the bureaucratic nature of large educational institutions, this strategic orientation to training should be reviewed for inclusion in graduate curricula.

However, by focusing only on parts of the training process, we potentially miss the opportunity to strategically identify our real strength as a field. Our strength is our ability to use those constructs of learning and development as a foundation for multiple types of interventions that go well beyond training. Thus, the first change we would advocate is a more mindful consideration of an overview of training and development as a broad approach to applying learning theories to improving people and the organizations in which they work. At the same time, however, we advocate having more detailed coursework on the impact of training transfer. We suggest having both the overview courses that illuminate how all the parts fit together and also the specialization courses that give HRD novices the necessary skills to practice at all levels of the HRD profession (i.e., not just as training designers, but as training directors or HRD directors)

The second major change we would suggest is based on the heavy organizational level focus of both interests and publications. Organizational analysis is one of the most popular interests among HRD scholars. However, HRD coursework does not include required courses from disciplines that focus on the collective. The shifts in research interests and publications toward a better understanding of how learning and training inform the collective suggest that we should require courses from sociology or anthropology. These disciplines are specifically focused on developing knowledge about and understandings of the collective. If we are to take a truly systemic view of HRD

and the way HRD interacts with the systems in which it is embedded, we must better educate ourselves and novices about theories of the collective.

Conclusion

The purpose of this paper was to identify both potential overlaps and gaps that exist between fundamental information taught to HRD graduate students and what today's HRD professionals are researching and writing about. Identifying key content areas in HRD university graduate curriculum, AHRD research interests and HRDQ publications allowed us to find 'key' issues in HRD from three different angles. There were many three-way overlaps with foci such as: evaluation, leadership, management/development, OD, diversity/multicultural HRD and needs/performance analysis. So, we would suggest that several aspects of HRD research and practice are in fact linked.

In fact, there appear to be many more overlaps than there are gaps. There are several small gaps, but only two of great concern. The two notable gaps between what we teach novices to what we are facing in the 'real world' deal with training: T&D and transfer of training/learning. The desire of HRD professionals to be seen as something beyond 'trainers' is understandable. However, training is core to the nature of HRD and can be leveraged to a strategic level if incorporated with principles of learning and performance at the organizational level. Our answer for survival as a distinct field of practice and research is not to abdicate our roles as purveyors of learning in the organization. Instead, our answer is to demonstrate the full range of learning and development constructs that can be used to lead to equifinality of improved individual and organizational performance.

These topics being addressed by HRD professionals and HRD publications are an avenue for us to see where the field of HRD is 'headed'. With the research presented in this paper, it is evident that our HRD interests have heightened in the areas of T&D, transfer of training, and management development/effectiveness. However, our field appears to be rather stagnant overall. Most frequently reported interests and publications are closely in alignment with our current HRD curriculum. Something to consider, prior to deciding whether we truly have a linkage between HRD education and the real world, would be to analyze HRD practitioners (possibly members of ASTD) in addition to looking solely at the opinions and articles developed by researchers, or academics.

References

- Callahan, J.L. (2003). Organizational learning as a critical issue in human resource development. In A.M. Gilley, J.L. Callahan, & L. Bierma (Eds.), *Critical issues in human resource development*. (pp. 161-178). Cambridge, MA: Perseus Publishing.
- Kuchinke, K.P. (2001). Why HRD is not an academic discipline. *Human Resource Development International*, 4(3), 291-294.
- Kuchinke, K.P. (2002, Summer). Institutional and curricular characteristics of leading graduate HRD programs in the United States. *Human Resource Development Quarterly* 13(2), 127-143.
- Lee, M. (2001). A refusal to define HRD. *Human Resource Development International*, 4(3), 327-341.
- McGoldrick, J., Stewart, J., & Watson, S. (2001). Theorizing human resource development. *Human Resource Development International*, 4(3), 343-356.
- McLean, G.N. and McLean, L. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- Ruona, W.E.A. (2002). *What's in a name? Human resource development and its core*. Paper presented at the town forum meeting of the Academy of Human Resource Development, Minneapolis, Minnesota.
- Swanson, R.A. (2001). Human resource development and its underlying theory. *Human Resource Development International*, 4(3), 299.312.
- Swanson, R.A., & Holton, E.F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Walton, J.S. (2002, February). *How shall a thing be called? A debate on the efficacy of the term HRD*. Paper presented at the town forum meeting of the Academy of Human Resource Development, Minneapolis, Minnesota.

Human Resource Development in Newspaper Recruitment Advertisements: A Resource for Curriculum Design

*Kit Brooks
Fredrick Muyia Nafukho
Mary Herrington
University of Arkansas*

This paper explored HRD-related job advertisements in the state of Arkansas over a five-year period. This analysis was part of the curriculum revision process for a graduate Workforce Development Program at the state's "flagship" university. Classified advertisements from newspapers of major cities across the state were examined to determine if changes in recruitment terminology represented the changing needs of business and industry and if the curriculum of the graduate Workforce Development Program reflected those needs.

Keywords: HRD, Human Resources, Recruitment

Arkansas, like other rural states, faces major challenges inherent with increasing economic growth and development while mitigating poverty. Poverty impacts the entire state but is more pronounced within specific regions, such as the agriculturally based and less densely populated south delta. Existing data show that the employable workforce in Arkansas is inadequately educated to meet current and future needs of business and industry. The percentage of adults in Arkansas with a bachelor's degrees or higher was 16.6 percent — lower than the U.S. average (SREB, 2003).

Research supports the notion that the changing landscape of global economies requires employees to become more knowledgeable and technology-savvy in order to compete for and maintain continuous employment. The economic problems facing Arkansas, especially in the depressed rural areas, require developing a better-trained and educated workforce. The process of planning programs to transform Arkansas's economy is literally an HRD issue. Higher education plays a crucial role in supplying business and industry with employees that are competent to meet the demands of diverse work environments. In a rapidly changing economy, HRD activities such as training and development assume greater significance to organizations (Bartlett & Porter, 2001; Ulrich & Lake, 1990). Therefore, academic programs that prepare HRD professionals are compelled to ensure that competencies taught are aligned with competencies needed and sought out by business and industry.

To evaluate the alignment of current programmatic content with competencies needed by business and industry, the data from this research functioned as a resource for revising a graduate Workforce Development Program at the state's "flagship" university. By comparing the HRD skills and positions for which business and industry were soliciting, the curriculum could be revised to better reflect the changing needs of employers within the area. The stakeholder evaluation and environmental scanning are well-established practices in program planning and assessment. Data from a comparison of HRD-focused classified job advertisements could document the need to adjust programmatic content to meet employer needs.

Problem Statement

While empirical evidence exists regarding the increasing role of HRD in organizational transformation, no research in the State of Arkansas currently exists to show the extent to which training, training & development, career development opportunities, and organizational support enhancement opportunities are made explicit in job advertisements. In the last five years, Arkansas has experienced rapid population and economic growth in the Northwest region. This, due in part to the phenomenal growth of Wal-Mart, the largest and most profitable private organization in the world which is headquartered in Northwest Arkansas. To better serve this retail giant, a number of international manufacturers and vendors have established sophisticated "teams" in the area to ensure that the Wal-Mart – supplier relationships flourish and that profits increase. Given that in 2003, Fayetteville Arkansas was rated the top city in the U.S. with respect to growth and diverse, stable economies (Milken Institute, 2003), it seemed reasonable to assume that considering the state's changing demographics, escalating global penetration of businesses within the state, and its expanding economic development, that the HRD-related skills that employers needed had

Copyright © 2003 Kit Brooks, Fredrick Muyia Nafukho, & Mary Herrington

also changed. Therefore, the primary objective of this study was to determine the degree to which recruitment advertisements from organizations' within the State of Arkansas made explicit references to the role of HRD in job descriptions or required skills. Classified job advertisements from 1997 and 2001 were compared to determine if there was an increased number of references to HRD over the five-year period and how those references differed, and possibly identifying trends that will impact the profession and the institutions that prepare HRD professionals.

The data from the study were intended to be used by faculty members at the state's flagship university to help determine if ongoing curriculum revisions within a graduate Workforce Development Program were aligned with the espoused needs of business and industry within Arkansas. The classified advertisements were one of many data sets used to assess stakeholders' needs during the curriculum revision process within the university.

Research Question

One primary research question guided the study. This exploratory study analyzed the changes in HRD-related terminology and job descriptions that business and industry solicited in classified advertisements in the years 1997 and 2001. These changes were then analyzed to evaluate the degree to which the current graduate Workforce Development Program at the state's flagship university was aligned with the espoused needs of business and industry.

Theoretical Framework

Organizations scan the environment in order to understand the external forces of change so that they may develop effective responses which secure or improve their position in the future, to avoid surprises, identify threats and opportunities, gain competitive advantage, and improve long-term and short-term planning (Choo, 2001). Environmental scanning as part of program planning and evaluation is commonplace. Reviewing the changes in job postings associated with HRD-related functions over a period of time is a form of environmental scanning. Choo (2001) states that "Environmental scanning includes both looking at information (viewing) and looking for information (searching)" (p. 1) . A number of studies have found environmental scanning linked to organizational performance (Choo & Auster, 1993; Ptaszynski, 1989). In this study, the researchers looked for differences in the way HRD-related jobs were advertised and described in classified advertisements in 1997 and 2001 to identify trends that could assist faculty in curriculum development.

Stakeholder evaluation, the process of analyzing the perceptions and preferences of those that are impacted by a particular service or event, is a response to manage the mercurial nature of customers. Higher education is not immune from this pressure. A recent report by the University of Twente (2001) discusses how institutions of higher education, due in large to the network economy, are forced to devise efficient methods to meet the demands of business and industry, the local community and society at large. The report suggests that adaptive organization that monitors its environment, identifies trends and key actors with whom to relate (stakeholders), has sufficient intra-organizational flexibility to respond to need of its stakeholders and constituents is more likely to remain competitive.

While the importance of HRD activities to organizational health is well documented, there is limited research regarding the programs offered by academic institutions to prepare future HRD professionals (Kuchinke, 2001). Abbot (1988) suggests that as the field matures, university degrees and other credentialing programs become critical to preparing HRD professionals. Kuchinke (2001) points out that given the decentralization of education accreditation within the U.S., there is no national body charged with identifying and maintaining the skill standards and professional certification of HRD professionals. While many institutions have used the extensive research of McLagan (1983) to guide the development of curricula skills and competence ties for HRD programs, Baylen, Bailey, and Smardzija (1996) found that programs focused primarily on training roles of HRD practitioners and barely covered the more strategic roles such as budget/cost analyst, strategic planner, manager of change, and performance technologist Kuchinke (2001).

In the spirit of continuous improvement, similar to those used in business and industry, some educational institutions have adopted a multi-rater assessment method to evaluate existing programs and identify trends among stakeholders. Triangulating data sources allows cross-validation of findings from different individuals and groups who have been identified as accurate sources of information (Willis & Kahnweiler 1995; Atwater & Waldman, 1998). Collection and analysis of job recruitment advertisements provide information regarding powerful stakeholders, the potential employers of HRD students. To consider employer needs that are reflected in job announcements is consistent with stakeholder methodology of assessment and evaluation.

Because this study explores HRD-related job advertisements, we must consider the research regarding expectancy theory and motivation. Expectancy theory assumes that motivation is a process of conscious choice and

that people choose to put their effort into activities they believe they can perform (Desimone, Werner, & Harris, 2002). Therefore, the language and descriptors used in job advertisements influence a person's perception of their ability to perform and could, therefore, influence their inclination to apply for these positions. This is an important antecedent to the psychological contracts and the social exchange theories that Bartlett & Porter, 2001 & Blau, 1964 discuss regarding job advertisements. The degree to which there is a perceived match between the needs and expectations of employers and employees depends on there being a shared meaning of the terminology as it relates to performance and ability. For this to occur, job advertisements should correspond with the expectations of those seeking employment in a given occupation. Whenever a match occurs, there is the expectation for each party to maximize their objectives.

Method

The methodology employed in this study was patterned after a similar study by Bartlett and Porter (2002). In their study entitled: the *role of training and development in newspaper recruitment advertisements*, Bartlett and Porter explored at a national level if firms were more likely to mention training and development opportunities in their newspaper advertisements. Our study focused on how job advertisements could help in the curriculum reform process of a graduate Workforce Development Program. While macro level studies are important, there is need for micro level studies to shed light on what is happening at state levels. Just like the Bartlett and Porter (2002) study, the researchers in this study thought by including human resource development in recruitment advertisements, business firms in the State of Arkansas would be demonstrating their commitment to the human resource frame of organizations (Bolman & Deal, 1997) and suggesting trends that would be beneficial to the curriculum redesign of an academic program.

Research in the field of human resource development and recruitment advertisements has established that opportunities for career growth have been ranked high among job attributes by job seekers (Bartlett & Porter, 2002, Jurgensen, 1978). This is in line with the human resource frame that focuses on the need to provide opportunities for job growth and advancements as a powerful way of developing human resources in organizations. For instance, Barber and Roehling (1993) established that job postings with more detailed information were more attractive to prospective applicants than those with less details. Redman and Mathews (1995) found that newspaper advertisements had changed over time to reflect the changing job duties of human resource development managers. The only study known to focus on the wording of recruitment advertisements in relation to references of employer provided training and development was conducted by Bartlett and Porter (2002).

Content analysis was the primary method employed to gather data in this study. Data pertaining to frequencies and percentages were collected to establish if references to training and development in newspaper job advertisements in the state of Arkansas occurred more frequently in 2001 than in 1997, a five-year period. The researchers relied on content analysis technique of Kassarjian (1977) and Bartlett and Porter (2002) to examine the exact text in the newspaper recruitment advertisements. Thus, content analysis has been defined as "being a scientific, objective, systematic, quantitative, and generalizable description of communication content" (Kassarjian, p.10). It is also noted "this method of inquiry is well established in marketing, social psychology, political science, and consumer research, yet no evidence exists within the HRD literature" (Bartlett & Porter, 2002, p. 807). In order to establish HRD-related advertisements were more frequent in 2001 than in 1997, a five-year difference, classified job advertisements from newspapers of seven major towns in Arkansas with a population over 30,000 people were examined. The researchers also analyzed the changes in terminology in the job ads from these two years to determine occupational trends within the region. Given the accelerating change within organizations and in the field of HRD, a five-year period was considered adequate to notice increased usage of HRD terminology and analyze changes in terminology in job listings.

Sample

The procedure for selecting the towns to be studied focused on giving every town with over 30,000 people an equal and independent chance of being included in the study. The analysis was limited to the main newspapers from seven major towns in the state of Arkansas. The U.S. census (2000) data were used to identify towns having a population of or greater than 30,000 people. Table 1. shows the main towns studied, populations, region, primary newspapers, and the leading economic activities.

Procedures

The newspaper recruitment advertisements were read and classified by the absence or presence of the following HRD terms: training opportunities, training and development opportunities, development opportunities, career development opportunities, tuition reimbursement policies, and organizational support enhancement opportunities.

Table 1. *Population in Arkansas Towns and the Primary Economic Activities 2001*

Counties	Cities	Population	Region	Newspaper	Economy
Craighead	Jonesboro	47,008	NE	Jonesboro Sun	Manufacturing Trade, service
Jefferson	Pine Bluff	57,074	SE	Pine Bluff Commercial	Agriculture, Trade, Service, Government
Pulaski	Little Rock	177,086	Central	AR Dem-Gazette	Service, manf, trucking
Pulaski	N. Little Rock	62,838	Central	AR Dem-Gazette	Service, manf., Trucking
Sebastian	Fort Smith	72,803	West	SW Times Record	Man., trade, utilities
Washington	Fayetteville	42,754	NW	NW AR Times	Trucking, poultry, manf.
Washington	Springdale	30,279	NW	Morning News of NW, AR	Trucking, poultry

Source: U.S. Census Bureau (2000).

Additionally, the recruitment advertisements were examined for the presence of the following key terms associated with HRD: personnel manager, production manager, benefits manager, human resources, content developer, program designer, director of human resources, human resources manager, manager of human relations, chief learning officer, learning and development, performance management, organizational management, director of change, human capital manager, knowledge manager, and chief learning officer. The analyses of these terms was considered important in terms of comparing what business and industry solicits and what our own HRD programs were offering prospective practitioners. The Mullins library at University of Arkansas keeps all the Sunday papers, including job advertisements. With the assistance of the library staff, all the papers for the two years were identified. The relevant pages were all copied and read by the three researchers who subsequently highlighted the relevant recruitment advertisements. A total of 41 job postings fit the research criteria and were included in this study.

Results

An unexpected outcome of this analysis was a decrease in the number of HRD-related classified advertisements in 2001 when compared to 1997. Out of the 41 total number of job postings that fit the criteria of the study, only 10 were from 2001. The remaining postings were from 1997 advertisements. While the scope of this study did not include determining why there was an increase or decrease in HRD-related jobs, there are several possible explanations for this phenomenon. One explanation could be the decline in newspaper subscriptions over the past 30 years. The Baltimore Business Journal citing a recent study indicated that nationwide readership dropped to 54.7 percent in 2000, down from 60.7 percent in 1997 (2002). The Silicon Valley / San Jose Business Journal reported that in 2001, 45.3 percent of those who responded to a media research survey covering 85 markets within the U.S. were not exposed to local daily newspapers and local daily newspapers struggle to keep 45 to 50 percent of adults as readers (2002).

Another explanation for the decrease in the number of HRD-related print job postings in 2001 could be linked to the increasing number of employers that post jobs electronically. Many employers now have links on their own web sites that display employment opportunities and others use independent employment web sites, such as Monster.com. According to a recent article in the Silicon Valley / San Jose Business Journal, those who consistently access newspaper web sites are more inclined to go to Monster.com than to the employment section of the daily newspaper that they regularly access (2002). Results of data analysis for HRD-related job postings for 1997 and 2001 are summarized in the following sections: type of organization soliciting HRD-related job, job titles, primary duties specified in the recruitment advertisements, qualifications, and required work experience.

Types of Organizations Soliciting HRD-related jobs

The types of public and private organizations that used print-based media to solicit job applicants represented: education, health care, information technology, retail, manufacturing, services, and consulting.

Job Titles of HRD-related job postings

The job titles used to advertise these positions included: HR manager, HR generalist, assistant director of HR, personnel supervisor, recruitment manager, project advisor, education liaison, training coordinator, benefits administrator, training supervisor, education manager, services director.

Major Duties of HRD-related jobs

The major duties of these jobs used the following descriptors: occupational and educational development,

program development, training development, training facilitator, benefits administration, compensation development and management, staffing and employee education, coordinate staff education, education advocate, relationship management, labor relations management, policy administration, recruitment development, salary and benefits administration.

Qualifications

The following is a summary of the various qualifications that were required for the positions: demonstrated leadership ability, teaching skills, computer skills, goal oriented, clinical administration, management experience, labor relations, highly developed communication skills, assessment development, motivated, self-starter, supervisory experience, business experience, resilience, and bilingual.

Education / Experience

Of the 41 advertisements included in this study, only three (3) did not require a college degree. The other 38 required a college degree and six (6) either required or preferred a graduate degree. All 41 job postings required between two (2) and seven (7) years of related experience.

Changes in Terminology

When the job postings from 1997 were compared to those from 2001, there was no appreciable change in the terminology used to solicit jobs. Clearly, with only one quarter of the job postings from 2001, no trends were identified that might benefit curriculum development. However, when the entire 41 job postings were considered, there were several indicators that need to be considered when competing program design.

While the data clearly indicate that employers are asking for skills in training, training and development, program development, these skills are not well reflected in our graduate programs. Current workforce development programs within the institution use the language of vocational education and adult education, not training and development and organization development. This study enabled the researchers to see a disconnect between the language of program offerings and the skills and competencies for which business and industry were asking. This analysis lead to the creation of the Task Force on Curriculum Reform within the department to further examine this phenomenon. This task force will focus not only on content, but how we can provide our students with bone fide HR experience as a part of the curriculum. This will involve not only programmatic changes, but necessitate the development of external partners from business and industry who can provide incubators for experience.

Discussion

This study raises several areas that need further exploration to explain why job advertisements referring to HRD did not substantially increase over a five-year period. One possible explanation is that a disconnect exists between the vocabulary among business, industry, and academia regarding HRD skills and competencies. For example, having good oral and written skills may signify a person's ability to lead change in the mind of prospective employers. Business and academia may be speaking languages when it comes to describing HRD skills. Another possible explanation could be that many of the strategic skills that HRD practitioners should cultivate are less quantifiable than those that can be tested or documented. Strategic abilities such as those associated with change agent are less easily demonstrated in the job application process. In other words, metrics to evaluate the level of strategic skills may not be known to the prospective employer. Still another possible explanation is that the majority of businesses within the state are not "high tech" enterprises. While production and service sector businesses certainly have a need to develop human capital, the degree to which they depended on employees for strategy differs from those within the high tech fields that are born and thrive on the fringes of innovation.

While existing literature supports the notion that organizations now recognize the value of providing training opportunities to their employees (Bartlett & Porter, 2002), no advertisements cited in this study mentioned the availability of training opportunities to the prospective employees in their advertisements. What emerges clearly in the job advertisements is the demand for employees with training, training and development and program development skills. This information is important for curriculum design purposes. Implications from the results of this study suggest that HRD scholars should work closely with HRD practitioners, HR managers and recruiters in terms of developing programs that meet the needs of business and industry. It is obvious from the results of this study that training is becoming important among the recruiters.

References

- Abbott, A. (1988). *The system of professions: an essay on the division of expert labor*, Chicago: University of Chicago.
- Atwater, L., & Waldman, D. (1998) Accountability in 360-degree feedback. *HR Magazine*, 43(6), 96-102.

- Barber, A.E., & Roehling, M.V. (1993). Job postings and the decision to interview: A verbal protocol analysis. *Journal of Applied Psychology*, 78, 845-856.
- Bartlett, K. R., & Porter, H. R. (2002). The role of training and development in newspaper recruitment advertisements. In T.M.Egan & S.A. Lynham (Eds.), *Academy of Human Resource Development 2002 Conference Proceedings*, section 33-3. Minneapolis, WI: Academy of Human Resource Development.
- Baylen, D. M., Bailey, M. L., & Samardzija, M. (1996). Revisiting perceptions of HRD roles: Implications for HRD curricula. In E. Holton, III (Ed.), *Academy of Human Resource Development 1996 Conference Proceedings*, section 33-1. Baton Rouge, LA: Academy of Human Resource Development.
- Berk, M. (2002, June 21). Daily newspaper readership plunges. *Baltimore Business Journal*. Retrieved November 24, 2003, from <http://www.bizjournals.com/samkpse/stories>.
- Bolman, L.G., & Deal, T.E. (1997). *Reframing organizations: Artistry, choice and leadership*. San Francisco: Jossey-Bass.
- Blau, Peter M., (1964). Exchange and power in social life. New York: John Wiley & Sons.
- Choo, C. W. (2001). Environmental scanning as information seeking and organizational learning. *Information Research*, 7(1).
- Choo, C. W., & Auster, E. (1993). Environmental scanning: acquisition and use of information by managers. In M. E. Williams (Ed.), *Annual Review of Information Science and Technology*.
- Desimone, R., Werner, J., & Harris, D. (2002). *Human resource development*. Orlando, FL: Harcourt Publishers.
- Devol, R., Koepp, R., and Fogelbach, F. (2002). *The state technology and science index: Comparing and contrasting California*. Santa Monica, CA: Milken Institute.
- Jurgensen, C. E. (1978). Job preferences: (What makes a job good or bad?). *Journal of Applied Psychology*, 63, 267-276.
- Kassarjian, H. H. (1977). Content analysis in consumer research. *Journal of Consumer Research*, 18(9), 243-250.
- Kuchinke, P. (2001). Institutional curricular characteristics of leading graduate HRD programs in the U.S. In S.A.Lynham & T.M.Egan (Eds.), *Academy of Human Resource Development International Conference Proceedings*, section 20-1. Honolulu, Hawaii: Academy of Human Resource Development.
- McLagan, P. A. (1989). *Models for HRD training and development*. Alexandria, VA: American Society for Training and Development.
- Milken Institute. (2003, June 25). *Best performing cities: Where America's jobs are created*, June 25. Retrieved November 24, 2003, from <http://www.milkeninstitute.org/research>.
- Newspaper web visitors go to Monster to job search. (2002, December 3). *Silicon Valley / San Jose Business Journal*. Retrieved November 24, 2003, from <http://www.bizjournals.com/samkpse/stories>.
- Online newspapers experience dramatic growth. (2002, May 7). *Silicon Valley / San Jose Business Journal*. Retrieved November 24, 2003, from <http://www.bizjournals.com/samkpse/stories>.
- Ptaszynski, J. (1989). *Ed Quest as an organizational development activity: evaluating the benefits of environmental scanning*. Chapel Hill, NC: The University of North Carolina at Chapel Hill. (Ph.D. thesis).
- Redman, T., & Mathews, B.P. (1995). Trends in recruitment: A ten-year retrospective view. *The International Journal of Career Management*, 7(2), 10-16.
- Southern Regional Education Board. (2003, June). *Arkansas featured facts*. Retrieved November 24, 2003 from <http://www.serb.org>.
- Ulrich, D., & Lake, D. (1990). *Organizational capability: Competing from the inside out*. New York: John Wiley & Sons.
- U.S. Census Bureau (2000). *Frequently asked questions*. Retrieved October 4, 2003, from http://factfinder.census.gov/home/en/epss/glossary_a.html.
- University of Twente, Netherlands, Center for Higher Education Policy Studies. (2001). *Higher education and the stakeholder society*. Retrieved November 24, 2003, from www.utwente.nl/cheps/documenten/ResearchProgramme2001.
- Willis, V., & Kahnweiler, W. (1995). Genesis and continuance of an HRD academic program: A longitudinal study. In E. Holton, III (Ed.), *Academy of Human Resource Development 1996 Conference Proceedings*. Baton Rouge, LA: Academy of Human Resource Development.

Work Practice, Learning Worker Characteristics and Informal Learning

*Anja J. Doornbos
University of Nijmegen*

This study explores which work practice and learning worker characteristics relate to different kinds of informal learning. Informal learning is viewed as an integrated process consisting of an interaction process between learning workers and interaction partners and an internal psychological process, leading to an outcome. A sample of 279 police officers filled out a questionnaire. Preliminary analysis shows that external input, collegial availability, valuing informal learning, police tenure and hours spend on jobs besides police work predict informal learning.

Keywords: Informal Learning, Work Practice, Learning Worker

Whether and how people learn at work is influenced by how work practices ‘invite’ employees to learn at work (Billett, 2002). The type of workplace activities that individuals are able to engage in and their access to guidance is central to their learning. Both have consequences for the knowledge individuals construct through work. Interest and recognition of the importance of the work practice as learning environment has grown recently in HRD literature (Bolhuis & Simons, 1999; Eraut, 2000; Onstenk, 1997; Simons, Linden van der, & Duffy, 2000), although the body of empirical literature is less profound (Eraut, Alderton, Cole, & Senker, 1998; Kwakman, 1999; Woerkom, 2003). Especially, informal learning that happens without involvement of educational providers in the work practice lacks researcher’s attention and empirical grounding.

The close relationship between working and learning make it difficult to recognise learning separately from working since in most cases working and learning are intertwined (Eraut, 2000). Informal learning may happen by carrying out tasks, following personal interests, setting rather undetermined career goals, solving problems or trying to develop something further. Learning is situated in the activity in which it takes place (Wenger, 1998).

Informal learning is therefore defined as all learning that does not take place within, or follows from a formally organised learning program or event and often happens implicitly through work activities (Eraut, 2000; Marsick & Watkins, 1990). More specifically, we approach the nature of informal learning in this study as an integrated process consisting of an interaction process between learning workers and their interaction partners and an internal psychological process leading to an outcome (adapted from Illeris, 2002). In order to pursue the goal of the study, the psychological process is operationalized in terms of learning worker’s ‘intentionality’ and the interaction process as ‘developmental relatedness’. We will further elaborate on these concepts of informal learning in order to provide a descriptive typology of informal learning. Finally we select work practice and learning worker characteristics that may predict differences in informal learning. The purpose of this paper is to explore which selected work practice and learning worker characteristics relate to informal learning at work.

Informal Learning: Intentionality and Developmental Relatedness

We apply the concept of intentionality as one part of the integrated process of informal learning, where it refers to whether or not learning workers are consciously and internally initiated engaged in activities pursuing a learning outcome. According to cognitive psychological notions, intentionality refers to whether an act of will, of which the individual is aware, is a necessary condition to put the process in motion: that is to start it (Bargh, 1996). The idea that informal learning may or may not be triggered by intentions is grounded in the work of several authors on learning at work that hold related notions (Bolhuis & Simons, 1999; Coffield, 2000; Eraut, 2000; Marsick & Watkins, 1990; McCauley & Hezlett, 2001; Megginson, 1996).

Learning worker’s intentionality may be spontaneous or deliberate. Spontaneous learning happens in those activities that are performed with another goal in mind than to pursue an opportunity to learn. Learning outcomes emerge or may be unexpected and can be described as by-products, discoveries, coincidences, or (sudden) realizations. Sometimes the learner may remain unaware of the changes, for example when there was no reflection (Marsick & Watkins, 1992). Deliberate learning on the other hand refers to those activities that are performed with the goal in mind to pursue an opportunity to learn. Learning outcomes are planned, sought for and sometimes calculated.

Copyright © 2004 Anja J. Doornbos

We apply the concept of developmental relatedness as the other part of the integrated process of informal learning, where it refers to whether learning worker outcomes result from direct or indirect social interaction. If there was direct interaction we further distinguish whether learning outcomes were generated for the learning worker solely or for his/her interaction partner(s) as well. From a constructivist perspective, social interaction is at the core of the developmental process and individual cognitive development is a process constructing a personal understanding of relevant structures of meaning derived from action (Fenwick, 2000). In this developmental process interaction partners do not necessarily play an explicit role of being a learner or developer; learning outcomes are a result of interactions while working (Marsick and Watkins, 1990). We discern three different kinds of developmental relatedness: 'learning individually', 'learning in interaction with others', and 'learning together'. The first kind of developmental relatedness is when an employee and others indirect social interaction that contributes to learning outcomes through media and artifacts, such as when workers pick up a manual to study a topic. The second kind of developmental relatedness is when workers learn through interaction with other people at work and this contributes to their learning outcomes and not necessarily to the development of their interaction partners. Of course there may be learning outcomes for the interaction partner(s) as well, but they remain outside awareness of the individual learning worker. In that sense there is a one-way developmental relation. The third kind of developmental relatedness is when learning workers and their interaction partner(s) both contribute at the same time to each other's learning outcomes and therefore both benefit from the interaction (see also D'abate, Eddy, & Tannenbaum, 2003). In that sense there is a two-way or mutual developmental relation. Learning together may happen in a group of people and be task oriented or driven by a shared interest (De Laat & Simons, 2002; Van der Krogt, 1998). Interaction partners fulfill the role of learner and guide in which they offer each other knowledge, e.g. in brainstorming about a work related topic. This sharing and negotiating of knowledge is often implicit but more and more recognized as an important asset for the organization (Senge, 1990; Watkins & Marsick, 1993). Learning together may also happen in an exchange between two colleagues who both have something to give, in which the other is interested.

In learning from others we further distinguish the location and the hierarchical level (Levy, Collins, & Nail, 1999) of the interaction partners (D'abate et al., 2003). The organizational location refers to whether the interaction partner is in the same organization as the learning worker (internal) or in a different organization (external). The hierarchical level refers to the social status of the learning worker in relation to the interaction partner; the status can be lateral (e.g. peers, team mates), downward (e.g. learning worker is at a lower hierarchical level), or upwards (e.g. learner is at higher hierarchical level). The reason for doing this, is that it is assumed that learning happens through the possibility to be involved with a variety of interaction partners in different kinds of social networks (Wenger, 1998). People in different positions within the vocational practice provide different potentials in employees zone of proximal development (Vygotsky, 1978).

The combination of intentionality and developmental relatedness provides a descriptive typology of informal learning different kinds of informal learning. We view informal learning on a micro level as a single developmental interaction (D'abate et al., 2003). In Table 1 illustrative examples are listed.

Table 1. Typology of Informal Learning Based on Intentionality and Developmental Relatedness

Informal learning	Individually	From others (people outside police vocation, peers, experts and novices)	Together
Deliberate	Searching for specific information in book	Reflecting on work experience with help interaction partner	Working together on a multi-disciplinary project
Spontaneous	Building up routine	Receiving unasked feedback from interaction partner	Unexpected insights in discussion with interaction partner(s)

Work Practice and Learning Worker characteristics for Informal Learning

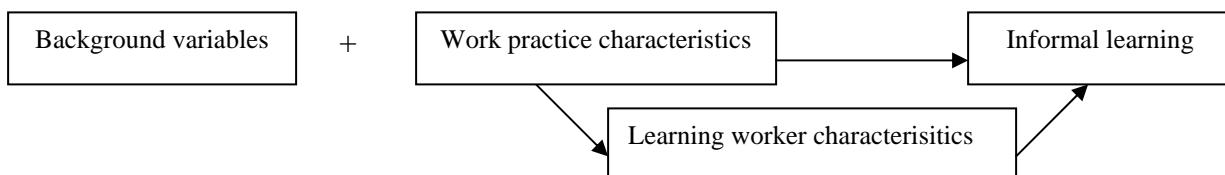
It is recognized by many scholars that learning at work is best understood through examining the relationship between work activities, the cultural and social relations of the workplace and the experience and social world of the participants (Evans & Rainbird, 2002). Billett (2002) addresses in this respect that workplace experiences are a product of the historical-cultural practices and situational factors that constitute the particular work practice, which in turn distributes opportunities for participation to individuals or cohorts of individuals. That is, they shape the conduct of work and learning through these practices.

Consequently, we question the relations between work practice and individual learning worker characteristics and informal learning. Based on previous work on workplace conditions six characteristics of the work practice were selected that may influence work-related learning and are shown in Figure 1. Managerial support in terms of

encouragement and facilitation of resources stimulate work-related learning as well as the availability of knowledge and knowledgeable colleagues do (Billett, 2002; Eraut et al., 1998; Kwakman, 1999; Onstenk, 1997). Furthermore the kinds of practical work activities people perform in terms of task complexity, variation and autonomy influence learning (Billett, 2002; Ellström, 2001; Kwakman, 1999; Onstenk, 1997; Straka, 2000). Based on previous empirical work, it is assumed that these work practice characteristics stimulate informal learning (Kwakman, 1999; Straka, 2000; Woerkom, 2003), whereas work pace would inhibit informal learning (Kwakman, 1999).

Beyond the opportunities of the work practice is the 'agency' of the individual, which determines whether and how individuals learn through work. 'Ultimately, individuals' learning may always be in some way unique to their personal histories, which are shaped socially through variations in and complexes of historical, cultural and situational factors encountered throughout life histories' (Billett, 2002). Individual learning worker characteristics are depicted in Figure 1 and refer to experience of competence, valuing learning at work and experience of social integration with management and colleagues (Deci & Ryan, 1985; Kwakman, 1999; McCauley & Hezlett, 2001; Straka, 2000). This study attempts to find out which selected work practice and learning worker characteristics relate to informal learning at work?

Figure 1. Predictors for Informal Learning



Methodology

Sample

A sample of 279 Dutch police officers filled out a questionnaire voluntary. Table 2 outlines some of their descriptive characteristics. The police organization was chosen as particularly applicable for their explicit hierarchical levels and their current innovation efforts toward HRD practices in informal learning at work.

Table 2. Description of Respondents (N= 279)

Respondent characteristics					
Non-police education	Primary	5	Police education	Junior	21
	Junior general secondary	74		Senior	233
	Junior vocational secondary	104		Higher	23
	Senior general secondary	79	Police organization	Rural 1	50
	Higher professional	17		Rural 2	53
Job classification	Managerial	51		More urban 3	30
	Non-managerial	226		More urban 4	67
	Missing	2		More urban 5	33
Gender	Female	66		Urban 6	18
	Male	213		Urban 7	28

Instrument

A survey study was supposed to be an appropriate way to address the research questions, because quantities provide a means to capture large amounts of data over a wide range of possibilities. In addition, a standard instrument made it possible to conduct the study in different organizations.

Several attempts have been made to determine the nature and extent of informal workplace learning with help of a questionnaire (Kwakman, 1999; Megginson, 1996; Rowden, 2002; Woerkom, 2003). Some authors examine learning strategies as derived from educational literature and apply this in an organizational context. Others applied a perspective on workplace learning in which learning and working are integrated that is comparable to ours. Megginson (1996) for example introduces emergent and planned learning. Emergent learning represents a strategy, an approach to experience as an 'unpremeditated exploration' (p. 417). Emergent learning was measured in a survey by items as, 'It is important to be open to experience then learning will come', 'Most of my new learning emerges

'unexpectedly from things that happen', whereas planned learning was measured in the same survey by items as, I set goals for my own learning', 'I regularly prepare a learning contract, development agreement or continuous professional development statement outlining my plans.'

In our view, these attempts provide useful inspiration to our specific choice to view learning based on intentionality and developmental relatedness. A questionnaire was developed based on a previous qualitative study with police officers by Doornbos, Bolhuis and Denessen (in progress). This study revealed a rich variety of instances of informal learning. Making every attempt to stay as close as possible to the language and references used by police officers, a survey was developed to capture informal learning accurately. Once developed the informal learning part of the 'Learning from Police Work Questionnaire', was subjected to critique sessions by content area experts and 25 police officers to ensure validity.

Informal learning at work consisted of 50 items referring to twelve a-priori subscales based on the informal learning typology (Table 1); 'spontaneous individually' (4 items, e.g. in preparing a task I find answers for another problem) and 'deliberate individually' (4 items, e.g. I try out a new application independently) 'spontaneous from people outside the police vocation' (4 items, e.g. people outside the police organization contributed unexpected to new insights) 'deliberate from people outside the police vocation' (4 items, e.g. I discuss a work situation with friends to find out how they think about it), 'spontaneous from peers' (4 items, e.g. In a meeting with a colleague, we suddenly reached shared insights on something), 'deliberate from peers' (4 items, e.g. I deliberately watched a colleague to follow his/her example), 'spontaneous from experts' (5 items, e.g. I spontaneously picked something up from a conversation with a more experienced colleague), 'deliberate from experts' (5 items, e.g. In accomplishing a task I made use of the knowledge of more experienced colleagues), 'spontaneous from novices' (4 items, e.g. I noticed that I started to think different about a subject by the contribution of a colleague who just started his work at the police), 'deliberate from novices' (4 items, e.g. I talked to a less experienced colleague to generate new ideas), 'learning deliberately together' (4 items, e.g. . All items refer to activities.

Work practice characteristics consisted of 46 items referring to six subscales 'task variation and chances' (8 items, e.g. I have variation in my job), 'task autonomy' (8 items, e.g. I have freedom in the way I perform my job), 'external input' (9 items e.g. I receive constructive feedback on my work from my colleagues), 'collegial availability' (6 items, e.g. my colleagues are available to help me out on something), and 'managerial support' (11 items, e.g. My manager encourages me to unfold initiatives).

Learning worker characteristics consisted of 24 items referring to four subscales; 'social integration with colleagues' (5 items, e.g. I feel allied with my colleagues), 'social integration with manager' (5 items, e.g. I have a good understanding with my manager), 'experience of competence' (8 items, e.g. I am satisfied with the way I perform my work) and 'valuing learning at work' (6 items, e.g. I believe that I, as a police officer, have to think about my personal development).

Work practice and learning worker characteristic scales were partially adapted from the Dutch Institute of Working Conditions (Veldhoven & Broersen, 1999) and were tested in a previous pilot study with 92 police officers. Responses for informal learning and work practice characteristics were provided on a seven-point Likert-type scale with the following choices: (0) never, (1) once a year or less, (2) once a month or less, (3) a few times per month, (4) once a week (5) a few times per week (6) every day. Responses for learning worker characteristics were provided on a 5-point Likert-type scale with the following choices (1) strongly disagree, (2) disagree, (3) donot agree/disagree, (4) agree, and (5) strongly agree. Reliability analyses of the work practice and learning worker characteristics showed that 3 items would raise Cronbach's Alpha if deleted from the scale.

Data analysis

Reliability analyses were conducted on the twelve new developed informal learning scales. Cronbach's Alpha's appeared to be rather low. Therefore, exploratory factor analyses were conducted as well. These were conducted in SPSS using principal component (PC) extraction and Varimax rotation. The selection process for the factor solution was based on interpretability based on constructs in the typology of informal learning (Table 1) and variance accounted for. Items that loaded about at least .50 in a factor and maximum .35 in another were included in scales of informal learning. Scree plots were also used to get an initial indication of the approximate number of factors to extract. Reliability analyses were conducted for all measures. Pearson's r was computed as correlations coefficient between the informal learning scales. Level of significance was set as $\alpha = .05$. Multiple regression analysis was used to determine the influence of the work practice and learning worker characteristics on different types of informal learning. Regression assumptions and multicollinearity were evaluated. The stepwise method was used because of the exploratory nature of the analyses aimed at determining the relevance of the many independent variables.

Findings

Exploratory factor analysis of the informal learning items showed five factors and were identified as *learning in interaction with peers (LP)*, *learning together (LTo)*, *learning individually (LInd)*, *learning in interaction with novices and people outside the vocation (LNO)* and *learning from experts (LE)*. Together they explain 56% variance. Table 2 shows the results. The intercorrelations among the five types of informal learning (see Table 3) indicate a positive relationship between all measures.

Table 2. *Exploratory Factor Analysis of Informal Learning Items*

	1	2	3	4	5
Looking back on a situation and determine what went well and what could be improved	.74	.13	.19	.12	.01
Asking questions and searching for answers	.67	.10	.23	.13	-.01
Deliberately watching a colleague to follow his/her example	.67	.21	-.01	.21	.30
Looking for information on a specific subject	.65	-.01	.25	-.12	.00
Reflecting on a situations to learn from and ask colleague's opinion	.62	.22	.13	.33	.11
Summarizing and contribute to understanding	.62	.34	-.11	.15	.19
Asking colleagues questions to find out about something	.60	.24	-.01	.01	.27
Asking professional colleagues to help you with something	.60	.24	.27	.17	.25
Telling about a work situation you have been in and ask how a colleague how he would have acted	.58	.30	-.01	.01	.41
Watching a new colleague and notice that you could do that in the same way	.20	.63	.11	.23	.18
People outside police organization contributed to new insights	.22	.63	.18	-.12	.23
Deliberately watching colleagues that are less knowledgeable	.39	.62	-.01	.11	-.01
A comment of an external partner was suddenly instructive	.41	.62	.24	.00	.15
Talking to a less experienced colleague to generate new ideas	.34	.62	.18	.16	-.01
Discussing with less experienced colleagues about a solution to a problem	-.01	.60	.13	.43	-.01
Receiving an annoying response and suddenly understand something	-.01	.59	-.01	.22	.21
Asking for suggestions from local residents	.32	.56	.39	-.18	-.01
Starting to think different about a subject by the contribution of a colleague who just started his work at the police	-.01	.56	.14	.39	.19
Discuss a work situation with friends	.24	.55	.25	-.00	.23
In the preparation for one task find answers for other task-related problem	.12	.16	.73	.01	.28
Try out a new application independently	.26	.16	.69	.22	.22
Choosing work that gave me opportunity to broaden my horizon	-.01	.16	.65	.15	.00
Scrutinize your personal performance and reflect on what you think about it	.34	.01	.51	.36	-.11
As a result from a discussion with colleagues we formulated a collective point of view	.15	.14	.01	.62	.00
In brainstorming about a mutual problem we spontaneously learned from each other	.36	.10	.33	.60	.15
In meeting with colleague suddenly reach shared insights on something	.12	.17	.20	.59	.37
In accomplishing a task I made use of the knowledge of more experienced colleagues	.24	.15	.12	.00	.77
Ask something to colleague and coincidentally run into something else that is interesting for your work	.12	.16	.20	.21	.67
Coincidentally get the hang of something from an experienced colleague	.32	.01	.23	.51	.54

Table 3. *Informal Learning Correlation Matrix*

	LP	LNO	LInd	LTo
LDIP	1.00			
LINO	.661**	1.00		
LIND	.442**	.487**	1.00	
LTOG	.486**	.498**	.541**	1.00**
LFE	.578**	.460**	.460**	.528**

** Correlation significant at the 0.01 level (2-tailed)

Table 4 shows the distribution and reliabilities of the key measures. Mean scores show that work practice characteristic task variation is perceived to be applicable almost a few times a week, whereas task autonomy and

collegial availability are perceived to be applicable at least a once a week. Police officers experience work pace more than a few times per month. External input and management support are applicable less than a few times per month. Averagely all respondents agree with statements that refer to valuing learning at work. Responses on the informal learning scales show that learning from experts, in interaction with peers, together and individually happens between once a month or less and a few times per month, whereas learning in interaction with novices and outsiders happens between once a year or less and once a month or less.

Table 4. *Descriptive Statistics and Reliabilities of Key Measures*

	N	M	SD	Number of items	Coefficient Alpha
<i>Work practice characteristics</i>					
Task Variation	263	4.57	0.89	7	.78
Collegial Availability	270	4.41	0.93	6	.73
Task Autonomy	261	4.33	1.04	8	.80
Work pace	271	3.26	1.22	4	.69
External Input	255	2.85	0.93	9	.72
Management Support	258	2.29	1.20	11	.92
<i>Learning worker characteristics</i>					
Valuing learning at work	275	4.17	0.42	5	.63
Social Integration Manager	272	4.03	0.43	5	.87
Social Integration Colleagues	272	4.03	0.43	5	.76
Experience of Competence	272	4.02	0.39	7	.76
<i>Informal learning</i>					
Learning from experts	273	2.75	1.10	3	.73
Learning in interaction with peers	267	2.6	0.94	9	.88
Learning together	271	2.55	1.02	3	.70
Learning individually	266	2.28	1.13	4	.72
Learning in interaction with novices and outsiders	254	1.7	0.75	10	.84

Regression analyses were performed with the five informal learning scales as dependent variables (Table 5). In these analyses, the following learning worker background variables were included; gender, age, non-police education, police education, job level, job tenure, police tenure, and hours spend on jobs besides police work. Results show that all work practice characteristics play a role in predicting informal learning except for work pace. Specifically, collegial availability is a significant predictor for learning in interaction with people within the vocational practice (experts, peers and together). External input is a significant predictor for learning in interaction with peers, novices and outsiders and individually. The learning worker characteristic valuing informal learning is a significant predictor for learning in interaction with peers and individually, whereas experience of competence and social integration with manager are not significant for any of the informal learning scales. Several background variables appear to play an important role as well, such as police tenure, hours spend on jobs besides police work, and gender, whereas job level and education do not.

Conclusions

Background variables, work practice and individual characteristics are significant predictors for five types of informal learning. Negative moderate correlations existed between police tenure and learning from experts, peers and individually, indicating that police officers with a long history in police work score low on these informal learning scales whereas police officers with less years of experience in police work score higher on informal learning. Therefore it is appropriate to recognize its potential influence on the amount of informal learning. Positive moderate correlations between collegial availability, external input and informal learning indicate that these variables are important to the amount of informal learning. These findings support the empirical work of others (Billett, 2002; Eraut et al., 1998; Kwakman, 1999; Onstenk, 1997). Furthermore the positive correlation between hours spend on other jobs besides police work and learning individually suggests tentative support for the assumption that learning is supported by a change in the composition of social network, a network that is not part of the primary professional practice (Vandenabeele & Wildemeersch, 1998). The suggestion that kinds of practical work activities people perform in terms of task variation and autonomy influence learning (Billett, 2002; Ellström, 2001; Engeström, 1999; Kwakman, 1999; Onstenk, 1997; Straka, 2000) was supported for respectively learning together and learning in

interaction with novices and outsiders. Furthermore, work pace, experience of competence and social integration with manager did not correlate significantly to any of the informal learning scales. The low correlation between valuing learning at work, social integration with colleagues, management support and informal learning scales confirms that these are important aspects for some types of informal learning. In previous research this relationship was also specific for some kinds of learning activities, such as, 'participation in innovation and decision making' (Woerkom, 2003) or interest and emotional dimensions of self-directed learning (Straka, 2000).

Table 5. Regression Results With Five Informal Learning Scales as Dependent Variables and Work Practice and Learning Worker Characteristics and Background Variables as Independent Variables for Total Sample (N= 237)

Dependent variable	Adjusted R-square	Predictor	Beta
Learning from experts	.34	Collegial availability	.29
		Police tenure	-.35
		Management support	.18
Learning in interaction with peers	.23	Collegial availability	.16
		Police tenure	-.26
		External input	.23
		Valuing informal learning	.19
Learning together	.19	Collegial availability	.26
		Task variation	.18
		Social integration colleagues	.15
Learning individually	.23	External input	.27
		Hours spend in side jobs	.20
		Police tenure	-.22
		Gender (1=male, 2=female)	-.16
		Valuing informal learning	.13
Learning in interaction with novices and outsiders	.18	External input	.43
		Task autonomy	-.21

Implications and Future Steps

The findings of preliminary analyses of this study contribute to the HRD profession through the presentation and evaluation of a descriptive typology of informal learning grounded in theory and previous research in education, psychology and organizational behavior. An indication of relevant predictors of different kinds of informal learning is presented that may generate ideas for HRD practitioners to optimize informal learning as well as for researchers to consider prevalent factors in affecting the amount of informal learning. The following step in this particular research project will be directed at structural equation modeling.

References

- Bargh, J. A. (1996). Automaticity in social psychology. In E. T. Higgins & A. W. Kruglanski (Eds.), *Social psychology: Handbook of basic principles* (pp. 169-183). New York: Guilford Press.
- Billett, S. (2002). Workplace pedagogic practices: co-participation and learning. *British Journal of Educational Studies*, 50(4), 457-481.
- Bolhuis, S. M., & Simons, P. R. J. (1999). *Leren en werken [Learning and working]* (1st ed.). Deventer: Kluwer.
- Coffield, F. (Ed.). (2000). *The necessity of informal learning*. Bristol: The policy press.
- D'abate, C., Eddy, E. R., & Tannenbaum, S. I. (2003). What's in a name? A literature based approach to understanding mentoring coaching, and other constructs that describe developmental interactions. *Human Resource Development Review*, 2(4), 360-384.
- De Laat, M. F., & Simons, P. R. J. (2002). Collective learning: Theoretical perspectives and ways to support networked learning. *European journal for Vocational Training*.
- Deci, E. L., & Ryan, R. M. (1985). *Intrinsic motivation and self-determination in human behavior*. New York: Plenum Press.
- Doornbos, A. J., Bolhuis, S., & Denessen, E. (in progress). The relationship between vocational situations and work-related learning. The case of the Dutch police. *Unpublished paper*.

- Ellström, P. E. (2001). Integrating learning and work: problems and prospects. *Human Resource Development Quarterly*, 12(4), 421-435.
- Engeström, Y. (1999). Innovative learning in work teams: Analyzing cycles of knowledge creation in practice. In Y. Engeström, R. Miettinen & R. L. Punamäki (Eds.), *Perspectives on activity theory* (pp. 377-404). Cambridge: Cambridge University Press.
- Eraut, M. (2000). Non-formal learning and tacit knowledge in professional work. *British Journal of Educational Psychology*, 70, 113-136.
- Eraut, M., Alderton, J., Cole, G., & Senker, P. (1998). *Development of knowledge and skills in employment*. Brighton, UK: University of Sussex Institute of Education, Education Development Building.
- Fenwick, T. (2000). Expanding conceptions of experiential learning: a review of the five contemporary perspectives on cognition. *Adult Education Quarterly*, 50(4), 243-272.
- Illeris, K. (2002). *The three dimensions of learning. Contemporary learning theory in the tension field between the cognitive, the emotional and the social*. Roskilde University Press.
- Kwakman, C. H. E. (1999). *Leren van docenten tijdens de beroepsloopbaan. Studies naar professionaliteit op de werkplek in het voortgezet onderwijs. [Teacher learning. Studies to the professionalism at the workplace in secondary education]*. University of Nijmegen, Nijmegen, The Netherlands.
- Levy, D. A., Collins, B. E., & Nail, P. R. (1999). A new model of interpersonal influence characteristics. *Journal of social behavior and personality*, 13(4), 715-733.
- Marsick, V. J., & Watkins, K. E. (1990). *Informal and incidental learning in the workplace*. London: Routledge.
- Marsick, V. J., & Watkins, K. E. (1992). Continuous learning in the workplace. *Adult learning*, 3(4), 9-12.
- McCauley, C. D., & Hezlett, S. A. (2001). Individual development in the workplace. In N. Anderson (Ed.), *Handbook of Industrial, Work and Organizational Psychology I* (pp. 313-335). London: Sage.
- Megginson, D. (1996). Planned and Emergent learning. Consequences for development. *Management learning*, 27(4), 411-428.
- Onstenk, J. H. A. M. (1997). *Lerend leren werken. Brede vakbekwaamheid en de integratie van leren, werken en innoveren*. Katholieke Universiteit Nijmegen, Amsterdam.
- Rowden, R. W. (2002). The relationship between workplace learning and job satisfaction in U.S. small to midsize businesses. *Human Resource Development Quarterly*, 13(1), 407 - 425.
- Senge, P. (1990). *The fifth discipline. The art and practice of the learning organization*. New York: Doubleday Currency.
- Simons, P. R. J., Linden van der, J., & Duffy, T. (2000). New learning: three ways to learn in a new balance. In P. R. J. Simons, J. Linden van der & T. Duffy (Eds.), *New learning* (pp. 1-20). Dordrecht: Kluwer Academic Publishers.
- Straka, G. A. (2000). Modeling a more-dimensional theory of self-directed learning. In G. A. Straka (Ed.), *Conceptions of self-directed learning* (pp. 171-190). Munster: Waxmann.
- Van der Krogt, F. J. (1998). Learning Network Theory: the tension between learning systems in organizations. *Human Resource Development Quarterly*, 9(2), 157-177.
- Vandenabeele, J., & Wildemeersch, D. (1998). Learning for sustainable development. Examining life world transformation among farmers. In D. Wildemeersch, M. Finger & T. Jansen (Eds.), *Adult education and social responsibility. Reconciling the irreconcilable?* (Vol. 36, pp. 117-133). Frankfurt am Main: Peter Lang.
- Veldhoven, M. J. P. M., & Broersen, J. P. J. (1999). *Psychososiale arbeidsbelasting en werkstress in Nederland: een verkenning gebaseerd op gegevens verzameld door arbodielen met de Vragenlijst Beleving en Beoordeling van de Arbeid (VBBA) in de periode 1995 / 1998*. Amsterdam: Stichting kwaliteitsbevordering Bedrijfsgezondheidszorg.
- Vygotsky, L. (1978). *Mind in society*. Cambridge, Mass.: Harvard University Press.
- Watkins, K. E., & Marsick, V. J. (1993). *Sculpting the learning organization*: Jossey-Bass Publisher.
- Wenger, E. (1998). *Communities of Practice: Learning, Meaning, and Identity*. Cambridge, Mass.: Cambridge University Press.
- Woerkom, V. (2003). *Critical reflection at work. Bridging individual and organisational learning*. Twente University, PrintPartners Ipskamp, Enschede.

Contextual Factors and Detractors Shaping Informal Workplace Learning: The Case of 'Reinventing Itself Company'

Andrea D. Ellinger

University of Illinois at Urbana-Champaign

The majority of learning that occurs in the workplace is informal, however, little is known about how such learning is best supported and nurtured. A qualitative case study was recently conducted to explore the contextual factors that may shape informal workplace learning. Fifteen in-depth interviews were conducted and constant comparative analysis is being used to complete data analysis. Emergent findings derived about informal learning from 10 in-depth interviews are the focus of this paper.

Keywords: Informal Workplace Learning, Organizational Contextual Factors, Incidental Learning Theory

The workplace has always been considered an important setting in which adults learn. However, it has only recently emerged as a setting for the formal study of adult learning (Dirkx, 1999). Workplace learning can take many forms such as formal, institutionally sponsored learning including training and human resource development initiatives, as well as informal and incidental learning (Matthews, 1999; Watkins, 1995). Research, however, has suggested that informal learning takes precedence over formal learning, and comprises the majority of learning that occurs in the workplace (Day, 1998; Leslie, Aring, & Brand, 1998; Lohman, 2000; Watkins & Marsick, 1997).

Informal workplace learning has attracted considerable attention in the literature. The trends toward employees assuming more significant roles in their own learning processes, the importance being placed upon learning as a core competency and lifelong process, and the recognition of learning as a source of sustainable competitive advantage for individuals and organizations alike have also stimulated tremendous interest in informal learning. Additionally, the growing focus on creating organizational environments that promote cultures, policies, and procedures conducive to fostering continuous learning has also influenced the importance of informal learning in the workplace (Dirkx, 1999; Senge, 1990; Watkins & Marsick, 1999).

Despite the prevalence of informal learning in the workplace little is known about "how it can best be supported, encouraged, and developed" (Marsick & Volpe, 1999, p. 3). Further, while the notion of context permeates the informal learning process, the interplay between informal learning and the context in which it occurs has been a largely unexamined area of inquiry (Cseh, 1998; Lohman, 2000). Furthermore, scholars have acknowledged that how learning environments are created and maintained in organizations needs to be research and better understood (Salas & Cannon-Bowers, 2001). Since learning is inherently socially constructed and contextually embedded, exploring the contextual factors that may shape employees' informal learning is critical to advancing our understanding of how informal learning is facilitated, encouraged, supported and nurtured within the workplace. Therefore, the purpose of the study was to explore how the contextual factors of the workplace setting may shape employees' informal learning.

Theoretical Framework Guiding the Study

Bolman and Deal's (1997) organizational frames were integrated into an adaptation of the Marsick and Watkins' (1990, 1997) model of informal and incidental learning to better understand how aspects of the organization may shape informal learning and the facilitation of informal learning. Bolman and Deal acknowledge that organizational life is complex and offer four perspectives, or frames, which they contend are "both windows on the world and lenses that bring the world into focus" (p. 12). Bolman and Deal's four organizational frames are: structural, political, symbolic, and human resources. These frames represent different lenses through which to view the organization. These frames are based upon concepts drawn from sociology, social psychology, political science, and anthropology respectively. For the purposes of examining contextual factors, these frames were integrated into the Marsick and Watkins' model of informal and incidental learning because they represent a consolidation of major schools of organizational thought that can help to make sense of organizations, in this case, how aspects of the organizational context may shape informal learning and its facilitation.

Informal learning in this study refers to learning that results from the natural opportunities that occur in a person's working life when the person controls his or her own learning (Cseh, Watkins & Marsick, 1999). Informal learning may be planned or unplanned, structured or unstructured, but usually incorporates a degree of

Copyright © 2004 Andrea D. Ellinger

consciousness about the learning that is taking place. Informal learning in the workplace may be dictated by the needs of the organization and its members, or triggered and influenced by encounters with others, or specific events. The Marsick and Watkins characterize their model of informal and incidental learning as a problem-solving approach that is not straightforward or prescriptive. They contend that the cycle is embedded with sub-surface beliefs, values, and assumptions that guide action at each stage. In this model, informal and incidental learning are influenced by how people frame a situation as a problem that is typically a non-routine problem. As they frame it within their context based upon their beliefs and assumptions that are often unconscious, they consider strategies for solving that problem. Through this process, there is a presence of action and reflection and there are often intended and unintended consequences as a result of the learning process.

Although the Marsick and Watkins model of informal and incidental learning that has been empirically tested in numerous studies that have focused on how individuals learn in organizations, they suggest that their model would be enhanced by additional studies. In particular, while the notion of context is implicit in the model, its pervasive influence on the learning process has not been that evident. Although it has been suggested that context permeates all facets of the learning process, this phenomenon needs to be further examined particularly within organizational settings (Cseh, 1998; Lohman, 2000; Watkins & Cervero, 2000). While "context permeates every phase of the learning process – from how the learner will understand the situation, to what is being learned, what solutions are available and how the existing resources will be used" (Cseh, Watkins & Marsick, 1999, p. 352), this study is being designed to specifically examine what and how aspects of the organizational context shape informal learning and its facilitation.

Accordingly, Figure 1 presents the integration of Bolman and Deal's four-frame perspective into an adaptation of the Marsick and Watkins model of informal and incidental learning to provide the multiple lenses through which a broader, contextual understanding of informal learning in the workplace can be understood from the perspectives of employees who experience informal learning as well as facilitate it. However, the Bolman and Deal four-frame model is not being empirically tested in this study. Bolman and Deal's organizational frames are being used as a guide to better understand the complexity of the organizational setting. It is possible that these frames and central concepts within these frames may serve as a point of reference for classification and coding purposes as contextual factors are uncovered, however, this study did not make any assumptions about these frames within the research setting.

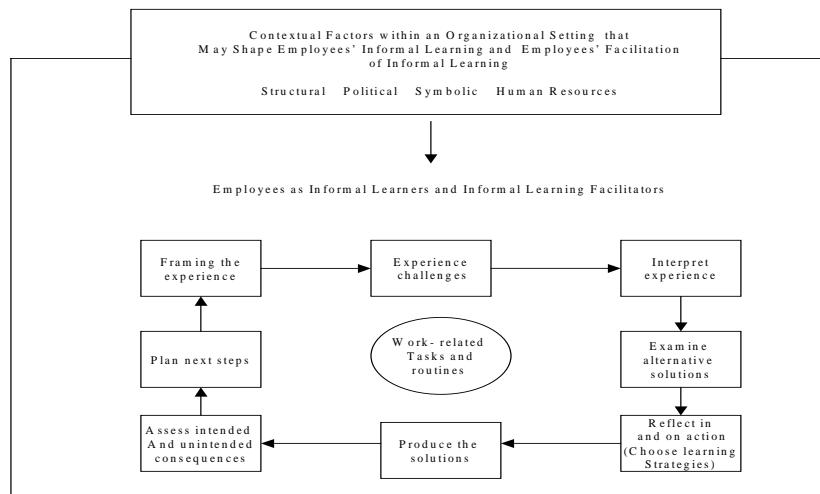


Figure 1. Contextual factors that may shape employees' informal learning and employees' facilitation of informal learning in the workplace. Adapted from Marsick and Watkins' (1990, 1997) model of informal and incidental learning in the workplace

Research Questions

The study has been designed to address the following research questions:

1. What are the contextual factors that shape employees' informal learning?
2. How do contextual factors shape employees' informal learning in the workplace?

Research Design

A qualitative case study approach was selected for this study because it allows for an intensive holistic description and analysis of the contextual factors that shape the phenomenon of employees' informal learning and their facilitation of informal learning within a specific workplace setting (Merriam, 1997; Merriam & Simpson, 1995).

The rationale for selecting the case for this research was based upon the premise of the learning organization literature. There is a growing interest and emphasis on creating organizational environments that are conducive to fostering learning. Several scholars suggest that these types of learning oriented organizations represent new frontiers for adult learning that occurs in the workplace (Merriam & Caffarella, 1999; Marsick & Watkins, 1999). Yet, despite the importance of the work environment on informal learning, there is not a thorough understanding of how contextual factors within such organizations shape informal learning and the facilitation of informal learning (Karakowsky & McBey, 1999; Lohman, 2000; Marsick & Watkins, 1997).

Therefore, an organization that espouses a philosophy and commitment to employee development, individual, team, and organizational learning by implementing strategies consistent with the learning organization literature has been selected and presents an optimal setting in which to explore the contextual factors that shape informal learning. Contextual factors may be more manifest within such an organization that espouses an orientation to learning. However, it is possible that the espoused philosophy and commitment to learning may be rhetoric. Therefore, the purposeful selection of 'Reinventing Itself Company,' a consumer-focused manufacturer located in the Eastern region of the United States represented a unique environment to situate this study. Reinventing Itself Company acknowledges that enriching employee's lives through learning and development is a fundamental core value. In addition to the documented statement on core values, the selection of the case met the other selection criteria.

The selection of the case was based upon the following criteria: (1) The organization must espouse a philosophy and a commitment to employee development, and attempt to foster individual, team, and organizational learning by implementing strategies consistent with the learning organization literature. Substantial indication of these philosophies must be apparent from the published mission statement, core values, and popular press articles reflecting this commitment to employee development and an overall organizational learning orientation; and, (2) the organization must be geographically located in the Eastern region of the United States to permit accessibility for data collection.

A stratified purposeful sampling strategy was used to identify employees at different levels within the organization representing different functional areas to provide a richer and broader understanding of how the contextual factors shape informal learning and its facilitation within this organization. A total of 15 employees representing senior, mid-level, and lower level employees and various functional areas (such as human resources, information systems, quality and customer service, product development and design, and planning, process improvement, strategy, and manufacturing) were nominated as being exemplary facilitators of learning and committed lifelong learners. The nominator was identified by the Vice President of Human Resources and, based upon the sampling criteria, identified 13 employees at the corporate headquarters and 2 remote employees at two other non-corporate locations that comprised the sample for the study.

An adaptation of the Critical Incident Technique (Ellinger & Watkins, 1998) and semi-structured in-depth interviews were conducted with all 15 employees participating in the study. All participants were asked to identify two informal learning incidents in which he/she had felt he/she learned something important as well as two incidents in which the employee facilitated another person's learning and believed that he/she made a significant difference to that person's learning. In addition to these approaches to data collection, the researcher also collected metaphors for the informal learning environment as well as metaphors that reflected the essence of what it means to facilitate learning within the organizational environment. Participants were also asked to participate in an imaginary photography exercise as part of the data collection process. The use of metaphors and imaginary photography not only served as data collection tools, they also represented approaches to triangulate the data collected from the incidents and semi-structured interviews. The interviews were transcribed verbatim and then edited to remove sensitive information, organizational identifiers, names, and confidential material that might put the participant's confidentiality at risk. The average length of the interview transcripts analyzed thus far exceed 40 pages. Following the editing process for 10 interviews, the entire transcript was then coded and ultimately reduced to a 2 - 4 page individual portrait that captured the essence of the incidents reported, the metaphors, and imaginary photography. In addition emergent themes were identified as they related to the unique portrait. Each participant then received a copy of his/her portrait and complete transcript. Participants were asked to review all materials, make changes as necessary, and comment on the emergent themes. The participants were encouraged to contact the researcher if any of the insights gleaned from the interviews did not reflect the content of the interviews. At present, there have been no requests for modifications and those that have responded have acknowledged that the "this looks good" (Tom), or "this is fine" (Kat), or "I believe you have captured the essence of our interview" (Nicole) and one participant

thanked the researcher for “sharing her portrait” with her and expressed enthusiasm about learning more from the complete case analysis (Allison). Next, following confirmation of the accuracy of the transcripts and the emergent themes within the portraits, the coded data was then mapped onto the Marsick and Watkins informal learning model and data was also put into a matrix to better understand how the emergent findings may have shaped some of the processes associated with the Watkins and Marsick informal learning model. Using constant comparative analysis, emergent themes related to the contextual factors shaping informal learning from a portion of the dataset (10 of 15 participants) are the focus of this paper.

The Research Setting

The “Reinventing Itself Company” (RIC) is a consumer-focused manufacturer located in the Eastern region of the United States. This organization has been in business for over seventy-five years and has approximately 3,500 employees working at its multiple locations. The corporate headquarters has over 300 employees and represented the primary location for data collection. The organization is a well-respected and reputable company that has had a rich history of invention and innovation. However, as with other companies experiencing the turbulence of the global marketplace, RIC is in the midst of several changes designed to position the organization for longer-term growth and viability. Allison described some of these changes occurring within the industry. She said “[the industry we are in]....the time that [it] really thrived, 40s, 50s, 60s, it was a different culture then; it was more about relationship selling and who knew who even into the 70s, as we entered the late 80s, early 90s, it became more focused on....cost became more of an issue so you had to get at solutions, or creating value for your customer base, not just selling the products you have. There was greater demand that there was supply [then] and now it's just the reverse so you have to have a different cultural atmosphere within a company to be able to service those different needs” (p. 14). In addition to industry changes, in the past few years, the organization itself has also been engaged in the process of changing from a “traditional, hierarchical, kind of company” (Tom, p. 23) to one that is “looking at the other direction....all of us have value and you learn from each other in team work....that is where we are literally going....where learning and development is going to be much more critical and that's been acknowledged....If we move into the new generation and [are going to be successful for another {number of} years], we are going to have to change the way we have done business” (Tom, p. 23-24). As Doug acknowledged, “the company has always been very successful and it's just not right now and people have to reinvent themselves and reinvent this company in the process....the environment here is one of learning now, one of changing the way we do business” (p. 19). Consequently, over the past few years there has been a shift in leadership as well as movement toward a process-focused organization. The changes that are occurring both externally as driven by the economy, and internally manifest themselves in many of the critical incidents shared. However, as Kat acknowledged, “not everybody is onboard yet, but there [are] more people on board today than there was 2 months ago, and next week there will be more people on board and when I say onboard, I mean in agreement that the company is going this way and in order to do so, that development is required and you've got to learn how to do this” (p. 20).

Emergent Findings

Although several themes are emerging within the data set relative to aspects of the organization that shape informal learning and the facilitation of informal learning, as well as themes related to metaphors and the “pictures” obtained from the imaginary photography exercise, the emergent findings that follow focus specifically on those contextual factors that shape informal learning. To provide a framework for the nature of the informal learning that is occurring within RIC, an overview of the emergent catalysts for informal learning, selected learning strategies, and outcomes will be presented followed by the cluster of themes relating to contextual factors.

Catalysts for informal learning. There are two categories of catalysts that seem to be stimulating the need for learning in general, and informal learning in particular. The first category relates to *external catalysts*. One of the critical driving forces for the need for learning and change in general within RIC stems from a changing industry context in which “the emphasis [is] on cost and being low cost, and we haven't been very low cost, and we are having to get low cost now” (Tom, p. 25). This low cost emphasis has resulted in the leadership of RIC making “a lot of process improvements....and in order to improve, you've got to learn” (Tom, p. 25). As Doug articulated, “....in a weird way, the fact that our business isn't doing very well helps the learning process” (p. 34). Consequently, the external catalysts for learning and change seem to be highly related to three overarching internal catalysts for learning and change: *the influx of new technology within the organization, the influx of new processes within the organization*, and most regrettably *some degree of downsizing*. These three overarching catalysts seemed to be related to a number of themes that emerged as catalysts for informal learning: *participating in a cross-functional meeting; seeing a need to change the way things are done; being given a challenging assignment;*

addressing current job responsibilities; high priority projects mandated by the CEO; and, implementing high priority projects, a few others were more individually-focused and included: new position and new responsibilities; required performance expectation on development plan; a poor performance evaluation; and just needing help.

Informal learning strategies selected. Employees used a number of learning strategies to learn their way out of their challenges and problems. Specifically, the predominant strategies included: *observing others in meetings or in interactions; listening to others in meetings or in interactions; asking questions of others; seeking expertise from knowledgeable colleagues; reflecting on feedback received; hands-on experiences; brainstorming with other colleagues in the company; sitting down with a colleague and going through something step-by-step; trial and error; talking to competitors and suppliers; interviewing consultants; creating an informal virtual community of practice; creating a personal learning notebook documenting how problems were solved; seeking external informal mentoring; seeking a manager for some coaching; e-tutorials; and self-directed learning approaches that included surfing the Internet, reviewing files of other employees' work, using computerized help menus, and reading books.*

Individual and organizational outcomes from informal learning. Several themes emerged regarding the outcomes associated with informal learning both for the learners and the organizations. Learners acknowledged that from their informal learning incidents that they: *developed new knowledge and skills; enhanced existing knowledge and skills; learned how to work with others and share knowledge; learned more about other people; learned how to apply acquired key learnings to other situations; completed work tasks; and, received visibility and recognition for newly acquired expertise.* For the organization, many of the key learnings that occurred at the individual level also impacted the organization. For example, the themes that emerged related to: *helping the organization determine strategy; saving time on tasks; building internal expertise to avoid reliance on external consultants; and, significant cost savings.*

Positive organizational contextual factors. At present there seem to be four large overarching contextual factors that positively shape informal learning: *learning-committed leadership/management, an internal culture of caring and commitment to learning; work tools and resources, and people that form webs of relationships for learning.* While space limits a full discussion of all of these themes, the most predominant theme emerging is *learning-committed leadership/management* which gets manifested in several ways. Although the majority of employees did not select learning strategies that involved their managers/supervisors, the significant influence of supervisors/managers/leaders is dominant in several ways throughout the informal learning process: *managers/leaders who create informal learning opportunities; managers/leaders who serve as developers (coaches/mentors); managers/leaders who visibly support and make space for learning; managers/leaders who encourage risk-taking; managers/leaders who distill importance of sharing knowledge and developing others; managers/leaders who give positive feedback and recognition; and, managers/leaders who serve as role models.* For example, relating to the first sub-theme, Allison acknowledged, "It was my supervisor bringing me in saying, 'here would be a good technical resource,' but also he had in mind giving me exposure to these other things because he saw, or at least he said he saw potential in me down the road, so bring – 'give you the opportunity to learn and participate and your participation will be on a small level, but you will get exposure to this which I did..." (p. 4). In terms of the sub-theme, *managers/leaders who visibly support and make space for learning*, Kat said, "My supervisor...is very adamant on training and development...My learning...It's just not training the big dogs...it's training the whole crew to build this company...she supports me....she has pushed me....she is pushing me in a good way – 'let's get Kat developed in that area'" (p. 13 and 33). Dale captures the sub-theme about risk-taking. He said, "one of the ways [our company] is changing is for the [CEO] trying to get people to take chances more than what they were. This is a very conservative company and we've done it this way for a [number] of years and we can't do it any other way and s/he is trying to reward people for taking risks. S/he would rather reward somebody for taking a risk and failing then s/he would for somebody sitting back and not taking a risk and doing the same thing day in and day out, so that part of the culture has changedand I think that facilitates a lot of this, too" (p. 22). As Doug acknowledged, "...I'm sort of new as this part of my job, and that I may not get it right the first time. [My supervisor] makes it clear that failure is not preferred but it is an option...so that helps" (p. 13).

Organizational contextual factors (detractors) negative. At present there seem to be thirteen contextual factors that negatively detract from informal learning: *lack of time because of job pressures and responsibilities; unsupportive leaders/managers; micromanagers/microleaders; some budget constraints; physical architectural barriers (structure of building and physical space); a few territorial people who don't share knowledge; diminished personal communication because of virtual technology; the existence of old guard/old school cynicism; hedging of knowledge because of fear of downsizing; past successes that encourage people to rest on their laurels; not learning from learning; too much change too fast; and, organizational distractions (phone, email, interruptions).*

In addition to the organizational contextual factors and shape and detract from informal learning, there were also personal factors that shaped and detracted from informal learning that employees shared. Issues of *self-directedness, self-initiation, self-efficacy, and openness to feedback* were conceived as factors that shaped informal

learning. Factors that seemed to hinder informal learning at times included *limited formal knowledge in some areas*, and *a range of emotions around learning* that included: *frustration of not having enough time for learning and knowledge sharing*, and *resentment toward supervisors who were not supportive of learning*.

Discussion

This study seeks to better understand how aspects of an organizational setting shape informal learning and its facilitation. The emergent findings presented thus far regarding the factors that shape and detract from informal learning provide additional empirical insights into how informal learning can “best be supported, encouraged, and developed” (Marsick & Volpe, 1999, p. 3).

Scholars have acknowledged that informal learning often begins with an internal or external jolt (Marsick & Volpe, 1999; Marsick & Watkins, 1997). As evidenced by the emergent overarching external and internal catalysts that are driving learning and change within RIC, and the themes articulating the catalysts for informal learning, there is considerable consistency with existing research on the triggers or catalysts for informal learning. Cseh’s (1999) study on managers’ learning within small Romanian companies characterized triggers as mainly being embedded in the external context of the participating managers’ companies. The findings emerging in this study also support the importance of external catalysts. In other research that has examined triggers or catalysts for informal learning, similar overlap exists among the emerging findings of this study (Dechant, 1989; Mumford, 1993; Ellinger, 2003; Lohman, 2003).

The learning strategies selected by employees that have emerged thus far also mirror those activities through which informal workplace learning has been deemed to occur (Center for Workforce Development, 1998; Cseh, 1998; Marsick & Watkins, 1990, 1997; Watkins & Marsick, 1992). The Center for Workforce Development has acknowledged that “teaming, meetings, customer interactions, supervision, mentoring, shift change, peer-to-communication, cross-training, exploration, on-the-job training, documentation, executive of one’s job, site visits” (p. 53) constitute informal learning activities. Additionally, Watkins and Marsick (1992) have acknowledged that strategies for informal learning include self-directed learning, networking, coaching, mentoring, performance planning systems used for developmental purposes and trial and error. Furthermore, computer-based technology is often used to aid in problem solving and self-directed learning (Marsick & Watkins, 1997). The outcomes associated with informal learning also further confirm Ellinger’s (2003) findings.

In terms of the organizational factors that serve to enhance informal learning or detract from it, some of the emergent findings correspond to research previously conducted by Sambrook and Stewart (2000) on factors that influence learning within learning oriented organizations. Factors deemed to enhance learning were: develop learning culture and senior management support. The absence of these same factors were also deemed as inhibitors. Furthermore, lack of time and resources were identified as being inhibitors of learning, but the presence of these factors also served to enhance learning. While some of the emergent findings reported thus far support those of Sambrook and Stewart (2000), it is hoped that these findings also extend our understanding of how a learning culture can be developed and how senior manager support can be manifested. A key finding of the current study is that an overwhelming influence on informal learning seems to be contingent upon learning-committed leadership/management. This commitment becomes manifest in a variety of ways including: *managers/leaders who create informal learning opportunities*; *managers/leaders who serve as developers* (coaches/mentors); *managers/leaders who visibly support and make space for learning*; *managers/leaders who encourage risk-taking*; *managers/leaders who distill importance of sharing knowledge and developing others*; *managers/leaders who give positive feedback and recognition*; and, *managers/leaders who serve as role models*. Marsick and Volpe (1999) have also acknowledged that making time and space for learning enhances or improves informal learning and Marsick and Watkins (1997) have suggested that managers and leaders who want to facilitate informal learning can do so by planning for learning, creating mechanisms for learning in teams, and developing an environment conducive to learning. Other scholars have also acknowledged the important roles that managers and leaders play in the process of workplace learning (Beattie, 2002; Ellinger, & Bostrom, 1999; Poell, Van der Krogt, Warmerdam, 1998).

In summary, the emergent findings from the current study lend confirmation to the ways in which other scholars have acknowledged informal learning can be enhanced as well as those that may detract from it. The current study extends our understanding of the manifestations of the importance of leaders and managers in the process of informal learning, and also offers additional insights into the contextual factors that may need to be considered within an organizational setting if an organization wishes to maximize the potential for informal learning.

Limitations of Study

Despite the richness of the data that is emerging relative to contextual factors that shape informal learning and its facilitation, there are several limitations associated with this research. The purposeful selection of the case itself presents a limitation. It is possible that the organization selected, despite claims of being a learning oriented organization, is not, and would not be conceived as one moving in this direction by other researchers and employees within the organization. It is also possible that the purposeful selection of exemplary employees committed to their own lifelong learning and development of others who participated in the study do not reflect the sentiments of all employees within this organization, particularly those who may be resistant to learning and change, although the use of a stratified sampling strategy should help to mitigate this concern. The use of self-report interview data is another limitation as is the recollection of learning incidents from memory. However, integrating multiple sources of data was an attempt to overcome this limitation and allow for triangulation of findings. The qualitative case study approach and the analysis methods used also represent limitations. Additionally, the findings from this case are not intended to be generalizable, however, it is anticipated that findings may be useful to other scholars and practitioners who would like to better understand how aspects of organizational contexts may shape informal learning.

Implications for Research and Practice

The workplace represents a large arena in which adult learning often occurs informally, and employees, as both teachers and learners, are becoming more responsible for their own learning and for facilitating the learning of others. Although there is a large and growing literature base on informal learning, Watkins and Cervero (2000) have suggested that “there is some evidence in the larger field of human resource development that a focus on the learning of individuals is less significant than a focus on the organization as a context for learning” (p. 193). However, a clear understanding of this phenomenon is only beginning to emerge. Many scholars have articulated the importance of context as it relates to informal learning, but contend that considerable research must be undertaken to better understand how organizations inhibit and facilitate such learning (Karakowsky & McBey, 1999; Lohman, 2000; Sambrook & Stewart, 2000; Watkins & Cervero, 2000). The research addresses some of these challenges by focusing on the contextual factors that may shape employees’ informal learning and employees’ facilitation of informal learning. The emergent findings from this study seek to broaden our understanding of the interplay between informal learning and the workplace environment where it occurs which has largely been an unexamined area of inquiry (Cseh, 1998; Lohman, 2000) as well as contribute to a theoretical understanding of the experience of informal learning from the perspective of employees who engage in the process. It is anticipated that when the full case study is complete, the overall findings will contribute to a theoretical understanding of the experience of the facilitation of learning from the perspective of employees who serve as facilitators (Brookfield, 1986; Daloz, 1986; Nesbit, 1998; Robertson, 1996). It is also hoped that this study will stimulate further research on informal learning in the workplace by focusing on different organizational settings such as educational settings as well as integrate the perspectives of employees who may be resistant to this type of learning.

References

- Beattie, R. S. (2002). *Developmental managers: Line managers as facilitators of workplace learning in voluntary organizations*. Ph.D. Thesis, University of Glasgow.
- Bolman, L., & Deal, T. (1997). *Reframing organizations: Artistry, choice and leadership* (2nd ed.). San Francisco CA: Jossey-Bass.
- Brookfield, S. (1986). *Understanding and facilitating adult learning*. San Francisco, CA: Jossey-Bass Publishers.
- Center for Workforce Development (1998). *The teaching firm: where productive work and learning converge*. Report on research findings and implications. Newton, MA: Education Development Center, Inc.
- Cseh, M. (1998). *Managerial learning in the transition to a free market economy in Romanian private companies*. Unpublished doctoral dissertation, The University of Georgia, Athens.
- Cseh, M. (1999). Contextual learning of owner-managers of small, successful Romanian companies. In K. P. Kuchinke (Ed.), *Proceedings of the Academy of Human Resource Development Conference* (pp. 927-933). Arlington, Virginia.
- Cseh, M., Watkins, K. E., & Marsick, V. J. (1999). Re-conceptualizing Marsick and Watkins’ model of informal and incidental learning in the workplace. In K. P. Kuchinke (Ed.), *Proceedings of the Academy of Human Resource Development Conference* (pp. 349-356). Arlington, Virginia.
- Daloz, L. A. (1986). *Effective teaching and mentoring: Realizing the transformational power of adult learning experiences*. San Francisco, CA: Jossey-Bass Publishers.

- Dechant, K. (1989). *Managerial change in the workplace: Learning strategies of managers*. Unpublished doctoral dissertation, Columbia University, New York.
- Dirkx, J. M. (1999). Invited reaction: Managers as facilitators of learning in learning organizations. *Human Resource Development Quarterly*, 10(2), 127-134.
- Ellinger, A. D. & Bostrom, R. P. (1999). Managerial coaching behaviors in learning organizations. *Journal of Management Development*, 18(9), 752-771.
- Ellinger, A. D. & Watkins, K. E. (1998). Updating the critical incident technique after forty years. In R. Torracca (Ed.), *Proceedings of The Academy of Human Resource Development* (pp. 285-292). Oak Brook, Illinois.
- Ellinger, A. D. (2003). Antecedents and consequences of coaching behavior. *Performance Improvement Quarterly*, 16(1), 5-28.
- Karakowsky, L. & McBey, K. (1999). The lessons of work: Toward an understanding of the implications of the workplace for adult learning and development. *Journal of Workplace Learning*, 11(6), 192-201.
- Kvale, S. (1996). *InterViews: An introduction to qualitative research interviewing*. Thousand Oaks, CA: Sage Publications.
- Leslie, B., Aring, M. K., & Brand, B. (1998). Informal learning: The new frontier of employee development and organizational development. *Economic Development Review*, 15(4), 12-18.
- Lohman, M. C. (2000). Environmental inhibitors to informal learning in the workplace: A case study of public school teachers. *Adult Education Quarterly*, 50(2), 83-101.
- Lohman, M. C. (2003). Work situations triggering participation in informal learning in the workplace. A case study of public school teachers. *Performance Improvement Quarterly*, 16(1), 29-54.
- Manning, K. (1997). Authenticity in constructivist inquiry: Methodological considerations without prescriptions. *Qualitative Inquiry*, 3(1), 93-115.
- Marsick, V. J., & Watkins, K. E. (1990). *Informal and incidental learning in the workplace*. London: Routledge.
- Marsick, V. J., & Watkins, K. E. (1997). Lessons from informal and incidental learning. In J. Burgoyne & M. Reynolds (Eds.), *Management learning: Integrating perspectives in theory and practice* (pp. 295-311). London: Sage.
- Marsick, V. J., & Watkins, K. E. (1999). *Facilitating learning organizations: Making learning count*. England: Gower Press.
- Matthews, P. (1999). Workplace learning: Developing an holistic model. *The Learning Organization*, 6(1), 18-29.
- Merriam, S. B., & Simpson, E. L. (1995). *A guide to research for educators and trainers of adults* (2nd ed.). Malabar, FL: Krieger Publishing Company.
- Merriam, S. B. (1997). *Qualitative research and case study applications in education*. San Francisco, CA: Jossey-Bass.
- Merriam, S. B., & Caffarella, R. S. (1999). *Learning in adulthood: A comprehensive guide* (2nd ed.). San Francisco, CA: Jossey-Bass.
- Nesbit, T. (1998). Teaching in adult education: Opening the black box. *Adult Education Quarterly*, 48(3), 157-170.
- Poell, R. F., Van der Krogt, F. J., & Warmerdam, J. H. M. (1998). Project-based learning in professional organizations. *Adult Education Quarterly*, 49(1), 28-42.
- Robertson, D. L. (1996). Facilitating transformative learning: Attending to the dynamics of the educational helping relationship. *Adult Education Quarterly*, 47(1), 41-53.
- Sambrook, S. & Stewart, J. (2000). Factors influencing learning in European learning-oriented organizations: Issues for management. *Journal of European Industrial Training*, 24(2), 209-221.
- Strauss, A., & Corbin, J. (1990). *Basics of qualitative research*. Thousand Oaks, CA: Sage Publications.
- Watkins, K. E. & Marsick, V. J. (1992). Towards a theory of informal and incidental learning in organizations. *International Journal of Lifelong Education*, 11(4), 287-300.
- Watkins, K. E., & Cervero, R. M. (2000). Organizations as contexts for learning: A case study in certified public accountancy. *Journal of Workplace Learning*, 12(3), 187-194.

Unanticipated Consequences Among Trainers Delivering S-OJT: The Literature Review

*DaeYeon Cho
Ronald L. Jacobs
The Ohio State University*

This study reviewed trainers' actions in the design and delivery of S-OJT and the preparation of S-OJT trainers. Trainers' behaviors and their preparation of S-OJT trainers tend to create the leaning and developmental opportunity for the trainer through social interactions between the trainer and the trainee/stakeholders. This study discussed possible unanticipated consequences on S-OJT trainers that can be resulted from their behaviors beyond explicit expectations of S-OJT on the trainee. To understand this flow, this study proposed a conceptual framework to depict the relationships between four constructs.

Keywords: Structured On-the-Job Training (S-OJT), Unanticipated Consequences, S-OJT Trainer

A recent primary theme of HRD is the blending between working and learning in the workplace. Furthermore, the necessity of more planned and systematic training approach on the job has been recently highlighted (Poell & Van der Krogt, 2003). S-OJT is good fit on these trends. Some researchers (e.g., Burkett, 2002; Jacobs et al., 1992) have demonstrated the effectiveness of S-OJT on the aspect of both the individual trainee and the organization as a whole.

However, a review of the literature shows that limited attention has been given to the consequences on those employees who serve as a trainer, specifically employees who serve as an S-OJT trainer. The consequences of training have been explained on trainees, not trainers. This emphasis can be expected given that the trainee is the target of the training. But the focus on the consequences on an S-OJT trainer can be expected based upon the unique demands of this job compared to being a trainer using most other training opportunities.

In S-OJT, the experienced employees (e.g., supervisors and frontline employees) are more likely to serve as a trainer (Jacobs, 2003; Johnson & Leach, 2001). The experienced employees are asked to perform another job as a trainer beyond their daily routine work to manufacture products or provide services. Besides, S-OJT means more than just delivering knowledge and skills as planned (Jacobs, 2003). Thus, S-OJT trainers are expected to play multiple roles as coach, master, and tutor as well as deliverer.

S-OJT takes place through the intense level of social contact and social process between a trainer and a trainee because of the one-on-one nature of S-OJT (Jacobs, 2003; Osman-Gani & Zidan, 2001; Semb et al., 1995; Stein, 2001). All events to deliver S-OJT are based on widely mutual interactions between the trainer and the trainee. According to viewing S-OJT as a system, trainers also can be regarded as a subsystem and must interact with other subsystems or systems. As such, to make S-OJT more effective, trainers are expected to build mutual interactions with co-workers, managers, HRD staff, and other S-OJT trainers (Jacobs, 2003; Stein, 2001).

Much of learning takes place through a social process in the workplace. The social process can be facilitated through interactions within networks (Imel & Stein, 2003). If all members within a network share common issues, they would acquire knowledge and skills through mutual interactions (*ibid.*). Such interactions can be called 'developmental interactions' (D'Abate et al., 2003) or 'learning interactions' (Kilpatrick, et al., 1999). S-OJT trainers have the authentic learning and development opportunity through social processes and interactions with the trainee and stakeholders within S-OJT.

If there has been a greater recognition of the experienced employees who serve as an S-OJT trainer, if trainers' behaviors during the design and delivery of S-OJT have been built on mutual interactions within networks consisted of the trainee and stakeholders, and if trainers have had the learning and development opportunity through such interactions, then more needs to be known about the unanticipated consequences of S-OJT on trainers.

The main purpose of this study is to propose a conceptual framework to investigate how the preparation of S-OJT trainers and trainers' actions in the design and delivery of S-OJT can be connected with possible unanticipated consequences of S-OJT on trainers. Through a review of the literature, this study identified trainers' behaviors in the design and delivery of S-OJT. This study also found some possible unanticipated consequences of S-OJT on trainers that can be resulted from trainers' learning and development opportunities through the preparation of S-OJT trainers and their behaviors before and during S-OJT.

Copyright © 2003 DaeYeon Cho & Ronald L. Jacobs

Definition of S-OJT

On-the-job training (OJT) is a form of individualized training and can be designed and delivered using two basic approaches: structured OJT and unstructured OJT (Sullivan & Smith, 1996). Structured OJT differs from unstructured OJT in that a systematic planning process is used to design and carry out the training (Jacobs, 2003; Rothwell & Kazanas, 1994). Unstructured OJT occurs on the worksite but is not logically sequenced. Therefore, learners are expected to learn by watching and doing the work. On the other hand, structured OJT takes place with planned instruction on the job and during the work.

Jacobs (2003) defined S-OJT as “the planned process of developing competence on units of work by having an experienced employee train a novice employee at the work setting or a location that closely resembles the work setting” (p. 28). There are critical characteristics of structured OJT (Jacobs, 2003): (1) S-OJT achieves training objectives reliably and predictably like other planned training approaches; (2) S-OJT is not about learning to perform an entire job but a subset of the job; (3) it occurs on one-on-one basis (social contact & process); and (4) it occurs in similar work settings beyond the actual work setting.

Participation in the Design of S-OJT

Involving work analysis. The targeted job must be analyzed in depth to identify units of work. Work analysis is very critical step to gather useful information before determining training content and delivering the training. Work analysis refers to “the process of making explicit the behaviors, performance outcomes, prerequisite knowledge, skills, attitudes, and other relevant information to a unit of work” (Jacobs, 2003, p. 83). Work analysis is often performed by occupational, educational, and training specialists in conjunction with subject matter experts (Semb et al., 1995). This phase involves management, training professionals, and line experts working together to produce a needs and a comprehensive implementation plan (Black et al., 1996).

Preparing the module. The information driven from the work analysis uses to prepare the S-OJT modules. The preparation of a S-OJT module refers to “the integration of training content and type of training” (Jacobs, 2003, p. 126). The module guides the trainer during the delivery of the training, and the trainee uses it as a reference during and after the training. Jacobs (2003) strongly suggests that trainers need to be engaged in the stage of developing modules: “it does have at least two advantages. First, having a meaningful context may well help experienced employees become more effective trainers. Second, experienced employees often have greater feeling of ownership since they participate in the development of the training” (p. 106).

Preparing delivery. The trainer should do three basic actions for preparing the delivery of S-OJT: “The training has to be scheduled, training resources has to be secured, and the S-OJT module has to be reviewed. The most of these activities are the responsibility of trainers” (Jacobs, 2003, pp. 133-134). Preparing the delivery of S-OJT is essentially a social activity between the trainer and stakeholders. When trainers decide training location and time, and obtain training resources, the various conflicts often take place between the trainer and stakeholders. Therefore, how to negotiate such complex conflicts should be taken into consideration as a crucial part of preparing the delivery of S-OJT. Success of this stage depends on collaborative interaction and support among training professionals and line management (Black et al., 1996; Jacobs, 2003). More specifically, the work of workplace trainers always includes socio-political aspects when they make decisions regarding where, when, and how to conduct S-OJT in a group and/or an organizational context.

Trainers' Actions to Deliver S-OJT

Jacobs (2003) identified the five training events to deliver S-OJT as follows:

Prepare the trainee. The main purpose of this event is to prepare trainee to be learned. This event is the trainer's first action to deliver the training. Like formal classroom training, this event is important to provide an effective introduction to the trainee (Johnson & Leach, 2001).

Present the training. This event requires “the trainer to demonstrate a set of behavioral actions to the trainee” (Jacobs, 2003, p. 148). S-OJT trainers must be aware that their behaviors may be automated and so fast that the trainee cannot follow them (Yang & McLean, 1996). Therefore, the trainer should explain and then show each step at a time (Johnson & Leach, 2001). It is helpful for the trainee to understand and draw a big picture what she or he is learning.

Require a response. During this event, the trainee must participate and respond actively. The trainer prompts the trainee to perform (Semb et al., 1995). For instance, the trainee may have listened the trainer's explanation about the unit of work, observed the trainer's demonstration, been asked specific questions to ensure his or her understanding,

and has had an opportunity to ask questions (Johnson & Leach, 2001). The trainer believes that the trainee should have enough confidence to demonstrate what she or he has learned. Therefore, the trainee needs to be encouraged to try units of work and describe as the trainer has performed.

Provide feedback. Based on the trainee's responses, the trainer should try to correct errors. The trainee is not expected to perfectly perform units of work during the first attempt. Therefore, the trainer should give appropriate feedback and encouragement based on "an objective assessment of the adequacy of the trainee's response" (Jacobs, 2003, p. 156).

Evaluate performance. The final event to deliver S-OJT is to evaluate whether the trainee has achieved the training objectives. To do this, the trainer can use the trainee's self-report, which is the trainee's own evaluation of his or her learning progress, and objective performance tests, which refers to the trainer's judgment of the adequacy of the trainee's responses (Jacobs, 2003). To obtain the trainee's self-report, the trainee needs to be asked to critically reflect on the training experience in general (Johnson & Leach, 2001) and what he or she has accomplished (Jacobs, 2003).

Preparation of S-OJT Trainers

As S-OJT is increasingly used in industry, there is an obvious need of qualified S-OJT trainers. Experienced employees (e.g., supervisors and frontline employees) or expert workers are more likely to serve as an S-OJT trainer (Jacobs, 2003). Johnson & Leach (2001) addressed the use of subject matter experts. However, we cannot assure that expert workers possessing a high level of expertise to perform the job have other competencies required to effectively share his or her knowledge with trainees (Williams, 2001). As such, S-OJT trainers should complete a train-the-trainer course so that they understand good training technique and how to facilitate learning (Filipczak, 1996). Fortunately, today's many organizations are recognizing the necessities of the formal train-the-trainer program (Jacobs, 2003).

Swanson & Falkman (1997) indicated that most beginning trainers have often prepared informally—by trial and error. Rae (2002) indicated workplace trainers must possess potential to learn to train. Williams (2001) addressed a claim that it is evident that previous training participation and trainer experience become an important factor to be an effective trainer.

On the other hand, trainers' involvement of networks with other trainers is a means of preparing S-OJT trainers and developing their professional competencies. Harris et al., (2000) indicated informal opportunities where trainers have chances to discuss their work and share problem with other trainers. Jacobs (2003) addressed the importance of learning network with other trainers at different locations in terms of "exchanging training information or generating training information that does not currently exist" (p. 65). For example, "[chat room] discussions could be used to share training ideas, training goals, to discuss barriers to transfer, and to provide positive reinforcement [among members]" (Barnard & Hawley, 2003, p. 117). The participation into networks influences trainers' perspective of the training and their delivery strategies of S-OJT. In addition, members can be updated with regard to the current initiatives, policy changes or development. Too often trainers are unaware of how critical involvement of learning network with other trainers is to successful S-OJT.

Unanticipated Consequences of S-OJT on Trainers

As trainers are deeply engaged in the preparation and delivery of S-OJT, they have the opportunity to learn and develop their new knowledge and skills. For example, Dymock (1999) found that "mentors were learning from the structured mentoring process" (p. 316). Black et al., (1996) also indicated that one of strengths of S-OJT is that there are a great number of developmental opportunities for S-OJT trainers.

Knowledge and Skill Acquisition

The authors of this study reviewed three ways for trainers to acquire knowledge and skills in S-OJT as follows.

Social learning and networks. From the perspective of social situated learning, much of learning takes place in social interactions with others in the workplace (Stein, 2001). S-OJT is based on social process and social contact through the relationships between a trainer and a trainee (Jacobs, 2003; Semb et al., 1995; Stein, 2001). S-OJT is a special case of one-on-one communication (Osman-Gani & Zidan, 2001). All events used for delivering S-OJT are based on widely mutual interactions between the trainer and trainee (Stein, 2001). Although trainees are novice employees who lack appropriate competence to fully perform their job, they have some degree of rich experience and knowledge derived from their lives (Merriam & Caffarella, 1999). The trainee often lacks context knowledge rather than subject matter expertise in S-OJT (Yang & McLean, 1996). Analytic and reflective conversation between the trainer and the trainee enables them to share what they know and can do each other.

S-OJT trainers have access to and participate in networks in and out of workplace. A primary function of networks is to disseminate knowledge to generate new ideas and new information through interaction of members within the network (Rothwell, 2002). Poell & Van der Krogt (2003) found that networks enable trainers to interact with other trainers and to learn from one another. Barnard & Hawley (2003) indicated that a network built during the workshop for trainers was continued to share and get other ideas beyond its content. Consequently, S-OJT trainers, who have access to networks with other trainers as well as with co-workers in and out of workplace, can tap into learning resources easily and/or engage in learning that may carry over to their roles.

Reflective practice. Reflective practice can be defined as “a mode that integrates or links thought and action with reflection” (Imel, 1992, p. 1). It involves thinking about our practice and critically examines our beliefs and assumptions that lead to our actions. Osterman (1990) summarized some advantages of reflective practice: “it can positively affect professional growth and development [...], to the development of new knowledge about practice, and to a broader understanding of the problems” (recited from Imel, 1992, p. 2). Reflective practice is an example of learning to gain new knowledge and improved practice.

S-OJT enhances the trainer’s attention to and reflection upon his or her own works. For instance, the design of S-OJT requires trainers’ reflective practice (Stein, 2001). When trainers participate in developing S-OJT module, they can talk about adding new components to the module and changing events in a different order or through different activities. Such talks may result from the trainer’s reflective practice.

Trainers often possess in-depth knowledge of the work (Jacobs, 2003). However, they may be unable to describe what they do to accomplish an activity because their knowledge has accumulated as a form of tacit knowledge. Tacit knowledge has been characterized as follows: “personal, difficult to articulate fully, experience based, contextualized, job specific, held within, both known and unknown to the holder, transferred through conversation and narrative, and capable of becoming explicit knowledge and vice versa” (Imel, 2003, p. 1). In S-OJT, trainers deliver their tacit knowledge by trying to make explicit knowledge (Stein, 2001). An important role of reflection on practice is to develop the ability to articulate tacit knowledge in order to share professional skills and enhance the body of professional knowledge. Such a process of transition can be viewed as a meaningful learning opportunity for trainers.

The training-the-trainer. Trainers are expected to develop training-related skills, instructor-related skills, and work units related to training content through the train-the-trainer (Johnson & Leach, 2001). Burkett (2002) reported the effectiveness of train-the-trainer programs: ninety percent of respondents indicated an intention to apply S-OJT skills on the job within the first 30 days of completing the workshop. This training has usually been conducted in a classroom setting (Jacobs, 2003). Trainers also believe that formal classroom based training as a form of the train-the-trainer program would be of great benefit (Harris et al., 2001). Such a setting makes it possible for trainers to establish another learning network with other trainers during and after the training. They receive feedback from peers and discuss some issues related to the preparation and delivery of the training and the organizational implications of using S-OJT.

Occupational Commitment

The process through which individuals become committed to their jobs has been interested in the area of work attitudinal research, because it is evident that organizations benefit from occupationally committed employees who continue to invest in their own occupational knowledge, skill and job experience (Heckett, et al., 2001). Blau et al., (1993) defined occupational commitment as “one’s attitude, including affect, belief and behavioral intentions, toward his or her occupation” (p. 311).

Weaver (2002) found that higher levels of formal education and training are significant predictors of occupational commitment. Amounts of management learning experience for newspaper editors positively affect higher levels of occupational commitment (Sanet, 1992). Jones (1991) found that participants who worked in networks had higher occupational commitment than those who did not. Lowrey (2001) asserted that occupational commitment could be enhanced by creating a social bond.

Individual Performance

There is a belief that employees should maintain and develop appropriate competence to perform better on their job through training and learning activities. Some researchers have explored the effectiveness of training and learning activities on individual performance. The literature suggested that training and learning enable employees to improve their performance through employees’ knowledge and skills acquisition (Farrell & Hakstian, 2001; Roman, 2002). Particularly, Roman et al., (2002) found among various training delivery methods, on-the-job training has positive impact on individual performance as well as in house courses. Some researchers (e.g., Handzic & Tolhurst, 2000; Kasvi & Vartiainen; 2000) have provided empirical evidences that the effect of social interactions on performance exists.

For S-OJT, knowing that trainers take responsibility to deliver appropriate and accurate work content to the trainee motivates them to work harder on the job (Hollister, 2001). For structured mentoring, trainers are often forced to open their eyes about what they have done, reexamine their own performance, and evaluate their outcomes (Schulz, 1995). In the same vein, S-OJT can give trainers a fresh perspective on their work and new insight into their job.

Interpersonal Skills

Stevens & Campion (1994) defined interpersonal skills as the capability of individuals to successfully manage and create friendly interpersonal relations with others. S-OJT allows trainers to strengthen their interpersonal skills by working with trainees from different backgrounds and with different personal types. The preparation and delivery of S-OJT often occurs in the context of actual work structure. However, trainers do not necessarily act completely in line with the existing structures (Poell & Van der Krog, 2003). To achieve S-OJT objectives, trainers may have to negotiate the use of equipment and tools for S-OJT with managers or other workers. Decision-making regarding where and when to conduct the training sometimes seems to pose problems to managers, supervisors, and trainers. S-OJT trainers should be involved in interpersonal processes, including decision-making, negotiation, conflict resolution, and problem solving (Hellenbeck, et al., 1995). In this situation, those stakeholders should put a collaborative effort to discuss on it and find possible solutions (Jacobs, 2003).

Organizational Commitment

Organizational commitment refers to “an individual’s feelings about the organization as a whole” (Ensher, et al., 2001, p. 56). According to Bartlett (2001), “organizational commitment can be thought of as the level of attachment felt toward the organization in which one is employed” (p. 336). Meyer & Allen (1997) defined organizational commitment as an individual’s dedication and loyalty to an organization.

Researchers have studied which antecedents influence organizational commitment. Particularly, several studies (e.g., Bartlett, 2001; Kontoghiorghe & Bryant, 2001) have focused on a relationship between workplace *training and learning* and organizational commitment. These studies indicated that individual’s readiness to learn, the participation of *training and learning*, and social support for training and learning enhance employees’ organizational commitment. Several studies (Heffner & Rentsch, 2001; Kontoghiorghe & Bryant, 2001) have reported a positive relationship between organizational commitment and social interactions with members.

Organizational commitment can be developed through social exchange mechanism as a result of positive work experiences (Bartlett, 2001). Being a S-OJT trainer means that an organization acknowledges the trainer’s level of competence. In addition, S-OJT enables trainers to develop their reputation as a leader and an expert with knowledge and wisdom to share. Consequently, such positive experiences given from organizations are valued by trainers. In turn, they can be committed to the organization that provided these experiences.

Self-Efficacy

The concept of self-efficacy contains an individual’s judgment of what she or he can do. It strongly has to do with an individual’s belief whether or not an employee thinks he or she can perform successfully by using their skills and knowledge (Orpen, 1999). Once employees participate in training programs and/or learning activities, they have the opportunity to put the knowledge and skill they acquired into practice, and to develop their knowledge and skills over time (Washington, 2002). Some empirical studies (e.g., Orpen, 1999; Prieto & Meyers, 1999) have revealed that there is the positive relationship between training or learning activities and self-efficacy belief. Self-efficacy can be increased as a result of learning, experience, and feedback (Washington, 2002). Additionally, Keith (2001) found that individuals’ participation of social interactions and social process has an impact on self-efficacy.

Willingness to Share with Other

Some researchers have reported that pedagogic relationship has occurred among workers in the workplace. For example, Bierema (2002) pointed out that “workplace is the only context where the worker has the opportunity to learn about and develop vocational knowledge” (p. 73). Unwin & Fuller (2003) asserted that when a worker explains a process or procedure to a colleague, they are engaged in a ‘teaching and learning’ relationship and “use a range of skills common to teachers and trainers” (p. 21). In general, trainers prepare for, deliver and review training programs. However, these roles are small part of their overall work. Harris et al., (2000) found the workplace trainer undertakes various functions to help others’ learning beyond their explicit roles within structured training systems such as S-OJT. Therefore, teaching experience as a S-OJT trainer influences his or her willingness to share ideas with others beyond formal training situations in the workplace.

Conclusion and Implications

Trainers’ actions in the design and delivery of S-OJT and the preparation of S-OJT trainers can be built upon mainly social interactions with trainees and stakeholders. Much of learning takes place in such social interactions in the

workplace. As such, there is a high level of possibility to occur mutual learning and development between them. Specifically, trainers have opportunity to learn new or updated knowledge and skills through interactive process and social networks with stakeholders, reflective practice, and the train-the-trainer program. Consequently, these learning and development opportunities take place when trainers perform actions in the design and delivery of S-OJT and when they are prepared to be an S-OJT trainer.

Previous research has conceptually and empirically reported consequences, which can be resulted from such learning and development opportunities. In other words, trainers' actions in S-OJT and the preparation of the trainer enable trainers to learn and develop their professional competences, and in turn produce unanticipated consequences on trainers, such as knowledge and skills acquisition, occupational commitment, sales performance, interpersonal skills, organizational commitment, self-efficacy, and willingness to share with others. Based on the literature review, complex relationships exist among trainers' actions in the design and delivery of S-OJT, the preparation of S-OJT trainers, and possible unanticipated consequences on trainers. To understand this, the authors proposed a conceptual framework to depict the relationships in Figure 1 below.

The framework will assist organizations, managers, and HRD researchers to expand their perception about S-OJT on the aspect of the trainer beyond its explicit expectations on the trainee. The conceptual framework indicates additional strengths of S-OJT in terms of creating informal learning opportunity for trainers within a formal training situation. As a result, S-OJT can be viewed as an employee development method for the trainer as well as the trainee. In addition, S-OJT can be regarded as an investment for their experienced employees. As such, managers would recognize the long-term benefits of S-OJT in favor of trainers.

As reviewed above, trainers are engaged in various behaviors in the design and delivery of S-OJT. Using this framework proposed, HRD researchers could investigate which trainers' certain behaviors can strongly affect certain unanticipated consequences on trainers. Figure 1 introduces possible relationships between the four constructs. Empirical research needs to be conducted to examine the framework.

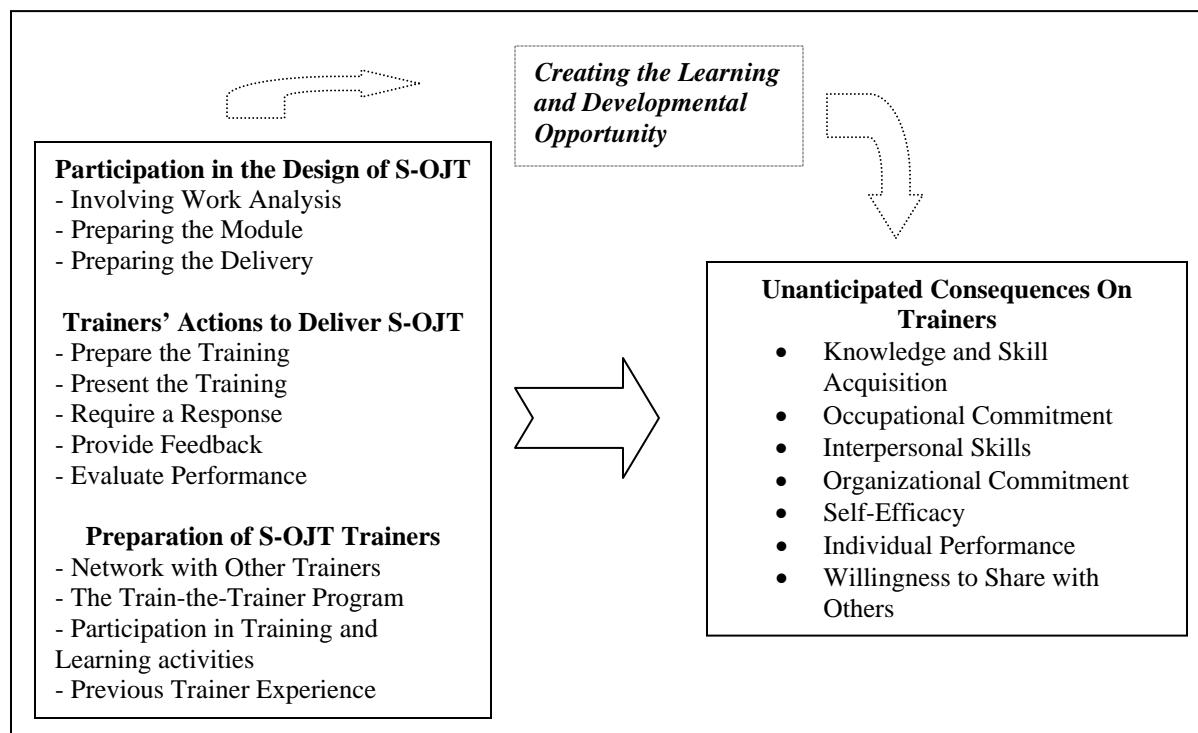
References

- Barnard, J. K., & Hawley, J. D. (2003). Work environment characteristics and implications for training transfer: A case study of the Nuclear Power Industry. In S. A. Lynham & T. M. Egan (Eds.), *Proceedings of the 2003 Academy of Human Resource Development Conference*. Minneapolis, MN: Academy of Human Resource Development.
- Bartlett, K. R. (2001). The Relationship between training and organizational commitment: A Study in the health care field. *Human Resource Development Quarterly*, 12(4), 335-52.
- Bierema, L. L. (2002). The sociocultural contexts of learning in the workplace. In M. V. Alfred (Ed.), Learning and sociocultural contexts: Implications for adults, community, and workplace education. *New Directions for Adult and Continuing Education*, no. 96. San Francisco: Jossey-Bass.
- Black, J. A., Zenner, F. J., Ezell, E. (1996). A case study of the development and implementation of a structured on-the-job (SOJT) training program in the coil processing industry. In E. F. Holton (Ed.), *Proceedings of the 1996 Academy of Human Resource Development Conference*. Minneapolis, MN: Academy of Human Resource Development.
- Blau, G. J., Paul, A., & St. John, N. (1993). On developing a general index of work commitment. *Journal of Vocational Behavior*, 42(3), 298-314.
- Burkett, H. (2002). Leveraging employee know-how through structured OJT. In R. L. Jacobs (ed.), *Implementing on-the-job learning: Thirteen case studies from the real world of training*. Alexandria, VA: ASTD.
- D'Abate, C. P., Eddy, E. R., & Tannenbaum, S. I. (2003). What's in a name? A literature-based approach to understanding mentoring, coaching, and other constructs that describe developmental interactions. *Human Resource Development Review*, 2(4), 360-384.
- Dymock, D. (1999). Blind date: A case study of mentoring as workplace learning. *Journal of Workplace Learning*, 11(8), 312-317.
- Ensher, E. A., Grant-Vallone, E. J., & Donaldson, S. I. (2001). Effects of perceived discrimination on job satisfaction, organizational commitment, organizational citizenship behavior, and grievances. *Human Resource Development Quarterly*, 12(1), 53-72.
- Farrell, S., & Hakstian, A. R. (2001). Improving salesforce performance: A meta-analytic investigation of the effectiveness and utility of personal selection procedures and training interventions. *Psychology and Marketing*, 18(3), 281-316.
- Filipczak, B. (1996). Training on the cheap. *Training*, 33(5), 28-34.

- Hackett, R. D., Lapierre, L. M., & Hausdorf, P. A. (2001). Understanding the links between work commitment constructs. *Journal of Vocational Behavior*, 58(3), 329-413.
- Handzic, M., & Tolhurst, D. (2000). *The role of personal experience and social interaction in knowledge creation and utilization*. In Proceedings of the International Academy for Information Management Annual Conference (15th, Brisbane, Australia, December 6-10), (ED 473384).
- Harris, R., Simons, M., & Bone, J. (2000). *More than meets the eyes? Rethinking the role of workplace trainer*. Australia: NCVER.
- Heffner, T. S., & Rentsch, J. R. (2001). Organizational commitment and social interaction: A multiple constituencies approach. *Journal of Vocational Behavior*, 59(3), 471-490.
- Hellenbeck, J. R., Ilgen, D. R., Sego, D. J., Hedlund, J., Magor, D. A., & Phillips, J. (1995). Multilevel theory of team decision making: Decision performance in teams incorporating distributed expertise. *Journal of Applied Psychology*, 80, 292-316.
- Hollister, L. R. (2001). The benefits of being a mentor. *Healthcare Executive*, Mar/Apr, 49-50.
- Imel, S. (1992). *Reflective practice in adult education*. ERIC Digest No. 122, Columbus, OH: ERIC/ACVE.
- Imel, S. (2003). *Tacit knowledge*. Trends And Issues Alert No. 46, Columbus, OH: ERIC/ACVE.
- Imel, S., & Stein, D. S. (2003). Creating self-awareness of learning that occurs in community. In T. R. Ferro & G. J. Dean (Eds.), *Proceedings of 2003 Midwest Research to Practice Conference in Adult, Continuing, and Community Education*, (pp. 116-121).
- Jacobs, R. L. (Ed.). (2001). Planed training on the job. *Advances in Developing Human Resources*, 3(4). Thousand Oaks, CA: Sage.
- Jacobs, R. L. (2003). *Structured on-the-job training: Unleashing employee expertise in the workplace*. (2nd ed.). San Francisco, Berrett-Koehler Publications, INC.
- Jacobs, R. L., & Osman-Gani, A. M. (1999). Status, impact, and implementation issues of structured on-the-job training: A study of Singapore-based companies. *Human Resource Development International*, 2(1), 17-24.
- Jacobs, R. L., Jones, M. J., & Neil, S. (1992). A case study in forecasting the financial benefits of unstructured and structured on-the-job training. *Human Resource Development Quarterly*, 3(2), 133-139..
- Johnson, S. D., & Leach, J. A. (2001). Using expert employees to train on the job. *Advances in Developing Human Resources*. 3(4), 425-434.
- Jones, K. F. (1991). *Job satisfaction, commitment to professionalism, and perceived support systems in family day care providers*. (ED353038).
- Kasvi, J. J. Jr., & Vartiainen, M (2000). Performance support on the shop floor. *Performance and Improvement*, 39(6), 40-46.
- Keith, P. M. (2001). Support from others and efficacy of volunteer ombudsmen in long-term care facilities. *International Journal of Aging and Human Development*, 52(4), 297-310.
- Kilpatrick, S., Bell, R., & Falk, I. (1999). The role of group learning in building social capital. *Journal of Vocational Education and Training*, 51(1), 129-144.
- Kontoghiorghe, C., & Bryant, N. (2001). Exploring organization commitment in a non-profit service organization. In O. A. Aliaga (Ed.), *Proceedings of the 2001 Academy of Human Resource Development Conference*, Tulsa, OK: Academy of Human Resource Development.
- Lowrey, W. (2001). *Socialization as a determinant of occupational commitment: Do high school and college activities matter?* A paper presented at the Annual Conference of the Association for Education in Journalism and Mass Communication, Washington, D. C.
- Merriam, S. B., & Caffarella, R. S. (1999). *Learning in adulthood*. San Francisco : Jossey-Bass.
- Meyer, J. P., & Allen, N. J. (1997). *Commitment in the workplace*. Thousand Oaks, CA: Sage Publications.
- Orpen, C. (1999). The impact of self-efficacy on the effectiveness of employee training. *Journal of Workplace Learning*, 11(4), 119-122.
- Osman-Gani, A. M., & Zidan, S. S. (2001). Cross-cultural implications of planned on-the-job training. *Advances in Developing Human Resources*. 3(4), 442-460.
- Poell, R. F., & Van der Krogt, F. J. (2003). Learning-program creation in work organizations. *Human Resource Development Review*, 2(3), 252-272.
- Prieto, L. R., & Meyers, S. A. (1999). Effects of training and supervision on the self-efficacy of psychology graduate teaching assistants. *Teaching of Psychology*, 26(4), 264-266.
- Rae, L. (2002). *Trainer assessment: A guide to measuring the performance of trainers and facilitators*,(2nd ed.). Burlington, VT: Gower Publishing Company.
- Roman, S., Ruiz, S., & Munuera, J. L. (2002). The effects of sales training on sales force activity. *European Journal of Marketing*, 36(11/12), 1344-1366.

- Rothwell, W. (2002). *The workplace learner: How to align training initiatives with individual learning competencies*. New York: AMACOM.
- Rothwell, W., & Kazanas, H. (1994). *Improving on-the-job training: How to establish and operate a comprehensive OJT program*. San Francisco: Jossey-Bass.
- Sanet, T. C. (1992). *How management training relates to newspaper editors' professional commitment*. A paper presented at the Annual Meeting of the Association for Education in Journalism and Mass Communication (75th, Montreal, Quebec, Canada) (ED349567).
- Schulz, S. F. (1995). The benefits of mentoring. In M .W. Galbraith & N. H. Cohen (Eds.). *Mentoring: New strategies and challenges. New Directions for Adult and Continuing Education*, 66, San Francisco: Jossey-Bass.
- Semb, G. B., Ellis, J. A., Fitch, M. A., Parchman, S., & Irick, C. (1995). On-the-job training: Prescriptions and practice. *Performance Improvement Quarterly*, 8(3), 19-37.
- Stein, D. S. (2001). Situated learning and planned training on the job. *Advances in Developing Human Resources*, 3(4), 415-42.
- Steven, M. J., & Campion, M. A. (1994). The knowledge, skill and ability requirements for teamwork: Implications for human resource management. *Journal of Management*, 20, 503-530.
- Swanson, R. A., & Falkman, S. K. (1997). Training delivery problems and solutions: Identification of novice trainer problems and expert trainer solutions. *Human Resource Development Quarterly*, 8(4), 305-314.
- Washington, C. L. (2002). *The relationships among learning transfer climate, transfer self-efficacy, goal commitment, and sales performance in an organization undergoing planned change*. Unpublished Doctoral Dissertation of The Ohio State University.
- Weaver, R. H. (2002). Predictors of quality and commitment in family childcare: Provider education, personal resources, and support. *Early Education and Development*, 13(3), 265-282.
- Williams, S. W. (2001). The effectiveness of subject matter experts as technical trainers. *Human Resource Development Quarterly*, 12(1), 2001.
- Yang, J. C., & Mclean, G. N. (1996). Structured on-the-job training competencies. In E. F. Holton (Ed.), *Proceedings of the 1996 Academy of Human Resource Development Conference*. Minneapolis, MN: Academy of Human Resource Development.

Figure 1. Conceptual Framework



Organization Development in Universities

*Kenneth Bartlett
University of Minnesota*

*Francine Crystal
Massachusetts Institute of Technology*

*Victoria Marsick
Columbia University*

*Richard Torraco
University of Nebraska*

*Karen Watkins
University of Georgia*

Higher education today faces formidable challenges that are virtually unparalleled when compared to any other point in its history. Conditions in higher education today suggest that universities have entered an era in which they will undergo significant change. Organization development (OD) is an approach to effecting planned change that is used in the private, public, nonprofit, and volunteer sectors. However, relatively little is known about OD in universities. This session examines issues associated with the use of OD in universities through case studies, discussions, breakout sessions, and opportunities for further research.

Keywords: Organization Development, Higher Education, Change

Universities in the U.S. today confront perhaps the most formidable array of challenges ever faced in higher education. Several forces for change confront universities—financial pressure, rapid growth in technology, public scrutiny, changing student demographics, intense competition for students, changing faculty roles, and the rapid rate of change itself both within and beyond the university. Some feel that the demands for change that universities face have accelerated beyond the contemplative debate, desire for consensus, and collegiality that have long characterized decision making in the university. The significance of these challenges suggests that universities have entered a period in which they are likely to undergo significant change.

Organization development (OD) is an approach to effecting planned change that is used in the private sector and, more recently, in public, nonprofit, and independent (volunteer) organizations. However, relatively little is known about OD in universities. Moreover, few models or frameworks for OD in universities exist. A major purpose of the innovative session is to bring the topic of OD in universities to the attention of scholars and practitioners and to begin exploring the key issues and challenges related to the use of OD in universities.

This session will identify challenges and opportunities related to OD in universities in the U.S. that, heretofore, have been unexplored. Some key questions addressed in the session include: What is known about OD in universities today? Given present conditions in higher education, how can OD help to effect systemic change in universities? How is OD in universities initiated and sustained? What are key, institution-specific issues and challenges associated with OD in universities? These questions about OD in universities will be addressed to gain a better understanding about this important topic. The innovative session will serve as a springboard for continued dialogue on the topic of OD in universities among scholars and practitioners. By drawing attention to the potential opportunities associated with establishing OD initiatives in universities, it is hoped that this session will lead directly to research projects that further explore the use of OD in universities. Specifically, we envision conducting research that proposes and tests hypotheses that lead to more higher education-specific models of OD.

Copyright © 2004 Ken Bartlett, Francine Crystal, Victoria Marsick, Richard Torraco & Karen Watkins

Theoretical Framework

The theoretical framework of the session is grounded in two main sources: (a) theories of organization and culture in higher education and, (b) theories that underlie the philosophy and practice of organization development.

In an early volume on organization development, Warren Bennis (1969, p. 2) defined OD as “a response to change, a complex educational strategy intended to change the beliefs, attitudes, values and structure of organizations so that they can better adapt to new technologies, markets, and challenges, and the dizzying rate of change itself.” OD theorists are currently questioning whether or not, and in what ways, the theory and practice of OD must change to better match changes in organizations, in particular, the move from hierarchical, bureaucratic organizations to decentralized, networked organizations. Warner Burke (2002, p. xiii), in recently updating his thinking on OD in response to the change in the field itself, noted that: “Unlike the situation a few decades ago, the external environment now changes much more rapidly than organizations do. Organizations today are playing catch-up, and certainly this will be true even more so in the future.”

It may not be surprising that much theorizing in OD has not been applied in the world of postsecondary education. Postsecondary institutions have been cushioned from some of the external environmental pressures that businesses encounter, but are also subject to their own unique pressures, both external and internal. But as noted above, the external environment can no longer be ignored because of several critical trends in higher education, including changes in their ultimate markets (the businesses and other institutions that hire their graduates) and changes in technology that have fostered a new way of thinking about the design and delivery of learning services.

In addition to differences in external environments, colleges and universities are using a more consensual model of governance that involves faculty, administrators, trustees, and (sometimes) students, their parents, and the communities served by the university. Birnbaum (1988) captured some of these differences — and their implications for governance and leadership in postsecondary education — in his work on different ways of conceptualizing *How Colleges Work*. He noted:

Because most institutions of higher education lack a clear and unambiguous mission whose achievement can be assessed through agreed upon quantifiable measures such as “profits,” the processes, structures, and systems for accountability commonly used in business firms are not always sensible for them. Many college and university managers do not exercise primary control over the curriculum, faculty recruitment or promotions, or the methods of teaching, major processes of production that in business firms would be fundamental managerial prerogatives. . . . The authority of various constituencies to participate in or make decisions is often unclear and frequently contested. (pp. 27-28)

OD must take account of these fundamental differences between postsecondary institutions and other kinds of institutions when considering the challenges of entry and change, which are the focus of this session.

Theories of organization and culture in higher education. The dynamics of current and future change in higher education are undoubtedly related to the organization of the academy (Birnbaum, 1988; Duderstadt & Womack, 2003) and to organizational culture in higher education (Tierney, 1998; 1991). Organizational culture is widely viewed as a critical component determining the type, rate, and success of change in organizations. Organizational culture in higher education has its own unique, distinctive features as compared to typical hierarchical, command and control for-profit firms. Moreover, different types of higher education institutions (two-year vs. four-year institutions, research universities vs. liberal arts colleges, and so on) manifest their own cultural nuances, much like the variations in firm cultures across industry, geography, and size. Regardless of the dimension(s) of change that are examined or of the particular higher education institutions studied, the dynamics of the change phenomenon itself will be influenced by organizational culture. Schein (1985) asserts that culture encompasses basic assumptions, values, and norms. Culture is seen as a multi-level concept that includes individual, group/process, and organizational/structural level components. “Culture is critical to guiding behaviors and making choices about organizational design” (Rothwell, Sullivan & McLean, 1995, p. 208). Culture can impact change in higher education in many ways.

Bergquist (1992) proposed four cultural archetypes in an attempt to characterize various institutional cultures in higher education. Bergquist’s intention in creating these archetypes was to hypothesize that “different change strategies would be needed and appropriate within the four different academic culture archetypes that reflect any higher education institution” (Kezar & Eckel, 2002, p. 439). Bergquist’s four academic culture archetypes are each quite different and are intended to reflect culture in any higher education institution. These four cultural archetypes are the *collegial culture* that arises primarily from the disciplines of the faculty, the *managerial culture* that focuses on the goals of the institution and that values efficiency, fiscal responsibility, and effective supervision, the *developmental culture* that is based on the personal and professional growth of all members of the collegiate

environment, and the *negotiating culture* that values the establishment of equitable policies and procedures, mediation, and interest groups. Recent studies have used Bergquist's cultural archetypes to examine the effects of institutional culture on change in higher education. Kezar and Eckel (2002) examined the effect of institutional culture on change strategies by assessing the degree to which change processes are enhanced by following culturally sensitive change strategies and/or thwarted by violating cultural norms. The authors used an ethnographic approach and a two-tiered cultural framework composed of Bergquist's (1992) four academic cultures and Tierney's (1991) individual institutional culture framework to investigate comprehensive change at six institutions—one research university, three doctoral-granting universities, a liberal arts college, and a community college. They found that change strategies seemed to be successful if they were culturally coherent or aligned with the institution's culture. Institutions that violated their institutional culture during the change process experienced difficulty. The authors recommend that campuses conduct audits of their institutional cultures before engaging in the change process.

Addressing the need for institutional change in higher education, Welsh and Metcalf (2003) examined the chasm between higher education faculty and administrators in their perspectives on effecting change related to institutional effectiveness activities. Faculty support for institutional effectiveness activities was likely to be increased by ensuring that faculty perceive that they are personally involved in institutional effectiveness activities. In addition, faculty support for institutional effectiveness activities is bolstered if the prevailing definition of quality at the institution is based on *outcomes* not on resource *inputs* (italics in original). The authors maintain that administrators are more likely to interact with external stakeholders and, thus, are more likely to be aware of and receptive to external aspirations for higher education. They state, "In sharp contrast to faculty, administrators believe that the institution they serve revolves around a nucleus of external forces that greatly affect the institution's continued vitality" (p. 447). Faculty tend to have more trust in academic culture than in administrative hierarchy, and they remain committed to their disciplines and the educative mission of their institution.

Other studies of the relationship of institutional culture to change in higher education include a study of the influence of institutional culture, mission, preferred decision-making approaches and collective bargaining status on institutional effectiveness in two-year colleges (Smart, Kuh & Tierney, 1997), a case study of the structural and cultural changes involved in the "chartering" of a university school of education (Wong & Tierney, 2001), and a study of the effects of technology, increased competition for students, and the changing workplace on change in collegiate schools of business (Kemelgor, Johnson & Srinivasan, 2000). As these studies show, the dynamics of current and future change in higher education are undoubtedly related to institutional culture.

The theoretical base of organization development. Organization development (OD) appears to have originated in about 1957 as an attempt to apply some of the values and principles of learning from laboratory training to the total organization (French, 1969). The theoretical roots of organization development are grounded in human relations training (Bennis, 1963), action research (Lewin, 1951; Kolb, 1960), participative management (Likert, 1967; Mohrman & Ledford, 1985), and strategic change (Jelinek & Litterer, 1988). A dominant influence on the philosophy and methods of OD as it is currently practiced is *action research* (Cummings & Worley, 2001; Rothwell, Sullivan & McLean 1995). We adopt action research as a central element of our theoretical framework along with a comprehensive systems model that incorporates multiple levels (organization, work groups, and individuals) and shows how organizations interact with their external environments. Action research and the systems model, the Burke-Litwin model (Burke, 2002), are used to guide our understanding of how OD can be used as an approach to planned change in higher education.

Action research. Action research is based on the assumption that organizational members themselves should be actively engaged in the process of change (Kolb, 1960). Action research is based on an iterative cycle of problem identification, clarification, data collection/analysis, and action planning for systemic change (French, 1969). Change occurs as new data is collected and used to guide further change, thus insuring that *action* is based on *research*. In the process, the organization develops its capabilities to identify and solve its own problems. In action research, the change process is itself an "outcome." The organization develops as it improves its capabilities for change management. The *action research model* (ARM) is the eight-phase process of entry, start-up, assessment, action planning, intervention(s), evaluation, adoption, and separation. Several versions of the ARM exist—all variations on a core theme. Those who are responsible for change are all who are involved and/or affected by the change (ideally, the entire system). "Sitting on the sidelines" is discouraged in action research. Collaboration for change occurs among organization members, facilitated by (a) change agent(s), who may be internal to the system, external, or both.

There are many issues and challenges associated with using OD as an approach to planned change in universities. Institutional factors such as a university's culture, governance structure, size, economics, and other systemic factors heavily influence the perceptions and viability of any initiative to effect planned change in a university. In addition, factors related to the efficacy of the OD strategy itself, such as its ability to obtain

commitment to change and overcome resistance to change, significantly influence how OD is introduced and sustained. Indeed, OD in universities is affected by many other political, socio-cultural, technical, and economic factors that are both external and internal to the university system.

Since relatively little is known about OD in universities to date and the conceptual and methodological issues associated with it are quite broad, the session will focus primarily on how OD gets introduced in higher education. Thus, theoretical grounding and guidance on “entry” and the early stages of OD are needed. The theory base for the session includes the philosophy and practice of organization development primarily as this relates to entry into the system.

The entry stage of organization development. Entry is the process of engaging with an organization or part of an organization that desires change and needs assistance with it. Entry occurs as decisions are made about whether the organizational system and the OD consultant want to engage in a planned change program and commit resources to such a process (Jackson, 1987). Entry occurs in stages as the organization system and the consultant initially explore each other's needs and interests related to planned change. The organization system (the client) and the consultant(s), who may be internal to the system, external or both, explore the initial stages of OD through a process that frequently follows two general stages; the initial contact and the contracting phase (Lippitt & Lippitt, 1986). The initial contact between the consultant and prospective client, which may be planned or unplanned, is followed by a second phase when the consultant and client meet to develop a contract for the OD intervention (Engdahl, Howe & Cole, 1991). Determining whether the two parties should enter into an OD relationship typically involves clarifying the nature of the organization's problem, determining the relevant client system for that problem, and assessing the readiness of the client to engage in the OD process (Beer, 1980). Indeed, some of the issues and challenges of entry continue throughout the OD process as the consultant(s) develop psychological contracts with their clients, continue to educate members of client organizations, and cultivate trust in their skills (Rothwell, Sullivan & McLean, 1995).

Burke-Litwin model of organization development. As Birnbaum (1988) noted, higher education functions as a system, even though it does so in a manner that is different from business and other kinds of organizations. A framework that could be adapted to understanding OD in postsecondary institutions is the Burke-Litwin model (Burke, 2002) because it is a comprehensive systems model that incorporates multiple levels (organization, work groups, and individuals) and shows how organizations interact with their external environments. Changes in the external environment trigger change. Change is guided by work on transformational and transactional variables. Transformational variables —mission and strategy, leadership, culture — drive fundamental change, but cannot be effective without corresponding work on transactional variables — structure, management practices, and systems. Both levels of variables affect work unit climate, which in turn, affects individual motivation that is also affected by task requirements and individual skills, abilities, needs and values. Individual and organizational performance is driven by work with the variables in the model through feedback loops between the internal and external environments.

OD initiatives in higher education must take into account the diverse constituencies that affect the setting of mission and strategy, leadership and culture. Yet postsecondary institutions are not typically structured in a way that makes it easy for any of the key players, let alone an OD consultant, to easily influence and work with all critical constituencies. OD change agents may also find themselves operating at the transactional, rather than the transformational level of change. Entry level may make it challenging to reach constituencies that can influence transformational variables.

OD change agents may have to work with parallel systems in effecting change. Change is not achieved because the President, Dean or administrators so decree. Change occurs through negotiation between administrators and faculty, who in turn are influenced by different external environments. Trustees and donors, for example, shape the external environment of higher education, while professional peers shape the leadership provided by key faculty. Burke's model may be re-constructed for higher education by positing two parallel universes, with potential overlap, at the transformational, transactional, and work climate levels. Brokers may have to work in the white space between the universe of administrators and the universe of faculty to effect change, and in so doing, bring along different stakeholders. OD brokers would have to create vehicles for effective conversation between administrative and faculty cultures to engage multiple constituencies. Ideally, key leaders should partner with both the administrative and faculty sides of the university walls to make this possible. Initiatives could perhaps begin at the transactional level, and remain there, as long as they can function within Departmental silos. But in order to affect the larger university environment, OD would have to engage transformational variables that are co-set by both faculty leaders and Presidents, Deans and their staff.

OD is challenging at best in corporations, more so today because of cultures that are decentralized and networked. Yet at some point, the CEO and his/her key leadership team can make decisions that are carried out at

the risk of loss of job. In higher education, as one panel member has noted, "nothing is a problem or an opportunity until faculty say so!" This observation grew from an informal comparison of the sustainability of OD efforts at MIT, Harvard, and Rutgers University. The OD initiative with the most apparent staying power, at Rutgers University, grew out of leadership by key faculty in partnership with HR. Faculty cannot be fired once they hold tenure, and they co-influence transformational variables such as mission, leadership and culture.

Overview of the Session

Since little is currently known about OD in universities, the session will begin by exploring case studies and what is known about the present state of OD in universities. The session will attempt to present a "snapshot" of the current state of OD practice in universities using data gathered prior to the session and at the session itself.

Prior to the session, questions will be posed to human resource professionals in higher education related to OD at their institutions using an e-mail survey. Questions that have been drafted for this purpose include, "If there is/was an internal OD function within your institution, who initiated it?" "What was his/her position?" "What was the impetus/catalyst for OD?" "What was the process?" "How has the OD function changed since its inception?" "How is OD a match/mismatch for the culture of your institution?" "What is the current status of OD within your institution?" Prior to the conference these questions will be sent via e-mail to HR professionals working in higher education. One of the session presenters has access to e-mail lists for this target group.

At the start of the session, we will "prime the pump" by asking participants about their own experiences with OD in universities. As the session begins, participants will be asked to think about OD in universities by answering a limited set of questions that addresses the nature of change in their institutions. In addition, we will ask participants to identify any OD-related initiatives at their universities. These questions will contribute to discussion later in the session on the challenges and opportunities for OD in universities.

The session will begin with the presentation of short case studies of OD in universities. A limited number of cases of OD initiatives in universities have been identified, including those at some of the presenters' own institutions. Sharing the actual developments associated with the introduction of OD in specific institutions (perhaps four cases) is expected to set a realistic tone about OD in universities for the remainder of the session.

Since the topic of OD in universities potentially can be quite large, the session will focus primarily on how OD gets introduced in higher education (that is, on "entry" and early stages of OD). We will examine the circumstances and forces that catalyze the introduction of OD in universities, as well as factors that might be associated with how OD is sustained. The issues and questions for discussion will focus on this aspect of OD in universities.

We intend for the innovative session to generate a high level of participation and scholarly dialogue on this important topic. Special attention will be given to creating an intellectually stimulating environment conducive to the active involvement of all participants in attendance at the session. Participants will be asked to think about how their own institutions deal with change, how their institutions might respond to an OD initiative, and what key forces and challenges to OD are present in their university environments. Both open discussion forums and small-group breakout sessions will be used to examine specific issues related to OD in universities.

The presentation of case studies early in the session is expected to generate discussion and reactions to the challenges that confront OD in universities. This will lead to open discussion about general issues related to OD in universities, including: What forces for change exist at your institution,? How would you characterize how change occurs at your institution,? Does your institution utilize OD (internal OD function, external consultants, both)? What are key institution-specific issues/challenges related to OD initiatives? and other general questions on this topic.

From a limited number of key issues on the topic, participants will choose an issue of interest to them for more in-depth discussion in small-group breakout sessions. Participants will divide into small groups by topic. Key issues for small-group discussion may include the roles of faculty and staff during the introduction of OD, or how to sustain the OD function after the initial change impetus has been addressed, the relationship of institutional culture to change strategies, relationships that exist between the strategies used to introduce OD into universities and the ultimate viability of OD in universities, and other topics.

Objectives for the Session

The session will address the following objectives:

- To raise awareness and understanding of the challenges and opportunities related to OD in universities.
- To begin identifying what is known about the use of OD in universities.
- To explore how OD is introduced in universities.

- To stimulate greater dialogue on this topic among scholars and practitioners.
- To lay the groundwork for future research on OD in universities.

We will ask participants ahead of time about their own experiences and ideas related to OD and change in their institutions. Responses to advance questions and the results of the e-mail survey of HR professionals in higher education will be used to help participants think about OD in universities and to set the tone for the session. The session is tentatively organized around the following agenda:

- | | |
|---|----------------------|
| • Overview of the innovative session and introductions | @ approx. 5 minutes |
| • Presentation of case studies of OD in universities | @ approx. 25 minutes |
| • Pose key questions for open discussion and dialogue | @ approx. 5 minutes |
| • Discussion and breakout sessions in which each person with a case holds a discussion with people around a key issue | @ approx. 35 minutes |
| • Session wrap-up / Identify next steps (research and practice) | @ approx. 20 minutes |

References

- Beer, M. (1980). *Organization change and development: A systems view*. Santa Monica, CA: Goodyear.
- Bennis, W. G. (1963). A new role for the behavioral sciences: Effecting organizational change. *Administrative Science Quarterly*, 8, 157-168.
- Bennis, W. G. (1969). *Organization development: Its nature, origins, and prospects*. Menlo Park, CA: Addison-Wesley Publishing Company.
- Bergquist, W. (1992). *The four cultures of the academy*. San Francisco: Jossey-Bass.
- Birnbaum, R. (1988). *How college works*. San Francisco: Jossey-Bass.
- Birnbaum, R. (2000). The life cycle of academic management fads. *Journal of Higher Education*, 71(1), 1-16.
- Briggs, C. L., Stark, J. S. & Rowland-Poplawska, J. (2003). How do we know a "continuous planning" academic program when we see one? *Journal of Higher Education*, 74(4), 361-385.
- Brown, J. S., & Duguid, P. (1995). *Universities in the digital age*. Available:
<http://www.parc.xerox.com/ops/members/brown/papers/university>.
- Burke, W. W. (2002). *Organization change: Theory and practice*. Thousand Oaks, CA: Sage Publications.
- Cummings, T. G. & Worley, C. G. (2001). *Organization development and change*, (7th ed.). Cincinnati, OH: South-Western College Publishing.
- Duderstadt, J. J., Atkins, D. E. & Van Houweling, D. (2002). *Higher education in the digital age*. Westport, CT:Praeger.
- Duderstadt, J. J. & Womack, F. W. (2003). *The future of the public university in America: Beyond the crossroads*. Baltimore: Johns Hopkins University Press.
- Engdahl, R., Howe, V. & Cole, D. (1991). Marketing OD: What now works and what does not. *Organization Development Journal*, 9(2), 32-40.
- French, W. (1969). Organization development objectives, assumptions, and strategies. *California Management Review*, 13(2), 23-34
- Frost, S. H. & Jean, P. M. (2003). Bridging the disciplines: Interdisciplinary discourse and faculty scholarship. *Journal of Higher Education*, 74(2), 119-149.
- Jackson, C. (Ed.). (1987). *Entry: Beginning the OD consultation process*. Alexandria, VA: American Society for Training and Development.
- Jelinek, M. & Litterer, J. (1988). Why OD must become strategic. In W. Pasmore & R. Woodman (Eds.), *Organization change and development*, (vol. 2, pp.135-162). Greenwich, CT: JAI Press.
- Kemelgor, B. H., Johnson, S. D., & Srinivasan, S. (2000). Forces driving organizational change: A business school perspective. *Journal of Education for Business*, (Jan-Feb), 133-137.
- Kezar, A & Eckel, P. D. (2002). The effect of institutional culture on change strategies in higher education. *Journal of Higher Education*, 73(4), 435-460.
- Kolb, H. D. (1960). *Introduction to an action research program for organization improvement*. Ann Arbor, MI: Foundation for Research in Human Behavior.
- Levine, A. (2003). Higher education: A revolution externally, evolution internally. In M. S. Pittinsky (Ed.), *The wired tower: Perspectives on the impact of the internet on higher education*. pp. 13-39. Upper Saddle River, NY: Financial Times-Prentice Hall.
- Lewin, K. (1951). *Field theory in social science*. New York: Harper and Row.
- Likert, R. (1967). *The human organization*. New York: McGraw-Hill.
- Lippitt, G., & Lippitt, R. (1986). *The consulting process in action*. (2nd ed.). San Diego, CA: University Associates.

- Mohrman, S., & Ledford, G. (1985). The design and use of effective employee participation groups: Implications for human resource management. *Human Resource Management*, 24, 413-428.
- Rothwell, W. J., Sullivan, R., & McLean, G. N. (1995). *Practicing organization development: A guide for consultants*. San Diego: Pfeiffer.
- Schein, E. H. (1985). *Organizational culture and leadership: A dynamic view*. San Francisco: Jossey-Bass.
- Stark, J. S., Lowther, M. A., Sharp, S., & Arnold, G. (1997). Program-level curriculum planning: An exploration of faculty perspectives on two different campuses. *Research in Higher Education*, 38(3), 99-130.
- Tierney, W. (1988). Organizational culture in higher education. *Journal of Higher Education*, 59, 2-21.
- Tierney, W. (1991). Organizational culture in higher education: Defining the essentials. In M. Peterson (Ed.), *ASHE reader on organization and governance* (pp. 126-139), Needham, Heights, MA: Ginn Press.
- Van de Ven, A. H., & Poole, M. S. (1995). Explaining development and change in organizations. *Academy of Management Review*, 20(3), 510-540.
- Welsh, J. F., & Metcalf, J. (2003). Faculty and administrative support for institutional effectiveness activities. *Journal of Higher Education*, 74(4), 445-468.
- Wergin, J. F. (1999). Assessment of programs and units: Program review and specialized accreditation. In *Architecture for change: Presentations from the 1998 AAHE Assessment Conference*. Washington, DC: AAHE.
- Wong, M. P. A., & Tierney, W. G. (2001). Reforming faculty work: Culture, structure, and the dilemma of organizational change. *Teachers College Record*, 103(6), 1081-1101.

The Why's of Bhopal Revisited.

*Meera Alagaraja
Sudha Arlikatti
Texas A&M University*

The Bhopal tragedy in central India has been relentlessly analyzed and studied across numerous disciplines like engineering, planning, disaster management etc. Drawing on literature and evidence from the case, the paper provides an understanding of the ethical challenges confronting global organizations today. The paper expects to make a meaningful contribution to the growing literature on ethics with implications for HRD.

Keywords: Global Organizations, Ethics, HRD.

The Bhopal tragedy in central India is a catastrophe that has no parallel in the history of chemical industry (Kletz, 2001). In the early morning hours of December 3rd 1984, approximately forty tons of toxic gases leaked out from Union Carbide's Bhopal plant and spread throughout the city (Morehouse & Subramaniam, 1986; Shrivastava, 1987). The cause was the contamination of Methyl Isocyanate with water carrying catalytic material. The result was a nightmare. Residents awoke to clouds of suffocating gas and began a desperate flight through the dark streets. No warning was sounded and no systematic evacuations were made causing chaos and countless deaths. Controversies regarding the death toll continue to this day. Newspapers placed the total at between 2000 and 2500 while various voluntary organizations, eye witness accounts, information gleaned from scientific experts and circumstantial evidence of death such as shrouds, cremation wood used and missing persons reported put it between 6000 and 15000 (Shrivastava, 1987, Kletz, 2001). It has been referred to as the 'Hiroshima' of the chemical industry (Morehouse & Subramaniam, 1986). The Bhopal experience offered a host of possible lessons to industrial societies. It stimulated extensive soul-searching in India and the world over about industrial hazards and the capacity to anticipate and manage them. The consequences of the accident included crisis management responses by the three principal stakeholders - the organization, government, and victims supported by voluntary organizations (Shrivastava, 1987).

"Accident investigation is like peeling an onion... Beneath one layer, of causes and recommendations; there are other, less superficial layers. The outer layers deal with the immediate technical causes while the inner layers are concerned with ways of avoiding the hazards and with the underlying causes, such as weaknesses in the management system. Very often only the outer layers are considered and thus we fail to use all the information for which we have paid the high price of the accident." (Kletz, T. A., 2001. p.1)

The post disaster crisis management approach dealt only with the 'technical causes and immediate reactions' that Kletz (2001) likened to the outer, layers of an onion. The other, less superficial layers concerned with, values and ethics i.e. the 'peoples' aspect', lacked attention. The authors believe this to be the core of the onion and decidedly the core issue at stake. There is a need to know the dynamics of how this core affects different layers, as it is concerned with people involved or affected by the accident in various ways.

Over the years since the tragedy, the Bhopal case has been analyzed by various disciplines like engineering, planning, disaster management, etc. Much of the literature on Bhopal – international and domestic have dwelt on the procedural safety aspects (Morehouse & Subramaniam, 1986; Shrivastava, 1986 & Kletz, 2001). Taking a management perspective, Ice (1991) examined the role of rhetorical strategies in restoring damaged corporate relationships with implications for management communication.

Recently Dutta (2002) studied Union Carbide's response to the disaster using William Benoit's theory of image restoration. It is believed that the Bhopal tragedy, which has never been discussed in HRD, is in fact an ideal case study scenario to study the ethical challenges confronting global organizations today, and their relevance to HRD.

Copyright © 2004 Meera Alagaraja & Sudha Arlikatti

Literature Review

Reviewing the literature on corporations and their social responsibilities one often comes across a common place saying that, "The business of business is to be in business". For many this view is an accepted matter of fact. A corporation's primary and perhaps sole purpose is to maximize profits for its stockholders. Milton Friedman is most often associated with this notion of a corporations' primary purpose. According to Friedman (1970) corporations are owned by stockholders and therefore profits of the corporation belong solely to stockholders. Secondly corporations do not have social responsibilities; it is the people who manage these organizations that have responsibilities. An alternative to Friedman's analysis of social responsibilities of the organization is to consider those that are affected by the decisions of the organizations, the stakeholders. Much has been written about the obligations of organizations to their stockholders while little has been said about their obligations to the other stakeholders, namely the employees, customers, managers, suppliers and the local community. Freeman's (1994) stakeholder concept suggests a fine-grained analysis that combines business and ethics to this context.

Increasing concerns for environmental issues and demands for greater product safety, workplace and community well-being have had an impact on the overall performance of companies (Arcleus & Schaeffer, 1982; Fritzsche, 1990). There has been an ever growing concern for the role of businesses in society. Managers and professionals are looking for support and guidance as they confront the complexities in a climate of uncertainty and constant change (Velasquez, 2000). Despite the understanding that profits and growth are the priorities of any business venture, there is a need to recognize and acknowledge that actively discharging ethical responsibilities to employees, direct customers, consumers and the community is also in the self-interest of the organization (Harness, 1980). They will increasingly benefit the performance of the organization in the long run. That said, the emphasis of ethics runs contrary to the self-interest of executives who are rewarded for problem solving that is time bound and short term. The literature on business ethics discusses issues of ethics in a variety of contexts – local, national and global. Global business is competitive and has been increasingly so since the 1990's. Having to operate in different and even inconsistent environments is one of the most important risks facing the global organization (Payne et al., 1997). They discuss the responsibilities of the global organization and suggest that the power and size of the global organization may affect and influence public national policies. Such effects according to them will be more heavily felt in the developing nations than the developed nations. Global organizations have the ability to shift resources across different locations with ease of movement. A global organization can circumvent legal, environmental production standards and other constraints, if it believes that these actions may be beneficial to the bottom line. De George (1993) proposed guidelines, strategies and background conditions that multinationals must adhere to. Jackson (1997) highlighted the need for an organizational code of ethics to work in concert with the prevailing laws and regulations in the host country.

The concept of international ethics is not new, but applicability in a HRD context is only now becoming significant. Swanson (1999) added ethics as the rug supporting the three-legged stool of HRD theories in economics, psychology and general systems. Hatcher (2002) added that HRD should also focus on ethics, as a new addition to the theoretical foundations of HRD apart from the theories mentioned above. The Academy of Human Resource Development (AHRD) has produced *Standards on Ethics and Integrity (The Standards)* (AHRD 1999). These Standards are meant to provide a common set of values and principles for the profession of HRD. The applicability of the Ethics Standards in international contexts has also been discussed (Garrett & McLean, 2002). Alternative approaches taken with enforcement of ethical standards with implications for AHRD have been examined (Burns, Russ-Eft & Wright, 2001). Emerging literature on the ethical dimensions of HRD has also begun to examine explorations of ethical reasoning and ethical behavior in HRD issues. It is the authors' beliefs that ethics in HRD needs to be systematically studied to make a difference or influence organizations directly or through the academia. Understanding the need for discussing the applicability of ethics to HRD this paper goes a step further and discusses it in the context of the case study at hand. The primary focus for human resource development (HRD) is defined by its work with *people*, benefiting individuals and organizations (Ruona, 2000). As a field, HRD is still caught in the conversations of how we define ourselves, whether we are "developing *human* resources of an organization or resources of the *human*" (Ruona, 2000, p.11). Relevant to HRD and the case study is the element of ethics, which poses explicit questions as to how we should *act* individually, organizationally and communally. Ethics, used here in the normative sense, helps in clarifying and outlining the tone and rigor for actions. Ethics plays an important role in putting standards and requirements for acceptable actions in the field. Emerging literature on the ethical dimensions of HRD has begun to examine these issues. The authors' believe that ethics in HRD needs to be systematically studied to make a difference or influence organizations directly or through the academia.

By the virtue of whom it serves and the context in which it is applied, HRD has many definitions. For the purpose of this paper, 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, the whole of humanity (McLean & McLean, 2001).

Research Questions

The purpose of this study was to address two research questions.

1. What ethical responsibilities and challenges do global organizations have concerning the issues described in the case study?
2. Given the issues described in the case study, what are the implications for HRD?

The authors would like to state that in revisiting and studying an infamous case facilitates learning through mistakes and serves as a lesson for comparable crises.

Methodology

The case study method "to explain a situation and provide a basis to apply solutions to situations" (Yin, 1994; Dooley, 2002) was adopted. The Bhopal case is a window into the realm of complex issues, faced by global organizations as they operate in different geographic settings, cultures and value based societies. Given the location of the parent and the subsidiary company, the case study brings to fore the dynamics of the first and third world countries and their differing and sometimes competing set of ethics and values. The paper explores strategies to develop an ethical climate for the organization and society with implications for HRD. The researchers investigated the case within its real-life situation using secondary sources of data. Review of literature was drawn from multiple disciplines like industrial management, chemical engineering, disaster management, public policy and law .Other citations and web-based information have been used to gain a better understanding of the ethical contexts in which the Bhopal case operated. The authors recognize that adopting a case study method may not be the best way of exploring appropriate organizational responses to ethical demands made by multiple environments (local, state, national, continental and global).But the case study can serve as a beginning, a quick tool, to understand the dynamics of ethical demands, and to at least prioritize them from the perspectives of the organization, host government and the local community.

The Case

Developing countries confer upon MNC's a competitive advantage because they offer low cost labor, access to markets, and lower operating costs. Once there, companies have little incentive to minimize environmental and human risks. Lax environmental and safety regulation, inadequate capital investment in safety equipment, and poor communications between companies and governments compound the problem. (Cassels, p.279,1993).

With encouragement from the Indian government, Union Carbide one of the largest chemical companies in the United States, opened the Bhopal plant in 1977 to manufacture pesticides. India's post independence urgency in seeking self-sufficiency with the aid of modern agricultural techniques including the use of pesticides, made her waive statutory ownership requirements to obtain the facility. The parent company based in the U.S. held 50.9% of Union Carbide India Limited (UCIL) and the balance stocks were owned by Indian investors (Morehouse & Subramaniam, 1986). In the case of such joint ventures it is important to be clear as to who would be responsible for aspects such as safety in design and operations, information sharing with the public, disaster management plans, implementation or regulation of ethics and codes of conduct. But these were scarcely discussed by the principal stakeholders. While the company sought to increase profits, the Indian government viewed the Bhopal facility as a symbol of development. This scenario was the backdrop to the devastating gas disaster at the Union Carbide plant in Bhopal.

After the Crisis

The preliminary report after the disaster by Morehouse & Subramaniam (1986) pointed out the different and competing ethical values of the home and host country. Ethical issues arose from the lack of safety standards and

maintenance procedures in Bhopal in comparison to the sister plant in Institute, West Virginia, U.S.A. Human life was as precious in Bhopal as it was in Carbide's U.S subsidiary. But double standards were revealed in protection of human life and well being. There was a demand that Union Carbide face up to the same rigorous standards that it required at home, to anywhere else in the world. Questions arose regarding violation of human rights, the right to information, to participate in decisions affecting the well-being, and safety of workers and the community surrounding hazardous industries. The Bhopal tragedy damaged the reputation of Union Carbide and led to its closure. Subsequently Union Carbide was taken over by Dow Chemicals in 2001. The Bhopal plant remains closed to this day.

Responsibility Analysis

In the case of global organizations, consensus on what constitutes ethical behavior is understandably situational and culture specific. There hasn't been a disagreement on whether organizations are expected to be ethically responsible. Rather, the determination of what constitutes ethical behavior or not has been the point of contention amongst various stakeholders in the case study. Freeman (1994) provides a wide definition of stakeholders: "those groups who can affect and be affected by the achievement of an organization's purpose" (p.46). This definition is broad enough to include governments, local community groups and interest groups apart from employees, investors etc. Stakeholders also need to have the ability to access resources and exert influence on organizations to make ethical decisions for protecting their interests. In Bhopal, however, the affected victims were poor and illiterate. They had no choice or voice to object to the unilateral decisions made by the Indian Government and Union Carbide. One of the contentious issues with the Bhopal case has been the ongoing litigation and activism by the victims. The social costs were borne by the local community when Union Carbide closed its operations in Bhopal. The citizen's groups expected the plant to absorb the social costs and felt that the final settlement reached between Union Carbide and the Indian Government in no way mitigated the harmful environmental effects and the human suffering.

There was enough evidence that Methyl Isocyanate was harmful and quantities in which they were kept were unwarranted (Morehouse & Subramaniam, 1986; Shrivastava, 1986 & Kletz, 2001). When there is some evidence that products, processes and other materials classified as "harmful" in use – managers whether they belong to parent company or the local management may need to openly face the idea of a worst-case scenario as a possibility and be prepared for such an eventuality. Encouraging information sharing with the stakeholders in light of stocking hazardous materials becomes necessary from both safety and ethical point of view. It is believed that the onus of information sharing lies primarily with the parent company, given the hazardous nature of the materials and procedures involved and the potential harm they can bring to the other stakeholders.

Fritzsche (1990) suggests that the host country's ethical norms standards should be the acceptable minimum. According to him, the global organization has a right to build on the minimum acceptable ethical norms and develop higher standards of its own from this acceptable minimum. According to Kletz (2001), technically, in joint ventures the onus falls on the more sophisticated partner to see that the operating partner is suitably educated and skilled and committed to running the plant in a safe manner. But "for Union Carbide the Bhopal plant was a backwater, making little contribution to profits, in fact losing money and may have received less than its fair share of management resources" (p.117). The host country's standards were exploited by the global organization to increase its profits – whether it was through cheap labor, low safety standards and ineffective environmental regulations. The case highlights that Fritzsche's view may be untenable, given the lack of infrastructure in host countries.

Discussion

The Bhopal tragedy made people aware of the global effects and has valuable lessons to demonstrate the effects on individuals, organizations and communities. As is frequently observed, a major accident is the result of a sequence of events; the occurrence of each event in itself is unlikely. Equally no single individual or small group can be held responsible for the disaster. "Organizations have no memory. It is the *people*, who have memories. There is much that can be done to learn from the experience of those who have been involved in accidents and to keep alive the memory of the past" (Kletz, T. A., 2001. p.313). In many ways Bhopal presaged a new age of ethical awareness, in trying to reconcile the interests of local community, businesses and the host government.

Payne et al. (1997) discuss an ethical behavior continuum addressing five major issues in terms of relationships that the organizations may have with their environment. These issues are organizational relations (with other organizations like competition, strategic alliances etc), economic relations (fiscal policies etc), employee relations, customer relations, industrial (including technology transfer, research and development) and political relations. According to them, global organizations cannot all be expected to have the same standards of ethical behavior for each one of these issues. Even in the context of a single multinational, it is not possible to evince similar ethical

behavior across locations. Differences would arise depending on whether the nations are developed or developing. Asgary and Mitschow (2002) however believe that as businesses expand globally it is essential to develop an international code of ethics despite the difficulties involved. The idea of having an international code of ethics involves complexity of issues and having an international standard may therefore be difficult. However, global organizations need to acknowledge and accept a “defined minimal ethical stance” (Payne et al., 1997, p.1733). The absence of such a code of ethics may mean that the social impacts of globalization are largely glossed over.

Little previous case research views Bhopal as a study tool for students in ethics, HRD and general management. This case study might help global organizations to better understand what constitutes the realm of ethical conduct, and lessons learned can be applied to any global enterprise that is seeking to be ethically responsive and improve the quality of its contribution to society. Quantification of the disaster in terms of financial settlement or number of deaths, affected victims of the tragedy was never on the agenda of the paper.

One cannot confidently say that the lessons after Bhopal have been well learned and that similar crises will be prevented. Given the complexities and legal issues involved there cannot be just one answer or solution, framework or model that will facilitate ethical decision making in such a case, or provide generalizations for other cases. Perceptions about organization's concern for the common good may influence judgments. It certainly did in the aftermath of Bhopal. The Union Carbide plant remains closed to this day and may never be operational. The community may prevent it from doing so. But is this a signal for organizations to now acknowledge the relationship they have with potentially powerful stakeholder groups in their environments?

Stringent legislations may not be sufficient as stand alone solutions. Enforcement of environmental regulations may run into difficulties given the belief that it may thwart future economic investments in poorer communities. Weaker socio-economic communities may continue to succumb to the financial and infrastructural investment that global organizations promise to bring in the event of opening operations in these communities. At the same time it is extremely important that the people not forget disasters like the Bhopal tragedy and through citizen organizations keep the memory of that fateful day alive, so that they feel spurred to continue to act in unison. In this way they can make the industrial corporations and governments abide by the laws set for the good of the environment and society. Collaboration and the dialogue between the local community groups, multinational companies and governments will serve to improve ethical behavior by global organizations (Lozano & Boni, 2002). It is also imperative that through this dialogue and collaboration, responsibility awareness increases not only for the multinational organizations, but also for the other stakeholders. It is suggested that, organizations that have access to a better understanding of the various demands, prioritize them according to their capabilities for consistent ethical decision making. This will help increase their sensitivity to ethical issues.

Recommendations

The case study presents some of the ethical challenges facing global organizations, and underlines the importance of operationalizing them. One possible means of doing so would be to, discuss and include, in standards and ethical codes of practice, notes on the accidents that lead to these recommendations that are essential to prevent other disasters. Creating and employing need based information storage and retrieval systems would enable easier access to reports and recommendations on previous disasters. The recommendations may be feasible if organizations are primed for “disaster readiness rather than disaster recovery” (Greene, R.W., 2000, p.33). Post Bhopal, the legal framework enforced guidelines on the information that organizations need to share with society. But this is only one kind of information, dealing with quantification and or documentation of materials, processes and procedures that may be difficult for a layperson to understand the implications. Creating a hazard management database accessible not only within the organization but to public at large linking public health infrastructure, evacuation routes, shortest routes for entry of relief and rescue, identifying vulnerable populations so as to be best prepared for the disaster scenarios may prime organizations for disaster readiness. Thus improving the transparency and participation in dealing with all the stakeholders may be the key to promoting an ethically sound environment. It is critical for HRD to move beyond descriptive research while we examine ethical dilemmas that challenge global organizations today. As a field, HRD draws from contributions of diverse disciplines. Further contributions to the growing literature of ethics and HRD will provide a useful means to forge links between business and HRD.

Document analysis was the primary source of data collection to provide evidence for the case study. Accident reports were derived from secondary sources of data such as reports commissioned by independent organizations. The literature helped the authors develop a sense of whether the case truly reflected the identified research questions, although we grant that first hand sources of data would have made substantial contributions to address the research questions. Also, comparisons between multiple cases may have lent more credibility to the paper but, for want of similar cases having such far reaching effects as Bhopal was not possible. Both the authors are from the host

country India where this tragedy occurred and they feel this may have unintentionally lent a personal bias to the case study approach.

Conclusions

Revisiting the case has helped in exploring ethical challenges that face organizations. We learn more from failure than from success, another reason that makes the case study unique. The study adds to the growing literature on ethics in global organizations and increasing ethical awareness which is a necessity for HRD professionals.

In the search for a definition that meets the requirements of many countries, Mclean & McLean (2001) dwell on factors that influence HRD. These factors include national and trans-national differences and influences of the economy, government and legislative frameworks. Global organizations also operate under these influences. Also, the intended beneficiaries for global organizations are not different from HRD viz., individuals, teams, organizations, communities and nations. Any learning therefore for HRD that concerns its beneficiaries serves the growing needs of global corporations for balancing its responsibilities and obligations to stakeholders. The reverse is equally true. Hence understanding the ethical challenges facing global organizations also helps broaden our sometimes too narrow view of the content of our field. HRD needs to better understand the true nature of global factors and how they impact different nations. Equipped with this knowledge, better decisions can be made for designing and implementing ethical interventions both at the individual and organizational level. Attention should be focused on changing the organization's ethical climate through training, based on reward system (Jansen & VonGlinow, 1985), code of ethics (Lazniak & Inderrieden, 1987), need analysis (Delaney & Sockell, 1992), etc. According to Hatcher (2002), setting reasonable ethical expectations and punishing negative ethical behaviors helps build an ethical culture. Interventions that strengthen an organization's ethical climate may help manage ethical behavior within organizations. A clear framework of HRD policies must form the heart of any management philosophy where ethical values are espoused in practice. Thus HRD scholars and practitioners need to understand that global organizations are not free from societal accountability. A reflection of this accountability of actions can be seen as foundational to the core beliefs of HRD of not tolerating "unethical, amoral or unhealthy human resource practices" (Ruona, 2000).

References

- Arcleus, G., & Schaeffer, B. (1982). Social demands as strategic issues: Some conceptual problems. *Strategic Management Journal*, 3, 347-357.
- Asgary, N. & Mitschow, M.C.(2002).Toward a model for international business ethics. *Journal of Business Ethics*, 36, 239-246.
- Burns, J.Z., Russ-Eft, D., & Wright, H.F. (2001). Codes of ethics and enforcement of ethical conduct: A review of other organizations and implications for AHRD. In O.A. Aliaga (Ed.), *Proceedings of the 2001 Academy of Human Resource Development Annual Conference* (pp.213-220). Minnesota:AHRD.
- Cassels, J. (1993). *The uncertain promise of law: Lessons from bhopal*. University Of Toronto Press Incorporated.
- DeGeorge T. R.(1993). *Competing with integrity in international business*, .233.Oxford University Press, NY.
- Delaney, J. T., & D. Sockell. (1992). Do company ethics training programs make a difference? An empirical analysis. *Journal of Business Ethics* 11, 719–727.
- Dooley, L.M. (2002). Case study research and theory building. in philosophical foundations of human resource development practice. In S.A. Lynham (Ed.), Theory building in applied disciplines (pp.335-354).*Advances in Human Resources*, 4(3), CA: Sage Publications.
- Dutta, S. (2002). *The Bhopal gas tragedy*. European Case Clearing House, ECCH.
- Freeman. (1994) The politics of stakeholder theory: some future directions. *Business Ethics Quarterly*. 4, 409-421.
- Friedman, M. (1970). *Capitalism and freedom*. Chicago:University of Chicago Press.
- Fritzsche, D. (1990). Emerging ethical issues in international business. *SAM Advanced Management Journal*, 42-46.
- Garrett,L., & McLean, G. (2002). Applicability of AHRD ethics standards internationally. In T.M. Egan & S.A.Lynham (Eds.), *Proceedings of the 2002 Academy of Human Resource Development Annual Conference* (pp.982-989) Honolulu: AHRD.
- Green, R.W. (2000). *GIS in public policy*. Environmental Systems Research Institute, Inc. CA
- Harness, E.G. (1980). Views on corporate responsibility. *Corporate Ethics Digest*, 1.
- Hatcher, T. (2002). *Ethics and HRD*. Perseus Publishing, USA.

- Ice, R. (1991). Corporate publics and rhetorical strategies – The case of union Carbide's Bhopal crisis. *Management Communication Quarterly, 4*(3), 341-362. Sage Publications.
- Jackson, K. T. (1997). Globalizing corporate ethics programs: Perils and prospects. *Journal of Business Ethics, 16*, 1227–1235.
- Jansen, E., & VonGlinow, M.A. (1985). Ethical ambivalence and organizational reward systems. *Academy of Management Review, 10*(4), 814–822.
- Kletz, T. A. (2001)." *Learning from accidents*" (3nd ed). Butterworth Heinmann Ltd., Gulf Professional Publishing, Oxford.
- Laczniak, G. R., & Inderrieden, E.J. (1987). The influence of stated organizational concern upon ethical decision making. *Journal of Business Ethics, 6*, 297–307.
- Lozano, J.F., & Boni,A. (2002). The impact of the multinational in the development : An ethical challenge. *Journal of Business Ethics, 39*, 169–178.
- McLean G.N., & McLean L. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International, 4*(3), 313-326.
- Morehouse, W., & Subramaniam, A. M. (1986). *The Bhopal tragedy: What really happened and what it means for American workers and communities at risk*. The Council on International and Public Affairs.
- Payne, D., Raiborn,C., & Askvik,J. (1997). A global code of business ethics. *Journal of Business Review, 16*, 1727-1735.
- Porter, M. (1986). *Competition in global industries*. Harvard Business School Press, Boston.
- Ruona, W.E.A (2000). Core Beliefs in Human Resource Development. In W.E.A Ruona & Gene Roth (Eds.), *Philosophical foundations of human resource development practice* (pp.1-27). *Advances in Developing Human Resources, 2*. San Francisco: Berrett-Koehler
- Schaffer, B. (1977).The social responsibility of business. *Business and Society, 17*(2), 11-18.
- Swanson, R.A. (1999). Foundations of performance improvement and implications for practice. In R.J. Toracco (Ed.), *Performance improvement theory and practice* (pp.1-25). *Advances in Developing Human Resources, 1*. San Francisco: Berrett-Koehler
- Shrivastava, P. (1987). *Bhopal: Anatomy of crisis*. Ballinger Publishing Company, Cambridge Massachusetts
- Tierney, K. J., Lindell M. K., & Perry, R.W. (2001). *Facing the unexpected: Disaster preparedness and response in the United States*. Washington, D.C: Joseph Henry Press
- Velasquez, M. (2000). Globalization and the failure of ethics. *Business Ethics Quarterly, 10*(1), 343–352.
- Yin, R.K. (1994). *Case study research: Design and methods*. (2nd ed.). Thousand Oaks, CA: Sage.

Socio-economic Development and Gender Inequality in India

Meena Razvi

Gene L. Roth

Northern Illinois University

Gender discrimination in India affects poor women's socio-economic development. This paper describes and interprets recurrent themes indicating that the Indian government, non-governmental organizations (NGOs), and other international human rights organizations show growing concerns regarding gender inequality in India. As it is not within the scope of this paper to cover India's vast continent, only certain states will be highlighted.

Keywords: Gender, Poverty, Income

Many attempts have been made in India to increase women's socio-economic status (United Nations, 1997). Critics argue that income generation alone does not increase the economic equality of women in India (Devi, 1999; Dixon, 1982; Drèze & Sen, 2002; Medhi, 2000; A. K. Sen, 1999). Amartya Sen (1999) argued that economic discrimination is a much "broader concept" (p. 108) than economic status and a complex relationship exists between culture and economic status of poor women in India. Although income generation is just one factor, the India Development Report (Parikh & Radhakrishna, 2002) stressed that economic growth is necessary to alleviate poverty. Socio-economic forces combine to greatly influence the development of poor women in India. Given that culture permeates all aspects of life in India, a critical cultural and feminist perspective may enhance understanding of the complex nature of economic development.

Research Question

The status of poor women in India can be analyzed by identifying underlying themes that affect their socio-economic development. Complex micro issues affect patterns of socio-economic development, so an analysis of how these variables operate is vital to gaining depth of understanding. What are the prominent themes in the literature regarding the position of marginalized women's socio-economic development in India?

Conceptual Framework

The meaning of HRD has been the topic of debates, opinion pieces, and refereed articles during the ten-year existence of the Academy of Human Resource Development. Swanson's (2001) position is that HRD has its roots in three areas: psychological, economic, and systems theories. McLean (2000) stressed that HRD has different connotations within countries, that its meaning varies among organizations, that different universities stress different theoretical frameworks, and that it has distinct meanings among individuals.

This paper incorporates gender, economic, and social development as a conceptual framework to explore the status of Indian women. This research is part of a larger study that explores the perceptions of female grassroots leaders in Indian NGOs. A feminist and socio-economic approach is vital if one is to understand the forces affecting marginalized women in India. K.S. Prabhu (2001) conducted research in two states of India (Maharashtra and Tamil Nadu) and recommends a focus on structural barriers as well as urban and rural variables that affect social and economic security. The increase of the casual labor force in India and the drop in economic status of women represent small but significant factors in an inter-connected global economy. HRD professionals can expand their horizons by gaining a clearer understanding of the socio-economic conditions of workers in various contexts around the world.

Method

This study utilized literature review to surface factors that influence the position of women's economic development in India. Multiple business and social studies databases were searched such as ABI Inform, ERIC, Wilson SelectPlus,

Copyright © 2004 Meena Razvi & Gene L. Roth

Article First, PsycInfo, Social Sciences Abstracts, Social Services Abstracts, Sociological Abstracts, WorldCat, and Dissertation Abstracts. In addition, Journals and World Wide Web were utilized using a multiple search engine called Dogpile.com. Library books from national and international libraries were recalled on loan and scanned for recurring themes of Indian women's socio-economic status, and women's development issues. Key descriptors and key words used were: women, India, poverty, women's development, research, social impact, economics, human resource, Asia, self-employment, women's studies, culture, leadership, NGO, gender, and income. Searches were limited to India and women's economic issues.

Four major themes emerged (patriarchy, labor, education, and government initiatives) that indicate patterns of discrimination affecting the status of marginalized women in India. Researchers bring their cultural and experiential lens to the process so must adapt to the host culture's customs (Bogdan & Biklen, 1998). The lead author is a female researcher of Indian decent, with an understanding of Indian cultural norms, fluent in two Indian languages (Gujarati and Urdu), and a scholar familiar with mainstream HRD, feminist theory, and non-profit organizations. In addition, the lead author assists multinational organizations providing cross-cultural awareness training and consultation services for expatriate managers.

Prominent Themes: Poor Women's Socio-economic Development in India

An exploration of recurrent themes within the literature discerned a multifarious view of the nature of socio-economic development in India. Four popular themes emerged: patriarchy, labor, education, and government initiatives. This does not imply that additional themes do not exist, but merely, that these four themes were the prominent recurring topics of discussion in the area of socio-economic development of poor women in India.

Individuals construct societies that in turn, construct individuals. This implies that a dysfunctional society can be consciously reshaped into an egalitarian society. At least, it can be altered to include equal opportunities for all women in India. This paper considers males as equal partners as a lens to view women's economic development in India.

Patriarchy

A common perception about women in India is that their status has always been low compared with women in advanced countries. Contemporary Indian culture reflects a strong connection to its ancient history. India's past provides insights to the current status of Indian women in society (Masani, 1973). An ancient text from approximately 1,500-1,000 B.C. called the Rigveda, imparted written evidence of the status of Indian women (Khanna & Varghese, 1978; Masani, 1973; Seth, 2001; United Nations, 1997). In addition, archaeological, sculptural, and artistic findings revealed the nature of Indian women's lives in ancient India (Seth, 2001). The Vedic culture believed that men and women were created as equals.

The word 'Hindu' evolves from the name 'Indus Valley' in India (Medhi, 2000, p. 31) Hindu means people of the Indus, which indicates Hinduism is a way of life as well as a religion. It is thought that Hinduism originated during the fifth and sixth centuries B.C. (Jayawardena, 1986). Although Hindus worship more than one deity, there are two main beliefs: karma and dharma, which affect the status of many women in India. Karma means that an individual's actions in their past life affect future lives, while dharma means practice of laws (Jayawardena). The two combine to mean that if one practices good dharma in this life, their karma improves in the next life. This may explain the tendency of poor women to accept their lot in life rather than fight for justice. Vedic men and women were regarded as equals. Women studied the Vedas, astrology, geography, veterinary science, and martial arts. Women scholars such as Ramsha composed seven mantras (hymns) and debated the elevation of women's buddhi (intelligence) (Seth, 2001). They practiced the right to choose their own husbands, religion, remarry if they became widows, fight in wars, and freedom of movement (Masani, 1973; Medhi, 2000; United Nations, 1997). Women such as Mudgalani who fought in wars indicates that educated women possessed assets, freedom, and talent (Seth, 2001). The Veda describes at least twenty accomplished women (Masani, 1973). Vedic writings do not state preference of boy children nor refer to any sexual differences in rituals (Seth, 2001). However, social and religious taboos affect more women than men in India. Because Hinduism is practiced by the majority (82%) of the population in India (Census of India, 1991), it influences other religions so that customs and practices become commonly shared. Medhi (2000) proclaimed, "India is a sex-segregated traditional society whose deeply entrenched customs and practices are sanctioned by almost all religions" (p. 31).

A significant turning point changed the course of history to subjugate women in India. Another scripture called "Manusmriti" (Laws of Manu) written in Sanskrit between 1500 B.C. and 200 A.D. proved to be a major antecedent (Khanna & Varghese, 1978; Manu, 1967; Medhi, 2000; Seth, 2001). Manu was the author and lawgiver of sacred, societal laws. The Brahmin (highest caste) priests held the Manusmriti in high regard and preached its twelve chapters and 2,684 versus to the general public. Chapter IX clearly discriminates against women in several ways. There were

separate laws for husband and wife where the role of the husband was to “carefully guard his wife, in order to keep his offspring pure” (Manu, p.329). An interesting shift from Vedic times was that “a husband must constantly be worshiped as a god by a faithful wife” (p. 196). Equality for women was no longer in vogue. Patriarchy became so pervasive it suppressed women’s physical and psychological freedoms. Every aspect of a woman’s life was controlled, monitored, and guided. She could not possess any assets of her own, never displease her husband, must be responsible for the housework and children, perform religious duties, prepare all the food, provide male children, subdue her needs, thoughts, and actions, be loyal and obedient, and never remarry if she becomes a widow (Manu). From birth to death a woman’s life is dictated and monitored for many poor women. The marriage age for females was lowered, remarriage was forbidden, and women’s freedoms were severely restricted. Critics of such a hegemonic view include Masani (1973) who asserted that men and women “are products of culturised attitudes, legends, beliefs and values that are socially induced” and that women’s status in Hindu society can be linked to caste and religion (p. 317). This patriarchal view of women continues to dominate and influence Indian society in the 21st century.

Because majority of women in India (74.2%) live in rural areas (Census of India, 1991), they suffer many social and cultural discriminations (Vecchio and Roy, 1998). Traditions are upheld more deeply in rural areas. Vecchio and Roy’s study explored what social and cultural restrictions women would break if there were no community “ridicule or alienation” (p. 91). Women responded by saying they would break early marriage traditions, remove pressures of bearing sons, demand equal work and equal pay, demand access to non-traditional medicine, refuse to neglect girls, and refuse to accept inequality in the family. Although women are consciously aware of their oppression, fear of community retaliation silences their objections. Poor women’s lives are restricted within families also. Pramar (1989) discovered that rural and urban homes resembled the same basic patterns to accommodate social settings. India is a collectivist society where individual needs are sacrificed for the benefit of the group. Joint families from several generations often occupy the same house until it becomes impossible to manage. Caste and class affect the location of each house within the community. The Manusmriti was the harbinger of patriarchy in India. It provides a gender biased philosophical and pragmatic approach to life in India that determines the lives of many women in India. One result is that the female to male ratio in India has been declining. The 1991 census reported the lowest rate at 927 females per 1000 males (Census of India, 1991). The female-male ratios are higher among “disadvantaged castes” and lower castes (Drèze & Sen, 1995, p. 155). Twenty-five percent of female children in India die before the age of fifteen. At least one-sixth of these die because of gender discrimination (Medhi, 2000).

Lack of finances, insufficient nutrition, gender bias and tests that result in abortion of female fetuses are the main causes for girl deaths in India (Medhi, 2000). Dreze and Sen (2002) point out the high rates of “missing women” in India (p. 18). The 21st century has brought additional gender biases. Recent atrocities such as fetus testing, abortions, and dowry deaths not only block women’s chances of survival but also threaten their very rights of birth. Indian society must refer back to its Vedic past to recreate its original egalitarian society.

Education

Between the 1981 and 1991 census, the population increased by 23.85% (Census of India, 1991). Soaring population rates combined with a large proportion of the citizens living in rural areas prohibits access to education for all. A rare commodity like education where demand outweighs supply means it is highly valued. Recommendations range from provision of basic functional literacy to higher level cultural and legal literacy (Bose, Halder, & Bist, 1996; United Nations, 2000). Literacy rates provide evidence of gender biases. India’s literacy rate is 52.2%, (44.7% in rural areas and 73.1% in urban areas). Males receive more access to education than women as can be seen from their literacy ratios of 64.1% and 39.3% respectively. Rural women suffer most with a literacy rate of only 30.6% compared to 64.1% for urban females. In Gujarat the male literacy rate is 73.1% and female literacy rate is 48.6%. The remaining 23 states also show low rates with the exception of Kerala. Kerala has the highest literacy rate of 89.8% for total population, broken down as 93.6% for males and 86.2% for females (Census of India, 1991).

Vecchio & Roy (1998) argued that education in India is sex and class discriminatory. Medhi (2000) asserted that when education is available, it does not increase the status of women because of the belief in patriarchy. A study of female post-graduate women revealed that 99% continued traditional housewife roles even if they held a job (Medhi). Medhi’s pessimistic proclamation is quite discouraging when she posited that empowerment of women will “take an indefinite period of time” (p. 38). Girls are groomed for marriage, so parents prefer to invest in a boy’s education (Vecchio & Roy, 1998). A common belief is that when girls marry, they belong to their in-laws, so the return on investment for education is too low. For low-income families with limited budgets, education is unaffordable for girls. The type of education a girl receives is often not valuable as Vecchio & Roy (1998) assert that education for economic benefit is not available. Because patriarchal views dominate in poor households, women from lower classes often do not gain access to education. As the ideology is to keep a woman in purdah (covered and secluded), education is not deemed necessary (Vecchio & Roy, 1998). Gender bias also means that any resource requiring funds such as health,

nutrition, and education is denied for poor women (Vecchio & Roy). Due to inadequate education and low assets, a woman suffers greatly if her husband dies or abandons her (United Nations, 2000). She does not possess the capacity to earn an adequate income. Because a girl's labor is more valuable in the home, mothers prefer to keep them at home. Women bear the highest burdens of household chores (Vecchio & Roy, 1998). This means they wake first, eat last, and sleep late after all chores are completed. Very little time or energy remains for an education. Women in India thus became less valued over time.

While Masani believed that cultural attitudes are difficult to change and may even inflict additional injustices, Vecchio and Roy (1998) accepted that with the help of development programs targeted at women's needs, this problem can be alleviated. A conflict between reformists and traditionalists contravenes socio-economic expansion. Masani (1973) professes that India is still a new democracy so "the constitution is bound to be rather slow" (p. 331). To her credit Masani wrote that statement during 1973, less than thirty years after India's independence. Nonetheless, it can be argued that fifty years after independence has brought little progress for poor Indian women. Women must gain equal access to education to increase their awareness of rights and chances of employment (United Nations, 2000). Education can provide "functional literacy and access to training" (p. 104). Literacy can uplift a woman's self-esteem, confidence and encourage her to use her own voice to demand her rights rather than rely on intermediaries. Illiteracy forms barriers for women faced with paperwork (United Nations). Poor women are at the mercy of officials and employers who cheat them out of their rights because they cannot read. Economic growth requires "educated, healthy and secure people" (Parikh & Radhakrishna, 2002, p. 15). A cycle of poverty pervades as long as women struggle for basic survival while education remains a luxury they cannot afford. As long as they do not gain adequate education, their income remains low. Provision of equal education can increase women's' chances of employment and higher income. Secure employment for women can aid socio-economic development as well as nudge India towards an egalitarian society.

Labor

"Women are the invisible workforce in India" (United Nations, 1997, p. 8). Without equal access to the job market, women cannot participate in better-paid work so their economic status remains stunted. India has forsaken an untapped human capital resource with high potential. A report by the Ministry of Social Welfare (1987) in India confirmed women's exploitation in the workplace highlighting women's low wages, gender biases in the workplace, extended hours, and poor conditions. Technology competes with women workers as machines replace manual work normally performed by unskilled women (Devi, 1999; Dhagamwar, 1995). Issues of employment, skills, training, and low wages adversely affect women's capacity to work (Devi, 1999, pp. 28-29). Faced with diminishing access to the formal job market, poor women seek other avenues of income. Limited job opportunities compel 90% of women in India to work in informal sectors (Dhagamwar, 1995; United Nations, 1997). The Ministry of Social Welfare (1987) listed three forms of informal labor: Self-employment, contract/wage work, and housework (pp. 74-75). This form of unstable income further reduces the capacity of sustainable development for women. Sub-contractors exploit women (Dhagamwar, 1995) in a chain of corruption that pushes poor women to the bottom of the income ladder. Economic equity in this environment is tenuous. Dhagamwar believed that neither employers, trade unions, nor government policies have taken steps to safeguard women's jobs.

Diverse cultural and geographical influences produce complex economic participation of women at work (United Nations, 1997). Sentiments regarding women's economic status vary because of differing conceptual frameworks and insufficient empirical evidence. Reports struggle with definitions of work using various terms such as "informal sector", "work", "casual", "main", "marginal", "non-workers", "unorganized", "unregulated", "residual", "primary, secondary and tertiary sectors" (Census of India, 1991; Devi, 1999; Ministry of Social Welfare, 1987; United Nations, 1997). The majority of the Indian population works in the "informal sector" (Devi, 1999, p. 21). The term "self-employed" is considered to be a more positive phrase (p. 31). Differing definitions and reporting strategies form clouds of uncertainty around the real status of women's economic development in India.

Amartya Sen (1999) studied economic reforms in India and found that income enables other capacities. Although this may be true for upper class women seeking personal satisfaction, the primary reason why poor women labor outside the home is income generation to pay for basic survival needs. Khanna & Varghese (1978) provided four main reasons for women's participation in work: Inability of the main earner to provide for the family, family emergency requiring more income, death of the main earner, and the female's wish for economic independence or raising the standard of living (p. 187). Poor working women form the backbone of India yet their contributions are rarely acknowledged. Patriarchal attitudes shackle women into gender specific job segregations (Drèze & Sen, 2002; Punalekar, 1990; Seth, 2001; Tisdell, 2002; United Nations, 2000). Gender inequalities rob women and hamper their capacity for income and survival (Vecchio & Roy, 1998). Women in purdah are forbidden to work "outside the home" (p. 87). If the male head of the household dies, a woman with limited skills can barely cope. She must rely on

subsistence work and charity from her family. Gender discriminations feminize women's labor. In Rajasthan, for example, dhobis (launderers) will wash but not iron the clothes. In Utter Pradesh, dhobis demand women do all washing while they do the ironing (Dixon, 1982). In the case of any such inconsistencies, men's wishes prevail. Although women are the main earners in 35% of Indian families (Vecchio & Roy, 1998), society prefers to view them as housewives.

There is a relationship between gender, caste, class, and income because the majority of poor women come from lower castes. Muslim women work at home because of purdah (Dixon 1982). Upper caste women resist manual labor while lower caste women participate in unclean jobs such as washing, construction work, and sweeping. Caste mobility is almost hopeless because of fate of birth (Dixon, 1982). Studies illuminate that poor households include more wage earning women (United Nations, 1997) yet their status remains low. Poor women remain confined to unstable informal work sectors.

Census of India (1991) reports percentages of "main", "marginal" and "non-workers". Census data revealed that 50.9% of men are listed as main workers, compared to only 15.9% of women. Seventy-seven percent of women are listed as non-workers. In Gujarat, only 13.7% of women worked in the main sectors. Majority of women in all three sectors performed unpaid housework in addition to any paid work. Although gender discrimination in work sectors is quite evident, the accuracy of reporting on their status is questionable. Under reporting of women's work exposes the tendency to undervalue women's work perpetuating their marginalization and exploitation in the workforce. Critics of census data claim that "most census enumerators are men" with age old patriarchal views that leads to incorrect reporting of women as "housewives" or "non-workers" (Ministry of Social Welfare, 1987). The United Nations report (1997) supported this belief by affirming that census data did not collect accurate information on all working women. The Census of India neglected inclusion of women's work until 1991 (Devi, 1999; United Nations, 1997). Accurate data were not available until the form of the question changed from "did you work any time at all last year?" to "including unpaid work on farm or family enterprise" (United Nations, 1997, p. 64). Inaccurate reporting of informal sectors permits authorities to rationalize their lack of response. One possible avenue of rectification is research. Research is difficult because a woman may perform multiple roles such as housework, making produce for sale, selling milk, and paid homework etc. (Ministry of Social Welfare, 1987). Women may also work simultaneously in formal and informal sectors creating reporting dilemmas. Majority of poor Indian women work in informal or casual sectors. Breman (1994) provided definitions of formal and informal sectors. Formal sector is defined as "wage labour in permanent employment", while informal sector includes "anything else" (p. 4). However, lack of consensus results in differences such as The Ministry of Social Welfare's definition of informal sector as "any enterprise which employs less than 10 workers and does not come under the Factories Act or the Shops and Establishment Act" (1987, p. 3). Diverse definitions and theories prohibit accurate understandings of women's status.

An imbalance of job supply and demand affects both males and females. The status of casual workers is bleak. Almost 70% of the families in the town of Surat, Gujarat that work in informal sectors, earn no more than a monthly income of 3,000 rupees (\$66.00). At least a third live in poverty earning just 1,500 rupees (\$33.00) per month. (Desai, 2002). The insecure nature of this mode of income means any emergency situation such as illness or floods can nudge the poor into poverty. India does not provide social security benefits to the unorganized workforce (Desai) leaving workers with very little choice but to compete for whatever work is available. A study on the distribution of incomes in India revealed that 51.2% of men had the power to make decisions compared with only 29% of women (United Nations, 2000). Socio-economical discriminations in India increase female poverty (United Nations). The same study also found an improvement for women in urban areas who have more control of income than women in rural areas. One explanation for this difference could be because urban women have access to more resources and legal protection than rural women. Single, widowed, separated, and divorced women are discriminated in the workplace (United Nations) in India affecting their income levels. Poverty forces women into the workforce where insufficient education, skills, and training results in exploitation by employers who pay women lower wages than men (Devi, 1999; Medhi, 2000; Punalekar, 1990; Tisdell, 2002). Employers consider men to be the main wage earners. Working women are becoming more accepted in India although their status in households remains quite low. Modern couples struggle with a need for double incomes while trying to maintain traditional values. Often the burden of adjustment remains with women whose duties at home rarely change to accommodate their work schedules. Despite economic inequalities, some believe an employed woman is a higher asset to her family and is crucial for their empowerment (Rose, 1992; Seth, 2001; Tisdell, 2002). Without the additional income provided by women, many families suffer famine conditions. In lieu of an egalitarian society, the gap between the rich and poor widens. Poor women in India labor in the dungeons of society while the elite bask in luxurious upper levels.

Government Initiatives

After independence in 1947, India used western models of development to plan for industrialization (Jumani,

1991). Although several governmental policies and initiatives were launched after independence, they have not been adequately enforced (Dhagamwar, 1995; Hirway & Terhal, 2002; Mohan, 1973; Vecchio & Roy, 1998). In 1950, Article 14 of the constitution promised social, political, and economic equality for all citizens (United Nations, 1997). A 1975 government Committee on the Status of Women in India (CSWI) recommended “gainful employment” plus “recognition of their substantial and even massive contribution to the national economy” (Medhi, 2000, p.43). Top-down government initiatives were ineffective because they were not gender specific, did not produce sufficient jobs, were not context specific, or were too slow to implement (Byres, 1994; Devi, 1999; Gulati, 1999; Tisdell, 2002; United Nations, 2000).

The Dowry Prohibition Act, 1961; Hindu Women’s Right to Property Act, 1937; Hindu Marriage Act, 1955; and Equal Remuneration Act, 1976 are examples of government initiatives aimed at developing the status of women in India (Dhagamwar, 1995; Mohan, 1973). Despite such legal efforts, gaps widened between ideology and reality. The general public often reacted on a voluntary basis with more practical schemes. Early issues were education, widow remarriage, and the independence campaign (United Nations, 1997). Mahatma Gandhi encouraged women to participate in social and political transformations (Jayawardena, 1986; Khanna & Varghese, 1978). Jayawardena (1986) notes that although women participated in anti-British campaigns, they did so with the permission and adherence to guidelines established by male activists. Exploited as political pawns and having outlived their utility, Indian women were quickly ousted from politics after independence, similar to many working women in America after World War II.

A conflict of political ideology with social realities rendered well-intentioned policies virtually ineffective. Neglect of other variables affecting poverty has resulted in “distorted” policy debates (A. Sen, 1999, p.108). Women must gain recognition and inclusion at both local and national levels. Attempts to push forward policies without changing social realities creates an imbalanced and hypocritical society.

In spite of many critiques of governmental efforts, it is generally recognized that the Indian government can play a crucial role in women’s development (Bagwe, 1995; Breman, 1994; Census of India, 1991, ; Devi, 1999; Tisdell, 2002). However, since the 1970s, the Indian government continues to struggle with poverty alleviation programs (Gulati, 1999). India’s socio-cultural diversity and large population makes implementation of policies and programs extremely challenging. India’s five-year plans did not initially acknowledge women as wage earners. Women wage earners were not included until the seventh (1985-90) five-year plan (Vecchio & Roy, 1998). This plan included programs to develop the economic status of women. At least 14 governmental departments and ministries currently focus on women’s issues (United Nations, 1997), but implementations trickle down at a sluggish pace. Despite governmental policies and programs, gender gaps continue to widen in education and employment. In an effort to alleviate this discrepancy, development programs attempt provision of education and training for women. Programs that specifically target the needs of females have been more effective (Vecchio & Roy, 1998). The United Nations (2000) report on Improving the Status of Women in Poverty recommends the following policies: “Broad...economic growth and poverty alleviation..., targeted programmes for poor, targeted policies for poor women” (p. 78).

Policies that are designed to assist women may also work against them. When faced with possible penalties for gender discrimination, employers often refuse to hire females. Women workers in informal work sectors are in critical need of legal protection (Ministry of Social Welfare, 1987). For example, government ration cards are not supplied to poor women living in illegal slums (Punalekar, 1990). Large numbers of slum dwellers are denied access to basic resources and legal protection. Government initiatives can aid socio-economic development by providing and enforcing gender specific policies for all sectors of the Indian population.

Conclusions and Implications for HRD and Workforce Development

This research examines the socio-economic conditions of poor women in select regions of India. The workforce needs and issues of marginalized workers in India are rarely examined in Western mainstream HRD literature. Bierema and Cseh (2003) noted a paucity of research that focused on diversity and feminist approaches in AHRD journals and conference proceedings.

Gender discrimination in India can be traced back to post-Vedic patriarchal attitudes such as the Manusmriti (Laws of Manu). A United Nations report (2000) on economic and social status of poor women concluded that empowerment could lead to “political power and leadership” (p. 35). This paper presents a fragmentary glimpse of the field of women’s development because it only focuses on socio-economic empowerment of poor women in India.

Many development efforts focus on reactive strategies of counter-actions to gender discrimination. Empowerment is a proactive stance and more suited to sustainability. Empowerment is difficult because India exists in a dual system of subsistence (agriculture and industrial economies) (Jumani, 1991). A critical cultural perspective becomes difficult

when presented with multifarious factors such as patriarchy, labor, education, and government initiatives that influence women's socio-economic development in India. Differing conceptual frameworks and insufficient empirical evidence means presenting general inferences regarding the status of poor women seems inappropriate. However, Indian women oppressed by a patriarchal society share common inequalities. Such a gender-biased ideology hinders women's socio-economic empowerment. Deconstructing gender-biased realities is critical for empowerment. Income generation alone is not sufficient as it is only one factor in women's empowerment. An analysis of four recurrent themes (patriarchy, labor, education, government) within the milieu of poor Indian women's socio-economic development revealed a cycle of gender inequality weaving throughout society.

Without socio-economic equality for women in poor sectors of India, the impacts of efforts at development cannot become fully realized. India must value women as human resource assets and not liabilities. Socio-economic development can both empower women and raise the status of the Indian economy. Women need employment justice. Education, vocational training, and skill improvements would increase the capacity for gainful economic participation of women in India. The needs of women in poor sectors of India should be included in a national approach to workforce development. From a U.S. perspective, Jacobs & Hawley (2003) described workforce development as coordinated policies and programs that collectively "enable individuals the opportunity to realize a sustainable livelihood and organizations to achieve exemplary goals, consistent with the history, culture, and goals of the social context" (p. 1017). Naquin (2002) described workforce development systems as a means of serving needs of organizations, communities, and nations. India is a complex social context – it will require many integrated approaches of private and public systems to serve the pressing needs of women in poor sectors of India.

References

- Bagwe, A. N. (1995). *Of woman caste : the experience of gender in rural India*. London: Zed Books.
- Bates, R., & Redmann, D. (2002). Core principles and the planning process of a world-class workforce development system. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 111-120). San Francisco: Berret-Koehler.
- Bierema, L., & Cseh, M. (2003). Evaluating AHRD research using a feminist research framework. *Human Resource Development Quarterly*, 14(1), 5-26.
- Bogdan, R.C., & Biklen, S.K. (1998). *Qualitative research for education: An introduction to theory and methods*. Needham Heights, MA: Allyn & Bacon
- Bose, A., Halder, A., & Bist, M. S. (1996). *India's population policy--changing paradigm*. Delhi: B.R. Pub. Corp.
- Breman, J. (1994). *Wage hunters and gatherers : search for work in the urban and rural economy of South Gujarat*. Delhi: Oxford Uni
- Byres, T. J. (1994). *The state and development planning in India*. Delhi: New York.
- Census of India (1991). *Census of India, 1991*. Retrieved July 6, 2003 from <http://www.censusindia.net/>
- Desai, K. (2002). Searching for space: Workers in the fringe sector of Surat. In G. Shah, M. Rutten & H. Streefkerk (Eds.), *Development and deprivation in Gujarat*. New Delhi: Sage.
- Devi, S. U. (1999). Visions for 21st century: In K. Ahooja-Patel, S. U. Devi & G. A. Tadas (Eds.), *Women and development* (pp. 21-43). New Delhi: Har-Anand Publications.
- Dhagamwar, V. (1995). A tool for equality in employment? *Women's Education*, 3-9.
- Dixon, R. B. (1982). Mobilizing women for rural employment in South Asia: Issues of class, caste, and patronage. *Economic Development & Cultural Change*, 30(2), 373-390.
- Drèze, J., & Sen, A. K. (1995). *India, economic development and social opportunity*. Delhi: Oxford University Press.
- Drèze, J., & Sen, A. K. (2002). *India : development and participation* (2nd ed.). Oxford ; New York: Oxford University Press.
- Gulati, L. (1999). The female poor and economic reform in India: A case study. In K. Ahooja-Patel, S. U. Devi & G. A. Tadas (Eds.), *Women and development* (pp. 122-137). New Delhi: Har-Anand Publications.
- Hirway, I., & Terhal, P. (2002). The contradictions of growth. In G. Shah, M. Rutten & H. Streefkerk (Eds.), *Development and deprivation in Gujarat* (pp. 37-58). New Delhi: Sage.
- Holton, E., & Naquin, S. (2002). Preface. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 107-110). San Francisco: Berret-Koehler.
- Jayawardena, K. (1986). *Feminism and nationalism in the Third World*. London: Zed.
- Jacobs, R., & Hawley, J. (2003). Workforce development: Definition and relationship with human resource development. In S. Lynham & T. Egan (Eds.) *AHRD 2003 Conference Proceedings* (pp. 1014-1020). Bowling Green, OH: Academy of Human Resource Development.

- Jumani, U. (1991). *Dealing with poverty : Self-employment for poor rural women*. New Delhi: Sage Publications.
- Khanna, G., & Varghese, M. A. (1978). *Indian women today*. New Delhi: Vikas.
- Manu. (1967). *The laws of Manu* (G. Bühler, Trans.). Delhi: Motilal Banarsi Dass (Original work published 1500 B.C.-200 A.D.).
- Masani, S. (1973). Women. In J. Mohan (Ed.), *Twenty-five years of Indian independence* New Delhi: Delhi Press.
- McLean, G. (2000). "It depends." In W. Ruona & G. Roth (Eds.) *Philosophical foundations of human resource development practice* (pp.39-43). San Francisco: Berret-Koehler.
- Medhi, K. (2000). Women's rights in India: A socioreligious perspective. In S. S. Nagel (Ed.), *India's development and public policy* (pp. 31-46). Aldershot ; Brookfield, VT: Ashgate.
- Ministry of Social Welfare. (1987). *Gender bias in employment : women in the urban informal sector*. National Institute of Urban Affairs: New Delhi.
- Mohan, J. (Ed.). (1973). *Twenty-five years of Indian independence*. Delhi: Vikas Pub. House.
- Naquin, S. (2002). Developing policy, governance, and foundation systems. In E. Holton & S. Naquin (Eds.) *Workforce development: A guide to developing and implementing workforce development systems* (pp. 133-150). San Francisco: Berret-Koehler.
- Parikh, K. S., & Radhakrishna, R. (Eds.). (2002). *India development report*. New Delhi: Oxford University Press.
- Pavlish, C. (2002). Knowledge and care at the center of human resource development. In U. Pareek., A. Osman-Gani, S. Ramnarayan, & T.V. Rao (Eds.) *Human resource development in Asia: Trends and challenges* (Pp. 227-235). New Delhi: Oxford & IBH.
- Prabhu, K.S. (2001). *Economic reform and social sector development: A study of two Indian states*. Thousand Oaks: SAGE
- Pramar, V. (1989). *Haveli : wooden houses and mansions of Gujarat*. Middletown, NJ: Grantha Corp.
- Punalekar, S. P. (1990). *Female casual labourers in urban Gujarat a case study* [microform]. Surat: Centre for Social Studies.
- Rose, K. (1992). *Where women are leaders : the SEWA movement in India*. London: Zed Books.
- Roth, G. (2003). Contemporary issues in human resource development. Presentation at the 2003 KSSE Conference, November 13, 2003, Seoul, Korea.
- Sen, A. K. (1999). *Development as freedom*. New York: Knopf.
- Seth, M. (2001). *Women and development : the Indian experience*. New Delhi: Sage.
- Swanson, R. (2001). Human resource development and its underlying theory. *Human Resource Development International*, 4(3), 299-312.
- Tisdell, C. (2002). Poverty and economically-deprived women and children: Theories, emerging policy issues and development. *International Journal of Social Economics*, 29(1/2), 73-86.
- United Nations, Economic, Social Commission for Asia, & the Pacific. (1997). *Women in India : a country profile* (Vol. no. 12). New York: United Nations.
- United Nations, Economic, Social Commission for Asia, & the Pacific. (2000). *Improving the status of women in poverty A comparative study on women's status in poverty in Bangladesh, India, Malaysia and the Philippines* (Vol. no. 3). New York: United Nations.
- Vecchio, N., & Roy, K. C. (1998). *Poverty, female-headed households, and sustainable economic development*. Westport, Conn.: Greenwood Press.

The Role of HRD in Chinese State-Owned Banks and Implications for Future HRD Policies and Practices

Jie Ke

Kenneth E. Paprock

Susan A. Lynham

Texas A&M University

This paper is to explore the critical role of HRD in the transition of Chinese State-Owned Banks (CSBs) to independent, commercial banks. It is imperative that HRD practitioners realize their role in CSBs during this transition and to implement relevant practices in order to develop and retain the talents needed in the future. Through a literature review and analysis of those reviews this study can contribute to the role and definition of HRD in China

Key words: HRD in China, Chinese State-Owned Banks, International HRD

Introduction

Globalization, privatization and China's accession into the World Trade Organization (WTO) bring tremendous challenges to Chinese State-Owned Banks (CSBs) along with great opportunities. CSBs will be facing fierce competition from their foreign counterparts not only in the domestic market but also in foreign countries in the process of transformation and expansion to be independent, commercialized and global. The purpose of this paper is to draw the attention of HRD practitioners to their role as professionals in Chinese CSBs and implications for future HRD policies and practices of the Chinese banks inside the country. The article concludes with a discussion of the research limits and suggestions for future research.

Problem Statement and Research Question

Chinese State-Owned Banks have under-performed for a long time due to the economic history and development in China. They are forced to catch up with their foreign counterparts after foreign banks flocked to China after the Chinese economic reform in 1978. However, it takes time to bridge the gap in financial products and services. In the process of transition from state-owned commercial banks to independent commercial banks, the CSBs face continuous challenges. While dealing with the problem of non-performing loans (NPL) from history, CSBs have to face a big threat brought about by globalization, privatization and China's entry into the World Trade Organization (WTO), namely, the loss of talented managers and skilled staff.

Given the context described above, one research question was used to drive this study: What is the role of HRD in bringing back and/or retaining precious human resources in Chinese state-owned banks? The focus of this question is an issue that draws much attention from policy makers and administrators in these banks. HRD's role in addressing this issue will not however be fully appreciated and correctly reflected in policies and practices until the concept of HRD is well defined and widely accepted.

Theoretical Framework

The paper starts with a discussion of the culture and work values in China, and follows with a comparison between Western and Chinese definitions and conceptions of HRD. Next, the paper describes the current state of the Chinese banking industry. After a brief history of Chinese state-owned banks and the present challenges with the country's entry into the WTO, the practices adopted by the four largest banks in China and their impact on employee loyalty and retention will be presented. Finally, the article will discuss why training has not prevented talent drains and what needs to be done for HRD practitioners in the future.

Methodology and Major Findings

This paper combines a literature review of HRD concepts and their development in China and globally. A

Copyright © 2003 Jie Ke, Kenneth E. Paprock, & Susan A. Lynham

performance analysis of the four largest banks in China, as informed by some relevant statistical data will put in context the issues for HRD practitioners in Chinese banks.

Chinese Culture and Work Values

It is important for HRD practitioners to be familiar with work values within the context of different cultures. The workplace can provide a good venue for understanding the employees in a different culture, and for approaches for providing the necessary training and career planning. The Confucian ideology has shaped Chinese culture as it has many other Asian cultures. Understanding this philosophy and the work values of Chinese employees not only helps us to understand the culture, but also to get a sense of the Confucian ideology to help understand many other aspects of Chinese culture. In contrast to workers in Western countries, Chinese employees hold the following distinct work values:

1. Higher power distance. "The power system is high in China, with an unapproachable top stratum, but with distances between middle management, supervisors and workers being somewhat smaller" (Jackson & Bak, 1998, p. 286). The respect for hierarchy and authority may well be rooted in Confucianism, together with a regard for age as a source of authority.
2. High collectivism vs. individualism. "With the main group of reference being the family, collectivism is rooted in both Confucianism and the ancient land system that ensured the farmer and his family were immovable for economic reasons" (Jackson & Bak, 1998, p. 286).
3. Long -term oriented vs. short-term oriented. China is characterized by long-term values (Hofstede, 1991) such as thrift and perseverance (Jackson & Bak, 1998).

The above characteristics of work values, although not exclusive, explain on the one hand why Chinese are traditionally loyal to the group or organization to which they belong and on the other hand put much emphasis on the family.

Definition of HRD and Its Interpretation in China

HRD is beginning to establish itself as a separate field of study and application in developed countries like the United States of America. McLean and McLean (2001) offer a global definition of HRD as follows:

Human Resource Development is any process or activity that, either initially or over the long-term, has the potential to development 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, the whole of humanity. (p. 322)

HRD in developed countries embraces personal, group, and organization development as well as training, and is commonly framed as a process or an activity.

Unlike HRD in developed countries, HRD in China has been developed from training along with Human Resource Management (HRM) into a main branch of HRM. It started its leeway from HRM in 1997 and has since drawn more and more attention from national HR practitioners. Nevertheless, it is still not an independent field of study in China. In some cases, it includes the whole Human Resource Wheel. (McLean, 2001; Wright, Mitsuhashi, & Chua, 1998; Swaak, 1995). In other cases, it means on-job-training. (Jackson & Bak, 1998).

A brief look at the evolution of HRD in China might help us to better understand its meanings in China. In the 1950s and 1960s, compulsory primary education and improving the literacy rate were the key national policies (Benson & Zhou, 2002). In the late 1970s, the government has paid particular attention to vocational education, science, and technology. All the efforts at that time focused on improving the national skills level. In the past two decades, the government has tried to improve labor productivity, product quality and sharpen training and job skills.

In summary, there is a huge gap, in terms of the evolution of HRD and the rest of the developed world, particularly between China and the USA. HRD in China is still in its infancy and has not yet been defined and systematized.

An Introduction to Chinese State-Owned Banks (CSBs)

China's banking system was traditionally dominated by a single central bank: the People's Bank of China (PBOC). Since 1984, the PBOC has been split into various banking CSBs. They include a restructured People's Bank of China (PBOC)--transformed to the Bank of China (BOC) in 1997, the Industrial and Commercial Bank of China (ICBC), the China Construction Bank (CCB), and the Agricultural Bank of China (ABC). These four main banks encompass substantial labor and capital resources (see Table 1).

Table 1. Number of Branches /Agencies and Employees in Chinese banks (1999-2001)

Category	Bank's name	No. of branches /agencies			No. of employees		
		1999	2000	2001	1999	2000	2001
State-Owned Banks	ICBC	41330	31673	28345	549038	471097	429709
	ABC	56539	50546	44418	539298	509572	490999
	BOC	14355	12925	12529	197534	192279	184529
	CCB	27886	25763	23925	431959	427566	419157
Private Banks	Pudong Development Bank	158	194	240	4149	4680	5743
	Ming Shen Bank	47	74	105	1948	2124	3094
	China Merchant Bank	191	249	293	8721	11077	12922
	Fujian Industrial Bank	235	246	255	4660	5105	5815
	Shenzhen Development Bank	126	163	172	3724	4533	5089

Source: China Year book 2000, 2001 and 2002

Although China is moving from a planned economy towards a market economy, the organizational structure and decision-making processes of the state-owned enterprises, including CSBs, are still highly centralized. Unlike banks in many countries, state-owned banks are not autonomous and still rely on governmental support in its transition.

Besides the challenges in effective implementation of banking reform, such as eliminating non-performance loans, updating financial products and improving services, CSBs are facing other challenges inside and outside the organizations.

Challenges Brought About by Globalization, Privatization and Entry to the WTO

Few can dispute that globalization is a driving force in today's organizations (Rothwell, 1997). China is sixth in overall economic achievement in terms of business volume. For export/import, the growth rate was 13.1 % in 2001. China has attracted the largest amount of Foreign Direct Investment (FDI) of all developing countries, with an increase of 14.9 % in 2001, and the country will improve its production efficiency by utilizing these FDIs. The following challenges have shown the significance of HRD in Chinese banking industry:

1. *Globalization requires more skilled workers in banks.* Four particular HRD influencing factors are emerging from the realities of globalization. In particular these factors include: technological changes, privatization and restructuring, membership in the WTO, and discrepancies between current and future skill needs. Each of these factors are briefly expanded on below.
2. *Technological changes,* especially information technology and telecommunications, and competition in the fast moving competitive global marketplace have changed work organizations and working patterns. The production of goods and services have become flexible and customized instead of being mass produced in long production lines. Fixed automation involving repetitive tasks is being replaced by flexible automation. On-line quality control has replaced end-of-line checking. Instead of fragmentation of tasks, increasing use is made of teams and multi-skilled workers. Decision-making is being decentralized to points of production and sale. The organizational hierarchy is flatter with middle layers of management eliminated. The gap between those in control of institutional leadership and those responsible for production and delivery of products or services is narrowed. As a result of these changes in working patterns, the role of workers has broadened with a consequent need for a wider range of skills. For example, the role a customer service representative (CSR) in First of America Bank in the United States has been widened beyond a series of repetitive tasks of approving checks, answering routine questions and helping customers reconcile account balances. CSRs now also recommend an appropriate mix of products and services of the bank (e.g., mutual funds and annuities) to customers. Employees now need a much wider complement of skills than before.
3. *Privatization and restructuring* started in the late 90s. Private banks are able to finance their expansion by going public on the stock market. This change has resulted in a dramatic increase in the number of branches and agencies, as can be seen in Table 1. On the contrast, CSBs reduced the number of employees and branches by providing early retirement plans, laying off low-skilled employees and streamlining their organizational units. One should not comprehend the opposite trends happened to CSBs and private banks as employee exchanges. The reality is both CSBs and private banks compete over the same group of

employees, who are young but experienced. Unfortunately, CSBs have lost many elite employees to private banks during the past few years due to lack of adequate incentive systems and HRD system.

4. *The WTO (World Trade Organization) brings more challenges.* Membership in the WTO poses threats as well challenges to Chinese State-Owned Banks (CSBs). The original protections over CSBs will not be available as the WTO banking agreement gradually removes the restrictions on operations of foreign banks in China. The agreement allows foreign banks to conduct foreign currency business for all foreign customers immediately and conduct foreign currency business involving Chinese clients one year after access. It also allows foreign banks to do wholesale RMB business two years later. Five years later, foreign banks will be able to offer individual services to Chinese citizens, and all geographical restrictions will be eliminated. In other words, foreign banks will compete with CSBs equally after 2006. Consequently, more and more foreign banks will be attracted to invest in China. With this trend, a war for local skilled staff and caliber managers between the foreign banks and CSBs is inevitable because to train a large amount of home country employees is extremely expensive and time-consuming per se, not to say dealing with culturally different customers and market. The CSBs will more likely lose the battle if they do not provide attractive remuneration packages and training and development opportunities to the competent employees. With entry into the WTO, China's state-owned enterprises not only face tough foreign competition, but must also compete directly with foreign companies for human resource talent. (Nie, Hopkins, & Hopkins, 2002).
5. *The discrepancies between the present skills of employees in banks and skills needed in banking reform, will increase the demand for skilled employees in the future.*

In conclusion, to meet the various challenges, CSBs have to manage their people first by attracting and retaining them. To achieve that, training and development becomes critical.

Training practices in CSBs and the Gaps Left to be Closed by HRD.

The focus of training and development in Chinese state-owned banks is on the development of senior executives and high-caliber professionals. Various training programs are provided to those professionals. Take ICBC as an example. In 2002, the personnel department of ICBC and company Head Office sponsored short- or medium-term advanced training programs overseas, MBA, IMBA programs in cooperation with the University of Hong Kong and Fudan University, and overseas internships and distance learning programs with domestic financial institutions and business corporations (ICBC 2002 annual report). Bank of China (BOC) and China Construction Bank (CCB) provide similar training opportunities to the focus group, which is comprised of middle or senior managers. For instance, China Construction Bank (CCB) strengthened training for middle and high-level managers and professional staff through cooperation with leading universities.

From the above example one can see that training and development practices in Chinese banking reflect the hierarchical nature of the Chinese culture and centralized organizational structure. It is an obstacle to be effective. An effective system is to involve the grassroot staff as well as higher level managers in lifelong learning for both individuals and the organization.

Implications for Future HRD Policies and Practice.

Human resource policy should, in general, reflect a desire to inculcate both common work values, and a sense of belonging to the company through *Developing effective induction programs* which draw the new employee closer to the company by focusing on the following:

1. *Developing subsequent training programs that reflect the way things are done in the organization, while taking care not to concentrate too heavily on training for skills that are easily transferable to other enterprises*
2. *Focusing on developing role models: supervisors who are trained in the way of the company, and can gain standing in the organization by representing the values and practices of the organization*
3. *Focusing on team working instead of individualistic values, like what most job enrichment programs do, may be more productive*
4. *Present clear options for career development will be an attractive practice to employees because development is a big chunk of emphasis of HRD. 'Attention should be paid to developing clear career paths as part of human resource planning as well as through a need to develop loyalty, identification with the organization, required work related behavior and intrinsic motivation for the total work experience.'* (Jackson & Bak, 1998, pp.297-298):

As far as CSBs are concerned, more policy and practice implications are evident, and they include:

1. *Equal attention*, respect and opportunities should be given to staff without job titles. They comprise the majority of the workforce, representing the banks in vis-à-vis contact with customers. They are analogous to water under the boat if we regard a huge-sized state-owned bank as a colossal boat. As Chinese saying goes: "Water can topple down the boat as well as push the boat to move forward." How to make water move along with the boat should always be kept in mind by HR practitioner in Chinese State banks.
2. *Training programs* must be based on a training-needs analysis that identifies skills gaps at various levels (Swaak, 1995). Group training on a continuous basis can be effective at lower levels. At middle and upper levels, HR practitioners must work with managers and technical support people to map out their individual training and development programs. (Swaak, 1995, P.46)

Summary and Conclusions

Although Chinese people are known as loyal and family-oriented, employees in the four largest Chinese State-Owned Banks have not shown their hesitation in leaving the banks. Some think low salaries in CSBs cause the phenomenon, but salaries are only one part of the whole reality. The literature informs us that poor HRD policies will contribute to low morale and retention rates in an organization. HRD, as argued throughout this article, plays a critical role in bringing loyal employees back to Chinese State-Owned banks so that they can confidently face the challenges brought by globalization, privatization and the country's accession into the WTO in the future.

HRD has begun to establish itself as a separate field of study and application in developing countries, but this is not the case in China. In China HRD is still closely associated with HRM: "for some organizations, HRD includes the whole Human Resource Wheel" (McLean, 2001, p.64), while for others it only means on-job-training. The four largest Chinese banks are no exception to this. In the 1990s HRD meant essentially training for a specific job position. (Xu & W, 2001). Recently, the State banks have made much progress in terms of training and development. As examples, they are recruiting more employees with more advanced degrees--Bachelor degrees and above, training employees in their own training centers and /or overseas, and providing further learning opportunities, especially management training, to some high-potential employees. Despite these efforts, the past three years have witnessed severe talent drains from these banks. Some reasons for this talent drain are that:

The concept of HRD has not been as fully developed in China as it has in most western countries; therefore, its role and function has not been as widely appreciated as it should be. State-owned enterprises, including state-owned banks, are still under centralized management. In other words, the personnel departments at all levels are managed and directed by the personnel department in the Company Head Quarters. As result, HR / HRD functions, especially those of branches and sub-branches, have not yet been developed.

The centralized decision making process in allocating training opportunities causes a mismatch between the purpose of training and the training needs. This has resulted in complaints and waste of resources even though training programs are readily available.

Only a small percent of employees, mostly middle and higher level managers, are given much attention, due to the hierarchical nature of the Chinese culture, and as demonstrated in the design and allocation of training programs. The rest of the staff has not shared in the ensuing sense of ownership that results from this investment. As a result loyalty and high morale are not developed, which partly explains employee determination to leave the banks when other opportunities for compensation, training and career development arise.

When considering the first point listed above, one can easily understand why CSBs do not have career planning for their employees. HRD, as defined by McLagan (1989), includes career development to improve individual and organizational effectiveness. The price of failing to include these two elements of HRD is unfortunately much higher than what it appears with employees not thinking of the development of the organization in return for this individual investment. Without such an emotional attachment, bank employees will easily and decisively leave the bank when their personal career aspirations can better be achieved through job-hopping.

With the reasons in mind, HR practitioners should not only provide training according to the needs of employees, but design tailored career development plans. The very end of HRD policies and practices in China is to develop loyalty.

Limitations

The methodology used for the article inevitably has some limitations, which are as follows:

The limits of the literatures. The sophisticated nature of Chinese culture and value system has not been elaborated through the limited amount of literature. Further, the literature itself might be less effective in capturing all the main aspects of the Chinese banking industry in the context of an ever-changing world economy. Also, the authors' limited knowledge of the banking industry might have limited the search and understanding of the literature.

Lack of some detailed information and empirical evidence. Although observation reveals that majority of the present employees in the four largest banks are under 25 or above 45, no statistic data have been found to support the hypothesis that the group aging between 25 and 45 left the CSBs for better opportunities in foreign banks or private commercial banks. This group is the focus of the talent competition since they are young and possess the skills, experiences and / or network that foreign banks and private commercial banks treasure. It will also be recommended to find the data and explore the reasons for their leaving, as the HR practitioner cannot provide them with tailored training and development plans unless they know the characteristics, needs and wants of this group of employees. It will be equally important to pay attention to the remaining groups in these banks. With increasing numbers of college graduates and tough competition among them, the banking job is still sought after by newly graduated students from four-year colleges. It is not too late to address their work morale and retention , which might be another role for HRD to consider in this environment for the future. Again, data on education levels and other characteristics of the remaining workforce is limited in this paper and therefore the potential of this argument needs to be left for future inquiry.

Further Research

This paper has attempted to answer such questions as: What are the roles of HRD in CSBs? What have the banks done to attract and retain skilled staff and able managers? What should the banks do to avoid losing their ground in the “war” with foreign banks and private commercial banks? The paper has found that HRD is critical to CSBs' development at the age of change, development and globalization; and an effective HRD practice should get employees involved in order to attract, motivate, educate and retain them.

Despite those findings, further research needs to be conducted in order to inform related action plans to address the issues highlighted in this paper. To this end, future research questions might include such issues as: What are the training and development needs and goals of all levels of employees in this banking sector? How would satisfying these personal, group/team needs be to the benefit of the organizations concerned? And if they are to the organizations' benefit, then what can the banks do to ensure better alignment between these training and development needs and future HRD practices. Furthermore, how can changes to the organization structure be made to better serve the development and job needs of employees? And finally, should the institutional training center be outsourced in order to both cut the costs of, and improve the quality of, training?

References

- Benson, J., & Zhu, Y. (2002). The emerging external labor market and the impact on enterprise's human resource development in China. *Human Resource Development Quarterly*, 13(4), 449-466.
- Hofstede, G. (1980). *Cultures and organisations: Software of the mind*. London: McGraw-Hill.
- Jackson, T., & Bak, M. (1998). Foreign companies and Chinese workers: Employee motivation in the People's Republic of China. *Journal of Organizational Change Management*, 11(4), 282–300.
- Leung, M.K., & Young, T. (2002). China's entry to the WTO: managerial implications for foreign banks. *Managerial and Decision Economics*, 23(1), 1-8
- McLean, Gary N..(2001). On Human Resource Development and Human Resource Management in the Chaebols of South Korea in Response to a National Economic Crisis. In J. B. Kidd, X. Li & F. Richter (Eds.), *Advances in Human Resource Management in Asia* (pp.61-79). New York: Palgrave.

- McLean, G.N., & McLean, L. D.(2001). If we can't define HRD in one country, how can we define it in an international context? In J. Woodall (Ed.), *Defining HRD: The debate so far* (pp. 313-326). *Human Resource Development International*, 4(3). Social Research Seminar Research Seminar Series. Kingston, UK: Kingston Business School, Kingston University.
- McLagan, P. (1998). *Models for HRD practice*. Alexandria, VA: American Society for Training and Development Press.
- National Bureau of Statistics of China. (2000-2002). China Year Book. Beijing, PRC.
- No Author (2002). *Bank of China annual report*. Retrieved on Sept.20 from
<http://www.bank-of-china.com/english/d3report/en2002p36-49.pdf>
- No Author (2002). *China Construction Bank annual report*. Retrieved on Sept.20 from
<http://www.ccb.cn/portal/en/inside/2002e.pdf>
- No Author (2002). *ICBC annual report*. Retrieved on Sept.20 from
<http://www.icbc.com.cn/download/nb/2002nbe-5.pdf>
- Nyaw, M.K. (1995). Human resource management in the People's Republic of China. In L.F. Moore & P.D. Jennings (Eds.), *Human resource management on the pacific rim: Institutions, practices, and attitudes* (pp.187-214). Berlin: Walter de Gruyter.
- Rothwell, W.J. (1997). Determining the labor demand and development needs of HR/HRD professionals in China. *University HRD Programs*, 398-405
- Swaak, R.A. (1995). The role of human resources in China. *Compensation and Benefits Review, September–October*, 39–46.
- Nie,Winter, Hopkins, Willie E., & Hopkins, Shirley A. (2002). Gender-based perceptions of equity in China's state-owned enterprises. *Thunderbird International Business Review*, 44(3), 353-377
- Wright, P.M., Mitsuhashi, H., & Chua, R.S.K. (1998). HRM in multinationals' operations in China: Building human capital and "organizational capability." *Asia Pacific Journal of HumanResources*, 36, 2-14.
- Xie,J., & Wu, G. (2001). International briefing 10:Training and development in the People's Republic of China. *International Journal of Training and Development*, 5(3), 223-232.

The Web-Based Delphi Research Technique as a Method for Content Validation in HRD and Adult Education Research

*Sharon Colton
Monterey Peninsula College*

*Tim Hatcher
North Carolina State University*

A Web-based Delphi process can be used to answer difficult questions, compile a body of knowledge from experts, or solve a problem or establish content validity. Because of its more qualitative online discussion environment, a Web-based Delphi procedure has the potential to offer a more rigorous validation of HRD-related content than traditional paper-based Delphi procedures. The method also improves ethics in research by insuring anonymity and confidentiality.

Keywords: Delphi Technique, Validation, Web-based Research

1. To what extent can an instrument be developed by a Delphi expert panel to measure the application of adult learning principles to fully-mediated World Wide Web-based distance education courses?
2. To what extent is there consensus among Delphi panel experts in the fields of adult education and Web-based course development to validate specific instructional methods and techniques that demonstrate the application of adult learning principles to fully-mediated World Wide Web-based distance education courses?
3. The Delphi method, traditionally a paper-pencil technique can be established as a web-based method to validate research measures.

The above propositions were explored in a recent study that used the Delphi research method to develop the Online Adult Learning Inventory (http://www.mpd.edu/sharon_colton), an instrument to apply the principles of adult learning to Web-based instruction and training (Colton, 2002). A pioneering feature of this study was conducting the Delphi process on the Web rather than employing the traditional paper and pencil or computer network Delphi techniques. A Web site was constructed with a threaded discussion forum for discussions related to developing content and validity, Web forms for voting purposes to determine the level of expert consensus, a calendar to keep the panel on task, and as an archive to hold draft versions of the instrument and the text of previous discussions available for review at any time by the expert Delphi panel and researchers. The experts were assigned pennames for anonymity within the group. Ample time was allotted for expert panel members to reflect on the content of the draft instrument and to add additional commentary to the discussion forum any time and from any place.

The purpose of this paper is to highlight the results of an online Delphi research project; in particular the procedures used to establish an online Delphi and to describe a new process of validating HRD-related content and obtaining ‘rich’ and descriptive information using the World Wide Web and current e-learning technologies. The online Delphi was proven to be an excellent tool in establishing content validity. Historically, Delphi technique is an overlooked research method due to its labor-intensive nature. This study illustrated online Delphi as a powerful, effective and efficient research tool for HRD and adult education research.

Most Delphi procedures are paper-based with some previous Delphi’s conducted on a mainframe computer or network (Turoff & Hiltz, 1995). The original purposes in constructing the Delphi Research site on the World Wide Web was (1) convenience, (2) elimination of paperwork and mailings, and (3) an attempt to utilize current technology, a topic of the research, into the research process. The result was the sheer volume of rich discussion and the “anytime, anywhere” give-and-take communications amongst panel members leading to eventual consensus and content validation. Delphi procedures have had some limited qualitative aspects to the otherwise quantitative voting procedures and consensus. This study has demonstrated the potential of the World Wide Web to expand the qualitative aspects of the Delphi procedure to a great extent, resulting in a more in-depth content validation.

Delphi Research Method: A Review of the Literature

Computer-based Delphi procedures have been used since the 1970s on mainframe computers or networks (Turoff &

Copyright © 2004 Sharon B. Colton & Tim Hatcher

Hiltz, 1995). Today, however, the technology is available to conduct an anonymous asynchronous threaded discussion easily on the Web "...where the merger of the Delphi process and the computer presents a unique opportunity for dealing with situations of unusual complexity" (Turoff & Hiltz, 1995 p.9). Research indicates this combination opens the possibility for greater performance from the Delphi panel of experts than could be achieved from any individual, something that rarely happens in face-to-face groups (Turoff & Hiltz, 1995, p.8, p.11).

Delphi panelists are typically selected, not for demographic representativeness, but for the perceived expertise that they can contribute to the topic. In order to obtain the desired valid results, Scheele (1975) suggested the panel must be selected from stakeholders who will be directly affected, experts with relevant experience, and facilitators in the field under study. Spencer-Cooke (1989) suggested that the composition of the panel relate to the validity of the results of the research.

Delphi panel sizes range from a few to fifty or more participants. In Brockhoff's study of Delphi performance (1975), he suggested that for forecasting questions, groups with eleven participants were more accurate in their predictions than larger groups. For fact-finding questions as included in this dissertation, groups with seven participants had a higher performance in his controlled study. Other studies have found that error decreases with larger Delphi panels (Linstone & Turoff, 1975). Dalkey (1975), one of the originators of the Delphi research method, commented that, "...under favorable conditions, the group response can be more accurate than any member of the group" (p. 257).

The time requirement for the Delphi process was significant. The process can last for 30 to 45 days (Barnes, 1987) but in this Web-based study, it took several months. For that reason, Scheele (1975) states that attractive and stimulating peers provide the most powerful incentive to participate. Turoff and Hiltz note that, "Motivation for the expert is often lacking because results are often delayed or are not intended to benefit the expert" (1995, p.9). The participants were offered the opportunity to participate in the discussion with other panel members of equal merit, to participate in producing and validating an evaluative knowledge-based tool for others, and to experience a Delphi process. It is also necessary for the panelists to be assured that the facilitator (researcher) has an understanding of the content. The response rates of the experts for paper-based Delphi method dissertations include, 92% overall with less than a ten percent drop-out rate (Dobbins, 1999; Cooter, 1983; DeLap, 1998; Stover, 1997; Jackson, 1998), and similar results with the one Web-based Delphi discussed in this article (Colton, 2002). Participants who responded slowly or not at all to calls for participation were contacted by telephone or sent additional e-mail reminders in order to gain a higher level of participation.

Delphi procedures normally consist of three or more rounds. Each round consists of answering questions posed and is ended by a vote. This typically is conducted with paper and pencil. There is usually a decrease in response rates for the second round of a paper-based Delphi, particularly when using volunteers, as they may lose interest (Jillson, 1975). The author's Web-based Delphi study had a similar response rate.

Computer-based techniques are far better than paper and pencil in constructing a flexible approach and, in fact, the traditional round structure may disappear, replaced by a continuous feedback process (Linstone & Turoff, 1975). The Delphi method became less structured and permitted greater freedom of discussion after the use of computer conferencing began in 1969. Adding the computer capability allowed for a shorter turn-around time, allowing for more interaction and more material discussed (Price, 1975).

The characteristics or benefits of conducting the Delphi process via computer over a face-to-face discussion as summarized from Price (1975) include:

1. When the communication process must be structured.
2. When the problem is so broad that many more individuals are needed than can interact face-to-face.
3. When severe disagreement among participants occurs, the process must be refereed, and anonymity must be assured within the group of experts.
4. When time is scarce and/or geographic distances are great, limiting group meetings.
5. When an easier more flexible way to access and exchange human experience is required.
6. When increases of the size of the information space to infinity is desirable.
7. When raising the probability of developing latent consensus is desirable.
8. When a written record is desirable.

There are potential problems in the Delphi process and in the contemporary computer-based method. The historical Delphi model follows a sequential, paper-based structure with the facilitator acting to summarize the round. The computer discussion method can prolong the procedure and discussion can assume parallel tracks. Turoff (1991) suggested the timely use of voting to integrate the problem solving process with the group process. Turloff (1991) summarizes the use of computers in the process as, "The merger of Delphi and Computer Mediated Communications offers far more than the sum of the two methods" (p.11), by which he implies that by introducing computer-based discussion into the Delphi process to replace paper and pen, the Delphi process was strengthened.

Turoff, in recommending using the Internet for discussion, emphasizes that the most important criterion to Delphi process design is allowing any panel member to "choose the sequence in which to examine and contribute to the problem solving process" (p. 2).

There are many reasons for the use of anonymity in the Delphi process. The reasons include: an expert making a commitment to a stand then being reluctant to change it, the different academic standings of the participants, not losing face, and elimination of the usual biases found in today's society such as gender, racial, and age biases. Anonymity of responders allows consensus to take place without the undue influence of rank, power, personality or persuasive speaking which is common to group meetings (Westbrook, 1997). Hiltz, Turoff, and Johnson (1989) suggest the use of pen names when using computer-based communications. A forum or electronic bulletin board enables this technique as e-mail addresses are not used for communications, thus anonymity can be assured amongst the panel members. It is essential that the researcher is the only one who can connect the pen name with the panel member. Pen names, although anonymous, allow for a sense of identification within the community of experts and were used for the present study (Colton, 2002).

Since the results of a Delphi are produced by structured interaction, the final product can be said to constitute a "reality construct for the group" (Scheele, 1975, p. 44). The results of a Delphi can be seen as "the product of a carefully designed and managed interaction and not answers to a set of abstract questions that are obtained by following prescribed methods" (p. 38).

"People incorporate each others' perspective and information into their thinking and arrive at a fairly accurate understanding of the critical issues to consider in their decision making process" (M. T. Corporation, 1983). Panelists may change their previous votes at any time (Turoff & Hiltz, 1995). If consensus was not achieved on an item, that item may be dismissed for the present, subject to a later revision. Brockhoff (1975) states that variance reduction, or consensus, almost always occurs in Delphi groups between the first and fifth rounds but the best results, as a rule, are already known by the third round. Thus, any additional discussion may not be necessary.

Web-base Delphi Procedures

The present study used a web based Delphi method to develop and establish content validity of the Online Adult Learning Inventory. Research methods for validity included: (a) a thorough review of the literature to construct an item pool of instructional methods and (b) Delphi expert panel consensus. The mean, mode, standard deviation, interquartile range, and skewness of the data were calculated from the voting procedures for determination of consensus. Evidence of reliability was indicated by the interrater reliability coefficient from a field test. In addition, an informal review of readability was conducted to improve the readability of the instrument and the Gunning Fog Index (1983) for readability was calculated.

The pioneering Web-based Delphi process proved to be a method rich in qualitative data and was an excellent way of bringing together experts to discuss, debate, and organize a body of information in order to develop a validated instrument, reach agreement on an issue, uncover common factors, or forecast trends. This method has potential for use by researchers to build a validated knowledge construct utilizing the resources of the World Wide Web for convenience, ease of use, and depth of discussion. Business and industry personnel may use the Web-based Delphi method to validate instruments or knowledge constructs.

Specific information on constructing a Delphi Web site can be found on Website: http://www.mpc/sharon_colton. The following is a recommended procedure for online Delphi to develop and establish content validity of an instrument. A visual representation of the procedures used in the present study is illustrated in Figure 1. Web-based Delphi procedures:

1. *Literature review:* Preliminary content collected for the instrument using established quality filters, criteria for selecting the expert panel established, and appropriate and established research methods are selected. In the present study the principles of adult learning were reviewed, as were web-based instructional methods.
2. *Selection of the expert panel:* Selection criteria for panel members must be based on a review of the literature, potential panel members are then selected based on the criteria, and approval of the potential expert panel members was obtained from the studies' sponsor(s). Human subjects protections should also be established at this time as applicable. Potential panel members are reached by telephone to seek their acceptance. Upon acceptance, a follow-up letter along with any required release forms is faxed or e-mailed to the experts who accepted the invitation to participate. See Table A, Procedure for selection of expert panel members.

Figure 1. Web-based Delphi Procedures

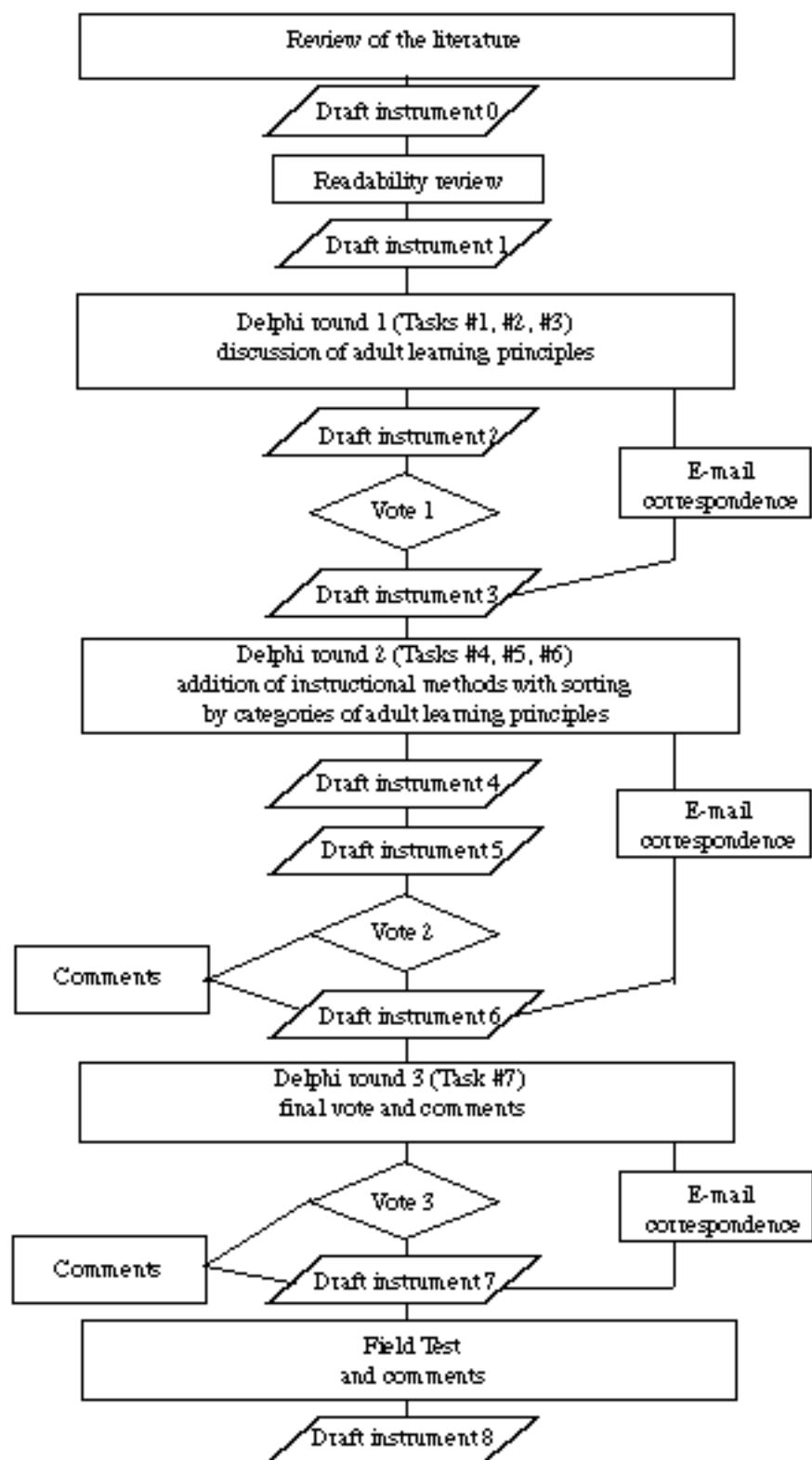


Table A. Procedure for Selection of Expert Panel Members

Step	Procedure	Result
Step 1	Review literature to compile a list of potential panel members based on one recent (since 1995) book or journal article on Web course development.	Compile list of names.
Step 2	Check books or articles (or other articles or books by the same author) for evidence of knowledge of adult learning principles.	Mark for evidence of adult learning principles.
Step 4	Check <i>ISI Social Sciences Citation Index</i> for number of citations.	Mark number of citations.
Step 5	Evaluate potential experts as to their contributions to the scholarly discussion of adult learning, courseware development, or familiarity with instructional methods appropriate for Web courses.	Rate potential experts on a suitability-to-the-study scale of 1 to 3 (1 = not useful, 2 = moderately useful, 3 = very useful to the study).
Step 6	Present evidence of potential panel member's expertise to the Dissertation Committee members for review.	Develop a final list of potential expert panel members to invite to participate and a list of substitutes.
Step 7	Telephone each potential panel member to explain the purpose and scope of the study, with invitation to participate.	Follow-up w/ ea participant committed to the study with letter.

3. *Review of readability:* Knowledgeable subject matter experts review the preliminary draft instrument for appropriate wording and ease of understanding. Revision is made to wording based on suggestions.
4. *Set-up of the discussion forum:* The discussion forum is set up on the Web site with the latest revision of the instrument and other data attached to the website. Pen names and passwords are selected for each participant to insure anonymity. Choose gender-neutral pen names for participants.
5. *Round one of the Delphi:* Establishment of instrument content by discussion and vote for possible consensus. In the present study the experts were given a draft instrument with adult learning principles, as derived from the literature, as the structure of the instrument. The main points of consideration were: Is the principle relevant to web-based course development, and, if so, is it worded correctly? They had three weeks to discuss items on this list, suggest changes to the list, collapse any two principles into one, separate one complex principle into two separate principles, alter wording and phrasing, and make additional comments that came to mind. This phase of the Delphi resulted in a depth of discussion not previously obtainable in paper-pencil based Delphi procedures. For example, Mango (penname) asked to soften the language, especially the wording "to cope effectively" as it suggests survival, yet many adults enroll in courses for pleasure. Mango's suggestion was to re-word the principle as: "Adults become ready to learn those things ... with which they can or wish to relate their real-life experiences." Celery (penname) agreed that the principle needed to be re-worded and refers to the "primacy" in adult learning, the need to know something becomes of primary importance. Although agreeing with the above experts, Broccoli (penname) stated that adults are motivated by life events "to pursue formal educational opportunities and to conduct informal learning projects." Tomato (penname) related that, "we design instruction to solve a problem." Kiwi (penname) offered, "Web-based learning systems can and should connect learning to the learner's life experiences" as an alternative re-wording. Kiwi commented that "the concept, premise, principle applies to all learners, but might be more relevant or pertinent to adult learners."

Experts then had another two weeks to vote on the list. Prior to voting, the list of adult learning principles was revised based on suggestions by the expert panel. Voting ended the round. Results of round one were displayed on the discussion forum. Mean, median, mode, standard deviation, and interquartile range were calculated. Based on the suggestions and a statistical analysis of the vote, the instrument and its structure of adult learning principles were revised again.

6. *Round two of the Delphi:* Round two consists of establishing and sorting of an item pool completed by a vote. Consensus is typically not expected at this point. Expert panel members in the present study were asked to list one or more instructional methods that applied an agreed-upon adult learning principle to Web instruction or training for adults. Because of the opportunity for discussion and debate that a threaded discussion forum afforded, there was expected to be some negotiation toward consensus during the dialogue. Results of the listing of instructional methods were displayed on the

- discussion forum. One week was given to the expert panel for reflection on the draft instrument as again revised with the list of instructional methods included. Then, a vote was conducted on the large item pool or list of instructional methods, which applied the various adult learning principles to Web courses, using a Likert scale. Descriptive statistics were calculated to indicate consensus. Edits were made by the researchers to the list of instructional methods based on the results of the vote, comments on the voting ballot, correspondence, and references from the literature where necessary. Items receiving weak consensus (mean of 3.0 or higher and an interquartile range of 2 or greater) were retained for a re-vote for the third round to allow panel members to consider changing their vote.
7. *Round three of the Delphi:* Follow up discussion was available and a second vote was performed on the revised list of instructional items either to include in the instrument or consider for elimination. Statistics were calculated as before. Items not having reached consensus to be included in the instrument were considered for elimination from the final instrument. Edits were made to the list of instructional methods based on the results of the vote, comments on the voting ballot, correspondence, and references from the literature where necessary.
 8. *Field test for indication of reliability:* A field test was conducted using fourteen university or community college faculty or staff who had knowledge of Web course development and/or evaluation. Participants first participated in an overview of adult learning principles, then used the draft instrument to conduct an evaluation of one pre-chosen instructional Web course. Comments by the participants related to the draft instrument were recorded. Results of the Web courses review were analyzed for an indication of inter-rater reliability using standard correlation procedures for estimating agreement corrected for chance. The inter-rater reliability statistic gives an indication of the reliability and consistency of the instrument. Participant comments and results of the analysis were used for the final revisions of the instrument. The Gunning FOG Index (1983) was also computed for final reading level.

Conclusions and Implications for HRD Research and Practice

The Web-based Delphi process used for this study is new to the field of research design. This study demonstrated the power of technology in enhancing a classic and ethical Delphi research process, in facilitating discussion among participants separated by time and place, and providing a venue for voting, all while preserving the anonymity of the participants. It yielded rich qualitative and rigorous quantitative data resulting in a content validated instrument, possibly resulting in a more in-depth content validation, applicable to educational, business, industrial, and government research as well as bringing the tenets of andragogy into the 21st century. The procedures used in this study can also be applicable to HRD practice in that with the ubiquitous nature of the technologies used in the study it makes replication of the process feasible for practitioners and others seeking to develop valid tools to measure HRD and adult education related content.

Finally, this process insured anonymity of participants and confidentiality of data throughout the process as well as addressing issues around power and rank inherent in expert-based research. Anonymity of responders allowed consensus to take place without the undue influence of rank, power, personality or persuasive speaking which is common to group meetings (Westbrook, 1997). Required anonymity in the Delphi process is based on: an expert making a commitment to a stand then being reluctant to change it, the different academic and reputation standings of the participants, not losing face, and elimination of the usual biases found in today's society such as gender, racial, and age biases.

References

- Bates, R. A., Holton III, E. F., & Seyler, D. L. (1996). Principles of CBI design and the adult learner: The need for further research. *Performance Improvement Quarterly*, 9(2), 3-24.
- Brockhoff, K. (1975). The performance of forecasting groups in computer dialogue and face-to-face discussion. In Linstone, H. A. & Turloff, M., (Ed.), *The Delphi method: Techniques and applications* (pp. 291 - 321). Reading, MA: Addison- Wesley.
- Colton, S. (2002). *Developing an instrument to analyze the application of adult learning principles to world wide web distance education courses using the Delphi technique* (Doctoral dissertation, University of Louisville, 2002).

- Dalkey, N. C. (1975a). A Delphi study of factors affecting the quality of life. In Linstone, H. A. & Turloff, M., (Ed.). *The Delphi method: Techniques and applications*. Reading, MA: Addison-Wesley.
- (1987). *An international study of curricular organizers for the study of technology*. Unpublished Dissertation, Virginia Polytechnic Institute and State University, Blacksburg, VA.
- Dobbins, T. R. (1999). *Clinical experiences for agricultural teacher education programs in North Carolina, South Carolina, and Virginia*. Unpublished Dissertation, Virginia Polytechnic Institute and State University, Blacksburg, VA.
- Hiltz, S. R., Turoff, M., & Johnson, K. (1989). Experiments in group decision making: Disinhibition, deindividuation, and group process in pen name and real name computer conferences. *Journal of Decision Support Systems*, 5, 217-232.
- Jillson, I. A. (1975). The national drug-abuse policy Delphi: Progress report and findings to date. In Linstone, H. A. & Turloff, M., (Ed.), *The Delphi method: Techniques and applications* (pp. 124-159). Reading, MA: Addison-Wesley.
- Linstone, H., & Turnoff, M. (1975). *The Delphi method: Techniques and applications*. Reading, MA: Addison-Wesley.
- M. T. Corporation. (1983). *Delphis: The manual*. Boulder, CO: Taylor Management Centers.
- Price, C. R. (1975). Conferencing via computer: Cost effective communicating for the era of forced choice. In Linstone, H. A. & Turloff, M., (Ed.), *The Delphi method: Applications and techniques*. Reading, MA: Addison-Wesley.
- Scheele, D. S. (1975). Reality construction as a product of Delphi interaction. In H. A. a. T. Linstone, M. (Ed.), *The Delphi method: Techniques and applications* (pp. 37-71). Massachusetts: Addison-Wesley.
- Spencer-Cooke, B. (1989). Conditions of participation in rural, non-formal education programs: A Delphi study. *Educational Media International*, 26(2), 115-124.
- Turoff, M. (1991) Computer mediated communication requirements for group support. *Organizational Computing*, 1(1), 85-113.
- Turoff, M. & Hiltz, S. R. (1995). Computer based Delphi processes, in M. Adler & E. Ziglio (Ed.), *Gazing into the Oracle: The Delphi method and its application to social policy and public health*. (pp.56-88). London: Jessica Kingsley Publishers.
- Westbrook, L. (1997). Information access issues for interdisciplinary scholars: Results of a Delphi study on women's studies research. *The Journal of Academic Librarianship*, 23 (May), 211-216.

Competencies and Training Needs of Financial Aid Administrators

*James F. Lane, Jr.
University of Houston*

The purpose of this research was to: 1) identify the competencies considered essential for entry-level administrators of financial aid at four-year universities, and 2) determine what method of training leads to these competencies according to financial aid directors. A Computer-based Delphi process was implemented because of its flexibility and adaptability.

Keywords: Competencies, Delphi technique, Professional Development

Problem Statement

The financial aid profession is in a continuous state of evolution due to advances in technology and changes in legislation. Consequently, as more and more programs and technological advances are introduced to student financial aid administration, there is greater demand for effective, efficient and skilled professionals to administer and develop successful financial aid programs. There is also an overwhelming need for advanced and limited training opportunities as shown in a search of the relevant literature. Currently, there is no consensus concerning the competencies that financial aid administrators need or the preferred method of obtaining those skills.

The creation of identifiable competency requirements gains importance as the career expectations of the financial aid administrator increase. The continually evolving financial aid arena is a direct result in changing laws, developing regulations and the introduction of new aid programs. Therefore, research needs to be conducted to establish which competencies are considered appropriate and the most appropriate form of training to develop these competencies.

Theoretical Framework

The creation of the National Defense Education Act in the late 1950's brought about a national commitment to a higher educational system that could service a growing technologically advancing society. Certain developments such as the G.I. Bill in 1944 spurred student aid policy during the *national economy* era from the end of World War II to the mid 1960's. Significant increases in Federal expenditures for student aid began in 1972, again making the role of the institutional aid administrator even more important than it had been in the past (National Association of Student Financial Aid Administrators [NASFAA]), 1978. A NASFAA commissioned report in 1977 had its findings published in 1978 under the title Characteristics and Attitudes of the Financial Aid Administrator, became the groundwork study identifying early characteristics or competencies of administrators of student financial aid. This report surveyed financial aid directors with the purpose of analyzing staff background, academic achievement, job orientation, professional competence, degree of professionalism, needed professional development and aid office characteristics.

Utilizing this foundational study in the financial aid arena as a basis for research, answers to the question of competencies of the financial aid administrator can be sought. Parry (1996) describes competency as "a cluster of related knowledge, skills and attitudes that affects a major part of one's job (a role or responsibility), that correlates with performance on the job, that can be measured against well-accepted standards, and that can be improved via training and development." (p.50).

Prerequisite to the establishment of any form of meaningful training, there is a need to identify the competencies required and their corresponding level of importance for financial aid administrators. In their presentation to the 1979 ASTD National Conference, Ashely and Stump stated that:

"A variety of skills and abilities developed through both work and non-work experiences are needed by workers in order to enter and progress in a rapidly changing world or work. Additionally, individuals need to develop their occupational adaptability and flexibility to enable them to deal effectively with the increasing number of career and job changes that are characteristic of the current labor force" (p. 71).

Copyright © 2004 James F. Lane, Jr.

In a paper presented to the Academy of Human Resource Development Conference in 2002, Charlotte Nitardy and Gary McLean state that competencies are commonly considered by organizations to help guide human resource development and in making human resource decisions. They built this conclusion from several existing definitions of competence. Ayer and Duncan were cited for their 1998 expansion of the definition of competency as a specific, observable behavior or characteristic that leads to superior performance. Finally, personal competencies are people interaction skills. McLagan (1996) indicated that a competency model could be used as a decision tool to describe the key capabilities for performing a specific job. They are more reliable than job descriptions, more valid than skill lists, and more on target than gut feelings. Utilizing the results of the previously stated literature as a basis, a more coherent and comprehensive understanding of specific competencies required of an administrator in the field of financial aid can be developed.

In the infancy of the financial aid profession, authors have documented the need for increased professionalism among the aid administrators. The National Association of Student Financial Aid Administrators (NASFAA) established in 1974 the professional standards of practice, which laid the foundation for the standards that are followed today. Additional research was conducted to identify the general competencies for financial aid practice (Moore, 1975, p.10) and the activities and professional characteristics of aid administrators (Morris, 1976, p.25, Flippin, 1979, p.143, Schiesz, 1974, p.30). Some of the first studies to identify professional development needs were conducted by Flippin (1979) and Willingham (1970). They queried directors of financial aid and concluded that the professional development needs included attendance at state and regional professional organization meetings, availability of professional journals, a code of ethical standards and increased availability of training opportunities.

The Journal of Student Financial Aid reported in 1988 that as a conclusion of the study conducted by Robbins and Phillip, there was noticeable role ambiguity and conflict within financial aid administrators in the execution of their duties. Their findings indicated that there was a significant difference between the actual and desired role of the financial aid administrator for the twenty-two role functions included in the study. Student recruitment, personnel evaluation and administration of state financial aid programs were the functions that had the highest level of concern by the respondents. They suggested that a study should be conducted to determine courses or workshops that could be instituted to lessen the gap between actual and desired role functions. McDougal (1983) added that there is an increasing need for student financial aid personnel at all levels to be more aware of and familiar with sound counseling techniques and the advising role. The financial aid administrator is required to go beyond needs analysis, administrative trivia and paperwork to focus attention on an important issue- the student.

Taylor and Shelley (1992) suggest that by identifying important tasks required of the entering financial aid administrator an institution can save valuable time and money when selecting the candidate with the best fit for the position. They proposed that the new administrator possess seven key skills; counseling, communication, computer expertise, management (programs, people, and operations), packaging (as in "experience with packaging and awarding aid"), counseling (advising students and parents) and communications (speak, write and listening).

The changing environment of student aid has some technological implications to the financial aid administrator. Craig Cornell (2000) emphasized that the financial aid industry must adjust for the technology surge at the Department of Education, increased use of internet technology in the business sector, increasingly sophisticated mainframe systems and enrollment management paradigms (p.38). As a result of these changes he suggests that to ensure competitiveness the financial aid office should develop hiring and training programs by examining staffing patterns and considering staff reorganization.

Vali Heist stated in his 2002 NASFAA Student Aid Transcript article what he considered to be the top ten "in-demand" job skills for a financial aid administrator and they are as follows:

- | | |
|--|-------------------------------------|
| 1. Problem solving or critical thinking | 5. Information management skills |
| 2. Human relations to include
interpersonal skills, communication skills
and people skills | 6. Money management skills |
| 3. Computer programming and software
utilization | 7. Business management skills |
| 4. Teaching and training skills | 8. Science and math skill |
| | 9. Foreign language |
| | 10. Vocational and technical skills |

Methodology

Invitations to participate in this study were initially sent to the 23 committee chairs and board members of the Southwestern Association of Student Financial Aid Administrators (SWASFAA) that represented universities. These invitees were considered to be experts with extensive experience and knowledge in the area of financial aid.

The credentials of the panel support Moore's (1987) criteria for an expert panel member. He states that an expert is an "individual who possesses the knowledge or experience necessary to participate in a Delphi" (p.51). The membership of the Delphi expert panel was subsequently formed from the 18 SWASFAA leaders who accepted the invitation to participate and was considered well within the recommendations of Murray and Hammonds (1995) where they indicated that the panel should be comprised of at least 10 members. Wilhelm (2001) also believes that a panel of this size is appropriate by supporting Linstone and Turoff 's (1975) early observations of Delphi panels in which they suggest a panel of 10-15 members.

The Delphi technique was selected as the preferred methodology for this study. The Delphi distinguishes itself from other group interaction methods such as the Nominal Group Technique by three important characteristics. Those features are (1) anonymous group interaction and responses, (2) multiple iterations or rounds of questionnaires or other means of data collection with researcher controlled statistical group responses and feedback and (3) presentation of statistical group responses (Murray and Hammons, 1995, p. 424). Olaf Helmer and Norman Dalkey developed this procedure in the early 1950's as researchers with the Rand Corporation. The initial purpose of this process was to gather expert opinion and develop consensus in forecasting war scenarios and as explained by Helmer (1983) is "to make the best use of a group of experts in obtaining answers to questions requiring reliance, at least in part, on the informed intuitive opinions of specialist in the area of inquiry"(p. 134). Murry and Hammonds (1995) believe that the:

"Delphi method rests on two assumptions. One is the assumption that group decisions are usually more valid than decision made by a single person. Further, decisions are more valid if the group is comprised of experts in the field (Brooks 1971; Langford 1972; Martino 1983). A second assumption is that, while group decision making can be more reliable, numerous problems can arise when group members meet face to face" (p.426).

In Round One an electronically mailed questionnaire was sent to the expert panelists with the dual purpose of surveying the preferred method of training and soliciting ten competencies deemed essential for an entry level financial aid administrator. Somers, Baker and Isbell (1984) state "the first round is designed to elicit individual judgments or opinions from each of the panel of experts" (p.28). Utilizing the recommendations and designs of Dillman (2000), the electronic surveys were considered to be similar to other acceptable forms of surveying. An advantage noted by Thach (1995, p.31) in the utilization of electronic notifications was that respondents may provide more candid results due to the isolation of their answers. In response to the initial questionnaire, the panelists submitted 180 essential competencies which were condensed because of duplication to 84 essential competencies. These competencies were then categorized into seven defined areas. The categories were developed using the constant comparison method which was developed by Barney Glasser and Anselm Strauss (Strauss & Corbin, 1990). Each Round One competency response was written on a note card with no reference to the contributing respondent. The competencies were then separated into stacks of like responses and information considered useless or redundant was deleted. Competencies were compared until emergent categories were solidly identified. The meaning of each category was clarified until sharp distinctions were determined and the most important categories were established for the study (Gall, et al, 1996). The final result was 84 competencies organized in seven categories. The identified categories were: Leadership, Fiscal Management, Personnel Management, Communication, Professional Development, Technical Processes and Assessment, and Student Contact/Customer Service. The 84 competencies once organized by category, were presented to the expert panel on an electronic questionnaire in Round Two.

In Round Two, panelists were instructed to rate each essential competency on a four point Likert scale from 4 (Strongly Agree) to 1 (Strongly Disagree). Those not wishing to rate the competency were afforded the opportunity to select the rating of "Undecided" which had a value of 0. Respondents were provided sections to submit comments to support or clarify their ratings. Round Two results were electronically stored and later tabulated to assist in the production of statistical and narrative data utilized in the development of Round Three. Seventy of the original eighty-four competencies achieved a mean rating of greater than or equal to 3 (Agree) and were retained in the development of Round Three. The fourteen competencies that had a mean rating of less than 3 were removed from the study.

Round Three allowed the panelists to review and possibly re-rate the seventy remaining essential competencies presented from Round Two. The electronic survey in Round Three provided the results of the Round Two analysis which included the panel's Interquartile Range (IQR) for each competency, the individual respondents rating and comments for each section. Panelists were instructed that they could reevaluate their rating in light of the new data and any comments or let their previous rating stand. They were also directed to provide comments concerning their rating, particularly if this rating was outside the IQR.

Each essential competency identified by the Delphi panel was graphically displayed on a Summary Analysis Sheet. This analysis consists of the essential competency, identified by the category, for Rounds Two and Three, there is a graphic display of the frequency of distribution, the means and the IQR. The data generated by the rounds also included the experience and education level of each respondent, other sources of financial aid training used in the development of financial aid skills and knowledge, competencies required for the field, method of training delivery and importance of identified competencies.

Results and Findings

The essential competencies of an entry level financial aid administrator were identified utilizing a computer-based Delphi process. There were 84 essential competencies initially identified in response to Research Question One: What are the professional competencies are required for an entry level financial aid administrator to possess or obtain during the first year of employment?

Data analysis of the responses to the first question indicated that at the conclusion of Round Three, 67 of the essential competencies were rated as 4 (Strongly Agree) or 3 (Agree) by at least 75 percent of the Delphi panel.

Category I or Leadership consisted of essential competencies that provide a basis for leadership or followership. These skills encompass decision-making, time management, planning, quality of work and organizational behavior. The panel indicated that the most significant competency for this category was the ability to assume responsibility with a ranking of number 4. This reflects the need in the financial aid industry to identify young professionals that will be accountable for their actions. The ability to multi-task was also ranked among the top 10 competencies at number 8. Considering the complexity of the financial aid industry, the entry level professional must be able to manage many projects at the same time. It is very common for the financial aid professional to be involved in personal advising of a student and family, sit on a board or committee for a professional organization, be a member of an institutional functional group and oversee the completion of financial aid applications and files. A sense of humor, a sense of urgency, the ability to prioritize work loads, flexibility in a changing environment and the ability to set priorities were all considered by the panel to be of equal rank at 12 and were within the top 20 competencies. These competencies are an indication that the well rounded employee is extremely desirable. The Directors indicated that they desire an employee that is pleasant to work with and can be trusted to complete all projects assigned and within prescribed deadlines.

Fiscal Management or Category II was comprised of competencies required in the operations of financial aid awards and cash management. The competencies for Fiscal Management received ratings that were considered very low and as a result none were within the top 20. One competency, possess basic mathematical competency, was ranked at 28. This indicates that the respondents did have some value for this competency but did not consider it to be among the most important traits for an entry level employee. The basic understanding of Federal, State and local cash management regulations concerning financial aid was ranked at the bottom at 64th. This would indicate that the respondents believe this to be a higher level skill and necessary only for the advanced financial aid administrator. Generally, this competency is not required of financial aid administrators until they have reached the senior administrator or director level.

Category III or Personnel Management includes competencies required in promoting cooperative working relationships with staff, students and faculty. There were no traits in this category that were rated within the top 10. However, there were six competencies ranked between 21 and 28 in significance. These competencies included sensitivity to others needs, willing to accept constructive criticism, discretion with personal matters, ability to seek assistance, ability to work with peers and the ability to work with a diverse population.

The next category, Communication (Category IV) focuses on those skills and competencies required for the transfer of information. The communications category received only three competencies considered significant by the expert panel in Round One. The possession of listening skills was considered extremely significant by the panel as indicated by the ranking at number 4. Considering the counseling demands on the new financial aid administrator when working with faculty, staff, students and parents, this trait is critical in the awarding of accurate and timely financial aid. Financial aid administrators, in their first year of employment, will be engaged daily in listening to students and parents with their special circumstances and how those circumstances affect student aid eligibility. The possession of writing skills was ranked number 21. This mid level ranking would indicate that the panel believes this to be a significant trait but one that should be developed after the initial competencies have been refined.

The competencies required for the development and retooling of skills to effect continued professional growth and productivity were listed in Category V or Professional Development. Integrity and ethics were the number 1 and 2 competencies ranked by the expert panel in this study. This ranking is a significant indication that directors must be able to trust entry level financial aid administrators as they work autonomously. Considering the high

demands of the office and sometimes minimal staffing levels, entry level financial aid administrators are allowed to work independently within two to three months after employment. Directors must have a level of confidence in their employees that they will perform their duties with integrity and ethically and minimal supervision. The competency of patience, assumption of responsibility for action and the projection of a positive image for the department were ranked number 12.

Category VI or Technological Processes and Assessment consists of those competencies that cover the ability of the administrator to apply new technology into the financial aid process, to evaluate and analyze programs and processes, and to seek solutions. The panel indicated that the ability to ask questions was a significant trait and ranked it number 2. The financial aid industry is a very complex, regulation and policy driven industry and an entry level employee must be inquisitive enough to seek answers for any questions that may arise. It is imperative that the new professional know their limitations and ask questions of the more seasoned staff and government officials. The utilization of technological solutions was considered by the panel to be of low priority for the new employee and ranked those competencies number 50 to 59. This is considered a skill that the administrator would obtain as they progress in responsibilities and as their management duties increase.

The final category, Student Contact/Customer Service, Category VII contains the competencies required for the effective interaction with individuals seeking the services of the financial aid office. Entry level financial aid administrators are the “front line of defense” in the operations of the financial aid office. They are the employees that will have the maximum contact with the customers of the office and as such must have developed people skills. This category received high rankings by the panel as indicated by five of the eleven competencies receiving a ranking in the top 10. The experts believe that a new employee must enjoy working with people and should be able to listen to them and care about their circumstances. This belief is so strong that they ranked both of these competencies were ranked number 4. The panel also indicated that it is important for the new administrator to be able to maintain concern for the student and have a realistic academic expectation for the student to fulfill. This competency was ranked number 4 along with the ability to understand the concepts of customer service and to treat every customer as an individual. These rankings are indicative of the nature of the financial aid industry and its roots in the student affairs field, concern for the student and a true desire for student success by the school administrator.

The 67 essential competencies of financial aid administrators met the definition of consensus as prescribed in the study. Therefore, these competencies can be considered a representation of essential competencies required for an entry-level financial aid administrator to possess upon employment or to obtain within the first year of employment. The most significant of these competencies are integrity, ethics, ability to ask questions, enjoys working with people, the ability to listen and care, assuming responsibility, possessing listening skills, concern for the student's success, ability to multi-task, understands customer service concepts and treats every customer as an individual.

The expert panel also provided in Round One the answer to Research Question Two, which was: What type of pre-service and/or in-service training do directors of financial aid consider useful for developing these competencies? Panelists were instructed to select five sources of training or instruction from the list provided on the instrument. Analyses of the top 5 responses are as follows:

1. The panelists unanimously selected on the job training in a financial aid position.
2. “Financial Aid Officer Workshops” presented by state or regional professional organizations was selected by 94.4% of the panel.
3. Mentoring from key organizational leaders received two-thirds or 66.7% of the panelist votes.
4. Decentralized training provided by the National Association of Student Financial Aid Administrators was indicated by 10 of the panelists, or 55.5%, as a top five method of information delivery.
5. Self-Study utilizing programs such as SFA Coach, the web-site LearnFinancialAid.org and pre-conference training seminars received equal votes at 8 or 44.4% each. Self-study programs are relatively new programs delivered by CD or by web-site and have not been widely promoted.

Conclusion and Recommendations

The unanimous selection of “On the job training” by the panel is an indication that practice and tenure is considered the best method of preparation for entry-level financial aid administrators. As reported by Baier, this conclusion by the panel supports the dissertation results reported in 1977 by Patricia Eileen. Her study concluded that on-the-job

experience was one of the desired methods of development. Ferguson (1981) also supports these findings by stating that there was a need for in-service training for financial aid staff. Baier's 1985 report also supported these finding by indicating that there was support for on-the-job experiences in developing new professionals.

The following twelve competencies, listed in descending order, were judged significant by the expert panel and had a mean value greater than 3.5.

- | | |
|---|--|
| 1. Possesses high degree of integrity | 7. Able to listen and care |
| 2. Maintains ethical behavior in all activities | 8. Able to multi-task |
| 3. Asks questions | 9. Maintains a concern for the students and a realistic expectation for the student to fulfill |
| 4. Assumes responsibility | 10. Understands the concepts of customer service |
| 5. Possesses listening skills | 11. Treats every customer as an individual |
| 6. Enjoys helping people | |

From this list it can be determined that financial aid directors believe the most important competency or trait was "Possess high degree of integrity". Delworth and Yarris (1978) stated in their foundational study of student affairs that one of the four categories of competencies required of new student affairs professionals was ethical concerns. The findings are also supported by Osruth's 1981 study of competencies for entry level student affairs administrators, which included the appreciation and internalization of professional standards and ethics. Similarly, the indication of integrity and ethics is supported in part by the executive-level model presented by Alldredge and Nilan (2000, p.139) in which the number 1 competency listed in their study was a combination of ethics and integrity. Glenn and Engle (1993) support the training of integrity and ethics with their suggestion that there is minimal material on the human aspect of financial aid. Finally, Lovell and Kosten (2000) synthesized 30 years of research relating to successful student affairs administration and concluded that the administrator should possess the traits of personal integrity and cooperation among others.

The panel indicated that asking questions, the ability to multi-task, enjoys helping people and has concern for the students were significant competencies. These findings are supported by Taylor and Shelley (1992) who indicated that the entering financial aid administrator should possess seven key skills which included counseling, communications, and the management of programs, people and operations.

The expert panel came to the conclusion that listening was a desirable trait. This is support in part by Carpenter, Guido-DiBrito and Kelley (1981) when they stated that in the field of student affairs communications was a valuable talent. The findings of the panel also support the significance of communicating effectively as reported by Winston and Miller (1991). Taylor and Shelley (1992) suggested that the ability to speak, write and listen (communications) was one of seven key skills required of a potential candidate. The competencies identified by this study are elements that can be utilized to develop an individualized training program as recommended by McDade (1990).

As a result of this research it is recommended that the competencies identified in this study should be incorporated in the recruitment, selection and training of entry-level financial aid administrators. Hiring supervisors should develop from this list appropriate competency requirements, as they relate to their institution, for the position being filled. Upon employment, the new administrator should be placed in a personalized basic training program to develop the competencies not yet obtained. The competencies identified should also be utilized in the design and implementation personalized training programs for financial aid administrators currently in the industry. This training program would be utilized to develop more competent administrators and should be factored into the annual performance. Credentialing of financial aid professionals should also be examined with the goal of establishing required competencies and experience levels required for professional designation. Considering the current absence of consensus concerning the competencies that a financial aid administrator should possess, the competencies identified should be utilized to conduct presentations and training at State, Regional and National professional conferences with the target audience being the supervisors and managers of entry-level financial aid administrators. Such training should include the development and awareness of integrity, ethics, communication, student development and customer service. It is recommended that future financial aid training programs and courses incorporate the competencies in this study in the curriculum along with technical and regulatory subjects. The establishment of financial aid internships should be promoted due to the high percentage placed on "on-the-job training" by the Delphi panel. It is also recommended that current web-based training programs should be modified to implement the identified competencies not already included in the curriculum.

References

- Alldredge, M. E., & Nilan, K. J. (2000). 3M's leadership competency model: An internally developed solution. *Human Resources Management*, 59(2&3), 133-145.
- Ashley, W. L., & Stump, R. W. (1980). Occupational adaptability and transferable skill: Preparation for tomorrow's careers. In Judith W. Springer (Ed.) *Issues in career human resource development: Research papers from the 1979 ASTD National Conference. Paper No. 5 ASTS Research Series*. Madison, WI: ASTD.
- Baier, J. L. (1985). Recruiting and training competent staff. In M. J. Barr, L. A. Keating, & Associates (Eds.). *Developing effective student services programs* (pp. 212-233). San Francisco, CA: Jossey-Bass, Inc. Publisher
- Brooks, K.W. (1979). Delphi technique: Expanding applications. *North Central Association Quarterly*, 53(3), 377-385.
- Carpenter, D. S., Guido-DiBrito, F., & Kelly, J. P. (1987). Transferability of student affairs skills and competencies: Light at the end of the bottleneck. *NASPA Journal*, 24(3), 7-14.
- Cornell, C. (2000). Staffing considerations in the changing student aid environment. *Student Aid Transcript*, 13(1), 38-40.
- Dalkey, N. C. (1967). *Delphi*. Santa Monica, CA: The Rand Corporation.
- Dellworth, U., & Yarris, E. (1978). Concepts and processes for the new training role. In U. Dellworth (Ed.), *New directions for student services: Training competent staff*, No.2. San Francisco, CA: Jossey-Bass.
- Dillman D. A. (2000). *Mail and internet Surveys: The tailored design method* (2nd ed.). New York: John Wiley & Sons Inc.
- Domeier, P. E. (1977). A study to examine the training of student affairs administrators for specified competency tasks. *Dissertation Abstracts International*, 38, 2580A.
- Flippin, J. L. (1979). *The role of the director of financial aid at senior institutions in nine southern states*. Unpublished doctoral dissertation, University of Mississippi.
- Gall, M. D., Borg, W. R., & Gall, J. P. (1996). *Educational research: An introduction*. (6th ed.). White Plains, NY: Longman.
- Glenn, E. C., & Ingle, M. B. (1993). Improving listening in a financial aid office. *The Journal of Student Financial Aid*, 23(2), 15-22.
- Heist, V. (2002). Job skills of the financial aid professional. *Student Aid Transcript*, 13(4), 17-23.
- Helmer, O. (1983). *Looking forward: A guide to futures research*. Beverly Hills, CA: Sage Publications.
- Lanford, H.W. (1972). *Technological forecasting methodologies: A synthesis*. New York: American Management Association, Inc.
- Linstone, H. A., & Turoff, M. (1975). *The Delphi method: Techniques and applications*. Reading, MA: Addison-Wesley Publishing Company.
- Lovell, C. D., & Kosten, L. A. (2000). Skills, knowledge, and personal traits necessary for success as a student affairs administrator: A meta-analysis of thirty year of research. *NASPA Journal*, 37(4), 553-572.
- McDade, S. A. (1990). Planning for career improvement. *Administration careers and the Marketplace*, 47-55.
- McDougal, J. (1983). The role of counseling in student financial aid-the most critical and sensitive function that takes place in a financial aid office. *The Journal of Student Financial Aid*, 13(2), 31-34.
- McLagan, P. (1996). Great ideas revisited. *Training and Development*, January, 60-65.
- Martino, J. P. (1983). *Technological forecasting for decision making* (2nd ed). New York: Elsevier Science Publishing Co., Inc.
- Moore, D. R. (1975). Certification of financial aid administrators. *The Journal of Student Financial Aid*, 5, 15-20.
- Morris, D. W. (1976). *A compendium of selected abstracts of literature on student financial aid in the United States between 1972-1975*. Unpublished doctoral dissertation, Walden University.
- Moore, C. M. (1987). *Group techniques for idea building*. Newbury Park, CA.: SAGE Publications, Inc.
- Murry, J. W., & Hammons, J. O. (1995). Delphi: A versatile methodology for conducting qualitative research. *The Review of Higher Education*, 18(14), 423-436.
- National Association of Student Aid Administrators (1978). *Characteristics and attitudes of the financial aid administrator*. Washington, DC: Author.
- National Association of Student Financial Aid Administrators (1999). Message posted to <http://www.nasfaa.org/publications/1999/laap82799b.html>
- Nitardy, C. M., & Mclean, G.N. (2002). Project management competencies needed by HRD professionals: a literature review. *Proceedings of the Academy of Human Resource Development*: (Vol. 2., pp. 956-963). Bowling Green, OH: Academy of Human Resource Development.

- Parry, S. B. (1996). The quest for competencies: Competency studies can help you make HR decisions, but the results are only as good as the study. *Training*, 33, 48-56.
- Robins, M., & Phillippe, D. W. (1998). Dreams and reality: Are there differences between actual and desired roles of financial aid directors. *The Journal of Student Financial Aid*, 18, 31-36.
- Schiesz, R. J. (1974). A study of certain professional characteristics of financial aid administrators at institutions of higher education in the state of Illinois. *The Journal of Student Financial Aid*, 4, 25-33.
- Somers, K., Baker, G., & Isbell, C. (1984). How to use the Delphi technique to forecast training needs. *Performance & Instruction Journal*, 26-28.
- Strauss, A., & Corbin, J. (1990). *Basics of qualitative research: Grounded theory procedures and techniques*. Newbury Park, CA: Sage.
- SWASFAA (2001). *SWASFAA Directory*. Shreveport, LA.
- Taylor, G. C., & Shelley, R. (1992). Choosing winners when you assess your job candidates. *Student Aid Transcript*, 4(3), 4-6.
- Thach, L. (1995). Using electronic mail to conduct survey research. *Educational Technology*, 35(2), 27-31.
- Wilhelm, W. J. (2001). Alchemy of the oracle: The Delphi Technique. *The Delta Pi Epsilon Journal*, XXXXIII(1), 6-26.
- Willingham, W.W. (1970). *Higher education survey report No. 2: Professional development of financial aid officers*. Princeton, NJ: College Entrance Examination Board.

Development and Change Through Scenario Planning

*Thomas J. Chermack
University of Minnesota*

*John S. Walton
London Guildhall University*

This paper examines the role of scenario planning as a development and change intervention. To do so, this article provides an overview of scenario planning and an overview of development and change in organizations. The article then builds on the philosophical orientations of development and change through scenario planning introducing the concepts of autopoiesis and requisite variety. The article concludes with implications for HRD professionals.

Keywords: Development and Change, Scenarios, Teleology

Purposes of the Paper

The purposes of this paper are 1) to provide an overview of scenario planning and its key concepts, 2) to use Van de Ven and Poole's (1995) classifications of development and change in organizations to assess scenario planning as a change intervention, 3) to expand on that classification by introducing the concepts of requisite variety and autopoiesis and 4) to discuss the implications of scenario planning as a change intervention for HRD professionals.

Scenario Planning -- Overview and Key Concepts

In essence scenarios are possible futures or contingencies. A set of techniques covered under the umbrella notion of scenario planning can be of significant value in helping an organisation determine its future direction and develop contingency plans in the event of a disastrous occurrence. The facilitation of scenario planning workshops and associated activities should be within the armoury of an accomplished HRD practitioner.

A *scenario* can be defined literally as the script for a play. In management terms it is "a tool for ordering one's perceptions about alternative future environments in which decisions might be played out" (Schwartz 1991, p. 21). Hermann Kahn, who founded the future-oriented Hudson Institute in the mid 1960s, and pioneered the technique of future-now thinking whilst previously working for the RAND Corporation after World War II, was one of the first to adopt the term and develop the concept. He particularly liked the emphasis it gave on creating a story or myth which helped people break out of their mental sets and consider the "unthinkable". "Future-now" thinking encouraged people to write a report that drew upon their imagination as well as detailed analysis, as though they were living at some point of time in the future.

The process of scenario planning generally involves the development of three or four diverse plots and associated narratives, each of which illustrates the possible playing out of major forces driving change within a system, the interrelationship of these driving forces, and critical uncertainties in the environment (Wack 1985).

Shell is the organisation most associated with scenarios. In 1973, the world's biggest oil crisis to date was caused by the Organisation of Petroleum Exporting Countries (OPEC) collectively agreeing to a strategy that tripled the price of oil. The oil companies, with the exception of Shell, were totally taken by surprise. The prevailing mental set was that the companies making up OPEC were so disparate that they would never reach agreement on a collective price raising or production reducing strategy. It was 'thinking the unthinkable'.

Shell, however, had been caught out in the past by relying on conventional forecasting techniques whereby they judged the future through extrapolating from the trends of the past. Experience had taught the company that they were dealing with an increasingly turbulent environment and could be caught out by discontinuities, step-changes, cataclysmic events happening 'out there'. In particular they had not anticipated events in Mexico in the 1960s where the government nationalised the oil wells without compensation. As one of the biggest operators in Mexico, Shell suffered far more than its competitors. It concluded that its previous approach of relying on business projections based on past performance and extrapolated forward in time by regression statistics were totally

Copyright © 2004 Thomas J. Chermack & John S. Walton

inadequate. They concluded, as had Peter Drucker some years previously, "the greatest danger in times of turbulence is not the turbulence - it is to act with yesterday's logic" (1964. P. 14).

Accordingly it incorporated scenarios into its strategic forecasting ideology, anticipated the possibility of a co-ordinated OPEC strategy, and planned the future as though that was a likely happening. But, as subsequent events impacting on Shell have shown, scenario planning is not a panacea. Shell had its blind spots on the environmental front, as demonstrated by the Greenpeace protests that prevented its disposal of the Brent Spar vessel in 1995?

A Group-Based Approach to Scenario Planning

Scenarios can be remarkably simple. One very effective approach is to divide a group into 3. One sub group is asked to visualise an environmentally friendly world 20 years into the future in which the green party is predominant. Ask them to reflect on a typical working day. What do they see when they wake up in the morning? What do they eat for breakfast? Where do they go to work? What transport do they take? What do they note about the physical working environment? And so on.

A second group goes through the same process; only they imagine themselves to be in a world dominated by a political party whose priority is high technology.

A third group are given a free hand to visualise the world assuming that it is the culmination of the trends they are experiencing at the present? What world do they envisage?

After having been given a period of time to give free rein to their creative ideas, a specific question is put to each group by the facilitator in the capacity of a consultant. For example: Your client organisation is considering investing in a large open learning training centre. Is this a good idea? What form should it take? Then finally, their collective ideas are pooled and 'presented' to the client.

The problem with scenarios is that they can still contain blind spots in what Shell have called 'the gentle art of re-perceiving'. Pierre Wack of Shell Oil, who has been one of the most influential figures in developing scenario planning as an accepted management tool, realised that managers' mental models would have to change if scenarios were to have any real impact:

Every manager has a mental model of the world in which he or she acts, based on experience and knowledge. When a manager must make a decision, he or she thinks of behaviour alternatives within this mental model.....From the moment of this realisation, we no longer saw our task (in scenario planning) as producing a documented view of the future.....Our real target was the mental models of our decision makers; unless we influenced the mental image, the picture of reality held by critical decision makers, our scenarios would be like water on a stone (Wack 1985, p. 13)

Midpoint Scenarios

Beckhard and Harris (1987) referred to the value of *midpoint scenarios* in thinking through and refining the desired outcomes of a change process. The technique involves writing a scenario of what the organisation should look like at an intermediate point of the change effort. It should be detailed, and behaviourally oriented in focus and describe what one would expect to see, hear, even feel in the projected situation at the mid point of six months.

They give by way of example a proposed merger between two business sub units with a target for successful implementation in 12 months time. The process entails asking managers involved in the implementation process to imagine themselves in a helicopter, photographing several days of action with a camera that has a very wide-angle lens. Record the detail that the camera would see. Where would the business sub units be in 6 months time? Who would be managing which parts of the work? What would be the information flow? Who would be responsible for which decisions and why?

The approach should not be viewed as an invitation to fantasise problems away. It represents part of a personalised description of what those responsible for the change process are committed to achieving. The task of constructing the midpoint scenario cannot therefore be delegated. The way they describe scenario preparation is akin to structured visioning.

Disaster Scenarios

Many scenarios have been created to enable strategic contingency plans to be developed by bodies such as civil defence and local authorities in the event of possible disasters. Many large organisations have used them to evaluate the likely effects of such eventualities as flood, earthquake and tempest.

Defensive Scenarios

Some organisations use scenarios as part of a visionary way of perceiving the future. Others use them as checking mechanisms on threats to the current organisational steady state or as constraints to proposed courses of action. Shell, for example, have set up a think tank to include those opposed to its policies, who are invited to suggest environmentally friendly solutions to potential issues they might have to face in this area.

A Stepped Approach to Developing Scenarios

Kleiner (1994) proposed the following stepped approach to developing scenarios

1. Refining a Sense of Purpose

Scenarios become no more than an academic exercise unless they address genuine concerns. These should be compelling, shared by the entire group (ideally of between 8-20 people) and beset with uncertainty. Examples of concerns could be 'Should we move towards overseas markets?'; 'What sort of career should we prepare graduate trainees for?'. Articulating the focus is deceptively complicated, especially since participants, although sharing a common interest should have diverse backgrounds. As with visioning, it is important to move beyond the concerns that people think they have to those which truly engage them.

2. Understanding Driving Forces

Scenario building entails an understanding of two different types of driving force. Predetermined forces are relatively predictable. Barring some unforeseen calamity we can predict with reasonable accuracy the number of forty year olds existing in a given country twenty-five years from now. But the vast majority of forces at play contain considerable uncertainties. Will consumers continue to regularly want new media products? Will the tiger economies continue to invest heavily in Western economies? Although it is not possible to know all of the answers one can become far more aware of why events may move in one particular direction, and the implications of such a movement.

The predetermined elements provide the boundaries within which scenarios are constructed; the act of isolating key uncertainties helps identify the key ramifications of the decision. In practice the process can entail members of the group engaging in independent external research.

3. Scenario Plots

Developing scenarios involves creating "classic stories" based on what would happen if some future event or occurrence impacted on the current situation. You create several stories of your own, trying to make each be internally consistent and evocative of a future that takes you out of your prevailing preconceptions. Each story can then be enriched and embellished with accounts of what might plausibly happen. Kleiner referred to scenarios at New York University dealing with the future of global information networks. One possible future in which information flows were dominated by large corporations was called the "keiretsu world", named after the Japanese industrial consortia. An alternative "virtual world" depicted a situation in which large companies were no longer necessary, and information flows were devolved.

4. Strategy, Rehearsal and Conversation

Having developed a small number of scenario plots, consider each in turn. What strategies would be effective assuming that the proposed futures came to pass? What would it feel like to live in those worlds? Insights can be gained by rehearsing the scenarios as though each was a piece of improvised theatre, with each participant in their creation taking the part of a different key player. It also helps to recount the scenarios to others, and draw upon their response to make the world-view richer. The criteria that test the completeness of the process include;

- 1) Will this strategy stand up in, say, a keiretsu world?
- 2) If a virtual world comes to pass, will the organisation be prepared?

Delphi Technique

Over the years a number of techniques have been used to help forecast and gain some degree of insight into a given organisation's future. One well-known approach is called the Delphi technique and it is commonly included in the scenario generation process. It is based on the Ancient Greek tradition of going to the oracle at Delphi for advice. In general terms it entails presenting a given problem to a number of experts or gurus, and independently soliciting their advice on the likely future. Individually they are then presented with the views of the others and given the opportunity to refine their views.

The Delphi method is widely used as a technique to identify technology futures drawing upon a range of experts. It is held to be more at the "certain" end of the future forecasting spectrum compared to the use of scenarios (Ringland 1998). Nevertheless scenario planning, although structured in a somewhat different way, has affinities with the Delphi technique and many approaches to scenario planning similarly draw upon a range of experts. Where it differs from the Delphi technique is the reliance on stories about the future

An Example of Scenario Planning and Delphi in Practice

In 1993, the UK government initiated a “Technology Foresight Programme” through the auspices of the Office of Science and Technology (OST), the lead agency for government funding of the science base through the universities and research councils, with an annual budget of œ1.3 billion. The specific objectives of the Programme are ‘to bring together business people, engineers, scientists and government in networks which identify emerging and longer-term opportunities in markets and technologies’. At an early stage panels of experts were set up to conduct foresight analysis for each of 15 designated economic sectors. Panels were invited to consult as widely as possible with other people in their sector across the country, to form links with other panels where possible, and in the process to consider the following questions

- 1) What are the likely social, economic, environmental and market trends over the next 10-20 years?
- 2) Which areas of R&D and underpinning science, engineering and technology best address those future trends?
- 3) How best can public funds be used to sustain an innovative science base to support future national prosperity and quality of life?
- 4) To what extent should regulation, skills, educational facilities, and other factors be taken into account?

When the panels began their work, the OST organised a series of Delphi surveys seeking views from over 3,000 experts on topics concerning the future of the technologies in the 15 sectors. The results of the first round of questionnaires were analysed and sent back to the original respondents to see if they wished to revise their judgements in the light of the findings. This helped to develop better mutual understanding and consensus on priority topics.

The way the Delphi survey was orchestrated was not successful in this case. There were too many questions; and the postal survey method was alienating and missed out on the face-to-face contact necessary if one is to encourage a dynamic and creative debate. The process might have been more effective had a one-stage questionnaire survey been undertaken that was highly focused on key issues, and then the results been presented for interpretation and debate at a series of interactive workshops. (Anderson 1997)

Development and Change in Organizations

Scenario planning can be classified as an organization development and change intervention. Perhaps the most unique aspect of scenario planning is its inclusion of the individual, group process, and organization levels as its targeted domains of improved performance (Chermack & Lynham, 2002). That is, scenario planning aims to alter the ways in which individuals and groups perceive their world such that seeing the world anew leads to different ways of acting and includes a direct impact on the organization level. Relatively few works have centered on scenario planning as a change intervention, however, scenario planning is more frequently being coupled with traditional strategic planning processes and therefore can be included as a portion of strategic interventions (Cummings & Worley, 2001).

Van de Ven and Poole (1995) provided an assessment and classification of four core approaches to development and change in organizations, namely, 1) life-cycle, 2) teleological, 3) dialectical and 4) evolutionary. Each of these has utility in classifying change in organizations and scholars often integrate varying aspects of these typologies to explain change events.

Life-Cycle Approach

The life-cycle approach to organizational change suggests that change follows a set of phases. Van de Ven and Poole (1995) stated: “According to life-cycle theory, change is imminent: that is, the developing entity has within it an underlying form, logic, program, or code that regulates the process of change and moves the entity from a given point of departure toward a subsequent end that is prefigured in the present state” (p. 515).

Teleological Approach

Teleology is a philosophical doctrine that promotes the idea that a goal or purpose is what guides the alteration of any entity. That is, any entity moves toward a goal or purposeful end state. Most models of strategic planning centered on this approach to change -- specifying the goal or desired future state and then implementing and developing plans to achieve it. “Proponents of this theory view development as a repetitive sequence of goal formulation, implementation, evaluation, and modification of goals based on what was learned or intended by the entity” (Van de Ven & Poole, 1995, p. 516).

Dialectical Approach

Based on the distribution of power, the dialectical approach to change suggests “the organizational entity exists in a pluralistic world of colliding events, forces, or contradictory values that compete with each other for domination and control” (Van de Ven & Poole, 1995, p. 517). Dialectical theory is based on Hegel’s philosophical work. At its essence, Hegel’s view suggested that for every thesis, there exists an anti-thesis, and that synthesis finds some balance or alternative between the two. Organizational change from this perspective requires “two distinct entities that embody these oppositions to confront and engage one another in conflict” (Van de Ven & Poole, 1995, p. 517).

Evolutionary Approach

In the evolutionary approach, change proceeds “through a continuous cycle of variation, selection, and retention” (Van de Ven & Poole, 1995, p. 518). That is, selection happens in industry and organizations according to scarce resources, environmental factors, and competition. While there are a variety of specific viewpoints regarding evolution, its application in the context of organizational change simply promotes the idea of some continuous process of novelty, choice, and then competition to replicate it.

Table 1. *Approaches to Organizational Change (Based on Van de Ven & Poole, 1995)*

Approaches to Organizational Change				
Family	Life-Cycle	Evolution	Dialectic	Teleology
Key Metaphor	Organic growth	Survival	Conflict	Purposeful cooperation Goals
Force	Predestination	Competition	Opposition	

Scenario planning appears to include characteristics of more than one of these fundamental orientations toward development and change in organizations. Thus the remainder of this article will focus on the orientations and characteristics of scenario planning as a development and change intervention, and the implications for HRD professionals.

Scenario Planning as an Approach to Development and Change

Scenario planning exhibits characteristics of the dialectic and teleological approaches to development and change. While the bulk of these characteristics fall into the teleological approach, the core method of operation for scenario planning is through dialogue. While it does not appear that scenario planning requires conflict and opposition, dialogue is the primary means through which mental models and assumptions are revealed, shared and ultimately changed.

Scenario planning most prominently exhibits characteristics of the teleological approach to development and change in organizations. All of the available methods for conducting scenario planning center on a focal issue or goal. Some works have linked scenario planning and system theory on a conceptual level (Ward & Schriefer, 1999), and seem to support the notion that scenario planning follows a teleological approach to organization change. That is, scenario planning begins with some assumptions about development, namely, that organizations strive toward goals and core purposes commonly stated in corporation missions and visions.

Recent developments in system theory pertaining to teleology include the notion of teleogenesis. That is, while it is certainly appropriate to assert that organizations strive to reach goals and accomplish purposes, it is equally appropriate to assert that organizations can generate and create their own purposes.

A *teleogenic* or purpose generating system is a system that seeks a set of related goals for which it was created (Banathy, 1993). Mechanistic and organic systems can be *purposeful*, meaning that they serve some purpose but they do not generate purpose. Teleogenic systems incorporate and build upon the concepts of autopoiesis, and requisite variety. Scenarios and scenario planning incorporate these concepts and are attempts to develop purpose-seeking systems by providing and constructing a vision for the future.

Teleogenic systems can incorporate several other modes of systems: mechanistic, organic and teleogenic (Banathy, 1993, Harkins & Kubic, 2000). For example, the pilot of a sailboat is dealing with several mechanistic systems in the operation of the sailboat, several organic systems in computer navigation and weather systems, and is functioning as the integrative teleogenic system that brings the others together and provides purpose and intent. Teleogenic systems are most effectively and appropriately applied to human systems, because, as Von Bertalanffy (1969) stated, “True purposiveness is characteristic of human behavior, and it is connected with the evolution of the symbolism of language and concepts” (p. 79).

An exciting idea in teleogenetic systems is the notion that there are too many options to plan for any one set of circumstances and the implication is that instead of choosing, and understanding of teleogenetic systems will allow humans to create their own futures (Banathy, 1993). Thus, scenarios and scenario planning allow decision makers within human systems to design custom systems that devise and constantly revise their own purposes and seek new areas of advantage within their own environments. To this end, teleogenetic systems develop what has been referred to as autopoiesis and generate requisite variety. These concepts will be explained and described as they apply to organizations and scenarios.

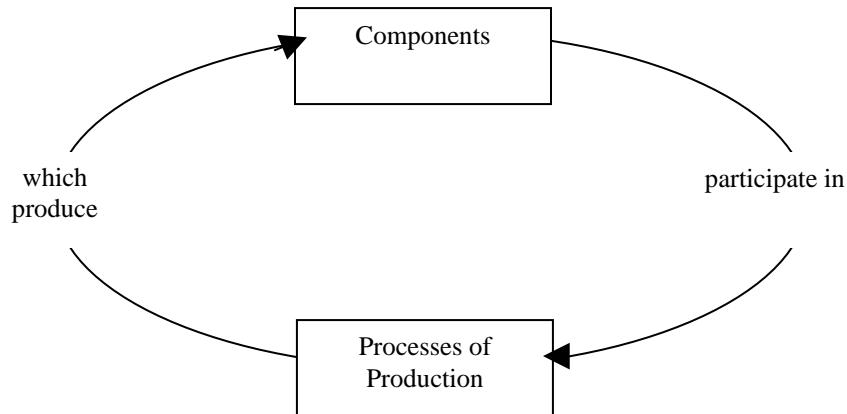
Autopoiesis

Maturana & Varela (1973) based their system theory work on 4 fundamental assumptions about the nature of systems, namely, (1) that systems are autonomous (2) the behavior of the whole is generated by the components and their interactions with neighboring elements (3) observers can perceive both systems and their environments and how they interact and (4) the observation of function can only be made by an observer who can interact with both the components and the whole. Maturana & Varela considered two key questions in the analysis of what differentiates organic system from mechanistic system:

- 1) What is it that a system produces?
- 2) What is it that produces the system?

Maturana & Varela used a cell as an example of a system. Consider for a moment what it is that a cell produces. Cells produce their own components, which therefore produce the cell itself in a cyclical and ongoing process. "A cell produces, and is produced by, nothing other than itself" (Mingers, 1995, p. 11). This is the core of autopoiesis. The word means, literally, self-producing, which is exactly what a cell does. (Figure 1 displays the circular processes of production).

Figure 2. Circular processes of production (Mingers, 1995)



The organization of a system demonstrates the properties of the system as a whole and occurs on a conceptual and abstract level. Organization is found in concrete examples in reality, while structure often refers to the generality lying behind such examples (Mingers, 1995). The distinction between organization and structure is, therefore, in the distinction between the whole and its parts. In these terms, organization refers to the events (often empirically detectable) and structure refers to the underlying assumptions.

In other words, autopoetic networks must continually regenerate themselves in order to maintain organization. Autopoiesis is not confined to the physical world (Mingers, 1995; Martuana & Varela, 1973) thus leaving open the possibility for communication, social systems, or a set of concepts to also be defined as autopoietic systems. A concern around the concept of autopoiesis is in its application to these other systems. Human systems become extremely complex, which makes the origins of autopoiesis within them, something mysterious. Human systems become more abstract because of their complexity. For example, one cannot observe a business organization in the same way that one can observe a cell under a microscope. Thus, a common problem in the application of system concepts is a failure to make the switch in perspective. Looking for characteristics of autopoiesis in human system from the mechanistic perspective will not yield very powerful results. The key to autopoiesis in human system is in the relationships among components.

Autopoiesis is evident in human systems and organizations and can be considered by first asking the same questions posed by Martuana & Varela, which are both critical questions in scenario planning (Schwartz, 1991; van der Heijden, 1997):

The use of heuristics often provides an answer to the first question. For example, the business idea (van der Heijden, 1997) is designed to articulate the key products and processes without which the organization would not exist. The second question is more difficult to answer. The organization system is sustained by the continuous input and output of resources. In today's world, the primary resource of concern is a financial one. If an organization is not financially viable, it will not be in business for long. Thus, business organization systems can be described as autopoietic because they naturally strive to regenerate themselves through the perpetual flow of inputs, processes and outputs and because they must regenerate their resources to sustain themselves.

Scenarios as autopoietic systems. The actual stories generated in the scenario planning process can also be viewed as autopoietic systems. van der Heijden (1997) referred to the notion of the "strategic conversation" (p. 46) which is an example of autopoiesis in the scenario itself. A strategic conversation occurs when individuals participate together, share ideas about patterns, reflect together, build a common course of action, and act together. The strategic conversation is the collective consideration, deliberation, planning, and action of members of an organization. In this context "the learning loop works as a positive feedback loop" (van der Heijden, 1997, p. 47). The assumptions of the strategic conversation are that organization structure exists in action and interaction, and that action and interaction take place through conversation or dialogue.

Requisite Variety

Key to the notion of teleogenetic systems is the concept of system anticipation or preparedness. In systems, this is accomplished through the development of requisite variety. The law of requisite variety states that "the larger the variety of actions available to a control system, the larger the variety of perturbations it is able to compensate" (Ashby, 1956, p. 206). Where requisite refers to "required" (Webster's New World Dictionary, p. 529), this type of variety is that which is required in the environment.

Ashby (1956) used the simple example of a press photographer to demonstrate the concept of requisite variety: "A press photographer would deal with twenty subjects that are (for exposure and distance) distinct, then his camera must obviously be capable of at least twenty distinct settings if all the negatives are to be brought to a uniform density and sharpness" (p. 212-213). This example is simple but the law of requisite variety can also be applied to large, more complex systems.

Requisite variety in scenarios. One function of scenario planning is to provide organizations with the required or requisite variety to cope with the external forces of the business environment. These forces can be multiple and from differing domains, for example, societal, technological, economic, environmental, and political are all environmental domains that contain interrelated forces influencing organizations (Mintzberg, 1994). Scenarios can then be used to "windtunnel" (van der Heijden, 1997, p. 57) the organization itself, and consider possible actions in a considerable number of plausible yet challenging situations. An organization with requisite variety is an organization that has considered many plausible futures and how it might adapt and change to cope with each different environment. An organization with requisite variety is an organization that is relatively prepared for a number of plausible options.

Scenarios allow organization decision makers to think through decisions they might make in the future and consider their possible implications. Because of the imaginary capacity of the stories themselves, an aim of the stories is to provoke managers and executives to think what is considered unthinkable, and to explore the events thought not possible (Wack, 1985). In short, scenario stories help organizations develop preparedness for a *variety* of plausible future environments, thus expanding the adaptability of the organization.

Implications for HRD Professionals

This article has 3 key implications for HRD professionals. First, this article provides a summary of key scenario planning concepts for HRD professionals. Second, it identifies scenario planning as a development and change intervention. The implications of this include the requirement for HRD professionals to be familiar with and knowledgeable about scenario planning practices. Finally, this article has examined the theoretical and conceptual foundations of scenario planning as a change intervention. Based on Van de Ven and Poole's (1995) work, this article has illustrated a teleological set of assumptions that underpin scenario planning interventions and introduced the further concepts of autopoiesis and requisite variety. Conceptually, the case has been made illustrating how scenarios can generate these concepts. However, these concepts are on an abstract level and are difficult to research. Therefore, the object of this article has been to describe the fundamental assumptions that often precede and accompany an engagement in scenario exercises.

While few concrete conclusions can be made at this point, it seems that an important one can: by virtue of its positioning as a development and change intervention and also by its apparent foundation in system theory, scenario planning is within the domain of HRD professionals and therefore HRD professionals should be developing their knowledge and expertise about the phenomenon. Further, an opportunity exists for HRD professionals to research and develop their role in a strategic process that is of increasing importance in today's organizations.

References

- Anderson, J. (1997). Technology foresight for competitive advantage. *Long Range Planning*, 30(5), 675-677.
- Ashby, W.R. (1956). *An introduction to cybernetics*. Part Two: Variety. London,
- Banathy, B.H. (1993). System Design: A creative response to the current educational predicament. In C.M. Reigeluth, B.H. Banathy, & J.R. Olson (Eds.), *Comprehensive system design: A new educational technology*. Berlin: Springer-Verlag.
- Beckhard R., & Harris R.T. (1987). *Organisation transitions - Managing complex change*. Addison Wesley
- Chermack, T. J., & Lynham, S. A. (2002). Definitions and outcome variables of scenario planning. *Human Resource Development Review*, 1(3), 366-383.
- Cummings, T. G., & Worley, C. G. (2001). *Organization development and change*. (6th ed.). Cincinnati: South-Western College Publishing.
- Drucker, P. F. (1964). *Managing for results: Economic tasks and risk-taking decisions*. New York: HarperCollins.
- Harkins, A., & Kubic, G. (2000). The Future of Distributed Competence: Constructing a Post-Education Paradigm. *On the Horizon*, 8(6), 6-9.
- Kleiner A. (1994). Creating scenarios. In P. Senge, A. Kleiner, C. Roberts, R. Ross, B. Smith, (Eds.), *The Fifth Discipline Field Handbook*. (pp. 275-278). New York: Currency.
- Maturana, H., & Varela, F. (1973). Autopoiesis: The organization of the living. In H Martuana & F. Varela (Eds.), *Autopoiesis and cognition: The realization of the living* (pp. 63-134). Reidel, Dordrecht
- Mingers, J. (1995). *Self-producing system: Implications and applications of autopoiesis*. New York: Platinum Press.
- Mintzberg, H. (1994). *The rise and fall of strategic planning*. London: Prentice-Hall.
- Ringland G. (1998). *Scenario planning - Managing for the future*. New York: Wiley
- Schwartz P. (1991). *The art of the long view*. New York: Doubleday.
- van der Heijden, K. (1997). *Scenarios: The art of strategic conversation*. New York: John Wiley.
- Van de Ven, A. H., & Poole, M. S. (1995). Explaining development and change in organizations. *Academy of Management Review*, 20(3), 510-540
- Wack, P. (1985). Scenarios: Shooting the rapids. *Harvard Business Review* 63(6), 139-150
- Wack, P. (1985b). Scenarios: Uncharted Waters Ahead. *Harvard business Review* 63(7), 71-89.
- Webster's New World Dictionary.

Online and Face-to-Face Training: A Cost Matrix

Sharon Jeffcoat Bartley

Jennifer H. Golek

The University of Tennessee

Online instruction gains an increasing presence due to associated benefits, including the ability to disregard geographical and time constraints, and the belief that online training is more cost efficient. This paper provides a discussion of issues to be faced by HRD professionals who intend to move the training environment online in response to current business and academic environments, and provides a matrix to compare costs of online training with traditional training mediums.

Keywords: Online training, Face-to-face Training, Cost Matrix

The advent of the Internet and the widespread adoption of advanced technological measures have led to a new emphasis on online education both in the academic and business worlds by providing unique alternatives for reaching larger audiences than ever before possible. In the academic world, universities now have the ability to provide distance learning opportunities through online classes for students—traditional or non-traditional, full-time or part-time, and international—who perhaps have had limited access to advanced educational opportunities. Online education is especially valuable to those students who juggle demanding work, familial and social schedules that necessitate access to learning in special forms. The idea of online training becomes valuable to the business world as well as trainers also face situations with adult learners who may experience similar constraints especially those of time and geographical distance.

Statement of Problem

The current academic and business environments in the global economy view the implementation of online education and training programs as a necessary avenue for training and implementing programs across the global network. However, the rapid adoption of online education and training has created a void in the literature. Those few studies published to date primarily compare online training to tradition training rather than evaluating the ability of an online training course to meet its predetermined goals (Newton et al, 2002). A study completed by Aragon et al (2002) evaluated learning in the online and “traditional” classroom, and found no significant differences between the methodologies. Given the lack of conclusive research concerning the effectiveness of online training, cost comparison factors may serve as the primary criterion to determine which methodology to use. The question to the academician and to the HRD business professional however becomes how to determine the cost effectiveness of training programs offered online when compared piecewise to the traditional training medium. The cost matrix (see Figure 1) provided in this paper offers the HRD professional a tool or mechanism to compare the costs of training offered online to that of training offered face-to-face in a more traditional setting.

Theoretical Framework

History of Distance Learning

Using distance learning to further educational goals is not a new concept. Late in the nineteenth century, the American public became involved with correspondence education through the postal system. Distance learning eventually evolved with technology through the introduction of radio programming, then local television such as PBS, and eventually to telephone- and video-based courses. In recent years, the availability of Internet access and widespread adoption of affordable personal computers has made online training the largest sector of distance learning (Evans & Haase, 2001). In the early nineteen-nineties, online learning was limited to a small number of expensive electronic classrooms owned and operated by large universities and businesses, but today the technology is pervasive and available to large sections of the public (Kilby, 2001).

The advent of the Internet has had a profound effect on business, forcing the evolution of everything from ordering systems to selling platforms. A similar impact is expected for distance learning. E-businesses are discovering that e-learning has great growth potential, and that this directly equates to increased profits (Kilby,

Copyright © 2004 Sharon Jeffcoat Bartley & Jennifer H. Golek

2001). These impending changes require a reconceptualization of how training courses are designed (Lairson, 1999). The evolution of training had begun, but much still needs to be considered as attitudes and technologies continue to change. These developments are further necessitated as the clientele for training changes. An increased emphasis on globalization, development of increasingly sophisticated communication systems, the need for lifelong learning, and the growth of the earner-learner environment drives these changes. In fact, Price Waterhouse Coopers estimates that approximately seventy percent of large companies cite the lack of trained employees as a major barrier for future growth (Clarke & Hermens, 2001).

The technological infrastructure necessary for online learning is firmly established through recent rapid improvements in bandwidth, the pervasiveness of computers in the household, improved technological standards, the permeation of computers into schools and businesses, and the adaptive nature of technology (Clarke & Hermens, 2001). The majority of moderate and large sized corporations have extensive information technology groups to manage and develop their systems; therefore, adequate resources should exist to form project development groups for extended online training systems. However, if businesses and their HRD professionals fail to recognize the large potential commitment of time and resources to the development, updating and maintenance of these systems, a significant financial and resource drain could be placed on the organization.

Business trainers are primarily faced with training adults who come with many familial and social commitments, and who need the ability to learn without geographic boundaries. Further, these older learners are different from the traditional student in that they are continuous, informal, adaptive, and motivated learners who seek the ability to stay competitive in their lives and also for career advancement (Evans & Haase, 2001).

Models of Online Learning

The face-to-face classroom environment has many established models for optimizing the learning process, but online training currently lacks models upon which to structure its processes. Typically, a common misconception in the application of existing pedagogies occurs when traditional classroom models are merely adapted into the online medium (Shaw, 2001). The main barriers associated with the online learning environment lie not with the technologies currently available, but with the pedagogical assumptions and conceptions underlying their use. The development of innovative and effective methods made possible by advanced technologies are constricted by the narrow perspective of online training held by many who think only of static online tutorials and online books (Kilby, 2001). This greatly hampers the development of innovative and effective methods for completing training online. Given the wide availability of technology in the marketplace, both at learners' residences and workplaces, the options are innumerable. Many practitioners fail to reframe their conceptions of learning and teaching in the online environment, leading to extremely damaging consequences for the students involved in the training. Another problem is the common juxtaposition of pedagogy and technology. Although the natural tendency is to separate them, pedagogy and technology should be considered simultaneously as one designs and develops the online learning experience (Jackson & Anagnostopoulou, 2001).

Online learning is a subset of a collection of learning tools collectively referred to as flexible learning. To date two primary pedagogies have been associated with these learning environments: student-centered learning and experiential learning. Student-centered involves negotiation between the learner and the instructor as to how learning proceeds in the "classroom." Experiential learning allows the learner to exhibit a degree of control over the situation and determines the degree by which he or she becomes involved. Further, experiential learning has a degree of correspondence between the learning environment and the real environment where daily work is conducted (Thorpe, 2000).

The ILDIC model (Integration Learning Design in Multimedia CD-ROM) identifies many required components of e-pedagogy and suggests that the e-learning pedagogue needs to include conventional pedagogy, online awareness, the ability to plan and manage events online, comprehension of the current and future potential of technology, and the ability to interweave technology into the training design (Good, 2001). Taylor (2002) asserts that the following ideas also need to be considered in the implementation of online programs: using online learning efficiently, team-based efforts, additions to existing classroom presentations, both synchronous and asynchronous programs, the trainer learning curve, cost, using multimedia to augment presentations, reaching distance learners, assessing learner needs, ability to access course material, ability to distribute course information, ability to give and receive feedback, class management techniques, techniques to measure results, and procedures to update material. In order to successfully meet these requirements, one needs to devise an infrastructure to support distance learning needs and to orient distance learning programs to traditional programs (Evans & Haase, 2001).

Wild et al (2002) discusses the development of an e-learning value chain within organizations which includes the following steps: assessing and preparing organizational readiness; designing appropriate content; designing appropriate presentations; implementing e-learning. Reducing the training process to a logical value chain provides additional methodologies that may help in the justification of training programs. Presentation of a well thought out

and documented plan is far more likely to gain support than less structured ideas. Further, these steps combined with one of the currently accepted models can constitute a comprehensive and effective e-learning program. The currently accepted models include CBT on the Web (popular for occupational training), synchronous learning and the electronic classroom (Whitlock, 2001).

Issues for Consideration in Comparisons of Online Training with Face-to-Face Training

Benefits of Online Training

The many benefits associated with online training are well discussed in the literature. First and foremost is the current economic situation, which necessitates the need for companies to economize. With more than fifty million workers to re-train, any discovery leading to decreased expenses is extremely well received, and distance training programs have already proved their ability to save millions of dollars each year (Evan & Haase, 2001). In today's rapidly changing work environment, the need for just-in-time training, similar to the many other just-in-time functions such as production, is essential (Wild, 2002). Economic and time benefits achieved from training are essential in the current environment; therefore the creation strategic alliances for the training function have become extremely popular. Businesses and educational institutions have begun to join together to share in the responsibility of building a globally competitive work force (Vincent & Ross, 2001). Firms seek to position themselves to be the most competitive in the new international marketplace, and e-learning is a way to empower such a workforce with the skills and knowledge necessary to create those advantages (Wild, 2002). In order to actually achieve these goals, companies must revise their perception of training as an unredeemable cost to the company and view expenditures to develop human potential as an investment with unlimited potential returns (Vincent & Ross, 2001).

The returns of training, whether traditional or online, include improved performance and attitudes from employees necessary to achieve organizational growth (Kilby, 2001). Online training allows learners to work at their own pace to complete required technical and work related training or complete full degree or certification programs (Taylor, 2002). Online training and education allows learners who would be otherwise denied the opportunity to increase their personal knowledge and abilities, the ability to reach the tools to empower themselves (Furnell, 1998). Further, the use of online and distance training has removed the need to travel in order to join together to learn and study (Cornford & Pollock, 2003). This results in both significant cost reduction and also reduction in lost time and opportunity from having employees away from their responsibilities for extended periods of time.

Evans and Haase (2001) discuss ten benefits of online training that are readily available to companies upon the implementation of these new and innovative programs. These benefits include increases in the impact of the money invested in training programs, significantly reduced employee travel cost and time, the ability to train more people, more frequently and in shorter sessions that are easier to coordinate and schedule. Further, online training is scalable because it offers the ability to add instructors and students as needed, with fewer changes and re-developments. Trainers now have the ability to deliver programs with a consistent message in a way that can quickly be disseminated company wide, with real-time updates and information access. With online training, the concepts for group learning and collaborative problem solving can be delivered to networked sites, including the employee's home.

Online training is learner-centered, which allows learners more control with course pacing, sequencing and styles. The benefits of online training can be achieved through the development of corporate universities or through the use of strategic alliances between technology and media companies, learning and research universities and newly formed and developed e-learning companies (Clarke & Hermens, 2001).

Negatives Associated with Online Training

The integration of online training can have a large impact on the learning and performance of the employees involved in the company processes. Although online learning is becoming mainstream in many organizations, many doubt that it is adequately meeting the needs of either the learner or the organization (Kilby, 2001). There is a continued idea that the online training outputs should only be compared to those that have been achieved previously by the "traditional" training functions. The focus should be shifted to include the evaluation of whether or not online training is meeting the goals that were set out during the planning stage of the training (Jackson & Anagnostopoulou, 2001).

In the HRD function, the important factors focus on the evaluation of learning and performance achieved by these programs. Without such evaluation, one faces the very real possibility that the company will cease to place support in favor of training programs (Jakupec, 2000). Further difficulties encountered in the use of online training programs are faced in the evaluation stage of the program. To date, there has been the inclusion of some assessment, but few formal training evaluation processes have been implemented (Kilby, 2001). In order to justify the results of the training programs, better tools are needed to evaluate the results of training.

Little discussion can be found in the literature about the financial constraints of the online training medium. Although Swanson (2001) discussed assessment of financial benefits of the HRD function as well as proposed how to show the cost and benefit of a training program, others have focused little attention on the comparison of costs between different program options. Phillips (1997) proposed that costing methods should determine "fully loaded costs" – all costs identified and linked to design, development and implementation of a specific program. A case study presented by Philips (1997) provided a cost matrix for a fully loaded program, but again the tool stopped short of comparison between different programs.

Some people fear that too much emphasis is placed on the technology of online courses, often at the expense of the learning and design process. The experience that a learner has in the online classroom is determined largely by the way new learning technologies are presented. The technology must be able to deal with a multitude of learning theories and learning styles (Whitlock, 2001). Vincent and Ross (2001) discuss the directed use of learning styles in the online classroom. They suggest allowing the students to determine their learning styles individually using many readily available online tools. The results of these exercises can be presented to the trainer and used to assist in assessing and meeting the unique needs of the adult learner. Vincent and Ross (2001) present a variety of Internet sites where tools for evaluating learning styles, personality types and multiple intelligences are freely available.

Design Issues concerning Online Training

Although instructional design has always been an important aspect of the HRD job function, the implementation of online learning programs necessitates the need for particular attention to be paid to the design process. A more global view of design must be adopted if online training is to achieve its potential to be adaptable to a multitude of learning environments (multi-national, multi-lingual and international collaborations), reduce travel time, and reduce overall cost to the learning organization (Kilby, 2001). Design methods ensure that a variety of resources and activities are included in the course and that the amount of technology used is not overwhelming to the student (Shaw, 2001). An equitable match should exist between the materials and medium being used in the online training environment, and assurances made that all of the technology is readily available to the learners (Evans & Haase, 2001). Instructional designers must have a concrete understanding of the theory behind their learning models in order to be effective in the online environment (Good, 2001). In the development of online courses the majority of the focus seems to be given to the concrete aspect of the course, with little thought given to the complete integration of e-mail, discussion groups and chat functions. Without the complete integration of such functions, the learner in the online environment can become lost in the virtual world, without recourse in times of need (Kilby, 2001).

Companies reaching the time where employee skills require constant updating to meet changing demands may rush to implement online training courses without the required degree of planning and research jeopardizing the many benefits associated with adequately planned online training (Newton et al, 2002). A dull, unrewarding course taught in the classroom environment becomes even duller and less rewarding in the online environment (Kilby, 2001). Just like in the "traditional" training environment, the users of online learning seek a satisfying learning experience and the perception that they have gained knowledge and skills. By its nature, online training occurs without extensive interaction between members of the class and the trainer, which can lead to an anti-social environment where learners feel isolated (Kilby, 2001). Swanson and Holton (2001) discuss the importance of social learning as part of the learning process in learning organizations. The new online courses must be developed from a learner-centered model, with instruction that begins at the learner's level of current understanding with his/her needs driving the training process.

In order to design effective online training programs, HRD professionals must negotiate the social, economic and political policies that govern and influence the training procedures in place at the company. The HRD professional must effectively and efficiently provide appropriate learning materials to the learners as well as provide for practice for realistic work situations (simulations, for example). A usable mechanism to answer questions and foster discussions among learners must be available as well as an assessment tool(s) to assess learning both effectively and accurately. Trainers and learners must have the ability to access quick and accurate technical support services. Many of these design and learning considerations can be achieved through the use of simple chat and e-mail functions that are readily available with appropriate technology. As an example, even with very limited programming skills, one can create interactive applets that reside on the Internet or on one's personal computer to facilitate the learning of new ideas. However these innovation elements must be incorporated during the design phase, not added as an afterthought.

Another new aspect of instructional design to be implemented is the aspect of online security. To date, significant consideration has not been given to the use of security features for adequate securing of private information. Furnell et al (1998) discuss the security framework that should be considered in the development of these new courses. They consider the online course as a five-stage model: enrollment, study, suspension, completion, and termination. Each of these stages has its own idiosyncrasies and poses potential problems that need

to be clearly evaluated prior to the distribution of online modules for many reasons, but primarily for the protection of proprietary information. The issue of security in the online environment must remain a primary concern of the HRD professional as the necessary learning materials are developed and distributed.

How This Research Contributes to New Knowledge in HRD

This discussion has evaluated issues to be faced by the HRD professional who intends to move the training environment online in response to the current business and academic environments. Corporations are in precarious economic positions at the current time with high emphasis placed on cost reductions in any manner possible. For this reason, the prospect of online training becomes a lucrative option, given that it does not require extensive travel costs or time by large numbers of employees. It is especially effective for those employees in small, remote office locations (Taylor, 2002). Online training has the benefits of scalability, easy access and timeliness, all of which are extremely desirable in today's economic climate (Clarke & Hermens, 2001). Centralization of the training options creates new demands for modules that can affect the interests of learners in many different geographic locations and diverse international areas, requiring new forms of collaboration between the stakeholders in the training process and new ways for those in diverse geographic locations to share this information (Jakupec, 2000). The challenge is to transform a simple printed lesson transmitted via computer technology into an exciting online classroom with powerful interactive features for the learner. The HRD professional should recognize the opportunity afforded by online instruction to implement these new technologies so that the online environment is a rich and value-added teaching methodology.

Online instruction is gaining an increasing presence because of its reported benefits, its ability to consolidate training across geographical and time constraints, and the claim by many that online training is cost efficient. The HRD professional needs a tool with which to justify the development costs of online training. The following metric may prove helpful for making such determinations. This tool is intended to aid the HRD professional in many different ways. First, if those responsible for training wish to proceed with the implementation of online training systems, they will likely need a tool with which to justify the potential costs associated with such a program. Secondly, if those responsible for training are under pressure to implement new online training programs, this tool may also provide an avenue to argue the point for necessary resources. Overall, the need for the financial justification of the conversion to online training programs is necessary. The cost matrix below (Figure 1) provides a methodology to make cost comparisons between online and face-to-face training programs, allowing HRD professionals to begin discussion regarding costs associated with online training programs in their organizations.

References

- Aragon, S.R., Johnson, S.D., & Shaik, N. (2002). The influence of learning style preferences on student success in online versus face-to-face environments. *The American Journal of Distance Education*, 16, 227-244.
- Clarke, T., & Hermens, A. (2001). Corporate developments and strategic alliances in e-learning. *Education + Training*, 43, 256-267.
- Cornford, J., & Pollock, N. (2003). *Putting the university online: Information, technology and organizational change*. Philadelphia: Open University Press.
- Evans, J. R., & Haase, I. M. (2001). Online business in the twenty-first century: An analysis of potential target markets. *Internet Research: Electronic Networking Applications Policy*, 11, 246-260.
- Furnell, S.M., Onions, P. D., Bleimann, U., Gojny, U., Knahl, M., Roder, H. F., et al. (1998). A security framework for online distance learning and training. *Internet Research: Electronic Networking Applications and Policy*, 8, 236-242.
- Good, M. (2001). On the way to online pedagogy. In Stephenson, J. (Ed.), *Teaching and learning online: Pedagogies for new technologies* (pp. 165-174). Sterling, VA: Stylus Publishing Inc.
- Jackson, B. & Anagnostopoulou, K. (2001). Marking the right connections: Improving quality in online learning. In Stephenson, J. (Ed.), *Teaching and learning online: Pedagogies for new technologies* (pp. 53-66). Sterling, VA: Stylus Publishing Inc.
- Jakupec, V. (2000). The politics of flexible learning: Opportunities and challenges in a globalised world. In Jakupec, V. (Ed.), *Flexible learning, human resource and organizational development: Putting theory to work* (pp. 67-84). New York: Routledge.
- Kilby, T. (2001). The direction of web-based training: A practitioner's view. *The Learning Organization*, 8, 194-199.
- Lairson, T. D. (1999). Rethinking the "course" in an online world. *Campus-wide Information Systems*, 16, 186-189.

- Newton, D., Haase, S., & Ellis, A. (2002). Effective implementation of online learning: A case study of the Queensland mining industry. *Journal of Workplace Learning, 14*, 156-165.
- Phillips, J. J. (1997) *Return on investment in training and performance improvement programs*. Houston, TX: Gulf Publishing Company.
- Shaw, K. (2001). Designing online learning opportunities, orchestrating experiences and managing learning. In Stephenson, J. (Ed.), *Teaching and learning online: Pedagogies for new technologies* (pp. 53-66). Sterling, VA: Stylus Publishing Inc.
- Swanson, R. A. (2001). *Assessing the financial benefits of human resource development*. Cambridge, MA: Perseus Publishing.
- Swanson, R. A., & Holton, E.F., III. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler Publishers, Inc.
- Taylor, R. W. (2002). Pros and cons of online learning – a faculty perspective. *Journal of European Industrial Training, 26*, 24-37.
- Thorpe, M. (2000). Pedagogical assumptions in flexible learning. In Jakupec, V. (Ed.), *Flexible learning, human resource and organizational development: Putting theory to work* (pp. 175-192). New York: Routledge.
- Vincent, A. & Ross, D. (2001). Personalize training: Determine learning styles, personality types and multiple intelligences online. *The Learning Organization, 8*, 36-43.
- Whitlock, Q. (2001). Course design for online learning – what's gone wrong? In Stephenson, J. (Ed.), *Teaching and learning online: Pedagogies for new technologies* (pp. 182-194). Sterling, VA: Stylus Publishing Inc.
- Wild, R. H., Griggs, K. A., & Downing, T. (2002). A framework for e-learning as a tool for knowledge management. *Industrial Management & Data Systems, 102*, 371-380.

Figure 1. A Cost Matrix to Compare Online Training to Face-to-Face Training.

		Online Training		Face to Face Training	
		One Time Costs	Per Session Costs	One Time Costs	Per Session Costs
Analysis					
	Analysis Team Costs ¹				
	Office Supplies and Expenses				
	Printing and Reproduction				
	Outside Services				
	Equipment				
	General Overhead Allocation				
	Miscellaneous				
	Total	\$	*	\$	*
Design / Development					
	Design and Development Team ¹				
	Design User Interfaces				
	Asynchronous Computer Systems				
	Synchronous Computer Systems				
	Design Function Elements				
	Asynchronous Computer Systems				
	Synchronous Computer Systems				
	Design Graphical Resources				
	Asynchronous Computer Systems				
	Synchronous Computer Systems				
	Office Supplies and Expenses				
	Program Materials and Supplies (i.e. Film, Videotape, Audiotape, overhead transparencies, artwork, manuals and materials, and miscellaneous)				
	Printing and Reproduction				
	Outside Services				
	Equipment				
	General Overhead Allocation				
	Computer Resources				
	Individual Computer Costs / Upgrades				
	Computer Classroom				
	Server Purchase / Upgrade				
	IT Salary Support ¹				
	Miscellaneous				
	Total	\$	*	\$	*
Implementation					
	Participant Costs ¹				
	Instructor Costs ¹				
	Program Materials and Supplies				
	Participant Replacement Costs				
	Lost Production				
	Facility Costs				
	Facilities Rental				
	Facilities Expense Allocation				
	Catering				
	Equipment				
	General Overhead Allocation				
	Miscellaneous				
	Total	\$	*	\$	*
Evaluation					
	Evaluation Team ¹				
	Participant Costs ¹				
	Office Supplies and Expense				
	Printing and Reproduction				
	Outside Services				
	Equipment				
	General Overhead Allocation				
	Miscellaneous				
	Total	\$	*	\$	*
Grand Total					
	Fixed Costs for Training Session (a+c)	\$	f	\$	f
	Per Training Session Costs (d+g+i)		*		*
	Anticipated Number of Training Sessions		b		b
	Total Overall Costs for all Sessions (e x b)	\$	h	\$	h
	Total Overall Costs (f+h)	\$		\$	
	¹ Personell Computation should include a minimum of the number of participants x average salary x employee benefits factor x projected number of days on project x daily meal expense x average daily travel expense				

Designing an Assessment Model for Implementing a Quality Online Degree Program

Rita L. Dobbs

W. Clayton Allen

The University of Texas at Tyler

This paper will include critical information for administrators and faculty in higher education for developing an assessment model for an online degree program. Determining the assessment process for the program before offering courses will ensure a smooth transition into the online environment so that faculty and administrators will know that the outcomes for the program are being addressed and evaluated.

Keywords: Assessment, Evaluation, Online degrees and Value-added

The purpose of this paper is to provide an assessment model that has been designed and applied to a higher education online degree program. Too many times courses and/or programs are introduced into the online format without formal evaluation plans outlined to determine if the program reflects the aims and purposes of the higher education institution or the department. To be successful, the outcomes of the program, and the process for collecting them, must be established before the first course is offered. Without the assessment model in place, "knee-jerk" reactions will drive the program. Without the outcomes clearly delineated before the program is put in place, quality results cannot be obtained.

Problem Statement

The problem in this study was to develop an assessment model that could be utilized in an online degree in higher education.

Theoretical Framework

Accountability is the norm for all areas of work and education today, and this is especially true for higher education. However, designing an effective accountability system that will truly measure what needs to be measured so that reliable results will be provided is often times difficult to execute. Assessment projects are often times handicapped because the person, institution or entity does not have a clear picture of what truly needs to be assessed (Astin, 1993). Many times organizations keep performing the same kinds of assessments even though the rationale for the assessment has never been established, validated, or evaluated.

When establishing an online degree program, it is imperative that the department and the faculty identify the outcomes, or core values, that a student must obtain as a result of completing the required curriculum. It is not enough to simply give lip service to "outcome assessments" (Astin, 1993). Bothel (2002) identified that "one of the most significant challenges in online course delivery is the testing and assessment component" (p. 99). He further said that the effectiveness of the assessment process is challenged by the unrealistic appraisal of the potential of online education. He stated that distance education skills bias and the limitations of online media also contribute to faulty evaluation methods for online courses. (Bothel, 2002). To ensure that learning outcomes are appropriate to the rigor and breadth of the degree or certificate awarded and that faculty and support staff are appropriately selected and properly utilized, administrators must identify exactly what assessment procedures will be used, how the program will be evaluated, and how the curriculum will be evaluated.

Offering online courses and evaluating them is only one of the pieces to a quality online degree program. A vehicle must be in place to provide the support services that are critical for student success in the online environment. The University of Texas System created the University of Texas Telecampus (UTTC) to provide the support services for students, faculty, and the components that comprise the UT System. The goal of the UT TeleCampus in placing programs online was the creation of collaborative degrees, utilizing the best resources in faculty expertise from all campuses (UT TeleCampus).

The Department of Technology at The University of Texas at Tyler (UTT) followed this model when creating the Master of Science Degree in Technology/HRD option. UTTC offers support to the components of the UT System in instructional design and course development, as well as faculty training in bringing courses from the

Copyright © 2004 Rita L. Dobbs, & W. Clayton Allen

lecture-based classroom to the Web-based classroom. Technological support, policy, marketing research and external communications are among the other essential support services provided to the campus from UTTC; however, the assessment of the program and/or courses is left to the discretion of the component awarding the degree (UT TeleCampus).

Research Questions

This study addressed three research questions:

1. What comprises an assessment model to evaluate a degree program as perceived by faculty and the HRD Academic Advisory Council?
2. How do students rate the quality of the course?
3. How do students assess the services and technical components of the course?

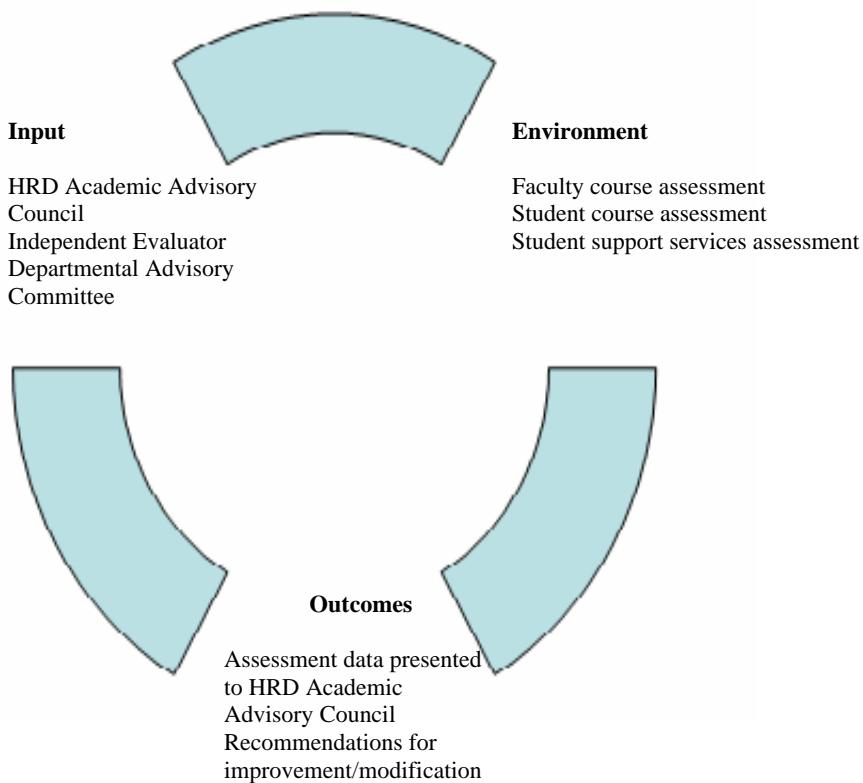
Overview

The Department of Technology, in support of the mission of UTT, is a student-centered department committed to conducting multi-option programs pertinent to today's changing workforce needs. With the creation of the on-campus Master of Science in Technology/HRD option four years ago, the explosion of the enrollment in this newly created program indicated the need to provide the same degree in the online environment. In the spring of 2002, the Department submitted a proposal to UTTC to develop the degree for the online environment over a three-year period. In the proposed third year of the phase-in program, additional courses that enhance the HRD option would allow students to complete the State Board of Educator Certification (SBEC) Trade and Industrial (T & I) alternative teacher certification to help address the critical shortage of teachers in this discipline.

The Trade and Industrial certification prepares Texas teachers to instruct at the secondary level in Texas public schools, to prepare young people to manage the dual roles of family member and wage earner, to enable them to gain entry-level employment in a high-skill, high-wage job and/or to continue their education. T&I certified teachers can teach in the areas of communications and media, construction maintenance, electronics, industrial and manufacturing, metal technology, personal and protective service, transportation, and career preparation systems. The T&I certification can be part of the MS in Technology/HRD degree or students can elect to only pursue the certification. The coursework necessary for the certification process also provides valuable teaching methodologies that can prove beneficial to any person desiring to go into the training and development field.

The online program will be assessed throughout the three-year period through formative and summative measures. Astin's model for assessment, I-E-O, (1993) served as the basis for the assessment model that was to serve in the ongoing evaluation of the courses and the degree program. The Chair and the faculty of the Department identified the targeted outcomes for the program after the proposal for the online degree program was accepted by UTTC. Once the outcomes were decided, the HRD Academic Advisory Council was created to provide a framework for implementing the degree program and then for closing the assessment loop at the end of each year of course offerings by reviewing the faculty and student course assessments and support service assessments. The HRD Academic Advisory Council will determine recommendations for improvements based upon first year assessment data when it meets in the spring of 2004. Recommendations will also be entertained from the Departmental Advisory Committee based upon its end-of-year curriculum review. These recommendations will also feed into the HRD Academic Advisory Council for review and program changes/modifications. The model takes into consideration all aspects of the on campus program and the online program (See Figure 1).

Figure 1. Department of Technology Online Degree Assessment Model



Summary of Program

The Master of Science degree in Technology with the Human Resource Development (HRD) non-thesis option is a 36 semester credit hour degree program requiring two three semester credit hour core courses, *Research Techniques and History and Philosophy of Technology/HRD*, 18 semester hours in the area of concentration of HRD and 12 semester hours of support courses, which can be taken from the other UT components or may include the T&I certification courses. During the last semester of the program, the candidate must successfully complete a written and/or oral comprehensive examination on the coursework of the degree plan.

Students must meet the admission requirements of the UTT graduate school as outlined in the current catalog.

Students completing the certification courses must meet the requirements of the State Board of Educator Certification for T&I teachers. Current guidelines for this program can be accessed at the web site of <http://www.sbec.state.tx.us/certreq/certreq.htm>

The online Master of Science in Technology/HRD option utilizes the resources of UTT, other component institutions, and UTTC. The Department of Technology developed three courses in year one of the online program, three courses in year two of the program and will develop three courses in the final year of the program. UTT utilizes existing component online UTTC courses to round out the degree requirements in the major and support areas.

Assessment of Program

The program is administered by The Department of Technology, and UTT is the degree granting institution as authorized by the Texas Higher Education Coordinating Board. To determine the success of the program and to ascertain if the students exiting the program feel that their education has been value-added, it was necessary for the Department to develop a formal assessment model for the program. Carneval (2001) asserted that administrators do not rely on assessment models to evaluate their online programs. Bothel (2002) stated that online education continues to grow without adequate assessment programs in place.

Because the research is limited in the area of online program assessment, the Department was committed to developing an assessment model that could be administered throughout the three year phase-in process for the degree program and that could be effectively used in an ongoing basis after the program was fully operational. "In essence, the outcomes refer to those aspects of the students' development that the institution either does influence or attempts to influence through its education or practice" (Bothel, 2002, p. 38). In order to develop the assessment model and to determine the formative and summative evaluations, the following areas were identified:

Input

- Program assessment and improvement is based upon the recommendations of the HRD Academic Advisory Council which consists of the faculty members from the Department of Technology developing and teaching courses for the online environment, members from UTTC, and faculty members from the other disciplines on campus who have online degree programs. Currently, the Council consists of 12 individuals.
- Each course that is developed for the online program is sent to an independent evaluator prior to implementation who checks the course for rigorous content, resources, and links to outside information. If the evaluator finds a problem with the course, the faculty member makes the recommended changes before the course is ever placed in the online environment.
- At the annual Advisory meeting, recommendations based upon faculty assessment, student assessment, student service assessment, and Departmental Advisory Committee input will be presented. Decisions for program and course improvement will be determined at that time.

Environment

Course Assessment:

- When the course is first taught, the faculty member developing and teaching the course, conducts a continuous evaluation of course content, comprehension, and logistics problems that occur.
- Standardized course assessment results will be reviewed. This provides consistency in evaluation of all the courses being offered for the degree.
- Assessment of student evaluation regarding the quality of the course will be conducted.
- An assessment of support services provided through the UTTC will be conducted to determine if students are being provided the services that they need to be successful in the online environment.

Outcomes

- Statistical analysis will be conducted to determine the outcomes of the faculty course assessment, the student course assessment, and the student support services assessment.
- Recommendations from the Departmental Advisory Committee, based upon the Departmental Assessment Model, will be reviewed to keep the on-campus program consistent with the online program. These recommendations will be submitted to the HRD Academic Advisory Council.

Conclusions and Contributions to HRD:

The purpose of this paper was to provide an assessment model that can be used to provide formative and summative evaluations of an online degree program. Too many times online courses are introduced without formal evaluation studies conducted to determine if the courses are successful or if students leave the institution with value-added to their education. However, designing an effective accountability system that will truly measure what needs to be measured so that reliable results will be provided is often times difficult to perform. Assessment projects are often

times handicapped because the person, institution or entity does not have a clear picture of what truly needs to be assessed (Astin, 1993).

Based upon the faculty evaluation process, the three faculty members who developed courses will be making their recommendations for changes/improvements to the HRD Academic Advisory Council in the spring of 2004. Those changes, when approved by the Council, will become part of the revision process before the courses are offered for the second time in the spring of 2005. Based upon student course evaluations, 84% of the students strongly agreed that they would recommend this online course to their peers. 90% agreed that the courses were well organized and clearly presented. These results will also be tabulated into table format and presented to the Advisory Council for their recommendations. 89% of the students provided positive comments on the student support services questionnaire. 84% indicated that the course navigation was simple and user-friendly. 71 % reported that they believed the online course to be comparable or better than the on campus courses and 84 % stated that their overall experience with online education was positive.

With the formative assessment process in place for the first three courses, the faculty and Chair of the Department of Technology will have quantitative results to share with the HRD Academic Advisory Council when it meets in the spring semester of 2004. Based upon the faculty evaluations, the student course evaluations, and the student support services evaluation, and considering the recommendations for curriculum improvement from the Technology Advisory Committee, the assessment model is in place and functioning to provide constructive improvement and refinement for the MS in Technology/HRD option.

The Department of Technology has developed a model for assessing an online degree program based upon the model published and validated by Astin (1993). The assessments for the first three courses are currently being analyzed and the results will be reported to the HRD Academic Advisory Council in the spring of 2005.

References

- Astin, W. A. (1993). *Assessment for excellence*. Phoenix, AZ: The American Council on Education and The Oryx Press.
- Bothel, R. (2002). Epilogue: A cautionary note about on-line assessment. *New Direction for Teaching and Learning*, 91(1), 99-104.
- Carnevale, D. (2001) Assessment takes center stage in on-line learning. *Chronicle of Higher Education*, 43, 22-24.
- State Board of Educator Certification. (2003). Approved Educator Preparation Program, 2003 [Data file]. Available from State Board of Educator Certification Web site,
<http://www.sbec.state.tx.us/SBECOnline/edprep/region.asp>
- The University of Texas at Tyler, (2003). Master of Science in Technology, 2003 [Data file]. Available from The University of Texas at Tyler Web site, <http://www.uttyler.edu/technology/mstech.htm>
- UT Telecampus, The University of Texas System, (2003). History, 1997 [Data file]. Available from The UT Telecampus Web site, <http://www.telecampus.utsystem.edu/overview/history.html>

Organizational Politics and Culture: An Essential Attribute of the Mentoring Experience for Women Faculty

*Sharon K. Gibson
University of St. Thomas*

This paper reports on the results of a study on the experiences of being mentored for women faculty that identified the political climate of the organization as an essential attribute influencing their mentoring experiences. The findings identified various aspects of organizational culture and work-life considerations that affected the mentoring that was provided to women faculty. Increased involvement of HRD in the academic organizational context is suggested.

Keywords: Mentoring, Organizational Culture, Women Faculty

Human Resource Development (HRD) is engaged in unleashing human expertise for the purpose of improving individual and organizational performance. Its role in facilitating culture change in organizations is well-documented (Cummings & Worley, 2000; Swanson & Holton, 2001). In the academic environment, however, there have been reports of continued marginalization of women faculty and the culture of academia has been described as less than hospitable to women as they attempt to navigate the various aspects of their positions and environments (Glazer-Raymo, 1999; Hamrick, 1998; Hopkins, 1999). Women faculty frequently view themselves as 'outsiders', feeling both isolated and constrained by the existing structure of academia or due to outside responsibilities. There is often no one readily available to assist women faculty in gaining access to the informational networks and organizational systems that are required for success (Watkins, Gillaspie, & Bullard, 1996).

In addition, junior women believe that family-work conflicts are likely to have an impact on their careers (Aisenberg & Harrington, 1988; "A Study on the Status of Women Faculty", 1999). University work-life programs are described as lagging those in business and industry, which are seen as having a role in supporting the objectives of the organization (Rios & Longnion, 2000). "In sum, cultural, attitudinal, and structural constraints inhibit women's progress" (Glazer-Raymo, 1999, p. 198).

One intervention that has been suggested to enhance socialization, orientation, and career progress of faculty as well as equity for women faculty is the establishment of mentoring relationships (Brennan, 2000; Jackson & Simpson, 1994; Smith, Smith, & Markham, 2000). In addition, it has been proposed that, since women's learning and development may be more rooted in relationships (Gilligan, 1982), mentoring is more beneficial for women, as they have the capacities to use these relationships to better advantage (Johnsrud, 1991). This paper reports on the results of a phenomenological study of the experiences of being mentored for women faculty that identified the political climate of the organization as an essential attribute influencing the mentoring experience. Implications for human resource developers working in academic environments are explored.

Theoretical Framework

Phenomenological inquiry requires that pre-understandings held by the researcher about the phenomenon under investigation be bracketed (i.e., brought into conscious awareness and then set aside), so that the researcher can be fully present to the phenomenon as it reveals itself. Therefore, recognizing that social learning theory informed my understanding of the mentoring phenomenon, I needed to explicitly bracket this prior knowledge and understanding when I embarked on this study. However, it is important to note that the lens of this theory is one that I have found relevant and useful in studying and understanding this phenomenon.

Social learning (cognitive) theory identifies learning as a reciprocal interplay between the person, the environment, and behavior (Bandura, 1977, 1986). Bandura (1986) represented this model as a triangle with each factor bi-directionally influencing the others. "In this model of reciprocal determinism ... behavior, cognitive and other personal factors, and environmental influences all operate interactively as determinants of each other" (p. 23). However, reciprocity does not imply symmetry in the influences that the various factors have on each other. As Bandura asserts, "The relative influence exerted by the three sets of interacting factors will vary for different activities, different individuals, and different circumstances. When environmental conditions exercise powerful constraints on behavior, they emerge as the overriding determinants" (1986, p. 24).

Copyright © 2004 Sharon K. Gibson

In social learning theory, learning is viewed as being firmly situated in its social context. Indeed, environmental factors are noted to be key determinants of learning and behavior. In addition, Bandura's (1977, 1986) description of the components of observational learning highlights the processes necessary for modeling, and as such, provides insights into the factors that influence mentoring.

Description of Methodology

Phenomenology is an interpretive research methodology that is aimed at gaining an in-depth understanding of the nature and meaning of lived experience (van Manen, 1997). Four major philosophical concepts of phenomenology, as founded by Edmund Husserl (1959-1938) are important in phenomenology as a research methodology—intentionality, lifeworld, intersubjectivity, and embodied consciousness (for a description of these philosophical concepts, see Gibson & Hanes, 2003).

In applying the philosophical concepts of phenomenology to research, investigators must go to the lifeworld (the natural world) and study the way in which humans, who are in their natural attitude, experience particular phenomena. In conducting this study, I employed the lifeworld research concepts of openness, encounter, immediacy, uniqueness, and meaning (Dahlberg & Drew, 1997), in an attempt to remain as open as possible to the phenomenon of mentoring from the perspective of the participants who had experienced being mentored. Openness is defined as a “perspective free of unexamined assumptions” (Dahlberg & Drew, 1997, p. 305). Throughout the research process, phenomenologists continually strive for openness in order to allow the phenomenon to present itself as it is. In this methodology, the researcher's role is critical in uncovering the essences of a particular phenomenon. It is through actions taken by the researcher to ensure openness that objectivity is gained in phenomenological research (Dahlberg & Drew, 1997).

Methods

The results reported here are part of a broader phenomenological study that looked overall at the experience of being mentored for women faculty across the variety of mentoring that they had experienced in their academic careers—formal or informal, with a faculty member or administrator, and with male or female mentors at the same or varying ranks—in an attempt to gain an in-depth understanding of the essential nature of this experience. Nine women faculty members who stated that they had been mentored were selected for this study. The key criterion in the choice of these participants was their assertion that they had been or were currently being mentored as a faculty member. A description of the participants is listed in Table 1.

Table 1

Pseudonym *	Rank	# of Years as Faculty Member	Age	Discipline
Laura	Professor	16	44	Social Sciences
Sue	Assistant Professor	6	37	Life Sciences
Barb	Professor	14	49	Behavioral Sciences
Rebecca	Instructor	4	48	Health Sciences
Wendy	Assistant Professor	7	49	Life Sciences
Linda	Associate Professor	11	42	Business
Nancy	Assistant Professor	1	53	Education
Ellen	Professor	22	52	Social Sciences
Lillian	Associate Professor	8	39	Social Sciences

* Pseudonyms were used to ensure confidentiality of responses

The research question for this study was as follows: What is the experience of being mentored like for women faculty? In-depth conversational interviewing was the primary method used to gather the rich descriptions of mentoring from each faculty member. Each interview lasted from 90 to 120 minutes. Questions were generated that focused specifically on the faculty members' concrete experiences of being mentored, staying as close as possible to the experience as it was lived by the participants.

As noted earlier, phenomenological research methodology requires that the researcher employ a number of strategies to remain truly open to the phenomenon being explored and to bring to conscious awareness any

assumptions or biases and setting them aside ('bracketing') so as to allow the phenomenon to present itself. This was done both through a journaling process and by applying lifeworld research paradigm concepts designed to facilitate openness throughout the research process. The tapes of the interviews with each participant were transcribed and these transcripts served as the text for the theme analysis. The text was analyzed using the selective reading approach (van Manen, 1997), which involved looking for phrases or statements that seemed to be essential or revealing about the phenomenon being described. A tripartite structure of analysis—moving from the whole to the parts and back to the whole of the interview text—was employed to ensure full understanding. The identification and revision of themes continued through many iterations with each successive iteration being supported by the actual words of the participants.

This research process led to the identification of five essential themes of the experience of being mentored for women faculty: (1) Having someone who truly cares and acts in one's best interest; (2) A feeling of connection; (3) Being affirmed of one's worth; (4) Not being alone; and (5) Politics are part of one's experience. This article specifically discusses the theme "Politics are part of one's experience" which explicates one of the essential attributes of the mentoring experience for women faculty. Two sub-themes, "A culture committed to one's success fostered mentoring" and "A gap was seen in addressing issues specific to women in academia", are described that assist in explicating this essential theme. Following the description of findings, implications for human resource developers are discussed.

Politics are Part of One's Experience

A Culture Committed to One's Success Fostered Mentoring

Women faculty described political and departmental cultures that affected how mentoring was provided for themselves and others. These women faculty had experiences in a variety of academic environments, which ranged from being unsupportive and, in some cases, detrimental to the woman faculty member's success to, at the other end of the spectrum, being described as a mentoring culture where senior faculty were committed to the success of junior faculty. These various departmental cultures had a large impact on both the mentoring that was available to protégés and on what protégés saw as the possibilities for achievement within their academic environments. Ellen described feeling very lucky to be in a department that had what she saw as a mentoring culture.

It is essentially stated by faculty, if not the department head, that we're here to support these people and if we don't do a good job in the mentoring committee, how else are they going to know what they have to do? So that was very much part of the department culture and perhaps brought on by that policy of having a mentor committee who's responsible for them....We want to show this person's very best side to the Dean and to the rest of the community....it's the department's responsibility to lay that stuff all out and give context. I've just been so lucky. I'll tell you. Really lucky. {Ellen}

She described how a mentor committee was assigned to each faculty member, to assist them in achieving the next position level. This mentor committee assisted in her promotion to full professor.

In our department ... we have a mentor committee. And that mentor committee meets with you, sometimes twice a year, reviews your vitae, your annual report, your goals, whatever you ask them to review and they mentor you....So, to help me gain my promotion to full professor, I had three full professors, two in the department and one outside the department....And I met with them probably once a year to figure out if I'm on track. {Ellen}

Lillian also identified a mentoring culture in her department, in that her colleagues were very supportive when she decided to begin a family.

I think that there's some acknowledgement that as an assistant professor who has a young child or is about to have a young child, there are some things that they're able to do to help out....So there's sort of this general acknowledgement that we can work some things out....It was an issue of how are we going to do this, not whether we were going to do it. {Lillian}

She further described the overall tenor of the department in terms of dealing with these types of work-life issues.

I guess it just seemed to me to be a way to try to help me get to where I needed to be in both my academic career and in my personal life and so the mentoring thing, I think, in my mind, is in both of those arenas. And it's not simply a career mentoring kind of process because at least for me with having now two kids, trying to figure out how to juggle those things is always a struggle and thinking about well, how do I

approach my career so that I have some time for home and how do I approach things going on at home so I still have time for my career and the willingness of this individual in particular to help me out with those kinds of things....And I just see that as a way for me to try to maintain both some kind of academic momentum and some kind of family momentum....I see those things as going together. And so that kind of mentoring has been in more of a generic, sort of, family-career arena. {Lillian}.

Lillian also discussed benefiting from having other women in the department who had been there a long time and had paved the way. These women's experiences and their influence on the department made a substantial difference in her experience as a woman in that department.

I think that their [senior women colleagues] experiences and their influence in the department had a fair amount to do with that feeling that I had, that this was a place that felt like it would be supportive or at least acknowledge the kinds of difficulties that you have as a person on the tenure track and with small kids. {Lillian}

Nancy described a mentoring environment at her university that encouraged the establishment of a mentoring group for junior women faculty.

We actually have the [specific name] club, where all the junior faculty get together ... and then they have senior faculty come in. So it's like a little club where we have guest mentors....But I think if the environment wasn't like that she [the woman who started it] might not have done it. If there wasn't a mentoring environment type of thing. {Nancy}

She also noted that the following message of support was communicated to her during her interviews for the faculty position:

It was kind of like you're going to be here, you're going to be successful, we're going to help you be successful....and all the people that I interacted with through the process, it was, we're committed to you....We are committed to your success. {Nancy}

Ellen described the difference between an environment in which informal mentoring occurred and one with a formal mentoring culture.

At [name of university], I was brand-new to teaching, [I was] junior faculty. And I just simply believe that [mentor's name] saw that as her role. That was her role. And there were four senior ... women who'd been there, full professors who'd been there several years and they were all mentors....And it was a very informal process. Here, however, it really started out as a formal process and the environment required it ...faculty are advocates for non-tenured, tenure-track faculty. That's the difference. There is an advocacy relationship between the non-tenured and the tenured faculty. And it is our responsibility to get those tenure-track people tenured. {Ellen}

A bad department head or a detrimental departmental culture significantly affected women faculty's experience. Wendy recounted her experience of being assigned a 'mentor', whom she did not perceive as performing a mentoring role.

That particular mentor had been given to me by my departmental head, who had issues with me even before I was hired and he was basically a conduit for him. And once the other faculty figured it out, they realized that that had to be stopped. This whole thing had to be more positive and so I got a second mentor who was very good. {Wendy}

Ellen expressed her horror at the tenure committee process in her former institution, which reflected a culture that was not supportive, that did not work to ensure others' success.

So I sat in on the tenure committees there and I was just horrified at the raking over the coals; you know, "Well, she doesn't, look at here. In this class she only got a 4.5 out of 5. And all the rest are 4.7s or 4.8s. Oh, there's a problem there!" Holy mackerel. I mean, it's just rip them apart and tear them up and spit them out. There was no sense of camaraderie and pretty soon you kind of get caught up in it and, "I'd better find something wrong with this person." Because you want to show that you're just as critical as the rest of them. Oh, what a terrible, terrible place to be. {Ellen}

Wendy further noted that, "Politics can ruin mentoring. So people can take the mentoring system and use it as a way to get information on you." People can be called mentors but not provide mentoring. As stated by Wendy:

I think you can subjugate the mentoring system to a spy system, an informational transfer system, where somebody isn't truly your mentor to help you but does give information back to powers in the department. And I got myself in a situation like that. {Wendy}

Protégés perceived that, in some departments, the effort of mentoring does not get rewarded, so people then tend to focus on other priorities of the job that are recognized. As stated by Laura, "I think that the effort also gets not recognized and that's what puts people off from trying to help in those ways, too." Sue described that a change in department heads, who had different priorities about the importance of being mentored, may have been what triggered her being assigned different mentors.

We got a new department head in who taught this process and obviously thought about it differently to the way the department head previously had. And so he thought this was important and so thought we had to do this, and this is what needs to get done and at that point he assigned two faculty members. {Sue}

In discussing one of her mentors, Nancy noted that her mentor's decision to set up a formal mentorship for her and other junior faculty was based on his concern that, "We'd be swimming with sharks." She stated the following: "If you really care about the junior faculty, you tend to set it up to where there's, if it's not formal, at least there's some mentor system in place" {Nancy}.

A Gap Was Seen in Addressing Issues Specific to Women in Academia

The women faculty who had been mentored described a number of gaps in areas specific to being a woman in academia, that were not addressed through an academic mentoring relationship. In some cases, male mentors were not seen as people with whom female faculty could address certain issues. The relatively low numbers of women in senior faculty positions was seen to contribute to this gap in available mentoring. Barb noted that her mentor, while being highly supportive of her career, was also aware of and acknowledged that she might have some specific concerns that were unique to her as a woman. "I think he was sensitive to issues that I might have, and some of them are, when am I going to have these babies?" {Barb}. Although Lillian felt supported by her department in her decision to have children, she was aware that this could be an issue and that other women faculty did not feel the same in other areas of the university.

Some of that decision to have children probably was influenced by the fact that I felt like I could probably do it here. Without incurring too much, I don't know, wrath of the gods or something. Yeah, I did remember talking to this one woman who is an assistant professor in one of the engineering departments here, at a women's faculty dinner, and one of the issues that came up at this dinner was women saying that they were basically afraid to stop the tenure clock for a year because it would signal to their male colleagues that they weren't serious about their jobs. And that's what this woman said, that was her impression. And I had never gotten that impression from colleagues in my department.... And so I thought, well, this is something that's very different. {Lillian}

Although also viewing her mentor as supportive, Barb noted a gap in her mentor's understanding of certain issues facing women in academia.

I felt there are certain areas where either he or I would've felt that he wasn't the best advisor. Like where is it better, which department is more compatible for a woman. That's hard to know, for I think you have to experience it as a woman to really know. And, he might have been concerned about some departments that had a generally bad reputation. But there were certain people in the field he would've thought, they'd be such wonderful colleagues, and I would think to myself, yeah if you're a man they'd be wonderful colleagues. Not so good, maybe, if you're not a man. And there were certain things he was unaware of. I knew of issues within a department in this campus, where I knew women who had had bad experiences, but he would have been oblivious to that.... So I didn't get into issues like that. {Barb}

Sue expressed that she did not see the mentoring relationship as helping her to address work-life balance issues, as the formal mentorship that was established for her was predominantly focused on her work goals.

It didn't help me balance my life the way I feel like I probably should have and that's something that, I'm not sure where I'd get help doing that from. Maybe that doesn't come from a mentoring relationship....The mentoring relationship was more within the work world and what I was doing and how I get this particular goal achieved. But the kind of larger life question, like how do I balance home and work and those things together is a much harder question and I'm not sure where you go for that. {Sue}

Barb spoke of women faculty who would approach her on issues about which they felt less comfortable approaching a male mentor.

And I think particularly this happens with women in a position like mine, because there are so few women and they come in here to talk about, you know, agonizing over some decision of whether to try to have a baby or not before you get tenure or whatever. I mean these issues that they don't want to talk to their mentor about, because their mentor's a man and wouldn't know what the deep issue is about this. Most men wouldn't, anyway. And so occasionally I have mentoring roles with younger women faculty who aren't really my own students but who come for particular issues related to being a female faculty member who's got to make important life decisions, often about children. That's a tough one. And there's no great solution. {Barb}

Linda noted both the lack of women in her profession as well as the political reality that men were better networked.

I found that males in my profession are just generally better connected. It's just a fact of life so it's nice having [a male mentor], I guess just from a practical matter. Because you're more plugged in. It's terrible, but it's true. I mean there are small numbers of women in [my field] that are in academics and especially that are active in research....Especially at the full professor level, the numbers are just quite staggeringly low. They really are. {Linda}

As a senior faculty member, Barb lamented the lack of women mentors, also noting that, at present, men were in a better position to mentor as there were still simply more of them in academia.

And one thing that I've not found that I think is due to scarcity more than anything else, is I've not had much experience with women mentors because there aren't many women in senior levels in my field. It's not uncommon for me to go to a meeting, like a national small group meeting, getting together people to work on some issue or something and be one of one or two women sitting there at a table of eight or ten people. I mean the further along you get, the more scarce women get! And I have certainly known successful women, but I don't think many of them are in a position to mentor, because there are too few of them to really be helpful to all the women who might be interested in learning from them....I think men were in a better position [to mentor] and there are a lot more of them. {Barb}

Issues of balance for women in academia are seen as continuing to be of concern to women entering the field. Barb continued as follows:

And I worry about the young faculty coming up or young graduate students. Some of the issues are still here of, a lot of young women are worried that, they're looking at us as role models and thinking, who needs this? This is like, impossible! Balancing your family life and your career here and we're not attracting as many people as I'd like into academics right now, because it doesn't look that attractive. And particularly young women I think we're doing a disservice to....And it seems to affect the women. {Barb}

Summary: Politics are Part of One's Experience

The results of this study on the experience of being mentored for women faculty identified that organizational politics and culture had a profound impact on protégés' experiences with mentoring in academia. Women faculty found that different political environments and cultures affected their mentoring experiences. These climates varied significantly across the different academic organizations experienced by these participants. Some cultures were viewed as being mentoring ones, where senior faculty were committed to the success of junior faculty. In other instances, an individual designated by a department as a mentor did not fulfill a mentoring role. Other cultures were actually detrimental to the provision of true mentoring. There was recognition that the nature of the mentoring experience was affected by the political climate in which the protégé found herself. The culture of the department affected the faculty member's perceptions as to her possibilities for academic success.

In addition, women faculty were aware that there were issues specific to being a woman in academia that were not always addressed through a mentoring relationship. There were some issues for which male mentors were not seen as being able to provide support. There were limited numbers of women in some fields of academia and they were not present in sufficient numbers to be able to mentor all the women who might have benefited. Mentoring occurred in the context of an academic institution; the awareness of the political realities of this environment was always with the protégé.

Implications for Human Resource Development

The historic and continuing function of HRD has been to maximize employee potential to contribute to overall organizational strength. This role clearly justifies involvement in women's career progress and interest in the ramifications of inadequate support for women in organizations. (McDonald & Hite, 1998, p. 54)

This study supports the notion that the perceived effectiveness of mentoring initiatives for women faculty in higher education is influenced by the culture of the protégé's department and/or institution. A department committed to the success of faculty members facilitated the provision of mentoring and fostered the protégé's belief that she could be successful in the academic environment. In addition, several women protégés identified the critical role played by the department head, either as a mentor or in ensuring that mentoring occurred for new faculty.

The women faculty in this study also expressed an awareness of issues relating to work-life balance. Women faculty made decisions based on work-life considerations; their decisions took into account their current stage of life. The findings indicated an inconsistent message of support for assisting women in dealing with work-life issues. Often university work-life programs were seen as nice perks that "keep the women on campus happy" but not as integral components of the mission of the institution (Rios & Longnion, 2000, p. 8). The difficulty that women experience in balancing work-life concerns in an academic environment may be a contributing factor to their lower rate of success in academia than that of men (Bentley & Blackburn, 1992; Glaser-Raymo, 1999; Hensel 1991).

These findings indicate that there is high potential for HRD to be engaged in a number of structural, leadership, and development initiatives to support the career advancement of academic women. These initiatives are described below:

1. Selecting department heads who are committed to the provision of mentoring should be considered as one means of increasing the likelihood that mentoring will be promoted in that environment. Responsibility for ensuring that mentoring occurs should also be included as part of the department head's responsibilities.

2. A particular type of formal mentoring relationship that was emphasized by the participants in this study was the establishment of mentoring committees to assist each faculty member in attaining the next position level. The establishment of a formal mentoring committee coincided with the perception of a mentoring culture in the department; a culture committed to the success of all faculty members.

3. The establishment of mentoring programs that cross institutions should be considered as a means to avoid some of the political challenges that face faculty. Protégés would be able to seek input on issues that they might not necessarily be comfortable asking in their current institutions. The establishment of broad-based mentoring programs across institutions would help alleviate the discomfort some women experience in addressing traditionally female issues in their current institutions.

4. Mentoring of others should be a component of faculty evaluation for tenure or promotion. This would enable those with a desire to mentor to be better able to allocate time for this important task.

The findings of this study provide support for the recommendations on improving campus climate and the status of women in higher education as identified by the National Initiative for Women in Higher Education. These recommendations included both encouraging and rewarding mentoring and service work with appropriate credit and developing orientation programs for women faculty on such topics as mentoring and networking, negotiating the institution, tenure and promotion, grant-writing, professional development, and understanding institutional politics (Rios & Longnion, 2000). The establishment of these types of institutional structures has the potential for transforming the academy in ways that could have a long-term impact on the experiences of women who choose academia as their career path. As expressed by Lynn Gangone, Executive Director of the National Association for Women in Education:

We need to really move from incremental changes and adding equity and diversity as add-ons somehow to really transforming the academy and looking at what are the structural changes that we need to really make a difference, so that when we talk about excellence in education, equity and diversity are part and parcel of that, not just an addition. (Rios & Longnion, 2000, p. 5)

This study supports the provision of mentoring as an important component of campus climate improvement initiatives for women in the academic environment and points toward the establishment of a new model of academic leadership that is committed to the success of the more diverse population of faculty members that is now present in academic institutions.

These findings make a compelling case for HRD to become more involved in issues related to women in academic organizations. HRD has expertise in aligning cultural interventions to support the development of individuals, which translate into organizational performance. HRD professionals also have expertise in personal development strategies and leadership development, as well as organizational transformation. The needs identified

by this study merit more focus and attention by HRD professionals, as they have skills in and knowledge of change management, systems level interventions, and developmental strategies that will be required for interventions to be effectively implemented in this environment.

The findings of this study on the experiences of being mentored suggests that transforming the academy will require interventions at the individual (mentoring relationships), group (mentoring committees), and organizational (mentoring culture) level. The facilitation of mentoring—individually, departmentally and culturally—is one way to foster this transformation and change in academic institutions. HRD's involvement is both needed and required to make this a reality.

References

- Aisenberg, N., & Harrington, M. (1988). *Women of academe: Outsiders in the sacred grove*. Amherst, MA: The University of Massachusetts Press.
- Bandura, A. (1977). *Social learning theory*. Englewood Cliffs, NJ: Prentice-Hall, Inc.
- Bandura, A. (1986). *Social foundations of thought and action: A social cognitive theory*. Englewood Cliffs, NJ: Prentice-Hall, Inc.
- Bentley, R. J., & Blackburn, R. T. (1992). Two decades of gain for female faculty? *Teachers College Record*, 93(4), 697-709.
- Brennan, M. (2000). Mentoring tenured women chemists. *Chemical and Engineering News*, 78(36), 46-47.
- Cummings, T. G., & Worley, C. G. (2001). *Organization development and change* (7th ed.). Cincinnati, OH: South-Western College Publishing.
- Dahlberg, K., & Drew, N. (1997). A lifeworld paradigm for nursing research. *Journal of Holistic Nursing*, 15(3), 303-317.
- Gibson, S. K., & Hanes, L. A. (2003). The contribution of phenomenology to HRD research. *Human Resource Development Review*, 2(2), 181-205.
- Gilligan, C. (1982). *In a different voice: Psychological theory and women's development*. Cambridge, MA: Harvard University Press.
- Glazer-Raymo, J. (1999). *Shattering the myths: Women in academe*. Baltimore, MD: The Johns Hopkins University Press.
- Hamrick, F. A. (1998, April). "I have work to do": Affirmation and marginalization of women full professors. Paper presented at the annual meeting of the American Educational Research Association. San Diego, CA (ERIC Document Reproduction Service ED 420 251)
- Hensel, N. (1991). *Realizing gender equality in higher education: The need to integrate work/family issues*. (ASHE-ERIC Higher Education Report 2). Washington, DC: Office of Educational Research and Improvement.
- Hopkins, N. (1999, June 11). MIT and gender bias: Following up on victory. *The Chronicle of Higher Education* 45(40), B4-5.
- Jackson, W. K., & Simpson, R. D. (1994). Mentoring new faculty for teaching and research. *New Directions for Teaching and Learning*, 57, 65-72.
- Johnsrud, L. K. (1991). Mentoring between academic women: The capacity for interdependence. *Initiatives*, 54(3), 7-17.
- McDonald, K. S., & Hite, L. M. (1998). Human resource development's role in women's career progress. *New Directions for Adult and Continuing Education*, 80, 53-62.
- Rios, A., & Longnion, J. (2000). *Agenda for the 21st Century: Executive summary*. Minneapolis: University of Minnesota, National Initiative for Women in Higher Education. Retrieved September 7, 2000 from the World Wide Web: <http://www.umn.edu/women/wihe.html>
- Smith, J. W., Smith, W. J., & Markham, S. E. (2000). Diversity issues in mentoring academic faculty. *Journal of Career Development*, 26(4), 251-262.
- A study on the status of women faculty in science at MIT. (1999). *MIT Faculty Newsletter*, XI(4), 1-12. Retrieved April 30, 2000 from the World Wide Web: <http://web.mit.edu/fnl/women/women.html>
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- van Manen, M. (1997). *Researching lived experience* (2nd ed.). London, Ontario, Canada: The Athlone Press.
- Watkins, R. M., Gillaspie, L. C., & Bullard, J. H. (1996, February). *The university community where equity can happen: Getting past the rhetoric*. Paper presented at the 48th annual meeting of the American Association of Colleges for Teacher Education, Chicago, IL. (ERIC Document Reproduction Service ED 393 827)

Do Formal Mentoring Programs Matter?: A Longitudinal Randomized Experimental Study of Women Healthcare Workers

Toby Marshall Egan

Manda H. Rosser

Texas A & M University

We report results from a pretest-posttest randomized experimental study comparing the impact of high versus low facilitation of formal mentoring programs on female healthcare workers' performance and attitudes. Results indicated increases in job performance, job satisfaction, and organizational commitment for mentoring program participants from both groups with larger gains made by the high facilitated group. These results suggest that facilitated HRD interventions have positive effects on the outcomes of mentoring programs for women employees.

Keywords: Mentoring, Performance, Job Satisfaction

Mentoring relationships and formal mentoring programs have received increasing attention in HRD and related literature over the past several years. Studies examining mentoring involvement have indicated that up to two-thirds of employees have engaged in some type of mentoring relationship and that mentoring functions may be especially beneficial for women employees because of the greater barriers they often face as compared to their male counterparts (Chao et al., 1992). Involvement in formal mentoring programs has a variety of benefits for participants (Noe et al., 2002; Wanberg et al., 2003). Two of the most emphasized developmental benefits have been psychosocial and career advancement (Kram, 1985). Despite increasing activity, few empirical studies have been performed examining outcomes of formal mentoring programs (Wanberg et al., 2003). Because of the considerable investment of time and energy on the part of organizations and mentoring participants, a better understanding of the presence or absence of formal mentoring program benefits would be an important contribution (Ragins et al., 2000). No study identified compared women participating in different types of formal mentoring programs or used control groups in the study of females' experiences with mentoring and few studies have examined the impact of formal mentoring participation for women employees. Additionally, clarification regarding the impact of various approaches to the facilitation of formal mentoring programs would be helpful in determining which HRD practices may positively influence mentoring program results.

Purpose of the Study and Research Question

Despite the increase in organizational investment over the past decade or more, there is little research on formal mentoring programs. The handful of well implemented studies has largely failed to distinguish formal mentoring programs in terms of quality and content (Wanberg et al. 2003). Many studies combine formal mentoring programs facilitated by organizations for comparison regardless of whether the mentoring programs are similar in approach. Those conscientiously assembled programs may be compared to other mentoring programs involving a poorly planned arrangement between mentors and protégés without attention to detail or opportunities to support mentoring relationship development. The purpose of the current study is to answer the general question: do formal mentoring programs matter to the development of female healthcare workers? We test a series of hypotheses (clarified below) to evaluate the effectiveness of high versus low facilitated mentoring programs on the development of female employees and whether there are differences between female participants and non-participants in mentoring programs regarding job performance and job related attitudes.

Significance of the Study

Recent comprehensive reviews of the literature by Noe et al. (2002) and Wanberg et al. (2003) identified 192 total mentoring studies, 24 on formal mentoring, 28 on women in mentoring relationships, and 4 comparing mentored versus non-mentored employees and managers. In addition to being one of only a handful of studies to make a systematic comparison between mentor versus no mentor female employees, this study is the first mentoring study of female protégés known to use a randomized participant selection processes, and the first identified to explore specific differences in facilitation approaches between formal mentoring programs for women.

Copyright © 2004 Toby Marshall Egan & Manda H. Rosser

Review of the Literature

The use of mentoring relationships aimed at employee development is rapidly increasing in organizations (Noe, et al., 2002). Some benefits of mentoring relationships include career mobility and advancement (Scandura, 1992), career satisfaction (Chao et al., 1992), career commitment, and career advancement (Scandura et al., 1996), more promotions and higher compensation (Chao et al., 1992) and higher retention (Viator & Scandura, 1991). Although beneficial to personal and professional development, only a portion of the current literature examines mentoring relationships that are situated at work or in job related contexts. It is necessary to better understand how to utilize mentoring in order to enhance the growth of individuals in organizations.

Women in Mentoring Relationships

Because of demographic trends and glass ceiling realities in many organizations, there are typically few women holding upper management positions to serve as mentors (Noe et al., 2002). Mentoring relationships help women integrate and advance in frequently male dominated organizational cultures (Stewart & Gudykunst, 1982). Women who report having a mentor generally identify having greater job satisfaction, career success, greater self-confidence, and a stronger support base than women who do not have a mentor (Noe, et al., 2002). "Mentoring may help women to develop career plans and to acquire a self-identity" (Noe, 1988, p. 462).

Women are more likely than men to report the need for a mentor (Ragins & Cotton, 1991). However, the availability of women in upper management to mentor young female professionals has long been identified as a major challenge for most organizations. This demographic imbalance creates a supply problem for those seeking to be mentored by women executives (Noe, et al., 2002). These gender imbalances necessitate cross-gender mentoring in order to provide women with mentors. If an effective cross-gender relationship can be achieved, the experience can be very beneficial for both the mentor and protégé because they can learn from two different perspectives (Clawson & Kram, 1984). Nelson and Quick (1985) suggest male mentors may be less able to fully appreciate the unique work-related stress and work-family conflicts faced by females.

Although cross-gender mentoring relationships have been found to be effective, research indicates that women who are mentored by women gain unique benefits (Noe et al., 2002). "Based on available research, female mentors may be best suited to prepare their female protégés for the unique sources of stress that women face in the workplace, such as discrimination, social isolation, and coping with work-family conflict" (Noe et al., 2002, p. 164). Female protégés more often report their female mentors provide more role modeling than male mentors (Sosik & Godshalk, 2000). Additionally, female mentors may provide more social support and more strategies for work-life balance to their protégés (Ragins & McFarlin, 1990). Because women are in need of productive and meaningful mentoring relationships, more research needs to be conducted in order to better understand the needs of female professionals seeking development opportunities and how those needs can be met in the context of mentoring (Noe et al., 2002).

Formal Mentoring

Comparisons between formal and informal mentoring relationships have been key themes in recent literature. Informal mentoring relationships are most frequently defined as cooperative and ongoing connections between protégé and mentor instigated and maintained voluntarily (Ragins & Cotton, 1999). Informal mentoring relationships develop naturally without external intervention or planning. On the other hand, an organizational representative typically initiates formal mentoring relationships. Employees or managers are typically invited to participate in externally matched mentor-protégé pairings. HRD practitioners, who shape goals and expectations for participation, facilitate formal mentoring relationships. Parameters for participation may include mandatory introductory sessions or ongoing training, a required number of meeting times, specific discussion topics, and mentor-protégé goal setting.

Expectations for the length of commitment for formal mentoring programs vary; the typical minimum expectation for formal mentoring programs is six to twelve months (Single & Muller, 2001). Similar to formal mentoring practices examined in this study, organizations may use mentoring programs in the retention and promotion of women and minorities and the socialization of new hires (Noe et al., 2002). Because formal mentoring relationships do not emerge naturally, mentor and protégé motivation may be lower than in informal mentoring relationships (Ragins & Cotton, 1999). A formal protégé-mentor relationship may lead to number of circumstances such as: (1) pairing individuals with very different backgrounds and experiences; (2) pairing individuals from different parts of the organization; (3) matching individuals having different expectations; or (4) the relationship may be impeded by low communication abilities on the part of one or both individuals. Given these potential challenges, the mentor-protégé pairing may not be as effective as naturally occurring dyads.

A recent comprehensive review of the literature by Wanberg et al. (2003) identified a significant gap in HRD-related research on formal mentoring. Of the twenty-four studies identified that focused on formal mentoring

program outcomes, only thirteen were determined to be well designed studies. The review found only four studies that explored protégé outcomes in comparison with employees not involved in mentoring. The four published studies identified significant positive results from formal mentoring program participation as compared nonparticipants including: increased career commitment, compensation, job satisfaction, organizational commitment, organizational socialization, promotion, and self-esteem (Ragins et al., 2000). Although the study by Ragins and Cotton (1999) failed to report results reflecting positively on formal mentoring, the outcomes examined were narrowly focused. Additionally, the aforementioned study focused on protégés, from numerous organizations did not control for variation in formal mentoring quality and protocols. Another Ragins and Cotton (1999) study did not describe the manner in which the mentoring programs were formulated and implemented. The current study improves on all other available studies by using randomized experimental design to compare the effectiveness of mentoring programs with different facilitation levels (e.g., high facilitated vs. low facilitated). By comparing formal mentoring programs to a nonparticipating control we may develop more confidence about the potential for a causal linkage between the mentoring participation and mentoring outcomes.

Outcomes Associated with Formal Mentoring

Our study explores the impact of high and low facilitation of formal mentoring programs on three outcomes: job satisfaction, organizational commitment, and job performance we explore the concepts in relationship to mentoring in the following sections.

Job Satisfaction

This study explores whether facilitated mentoring relationships will have a positive effect on job satisfaction for women protégés. Job satisfaction is characteristically defined as an employee's affective reactions to a job based on comparing espoused outcomes with actual outcomes (Cranny et al., 1992). Job satisfaction is commonly acknowledged as a multifaceted construct involving both intrinsic and extrinsic job elements (Howard & Frick, 1996). Porter and Steers (1973) argued that employees anticipate that their jobs will provide a blend of aspects (e.g., pay, promotion, or autonomy) to which the employee assigns preferences. The ranking of these preferences differ across individuals, but if expectations go unmet for an extended period, satisfaction is diminished and the probability for withdrawal behavior increases (Pearson, 1991). Some who study job satisfaction focus on its influence on employee commitment, absenteeism, intentions to quit, and actual turnover (Agho et al., 1993).

There are apparently few studies exploring associations between job satisfaction and mentoring and only four studies that compare employee participants in facilitated mentoring programs to employees reporting they have no mentor. In their meta-analysis focusing mentoring outcomes, Allen, Eby et al. (2002) identified ten mentoring studies utilizing job satisfaction as a dependent variable. These studies identified positive relationships between mentoring and job satisfaction. According to Ragins (1999), men and women do not differ in their increased job satisfaction reactions in association to mentoring experiences. However, comparisons between groups of employees with formal mentors to those without mentors, found no difference between groups with regard to job satisfaction (Chao et al., 1992). It is important to note that the findings in both of the aforementioned studies combined and compared groups from different organizations where the designs and quality of the programs are not described, but are assumed to be similar. Ragins et al. (2000) were unable to identify differences between protégés in formal and informal mentoring relationships in relation to their job satisfaction. In one of only four studies examining an employee-protégé group participating in a formal mentoring program with employees in the same organization without a mentor, increases in job satisfaction were identified in a group participating in formal mentoring relationships over the non-mentored group (Siebert, 1999).

Based on previous findings about the relationship between mentoring and job satisfaction, we proposed in the study a hypothesis associated with this relationship:

HYPOTHESIS 1a. Women participating in high and low facilitated mentoring programs will, on average, have higher job satisfaction than those not in a program.

A formal mentoring program with more facilitation is intended to provide a stronger and more positive impact on protégés' than the mentoring program with less facilitation, therefore, we proposed that:

HYPOTHESIS 1b. For women participating in a high facilitated formal mentoring program, the level of job satisfaction will be higher than those participating in the low facilitated formal mentoring program.

Organizational Commitment

According to Meyer and Allen (1997), employee organizational commitment has been defined in a number of ways including as a process by which the goals of the organization and those of the individual become congruent, an attitude or an orientation that links the identity of the person to the organization, the costs associated with leaving an organization, the perceived rewards associated with continued involvement with an organization, and normative

pressures to behave in a manner consistent with organizational goals. Overall, three major elements are most prevalent in the organizational commitment literature: a moral obligation to remain with the organization, commitment reflecting an affective identification with the organization, and recognition of costs associated with leaving the organization.

Research is fairly consistent in finding an association between being a protégé and favorable outcomes (Wanberg, et al, 2003). In a comparison of those individuals who had mentors and those that did not, the individuals with mentors often have more positive subjective outcomes including career satisfaction, job satisfaction, career commitment, and intention to stay at their organization (Allen, Eby, et al., 2002). Donaldson, et al., (2000) found that high quality mentoring relationship correlated with organizational commitment.

In two separate studies, Ragins and Cotton (1999; 2000) found evidence of increased organization commitment associated with mentoring. In the earlier study, it was found that individuals with satisfying formal mentoring relationship had higher levels of organization commitment than those without mentors. In the next, study both informal and formal mentoring relationships were addressed. No difference in organization commitment between protégés in an informal or formal mentoring program were identified. In addition, the study found that levels of organization commitment were higher in both groups compared with those individuals who did not have a mentor.

Few studies have examined organizational commitment as an outcome variable for formal mentoring programs or mentoring relationships. Donaldson et al. (2000) found high quality mentoring relationships to be associated with organizational commitment and self-reported levels of organizational citizenship behaviors. Ragins and Cotton (1999) found individuals with satisfying formal mentoring relationships had higher levels of organizational commitment than those without mentors. Ragins and Cotton (2000) found no differences between satisfied protégés in formal or informal mentoring relationships and their levels of organizational commitment, but found higher levels for both groups as compared to those without mentors. Two hypotheses associated with organizational commitment were forwarded in this study:

HYPOTHESIS 2a. Women participating in the high and low facilitated formal mentoring program will have greater organizational commitment than those not in the program at the time of the posttest.

HYPOTHESIS 2b. Women participating in the high facilitated formal mentoring program will have greater organizational commitment than those in the low facilitated mentoring group.

Job Performance

Despite this identified need for exploration of performance results in the HRD literature (Holton, 2002), few studies have focused on direct measures of job performance in relation to mentoring participation and no studies have been identified which use managerial or organizational reported measures of protégé performance. Wanberg et al. (2003) emphasize that the “well-established linkages between ability, conscientiousness, motivation, and job performance (Schmidt & Hunter, 1998) and between ability, motivation, and objective career success (Tharenou, 1997) support the need for research that carefully examines the association of mentoring to career success outcomes above and beyond protégé ability, motivation, and other individual.” (p. 14).

Wanberg et al. (2003) found only one study focusing on mentoring performance outcomes. Green and Bauer (1995) identified a significant zero-order correlation between production of published work and participation in informal mentoring, but these results were not significant in a multivariate context in which protégé ability and commitment were controlled. Job performance was used as a control by Day and Allen (2002) who explored mediating effects of career motivation and self-efficacy between mentoring provided and protégé outcomes. Career motivation was found to mediate fully the relationship between self-reported performance effectiveness and involvement in mentoring. Because of the absence of studies exploring the impact of mentoring on performance, this study has the potential to make an initial contribution in the exploration of performance and mentoring interactions. We proposed two hypotheses associated with performance ratings in this study:

HYPOTHESIS 3a. Women participating in the high and low facilitated formal mentoring program will have performance ratings from their managers greater than those not in the program.

HYPOTHESIS 3b. Women participating in the high facilitated formal mentoring program will have higher performance ratings at the posttest than those in the low facilitated mentoring group.

Method

The following section details the specifics of the study such as: research setting and participants, the facilitated mentoring program, research design and procedure, and the measures used.

Research Setting and Participants

This study was conducted within a large metropolitan hospital in the central US. Those who qualified to be included in the mentoring program were 121 employees who worked with the organization for at least six months,

but no more than 24 months. Among these 121 individuals, 109 filled out both pretest and posttest surveys (90 % completion rate). The following analyses were based on these 109 participants. The average age of the sample was 28.3 years old ($SD=2.83$) and average previous work experience was 7.1 years ($SD=3.02$). 8.6 percent of the study participants had associate degrees, 88.5 percent has Bachelor's degrees and the remaining had attained Master's degrees. In the report of demographics, 76.1 percent reported themselves as Caucasian, 10.5 as African American, 7.3 as Latino, 4.4 as Asian and 1.6 as Native American. One hundred percent of the sample was female.

The Facilitated Formal Mentoring Program

The facilitated formal mentor program was part of a larger effort to increase employee satisfaction and organizational commitment while reducing turnover. Mentors internal to the organization were recruited to participate in the program. Following the identification of 121 prospective participants, protégé participation was strongly encouraged and based largely on the commitment by top management in combination with support for participation by prospective protégés' managers. Because of a limited number of mentors, all employees eligible and interested in participation were not provided an opportunity to be paired with a mentor during the six-month period identified for the implementation of the mentoring efforts under study.

Employees were sorted and randomly assigned to one of two groups—high facilitated or low facilitated. Those unable to participate or whose program participation was postponed due to a limited number of mentors became the control group for the study. Protégés assigned to participate in a high or low facilitated mentoring program were assigned to a mentor based on a matching process facilitated by internal HRD practitioners. Before the beginning of the program, all mentors and protégés were informed regarding the expectation that mentors and protégés meet regularly over a six-month period (no specific number of expected meetings was identified). Mentors and protégés were not expected to commit to any interaction beyond the six-month period. The program appeared to be well supported, designed and implemented including: upper level managerial support for the program, clearly defined and communicated objectives, experienced mentors with solid performance records, and clear expectations communicated to mentors and protégés (Kram & Bragar, 1992). Subsequent program evaluations were positive and several measures supported the overall effectiveness of the program. 84.2 percent of protégés reported meeting with their mentors once or more than once per month. Protégés reported that they were, on average, "satisfied" or "very satisfied" (mean = 4.37 $SD = 0.71$ on a five-point scale) with the mentor-protégé relationships.

The major differences between the high and low facilitated mentoring groups involved different participation expectations and actions by the protégés in the high facilitated mentoring group versus the low facilitated group. Both groups participated in a program kickoff meeting where they were mentor-protégé pairs were introduced and were given time to get to know one another. Similarly, both groups participated in an end of program gathering where they were asked to again meet in pairs to discuss the challenges and growth that occurred during the six-month long program. Although both groups were provided written information regarding mentoring and goal setting, the high facilitated group of protégés was asked to meet for one hour once per month during the program to have a "brown bag lunch discussion." Facilitated by an HRD practitioner, this meeting included approximately fifteen minutes of structured discussion about the printed information provided to all protégés on mentoring and goal setting, and an unstructured discussion focused on how the protégé relationships were going with their mentors.

Research Design and Procedure

This study uses a version of a randomly assigned pretest–posttest nonequivalent control group design. One hundred twenty-one employees were randomly assigned to one of three groups of high facilitated mentoring, low facilitated mentoring, and the control group. Twelve of 121 participants later dropped from the study. The final numbers of participants in the high facilitated mentoring group, low facilitated mentoring group, and the control group were 38, 43, and 28 respectively. Questionnaires were administered prior to program participation and immediately following the official termination of the formal mentoring programs six months later. Data on the demographic, control, and outcome variables were collected from all study participants on the time 1 questionnaire. Data on the control and outcome variables was collected again at time 2 from all study participants.

Questionnaire packets were provided to mentoring program participants in intraorganizational mail. Each packet included a letter and study questionnaire emphasizing that participant data would remain anonymous and that respondents would be making a contribution to the organization's understanding of new employee development needs. Participants were asked to bring survey responses to the mentoring program "kickoff" meeting. Those failing to bring the survey were provided one at the meeting. A very few non-attendees sent their surveys into the organization's human resource office via internal organizational mail. Control group members received a similar packet through intraorganizational mail and returned it through the same means within the same timeframe as the participant groups. The time two protocol occurred in the same manner in correspondence with the six-month large group program completion meetings occurring on consecutive days during the same return timeframe as the control group return dates.

Measures

Job satisfaction was measured using the three item overall job satisfaction measure developed by Cammann, Fichman et al., (1983). Responses were obtained on a seven point Likert-type scale (1 =strongly disagree and 7 =strongly agree). A sample item is “in general, I like working here.” In the current study, the Cronbach alphas coefficient values for the measure were .83 and .87 at the pretest and posttest respectively.

Organizational commitment was measured using affiliation commitment items from the organizational commitment scale (OCS) developed by Balfour and Wechsler (1996). Responses were obtained on a seven-point Likert-type scale (1 = strongly disagree and 7 = strongly agree). An example item is “I feel a strong sense of belonging to this organization.” the coefficient alphas values were .85 and .88 at the pretest and posttest.

The *job performance* measures were evaluated by the managers of each protégé and were part of the numerical performance rating utilized by internal human resources. The three items used in this study focused on employee productivity and performance and were rated by each protégé’s manager on a 5-point Likert type scale (5 = exceptional to 1 = unacceptable). The reliability coefficients were .84 and .86 at the pretest and posttest.

Five *demographic variables* were included to assess equivalence between groups. Respondents were asked to report their *age in years*, *years of previous work experience*, and *number of months with the company*, on the blanks provided. They were asked to mark the appropriate category to indicate their *level of educational attainment* (high school through doctoral degree), and *race*.

Results

Table 1 provides matrix of intercorrelations for all measured variables at both pretest and posttest. The group differences of measures at pretest were assessed by multivariate analysis of variance (MANOVA). No significant multivariate effect was detected (the Wilks’ multivariate $F(6, 296) = .24$, $p=.93$). Multiple comparison Bonferroni tests for each variable also showed that time 1 values were not significantly different across three groups. These tests provide evidences to support that three groups were equivalent at the pretest.

Table 1. Intercorrelations Among Studied Variables.

Variable	1	2	3	4	5	6	7
1 Pretest Job satisfaction	.81						
2 Posttest Job satisfaction	.76	.88					
3 Pretest Organizational commitment	.72	.55	.80				
4 Posttest Organizational commitment	.47	.82	.72	.82			
5 Pretest Manager performance rating	.46	.43	.25	.31	.87		
6 Posttest Manager performance rating	.44	.52	.21	.41	.90	.90	
7 Number of mentoring meetings	.21	.25	.19	.23	.36	.35	--

Note. Cronbach alphas are on the diagonal. N=109 for interactions among variables 1-6. N=81 for interactions among variable 7.

To assess the effects of mentoring, we used the multivariate analysis of covariance (MANCOVA), with the posttest measures as the dependent variables, mentoring group status as independent variable, and pretest measures as the covariates. Significant multivariate effects were detected for the covariates, Wilks’ multivariate $F(12, 443.39) = 158.27$, $p<.01$. A significant group effect was also obtained, Wilks’ multivariate $F(6, 283) = 8.77$, $p<.01$.

To evaluate the effect of the mentoring group on individual outcome variable, we conducted a series of univariate analyses of covariance (ANCOVA) controlling pretest measure. Significant effects emerged for all three dependent measures. More specifically, $F(2, 151) = 24.03$, $p< .01$ for job satisfaction; $F(2, 151) = 26.51$, $p< .01$ for organizational commitment; $F(2, 151) = 17.33$, $p< .01$ for person-organization fit; $F(2, 151) = 13.86$, $p< .01$ for manager’s performance rating.

Based on the above ANCOVA models, Bonferroni tests with adjusted marginal means were conducted to simultaneously compare outcome measures for three groups, controlling for the pretest measures. For the job satisfaction, employees in high facilitated group demonstrated higher values than the low facilitated group, and both two groups had higher values than the control group: (adjusted mean=16.82, 15.46, and 14.79, respectively, all $p<.01$). Employees who received high facilitated mentoring demonstrated higher organizational commitment than the low facilitated mentoring, and both mentoring group ratings were higher than the control group: (adjusted mean=14.44, 12.16, and 11.43, respectively, all $p<.01$). Thus, hypotheses 1a, 1b, 2a, and 2b were fully supported. For the manager’s performance rating, employees who received high facilitated mentoring demonstrated higher ratings than the low facilitated mentoring and the control group (adjusted mean=11.84, 10.88, and 10.43,

respectively, both $p < .01$), which provide support for the hypothesis 3b, but the low facilitated mentoring was not significantly different from the control group, thus the hypothesis 3a was only partially supported.

Discussion

This study was the first known randomized longitudinal comparison of the effectiveness of high versus low facilitated mentoring programs on female protégés in a field setting. The results identified significant differences between groups associated with job satisfaction and organizational commitment. Six months following the parallel launch of high and low facilitated programs, women who participated in the high facilitated mentoring program reported greater levels of job satisfaction organizational commitment, and manager performance ratings than the low facilitated group, and both mentoring groups were higher than their non mentored counterparts on the measures of job satisfaction and organizational commitment.

These findings are consistent with previous correlational research demonstrating positive outcomes of mentoring on satisfaction and organizational commitment (Chao, 1997; Chao et al., 1992) and for the first time demonstrated the significant difference in performance ratings for high facilitated formal female mentoring participants and those without formal mentoring. Our results advance the study of the impact of formal mentoring programs because it does not share the threats to internal validity suffered by the majority of the mentoring literature, which uses non-experimental and non-randomized designs. The current study supports the conclusion that the positive effects of mentoring on protégé job satisfaction, organizational commitment, and performance, is likely a characteristic outcome of formal mentoring, and not the result of an implicit selection process on the part of the mentors or protégés. Additionally, support was provided for the notion that formal mentoring designs that engage mentoring program participants beyond the initial pairing and mentor-protégé introductions enhance desired program outcomes, in this case job satisfaction, organizational commitment, and performance.

Contributions to HRD

The relationship between mentoring and HRD can be found in the functions of mentoring and how they link to the three realms of HRD. From an organization development standpoint, mentoring can serve as a function of planned change used to improve employee effectiveness (Hegstad, 2002). Mentoring can serve as a form of on-the-job training to develop key competencies enhancing employees' abilities to perform their job functions, the defining component of training and development (DeSimone & Harris, 1998). In terms of career development, mentoring can be used as a strategy allowing employees to shape and perform their work to better achieve their professional goal (Cummings & Worley, 2001).

This study not only fills a gap in the literature on mentoring relationships, it improves upon the current literature available particularly in the area of women in mentoring. The design of this study is also important in improving the current literature in that few studies have an experimental design. The findings of this study will be effective in developing a better understanding of performance, organization commitment, and job satisfaction as it relates to mentoring relationships. By better understanding this perspective, HRD practitioners can utilize mentoring to improve the development and performance of professionals, particularly female professionals.

References

- Agho, A. O., Mueller, C. W., & Price, J. L. (1993). Determinants of employee job satisfaction: An empirical test of a causal model. *Human Relations*, 46(8). 1007-1020.
- Allen, T.D., Eby, L.T., Poteet, M.L., Lentz, E., & Lima, L. (2002). Career benefits associates with mentoring for proteges; A meta-analysis. *Journal of Vocational Behavior*, 22, 488-507.
- Arvey, R. D., Carter, G. W., & Buerkley, D. K. (1991). Job satisfaction: Dispositional and situational influences. *International Review of Industrial and Organizational Psychology*, 6, 359-383.
- Cammann, C., Fichman, M., Jenkins, D., & Klesh, (1983). Assessing the attitudes and perceptions of organizational members. In S. Seashore, E. Lawler, P. Mirvis, & C. Cammann (Eds.), *Assessing organizational change: A guide to methods, measures, and practices*.
- Chao, G. (1997). Mentoring phases and outcomes. *Journal of Vocational Behavior*, 51, 15–28.
- Chao, G., Walz, P., & Gardner, P. (1992). Formal and informal mentorships: A comparison on mentoring functions and contrast with nonmentored counterparts. *Personnel Psychology*, 45, 619–636.
- Clawson, J. G., & Kram, K. E. (1984). Managing cross-gender mentoring. *Business Horizons*, 27(3), 22-32.
- Cohen, J. (1988). *Statistical power analysis*. Hillsdale, NJ: Erlbaum.

- Cranny, C. J., Smith, C. P., & Stone, E. F. (1992). *Job satisfaction: How people feel about their jobs and how it affects their performance*. New York: Lexington Books.
- Day, R., & Allen, T. (2002, April). *Why are protégés more successful: Explaining the mentoring-career success relationship*. Paper presented at the 17th Annual SIOP Conference, Toronto, ON.
- Donaldson, S. I., Ensher, E. A., & Grant-Vallone, E.J. (2000). Longitudinal examinations of mentoring relationship on organizational commitment and citizenship behavior. *Journal of Career Development*, 26, 233-249.
- Green, S. G., & Bauer, T. N. (1995). Supervisory mentoring by advisers: Relationships with doctoral student potential, productivity, and commitment. *Personnel Psychology*, 48, 537-561.
- Holton, E. F. III (2002). Theoretical assumptions underlying the performance paradigm of human resource development. *Human Resource Development International*, 5(2), 199-216.
- Howard, J. L., & Frick, D. D. (1996). The effects of organizational restructure on employee satisfaction. *Group and Organization Management*, 21(3), 278.
- Kram, K. (1985). *Mentoring at work: Developmental relationships in organizational Life*. Glenview, IL: Foresman.
- Kram, K., & Bragar, M. (1992). Development through mentoring: A strategic approach. In D. Montross & C. Shinkman (Eds.), *Career development: Theory and practice* (pp. 221-254). Springfield, IL: Charles Thomas.
- Meyer, J. P. & Allen, N. J. (1997) Commitment in the workplace: Theory, research, and application. Thousand Oaks, CA: Sage Publications
- Noe, R. A. (1988). An investigation of the determinants of successful assigned mentoring relationships. *Personnel Psychology*, 41, 457-479.
- Noe, R. A., Greenberger, D. B., & Wang, S. (2002). Mentoring: What we know and where we might go. In G. R. Ferris (Ed.), *Research in personnel and human resources management: Vol. 21* (pp. 129-174). Oxford, England: Elsevier Science LTD.
- Pearson C. A. (1991). An assessment of extrinsic feedback on participation, role, perceptions, motivation, and job satisfaction in a self-managed system for monitoring group achievement. *Human Relations*, 44(5), 517-537.
- Porter, L. W., & Steers, R. M. (1973). Organizational, work and personal factors in employee turnover and absenteeism. *Psychological Bulletin*, 80, 151-176.
- Ragins, B., & Cotton, J. (1991). Easier said than done: Gender differences in perceived barriers to gaining a mentor. *Academy of Management Journal*, 34(4), 939-951.
- Ragins, B. R. (1999). Gender and Mentoring relationships: A review of research agenda for the next decade. In G.N. Powell (Ed.), *Handbook of gender and work* (pp. 347-370). Thousand Oaks, CA: Sage Publications.
- Ragins, B.R. & Cotton, J. L. (1999). Mentor functions and outcomes: A comparison of men and women in formal and informal mentoring relationships. *Journal of Applied Psychology*. 84, 529-550.
- Ragins, B., Cotton, J., & Miller, J. (2000). Marginal mentoring: The effects of type of mentor, quality of relationship, and program design on work and career attitudes. *Academy of Management Journal*, 43, 1177-1194.
- Ragins, B. R., & McFarlin, D. B. (1990). Perceptions of mentor roles in cross-gender mentoring relationship. *Journal of Vocational Behavior*, 37, 321-339.
- Scandura, T. A. (1992). Mentorship and career mobility: An empirical investigation. *Journal of Organizational Behavior*, 13, 169-274.
- Scandura, T.A., Tejeda, M.J., Werther, W., & Lankau, M. (1996). Perspectives on mentoring. *Leadership & Organizational Development Journal*, 17(3), 50-56.
- Schmidt, F. L., & Hunter, J. (1998). The validity and utility of selection methods in personnel psychology: Practical and theoretical implications of 85 years of research findings. *Psychological Bulletin*, 124, 262-274.
- Single, P. B., & Muller, C. B. (2001). When email and mentoring unite: The implementation of a nationwide electronic mentoring program. In J. J. Phillips & L.K. Stromei (Eds.), *Creating mentoring and coaching programs* (pp. 107-122). Alexandria, VA: ASTD.
- Sosik, J. J., & Godshalk, V. M. (2000). The role of gender in mentoring: Implications for diversified and homogenous mentoring relationships. *Journal of Vocational Behavior*, 57, 102-122.
- Stewart, L. P., & Gudykunst, W. B. (1982). Differential factors influencing the hierarchical level and number of promotions of males and females within an organization. *Academy of Management Journal*, 25, 586-597.
- Tharenou, P. (1997). Managerial career advancement. In C. L. Cooper & I. T. Robertson (Eds.), *International review of industrial and organizational psychology: Vol. 12* (pp. 39-93). Chichester, England: John Wiley.
- Viator, R. E., & Scandura, T. A. (1991). A study of mentor-protégé relationships in large public accounting firms. *Accounting Horizons*, 5(3), 20-30.
- Wanberg, C. R., Welsh, E. T., & Hezlett, S. (2003). Mentoring research: A review and dynamic process model. In G. R. Ferris (Ed.), *Research in personnel and human resources management: Vol. 22*. Oxford, England: Elsevier Science LTD.

Creating Consumer Resistance through *Adbusters*: Managing Emotion Beyond Organizational Boundaries

*Jennifer A. Sandlin
Jamie L. Callahan
Texas A & M University*

*We explore how the social movement collective *Adbusters* manages consumer emotion to create critical awareness of the negative cultural, social and environmental effects of consumption and bring activists together for social change. Through tactics such as “culture jamming” and “subvertisements,” *Adbusters* seeks to create a “detournement,” or emotional jarring among those who come into contact with its work. By re-interpreting well-established cultural images in sometimes funny, sometimes disturbing ways, *Adbusters* engages in emotional deviance to facilitate social change. We argue that a deeper understanding of the way *Adbusters* works as an organization and the way it manages emotions can help HRD professionals better understand issues of egalitarian leadership and organizational commitment, identity and development.*

Keywords: Consumer Education, Emotion Management, Cultural Analysis

In a recent editorial in Academy of Management Review, Brief and Bazerman (2003) call for organizational researchers to focus their attention on “the consumer.” They believe that “researchers can and should play a part in shaping a world that rewards the creation of goods and services that make the world a better place and that punishes the creation of harmful ones” (p. 187). They call for researchers to “adopt a consumer orientation to the study of management and organizations” (p. 187) and urge them to ask questions like, “Why do some organizations consistently create beneficial products, whereas others create products that inflict great harm upon an unacceptable number of consumers?” (p. 187). To address the “management myopia” they see in current organizational research, they propose adopting a “consumer orientation”. Brief and Brazerman (2003) admit to being “not at all sure” what this type of orientation would look like, but do give an example using the magazine *Consumer Reports*. They argue that “many questions about the organizations, people, and decision processes that produce products and services of superior quality at low prices have yet to be posed” (p. 188) and suggest this is one area a “consumer orientation” to research could start. Other questions they suggest as research starting points include, “How do organizations get away with selling inferior products? Why don’t consumers learn? Why do organizations offer inferior products in their retirement plans? Why is the move toward better products so slow?” (p. 188). They also include as potential objects of study “deceptive advertising, high-pressure credit sales tactics, racial and sexual discrimination against customers, and the production and marketing of unsafe products” (p. 188). In sum, they state that “addressing the why behind firm practices that enhance or harm consumer welfare is bound to benefit our field intellectually as well as morally” (p. 188). We believe that consumer-focused research is also relevant to HRD and has been missing from our research and practice, as well. We hope to begin creating a space for this type of inquiry within HRD.

This current project is a result of the coming together of two of our research interests. Jenny has been interested in consumer education and how to create a more critically-focused consumer education for adults. She has been recently focusing on alternative sites of consumer education, and has been exploring these informal sites of consumer education as social movements. Jamie has been interested in emotion management and the reciprocal influence between the experience and expression of emotion and the social systems that structure our daily lives. These two interests came together when we started discussing the social movement organization *Adbusters*. In this paper we will explore *Adbusters* as a social movement organization that manages consumer emotion to create critical awareness of the negative cultural, social and environmental effects of consumption and brings activists together for social change. This paper thus brings together ideas from consumer education, cultural studies, and emotion management to give insight into how consumer groups are organizing themselves to fight the culture of consumerism within North America.

Traditional Consumer Education

Because we see *Adbusters* as a form of critical, nonformal consumer education, we will begin by presenting an

Copyright © 2004 Jennifer A. Sandlin & Jamie L. Callahan

overview of how consumer education has traditionally been defined, and then discuss how a critical framework positions *Adbusters* differently. In doing so we hope to set the context for our discussion of *Adbusters* as a social movement organization. The term “consumer education” conjures up images of learning how to perform price comparisons, make budgets, balance a checking account, and calculate interest on a mortgage. Consumer education has been defined as the “process of gaining knowledge and skills to manage personal resources and to participate in social, political, and economic decisions that affect individual well being and the public good” (Bannister, 1996, p. 1). Throughout the history of consumer education, practitioners have been concerned with improving the “economic level of living for all citizens” (Bannister, 1996, p. 5), and have focused on three broad areas of education: consumer choice and decision making, personal resource management, and citizen participation (Bannister & Monsma, 1980). More recently, the National Institute for Consumer Education, or NICE, (1996), outlined a new “blueprint” for consumer education and called for a renewed consumer education effort in the United States. In this blueprint, NICE argues that because consumers today operate within an increasingly complex marketplace characterized by massive amounts of information to process, more product choices, and more opportunity for fraud, they require a wider range of skills and knowledge than ever before. NICE posits that consumer education can create knowledgeable consumers who are better equipped to participate effectively in the modern marketplace. NICE (1996) describes what life could be like after consumer education:

Individuals and families able to handle the complex financial decisions of daily life experience an enhanced quality of life. They have the personal satisfaction of being in control of their lives and are more likely to be satisfied with their social and economic environment. They are less likely to need government assistance such as consumer protection (p. 7).

Learners involved in “traditional” consumer education are thus taught more informed ways to navigate the consumer world and “better” ways of making consumer decisions. This kind of consumer is the goal of traditional consumer education (Ozanne & Murray, 1995, p. 519).

The View from Cultural Studies

If one examines consumer education through a different lens – that of cultural studies – one sees a very different purpose of consumer education. Sardar and Von Loon (1999) provide the following characteristics of cultural studies: First, they state that “cultural studies aims to examine its subject matter in terms of *cultural practices* and their *relation to power*. Its constant goal is to expose power relationships and examine how these relationships influence and shape cultural practices” (p. 9). Using this point of view, we see consumer education as focusing on consumption as a cultural practice. We also see resistance to consumerism as happening within the cultural realm, as we will show in our analysis of *Adbusters*, one site of consumer resistance. Second, “cultural studies is not simply the study of culture as though it was a discrete entity divorced from its social or political context. Its objective is to understand culture in all its complex forms and to analyze the *social and political context* within which it manifests itself” (p. 9). That is, culture is not neutral, it is political and exists within a particular historical and social time. The consumer culture that has been created in North America acts in many ways to oppress; resistance to this same consumer culture works to counteract this oppression. Three, “culture in cultural studies always performs two functions: it is both the *object* of study and the *location* of political criticism and action. Cultural studies aims to be both an intellectual and a pragmatic enterprise” (p. 9). Raymond Williams, often considered one of the intellectual fathers of cultural studies argued, after Gramsci, another major intellectual influence on cultural studies, that “the rule of capital is inherently contradictory” (Rojek, 2003, p. 105). Rojek (2003) goes on to explain this position, arguing that “because hegemony is never universal, its contradictions cannot be entirely assuaged or masked by bourgeois organic intellectuals or spin doctors. In as much as this is so, hegemony has to be understood as a matter of perpetual struggle between contending forces.” (p. 105). Finally, Sardar and Von Loon (1999) posit that “cultural studies is committed to a *moral evaluation* of modern society and to a *radical line* of political action. The tradition of cultural studies is not of value-free scholarship but one committed to social reconstruction by critical political involvement. Thus cultural studies aims to *understand and change* the structures of dominance everywhere, but in industrial capitalist societies in particular” (p. 9). Towards this end, we take a stand against the all-pervasive consumer capitalism that has created harsh material existences for so many, and we are interested in how consumer education/activist groups like *Adbusters* actually go about confronting consumer culture.

Using the theoretical framework of cultural studies helps us to see consumer education differently. Whereas in traditional consumer education, consumption refers to the “acquisition, use, and divestment of goods and services” (Denzin, 2001, p. 325), within the framework of cultural studies consumption “represents a site where power, ideology, gender, and social class circulate and shape one another. Consumption involves the study of particular

moments, negotiations, representational formats, and rituals in the social life of a commodity. The consumption of cultural objects by consumers can empower, demean, disenfranchise, liberate, essentialize, and stereotype" (Denzin, 2001, p. 325). Within this framework, people do not consume to satisfy utilitarian needs. Rather, consumption is viewed as "a social activity that integrates consumers into a specific social system and commits them to a particular social vision. In other words, consumption does not stem from the realm of nature. . . but from the realm of culture" (Ozanne & Murray, 1995, p. 522). Cultural studies also regards culture as inherently political, seeing culture as "a terrain of conflict and contestation. It is seen as a key site for the production and reproduction of the social relations of everyday life" (Storey, 1996, pp. 2). From a cultural studies framework, consumer education can thus be viewed as a site where adults learn about consumption. If consumption is inherently cultural, and culture is inherently political, consumer education can be reframed as a political site where adults learn particular ways of relating to consumer culture and consumer capitalism—a site where consumers are constructed to have particular reactions to consumption and consumerism.

From a cultural studies point of view, then, consumer education helps create particular types of consumers, crafting certain types of dispositions, relationships with consumer capitalism, and ways to "read" consumer culture. While there are many different reactions to consumer culture, depending on the kind of consumer education one is engaged in, including embracing consumption and individually questioning consumption, we are interested in a type of response we are calling "collectively politicizing and fighting consumption." Similar reactions to consumer culture have been called "participatory consumerism" (McGregor, 2001) and "reflexively defiant consumers" (Ozanne & Murray, 1995).

This reaction is found in some informal sites of consumer education which seek to fight against the hegemony of consumerism. They seek to craft "anti-consumers" who recognize that the "hegemonic cultural logic of consumerism systematically permeates public, discursive, and psychic spaces, dictating that our lived experiences are increasingly shaped and monitored by marketers" (Rumbo, 2002, p. 134). This arena of consumer education seeks to problematize the naturalization of consumer culture. Consumers operating within this realm of consumer education form a "different relationship to the marketplace in which they identify unquestioned assumptions and challenge the status of existing structures as natural" (Ozanne & Murray, 1995, p. 522). This arena of consumer education often takes the form of social movements, made up of activists focusing on issues such as the environment, fair labor practices, corporate globalization, and global capitalism. Most participants range ideologically from the political left to radical anarchy. Some examples of groups in this very broadly defined movement include the fair labor activist group Students against Sweatshops, the explicitly anti-consumption festival Burning Man, and the anarchist anti-consumption group L'Ombre Noire. These anti-consumers have dropped the natural attitude "toward the existing order and, instead, question economic, political, and social structures" (Ozanne & Murray, 1995, p. 516). These groups see culture as a site of resistance, and use subversive tactics to "jam" consumer culture using the very signs (such as advertising) that constitute that culture. Culture jamming involves fighting against the corporatization and branding of America through interrupting the normal, everyday, taken-for-granted flow of life (Lasn, 1999).

Adbusters

One of the more well-known loose collectives of such activists are those that create, read, and participate in activities inspired by the *Adbusters* Media Foundation, which publishes *Adbusters* magazine. Based in Vancouver, British Columbia, *Adbusters* describes themselves as "a global network of artists, activists, writers, pranksters, students, educators and entrepreneurs who want to advance the new social activist movement of the information age. Our aim is to topple existing power structures and forge a major shift in the way we will live in the 21st century" (from the website www.Adbusters.org). *Adbusters* magazine is a reader-supported, not-for profit magazine with an international circulation of 85,000 and contains reader-supplied letters and articles, commentaries by activists from around the world, and photographs and stories highlighting readers' social dissent. *Adbusters* also hosts a website (www.Adbusters.org/) where activists can read about new anti-consumption campaigns, download toolkits, posters, stickers, and flyers for distribution, post information about their own activist resistance, and read about others' acts of resistance. Some of the ongoing campaigns sponsored by *Adbusters* include "Buy Nothing Day," "TV Turnoff Week," "Reclaiming Urban Space" (a "placejamming" project, wherein public spaces are reclaimed and nature is re-introduced to urban places), and "Commercial Free Schools."

Adbusters states that ultimately, it is "an ecological magazine, dedicated to examining the relationship between human beings and their physical and mental environment. We want a world in which the economy and ecology resonate in balance. We try to coax people from spectator to participant in this quest. We want folks to get mad about corporate disinformation, injustices in the global economy, and any industry that pollutes our physical or mental commons" (from www.Adbusters.org). We see *Adbusters* as a form of informal, critical consumer education that seeks to create consumer resistance and raise awareness of corporate wrong-doing.

In the next section of this paper we will discuss how *Adbusters* goes about creating anti-consumptive resistance. What all of these modes of activism/education discussed below have in common is that they ultimately work on an emotional or non-rational level to create a particular feeling in the learner/viewer/activist. Through its magazine and website, *Adbusters* works through visual art to elicit this response, and encourages its readers and participants to create art—both visual and performance art—to be used as cultural resistance. Thus *Adbusters* works within the realm of culture to bring about gut-level reactions which they hope will ultimately lead to a new vision and practice of a less consumer-driven society.

Culture Jamming

Anti-consumerism activism goes well beyond reading *Adbusters* magazine. *Adbusters* advocates direct forms of activism they call “culture jamming.” Culture jamming involves fighting against the corporatization and branding of America through interrupting the normal, everyday, taken-for-granted flow of life (Lasn, 1999). Lasn (1999) sees culture jamming as being a social movement with great power to transform society:

We believe culture jamming will become to our era what civil rights was to the ‘60s, what feminism was to the ‘70s, what environmental activism was to the ‘80s. It will alter the way we live and think. It will change the way information flows, the way institutions wield power, the way TV stations are run, the way the food, fashion, automobile, sports, music and culture industries set their agendas. Above all, it will change the way we interact with the mass media and the way in which meaning is produced in our society. (p. xi)

Culture jammers resist and rebel against consumerism through a variety of activities including organizing and participating in the campaigns listed above, producing cyber petitions, virtual sit-ins and virtual protests using the internet, and producing “subvertisements” (discussed below) and placing them in public spaces. In one example of culture jamming, activists targeted a Gap store, where they pasted anti-Gap “subvertisements” in dressing rooms. During this campaign other activists dressed up like Gap employees and infiltrated the store while trying to educate would-be shoppers about the labor rights abuses of the Gap corporation and urging them to buy nothing or to shop at the local thrift store. The *Adbusters* website helps to educate activists and future activists about the latest campaigns, and provides space for culture jammers to share their activities with and learn from others. Activists also learn together as they participate in rallies and actions in public spaces.

Subvertisements and “Uncommercials”

One way to jam culture is through subvertising, for which *Adbusters* magazine is perhaps most famous. These subvertisements are akin to anti-advertisements against large corporations, and have targeted such brands as the Gap, McDonald’s, and Absolut vodka. Through subvertising, *Adbusters* seeks to raise the critical consciousness of consumers about the power and impact (cultural, environmental, psychological, social) of advertising and the corporations that create and plaster our culture with advertisements. What makes these subvertisements so effective, so memorable and attention-grabbing, is that they mimic “the look and feel of the target ad, prompting the classic double take as viewers realize what they’re seeing is in fact the very opposite of what they expected. Subvertising is potent mustard” (Lasn, p. 131). Bordwell (2002) explains that

to spread critical awareness about advertising’s power, *Adbusters* fights fire with fire. Rather than launch highbrow missives or scholarly analyses, *Adbusters* critiques marketing by co-opting the slick, visually appealing techniques of marketing itself. This signature rhetorical strategy lampoons specific name brands – Camel, Marlboro, Benetton, Calvin Klein – but also, and more important, throws into question the entire advertising industry. (p. 238)

Put more succinctly, *Adbusters* “confronts consumption by targeting the purveyors of excess consumption and challenging them on their own turf. It promotes access to the media as engaged citizens, not passive consumers” (Bordwell, p. 239). Thus through these subvertisements *Adbusters* seeks to create consumers who are critical of the consumer world and the tools used to create adherence to that world.

Meme Warfare

Subvertisements work because they play with and give new meaning to the “memes” of our culture. Memes have been defined as “media viruses that spread throughout the population. Think of urban legends, fleeting fashions, and idiotic ad slogans that work their way into everyday conversations; these are memes” (Duncombe, p. 369). Culture jammers take advantage of the power of memes that have already been created and that are already part of most consumers’ consciousness. Subvertisements work on an emotional or subconscious level in a way that rational critique of advertising or of corporations fail to do. Boyd (2002) argues that “culture jamming can stick where rational discourse slides off” (p. 376). Subvertisements operate “much like a ‘meme vaccine’, interrupting our consumer trance and redirecting our attention. Culture jamming fights virus with virus. Over the last decade it has itself become a virulent meme, spreading far and wide and encompassing a myriad of new sub-cultural forms” (Boyd, 2002, pp. 376-77). Indeed, *Adbusters* believes that the important battle of our time is over the “mental

environment,” including memes. Herein lies the potential for social change: “Potent memes can change minds, alter behavior, catalyze collective mindshifts and transform cultures. . . Whoever has the memes has the power” (Lasn, p. 123).

Detournement

When subvertising, culture jamming, and meme warfare are effective, *Adbusters* founder Kalle Lasn (1999) argues that they bring about a certain new way of looking at the world, which he calls “detournement.” Detournement is “a perspective-jarring turnabout in your everyday life” (p. xvii). Lasn takes this idea from a European anarchist group active in the 1950s called the “Situationists” who were led by Guy Debord. Members of this group were committed to living “a life of permanent novelty” and fought against “bureaucracies and hierarchies and ideologies that stifled spontaneity and free will,” including consumer capitalism (Lasn, p. 100). The Situationists argued that

You are—everyone is—a creator of situations, a performance artist, and the performance, of course, is your life, lived in your own way. Various stunts were concocted to foster spontaneous living. Situationist members suggested knocking down churches to make space for children to play, and putting switches on the street lamps so lighting would be under public control. The Situationists believed that many times a day, each of us comes to a little fork in the path. We can then do one of two things: act the way we normally, reflexively act, or do something a little risky and wild, but genuine. We can choose live our life as ‘a moral, poetic, erotic, and almost spiritual refusal’ to cooperate with the demands of consumer culture. (Lasn, p. 100)

The Situationists argued that the spontaneity of everyday life had been stolen or eroded away by the ‘spectacle’ of modern life—which included everything from advertising to radio to television—in short, “modern society’s ‘spectacular’ level of commodity consumption and hype” (Lasn, p. 100). Whereas humans used to experience life directly, that real kind of living “had been replaced by prepackaged experiences and media-centered events” (Lasn, p. 100). Through spontaneous acts, people can bring about a detournement (a “turning around”), wherein the spectacle of modern life is rejected and replaced with a more authentic experience. Detournement “involved rerouting spectacular images, environments, ambiences and events to reverse or subvert their meanings, thus reclaiming them” (Lasn, p. 103).

The Management, or Manipulation, of Emotion

Like most other organizations in the Western world, *Adbusters* focuses on cognition as the battleground for social change. Indeed, this preference for rationality to the exclusion of emotionality is in keeping with the primary thrust of critical theory, as well (Callahan, In Press). However, while the detournement advocated by *Adbusters* aims to fundamentally alter the experience of modern life, it seeks to accomplish this aim by using emotion as the catalyst to turn around popular mindsets. Ironically, the manner in which *Adbusters* uses emotion turns around the common conceptions of the role of emotion in consumerism. Further, the latent focus on the manipulation of emotion to achieve change aligns with the power perspective of understanding emotion (Callahan & McCollum, 2002); most research and practice in organizational contexts has aligned with a more functional orientation (Burrell & Morgan, 1979). Thus the ‘turning around’ of detournement in *Adbusters* occurs on multiple levels.

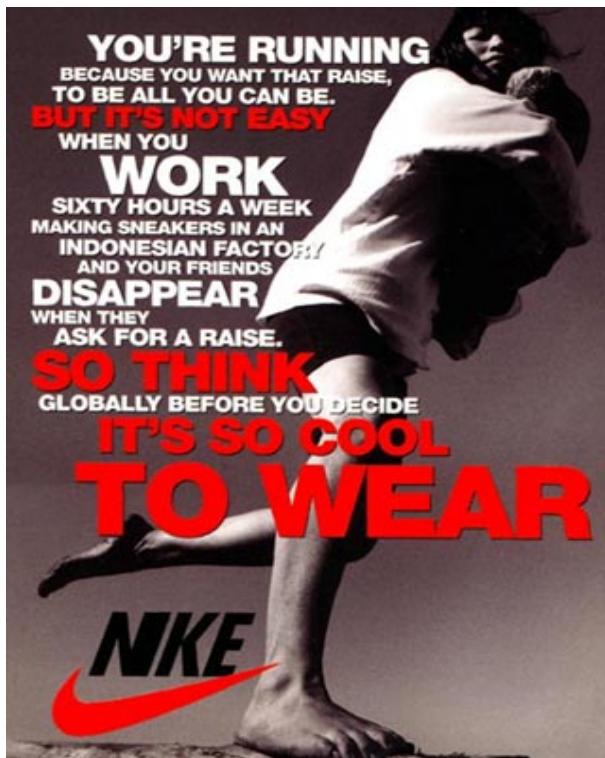
The sociological literature on consumerism openly acknowledges the manipulation of consumer emotion (Boden & Williams, 2002). However, this manipulation is typically viewed from the perspective of capitalistic control of consumer desires to further instrumental organizational or political ends (e.g., Cranney-Francis, 1994). Typically, even emotionally-oriented consumer research has focused on the instrumental purpose of encouraging consumerism. This is done, for example, by identifying what consumers like or dislike, by determining environmental factors (such as music) that encourage purchases, or by detailing the specific emotions and contexts that salespersons can create to maximize profit (Howard & Gengler, 2001).

We interpret the emotion management pursued by *Adbusters* as fundamentally distinct from earlier accounts of consumption and emotion. *Adbusters* takes postemotional (Meštrović, 1998) consumer appeals and transforms them from ‘nice’ to shocking (see Figure 1). An example of how *Adbusters* does this can be demonstrated through the “subvertisement” below. Upon first glance, the viewer sees (or thinks she sees) an advertisement for Nike shoes. This subvertisement is based on the Nike “Why do I run?” campaign from the 1990s, which featured photos of runners with inspirational text explaining why they run—for instance, one Nike ad read, “Why do I run? They said I was the best high school runner in the last 20 years. Then they said I was washed up and burned out. Finished. I know what I was. I know what I am. You know what they’re saying now? Me neither.” A viewer familiar with the Nike memes would, at first glance, think this subvertisement shows a picture of an passionate runner and would think the text contains inspirational phrases about being dedicated to the art and sport of running. In what can be

described as a double-take, however, the viewer sees what is *really* featured in this ad – an Indonesian shoe factory worker who is running (barefoot, *without* the Nike shoes that she makes but cannot afford to buy) to escape the harsh working conditions she must endure to earn a tiny bit of money by making the expensive shoes sold to consumers much like the one reading the ad. If the reaction works “right,” according to what *Adbusters* is trying to elicit, the reader begins to experience “detournement.” The viewer feels off-balance because the expectations for and the reality of the ad are at such odds. This realization produces a variety of emotions in the viewer – outrage at the unfair labor practices and guilt over buying (perhaps, even at that moment *wearing*) Nike products – and hopefully shocks the reader into viewing the Nike company in a different light, and to changing his or her consumption practices with regard to Nike. Lasn (1999) captures the emotional response detournement brings about:

What does the perceptual shift feel like when it comes? Imagine a desperately down-and-out soul who suddenly finds God. Now try to imagine the opposite of that process. This moment of reckoning is not so much like suddenly seeing heaven in a world you thought was hell as it is suddenly seeing hell in a world you thought was heaven. That world is the world of summer blockbusters and \$5 lattes and Super Bowls in which a thirty-second ad slot sells for \$1.5 million – the spectacular world of the American dream, a world you were raised to believe was the best of all worlds, but a world that collapses under scrutiny. If you stare at your reflection in the mirror long enough, your face becomes a monster’s face, with enormous sunken gargoyle eyes. (p. 107)

Figure 1. A Nike “subvertisement”



The tactic of using disturbing imagery to shock the viewer is clearly associated with the literature that explores the manipulation of others’ emotions (e.g., Thoits, 1996; Lively, 2000); however, there is a difference. Earlier research and theory development in the study of power aspects of emotion focused on specific interpersonal interactions within the context of a bounded organization (Turnbull, 2002; Fineman, 2001). *Adbusters* extends this phenomenon to an attempt to manipulate emotions of a broader culture in order to facilitate broad scale change. By doing so, they consciously engage in emotional deviance by breaking the established feeling rules of society; the purpose of this deviation from cultural norms is to facilitate change.

Implications for HRD Research and Practice

A deeper understanding of the organization *Adbusters* and their practice of emotional manipulation can help the field of HRD and the professionals working within the function of HRD. Our examination of *Adbusters* informs core components of HRD, especially the core component of organization development.

At the very least, the anti-consumerist tactics employed by *Adbusters* are part of a highly effective educational program that uses a critical theory perspective to promote social change. The program of detournement is specifically designed to shock consumers out of a Pollyanna fog. The premise is that consumer reactions to the subvertisements will result in reflection. In turn, this reflection would lead to a reconstruction of self-narrative such that consumers make a conscious change in their consumption behavior. However, research in consumer decision making processes suggests that our choices for action are rarely so rational. Nevertheless, research does indicate that emotional valences attached to consumer goods will influence behavior. Of course, the previous research was conducted with regard to positive emotion in an attempt to foster consumerism. Even if consumers do not engage in the desired reflection, the negative implicit bias toward targeted corporations may still effect social change.

Moving from HRD-related adult learning implications, the lessons learned from *Adbusters* are relevant to organization development in several ways. First, *Adbusters* can be seen as a non-profit loosely coupled system (Orton & Weick, 1990). As such, it represents an excellent case for studying the nature of organizational commitment and egalitarian leadership structures. It is a virtual organization in that its membership is widely dispersed and its objectives are accomplished through distance media such as the internet, magazines, and television. Second, *Adbusters'* emotion-laden tactics are innovative mechanisms to shape organizational image and identity (Hatch & Schultz, 1997). Each time a subvertisement is issued the strength of the organizational image is emphasized in the larger social context. In turn, this strengthens the collective identity of those loosely affiliated with the activist organization.

Perhaps one of the most important lessons offered by *Adbusters* is that every good idea contains the seeds of its own demise. Einstein once noted this paradox and *Adbusters* capitalizes on the notion. Corporations spend a great deal of time, money, and effort to craft advertising campaigns that will appeal to consumers. *Adbusters* takes these good ideas and uses them against the very organizations that disseminate the marketing idea. Marketing identity, image, product, and service is inherently emotional. In some respects, *Adbusters* is no different than the major corporations who attempt to appeal to the emotional-decision making of consumers. What makes the organization different, however, and what makes the organization a useful ground for HRD inquiry, is the manner in which they co-opt or subvert the available tools and resources of competitors to turn the tide of competition and, eventually, the nature of consumer culture.

References

- Bannister, R. (1996). *Consumer education in the United States: A historical perspective*. Ypsilanti, MI: National Institute for Consumer Education, Eastern Michigan University.
- Bannister, R., & Monsma, C. (1980). *Classification of concepts in consumer education*. Ypsilanti, MI: U.S. Department of Education, National Institute for Consumer Education, Eastern Michigan University.
- Boden, S. & Williams, S.J. (2002). Consumption and emotion: The Romantic ethic revisited. *Sociology*, 36(3), 493-512.
- Bordwell, M. (2002). Jamming culture: *Adbusters'* hip media campaign against consumerism. In T. Princen & M. Maniates & K. Conca (Eds.), *Confronting consumption* (pp. 237-254). Cambridge, MA: MIT Press.
- Boyd, A. (2002). Truth is a virus: Meme warfare and the billionaires for Bush (or Gore). In S. Duncombe (Ed.), *Cultural resistance reader* (pp. 369-378). New York: Verso.
- Brief, A. P., & Bazerman, M. (2003). Editor's comments: Bringing in consumers. *Academy of Management Review*, 28(2), 187-189.
- Burrell, G., & Morgan, G. (1979). *Sociological paradigms and organizational analysis: Elements of the sociology of corporate life*. Portsmouth, NH: Heinemann Educational Books, Inc.
- Callahan, J.L. (In press). Breaking the cult of rationality: Mindful awareness of emotion in the critical theory classroom. *New Directions in Adult and Continuing Education*.
- Callahan, J. L., & McCollum, E. E. (2002). Conceptualizations of emotion research in organizational contexts. *Advances in Developing Human Resources*, 4(1), 4-21.
- Cranny-Francis, A. (1994). Feminist romance. In A. Giddens, D. Held, D. Hubert, S. Loyal, D. Seymour, and J. Thompsons (Eds.), *The polity reader in cultural theory*, (pp. 191-199). Cambridge: Polity Press.

- Denzin, N. K. (2001). The seventh moment: Qualitative inquiry and the practices of a more radical consumer research. *Journal of Consumer Research*, 28, 324-330.
- Duncombe, S. (Ed.). (2002). *Cultural resistance reader*. New York: Verso.
- Fineman, S. (2001). *Managing emotions at work: Some political reflections*. Paper presented at the Academy of Management Conference. Washington, DC.
- Hatch, M.J. & Schultz, M. (1997). Relations between organizational culture, identity and image. *European Journal of Marketing*, 31(5/6), 356.
- Howard, D. J. & Gengler, C. (2001). Emotional contagion effects on product attitudes. *Journal of Consumer Research*, 28(2), 189-201.
- Knauer, V. H. (1983, April 25, 1983). *Opening remarks*. Paper presented at the Market Pacemaker...Consumer Education.
- Lasn, K. (1999). *Culture jam: How to reverse America's suicidal consumer binge -- and why we must*. New York: HarperCollins.
- Lively, K. J. (2000). Reciprocal emotion management: Working together to maintain stratification in private law firms. *Work and Occupations*, 27(1), 32-63.
- Meštrović, S. (1999). The postemotional self. *Psychohistory Review*, 27(2), 59-70.
- National Institute for Consumer Education. (1996). *Consumer education in the states: A blueprint for action*. Ypsilanti, MI: Eastern Michigan University.
- Orton, J.D., & Weick, K.E. (1990). Loosely coupled systems: A reconceptualization. *Academy of Management Review*, 15(2), 203-224.
- Ozanne, J. L., & Murray, J. B. (1995). Uniting critical theory and public policy to create the reflexively defiant consumer. *American Behavioral Scientist*, 38(4), 516-525.
- Rojek, C. (2003). *Stuart hall*. Cambridge, UK: Polity Press.
- Rumbo, J. D. (2002). Consumer resistance in a world of advertising clutter: The case of *Adbusters*. *Psychology and Marketing*, 19(2), 127-148.
- Sardar, Z., & Van Loon, B. (1999). *Introducing cultural studies*. Duxford, UK: Icon Books.
- Storey, J. (1996). *Cultural studies and the study of popular culture: Theories and methods*. Athens, GA: The University of Georgia Press.
- Thoits, P. (1996). Managing the emotions of others. *Symbolic Interaction*, 19(2), 85-109.
- Turnbull, S. (2002). The planned and unintended emotions generated by a corporate change program. *Advances in Developing Human Resources*, 4(1), 22-38.

Identity Consistency: The Role of Emotion Management Across Contexts

*Aubrie Horrocks
Jamie L. Callahan
Texas A&M University*

This research study reveals the tensions that exist between expressing our emotions and maintaining an acceptable image within organizations, and the way individuals find a balance through storytelling. Narratives are our tools for clarifying the uncertainty of the past, understanding and managing the emotion of the present, and creating a functional identity from which to act in the future.

Keywords: Identity, Emotion, Narrative

There is extensive literature expanding and developing theories of identity creation, spanning a wide variety of disciplines, relating to a vast range of topics. In the beginning, the conceptualization of identity evolved from individual thought (i.e., Descartes's 'I think, therefore I am'), to an amalgamated construction of interpersonal interaction (Holstein & Gubrium, 2000, Volger, 2000). Currently, research within the social sciences is building on the concept of identity as a process (Eisenburg, 2001). Some studies report that individuals maintain multiple identities, where specific selves are developed to advance interaction within particular spaces/environments, and among a variety of people (Eisenburg, 2001, Holstein & Gubrium, 2000, & Raggatt, 2002).

While the search for a sense of self, or a way of conceptualizing and framing life experiences, has produced a variety of theories in postmodernism, interpretivism, and criticism, some theorists continue to find that this abstract concept still slips through our fingers as we force it into a dimension of reality. There is truth in every perspective that has been previously produced, and common ground is realized with the notion that identity is a building process that creates a multiplicity of results. However, the process of constructing identity[ies] assumes an end through open communication and a journey of self-discovery, negating the fact that the future always remains uncertain (Eisenberg, 2001).

We suggest that the process of creating narratives about daily activities is a means to construct a tangible identity (or identities). Narratives capture fragments of identity as it is communicated through representational stories, created from experiences, and reflected from individual perspectives (Eisenberg, 2001, & Gilbert, 2002). They are a biased depiction of our lives, articulated from an angle that only we can see, yet provide a foundation from which to function (2002). Shaping our sense of identity, "...stories provide structure...and that which we perceive to be reality. At the same time, our lives and our perception of reality establish a structure for our stories. We create our stories and then see our world and ourselves through [them]" (Gilbert, p. 225).

Narratives, full of emotion, serve as a window to identity. Individual experiences of emotion and the choices about the expression of these emotions reflect an individual's sense of self. As a result, we get a tangible picture of identity across contexts. This research study reveals the tensions that exist between expressing our emotions and maintaining an acceptable image within organizations, and the way individuals find a balance through storytelling. Thus, the purpose of the present study is to map both oral and written narratives associated with emotion to the displayed identities of eight professional women. The conceptual framework for this study incorporates the constructs of identity, emotion management, and narrative. We suggest that the process of identity development and maintenance can be observed through the emotion management patterns revealed in oral and written narratives.

Identity

From a theoretical perspective, there continues to be a gap in identity research explaining the relationship between our personal perspective of self and how that identity is enacted or communicated within a cultural society. Riessman stated that, "In the telling, there is an inevitable gap between the experience as I lived it and any communication about it" (1993, p. 9).

Obtaining a secure sense of identity among obscure experiences continues to be an unsettling challenge because the morphing task is to continually understand who we are becoming, and our role in an ambiguously unstable world. Each life experience shapes a story in our minds, creating boundaries and rules for prospective interaction. From this blueprint of narratives, we've learned to interact as capable individuals by applying familiar behaviors to

Copyright © 2004 Aubrie Horrocks & Jamie L. Callahan

unfamiliar encounters that constantly arise in the future. This way of reducing uncertainty through passive observation or active interaction produces a sense of reality and an understanding of individual identity. Realistically, however, each moment of thought and interaction has the potential to alter our current way of knowing. Eisenberg states that, "The quest of understanding oneself is an aspect in achieving mental and emotional security...[and]...How we respond to the fundamental uncertainty of life shapes everything we do and is driven in part by how we think about our place in the world, our sense of identity" (Eisenberg, 2001, p.534).

This being the case, there is no single truth, until we chose to construct a definition or accept a way of knowing, find the resources to live it, and reinforce that particular understanding through experience and storytelling. In an article on progression through significant life experiences, Gough (1999) stated that, "The purpose of inquiry is not to dispel the difficulties, risks, and ambiguities of life but to live and speak from within them" (p.414). Identity is an emotional process that is understood through personal reflection and enactment with others. The multiple results are unique to each individual and every situation. Telling stories gives meaning to our thoughts and experiences, and in turn, builds our community.

Emotions

The study of emotion, how it is individually managed, and how it shapes interactions within society continues to be a novel field of research in the academic community. New approaches and theories are constantly being explored within an array of fields, yet further research produces more questions and conclusions to be studied. Emotions are apart of daily life, embedded in every thought, interaction, and outcome. Defining emotion, and understanding how it affects us all, is crucial to success for both individuals and for society as a whole. Emotions have been defined, referring to the way an individual feels, their general mood, or disposition (Callahan & McCollum, 2002). Most research sustains the notion that emotions are a sense, or component of expression resulting from internal stimulation (Hochschild, 1983), or as "...the culturally-based interpretation of a physiological state which enables an individual to act," (2002, p. 6).

The importance of emotion within the process of identity creation is apparent when concepts are specifically applied to a variety of social contexts and structures. Since the role of the individual is learned, we seek to manage our emotions, only publicly expressing the feelings that are socially constructed as appropriate. Positive and negative outcomes, resulting from trial and error efforts, not only teach us which emotions to feel and manage, but also with whom and where we can communicate those emotions (Kramer & Hess, 2002). Identities are created and maintained through communication and interaction, resulting in a structure that allows individuals to feel comfortable, confident, and safe in sharing their thoughts and experiences, while substantiating functionality and productivity. Through expression, we are valued and respected in both the public and private arenas of our lives. The ability to shift and change in accordance to various needs produces new expectations and recreates a structure from which to function and progress. While emotions are rooted within individual exchanges, the expression of feelings can transform and negotiate typical patterns of functioning.

In understanding the definition of emotion as an objective, evolving force, it is apparent that social structures influence personal feelings during social interactions (Callahan & McCollum, 2002).

Narratives

The study of narrative is not a new form of research, and has, in fact, facilitated understanding and theory in fields such as communication, psychology, sociology, and anthropology (Rosenwald & Ochberg, 1992). This method has become increasingly more popular for the reason that it provides rich data to understand interpersonal interaction, individual bias, social expectations, and cultural values (Smith & Keyton, 2001). We are constantly required to both interact with others and reflect upon our own thoughts, and telling stories is the fundamental way for us to interpret situations and understand experiences (Gough, 1999, & Riessman, 1993).

More recently, however, narrative research has extended beyond the insight of a particular experience, and stories are now read for the description of "...the process, product, and consequences of reportage itself" (Rosenwald & Ochberg, 1992, p. 2). The story becomes a predominant channel for communication, revealing the interplay of interactions and emotions that develop the foundation from which we choose to function. By focusing on the way an individual rationalizes the events throughout their life, we can understand the importance of negotiating between tensions of emotion management and identity management to produce functionality within reality. "Stories are emotionally and symbolically charged narratives; they do not present information or facts about events, but they enrich, enhance and infuse facts with meaning" (Gabriel, 1998, p.136, cited in Smith & Keyton, 2001).

Used as a means of conveying both history and understanding (Riessman, 1993) narratives are sense-making tools that not only clarify, "...past actions but [also] how individuals understand those actions..."(1993, p. 19). Because personal histories are subjectively constructed, the experiences retold are constrained by the individual's own interpretation. "...[P]eople lie sometimes, forget a lot, exaggerate, become confused, and get things wrong. Yet they are revealing truths. These truths don't reveal the past as it actually was, aspiring to a standard of objectivity. They give us instead the truths of our experiences" (Personal Narratives Group, p. 261, cited in Riessman, 1993, p. 22). The story encourages security in a constructed reality, producing personal awareness rather than generalizability, ultimately providing external events significance by provoking changes in how we live (Gough, 1999, & Rosenwald & Ochberg, 1992).

Written Narratives

Written narratives encompass similar characteristics as spoken stories, in that they disclose experiences that negotiate emotions while constructing identity. However, the alternate form of communication produces an avenue for a different expression that is otherwise typically constrained, the most obvious constraints being social limitations and mandatory coherency.

As interaction constructs social rules and expectations that guide further communication, over time, acceptance and resistance of these social standards, "...offers a way of identifying what is assumed to be a normative experience" (Andrews, 2002, p. 1). The encounters that deviate from the norm, or stories that are too difficult to tell, often create an emotional reaction of denial, suppression, and silence. However, the expression of such a narrative is necessary to for us gain security and establish rationality (Riessman, 1993). Journaling provides that safe place for expression. Private constructions do not always mix with the imposed order in society, but are important for the individual to realize in order to better understand themselves, "...claim[ing] identities and construct[ing] lives" (1993, p. 2).

Writing offers time for reflection, allowing lingering thoughts to develop, free from the pressures of a listening audience. Journaling is a private experience where the author is the audience, and coherency is dependent merely on memory and imagination, rather than social expectations. Writing rationalizes abstract experiences, creating "...a sense of continuity and self-contained individualism..." which might never be realized through oral expression (Raggatt, 2002). It is a two-dimensional way to freeze time, forcing the experience into reality where it can be emotionally expressed, and accepted as truth. This world of reality is built from abstract experiences that are continually retold for the purpose of managing our emotions and creating a functional identity. "How individuals recount their histories—what they emphasize and omit, their stance as protagonists or victims, the relationship the story establishes between teller and audience—all shape what individuals can claim of their own lives." (Rosenwald & Ochberg, 1992, p. 1).

Dynamic Interplay of Emotion and Identity

As reflected in the review of the literature, over time, we begin to construct a general sense of who we are through public and private experiences. Interactions influence our thoughts, and likewise, our thoughts influence our behavior. It is this cyclical process, influenced by emotion, which builds an impressionable identity. The conflict arises with the concept of emotion, and how it can be communicated, in order to support an individual's sense of identity. Hochschild (1983) refers to this concept as authenticity, maintaining that as a society we value "...spontaneous, natural feeling" (1983, p.190); yet require the management of emotions. She claims that, "...we find ourselves speaking of emotion as if it had a location or residence...as having some sort of continuous identity...[which] is sometimes the case and sometimes not" (Hochschild, 1983, p. 203-4). Emotion influences our identity, and reciprocally identity influences our emotions, creating a dynamic interplay. Because life is not structured and straightforward, this study, and previous research, shows that functionality is produced through balancing emotion management with identity management, maintaining it all through storytelling. The way we communicate our emotions builds a history of identity, and we can rely on this history of experience to determine an individualized balance of authentic expression. Without a personalized balance the outcomes are negative, resulting in a false sense of self, or an overly emotional experience.

In the case of a false sense of identity, an individual's narrative management is most focused on maintaining a particular image, above expressing true feelings. This may, or may not, be a conscious effort because while it seems that society has placed more value on the expression of emotions, the freedom to authentically convey feeling is restricted by social expectation (Irvine, 1997). Hochschild refers to these situations as an "estrangement...from feeling" and a "hazard" (Hochschild, 1983, p.189). At times, preserving identity over emotional expression is important, however, continual surface acting creates a binding identity that is established through manipulation, resulting in less sincerity and dissatisfaction. The decision to disguise felt emotion, has been shown to affect future

expectations and interaction, creating dissonance in our sense of identity, leading to personal disharmony, depression, and even demise (Clark, 2001, & Krone, Chen, Sloan, & Gallant, 1997).

On the other extreme, when an individual is too emotionally expressive, identity is sacrificed, producing incoherent experiences and instability. Having intense expressions for every experience is exciting and dramatic, it is also psychologically draining, and emotionally overwhelming. Although passion is important, picking your battles is crucial for survival and coherency. Reinforcing this notion, Hochschild states that, "Emotional dues can be costly to the self" (1983, p. 219). Relating to others is an important aspect in this dynamic, and a pattern of highly charged experiences eliminates outlets for future communication as others become too drained, emotionally numb, or nervous about the consequences of a drama. By not having a secure outlet, instability forces melodramatic individuals to continually search for others who can momentarily handle their excessive energy.

While emotion is a sense that guides our way of knowing, and identity is an ever-evolving process, we use narratives to create reality of these complete abstract notions. Understanding this dynamic can provide not only social progression within organizations, but also internal satisfaction for every individual.

Method

This phenomenological study explored the emotion management experiences of eight women enrolled in a graduate seminar on emotion in organizations. All of the women were working adults who ranged in age from early 20s to mid-50s. Six of the women were European American, one was Latina, and one was from Thailand. In order to protect the participants, all names have been altered. Data collection methods included: journaling, participant observation, and written reflection of the journal entries. Each week, participants submitted a journal entry that chronicled an emotion management experience that occurred during the week. The number of submitted journal entries ranged from three to fifteen entries with a total of 87 entries that averaged 2-3 single spaced pages. These written narratives were then compared to the oral narratives constructed during seminar interactions.

Both authors simultaneously conducted the data analysis using open coding (Strauss, 1987). For the present study, we were first looking for general themes associated with identity and emotion management across the journals of the eight participants and the observations made by each author in her capacity as participant observer. Then, the data was grouped into three categories of, intense examples of emotion management, identity management, or moderate balance between the two. We then conducted bi-weekly meetings to discuss coding progress, data interpretations, and literature support. Any disagreements in our interpretations were resolved through dialogue and re-assessment of the data. Interestingly, the data was triangulated through written narration, observed interaction, and oral reflections.

It is important to note that the researchers were both European American women. This cultural background served as our lens to viewing the emotion management narratives occurring in the study. We recognize that our cross-cultural interpretations of the Thai and Latina emotion narratives are influenced by the rational-cognitive cultural preference of Americans.

Findings

In the analysis of the journal entries, it became apparent that our participants' felt they were managing emotions well within their perspective organizations. While they may have displayed appropriate behaviors, it is interesting to find that many communicated in ways to maintain a particular identity, above expressing true feelings.

The balanced category is where most of the participants functioned. Participants used a variety of strategies to manage the stresses within the work environment and maintain cohesive identities as both employee and individual. All faced a variety of challenges including deaths of loved ones, sexual harassment, pregnancy, role confusion, overworking, and more; these challenges gave them the opportunity to become extremely emotional. Many also found themselves in leadership positions of administration and teaching, requiring professionalism and emotion management. The balance that these participants negotiated, allowed them to feel productive and successful, find social support, and/or reframe the situations. Those who did not have this same level of balance displayed more extreme levels of either emotional expression or identity maintenance.

The participants who wrote of consistently disguising felt emotions to display positive feelings, were considered to be managing identity through surface acting and masking strategies. On the other extreme, those who appeared to be particularly expressive with their emotions, yet wrote of displaying controlled behaviors, were categorized as melodramatic expressers who lacked identity stability and coherency. The study presented a few individuals within these extreme groups, while most of the participants used more moderate strategies of both emotion and identity

management. Those in this moderate group still tended to lean to a particular style, either emotional expression or identity management.

Focus on Identity

Surfacing acting. Hochschild (1983) describe surface acting as displaying the appropriate responses to a situation, while honestly feeling something different or nothing at all. Some of the participants were excellent at displaying exactly what the organization wanted. Through this acting, they felt as if they were being the perfect employee, maintaining an ideal identity, even if they truly had different feelings.

Janis's organization was facing a budget crisis, and consequently was downsizing. Many people were losing jobs, or experiencing pay cuts. Janis expressed concern for her position, due to family obligations.

"I was being extra careful to be a model employee...I did always try to display the emotion of being a satisfied and helpful employee just in case something did happen to my grant and I needed someone else to pick up my funding...I am having to sit in my office and act like everything is fine when I really want to jump up and down and scream about how wrong this all is" (Janis).

In another situation, a different participant experienced a change in her emotions due to the surface acting that she felt required to constantly display. Often, her co-workers would stop to talk with her because she "was a good listener," yet this became frustrating as she worked to complete all of her tasks, projects, and assignments. The following excerpt is a statement following an interruption and long conversation with a new employee.

"I'd like to say that I pretended to enjoy the conversation. But I didn't really pretend. I did enjoy it. But other feelings (i.e., stressed and angry) coexisted. However, I didn't show them though" (Somsri).

Masking. Sometimes, the need to present a specific identity only requires a momentary disguise in our true emotions. At this point, masking the sincere feelings was a strategy for some of the participants. After an emotional conflict with a subordinate employee, who was also a personal friend, Janis struggled to maintain professionalism and stay objective. She writes of being extremely disappointed, yet said nothing to the employee of her true concerns, in order to preserve the friendship.

"Overall, I am pleased at how the meeting turned out. I was happy with the way I was able to manage my emotions regarding the situation and keep the meeting objective" (Janis).

Another situation of disappointment for Janis was after the news of budget/job cuts, when the manager hired a family member, rather than preserving current jobs. She felt that it was an unethical hire, but masked her discontent to safeguard her position.

"I don't think she realizes how much what she did hurt my feelings on both a personal and professional level. I don't think she thought twice about it honestly. I still don't really know how to deal with it all" (Janis).

Cultural Reasoning. While some participants maintained an organizational identity for personal gains and successes, one participant seemed more culturally constrained to mask emotions, due to her native Thailand traditions. Somsri often had lunch with office friends, although she would rather work. During lunch, many began to gossip about a new hire, and Somsri restrained her opposing concerns, sitting quietly instead.

"I wish I could say what I really felt about her and the whole situation. But that's probably politically incorrect...I pretended to be calm and attentive. I looked into her eyes, but my mind was somewhere else.

Sometimes, I looked away. I was quiet" (Somsri).

Focus on Emotion

While some control emotion to maintain socially acceptable identities, others struggle to balance their intense emotional expressions. In this case, Hochschild (1983) also reported costly consequences of lack of support, physically impairment, and depression. One participant faced a trying time, struggling to actively participate in this study, manage her job and home life, and function as a graduate student. In summarizing her minimal journal entries she reflects on always being stressed, continually dealing with personal issues, and fighting to control her emotions at work. In reflecting on her job, she states:

"In all honesty there have been times when I wished I would get into a car accident, just so that I wouldn't have to go to work. It's pretty bad when I jump in front of the car in the walkway that I will be hit" (Maria).

Another participant struggled to create a fulfilling work experience, facing challenges that emotionally disrupted her employment as well as her health and self-esteem. Although she seemed to mask many emotions at work, her journal entries were packed with emotional experiences, turmoil, and frustrations. While she vented a lot to her spouse, the diary seemed to be the only other outlet for emotional support.

"I try to block out and ignore all the stupid things my boss says. When he is in the throws of belittling and ridiculing me, I try to remind myself that I have friends and family who love me, and that this job is only

temporary...I will move on from this job. I also think about how I could take Cody's walking boot and use it as a club to hit my boss. That makes me feel a little better, if only for a moment." (Darlene).

After receiving her evaluations for the year, Darlene was more enraged with her working situation than ever, and upon reflection of the journal entries, Darlene actually became motivated to find a different job.

"I felt anger, frustration, embarrassment, outrage, disbelief, and self-consciousness all at the same time...I felt physically tired when I was finished reading it. My body and my fists were so tense and my jaw was clinched so tightly that I had that tired, overused feeling when I finished reading it...Usually, when I am that angry I will tremble and cry out of frustration...I would have laughed...but the amused disbelief quickly returned to rage" (Darlene).

Finally, Maria seems to articulate her extreme emotional cycle, reflecting feelings of being trapped in an unending cycle of events, with no notion of how to resolve the problem, and feeling isolated and helpless. She says:

"When I am angry...it is starting to show. I lose my temper quicker. I let my frustration show...My emotions are affecting others. For example, the second my voice shows any amount of frustrations-the other person becomes very defensive. When the person becomes defensive, I am quick to put up my walls. It's a horrible spiral that causes the situation to get even worse. Because of all the things going on in my life, this spiral causes my emotions to remain negative even to next person. I become very secluded and alone" (Maria).

Moderate Identity

The moderate category is where most of the participants functioned. Many times using a variety of strategies to manage the stresses within the work environment and maintain an identity as an employee and person. All faced a variety of challenges, i.e. death, sexual harassment, pregnancy, role confusion, overworking, and more, giving them the opportunity to become extremely emotional. Many also found themselves in leadership positions of administration and teaching, requiring professionalism and emotion management. The balance that these participants negotiated allowed them to feel productive, find social support, and/or reframe the situations.

One participant experienced a death in her family, while also being overloaded with tasks and projects at work. Although emotional, Terry commented on the impossibility of controlling everything, and was grateful for "caring people" with which she worked. When being given extra work by her supervisor, Terry said:

"...this just caused my *stress level to get really high* because I was wondering how in the world I would be able to get everything finished. So, I let him know up front what I already had waiting on my desk and asked the priority of these projects...this did provide some relief to me" (Terry).

Showing a balance more toward the identity maintenance, Susan was an administrator of a middle school who worked to unite her faculty, insure the safety and well-being of the students, and mentor teachers. She used many communicative strategies to negotiate needs for the school, and diffuse arguments, dually showing leadership skills and compassion. While working with a teacher who had received poor reviews, Susan says:

"I was trying to be *supportive yet honest* about the condition of his classroom. He has extremely poor classroom management skills...I think I displayed a positive outlook and was supportive. I did not let him know how frustrated I was or how disappointed I am that he is not able to take responsibility for his classroom. I like the teacher, in spite of his lack of teaching skills, and would like to help him, but he is not admitting that he needs help." (Susan)

HRD Implications

These findings lend support to earlier works that call for balance in emotion management (Callahan, 2000), that caution about the consequences of too much emotion management (e.g., Hochschild, 1983; Turnbull, 2002), and that encourage the use of narrative in identity formation (Eisenberg, 2001). Perhaps the most significant finding of this study is the impact of written narratives in the identity development process. Journaling can be used as a vehicle for helping people explore the meaningfulness of work. As a tangible self-narrative, past journal entries can help employees reflect upon their experiences within the larger picture of the workplace. Even if people do not reach to the deeper sense of the meaningfulness of their work, journals can, at the very least, help them clarify the ambiguity within difficult issues. Employees could be encouraged to journal, helping to articulate and crystallize the way they describe or discuss difficult issues. This would enable them to potentially raise the issue to co-workers or superiors for resolution. Or, they may find resolve through reframing, finding social support, or creating emotional harmony.

In this way, journals can serve as a means for healthy resolution of identity conflict. Narratives in general may facilitate this effort. To encourage oral narratives, HRD professionals could create backstage spaces (Goffman, 1959) as neutral zones for expressing narratives. They could also offer therapeutic sessions (Schein, 2000; Van de Loo, 2000) for verbally confronting presenting problems and seeking constructive solutions to those problems.

This study also reiterates the importance of balance in identity and emotion management. Those who exhibited a balanced identity typically selected healthy strategies for dealing with emotional upheaval. Those who exhibited extremes of either melodrama or identity management posed potential dangers to themselves or others. However, the emotional nature of these individuals may facilitate warning signs or cries for help. HRD professionals should be aware of, and open to, receiving such signals. Further, they should be able to refer employees to trained counsel, or to be trained themselves in counseling techniques. Excess suppression could result in physiological pathologies (Levenson, 1994). Further, the news media is replete with headlines of the 'perfect' mother, neighbor, or employee who suddenly snaps and unleashes death and destruction on unsuspecting others. Even if we believe our interest as HRD professionals is confined to instrumental organizational purposes, our role would still include providing for the development of employees to preclude such devastating incidents.

While most implications are employee-focused, this research also shows the importance of open communication within organizations to facilitate healthy working environments, reduce employee turnover, and improve overall production. The journals show strategies that individuals use to maintain power, promote relationships, facilitate decision-making, and reduce uncertainty. Understanding these tactics further allows management to produce more fulfilling training and socialization orientations, fast-track and promote productive employees, and improve organizational negotiation techniques. By clarifying experiences and emotions, a positive identity of the organization can be better maintained. Finally, the implications of this study move organizations in a direction for understanding the inseparable interplay of rationality and emotionality, showing how it can be conceptualized, and produce continued development for the benefit of all.

Conclusion

Narratives can, indeed, help individuals make more tangible the identities they construct in multiple social contexts. This study reveals insight about narratives, emotion management patterns, and identities. However, this initial glimpse raises additional questions for further research. For example, would free-writing or critical incident journaling reveal different aspects of emotion management? Also, women are noted for being more aware of their emotions than men (Gallois, 1993). In what ways would all-male, or mixed gender, samples result in similar or different findings? Finally, are there any cases where participants suppressed oral communication because the writing created an expressive outlet, diffusing the situation?

By using oral and written narratives of emotional experiences as a means to uncover identity development, this study begins to fill the gap in existing identity literature. Narratives help provide individuals with an anchor that can serve to stabilize a developing identity. While Eisenberg (2001) suggests that a coherent, stable identity is forever elusive, we suggest that the act of written narration can be an identifiable mechanism for understanding the uncertainty of the past, managing the emotions of the present, while creating and maintaining a cohesive identity across future contexts.

References

- Andrews, M. (2002). Introduction: Counter-narratives and the power to oppose. *Narrative Inquiry*, 12(1), 1-6.
- Brockmeier, J. (2002). Possible lives. *Narrative Inquiry*, 12(2), 455-466.
- Callahan, J.L. (2000). Emotion management and organizational functions: A study of action in a not-for-profit organization. *Human Resource Development Quarterly*, 11(3), 245-268.
- Callahan, J. L., & McCollum, E. E. (2002). Conceptualizations of emotion research in organizational contexts. *Advances in Developing Human Resources*, 4(1), 4-21.
- Clark, M. C. (2001). Incarcerated women and the construction of self. In R. M. Cervero, B. C. Courtenay, & C. H. Monaghan (Eds.), *Global research perspectives*: (Volume 1, pp.14-27). The Cyril O. Houle Scholars in Adult and Continuing Education Program, University of Georgia, Athens, GA.
- Eisenberg, E. M. (2001). Building a Mystery: Toward a new theory of communication and identity. *Journal of Communication*, 51, 534-552.

- Gallois, C. (1993). The language and communication of emotion: Universal, interpersonal, or intergroup? *American Behavioral Scientist*, 36(3), 309-338.
- Gibson, D. E., & Schroeder, S. J. (2002). Grinning, frowning, and emotionless: Agent perceptions of power and their effect on felt and displayed emotions in influence attempts. In N.M. Ashkanasy, W.J. Zerbe, and C.E.J. Hartel (Eds.), *Managing emotions in the workplace* (pp. 184-211). Armonk, NY: M.E. Sharpe, Inc.
- Gilbert, K. R. (2002). Taking a narrative approach to grief research: Finding meaning in stories. *Death Studies*, 26, 223-239.
- Goffman, E. (1959). *The presentation of self in everyday life*. New York: Doubleday.
- Gough, N. (1999). Surpassing our own histories: autobiographical methods for environmental education research. *Environment Education Research*, 5(4), 407-418.
- Hochschild, A. R. (1983). *The Managed Heart: Commercialization of human feelings*. Berkeley, CA: University of California Press.
- Holstein, J. A., & Gubrium, J. F. (2000). *The self we live by: Narrative identity in a postmodern world*. New York, NY: Oxford University Press.
- Irvine, L. (1997). Reconsidering the American emotional culture: Co-dependency and emotion management. *The European Journal of Social Sciences*, 10(4): 345-372.
- Krone, K., Chen, L., Sloan, D., & Gallant, L. (1997). Managerial emotionality in Chinese factories. *Management Communication Quarterly*, 11(1), 6-50.
- Kramer, M. W., & Hess, J. A. (2002). Communication rules for the display of emotions in organizational settings. *Management Communication Quarterly*, 16(1), 66-80.
- Levenson, R.W. (1994). Emotional control: Variation and consequences. In P. Ekman & R.J. Davidson (Eds.), *The nature of emotion: Fundamental questions* (pp. 273-279). New York: Oxford University Press.
- Raggatt, P. (2002). The landscape of narrative and the dialogical self: Exploring identity with the personality web protocol. *Narrative Inquiry*, 12(2), 291-318.
- Riessman, C. K. (1993). *Narrative analysis. Qualitative research methods series No. 30*. Newbury Park, CA: Sage Publications, Inc.
- Rosenwald, G. C., & Ochberg, R. L. (1992). Introduction: Life stories, cultural politics, and self-understanding. In G. C. Rosenwald & R. L. Ochberg (Eds.), *Storied lives: The cultural politics of self-understanding* (pp. 1-18). New Haven: Yale University Press.
- Schein, E. (2000). The clinical paradigm and organizational therapy: Two Views: Are they compatible? *European Management Journal*, 18(1), 17.
- Smith, F. L., & Keyton, J. (2001). Organizational storytelling: Metaphors for relational power and identity struggles. *Management Communication Quarterly*, 15(2), 149-182.
- Strauss, A.L. (1987). *Qualitative analysis for social scientists*. New York: Cambridge University Press.
- Turnbull, S. (2002). The planned and unintended emotions generated by a corporate change program. *Advances in Developing Human Resources*, 4(1), 22-38.
- Van de Loo, E. (2000). The clinical paradigm: Manfred Kets de Vries's reflections on organizational therapy. *Academy of Management Executive*, 14(1), 49-51.
- Vogler, C. (2000). Social identity and emotion: The meeting of psychoanalysis and sociology. *Sociological Review*, 48(1), 19-42.

Developing the Creative Class: A Role of Human Resource Development Programs

Consuelo L. Waight

Shirley Ezell

Katy Greenwood

University of Houston

This paper looks at human resource development (HRD) programs' role in cultivating creativity. This paper will first briefly discuss what fuels creativity within business and industry. Second, a review of the changing workforce structure and its relationship with creativity will be provided. Lastly, a creativity model that could be used by HRD programs in cultivating creativity will be explored.

Keywords: Creativity Model, Human Resource Development Programs, Creative Class

The unrelenting competitive challenges in the global marketplace, pace of change, globalization, knowledge economy, and technology among other trends have fueled a dire need for creativity in all fields and jobs. Human resource development (HRD) as a field relating to the development of individual, group and organization performance is closely related to creativity because of the expected roles and outputs. McLagan (1996) for example, identified HR strategic advisor as one of the roles of HRD. In specific this role requires HRD professionals to consult strategic decision makers on HRD issues that directly affect the articulation of organization strategies and performance goals. To be able to affect the articulation of an organization's strategies and performance goals, HRD professionals will need to employ their creativity. Another salient HRD role identified by McLagan and which underlines the creative element is organization change agent. To be able to implement interventions such as work teams, quality management, mergers and acquisitions, for example, HRD professionals will need to employ creativity in their problem-solving and decision making processes. While creativity is a core competence in the workplace, the impact of the knowledge economy on our lives, extends the need to be creative in our homes and communities. Thus, introspection, analysis and transformation of the environments and methods used to develop creative competence among the human capital are critical.

Florida (2002) states that human creativity is multifaceted and multidimensional and it is not limited to technological innovation or new business models. Creativity can be generated by employees in any job and at any level of the organization, not just in jobs that are traditionally viewed as necessitating creativity (Madjar, Oldham, Pratt, 2002). Florida states that creativity involves distinct kinds of thinking and habits that must be cultivated both in the individual and surrounding societies. This paper looks at human resource development (HRD) programs as learning communities and explores the importance of cultivating creativity. This paper will first discuss what fuels creativity within business and industry. Second, a review of the changing workforce structure and its relationship with creativity will be provided. Lastly, a creativity model, that specifically looks at problem solving as a core element of creative competence, and which could be applied to HRD programs within academia will be explored. It must be noted that the word *problem* is conceived broadly as any task that an individual seeks to accomplish (Lubart, 2000-2001).

Creativity in Business & Industry

When looking at corporations as societies, much has been researched on how to foster and cultivate creativity, which makes an important contribution to organizational innovation, effectiveness, and survival (Amabile, 1996). Watkins et al (1999) in their study on understanding support for innovation found that innovation is contingent on managers' belief that innovation is consistent with the their role as managers of change, and their potential to derive benefit in terms of enhanced power in the organization and control over the innovation itself. Boeker (1997) also found that managers with experience are crucial to promoting product innovation because through their expertise they can influence creative occurrence in organizations. Sta Maria (2003) in her study on innovation and organizational learning culture found that embedded systems, leadership, continuous learning, and team learning better explained the variance in the use of innovation. Hailey (2001) in her study on innovation as a strategy for corporate renewal recognized that investment in time, resources and energy is important to trigger the transformation. Bessant and Buckingham, (1993) in their study of innovation and organizational learning, and Hatch & Mowery, (1998) in their

Copyright © 2004 Consuelo L. Waight, Shirley Ezell, & Katy Greenwood

study on process innovation and learning agreed with Hailey that developing new learning capabilities was not an automatic emergence; rather conscious and sustained effort was necessary. Steve Kerr, chief learning officer, of Goldman Sachs, for example, has been publicized as an effective idea practitioner. Kerr sees leadership being inclusive of breaking down boundaries to penetrate the outside walls with ideas (Davenport, Prusak & Wilson, 2003)).

Tierney & Farmer (2002) study on creative self-efficacy and its potential for creative performance found that both personal and contextual factors come into play when employees formulate work-related self-efficacy judgments. The study found that job self-efficacy was the strongest predictor of creative self-efficacy. Tierney and Farmer added that this finding highlighted the importance of managers providing the training and experience opportunities necessary for employees to develop the sense of general job mastery, a foundation for subsequent creative work. Similarly, Madjar, Oldhan and Pratt (2002) found that explicit support for creativity from work (supervisors and co-workers) and non-work (family/friends) and others made independent contributions to employees' creative performance. Rao and Drazin (2002) in their study on product innovation by recruiting talent augment the role of managers with innovation in the finding that recruitment of managers may be an important method by which new and poorly connected firms reduce resource constraints on innovation and use recruited talent to introduce new products.

While these studies are only a fraction of what has been found about creativity in business and industry, they highlight the importance of resources and conducive environments. These studies also highlight the necessity and responsibility that business and industry have in valuing and promoting creativity. These studies, however, also tell us that researchers and educators are looking at external environments, other than their internal environments, to understand and foster creativity. External view of creativity, however, cannot continue because the changing workforce structure heightens the role HRD professionals play in enabling creativity within workplaces. HRD professionals in turn are dependent on HRD programs as their cornerstone for creativity competence.

The Changing Workforce Structure

By the year 2005, the national workforce will number 151 million. Minority groups will comprise 27% and women will make up 48% of the total workforce (US Department of Labor). Of the twenty-five million people who entered the workforce during the 1990s, 85 percent were women and people of color. More than 50 percent of the American workforce is over age 40 (US Department of Labor). About 11 million Americans are self-employed; this number is expected to increase by 15 million by the year 2010 (US Department of Labor). Cetron and Davies (2003) focused on self-employment trend by looking at the workforce generation. Generation X, now in their 30s, and especially of generation dot-com, now in their 20s, have more in common with their peers throughout the world than with their parent's generation –they are more entrepreneurial. Generation X are starting new businesses throughout the world at an unprecedented rate. Florida (2002), on the other hand, looked at workforce structure through the lenses of economies. The creative, working, and service classes were outcomes of social groupings and common identities based principally on economic function. Figure 1 describes the changing class structure.

Figure 1. The Changing Class Structure (Adapted from The Rise of The Creative Class, 2002).

- The *Creative Class* now includes some 38.3 million Americans, roughly 30 percent of the entire U.S. workforce. It has grown from roughly 3 million workers in the 1900, an increase of more than tenfold. At the turn of the twentieth century, the Creative Class made up just 10 percent of the workforce, where it hovered until 1950 when it began a slow rise; it held steady around 20 percent in the 1970s and 1980s. Since that time, this new class has virtually exploded, increasing from less than 20 million to its current total, reaching 25 percent of the working population in 1991 before climbing to 30 percent by 1999.
- At the heart of the Creative Class is the *Super-Creative Core*, comprising 15 million workers, or 12 percent of the workforce. It is made up of people who work in science and engineering, computers and mathematics, education, and the arts, design and entertainment, people who work in directly creative activity, as we have seen. Over the past century, this segment rose from less than 1 million workers in 1900 to 2.5 million in the 1950 before crossing 10 million in 1991. In doing so, it increased its share of workforce from 2.5 percent in 1900 to

5 percent in 1960, 8 percent in 1980 and 9 percent in 1990, before reaching 12 percent by 1999.

- The traditional *Working Class* has today 33 million workers, or a quarter of the U.S. workforce. It consists of people in production operations, transportation and materials moving, repairs and maintenance and construction work. The percentage of the workforce in working-class occupations peaked at 40 percent in 1920, where it hovered until 1950, before slipping to 36 percent in 1970, and then declining sharply over the past two decades.
- The *Service Class* includes 55.2 million workers or 43 percent of the U.S. workforce, making it the largest group of all. It includes workers in lower-wage, lower autonomy service occupations such as healthcare, food preparation, personal care, clerical work and other lower-end office work. Alongside the decline of Working Class, the past century has seen a tremendous rise in the Service Class, from 5 million workers in 1900 to its current total of more than ten times that amount.

While there are three categories, Florida pointed out that as the creative content of other lines of work increases – as the relevant body of knowledge becomes more complex, and people are more valued for their ingenuity in applying it – some now in the working class or service class may move into the creative class and even the super creative class. Krogh, Ichijo and Nonaka (2000) captured the creative transition in saying, “...knowledge workers can be anything from a lawyer to a systems analyst to a corporate planner; the point is not the specific type of professional work but the multiple talents this new worker must have. He or she needs to be a thinker, team player, team leader, a critic, an autonomous decision maker ...”. This mobility of the working and service classes to the creative class will be outcomes of companies who have realized that their employees are, as Reich (1998) described, about building a business that can outlive its first good idea, continuous learning, and building a career that allows them to grow into new responsibilities. In essence companies will need to be in synch, more than ever, with the values of their workforce.

Florida (2002) identified individuality, meritocracy and diversity and openness as values of the creative class. Individuality refers to strong preference for individuality and self-statement. The creative class seeks to create individualistic identities that reflect their creativity. The creative class has a propensity for goal setting and achievement, they want to get ahead because they are good at what they do – meritocracy is important. Lastly, the creative class values diversity in all its manifestations. Talented people defy classification based on race, ethnicity, gender, sexual preference or appearance (Florida, 2002). Cetron and Davies (2003) also added that generations X and dot-com thrive on challenge, opportunity, training and lifelong learning – whatever will prepare them for their next career move. Employers, say Cetron and Davis, will have to adjust virtually all of their policies and practices to the values of these new and different generations, including new ways to motivate and reward them. If these are the implications for companies now, what will be the implications for not only companies but also HRD programs based on future generations?

A Model for Enabling Creativity in HRD Programs

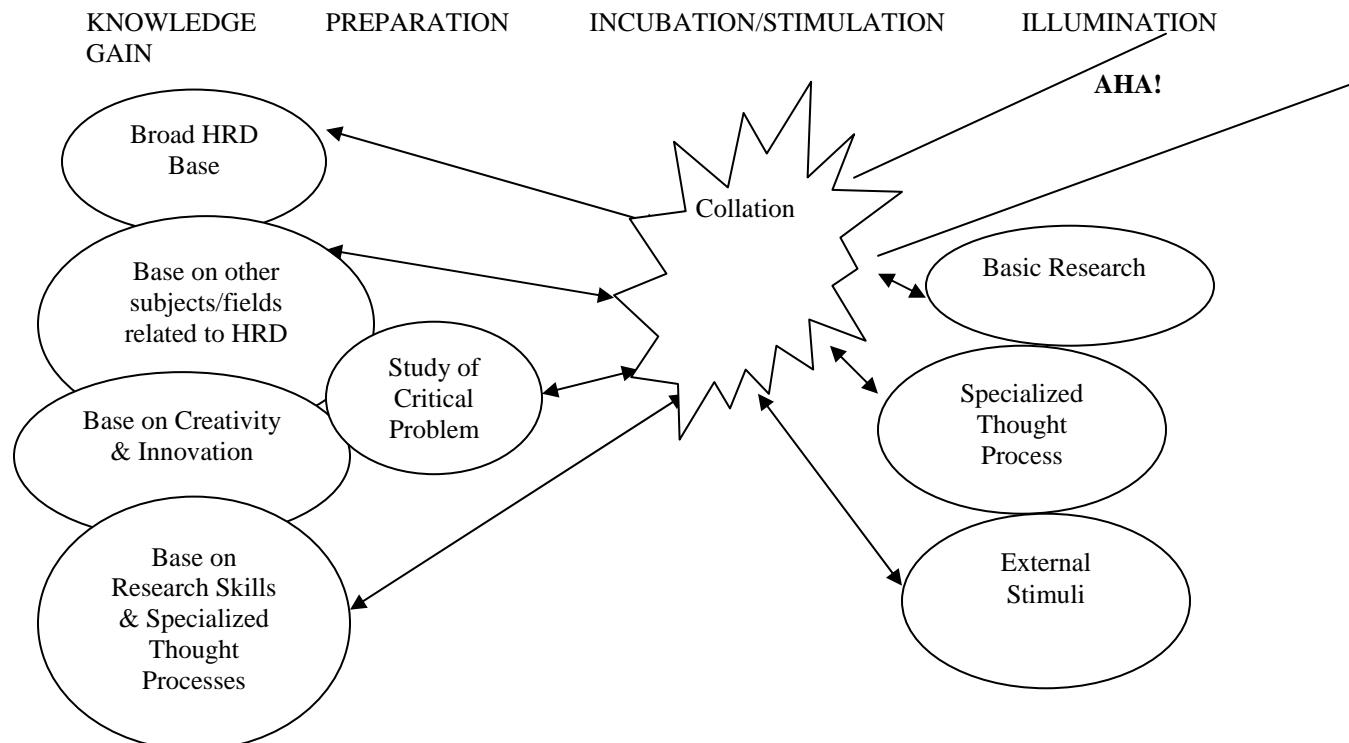
The changing workforce generations heighten the need for HRD programs to assess and adjust to how they will best serve their future clients. If indeed generation X and dot-com are entrepreneurial, HRD programs, presently and in the future, need to assess their values and actions towards creativity. Creativity, now and in the future, will have to be a conscious-to-non conscious competence among all involved in HRD programs. While there are professors that are presently focused on developing creativity – in specific, problem solving within their courses, the concerted effort of all involved in HRD programs will be important. HRD programs cannot ‘talk the walk’, experiential learning and constructivism are now more than ever necessary to foster learning and enable creativity. Constructivism, which grew from the early work of people like John Dewey, Lev Vygotsky, Jean Piaget and Jerome Bruner, will be eminent. The methods of constructivism emphasize the learner’s ability to solve real-life problems. Often, in a constructivist enterprise, the learner works collaboratively or cooperatively with others, rather than individually to solve practical problems. The time, then, where the workplace, for example, remained a topic of discussion will be unacceptable. Students will need to experience real workplace problems – and explore in concert

with their colleagues and companies the best solutions. HRD programs will need a balance between the ‘walking and talking’ – a balance between concepts, theories, research and incubator experiences.

Creativity has been the focus of several theories and models. Though creativity goes back to Prometheus and the Stone Age, the foci of creativity definitions and models are varied (Amabile, 1990; Albert, 1990; Gardner, 1993; Bundy, 2002). These definitions can be reflective of the process, product, individual and/or environment. Amabile (1996) defined creativity as the production of ideas, products, procedures that are (1) novel or original and (2) potentially useful to the employing organization. Gardner (1993) described the human being, the object or project and other individuals as the foundation of creativity. Gardner further described the interaction of the adult mind with the worldview of the child as the first of three fundamental elements to understanding the superstructure that promotes creative activity. Gardner stated that the relationship of the individual to the work in which he or she is engaged and how that domain is altered as a consequence was the second fundamental element to creative activity. Lastly, Gardner stated that the interaction of the individual and others in the immediate or related domains was critical. Gardner, like Csikszentmihayli (1990), saw creativity as a dialectical or interactive process among all three elements (Bundy, 2002). Feldhusen & Goh (1995) in their review of creativity definitions concluded that the within the individual there is a complex system of cognitive skills, abilities, personality factors and motivations, as well as styles, strategies and meta-cognitive skills that work together to produce adaptive or creative behaviors. Bundy (2002) in describing conclusions of Cohen’s book on creativity, stated that if creativity is to flourish, social conditions elicit an attractive environment. Bundy goes on to state, “Plato was most incisive in his statement, “What is honored in a country will be cultivated there”. More importantly, however, in today’s knowledge economy, creativity, as Florida (2002) and Madjar, Oldham, and Pratt, (2002) related, is multifaceted and multidimensional and it is not limited to technological innovation or new business models. Creativity can be generated by employees in any job and at any level of the organization, not just in jobs that are traditionally viewed as necessitating creativity.

In reviewing creativity models that could be applicable to HRD programs, the industrial creativity model, which is not only applicable to business and industry but also academe (Bundy, 2002) was selected to identify a conceptual approach to integrating creativity in HRD programs. The original design of the industrial creativity model was the work of Helmholtz in 1891 (Bundy, 2002). Jules Henri Poincare, a French mathematician, and Wayne Bundy, have modified this model. While Bundy’s model has five stages, the model will be revised to 4 stages, in specific the third and fourth stages are combined. In addition, some of the content within this model will be modified to reflect the field of HRD. Thus, figure 2 provides a description of schematic for promoting creativity in HRD programs.

Figure 2. A Schematic for Promoting Creativity in HRD Programs



Knowledge gain the first stage of the creativity process is important as a broad range of knowledge and extensive knowledge interactions are the basic nutrients that fuel discovery and creativity (Bundy, 2002). Bundy goes on to state that by virtue of gaining abundant knowledge about a subject, interest in that subject is stimulated. While knowledge about HRD is important, the process of understanding knowledge patterns, logical and critical thinking must also be cultivated through knowledge gain. Bundy (2002) stated that basic research, external stimuli and specialized thought processes can also be stimuli for creativity.

Basic research in addition to being indispensable to the generation of new knowledge is a stimulant for the generation of new thought patterns. Bundy identified empirical, literature, dialectical, and hypothetical research as forms that can be used to stimulate thought patterns. Anomalies and humor in research were also described as the sources of serendipity. External stimuli focus on opportunities for discussion that exist out of one's organization such as conferences, and worldwide travel. Specialized thought processes, such as common sense, conventional and unconventional, on the other hand, were seen as the trigger for the underlying genius of those who discover (Bundy, 2002). Bundy stated that while conventional thinking, such as deduction, induction and abduction, was indispensable to good science and technology, unconventional thinking such as lateral, visual-spatial, and hemispherical, for example, become the main channel for creative illumination. Bundy concluded that to think with as much clarity and depth as possible and to carry out the best possible research, it is important to have a good working knowledge of as many viable thought processes as possible and to employ diversion and flexibility in the process of discovering the paths to solutions. Feldhusen and Goh (1995) stated that creative thinking and creative problem solving are aspects of human cognition and behavior that probably can be accessed through training programs that focus on cognitive skills and methods, personality factors, motivation, cognitive styles and meta-cognitive skills. Thus, HRD educators will need to focus on the developing the critical thinking paradigm directly and indirectly through the activities they provide to students to enable knowledge interaction. Bundy (2002) concludes that knowledge gain is one's conceptual base is expanded continually, not only within one's discipline but in related fields as well. Bundy states that this can be accomplished through diverse research projects and by the interaction of different knowledge patterns as much possible. This heightens the solutions to many problems and is important for the second stage, preparation, to be successful. While the highlighted knowledge areas are not exclusive, they provide a point of departure to understanding the conceptual and skill foundations students will need to be creative in HRD programs.

Preparation, the second stage is specific in comparison to the first stage, knowledge gain. This stage focuses on the problem study. Problem study requires that students are able to use the knowledge gained in various ways. Usage of knowledge gain can be done through holistic thinking which involves the interaction of many different knowledge patterns associated with the problem (Bundy, 2002). Higgins (1994) in discussing how to create creativity identified analogies, metaphors, association and mind mapping as techniques to explore problems. Bundy identified the following five steps to problem study:

1. Problem definition and opportunities
2. Characterization of key in-house knowledge re the problem
3. Delineation and prioritization of research needed to enhance problem solving
4. Derivation of direct approaches to problem solving
5. Promotion of maximum interaction of groups' collective knowledge, creativity and wisdom.

In addition to Bundy's list, the preparation phase could also include enabling the conscious mindset on problem solving process and styles. Bundy (2002) states that learning to use the conscious mind to overcome mindsets and habits, contrary to human nature, is a pathway to intellectual growth. Given that the third phase is where students can move to the non-conscious process, it will be critical for HRD students to know more about the problem solving process and their preferred problem solving style. Prathner & Gundry (1995) identified the adaptive and innovative problem solving styles. Adaptive problem solving reflects people who will use creativity to make any system better, faster, cheaper and more efficient. Innovative problem solving, on the other hand, is about people who challenge and choose to change the system they are in by installing a new system. These people will do research, create new products, and anticipate unarticulated customer needs. These people seek novelty. Prathner and Gundry's description of these two problem-solving styles heightens the change management process – a core competence for HRD professionals.

Incubation/Stimulation, the third stage, is where creativity can be nurtured. Bundy described the incubation stage as the stage for moving from conscious to non-conscious competency in order to enable creativity. Amabile et al., (1996) related that individuals who have access to a variety of alternatives, example solutions, or any potentially relevant ideas are more likely to make connections that could lead to creativity. The variety of alternatives such as research, external stimuli and specialized thought processes, as discussed in the knowledge gain stage, can stimulate

the creativity process – and thus should be targeted during the incubation period. Relating the incubation stage to HRD, here is where the real workplace problems discussed in the preparation stage could be dissected by HRD students who have gotten formal training in conventional and unconventional thought processes. This is the stage where all experiences are brought to work through a conscious to non-conscious continuum. Diverse teams (Payne, 1990), supportive leaderships, ample resources (Tierney, Farmer & Graen, 1999), environments that promote autonomy and risk taking and external competition (Gilson & Blum, 2000) the social network (Perry-Smith & Shalley (2003), and external stimuli such as real workplace problems, real project managers, and real face time with companies can be only some of the mitigating factors for promoting creativity among students in HRD programs. Other avenues for fostering creativity could be solving case studies, theory building, consulting projects, knowledge sharing, or creative centers in which companies could bring their human and organizational problems to get solution paths. These creative centers could become sources of short and long term problem solving and creative relationships between academia and business and industry. In the past these partnerships were primarily with engineering departments, today, however, creativity is a competence for survival with all individuals, groups and organizations. Davenport, Prusak & Wilson (2003) for example, relate that several important business ideas of the 1990s were created or refined in a vehicle specifically designed for creating contact between researchers/consultants and companies – the so called multi-client research programs. In, my ‘Design and management of e-Learning’ course, for example, students are internal consultants to a company on an e-Learning project. The students identified their expertise and formed content, instructional design, usability and technology teams all of which are working together to develop an e-Learning module. Creativity resides with each team as they are now applying their knowledge on teamwork, project management, consulting, communication, accountability, problem solving, research, instructional design, technology for example. This incubation experience enables students to transition to workplaces and immediately have impact on decision making as they can readily assess e-Learning solutions and create changes to impact results.

The final stage, illumination relates to the realization that a discovery has been found – that a solution path has been identified. Bundy (2002) describes the illumination stage as the ‘aha’ which could be the discovery of a new fragment of knowledge, a viable combination of ideas or patterns of knowledge, the discovery of something that always existed, or the creation of something that never existed or serendipity. For HRD students, the illumination phase could be the implementation of a solution in a company, a research project, a paper presentation at a conference, working in a company, a new HRD theory, an organization development model, for example. The illumination stage represents the time where HRD students can reflect on their knowledge gained, their experiences and what they have been able to create as a result of their supportive creative environment.

Overall, the creativity model provides a general view of what can be done to facilitate creativity in HRD programs. While most HRD programs provide environments for rigorous research, conference presentations, journal publications and solving of case studies and while these activities are critical for fostering creativity; HRD programs must also connect with the just-in-time need for problem-solving. Providing students with opportunities and environments at school to become idea practitioners is necessary in the knowledge economy. In essence all the good research, conference presentations and publications, for example, must be leverage in creative ways to make impacts in real organizations. A closer connection between HRD programs and business and industry need to be established. HRD programs with creative centers that are seen as places to get ideas and solutions could lead to a generation of HRD gurus which as Davenport, Prusak and Wilson (2003) relate are people who are boundary spanners. Their exposure to both theory and practice-oriented ideas makes them uniquely suited to develop new business ideas. Torraco and Swanson (1997), and Gilley and Maycunich (1998) have all highlighted the strategic nature of HRD; for HRD professionals to truly be strategic business partners in organizations, their creative problem-solving and decision making skills need to be at the fore-front, having those skills developed and applied in real environments while at school not only gives HRD programs a good name, but also gives students a readiness for success and impact – a critical competence for HRD professionals in today’s fast pace organizations.

In conclusion, this is a preliminary discussion on how HRD programs can become creative at cultivating creativity. From this basic discussion, several recommendations can be deducted. First, HRD programs need to assess how and to what extent they are promoting creativity and problem solving in their programs. Second, HRD programs need to identify a strategic form of introducing and integrating core creativity and problem solving conceptual and skill foundations and opportunities that are tied with business and industry. Lastly, HRD programs need to be at the forefront of the creativity agenda. National Science Foundation this year, for example, had funding resources for research in creativity. Academic environments that not only conduct research but which apply their research in creativity could become leaders in attracting funding and providing best practices and ideas to public and private, for profit and non for profit organizations on how to develop and value creativity among the emerging creative class.

References

- Amabile, T. M. (1990). Within you, without you: the social psychology of creativity, and beyond. In M.A. Runco,& R.S. Albert (Eds.), *Theories of creativity*. Newbury Park, CA: Sage Publications.
- Amabile T.M. (1996). *Creativity in context*. Boulder, CO: Westview.
- Bessant, J., & Buckingham, J. (1993). Innovation and organizational learning: The case of computer-aided production management. *British Journal of Management* 4, 219 - 234.
- Bundy (2002). *Innovation, creativity and discovery in modern organizations*. Westport, Connecticut: Quorum Books.
- Centron, M.J., & Davies, O. (2003). Trends shaping the future: Technological, workplace, management, and institutional trends. *The Futurist* 37(2) 30 - 43.
- Csikszentmihályi, M. (1990). The domain of creativity. In M.A. Runco, & R.S. Albert (Eds.), *Theories of creativity*. Newbury Park, CA: Sage Publications.
- Davenport, T.H., Prusak, L., & Wilson, J.H. (2003). *What is the big idea: Creating and capitalizing on the best management thinking*. Boston, Massachusetts: Harvard Business School Press.
- Feldhusen, J.F., & Goh, B.E. (1995). Assessing and accessing creativity: An integrative review of theory, research and development. *Creativity Research Journal* 8(3) 231-247.
- Florida, R. (2002) *The rise of the creative class*. New York, NY: Basic Books.
- Gilley, J.W., & Maycunich, A. (1998). *Strategically integrated HRD: Partnering to maximize organizational performance*. Reading, Massachusetts: Addison-Wesley.
- Hailey V. H. (2001). Breaking the mould? Innovation as a strategy for corporate renewal. *Human Resource Management* 12(7), 1126 - 1140.
- Hatch, N. W., & Mowery, D.C. (1998). Process innovation and learning by doing in semiconductor manufacturing. *Management Science* 44(11), p1461, p17.
- Higgins, J.M. (1994). Creating creativity. *Training & Development*, 48(11), 11-15.
- Krogh, G.V., Ichijo, K., & Nonaka, I. (2000). *Enabling knowledge creation*. New York, NY: Oxford University Press.
- Madjar, N., Oldham, G. R., & Pratt, M. G. (2002). There's no place like home? The contributions of work and nonwork creativity support to employees' creative performance. *Academy of Management*, 45(4), 757-767.
- McLagan, P. (1996). Great ideas revisited. *Training and Development*, 50(1), 60-65.
- Lubart, T. I. (2000-2001). Models of creative process: Past, present and future. *Creativity Research Journal* 13(3 & 4), 295-308.
- Perry-Smith, J.E., & Shalley, C.E. (2003). The social side of creativity: A static and dynamic social network perspective. *Academy of Management Review*, 28(1), 71-88.
- Prather, C., & Gundry, L. (1995). *Blueprints for innovation: How the creative processes can make you and your company more competitive*. New York, NY: AMACOM.
- Reich, R.B. (1998). The company of the future. *Fast Company* 19, 124 - 52.
- Sta. Maria, R.F. (2003). Innovation and organizational learning culture in the Malaysian public sector. *Advances in Developing Human Resources* 5(2), 205-214.
- Tierney, P., Farmer, S.M., & Graen, G.B. (1999). An examination of leadership and employee creativity: The relevance of traits and relationships. *Personnel Psychology* 52(3), 591-620.
- Tierney, P., Farmer, S.M. (2002). Creative self-efficacy: Its potential antecedents and relationship to creative performance. *Academy of Management Journal*, 45(6), 1137-1148.
- Torraco, R. J., & Swanson, R. A. (1997). The strategic roles of human resource development. *Human Resource Planning* 18(4), 11-21.
- US Department of Labor (2003). Working in the 21st Century. Retrieved September 10 from <http://www.bls.gov/opub/working/home.htm>.

Practise In and Perceptions of HRD: Do we Need an Aesthetic Perspective?

*Stephen Gibb
University of Strathclyde*

If an aesthetic perspective on practise in and perceptions of HRD is possible what form that might take? The concepts of IAV and EAV are introduced to expand upon this. What can be termed a utilitarian aesthetic is dominant in informing the IAV of practise in and perceptions of HRD. Both challenging this, and developing an EAV perspective on HRD. The implications of these for HRD are considered.

Keywords: Aesthetics, Creativity, Imagination

HRD may be seen to be connected with aesthetics, rather than being an ‘aesthetics free’ subject. This can involve connecting practise in and perceptions of HRD with ideas about creativity drawing on personal and cultural judgements on style and appearance, ideas of the beautiful. It extends more broadly to connecting aesthetics based analyses and understanding of people, as agents possessing mind-body-sensibility complexes. In either sense there can be connections between aesthetics and HRD. The concepts of IAV (IAV) and EAV (EAV) are introduced to expand upon this. IAV is defined by identifying the general, ideal properties involved in creating pleasing and delightful experiences; this approach seeks a universalistic template of what is of value aesthetically. EAV is defined, in contrast, by reference to ‘fit’; what is of value aesthetically is to be determined in terms of theories, not a single universal standard. It can be argued that what can be termed a utilitarian aesthetic is dominant in informing the IAV of practise in and perceptions of HRD. There are possibilities in both challenging this, and in the development of an EAV perspective on HRD. The implications of these for understanding practise in and perceptions of HRD are considered in conclusion.

First, what is meant by practise in and perceptions of HRD depends what HRD is taken to be. HRD can be defined in multiple ways. In narrow terms it may be defined as being concerned with practise in and perceptions of the education, training and development of people in the employment context. Or it can be defined in broader terms as practise in and perceptions of a discipline which is the product of the union of organisational analysis and theory on the one side and Human Resource Management (HRM) on the other. In a narrow sense the concerns of HRD may be seen as theorising and practising around adult learning and development. In a broader sense the concerns of HRD may be seen as an integral part of organising and the management of employment. It is assumed here that both these definitions have a role to play, and each can be considered in relation to aesthetics.

HRD in either these senses can be understood from various perspectives. The psychological, the economic, systems thinking and ethics are all understood to be and accepted to be prominent perspectives (Swanson & Holton 2001). As HRD evolves as a subject other possible perspectives which may be additional to these are encountered (McGoldrick et al 2002). Is a concern with the ‘strategic’ or the ‘international’ or ‘knowledge management’ an additional perspective on HRD, or just a mixture of these primary perspectives in a special context? Should there be an anthropology perspective on HRD, a social psychological perspective on HRD, a ‘critical’ perspective on HRD? These seem to be developments which are being encountered as the subject evolves. These may be developments which are welcomed as part of a burgeoning discipline, or treated with scepticism as intrusions upon the coherence, identity, and boundaries of the subject.

I have some sympathy with each position. If an additional perspective is to be embraced it needs to contribute to the identity of the subject in a distinctive way, and be connected with the core concerns of the subject. Among the developments which may provide an additional, distinctive and connected perspective I would identify what can be termed the aesthetic perspective.

There are two ways in which the term aesthetics is commonly defined. In a narrow sense aesthetics has been concerned with matters of style and beauty, and the processes of delighting the senses (Beardsley 1966). This is most commonly associated with the creation and appreciation of art works and the creation of pleasing objects and environments; and, of course, our creation and appreciation of ourselves as human beings. There are some already existing connections with aesthetics in these senses. A concern with design in the development of courses or organisations is, conceptually at least, embedded in HRD. And the concept of aesthetic labour, for example, has generated some debate about how our creation and appreciation of ourselves is intimately connected with employment in certain jobs and sectors of employment.

Copyright © 2004 Stephen Gibb

In a broader sense aesthetics involves understanding and exploring the complex of mind, body and sensibility (Howard 1992, Mellander 2001) which people possess and use to make sense of reality. In this sense analysing aesthetics is not confined to understanding the discrete and special experiences of appreciating art, or the dynamics of how style and look matters for specific kinds of people such as employees in certain jobs. It is a perspective on understanding human consciousness and behaviour. It contrasts with rational-logical perspectives (Cazeaux 2000). In the narrow sense then to explore aesthetics is to encounter the processes and challenges involved in delighting the senses; a concern primarily associated with art and design. In the broader sense to explore aesthetics is to encounter debates and challenges about human nature, consciousness and morality.; a concern primarily associated with philosophy.

Aesthetics in either of these senses may be relevant to HRD. Is delighting the senses, being like an artist, relevant to HRD? Is understanding the mind, body and sensibility complex, as a philosopher might, relevant in HRD? Some will answer positively; that it is at least relevant in some ways on some occasions. Design permeates all aspects of human endeavour (Lawson 1997, Norman 2001, Farmelo 2002) and HRD is not exempt (Strati & Guillet de Monthou 2002, Shani & Docherty 2003, Bredeson 2003). Others would answer negatively; that HRD is a domain founded on scientific theory and professional practise, and aesthetics are not an essential or integral part of that (Phillips & Soltis 1998, Piskurich et al 2000, Schram 2002)

Figure 1 outlines the different domains in which connections between HRD and aesthetics may be possible. To establish the relevance of aesthetics as a perspective, or dismiss it as outside the domain of HRD, these are the territories of contest. Rather than dealing with each set of connections separately this territory as a whole will be further explored here by addressing three inter-related questions;

- Can practise in and perceptions of HRD be free of aesthetics?
- If practise in and perceptions of HRD are to be informed by aesthetics how is IAV to be understood and analysed ?
- What are the theoretical and practical consequences of applying the concept of analysing the external aesthetic value to HRD?

Figure 1. Connections between aesthetics and HRD

	Broad Sense	Engaging mind, body and sensibility in adult learning	Engaging mind, body and sensibility in organising and managing employment
Aesthetics		Delighting and pleasing adult learners	Delighting and pleasing in organising and managing employment
Narrow Sense	HRD		Broad Sense

Can Practise In and Perceptions of HRD be Free of Aesthetics?

Aesthetics is a concept which is not a normal part of the HRD lexicon. It is not in common use in business and management to discuss practise in and perceptions of HRD and it does not appear in the indices of major HRD textbooks. As such it would seem that practise in and perceptions of HRD are free of aesthetics. For all that trainers and teachers may think of themselves as performers, or that organising may be viewed as like staging a performance, these are just fanciful ways of reflecting on what are essentially non-aesthetic activities. However, if the question is re-phrased to be ‘is HRD theory and practise free of creativity, innovation and imagination?’, then the response may be different (Earl 1987). These concepts have a role and a significance in the context of

adult learning and organising; though again they are absent from the indices of major HRD texts. An aesthetic perspective is just a systematic and methodical way of considering the nature and role of creativity, innovation and imagination in HRD.

The concept of aesthetics was briefly defined above in a narrow and a broad sense. This can be expanded upon. In its most basic sense aesthetics refers to the style and appearance of everyday objects, and the 'beauty' of works of art such as poetry, music or painting; and the perception of ourselves. It may also refer more broadly to the experience, the feeling, of a unity and simultaneous engagement of mind, body and sensibility. Such feelings might be found in nature or the man made; a walk through a garden or an appealing urban landscape. These kinds of experience as well as art appreciation raise matters of aesthetics. In this broader sense human experience is never free from aesthetics. Aesthetics are an essential and integral part of consciousness. We inhabit a natural and a constructed environment in which the people, objects and experiences we encounter have an aesthetic value. People appreciate a positive aesthetic value in the gardens or urban landscapes or people they encounter. If there is a negative aesthetic value they will feel differently about the garden, urban landscape or person. They may even judge them, in the extreme, to be ugly, offensive, or disgusting. Escaping the influence of aesthetics in this sense, and finding all of equal aesthetic value, is as hard to imagine as is a world in which there is no up or down, no right or wrong, no truth or illusion. What matters is that often there is contest over different judgements about aesthetic value; the same object or landscape or person being of great aesthetic value to one person or group but not of any value to others.

This is the problem of standards. This is manifest in particular around the concept of beauty, and the implications of having standards of beauty which influence our perceptions not just of landscapes and cityscapes but our perceptions of people. For on the one hand are those who seek to define and promote defined and certain standards of beauty. The beauty industry embodies and reflects these concerns, some would argue fixations, with such ideals. On the other hand there are those who seek to deconstruct these 'myths' of beauty and challenge their ideological origins and consequences. Underlying this is an argument that things may be perceived and judged aesthetically, but people should not be. Attractive or plain, stylish or casual, young or old, thin or large, tall or short; it should be immaterial, as this is all only skin deep and what matters is under the skin. What is very evident, whether the beauty industry or its opponents are embraced, accepted in parts, or opposed, is that there are no absolute single standard of aesthetic value, of beauty. There is instead variety of personal and cultural tastes. Beauty is in the eye of the beholder, and beholders vary individually and culturally.

For proponents of an aesthetic perspective HRD is not free of these issues. Practise in and perceptions of HRD are enmeshed in aesthetic value. The aesthetic valuing which people engage in, their perceptions of beauty and their combined mind/body/sensibility natures is not switched off when they engage with HRD; they bring this with them to HRD. They bring this with them as practitioners and as users; whether the practitioners are organisation designers, trainers or teachers and whether the users are managers and employees in an organisation, learners or students. One explicit illustration of this is Earl's (op cit) text on the art and craft of course design. For learning experiences to be effective, valued, liked and efficient it is necessary to give time and attention in the design process to rational analysis of needs and methods, but also to creativity. Earl argues that design needs to combine intuition, creativity and logical thinking. He provides a series of ideas and models about how to realise creative design thinking, and analyses issues in translating designs from the drawing board into practise. Unless attention is given to this the likelihood is that learning will be ineffective, not valued, disliked and inefficient. He offers a list of common flaws in design. Among these are;

- The absence of a special organising anchor at the heart of a course, which provides a simple but holistic point of reference for the whole experience.
- The missing 'melody'; all kinds of learning experience should have a 'melody', with different 'notes' which learners expect to be combined if the course is to be 'in tune'
- The non-integration problem; the bits of a course don't fit together, as the sequence is faulty
- There is neglect of some of the four different kinds of human need in the course; the physical, intellectual, emotional, spiritual

For proponents of the aesthetic while this is important in itself the really critical point is that such intuition and creativity occurs within a culture's wider system of aesthetic valuing. The standards of aesthetic value in use at large will shape what creativity in HRD can be and will be. That is to say that there is no independent creativity in HRD set apart from the standards of style and beauty in the general culture. The implication is that addition to understanding rational analysis factors such as analysing needs, knowing learning styles, having functional expertise in a subject, and so on, there is an aesthetic factor. There is a process of aesthetic valuing which will inform, for example, course design, and can impact upon learners. This suggests that it is possible to think of HRD outcomes which are satisfying or not satisfying, and ineffective or effective, because of their aesthetic value. These do not have to be absolute aesthetic standards. They may be more a matter of 'fit'. Where

there is a fit between the aesthetics of a designer and the users of HRD the HRD is more likely to be experienced as satisfying and effective. Where there is a mismatch between the aesthetics of a designer and users of HRD the HRD is more likely to be experienced as dis-satisfying and ineffective. Even if , for example, the HRD designer is a subject expert, who has sought to accommodate learning styles, and has a clear map of needs, the HRD may fail.

The obvious concern then is ‘what constitutes the personal and cultural tastes that shape and inform people’s aesthetic valuing ?’ . This raises the question of IAV; what is it that an object, experience or person needs to have to be deemed of aesthetic value ? Just as the beauty industry or the art world need to track, and create, changing fashions, HRD theorists and practitioners may be enmeshed in a similar dynamic. Instead of a gradual and growing accumulation of knowledge informing practise that leads to a settled and certain understanding of HRD there is rather a need to keep up with changes in aesthetic value, in fashions. Are high performance work organisation still fashionable, or has a newer concept appeared ? Is the learning organisation part of this spring’s collection ? What are we going to do with e-learning this year ?

Another primary domain of aesthetics, and perhaps the one that most people think of , is that associated with art appreciation Here aesthetics is a special area of concern among those who make up the ‘artworld’. The artworld is made up of the artists, institutions, critics and consumers of art in the contemporary world. In a culture where what counts as art is no longer plain and certain, they are concerned with defining what is and what is not art. For them aesthetics provides a language for defining what is and what is not art. This is a specialised, and many would argue elitist, process. While connections with practise in and perceptions of HRD can be made, this is a difficult site of connection. What makes one pile of bricks ‘art’ and another pile of bricks ‘not art’, raises questions about definitions of art and its function in the modern world, but how the aesthetics of this may be coupled with HRD is not immediately evident. This sense of the external valuing of aesthetics will be returned to, as it is relevant.

The brief analysis above establishes an entry point to addressing the question about the role for aesthetics in HRD. There are immediate points of contact with HRD that can be made. HRD is not aesthetics free. However, the concern here is going beyond the analysis of these separate points of connection, to consider if there are deeper and stronger connections underlying these apparent links. This can be done by further exploring how the concepts, theory and philosophy of IAV and EAV can be applied in HRD.

Intrinsic Aesthetic Value (IAV)

First consider the idea of an IAV; that is, what are the properties that an object, experience or person needs to have to be deemed of aesthetic value ? In the main practise in and perceptions of HRD are framed, it seems, in largely utilitarian, functional and vocational terms (Wood 1995, Winch 1998). This is perhaps so commonplace as to seem a non-aesthetic way of understanding HRD. But it is indeed, and exactly, a form of aesthetic understanding. HRD conceived of and discussed in the languages of the utilitarian, functional and instrumental. It is utilitarian as practise in and perceptions of HRD should be informed by the plain, the simple and the austere rather than the extravagant, the ornate and the gorgeous; the aesthetics of the classical portico not the Gaudi house. It is functional as practise in and perceptions of HRD should be informed by the neutral, the mechanical, and the standardised rather than the colourful, the organic and the unique; the aesthetics of the plate glass not stained glass. It is rational as practise in and perceptions of HRD should be based on the straight line, columns of data ,and the logical rather than the curved, the harmonies of fuzzy thinking and the intuitive; the aesthetics of the weather forecast not singing in the rain.

The appearance of this understanding of practise in and perceptions of HRD, the classical, plate glass, columns of data, as being non-aesthetic is attributable to the long dominance of an established paradigm for aesthetic value. The origins of this are to be found in the late 19th century. Then the focus of social and organizational development was on transforming institutions. In that period the institutions of concern were diverse and mixed, not just multi-national businesses; hospitals, prisons, schools, police forces, armed forces, government as well as factories and offices were all perceived to need transformation. This transformation from old institutional forms and norms to the new was a process occurring as various ideas which prevailed at the time were mixed and cohered in various ways. Three of the most influential were the idea of bureaucracy, the idea of efficiency and the idea of social positivism. Much has been written about these ideas and their impact on organisation and management. The focus here is only on HRD. Practise in and perceptions of HRD as it evolved in this environment were influenced by these ; HRD to fit in had to be more bureaucratic, to be more efficient and to be imbued with social positivism.

One neglected feature of these is their apparent anti-aesthetic influence. For some being bureaucratic, efficient and socially positive combined to produce a way of was not just a form of aesthetics but actually anti-aesthetic. That is to say that matters of style and beauty, of engaging human sensibility, seem not just to be neglected but positively excluded. Arguably it was, and still is, the idea of social positivism which had most impact. The mix and coherence of ideas about bureaucracy and efficiency have changed over time, but social

positivism abides. Social positivism requires and embodies high minded and logical thinking about society and organization. The impact on HRD is that it is to be pursued as a means to the end of progress and improvement. It is to be energetically pursued, and with great ‘seriousness’. An all pervading ‘ameliorative intent’ is the moving spirit. It is impossible to read HRD journals, talk to HRD professionals and academics, and hear papers at conferences without this spirit being very evident.

The purpose and goal of improvement is not lightly conceived or carried. Whether the practitioner is an organisation designer or trainer, or the academic using quantitative or qualitative methods, they share this ameliorative intent. In its early forms, and since, social positivism is welcomed as a robust force for good. It was indeed part of making changes for the good. Through making investment in and support for education, training and development central, and for taking human development seriously, we have much to be grateful as we can enter an era of human capital standing on the shoulders of the giants who made this possible. However, an unintended side effect was the domination of a utilitarian, functional, rational aesthetic. Other conceptions of the task of helping human learning, growth and change as involving different kinds of style, beauty and engaging the sensibilities were not consonant with this package, and remained marginal. Those who thought otherwise were isolated voices, innovating in places but excluded from the mainstream and the normal. An aesthetic of rigour, order, uniformity, discipline, austerity, and seriousness fits with the ameliorative intent. As this has prevailed for so long it appears ‘normal’, and even non-aesthetic. But it is not free of aesthetics. It is a form of intrinsic aesthetic value (see below). The structure, relations and ‘normal’ experiences associated with HRD, from identifying needs to evaluating learning, have been, and still are, shaped by this aesthetic.

Utilitarian, Functional, Rational IAV

- Rigour and order
- Uniformity
- Austere
- Discipline
- Seriousness
- Rational

To appreciate how these ideas about IAV can inform HRD an illustration of what happens if they are challenged can be given. The Scottish Ensemble Orchestra (SEO) is a twelve member orchestra. They are seeking to diversify their income generating activities by acting as trainers for team building in organisations. They plan to do this by offering a full day event on team building. The thinking behind this is that this is a world class team, which forms and learns many times a year, without a conductor. Effective communication in rehearsals is the basis of the world class team. The team is able to attain world class standards with less rehearsal time than others; so they must be really effective as a team. The day event they offer is based on the following elements;

- They perform apiece for the trainees to demonstrate their abilities
- They then rehearse a new piece in front of the audience
- The trainees then discuss rehearsal in small groups
- They discuss their observations with the whole ensemble
- They then form groups to make their own music
- Things are modified and changed during the composing
- The groups perform their pieces
- Learning about teams is discussed

They offered potential clients a ‘taster’ session, to showcase what they could do, and I attended this. This involved experiencing the early part of the day outlined above and seeing video footage of the latter part of the day as experienced by a group they had practiced the whole event with. The ensemble offering clearly represents a creative and imaginative approach to learning. It is an entertaining means to a serious end. Hearing, seeing, and playing music, being in the presence of world class musicians, is indeed a great pleasure, for music lovers especially. Using this as a means of learning and developing workplace skills related to teams, communication and speed, is a version of the same kind of design found in the adoption of ‘outdoors activity’ based training, and other arts based training, such as working with creators of improvisational comedy or drama. This is fun, and play, but with a purpose.

Observing these artists promoting their creative based training is immensely pleasurable, and satisfying. But who wants creative based training and development? What is the value? Why the interest? How can it be evaluated? By the norms of the discipline of HRD this event broke the aesthetic rules (see below). I found

myself afterwards critiquing this event as failing to fit these norms; and trying to develop analytical solutions to help them take an approach to being trainers that would fit with dominant conceptions of HRD as they are most usually framed. How do arts and business connect in terms of organizational strategy, work performance, professional practise, the credibility of HRD? But this is to miss the point, I then realised. Even as someone who approached this experience in sympathy with their goals I found myself thinking about their performance in utilitarian, functional and rational terms. The point is though that they do not, and cannot, fit with that sense of IAV.

Utilitarian, functional, rational IAVs	SEO; Breaking the rules
---	--------------------------------

Rigour and order	The ‘chaos’ of a rehearsal session
Uniformity	Musicians not trainers facilitating
Austere	Using the joy and language of music
Discipline	Participating in experiment and fun
Seriousness	Playing and enjoying
Rational	Evaluating the impact of this on teams ?

Extrinsic Aesthetic Value (EAV)

Alternatives to the intrinsic aesthetics of the utilitarian as a distinct perspective on matters of human development can exist. They can be seen to have evolved through various analytical movements in the 20th Century. These movements provide a variety of frameworks for the theoretical analysis of the aesthetic and, subsequently, can contribute to explaining and understanding the problems and challenges of human relations and interactions in socio-technical systems of work. These analytical movements include German aesthetics, phenomenology and hermeneutics, Marxism, modernism and postmodernism, and psychoanalysis. There is a case for considering each of these, but that would require another article in itself. Instead the essence of what they offer collectively can be considered.

Vickery (2003) provides a summary of what these seem to offer for reconsidering question of aesthetic value in the contemporary context. The key contribution for Vickery is precisely that they define, and justify, the analysis of aesthetic value in all areas of human concern in opposition to perspectives which adopt an instrumental rationality view of human beings and human nature. These instrumental and rational ways of seeing and thinking have come to dominate the contemporary scene not just in HRD but at large. We inhabit a world dominated by instrumental rationality, where economic value is uppermost and people feel themselves to be managing a constellation of roles that orbit around their economic value; at work or as consumers. Many seem to feel split and fragmented, alienated and bereft, whether they are affluent or not. They seek and attempt to find consolations for this, through forms of therapy and healing which help them attain or affirm a feeling of being a ‘whole’ human rather than a unit of economic value. In the past, Vickery argues, art and high culture functioned as one such consolation, a sanctuary for the alienated soul. Special experiences with some properties of IAV, such as art, music, tourism and the like, compensated for the absence of IAV in the fabric of peoples working and private lives. In relation to the art world, for a work to be art it once had to have IAV. This meant embodying certain, defined qualities

IAVs Offered via Experiences of Art

- Reflective, contemplative
- Subjective and individual
- Community and shared values
- Authentic expression

The connection with HRD would then be that a alternative to utilitarian aesthetics might be founded upon these properties. HRD that was influenced by these aesthetics would, in contrast to the utilitarian influence, would be reflective and contemplative, subjective and individual, communal and based on shared values, and involve authentic expression (Lieberman 1997, Egan 1992). The contributions of those such as the Scottish Ensemble Orchestra for team building would not then look and feel strange; they would not be seen to be breaking the rules. They would seem entirely plausible and natural, as it would be consistent with these aesthetics. To progress aesthetic connections with HRD might then seem to lead to exploring and validating such an alternative aesthetic. But this too is changing. These old sanctuaries are themselves under siege, and challenging the whole concept of IAV is at the heart of that.

Vickery notes that the other major consequence of these movements, aside from challenging instrumental and rational perspectives on humanity, has been to question the idea of absolute IAV. The attempt to define common properties that embody aesthetic value has been superseded. It is the hermeneutics of reception that matters now, not the defined qualities of a work and their embodiment of IAV. What this means is that a conscious process of interpretation is needed to determine what is and is not art, as this cannot be defined by the qualities of an object in itself. This has the effect of making the determination of aesthetics a matter of EAV. The external factor is most often the institutional endorsement of a work as significant as art. That institutional endorsement is based on an art theory discourse about what counts as art, not the inherent features of the object. Another way of putting this is to say that the esoteric values exoteric values are relevant. Esoteric values are those of the elite, only likely to be understood by those with a specialised interest. Exoteric values are those likely to be understood by the general public. The difference between a Brillo box and a work of art made of Brillo boxes is the endorsement of those with esoteric values. To possess, and believe, and share those values is to then see the art. To neither have, nor believe, nor share those values is to see just a Brillo box. Instead then of providing a sanctuary for the alienated art becomes a forum in which contests about extrinsic aesthetic valuing are encountered. What is of aesthetic value HRD and what is not of aesthetic value in HRD cannot be determined by any defined qualities in an activity. It depends on what those who interpret it, according to their esoteric or exoteric values think and feel.

This gives rise to a whole new framework for understanding aesthetics; as a contest over ‘cultural capital’ among those with esoteric values and their relations with the general public and their exoteric values. What are the implications for HRD? The main implications are that there can be no single substitute for the utilitarian aesthetic. For aesthetic value is only ever constructed within a complex of seemingly arbitrary relationships among an elite, often in contest with general beliefs. Are there parallels with this and the ‘HRD world’?

Conclusions

This review of an aesthetic perspective takes place in circumstances where the primary HRD dialogue is fixed around strategy, performance and major government policy reform. There seems to be little room for the ‘philosophical’ and ‘academic’ language of aesthetics to be adopted here. Yet everywhere else, from the grand scale of the physical environment we inhabit, the buildings and homes, the furniture and products we use, to the detail of the food we require for nourishment everything is now much more consciously and explicitly informed by aesthetics. The concern with the aesthetic challenge is real, and part of progress elsewhere. Why not HRD?

Objections to an aesthetic perspective, and the lines of inquiry associated with it, can be identified. These include objecting to the ‘superficiality’ of concerns with style, the negative or ideological aspects of dealing in constructs of beauty, and the objection that effective HRD is to be based on the ‘success’ of psychological models of learning which do not require an understanding of the nebulous unities of mind, body and sensibility. Overall the objection is that engaging with the problems of ‘continental philosophy’ in which the contemporary study of aesthetic is seen to be entangled (Eagleton 1990), is a diversion from the real tasks faced.

Yet the issues raised in the course of considering the nature of aesthetics can be seen to matter for practise in and perceptions of HRD, as either minor or major matters. In a minor sense they suggest a need for creativity, innovation and imagination to be taken more to heart in the world of HRD; there ought to be some discussion of them in major HRD texts, for example. The case for a major role would require seeing the aesthetic perspective as part of confronting in the broadest context concerns with the failing infrastructure of instrumental, functional and rational HRD. The physical, cultural and pedagogic facilities, relations and institutions that embody design methodologies and approaches to education, training and development, or managing and organising, can be perceived to be inadequate in the learning societies, knowledge economies and global culture we are currently seeking to construct. Once again, just as when the instrumental and rational aesthetic came to the fore, there is a requirement for transformational change rather limited reform. The infrastructure we have inherited needs to be questioned, and an aesthetic perspective offers one way of doing that. Is the existing infrastructure up to the job, is it in the right physical and cultural places and is it a socio-technical system allowing us to do the right things? At least some commentators worry that it is not; that the whole edifice of the infrastructure, the buildings, professions, technologies, systems and processes of education, training and development are part of the problem (Laurillard, 2002).

But Gaudi houses, stained glass windows, and rainbows? The team building methods of an ensemble orchestra? Do these parts of an aesthetic analysis add up to a case for an aesthetic perspective or not? This is an initial exploration of the idea of aesthetic value, to help clarify the potential relevance of an aesthetic perspective. Addressing this in full entails exploring and understanding a range of ideas. These stretch back to what Plato had to say on the role of the arts in society and up to current controversies over what ‘art’ is. It raises and involves matters ranging from the morality of censorship to the cultural conditions of effective knowledge creation. These are the kinds of matters opened up for discussion by seeing aesthetics as relevant.

Or is this evidently an indulgence in philosophy which amounts to a distraction from the real tasks of HRD. There are important themes and issues raised; matters of style and appearance, ideas of the beautiful, unity of mind, body and sensibility, and the debates of analytical movements concerned with the aesthetic. These can be interpreted in relation to the concepts and debates of intrinsic and EAV, and this can be applied to thinking about HRD. For individuals, organizations and communities the aesthetic connections with HRD that have been 'invisible' are increasingly being seen. The model presented in Figure 1 above is designed to open up the relationship of aesthetics to HRD and issues in HRD as a contribution to that. I would expect there to be some ambiguity still. I do not believe that can be resolved, but rather it may motivate useful thinking about and practise in HRD.

The legitimacy, or otherwise, of exploring these connections depends on seeing HRD as involving an aesthetic, as well as a scientific, enterprise. But suggesting that understanding aesthetic value is central to HRD, in the senses cited above, rather than either materialistic questions associated with 'economic models' of human capital or phenomenological questions about constructing better learning organisations, raises further questions. Better understanding aesthetic value can be a means to desired ends, more people involved in better HRD. And it is an end whose pursuit in itself can make overcoming trials and troubles, the vicissitudes, easier rather than harder. Certainly once the associations between human development and aesthetic value are glimpsed it is difficult to ignore the implications these have for all education, training and development, including that in the work and organisation context. Practise in and perceptions of HRD are limited only by one thing; our imagination.

References

- Beardsley, M. (1966). *Aesthetics from classical Greece to the present; a short history*. New York: McMillan.
- Bredeson, P.V. (2003). *Designs for learning*, Thousand Oaks. California: Corwin Press.
- Cazeaux, C. (2000). *The continental aesthetics reader*. London: Routledge.
- Eagleton, T. (1990). *The ideology of the aesthetic*. Oxford: Blackwell.
- Earl, T. (1987). *The art and craft of course design*. London: Kogan Page.
- Egan, K. (1992). *Imagination in teaching and learning*. London: Routledge.
- Farmelo, G., (2002). *It must be beautiful: Great equations of modern science*, Granta.
- Howard, V. A. (1992). *Learning by all means; lessons from the arts*. New York: Peter Lang Publishing.
- Laurillard, D. (2002). *Re-thinking university teaching*. London: RoutledgeFalmer.
- Lawson, B. (1997) *How designers think; The design process demystified*. Oxford: Architectural Press
- Liebermann, J. N. (1977). *Playfulness; its relationship to imagination and creativity*. New York: Academic Press.
- McGoldrick, J., Stewart, J., & Watson, S. (2002). *Understanding HRD; a research based approach*. London: Routledge.
- Mellander, K. (2001). Engaging the human spirit; a knowledge evolution demands the right conditions for learning, *Journal of Intellectual Capital*, 2(2), 165-171.
- Norman, D. (2001). *The design of everyday things*. London: MIT Press.
- Piskurich, G.M. (2000). *The ASTD Handbook of training design and delivery*. New York: McGraw-Hill.
- Phillips, D., & Soltis, J. (1998). *Perspectives on learning*. New York: Teachers College.
- Schram, J. (2002). *How do people learn? The change agenda*. London: CIPD.
- Shani, A.B., & Docherty, P (2003). *Learning by design*. London: Blackwell.
- Strati, A., & Guillet de Monthoux, P. (2002). Organizing aesthetics. *Human Relations*, 55(7), 755-766.
- Swanson, R. & Holton, E. (2001). *Foundations of Human resource development*. San Francisco: Berret-Koehler Publishers.
- Vickery, J. (2003). *Organising art; constructing aesthetic value*
http://www.essex.ac.uk/AFM/emc/tamara_call.htm, accessed 21st August 2003
- Winch, C. (1998). *The philosophy of human learning*. London; Routledge.
- Wood, D. (1995) Theory, training and technology; Part 1. *Education and Training*, 37(1), 12-16.

Building Web based Communities: Factors Supporting Collaborative Knowledge-Building

Jennifer Calvin

David S. Stein

Joe E. Wheaton

The Ohio State University

Web based training is utilized by many organizations, yet trainers rate this method of training comparatively low in meeting training objectives. Many trainers indicate that collaboration and communities of practice are key elements in transferring learning to improved productivity. This study examined the role of the development, maintenance and use of Web based communities to increase satisfaction with knowledge gained in college courses. The results indicate that interaction and collaboration, appropriately structured into courses, can foster learning in communities. The study has implications for the development and use of communities of practice to foster continual learning and improved performance in organizations.

Keywords: Collaboration, Community, Knowledge Building

The World Wide Web has the potential to change the way that training and education are provided. Three out of four organizations employing over 100 workers have used the Web to provide training (Galvin, 2001; Kaupins, 2002). In spite of widespread use, trainers continue to rate Web based training methods comparatively low on meeting training and learning objectives (Kaupins, 1997; Kaupins, 1998; Kaupins, 2002; Newstrom, 1980; and Noe, 1999). Among the reasons given are the inability of the web to provide opportunities for collaboration and problem solving skill development. Collaboration in learning and the building of communities of practice in the workplace is now seen as vital in the development of knowledge workers and in the development of a workforce that is able to continually learn and improve performance (Newman & Smith, 1999; and Smith, P.J. 2003), yet trainers do not see Web based training allowing for collaboration and community building.

Other research indicates that Web based learning has the potential to change the dynamics of traditional training. Rather than the instructor solely establishing the conditions for learning, the learner has the opportunity through listservs, chat rooms, and threaded discussions to influence the social, emotional, and instructional environment (Burch, 2001; Jones & Martinez, 2001; Newman & Smith 1999). These researchers believe this influence can be used to create learning communities. A key factor cited in creating and maintaining an online learning community is interaction with both the social and content dimensions of the course (Palloff & Pratt, 1999; Grubb & Hines, 2000; Carabajal, LaPointe, & Gunawardena, 2003).

If trainers are not convinced that web based training can lead to collaboration and the development of communities and if higher education researchers suggest that learning communities can assist in knowledge development then the factors that might encourage the development of collaboration and learning communities need to be identified. This notion of allowing the learners to influence the conditions of learning, through the development of Web based learning communities or Web based communities of practice, may offer a way to reconcile organizations' desire to utilize the Web for training, the need for the development of communities of practice and trainers' beliefs that Web based training cannot meet learning objectives.

While this study was set in a large midwestern university, the results have implications for trainers who want to promote communities of practice within their organizations and for the development of collaborative problem solving skills. The study focused on several research questions, which were investigated through both quantitative and qualitative methods. The quantitative methods included logistic regression and chi square tests of independence, while the qualitative methods used semi-structured in-depth interviews and focus groups.

The research questions specifically addressed in the study were: (1) To what extent do structure, interaction, degree of distance, or characteristics of the learner affect satisfaction with learning in a distance environment? (2) In what way is learning orientation related to degrees of distance or educational philosophy? (3) How do learners create, maintain, and use a learning community to foster individual and collective learning? The findings for question three have the most implications for trainers and web based training. Consequently, the findings for the first two questions will be presented briefly while the majority of this paper will focus on question three.

Copyright © 2004 Jennifer Calvin, David S. Stein, & Joe E. Wheaton

Moore's theory of transactional distance provided a framework for analyzing the development of online communities and satisfaction with knowledge gained during the learning experience. Moore's theory describes the transaction of education or learning as being comprised of dialogue and structure, the levels of which vary from course to course (Moore & Kearsley, 1996). Dialogue is a particular type of interaction that advances learning, while structure reflects the flexibility of the course design in accommodating individual learners' needs (Moore, 1993; Moore, 1991).

Methods

This mixed methods study included 201 undergraduate and graduate students in nine intact classes at three Ohio universities. Courses were of different length, content, and percentage of online versus face-to-face interaction (variable 'degree of distance' in the study). With the exception of one course, students had no choice as to the degree of distance. Four instruments were administered to collect the quantitative data. They were: (a) Satisfaction Questionnaire, (b) Demographics Questionnaire, (c) Learning Orientation Questionnaire (Martinez, 1996), and (d) the Philosophy of Adult Education Inventory (Zinn, 1983). Both the satisfaction and demographics questionnaires were researcher developed. Participants in the quantitative portion of the study consisted of anonymous volunteers from the nine courses. Consequently, the number of responses to any given survey varied from a low of 69 (response rate of 34.3%) on the satisfaction survey, to a high of 154 (76.6% responding) on the Learning Orientation Questionnaire (LOQ). The Philosophy of Adult Education Inventory had a slightly lower response rate (142; 70.6%), as did the demographic survey (133; 66.1%).

Question 3 (How do learners create, maintain, and use a learning community to foster individual and collective learning?) was answered through qualitative analyses, which consisted of theory driven open coding of comments from 29 learners who volunteered to participate in semi-structured individual or focus group interviews. Coding of the interview transcripts identified nine themes: (a) dialogue, (b) structure, (c) distance, (d) learning, (e) participation, (f) barriers, (g) community, (h) communication, and (i) reasons to enroll/not enroll in online courses. The results were used to link the quantitative and qualitative results in the following ways:

1. The themes of dialog, participation, and communication were used to connect the quantitative data on interaction.
2. The theme of structure was used to connect the quantitative data on course structure.
3. The themes of distance and barriers were used to explain the lack of statistical significance found in the degree of distance and use of technology.

All data for the study were collected between September 2001 and June 2002.

Results

In examining research question 1 (Do structure, interaction, degree of distance, characteristics of the learner, or the expectations of instructors affect satisfaction with learning in a distance environment?) logistic regression with forward stepwise entry was employed. The dependent variable, satisfaction with knowledge gained, consisted of two categories – high satisfaction or low satisfaction. Structure was found to be highly related to satisfaction with knowledge gained. Interaction was also related, although much less so than structure. None of the other variables (age, sex, level of computer experience, previous web based course experience, learning orientation, educational philosophy, level of education, or degree of distance) were statistically significant. (See Table 1). In other words, if the participants were satisfied with the structure of the course, they were very likely to be satisfied with their learning in the course, and if they were satisfied with the level and type of interaction in the course, they were more likely to be satisfied with their learning in the course.

Table 1. *Results of Logistic Regression*

	B	S.E.	Wald	df	Sig	Exp (b)
Step 1	Structure	5.05	1.5	11.8	1	.001
	Constant	-2.48	1.0	5.7	1	.017
Step 2	Structure	4.20	2.1	4.0	1	.045
	Interaction	0.71	0.4	2.9	1	.088
	Constant	-15.8	8.8	3.2	1	.07
						.000

Correlations examined to answer research question 2 (In what way is learning orientation related to degrees of distance or educational philosophy?) were not statistically significant (Cramer's V = .15 for learning orientation and .18 for educational philosophy). The qualitative data again supported this finding as learners reported reasons for choosing level of distance that had nothing to do with their learning orientation or educational philosophy.

Research question 3 (How do learners create, maintain, and use a learning community to foster individual and collective learning?) was answered through the qualitative data collected. Learners provided both a definition of community and a description of how these communities developed and were used to aid in their learning. Becoming a member of a learning community provided a sense of social presence and learners seemed to feel this way across all degrees of distance.

Defining Community

Respondents indicated that a learning community had for them, the following elements - shared learning goals, a free flow of ideas, and help solving problems from all members of the community. An element of interpersonal connection or trust was also identified as important in attaining a feeling of community.

Creating a Learning Community

When asked how they went from being individuals to feeling part of the group or team, the most common response can be summed up by one of the interviewees who said, "We had to!" Most of the learners felt that although they were placed into groups, it was the assignments given within the courses, and the process of working together to complete them that were the keys to becoming a cohesive group, and subsequently feeling that they were part of a learning community. In examining responses from interviewees who felt that community did develop in their course, we found this was true across all degrees of distance.

Not all agreed, however, that their course or the group to which they were assigned created a learning community. For those learners who did not feel that their group became a learning community, it often appeared that the individual was unwilling to socialize or did not have an interest in participation in the course.

I just felt like an independent student. I didn't try to get to know anybody except for reading their student intros and also with the teacher. [When the student was asked if she felt like she was alone, she responded:] Yes.

Structure and community creation. The learners participating in this study concur with Moore's theory that interaction and appropriate structure aid in learning, and with the notion that social construction of knowledge aids in the formation of learning communities. When the structure of the course requires learners to work together, communities were created and learning was enhanced.

But, that format where you produced a result of your group discussion and compared it with other groups in one way or another I thought improved your learning [she nods]

On the other hand, when learners were not satisfied with the level of structure, learners indicated that there were problems with learning.

They [were] just...not at all structured. There's no set way, no definite... I'm never sure what they want, so when I sit down to do my work, I'm not sure what I should be doing or what they want me to do or if I'm doing it right...Like I said, I like more structure and only one of them (one of the 14 web based courses this learner took) really had...enough (structure) to make it work.

Whether the learners were working together face-to-face or via the web did not seem to make a difference in whether a learning community was created, however learners who had taken both face-to-face and Web based courses believed face-to-face communities developed more quickly.

Maintaining a Learning Community

Some learners felt that the process of community building began with social interaction and shared goals. Trust that others in the group would do their part and provide assistance if needed was identified as a key element in the continuation of a learning community. Working on the assignments allowed some learners to develop a feeling of trust in their community members. For others, working together on a project or assignment was not sufficient to develop and maintain a learning community.

Communication problems were reported as one reason that learning communities did not develop or were derailed after development began. As evidenced by the following comment, it appears that one sure way to erode

trust among the group is to communicate in ways that would be unlikely in a face-to-face course. Basic courtesy seemed to be lacking from some group members.

I found people to be somewhat impolite, more so than I would expect face-to-face. More challenging in an impolite way than I would expect face-to-face. And that's turned me off. As a matter of fact, the last time I was with my group face-to-face, I said, "I'd like for us to be careful about this as we continue, particularly around the final exam that we're all starting to do as a discussion chat group," because it made me uncomfortable.

Good communication and ongoing interactions were identified as factors that maintained the learning communities that were created.

Using Learning Communities

The interviews provided evidence that the learning communities that developed and were maintained throughout the courses played an important role both in students' learning and in lessening their feelings of distance from each other. Becoming a member of a learning community provided a sense of social presence. Again, learners seemed to feel this way across all levels of distance. One of the learners in a Web enhanced course summed up the use of a learning community rather well:

It's gotten me more involved. I think just the back and forth between the people – it's kind of funny because when we go to class we don't know anybody's names. On the Internet, during the week when we are having these discussions over the e-mail, we all know everybody's names and there are like little jokes going back and forth but when you get to class you have no idea who you had these jokes with. I think having them (group interactions) online and having everybody post their opinion or their experience has really furthered it (learning), because everybody in that class has some kind of different experience so, therefore, when they do respond to different discussion postings they give further information. They're like, oh well this society deals with this or this society deals with this and if you go to this web page - or this is a great book that concerns that - it gives you a lot more things that are not particularly required for the course, things that I may not actually go and do right now but maybe over the summer when I have time I'll say, oh hey, I remember this guy was talking about this and I need to go look that up and find out more about it. I think that has really fostered more outside learning like without having required it.

These students used their learning communities to enhance their learning. They saw the community as an opportunity to share ideas. Finally, learning communities seem to lower the feeling of isolation for some students.

Interaction and the use of community. For the learners reporting that learning communities formed and that they relied on the community for the construction of knowledge, interactions were deep and meaningful. These meaningful interactions also seemed to help maintain the community throughout the course.

I think they (chat, discussions, and group assignments) added value to the learning experience and helped us be connected.

It gives you different notions too, because otherwise you're your own compass unless you get other peoples' feedback, so my experience would have been totally through tunnel vision unless I had inputs coming along the way.

I found it [group interactions] to be very good. We got so much in-depth....

However in some situations, the interaction never reached the depth required to aid learning.

Some people are using it [the discussion board] more as a chat line... than I think for depth of thought issues....

Some of those postings, I ask "what does that have to do with anything we're reading?"

Overall, the learners interviewed felt that the interaction had at least the potential to aid in their learning and to support the development, maintenance and use of learning communities. In addition, they felt that when a learning community did develop through interactions, their learning was enhanced.

Conclusions and Implications

This study began with three questions. These questions were based on research that indicated that given a choice, learning orientation and educational philosophy would make distance education courses more attractive to some students than to others, that structure and the amount of interaction would be related to student satisfaction with the amount of knowledge gained in a course, and that given the opportunity, students would develop and use learning communities.

The first question (To what extent do structure, interaction, degree of distance, or characteristics of the learner affect satisfaction with learning in a distance environment?) offered mixed results. That is, structure and adequate interaction do lead to greater learning, and it is structure that is the most important, while degree of distance and learner characteristics were not related at a significant level. Why interaction was less important than structure to learning may be related to the more limited experiences of both faculty and students with online instruction. On the one hand, faculty (both in general and in this study) typically have more experience designing courses (i.e., creating structure) than at facilitating interaction in the newer, online environment. On the other hand, the students remarked in the interviews that they had some technical and organizational difficulties in the distance environment. Online assignments are more demanding of the student because they must be opened, read, and then (sometimes) responded to. These steps are more time intensive than listening and commenting in class and require at least some technical skill to accomplish. Combining the logistic regression results with the interviews and focus group comments supports the proposition that student experience with online interaction was more varied and that some students had difficulty adapting to the new environment. These difficulties would account for the smaller effect of interaction on satisfaction with knowledge gained.

The data for question 2, (In what way is learning orientation related to degrees of distance or educational philosophy?), were not statistically significant for at least two reasons. First, except for one course, students were not given a choice in how much of the course was online. Thus, nearly all students in this study were taking courses with at least some distance component, regardless of learning orientation or educational philosophy. Second, regardless of learning orientation or educational philosophy, students appear to be flexible and to have eventually adapted well to the online environment. In summary, the results of the quantitative tests indicate that neither learning orientation or educational philosophy, nor whether the course was taught online or face-to-face is related to satisfaction with the amount of knowledge a student gained. What does emerge, however, is that the structure of the course and the quality of interaction is highly related to self-reported student satisfaction with learning.

The third research question investigated how learning communities developed in face-to-face, Web enhanced or Web based courses and whether the formation and use of these communities was instrumental in a learner's knowledge development in the course. We had theorized that interaction would be the most important element in both the development of communities and in the learning that occurred as a result. Surprisingly, structure appeared to be more important to these learners. Without clear guidance, and without adequate explanation of what the interactions were to accomplish and how they were to be used, learners did not find the interactions themselves to be useful as an aid to learning or in the development of a learning community. Even in courses we had categorized as highly structured, there were instances where lack of structure interfered with both the development of community and with learning.

The importance of structure in this group of students' satisfaction with their learning reaffirms the need for instructors to develop clear guidelines and to communicate the purpose of interactions in courses, whether face-to-face or on-line. Specifically, as instructors we need to be clear about what is expected of the student, provide continued support and clarifications throughout the course, and to continue to facilitate the interactions structured into the course. Through these steps we can encourage the creation, maintenance and use of communities as learners engage in the hard work of learning.

The learners developed definitions of community through their own experience with the formation and use of communities that reflect much of the research and the definitions found in the literature. They recognized when the course required them to become a community and when the course got in the way of the development of a community. For those learners in courses where communities developed - and were not derailed by lack of trust, poor communication or lack of guidance by the instructor - this group of learners indicated that the interactions and sharing in the community led to better understanding and fostered further learning outside the course. Chance encounters with two of the interviewees indicate that nearly two years later, these former students are still in contact

with the community that developed during their courses, and are using the other community members as resources in their work.

This study included courses that were 6-10 weeks in length which may be similar to some training programs. We found that communities could and did develop in this short amount of time when there was adequate structure and facilitation by the instructor. Simply asking learners to discuss topics is not adequate. As instructors, we must explain reasons for the interactions and what learners should expect to gain from them. These learner to learner interactions must be monitored by instructors and the instructor must ensure that group interactions remain cordial and constructive. With regard to learning, members of communities told us that learning was deeper when they were involved in a community. These learners explored subject areas further than the course required on their own, related it to their own work and study situations, and discovered more connections to other areas of work or study than learners who did not feel they were part of a community. This depth of understanding and collaborative knowledge building came from dialogue (interactions) among the members and with the instructor, especially when communications were directed more toward community members than to the instructor. In fact, some of these members still meet and use each other as resources. Once developed these communities, or parts of the communities, do continue and members continue to help each other learn and solve problems. It is this aspect of learning communities that leads to what HRD calls communities of practice – a goal of many training programs. The development of these communities then may reduce the need for additional training and reduce costs associated with formal programs. The development of collaborative communities may also increase the non formal learning that goes on within an organization. Dialogue does seem to foster collaboration and problem solving skills.

This study offers some preliminary findings regarding the development and maintenance of online learning communities. Further research is needed to determine the levels and type of structure required for learners of various abilities. In addition, we need to investigate how online interaction might best be facilitated if on-line communities are to be created maintained and used to aid learning. The types of interaction that best assist learners as well as the factors that interfere with the creation and maintenance of on-line communities also require further study.

The findings of this study suggest that Web based communities can be developed and maintained if learners are encouraged to work together and the support for that collaboration is provided. It is through this support that communities of practice can evolve and assist in translating learning into improved performance on the job.

References

- Boyatzis, R. E. (1998). *Transforming qualitative information: Thematic analysis and code development*. Thousand Oaks, CA: Sage Publications, Inc.
- Burch, R. O. (2001). Effective Web design and core communication issues: The missing components in Web based distance education. *Journal of Educational Multimedia and Hypermedia*, 10(4), 357-367.
- Carabajal, K., LaPointe, D., & Gunawardena, C. N. (2003). Group development in online learning communities. In M. G. Moore, & W. G. Anderson (Eds.), *Handbook of distance education* (pp. 217-234). Mahwah, NJ: Lawrence Erlbaum Associates.
- Galvin, T. (2001). Industry 2001 report. *Training*, 38, 40-72.
- Grubb, A. & Hines, M. (2000). Tearing down barriers and building communities: Pedagogical strategies for the Web based environment. In R. A. Cole (Ed.), *Issues in Web based pedagogy* (pp. 365-380). Westport, CT: Greenwood Press.
- Jones, E. R., & Martinez, M. (2001, October 23-27). *Learning orientations in university Web based courses*. Paper presented at the Webnet 2001 World Conference on the World Wide Web and Internet, Orlando, FL.
- Kaupins, G.E. (1997). Trainer opinions of popular corporate training methods. *Journal of Education for Business*, 73, 5-8.
- Kaupins, G. E. (1998). Management professor opinions of twenty teaching methods. *International Journal of Business Disciplines*, 8, 62-74.
- Martinez, M. (1999). *An investigation into successful learning: Measuring the impact of learning orientation, a primary learner-difference variable, on learning*. Unpublished doctoral dissertation. Logan, Utah: Brigham Young University.
- Moore, M. G. (1991). Editorial: Distance education theory. *The American Journal of Distance Education*, 5(3), 1-6.
- Moore, M. G. (1993). Theory of transactional distance. In D. Keegan (Ed.), *Theoretical principles of distance education* (pp. 22-38). New York: Routledge.
- Moore, M. G., & Kearsley, G. (1996). *Distance education: A systems view*. New York: Wadsworth.
- Newman, A., & Smith, M. (1999). How to create a virtual learning community. *Training and Development*, 44-48.

- Newstrom, J. (1980). Evaluating the effectiveness of training methods. *Personnel Administrator*, 25, 58.
- Noe, R. A. (1999). *Employee training and development*. Boston: McGraw-Hill.
- Palloff, R. M., & Pratt, K. (1999). *Building learning communities in cyberspace: Effective strategies for the online classroom*. San Francisco: Jossey-Bass.
- Smith, P.J. (2003). Workplace learning and flexible delivery. *Review of Educational Research*, 73(1), 53-88.
- Zinn, L. M. (1983). Development of a valid and reliable instrument to identify a personal philosophy of adult education. *Dissertation Abstracts International*, 44, 1667A-1668A. (University Microfilms, No. DA8323851).

There Is No “We” in Team: Learning to Learn Across Difference in Problem-based Teams

*John M. Dirkx
Michigan State University*

*Regina O. Smith
Portland State University*

Increased emphasis is being placed on working and learning through teams, especially online. While technical aspects of this process have largely been the focus of researchers and practitioners, the emotional dynamics of online teams has received considerably less attention. In this study of online, problem-based learning teams, membership evoked a powerful sense of ambivalence and emotion revolving around difference, authority, and intimacy. Learning to learn across difference involved a re-working of one's identity as a team member and learner.

Keywords: Teamwork, Group Learning, Learning to Learn

In one educational organization, members of a three-person team charged with developing a new curricular approach for their educational program were excited about the insightful and innovative ideas reflected in the proposal they had constructed. Eager to share their thinking with colleagues, a meeting was called of the larger group of six instructors to outline this new perspective. Shortly after they began to present these ideas, the room filled with tension and several of the other instructors began to aggressively challenge the ideas being presented. At first the team members attempted to defend their proposal, but as the others intensified their criticism, they backed away in resignation and defeat. The proposal was shelved without careful exploration or analysis by the larger group. The team members left the meeting emotionally upset, feeling personally attacked and with little interest in continuing the work.

This anecdotal story underscores the power of emotional dynamics that often permeate workplace teams and groups. Recent organizational literature has been drawing attention to the importance of emotional dynamics in the workplace and workplace learning (Cherniss & Goleman, 2001; Goleman, 1995, 1996; Hochschild, 1983). In a preliminary report of a study of incidents of problem-solving among front-line manufacturing workers, Brockman (2003) found that her study participants often described “problems” that involved relationships and communications with fellow workers, team members, supervisors, and managers. Expecting stories of technical difficulties that arose within the manufacturing processes, she instead heard a number of participants recall incidents that seem to revolve around interpersonal interactions more than they involved technical breakdowns. Their stories suggest that, within the manufacturing process, the technical challenges are often the easiest to resolve. But they are frequently complicated and even exacerbated by the complexity of the human relations issues in which they are embedded.

At the dawn of the twenty-first century, the experiences of these workers reflect a growing reality - life in organizations feels like “permanent white water” (Vaill, 1996), where change is the only constant. As a result, more emphasis is now placed on lifelong learning. Some scholars suggest we recognize the workplace as a primary location for adult learning and development (Welton, 1991), a notion reflected in the idea of the “educative workplace” (Dirkx, 1996). Specific methods used to realize this notion include the learning organization (Senge, 1990) learning communities (Stein & Imel, 2002), communities of practice (Wenger, 1998), and action learning (York, O’Niel, & Marsick, 1999). In one form or another they all stress the importance of group inquiry and emphasize relationships and the development of interdependence in the workplace. Attention to these particular forms of learning in the workplace recognizes the inherently social, collaborative, and constructivist nature of learning (Steffe & Gale, 1995).

Underdeveloped in this view of workplace learning, however, is the role that emotional issues and dynamics play in the overall work and learning of the group or organization, particularly around issues of difference. Work on emotional intelligence (Goleman, 1995; 1998; Cherniss & Goleman, 2001) has helped increase attention to the importance of emotional dynamics within the workplace. This approach, however, individualizes emotions through processes of self-awareness and self-management, and suggests that emotions can be controlled and managed (Hochschild, 1983). Furthermore, this literature provides little explanation as to why emotions arise within

Copyright © 2004 John M. Dirkx & Regina O. Smith

particular groups or interpersonal situations, why they are so often associated with the perception of difference, or what they might mean within the broader scope of human interactions. Furthermore, as organizations become increasingly global in their orientation, more of this work is being conducted with “virtual” teams that meet online and conduct their meetings through electronically-mediated communications.

When individuals come together to work as a team, a variety of differences which otherwise often remain implicit become explicit. How team members perceive and learn to work across these differences will significantly influence the quality and quantity of work produced by this team, as well as the overall quality of life within the team. As Sidorkin (1999) suggests, the difference among teams and individuals is “a central defining condition of human existence (p. 10). Because of the virtual nature of online teams, this problem of difference becomes even more complex.

Our interest in this paper is on this problem of difference in online team learning. In our study, we focused on developing a better understanding of how difference is manifest and managed by online teams, the emotional dynamics associated with its expression, and the various strategies that teams develop to address difference.

Theoretical Perspective

To help make sense of and better understand the problem of difference in teams and their struggles with learning to work across these differences, we drew from dialogical perspectives (Baxter & Montgomery, 1996; Sidorkin, 1999) and psychodynamic group theory (Smith & Berg, 1987). Based on the work of Bakhtin (1984) and Buber (1987), Sidorkin argues that difference is a “central, defining condition of human existence” (p. 10). It is in and through dialogue with others that we realize who we are, our identity as persons. Sidorkin suggests that “the very fact of human existence is contingent upon engagement in dialogical relations....we are truly human only when we are in a dialogical relation with another.” (p. 11). Dialogue connotes “the capacity to deeply receive the other and the capacity to receive oneself; to allow the other a voice and to allow the self voice” (Watkins, 2000, p. 184). According to Sidorkin, “Dialogue is not an activity in a sense that it is not directed toward anything. Dialogue is an end itself, the very essence of human existence” (p. 14). Harris and Saedghi (1987) assert that “ ‘You’ and ‘I’ are not distinct units but rather part/wholes in the process of creating who ‘we’ are.” If a person is denied recognition as a member of a group, important consequences may result for that person’s sense of identity.

The critical importance of dialogue to group process is reflected in the paradoxical theory of group life (Smith & Berg, 1987). Paradoxical theory helps us better understand “those forces that draw us into repeated oscillations between enchantment and despair over groups” (p. 4). Grounded in a psychodynamic view of human nature and object relations theory, this perspective is concerned with the emotional and psychological processes that exist relatively independent of the tasks that teams face. Group formation and development involves the paradoxical movements of the group taking in the individual member, and the individual member seeking to assert his or autonomy. The individual seeks to become a member but such membership represents a threat to his or her identity. To the extent members perceive this identity as less than fully actualized, development of the team suffers which, in turn, further constrains dialogue and relationships within the team. Life as a team member often has this “damned if you do and damned if you don’t” feel to it. Membership simultaneously evokes fears and hopes among those who participate. According to Smith and Berg, development and change in small groups are characterized by this dialectical, paradoxical movement. But this sense of paradox is also a primary source of feeling stuck, of going nowhere, of spinning one’s wheels. The way *through* the paradox is to honor the dialectic within the paradox, to stay in dialogue with the conflict, the team as a whole, and its individual members.

This study focused on the following questions: 1) How is difference within online problem-based learning teams manifest? 2) What are the emotional dynamics associated with the expression of these differences? and 3) What strategies do online teams adopt to manage these differences and their associated emotionalities?

Methods

In this study, we selected teams of learners participating in an online graduate course in a postsecondary educational leadership development program within a large, Midwestern research university. This setting was selected because the team membership remained stable over a 16 week period, allowing for clear expression of developmental movement and dynamics. Furthermore, a significant dimension of the teams’ work involved collaborative study and decision by consensus. The course allowed for access to eight online teams participating in the same course, controlling for variability that might be associated with different tasks, content, or instructors. While ideally we advocate the study of work teams within their natural environments, numbers and problems of access often make research in these settings somewhat problematic. For this reason, we chose to focus on teams that were confronted

with real-world problems but in a “simulated” context. Because this course is offered for credit and is an integral part of their graduate program, there were aspects of this experience that felt very real to the participants.

The course was designed and implemented using a problem-based format (Bridges & Hallinger, 1995), in which small, heterogeneous teams work to understand and resolve highly ill-structured situations. Participants were purposively assigned by the instructor to teams of three to four learners and the teams stayed intact for the entire semester. Guided by the principles of consensus group work (Bruffee, 1999), these teams were required to collaboratively construct the meaning of the case, what research was relevant to the case, and an appropriate resolution to the perceived problems of the case. The problems were derived from real-world contexts of professional practice, including community college, continuing professional development, and business and industry. Members within a given team shared in the grade for the product, but also received credit and grades for other individual work in the class.

Twenty-five of the twenty-six enrolled learners agreed to participate, consisting of a mix of masters and doctoral level students. Of the study participants, 64% were European-American, 24% were people of color with American citizenship, 12% were International students, and 64% were women. A qualitative methodology informed by a phenomenological perspective was used to guide the overall design, data collection, and analysis. Data sources included a background questionnaire, in-depth participant interviews conducted near or after the conclusion of the course, debriefing papers for each problem written by individual team members, reflective journals maintained by each team member, and archives from team discussion boards and chat rooms. Interview transcripts were analyzed using constant comparative methods. Participants’ papers and journals, as well as archival material were analyzed for evidence that were either positive or negative examples of themes derived from the interviews.

Findings

Viewed through the dialogical perspective and psychodynamic group theory, our findings illuminate the emotional complexity involved in fostering the educative workplace through collaborative teamwork. Because the nature of the differences reflected in the data and their associated emotional dynamics are intimately bound up with each other, we report the findings in a more narrative form, reflected in the notion of “lessons”. These lessons suggest the struggle that participants experience in attempting to integrate the voice of the other with the voice of oneself. Learning to work across difference involves recognizing and giving voice to these differences. Giving voice to difference, however, reflects only part of the process. In working across difference, team members must be willing to allow one’s sense of identity as a team member to be reworked and renegotiated through the process.

Lesson One – Ambivalence as Inherent to Learning in Teams

Perception of difference within teams creates a profound sense of ambivalence among its members. They want to honor difference but they also see it as an obstacle to achieving common goals. They both desire and fear participation in authentic dialogue. Participants in this study wanted to be able to express who they were as a team member, and to be able to listen to others. Ann explained that an affinity for language “allows [the group members] to assure each other that what one person is saying is being heard generally the same by the rest of the members of the group,” creating a “confidence in exploring, challenging, looking for alternatives, [and] developing consensus.”

In reflecting on their process, Ginger suggested, “Each of us comes from distinctly different backgrounds. Each of us saw the problems from a different angle. In the learning process, that helps a great deal. I appreciate diversity of minds. In the workplace, I have found it critical to have different perspectives on a given problem.” India noted: “Different opinions are exciting because verbally the team members came from different places and they all agreed.”

Reflecting the sentiment of many others, however, Sophia voiced her frustration associated with the presence of difference: “It’s hard to see how things work together and don’t work together, especially when we all have different agendas when we come to the table. How does a paper get written when each person disagrees?” India remarked, “We don’t really write as a group. The group is so diverse that it can be quite challenging to get things done.” In a sense, learners both desire to learn within a group and loathe the group process. This deep sense of ambivalence seems associated with the struggle for individual voice and authority within a growing sense of the group entity.

Lesson Two – Share Voice as “First Discourse”

Because of this profound sense of ambivalence, getting much beyond a shared sense of voice in task-oriented teams is exceedingly difficult to accomplish. Sidorkin (1999) refers to this sense of shared voice as “first discourse,” providing “a common text, a shared experience..., a common set of references, a shared language” (p. 75). But in the development of authentic dialogue it is followed by “second discourse,” a level of interaction in which “a word is half ours and half someone else’s” (p. 77). For the most part the teams in this study did not engage one another in the deep, challenging conversations that characterize authentic dialogue or Sidorkin’s notion of second discourse. According to Scarlett, everyone listens but “I don’t think people are willing to challenge points of view.”

This lack of challenge is prompted in part by a desire to include all voices, regardless of its perceived relevance to the team's work. Scarlett recalled a time when one of her team members' contributions to the final product did not seem to fit but she said, "One person can't decide that one piece doesn't work, because it is what they contributed. You just can't throw something out. I mean, you can't do it even though you know that it doesn't seem to connect with what the rest of the group has done....It doesn't seem to be fair. So we were left with just having to put it in." In a photographic journal entry, Anne portrays the process of putting together their team's product. Sheets of 8 ½ x 11 paper with print on them are cut to varying lengths and spread out over a five square foot area of the floor, representing contributions from different team members. Using color markers to code the various parts, the photo portrayed her attempt to assemble these parts into the team's final report.

Unwillingness to engage one another in authentic dialogue was fueled by the fear that this level of interaction risked raising personal and interpersonal issues that participants were clearly unwilling to engage. Scarlett observed, "Not very many people are comfortable with conflict. I think what happens quite a lot and it seemed to me in our small group was that if there was disagreement, then often times it was just avoided." This stance created a seemingly no-win situation, in which team members sought authentic dialogue but resisted the self-disclosure necessary for this form of dialogue to occur. Several members perceived their teams as dancing around key issues, rather than confronting them directly and authentically. Such perceptions prompted these members to psychologically withdraw from the teams, further contributing to dissatisfaction in the team and furthering more withdrawal. David, a White-American master's student, explained that the two female doctoral members of his team, an African-American and a White-American were constantly disagreeing with one another. He comments, "I just sat there and watched the two of them disagree...I did not want to take sides in a three person group."

Lesson Three – Developing Strategies to Address Emerging Differences

Teams must develop specific strategies to address the differences represented in the establishment of common context. Either they learn to work across these differences, engaging in the difficult but intrinsically meaningful processes of authentic dialogue, or they develop strategies to get around the need to confront and deal directly with their differences. How teams learn to manage their differences holds critical consequences for their future welfare and vitality. At the core of dialogical capacity and working across difference is the ability to allow the voice of the other while maintaining "one's own voice amidst the fray of relationship" (Watkins, 2000, p. 182). Learning to work across differences involves team members developing a reflexive stance toward the apparent conflict or paradox in which they feel themselves immersed (Smith & Berg, 1987). These members are able to step back from their identification with the conflict and recognize the various ways in which the conflict simultaneously evokes both their desire to engage and fear of what it may involve. In holding opposing truths in consciousness at the same time, they are often able to redefine the issues involved and move through the paradox to new levels of consciousness within the team.

Participants clearly identified and named important differences among their members. Many of these differences identified seemed emotionally-laden, reflecting conflict over participants' interests, values, or goals. Although they expressed a desire to honor and give voice to these differences, they were unable to effectively work across these differences to break through to a more authentic form of interaction and discourse. As with Autumn, they perceived themselves to be stuck, unable to move through or out of what seemed like a no-win situation: "I have begun to feel like a motorboat that is in gear but can't move forward across the lake very easily because there is this giant anchor there pulling me backwards. It just doesn't seem like we are picking up any momentum...I was most ticked this week about how little progress we have made."

Rather than learning to work across difference, participants developed strategies to get around the problem of difference, further increasing the difficulty of achieving authentic dialogue. One strategy was to psychologically withdraw, evident when members simply didn't care about the overall team product. They simply wanted it done and over with, an attitude which contributed to a sense of lifelessness in the team,. Annie commented: "We were just trying to get through the motions of it rather than the deeper learning that was supposed to come." This strategy often results in psychological death of the team, if not its literal dissolution. Other teams sought more authoritarian interventions to get them out of their sense of stuckness. In this strategy, members often invited or welcomed a team member or even an outside authority (e.g., a teacher) to step in and take charge, often telling them what needs to be done and relegating team members to a subservient role. Chris, a master's student noted how she and Ginger, a master's student, began to depend upon Nard, a doctoral student. "She took the bull by the horns and just went with it and we totally appreciated that...Nard always knew her...content...She's going for a Ph.D. and so she has been taking classes longer... that was really helpful... having another person in our team who could kind of make it flow for us."

Discussion

Fostering of the educative workplace, through the use of such approaches as the learning organization, action learning, learning communities and communities of practice, places the self in potential dialogical relationship with the “other.” In so doing, we surface difference and create the need among the learning team to learn to work across these differences, “to differentiate and integrate the self’s and the other’s point of view” (Watkins, 2000, p. 180). These findings suggest the difficulty involved in creating conditions of authentic dialogue in learning teams and learning to work across difference. These difficulties derive from the very reasons that make dialogue so meaningful and important. The process is emotionally laden and intimately bound up with an evolving sense of self-other relationships within the team. It evokes powerful feelings of uncertainty, ambiguity, and ambivalence among team members, who seem to both desire and loath team membership. Despite their best intentions to honor difference and to hold these within a dialogical frame, team members seem vulnerable to paralyzing feelings of despair, alienation, or helplessness.

But such emotions are not negative in the sense of unwanted or undesirable. Although they may feel quite painful, they represent messengers from the team’s depth (Dirkx, 1997), letting members know about aspects of its life unattended. They help us keep in mind the multiple and conflicting truths that make up any given social context. Such messengers remind us that conflict in team life is something to be lived and embraced, rather than something to be “resolved” through appeal to authorities external to the team, by withdrawing, or by “fixing” the problem through more effective communication skills. It is only through authentic dialogue with an “other” that we are able to fully realize who we are as persons, our sense of identity within that particular social context. Yet, it is this very possibility of openly confronting and working on our sense of self that engenders fear within team members and makes such relationships and interactions so difficult. Learning to live amidst and within difference is to learn to be human (Sidorkin, 1999). To avoid difference or run from it is to ultimately run from the self. As Watkins (2000) suggests, “the dialogues of social interaction are both creative of the self and liberating of the self” (p.185). Engaging in an authentic process of creating who we are “is unfortunately a responsibility which many of us are unprepared to bear in times of interpersonal conflict” (Harris & Saedghi, 1987).

Conclusion

Difference gives voice to the fundamentally paradoxical, emotional nature of group life. To fully enter into dialogue with these paradoxes makes problematic one’s sense of identity as a group member, creating ambivalence towards the group, others, and towards oneself. It is within this relationship of difference that team members are challenged to learn and to grow. It is through a recognition and appreciation of difference that members experience a sense of newness or novelty (Mahoney, 1991) and are encouraged towards change and development. This sense of newness, however, is only fully grasped when team members learn to hold and work through the tension of the opposites that characterize the sense of paradox in which they find themselves (Smith & Berg, 1987).

The difficulties experienced by the members of these online teams in learning to work across difference reflect the emotional dynamics encountered by the face-to-face curriculum team in the opening anecdotal story. While the virtual context adds levels of complexity not readily apparent in face-to-face contexts, the difficulty of constructively entering into and addressing the powerful emotionality associated with the teams’ processes seems equally apparent in either context. Effective team processes are intimately bound up with self processes. To be truly effective and to engage in second level discourse, individual members need to, paradoxically, be willing and able to let go of preconceived notions of their own sense of identity in order to truly find their individual identity as a group member. This claim holds profound implications for organizations as they seek to construct the educative workplace. The face-to-face and online teams that constitute the contexts for organizational learning will only thrive in environments that fully support authentic engagement of both one’s self and the other. Anything else, as the saying goes, seems like rearranging the deck chairs on the Titanic.

References

- Bakhtin, M. (1984). *Problems of Dostoevsky's poetics*. Cambridge, MA: Harvard University Press.
- Baxter, L. A., & Montgomery, B. M. (1996). *Relating: Dialogues and dialectics*. New York: Guildord Press.
- Bridges, E. M., & Hallinger, P. (1995). *Implementing problem-based learning in leadership development*. Eugene, OR: University of Oregon.

- Brockman, J. L. (2003). The problem with problem-solving training in industry. In *Proceedings of the 2003 Midwest Research to Practice Conference in Adult, Continuing, and Community Education* (pp. 26-31). Columbus, OH: Ohio State University.
- Bruffee, K. A. (1999). *Collaborative learning: Higher education, interdependence, and the authority of knowledge* (2nd ed.). Baltimore, MA: The John Hopkins University Press.
- Buber, M. (1987). *I and thou*. New York: Collier Books.
- Cherniss, C., & Goleman, D. (Eds.) (2001). *The emotionally intelligent workplace: How to select for, measure, and improve emotional intelligence in individuals, groups and organizations*. New York: Jossey-Bass.
- Dirkx, J. M. (1997). Nurturing soul in adult learning. In P. Cranton, (Ed.). *Transformative learning in action*. San Francisco: Jossey-Bass.
- Dirkx, J. M. (1996). Human resource development as adult education: Fostering the educative workplace. In R. W. Rowden (Ed.). *Workplace learning: Debating five critical questions of theory and practice*, New Directions for Adult and Continuing Education, No. 72, San Francisco: Jossey-Bass.
- Goleman, D. (1998). *Working with emotional intelligence*. New York: Bantam.
- Goleman, D. (1995). *Emotional intelligence: Why it can matter more than IQ*. New York: Bantam Books.
- Harris, L. M., & Sadeghi, A. R. (1987). Realizing: How facts are created in human interaction. *Journal of Social and Personal Relationships*, 4, 481-496.
- Hochschild, A. R. (1983). *The managed heart: Commercialization of human feeling*. Berkley: University of California Press.
- Mahoney, M. (1991). *Human change processes*. Delran, NJ: BasicBooks.
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday.
- Sidorkin, A. M. (1999). *Beyond discourse: Education, the self, and dialogue*. Albany, NY: State University of New York.
- Smith, K. K., & Berg, D. N. (1987). *Paradoxes of group life: Understanding conflict, paralysis, and movement in group dynamics*. San Francisco: New Lexington Press.
- Steffe, L. P., & Gale, J. (Eds.). (1995). *Constructivism in education*. Hillsdale, NJ: Lawrence Erlbaum Associates.
- Stein, D. S., & Imel, S. (Eds.). (2002). *Adult learning in community*. New Directions for Adult and Continuing Education, No. 95. San Francisco: Jossey-Bass.
- Vaill, P. (1996). *Learning as a way of being*. San Francisco: Jossey-Bass.
- Watkins, M. (2000). *Invisible guests: The development of imaginal dialogue* (3rd ed.). Woodstock, CN: Spring.
- Welton, M. R. (1991). *Toward development work: The workplace as a learning environment*. Geelong, AU: Deakin University Press,
- Wenger, E. (1998). *Communities of practice: Learning, meaning, and identity*. New York: Cambridge University Press.
- Yorks, L., O'Neil, J., & Marsick, V. J. (Eds.). (1999). *Action learning: Successful strategies for individual, team, and organizational development*. Advances in Developing Human Resources, No. 2, Baton Rouge, LA: Academy of Human Resource Development.

Teaching the Ins and Outs of Evaluation in Organizations

*Hallie Preskill
University of New Mexico*

*Darlene Russ-Eft
Oregon State University*

This session examines evaluation within a theoretical framework based on evaluation theory and practice, organizational learning, and systems thinking. It will present these concepts, along with a practical five-phase approach to evaluation. The session will engage participants in two experiential and interactive activities that convey these concepts within an education or training setting. We will conclude with a discussion on methods for incorporating experiential and interactive methods to promote learning about evaluation in organizations.

Keywords: Evaluation, Systems Model, Teaching

The purpose of the session is for participants to consider alternative ways of teaching evaluation to HRD students and practitioners. This will be accomplished by engaging participants in two teaching/learning activities. Implications of using these activities will also be discussed.

Goals

The goals for the session are for participants to:

- Learn about a framework for teaching evaluation.
- Understand the importance of using experiential and interactive approaches when teaching evaluation.
- Experience two different activities that could be used to teach evaluation.
- Discuss interactive approaches to teaching and learning.

Session Content

Organizations are increasingly asking their employees to evaluate the processes and outcomes of their training, organization development, organizational learning, performance improvement, and instructional technology efforts. As a result, graduate education programs in HRD, Adult Education, and Organizational Learning, in particular, are offering courses on evaluation. In addition, HRD professionals are seeking workshops on the topic of evaluation in order to implement evaluations within their organizations.

Evaluation, as we understand and practice it, is a process for enhancing knowledge and decision-making within organizations and communities. It involves answering questions and/or addressing issues through the collection and analysis of data about programs, systems, processes, procedures, products, and services. As such, it is best implemented as a systematic process that is planned and purposeful, and with a clear intention of using the evaluation findings.

An evaluation system is comprised of several components (Preskill & Russ-Eft, 2002). Our framework for evaluation is based on the theory and practice of evaluation, organizational learning, and systems thinking. (Argyris & Schon, 1996; Finger & Brand, 1999; Fiol & Lyles, 1985; Katz & Kahn, 1978; Patton, 1997; Preskill & Torres, 1999; Senge, 1990; Wheatley 1992). The evaluation framework suggests that evaluations occur in five distinct phases, and is influenced by three components of an organization's context.

In the *Focusing* phase, the evaluator and stakeholders determine: (a) the background and history of the evaluand (that which is being evaluated), (b) identify other stakeholders who might be interested in using the evaluation's results, and (c) develop the questions the evaluation will seek to answer. This process is fundamental to ensuring that the evaluation addresses various individuals' and groups' concerns and issues. The second phase involves determining the evaluation's *design, methods of data collection, and means for implementation*. Here, the evaluator determines which data collection methods (e.g., surveys, tests, interviews, observation, document reviews) will most effectively answer the evaluation questions. The third phase focuses on *analyzing the data* collected, as well as

Copyright © 2004 Hallie Preskill & Darlene Russ-Eft

interpreting and assigning meaning to the data. The fourth phase of the evaluation process is *communicating and reporting* the evaluation findings to the stakeholders and other identified audiences. Developing project management plans constitutes the fifth phase, though it often begins before or is concurrent with the other phases. Evaluators may develop several different plans including a time-line, a roles and responsibilities plan, a communicating and reporting plan, a plan of options in case obstacles are encountered during the evaluation's implementation, and a budget (Russ-Eft & Preskill, 2001). Finally, the five phases of the evaluation process are situated within an organizational context that includes three components: 1) *Evaluator Characteristics*, 2) *Political Context*, and 3) *Intended Use of Findings*. This context may significantly affect an evaluation's commissioning, design, implementation, and reporting of findings.

The teaching of evaluation to HRD graduate students and other professionals requires some experience and knowledge about the field of evaluation. Yet, there are few evaluation resources for instructors and trainers on this topic in the field of HRD (though there is a great deal of this information in the evaluation field).

Format and Timetable

In this session, we will introduce participants to a systems model of evaluation. We will then engage participants in two teaching and learning activities that illustrate innovative and practical ways for teaching evaluation to HRD students and practitioners (Preskill & Russ-Eft, in press).

The first activity, called "Images and Purposes of Evaluation" is related to the *Focusing* phase of the evaluation process. This activity helps participants articulate their current perceptions of evaluation; what it is, why it is done, how it is performed, and the impact it has on individuals and organizations. The activity provides a means for the facilitator to discuss various definitions of evaluation, the concepts of formative and summative evaluation, the differences between quantitative and qualitative data, and how others perceive evaluation.

This activity will enable participants to: a) Reflect on their assumptions and experiences regarding evaluation, b) observe how different people perceive the value of evaluation, and c) understand the various definitions, purposes and types of evaluation.

The second activity, titled "Ethical Dilemmas and Debates," is related to the *Political Context* of the evaluation. This activity introduces participants to several resources on ethical issues in evaluation, specifically Michael Morris' column in the *American Journal of Evaluation*, the *Guiding Principles for Evaluators* from the American Evaluation Association (Shadish, Newman, Sheirer, & Wye, 1995) and *The Program Evaluation Standards* (Joint Committee on Standards for Educational Evaluation, 1994). This activity will enable participants to (a) examine an ethical dilemma faced by an evaluator, (b) identify possible actions to resolve the dilemma, and (c) potentially debate with other groups the action choice.

It is hoped that this session will increase participants' interest in finding alternative ways of teaching evaluation, and will stimulate their interest in learning more about how to teach or train others about HRD evaluation. The format for this session is experiential and interactive.

Agenda (90 minutes)

Time	Topic	Approach
10 minutes	Introductions (presenters and participants)	Ice Breaker
10 minutes	Overview of evaluation – definitions, purposes, framework	Mini-lecture
30 minutes	"Images and Purposes of Evaluation"	Individual and small group activity, large group debrief
30 minutes	"Ethical Dilemmas and Debates"	Small group activity, large group debate and debrief

References

- Argyris, C., & Schon, D. A. (1996). *Organizational learning II*. Reading, MA: Addison-Wesley.
- Finger, M., & Brand, S. B. (1999). The concept of the 'learning organization' applied to the transformation of the public sector. In, M. Easterby-Smith, J. Burgoyne, & L. Araujo (Eds.), *Organizational learning and the learning organization*. London: Sage.
- Fiol, C. M., & Lyles, M. A. (1985). Organizational learning. *Academy of Management Review*, 10, 803-813.
- Joint Committee on Standards for Educational Evaluation. (1994). *The program evaluation standards* (2nd ed.). Thousand Oaks, CA: Sage.
- Katz, D., & Kahn, R. L. (1978). *The social psychology of organizations* (2nd ed.). New York: John Wiley & Sons.
- Patton, M. Q. (1997). *Utilization-focused evaluation: The new century text* (3rd ed.). Thousand Oaks, CA: Sage.
- Preskill, H., & Russ-Eft. (2002). A framework for reframing HRD evaluation practice and research. In A. M. Gilley, J. L. Callahan, & L. L. Bierma (Eds.), *Critical issues in HRD: A new agenda for the twenty-first century*. Boston: Perseus Books.
- Preskill, H., & Russ-Eft. (in press). *Practicing evaluation: A workbook of exercises and activities to facilitate learning*. Thousand Oaks, CA: Sage.
- Preskill, H., & Torres, R. T. (1999). *Evaluative inquiry for learning in organizations*. Thousand Oaks, CA: Sage.
- Russ-Eft, D., & Preskill, H. (2001). *Evaluation in organizations: A systematic approach for enhancing learning, performance, and change*. Boston: Perseus Books.
- Senge, P. M. (1990). *The fifth discipline*. New York: Doubleday.
- Shadish, W. R., Newman, D. L., Sheirer, M. A., & Wye, C. (Eds.). Guiding principles for evaluators. Guiding Principles of Evaluators. *New Directions for Program Evaluation*, no. 66, San Francisco, CA: Jossey-Bass.
- Wheatley, M. J. (1992). *Leadership and the new science*. San Francisco, CA: Berrett-Koehler.

Context beyond Culture: Implications for Human Resource Development

David Ripley

Irene Hudson

The University of Canterbury

This exploratory study examines employee perceptions of work environment issues in 17 work settings in seven Asia-Pacific countries. Site data were compared using coefficients of concordance (Gibbons 1971). Differences and similarities were not as one would expect to find based on research concerning cultural differences in those same countries (Hofstede, 1980, 2001; Hall, 1976), indicating that relying exclusively on national cultural differences would not be a sufficient guide for determining HRD policies and practices.

Keywords: Cross-national, Context, Culture

Cross-national similarities and differences in employee perceptions of issues in the work environment in 17 organizational work settings were examined for seven Asia-Pacific countries; Australia, Malaysia, New Zealand, Singapore, South Korea, Taiwan, and the United States. Employees at these 17 sites completed the Performance Environment Perception Scale (Ripley, 2003), which asks respondents to indicate their degree of agreement with statements about work environment issues. Site data were compared using coefficients of concordance as described by Gibbons (1971) at three levels of analysis; sites within countries, groups of countries, and all sites. Data were analyzed to determine if the differences and similarities in responses found reflected those one would expect to find based on previous well-known research concerning cultural differences in those same countries (Hofstede, 1980, 2001; Hall, 1976). Results indicated that differences and similarities were not as one would expect to find based on national cultural differences. Therefore, we suggest that for these sites, relying *exclusively* on national cultural differences would not be a sufficient guide for determining human resource development (HRD) policies and practices. We believe this has important implications for practical application because determining the appropriate HRD practices for various locations can help determine organizational performance (Bernardin, 1989; Gilbert, 1996; Thompson, 1993).

Problem and Importance of the Study

While our purpose was exploratory, we did expect that study results would tend to reflect the cultural groupings of countries suggested by the work of Hofstede and Hall. Our rationale was that employees' perceptions about conditions in the work environment would reflect what their organizations and management groups were attending to. Further, we expected that these organizations and management groups would be attending to those things that are considered important in that culture and that attention would be reflected in these organizations' practices. Therefore, we expected that employee perceptions of work environments would tend to be more *similar* intra-nationally and among countries that tended to group naturally in Hofstede and Hall's work and would tend to be more *different* inter-nationally and among countries that did not group naturally in Hofstede and Hall's work. The study was designed to determine the extent to which the differences and similarities we find reflect those one would *expect* to find based only on culture. This has important implications for HRD practitioners. To the extent similarities and differences are surfaced that are *not* in keeping with expectations based on national culture, directions for further research are suggested and important questions are raised concerning the extent to which the determination of HRD practices for local work sites in various national settings can or should be based on cultural considerations without due regard for other contextual aspects.

Conceptual Framework

Employees work in organizations that pursue their aims in contextual settings that go beyond culture (Cheng, 1989). Whether a country has several distinct cultures or one dominant culture, organizations in that country must operate in a context that also includes the economic system, the political system, and the legal system. Further, employees in different regions of the country (e.g. urban vs. rural regions) or with differing demographic characteristics may have different concerns. Brewster (1999) has noted, in relation to the contextual approach to strategic human resource management, that the strategy literature in Europe is arguing for a careful understanding of complete

national contexts while recognizing that local areas may have differences. In regard to HRD, Kuchinke (2003) has asked “How, for example, might the implementation of organizational learning ideas differ in large and small organizations? In urban and rural areas? In the health care sector and the mining industry?” (p. 295). Small and large, urban and rural, different industries – all these occur within the same national cultures. McKenna (1998), in discussing global corporations’ attempts to develop global behaviors, noted that “It may be more useful for such professionals to develop local approaches that take into account the realities and perceptions of the ‘local world’” (p. 113). In fact, the idea of distinct national cultures is not accepted by all as a given. Myers and Tan (2002) have pointed out that the concept of national culture may be problematic to begin with, since “ethnic and cultural groups can exist across many nations” (p. 24). They take issue with the idea that cultural differences are in some way aligned with the boundaries of the nation-state.

However, many articles from the popular HR literature, a primary source of guidance for many seeking to implement HRD programs, appear to focus on national cultural differences as a basis for the development of human resource practices, without due regard for other aspects of context (Addison & Wittkun, 2001; Hao, 1999; Ketku, 1999; New Arthur Anderson, 2000; Milliman, J., Taylor, S., & Czaplewski, A., 2002; Poe, 2000; and Roberts, 2000). This emphasis on culture has also been seen in the HRD literature (Civelli, 1997; McGuire, et al. 2002). We suggest that context *beyond* what is perceived as national culture, particularly at site-specific level, is a significant concern for those involved with HRD in any part of the world.

The Cultural Dimensions of Hofstede and Hall

We selected the work of Hofstede and Hall because it is very well known and has provided the basis for subsequent studies by many other scholars. Sivakumar and Nakata (2001) tell us that between 1981 and the first half of 1998, 134 conceptual and empirical studies had made use of Hofstede's framework and further, that Hofstede's *Culture's Consequences* was cited 1,101 times in the Social Sciences Citations Index from 1987 to 1997. Hall, while not as frequently cited as Hofstede, is very well known for the high-context vs. low-context paradigm in national cultures (1976) and is still cited extensively as a key source in articles related to cross-cultural communication (Singh et al. 2003; Downing et al. 2003; Kersten et al. 2002; La Ferle et al. 2002; Koshiba & Parker, 2001; Babcock & Du-Babcock, 2001; Du-Babcock & Babcock, 1996). His work is particularly relevant to the Asia-Pacific region we study because of the significant degree of contact between high- and low-context cultures (e.g. as western businesses move into Asian Pacific Rim countries and vice versa). There are of course, many other scholars who have done significant work on culture (Trompenaars & Hampden-Turner, 1998; Laurent, 1983, 1986; Haire, Ghiselli, & Porter, 1963). However, the exploratory study was our primary focus and it was not our intent to compare the study results to all possible cross-cultural paradigms. Hofstede and Hall were considered sufficient for our purposes.

Determining the Country Groupings

Hofstede published extensively on differences in national cultures in the early 1980s (1980, 1983a, 1983b, 1983c, 1983d). The initial study used an existing data bank covering matched populations of employees in national subsidiaries of IBM in 64 countries, although only the data from 53 countries was found to be statistically useable (Hofstede, et al., 1990). Hofstede's initial work (1980) indicated that national culture consisted of four dimensions; power distance, uncertainty avoidance, individualism vs. collectivism, and masculinity vs. femininity. According to Hofstede, power distance deals with the acceptance of unequal power in organizations; uncertainty avoidance has to do with the extent to which people feel threatened by ambiguous situations; individualism refers to the tendency of people to fend for themselves and their families; and masculinity deals with the degree to which values such as aggressiveness and materialism are found versus such values as concern for relationships and quality of life. In the more recent edition (2001) of *Culture's Consequences*, he added a fifth dimension, long-term vs. short-term orientation. Hofstede (2001, p. 354-355) points out that this is the same dimension that Bond has called *Confucian work dynamism* (Hofstede & Bond, 1988, Bond & Mai, 1989), but suggests that this name can be misleading since some non-Confucian countries score fairly high in this dimension and since some Confucian values are found in both poles of the dimension. What Hofstede calls long term orientation contains values such as persistence, ordering relationships by status (and observing this order), thrift, and having a sense of shame. What Hofstede calls short-term orientation includes values such as personal steadiness and stability, protecting your “face”, respect for tradition, and reciprocation of greetings, favors, and gifts.

Reviewing Hofstede's data on his original four dimensions in *Culture's Consequences* (2001), we find that our study countries fall into two groupings on three of the four -- power distance, individualism, and masculinity. The first group is Malaysia, Singapore, South Korea, and Taiwan, and the second group is Australia, New Zealand, and the United States. The same cannot be said for the uncertainty avoidance index however, where South Korea and Taiwan rank *above* Australia, New Zealand, and the United States, while Malaysia and Singapore rank *below* those three countries. In the more recent long-term orientation index, Singapore, South Korea, and Taiwan group together,

as do Australia, New Zealand, and the United States. Data is not available for Malaysia since the data for the long-term orientation dimension came from a later study involving students from 23 countries (Hofstede, 1997, p.166). With the exception in the uncertainty avoidance dimension, we can generally say that, using Hofstede's dimensions, we would expect in this study to find that Malaysia, Singapore, South Korea, and Taiwan would tend to group together and that Australia, New Zealand, and the United States would tend to group together, since those groupings hold true for four of the five dimensions.

Hall's work (1976, 1989) suggests that in a high-context culture, much of the important information is not found in the words of actual transmitted communication, but is found in the context in which those words are used. On the other hand, in a low-context situation, the major part of the important information is in the actual transmitted communication -- the words themselves are much more significant (Gudykunst, 1997). As Hall put (1989), "A high-context (HC) transaction or message is one in which most of the information is either in the physical context or internalized in the person, while very little is in the coded, explicit, transmitted part of the message. A low-context (LC) message is just the opposite; i.e., the mass of the information is vested in the explicit code" (p. 91). Generally speaking, certain cultures, such as those in Asia and the Middle East, tend to be high-context. Other cultures, such as those in North America and other English cultures, tend to be low-context (Munter, 1993). When viewed from this perspective, Malaysia, Singapore, South Korea, and Taiwan group together as countries with high-context cultures, and Australia, New Zealand, and the United States group together as countries with low-context cultures.

The data relating to Hofstede's cultural dimensions and Hall's high-context, low-context categorization as it applies to the countries under discussion are summarized in Table 1. The numbers in the cells in Table 1 are the scores on the indices used by Hofstede for each of his cultural dimensions. Hall's high-context, low-context categorization is shown in the last column on the right.

Table 1. *Hofstede Indices Scores and Hall Communication Categorization of Study Countries*

Country	Power Distance	Individualism	Uncertainty avoidance	Masculinity	Long/short Term	Hi/Low Context
Malaysia	104	26	36	50	^a none	HC
Singapore	74	20	8	48	48	HC
S. Korea	60	18	85	39	75	HC
Taiwan	58	17	69	45	87	HC
Australia	36	90	51	61	31	LC
New Zealand	22	79	49	58	30	LC
United States	40	91	46	62	29	LC

^a Data unavailable

Method

Samples and Sites

Participating scholars collected data from samples taken from the general staff employee populations of 17 universities in the seven countries -- Australia, Malaysia, New Zealand, Singapore, South Korea, Taiwan, and the USA. These seven countries were selected specifically to provide two sets of countries that grouped naturally using Hofstede's (2001) five dimensions of culture and Hall's (1976) high context-low context differences, as discussed previously. In addition, Malaysia, Singapore, South Korea, and Taiwan are all in the group of countries that have been termed the *little tigers* or *little dragons* economic groups (Lee, 1998; Nieh, 2002; Park, 1998) as opposed to either the larger economies such as the Peoples Republic of China and Japan or the smaller Asia-Pacific economies.

Separate university settings were selected to eliminate the potential impact of a common organizational culture, such as might be present in a multi-national corporation. General staff employees were selected as the category of university employees considered to be most representative of the culture of the specific site of the university, and to provide vocational commonality among the samples. Samples were purposive insofar as the selection of the general staff category of employees, but accidental in terms of the actual participating employees, since participation was voluntary and anonymous. Across the 17 sites, 2,961 employees agreed to participate. Sample size ranged from a low of 44 employees to a high of 514 employees. For convenience, we labeled South Korea, Malaysia, Singapore, and Taiwan as the East group, and labeled Australia, New Zealand, and the USA as the West group. The participating universities are shown in Table 2.

Table 2. *Ownership, Size, and Age of University Sites*

Site	Code	Founded	Ownership	Size (FTEs)
Korea University	K1	1905	Private	>20 K
Pusan National University	K2	1946	Public	>20 K
Multimedia University, Site 1	M1	1993	Private	5 - 10 K
Multimedia University, Site 2	M2	1993	Private	5 - 10 K
Nanyang Technological University	S1	1981	Public	>20 K
Singapore Management University	S2	2000	Private	<5 K
National Chung Cheng University	T1	1986	Public	5 - 10 K
National Dong Hwa University	T2	1994	Public	<5 K
Shu-Te University	T3	1997	Private	<5 K
Griffith University	A1	1976	Public	>20 K
University of New South Wales	A2	1878	Public	>20 K
Edith Cowan University	A3	1902	Public	>20 K
University of Auckland	NZ1	1883	Public	10 - 20 K
University of Canterbury	NZ2	1873	Public	10 - 20 K
California State Polytechnic University	US1	1938	Public	10 - 20 K
University of Arkansas	US2	1872	Public	10 - 20 K
Penn State University - Harrisburg	US3	1966	Public	5 - 10 K

The sample of 2,961 employees is 61% female (94% of the sample provided this information). This is more the case in the West group countries (66%) than in the East group countries (52%), and is the general pattern in all countries with the exception of South Korea, where the country sample is 60% male. One South Korean site had a male proportion of 75% and the other a male proportion of 49%. The sample population of the East group was generally younger than that of the West. A rough approximate age was calculated by applying sample decade percentages to the midpoints of the age range data collected. This would indicate about an average age difference of about seven years; age 36 for the East group and age 43 for the West group.

Five of the nine eastern sites indicated private ownership. All of the western sites indicated public ownership. However, discussion with participating scholars suggests that this data needs to be treated with a degree of caution. Governments are significantly involved in the funding of many ostensibly private institutions and exert a significant degree of influence on their operations. The West group of sites is generally larger than the East group. While both groups have three sites in the >20K category, four of the five remaining West sites are in the 10-20K category. Of the remaining six East sites, three are in the 5-10K category and three are in the <5K category. The West group of sites is generally older than the East group. Five of the eight West sites are over 100 years old, while only one East site approaches that category – Korea University at 98 years old. Seven of the East group sites range from 3 to 22 years old, while the three newest West sites range from 27 to 65 years old.

As one would expect, there is a relationship between site size and site age. We assigned values to the size ranges approximating their relative size (>20K = 50, 10-20K = 40, 5-10K = 20, <5K = 10) and compared these values to site age. In the East group, size is strongly and positively correlated (0.79) with the age of the site. The West group also has a positive, but less robust correlation (0.29). However, the age of two of the newer West group sites (Edith Cowan in Australia and Penn State – Harrisburg in the USA) may be understated for our purposes. Both institutions have educational history that precedes their official designation by these names.

Instrument

Participating employees completed the Performance Environment Perception Scale, which asks employees to indicate their degree of agreement with 60 statements about items in the work environments, each of which has been shown by previous research to impact upon employee performance (Ripley 2003). For three countries (South Korea, Malaysia, and Taiwan), the instrument was translated under the direction of the participating scholars, using appropriate procedures to ensure that original meanings of statements were retained. The participating scholar in Singapore elected to use the USA English version. Minor wording changes from the USA version were made for New Zealand and Australia to reflect the usage of English more common to these countries. The instrument, and the research it is based on, can fairly be said to have a western bias. However, no changes to reflect uniquely eastern issues were made in the instrument for employees from South Korea, Malaysia, Singapore, and Taiwan. Thus employees in all samples responded to the same instrument, which allowed comparison of results, as was considered appropriate for exploratory research.

Procedures and Results

We first examined the similarities and differences in the exploratory results and then compared those results to what we would expect to find based on Hofstede's cultural dimensions and Hall's high-context low-context paradigm. This involved comparisons of participant responses, using coefficients of concordance (Gibbons, 1971). Kendall's coefficient of concordance reflects the degree of agreement, or concordance, among sets of data and allowed us to compare samples of different sizes. The concordance procedure was also selected because it was appropriate given that some of our samples were relatively small ($n < 100$). We made comparisons at three levels, or hierarchies, of analysis; namely the various sites within the individual countries, the two groups of countries (East and West), and all sites taken together. For each level of analysis, we compared lower quartile, median, and upper quartile responses. Due to length limitations for this paper, detailed results cannot be provided here.

Summary of Results

While our primary purpose was exploratory, we did expect that study results would tend to reflect the clusters of countries based on national cultures as represented by the East and West groups. The findings of our study do not appear to support these apriori expectations.

Our first level of analysis, sites within countries, showed mixed results. In the West group, all sites were internally concordant within their country. In the East group however, Singapore was not concordant internally when using the lower quartile values, and both Singapore and Korea were not concordant internally when using the median and upper quartile values. However, the degree of concordancy for sites was not uniquely aligned with the cultural grouping (that is, East group or West group) of countries within which the site was situated, as was evident from the site-to-site comparisons of coefficients of concordance. For example, many East group sites were concordant with West group sites, particularly at the lower quartile and median value levels. So the proposition that sites would tend to be more different internationally is not strongly supported. The proposition that sites would be more similar intra-nationally, while generally holding for the West group, is likewise not strongly supported, given the lack of concordancy between sites in the East group.

At the second level of analysis, looking at the two groups of countries, there are also mixed results. In the West group, all countries were concordant at the lower, median, and upper quartile values. However, in the East group, this is not the case, and some interesting results emerge. Both Malaysia and Taiwan, for example, are concordant with each of the individual West group countries (and each other) -- at all levels -- *except* with Australia at the upper quartile level. However, Malaysia and Taiwan are *not* concordant with the Singapore and Korean sites in most cases. It seems clear that we cannot strongly support the proposition that groups of countries will tend to be similar along the lines of national cultural groupings. While that case can be made for the West group, it cannot be made for the East group.

Our third level of analysis was to look at all sites and countries together. This was done first by a simple comparison across all sites. We found significant concordance across all sites at the lower, median, and upper quartiles. The significant degree of concordance across sites and countries would tend to reinforce what we found at the second level of analysis; namely that we cannot strongly support the proposition that these countries will all tend to be similar along national cultural lines and so separate into two clearly defined yet distinct groups.

There are also a number of points that can be discussed in connection with the participants' age and gender, as well as site characteristic data. There is a difference in age between the East and West groups. Had we found significant lack of concordance between the two groups, this age difference could have been a contributor. It should be noted, however, that some of the dissimilarity could be due to the relatively high percentage of participants at the Malaysian sites (29%) who chose not to indicate their age range when completing the instrument. Since these Malaysian sites are relatively new and somewhat technologically focused, one can speculate that older employees might have been reluctant to provide their age, perhaps perceiving they were in a *youth-oriented* organizational culture, and not wanting to advertise their difference. As the instrument was completed anonymously, the participating scholar for these sites could not retrieve participants' age.

Gender data is also quite interesting. The West group generally had a higher percentage of females responding at their sites. In the East group, K1 was the only site with a male majority responding. One can speculate that this could have a bearing on K1's lack of concordance with many other sites. Malaysia is interesting in that one site has a 50/50 gender split while the other has only a 55/45 female majority; yet Malaysian sites exhibited considerable concordance with Taiwanese sites, and Taiwan had a 70/30 female majority. As with age, there were a high number of Malaysian participants (24%) who opted not to provide gender information.

There are differences between the East and West Groups in all three characteristic of the sites that we examined – public or private ownership, size of the site, and age of the site. However, since concordance results

indicated there were no significant differences between the East and West groups when all sites were examined together, we cannot say these differences were significant to the study at the group comparison level of analysis. Nevertheless, site size and site age could partially explain some of the lack of concordance *within* the East group, particularly at the median and upper quartile. For example, site K1 differs significantly from both Malaysian sites in site age and site size, and is not concordant with Malaysia at the median or upper quartiles.

Conclusions and Implications

The results suggest to us that HRD practitioners should consider context beyond culture in developing human resource development practices for the sites examined in this study. Our initial expectations -- that employee perceptions of work environments would tend to be more *similar* intra-nationally and among countries that tended to group naturally in Hofstede and Hall's work and would tend to be more *different* inter-nationally and among countries that did not group naturally in Hofstede and Hall's work -- were not strongly supported. Results suggest that as one moves to a finer level of analysis -- in this case from an overall look at all sites to a site-by-site comparison -- more and more differences begin to emerge. For example, the two South Korean sites are not consistently concordant, and the results certainly give us opportunity to consider possible reasons. One site is in Seoul, the capital of the country and the other in Pusan, a more regional location; one is private while the other is public; one site is approximately 40 years older than the other; and finally, the demographic characteristics of the respondents differ. It seems to us that it would defy logic if the two groups of employees did *not* view the work environment somewhat differently. We consider such differences to be important, and the sort of beyond-culture type aspects we should be taking into account in the development of HRD policies and practices. Doing so could have an impact on the success of HRD efforts; employers who *respond* to these aspects may find they have enhanced the effectiveness of their programs.

We add that we do not conclude from this study that national culture is not important and can be ignored. For example, Newman and Nollen (1996) found that work unit performance within a multi-national organization was higher when management practices were congruent with Hofstede's dimensions (although only partly so in the case of uncertainty avoidance). This would support the proposition that practices from one country will not automatically be effective in another, and we agree. But beyond this, our study suggests that intra-country levels of differences in work groups means that one should not base HRD practices *only* on national culture when moving into other countries, but should take other contextual issues into account as well, particularly at the site level.

Future Research

Since the samples in this study were not random, we cannot attempt to generalize the results for all university general staff, or to other industries and locations. However, our exploratory results raise some interesting questions and we hope others will see fit to continue research in this area of the broader, beyond-culture context of work environments as it relates to effectiveness in HRD programs. We felt a number of issues from this study could bear further investigation. For example, while all sites taken together are concordant at all levels, the number of site-to-site comparisons indicating a lack of concordance increases as one moves from the lower to the median to the upper quartile comparisons. What is the reason for this? Would this pattern hold true in another study? Further, would West group sites continue to be concordant while East sites were not? Are there in fact sub-groups as the data indicated was possible? Would selecting sites from a single organization make a difference, as the impact of organizational culture was felt? Are there implications for HRD of the answers to these questions? Finally, could there be a basis not only for different HRD practices for employee groups at sites with different demographics, but even different practices for different sub-groups of employees at a single site?

The data related to age and gender influences on employee reaction to and perception of the work environment that surfaced in this study were quite interesting and will be the subject of another paper. We suspect there are significant implications for HRD in this area as well.

References

- Addison, R., & Wittkuhn, K. (2001). HPT: the culture factor. *Performance Improvement, 40*(3), 14-19.
- Babcock, R., & Du-Babcock, B. (2001). Language-based communications zones in international business communication. *The Journal of Business Communication, 38*(4), 372-412.
- Bernardin, H. (1989). Increasing the accuracy of performance measurement: a proposed solution to erroneous attributions. *Human Resource Planning, 12*, 239-250.

- Bond, M., & Mai, K.P. (1989). *Trusting to the Tao: Chinese values and the re-centering of psychology*. Paper presented at the Conference on Moral Values and Moral Reasoning in Chinese Societies, Taipei, Taiwan.
- Brewster, C. (1999). Strategic human resource management: the value of different paradigms. *Management International Review*, 39(3), 45-56.
- Cheng, J. (1989). Toward a contextual approach to cross-national organization research. *Advances in International Comparative Management*, 4, 3-18.
- Civelli, F. (1997). New competencies, new organizations in a developing world. *Industrial and Commercial Training*, 29(7), 226-229.
- Downing, C., Gallagher, J., & Segars, A. (2003). Information technology choices in dissimilar cultures: enhancing empowerment. *Journal of Global Information Management*, 11(1), 20-39.
- Du-Babcock, B., & Babcock, R. (1996). Patterns of expatriate-local personnel communication in multinational corporations. *The Journal of Business Communication*, 33(2), 141-164.
- Gibbons, J. D. (1971). *Nonparametric statistical inference*. McGraw-Hill Series in Probability and Statistics. New York: McGraw-Hill.
- Gilbert, T. (1996). *Human competence: Engineering worthy performance*. Amherst, MA: HRD Press and Washington, DC: The International Society for Performance Improvement.
- Gudykunst, W. (1997). Cultural variability in communication. *Communication Research*, 24(4), 327-347.
- Haire, M., Ghiselli, E.E., & Porter, L.W. (1963). Cultural patterns in the roles of managers. *Industrial Relations*, 2, 95-117.
- Hall, E. T. (1976). *Beyond culture*. Garden City, NY: Doubleday.
- Hall, E. T. (1989). *Beyond culture*. New York: Anchor Books.
- Hao, R. (1999). Really -- how do Asians learn? *Performance Improvement*, 38(3), 13-15.
- Hofstede, G. (1980). *Culture's consequences*. Beverley Hills, CA: Sage.
- Hofstede, G. (1983a). Dimensions of national cultures in fifty countries and three regions. In Deregowski, J.B., Dziurawiec, S., & Annis, R.C. (Eds.), *Explications in cross-cultural psychology* (pp. 335-355). Lisse, Netherlands: Swets and Zeitlinger.
- Hofstede, G. (1983b). National cultures in four dimensions. *International Studies of Management and Organization*, 13, 46-74.
- Hofstede, G. (1983c). The cultural relativity of organizational practices and theories. *Journal of International Business Studies*, 14, 75-89.
- Hofstede, G. (1983d). National cultures revisited. *Behavior Science Research*, 18, 285-305.
- Hofstede, G. (1997). *Cultures and organizations: Software of the mind*. New York: McGraw-Hill.
- Hofstede, G., & Bond, M. (1988). The Confucius connection: from cultural roots to economic growth. *Organizational Dynamics*, 16(4), 4-21.
- Hofstede, G., Neuijen, B., Ohayv, D., & Sanders, G. (1990). Measuring organizational cultures: a qualitative and quantitative study across twenty cases. *Administrative Science Quarterly*, 35(2), 286-316.
- Hofstede, G. (2001). *Culture's consequences* (2nd ed.). Beverley Hills, CA: Sage.
- Kersten, G., Kersten, M., & Rakowski, W. (2002). Software and culture: beyond the internationalization of the interface. *Journal of Global Information Management*, 10(14), 86-101.
- Ketku, R. (1999). Overcoming integration problems in international management. *Performance Improvement*, 38(2), 23-25.
- Koshiba, T., & Parker, P. (2001). Trade policy, open regionalism and NAFTA: the socio-economic context for Japanese automobile investments in North America. *Environments*, 29(3), 35-54.
- Kuchinke, K. (2003). Contingent HRD: toward a theory of variation and differentiation in formal human resource development. *Human Resource Development Review*, 2(3), 294-309.
- La Ferle, C., Edwards, S., & Mizuno, Y. (2002). Internet diffusion in Japan: cultural considerations. *Journal of Advertising Research*, 42(2), 65-79.
- Laurent, A. (1983). The cultural diversity of western conceptions of management. *International Studies of Management and Organizations*, 13, 75-96.
- Laurent, A. (1986). The cross-cultural puzzle of international human resource management. *Human Resource Management*, 25, 91-102.
- Lee, U. (1998). A test of the proxy-effect hypothesis: evidence from the pacific basin countries. *Quarterly Journal of Business and Economics*, 37(3), 40.
- Milliman, J., Taylor, S., & Czaplewski, A. (2002). Cross-cultural performance feedback in multinational enterprises: opportunity for organizational learning. *Human Resource Planning*, 25(3), 29-43.

- McGuire, D., O'Donnell, D., Garavan, T., Saha, S., & Murphy, J. (2002). The cultural boundedness of theory and practice in HRD? *Cross Cultural Management* 9(2), 25-44.
- McKenna, S. (1998). Cross-cultural attitudes towards leadership dimensions. *Leadership & Organization Development Journal*, 19(2), 106-112.
- Morden, T. (1995). International culture and management. *Management Decision*, 33(2), 16-21.
- Munter, M. (1993). Cross-cultural communication for managers. *Business Horizons*, 36(3), 69-79.
- Myers, M., & Tan, F. (2002). Beyond models of national culture in information systems research. *Journal of Global Information Management*, 10(1), 24-32.
- New Arthur Anderson study benchmarks key HR drivers among international, multinational, and global companies. (2000, Jan 11). *PR newswire*. Retrieved March 19, 2003 from *Find Articles* <http://www.findarticles.com>.
- Newman, K.L., & Nollen, S.D. (1996). Culture and congruence: the fit between management practices and national culture. *Journal of International Business Studies*, 27(4), 753-779.
- Nieh, C. C. (2002). The effect of the Asian financial crisis on the relationships among open macroeconomic factors for Asian countries. *Applied Economics*, 34(4), 491-502.
- Park, B.G. (1998). Where do tigers sleep at night? The state's role in housing policy in South Korea and Singapore. *Economic Geography*, 74(3), 272-288.
- Poe, A. (2000). Destination everywhere. *HR Magazine*, 45(10) 67-75.
- Ripley, D. (2003). A methodology for determining employee perceptions of factors in the work environment that impact employee development and performance. *Human Resource Development International*, VI(1), 85-100.
- Roberts, B. (2000). Going global. *HR Magazine*, 45(8) 123-128.
- Singh, N., Zhao, H., & Hu, X. (2003). Cultural adaptation on the web: a study of American companies' domestic and Chinese websites. *Journal of Global Information Management*, 11(3), 63-81.
- Sivakumar, K., & Nakata, C. (2001). The stampede toward Hofstede's framework: avoiding the sample pit design in cross-cultural research. *Journal of International Business Studies*, 32(3), 555-572.
- Thompson, J. (1993). Quality improvement and performance appraisal. *Human Resource Development Quarterly*, 4(4), 401-407.
- Trompenaars, F., & Hampden-Turner, C. (1998). *Riding the waves of culture* (2nd ed.). New York: McGraw-Hill.

Intercultural Training for Business Expatriates: Cultural-Specific Training Needs of US Business Expatriates on Assignment to Taiwan

Tien-Chen Chien

Gary N. McLean

University of Minnesota

US companies' expansion across political boundaries requires personnel to work in foreign facilities with vastly different local cultures. Intercultural training facilitates adjustment to the foreign environment and improved interaction with host country nationals. This study assessed US expatriates and their Taiwanese colleagues and identified knowledge and skills needed for assignment in Taiwan. The study focused on knowledge of the host country, relationship building, interpersonal communication, business protocol, legal, and living issues.

Keywords: Expatriates, Intercultural Training, Culture-Specific Training

Continually improving information and communication technologies are accelerating business globalization. Globalization has become an inevitable trend in today's business world (McLean, 2001). As businesses expand into global marketplaces, the number of expatriate employees grows. The success of employees who accept foreign assignments is becoming more important to the headquarters in their home countries. To cope with global competition, businesses are in need of employees who are able to work effectively with people from a diversity of countries and cultures.

As the first little dragon to emerge from Asia, Taiwan took advantage of its close strategic ties with the United States to become one of its major trading partners (Vogel, 1991). That economic relationship was expected to grow even further following Taiwan's (Republic of China, or ROC) entry into the WTO (World Trade Organization) in 2002. Therefore, business encounters between US Americans and Taiwanese are likely to occur more often than before in the international business arena.

Researchers have found significant differences between the Chinese culture and Western cultures (Blackman, 1997; Bond, 1991; Hofstede, 1993, 2001; Williams & Bent, 1996). Business interactions between people from different countries often fail due to cultural differences. In particular, expatriates sent by US multinational companies have a much higher failure rate than those of European or Japanese multinational companies (Tung, 1988). The cost of failed international negotiations and failed expatriate assignments is high (Latham, 1988). To prevent problems in this area, it is necessary for US companies to provide effective intercultural training for their expatriate employees.

Statement of the Problem

Despite the rapidly increasing business contacts between the United States and Taiwan, limited research has addressed the specific training needs for expatriates in Taiwan. This study intended to discover cultural-specific training needs of US business expatriates on assignments to Taiwan. The study assessed Taiwan culture training needs of US business expatriates from the perspectives of both US expatriates and their Taiwanese colleagues and compared the perceived importance of these intercultural training needs between these two groups.

Theoretical Framework

Today, Western businesspeople visiting Taiwan's major cities, such as Taipei or Kaohsiung, may find few differences between these modern cities and those in the West. On the surface, people who work in the commercial centers of Eastern or Western countries dress the same, commute the same, and occupy similar office buildings. However, how people conduct business is embedded in their traditions and cultural norms.

Cultural Dimensions

Culture is "the customs, worldviews, language, kinship systems, social organization, and other taken-for-granted day-to-day practices of a people which set that group apart as a distinctive group" (Scollon & Scollon, 2001, p. 139). From this perspective, culture has a significant impact on the development of individuals' values, beliefs,

Copyright © 2004 Tien-Chen Chien & Gary N. McLean

and worldviews. It further influences their behavior and activities in everyday life. Many anthropologists and social scientists have studied culture. Some of them have attempted to classify culture. In Hall's (1959) *The Silent Language*, culture was considered as a form of communication. Hall and Hall (1990) identified four dimensions of cultural differences based on communication patterns: (1) high-context/low-context, (2) space, (3) time, and (4) information flow.

In his book, *Culture's Consequences*, Hofstede (2001) stated, "culture is to a human collectivity what personality is to an individual" (p. 10). He defined culture as "the collective programming of the mind that distinguishes the members of one group or category of people from another" (p. 8). Hofstede (2001) studied IBM employees in over 50 countries in the 1960's and developed five main dimensions of cultural differences: (1) power distance, (2) uncertainty avoidance, (3) individualism and collectivism, (4) masculinity and femininity, and (5) long-term versus short-term orientation. In Hofstede's (2001) study, Taiwan was found to have larger power distance than the United States. Taiwan had stronger uncertainty avoidance than the United States. The United States had a higher score in masculinity than Taiwan. The United States ranked the highest on individualism, while Taiwan scored low on this dimension. The United States ranked low on long-term orientation. In contrast, Taiwan was found to be highly long-term oriented.

Trompenaars (1998) described culture as "a shared definition of a situation by a group" (p. 20). Culture can be observed through "social interaction, or meaningful communication, presupposes common ways of processing information among the people interacting" (p. 20). Culture is to human as water is to fish. People need it; however, they are usually not aware of it until they are no longer in it (Trompenaars, 1998). According to Trompenaars (1993), culture can be examined through five dimensions: (1) universalism versus particularism (relationships and rules), (2) collectivism versus individualism (the group and the individual), (3) neutral versus emotional (the degree to which feelings are expressed), (4) specific versus diffuse (how much people get involved), and (5) achievement versus ascription (how people achieve status).

Gannon (2001) analyzed cultures of 23 countries and categorized them into groups. He used American football as a cultural metaphor to describe the U.S. American culture and the Chinese family altar to describe the Chinese culture. According to Gannon (2001), countries can be grouped into four types of cultures: (1) authority-ranking national cultures (collectivism with high power distance), (2) equality-matching national cultures (individualism with high power distance), (3) market-pricing national cultures (individualism with low power distance), and (4) community-sharing national cultures (collectivism with low power distance). The United States falls into the category of market pricing. In market-pricing cultures, individualism is emphasized. Countries with this type of culture are also market-dominated. Since it is free market, inequality resulting from this operation is acceptable (Gannon, 2001). Gannon (2001) stated that some cultures should be analyzed beyond the boundary of nations. The Chinese are considered to be an ethnic group, regardless of the nation in which they reside. Chinese tradition is deeply influenced by Confucianism (Gannon, 2001). The Chinese highly respect their ancestors. They are very family-oriented. "The family is the basic social unit through which all are united in a relation-based system" (Gannon, 2001, p. 435). Characteristics of Chinese culture can be symbolized by the Chinese family altar (Gannon, 2001).

Apparently there is a gap between the US and Chinese cultures. Coping with this issue, many US multinational companies hire Chinese Americans as middle people to bridge the gap between East and West (Blackman, 1997; Lam, 2000). These Chinese Americans have the experience of living in mainland China, Taiwan, or Hong Kong, and are hired by US companies to work in these areas. They are then expected to deal with two different legal, social, and political systems, two negotiation styles, two languages, and two sets of expectations (Lam, 2000). Simply relying on Chinese Americans to function in the middle should not be a long-term solution to this personnel problem. Multinational companies need to pay more attention to the training and development of their expatriate employees (Lam, 2000). In addition, the experience of working overseas is very helpful to the development of global leadership (Oddou & Mendenhall, 2000). Business expatriates can become important human resources to companies, especially those with international or multinational operations (Mendenhall, 2001).

Intercultural Training

Intercultural training helps expatriates understand culture differences, provides information and knowledge of a specific culture, and helps reduce emotional challenges (Brislin & Yoshida, 1994). Effective intercultural training can help expatriates adjust to the host culture and enhance job performance (Black & Mendenhall, 1990). Researchers have found that intercultural training in general is effective (Black & Mendenhall, 1990; Deshpande & Viswesvaran, 1992; Morris & Ribie, 2001).

Since intercultural training has broad goals and objectives, it is difficult to determine what exactly should be taught in training. Goodman (1994) proposed a list of knowledge areas that intercultural training should provide for international executives that included both culture-general and culture-specific training. First, international

executives need to understand the role that culture plays in international business. Then they need to know the history and geography of the host country; the social, demographic, and business trends of the country; and the country's politics and economics. They should understand that there are different communication styles between cultures and should know about the verbal and written communication, as well as the nonverbal communication of the culture with which they are dealing. International executives need to learn introductions, greetings, and proper use of people's titles. They also need to know about entertainment and gift-giving in the foreign country. Other than the above, international executives should know the cultural differences in marketing, sales, quality, packaging, decision making, negotiations, and managing (Goodman, 1994).

Brislin and Yoshida (1994) recommended that intercultural training programs should cover four areas: (1) awareness of culture and culture differences; (2) knowledge of a target culture or facts that are accepted within a culture, as they are necessary for adjustment; (3) emotional challenges that trainees will encounter and how to cope with anxiety and stress when they are in a different cultural environment; and (4) acquiring skills and adopting appropriate behaviors of a specific culture. Brislin and Yoshida (1994) also stated that culture-specific training was to provide learners with the knowledge of a specific culture. They concluded with several themes of culture-specific knowledge: "(a) work, (b) time and space, (c) language, (d) roles, (e) importance of the group and importance of the individual, (f) rituals and superstitions, (g) hierarchies: class and status, and (h) values" (p. 45).

Smith (1993) interviewed 10 US business executives who had the experience of working in Taiwan and found that it was necessary for US business expatriates to acquire knowledge and skills in the following areas: (1) building relationships and trust with their Taiwanese counterparts; (2) understanding the history of Taiwan and the political issues between Taiwan and the United States, mainland China, Hong Kong, and Japan; (3) being familiar with communication patterns of their Taiwanese counterparts and being able to deal with communication problems; (4) understanding Taiwan's business protocol and how business is conducted in Taiwan; (5) knowing about the Taiwan market, sales opportunities in Taiwan, and Taiwan's marketing strategies; and (6) understanding behaviors and attitudes of their Taiwanese counterparts in order to know how to perceive them, feel about them, and respond to them.

Research Questions

The study attempted to find answers to the following questions:

1. To what extent are specific intercultural knowledge and skills perceived to be needed by US business expatriates in Taiwan?
2. Do differences exist between US expatriates and their Taiwanese colleagues in terms of the perceived importance of these intercultural training needs?

Research Methods

Participants

This study used the survey method to assess the opinions of US business expatriates and their Taiwanese colleagues. However, it was impossible to identify and locate all US businesspeople who were in Taiwan at the time the study was conducted. To determine the population of US business expatriates in Taiwan, a membership directory was obtained from the American Chamber of Commerce in Taiwan. Approximately 1,000 individuals who represented 600 corporations were listed in the *2001-2002 AmCham Membership Directory*. It was assumed that Chinese Americans and US citizens who had Chinese ethnicity in their background had been influenced previously by Chinese culture. Therefore, members with Chinese names were eliminated from the list. US subjects who responded that they had Chinese ethnicity in their background were excluded from the study as well. This study also excluded US government agents because they were not business expatriates. Those who had addresses that were not in Taiwan were also eliminated. The final total was 283 individuals from the AmCham in Taiwan who became the target population of the study. Since the number of the population was small, there was no need to sample the population. All 283 people were surveyed.

To determine the Taiwanese subjects, each US subject was asked to recommend two of his or her Taiwanese colleagues to participate in this study. However, between the two Taiwanese subjects, only one was to be used for this study. This was done to avoid giving the subjects a sense of obligation to participate. It was also used to increase the response rate of Taiwanese subjects. US subjects who responded to the survey but whose Taiwanese colleagues did not were not used in this study. The same decision rule was used for those Taiwanese subjects who responded to the survey but whose US colleagues did not. For US subjects who responded to the survey, if both of their Taiwanese colleagues returned the survey, a random selection was used to decide which one to use in the study.

In the first mailing, 283 surveys were sent to US subjects. Thirty-seven surveys were returned because of bad addresses. Among the new total of 246 surveys, 67 US participants and 81 Taiwanese participants returned the questionnaire. These were matched as 64 pairs. An additional 182 surveys were sent as follow up. After the second mailing, 14 additional US participants and 16 additional Taiwanese participants returned the questionnaire. There were 14 additional pairs matched. Therefore, a total of 81 US subjects returned the questionnaire for a response rate of 32.9%. A total of 97 Taiwanese subjects returned the questionnaire for a response rate of 19.7%. Seventy-eight pairs were matched, for a paired response rate of 31.7%. Table 1 lists responses after the first mailing and follow-up, total responses, and total response rates.

Table 1. Responses and Response Rates

	US (246)	TW (492)	Pairs (246)
After First Mailing	67	81	64
After Follow Up	14	16	14
Total Responses	81	97	78
Response Rates	32.9%	19.7%	31.7%

Among the 78 US subjects, 82.1% were male and 17.9% were female. All held US citizenship, and none had Chinese ethnicity in their background. Of the US subjects, 73.1% had a spouse or significant other with them in Taiwan, and 39.7% had a child with them in Taiwan; 48.7% of the US respondents had more than 10 years of international work experience, and 33.3% had 1-3 years of work experience in Taiwan. Among the 78 Taiwanese subjects, 50% were male and 50% were female. All held ROC (Taiwan) citizenship, and all had Chinese ethnicity in their background. Most of them (44.9%) had the experience of working with a US expatriate for at least 10 years.

Instrumentation

A survey questionnaire was developed for the study to assess subjects' opinions on the intercultural training needs of US business expatriates in Taiwan. Twenty-six items were identified as knowledge/skill needed for US business expatriates in Taiwan. They were grouped into six categories: (1) knowledge of the nation, (2) relationship building, (3) interpersonal communication, (4) business protocol, (5) legal issues, and (6) living in Taiwan. The scale ranged from 1 to 5 (1 = not needed; 2 = little need; 3 = some need; 4 = much need; 5 = extremely necessary) to measure the extent to which each item is needed by US business expatriates in Taiwan. The questionnaire also contained questions to collect subjects' demographic information. Open-ended questions and space were provided for comments and suggestions.

To develop the questionnaire, the researcher created a draft questionnaire based upon Smith's (1993) findings. After the draft was created, ten people were requested to review the questionnaire to ensure its validity. They included five US expatriates with experience working in Taiwan and five Taiwanese with the experience of working with US expatriates. Changes were then made in accordance with their suggestions.

A Chinese version of the questionnaire was created by the researcher and was reviewed by a Taiwanese who is fluent in both Chinese and English. Then, a US American who has Chinese language training back translated the Chinese questionnaire into English. The back-translated questionnaire was then compared with the original English version of the questionnaire to ensure that the questions in the two languages delivered the same meanings. Revisions in the translated version were made until it was deemed that the two questionnaires were asking for the same information. In the questionnaire for the Taiwanese subjects, each item was written in English (for those who preferred to work in English), immediately followed by its Chinese translation.

After the questionnaire was developed, a pilot study was conducted. Four US businesspeople who had experience working in Taiwan and four Taiwanese who had experience working with US business expatriates participated. The results of the pilot study suggested that there were no obvious problems in the questionnaire.

Reliability of the instrument was established based on actual questionnaire results. The Cronbach's alphas were .76, .90, .66, .85, .83, and .88 for categories 1 through 6, respectively. The overall alpha was .90.

Procedures

Before the questionnaire was mailed to the US subjects, a pre-notice letter was sent to inform them of the survey. Then, the survey was sent to the US subjects by airmail from the United States. Each envelope contained one copy of the questionnaire for the US subjects, two copies of the questionnaire for distribution to their Taiwanese colleagues, a cover letter to US subjects, two cover letters (with Chinese translation) to Taiwanese subjects, and three addressed return envelopes. In the cover letter, all US subjects were asked to give the Chinese questionnaires to two of their Taiwanese colleagues. Each questionnaire was assigned a code number. For each questionnaire sent to the US subjects, there was a number that matched the one assigned to their Taiwanese colleagues. This was

intended to help the researcher pair US participants with Taiwanese participants. These numbers also served as an identification code to protect the respondents' anonymity. A follow-up contact was made to the US subjects at about four weeks after the first mailing.

Limitations

This study surveyed US business expatriates and their Taiwanese colleagues. However, only 246 US Americans in the American Chamber of Commerce in Taiwan were surveyed. Since the scope of the study was small, generalizability of study findings is limited to this target population. Moreover, a 31.7% return rate is low. Many subjects who received surveys did not return them. The response rate among the Taiwanese subjects (19.7%) was much lower than the US subjects (32.9%). Because this study asked US expatriates to distribute the questionnaire to Taiwanese subjects, the IRB only approved one follow-up to US subjects. Therefore, a non-respondent investigation was not appropriate due to the anonymity of participants. It is not known if a 100% return rate would have resulted in different findings.

Results

To What Extent Are Specific Intercultural Knowledge and Skills Perceived to Be Needed by US Business Expatriates in Taiwan?

Among the 26 items rated by the US subjects, “the relationship between Taiwan and mainland China” has the highest mean, followed by three items with the same mean: “business ethical standards in Taiwan,” “the way business is usually conducted in Taiwan,” and “the negotiation strategies used by Taiwanese business people.” The top 3 items with the highest means rated by the Taiwanese subjects were “the way business is usually conducted in Taiwan,” “how to deal with situations when communication problems occur between them and their Taiwanese associates,” and “how to build social relationships with their Taiwanese associates.” Both US and Taiwanese subjects perceived “how to communicate with Taiwanese people in Taiwanese” as the least needed for US business expatriates in Taiwan.

Do Differences Exist between US Expatriates and Their Taiwanese Colleagues in Terms of the Perceived Importance of These Intercultural Training Needs?

Data collected from 78 US subjects and 78 Taiwanese subjects were analyzed using matched pairs t-tests. Between-group differences for the overall 26 items and each category were examined. Results from matched pairs t-tests indicate that there is a significant difference between the US subjects and Taiwanese subjects in the perceived importance of the overall items, $t(2027) = 4.597$, $p < .01$. While the US subjects perceived the items, overall, to be needed more than the Taiwanese subjects did, the difference is quite small (.11). The results of the matched pairs t-test of all items are shown in Table 2. Matched pairs t-tests were also calculated for each category. The results indicate that there is a significant difference between the US and Taiwanese subjects in categories 1, 2, 4, and 5 (see Table 3). US subjects generally perceived “knowledge of the nation,” “relationship building,” “business protocol,” and “legal issues” as more important than Taiwanese subjects did. There were no significant differences between the US and Taiwanese subjects in category 3, “interpersonal communication,” and category 6, “living in Taiwan.”

Table 2. *Matched Pairs t-Test for All Items (n = 78)*

US		TW		df	t	p
M	SD	M	SD			
3.64	.93	3.53	.92	2027	4.597	.000

Table 3. *Matched Pairs t-Test by Category (n = 78)*

Category	US		TW		df	t	p
	M	SD	M	SD			
1. Knowledge of the Nation	3.63	.85	3.47	.90	467	3.085	.002**
2. Relationship Building	4.08	.83	3.94	.69	233	2.038	.043*
3. Interpersonal Communication	2.98	1.03	3.05	1.11	389	-1.226	.221
4. Business Protocol	4.17	.77	3.97	.72	233	3.065	.002**
5. Legal Issues	3.94	.78	3.76	.74	311	4.474	.000**
6. Living in Taiwan	3.52	.71	3.48	.82	389	.741	.459

Note. * $p < .05$. ** $p < .01$.

Discussion

This study found that both US expatriates and their Taiwanese colleagues believed that it is necessary for US expatriates to acquire knowledge and skills in all the six areas of the survey. US subjects generally believed that the overall items are needed more than their Taiwanese colleagues did. They particularly perceived more need in categories “knowledge of the nation,” “relationship building,” “business protocol,” and “legal issue.” This can be explained perhaps by the fact that, since the US subjects themselves are business expatriates, naturally they experience a strong need to acquire cross-cultural knowledge and skills, particularly in those four areas.

Knowledge of the Nation

The study agrees with Brislin and Yoshida (1994) that intercultural training should provide knowledge or facts of a target culture. This also supports Goodman's (1994) suggestion that cultural-specific training include the history, geography, and politics of the host country. Both groups in this study suggested that it is important to know the people in Taiwan. This item was not listed on the questionnaire; it should be considered for inclusion in future research. This study also confirmed Smith's (1993) finding that US business expatriates need to understand the relationship between Taiwan and mainland China, and the role of the United States in Taiwan-China relations.

Relationship Building

The Taiwanese have a longer-term view of business than US Americans (Hofstede, 2001). Since good relations and friends are important to the Taiwanese, they generally put more time into relationship building before doing business (Smith, 1993). Results of the study are congruent with Smith's (1993) conclusion that it is critical for US expatriates to know how to build relationships and trust with their Taiwanese counterparts. This study found knowledge/skills in “relationship building” and “interpersonal communication” to be important learning needs for US expatriates. This indicates that adjustment to interacting with host-country nationals is essential to expatriate adjustment (Black, Gegersen & Mendenhall, 1992).

Interpersonal Communication

Previous literature reported that business expatriates should be aware of different communication styles between cultures (Goodman, 1994). They need to learn the verbal and non-verbal languages of the host country (Brislin & Yoshida, 1994; Goodman, 1994). This study found that it is important for US expatriates to understand different communication patterns across cultures and learn how to deal with situations when communication problems occur. In terms of language training, since many US expatriates communicate with their Taiwanese associates in English, it is not critical for US expatriates to learn Mandarin or Taiwanese. US expatriates need to learn how to communicate in Mandarin if they are on an extended assignment; however, if they plan to stay in Taiwan for a short time (less than 2 years), they can get by with only English. This study found low importance from both groups for US expatriates to acquire Taiwanese language skill despite the fact that it is a major dialect in Taiwan. Although it is not a necessity, some respondents suggested that US expatriates will find it helpful if they can communicate with Taiwanese people in Taiwanese.

Business Protocol

Smith (1993) found that one theme for US business expatriates success in Taiwan was to know Taiwan's business protocol. The current study provides evidence of the importance of understanding Taiwan's business protocol for US expatriates. Items grouped in “business protocol” and “legal issue” are learning needs related to work. This indicates that work adjustment is an important dimension of expatriate adjustment (Black et al., 1992).

Legal Issue

When doing business, Taiwanese tend to believe in the importance of good relationships, while US Americans tend to emphasize rules and laws (Kenna & Lacy, 1994; William & Bent, 1996). Taiwan's legal system is quite different from that of the United States. Smith (1993) stated that legal issues were recognized as learning needs, but they were not considered as a critical factor to US business expatriates' success in Taiwan. Findings of the current study show that both US expatriates and their Taiwanese colleagues perceived legal issues to be important learning needs for US expatriates in Taiwan. This does not contradict Smith's findings. It may not be critical, but it is important for US expatriates to know legal issues in Taiwan.

Living in Taiwan

In the three-dimensional model of expatriate adjustment proposed by Black et al. (1992), besides work adjustment and interaction adjustment, the third dimension was environment adjustment. In this study, items in “living in Taiwan” were learning needs related to adjustment to the general non-work environment. They were found to be important learning needs for US expatriates in Taiwan.

Another noteworthy finding is that some Taiwanese participants stated that US expatriates were too arrogant. They seemed to believe that they were superior to Taiwanese and did not respect them or their culture. Even some US participants pointed out that US expatriates needed to be aware of cultural differences and learn to respect a

different culture. This indicates that there is a lack of cultural-general sensitivity, perhaps arising from a lack of training, among US expatriates.

Conclusions

This study found that both US expatriates and their Taiwanese colleagues believed that US expatriates need to acquire knowledge and skills in: (1) knowledge of the nation, (2) relationship building, (3) interpersonal communication, (4) business protocol, (5) legal issues, and (6) living in Taiwan. US expatriates believed that they had a need for more knowledge overall and in four of the areas than did their Taiwanese colleagues: knowledge of the nation, relationship building, business protocol, and legal issue. The study also found that US expatriates are in need of intercultural training; however, their companies have not paid enough attention to this area. Not only is cultural-specific training needed, but there is also a lack of cultural-general training among US expatriates in Taiwan.

Recommendations for HRD Practice and Research

The following suggestions are recommended for practitioners when developing and implementing intercultural training for US business expatriates going on assignment to Taiwan.

1. The training should include the general knowledge or facts about Taiwan. US expatriates need to know the history, geography, and politics of Taiwan. They need to know the different groups of people in Taiwan, as well as regional cultural differences of Taiwan. It is particularly important for US expatriates to know the relationship between Taiwan and mainland China, Taiwan and the United States, and the role of the United States in Taiwan-China relations.
2. The training should provide US expatriates with the knowledge and skills in building relationships with their Taiwan associates. US expatriates need to understand the importance of family and friends to the Taiwanese. They need to know the role of social relationships in business and learn how to build and maintain good relationships with their Taiwanese associates.
3. The training should include the knowledge and skills in interpersonal communication. US expatriates need to understand that there are different communication styles between cultures and know the communication patterns of Taiwanese people. It is very important for them to know how to deal with situations when communication problems occur between them and their Taiwanese associates.
4. The training should include Taiwan's business protocol. This includes the way business is usually conducted in Taiwan, how business meetings are usually conducted, and the negotiation strategies used by Taiwanese business people.
5. The training should include legal issues related to doing business in Taiwan. US expatriates need to know about Taiwan's legal system, the use of contracts in Taiwan, business ethical standards in Taiwan, and Taiwan's government regulations for business.
6. The training should provide US expatriates with information about living in Taiwan. This includes the life styles of people in Taiwan, the food and dining conditions, the commuting conditions, the housing conditions, and the schooling conditions in Taiwan. The training should provide information about the social support available to US expatriates in Taiwan and how to access it. The training also should inform US expatriates about how to cope with natural disasters, such as typhoons and earthquakes.
7. US business expatriates need intercultural training. Companies working across country borders should pay more attention to this training. In addition to cultural-specific training, companies should provide cultural-general training for their expatriates.

There is a need to study a broader group of US expatriates in Taiwan. This will add validity and expand generalizability of these findings. Future research should expand the questionnaire used to include the items that surfaced in this study in response to the open-ended questions. Second, a model for Taiwan culture training should be developed and its effectiveness should be evaluated. Future studies can focus on the development and refinement of the model. Another suggestion is that although there has been an abundance of literature on intercultural training, rarely has research been done on Taiwan cultural-specific training. More studies need to be done in this area. For instance, future research can investigate the intercultural training needs of US expatriates in different occupations. Future research also can examine the relationship between intercultural training and gender. Finally, there is a lack of theory developed in the literature on intercultural training. More research needs to be done to generate knowledge that can contribute to theory building in intercultural training, especially in Taiwan cultural-specific training.

References

- Black, J. S., & Mendenhall, M. (1990). Cross-cultural training effectiveness: A review and a theory framework for future research. *Academy of Management Review*, 15(1), 113-136.
- Black, J. S., Gegersen, H. B., & Mendenhall, M. E. (1992). *Global assignments: Successfully expatriating and repatriating international managers*. San Francisco, CA: Jossey-Bass Publishers.
- Blackman, C. (1997). *Negotiating China: Case studies and strategies*. St. Leonards, NSW, Australia: Allen & Unwin.
- Bond, M. H. (1991). *Beyond the Chinese face*. Cambridge, UK: Oxford University Press.
- Brislin, R. W., & Yoshida, T. (1994). *Intercultural communication training: An introduction*. Thousand Oaks, CA: Sage Publications.
- Deshpande, A. P., & Viswesvaran, C. (1992). Is cross-cultural training of expatriate managers effective: A meta analysis. *International Journal of Intercultural Relations*, 16, 295-310.
- Gannon, M. J. (2001). *Understanding global cultures: Metaphorical journeys through 23 nations*. Thousand Oaks, CA: Sage Publications.
- Goodman, N. R. (1994). Cross-cultural training for the global executive. In R. W. Brislin & T. Yoshida (Eds), *Improving intercultural interactions: Modules for cross-cultural training programs* (pp. 34-54). Thousand Oaks, CA: Sage Publications.
- Hall, E. T. (1959). *The silent language*. Garden City, NY: Doubleday.
- Hall, E., & Hall, M. (1990). *Understanding cultural differences*. Yarmouth, ME: Intercultural Press.
- Hofstede, G. (1993). Cultural dimensions in people management: The socialization perspective. In V. Pucik, N. M. Tichy, & C. K. Barnett (Eds.) *Globalizing management: Creating and leading the competitive organization* (pp. 139-158). New York, NY: John Wiley & Sons.
- Hofstede, G. (2001). *Culture's consequences: Comparing values, behaviors, institutions, and organizations across nations* (2nd ed.). Thousand Oaks, CA: Sage Publications.
- Kenna, P., & Lacy, S. (1994) *Business China: A practical guide to understanding Chinese business culture*. Chicago, IL: Passport Books, NTC Publishing Group.
- Lam, M. L. (2000). *Working with Chinese expatriates in business negotiations*. Westport, CT: Quorum Books.
- Latham, G. (1988). Human resource training and development. *Annual Review of Psychology*, 39, 545-582.
- McLean, G. N. (2001). Human resource development as a factor in the inevitable move to globalization. In O. A. Aliaga (Ed.), *Proceedings of Academy of Human Resource Development 2001 conference* (pp. 356-363). Baton Rouge, LA: Academy of Human Resource Development.
- Mendenhall, M (2001) New perspectives on expatriate adjustment and its relationship to global leadership development. In M. Mendenhall, T. Kühlmann, & G. Stahl (Eds.), *Developing global business leaders* (pp. 1-18). Westport, CT: Quorum Books.
- Morris, M. A., & Robie, C. (2001). A meta-analysis of the effects of cross-cultural training on expatriate performance and adjustment. *International Journal of Training and Development*, 5(2), 112-125.
- Oddou, G., & Mendenhall, M. (2000). Expatriate performance appraisal: Problems and solutions. In M. Mendenhall & G. Oddou (Eds.), *Readings and cases in international human resource management* (pp. 213-223). New York, NY: South-Western College Publishing.
- Scollon, R., & Scollon, S. W. (2001). *Intercultural communication: A discourse approach* (2nd ed.). Malden, MA: Blackwell Publishers.
- Smith, M. K. O. (1993). Expatriate assignment in Taiwan: A perceptive study of cross-cultural experience of U.S. executives and implications for training. *Dissertation Abstract International*, 54(8), 2925. (UMI No. 9400794)
- Trompenaars, F. (1998). *Riding the waves of culture: Understanding diversity in global business*. New York, NY: McGraw-Hill.
- Tung, R. L. (1988). *The new expatriates: Managing human resources abroad*. Cambridge, MA: Ballinger Publishing Company.
- Vogel, E. F. (1991). *The Four Little Dragons: the spread of industrialization in East Asia*. Cambridge, MA: Harvard University Press.
- Williams, H., & Bent, R. (1996). Developing expatriate managers for Southeast Asia. In D. Landis & R. Bhagat (Eds.), *Handbook of intercultural training* (2nd ed., pp. 338-399). Thousand Oaks, CA: Sage Publications.

Connecting Cross-Cultural Training Transfer with Performance

*Anne Wang Drewry
Wal-Mart Stores, Inc.*

*Vickie J. Stout
University of Tennessee*

*Brian Walker
Wal-Mart Stores, Inc.*

Based on existing frameworks and supported by empirical data, the paper suggests a positive relationship between individual factor, self-efficacy, the transfer of the cross-cultural training (CCT) process, and expatriate performance. The research builds upon and extends previous transfer of training literature, which only focused on domestic settings and concentrated on non-cultural contexts. The reported study linked training transfer theories with CCT studies and yielded invaluable insights that contribute to new knowledge in human resource development.

Keywords: Cross-cultural Training, Transfer of Training, Self-efficacy

As corporate education and training continues to grow into a multi-billion industry, U.S. businesses keep investing heavily in training their workforces. While the training industry appears to be blooming in the domestic markets, cross-cultural training (hereafter referred to as CCT) for expatriates also seems to be receiving more attention. A recent survey showed that overall expatriation rates are climbing, although some areas are seeing less international assignees (Windham International, 1999). A more recent national *Global Relocation Trends Survey* (2001) reported that even though there was a slowdown in the growth of expatriate population in the U.S. due to the impact of the terrorist attacks on September 11, 2001, the vast majority of the participants (96%) did not plan to change their global relocation programs. Morris and Robie (2001) also reported in the *Global Best in Class Study: Summary Report* (Cuthill, 1997) of 32 Fortune 500 companies identified as *Best of Class*, 94% of these multinational firms offered at least a language training program for international assignees, and 69% offered some additional form of cross-cultural training. An Industry Report of 2002 showed that U.S. firms project spending \$54.2 billion on training in 2002 (Galvin, 2002), yet other studies showed that only 15% of the companies measured training transfer, which was defined as the effective and continued application to trainee jobs of the knowledge and skills gained in training (Garavaglia, 1993). *How much of the training has been transferred and what was the return on the investment* have become the key questions companies ask.

According to Ford and Weissbein (1997), previous transfer literature was based upon various types of training. Training content or tasks included specific technical training such as card sorting (Crafts, 1935), hitting a target button with a rotor (Digman, 1959), human behavior training such as behavior modeling of assertiveness skills (Baldwin, 1987), coaching and handling employee complaints (Decker, 1982), and meeting, negotiation, team, and communication skills (Brinkerhoff & Montesino, 1995). None of the training transfer literature recorded training pertaining cross-cultural content. Yet, "transfer of training is particularly meaningful for the organization that invests heavily in an expatriate" (Morris & Robie, 2001). An urgent need persists for bridging the gap between transfer of training and cross-cultural training.

Despite the neediness for the cross-cultural training, the previous CCT literature primarily focused on the effectiveness of alternative instructional approaches (Gannon & Poon, 1997; Black & Mendenhall, 1990). Other cross-cultural research has targeted intercultural adjustment and personality variables such as self-efficacy and self-monitoring (Harrison, Chadwick & Scales, 1996). In their rather comprehensive assessment of the cross-cultural literature, Kealey and Protheroe (1996) itemized several criteria for reliable empirical research on the effectiveness of CCT, and pointed out the strengths and weaknesses of the major studies to date on the issue. Morris and Robie's study (2001) was one of the few which tied CCT with performance and adjustment, although their study still did not take the viewpoint of training transfer. They pointed out that even though progress had been made in bettering training design, there were no specific strategies for improving the performance of expatriate managers, and that transfer of training was particularly critical for organizations that invested heavily in expatriates.

Copyright © 2004 Anne Wang Drewry, Vickie Stout, & Brian Walker

Problem Statement

While the majority of previously conducted transfer of training studies concentrated on the transfer of training in domestic settings, it was evident that study of transfer in the area of cross-cultural training for U.S. expatriates has been ignored, in spite of the growing importance on this type of training. The absence of examining the transfer of training in the cross-cultural area has made it difficult for organizations to measure how much of the training has been transferred to real job performance, thus resulting in inadequate and inefficient use of CCT, and therefore affecting the success of multinational corporations' overseas operations.

This study focused on the perception of expatriates receiving cross-cultural training with an emphasis on self-efficacy. The researcher studied the influence of self-efficacy and other selected demographic variables on the transfer of cross-cultural training and in relation to performance.

Research Questions Hypotheses

The researcher's empirical investigation of the linkages between self-efficacy, CCT, and performance adds to the literature of two adjacent fields of study—transfer of training and cross-cultural training. Using the expatriate perceptions of the transfer of cross-cultural training as the foundation for the survey used in this study, the researcher attempted to answer the following questions:

1. *Does the expatriate's perceived level of self-efficacy increase the transfer of the cross-cultural training?*
2. *Do demographic characteristics such as expatriate tenure, level of education, gender, age, marital status, level of foreign language competency, and level of formal cross-cultural experience affect the transfer of the training in the cross-cultural context?*
3. *Does self-efficacy affect performance as perceived by the expatriate?*

The hypotheses formulated for this study were:

1. The expatriate's perceived level of self-efficacy affects the transfer of the cross-cultural training.
2. Demographic characteristics such as *expatriate tenure, level of education, gender, age, maritalstatus, level of foreign language competency, and level of formal cross-cultural experience* affect the transfer of the cross-cultural training.
3. Self-efficacy affects expatriate's perceived performance.

Theoretical Frameworks

Two distinctive kinds of theoretical frameworks were researched for this study; namely, transfer of training frameworks and CCT and self-efficacy frameworks.

Transfer of Training Frameworks

One of the most cited frameworks for examining training transfer was developed by Baldwin and Ford in 1988. By using that framework, the researchers critically reviewed the literature that was focused on training transfer to the date. According to Baldwin and Ford, examination of training transfer requires "clear understanding of what is meant by transfer as well as the identification of factors that affect transfer" (1988). The framework they used to describe the transfer process in terms of training input factors, training outcomes, and conditions of transfer, in which the transfer condition was consisted both (1) generalization of material learned in training to the job context and (2) maintenance of the learned material over a period of time on the job. Training outcomes were defined as the process of the original learning material that transpired during the training program and the retention of the same material after the training was completed. Training input factors consisted trainee characteristic, training design, and work environment predictors, in which trainee characteristic included ability or skill, motivation, and personality factors. Work environment characteristics contained climatic factors such as peer or supervisory support, and constraints or opportunities to perform learned behaviors on the job.

The third limitation cited by Baldwin and Ford (1988) was the lack of theoretical frameworks to guide research on trainee characteristics. The updated review (Ford & Weissbein, 1997) analyzed a few studies that developed lines of theoretical frameworks. Facteau et al. (1995) adapted a conceptual framework from the career development literature and the motivational perspective of expectancy theory to develop a theoretical model of pre-training factors that could influence the learning and training. These factors contained such characteristics as career exploration, career planning, motivation to learn, and the potential for obtaining intrinsic/extrinsic incentives. Another line of theoretical framework adapted social learning concepts such as self-efficacy to examine the impact of trainees confidence in his/her ability to transfer the acquired skills from training to job performance (Ford et al.,

1992; Gist et al., 1991; Warr & Bunce, 1995). These studies improved our understanding of the training transfer in terms of motivational factors that involved in the transfer process, though still not enough attention had paid to personality factors and prior experience, and only a small amount of studies examined the issues such as tenure, age, and managerial experience (Warr & Bunce, 1995); locus of control (Ford et al., 1992). Much more of the impact of individual difference factors needed to be investigated.

More recently, Cheng and Ho conducted a study on the transfer of training (2001). In this extensive review of transfer of training literature, they studied major empirical researches that were conducted in the past decade (1989-1998). These reviewed studies focused their investigations on the effects of individual, motivational and environmental factors on the process of transfer of training. In this study, Cheng and Ho developed a conceptual framework to better present the “popular” constructs that had been tested empirically. This framework derived from Kirkpatrick’s (1987) views on training evaluation together with Tannenbaum et al.’s (1991) proposal on training effectiveness. Combining these two models it contained four stages of the transfer process: pre-training motivation, learning, training performance and transfer outcomes, by which they claimed to represent what would happen in a transfer process. Nine most commonly examined independent factors were identified and included in this new combined model. These nine factors were categorized as “*individual* (locus of control, self-efficacy), *motivational* (career/job attitudes, organizational commitment, decision/reaction to training, posttraining interventions), and *environmental* (supports in organization, continuous learning culture, task constraints) variables (Cheng & Ho, 2001).

CCT and Self-efficacy Frameworks

As scholars (Mendenhall et al. in press) concluded in their extensive evaluation review of the effectiveness of cross-cultural training that while some studies indeed attempted to base their work on theory, overall, the literature in this area could be marked as atheoretical. Scholars (Church, 1982; David, 1976) had long advocated the potential of Social Learning Theory (SLT) to facilitate the understanding of the theoretical relationship between CCT training and CCT performance. Based on the central variable of “modeling process” in SLT, Black and Mendenhall (1989) developed models exploring (a) the relationships among the modeling process, rigor, and training methods; (b) the integration of CCT rigor and main contingency factors. More recently, Black and Mendenhall (1990) presented a theoretical framework, based on SLT, that linked cross-cultural training with variables such as individual differences (include Locus of Control, Efficacy Expectations, Outcome Expectations), motivation, incentive, attention, retention, reproduction, skill development (Self Dimension, Relational, Perceptual), adjustment and performance.

Since then, Black, Mendenhall, and Oddou (1991) included self-efficacy in another framework of international adjustment as one of the three individual factors effect expatriate overseas adjustment, but no empirical test was done on self-efficacy in that study. Later, Parker and McEvoy (1993) included self-efficacy in a model of intercultural adjustment. Still, no attention had been paid on it in that study. Only Harrison, Chadwick and Scales (1996) empirically tested self-efficacy among 99 American expatriates based in Europe. Expatriates with high general self-efficacy were found having significantly greater degrees of general, interaction, and work adjustment than those with low general self-efficacy. Prior to the present study, no empirical investigation had been done on the relationship between self-efficacy and performance as the result of the transfer of CCT.

Based on the literature of both transfer of training and CCT studies, the reported study intended to fill a void in the literature pertaining to CCT transfer by examining expatriates’ perceptions of the transfer effectiveness based on self-efficacy. What the researcher attempted within the model of cross-cultural training and social learning theory involved exploration of whether trainees’ perceived self-efficacy affects their performance, as a result of transfer of the cross-cultural training.

Research Design and Procedure

This study stemmed from both transfer of training and cross-cultural training literature. Although a number of theoretical frameworks have been used to describe the process of transfer of training (Facteau, Dobbins, Russell, Ladd, & Kudisch, 1995), the social learning theory (SLT) was most influential among the literature of both transfer of training (Noe, 1986; Gist & Mitchell, 1992) as well as in cross-cultural training literature (Black & Mendenhall, 1989, 1990; Harrison, Chadwick, & Scales, 1996) and brought the two fields to a common ground.

Based on SLT, Black and Mendenhall (1990) developed a model that included the CCT, motivational factors (e.g. locus of control, efficacy expectations, and outcome expectations), and incentives that affect expatriates’ adjustment and performance. They proposed that the higher the person’s self-efficacy, the more likely the person is to execute the learned behavior and to persist in executing the behavior. They also concluded that within the SLT framework, CCT would increase an individual’s efficacy and resulting expectations as well as greater proficiency, which in turn would facilitate more effective execution of job performance (Black & Mendenhall, 1990).

Developed from Black and Mendenhall's (1990) model, this study employed a quantitative design by which the researcher examined the effects of self-efficacy on the transfer of CCT in relation to performance on a triangular linkage (see Figure 1).

A newly developed instrument contained four parts: Part I: demographic characteristics of the subjects included (a) expatriate tenure, (b) level of education, (c) gender, (d) age, (e) marital status, (f) level of foreign language competency, (g) level of formal cross-cultural experience. Part II: the self-efficacy scale was partially adapted from Sherer, et al. (1982), which included only 12 items under General Self-efficacy measure and 4 items under Social Self-efficacy measure. Part III: CCT Transfer Survey included 8 items which assessed the first two levels of training transfer, knowledge and behavior transfer. Part IV: Expatriates' Self-rating included 17 items, which measured the subjects' perceptions of their performance level, partially adapted from Caligiuri (1997). As reported in the below table, the reliability analyses were satisfactory for all the scales except the Social Self-efficacy Subscale. Thus, this subscale was excluded from the instrument being used.

The Expatriates employed by Wal-Mart Stores, Inc. in fall 2002 were targeted as potential participants. Due to (a) the complexity of how the company categorizes its expatriates and (b) the constant movement of expatriates around the world, only 162 employees were identified as potential expatriate participants. While 162 expatriates from 14 countries/regions were originally thought to be the total number of potential participants, the researcher learned that 18 expatriates from China encountered Internet firewall blocks that prohibited them from sending their completed surveys via the Internet. Only one of these expatriates attempted to fax the manually completed survey back to Wal-Mart's headquarter office in the States, and then the data were entered into the survey from the campus of the University. Consequently, the total of potential participants was changed from 162 to 144. With the collection of surveys from 43 expatriates, a response rate of 29.9% was achieved.

To ensure the rigor of measurement of transfer of training, the original design of the present study included supervisors of expatriates rating their expatriates' performance, in addition to the expatriates rating themselves with regard to their performance after receiving CCT. Because potential participating companies' feedback involving expatriate's supervisors was problematic and cumbersome, the researcher faced attrition, thus the present study's design was altered to exclude surveying supervisors about expatriate performance. Although the researcher initially invited multiple large multinational companies, only one company, Wal-Mart Stores, Inc. sustained its agreement to participate in this study.

Results

The results of the research are as follows.

Relationship Between Self-efficacy and CCT Transfer

In answering research question 1, *Does the expatriate's perceived level of self-efficacy increase the transfer of the cross-cultural training?*, a Pearson Correlation test using the sum of the means of the two variables showed that the answer was YES, there was a significant correlation ($r=.368$, $p=.038$) between General Self-efficacy and overall CCT transfer. In addition, four items concerning transfer of *learned knowledge* and *learned behavior* were also found positively correlate with General Self-efficacy. Thus Hypothesis 1 was supported.

Figure 1. Anne Wang Drewry's Model of Self-efficacy's Effect on Cross-Cultural Training Transfer and Performance

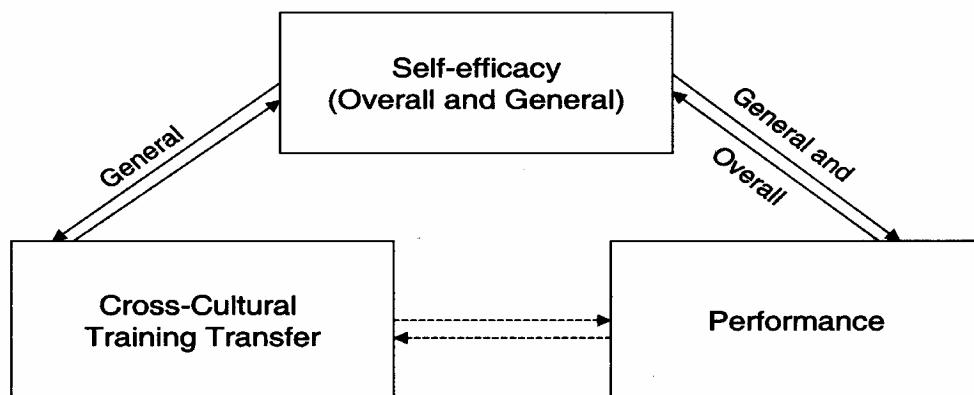


Table 1. Cronbach's Alpha Scales

Scales	SESMEAN	GENSE	SOCSE	CCTT	ESPP
Items	1 ~ 16	1 ~ 12	13 ~ 16	2 ~ 8	1 ~ 17
Alpha	.7399	.7240	.1932	.8820	.8661

Note: SESMEAN = Overall Self-efficacy scale
 SOCSE = Social Self-efficacy subscale
 ESPP = Expatriates' Self-rated Perceived Performance scale

Relationship Between Demographic Variables and CCT Transfer

An Univariate Analysis of Variance (UNIANOVA) test based on the 26 responses from those who received CCT previously showed no significant correlation between any of the demographic variables and CCT transfer of training. Therefore, the answer to research question 2, *Do demographic characteristics such as expatriate tenure, level of education, gender, age, marital status, level of foreign language competency, and level of formal cross-cultural experience affect the transfer of the training in the cross-cultural context?* was NO. As a result, Hypothesis 2 was refuted by the data.

Relationship Between Self-efficacy and Performance

The investigation pertaining Research Question 3, *Does self-efficacy affects expatriate's perceived performance?* contained a Pearson Correlations test between their overall means. Not only General Self-efficacy had a significant correlation ($r=.361$, $p=.022$) with Expatriate Performance, but also Overall Self-efficacy had a significant correlation ($r=.352$, $p=.026$) with Expatriate Performance. On an item-by-item break down, self-efficacy was found to have significant correlations with 6 out 17 performance items. Self-efficacy, both General and Overall, was found to affect expatriate effectiveness in (a) maintaining good working relationships with host nationals; (b) communicating and keeping others in work unit informed; (c) supervising and developing host national subordinates; (d) transforming information across strategic units; (e) communicating, developing, and maintaining good relationship among host national customers, suppliers, colleagues, government officials; and (f) communicating technical concepts among leaders, teammates, and direct reports across boarders. Therefore, the answer to Research Question 3 was YES. In turn, Hypothesis 3 was strongly supported.

Relationship Between CCT Transfer and Performance

Although not originally raised as a formal research question, the researcher was interested in learning the linkage between CCT transfer and performance, whether the transfer of CCT affects expatriate performance. No significant correlation was found between the CCT transfer and expatriate performance ($r=.272$, $p=.138$). To further understand whether there was any CCT item that correlated with performance, a Pearson's Correlation was run again between each items of CCT transfer and expatriate performance. Only *How much of the knowledge learned from the Cross-Cultural Training have you used to perform your expatriate job?* was found highly correlated with Overall Self-efficacy ($r=.440$, $p=.013$). In further ascertaining whether CCT, indeed, has an impact on expatriate job performance, a Univriate Analysis of Variance was conducted. The result showed that whether or not an expatriate received CCT was insignificant in affecting performance.

Conclusions and Recommendations

A series of conclusions were reached based on the results. However, due to the limitations of this study, especially the fact that the response rate is only 29.9% and only one participating company, the researchers would caution the readers with the conclusions and recommendations for generalization ability reasons. First, as hypothesized, General Self-efficacy DOES have an effect on the transfer of CCT, especially on the transfer of learned knowledge and behavior. Specifically, General Self-efficacy influences the expatriate's overall perception of how the knowledge learned from CCT helps job performance. General Self-efficacy also affects the expatriate's perceptions of how much of the learned knowledge is used in job performance. Moreover, General Self-efficacy affects the expatriate's overall perceptions of (a) how the behavior learned from CCT helps job performance, and (b) how confident he/she is in executing the learned behavior in job performance.

Second, demographic characteristics such as expatriate tenure, level of education, gender, age, marital status, level of foreign language competency, and level of formal cross-cultural experience DO NOT affect the transfer of the cross-cultural training. The confirmation of insignificant correlations between demographics and transfer of CCT, (especially the insignificance between tenure, age, and prior experience), however, fills a void previously pointed

out by Warr and Bunce (1995), who suggested a need existed for examination of the relationships between these variables and transfer of training.

Third, as expected, self-efficacy (both overall and general) DOES affect expatriate performance in various dimensions. In particular, self-efficacy influences expatriate effectiveness in (a) maintaining good working relationships with host nationals; (b) communicating and keeping others informed; (c) supervising, and developing host national subordinates; (d) transferring information across strategic units (e.g., from the host country to headquarters); (e) communicating, developing, and maintaining good relationships among host national customers, suppliers, colleagues, government officials, etc.; and (f) communicating technical concepts among leaders, teammates, and direct reports across boarders.

Fourth, marital status appears to influences expatriate level of perceived self-efficacy. Finally, although overall CCT transfer does not correlate with expatriate performance, expatriate perceptions of how much of the knowledge learned from CCT is used in job performance do strongly influence expatriate perceptions of his/her overall job performance. And whether or not CCT is received does not impact expatriate performance.

Supportive findings from Hypothesis 1 and Hypothesis 3 substantiated the linkage between self-efficacy and CCT transfer, as well as the linkage between self-efficacy and performance. The investigation of the these linkages within the proposed model supports Black and Mendenhall's (1990) theory that CCT increase a person's efficacy and results in higher expectations and greater proficiency, which, in turn, facilitates more effective execution of job performance. This fulfilled the need suggested by Morris and Robie (2001) to develop a theoretical model of the relationship between CCT and performance.

However, there wasn't enough evidence found to support the linkage between CCT transfer and performance on this model. Although expatriate perceptions of how much of the knowledge learned from CCT is used in job performance was found to correlate significantly with expatriate performance, CCT transfer, as an overall scale, was found insignificant in relation to performance. Thus, this linkage remained unproven and was, therefore, presented by only a dotted line.

The salient findings of the study led the researcher to make the following recommendations for future research in HRD. First, while the muddiness remains, it is the researcher's belief that had the study been conducted on a larger scale and had a higher response rate, potential more solid evidence would have emerged in the relationship between CCT transfer and performance. Thus, to increase the validity of the conclusion based on the same model, as well as other established transfer of training models and theories, future research needs to be done among more organizations with more diversified industrial backgrounds. Meanwhile, to increase rigor, similar research is still needed to include multiple ratings (e.g. supervisor and peer ratings including home and host country nationals) and to improve the certainty of the relationships between self-efficacy and expatriate job performance.

Second, in order to better evaluate the transfer of CCT, more rigorous empirical studies need to include longitudinal outcome measures such as how much attitude or behavior changes/transfers to job performance, in comparison to attitude and behavior before the training, at the end of training, and a few months after training.

Third, more research needs to be conducted in order to further explore the relationships between demographic variables and CCT transfer in relation to expatriate level of performance. These relationships are complex and require thorough research that builds upon previous performance studies and CCT studies as well as transfer studies in order to come up with more accurate questions to be included in the survey instruments. Finally, future research may further explore the CCT transfer by examining higher levels of CCT transfer.

Contributions to New Knowledge in HRD

As a result of what the researcher learned from this study, several implications emerged that contribute to new knowledge for HRD practitioners and global organizations. This research contributes in six distinctive ways.

First, it bridges the field of training transfer with the field of cross-cultural training by examining training transfer variable, self-efficacy, in cross-cultural context. Using real organizational personnel rather than college students as the subjects for the study better reflects what really happens in the training transfer process in real work places. By testing the training transfer in cross-cultural context, it extends the generalization of the results and findings from the existing training transfer research.

Second, it provides HRD professionals with a solidly-based framework for transfer of CCT and expatriate performance. The investigation of the linkages between CCT transfer and performance fulfilled the need suggested by Morris and Robie (2000) to develop a theoretical model of the relationship between CCT and performance.

Third, it provides empirically based insights about one of the individual characteristics, self-efficacy, in a cross-cultural context and connected it with performance. These insights unfold in two ways. Finding that higher self-efficacy increases the transfer of CCT confirms Bandura's (1977) SLT in the training transfer literature and

empirically supports Black and Mendenhall's (1990) model of CCT and SLT. Thus, it substantiates self-efficacy's role in assessing the transfer of CCT. Self-efficacy is identified as an important variable that strongly influences various dimensions of expatriate performance and transfer of CCT training, which coincides with previous studies concerning self-efficacy's association with job performance in domestic settings (Barling & Beattie, 1983; Gist, Stevens, & Bavetta, 1991; Gist, & Mitchell, 1992) and with expatriate's cross-cultural adjustment (Harrison, Chadwick, & Scales, 1996).

Fourth, the confirmation of insignificant correlations between demographics and transfer of CCT, especially the insignificance between tenure, age, and prior experience, fills a void previously pointed out by Warr and Bunce (1995).

Fifth, despite technological advances in data collection using digital surveys and the Internet, the present study documents that (a) challenges persist in obtaining multiple ratings which include supervisor feedback about transfer of CCT to expatriate performance, and (b) the presence and use of firewalls within companies pose a double-edged challenge—granted confidentiality of company information is protected but firewall protection also restricts access to and participation in meaningful, value-adding communication pertaining to human capital development.

Finally, this research alerts future researchers to the need for adapting to emerging and maturing technologies in implementing research design, e.g. using digital data collection tools in a web-based environment.

References

- Baldwin, T. T. (1987, August). *The effect of negative models on learning and transfer from behavior modeling: A test of stimulus variability*. Paper presented at the 47th annual meeting of the Academy of Management, New Orleans, LA.
- Baldwin, T. T., & Ford, J. K. (1988). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41(1), 63-105.
- Bandura, A. (1977). *Social learning theory*. Englewood Cliffs, NJ: Prentice-Hall.
- Barling, J., & Beattie, R. (1983). Self-efficacy beliefs and sales performance. *Journal of Organizational Behavior Management*, 5, 41-51.
- Black, J. S., & Mendenhall, M. (1989). A practical but theory-based framework for selecting cross-cultural training methods. *Human Resource Management*, 28(4), 511-539.
- Black, J. S., & Mendenhall, M. (1990). Cross-cultural training effectiveness: A review and a theoretical framework for future research. *Academy of Management Review*, 15, 113-36.
- Black, J. S., Mendenhall, M., & Oddou, G. (1991). Toward a comprehensive model of international adjustment: An integration of multiple theoretical perspectives. *Academy of Management Review*, 16(2), 291-317.
- Brinkerhoff, R. O., & Montesino, M. U. (1995). Partnership for training transfer: Lessons from a corporate study. *Human Resource Development Quarterly*, 6, 263-274.
- Caligiuri, Paula M. (1997). Assessing expatriate success: Beyond just "being there". In David M. Saunders & Zeynep Aycan (Eds.), *New approaches to employee management: Expatriate management: Theory and research* (Vol 4, pp. 117-140). Greenwich, CT: JAI Press Inc.
- Cheng, E. W. L., & Ho, D. C. K. (2001). Research note: A review of transfer of training studies in the past decade. *Personnel Review*, 30(1), 102-118.
- Church, A. T. (1982). Sojourn adjustment. *Psychological Bulletin*, 91, 540-571.
- Crafts, L. W. (1935). Transfer as related to number of common elements. *Journal of General Psychology*, 13, 147-158.
- Cuthill, S. (1997). *Global best in class study: Summary report* (Arthur Andersen and Bennett Associates, Andersen Worldwide, SC).
- David, K. H. (1976). The use of social learning in preventing intercultural adjustment problems. In P. Pedersen, W. J. Lonner, & J. Draguns (Eds.), *Counseling across cultures*. Honolulu, HI: University of Hawaii Press.
- Decker, P. J. (1982). The enhancement of behavior modeling training of supervisory skills by the inclusion of retention processes. *Personnel Psychology*, 32, 323-332.
- Digman, J. M. (1959). Growth of a motor skill as a function of distribution of practice. *Journal of Experimental Psychology*, 57, 310-316.
- Facteau, J. D., Dobbins, G. H., Russell, J. E. A., Ladd, R. T., & Kudisch, J. D. (1995). The influence of general perceptions of the training environment on pretraining motivation and perceived training transfer. *Journal of Management*, 21, 1-25.
- Ford, J. K., Quinones, M. A., Sego, D. J., & Sorra, J. S. (1992). Factors affecting the opportunity to perform trained tasks on the job. *Personnel Psychology*, 45, 511-527.

- Ford, J. K., & Weissbein, D. A. (1997). Transfer of training: An updated review and analysis. *Performance Improvement Quarterly, 10* (2), 22-41.
- Galvin, T. (2002). 2002 Industry report. *Training, 39*(10), 24-73.
- Gannon, M. J., & Poon, J. M. L. (1997). Effects of alternative instructional approaches on cross-cultural training outcomes. *International Journal of Intercultural Relations, 21*, 429-446.
- Garavaglia, P. L. (1993). How to ensure transfer of training. *Training and Development, 47*(1), 63-68.
- Gist, M. E., & Mitchell, T. R. (1992). Self-efficacy: A theoretical analysis of its determinants and malleability. *Academy of Management Review, 17*(2), 183-211.
- Gist, M. E., Stevens, C. K., & Bavetta, A. G. (1991). Effects of self-efficacy and post-training intervention on the acquisition and maintenance of complex interpersonal skill. *Personnel Psychology, 44*, 837-861.
- GMAC (2001). *Global Relocation Trends 2001 Survey Report*. Jointly prepared by the National Foreign Trade Council and SHRM Global Forum. Retrieved May 30, 2002, from <http://www.windhamint.com/WhitePapers/2001Survey.pdf>
- Harrison, J. K., Chadwick, M., & Scales, M. (1996). The relationship between cross-cultural adjustment and the personality variables of self-efficacy and self-monitoring. *International Journal of Intercultural Relation, 20*(2), 167-188.
- Kealey, D. J., & Protheroe, D. R. (1996). The effectiveness of cross-cultural training for expatriates: An assessment of the literature on the issue", *International Journal of Intercultural Relations, 20*, 141-65.
- Kirkpatrick, D. L. (1987). Evaluation of training. In R.L.Craig (Ed.), *Training and development handbook: A Guide to human resource development* (3rd ed., pp. 301-19). McGraw-Hill, New York.
- Mendenhall, M., Stahl, G., Ehnert, I., Oddou, G., Osland, J., & Kühlmann, T. (in press). Evaluation studies of cross-cultural training programs: A review of the literature from 1988-2000. *Handbook of Intercultural Training*. Thousand Oak, CA: Sage
- Morris, M. A., & Robie C. (2001). A meta-analysis of the effects of cross-cultural training on expatriate performance and adjustment. *International Journal of Training and Development, 5*(2), 112-125.
- Noe, R. A. (1986). Trainee's attributes and attitudes: Neglected in influences on training effectiveness. *Academy of Management Review, 11*(4), 736-749.
- Parker, B., & McEvoy, G. M. (1993). Initial examination of a model of intercultural adjustment. *International Journal of Intercultural Relations, 17*, 355-379.
- Tannenbaum, S. I., Mathieu, J. E., Salas, E., & Connell-Bowers, J. A. (1991). Meeting trainees' expectations: the influence of training fulfillment on the development of commitment, self-efficacy, and motivation. *Journal of Applied Psychology, 76*, 759-69.
- Warr, P., & Bunce, D. (1995). Trainee characteristics and the outcomes of upon learning. *Personnel Psychology, 41*, 347-375.
- Windham International (1999). *Global Relocation Trends 1999 SurveyReport*. Jointly prepared by the National Foreign Trade Council and the Institute for International Human Resources. <http://www.windhamint.com/WhitePapers/whtpprs.pdf>

The Emotional Reaction of HRD Professional to the Decision to Outsource HRD

*Nicola Simons
Jean Woodall
Stephen Gourlay
Kingston Business School*

This paper seeks to explore the emotional consequences of the decision to outsource HRD for those employed in the HRD function of a large UK public sector agency. It adopts a case study research design, and interview data drawn from a purposive sample of HRD professionals is discussed within the context of the growing literature on emotion in organisations, organisational change, and the costs and benefits of outsourcing.

Keywords: Emotional Labour, Outsourcing, Human Resource Development

Problem Statement

The preoccupation with achieving a strategic focus in HRD has led many organisations to question whether the delivery of HRD should be wholly managed from within the organisation. While a large part of training and development activity in large organisations has always been sub-contracted to external providers, explicit use of a systematic rationale for outsourcing a broader range of HRD, has only really been adopted by US and UK firms since the mid 1980s. Until very recently (Ravishankar, L, 1998; Woodall, Gourlay and Short, 2002; Woodall, Gourlay and Lad, 2003) there has been little systematic research into the reasons for and scope of HRD outsourcing among UK organisations. In any case, there has been a tendency to approach the strategic decision on whether or not to outsource in a very clinical manner, in terms of a 'rational' calculation of the benefits and costs to the organisation as a whole, and to potential internal customers for outsourced services.

While it is now commonplace to speak of the importance of taking into account the human impact of change interventions, (Carnall, 1999; Balogun and Hope-Hailey, 1999; Thornhill et al, 2000), the issue of the emotional impact of change tends to be considered from a *managerialist* perspective: how to manage 'resistance', 'personal transition', or the 'survivor-syndrome', and the rebuilding of 'commitment' or 'trust' etc. The feelings of those who are on the receiving end of change are seldom explored. Only Turnbull's (1999) study of the impact of emotional labour on middle managers undergoing a corporate culture change programme goes some way towards addressing this gap. She argues '..for organisations engaging in the various forms of normative culture programme, the suppression of emotion at middle management level has been shown, nevertheless, to have strong negative effects on communication channels, and in the long term, on motivation' (Turnbull, 1999: 141). She suggests that this is significant for the long term impact of corporate culture change programmes, as well as for the impact on individual emotional and mental well-being.

This paper focuses upon a specific type of organisational change: outsourcing, a process which involves an organisation in the explicit evaluation of whether to 'make or buy' a specific business function. While the subcontracting of various training and development activity has long been an option for the delivery of HRD, large scale outsourcing of HRD to a third party is a phenomenon of only recent origin (Ravashankar, 1998; Woodall, Gourlay and Short, 2002). While there is some evidence that the model of outsourcing adopted has retreated from a whole-scale hand-over to a third party, towards partnership and 'shared service' solutions (Reilly, 2000; Woodall et al, 2003), there has been little consideration of what this means for the strategic management of HRD, and particularly for the career paths, organisational commitment and, above all, personal feelings of those HRD professionals affected.

This paper seeks to explore the emotional consequences for those employed in HRD by means of a case study research design based upon a public sector agency that was contemplating the introduction of outsourcing for the delivery of its HRD service between 1999 and 2001. The paper places this case study within the context of the debate around outsourcing (especially the advantages and disadvantages of outsourcing), and the growing literature on emotion in organisations. The paper reports on the findings clustered around a number of themes: outsourcing as an enduring emotional issue; the gender dimensions of feeling and emotional expression; the emotional labour experienced by HRD professionals; and the emotional effects that the threat of outsourcing has had on both professional and personal lives.

Theoretical Framework

i) What is Outsourcing, and What are the Perceived Advantages and Disadvantages?

There is surprisingly, no single definition of outsourcing, and the range of views has been summarised in Woodall, Gourlay and Short (2002). Perceptions can vary from the long-term transfer of all activities and assets from the user to the vendor, to only partial transfer for a fixed time period. Various forms of outsourcing can be classified into a taxonomy either by placing them along a continuum or within the context of a 'stage' theory. The general assumption is that an outsourced service or function is selected because it is a vital but not core part of the business. In the 1980s and 1990s, outsourcing became a popular strategy for businesses recovering from recession and undergoing restructuring: it offered savings in time and money when the need to do 'more for less' became important to business growth and organisational survival. Starting first in IT, and then spreading to corporate real estate and supply management, outsourcing was slow to arrive in the HR function. However, the scope of HR outsourcing increased substantially during the 1990s (Arthur Andersen, 1996; Harkins et al, 1995; *HR Focus*, 1997), and received near universal positive welcome as beneficial in terms of both service delivery, and the enhancement of the strategic position of HR (Laabs, 1993; Switzer, 1997; Brenner, 1996). Nonetheless, reports of its growth have been exaggerated. In the UK, the most recent large scale survey on employment practice, the *Workplace Employment Relations Survey*, (cited in Reilly, 2000) found that in 1998 that only a quarter of organisations had contracted out work in the previous 5 years, and that this was to be found mainly in large organisations. However, surprisingly, 40 % was in non-commercial organisations.

The impetus for HR outsourcing has been found to arise mainly out of a review of the HR function, and a drive to demonstrate the contribution or value added of HR to the organisation. This often arises out of merger and acquisition initiatives (Woodall, Gourlay, Lad, 2003) leading to a variety of forms of organisational change such as downsizing, decentralisation, recentralisation in the commercial sector, and public policy initiatives such as Best Value and Compulsory Competitive Tendering in the Public Sector. A recent study of a number of organisational cases of outsourcing (*Incomes Data Services*, December 2000) found that HR outsourcing was strongly linked to the development and implementation of ICT solutions, often in conjunction with a specialist software supplier working closely with a management consultancy advocating the outsourcing option, or in relation to knowledge management initiatives. However, only Woodall, Gourlay and Short (2002), and Ravishankar (1998) have conducted a survey questionnaire of the reasons for outsourcing of HRD. The findings were somewhat surprising: gaining access to external expertise and the opportunity of improving quality were the main reasons offered for contemplating outsourcing HRD, but the potential for cost reductions was reported as a relatively low priority. However, the reported insignificance of costs may be a post hoc rationalisation, given that most respondents reported that outsourcing had actually increased the cost of delivering HRD.

Both the academic and professional literature on outsourcing of HR in general tends to stress the benefits. These were seen to include enhanced cost-efficiency (Atkinson, 1999; Laabs, 1993); enabling a focus upon core HR activities and therefore a more effective demonstration of value-added (Adams, 1991); facilitating devolution of HR responsibility to the line (Adams, 1991); improved quality (Atkinson, 1999); reduction of risk by hiring experts with credible experience, and an increase in competitive advantage through access to external 'state-of-the-art' expertise (Lever, 1997); and thereby access to 'objective' views (Switser, 1997). However, Woodall et al (2002) found that the main benefit reported was the improvement in HRD knowledge and quality following on from greater access to external expertise.

By contrast, fewer disadvantages have been reported, although earlier models of Transaction Cost Economics had predicted high costs where the outsourcing transaction was complex, or where the service very specific to the organisation, or where there was the threat of opportunism resulting from client 'capture' (Spee, 1993; Finlay and King, 1999). This was echoed in the survey findings of Woodall et al (2002), where the increase in units costs, the greater risk of organisation dependence upon contractors, and the decline in organisation specific content in externally delivered programmes were seen as the major disadvantages.

However, the discussion on outsourcing of HR in general, and HRD in particular has taken place with little reference to the human effect. Shaw and Fairhurst (1997) have remarked upon how the people, cultural and communication issues have been overlooked, and Lever (1997) also felt that outsourcing could generate problems of morale and uncertainty that would have an effect upon productivity. This is somewhat surprising, if it is considered that both HR professionals and scholars are more likely to be well-versed in theories of human psychology and organisational behaviour relating to change management, than the average general manager, management consultant or scholars in other fields of management. It thus seems strange that the issues of the human consequences and the potential human costs of outsourcing HR have not been factored into the calculation of costs

and benefits. However, to appreciate the significance of this requires some prior reflection on the theoretical debate and empirical evidence for the significance of emotion and emotional labour within organisations.

ii) Emotion and Emotional Labour within Organisations

There has been a slow growth in research evidence over the last twenty years showing that emotion is an inextricable part of organisational life. This started in the 1970s from a position that emphasised the potential dysfunctional nature of everyday emotion to the rational operation of 'effective' organisations. In a major review of the developing literature on emotions and organising (Fineman, 1999) has argued that the emotional challenge to rationality comes from three directions: that emotions will *interfere* with rationality, that emotional processes can *serve* rationality; and that emotions and cognitions are inextricably *intertwined*.

Much of the debate on emotion in organisations has tended to foster a belief that emotion is the antithesis of rationality, and thereby polarises what are related facets of everyday working life (Mumby and Putnam, 1992; Ashforth and Humphrey, 1995). To the contrary, emotions are essential components of everyday organisational behaviour (Domagalski, 1999). They have been shown to be key elements in motivation, job satisfaction, leadership and group dynamics (Ashforth and Humphrey, 1995; Fineman 1996) as well as learning (Vince, 2001; Turnbull, 2002), and creativity (Mumby and Putnam, 1992). So, strong motivation and psychological involvement in work are not possible without connection to the work or work context; and much leadership involves the practice of symbolic management by means of orchestrating, summarising, and elaborating symbols to evoke emotion. Similarly 'emotional contagion' (the tendency for individuals to affect the emotions of others) within group dynamics can be a powerful force with both constructive and destructive consequences (Domagalski, 1999). Vince (2001) has also argued that emotion and politics are key components in organisational learning. In more recent work Turnbull has attempted to integrate the treatment of emotion in organisations with socio-cultural theories of learning (2002).

However, as Fineman (1999) has shown, the concern with emotion in organisations can be traced as far back as the early 1930s studies on workplace relations. It was rather the reaction against this that led to the swing in the 1970s towards an exclusive emphasis upon the cognitive and rational explanations of human behaviour. This was followed in the 1980s by a 'rediscovery' of the importance of feeling and emotion in organisational life.

In particular, the concept of emotional labour (Hochschild, 1983) has provided a very influential framework for explaining how emotion becomes an essential component in the successful operation of customer focused organisations. Here the common expectations concerning the appropriate emotional stance of service providers give rise to 'feeling rules' (silent rules or expectations often built into the culture of an organisation) that specify the range, intensity, duration and object of private emotions that should be experienced. However, this regulation of the experience and expression of emotion is perceived as exploitative in that it encourages the expression of inauthentic emotion and dragging of emotion into the public realm. Hochschild showed that each individual reacts differently to emotional labour. The intensity of the effects of emotional labour depends upon the level of effort required to perform it, and the resulting 'emotional dissonance'. Some employees may identify with organisational expectations and perform the emotional labour required of them. A very few are able to adopt a healthy detachment from what is expected of them, and consequently, experience minimal stress. The remaining individuals find it impossible to conduct emotional labour: they become estranged from the expectations and fail to comply.

Turnbull (1999) has also argued that the increased salience of emotional labour can be traced to the trend since the early 1980s towards more 'normative' organisations demanding moral psychological contracts with their managers. She also sees middle managers as more susceptible to emotional manipulation and therefore more stress prone than the 'frontline' service workers studied by Hochschild. So, while organisations expect emotional labour in the interest of profit and productivity, there are limitations to the effectiveness of compliance with 'feeling rules' in the workplace. Thus it is equally possible that the requirement to perform emotional labour can be more damaging than it is productive to the achievement of organisational goals.

There is still ground for arguing that the concept of emotional labour ultimately polarises feeling and 'dispassion', and ignores many insights from the psychotherapeutic tradition that stress the ubiquity of emotion in all human transactions, and not just organisational life. However, the implications are that any evaluation of organisational change should consider the emotional dimension more fully from the experience of the individual human subjects involved, and not solely from the managerialist agenda.

Research Questions

The above discussion of the research literature on outsourcing and emotion has raised a number of important issues about why the human and emotional dimension is not considered by organisations contemplating outsourcing, and the nature of the emotional states that individuals experience. In consequence, this paper will address the following research questions:

1. What emotional issues surface, and for whom, and at what stage?
2. What is the emotional impact of outsourcing on the professional lives of HRD staff?
3. What is the emotional impact upon their private lives?
4. What are the implications of these emotional responses and reactions for the organisation in which they work, especially the management of the process of outsourcing HRD?

Research Design

It would appear that the influence and manifestation of emotion in organisational life is complex. Also, how it is manifested during a period of radical change, such as that involved in the decision to outsource HRD, requires an exploratory method of investigation that will take into account the complexity of situational factors. For this reason, a case study research design was selected.

At the time this research was conducted, the principal researcher was working on a short-term assignment with the HRD function within the organisation. The HRD manager had requested an investigation into the experiences of HRD staff within the organisation to determine how the proposed outsourcing had affected individual personal and professional lives, and particularly emotional well-being. The principal researcher thus had exceptionally good quality access to research participants, and also to other documentary evidence, such as reports, business plans, and electronic databases. This information was clarified and supplemented through informal discussions with staff members and with management. Furthermore, the interpretive nature of the research design, and the highly sensitive and confidential nature of the subject matter, meant that the data needed to be collected by individual interview. While thirty three HRD professionals were potentially affected by the proposal to outsource HRD, a purposive sample of 12 individuals was selected. These included 5 trainers who were currently employed, 1 new recruit, and 3 former trainers who had left the department or the organisation, and finally, 3 current HRD managers, including two who had been assigned the role of Efficiency Review Project Managers. The interview data were collected by means of semi-structured interviews and critical incident technique. They took place about 18 months after the proposal to outsource HRD.

However, because of the very sensitive nature of the subject matter, considerable care was taken to ensure that respondents could decline to participate without adverse personal consequences, and that the anonymity and confidentiality of respondent and non-respondent alike would be assured. Similar care was taken with the construction and pre-testing of the interview schedule to ensure that the questions were valid and were neither leading, nor misleading. The interviews were recorded and transcripts were prepared, and the dangers of bias were addressed by subsequently confirming responses with participants. The text was then subjected to detailed analysis using the 'framework' method (Ritchie and Spencer, 1994) to identify key themes. The co-researchers scrutinised this analysis to ensure the validity of the final outcome. The obvious limitations of a case study research design are acknowledged, and in particular, the difficulty of generalisation to other contexts. However, the findings do provide the opportunity for *theoretical* generalisation by means of analytic induction based on future similar case studies.

As acknowledged above, it is important to provide some detail of organisational context. At the time of the data collection, Public Service Agency (PSA) was a UK central government agency formed as a result of a merger between two government offices in the mid 1990s. With 3,000 employees it operated in five locations across the UK, and retained a hierarchical organisational structure, and work was organised into six business areas. By 1999 the hitherto separate HRD and Personnel functions had merged, reporting as one of the divisions into the Administration and Services Department of PSA. It was typical of many other agencies that emerged at that time in consequence of a political drive for efficiency in central government services. The need to increase the accuracy and quality of the service they provided, and in particular, to rebuild a strong reputation for the organisation, clearly required additional funds. However, as these were not forthcoming from Central Government, the PSA recognised the potential to make savings in some areas of the business. In 1998-9 PSA called in a major management consultancy to carry out an efficiency review that would outline recommendations leading to substantial savings of approximately £20 million over a period of 5 years. The recommendations were accepted and incorporated into the PSA business plan for 1999-2002. One recommendation focused upon methods of reducing costs through driving down overheads and seeking partnership opportunities. HRD and Personnel were a key target. The management consultancy identified a possible saving of £1.8 million per annum on HRD and Personnel. Specifically their recommendations involved merging the HRD and Personnel functions; using private providers for some training delivery; reducing the volume of in-house training, and thus the number of development staff; and in the light of this, consideration of whether to outsource this function completely. However, by the summer of 2000 when this

case study was undertaken, the only recommendation to have been implemented was the merger of the HRD and Personnel functions. An Efficiency Review Team was established to oversee the rest of the process.

Despite some very well-intentioned proposals from the Communications Manager for managing the outsourcing process in a human-centred way, it was clear that this did not take place. During 1999 and 2000 it became apparent that staff morale was badly affected by developments at PSA, and was evident in problems of employee motivation and staff turnover.

Main Findings

Outsourcing is an Enduring Emotional Issue

Despite the considerable lapse of time since the announcement of the proposal to outsource HRD, the interviews were deeply charged with emotion. Bitterness, anger, resentment, anxiety and fear were just some of the many emotions conveyed by respondents. It quickly became apparent, through their willingness to be interviewed and to express their innermost thoughts and feelings that many respondents felt compelled to talk about their experiences. Some emotional disclosure was expected. However, the researcher and the sponsoring organisation believed at the outset that individuals would have become detached from any previous feelings as the decision to outsource HRD made 18 months previously. This was certainly not the case. Despite no action to implement this policy, it was clear that the emotions originally aroused among the HRD professionals had persisted and were still keenly felt.

"It was very distressing watching people leave...it wasn't nice, because the team I'm part of, I have been part of from the outset..." (Trainer 7)

"People were leaving and there were new faces around the office...the working atmosphere was never the same..." (trainer 5)

Emotion is a Gender Issue

A gender dimension to emotion also emerged as a significant, but unexpected theme. It may well relate to the 'masculine' organisational culture (see below), and gender stereotyping (Shields, 2000) but the wider range of potential causal factors was not explored. Shields argues that although men and women experience the same emotions the difference lies in the intensity with which women feel them, and their ability to identify and express them. This was upheld in the findings relating to the female respondents. However, male respondents tended to be less open or comfortable when discussing their feelings. In general they tended to adopt a more 'rational' outlook on the outsourcing of HRD, displaying an appreciation of the positive as well as the negative aspects, and reporting on their decisions as to how to manage the situation in the best possible way. For most men, managing the personal emotional consequences of outsourcing was not something for which they looked to the organisation for support. By contrast, the female respondents appeared to take the problems they encountered as a result of the decision to outsource HRD much more personally, and were far more concerned with the negative aspects. They also wanted more support from the organisation than their male colleagues did. Men had a greater tendency to want to discuss the emotions and feelings of *others* rather than themselves. This is illustrated in the following quotations:

"I was more realistic. You may call it negative; you may call it realistic. I was more inclined to say this is extremely likely to happen. You might think realistically and look for other opportunities if you aren't happy with it..." (trainer 9: male)

"If the worst does come to the worst, and they do outsource my post, to be quite honest I'm not that bothered, as long as I can continue training..." (trainer 1: male)

"If I go around saying this is terrible, we won't have anyone left. I don't want to risk exposing too much about how I feel, so I am putting on a brave face, in order to give them all the reassurance they need to ease their concerns...." (trainer 2: female)

"No one wanted to hear what we had to say, how it was having an effect on me..." (trainer 5: female)

This can be interpreted in several ways. On the one hand, women's 'lack of control' of their emotions might be interpreted as rendering them unable to manage major organisational change. On the other hand it could mean that

the organisation failed to recognise the importance of emotion in the effective management of employee relations with female colleagues, and also may indeed be underestimating the hidden emotional needs of male employees.

The Emotional Labor Involved in 'Business as Usual'

The policy announcement that HRD was to be outsourced, followed by inaction created an atmosphere of uncertainty and insecurity among HRD professionals. This was exacerbated by a 'masculine' organisational culture stressing rational behaviour and 'business as usual'. Many individuals felt compelled to suppress their emotions and to continue to perform as before.

"I personally feel that they are expecting us to do everything as we normally would, even under the increased pressure, but they don't seem to be giving us any motivation...we are giving 110% and they are only giving 25%.." (trainer 1)

"Going into a meeting, hearing awful news, and just carrying on...its very draining and you really can't cope..." (trainer 4)

"You feel as though you are being taken over. They want you to behave the way they behave rather than the way you are." (trainer 5)

The dissonance engendered two main effects. The first was increased personal stress resulting in a negative impact upon performance, and ultimately the ability to continue with 'business as usual'. All respondents reported experiencing some form of stress, but curiously the most stress was experienced in the office environment where HRD professionals interacted with each other and other members of management, rather than in the training room with programme participants. Indeed, conducting training sessions was perceived as a source of respite where HRD professionals could behave authentically. In the office environment, however, they were carrying out emotional labour either by working harder to prove the added value of HRD to the organisation, or by experiencing the stress involved in suppressing true feelings. The second outcome of the emotional labour performed was a breakdown in the employment relationship as HRD professionals 'switched off' and became alienated from the organisation. Typically respondents reported reduced commitment and productivity, and greater 'presenteeism'. Thus the evidence indicated that there was a limit to the emotional labour that the organisation could expect from its employees. The findings have shown that in the long run, emotional labour did not benefit either party.

Outsourcing Has Implications for HRD Professional Life

The consequences of performing emotional labour had a number of implications for the professional life and careers of these HRD specialists. In extreme cases some individuals made massive professional compromises and changed career direction to escape the pressure. Other individuals experienced 'burnout' or offered resistance to what was happening. This had implications for their careers as they no longer had the same drive and enthusiasm, and also felt they were therefore less attractive as employees.

"My enthusiasm went, which is really important, as I need to care about what I am producing, but I didn't feel as thought the effort was worthwhile..." (trainer 5)

"I am afraid my motivation would simply be that I've got to do it, because you pay my wage. But I have no enthusiasm for the job whatsoever." (trainer 1)

Outsourcing Has Effects Upon the Private Lives of HRD Professionals

Respondents reported two main effects. The first concerned personal health and well-being. The most frequently cited problems included depression (mentioned by 4 out of 9 trainers) and insomnia (mentioned by 5 out of 9), although more frequent bouts of physical sickness, and increased use of alcohol were also mentioned.

"I was feeling intimidated and unhappy about the process to the extent that I was on anti-depressants" (trainer 2)

"I was finding myself feeling sick, and I wasn't eating properly. I \was certainly drinking more than I should have been. Eventually, I cut down on the alcohol but started smoking heavily...." (trainer 1)

Secondly, self-esteem was greatly affected where individuals felt they and their role were no longer valued. A general feeling of life being 'out of control' also affected self-confidence.

"I did apply for other jobs but I wasn't successful, which added to the feeling of 'Oh dear, I am stuck in this situation, and it's not going to be easy to get out'...." (trainer 7)

Conclusions and Recommendations

This case study has provided the opportunity to reflect upon the adequacy of a rationale for outsourcing that disregards the emotional and human consequences for employees. The literature on outsourcing is silent on these aspects, and indeed, the emotional and human consequences of the decision to outsource HRD at PSA were never seriously considered at the outset (despite the warnings from the PSA Communications Manager). Yet it was quite clear that emotional issues were very important to the respondents and were the trigger for potential major costs to be borne by the HRD function. These included absenteeism, increased labour turnover, loss of intellectual capital and experience, and reduced productivity amongst those 'left behind', with consequences for overall performance. No organisation can afford to ignore the cost of the potential emotional burnout, stress, high labour turnover, and waning performance and commitment associated with outsourcing if it is to maintain a well-run business, with good customer service and a high reputation. But if this case study is typical, then it is clear that organisations do precisely this!

Furthermore, this case study provides another example illustrating the saliency of the emotional aspects of change management. While most studies of emotional labour have been researched only in the context of day to day job activities, only Turnbull (1999) has shown how it is manifested in the course of large scale organisational change. The emotional labour required of individuals when their personal and professional lives have been severely affected as a result of a major organisational change, such as a culture change or outsourcing, is of a different magnitude to the daily emotional labour required such as smiling at a difficult customer. This was recognised by Turnbull (1999) who saw middle managers had little choice but to accept the 'ever changing rhetorics' of an organisation undergoing a culture change programme. The same effects that she observed in relation to culture change can also be seen in this study of HRD outsourcing. Thus major change is likely to engender the demand for high amounts of emotional labour from key managers and professionals.

Finally, while most discussion of emotion in the context of change management tends to see it as something to be contained and managed (Carnall, 1999), maybe now is the time to reframe emotion as something which is an enabler of change? This could lead to a review of those models of rational organisation, which underpin the case for outsourcing. In addition to the suggestion that negative emotions and their implications can be harmful to business, there is growing evidence that creativity and innovation are only possible when people are psychologically healthy. Thus it could therefore be suggested that emotions are vital to the smooth management of such a process. Positive emotion may determine whether or not an individual will co-operate with the organisation and accept change. Thus, while the extent to which management can control emotions may be very limited, it is important to distinguish between *manipulation* and *management*. The latter implies that emotions need to be understood, appreciated, and empathised with in order to gain employee commitment.

Contribution to New Knowledge in HRD

This paper draws attention to major changes taking place in the way in which HRD is managed and delivered in large organisations. It also draws attention to the hidden human costs when a decision to outsource HRD is taken, both for the professional and personal lives of the individual HRD specialists, and for the organisation.

References

- Adams, K. (1991). Externalisation vs. specialisation: What is happening to personnel? *Human Resource Management Journal*, 1(4), 40-54.
- Arthur Andersen (1996). Outsourcing human resource functions. *Supervision*, 57(7), 3.
- Atkinson, P. (1999). Outsourcing human resources. *Management Services*, November, 20-22.
- Ashforth, B.E., & Humphrey, R.H. (1995). Emotion in the workplace: a reappraisal. *Human Relations*, 48(2), 97.
- Balogun, J., & Hope-Hailey, V. (1999). *Exploring strategic change*. London@ Prentice Hall.
- Carnall, C. (1999). *Managing change in organizations*. London: Prentice Hall.
- Chell, E. (1998) Critical incident technique. In Symon, G., & Cassell, C. (1998). *Qualitative methods and analysis in organizational research*. London: Sage.
- Domagalski, T. (1999). Emotion in organizations: main currents. *Human Relations*, 52(6), 833-852.

- Fineman, S. (1999). Emotion and organizing. In S.R. Clegg & C. Hardy (Eds.) *Studying organization: Theory and method*. London: Sage.
- Finlay, P.N., & King, R.M. (1999). IT resourcing: a research framework, *International Journal of Technology Management*, 17(1-2), 109-128.
- Harkins, P. Brown, S., & Sullivan, R. (1995). Shining new light on a growing trend, *HR Magazine*, 40(12), 2.
- Hochschild, A. (1983) *The managed heart*. California: University of California Press.
- Human Resource Focus*. (1997). Vol. 74, no. 3: 2.
- Incomes Data Services (2000). Outsourcing HR administration, *IDS Study No. 700*.
- Laabs, J. (1993). Why HR is turning to outsourcing. *Personnel Journal*, 72(9), 92-101.
- Lever, S. (1997). An analysis of managerial motivations behind outsourcing practices in human resources. *Human Resource Planning*, 20(2), 37-47.
- Mumby, D.K., & Putnam, L.L. (1992). Organisations, emotion, and the myth of rationality. In S. Fineman (Ed.) *Emotion in organizations*, London: Sage.
- Ravishankar, L. (1998). Outsourcing training: implications for internal human resource function. In R. Torraco (Ed.) *Proceedings of the Annual Conference of the academy of HRD*, Baton Rouge, LA: AHRD.
- Reilly, P. (2000). HR shared services and the realignment of HR, *Institute of Employment Studies Report No. 368*, Brighton.
- Ritchie, J. & Spencer, L. (1994). Qualitative data analysis for applied policy research. In Bryman, A. & Burgess, R.G. *Analysing qualitative data*, London: Routledge.
- Shaw S., & Fairhurst, D. (1997). Outsourcing the HR function – personal threat or valuable opportunity? *Strategic Change*, 6, 459-468.
- Shields, S.A. (2000). Thinking about gender, thinking about theory: gender and emotional experience. In Fischer, A.H. (ed.) *Gender and emotion: social psychological perspectives*, Cambridge University Press.
- Spee, J. (1993). *Restructuring corporate staff services through outsourcing*, PhD Dissertation, the Claremont Graduate School, California.
- Switser, J. (1997). Trends in human resource outsourcing, *Management Accounting*, 79, November: 22-4.
- Thornhill, A., Lewis, P., Millmore, M., & Saunders, M. (2000). *Managing change: A human resource strategy approach*, London: Financial Times/Prentice Hall.
- Turnbull, S. (1999). Emotional labour in corporate change programmes, *Human Resource Development International*, 2(2), 125-146.
- Turnbull, S. (2002). Unveiling the "unseen" emotion in cultural approaches to organisational learning, paper presented to the *Third International Conference Connecting Learning and Critique*, Cambridge.
- Vince, R. (2001). Power and emotion in organizational learning, *Human Relations*, 54(10), 1325-1351.
- Woodall, J., Gourlay, S., & Short, D. (2002). Trends in outsourcing HRD in the UK: the implications for strategic HRD, *International Journal of Human Resource Development and Management*.
- Woodall, J., Gourlay, S., & Lad, S. (2003). Human resource outsourcing in the UK: the implications for the strategic management of human resources in global organisations, paper presented at the *Second Asian Conference of the Academy of Human Resource Development*, Bangkok.

Testing a Model of Employee Selection: A Contextual Approach

*Kiyoe Harada
HRD Research*

*Jeffry S. Bowman
Bowling Green State University*

The study examined selection practices applied to education. The selected contextual factors were tested to see whether school administrators took consideration of person-organization fit (POF) factors when they select applicants during the selection process. The results showed that POF factors affected selection when school size was under consideration and person-job fit factors affected selection when socio-economic status was under consideration.

Keywords: Selection Model, Contextual Approach, Model Testing

Selection has three critical functions for the organization; (1) supplying human resources, based on human resource planning, (2) allocating human resources to specific divisions, departments, and/or assignments, and (3) identifying and selecting high performers for future business leaders (Okabayashi, 2003). In other words, it pertains to supply, allocation, and utilization of human resources for the purpose of attaining organizational goals and objectives. Therefore, having productive human resources is imperative to any organization for overall performance. Consequently, selection focuses on how accurately one can select a potential high performer. One of the challenges that an organization faces today is a rapidly changing work environment, due to technological advancement, pressures under knowledge economy, and global competition. Therefore, keeping up with a changing work context and identifying desirable high potential performers in the organization has been of great interest (Kehoe, 2000).

Problem Statement

In selection, organizations are interested in high potential performers, who are expected to make significant contributions. In contrast, job applicants focus on working for excellent organizations where they can stay long and have opportunities to grow. Both parties have to come to mutual decisions; hiring and entering, to attain different goals. One of the selection issues relates to criteria and instruments: what to look for and measure in order to identify a potential high performer. The organizations focus heavily on job-related criteria that help separate those who meet job requirements and those who do not. This is known as person-job fit (PJF). However, as the work environment changes, work becomes more complex and demanding (Kehoe, 2000). For instance, information technology and knowledge-based work require employees to have highly specialized knowledge, and to increase their learning ability as well as adaptability to changes. In addition, flexibility and agility are constantly required of an organization and its employees (Pearlman & Barney, 2000). These work context pressures could influence selection criteria. Consequently, focusing heavily only on the job-related criteria may not be sufficient.

A study shows that as the selection process advances, human resource managers become more interested in how well job applicants fit to the existing work context, which is influenced by changes from inside and outside of the organizations (Rynes & Gerhart, 1990). Job applicants are also interested in how well they can fit to the existing organizational context. This is known as person-organization fit (POF), concerning matching between organizational and individual attributes. Those attributes are not directly related to selection criteria; however, these factors might influence any decisions during the selection process (Harada & Bowman, 2003). More importantly, POF factors tend to take on a significant role before and after employment. For instance, before employment, job applicants use attributes to make their selection decision (Bowen, Ledford, & Richman, 2000; Chatman, 1989; Lyon, 2001). However, if a mutual selection decision by both an organization and a job applicant is not made, due to a lack of congruence in POF factors, the organization might lose high potentials. After employment, when employees find inconsistency in attributes between the employees and the organization, issues of work motivation, retention and job satisfaction could become major concerns for the organization. These issues influence individual performance in a short run; however, they will undermine organizational performance in a long run. Therefore, it is very critical to make the case where both an organization and a job applicant make a mutual selection decision. In this respect, work

Copyright © 2004 Kiyoe Harada & Jeffry S. Bowman

context, which might relate to PJF factors, should be given more attention in order to identify the most promising high potential performers. However, the work context that is influenced by changes inside and outside organizations may not be given enough attention, in terms of how the work context and POF factors might influence selection. Therefore, it is important to investigate the work context and POF factors to select high potential performers.

Purpose and Research Questions

The purpose of this study was to test the proposed model of employee selection to see whether POF factors are taken into consideration in the selection process by focusing on contextual factors. Specifically, the study focused on selection criteria for K-12 educators where PJF factors are applied rigidly by school administrators who are responsible for the selection of teachers. The selected contextual factors include:(a) size of school, (b) characteristics of the district, and (c) socioeconomic status. These factors were included in research questions as indicated below.

Research question #1. Do school administrators take consideration of POF factors in teacher selection?

Research question #2. Do school administrators take consideration of POF factors and PJF factors differently when school size, characteristics of districts, and socioeconomic status are under consideration?

Research question #3. Under what levels of the contextual factors do school administrators take consideration of POF factors and PJF factors differently in selection?

Research Framework

The concept of “fit” has been used in selection research. It is concerned with the fit between job requirements and organizational attributes, as they apply to job applicants. Selection studies using the fit concept have indicated the improvement of employee attitudes and job performance (Kristof-Brown, 2000). Person-job fit (Pjf) refers to matching an applicant's knowledge, skills, and abilities (KSAs) and the requirements of a specific job. Person-organization fit (POF) refers to matching an applicant's personal attributes and broader organizational attributes, which evaluate how well a person fits with existing organizational members and the overall culture of the organization (Kristof-Brown, 2000; Rynes & Gerhart, 1990). The assumption is that factors in PJF and POF play important roles in identifying and selecting good employees. It implies that both types of “fit” help employees maintain high performance and produce quality work. Therefore, the PJF and POF factors are very important to take into consideration during the selection process. However, the recent nature of work has been changing and it requires employees to perform more knowledge work and a new type of work collaboration, such as within and outside networking and project teams (Kopp, 2003; Morishima, 2002). As a result, human resource managers look for more than matching job requirements and applicants (Rynes & Gerhart, 1990). Business organizations are often first interested in PJF to see if job applicants can meet the job requirements. If the applicants meet the job requirements, the managers then become interested in how well the job applicants fit into the culture of the company and the existing members with whom they will be working. In other words, while managers use the job-related criteria, they also use non-job-related factors to evaluate potential employees.

A model of employee selection was proposed (Figure 1), derived from the fit concepts, which have been applied to a series of selection studies (Bowman & Harada, 2003). The assumption of the proposed employee selection model is based on mutual selection decisions made by both an organization and a job applicant. It is a premise that mutual decisions are important to bring high potential performers into an organization. When mutual selection decisions are made, the organization obtains high potential performers, while the high potential employees will produce quality work through increased work motivation, commitment, and job satisfaction. In order to reach mutual selection decisions, the organization takes consideration of both job-related factors and non-job-related factors to see how PJF and POF can be attained. Therefore, factors relating to POF should be given more consideration in the selection process, to obtain promising high potential performers.

Fit concepts and School Administration

Studies in employee selection focus on business organizations rather than non business-related organizations. However, a school can be seen as one form of an organization where their product is educational services. Like business organizations, they have multiple customers, such as students, parents, business organizations and industries. In this regard, in order to provide high quality services, schools rely on teachers who are responsible for educating students. Therefore, selecting high potential performance educators is very critical for schools to provide quality education. However, K-12 education has faced tremendous pressures from parents and society due to lower student educational attainment and a lack of reliability in their education (Gross, 1999; National Center for Education Statistics, 1996; National Center for Excellence in Education, 1983). At the same time, the environment surrounding K-12 school administration has become increasingly demanding. For instance, budgets do not increase as much as needed. Consequently, school administrations face a lack of educational resources available for educators, and insufficient support from the community. These problems, associated with the context of school

administration, create other problems, such as difficulty in attracting and retaining potential high performance educators, lower job satisfaction and commitment, and increased job stress (Abel & Sewell, 1999; Hirsch, 1999). Due, in part, to these reasons, potential high performance teachers tend to leave (Corwin, 2001) and fewer people want to become educators. In this regard, it is very important to focus on the administrative role in the selection system, where job-related criteria have been rigidly applied in education.

Figure 1. Proposed Model of Employee Selection & Focus of Selection Factors

Job-related Factors	Knowledge, Skills, & Abilities Experiences, Qualifications	Values & Beliefs Vision, Goals, strategic planning Opportunity for improvement Characteristics of Workplace Policy, Leadership
	Factors in PJF & POF	Factors in PJF & POF
Non Job-related Factors	Age, Race, Gender, Religion, & Disability	Personal Values & Beliefs Needs and Expectations Individual Characteristics Needs and expectations
Factors in PJF		Factors in PJF

In education, while job-related criteria have been rigidly applied in teacher selection, a continuing problem has been associated with personal factors entering decision-making. Personal factors include sharing similarities, such as educational backgrounds, personal values and belief in education, interests in life, job experiences and qualifications. At the early stage in the selection process, school administrators focus heavily on PJF factors to separate those applicants who meet job requirements and those who don't. However, as the selection process advances, administrators are interested in how well their applicants can merge to an exiting school environment. At that time, if school administrators perceive similarities in job applicants, they feel close to the applicants. Such similarity might interfere with selection decisions (Baron & Byrne, 1984; Young & McMurry, 1986). School administrators also deal with other factors, which are not immediately related to a teaching job, such as schools' goals and objectives, beliefs and norms of the community and administrators' educational policies. These factors can be thought of as non-job-related and they relate to person-organization fit (POF). In addition, there are other factors, contextual factors that relate to where education is taking place. The contextual factors can be overall characteristics of schools or districts where educational communities are located. These contextual factors relate to the educational needs of students and to the overall characteristics of educational communities and the needs for educational resources. Therefore, the contextual factors may be taken into consideration in the selection process.

Selected Contextual Factors and Hypotheses Development

POF factors include not only personal values and individual personality traits, but also a job applicant's needs and expectations for a job, strategic needs, norms, and characteristics of workplaces (Adkins, Ravlin, & Meglino, 1996; Adkins, Russell & Werbel, 1994; Bowman & Harada, 2003). This is based on the notion of changing workplace context and issues in management of human resources (e.g., retention, job satisfaction and commitment). The contexts of a teaching job vary, depending on the overall characteristics of the workplaces. This paper focuses on selected contextual factors; (a) school size, (b) characteristics of districts, and (c) socioeconomic status. These factors are used to: (1) discuss how contextual factors are related to PJF and POF in selection and (b) test each contextual factor by setting up each hypothesis.

Size of Schools

The size of an organization affects various aspects of the organization, such as resource availability, ways of getting work done, communication, values, policies and strategic plans. In other words, these factors could affect business operation and practices, which in turn are also related to school operation and practices. In this regard, it is assumed that school administrators might take consideration of factors associated with their school size during the

selection process. The size of a school in this study is defined by the number of students in the school. It is categorized into three levels; large, medium, and small. The size of school could relate to working conditions. A study by Lee, Alfeld-Liro and Smerdon (2000) showed that face-to-face communication is required more often in small schools than in large schools. Consequently, working conditions in a small school require employees to work closely with each other and to be merged into the existing teaching community. Therefore, commitment to interpersonal relationship building may be expected more in small schools than as is required in large schools. Furthermore, school administrators with small size schools might effect to build a desirable school atmosphere, based on their educational values and beliefs and use less rigorous policies and rules. On the other hand, administrators in large size schools deal with a large numbers of teachers. Consequently, building a desirable school atmosphere and keeping it coherent would be challenging for school administrators. School size also relates to availability of administrative resources. Educational resources in small schools may be limited due, in part, to a limited amount of monetary resources. If this is the case, educators are sometimes asked to perform additional work with less administrative assistance. In this regard, school administrators should be aware of the educational needs, required of newcomers. As a result, the size of schools could affect the condition of the workplace for educators. If the working conditions are under taken consideration when administrators select high potential educators, they may need to consider the school size factor in the selection process. Based on this notion, a hypothesis is stated below:

Hypothesis 1. School administrators take consideration of POF factors and PJF factors differently, depending on the different sizes of schools.

Characteristics of District

Characteristics of school districts have not been defined in the selection literature. It depends on how characteristics can be operationalized in a particular study. For instance, socioeconomic status, size, and locations of schools have been used as definitions (Abel & Sewell, 1999; Alspaugh, 1998; Sommers, 1997). In this study, characteristics of school districts are defined as (1) location, categorized into three areas; (a) urban, (b) rural, and (c) suburban and (2) socioeconomic status; (a) high, (b) medium, and (c) low.

Locations. According to Alspaugh (1998) and Esposito (1999), the locations can have an impact on educational needs. For instance, a study found that rural areas tended to be lower in the number of dropouts than urban areas (Alspaugh, 1998). School districts in urban areas tend to deal more frequently with behavioral problems, such as drugs, violence, and teenage gangs (Alspaugh, 1998; Esposito, 1999). These problems require teachers to have disciplinary skills and interpersonal communication skills when they deal with problematic students. As a result, there would be additional educational needs and efforts that are required of teachers. In this regard, teachers have to give a great amount of attention to these students with family backgrounds, to respond to their educational needs. The teachers in an urban area often face challenges in classroom management and lower learning motivation. All of these issues describe demanding working conditions. If this is the case, school administrators want to have teachers who are willing to put in additional efforts and to have higher work motivation. At the same time, school administrators may need to set educational goals and plans aiming from the bottom up to a certain level of educational attainment. In this regard, they might focus on contextual factors of the school and the educational needs. To discipline students, administrators might reinforce the use of rules and principles. If this is the case, school administrators are interested in how well job applicants would agree with these policies and educational plans. Characteristics of suburban areas tend to be relatively moderate, in terms of students' behavioral problems and school dropouts. Parents would be interested in education and its quality; therefore, they tend to be willing to take part in school activities. If this is the case, school administrators would be interested in factors relating to PJF throughout selection. Based on such notions, a hypothesis is stated below:

Hypothesis 2. School administrators take consideration of POF factors and PJF factors differently, depending on locations of school districts.

Socioeconomic status. Socioeconomic status (SES) is one of the significant factors differentiating characteristics of school districts. It relates to the overall level of lifestyle and financial resources of communities. SES in this study is defined at three levels: high, medium, and low. The level of SES relative to education often relates to educational achievement (Alspaugh, 1998; Esposito, 1999; Griffith, 1998). For instance, schools in high SES areas focus more on the quality of education given to their children. Those parents often have higher educational attainment. They have high expectations of their children and support educational attainment. Consequently, parents expect schools to provide quality in various aspects of education. Therefore, school administrators in wealthy districts would be interested in improving the level of educational achievement. In this regard, establishing schools' missions and values that call for higher educational attainment would be responding to parents and the community expectations. As such, they would focus more on how well applicants meet job requirements and the degree of congruence with applicants' beliefs in high educational attainment. At the same time, teachers are expected to have a certain level of subject matter expertise. As a result, PJF factors, including experience, qualifications, training, and specialty in

teaching are stressed in these situations (USA Today, 2002). Characteristics of medium SES districts could be similar to the high SES areas, in terms of parental interest in education and student achievement. In this regard, school administrators tend to focus on PJF factors to see how well an applicant fits the job requirements. In contrast, schools in the low SES areas often have lower student achievement. Parents tend to be interested in their own daily lives rather than their children's educational attainment (Griffith, 1998). At the same time, these working class parents may not have enough time to provide parental support. In this regard, school administrators would like to have those teachers who believe in and have values in the potential ability of students and understand the importance of education. Another issue relative to schools in the low SES areas is limited financial resources. Those schools most likely may not have adequate educational resources (e.g., teaching materials, facilities, equipment, etc.). Like schools in the urban area, low SES school districts also tend to have community problems, such as violence, teenage gangs, and drugs (Alspaugh, 1998; Esposito, 1999). These problems require teachers to respond supportively and to provide additional help for their students. Responding to such educational needs, they may focus on goals and objectives as a way of keeping school operation as cooperative and coherent, as it can be by using rules and policies. In this regard, selection criteria for teachers might apply differently. The following hypothesis is stated below:

Hypothesis 3. School administrators take consideration of POF factors and PJF factors differently, depending on the socioeconomic status of the school districts.

Methodology

The research design was casual-comparative with three independent variables; (a) school size, (b) location of district, and (c) socioeconomic status. Each variable has three levels; large, medium, and small and/or high medium and low. The two dependent variables were summated scores on PJF and POF.

Sample

The population for this study was all public school administrators, who were superintendents and principals, in a large Midwestern state. Systematic random sampling was used to select school and school district administrators, which were listed in a statewide school district phone directory. The sample size, based on a power analysis with medium effect size (.80) and an alpha level of .05 was calculated (Cohen, 1988). The final sample size was 100 school administrators. Regarding response rates, a total of 200 questionnaires were sent. Of these, final response rate was 53%.

Instrument

The instrument was developed, based on several fit concept studies (Chatman, 1989; Kristof-Brown, 2000), by the researcher. It was designed to measure perceptions of both PJF and POF. PJF factors were derived from studies dealing with teacher selection (Hopkins, 2003; Kansas State University, 2003) and from interviews with school administrators. Items included communication skills, planning skills, motivation, goal orientation, etc. POF factors were taken from the Teacher Perceiver Interview (Clifton & Hill, 1952; Delli, 2000; Warner, 1969; Winesman, 1969), a commercially available selection process, and contain 11 items, including policies, goals, strategic plans, etc. Contextual factors included: school size (Small, Medium, Large) and district location (Urban, Rural, Suburban). In addition, from median family income data furnished by the State Department of Education, a district socioeconomic contextual factor was also created (Low, Medium, High) for each participant. A pilot study (Cronbach's Alpha = .92) was conducted. A total of 28 items were included in the questionnaire, which asked the level of consideration given each item during the teacher selection process, and were measured on a four-point Likert-type scale. Participants were asked to mark their responses on a four-point Likert Scale, which was anchored at: "1 = Never," "2 = Infrequently," "3 = Frequently," and "4 = Always".

Descriptive statistics were used to provide overall information for the demographic data. To test the hypotheses, multiple analyses of variance (MANOVAs), were performed on the contextual factors (school size, district location, socioeconomic status), to determine whether PJF and POF consideration differed on each of the contextual factors. One-way analyses of variances (ANOVAs) were performed to answer Research Question #3.

Results

The final usable data was 105 responses (53%). The average age of the participants is 49.7 years old (S.D. = 7.4) and average years of experience is 15.9 years (S.D. = 7.3). Overall average school size is 468 students (S.D. = 240), showing high variability. The median income for the districts is \$32,544 (S.D. = \$6,689). Research Question #1 asked about school administrators taking consideration of POF factors in teacher selection. The results of the MANOVAs, show that school administrators took consideration of POF factors when school size is under consideration ($F(2, 102)=4.470$, $p<.05$). However, school administrators did not indicate use of POF, regarding the

characteristics of district and socioeconomic status POF factors (See Table 1)

Table 1. *Multiple Analysis of Variance for School Size vs. PJF & POF*

Source	df	F	p
School Size vs. PJF	2	1.40	0.252
School Size vs. POF	2	4.47*	0.014
S within-group error (PJF)	102	(29.27)	
S within-group error (POF)	102	(22.64)	

Note: Values enclosed in parentheses represent mean square errors.

S = subjects. *p<.05 . (The values for p are based on Wilkes Lambda)

Research Question #2 asked whether school administrators take consideration of POF factors and PJF factors differently when school size, characteristics of districts, and socioeconomic status are under consideration. To respond to this question, three hypotheses were developed and statistical tests were performed. Hypothesis 1 tested whether school administrators took consideration of POF factors and PJF factors, differently, depending on a different size of schools. The three size of schools were operationalized as: large size school (n=6) with > 850 students, medium size school (n=46) with 441-849 students, and small size school (n=53) with < 440 students. The result shows that factors in POF have a significant effect on teacher selection ($F(2, 102)=4.470, p<.05$) when school administrators take consideration of their school size. Hypothesis 2 tested whether school administrators took consideration of POF factors and PJF factors differently, depending on locations of school districts. The locations were categorized into three levels: urban (n=13), rural (n=44), and suburban (n=48). The result shows there are no differences in POF factors and PJF factors when the school location is under consideration in teacher selection.

Table 2. *Multiple Analysis of Variance for Socioeconomic Status (SES) vs. PJF & POF*

Source	df	F	p
SES vs. PJF	2	3.92*	0.023
SES vs. POF	2	0.14	0.866
S within-group error (PJF)	102	(27.92)	
S within-group error (POF)	102	(24.55)	

Note: Values enclosed in parentheses represent mean square errors.

S = subjects. *p<.05 (The values for p are based on Wilkes Lambda)

Hypothesis 3 tested whether school administrators took consideration of POF factors and PJF factors differently, depending on SES, based on income. High SES (n=16) was more than \$40,000, medium SES (n=75) was between \$25,001 and \$40,000, and low SES (n=3) was less than \$25,000. The result (Table 2) shows that Socioeconomic Status (SES) has a significant affect on administrator consideration of PJF factors in teacher selection ($F(2, 102)=3.928, p<.05$). Based on these findings, it can be said that school administrators take consideration of POF factors differently from PJF factors when SES is under the consideration. Research Question #3 asks about under what levels of the contextual factors do school administrators take consideration of POF factors and PJF factors differently in selection. To answer this question, One-way ANOVAs were performed on each contextual factor. Using Tukey's HSD post-hoc test, it was found that the significant difference found in the level of consideration of PJF factors relating to SES, was due to the influence of wealthy districts. The result also shows that a significant difference is found in the consideration of POF factors with a large size school.

Discussions and Implications

The purpose of the study was to test a proposed model of employee selection, based on the fit concept. The study focused on selected contextual factors. Specifically, the proposed model applied to teacher selection where

job-related criteria have been rigidly applied. The assumption of this model is that when a mutual selection decision is made, an organization is able to obtain high potential performers. One way to do so is not only matching between job requirements of PJF factors and job applicants' KSAs, but also by matching between school attributes as the POF factors and individual attributes that are important. The study results show that POF factors can have a significant impact in teacher selection. Based on these notions, school administrators with large schools should pay attention to matching between their POF factors and individual applicants' factors relating to POF. In other words, prior to advertising a vacant position in their schools, it would be better if they take consideration of the characteristics of their POF factors. They should use these factors in identifying desirable characteristics of individual applicants they are interested in for their schools. The applicants' POF factors should be in congruence with their POF factors. At the same time, administrators in high SES districts should pay the same type of attention to matching their PJF factors and individual applicants' PJF factors. In business organizations, human resource managers are first concerned about matching job requirements with a job applicant's KSAs and work experience, which could be done during the recruitment and screening phases. Once those applicants who meet the requirements are identified, they are invited for an interview during the final selection decision phase. Like selection processes used among business organizations, at the initial phase, school administrators have a certain picture of desirable applicants, and they can provide a series of interview questions to see how well PJF or POF factors can be congruent with those of job applicants. In this regard, selection of high potential educators would be most likely made while the applicants also self-select their schools.

Contributions to Knowledge in HRD

Most selection studies focus on PJF factors, such as job-related factors rather than POF factors. In contrast, this study focused on POF factors and treated them as contextual factors as they apply to selection of high potential educators. Based on the findings of this study, the proposed employee selection model can be useful in identifying and selecting such educators when school principals are in large schools and school administrators, including school principals and superintendents are in high socioeconomic status areas. In addition, a practical implication based on this study will help individual performance among school administrators by improving their knowledge and awareness of the importance of POF factors when they practice teacher selection. Regarding research contributions, a selection study is a relatively new area for HRD. Consequently, the study expands the HRD research domain to show broad HRD perspectives. Potential HRD research areas include not only individual performance improvement of school administrators, but also the selection process and the fit concept used in educational settings. Based on the proposed employee selection model, individuals who are responsible for selection can improve the human resource system through identifying and selecting high potential performers, based on the human resource planning of the organization. Reliable high potential employees can be allocated, according to needs and requests of departments in the organization. Finally, the most promising high potential performers who have the abilities to become future business leaders can be selected.

References

- Abel, M. H., & Sewell, J. (1999). Stress and burnout in rural and urban secondary school teachers. *The Journal of Educational Research*, 92(5), 287-293.
- Adkins, C. L., Ravlin, E. C., & Meglino, B. M. (1996). Value congruence between co-workers and its relationship to work outcomes. *Group & Organization Management*, 21(4), 439-460.
- Adkins, C. L., Russell, C. J., & Werbel, J. D. (1994). Judgments of fit in the selection process: The role of work value congruence. *Personnel Psychology*, 47(3), 605-623.
- Alspaugh, J. W. (1998). The relationship of school and community characteristics to high school drop-out rates. *The Clearing House*, 71(3), 8.
- Baron, R. A. & Byrne, D. (1984). *Social psychology: Understanding human interaction*. Boston, MA: Allyn and Bacon.
- Bowen, D. E., Ledford, Jr. G. E., & Nathan, B. R. (1991). Hiring for the organization, not the job. *Academy of Management Executive*, 5(4), 25-51.
- Bowman, J. S. & Harada, K. (2003). A contextual approach to employee selection: Applying the fit concept in education. *Academy of Human Resource Development: 2003 Conference Proceedings* (pp. p.133-140). Bowling Green, OH: AHRD.
- Chatman, J. A. (1989). Improving interactional organizational research: A model of person-organization fit. *Academy of Management Review*, 14(2), 333-349.

- Clifton, D. O. & Hill, W. E. (1952). A projective technique to determine positive and negative attitudes toward people in a real-life situation. *Journal of Educational Psychology*, 5, 273-283.
- Cohen, J. (1988). *Statistical power analysis for the behavioral sciences* (2nd ed.). Hillsdale, NJ: Lawrence Erlbaum Associates.
- Corwin, J. (2001). The importance of teacher morale in combating teacher shortage. *Baylor Business Review*, Spring/Summer, 18.
- Delli, D. (2000). *The perceived validity of the Teacher Perceiver Interview on the teaching performance of classroom teachers*. Unpublished doctoral dissertation, The Ohio State University, Columbus, OH.
- Esposito, C. (1999). Learning in urban blight: School climate and its effect on the school performance of urban, minority, low-income children. *The School Psychology Review*, 28(3), 365-377.
- Griffith, J. (1998). The relation of school structure and social environment to parent involvement in elementary school. *The Elementary School Journal*, 99(1), 53-80.
- Gross, M. L. (1999). *The conspiracy of ignorance: The failure of American public schools*. New York: HarperCollins.
- Hirsch, S. (1999). School environment: Creating a climate conducive to teaching and learning. *The High School Magazine*, 7(3), 48-49.
- Hopkins, G. (2003). What qualities do principals look for in a new teacher? Retrieved 2003, October 9, from: www.educationworld.com/a_admin/a
- Kansas State University. Standard 1: candidate knowledge, skills, and disposition. Retrieved 2003, October 9, from: www2.educ.ksu.edu/NCATE/standa
- Kehoe, F. J. (2000). *Managing selection in changing organizations*. Jossey-Bass, CA: San Francisco
- Kopp, R. (2003). *Soft skills in managers: how to inspire your team*. Tokyo: Nikkeiren Pub.
- Kristof-Brown, A. L. (2000). Perceived applicant fit: Distinguishing between recruiters' perceptions of person-job and person-organization fit. *Personnel Psychology*, 53(3), 643-671.
- Lee, V. E., Alfeld-Liro, C., & Smerdon, B. A. (2000). Inside large and small high schools: Curriculum and social relations. *Educational Evaluation & Policy Analysis*, 22(2), 147-171.
- Lyon, D. (2001). Staff satisfaction: One of the keys to a successful practice. *Journal of Financial Planning*, 14(11), 46-50.
- Morishima, M. (2002). *21st century strategic human resources*. Japan Institute of Labor, Tokyo, Japan:
- National Center for Education Statistics. (1996). *The third international math and science study*. Retrieved 2002, from: <http://www.ed.gov/NCES/timss>
- National Center for Excellence in Education. (1983). *A nation at risk: The imperative for educational reform*. Retrieved 2002, from: <http://www.ed.gov/pubs/NatAtRisk/risk.html>
- Okubayashi, K. Ed. (2003). *Introduction to human resource management*. Tokyo: Chuoukeizai Pub.
- Pearlman, K. & Barney, M. F. (2000). *Managing selection in changing organizations: Human resource strategies*. San Francisco: Jossey-Bass.
- Rynes, S., & Gerhart, B. (1990). Interviewer assessments of applicant "fit": An exploratory investigation. *Personnel Psychology*, 43(1), 13-35.
- Sommers, N. (1997). Smaller schools: An ambiance for learning. *American Secondary Education*, 26 (Dec), 9-14.
- USA Today. (2002). *Many middle, high-school teachers not trained in field they teach*. Retrieved 2002, August 22, from: http://www.usatoday.com/news/nation/2002-08-22-teacher-training_x.htm
- Warner, A. K. (1969). *A structured interview for predicting future pupil-teacher rapport*. Unpublished doctoral dissertation, University of Nebraska, Lincoln, Nebraska.
- Winesman, A. W. (1969). *An interview process for selecting activating technical instructors*. Unpublished doctoral dissertation, University of Nebraska, Lincoln, Nebraska.
- Young, I. P., & McMurry, B. (1986). Effects of chronological age, focal position, quality of information , and quantity of information on screening decisions for teacher candidates. *Journal of Research and Development in Education*, 19(4), 1-10.

An Integrated Approach to Planning in Organizations

*Thomas J. Chermack
University of Minnesota*

This manuscript attempts to integrate a varied body of planning approaches into a simple heuristic. In so doing, this article argues for a systems approach to planning and strategy in organizations rather than the current view of planning as a single process. After establishing this heuristic and systems view of planning, the article provides examples of integrated planning in organizations and speculates about the implications for HRD practice, research and theory.

Keywords: Planning, Strategy, HRD

The bulk of the planning and strategy literature assumes that organizational planning is a process (Mintzberg, 1999, Porter, 1985). At its essence, the argument made in this manuscript is that planning should be viewed as a system within the organization and thus might better be approached from a more integrative perspective than current practices promote. While this distinction may seem trite, its implications have a considerable influence on the nature of planning and strategy in organizations. Further, viewing planning as a system allows strategists a greater amount of flexibility in their efforts to obtain glimpses of the future.

Problem Statement and Theoretical Framework

The problem is that viewing planning as a process is too restrictive in light of the complexity facing today's organizations (Micklethwait & Woolridge, 1995; Hitt, Hoskisson & Ireland 1990). A more modular, flexible, and integrative approach is required. To build the case for viewing strategy as a system, this article considers the current view of planning as a process and then suggests a general account of planning as an integrated system. The article then reviews several "schools" of planning as advocated by Mintzberg & Lampel (1995) in the context of three "paradigms in strategy" as advocated by van der Heijden (1997) to illustrate the utility of viewing planning as a system. A planning heuristic is constructed by combining the paradigms and schools. The use of this heuristic provides an integrated view of planning and a framework for discussing strategy as a system itself.

To accomplish its goal of a conceptual shift in how planning is viewed and approached, this article has three core sub-objectives: 1) to generally describe the current view of strategy as a process, 2) to generally describe a view of strategy as a system and 3) to illustrate the utility of viewing planning as an integrated system by describing and combining some views in the planning literature (Mintzberg & Lampel's schools of strategy and van der Heijden's strategy paradigms). Finally, this article examines the implications of an integrated approach to planning for HRD practice, research and theory given a tenuous link between planning and HRD in today's organizations.

Planning as a Process

Planning is generally viewed as a single process (a series of steps) to be conducted within an organization (Miller & Cardinal, 1994). The availability of countless guides to organizational planning and strategy serves as testament to the fact that there are as many different sets of steps for planning as there are consultants to help organizations through them. Indeed, planning is largely thought of as a single process in organizations with little concern for the nature of the engagement in strategy or its ultimate outcomes (Micklethwait & Woolridge, 1995). The problem posed in this situation is that by selecting a single process for approaching strategy, organizational planners limit their approach to strategy. That is, most strategic planning processes are not compatible and do not interface with other strategic planning processes. Thus, the problem is that most approaches to planning promote a single view of strategy throughout the entire strategy making event, while the strategy phenomenon is extremely complex, multi-faceted, and may require more than a single approach.

Planning as a System

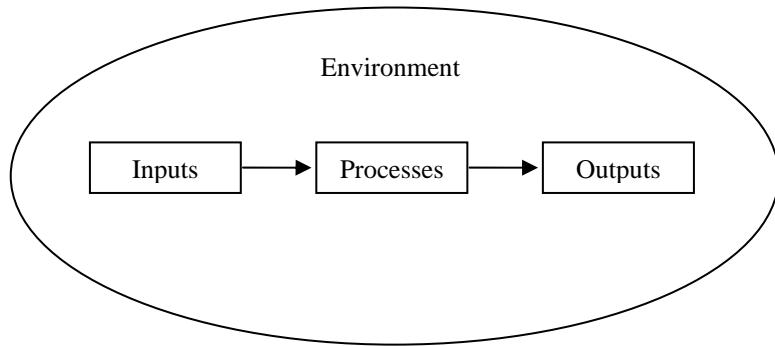
With the popularity of publications like *The Fifth Discipline*, there is no need to engage in a detailed discussion of

Copyright © 2004 Thomas J. Chermack

system theory and how it applies in an organizational context. However, the basic definition of a system requires a set of inputs, a process (or multiple processes) and a set of outputs, all of which occur in some contextual environment (Senge, 1990; von Bertalanffy, 1969; Morecroft, 1995).

Swanson (1994) used the diagram in Figure 1 to denote a view of organizations as simple systems. This simple figure allows the components of a system to be seen simply and logically. This article advocates for the conception of planning in the same way. Following the logic employed by the system diagram and the view of planning as a system, planning itself requires a series of inputs processes and outputs (Swanson, Lynham, Ruona & Provo, 1998).

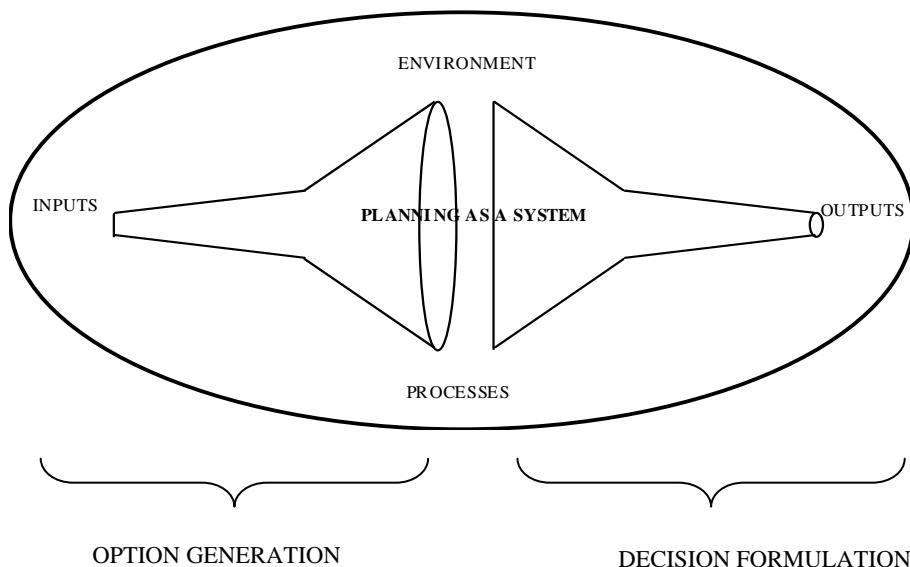
Figure 1. An Organization as a Simple System (Swanson, 1994)



A discussion of planning as a system involves the same components: inputs, processes, and outputs in some kind of environment. Inputs to the planning system involve the need for planning, or some organizational problem for which planning is suggested as a possible solution. The processes involve the sets of steps as discussed earlier in brief. Planning processes can be any of the popular methods or consulting perspectives commonly used for strategy interventions.

It is further argued here that strategic planning generally consists of two distinct processes -- option generation, and decision formulation (Swanson, Lynham, Ruona & Provo, 1998). Figure 2 depicts planning as a system with two distinct processes.

Figure 2. A General Planning System



The implications of Figure 2 are that a variety of approaches to developing strategic options exist, as well as a variety of approaches to decision formulation. Thus, approaching planning as a system requires the ability to accommodate a variety of perspectives for each of these strategy components.

Paradigms in Strategy

Thinking on strategy within the last few decades has revealed the development of schools of thought in strategic perspectives. In order to place planning in context, it is important to consider the backgrounds of each of these views. Van der Heijden (1997) identified three overarching paradigms of strategic management and planning. They are the rationalist, evolutionist and processual.

The Rationalist Paradigm

The rationalist paradigm features a tacit and underlying assumption that there is indeed one best solution. The job of the strategist becomes one of producing that one best solution, or the closest possible thing to it. Classic rationalists include Igor Ansoff, Alfred Chandler, Frederick Taylor and Alfred Sloan (Micklethwait & Wooldridge, 1997). The rationalist approach to strategy dictates that an elite few of the organization's top managers convene, approximately once each year, and formulate a strategic plan. Mintzberg (1990) listed other assumptions underlying the rationalist school:

- 1) Predictability, no interference from outside
- 2) Clear intentions
- 3) Implementation follows formulation
- 4) Full understanding throughout the organization
- 5) Reasonable people will do reasonable things

The majority of practitioners and available literature on strategy is of the rationalist perspective (van der Heijden, 1997). Although it is becoming clear that this view is limited and though the belief in one correct solution wanes, the rationalist perspective is still currently the most common approach to planning found in organizations today.

The Evolutionary Paradigm

With an emphasis on the complex nature of organizational behavior, the evolutionary paradigm suggests that a winning strategy can only be articulated in retrospect (Mintzberg, 1990). In this context it is believed that systems can develop a memory of successful previous strategies. In this case, strategy is thought to be a "process of random experimentation and filtering out of the unsuccessful" (van der Heijden, 1997, p. 24). The issue with this perspective is that it is of little value when considering alternative futures. This view also reduces organization members to characters of chance, influenced by random circumstances (van der Heijden, 1997).

The Processual Paradigm

The processual paradigm asserts that although it is not possible to deliver optimal strategies through rational thinking alone, organization members can instill and create processes within organizations that make it a more adaptive, whole system, capable of learning from its mistakes (van der Heijden, 1997; 2000). Incorporating change management concepts to influence processes, the processual school supports that successful evolutionary behavior can be analyzed and used to create alternative futures. van der Heijden (1997; 2000) offered the following examples of metaphors for explaining the three strategic schools:

- 1) The rationalistic paradigm suggests a machine metaphor for the organization
- 2) The evolutionary school suggests an ecology
- 3) The processual school suggests a living organism

Because van der Heijden viewed scenarios as a tool for organizational learning, he advocated the integration of these three strategic perspectives. "Organizational learning represents a way in which we can integrate these three perspectives, all three playing a key role in describing reality, and therefore demanding consideration" (van der Heijden, 1997, p. 49). It is widely accepted that effective scenario building incorporates all three of these perspectives (Ringland, 1998; Gerogantzas & Acar, 1995; Schwartz, 1991).

Planning Schools

Mintzberg & Lampel (1999) provided an overview of 10 "schools" of strategy. In an attempt to summarize the vast literature around strategy and planning, the authors devised ten schools according to ten different views regarding the intent and nature of strategy and planning. While their classification is helpful in analyzing planning practices, Mintzberg and Lampel (1999) did not offer a precise description of a truly integrative approach to planning. Thus a

core intent of this article is to provide the rationale that successful planning may incorporate several, if not all of the schools proposed by Mintzberg & Lampel. That is, varying approaches to option generation can be coupled with varying approaches to decision formulation in an overall planning system (Swanson, Lynham, Ruona, & Provo, 1998). To illustrate this link, the ten schools of planning proposed by Mintzberg & Lampel are summarized.

The Design School

The Design school suggests that fit between the organization and its environment is the most important factor in implementing and considering strategy. By analyzing strengths, weaknesses, opportunities and threats, organizational leaders attempt to achieve a maximum fit with the environment through a “deliberate process of conscious thought” (Mintzberg & Lampel, 1999, p. 22). The design school is based on a relatively predictive model and aspects of it have been incorporated into many of the other schools (Mintzberg & Lampel, 1999).

The Planning School

The planning school has grown primarily out of Ansoff’s (1965) work and dominated the conception of strategy through the 1960’s. “Ansoff’s book reflects most of the design school’s assumptions except a rather significant one: that the process is not just cerebral but formal, decomposable into distinct steps, delineated by checklists, and supported by techniques (especially with regard to objectives, budgets, programs, and operating plans)” (Mintzberg & Lampel, 1999, p. 22).

The Positioning School

The positioning school was the dominant view in the 1980’s and was given much support and influence by Porter (1980) and consulting firms such as Boston Consulting Group, and McKinsey & Company. “In this view, strategy reduces to generic positions selected through formalized analyses of industry situations. Hence, the planners become analysts” (Mintzberg & Lampel, 1999, p. 23). Drawing on roots in military strategy, the positioning school focused on data and the articulation of strategy as a science.

The Entrepreneurial School

The entrepreneurial school focuses on the chief executive as the primary strategist. With a much smaller stream of literature and practice, the environmental school “centered the process on the chief executive; but unlike the design school and opposite from the planning school, it rooted that process in the mysteries of intuition” (Mintzberg & Lampel, 1999, p. 23). Thus, strategy was a more vague, metaphoric endeavor driven by the knowledge, skill, and perceptions of an individual.

The Cognitive School

Focusing on creating models of reality for executive teams to test strategies, the cognitive school suggests that strategy is a mental process. Cognitive maps, mental representations, mental models and other terms have been used to communicate the importance of understanding those mental processes. “Particularly in the 1980s and continuing today, research has grown steadily on cognitive biases in strategy making and on cognition as information processing, knowledge structure mapping, and concept attainment” (Mintzberg & Lampel, 1999, p. 24).

The Learning School

The learning school has emphasized planning as a learning activity, completely abandoning the notion that the future can be predicted. “Dating back to Lindblom’s early work on disjointed incrementalism and running through Quinn’s logical incrementalism, Bower’s and Burgelman’s notions of venturing, Mintzberg et al.’s ideas about emergent strategy, and Weick’s notion of retrospective sense making, a model of strategy making as learning developed that differed from the earlier schools” (Mintzberg & Lampel, 1999, p. 24). This view also sees strategy as an emergent phenomenon and incorporates a cross-section of the organization into the planning process.

The Power School

The Power school has been divided into two perspectives: Micro power and Macro power. “Micro power sees the development of strategies within the organization as essentially political - a process involving bargaining, persuasion, and confrontation among actors who divide the power. Macro power views the organization as an entity that uses its power over others and among its partners in alliances, joint ventures, and other network relationships” (Mintzberg & Lampel, 1999, p. 25). Ultimately, the power school suggests that people in powerful positions devise strategies.

The Culture School

The culture school is the opposite of the power school. In the cultural view, strategies are devised by collective thought and contribution to the strategy process. The cultural school “focuses on common interest and integration - strategy formation as a social process rooted in culture” (Mintzberg & Lampel, 1999, p. 25). This view was popularized in the United States after Japanese management styles were observed at the height of their effectiveness in the 1980’s.

The Environmental School

"In this category, we include so-called "contingency theory" that considers which responses are expected of organizations facing particular environmental conditions and "population ecology" writings that claim severe limits to strategic choice" (Mintzberg & Lampel, 1999, p. 25). The environmental school suggests that the goal of strategic planning is to prepare for as many environmental situations as possible. With a focus on contingency plans and preparedness, the environmental school represents a constantly reactionary stance to environmental conditions.

The Configuration School

The configuration school suggests the use and combination of multiple methods and views as an appropriate approach to strategy. "This school, more academic and descriptive, sees organization as configuration - coherent clusters of characteristics and behaviors - and integrates the claims of the other schools - each configuration, in effect, in its own place" (Mintzberg & Lampel, 1999, p. 26).

The ten schools proposed by Mintzberg & Lampel are intended to provide a means by which the diverse, complex and varied nature of the literature around strategy and strategic planning can be summarized. Some conceptual work has linked scenarios to strategic planning (Swanson, Lynham, Ruona & Provo, 1999) and this research intends to build on that work.

A unique perspective is achieved when the strategy paradigms and planning schools are combined in a matrix. Based on Mintzberg & Lampel (1999), the planning schools can be classified into strategy paradigms generally as depicted in Figure 3. The matrix provided in Table 1 allows the strategist to further assess or include a variety of approaches to strategy.

Table 1. *Synthesis Matrix of Strategy Paradigms and Planning Schools*

<i>Planning Schools</i>	<i>Strategy Paradigms</i>		
	Rational	Evolutionary	Processual
Design School	X		
Planning School	X		
Positioning School	X		
Entrepreneurial School	X	X	X
Cognitive School		X	X
Learning School		X	X
Power School	X	X	
Cultural School		X	
Environmental School			X
Configuration School	X	X	X

The heuristic offered in Table 1 represents the potential for a variety of approaches to planning based on a modular combination of summative planning literature. The heuristic is useful to practitioners and academics in four important ways. First, it offers a parsimonious summary of theories and approaches to planning. Second, the heuristic serves an assessment function. That is, it could be used to classify existing approaches to planning in an organization for a consultant. Third, the heuristic encourages academics to conduct research that verifies the validity of not only the schools and paradigms that constitute the heuristic, but also the cells within it. Finally, the heuristic provides a perspective of planning that has not been explored.

Having established this integrative view of planning, we may now turn to some examples of planning as a system using these integrative concepts. With the considerable complexity facing today's organizations, it seems logical to assert that none of these perspectives is adequate on its own. For example, it is inadequate to think of planning from a strictly rational perspective, and it is inappropriate to consider that the learning school includes the only applicable ways of thinking about planning. Strategy and planning are simply too complex to be addressed by a single set of assumptions.

Examples of Integrated Planning in Organizations

There are examples of planning in organizations that illustrate a division in the strategy system. This section offers some brief descriptions of planning in organizations that suffered problems and evolved toward a more integrative approach. While none of the examples reviewed have used the specific heuristic that is the basis of this article, several have exhibited characteristics suggesting problems with and then an integration of many of the perspectives found in Mintzberg & Lampel's and van der Heijden's thinking on planning. Further, as scenario planning has gained increased recognition as a key mode for generating options, it is becoming widely adopted in organizations as a precursor to more traditional planning. Therefore, many of the examples described here involve the addition of scenario planning at the outset of the strategy system.

The planners at Royal Dutch/Shell Oil had several insights as they pioneered the scenario planning technique. After becoming masters at designing technically magnificent scenarios they realized that by focusing on the scenarios themselves, they were overlooking the core purpose of their work -- to alter the mental models of the management teams for whom they were developing plans (Senge, 1994). So, once they became proficient at designing challenging scenarios, there was a looming question of "now what?" Using the scenarios to formulate better decisions required a different kind of expertise, thus efforts to combine scenario planning and other forms of strategic planning began.

Argyris & Schon (1996) provided a case study of planning in which the orientation of the executive team contradicted the values of the majority of others involved in the planning system. What might have been assessed as a conflict between the design school and the culture school (Mintzberg & Lampel, 1999) was solved by incorporating both approaches to the planning system at different times as required by the intended outputs of the planning effort.

In 1997, Daimler-Chrysler integrated scenario planning with their more traditional planning process. In so doing, the planning team consisted of multiple smaller teams, each working with a different approach to the problems presented by recent mergers and growth (Tessun, 1997). Tessun (1997) reported that this was the first attempt at explicitly breaking planning into two distinct phases at Daimler-Chrysler; one of exploring options, and one of assessing and making decisions based on consideration of the options and their implications.

Hitt, Hoskisson, and Ireland (1990) have argued that bureaucratic features of large firms undermine strategic planning efforts. In their attempts to understand what factors tend to support the influence of planning and firm performance, Hitt, Hoskisson and Ireland concluded that generally, small firms have an advantage because much bureaucracy is removed from planning. Conversely, Miller and Cardinal (1994) argued that large firms have an advantage in planning because of their capital intensity. To reconcile what appeared to be conflicting conclusions, the authors suggested that firm size is another factor that drastically affects the approach to planning in organizations. Proceeding to case studies of companies that adjusted their approaches to planning based on these factors and showed marked improvement in firm performance provides some confirmation that an integrated approach to planning might be useful.

Implications for Human Resource Development

There is no clear view of the link between HRD and planning processes in organizations. Some HRD scholars have argued passionately for the link between expertise and strategy, implying a role for HRD given its function in the development of expertise (Swanson, 1994; Herling, 2000). It is perhaps wishful thinking to assume that HRD is a valued partner in planning and strategy as the reality in many organizations does not support this assumption. However, there are organizations that *do* value the HRD function and that *do* incorporate HRD input into their planning system. These organizations are prime places to begin making the case that HRD *can* contribute to strategy in ways that increase an organization's advantage and their numbers seem to be growing (citation, 19xx). Planning has not been the primary domain of HRD, although the growth of the field seems to indicate a trend toward an increasing role in strategy for HRD professionals.

Implications for Human Resource Development Practice

The practice of HRD in strategic contexts varies. Perhaps this practice varies according to Swanson's (1994) views of HRD in organizations, or perhaps other. Either way, HRD professionals face a variety of challenges concerning their role in the planning system. Practitioners in organizations that value HRD as a contributor to the planning system, might use the heuristic offered in this article as a means for assessing and modifying current planning practices in their organizations. Further, examples of shifts in planning practices such as those described here may provide the enough incentive for managers to discuss the potential for changes in their current planning

practices. However, it should be noted that these examples are anecdotal at best and that further research is required to investigate any potential hypotheses concerning improved planning as a result of a more integrative perspective.

Implications for Human Resource Development Research

Aside from a few case studies, there is no body of research concerning HRD's contribution to strategy and planning. Further, there is minimal research that clarifies the link (if any) between integrated approaches to planning and improved organization performance. While this can be viewed as a weakness, it can also be viewed as a tremendous opportunity. Minimal research exists that clarifies the validity of Mintzberg & Lampel's (1995) schools of strategy, therefore, simple descriptive research, surveys, or even further case studies that lend credit to the classifications offered by Mintzberg & Lampel would be helpful. Thus a key next step in the research domain might be a simple survey examining perceptions of planning practices in organizations. In addition, and as has already been mentioned, the link between HRD and planning is not clear. Therefore, any research, (be it in the form of descriptive research, case studies or other) that helps to establish or further this link can be considered invaluable to the profession.

Implications for Human Resource Development Theory

There is no shortage of theories about strategy. In fact, it can be argued that the vast majority of work concerning planning in organizations has been conceptual (Mintzberg, 1990). As planning becomes a more prominent area of practice for HRD professionals, the value of theories that explain what happens in practice will increase. The heuristic provided in this article is useful in that it provides a relatively parsimonious summary of the varied planning theories. Further, complex organization planning practices can be analyzed across this summary in an integrative view. Such an analysis makes it possible to assess what particular approaches to planning have in common with others, and what is unique about each. Finally, the heuristic may lead to conversations about best practices in planning given an integrative approach that allows such commonalities and unique nesses to be determined.

Conclusions

This article has introduced a heuristic for assessing and integrating approaches to planning and strategy in organizations. The heuristic is based on the conceptual and summative works of Mintzberg & Lampel (1995) and van der Hiejden (1997) respectively. It has been argued that planning has been and is currently largely approached from a process perspective, indicating a limited number of options for engaging in planning, and this article has further advocated a systems approach to planning by introducing the integrative heuristic.

While it is unclear what role exists for HRD to play in the formulation and implementation of planning and strategy in organizations, there are clear opportunities for HRD professionals (academics or practitioners) to demonstrate and develop expertise in this area. It appears that there will be an increasing demand for HRD professionals with such expertise.

References

- Argyris, C., & Schon, D.A. (1996). *Organizational learning II. Theory, method, and practice*. New York: Addison-Wesley.
- Ansoff, I. (1965). *Corporate strategy*. New York: McGraw-Hill.
- Georgantzas, N. C., & Acar, W. (1995). *Scenario-driven planning: Learning to manage strategic uncertainty*. Westport, CT: Quorum
- Herling, R. W. (2000). Operational definitions of expertise and competence. In R. W. Herling & J. Provo (Eds.), *Strategic Perspectives on Knowledge, Competence, and Expertise, Advances in Developing Human Resources*, 5, 8-21.
- Hitt, M. A., Hoskisson, R. E., & Ireland, R. D. (1990). Mergers and acquisitions and managerial commitment to innovation in M-form firms. *Strategic Management Journal*, 11(3), 29-47.
- Micklethwait, J., & Woolridge, A. (1997). *The witch doctors: What the management gurus are saying, why it matters, and how to make sense of it*. New York: Times Books.
- Miller, C. C., & Cardinal, L. B. (1994). Strategic planning and firm performance: A synthesis of more than two decades of research. *Academy of Management Journal*, 37(6), 1649-1665.
- Mintzberg, H. (1990). The design school: Reconsidering the basic premises of strategic management. *Strategic Management Journal*, 11(3), 171-195.
- Mintzberg, H., & Lampel, J. (1999) Reflecting on the strategy process. *Sloan Management Review*, 40(3), 21-32.

- Morecroft, J. D. W. (1992). Executive knowledge, models and learning. *European Journal of Operational Research*, 59(1), 102-122.
- Ringland, G. (1998). *Scenario planning: Managing for the future*. New York: John Wiley.
- Schwartz, P. (1991). *The art of the long view*. New York: Doubleday.
- Senge, P. (1990). *The fifth discipline*. New York: Doubleday.
- Senge, P. (1994). Learning to alter mental models. *Executive Excellence*, 11(3), 16-17.
- Swanson, R. A. (1994). *Analysis for improving performance: Tools for diagnosing organizations & documenting workplace expertise*. San Francisco: Berrett-Koehler.
- Swanson, R. A., Lynham, S. A., Ruona, W., & Provo, J. (1998). Human resource development's role in supporting and shaping strategic organizational planning. In P. K. Kuchinke (Ed), *Proceedings of the Academy of Human Resource Development Conference* (pp. 589-594). Baton Rouge, LA: Academy of Human Resource Development.
- Swanson, R. A., & Gradous, D. B. (1988). *Forecasting financial benefits of human resource development*. San Francisco: Jossey-Bass.
- Tessun, F. (1997). Scenario analysis and early warning systems at Daimler-Benz Aerospace. *Competitive Intelligence Review*, 8(4), 30-40.
- Torraco, R. J. & Swanson, R. A. (1995). The strategic roles of human resource development. *Human Resource Planning*, 18(4), 3-38.
- van der Heijden, K. (1997). *Scenarios: The art of strategic conversation*. New York: John Wiley.
- von Bertalanffy, L. (1969). *General system theory: Foundations, development, applications*. New York: George Braziller, Inc.

Transformational Learning and Human Resource Development: Advances Toward a Knowledge Based Society through Humor

*Joanne Parke
Northern Illinois University*

A common thread within a growing globalism is the creation of an emerging knowledge-based workforce. This paper will discuss a message supported by adult education theory that is beginning to manifest itself in human resource development and the growing globalism that steeped in communication and information. Theoretical implications are reviewed that capitalize on transforming workers to learners whose world views are dramatically altered through the appropriate utility of humor that may lead to transformation.

Keywords: Human Resource Development, Transformational Learning, Humor

Much has been said about human resource development, the learning organization (Senge, 1994) and organizational development. The ultimate goal of learning is change in knowledge, behavior, and ultimately world view. Expanding Senge's learning organization creates opportunities for a learning society. Therein lie implications for strong knowledge based societies that live, work, and learn in an engaging concentration and scope. However, individual learning is seminal to creating a knowledge based worker, organization, and society. Human resource developers must incorporate an overriding view that is infused with individual learner contexts and concepts of learning beyond job, career, and professional development. In order to achieve this evolutionary view, it is possible that enhancements to individual development would entail learning at a broader, deeper level. To instructively breathe transformative learning into human resource development, it could be that the learning itself must be transformational in capacity. Furthermore, human resource developers can foster learning that is both creatively expressed and can offer access to learners that matches their individualized, epistemological foundations. The creativity of HRD professionals must include a variety of potential learning strategies that facilitate change and prepare worker learners for insights beyond the job learning contexts, curriculums, and learned outcomes. The changes that may advance transformative learning involve HRD professionals at every level of societal transformation involves pragmatic methods of instruction. Yet, the utility of the methods can translate to transformation in the growing knowledge based organizations and societies around the world. The questions that surround the concepts and processes are as follows: How can meaning perspectives arise from a depth of learning that results in the knowledge of a new world view? How can HRD professionals begin to comprehend the diverse nature and culture bound understandings of cross cultural learning that will enhance learning, and develop the individual professionally? This paper explores aspects of humor, transformative learning, and human resource development within the context of adult learning theories. This investigation of humor theories links learning strategy and perspective transformation that is prevalent in adult learning literature. This discussion offers a literature review that investigates the theoretical insights of adult learning expert Jack Mezirow. Previews of how linkages between humor and perspective transformation can open new pathways to improve worker learner trust, esteem, communication, and altered world views are examined.

Adult Learning: Theoretical Perspectives

Lindeman (1961), Knowles (1980), and Mezirow (1990,2000), are considered forefathers in adult education. Foundational adult learning theories indicate adults undergo broadened orientations of their worldview from accumulated life experiences. Social and contextual references and experiences during adult life contribute to learning in an ongoing proliferation of knowing. A growing adult learning literature base stipulates that despite similarities in adult roles and responsibilities, the sum of each person's experiences makes for specific learned meanings created from their unique awareness. Even though the broadening and accumulation of meaning is qualitatively and quantitatively different from person to person and situation to situation, it is the individual's perspective that drives specific types of reflection and critical responses. Meaning making shapes the new learning that occurs from reflective processes. According to adult learning theorists, an ongoing learning process stimulates a conceptual worldview that accumulates experiences, precipitates meaning making, and creates the purpose for learning in other new encounters.

Copyright © 2004 Joanne Parke

Perspective Transformation

A key adult learning theory developed in late 1978 by Jack Mezirow focused on adult perspectives. Mezirow (1990, 2000) states that adults' meaning making is situated in a specific cultural context. Within a specific cultural context, the meaning making of identity and beliefs, are habitually intertwined. New perspectives are transformed or altered by new learning. By converting various cultural and contextual points of view, adults develop changing values and increasing clarity. The results are reframed perspectives that are altered from those that were previously anchored in more stabilized frames of reference. Consequently, a new contextual understanding comes from bridging what is recently experienced to a developing, contour of fresh assumptions. Ultimately, the new learning leads to an alternative, broadened worldview known as learning transformation theory.

The Transformative Process & Critical Reflection

In his book *Learning as Transformation*, Mezirow (2000) notes that stipulations of transformation theory are that adults continually assess contextual understanding in their learning. Adults may critic and reflect on assumptions to validate personal meaning. The core learning result is that a point of view may be changed. The change may take place over a long period of time or in smaller incremental stages. Altered views entering established mental frames of reference formulate new phases of meaning.

Critical reflection challenges current assumptions, and contributes to broadened concepts and ideas. Perspective transformation refers to taking a problematic frame and transposes it into current adult meaning perspectives that generate different opinions and interpretations after critical reflection.

The progression of perspective transformation has been scrutinized among adult learning literature. Some critical perspectives of the theory are noted in research by Brookfield (1986), Gould (1978), Houle (1992), Taylor (1998), and others. Yet, Mezirow's work stands alone as seminal work in adult education.

Learning that fosters transformed perspectives are most prominent when new ideas challenge hegemonic assumptions. It is a definitive aspect of transformative learning according to Brookfield (1986). Critical reflection that fosters becoming aware of power dynamics is a major component of the mindful, self-reflective process of transformation. Having a broadened reordering of how power is formulated and understood infuses critical assumptions with old mindsets. Critical assessments create the environment for establishing other different views. Taylor's (1998) discussion of transformative learning recognizes that a discontent in withholding old views, self-examination, and critical assessment can create a forceful shift in perspectives brought about by unresolved questions and concerns. As a result, there is a new social, contextual perseverance that accompanies relating old and early decisions. The knowledge-based society will require human resource developers to transform learning at work to examine critical assumptions that foster transformative learning. The links that build competence and self-confidence ultimately reintegrates into newly created mental frames of reference, and thus may create a new worldview and may make way for a knowledge-based society.

Humor Theories

The literature base and theories of combining humor and adult learning are not as prevalent as transformative learning and adult learning literature. However, the effects of humor are well documented. The foundational research regarding the physiological and psychological effects of laughter is most prevalent. Physiological and psychological advantageous effects of laughter and humor is more customarily written about and discussed among nursing and counseling professions. Volumes of literature on humor from theoretical composites are disconnected and lack unifying topics. The theoretical foundations of humor are recognized in several areas. Primary theory development has centered on three prominent assumptions.

The three leading theories surrounding humor are incongruity theory, relief theory and superiority theory. Research conducted by Berk (1998), Bryant, (1979), Endlich (1993), Fave (1996), Gruner (1967), Goodman (1983), Herbert (1991) and others target humor for communication enhancements and efficiency or inefficiency of humor on learning. (Kaplan & Pascoe, 1977).

Incongruity humor theory indicates that humor is facilitated by unexpected, illogical, or surprisingly contrasting comments in cartoons, jokes or behaviors. Explanations of humor have evolved from contextual circumstances that indicate surprisingly abnormal outcomes that form absurdities are incongruous and humorous or funny. Social and cultural stipulations surround incongruity theory, and create a variable and unidentifiable theoretical base.

Relief theory primarily connects physiological and psychological releases. The physiological neural firing released by laughter impacts psychological outcomes and the effects are intimately linked to positive outcomes. The

recent proliferation of the healing effects of humor and laughter relies on the scientific research that indicates endorphin released during laughter or humorous encounters produces increased neural firing and stimulates the body's immune system. (Fry, 1992; Frances, 2001; Sultanoff, 1995).

Other initial psychological theories arose from Sigmund Freud. Freud (1960) theorized pent up sexual and aggressive impulses were more socially acceptable in expressions of humor and laughter. Release from anxiety, anger, and other tension producing feelings is the central focus of relief theory. More current research indicates the effects of humor in many cases includes reducing stress, building confidence and increased motivation from a psychological point of view (Endlich, 1993; Goodman 1992; Lefcourt, 2001, 1995, McGhee, 1983; Pease, 1991; Sherman, 1998; Smith, 1971; Struthers, 1993; Watson, 1988; Ziegler, 1998).

Superiority theory is the oldest humor theory, dating back to the height of the Greek and Roman eras. It is steeped in the premise that laughing and humor through disparagement, teasing, or ridicule provokes one person or group to feel superior to another. This theory is the oldest primary explanation for humor. The superiority theory supposes amusement heightens the self-esteem of those thought of as superior. Humor that negatively promotes one individual or group over another and precipitates negative, ego-inflationary results for the dominant group are inappropriate. At the same time, it supposes that amusement and humor diminishes the self-esteem of the less dominant individual or group. It is presumed that humor is perpetuated through laughter, and so is the hegemonic view of the superior group. The viability of anti-social or inappropriate humor can confirm superiority and foster aggression at the expense of others. The results can at the least widen gaps that discourage acceptance of cultural differences and negate cultural inclusion. The worst use of superiority humor can perpetuate oppression of minority groups. It is clear that human resource developers recognize that links to the knowledge society can be defeated within the theoretical humor superiority contexts.

The three key theories of humor that pervade some general assumptions of why humor exists are in all likelihood assimilated into complex and various rationales. Each theory results in different psychological processes. Despite the constricting notions of these theories, they force examination of social and broadened interests and contexts. Unfortunately, the research from a qualitative basis has been quantitatively systematic and forced, leaving questions about the combining of theories as the ultimate theoretical basis.

Offensive Humor and Critical Thinking

Humor tailored in a learning context can enhance adult learning. From that framework, the transformative creation of a sociologically improved worldview may have vast possibilities. However, inappropriate workforce learning and personal development that uses inappropriate humor can have significant negative effects when used under the ancient superiority theory. The perpetuation of verbal inaccuracies regarding gender, race, and dominance of a hegemonic culture may create an offensive and undesirable learning environment. The most serious issue of respect is primarily one of the most important in using humor in adult learning. Offensive humor is the wrong tool or strategy that can perpetuate a range of negative behaviors that may include humiliation, distrust, and feelings of insensitivity. Superiority theories may enhance humor for the dominant group, but perpetuate existing stereotypes and insensitive topics regarding the oppressed group. Most inappropriate humor is negatively impacting to the developing adult learners' views of cultural acceptance. Instructional effectiveness and relation to the educational message is most prominent in the research done by Bryant, Comisky, Crane, and Zillmann (1980). That research concluded that negative effects of hostile or sexually hostile humor resulted in low ratings of instructors by students across all dimensions. Furthermore, their research indicated that educational facilitators should use caution in their use of humor (p.113-116). Most especially, Berk (1998) states there is a risk in spontaneous humor, and the pitfalls to inappropriate humor, even when used as an instructional tool to improve communication, presents a negative consequence of offensive impropriety. Superiority theories manifest themselves in Berk's list of 10 offensive areas to avoid. He emphasizes avoid at all costs: 1) Put-downs of any individual including a popular entertainment of political personality 2) put downs of any group based on race, ethnicity, gender, religion, or sexual orientation3) sarcasm and ridicule 4) Sexual content and innuendo, 5) profanity and vulgarity, 6) humor about physical disabilities 7) humor about extremely sensitive issues (e.g., AIDS, abortion, divorce, personal tragedies) (45). The culturally diverse workforce that is knowledge based and global in scope, can certainly utilize appropriate humor to build bridges that perpetuate individual transformation and social inclusion. However, special attention must be taken to avoid offensive humor that has the reverse affect.

Aligning Non-Transformational Adult Learning and Humor

Problems exist with aligning humor and adult learning. Offensive humor can perpetuate superiority that underlies hegemony. In addition, humor often is sporadic and unprompted and can cause the greatest problem of misconception. The literature on how humor enhances learning is coming forward. There is scattered, discrepant

literature describing the cognitive implications of humor in the classroom. Some literature states retention and comprehension are improved. Yet, other research by Kaplan and Pascoe (1977) indicated that previous studies were inconclusive because they lacked evidence of humor as a strategy for comprehension. They claimed additional explanations are needed to demonstrate that retention and a significant difference in comprehension is achieved by using humor in the classroom (1977).

Incongruity lays the foundation for cognition and humor. Recent research suggests a cognitive shift is an explanation of incongruity theory. Accordingly Latta, states, "The basic humor process hinges on a cognitive shift, which entails that every episode of humor hinges on one essentiality, he states is "the ultimate cognitive-shift..."(1999, p. 49). Latta goes on to investigate definitions of incongruity and the judgments associated with humor. In summary, Latta (1999), states that incongruity theory is "indecisive and inconclusive" (p. 124) due to the wide ambiguity of the meaning of the word.

However, humor can help develop higher order cognition through incongruity. Goodman's (1992) theories indicate that humor plays a key role in problem solving, creativity, and a heightened awareness that can foster the free, exploration of options regarding new roles, relationships, and actions. Furthermore, an exaggeration of the out-of-context components of humor may be revered by cognitive complexities (Berk, 1998, Bryant, 1980et al, 1980, Kaplan & Pascoe, 1977, Fry, 1984, Powell& Andersen, 1985, Smith et al, 1971, Watson & Emerson, 1988).

An excellent example of the humor relief theory is noted by Boverie (et al 1994) in her article, *Humor in Human Resource Development*. In that article she states that humor may enable individuals to change their views of life events from their epistemological threatened perspectives to challenged, broadened views. According to Boverie, , being able to laugh at difficult situations indicates a powerful shift from identifying a crisis to handling crisis in a significant way. Additionally, interpersonal reasons for humor, such as gaining support of others in difficult times may also result in desired, supportive outcomes. (p.76). Even though these identifications may be affectively steeped in psychological underpinnings, a cognitive switch may take place before during or after the difficult situation.

Beneficial Applications of Humor in Adult Learning

Humor literature reveals a relationship between giftedness and creativity. Bridging new awareness and humor aligns purposeful learning with a twist. Divergent thought is incorporated in the physiological, psychological, social, and contextual aspects of humor and can be linked to adult learning. An exaggeration emphasized by out-of-context components of humor cognitively stimulates interest and increases motivation. Sharing humor and laughter about critical or difficult learning helps to facilitate the credible assumptions that link adult learning and humor. This point is supported by both humor theories of incongruity and relief. When a funny line is delivered at the right time to an understanding listener or viewer, the attitude toward the subject is enhanced. Satisfaction and comprehension with the subject is improved. ((Berk, 1998, Bryant, 1980et al, 1980, Kaplan & Pascoe, 1977, Fry, 1984, Powell& Andersen, 1985, Smith et al, 1971, Watson & Emerson, 1988).

A limited humor literature base states topic related humor in the classroom environment can greatly contribute to the point of the learning session. (Berk, 998, Hudson, 2001, Johnson, 1990). Well-developed skills in humor delivery are also key to invigorating learning. The right touch of relevant humor at the right time can perk up or illustrate important points in learning. Funny cartoons, quotes, observations, letters, and personal anecdotes and stories that convey humor in strategically important segments of learning, can add zest and relevance to learning. When used as a strategic application to learning enhancements, practiced appropriate humor can be essential to instructional effectiveness. All strategies apply to the positive aspects of incongruity and relief theory.

The possibilities are endless in applications of humor in adult learning. Yet, the foundational support and respect basic to the nature of learning must be provided through cohesive, nurturing and communication. Further appropriate humor may provide the links to the transformative learning process when used in context and strategically. Adult education through humor can provide a link to learning. As with humor, there are educational benefits linked with adult education from the psychological, physiological and sociological perspectives. Mezirow (1991) states: "The essence of adult education is to help learners construe experience in a way that allows them to understand more clearly the reasons for their problems and the action options open to them so that they can improve the quality of decision making. (p.203).

The basic fundamental guide for HRD professionals in fostering critical reflection is to allow empowerment through equal discourse and dialog. Through the application of humor, dialog and discourse can be stimulated in an interesting and promising way. Participation in adult learning work environments that foster validation and self-reflection of new learning can create ideal conditions for the fundamental components of transformation to occur. Understanding the learner's involvement in life long learning experiences that is demonstrated through dialog and

discourse fosters adult learners' inquiry. Further, including humor stimulates discussion and nurtures equal participation that is critical to the formulation of new roles and ideas outlined in Mezirow's perspective transformation. Humor when used in appropriate contexts can decrease impending, overwhelming uncertainties and promote clarity and promise about developing perspectives. Humor can provoke and facilitate an interesting learning environment.

According to Patricia Cranton (1994), "Fostering learner empowerment also involves setting the stage for critical self-reflection" (p. 159). She indicated that by offering strategies for adult educators that create and enhanced learning environment, cultivates less divergence between learner experiences and new or conflicting information. She states: "[Providing] provocative readings, unusual events, outrageous statements, and unexpected activities can all help create an environment in which differences are not only acceptable but encouraged. This kind of atmosphere leads one to examine long-held assumptions or values" (1994, p. 159).

Popular humor can provide unusual events and outrageous statements. New frames of reference can be cultivated when presented in a humorous context. Popular humor can also perpetuate stereotypes and reinforce cultural values. Therefore, in creating a climate of acceptance as Cranton (1994) suggests, the environment will guide adults into the skills fundamental to critical thinking and reflective practice. Humor that causes a cognitive shift can facilitate meaning formulations for adult learners' and allow individual differences in non-threatening, non-judgmental environments to coexist. Yet, these formulations are some of the key challenges that face human resource developers in fostering the critical reflection process.

Operationalized Humor in Adult Transformative Learning

The critical reflection process is fundamental to transformative learning. Furthermore, motives for gaining insights can be indefinitely individualized and unique. Beginning a learning session by using appropriate humor in context can provide the outrageous attention-getting strategy that can foster learning empowerment. Providing a funny story, joke, or riddle can diminish the introversion some adults may feel about certain upcoming learning activities. By applying humor to the broad contexts of work, human resource developers can use humor to express truth even when truth is repressed or feared. The median approach, somewhere between perpetuating hegemonic values and transformative regeneration of life experiences, is a pragmatic utility of humor that can impact learning simply because it adds an element of fun. Humor can help us cope with problems. Humor often succeeds when other methods have failed. By offering humor HRD professionals can offer an improved psychological, physiological and sociological setting to learn, explore and grow.

Sociological views of humor suggests that meaning and relationships can be facilitated through humor, laughter, and the common meaning and knowing that comes from communication. Human resource development that is challenging, yet fundamentally known and understood by worker learners can expand by using humor infused with existing knowledge about group camaraderie and playfulness. By supporting and challenging learning among adults, Daloz, (1986) and Boyd (1989) claim adult learners' growth can be promoted by developing group building exercises. Ultimately skilled human resource developers can build supportive relationships among groups over a short period of time. By beginning and interjecting appropriate humor, tensions can be lessened, and openness and support can be modeled. Group building can be stressed throughout the dynamic group learning processes, and fostered through contextual humor that is appropriately timed. Fostering and building on feelings of unity in groups can be enhanced through humor and laughter. Physiological, psychological, and sociological theories support the positive aspects of using humor in groups.

Humor as a Social Corrective

A general superiority statement that substantiates the triumph of one person or group of persons over another can facilitate amusement and hegemony at the same time. Humor may link attitudes and values that can mark transformative perspectives, especially in the instances of emotional turmoil and pain. Consequently, the inappropriate use of humor can backfire and adversely effect perspective transformation. Consider for example an oppressively dominant group egged on in a heightened negative awareness of their perceived superiority. By ridiculing an oppressed group, it is presumed the sociological implications of humor can bind the superior group's relations and can be used as a tool for developing solidarity, where their oppressive views are magnified. Herbert states in his article *Humor in the Classroom: Theories, Functions, and Guidelines*, "The more intense the negative disposition toward the disparaged person or thing, the more viable the use of humor becomes in elevating the magnitude of laughter" (p. 10). Further self-examination, self-reflection and critical assessment by the worker learner can be established about the inappropriately offensive, oppressive humor that was used. In those contexts, the heightened awareness can make new meanings of hegemony and oppression. Critical reflection can bring evaluation that bridges disconnections with previous frames of references, and fosters dawning of new assumptions.

The triggering humorous hegemonic event that jars established mental frames of references can foster perspective transformation.

Conclusions That Lead to Further Research

The social, contextual, and relational critical points of view lead to sharing, questioning, debating, and updating of the dominant cultural values of individuals. Critical reflection is a natural outcome of that process. The objective and subjective reframing that involve critical reflection, substantially permeates transformative learning, in relational ways that can initiate a substantial change and plan of action. I have reviewed that by applying the superiority theory of humor in a workforce learning context, the wrong views are endorsed. Using humor in the worst-case scenarios fosters superiority theory that can defy the foundational aspects of transformative learning such as understanding individual differences and the role of support in adult educational settings. The sensitivity of appropriate humor and awareness of classroom demographics are essential to avoiding offensive humor that undermines learning.

In this decade human resource developers are poised to attract and retain excellent workers, by training and educating workers in profound, and life changing ways. Central to adult learning and significant professional development is transformative learning. Humor is one tool that can advance attitudes of group camaraderie and interaction. Learning in groups potentially expands learning perspectives. Examining psychological perspectives, Gestalt theorists would agree changes the meaning of the whole to a cognitive factor, and accordingly could be the reason for adding a great punch line.

Berk (1998) states that adding humor throughout the learning process, adds unique interactions in the classroom can "...provide a powerful instructional package for our students"(p. 85). He goes on to list ten examples of techniques to operationalize and integrate humorous material into the learning environment. They are 1) Humorous material on the syllabus 2) Descriptors, cautions and warning s on handouts 3) Opening jokes 4) Skits and dramatizations 5) Spontaneous humor 6) Humorous questions 7) Humorous examples 8)Humorous problem sets 9) Jeopardy! type of reviews for exams, and 10) Humorous material on exams" (p.87). Using these techniques can incorporate appropriately used humor that may advance human resource development goals to a higher personal, professional, and organizational development through humor.

Yet, further research should be conducted to discover how life changing does it have to be before learners experience humor in appropriate contexts? What types of humor perpetuates perspective transformation? Where are the sociological boundaries that transform hegemonic views into the creative phenomena needed to perpetuate new altered worldviews that pave the way for the knowledge-based society? What are the links between essential elements of adult learning, human resource development, transformative learning and humor that can be beneficial?

Creativity and new ideas that facilitate the explorations of optional new roles, relationships, and actions can be enhanced through appropriate humor. The seeking of new functions and roles integrates plans for new actions that are central to transformational learning. Humor can build competence and self-confidence in assuming new roles. The trial and error process often developed in a reintegration of new perspectives originated in appropriate humorous contexts can enhance new phases of meaning. Altered views through humorous venues can facilitate the progression of group and individually related experiences. Furthermore, the acquisition of a new proficiency of knowledge, based on new meanings, is crucial to transformative learning. The relevance of this work is the review and infusion of the cornerstone of adult education, transformative learning and human resource development. The change that perpetuates the meaning of learning and work can advance engaged worker learners that can dramatically alter their individual meaning perspectives. It can foster cross-cultural demarcations and facilitate a knowledge-based society.

Future developments in this field may expand avenues to a knowledge based workforce that has implications toward a knowledge based, global society. Furthermore, humor can add links to the acquisition of new proficiency and new meanings that is crucial to adult transformational learning. The variance of human resource development that bridges workforce training and organizational development to creating the knowledge-based society relies on individualized transformative adult education. The growing interest offers hope for an advanced global workforce and a key role for the field of human resource development.

References

- Belenky, M.F., Clinchy, B. McV., Glodberger, N. R., & Tarule, J.M. (1986). *Women's ways of knowing*. New York: Basic Books.
 Berk, R. (1998). *Professors are from Mars, students are from Snickers*. Madison, WI: Mendoata Press.

- Berk, R. A. (2000). Does humor in course tests reduce anxiety and improve performance? *College Teaching*, 48(4), 151-159.
- Boverie, P., Hoffman, J. F., Klein, D. C., McClelland, M., & Oldknow, M. (1994). Humor in human resource development. *Human Resource Development Quarterly*, 5(1), 75-91.
- Boyd, R. D. (1991). *Personal transformation in small groups*. New York. Routledge.
- Brookfield, S. (1986). *Understanding and facilitating adult learning*. San Francisco. Jossey Bass.
- Bryant, J., Comsky, P., & Zillmann, D. (1979). Teachers' humor in the college classroom. *Communication Education*, 28, 110-118.
- Bryant, J., Comsky, P. W., Crane, J. S. & Zillmann, D. (1980). Relationship between college teachers' use of humor in the classroom and students' evaluations of their teachers. *Journal of Educational Psychology*, 72(4), 511-519.
- Cohen, T. (Speaker). (2002). *Being serious about jokes*. [Presentation and Paper]. Harvard Club of Chicago, 6:15 pm; October 1, 2002: McDermott, Will & Emory, 45th floor, 227 W. Monroe St., Chicago: IL.
- Cohen, T., (1999). *Jokes: Philosophical thoughts on joking matters*. Chicago: University of Chicago Press.
- Daloz, L. (1999). *Mentor: Guiding the journey of adult learners*. San Francisco. Jossey Bass.
- Dirkx, J. (1997). Nurturing soul in adult learning. *Adult Education Quarterly*. 74, 79-87.
- Ekman, P., & Rosenberg, E. L. (1997). *What the face reveals: Basic and applied studies of spontaneous expression using facial action coding system*. Oxford: Oxford University Press.
- Endlich, E. (1993). Teaching the psychology of humor. *Teaching of Psychology*, 20(3), 181-183.
- Fave, L. L., Haddad, J., & Maesen, W. A. (1996). Superiority, enhanced self-esteem, and perceived incongruity humor theory. In A. J. Chapman, & H. C. Foot (Eds.), *Humor and laughter: Theory, research, and applications*. (pp. 63-91). New Brunswick, NJ: Transaction Publishers.
- Fry Jr, W. F. (1992). The physiologic effects of humor, mirth, and laughter. *JAMA*, 267(13), 1857-1858.
- Freire, P. (1994). *Pedagogy of hope: Reliving pedagogy of the oppressed*. New York: Continuum.
- Freud, S. (1960). *Jokes and their relation to the unconscious*. New York: Norton.
- Goleman, D. (1998). *Working with emotional intelligence*. New York: Bantam Books.
- Goodman, J. (1983). How to get more mileage out of your life: making sense of humor, then serving it. In P. McGhee & J. Goldstein (Eds.) *Handbook of humor research* (pp. 3-21). New York: Springer-Verlag.
- Goodman, J. B. (1992). Laughing matters: Taking your job seriously and yourself lightly. *JAMA*, 267(13), 1858
- Gould, R. (1978). *Transformations: Growth and change in adult life*. New York: Simon & Schuster.
- Gorham, J., & Christophel, D. M. (1992). Students' perceptions for teacher behaviors as motivating and demotivating factors in college classes. *Communication Quarterly*, 40(3), 239-252.
- Gruner, C. (1997). *The game of humor: A comprehensive theory of why we laugh*. New Brunswick, NJ: Transaction Publishers.
- Houle, C. O. (1998). *The inquiring mind*. Research Center for Continuing Education, University of Oklahoma.
- Houle, C. O. (1992). *The literature of adult education*. San Francisco: Jossey Bass.
- Herbert, P. J. (1991). *Humor in the classroom: Theories, functions, and guidelines*. Paper presented at the Annual Meeting of the Central States Communication Association, Chicago, IL. April 11-14.
- Hudson, K. M. (2001). Transforming a conservative company—One laugh at a time. *Harvard Business Review*, July-August, 45-53.
- Kaplan, R. M., & Pascoe, G. C. (1977). Humorous lectures and humorous examples: Some effects upon comprehension and retention. *Journal of Educational Psychology*, 69(1), 61-65.
- Kegan, R. (1994). *In over our heads: The mental demands of modern life*. Cambridge, Mass.: Harvard University Press.
- Knowles, M. (1980). *The modern practice of adult education: From pedagogy to andragogy*. (2nded.). New York: Cambridge.
- LaFave, L., Haddad, J., & Maeson, W. (1996). Superiority, enhanced self-esteem, and perceived incongruity humor theory. In A. Chapman & H. Foot (Eds.) *Humor and laughter: Theory, research, and applications*. New Brunswick, NJ: Transaction Publishers.
- Latta, R. L. (1999). The mystery of humor and sundry further matters. In V. Raskin, & M. Apte (Eds.). *Humor Research 5. The basic humor process: A cognitive-shift theory and the case against incongruity*. (pp. 3-27). Berlin: Mouton de Gruyter.
- Latta, R. L. (1999). The Fundamental Question of Humor Theory. In V. Raskin, & M. Apte (Eds.). *Humor Research 5. The Basic humor process: A cognitive-shift theory and the case against incongruity*. (pp. 29-34). Berlin, New York: Mouton de Gruyter.

- Latta, R. L. (1999). Theory L. In V. Raskin, & M. Apte (Eds.). *Humor research 5. The basic humor process: A cognitive-shift theory and the case against incongruity.* (pp.37-49). Berlin, Mouton de Gruyter.
- Latta, R. L. (1999). Incongruity theory and the concept of incongruity. In V. Raskin, & M. Apte (Eds.). *Humor research 5. The basic humor process: A cognitive-shift theory and the case against incongruity* (pp. 101-125). Berlin, New York: Mouton de Gruyter.
- Lefcourt, H. M. (2001). *Humor: The psychology of living buoyantly.* New York: Kluwer Academic/Plenum Publishers.
- Lefcourt, H. M., Davidson, K., Shepherd, R., Phillip, M, Prkachin, K., & Mills, D. (1995). Perspective-taking humor: Accounting for stress moderation. *Journal of Social and Clinical Psychology.* 14(4), 373-391.
- Lindeman, E. (1961) *The meaning of adult education.* (ed.) Montreal, Canada: Harvest House.
- Mcghee, P. E. (1999). *Humor, health and the amuse system.* Duboque, IO: Kendall/Hunt.
- Mcghee, P. E., & Goldstein, J. H. (1983). *Handbook of humor research.* New York: Springer-Verlag
- Mezirow, J., & Associates. (1990). *Fostering critical reflection in adulthood: A guide to transformative and emancipatory education.* San Francisco: Jossey-Bass.
- Mezirow, J. & Associates. (2000). *Learning as transformation.* San Francisco. Jossey-Bass.
- Mezirow, J. (1991). *Transformative dimensions of adult learning.* San Francisco. Jossey-Bass.
- Rush, W. (Ed.)(1998). *The sense of humour: Explorations of a personality characteristic.* Berlin: Mouton de Gruyter.
- Senge, P. M. (1994). *The fifth discipline: The art and practice of the learning organization.* New York. Currency/Doubleday.
- Smith, R. M. (1982). *Learning how to learn: Applied learning theory for adults.* New York. Cambridge Books.
- Sultanoff, S. (1995). Levity defies gravity: Using humor in crisis situations. *Therapeutic Humor,* IX(3), 1-2.
- Taylor, E. (1998). The theory and practice of transformative learning: A critical review. *Information Series.* No. 374. Columbus: ERIC Clearinghouse on Adult, Career, and Vocational Education, Center on Education and Training for Employment, College of Education, the Ohio State University.
- Wanzer, M. B., & Frymier, A. B. (1999). The relationship between student perceptions of instructor humor and students' reports of learning. *Communication Education,* 48, 48-61.
- Ziegler, J. B. (1998). Use of humor in medical teaching. *Medical Teacher,* 20(4), 341-348.

Escaping the Tyranny of Belief

Albert K. Wiswell

C. Leanne Wells

Virginia Tech

This study describes an action research case study through which the dynamics of identifying and changing strongly held assumptions illustrate the differences between experiences that serve to strengthen beliefs from those that lead to learning. Theoretical considerations are presented linking cognitive schema, action science, attribution theory, and learned helplessness in relation to interventions that may be effective in addressing error in informal learning.

Keywords: Learning, Attribution, Mental Models

Under pressure from legislative bodies and tax paying citizens to have increased accountability, many school districts are implementing a merit pay system in which monetary rewards are based, in part, upon performance evaluations of actual classroom teaching behavior. New dynamics of interactions among teachers and administrators result from these programs and may require some additional interpersonal skills. Described here is a case study illustrating some aspects of these dynamics and how they were resolved through more careful communication aided by the application of a model of informal experiential learning and belief.

The purpose of this research was to develop an understanding and offer an explanation of how certain dynamics of experience interact, specifically in reference to these questions:

1. From a conceptual perspective of experiential learning, how do beliefs develop and persist?
2. Why are beliefs so difficult to change, even when based on incorrect or incomplete information and interpretations?
3. How might learning error be reduced through various ways of testing experience?

Changing Role of Performance Evaluation

Without a direct and quantifiable tie to monetary rewards, performance evaluations have been used by teachers as a feedback mechanism to monitor and document their professional development and to improve their professional practice. With a change to tie these evaluations to direct monetary reward, the importance may shift from that of a feedback mechanism to a mechanism for supplementing an arguably less than adequate salary and demonstrating a credible professional status.

The role of the evaluator may also change, being under some constraints in performing the evaluation. Awarding each teacher the highest rating would inflate the overall ratings, as well as call into question the principal's ability and expertise to discriminate quality in teaching. So there is pressure to impose variance in the ratings, even if little exists. Also, the system results in teachers competing with each other, at least in terms of how they are perceived by the evaluator. In addition, the evaluator may develop a tendency to look for any signs of easily documentable weaknesses on the part of the teacher and perhaps overlook strengths that are not easily translatable into behavioral descriptors.

Action Research Case Study

A public school teacher was involved in a performance evaluation in a school district with performance-based merit pay. A direct cash bonus is paid at the end of the academic year if the total evaluation is above 3.0 on a 4 point scale. Since this was a newly instituted program, many issues had surfaced, at least in minds of teachers that had not previously been of great concern with respect to the evaluation process. These included questions about the qualifications of the evaluator in subject content and in teaching effectiveness as well as questions about the evaluation instrument and the teaching model it was based on. There was concern about the validity of the instrument as well as how objective the process would be in relation to subjective judgments of the evaluator. These underlying issues framed the specific experience for this particular teacher.

Copyright © 2003 Albert K. Wiswell & C. Leanne Wells

This particular teacher was due for an unannounced class observation that focused a large part of the total evaluation. The principal was to be the observer for this component and was also responsible for the ratings on the rest of the evaluation. The evaluation is based on clearly observable behavioral data, and, as such, the content of the evaluation is not a valid grievance, and this is stipulated by state law. The final date was approaching when the principal was to have all evaluation completed for all the staff, and this teacher had not yet been evaluated by the unannounced class observation. In fact, it was the last week before evaluations were due, and she was getting somewhat nervous about it in anticipation.

One day, during that week, the teacher had a behavior problem with a disruptive student in the class just before lunch. The student became emotionally and behaviorally unable to function in the classroom and had to be removed physically and taken to the office. The parents had to be called to take the student from the school. The lunch period that followed this class was spent by the teacher filling out report forms, calling the parents, and consulting with the principal about this incident. While an incident such as this is not out of the realm of experiences for teachers, it was (in this case) not a typical or normal occurrence. As such, the teacher was, to a degree, distraught and emotionally drained from this experience. Also, because of all these activities, she did not have time to eat lunch. In fact, she just barely had time to get back to the next class, arriving just as the bell was ringing.

Then, who should walk in about thirty minutes later but the principal, ready to do the unannounced class observation/evaluation. As might be predicted, the teacher was not at her best during this class, but conducted it in a satisfactory, albeit not brilliant, manner. Her overall rating was *2.7 out of 4.0*, which was not bad but was under the 3.0 cut off for the merit pay adjustment. The behavior observations that impacted most negatively on the evaluation included accompanying comments such as, "*was disorganized at the beginning of class, assignment was not written on board, students not in seats,*" etc.

The teacher received a copy of the evaluation the next day and was initially incensed. There was a three day time limit in which she could respond to any of the aspects of the evaluation that were in error, but she was not inclined to do so, *knowing that the descriptions of the class were behaviorally accurate, and she was attributing that the principal had "set her up,"* so to speak. That is, that the principal had deliberately chosen to observe her at her worst in order to give her a mediocre evaluation since she *did not feel she was one of those teachers in the "inner circle"* who received more tacit support from the principal. She used this occurrence to attribute negative motives to the principal and then *looked for other evidence* to support that. That additional evidence included her awareness that, of all the classes she taught, *that course had the least structured curriculum* in the sense that it was at a higher level than others and more difficult to describe in observable behavioral objectives. Thus, she felt that, additionally, the principal had chosen this class because it would be easier for the principal to observe that the objectives were not clear and question whether they were met.

Other evidence that came to her mind was that *other teachers* in her department had been *evaluated in their lowest level*, highest-structured classes, in which objectives and outcomes are more easily described. Also, they had been *observed several weeks earlier* so presumably had not had to remain apprehensive about the process as long. Moreover, the principal having been involved with her in the immediately previous student incident knew full well what the teacher had been going through and must have been aware that she was somewhat distraught due to extenuating circumstances. Therefore, the fact that the unannounced observation was done at that time was deliberate maneuver to catch her at her worst.

Part of the evaluation procedure allowed for the teacher to provide a written response to the evaluation within three days of receiving a copy. The teacher did this, explaining in writing that she felt that the incident prior to class negatively affected the class performance and the evaluation and that that should be taken into consideration or the observation should be done again. The principal responded back with a note stating that he was aware of the circumstances, had made allowances for them in the ratings, and the evaluation would stand as it was. This was particularly distressing for the teacher since several of the relevant categories had been rated zero, and she at this point felt helpless about changing the situation.

All of this was confirming evidence of the hypothesis that the principal had "set her up" for a negative evaluation. There was no evidence to the contrary to disconfirm the hypothesis. This, then, became her view of the state of nature of this incident. The principal had a malevolent character, at least the motives toward her were negative, and this interpretation led to specific plans for her future behavior.

She then proceeded to formulate the following plans:

1. to file a grievance through the personnel office claiming unfair treatment,
2. to write a letter to the superintendent complaining about the principal's actions, and
3. to resign her position.

These actions made sense, given the validity of her hypothesis. If the principal was that sinister in conducting the evaluation and had generally negative motives in relation to her, then the employment future was not favorable in terms of professional and career development.

Action Research Intervention

At this point, the first author had an opportunity to work with the teacher in the capacity of consulting with her about her experience and her intended plans. The primary intervention, besides pointing out the ultimate futility of the intended plans, was to raise the possibility that the original hypothesis was not valid, that the interpretation was faulty. Raising this as a possibility, the teacher was encouraged to further test the hypothesis and the accompanying supporting evidence. This took the form of viewing some of the evidence as continuing hypotheses or questions, namely:

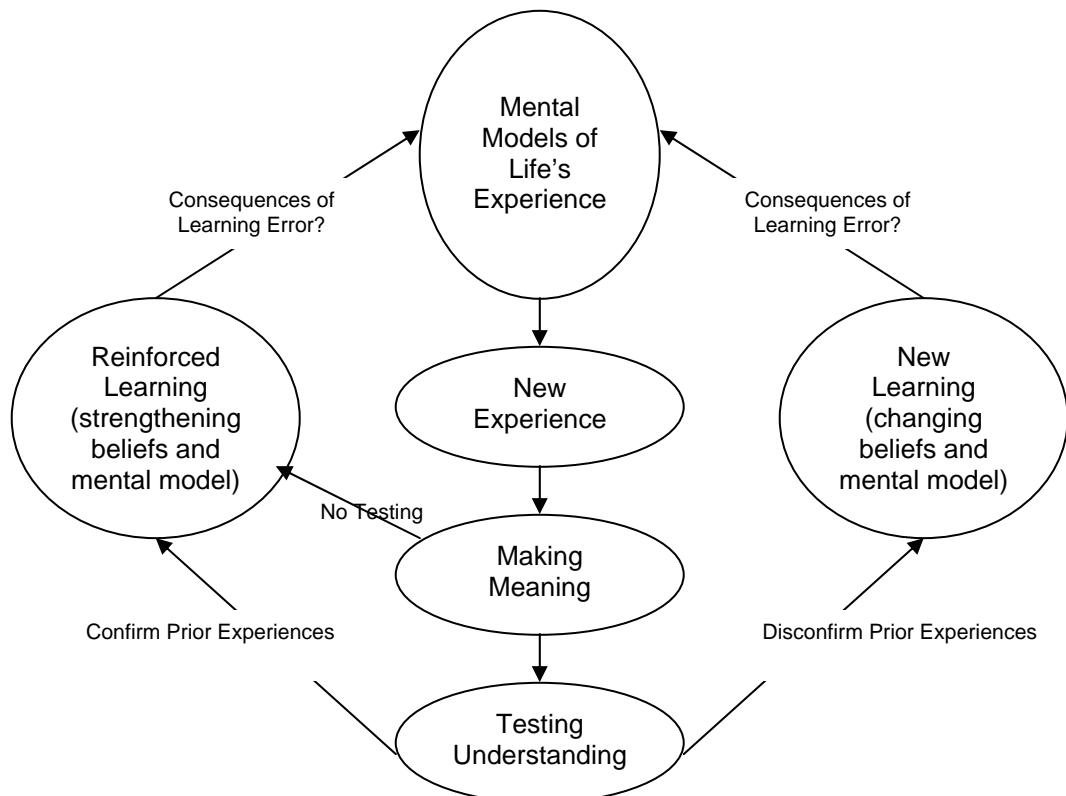
- Was the principal aware of the effect of the class description on the performance of the teacher during the following period?
- Was the principal aware that the observed class was the least structured of all the classes she taught?
- Did the principal have ulterior motives in conducting the evaluation in the manner in which it was done?

It should be noted that a direct testing of someone's motives is somewhat difficult unless there is a fairly solid personal relationship.

Experiential Model of Learning and Belief

A synthesis of multiple learning and belief theories, the model in Figure 1 captures the cognitive – perhaps emotional – processes as an individual assimilates a new experience into an existing mental model of life's experiences. The individual builds life experiences by making meaning of each new experience, perhaps testing understanding of the new experience, then augmenting or strengthening an internal belief system through new or reinforced learning. We'll first examine application of the model to the case study example, then conclude with highlights of the theoretical underpinnings of the model.

Figure 1. An Experiential Model of Learning and Belief



Application of Model to Case Study

Little is revealed regarding the teacher's existing mental models of life's experiences. However, we do know that she did not feel a part of the "inner circle" of teachers who received tacit support from the principal. Given the new experience of receiving the negative evaluation, she makes meaning (attribution) of this experience by formulating an hypothesis that the principal has sinister motives: essentially that he "set her up, choosing to observe her at her worst." She bases this hypothesis on the "evidence" that the principal chose to observe her in her least structured, highest level class, one for which learning outcomes are most ambiguous and, further, a deviation from the experience of other teachers who were observed in their most structured, lowest level classes.

Additional "evidence" includes that the principal waited until "the last minute" to complete the observation and chose to do so during a time when he was aware that she had just experienced an uncommon, problematic, stressful incidence.

Following this meaning making process, the model acknowledges a forced-choice event: either the individual tests understanding of the meaning making or proceeds without testing. The teacher, confident in her beliefs as bolstered by her "evidence," does not actively test understanding. Clearly for her, the "evidence" serves to strengthen her beliefs that the principal is sinister. Her learning about "how things work" is reinforced and this new experience is assimilated into her mental model of life's experiences. Indeed, her learning is so strongly assimilated that she commits to a series of actions, including filing a grievance through the personnel office, writing a letter to the superintendent to complain about the principal's actions, and resigning her teaching position.

But what if she is wrong? And by wrong we mean what if the teacher's attributions – her meaning making – is faulty and has led to incorrect experiential learning? How would she know if her hypothesis was right or wrong? One way to correct incorrect learning is to test understanding, an interactive process that may lead to disconfirming prior experience or to confirming prior experience.

Returning to the "evidence," the principal elected to complete the evaluation during the teacher's least structured, highest level class and immediately following an uncommon, problematic, stressful incidence experienced by the teacher. The teacher's attribution: He wanted to catch me at my worst. The following scenarios are the actual outcomes that occurred when the teacher tested her attributions and understanding of this experience.

Test 1: (Teacher) "Did you know that was my least structured class, with the most ambiguous learning outcomes?" (Principal) "No, I didn't know it mattered what class I observed."

Test 2: (Teacher) "Were you aware that I was stressed by the earlier discipline incident?" (Principal) "No, interacting with you during that incident reminded me that I hadn't completed your evaluation."

Without testing, the teacher's determined course of action as based on her meaning making would have been disastrous. Admittedly, the testing of understanding may either support or fail to support the preceding meaning making. Additionally, the model stipulates learning error regardless of the outcome of the testing process. It is an imperfect process.

Theoretical Underpinnings

As acknowledged earlier in this paper, the proposed model of experiential learning and belief is a convergence of established constructs, theories, and frameworks – specifically, cognitive schemas, attribution theory, learned helplessness and learned optimism, and action science. We will highlight each of these in turn and relayed in the model sequence.

Cognitive Schemas

Developing from "simple networks into more complex structures" (Scholl, 2002, ¶ 5) psychology's cognitive schemas are how we organize knowledge about ourselves, others, events, and social roles. These schemas are classically viewed as the "product of one's internal mental apparatus ... [as well as] an emergent property of the constant interaction with the environment" (Szokolszky, 1998). Representing the totality of experiences, as well as temperaments and personality, the *mental models* create the frame and filters for understanding and interpreting all new experiences. As such, these mental models are equivalent to frames of reference and cognitive schemas and possess a developmental aspect, relating to cognitive development and various adult learning concepts, such as transformational learning. Reflecting on the proposed model, individuals with more rigid schemas tend to make quicker, more assumed meaning of new experiences and bypass testing understanding. Alternately, individuals with flexible schemas more freely question the meaning of and openly test understanding of new experiences.

Attribution Theory

One way individuals make meaning of new experiences is through an attributional process. Attribution is a natural human response to behavior and events: an “answer” that assigns causality in an intrinsic need to know “why” – a fundamental need to understand in an effort to explain, even to anticipate, predict or control our world. It is a survivalist’s strategy for maneuvering and thriving in spite of adverse odds or events (Heider, 1958). In a given situation, an *observer*, who may or may not be directly involved in the *event*, observes an *actor’s* behavior, making interpretations and drawing conclusions. Attribution theory addresses this process of how the observer selects and combines information to make causal judgments (Fiske, 1991; Heider; Jones & Davis, 1965; Kelley, 1972). In essence, it is how an individual makes sense of behavior and events and constructs a reality of the world.

Typically, the observer considers and weighs *situational factors*, which are environmental and external to the actor, along with *dispositional factors* that are internal to the actor and often labeled as stable, unyielding, even permanent to the actor’s personality. Streamlining the complexities of the theory, the most common applications are those of the four attributional dimensions. In weighing the situational and dispositional factors, the observer considers the actor’s behavior in terms of locus of causality (internal, external), stability (fixed, variable), controllability (controllable-uncontrollable), intentionality (intentional, unintentional), and globality (global, specific). The observer’s internal or external locus of causality influences either a dispositional or situational perspective of the situation. When an observer weighs the actor’s behavior more dispositionally, attribution is made in terms of fixed, intentional, and global factors. In essence, the behavior “is what it is” and likely what it has and will continue to be. Conversely, when an observer more strongly weighs dispositional factors, the attribution signifies more credibility for variable, unintentional, and specific environmental influences.

Within the proposed learning and belief model, this attributional, meaning-making process leads the individual to pursue or abandon testing. The individual’s sense of internal or external locus frames the existing mental model. Assigning internal control of the new experience, the individual, less fearful of questioning existing learning and beliefs, is more likely to assume situational attributions that question and test the new experience against the existing mental model. Thus, while dispositional attributions limit qualities such as objectivity, curiosity, and inquiry that are essential for catalyzing testing understanding of the new experience, situational attributions position the individual to more freely accept and pursue testing.

Learned Helplessness and Learned Optimism

Rooted in behaviorism and avoidance learning, the learned helplessness phenomenon acknowledges an independence between action and reaction. – meaning the individual assumes an external locus of control and, therefore, does not take action to influence an event. It is a “giving up reaction” (Seligman, 1990) to life’s experiences. Such learning “interferes with subsequent formation of associations [and] undermines motivation” (Maier, Perterson, & Schwartz, 2000). As the theory of learned helplessness evolved, attributional qualities were incorporated to portray an individual’s tendency to explain causality of bad events (Peterson & Seligman, 1984). The emergence of explanatory or attributional style opened the door to presuppose individuals who act in logical, rational ways to interpret experiences and, as such, laid the groundwork for the theory of learned optimism (Schulman, 1999). In terms of the attributional dimensions, learned helplessness assumes pessimistic expectations and the individual assesses the situation as internal, stable, and global; learned optimism dictates positive expectations for an individual who views the situation as external, unstable, and specific. Here, interpretation of the internal/external dimension is in terms of locus of causality rather than locus of control.

Essentially, learned helplessness and learned optimism further clarify the attributional process demonstrated in the proposed learning and belief model. Following a learned helplessness course of action, the individual will make meaning for negative experiences as internal, stable, and global, abandoning testing understanding as a futile effort. Learned optimism leads the individual to interpret negative experiences as external, unstable, and specific, demonstrating a belief that negative experiences are more exceptions rather than the way the world works. Learned optimism positions the individual as less vulnerable, more resilient to negative experiences and less unafraid to test understanding of this event within existing mental models.

Action Science

Testing understanding is an active, interactive process that questions the validity of the attributions, inferences, and evaluations made during the meaning-making process. As imagined, this is not always an easy or welcomed process for individuals, as it demands that the observer share – perhaps even “lose” – control of the situation (Argyris, 1982). Under the premises of action science, the attributional observer morphs into participant with public testing of the attributions (Riordan, 1995), which may produce feelings of exposure and vulnerability.

What encourages or dissuades the observer to shed a self-protective cloak and risk the public testing process? Wedged between the meaning-making process and the decision to “test or not to test” you will likely discover the

individual's theory-in-use, as learned and developed through lifelong socialization processes (Putnam, 1999). Theories-in-use, which are theories of practice, contrast with espoused theories, which are the theories of action that individuals claim to hold and that do not always translate into practice, especially in difficult, unexpected, or threatening situations (Argyris, 1982).

Argyris (1982, 1995; also Argyris, Putnam, & Smith, 1985) proposed two models, which serve as frameworks for the individual's preferred and employed action strategies, which are under-girded by a set of governing values. Table 1 depicts the two models' governing values and action strategies.

Table 1. Argyris Theory-in-Use Models

Model I Theory-in-Use		Model II Theory-in-Use	
Governing Values	Action Strategies	Governing Values	Action Strategies
Control and achieve your intended purpose of the encounter	Advocate your position in order to be in control and win	Valid (confirmable) information	Advocate your position and combine with inquiry and public testing
Maximize winning and minimize losing	Unilaterally save face – yours and others	Free and informed choice	Minimize unilateral face-saving
Suppress negative feelings	Evaluate thoughts and actions – yours and others	Vigilant monitoring of implementation of choice	Evaluate thoughts and actions – yours and others
Behave according to what you consider rational	Attribute causes for what you are trying to understand		Attribute causes for what you are trying to understand

Adapted from *Action Science*, by C. Argyris, R. Putnam, and D. Smith, 1985; also "Action science and organizational learning," by C. Argyris, 1995, *Journal of Managerial Psychology*, 10(6), pp. 21-22.

Interwoven in the public testing process are the same risks and control vulnerabilities also discussed in the attribution, learned helplessness, and learned optimism literature. Returning to the proposed learning and belief model, a Model I Theory-in-Use characterizes an individual who is likely to forego testing and experience a reinforcement of existing learning and strengthening of beliefs. In terms of action science, the individual experiences single-loop learning and self-fulfilling, self-sealing processes. Alternatively, the individual who engages in Model II Theory-in-Use practices embraces public testing and reaps the rewards of double-loop learning and reduced self-fulfilling, self-sealing processes.

Thus, an individual enters the model with an established cognitive schema, which serves as the mental model for processing the new experience. During the meaning-making process, the individual attributes causality to the new experience in terms of the locus of causality, stability, controllability, intentionality, and globality. Also active in the meaning-making phase are elements of learned helplessness and learned optimism. Individuals evidencing learned optimism are more likely to assign situational attributions to the new experience and are more likely to engage in testing. However, individuals evidencing learned helplessness typically assign dispositional attributions and move from meaning-making to reinforced learning, without testing understanding of the new experience against the existing mental model. The testing process itself is indicative of action science principles and is a demonstration of public testing of the attributions.

Conclusions

This action research case study describing the dynamics of identifying and changing strongly held assumptions illustrates the differences between experiences that serve to strengthen beliefs from those that lead to learning. Theoretical considerations linking cognitive schema, action science, attribution theory and learned helplessness / optimism can inform practice in relation to learning and intervention.

So what potential conclusions may we reach? First, hypotheses are easier to accept than reject. Acceptance is a cleaner fit with our current state of life experience, requiring less cognitive, emotional, and interpersonal commitment and risk. Second, the power of a test decreases the likelihood of error – the more powerful the test, the greater the likelihood of correctly rejecting the hypothesis. Third, hypotheses that are no longer subject to testing become entrenched beliefs. Finally, positive interpretations lead to greater effectiveness than negative ones.

This research informs particular processes and constructs that are highly relevant for the human resource development field. Coaching behavior, conflict resolution and mediation, performance appraisal, and decision making, as well as interpersonal skills training, are examples of processes that can benefit from additional theoretical integration. Constructs such as self-efficacy, job satisfaction, commitment, and trust are potentially elucidated through examination of the dynamics that affect them.

References

- Argyris, C. (1982). *Reasoning, learning, and action*. San Francisco.: Jossey-Bass Publishers.
- Argyris, C. (1995). Action science and organizational learning. *Journal of Managerial Psychology*, 10(6), 20-26.
- Argyris, C. Putnam, R., & Smith, D. (1985). *Action science*. San Francisco.: Jossey-Bass Publishers.
- Fiske, S. (1991). *Social cognition*. New York: McGraw-Hill, Inc.
- Heider, F. (1958). *The psychology of interpersonal relations*. New York: John Wiley & Sons, Inc.
- Jones, E. E. & Davis, K. E. (1965). From acts to dispositions: The attribution process in person perception. In L. Berkowitz (Ed.), *Advances in experimental social psychology* (Vol. 2, pp. 220-266), New York: Academic Press.
- Kelley, H. H. (1972). Attribution in social interaction. In E. E. Jones, D. E. Kanouse, H. H. Kelley, R. E. Nisbett, S. Valins, & B. Weiner (Eds.), *Attribution: Perceiving the causes of behavior* (pp.1-26). Morristown, NJ: General Learning Press.
- Maier, S. F., Peterson, C., Schwartz, B. (2000). From helplessness to hope: The seminal career of Martin Seligman. In Gillham, J. E. (Ed). *The science of optimism and hope: Research essays in honor of Martin E. P. Seligman*. Laws of life symposia series (pp. 11-37). Philadelphia, PA: John Templeton Foundation.
- Peterson, C. & Seligman, M.E.P. (1984). Causal explanations as a risk factor for depression: Theory and evidence. *Psychological Review*, 91, 347-374.
- Putnam, R. W. (1999). Transforming social practice: An action science perspective. *Management Learning*, 30(2), 177-187.
- Riordan, P. (1995). The philosophy of action science. *Journal of Managerial Psychology*, 10(6), 6-13.
- Scholl, R. W. (2002). *Social cognition and cognitive schema*. Retrieved October 1, 2003, from http://www.cba.uri.edu/Scholl/Notes/Cognitive_Schema.htm
- Schulman, P. (1999). Applying learned optimism to increase sales productivity. *The Journal of Personal Selling & Sales Management*, 19(1), 31-37.
- Seligman, M.E.P. (1990). *Learned optimism: How to change your mind and your life*. New York: Simon & Schuster, Inc.
- Szokolszky, A. (1998). The concept of schema in psychology. Old and new interpretations. *Pszichologia: Az MTA Pszichologai Intezetenek folyoirata*, 18(2), 209-235.

Asking The Right Questions, Looking In All The Right Places: Embedding Knowledge Construction in Professional Education

*Suzanne J. Gallagher
Florida International University*

The yearning for spirituality and social responsibility in HRD illuminates the need for reflective practice in professional education to be transformed by multiple sources of information and praxis questions. Theological reflection, a form of reflective practice, is contextualized by praxis questions, spirituality, and social analysis. An alternative model of reflective practice is proposed which addresses the need for spirituality and socially responsive learning at work.

Keywords: Reflective Practice, Spirituality, Social Responsibility

Human resource developers are seeking ways to integrate spirituality and social responsibility through knowledge construction processes (Dirkx, 1997; Hatcher, 2000). Current models of reflective practice do not respond sufficiently to learners' need for spiritual integration (English, Fenwick, & Parsons, 2003) or connection to social issues (Hayes & Wilson, 2000). Theological reflection, a form of reflective practice in ministry, provides a model of reflective practice which embeds the problem solving process using spiritual information in a social context. The purpose of this paper is to illustrate an alternative model of reflective practice embedded in a spiritual and socially responsible framework.

HRD's Quest for Spirituality and Social Responsibility

The desire for spirituality and social responsibility in human resource development points toward the need to incorporate a holistic set of experiences and questions of social responsibility into models of reflective practice. Human resource development theory is extending its discussion about learning and performance to include spirituality, values, and meaning (Bates, Hatcher, Holton III, & Chalofsky, 2001) and social justice and responsibility (Hatcher, 2000). The search for spirituality, values, and meaning in HRD goes beyond *adding* these facets to theory to *transforming* theory in light of these dimensions (Dirkx, 1997). Transforming theory and practice is a process of constructing knowledge with additional sources of information and praxis questions (Fenwick, 2000; Lee, 1994). Sources of information are the types of data we use to make decisions. The data includes cognitive, affective, spiritual, political, and communal experiences. Praxis questions are questions designed to evoke a vision of the common good or socially responsible outcomes. Praxis is understood as doing for the purpose of creating the common good. Integrating spiritual information and being socially responsible are points of development in human resource development.

Spiritual Integration

Bates, Hatcher, Holton III, & Chalofsky (2001) proposed a statement of purpose for human resource development that seeks to integrate learning, performance, and spirituality perspectives. The underlying assumption of the purpose statement was that the integration of the three perspectives was desirable and could enhance the field. The effort to include the spiritual dimension of individuals points to the need to integrate spiritual information in professional education. Spirituality was defined in the purpose statement as "human potential" or "the latent capabilities in humans for growth and development" (Bates, et. al, 2001, p. 9-1). The definition, while avoiding some of the ambiguity and diversity of the term, spirituality, limits the ability to conceptualize the interconnection with larger contexts (i.e., social justice, ecological issues) thereby limiting our ability to imagine more complex, interdependent outcomes (i.e., socially responsible outcomes). Potential was defined primarily in terms of the individual rather than the social. The statement of purpose pointed to the need to include spiritual information in human resource development processes.

The ongoing discussion on spirituality at work validates the need for alternative sources of information in constructing knowledge for learning and performance. Chalofsky (1997) identifies giving to others and bringing your whole self (mind, body, emotion, and spirit) to work as primary components of meaningful work. He argues for the inclusion of mental, emotional, physical, and spiritual information in learning and performing. Spirituality is understood as the construction of knowledge through symbolic and unconscious events (Tisdell, 2003) and is ever

Copyright © 2004 Suzanne J. Gallagher

present in the learning process (Dirkx, 1997). Spiritual information may include meaning, practices, or rituals that express an individual's "awareness of something greater than ourselves" (English & Gillen, 2000, p. 1). Tapping into this information during reflective practice is one way to incorporate this source of information.

While the statement of purpose highlighted the need to include spiritual information in knowledge construction, a limitation of the statement was its inability to include questions of social responsibility. The search for spirituality is connected to the search for social responsibility through awareness of human interconnectedness (English, Fenwick, & Parsons, 2003).

Social Responsibility

Human resource development models based on productivity, profit, and performance are being challenged for narrowly defining outcomes and processes (Bates, et al., 2001). The economic theory underlying human resource development is expanding from an exclusive focus on the financial bottom line to include other indicators of success. These indicators include the impact on social communities and the environment. Models for performance improvement are beginning to include socially responsive outcomes (Hatcher, 2000). "Performance therefore is defined as outcomes of a systematic approach to positive and desired changes in the individual, processes, organization, community, society, and the environment" (p. 27-3). At the organizational level, models are available to support socially responsible performance.

No models at the individual level are available to support socially responsible learning in the workplace. A primary model for learning used in professional education is reflective practice. Learning is necessary when novel problems arise, requiring new solutions. Learning at the individual level uses models of reflective practice that solve the problem without consideration of the social and environmental contexts. An alternative model of reflective practice is needed to systematically incorporate social responsibility in knowledge construction processes. Reflecting on social responsibility acknowledges our human interconnectedness and is further developed with the use of spiritual information.

Spirituality and social responsibility, or the search for a common good, are intertwined (English, Fenwick, & Parsons, 2003). Spirituality brings individuals' meaning and practices to the work of creating the common good from within the team and organizational context. A model of reflective practice is needed that affirms the relationship between spirituality and social responsibility and supports learning within the workplace. The yearning for a spiritually integrated and socially responsible reflective practice also draws insight from the paradigm shift in knowledge construction.

New Ways of Constructing Knowledge

The paradigm shift in knowledge construction reveals important questions for the use of reflective practice. Knowledge construction is the creation of new knowledge in specific and concrete situations. Knowledge construction is a phrase that emerged during the second half of the 20th century to reveal the political and historically situated reality of learning (Habermas, 1971). The idea of knowledge construction critiques learning as the process of acquiring knowledge and expands learning to include the social construction of what we know. Knowledge construction has undergone a paradigm shift in the 20th century resulting in the movement from the transmission of knowledge to the transformation of learning processes and outcomes as summarized in Table 1. The table shows the shift in knowledge construction along various dimensions of learning.

Table 1. A Pardigm Shift in Knowledge Construction

Dimensions of Learning	Old Paradigm of Knowledge Construction	New Paradigm of Knowledge Construction
Relationship to knowledge	Transmission	Transformation
Metaphors for learning	Acquisition	Conversation
Context	Abstract	Situated
Goal of learning	Rational knowledge	Social Transformation
Orientation of learning	Past	Future
Focus of learning	Acquisition & Application	Transforming theory & practice
Metaphysics of learning	Essentialism, Essence	Historical consciousness, Existence
Pinnacle of learning	Theoretical	Phonesis (informed action)
View of learner	Knower	Actor/Agent

Prior to the late 20th century, the dominant model of knowledge construction in professional education was described as the transmission model (Schon, 1983). The steps of transmitting knowledge included: a) generating knowledge by the experts (academics), b) teaching the knowledge to the professionals, and c) professionals applying the knowledge in their practice. The linear, unreflective application of theory did not provide the knowledge required to solve new problems. Theory and academics, or experts who taught the theory, were the authoritative sources for learning and education. This often resulted in the insufficient relevancy of knowledge for practitioners (Schon, 1987).

In the transformation model, the learner is actively engaged in creating knowledge by reflecting on practice and making connections to pre-existing knowledge (Lee, 1995; Schon, 1983, 1987). The transformation model affirms affective experience, community involvement, and the authority of the practitioner's experiences (Lee, 1995; Schon, 1987). As practitioners' experience increases in value and authority, expert practitioners become authoritative sources (Schon, 1987). In reflective practice, practitioners' experience has authority in the construction of knowledge (Schon, 1983). Reflective practice has only shifted slightly by embracing the active, authoritative role of the practitioner. Reflective practice has not evolved far enough to integrate spirituality and social transformation.

Social transformation is based on the realization that knowledge construction is not a neutral process and social and political interests are at stake in the process (Deshler & Grudens-Schuck, 2000). Complex processes are required to discern the social and political interests involved in constructing knowledge. The complex processes include accounting for the perspectives of various stakeholders, assessing the impact on social and environmental communities, and designing a vision of the common good. The paradigm shift unveils these processes and poses questions to help build systems of learning that explicitly account for the various interests.

The paradigm shift in knowledge construction illuminates three questions for professional education relevant to the use of reflective practice (Lee, 1994, Mott, 2000, Schon, 1983, Whitehead & Whitehead, 1980, 1995). The first question shaping professional education is what practical end(s) does knowledge construction serve? Habermas (1973) and Lee (1994) distinguish between the "practical" ends or praxis questions of what we should do and the "technical" means of how we should do things. Praxis questions ask "what kind of world do we want to make" and "what is the common good?" By focusing on the technical means to problem solving, professional education has missed the opportunity to define a vision of the common good and to work towards that end by addressing the praxis questions (Lee, 1994). Questions about the purpose and intent of professional education shape its development. If the purpose of professional education is to efficiently and effectively solve problems, then curriculum will be designed to achieve this end. If the purpose of education is to create a world we want to make for future generations, the curriculum will include the development of values and meaning to shape the use of technical knowledge.

The second question is what sources of information will be engaged in knowledge construction processes? Will affective, communal, spiritual, and environmental sensory data or information be brought into the construction of knowledge or will it rely strictly on rational data? Massumi (2002) argues that rational "information is a bit player in the project of inducing a global transformation" and that sensation provides the greater possibilities of change (p. 124). Sensation includes feelings, symbols, and images. Professional education programs vary in the degree of diversifying sources of information used in knowledge construction processes (Fenwick, 2000). Developing meaning and value requires the inclusion of multiple sources of information such as emotional, physical, social, political, environmental, and spiritual experiences.

The third question is how do models of knowledge construction used in professional education address the first two questions? Models are representations of processes. With exceptions (Hatcher, 2000; Kaufman, 2000), models of knowledge construction do not include a component for answering the praxis question but focus only on solving problems encountered by professionals (Schon, 1983). Is the opportunity for envisioning socially responsible actions accounted for in models of reflective practice and theological reflection? Are alternative sources of information accounted for in the models or do they only reflect rational processes? These knowledge construction questions point to areas needing development in professional education and its use of reflective practice.

Reflective Practice

Reflective practice grew out of the realization that technical rationality or the application of theory to practice was insufficient for the unique and surprising challenges faced by professionals (Schon, 1983). The primary architects of reflective practice in adult education are Schon (1983, 1987) and Boud, Keough, and Walker (1985). Schon's (1983) original model of reflective practice is complemented by Boud, et.al's (1985) use of affective information. Models of reflective practice are dynamic and evolve with new sources of information and new challenges.

Professionals, or practitioners, as Schon called them, engaged in reflection-in-action to meet the challenges of new situations that did not meet the requirements of accepted theory. Reflecting in action is the ability to think about what one is doing and to change one's actions simultaneously (Schon, 1983). The ability to reflect on and learn from professional activity to determine appropriate ways to behave in the future is the keystone idea of Schon's reflective practice model.

Schon (1983) identifies four primary movements in reflective practice. These movements include reframing the problem, drawing on a repertoire or familiar exemplars, formulating a new hypothesis, and testing the hypothesis. The testing does not occur as a formal experiment but in the broad sense of confirming or refuting a hypothesis. Boud, et.al (1985) present another model of reflection for professionals that affirms the role of affective experience.

Boud, et al.(1985) identify three primary factors in turning experience into learning. The first factor is to return to the experience in a descriptive way, without evaluation or judgment. The second factor is to attend to feelings surrounding the experience to allow supportive feelings to move the process forward and to work through obstructive feelings. The third factor involves re-evaluating the experience. Re-evaluation includes linking the experience with prior knowledge (association), integrating the experience with prior knowledge (integration), testing it in some way (validation), and taking ownership of the new learning (appropriation). Boud et. al's (1985) model of reflective practice expands Schon's model by incorporating the affective dimension of experience.

While the linear, problem oriented models of reflective practice advanced by Schon (1983) and Boud, et.al (1985) affirm the creative, affective role of the practitioner, they do not incorporate spiritual information or a vision of social responsibility. The models do affirm the importance of the practitioner's experience and feelings. The models need further development to integrate spirituality, social responsibility, and the full paradigm shift in knowledge construction. By examining theological reflection, a model of reflective practice used in ministry education, insights illuminate a potential path of further development for reflective practice.

Theological Reflection

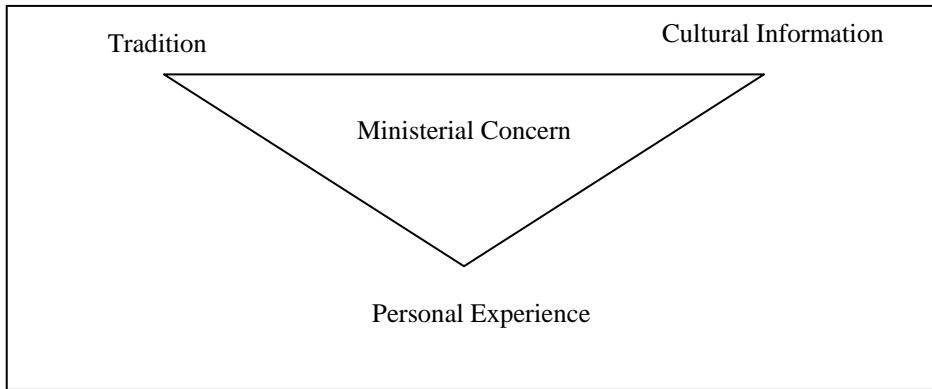
Theological reflection, a form of reflective practice in ministry, is a knowledge construction process that incorporates spirituality and social responsibility and reflects the paradigm shift in knowledge construction. Ministry is a profession with particular knowledge and skills including theological reflection. By examining a model of theological reflection used in graduate education in ministry, possibilities emerge for an alternative model of reflective practice in human resource development

Lee (1994) claimed that graduate education in ministry is the most progressive form of professional education. Theological reflection provides professional education with models that incorporate questions about the common good and multiple sources of information that push the evolution of professional education programs, including human resource development. The praxis questions, sources of information, and models of theological reflection differ from reflective practice due to its grounding in the literature on practical theology (Lee, 1995; Whitehead & Whitehead, 1980, 1995). Practical theology brings together theory, praxis, and technical or instrumental knowledge in response "to a major paradigm shift within Western culture" (Lee, 1994, 25). The shift in knowledge construction involves the move from seeking truth in right belief (orthodoxy) to finding truth in right action (orthopraxy) (Lee, 1994). The focus in practical theology has moved from theory and metaphysics to informed action or praxis. Technical or instrumental knowledge serves praxis rather than being applied theory. These dimensions place informed action at the center of the learning endeavor rather than intellectual affirmations.

Theological reflection is the process of correlating experience and tradition (Kinast, 2000). Theological reflection is a conversation between individual and communal experience and the wisdom of a religious tradition to seek the vision of the common good and meaning in life (Killen & de Beer, 1994). The tradition component provides inspiration for praxis, cultural information includes social analysis, and personal experience incorporates cognitive, affective, and spiritual information (see Figure 1). The search to resolve ministerial concerns is embedded in the conversation between tradition, cultural information, and personal experience.

For example, a minister is presented with the problem of the lack of participation of women in the church's pastoral board. Engaging the model of theological reflection, the minister attends to information from her own personal experience, cultural information, and information from the spiritual tradition of the church. From her own experience, she may remember her own struggles with church hierarchy and feel anger and discouragement. She may also tell the story of her spiritual journey for strength and encouragement. A spiritual journey is evolution of the meaning, images, and feelings in the individual's relationship with the Ultimate over time. The cultural or social analysis reveals the historically submissive and private role women played in religion as well as successful strategies for empowerment and assertiveness. Analysis of the tradition may include reading scripture and feminist theologians that lift up positive models for women in church leadership.

Figure 1. Model of Theological Reflection (Whitehead & Whitehead, 1980, p. 14)



By attending to information in all three areas; personal, cultural, and tradition, the minister decides and implements an approach to affirm the leadership role of women in the church and secure their participation on the board. The systematic construction of knowledge in theological reflection incorporates multiple sources of information (mental, emotional, social, and spiritual) (Killen and de Beer, 1994). Spiritual information is elicited from the reflection on personal experience. The analysis in the cultural and tradition areas reveals social injustice (i.e., history of women's oppression) and a vision of socially responsible outcomes (i.e., women in church leadership). Theological reflection brings together spirituality and social engagement in a transformative manner (Holland & Henriot, 2002). Theological reflection embodies the paradigm shift of knowledge construction and serves as model for reflective practice in human resource development by incorporating questions about the common good and multiple sources of information.

Alternative Model of Reflective Practice

The system of reflection begins with asking the right question and looking in the right places for the answers. The right question goes beyond "how do we solve the problem" and "how do we improve performance" to "what type of world do we want?" In practical theology, this is called the praxis question. The praxis question is the foundation for curriculum development and evaluation of professional education. Imagine the impact of centralizing this question in the professional education of human resource developers. The questions of learning and performance will occur naturally within an explicit context of meaning, value, and vision.

Answering the praxis question requires diverse dimensions of knowledge. Cognitive, empirical information is one source for constructing knowledge about our world. The yearning for spirituality tells us that it is not enough. We are feeling, imagining, symbolic, and communal beings who envision a world with all our senses and capacities. Constructing knowledge needs to include the full spectrum of cognitive, affective, biological, spiritual, political, and communal information to adequately answer the praxis question. This complexifies our models, processes, and experience of knowledge construction and raises issues of multi-modal research and theory development. By embedding the problem within the praxis questions and multiple sources of information, human resource developers may find satisfaction for spiritual and social justice yearnings (see Figure 2.).

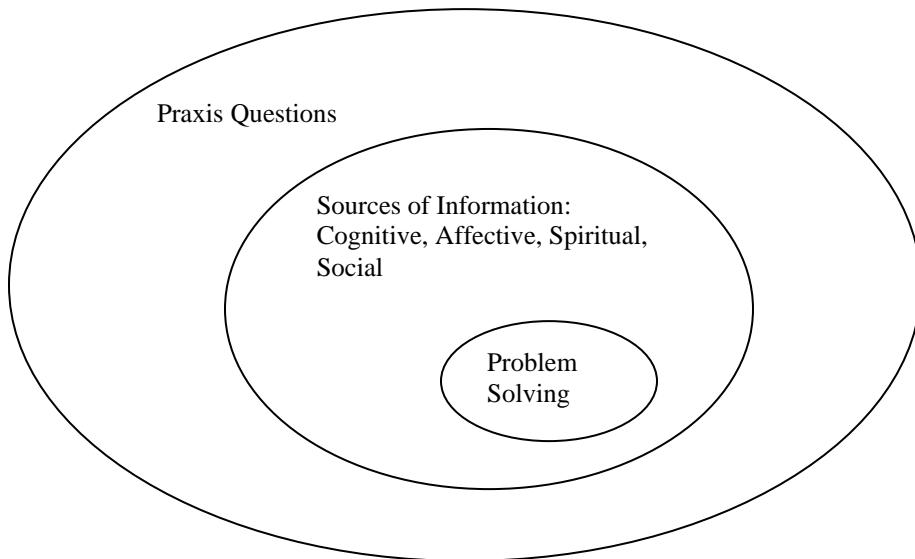
Figure 2 uses an embedded model rather than the triangulated model used in theological reflection to illustrate the relationships between the praxis questions, sources of information, and problem solving. Embeddedness shows the enhanced context of problem solving activity – within a vision of the common good generated by responses to the praxis questions and within data generated from multiple sources of information. The sources of information are embedded within the praxis questions because the responses to the questions or vision validate the sources used in solving the problem. If the vision is narrowly defined as profit, the social, affective, and spiritual experience of individuals is not validated. The cognitive and technical information will be sufficient to address the problem. The embedded model parallels the economist, Karl Polanyi's, vision of re-embedding economic theory in a vision of the social good (Dalton, 1986). The vision should drive the economy, not the economy drive the vision.

For example, a manager is faced with low customer satisfaction ratings from his employees. Using the traditional model of reflective practice, the manager will reframe the problem (e.g., employees are not trained properly), draw on repertoire of exemplars (e.g., identify successful training modules), formulate a new hypothesis

(e.g., better trained employees will yield higher customer satisfaction ratings), and test hypothesis (e.g., measure satisfaction ratings after training).

Using the embedded model of reflective practice, the manager seeks the resolution of the problem by asking praxis questions in the outer circle. The praxis questions may include: a) what is the desired outcome for the customer, b) what is the desired quality of work life for the employees, and c) what knowledge and skills are needed for life-affirming relationships. The answers to the praxis questions paint a vision of the common good and social responsibility. Within this vision, the manager seeks information from multiple sources to insure a holistic context. Using cognitive information (e.g., draw on literature regarding customer satisfaction), affective information (e.g., how the employees feel about their relationships with customers), spiritual information (e.g., what meaning do his employees ascribe to their work and interactions), and social information (e.g. what is the overall work environment contributing or inhibiting to the desired outcomes), the manager now has a context to address the problem of low customer satisfaction ratings.

Figure 2. Embedded Model of Reflective Practice



Using the vision generated by the praxis questions and the data from cognitive, affective, and spiritual sources, the manager engages the problem. Schon's 4 step reflective practice model may be engaged at this point or another problem solving technique using the information from the two outlying circles. The manager may have discovered that the employees do not feel connected to the organizational mission and the spiritual meaning of their work. Resolving the problem in the embedded context results in workshops for the employees to connect their personal and team experience with the organizational mission. The embedded model of reflective practice generates multifaceted, spiritual, and socially responsive solutions to work problems.

Implications for Human Resource Development

Reflective practice plays an important role in knowledge construction in the workplace. Professional education programs teach models of reflective practice and need to move beyond the rationalistic, problem oriented use. The yearning for spirituality and socially responsive human resource development and the shift in constructing knowledge require more complex models of reflection. The alternative model proposed in this paper is a starting point for complexifying models of reflective practice. Further research is needed to describe the use (or non-use) of praxis questions and multiple sources of information in professional education programs. Curriculum development in professional education will be impacted by integrating spirituality and including questions of social responsibility. Program evaluation will need to include an assessment of the use of multiple sources of information including spirituality and socially responsive outcomes.

As human resource developers who value the spiritual dimension of individuals and the need for socially responsible outcomes, the development of complex models of reflection is essential for fulfilling our values. If we do not acknowledge spirituality and the common good in the models used by professionals to solve problems and construct knowledge in their field, then it is highly unlikely that the solutions will be integrated and responsive. Our yearning for spirituality and social justice demands that we ask the right questions and look in all the right places for answers.

References

- Bates, R. A., Hatcher, T., Holton III, E. F., & Chalofsky, N. (2001). *Redefining human resource development: An integration of the learning, performance, and spirituality of work perspectives*. Proceedings of the Academy of Human Resource Development Conference.
- Boud, D., Keogh, R., & Walker, D. (1985). Promoting reflection in learning: A model. In D. Boud, R. Keogh, & D. Walker (Eds.), *Reflection: Turning experience into learning*. East Brunswick, NJ: Nichols.
- Chalofsky, N. (1997). *The meaning of the meaning of work: A literature review analysis*. Paper presented at the Academy of Human Resource Development conference.
- Dalton, G. (1968). *Primitive, archaic, and modern economics: essays of Karl Polanyi*. Boston: Beacon Press.
- Deshler, D., & Grudens-Schuck, N. (2000). The politics of knowledge construction. In A.L. Wilson & E.R. Hayes (eds.) *Handbook of adult and continuing education* (pp. 592-611). San Francisco: Jossey Bass.
- Dirkx, J. M. (1997). Nurturing soul in adult learning. *New Directions for Adult and Continuing Education*, 74, 79-88.
- English, L.M., Fenwick, T.J., & Parsons, J. (2003). *Spirituality of Adult Education and Training*. Malabar, FL: Krieger Publishing Company.
- English, L.M., & Gillen, M.A. (Eds.). (2000). *Addressing the spiritual dimensions of adult learning: What educators can do*. New Directions for Adult and Continuing Education, No. 85. San Francisco: Jossey-Bass.
- Fenwick, T. J. (2000). Expanding conceptions of experiential learning: A review of the five contemporary perspectives on cognition. *Adult education quarterly*, 50(4), 243-272.
- Freire, P. (1970). *Pedagogy of the oppressed*. New York: Herder and Herder.
- Habermas, J. (1973). *Theory and praxis*. (J. Viertel, trans.). Boston: Beacon.
- Habermas, J. (1971). *Knowledge and human interests*. (J. Shapiro, trans.). Boston: Beacon.
- Hatcher, T. G. (2000). The social responsibility performance outcomes model: Building socially responsible companies through performance improvement outcomes. *Performance Improvement*, 39, 18 -22.
- Hayes, E.R., & Wilson, A.L. (2000). Reflections on the field. *Handbook of adult and continuing education* (pp. 660-676). San Francisco: Jossey-Bass.
- Holland, J., & Henriot, P. (2002). *Social analysis: Linking faith and justice*. (3rd ed.). Maryknoll, NY: Orbis Books.
- Kaufman, R. (2000). *Megaplanning: Practical tools for organizational success*. Thousand Oaks: Sage.
- Killen, P. O., & de Beer, J. (1994). *The art of theological reflection*. New York: Crossroad.
- Kinast, R.L. (2000). *What are they saying about theological reflection?* New York: Paulist Press.
- Lee, B.I. (1995). *The future church of 140 B. C. E.* New York: Crossroad.
- Lee, B.I. (1994). Practical theology: Its character and possible implications for higher education. *Current Issues in Catholic Higher Education*, 14, 25-36.
- Massumi, B. (2002). *Parables for the virtual: Movement, affect, sensation*. Durham, NC: Duke University Press.
- Mott, V.W. (2000). The development of professional expertise in the workplace. *New Directions for Adult and Continuing Education*, 86, 23-31.
- Schon, D.A. (1987) *Educating the reflective practitioner: Toward a new design for teaching and learning in the professions*. San Francisco: Jossey-Bass.
- Schon, D.A. (1983). *The reflective practitioner: How professionals think in action*. New York: Basic Books, Inc., Publishers.
- Tisdell, E. J. (2003). *Exploring spirituality and culture in adult and higher education*. San Francisco: Jossey-Bass.
- Whitehead, J. D. & Whitehead, E. E. (1995). *Method in ministry: Theological reflection and Christian ministry* (2nd ed.). New York: Seabury Press.
- Whitehead, J. D. & Whitehead, E. E. (1980). *Method in ministry: Theological reflection and Christian ministry*. New York: Seabury Press.

A Summary Analysis And Prescriptions For Mentoring In Multicultural Organizations

*Ray K. Haynes
University of Louisville*

This review examines mentoring outcomes for women and minorities in contemporary organizations from a policy-in-experience perspective. The history of organizational mentoring and its formal and informal distinctions are addressed. Extant empirical research addressing mentoring outcomes for women and minorities is reviewed. A gender and ethnicity mentoring typology is presented along with 6 prescriptions for developing equitable formal mentoring programs.

Keywords: Mentoring, Multicultural Organizations, Career-benefit Outcomes

This paper critically examines the practice of mentoring as an organizationally sanctioned strategy for socializing newcomers into organizations. In addition, it offers several prescriptions to increase the effectiveness of organizational mentoring. Historical accounts (Cameron, 1978; Dalton, Thompson, & Price, 1977; Fagenson, 1988; Kram, 1983; Kram and Isabella, 1985; Levinson, Darrow, Klein, Levinson & McKee, 1978; Spilerman, 1977) and relatively recent research identified mentoring as an essential mechanism in fostering career development for employees in organizations (Burke, McKeen & McKenna, 1993; Gaskill, 1993; Pollock, 1995; Reid, 1994). Some of these articles addressed a number of important issues (type, outcomes, and obstacles) relevant to the mentoring phenomenon. Although many of these articles made substantive contributions to our understanding of mentoring, what is most noteworthy is the proliferation of mentoring programs in organizations. This prevailing trend towards using mentoring as a career development and socializing tool in today's organizations must be examined for its practical and theoretical significance in the domain of Human Resource Development. Moreover, it is useful to examine the efficacy of mentoring in socializing newcomers.

The purpose of this paper is to review and analyze the empirical studies that addressed mentoring outcomes for women and minorities as compared to their White organizational counterparts in similar mentoring relationships. According to Caldwell and Carter (1993), business organizations experienced profound changes within the last decade of the past century. These changes stem from global, societal, economic and demographic trends that permanently changed the workforce and the ways in which it is developed (Caldwell & Carter, 1993; Galpin, 1996; Harvey & Brown, 1996). Contemporary organizations are different from those of the past because there is less time and opportunity for developmental relationships (Gaskill, 1993; Kram & Bragar, 1991; Murray & Owen, 1991; Zey, 1988). In response to these constraints, contemporary organizations appear to rely less on informal developmental relationships such as informal mentoring (Caldwell & Carter, 1993; Kram & Bragar, 1991, Murray & Owen, 1991; Zey, 1988). Ironically, these organizations seem to have prematurely adopted the use of formal mentoring as a socializing tool based upon the popular literature and a paucity of scholarly articles advocating the virtues and effectiveness of informal mentoring as a socializing tool (Douglas, 1997; Merriam, 1983). For definitional purposes, informal mentoring is a naturally occurring relationship based on attributes, attraction and, similar interests, where experienced organizational members provide career and psychosocial support to lesser-experienced organizational members. Formal mentoring is a program designed and developed by the organization to facilitate structured mentoring relationships where experienced organizational members provide career and psychosocial development to lesser-experienced organizational members.

Statement of the Problem

Despite a lack of sound empirical support for mentoring (formal and informal), formal mentoring programs continue to proliferate overtly, and informal mentoring still manifests itself covertly in organizations. The problem on a macro-level standpoint is that much of what we know about mentoring is anecdotal and may be anachronistic given the changes described by Caldwell & Carter (1993). Unlike organizations of the past, contemporary organizations are no longer stable and are more multicultural. The problem at a micro level, and more germane to the focus of this paper, is the fact that organizations faced with renewal must replace their old and departing members with new and younger members who will be selected from contemporary workforce that is increasingly more multi-ethnic and multicultural (Finkelstein, Seal & Schuster, 1998; Rubow & Jansen, 1990). Moreover, it is predicted that minorities

Copyright © 2004 Ray K. Haynes

will account for 62% of the U.S. workforce by year 2005 (U. S. Department of Labor, 1995). According to Forsythe (2003) by the year 2050, 85% of new entrants to the workforce will be the women and minorities who are now collectively considered minorities but will become the new majority in the workforce. This reality portends difficulty for the traditional practice of mentoring (formal and informal) in contemporary organizations. In the past, mentoring was a relatively simple process. Older or veteran members of an organization would simply guide younger and newer members of the organization with little or no self-reflection. Wellington (1999), cogently describes mentoring of the past in this manner “ if the “new boy” has a life history and life circumstances that are just like those of the “old boy,” then all the “old boy” has to do is to remember what private or secret information was useful and important for him to know and then pass that information on to the “new boy” (p.xi). In today’s more multicultural organizations, the mentoring custom is now even more complicated; and new entrant socialization is less than automatic. Because of this reality, the “new boy” may not look like the “old boy”, and may also have a different cultural background (Wellington, 1999). As a consequence, the reliance upon age-old customs and knowledge may no longer be sufficient for mentoring women and minorities.

Theoretical Framework

It should be noted that this paper uses Social Learning Theory as the broad explanatory base to address mentoring phenomenon. Merriam and Caffarella (1991) stated, “Social learning theories contribute to adult learning by highlighting the importance of social context and explicating the process of modeling and mentoring” (p.139). This paper does not focus on the mentoring construct itself or the specific operational nuances of mentoring programs. For a discussion of the mentoring construct, see Kram (1983), Kram (1986). For a discussion of the history and operational nuances of mentoring in organizational settings, see Murray and Owen (1991), and Phillips-Jones (1982). A significant amount of research has been conducted on various aspects of the mentoring phenomenon. Specifically, research on mentoring in organizations has succeeded in understanding key characteristics of the mentoring phenomenon. The phases of mentoring have been established (Kram, 1983). The role of the mentor has been sufficiently defined (Levinson et al., 1978; Noe, 1988; Tack & Tack, 1986) and several studies have established the outcomes of mentoring (Fagenson, 1988, 1989; Hunt & Michael, 1983; Whitley et al, 1991).

Despite significant research progress and efforts aimed at understanding the organizational mentoring phenomenon, few studies have attempted to understand the policy implications of using mentoring as a socializing tool for women and minorities in contemporary multicultural organizations. According to Smith, Smith, and Markham (2000) very little is known about cross-race and cross-gender mentoring including their impact and outcomes. This is a policy analytic study examining the experiences of women and minorities who engage in organizational mentoring programs. It uses Guba’s (1984) policy framework. The policy to be examined is the use of mentoring (formal and informal) as a socializing strategy in multicultural organizations.

Policy Questions

Three policy questions are proffered in order to examine the mentoring outcomes for women and minority (women and people of color) protégés who engage in mentoring programs at their respective organizations.

1. Do minority protégés and White protégés of the same organization have different mentoring outcomes as a result of participating in a mentoring relationship?
2. Do same-race and cross-race mentoring relationships produce different mentoring outcomes?
3. Do same-gender and cross-gender mentoring relationships produce different mentoring outcomes?

These three questions rest squarely in the definitional domain of policy as it is experienced.

Review of the Literature

The review of the literature relevant to this policy examination is divided into three sections. First, the history and evolution of mentoring is addressed. Second, mentoring’s conceptualizations, definitions, and distinctions are addressed. Third, and finally, extant empirical research on the mentoring phenomenon as it relates the experiences of women and people of color are addressed. The empirical research reviewed was selected through keyword searches within business, educational and psychological databases containing journal and peer reviewed articles on mentoring women and minorities. The reviewer only selected published articles germane to the mentoring experiences of women and minorities for this review.

History of Mentoring

History offers us many examples of mentoring relationships (Carden, 1990; Murray & Owen, 1991; Phillips-Jones 1983). According to Murray and Owen (1991) Homer’s account of the Mentor Telemachus relationship in the Odyssey illustrates one of the first attempts to facilitate mentoring. Moreover, it was a relatively sophisticated

attempt because it utilized not only the male, Mentor, but it also sought the wisdom and guidance of the female goddess, Athena. The Athena-Telemachus relationship was perhaps one of the first recorded instances of a cross-gender mentoring relationship. Historically, mentoring has played a significant role in the continuity and evolution of art, craft and commerce (Murray & Owen, 1991).

Mentoring's Conceptualizations, Definitions and Distinctions

Two schools of thought govern the existence of mentoring in business and industry. The first school of thought relies on the belief that mentoring can be designed and created. The second school of thought rests on the assumption that mentoring can only occur naturally (Murray & Owen, 1991). The distinction between the first school of thought and the second is simply a distinction between formal mentoring and informal mentoring. Mentoring, as it has evolved through the ages, has suffered from conceptual and definitional problems (Carmin, 1988; Carruthers, 1993; Chao et al., 1992; Merriam, 1983). An examination of mentoring's conceptualizations in organizational settings suggest a wide degree of variance in the concept prompting numerous definitions. In a critical review of the literature, Merriam (1983) said that "Mentoring appears to mean one thing to developmental psychologists, another thing to business people and, a third thing to those in academic settings" (p.169). Despite this wide degree of variance for the mentoring concept, most mentoring conceptualizations fall into one of two outcome categories: 1) those that stress professional development and protection, and 2) those that emphasize both professional and personal development of the mentee (Carruthers, 1993).

Two scholars in particular, seem to have been pivotal in creating the two distinct conceptual categories as outlined by Carruthers. Kanter (1977) suggests that the mentor is a person of significant power who helps the protégé climb the organizational ladder through patronage. The mentor according to this conceptualization fights for the protégé and provides assistance to the protégé. In many instances the protégé gains indirect power by being associated with the mentor (Kanter, 1977). Kanter's mentoring conceptualization focuses on the professional development of the protégé. At the other end of the mentoring continuum is the more elaborate mentoring conceptualization offered by Levinson et al. (1978) that not only includes professional development but personal development as well. In this conceptualization, the mentor takes on a series of roles such as teacher, advisor, and sponsor in a work setting.

Mentoring Outcomes and Empirical Examinations of the Experiences of Women and Minorities

This section first addresses the establishment of mentoring outcomes. Second, it addresses the significant empirical studies examining mentoring outcomes for women and minorities.

Fagenson (1989) examined mentoring's effect on several career-benefit outcomes (job satisfaction, career mobility/opportunity, recognition, security, and promotion). Fagenson found that mentored employees reported more satisfaction, career mobility/opportunity, recognition and higher promotion rates than non-mentored employees.

In another study, Dreher and Ash (1990) investigated linkages between mentoring experiences and the outcome variables of income, promotion, and perceptions of satisfaction with compensation. Their findings suggest that individuals involved with extensive mentoring relationships obtained more promotions, higher incomes, and perceived being more satisfied with the salary and benefits than individuals who were not.

Koberg, Boss, Chappell, & Ringer (1994) studied the correlates and outcomes of mentoring among professional and managerial employees. Significant findings of this study were that men received more mentoring than women; minorities received more mentoring than whites. Overall mentoring was associated with higher levels of job satisfaction and lower levels of work alienation. These studies are significant because they establish the efficacy of mentoring in producing career-benefit outcomes.

The next set of studies discussed directly addresses the policy analytic questions posed in this paper. These studies although few, are significant because they deal directly with the experiences of women and minority protégés involved in organizational mentoring. Noe (1988) in a review of the literature on women and mentoring suggest that women may face a number of barriers that retard equal access to organizational mentoring relationships. These barriers include tokenism, cross-gender relationship taboos, and persistent negative attitudes and stereotypes about women.

Thomas (1990) conducted a study examining the influence of race on protégés experiences with respect to the formation of developmental relationships among black and white managers. Thomas found that white protégés rarely had developmental relationships with persons of another race. On the other hand, black protégés appeared to form sixty-three percent of their developmental relationships with whites. This study also found that blacks were more inclined to form relationships outside the formal lines of authority and outside their departments. Moreover, same-race relationships provided significantly more psychosocial support than cross-race relationships.

McGuire (1999) used a structuralist approach to examine the effects of employees' race and sex in accessing help from their mentors. Data were collected regarding employees' informal networks and their mentoring relationships. McGuire found that male protégés received significantly more instrumental help from their mentors than did female protégés. Female protégés received significantly more psychosocial or socioemotional help than male protégés. McGuire also found that men received more instrumental help (getting one's work recognized) than women. McGuire's findings with respect to race suggest that white employees obtained significantly more instrumental help from their mentors than did minority employees. Additionally, minority protégés received significantly more socioemotional help than did white employees. Data obtained from the sex composition of mentor-protégé relationships indicated that both male and female protégés received significantly more instrumental help from their male mentors than from their female mentors. Conversely, both male and female protégés received significantly more socioemotional help from their female mentors than from their male mentors.

Smith, Smith & Markham (2000) conducted a study exploring the nature and impact of diversified mentoring relationships among university faculty. Their study spanned three specific areas common to the mentoring phenomenon. (A) mentoring across diverse groups, (B) mentoring functions and (C) mentoring outcomes. The findings for this study suggest that women reported being in more mentoring relationships than men. Minorities are not successful in acquiring mentors even though they attempt to find mentors inside and outside their organizations; moreover their opportunities are even fewer if they desire a same race mentoring relationship. With respect to mentoring functions, it was found that there was no significant difference in the levels of career and psychosocial support behaviors for diversified mentoring dyads as compared to homogeneous mentoring dyads. In regards to mentoring outcomes, whites reported that mentoring produced higher affective commitment and lower intent to turnover. Minorities reported no significant impact in their levels of affective commitment and intent to turnover based on an increase in mentoring.

Discussion

The findings relevant to the three policy questions in this review suggests that minorities (women and people of color) and whites of the same organization have different mentoring experiences. White protégés only have White mentors. Minority protégés generally have white mentors, rarely have minority mentors and often have to seek mentoring relationships outside of their functional areas. Same race mentoring dyads wherein both mentor and protégé are White produced significantly more instrumental help than same race mentoring dyads where the mentor and protégé were both minority. Generally, these minority mentoring dyads produced more psychosocial help for the protégés. In regards to gender, both male and female protégés received more instrumental help from male mentors than from female mentors. Female mentors offered significantly more psychosocial help to both male and female protégés than did male mentors. Additionally, female mentors offered more instrumental help to their male protégés than their female protégés. Based upon these findings, it appears as though mentoring outcomes are linked to the variables of race and gender. If the protégé is White and male instrumental help is virtually assured. If the protégé is female and/or a minority, (s)he will likely receive psychosocial help but not instrumental help.

The policy of organizational mentoring in its present form(s), in effect, produces disparate treatment for women and minority protégés as compared to their White male counterparts. As a consequence organizational mentoring is ineffective and contributes to the status quo. The status quo is that women and minorities are yet to achieve a critical mass within organizational settings. According to McGuire (1999), the workplace is segregated by race and gender. This means that White males occupy most positions of power within organizational settings and are therefore in positions to offer instrumental help to their protégés who are invariably white and male. In stark terms, women and minorities appear to receive little or no instrumental help from their mentoring experiences yet instrumental help is what is most needed to vertically integrate women and minorities into organizational settings. Instrumental help for women and minority protégés will create a critical mass that hopefully will render the need for specialized programs geared towards integrating women and minorities into organizational settings unnecessary.

Given the demographic trends which suggest that women and minorities will comprise a significant portion of the 21st century workforce, organizations should ask why are there disparate outcomes for women and minorities as compared to majority males engaged in organizational mentoring. The structuralist approach offer a broad understanding of the outcomes associated with organizational mentoring. According to McGuire (1999) structuralists examine how individuals' positions within a social system provide opportunities for action as well as constrain behavior--- this is known as the opportunity context. If one were to look at the opportunity context with respect to mentoring for women and minorities, one might readily understand why mentoring benefits for women and minorities manifest in the form of psychosocial and socioemotional help but not instrumental help. From the mentoring opportunity contest standpoint, women and minorities are relatively new

entrants into organizational settings. As a consequence, they are yet to be fully vertically integrated into the organizations. In other words, the opportunity context for women and minorities is yet to mature where women and minorities can engage in mentoring relationships where not only psychosocial help is offered but instrumental help as well. Ragins (1997) highlights the importance of considering race and gender in mentoring relationship. These biographic categories appear to affect mentoring behaviors and ultimately mentoring outcomes.

Before concluding this section, it is necessary to address the distinctions between psychosocial help and instrumental help. It is not the intent of this paper to endorse one form mentoring help over the other. It is asserted that in most instances the protégé may view either form of help as being valuable based upon their situational context. For example, since women and minorities generally occupy low-level positions within organizational settings and; the ones who attain high-level positions within organizational settings are often in token and/or isolated positions. It is plausible to suggest that this token or isolated status may cause women and minority mentors and protégés to suffer from a latent sense of loneliness, insecurity and performance anxiety. As a consequence, minority mentors and protégés dealing with this set of circumstances may be more inclined to give and seek psychosocial rather than instrumental help.

Prescriptions for Contemporary Organizational Mentoring

Shapiro, Haseltine, and Rowe (1978) developed a gender-based mentoring typology that reflected the growing presence of women in organizations. Ragins (1997) examined the linkages between diversity and organizational mentoring using a power perspective. I propose that to truly reflect the diversity present in contemporary organizations, there should be an extension of the gender-based typology of mentor-protégé relationships to include a race and ethnicity. (see Figure 1 below).

Figure 1. Gender and Race Based Typology of Mentor Protégé Relationships

	Male Mentor	Female Mentor
Majority	Majority Male Mentor & Majority Male Protégé	Majority Female Mentor & Majority Male Protégé
Non-Majority	Majority Male Mentor & Majority Female Protégé	Majority Female Mentor & Majority Female Protégé
	Majority Male Mentor & Non-Majority Male Protégé	Majority Female Mentor & Non-Majority Male Protégé
	Majority Male Mentor & Non-Majority Female Protégé	Majority Female Mentor & Non-Majority Female Protégé
	Non-Majority Male Mentor & Majority Male Protégé	Non-Majority Female Mentor & Majority Male Protégé
	Non-Majority Male Mentor & Majority Female Protégé	Non-Majority Female Mentor & Majority Female Protégé
	Non-Majority Male Mentor & Non-Majority Male Protégé	Non-Majority Female Mentor & Non-Majority Male Protégé
	Non-Majority Male Mentor & Non-Majority Female Protégé	Non-Majority Female Mentor & Non-Majority Female Protégé

Organizations using mentoring as a socialization process for its employees should first recognize that this mentoring dyad typology represents the full range of mentoring possibilities within contemporary multicultural organizations. This new typology represents a fundamental base form which one can recognize the breadth and depth of diversity present in contemporary organizations. Gender, race and ethnicity are biographic categories that can augment our understanding of other aspects of diversity such as cultural characteristics and individual differences. Recognizing these characteristics as fundamental ways in which we differ will serve as a gateway towards building global perspective within organizations.

To improve the experiences and career outcomes for women and minorities involved in organizational mentoring programs, I proffer the following six suggestions that are intended to provide a framework for the development of formal mentoring programs that produce equitable rather than disparate mentoring results.

Suggestion # 1: Provide everyone in the organization with access to the mentoring program. Formal mentoring programs have been marginalized and stigmatized as programs aimed at helping women and minorities. Formal

mentoring should be promoted as an organizational mandate where every employee is encouraged to take part. Nonrestrictive access will lessen the stigmatization associated with restrictive forms of mentoring.

Suggestion # 2: Enlarge the role and responsibilities of all managers and individual contributors who are stellar employees to include that of mentor. These individuals with high performing competencies are the best resource for socializing and instilling protégés with the right attitudes, skills and abilities.

Suggestion # 3: Use the proposed gender and ethnicity typology as a basis for informing and training all employees of the organization on the mentoring dyad possibilities and their nuances. The gender and ethnicity typology is simply a starting point from which one might learn, and develop fundamental cultural and behavioral understanding that transcends gender and ethnicity.

Suggestion # 4: Encourage mentors and protégés to develop a primary mentoring relationship with the requirement that mentors and protégés establish multiple secondary mentoring relationships that span the mentoring gender and ethnicity typology. This requirement simply promotes global perspective.

Suggestion # 5: Hold mentors and protégés accountable (through performance planning) for development. This suggestion addresses mentoring outcomes directly. Mentors and protégés must understand that they will be held accountable for producing effective and equitable mentoring outcomes that contribute to the renewal of the organization.

Suggestion #6: Create cross-functional mentoring forums where mentors and protégés can provide progress reports on the protégé's development. These organization-wide, cross-functional mentoring forums are designed to anchor mentoring squarely in organizational culture. By engaging in these open forums, mentoring best practices can be shared, and mentors and protégés can gain cross-functional exposure based upon their developmental accomplishments. These forums also enable organizational leaders to gain first-hand experience of the human capital within their organizations.

Conclusion

Organizational mentoring can be a useful tool in facilitating the socialization of employees to their organizations. However, the ongoing increase of women and minorities in the workforce has created significant challenges for organizational mentoring. Mentoring in contemporary organizations must now evolve to meet these challenges. Presently, the experiences of women and minorities engaged in organizational mentoring are not the same as majority males. These differences and disparate outcomes associated with organizational mentoring portend renewal and competitive difficulties for organizations. How organizations socialize and integrate new entrants into the workforce will directly affect their renewal and competitive survival. Policy using mentoring as a socializing tool must evolve to create mentoring programs that produce equitable outcomes for all employees regardless of gender and ethnicity.

References

- Burke, R. J., McKeen, C. A., & McKenna, C. (1993). Correlates of mentoring on organizations: the mentor's perspective. *Psychological Reports*, 72, 883-896.
- Caldwell, B. J., & Carter, E. M. A. (1993). *The return of the mentor: Strategies for workplace learning*. London. Washington D.C.: The Falmer Press.
- Cameron, S. M. (1978, March). *Women in academia: Faculty sponsorship, informal structures, and career success*. Paper presented at annual AERA Meetings, Toronto Canada.
- Carden, A. D. (1990). Mentoring and adult career development: The evolution of a theory. *The Counseling Psychologist*, 18, 275-299.
- Carmin, C. N. (1988). Issues in research on mentoring: Definitional and methodological. *International Journal of Mentoring*, 2(2), 9-13.
- Carruthers, J. (1993). The principles and practices of mentoring. In J. Caldwell & E. M. A. Carter (Eds.), *The return of the mentor: Strategies for workplace learning* (pp. 9-24). Washington D.C.: The Falmer Press.
- Chao, G. T., Walz, P. M., & Gardner, P. D. (1992). Formal and informal mentorships: A comparison on mentoring functions and contrast with nonmentored counterparts. *Personnel Psychology*, 45, 619-636.
- Dalton, G. W., Thompson, P. H., & Price, R. L. (1977). The four stages of professional careers: A new look at performance by professionals. *Organizational Dynamics*, 19-42.
- Douglas, C. A. (1997). *Formal mentoring programs in organizations: An annotated bibliography*. Greensboro, North Carolina: Center for Creative Leadership.

- Dreher G. G., & Ash, R. A. (1990). A comparative study of mentoring among men and women in managerial, professional, and technical positions. *Journal of Applied Psychology*, 75, 539-546.
- Fagenson, E. A. (1988). The power of a mentor: Protégés and nonprotégés perceptions of their own power in organizations. *Groups & Organization Studies*, 13, 182-194.
- Fagenson, E. A. (1989). The mentor advantage: Perceived career/job of proteges versus nonproteges. *Journal of Organizational Behavior*, 10, 309-320.
- Finkelstein, M. J., Seal, R. K., & Schuster, J. H. (1998). *The new academic generation: A profession in transformation*. Baltimore and London: The Johns Hopkins University Press.
- Forsythe, J. (2003). Diversity works. *The New York Times Magazine*. September 14, Section 6.
- Galpin, T. J. (1996). *The human side of change*. San Francisco: Jossey-Bass
- Gaskill, L. R. (1993). A conceptual frame work for the development, implementation, and evaluation of formal mentoring programs. *Journal of Career Development*, 20(11), 147-160.
- Guba, E.G. (1984). The effect of definitions of policy on the nature and outcomes of policy analysis. *Educational Leadership*, 42(2), 63-70.
- Harvey, D. & Brown, D. R. (1996). *An experiential approach to organizational development* (5th ed.). Upper Saddle River, New Jersey: Prentice-Hall, Inc.
- Hunt, D. M., & Michael, C. (1983). Mentorship: A career training and development tool. *Academy of Management Review*, 8, 475-485.
- Kanter, R. M. (1977). *Men and women of the corporation*. New York, NY: Basic Books.
- Koberg, C. K., Boss, R. W., Chappell, D., & Ringer, R. C. (1994). Correlates and consequences of protégé mentoring in a large hospital. *Group and organization management*, 19, 219-239.
- Kram, K. E. (1983). Phases of the mentor relationship. *Academy of Management Journal*, 26, 608-625.
- Kram, K. E. (1986). Mentoring in the workplace: In D. Hall & Associates (Eds.), *Career development in organizations* (pp. 160-201). San Francisco: Jossey-Bass.
- Kram, K. E., & Bragar, M. C. (1991). Development through mentoring: A strategic approach: In D. Hall & Associates (Eds.), *Career development in organizations*. San Francisco: Jossey-Bass.
- Kram, K. E., & Isabella, L. (1985). Mentoring alternatives: The role of peer relationships in career development. *Academy of Management Journal*, 21, 110-132.
- Levinson, D. J., Darrow, C. N., Klein, E. B., M. H., Levinson, & McKee, B. (1978). *The seasons of a man's life*. New York: Ballantine Books
- McGuire, G. M. (1999). Do race and sex affect employees' access to help from mentors? Insights from the study of a large corporation. In A. J. Murrell, F. J. Crosby, & R. J. Ely (Eds.), *Mentoring dilemmas: developmental relationships within multicultural organizations* (pp. 105-120). New Jersey: Lawerence Erlbaum Associates.
- Merriam, S. (1983). Mentors and proteges: A critical review of the literature. *Adult Education Quarterly*, 33(3), 161-173.
- Merriam, S.B., & Caffarella, R.S. (1991). *Learning in adulthood*. San Francisco: Jossey-Bass.
- Merriam, S. B., Thomas, T. K., & Zeph, C. P. (1988). Mentoring in higher education: What we know now. *Review of Higher Education*, 11(2) 199-210.
- Murray, M., & Owen, M. A. (1991). *Beyond the myths and magic of mentoring: How to facilitate an effective mentoring program*. San Francisco: Jossey-Bass.
- Noe, R. A. (1988). An investigation of the determinants of successful assigned mentoring relationships. *Personnel Psychology*, 41, 457-479
- Phillips-Jones, L. (1982). *Mentors and protégés*. New York: Arbor House.
- Phillips-Jones, L. L. (1983). Establishing a formalized mentoring program. *Training and Development Journal*, 2, 38-42.
- Pollock, R. (1995). A test of conceptual models depicting the developmental course of informal mentor-protégé relationships in the work place. *Journal of Vocational Behavior*, 46, 144-162.
- Ragins, B. R. (1997). Diversified mentoring relationships in organizations: A power perspective. *Academy of Management Review*, 22, 482-521.
- Reid, B. A. (1994). Mentorships ensure equal opportunity. *Personnel Journal*, 73, 122-123.
- Rubow, R., & Jansen, S. (1990). A corporate survival guide for the baby bust. *Management Review*, 79, 50-52.
- Shapiro, E. C., Haseltine, F. P., & Rowe, M. P.(1978). Moving up: role models, mentors, and the "patron system". *Sloan Management Review*, 19(3), 51-58
- Smith J. W., Smith W. J., & Markham S. E. (2000). Diversity issues in mentoring academic faculty. *Journal of Career Development*, 26, 251-262.

- Spillerman, S. (1977). Careers, labor market structure, and socio-economic achievement. *American Journal of Sociology*, 83, 551-593.
- Tack, W. L., & Tack, L. (1986). Don't ignore seasoned managers---The case for management cycling. *Sloan Management Review*, 27, 63-70.
- Thomas, D. A. (1990). The impact of race on managers' experiences of developmental relationships (mentoring and sponsorships): an intra-organizational study. *Journal of Organizational Behavior*, 11, 479-492.
- U.S. Department of Labor (1995). *Final report on the glass ceiling*. Washington, DC: U.S. Government Printing Office.
- Wellington, S. (1999). Foreword. In A. J. Murrell, F. J. Crosby, & R. J. Ely (Eds.), *Mentoring dilemmas: developmental relationships within multicultural organizations* (pp. xi-xiii). New Jersey: Lawerence Erlbaum Associates.
- Whitely W., Dougherty T. W., & Dreher G. F. (1991). Relationship of career mentoring and socioeconomic origin to managers' and professionals' early career progress. *Academy of Management Journal*, 34, 331-351.
- Zey, M. G. (1988). A mentor for all. *Personnel Journal*, January, 46-51.

The Advantages of Reporting to Your Mentor: A Comparison of Managers with Supervisory and Non-Supervisory Mentors

Sarah A. Hezlett

University of Illinois at Urbana-Champaign

Theory suggests that protégé and mentor characteristics influence the development and process of mentoring relationships. This study investigates the role of one variable that is a joint function of protégé and mentor characteristics: the nature of the reporting relationship between protégés and their mentors. Results suggest managers who report to their mentors have higher organizational commitment and career satisfaction than those without mentors. However, other variables were not associated with the nature of the reporting relationship.

Keywords: Mentoring, Development, Career Success

Problem Statement

Over the past fifteen years, a noteworthy amount of research has been devoted to understanding mentoring in the workplace. The growth in this literature is highlighted by the recent appearance of several reviews on mentoring (Allen, Eby, Poteet, Lentz, & Lima, *in press*; Noe, Greenberger, & Wang, 2002; Wanberg, Welsh, & Hezlett, 2003). Despite this progress, research on mentoring is still relatively young (Wanberg et al., 2003). More research is needed to clarify our understanding of mentoring relationships.

Relatively little attention has been directed towards examining how mentoring relationships are affected by the combined characteristics of mentors and their protégés. The current study helps address this gap in the literature by examining whether or not the nature of the reporting relationship between a mentor and a protégé is associated with differences on other variables identified as pertinent to mentoring. The individual characteristics, development activities, manager support, proximal affective outcomes, and career success of four groups are compared: managers who report directly to their mentors; managers who have mentors in the organization but do not report to them; managers who have mentoring relationships both with their direct supervisors and with others in the organization; and managers without mentors in their own organizations.

Theoretical Framework

This research is grounded in the dynamic process model of mentoring recently proposed by Wanberg and her colleagues (Wanberg et al., 2003). Although this model focuses on formal, or arranged, mentoring relationships, the authors acknowledge that many aspects of this model are applicable to mentoring relationships in general. According to this model (Wanberg et al., 2003), mentoring relationships yield two broad classes of outcomes for protégés: proximal and distal. The proximal outcomes include four potential areas of protégé change: cognitive learning, skill-based learning, affective-related learning, and the development of social networks. Proximal outcomes are predicted to partially mediate the relationship between the receipt of mentoring and distal outcomes. Distal outcomes include extrinsic and intrinsic career success. Extrinsic career success can be characterized as the observable rewards individuals receive for their accomplishments, such as compensation and promotions. Intrinsic career success refers to employees' reactions to their accomplishments. Examples are career and life satisfaction.

Past research, recently summarized in a meta-analysis, supports the proposition that receipt of mentoring is associated with proximal affective outcomes (e.g., job satisfaction and organizational commitment) and with both intrinsic and extrinsic career success (Allen et al., *in press*). Few empirical studies, however, have examined other proximal protégé outcomes. One study by Lankau and Scandura (2002) found that the assistance provided by mentors (i.e., mentoring functions) was associated with learning about work relationships and interpersonal skill development. Clearly, more research on how mentoring influences cognitive and skill-based learning is needed.

Self-directed learning represents one of the major approaches to studying learning and development in the workplace (McCauley & Hezlett, 2001). Within this body of research, a number of studies have been devoted to understanding the antecedents of participation in development activities (e.g., Noe & Wilk, 1993; Maurer & Tarulli, 1994; Maurer, Weiss, & Barbeite, 2003). Of the antecedents that have been examined, manager support for

development is one that has been consistently associated with participation in development activities (McCauley & Hezlett, 2001). Given that mentoring relationships are directed towards enhancing the professional development of protégés, it seems likely that receipt of mentoring also is related to participation in development activities. This proposition is not explicitly part of the dynamic process model of mentoring (Wanberg et al., 2003), but is consistent with the model's thesis that mentoring leads to protégé change. Therefore, development activities are examined in this study, along with proximal affective outcomes and distal outcomes.

Most prior research on participation in development activities has focused on employees' completion of new learning activities that stretch their knowledge and skills (e.g., reading books, job rotation), but theory suggests additional classes of behaviors are likely to be critical to development (McCauley & Hezlett, 2001). These include behaviors related to assessing one's development needs and establishing development goals (development planning), as well as behaviors involving reflection on what has been experienced or learned (development review). Therefore, development planning, learning activities, and development review are all included in this study.

According to the dynamic process model of mentoring (Wanberg et al., 2003), mentoring relationships have several kinds of antecedents. Protégé characteristics, mentor characteristics, and the combination of protégé and mentor characteristics are hypothesized to influence the nature of mentoring received. That is, the characteristics of the participants in a mentoring relationship will influence the support mentors provide and protégés receive. This support, in turn, drives the outcomes experienced by the protégé. The current study focuses on one combination of mentor and protégé characteristics: the nature of their formal work relationships.

Researchers have disagreed about whether the nature of the formal work relationship between individuals constrains the possibility of them having a mentoring relationship. Some have argued that certain formal relationships, such as a supervisor-subordinate relationship, interfere with the types of assistance the more experienced person can provide to the less experienced one, making it impossible for a true mentoring relationship to develop (e.g., Ostroff and Kozlowski, 1993). In contrast, others have proposed that employees benefit from receiving mentor-like support from clusters or constellations of developmental relationships that may involve more experienced people both within and outside the employees' work organization (Higgins & Kram, 2001). Although some studies (Baugh & Scandura, 1999; Fagan & Walter, 1982) have suggested that there are costs associated with having more than one developmental relationship (burnout, role conflict), several have concluded that having multiple mentors is associated with more favorable outcomes (Higgins, 2000; Peluchette & Jeanquart, 2000).

Considering these arguments and the research evidence in light of the dynamic process model of mentoring (Wanberg et al., 2003), it seems reasonable to expect that differences in the formal work relationships between mentors and protégés will lead to differences in the support provided by mentors, and, consequently, the proximal and distal outcomes experienced by protégés. Therefore, different kinds of reporting relationships between protégés and their mentors are likely to be associated with different proximal and distal outcomes.

Research Question and Propositions

The fundamental question addressed by this study is: How do work-related experiences differ for managers and professionals who report to their mentors, who do not report to their mentors, who have both supervisory and non-supervisory mentors, and who do not have mentors in their organizations? The experiences examined include manager's development activities (development planning, learning activities, and development review), proximal affective outcomes (job involvement, job satisfaction, and organizational commitment), intrinsic career success (career and life satisfaction) and extrinsic career success (total compensation, salary changes, and promotions). In addition, differences between the groups on their individual attributes (i.e., demographic characteristics, personality traits, and cognitive abilities) and the support they report receiving from their managers are investigated.

Consistent with the concept of constellations of developmental relationships (Higgins & Kram, 2001), it is expected that managers who have both supervisory and non-supervisory mentors will have the most favorable work experiences. That is, they will participate in more development activities, have more positive work attitudes, and experience the most intrinsic and extrinsic career success. Managers who report to their mentors (i.e., who have only supervisory mentors) are predicted to have the next most favorable experiences. This is because supervisory mentors are likely to have a greater ability to interact with and influence their protégés on a regular basis than non-supervisory mentors. Managers who have non-supervisory mentors are expected to have more favorable experiences than managers who do not have mentors within their organizations.

One limitation of many prior studies on mentoring is their failure to take into consideration the antecedents of mentoring relationships when examining the outcomes of mentoring relationships (Wanberg et al., 2003). As a result, it is not clear whether outcomes attributed to the receipt of mentoring are due to the relationship or protégé

attributes. The current study includes a number of demographic attributes and individual difference variables, permitting both their substantive investigation and an evaluation of their potentially confounding role in the results. Hypotheses regarding these variables are not specified. Although the dynamic process model of mentoring (Wanberg et al., 2003) identifies protégé characteristics as an important antecedent of receiving mentoring, research has found few employee attributes that consistently relate to the receipt of mentoring. Following a recommendation made by Wanberg et al., the current study extends previous research by examining the major traits represented in the five-factor, or "Big Five" model of personality (Hough & Schneider, 1996).

Managers' perceptions of how much support they receive from the managers they report to are expected to vary according to the status of their reporting relationship with their mentor(s). The two groups of managers who report to their mentors (i.e., those with supervisory mentors and those with both supervisory and non-supervisory mentors) are expected to report receiving more support from their managers than participants who have non-supervisory mentors or those who do not have mentors within their organizations.

Method

Procedures and Participants

Participants were recruited for a research project jointly sponsored by a consulting firm and a large research university. Managers and professionals who participated in services offered by the firm were invited to participate in the study after the delivery of the professional services was completed. Those invited to participate had taken part in either selection services or activities related to development or promotion (e.g., assessment centers).

Individuals who agreed to participate in the study were asked to complete a paper survey on their own time. Completed surveys were returned to the research university. For some participants, data also were available from demographic surveys, personality inventories, and cognitive tests that were completed as part of the professional services. Approximately two years after the first survey, follow-up surveys were sent to the 82 individuals who returned the initial survey. Time 2 surveys were completed by roughly half of the original participants ($n = 40$).

Some of the participants in the study responded to demographic questions. Their average age when the initial survey was completed was 40 ($SD = 6.9$, $n = 62$). Two-thirds of those providing information about their gender ($n = 72$) were male. Of those reporting their ethnic backgrounds ($n = 62$), most indicated they were Caucasian (92%). More than three-quarters (77%) of those who provided data about their education ($n=62$) had earned at least a bachelor's degree. Fifty-five of the participants indicated they had managerial responsibility. Of these, 31% were executives, 51% were middle managers, and 18% were supervisors or first-line managers. Eight participants reported they did not have management responsibility. Participants worked in a variety of industries, including financial services, transportation, retail, technology, shipping, and communications.

Comparisons of participants who completed the Time 2 survey with those who did not revealed only one difference. Non-responders reported receiving more total compensation at Time 1 [$t = 2.08$, $df = 47.8$ (unequal variances assumed), $p = .043$]. Overall, the groups appear fairly similar.

At Time 1, 81 of the survey respondents provided sufficient information to classify them into four groups reflecting their reporting relationships to their mentors. The first group ($n = 15$) includes employees who consider their manager as their mentor and also report having another mentor in the organization. Study participants in the second group ($n = 17$) perceive that the only mentor they have in their organization is their manager. The third group ($n = 21$) is composed of respondents who do not view their manager as a mentor, but have a mentor elsewhere in their organization. Individuals in the fourth group ($n=28$) do not have mentors in their organization.

Measures

The current study utilizes items on the two surveys assessing manager support, development activities, proximal outcomes, and distal outcomes. Some measures from the original survey were omitted from the follow-up survey in the hopes of maximizing the response rate by decreasing the length of the instrument. Therefore, some variables were only assessed at Time 1. Internal consistency reliabilities (Cronbach's alpha) for measures at Time 1 and Time 2 are shown in Tables 1 and 2, respectively.

Manager support. At Time 1, participants were asked to rate the extent to which they felt their managers supported them. Sixteen items were rated on a five-point, Likert-type scale with anchors ranging from "Not at All" to "To a Very Great Extent." Sample items are: "My manager has coached me in specific areas," "My manager has conveyed feelings of respect for me as an individual," and "I have tried to model my behavior after my manager."

Development activity. Three kinds of development activity were measured. *Development planning* was measured by asking participants to review a list of seven behaviors and check all they had performed in the past six months. Examples of the behaviors listed are: "Evaluated your own strengths and development needs" and "Targeted specific skill areas to develop." *Learning activity* was assessed by asking participants to indicate how

frequently they had performed certain activities in the past six months. The anchors for the five-point response scale ranged from "Never" (coded zero) to "Over 6" (coded six). Twelve items were included in the final scale. Sample items include "Read books or articles to update my skills" and "Practiced skills on-the-job while handling my regular responsibilities." To measure *Development Review*, participants were asked to indicate how often they performed three behaviors. Anchors on the six-point response scale ranged from "Never" (coded zero) to "Daily" (coded 5). One sample item is "Reflected on what I have learned."

Proximal outcomes. The same five-point response scale was used in measuring all three proximal, affective outcomes examined in the study. The anchors on the scale ranged from "strongly disagree" to "strongly agree." *Job Involvement* was assessed with ten items, two of which were negatively worded and, consequently, reverse-scored when scale scores were computed. An example of one item from the job involvement measure is "I consider my job to be central to my existence." Five items were used to measure *Job Satisfaction*, two of which were reverse-scored. A sample item is: "I find real enjoyment in my work." *Organization Commitment* was measured with 15 items, one of which was "I really care about the fate of this organization."

Distal outcomes. Two indices of intrinsic career success were used in the study. *Career Satisfaction* was measured with nine items. Responses were made on a five-point scale with anchors ranging from "not at all satisfied" to "extremely satisfied." One of the items was "How satisfied are you with the success you have achieved in your career?" *Life Satisfaction* was evaluated with five items using the same response scale used in measuring the proximal affective outcomes. A sample item is: "I am satisfied with my life." At Time 1, fill-in-the-blank questions were used to assess two indicators of extrinsic career success: total compensation and change in base salary in the past year. Participants also were asked whether or not they had received a promotion in job level in the past year.

Individual differences. For most participants, data regarding personality and general cognitive ability were available. The "Big Five" personality dimensions (Extraversion, Neuroticism, Conscientiousness, Agreeableness, and Openness to Experience) were assessed with the Global Personality Inventory (GPI). This 300-item instrument was developed with input from psychologists in 14 countries in Europe, Asia, North America, and South America and refined using data collected in the U.S., China and Spain. Items are rated on a five-point, Likert-type scale with anchors ranging from "strongly agree" to "strongly disagree." Thirty of the GPI's 37 scales measure facets of the "Big Five." Reported internal consistencies of most scales are adequate and criterion-related validity data are promising (Schmit, Kihm, & Robie, 2000). To create more homogenous scales for the present study, items pertaining to achievement orientation and initiative were omitted from the Extraversion scale. Conscientiousness was separated into two sub-dimensions: Need for Achievement and Dependability. This scoring is consistent with research supporting the differential validity of these traits (Hough & Schneider, 1996). General cognitive ability was measured with a composite of participants' scores on the Watson-Glaser Critical Thinking Appraisal (Watson & Glaser, 1980) and the verbal reasoning section of the Wesman Personnel Classification Test (Wesman, 1965).

Limitations

This study has some limitations that should be kept in mind when considering the results. First, the sample is primarily comprised of managers and, consequently, the findings may not generalize to people in other occupations. Second, participants were not assigned to different mentoring "treatments." As is typical in studies on mentoring, participants were asked to provide information about mentoring relationships that had occurred without researchers' intervention. The lack of random assignment calls into question the assumption of the equivalence of the different groups. In fact, theories of mentoring suggest that protégés' attributes should affect their mentoring relationships, yielding groups that differ on more than their mentoring experiences. Comparison of the groups on a number of demographic and individual differences permits the evaluation of some potential differences between the groups. However, it is possible that observed differences between the groups on any outcomes may be due to unmeasured variables, rather than differences in mentor-protégé reporting relationships. Finally, the internal consistency reliabilities of most measures used in this study are adequate. Exceptions to this trend involve the measures of development planning and review. Conclusions pertaining to these scales must be considered tentative.

Results

To evaluate the comparability of the four groups in terms of their demographic backgrounds and individual differences, a series of tests were performed. ANOVAs were conducted for variables that were continuous (age, tenure with current organization, personality traits, and cognitive ability), while non-parametric tests were performed on categorical variables (gender, management level, and education). No differences were observed, suggesting that biographic data, personality traits, and cognitive ability do not differentiate among those with supervisory mentors, with non-supervisory mentors, with both kinds of mentors, and without mentors.

Table 1. *Mean Differences in Time 1 Manager Support, Development Activities, and Outcomes by Mentor Status at Time 1*

	<i>a</i>		Supervisory and Other Mentor	Only Supervisory Mentor	Only Non- Supervisory Mentor	No Mentor	F-test
Manager Support	.94	<i>M</i>	3.80	3.93	2.80	2.86	15.36***
		<i>SD</i>	.53	.64	.86	.60	
		<i>n</i>	15	17	21	28	
Dev. Planning	.66	<i>M</i>	4.80	4.82	5.43	4.86	0.67
		<i>SD</i>	1.52	1.78	1.57	1.74	
		<i>N</i>	15	17	21	28	
Learning Activities	.71	<i>M</i>	3.04	2.85	2.91	2.51	1.48
		<i>SD</i>	1.14	0.84	0.87	0.80	
		<i>N</i>	15	17	21	28	
Dev. Review	.45	<i>M</i>	2.24	2.27	2.19	2.00	.57
		<i>SD</i>	0.73	0.85	0.68	0.85	
		<i>N</i>	15	17	21	28	
Job Involvement	.79	<i>M</i>	2.76	3.19	2.98	2.95	1.67
		<i>SD</i>	0.41	0.67	0.55	0.54	
		<i>N</i>	15	17	21	28	
Job Satisfaction	.73	<i>M</i>	4.17	4.18	4.20	4.04	0.62
		<i>SD</i>	0.58	0.45	0.45	0.44	
		<i>N</i>	15	17	21	28	
Org. Commitment	.91	<i>M</i>	3.87	4.13	3.84	3.52	4.08**
		<i>SD</i>	0.71	0.45	0.48	0.62	
		<i>N</i>	15	17	21	28	
Career Satisfaction	.86	<i>M</i>	3.79	3.65	3.76	3.36	3.08*
		<i>SD</i>	0.49	0.67	0.57	0.46	
		<i>N</i>	15	17	21	28	
Life Satisfaction	.82	<i>M</i>	3.91	3.48	3.91	3.57	2.21
		<i>SD</i>	0.58	0.67	0.68	0.67	
		<i>N</i>	15	17	21	28	
Total Compensation	-	<i>M</i>	128,529.33	281,421.25	167,258.82	179,569.23	1.53
		<i>SD</i>	77,224.06	372,332.04	144,900.57	152,068.97	
		<i>N</i>	15	16	17	26	
Salary Change	-	<i>M</i>	8,951.93	10,052.38	5,314.64	12,805.00	0.59
		<i>SD</i>	5,956.90	9,278.29	7,466.37	28,467.07	
		<i>N</i>	15	16	17	28	
Promotions	-	<i>M</i>	.40	.24	0.15	0.21	1.03
		<i>SD</i>	.51	.44	0.37	0.42	
		<i>N</i>	15	17	20	28	

*p < .05, **p < .01, *** p < .001

Next, ANOVA was utilized to compare the four groups in terms of their perceptions of the support they received from their managers. As can be seen in Table 1, substantial differences were observed. Post hoc tests (Tukey's honestly significant differences) indicated that both groups who view their managers as their mentors rate

them as providing more support than the two groups who don't view their managers as their mentors. There were no differences between study participants who only had supervisory mentors and those who had both a supervisory mentor and another mentor, nor were there differences between study participants who only had a non-supervisory mentor and those without mentors. This pattern of results was expected.

Results for development activities, proximal outcomes, and distal outcomes at Time 1 also are shown in Table 1. Significant differences were observed for only one proximal outcome (Organizational Commitment) and one distal outcome (Career Satisfaction). Post hoc tests (Tukey's honestly significant differences) indicate that managers and professionals with only supervisory mentors have significantly higher organizational commitment than those without mentors in the organization. Those without mentors in their organization had marginally less career satisfaction than those with both supervisory and non-supervisory mentors ($p = .072$) and those with only non-supervisory mentors ($p = .060$).

Results for outcomes reported at Time 2 are shown in Table 2. Many of the participants who completed both surveys experienced changes in the nature of their reporting relationship to their mentor (mentor status) between Times 1 and 2. Consequently, two sets of ANOVAs were conducted. The first set examined the relationship between mentor status at Time 1 and outcomes at Time 2; the second investigated the relationship between mentor status at Time 2 and outcomes during the same time period. Mentor status at Time 1 was not related to outcomes at Time 2. However, mentor status at Time 2 was significantly associated with organizational commitment. Post hoc tests indicated that study participants who only viewed their manager as their mentors at Time 2 had significantly higher organizational commitment than those without mentors in the organization. There also was a marginally significant effect of mentor status at Time 2 on career satisfaction at Time 2 ($p = .08$). Note that all results involving Time 2 outcomes must be interpreted cautiously due to the modest overall sample size ($N = 40$) and the small number of cases in certain groups.

Discussion

Three findings stand out in the present study. First, no differences were observed between those with supervisory mentors, those with non-supervisory mentors, those with both kinds of mentors, and those without mentors in their organizations on any of the background characteristics or individual differences variables examined. These results are counterintuitive and appear contradictory to the dynamic process model on which the current study is based. However, these findings are not inconsistent with previous research in which few protégé characteristics have consistently differentiated those with and without mentors. Additional research is needed to clarify which protégé and mentor characteristics affect mentoring relationships and thus, should be included in theories of mentoring.

Second, the nature of the formal reporting relationship between managers and their mentors was not related to the managers' development activity, job involvement, job satisfaction, life satisfaction or extrinsic career success. These results diverge from prior research indicating individuals with mentors have more favorable work-related attitudes than those without. One possible explanation for this finding is that managers in this sample who did not have mentors within their organizations were protégés to people outside their organization. Additional research is needed to evaluate whether protégés with mentors who work for the same organization have different experiences than protégés with mentors who work elsewhere. Given past research indicating participation in development activities is associated with manager support, the lack of differences between groups on development activity also was unexpected. For learning activities, the pattern of results is consistent with the idea that those with more developmental relationships will engage in more development. Further research with larger samples is needed to determine if this trend is significant. Note that the same pattern does not appear to hold for development planning or review. This may be a sign that support does not influence these developmental steps, but more reliable measures of planning and review must be created before definitive conclusions can be drawn.

Third, meaningful differences were found between groups on organizational commitment and, to a lesser extent, career satisfaction. Managers with supervisory mentors had greater organizational commitment and were more satisfied with their careers than managers who did not have mentors within their organization. Past research has attributed differences in organizational commitment between those with and without mentors to the presence (or absence) of mentoring. However, in some studies, as much as 85% of participants report that their mentor is their manager. It may be the case that differences in organizational commitment are not due to differences in the receipt of mentoring, but the quality of support employees receive from their managers. Additional research with larger samples is needed to tease out whether there are small, but meaningful differences, in organizational commitment among employees with non-supervisory mentors, both supervisory and non-supervisory mentors, and those without mentors in their organization. Failure to find such differences would suggest leadership, rather than mentoring, drives organizational commitment.

Table 2. Mean Differences in Time 2 Proximal and Distal Outcomes by Mentor Status at Times 1 and 2

	<i>α</i>	Supervisory and Other Mentor	Only Supervisory Mentor	Only Non- Supervisory Mentor	No Mentor	F-test
Mentor Status at Time 1						
Job Satisfaction	.76	<i>M</i> 3.91 <i>SD</i> 0.79 <i>N</i> 7	4.18 0.54 10	4.24 0.66 9	3.89 0.52 14	.91
Org. Commitment	.95	<i>M</i> 4.07 <i>SD</i> 0.55 <i>N</i> 7	3.70 0.82 10	3.92 0.69 9	3.61 0.85 14	.69
Career Satisfaction	.92	<i>M</i> 3.89 <i>SD</i> 0.42 <i>N</i> 7	3.31 1.06 10	3.79 0.79 9	3.21 0.66 14	1.82
Life Satisfaction	.87	<i>M</i> 3.89 <i>SD</i> 0.43 <i>N</i> 7	3.38 1.10 10	3.78 0.84 9	3.43 0.44 14	1.03
Total Compensation	-	<i>M</i> 157,785.71 <i>SD</i> 88,393.94 <i>N</i> 7	144,000.00 79,961.10 10	175,125.00 174,234.19 8	168,855.77 83,600.61 13	.51
Mentor Status at Time 2						
Job Satisfaction	.76	<i>M</i> 3.80 <i>SD</i> 0.69 <i>N</i> 4	4.31 0.55 9	4.30 0.41 8	3.86 0.64 19	1.97
Org. Commitment	.95	<i>M</i> 3.80 <i>SD</i> 0.82 <i>N</i> 4	4.36 0.46 9	3.93 0.37 8	3.45 0.83 19	3.70*
Career Satisfaction	.92	<i>M</i> 4.00 <i>SD</i> 0.26 <i>N</i> 4	3.86 1.12 9	3.56 0.56 8	3.17 0.68 19	2.47
Life Satisfaction	.87	<i>M</i> 3.10 <i>SD</i> 0.96 <i>N</i> 4	3.91 1.20 9	3.60 0.58 8	3.51 0.42 19	1.22
Total Compensation	-	<i>M</i> 249,333.33 <i>SD</i> 52,538.87 <i>N</i> 3	175,055.56 173,026.81 9	100,625.00 35,124.01 8	167,340.28 75,701.98 18	1.78

*p < .05, **p < .01, *** p < .001

Contributions to HRD

This study has broken new ground by systematically examining whether the work-related attributes and experiences of managers vary based on the nature of their formal reporting relationship with their mentors. Drawing on models of mentoring relationships, developmental relationships, and development activities, several hypotheses were proposed and tested. This study also extended prior research by incorporating two new sets of variables into an investigation of mentoring: protégés' scores on all five of the "Big 5" personality traits and three kinds of development activities. In several ways, the results diverged from expectations, provoking ideas for new research. Overall, it appears that some work-related experiences and outcomes are not restricted to employees with a particular kind of reporting relationship with their mentors.

These results have implications for HRD practitioners. First, they suggest that when designing mentoring programs, there is room for flexibility in the nature of reporting relationships between managers and protégés. Second, HRD practitioners who are interested in enhancing employees' commitment to their organizations may wish to focus on improving supervisor-subordinate relationships.

References

- Allen, T. D., Eby, L. T., Poteet, M. L., Lentz, E., & Lima, L. (in press). Career benefits associated with mentoring for protégés: A Meta-analysis. *Journal of Applied Psychology*.
- Baugh, S. G., & Scandura, T. A. (1999). The effects of multiple mentors on protégé attitudes toward the work setting. *Journal of Social Behavior and Personality*, 14, 503-521.
- Fagan, M. M., & Walter, B. (1982). Mentoring among teachers. *Journal of Educational Research*, 76, 113-118.
- Higgins, M. C. (2000). The more the merrier? Multiple developmental relationships and work satisfaction. *Journal of Management Development*, 19, 277-296.
- Higgins, M. C., & Kram, K. E. (2001). Reconceptualizing mentoring at work: A developmental network perspective. *Academy of Management Review*, 26, 264-288.
- Hough, L. M., & Schneider, R. J. (1996). Personality traits, taxonomies, and applications in organizations. In K. R. Murphy (Ed.), *Individual differences and behavior in organizations*. (pp. 31 – 88). San Francisco: Jossey-Bass.
- Lankau, M. J., & Scandura, T. A. (2002). An investigation of personal learning in mentoring relationships: Content, antecedents, and consequences. *Academy of Management Journal*, 45, 779-790.
- McCauley, C. D. & Hezlett, S. A. (2001). Individual development in the workplace. In N. Anderson, D. S. Ones, H. K. Sinangil, & C. Viswesvaran (Eds.) *Handbook of Industrial, Work & Organizational Psychology*, (Vol. 1, pp. 313 – 335). London: Sage Publications.
- Maurer, T. J., & Tarulli, B. A. (1994). Investigation of perceived environment, perceived outcome, and person variables in relationships to voluntary development activity by employees. *Journal of Applied Psychology*, 79(1), 3-14.
- Maurer, T. J., Weiss, E. M. & Barbeite, F. G. (2003). A model of involvement in work-related learning and development activity: The effects of individual, situational, motivational, and age variables. *Journal of Applied Psychology*, 88, 707-724.
- Noe, R. A. & Wilk, S. L. (1993). Investigation of the factors that influence employees' participation in development activities. *Journal of Applied Psychology*, 78(2), 291-302.
- Noe, R. A., Greenberger, D. B., & Wang, S. (2002). Mentoring: What we know and where we might go. *Research in Personnel and Human Resources Management*, 21, 129-174.
- Ostroff, C. & Kozlowski, S. W. (1993). The role of mentoring in the information gathering processes of newcomers during early organizational socialization. *Journal of Vocational Behavior*, 42(2), 170-183.
- Peluchette, J. V. E., & Jeanquart, S. (2000). Professionals' use of different mentor sources at various career stages: Implications for career success. *Journal of Social Psychology*, 140, 549-564.
- Schmit, M. J., Kihm, J. A., & Robie, C. (2000). Development of a global measure of personality. *Personnel Psychology*, 53, 153-193.
- Wanberg, C. R., Welsh, E. T., & Hezlett, S. A. (2003). Mentoring research: A review and dynamic process model. *Research in Personnel and Human Resources Management*, 22, 39-124.
- Watson, G.B. & Glaser, E. M. (1980). *WGCTA®/Watson-Glaser Critical Thinking Appraisal Manual®. Forms A and B*. San Antonio: The Psychological Corporation, Harcourt Brace & Company.
- Wesman, A. G. (1965). *Wesman personnel classification test manual, 1965 Revision*. The Psychological Corporation, Harcourt Brace & Company.

A Systems Approach to Mentoring: A Review of Literature

*Jeeyon Paek
The Ohio State University*

Numerous studies about mentoring have been conducted, and this paper reviews current studies on mentoring programs from a systems approach. To understand current studies about mentoring, the paper identified three major research questions and reviewed how those questions have been examined in each area: mentoring input, mentoring process, and mentoring outcome. The paper also identified two emerging questions, which are not answered but need to be studied in each area.

Keywords: Mentoring, Systems Approach, Training and Development

A number of individuals and organizations have participated in mentoring programs, and numerous impacts of mentoring relationships have been perceived. The impacts of mentoring programs are varied, but forms of mentoring are also becoming diversified. Mentoring programs vary in their purpose, approach, ideology, and philosophy. The attitude and level of the individual, the organization's commitment, and advanced information technology contribute to this diversity. While mentoring programs have been implemented in numerous ways, there have been also numerous studies conducted about mentoring. These studies have focused on topics such as what is mentoring, how mentoring can be successfully utilized, and what benefits mentoring brings to the workplace.

However, how can HRD practitioners be confident in considering all factors related to mentoring program planning, implementation, and evaluation? How do HRD scholars identify research questions, which are significant but have not been answered? This paper reviews current studies on mentoring programs from a systems approach—input, process, and outcome—to understand current studies about mentoring and to identify future research needs. Most of the literature does not cover a single area among input, process, and outcome. Instead, it discusses relationships between areas such as input and outcome or relationships between process and outcome. Consequently, literature on mentoring cannot be clearly divided into three categories in a systems approach. However, since a systems approach allows HRD scholars and practitioners to view one training program from a comprehensive perspective covering all aspects and relationships between factors, this paper provides an understanding of current studies and insights related to potential future areas of further study. By analyzing current studies from the systems prospective, this paper identifies emerging research questions to be studied in mentoring input, mentoring process, and mentoring outcome.

The paper is based on a literature review, most of which was published in the last decade, and a critical assessment of the literature. The databases searched are Business Source Premier, Educational Resources Information Center (ERIC), and Proquest. ERIC was used to gain education and training perspectives. Business Source Premier was used to gain individual performance, business, and organizational perspectives. Proquest resources provided additional information regarding application and perspectives various fields' such as military, teacher's development, healthcare industry, and community.

Mentoring Input

Participant's Characteristics

A number of studies have examined the influence of both the mentor's and protégé's characteristics on the satisfaction of mentoring relationships. The characteristics examined included demographic information such as race, gender, age, and position; and cognitive tendency such as learning style and transformational leadership style. Some studies illustrated that mentor's recognition of the protégé's learning style increases the protégé's development (Koberg et al., 1998). Another study conducted with 53 mentor-protégé dyads examined the effects of the cognitive style of mentors and protégés. This study found that mentors who are more analytic enhance the quality of the mentoring relationship (Armstrong et al., 2002). Clutterbuck and Megginson (1999) illustrated the difference in mentoring relationships by studying the role of positions using 21 cases of mentoring executives and directors.

Ragins and Scandura (1994) conducted a study of 80 male and 80 female executives to see if any difference existed between genders in the costs and benefits of mentoring. To measure costs and benefits of being a mentor, the authors developed a survey instruments using a seven-point Likert-type scales after pilot a test with 110 executives and upper-ranking managers. The results showed that female executives were as likely to be willing to serve as

mentors as male executives. They also found that there was no significant gender difference in mentoring experience, intentions to mentor, or the costs and benefits associated with mentoring relationships. The study supported that gender difference may occur in different ranks, positions, and resources, but not from the structured perspective.

One of the interesting studies about inputs of mentoring programs examined the level of mentor-protégé agreement about mentor leadership rating on the quality of a mentoring relationship (Godshalk & Sosik, 2000). The mentor-protégé agreement level was determined by the difference between the mentor's self rating and the protégé's rating of the mentor's transformational leadership skills. The quality of the mentoring relationship was measured by career development, psychosocial support, and mentoring effectiveness. Based on Godshalk and Sosik's review of the literature, it supports the premise that the greater the agreement between the mentor and protégé regarding leadership skills, the higher the satisfaction about quality of mentoring. However, the study also found that underestimators, whose self-ratings were lower than their protégé's, experienced the highest quality of mentoring relationships. They interpreted this to mean that contrary to the current study about leadership—the self-confident leaders are more effective—the most effective in the mentoring relationship are the mentors who are generally humble and modest. The authors also interpreted the results by proposing that those who set high standards of performance, might be overly critical in their evaluations both in leadership and in quality of the mentoring relationship (Godshalk & Sosik, 2000). However, because the sample units are MBA students who tend to be more aggressive than non-MBA, the protégé's characteristics might influence their preference in that they feel more satisfied with a modest mentor. Thus, before generalizing the results to a broader context, it is necessary to examine a non-MBA group of people.

Match and Mismatch

How to match a mentor and protégé has been studied as a key factor in successful mentoring programs. Several studies were found to investigate the effects of gender composition of mentoring relationships on mentoring processes and outcomes. However, these efforts have produced somewhat inconsistent results. Some findings state that the characteristics of the mentoring composition and protégé characteristics had significant effects on psychosocial outcomes. They found that same gender composition provides more psychosocial support to a protégé than diversified composition (Koberg et al., 1998). In contrast, other findings found that female mentors provided more friendship, counseling, personal support, and sponsorship in same gender composition (Sosik & Godshalk, 2000).

Ragins and McFarline (1990) surveyed 181 protégés in three organizations to compare perceptions of mentor roles in cross-gender and same gender mentoring relationships. The results found that gender interaction significantly influenced role modeling and social roles while remaining independent for difference in other demographic variables, organizational level, and prior experience with mentors. Cross-gender protégés reported that they were less likely to be involved in after-work social activities than same gender protégés, which implied that sexual concerns might result in some distance in cross-gender relationships. In addition, since after-work activities are more related to networking and further enhance mentoring relationships, cross-gender protégés are more likely restricted in the development of the mentoring relationship than same-gender protégés. Thus, in general, female protégés may have more restrictions since they have higher probability of having cross-gender mentors than male protégés. The results also showed that female protégés perceived female mentors served a role modeling function more than male mentors.

Sosik and Godshalk (2000) conducted a survey of 230 adult students enrolled in an MBA program, who had full-time work experience and who reported participating in either a formal or informal mentoring relationship to examine the role of gender in mentoring. In this study, the composition of the relationship was categorized with four kinds of dyads: (1) mentor who is in the majority group and protégé who is in the minority group and a different gender, (2) mentor who is in the minority group and protégé who is in the majority group and a different gender, (3) both mentor and protégé are the same gender and in the same majority group, and (4) both mentor and protégé are the same gender and in the same minority group. The results indicated that female mentors with either female protégés or male protégés provided more role modeling and psychosocial support than male mentors. However, male mentors provided more career development than female mentors, and male mentors supported female protégés with more career development than any other combination of mentoring relationships.

Experience Level

The mentor's experience has been considered an important input to mentoring program. However, in contrast from the conventional mentor's experience level, co-mentoring, or so-called peer mentoring, was recently studied in terms of its impact as an alternative mentoring form. Equality replaces hierarchy in the relationship as peer-mentorship differs from conventional mentorship, and by Rymer (2002)'s paper, the concept of "co-mentoring" can be supported from various disciplines such as social network theory, organizational behavior, and feminist studies. The benefits of peer mentoring are recognized in that there is more open communication (not hierarchical

communication), mutual support and feedback, and cooperative learning efforts (Woodd, 1997; Knouse & Webb, 2000; and Rymar, 2002).

Allen, Russell, and Maetzke (1997) described factors related to a protégé's satisfaction and willingness to serve as a mentor by surveying first-year MBA students as part of an evaluation of a formal, peer, team mentoring program. Protégés were a first-year, five-MBA student team, while mentors were one or two second-year MBA student(s). However, it could be argued that the mentors were not exactly peers since they were in the second year. Measures included time with mentor, satisfaction with current mentor, willingness to serve others as a mentor in the future, satisfaction with previous mentoring relationships, and demographic information. Based on the hierarchical multiple regression analysis, the results showed that higher protégé's satisfaction level from the mentoring relationship, the resulted in better performance in career and psychosocial functions. The more time they spent together, the more satisfied protégés were regarding the mentoring relationship. The results also indicated that protégés who were highly satisfied with the current mentoring relationship were more willingly to mentor others in the future.

Mentoring Process

Just as inputs greatly affect outcomes of mentoring programs, the process also significantly influences outcomes. Mentoring has been implemented in various ways. Mentoring is similar to management, as it can be implemented in a variety of styles and with varying degrees of skill, and is very dependent on the beliefs and values of the day (Woodd, 1997). This paper also found that recent studies presented alternative forms of mentoring compared with classical mentoring. Alternative forms of mentoring discussed consisted of one-to-one, face-to-face relationships between more experienced person and a less experienced person as a means of implementation. Although the purpose of mentoring—development of person who receives mentoring—might not change, implementation of mentoring has changed and expanded its boundaries as table 1 presents.

Table 1. *Mentoring Process Criteria*

<i>Process Criteria</i>	<i>Examples</i>
Formality	Formal mentoring vs. Informal mentoring
Communication channel	Virtual mentoring vs. Face to face mentoring
Number of participants	One-on-One mentoring vs. Team/Group mentoring

Formality

Formal and informal mentoring relationships differ in many ways. While the purpose of a formal mentoring relationship is assigned by the organization (usually a short-term career goal like skill improvement), the purpose of an informal one is often driven by developmental needs, which is a much longer-term career goal. The duration of formal mentoring is relatively short and forms are structured, while informal mentoring lasts relatively longer and forms are constructed freely. It is believed that informal mentoring is more effective for a protégé's development than formal mentoring, but recently because organizations are attempting to implement more mentoring program as part of their HRD strategy, studies have examined how formal mentoring programs could adopt more characteristics of informal mentoring (Rosser & Egan, 2003). Several researchers studied differences between formal and informal mentoring relationships (Armstrong et al., 2002; Ragins & Cotton, 1999; Chao et al., 1992).

Chao, Walz, and Gardner (1992) performed a longitudinal study of 549 individuals from nine graduating classes of a large Midwestern university and a small private institute to examine mentoring outcomes by types of mentorship participation—212 formal protégés, 53 informal protégés, and 284 non-mentored individuals. All three groups were compared in terms of three outcome measures—organizational socialization, job satisfaction, and salary. The findings indicated that protégés participating in informal mentorship had slightly more career related support than those in formal mentorship. However, there was no significant difference in receiving psychosocial support between formal and informal mentorship. Chao, Walz, and Gardner interpreted that psychosocial supports such as counseling, confirmation, and acceptance roles could be performed easily by a supervisor or coworker so those are not unique functions of mentoring; however, the career related roles such as coaching, visibility, exposure, and sponsorship required a more intimate relationship like informal mentorship. Significant differences were found between informal protégés and non-mentored individuals in terms of all scales of organizational socialization, job satisfaction, and salary. Thus, they concluded that organizations should support more mentoring relationships within an organization and should support the transformation from formal mentoring to informal mentoring relationships.

However, individuals who reported not having either formal or informal mentoring relationships, might have had someone who tried to be at least informal mentors. Those individuals may have had a tendency toward low

interest in their professional or career development and refused to have mentors. Additionally, they might have low progress in their professional career life as well, not because they had no mentors, but because they originally had low interest in their professional development.

Team/Group Mentoring

Another attempt of expended implementation of mentoring is team or group mentoring rather than one-to-one mentoring. From the 1993 study (Gibb & Megginson, 1993) conducted to describe the current status of mentoring programs in the practical world, there were no instances of group mentoring. One of the first studies about group mentoring was published in mid of 1990s (Dansky, 1996). Dansky (1996) describes benefits of group mentoring as opportunities offered through group participation that may complement or serve as a substitute for individual mentors. Knous and Webb (2000) also describe benefits of team mentoring and professional group mentoring by presenting several military mentoring types to apply to the complex business world with mixed populations on competitive task environment. They illustrated that “team mentoring can provide a sense of identity that can enhance the self-esteem of individual team members. Team members can also provide insight into training needs and the ongoing learning processes of individuals and the team as a whole. In addition, they can provide perspectives on diagnosing process shortcomings, solving problems, finding scarce resources, and dealing with difficult customers”(p. 50). They also stated that group mentoring from professional organizations can provide role modeling for career development, networking, and psychosocial aspect such as belonging for support.

Dansky (1996) described the impact of group mentoring on two career outcomes—salary and job title—by surveying 88 management and supervisory staff from home health agencies, 86% of whom were women. Dansky defined group mentoring as, “a group influence that emerges from the social norms and roles that are characteristic of a specific group and results in the career enhancement of an individual member” (p. 7). She first identified four types of group mentoring: role modeling, inclusion/belonging, networking, and psychosocial support. The results showed that there was a significant positive relationship between group behavior of feelings of inclusion and job title after controlling for the effects of individual mentoring. The study also found that role modeling group behavior was a significant predictor of salary. From this study, though it cannot be concluded definitely that group mentoring promotes job title and increased salary. It may be there was a positive relationship between group mentoring and an individual’s career outcomes. It may be more valid if the study examined non-group mentored management and supervisory staff from home health agencies.

Virtual Mentoring

As virtual communication increased, a way of virtual mentoring, so called e-mentoring, emerged in conventional face-to-face mentoring as an alternative method of communication. The notion of the boundaryless career creates the possibility of the virtual mentor—one who is outside the organization of the protégé and who only rarely encounters the protégé face to face (Megginson, 2000). Hamilton and Scandura (2003) stated that e-mentoring may not be a substitute for traditional, face-to-face mentoring, but it can supplement learning and development by providing timely needed advice and coaching. E-mentoring creates a larger pool of mentors and protégés who may face difficulties in commuting time, geographic barrier, and other commitments. In the case of pure online mentoring programs, most online mentoring programs match mentors and protégés who can communicate through a central site for security, privacy, and monitoring or filtering inappropriate communication (Field, 2003). There seems to be many e-mentoring approaches conducted, but few of empirical studies have been published.

Roles of Mentor

Much of the literature on mentoring describes the functions mentors performed to provide benefits to-protégés. Many researchers explained the roles of the mentor and described mentor’s functions. For example, Clutterbuck (1991) outlined five key roles played by the mentor, namely, coach, coordinator, supporter, monitor, and organizer. Overseer, teacher, counselor, provider of psychological support, promoter and sponsor were roles outlined by Zey (Zey, 1984). Fisher reported that mentors perform the roles of advocate, expert, trainer, alternatives identifier, collaborator, learning process specialist, fact finder, and partner (Fisher, 1994). Clutterbuck and Kram found that confidant, coach, networker, facilitator and challenger described the mentors they evaluated (Clutterbuck, 1991; Kram, 1983). Other researchers described mentors as a monitor, problem solver, and assessor (McIntyre et al., 1993); and role model, advisor, and motivator (Knouse & Webb, 2000). Since one of the classical studies in mentoring identified two mentor functions from an in-depth interview with 15 managers (Kram, 1983), most identified roles are belong to those two functions—career-related and psychosocial functions.

Mullen (1998) studied the relationship of roles of the mentor with the mentor’s characteristics. Mullen studied the characteristics of mentors who serve both vocational and psychosocial mentoring functions by surveying 160 mentors and 140 protégés in seventeen Midwestern organizations. The author used hierarchical multiple regression of three steps. In the first step, she tested age, educational level, and gender. In the second set of *relationship characteristics*, she tested hierarchical distance between mentor and protégé, who initiated the relationship, and the

amount of time spent together. In the third set of *mentor attitude and perceptions*, she tested how much a protégé influenced the mentor, how well the mentor perceived the protégé's competence, and the mentor's organizational-based self-esteem (OBSE). The results showed that mentors who initiated the relationship, who had high OBSE, who had their protégé influence them, who perceived their protégés as competence, and who spent more time with their protégés were identified as serving both functions at the greatest level. The results also indicated that older mentors performed both combined functions more than younger mentors.

Mentoring Outcome

Benefits to Protégé

Because the purpose of mentoring is to develop protégés, most of the literature on mentoring outcomes has been examining the benefits and impact to a protégé rather than discussing the benefits to the mentor or organization. Benefits to the protégé have been identified in mainly both career and psychosocial development areas, but increasing individual performance is also one of the biggest beneficial areas, which can be linked to organizational performance (Jacobs & Washington, 2003).

Benefits related to a protégé's professional development are found as protégé's increase learning (Sullivan, 2000; Summer-Ewing, 1994; Joinson, 2001), teamwork (Messmer, 2003), and mobility (Scandura, 1992). Benefits from the protégé's professional/career performance perspective are promotion (Scandura & Schriesheim, 1994; Kram, 1986; Ragins et al., 2000), recognition (Aryee et al., 1996), increasing income (Chao et al., 1992), higher career satisfaction (Ragins et al., 2000; Aryee et al., 1996), career development (Rosser & Egan, 2003; Kram, 1986), and career commitment and higher retention (Ragins et al., 2000; Verdejo, 2002). Benefits related to the protégé's psychosocial development are self-esteem (Ragins et al., 2000), greater intimacy, strength of interpersonal bond, confidence, identity (Mullen, 1998; Verdejo, 2002; Summer-Ewing, 1994), and socialization (Mullen, 1998).

Scandura and Schriesheim (1994) conducted a study of 183 supervisor-subordinate dyads in a large, high-technology Midwestern manufacturing firm to integrate research of the leader-member exchange approach with research on mentoring. Based on the authors' review of literature, the leader-member exchange model is a transactional leadership approach that "describes how leaders use their position power [organizational resources] to develop different exchange relationships with different subordinates" (p.1590). On the other hand, the career mentoring model is a transformational leadership approach in which "leaders get followers to act as they desire by transforming or changing the followers" (p. 1588), and by devoting personal resources such as time, knowledge, and experiences. The authors examined the relationship between individual development and leader-member exchange model/career mentoring. The dependent variables were promotion rate, salary growth, and supervisor ratings of performance improvement. The results indicated that the leader-member exchange model had a positive relationship with increased supervisor ratings of performance but not for salary and advancement rate, while career mentoring had a positive relationship with salary and advancement but not performance.

Aryee, Wyatt, and Stone (1996) surveyed graduate employees working full-time in Hong Kong to examine the effect of career-oriented mentoring on their career success. The measure of career success included salary, number of promotions, and career satisfaction. The results showed that while there was no significant relationship between career-oriented mentoring and compensation increasing, the mentoring was significantly related to the number of promotions received and career satisfaction that protégés perceived.

Quality of Relationship

Several mentoring scholars attempted to the study relationship between the quality of the mentoring relationship and its impact on mentoring outcomes. Although *quality* can be operationally defined in various ways, in this instance, it means how much protégés are satisfied in mentoring relationships. While other factors such as mentor's characteristics and type of mentoring relationship are mentoring input or process, the quality of relationship is another outcome of mentoring. Thus, in this area, scholars tried to examine whether one outcome can be explained or predicted by another.

Ragins, Cotton, and Miller (2000) conducted a national survey of 1,162 employees, using mailing lists of professional associations representing social workers, engineers, and journalists in order to examine the effects of mentor presence, type of mentor, quality of relationship, and program design on work and career attitudes. To measure career and work attitude, seven items were used, "career commitment, job satisfaction, satisfaction for promotion, organizational commitment, procedural justice, organization-based self-esteem, and intentions to quit" (p.1182). The authors defined marginal mentors as those are who provide limited functions of a mentor so they might disappoint the protégé or might not be helpful to the protégé's individual development. The results indicated that protégés who had high satisfaction in a mentoring relationship reported a more positive attitude than non-mentored individuals, but protégés who had marginal mentors reported equivalent attitudes with non-mentored

individuals. In addition, the results showed that the degree of satisfaction in a mentoring relationship was a more a result of work and career attitudes than the type of mentor. Thus, the authors concluded that the mentoring outcomes may depend on the quality of the mentoring relationship rather the presence of a mentor or the design of the mentoring program.

Benefits to Mentor

Mentors also gain benefits as a consequence of mentoring programs. Not many studies have examined the impact on a mentor, but the need to study this area has increased since a mentor's willingness and attitude toward participating are believed to be significant for improving the overall quality of the program, whether it is formal or informal mentoring. By recognizing the benefits for the mentors, the mentor's participatory level can be intensified, and an organization is able to recognize more benefits through a mentoring program—not only to develop novices but also to develop experts. In addition, recognizing both the protégé's and mentor's benefits enables organizations to make strategic HRD plans by actively utilizing expected outcomes from both participants (Hegstad, 1999).

Mentor's benefits from mentoring relationships are found to be related to professional identity and psychosocial aspect, while some are related to the development of leadership and communication skills. Mentor's benefits are professional identity along with respect and organizational power (Hegstad, 1999); building leadership, supervisory, and training ability (Messmer, 2003); networking opportunity and performance improvement (Scandura & Schriesheim, 1994); and job satisfaction and retention (Messmer, 2003). Mentors not only gain loyal followers, but also earn the respect and admiration of peers (Ragins & Scandura, 1994).

Benefits to Organization

Historically, the research of mentoring has been studied at the individual level of development and education. As some HRD scholars asserted, to examine the linkage between individual development and organizational performance (Jacobs & Washington, 2003), the outcome of mentoring relates to the organizational level of outcome. As economic competition becomes more intense in the global economy, *knowledge and learning* is very significant to an organization's performance. One of the major organizational impacts from implementing a mentoring program is the transfer of learning and knowledge (O'Reilly, 2001; Swap et al., 2001). Mentoring stimulates organizational learning by providing indirect and direct information flow among organizational members. Mentoring is also found to intensify organizational commitment (Ragins et al., 2000) and employees' retention and motivation (Hegstad, 1999). One study showed that mentoring has a significant impact on expatriate's training, job satisfaction, and creates a bridge between the parent company and local company, particularly for international or multination firms (Downes et al., 2002). Although it is believed that mentoring brings organizational impact, there are few studies, in particular empirical studies, found that examined mentoring outcome at the organizational level.

Conclusion and Suggestion for Future Research

In the practical world, a greater number of organizations are implementing mentoring programs as its benefits become more recognized. Academically, numerous studies have been conducted about mentoring in various fields of study. However, this research found that most studies have focused on the impact at the individual level, while few studies have been conducted from the organizational view. An analysis of the current literature from a systems approach identified three major research questions that have been studied and two emerging questions to be studied in each area: mentoring input, mentoring process, and mentoring outcome. Table 2 illustrates those questions.

From this respect, this analysis contributes to the enrichment of HRD research and the improvement of HRD practice. It helps HRD researchers and practitioners understand mentoring programs from the comprehensive perspective based on a systems approach. It also provides emerging questions for future research, and research about those questions will ultimately help HRD practitioners implement mentoring programs in a more organizationally effective way.

Table 2. *Research Questions and Emerging Questions in Mentoring*

	<i>Mentoring Input</i>	<i>Mentoring Process</i>	<i>Mentoring Outcome</i>
Research question 1.	Do participants' characteristics influence the satisfaction of the mentoring relationship?	Is impact of mentoring different in the formal process from the informal process?	What are the benefits of mentoring to protégés?
Research question 2.	Do gender and race match and mismatch influence mentoring outcome?	What roles do mentors play to provide career and psychosocial functions?	Is quality of relationship a predictor of mentoring outcome?
Research question 3.	Does mentor's experience level influence mentoring?	Does mentoring change when conducted in a group setting?	What are the benefits of mentoring to mentors?

Emerging question 1.	Does cross-cultural or cross-national influence mentoring relationship?	Does mentoring change when conducted in a virtual setting?	What are the benefits of mentoring to the organization?
Emerging question 2.	What is the importance of mentor training?	Does mentoring change when conducted in a cross-national, virtual setting?	What are the unexpected effects of mentoring? What impact if mentoring fails?

In the area of mentoring input, researchers conducted studies about participants' characteristics, match and mismatch in gender and race, and mentor's experience level. However, there are few mentoring studies about cross-national and cross-cultural issues, which should be studied as environmental input to mentoring programs since organizations increasingly operate on a multinational basis (Higgins & Kram, 2001). Training issues about mentoring (Cox, 2000) should be examined, as well whether a trained mentor is more effective than an untrained mentor. Additionally what aspects of training are the most effective should also be researched.

In the area of mentoring process, formal and informal mentoring, career functions and psychosocial functions, and mentoring in group and team settings have been studied. Although virtual mentoring has been widely implemented, it also lacks empirical study about the impact of pure virtual mentoring compared with classical mentoring. In addition, since currently many mentoring relationships depend on virtual communication, it also needs to be studied how virtual mentoring enhances cross-national mentor and protégé relationships.

In terms of mentoring outcome, more empirical studies are necessary in proving organizational benefits from mentoring, and unanticipated effects of mentoring outcome such as negative impact or impact of failed mentoring relationships. HRD scholars believe that mentoring supports career development (Gilley & Eggland, 1994) rather than employee development (training and development) or organizational development. However, due to its diversified programs and perceived impacts, some recent studies show that mentoring programs support not only career development, but also training and development functions, and even support organizational development (Hegstad, 1999). As the impact of mentoring programs on organizations, becomes more widespread, it is critical to link the role of mentoring to HRD areas such as organizational development and training (Hegstad, 1999).

References

- Allen, T. D., Russell, J. E. A., & Maetzke, S. B. (1997, December). Formal peer mentoring: Factors related to protégés satisfaction and willingness to mentor others. *Group & Organization Management*, 22(4), 488-508.
- Armstrong, S. J., Allinson, C. W., & Hayes, J. (2002, December). Formal mentoring systems: An examination of the effects of mentor/protégé cognitive styles on the mentoring process. *The Journal of Management Studies*, 39(8), 1111-1135.
- Aryee, S., Wyatt, T., & Stone, R. (1996, January). Early career outcomes of graduate employees: The effect of mentoring and ingratiation. *The Journal of Management Studies*, 33(1), 95-118.
- Chao, G. T., Walz, P. M., & Gardner, P. D. (1992). Formal and informal mentorship: A comparison on mentoring functions and contrast with nonmentored counterparts. *Personnel Psychology*, 45(3), 619-636.
- Clutterbuck, D. (1991). *Everyone needs a mentor: Fostering talent at work*. London: Institute of Personnel Management.
- Clutterbuck, D. & Megginson, D. (1999). *Mentoring executives & directors*. Oxford: Butterworth Heinemann.
- Cox, E. R. J. (2000). The call to mentor, *Career Development International*, 5(4/5), 202-210.
- Dansky, K. H. (1996, March). The effects of group mentoring on career outcomes. *Group & Organization Management*, 21(1), 5-21.
- Downes, M., Thomas, A. S., & Singley, R. B. (2002). Predicting expatriate job satisfaction: the role of firm internationalization. *Career Development International*, 7(1), 24-36.
- Field, A. (2003). No time to mentor? Do it online e-mail offers busy professionals a way to give back. *Business Week*, (March 3, 2003), 126.
- Fisher, B. (1994). *Mentoring*. London: Library Association Publishing.
- Gibb, S. & Megginson, D. (1993). Inside corporate mentoring schemes: A new agenda of concerns. *Personnel Review*, 22(1), 40-54.
- Gilley, J. W. & Eggland, S. A. (1994). *Principles of human resource development*. Reading, MA: Addison-Wesley Publishing Co. & University Associates, Inc.
- Godshalk, V. M. & Sosik, J. J. (2000, September). Does mentor-protégé agreement on mentor leadership behavior influence the quality of a mentoring relationship? *Group & Organization Management*, 25(3), 291-318.

- Hamilton, B. A. & Scandura, T. A. (2003, January). E-mentoring: Implications for organizational learning and development in a wired world. *Organizational Dynamics*, 31(4), 388-391.
- Hegstad, C. D. (1999). Formal mentoring as a strategy for human resource development: A review of research. *Human Resource Development Quarterly*, 10(4), 383-390.
- Higgins, M. C. & Kram, K. E. (2001, April). Reconceptualizing mentoring at work: A development network perspective. *The Academy of Management Review*, 26(2), 264-288.
- Jacobs, R. L. & Washington, C. (2003, September). Employee development and organizational performance: A review of literature and directions for future research. *Human Resource Development International*, 6(3), 343-354.
- Joinson, C. (2001). Employee, sculpt thyself...with a little help. *HRMagazine*, 46(5), 60-64.
- Knouse, S. B. & Webb, S. C. (2000). Unique types of mentoring for diverse groups in the military. *Review of Business*, (Summer 2000), 48-52.
- Koberg, C. S., Boss, R. W., and Goodman, E. (1998). Factors and outcomes associated with mentoring among health-care professionals. *Journal of Vocational Behavior*, 53(1), 58-72.
- Kram, K. E. (1983). Phases of the mentor relationship. *Academy of Management Journal*, 26, 608-625.
- Kram, K. E. (1986). A relational approach to career development. In Hall, D. T. (Ed.), *The career is dead-long live the career: A relational approach to careers* (pp.132-157). San Francisco: Jossey-Bass.
- McIntyre, D., Haggard, H., & Wilkin, M. (1993). *Mentoring: Perspectives on school based teacher education*. London: Kogan Page.
- Megginson, D. (1994). What's happening in mentoring research? European Mentoring Centre Conference, Sheffield Business School.
- Megginson, D. (2000). Current issues in mentoring. *Career Development International*, 5(4/5), 256-260.
- Messmer, M. (2003). Building an effective mentoring program. *Strategic Finance*, 17-18.
- Mullen, E. J. (1998). Vocational and psychosocial mentoring functions: Identifying mentors who serve both. *Human Resource Development Quarterly*, 9(4), 319-331.
- O'Reilly, D. (2001). The mentoring of employees: Is your organization taking advantage of this professional development tool? *Ohio CPA Journal*, 60, 51-54.
- Ragins, B. R. & Cotton, J. L. (1999, August). Mentor functions and outcomes: A comparison of men and women in formal and informal mentoring relationships. *Journal of Applied Psychology*, 84(4), 529-547.
- Ragins, B. R., Cotton, J. L., & Miller, J. S. (2000, December). Marginal mentoring: The effects of type of mentor, quality of relationship, and program design on work and career attitudes. *Academy of Management Journal*, 43(6), 1177-1194.
- Ragins, B. R. & McFarlin, D. B. (1990). Perceptions of mentor roles in cross-gender mentoring relationships. *Journal of Vocational Behavior*, 47(3), 321-339.
- Ragins, B. R. & Scandura, T. A. (1994, August). Gender differences in expected outcomes of mentoring relationships. *Academy of Management Journal*, 37(4), 957-972.
- Rosser, M. & Egan, T. M. (2003). Types and functions of mentoring relationships: A review of the literature. *2003 Academy of Human Resource Development Conference Proceedings*, 2, 928-935.
- Rymer J. (2002). "Only connect": Transforming ourselves and our discipline through co-mentoring. *The Journal of Business Communication*, 39(3), 342-363.
- Scandura, T. A. (1992). Mentorship and career mobility: An empirical investigation. *Journal of Organizational Behavior*, 13, 169-274.
- Scandura, T. A. & Schriesheim, C. A. (1994, December) Leader-member exchange and supervisor career mentoring as complementary concepts in leadership research. *Academy of Management Journal*, 37(6), 1588-1602.
- Sosik, J. J. & Godshalk, V. M. (2000). The role of gender in mentoring: Implications for diversified and homogenous mentoring relationships. *Journal of Vocational Behavior*, 57(1), 102-122.
- Sullivan, R. (2000). Entrepreneurial learning and mentoring. *International Journal of Entrepreneurial Behavior & Research*, 6(3), 160-175.
- Summers-Ewing, D. (1994). Mentoring: A vital ingredient for career success. Presented at the Annual Meeting of the American Psychological Association (102nd, Los Angeles, CA).
- Swap, W., Leonard, D., Shields, M., & Abrams, L. (2001). Using mentoring and storytelling to transfer knowledge in the workplace. *Journal of Management Information Systems*, 18, 95-114.
- Verdejo, T. (2002). Mentoring: A model method. *Nursing Management*, 33(8), 15-16.
- Woodd, M. (1997). Mentoring in further and higher education: Learning from the literature. *Education and Training*, 39(8/9), 333-343.
- Zey, M. (1982). *The mentor connection*. Homewood, IL: Dow Jones-Irwin.

Voluntary Organizations: Commitment, Leadership, and Organizational Effectiveness

*Terry P. Ekeland
Texas A&M University*

Voluntary organizations offer a unique opportunity to interpret participant relationships, leadership influences, and organizational effectiveness unencumbered by employment relationships. Regardless of organizational structure or purpose, all organizations are affected to some degree by their leadership and their membership. Based on the literature reviewed, effective voluntary organizations achieve their stated objectives through committed members united under a common purpose, exercising shared responsibility in a collaborative leadership process, and informed through regular communication and interaction.

Keywords: Commitment, Leadership, Organizational Effectiveness

Considerable research has been focused on the effectiveness of formal business and government organizations. However, voluntary organizations have received far less attention. What is effective for business and government organizations may not be effective for the voluntary organization. Regardless of organizational structure or purpose, all organizations are affected to some degree by their leadership and their membership.

This paper examines the nature of voluntary organizations in terms of the tri-partite relationship between individual participation and commitment, appropriate leadership styles, and ultimately organizational effectiveness. Comparatively little data addresses the role of commitment and leadership in voluntary organizations. Catano, Pond, and Kelloway (2001) contend that voluntary organizations represent an ideal context in which to study the subject—a context where no employment relationship exists.

The following questions will be addressed: What distinguishes voluntary organizations from other organizational types? Why do people freely associate with these organizations? What relationships are created within and between voluntary organizations? What leadership methods are appropriate for voluntary organizations? What determines their organizational effectiveness? And finally, what is the relationship between leadership in voluntary organizations, organizational commitment, and organizational effectiveness? At first analysis, commitment implies individual alignment with the shared purpose and beliefs of the organization; organizational effectiveness implies effective leadership around achievement of objectives built from core beliefs; and effective leadership implies the presence of followers united under a shared purpose and committed to the achievement of organizational objectives. A review of relevant literature will be conducted to answer these questions and assess the analysis.

Theoretical Framework

Many factors can be observed that influence how voluntary organizations function, including participant motivation, commitment, leadership, and peer relationships. In the areas of leadership style, the relationship between leaders and non-leaders is heavily influenced by the voluntary nature of the organization. In fact, the dominant relationship in all organizations is the leader-follower relationship. Organizational effectiveness is dependent not only on these influences, but also on how one defines the concept of effectiveness. Factors impacting the implementation of appropriate leadership and management processes within the voluntary organization context are also explored.

Voluntary Organizations

It is necessary to draw a distinction between voluntary organizations and organizations of volunteers. Dartington (1996) suggests that the defining characteristic of voluntary organizations, both structurally and psychologically, is the presence of a voluntary governance process through boards or committees. Voluntary organizations are distinctively group systems; decisions are made by consensus or majority vote and leadership is emergent, subject to the will of the majority, and often rotating (Wilderom & Miner, 1991). Given this group structure, it becomes necessary to determine the factors contributing to the individual decision to associate with, participate in, and commit to, a voluntary organization.

Motivation to associate and participate. Motivation can be generally classified as either extrinsic—doing something for an expectation of compensation, or intrinsic—doing something for the sake of the activity or the outcome. Farmer and Fedor (1999) note the lack of rigorous empirical research exploring the management of volunteers and suggest as a reason the lack of a coherent, well-established framework for understanding volunteer

behavior, particularly in the areas of participation and withdrawal. They suggest that psychological contract theory may be used to explain volunteer behavior and performance. Even though volunteers do not expect financial gain from their services, they do expect other considerations from the organizations for which they work (Farmer & Fedor, 1999). The results of their research supported the idea that psychological contract fulfillment (or violation) affected the level of volunteer participation. Farmer and Fedor (1999) drew four conclusions:

1. People select themselves into their volunteer work situations;
2. Psychological contracts in volunteers are much more likely to be relational than transactional;
3. Perceived breaches in the psychological contract may have serious consequences concerning level of participation in the organization, due to the combination of relational contracts and difficulties in mandating volunteer behavior; and
4. Fulfillment of psychological contracts may rest on more than just expectations.

Allison, Okun, and Dutridge (2002) conducted a study to determine the motives of volunteers given the choices of career, esteem, protective, social, understanding, and value. Participants in the study rated the value motive as their most important motive for volunteering followed by esteem and understanding motives. Post hoc analysis of their data also revealed three additional motives for volunteering: enjoyment, religiosity, and team building. Basically, individuals join voluntary organizations because of the compatibility of their beliefs with the values of the organization.

Organizational commitment. Given the above motives for initial voluntary association, there is a need to look at continued voluntary association, or organizational commitment. Organizational commitment may be generally defined as a strong belief in and acceptance of organizational goals and values, a willingness to exert effort on behalf of the organization, and a desire to maintain organizational membership (Porter, Steers, Mowday, & Boulian, 1974). Catano et al. (2001) contend that commitment to voluntary organizations may be moderated by several factors: some people may join to make social contacts, some because of professional pressure to do so, or even some due to perceived job requirements. Additionally, McPherson (1983) found that behavioral commitment to an organization is constrained less by attitudinal disposition and more by broad social, geographic and institutional factors. For example, people are more likely to retain their memberships in voluntary organizations when their employment relationships reinforce that membership.

Meyer and Allen (1991) developed a model of organizational commitment consisting of three distinct components: affective commitment, continuance commitment, and normative commitment. Under this model, affective commitment denotes an emotional attachment to, identification with, and involvement in the organization; continuance commitment denotes the perceived costs associated with leaving the organization; and normative commitment denotes the perceived obligation to remain in the organization. A meta-analysis conducted by Meyer, Stanley, Herscovitch, and Topolnytsky (2002) found strong correlation between affective commitment and overall job satisfaction, occupational commitment, organizational justice, and transformational leadership. While the research reviewed in the meta-analysis appears to come from organizations where an employment relationship exists, the influences of organizational commitment, justice, and leadership are equally applicable in voluntary organizations. Regarding continuance commitment, positive correlation was found among employees who believed their skills and education would not easily transfer to other organizations, and negative correlation was found when employees perceived the availability of alternatives (Meyer et al., 2002). From the perspective of a voluntary organization, this would seem to be consistent with the factors influencing participant motivation discussed earlier.

Partnership relationships. Taking the relationships of voluntary organization one step further, voluntary partnerships between organizations reveal many similarities. Present within these organizational partnership relationships are the same individual dynamics present within a voluntary organization of individuals. According to Lasker, Weiss, and Miller (2001), the voluntary nature of partnerships can make recruitment and retention of partners challenging. This raises organizational association, commitment, and leadership issues similar to those discussed above under voluntary organizations. Mohr and Spekman (1994) define partnerships as purposive strategic relationships between independent organizations, sharing compatible goals, striving for mutual benefit, and acknowledging a high level of mutual interdependence. Partnerships form to accomplish goals that either party could not easily attain on their own. Farrell and Scotchmer (1988) define partnership as a coalition that divides output equally. Additionally, the equal sharing of output should occur even when partners contribute unequal amounts. Under this economic model, partnership size is controlled by the ability of the individuals involved, where the equal sharing constraint limits the size of the partnership. Partnerships of people and/or organizations with differing ability are smaller than those comprised of similar levels of ability (Farrell & Scotchmer, 1988).

An ideal partnership may be described as a dynamic relationship among diverse actors, based on mutually agreed objectives, pursued through a shared understanding of the division of labor (Brinkerhoff, 2002). Partnerships in this definition must have a careful balance between synergy and respective autonomy, incorporating mutual

respect, equal participation in decision making, mutual accountability, and transparency of operation. Brinkerhoff (2002) proposes a partnership model consisting of two dimensions: mutuality and organizational identity. Mutuality refers to the interdependence or horizontal relationships between partners, including shared purpose and values, mutual trust, and respects. Organizational identity refers to that which is distinctive and enduring in an organization. This view is consistent with the previously discussed research of Farmer & Fedor (1999) regarding the presence of psychological contracts underlying participant motivation.

Assessing partnership organizations as high or low in each of the two dimensions produces four quadrants of inter-organizational relationships. Brinkerhoff (2002) defines the four quadrants as partnership, contracting, extension, and co-optation. Partnership exists in the quadrant where mutuality and organizational identity are maximized. If organizational identity is high but mutuality is low, then contracting describes the inter-organizational relationship. When organizational identity and mutuality are both low, the dominant organization defines the relationship and the following organizations are viewed as extensions of the dominant organization. Co-optation occurs when mutuality is high and organizational identity is low. The less dominant organization will follow the more dominant organization's lead, leading to co-optation of purpose and potentially long-term loss of organizational identity and gradual absorption. Arino and de la Torre (1998) found that in such asymmetrical partnership relationships, conflict resolution mechanisms were critical in promoting positive renegotiation loops, enhancing relationship quality, and rewarding collaborative behavior. Mutuality can reinforce organizational identity, but it is not guaranteed. Brinkerhoff (2002) suggests that by participating and influencing equally, each organization can protect its organizational identity and hence the efficiency, effectiveness and synergistic rewards of the partnership. Additionally, by maintaining organizational identity, it is possible for organizations to be involved in more than one partnership.

Partnership remains an evolving concept and practice (Brinkerhoff, 2002). In fact, Miller and Ahmad (2000) found the term partnership to be much abused, even used to describe traditional contract relationships. Many organizations enter into partnership-style activities without giving much thought to the underlying organizational and interpersonal relationship issues. These hasty decisions may ultimately lead to an increase in interpersonal and/or inter-organizational conflict, participant withdrawal, and even organizational ineffectiveness.

Leadership

The impact of differing leadership styles on volunteers and the organization processes in general can be critical for organizational success. The characteristic of shared governance found in voluntary organizations is different from that found in a typical employment-based organization, and reveals a need for effective application of appropriate leadership styles.

Leadership relationships. Two levels of membership are found within the voluntary organization: leaders and non-leaders (Heidrich, 1990). The nature of the relationship between leaders and non-leaders is especially important in voluntary organizations, since the member has the ultimate option of withdrawing from the organization (Catano et al., 2001). Active participation by both leaders and non-leaders is necessary for the organization to complete its goals and missions (Catano et al., 2001). Further aggravating the relationship between leaders and non-leaders is the recurring problem of building a shared understanding of the common good (Firestone and Fisler, 2002). Without this shared understanding, it would be easy for an organization to lose focus and direction, becoming ineffective and impacting volunteer recruitment and ongoing commitment.

A common failing of voluntary organizations is that leaders can become so directly involved in project accomplishment that they don't leave time to cultivate their subordinate leaders (O'Connell, 1976). According to Dartington (1996), the struggle for authority in voluntary organizations often has the characteristics of an Oedipal conflict, involving the need to usurp or remove past leadership in order to create a new relationship with the original (or perhaps a new) vision of the organization. Those who manage voluntary organizations often subvert the accountability of the characteristic shared governance model to accomplish singularly beneficial objectives. As such, the voluntary organization needs to have ways to maintain its integrity and sense of purpose against the threats of individual ambition (Dartington, 1996).

Lord, Brown, and Freiberg (1999) advocate a self-oriented approach to leadership, where the self-concept of the subordinate determines the appropriate leadership activity. Three component views of self-concept are explored: the individual, interpersonal, and collective. Leadership activities will be most successful when matched to the predominant self-concept of those being led (Lord et al., 1999). For example, transactional leadership fits better with individual-level self-identities, but transformational leadership is more consistent with the collective-level identities. Leadership activities that overemphasize the individual-level identities of subordinates may actually interfere with the development of a group identity (Lord et al., 1999). Instead, when collective-level relational identities are used to build group identity, such as in a voluntary organization, a transformational leadership approach is more likely to be successful.

Transformational leadership. Transformational leaders link task goals to self-regulatory systems, emphasizing higher level self-relevant constructs such as personal projects, self-identities, and underlying values (Lord et al., 1999). They also emphasize a connection between possible selves and collective identities as determinants of specific task goals.

Bass (1985) characterized transformational leadership as the ability to elicit support and participation from followers through personal qualities. This is in contrast to transactional leadership, where support and participation is typically elicited through reward and punishment. Firestone and Fisler (2002) contend that transformational leadership goes beyond mere exchange or transaction to modify the underlying purposes of the work, and suggest specific transformational leadership activities, including "providing idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration" (p. 485). Transformational leadership should promote a sense of professional community. As noted earlier, this shared sense of identity is indicative of a voluntary organization.

Shared leadership. Shared leadership is a management model common to voluntary organizations, and is based on the philosophy of shared governance. Shared governance is a structural model that provides a framework for ensuring the processes of empowerment operate effectively (Porter-O'Grady & Krueger-Wilson, 1995). It is not a democracy, but an accountability-based approach with a clear expectation that all members participate. White (2001) describes governance as a process through which coordination is achieved.

Coluccio and Havlick (1998) provide four characteristics to describe shared leadership: a decentralized organizational structure; a balance of staff autonomy, managerial guidance, collaborative decision making, and individual accountability; an environment ensuring excellence and dignity; and a shared vision within the organization. Within Caluccio and Havlick's model, Jackson (2000) describes four constructs vital to the understanding of shared leadership: accountability, partnership, equity, and ownership. Accountability is the intrinsic responsibility of organization members within a specific role. Partnership is the collaborative relationship among individuals striving toward a common goal. Equity is respect for other's individual contributions to the organization. Ownership exists when individuals are committed to the mission and outcomes of the organization.

Under shared leadership, problems are approached by collaborative means, focusing on the work itself instead of who has authority. Shared leadership is directive, not dictatorial – those in leadership positions must find ways to be accountable without being controlling (Jackson, 2000). People who feel valued and have a shared sense of ownership bring greater energy and commitment to their work.

Collaborative leadership. Chrislip and Larson (1994) define collaborative leadership as a process to initiate, facilitate, and sustain collaborative initiatives among stakeholders. Collaborative leaders are those who have the right credibility and initiative to involve the right individuals and organizations in creating visions, solving problems, and reaching agreements (Hartman, Hofman, and Stafford, 1999). According to Chrislip and Larson (1994), collaborative leaders must focus on process rather than outcomes, further reinforcing the need for a transformational approach.

Collaboration can be defined as a process through which involved parties constructively explore their differences and search for solutions beyond their own limited vision of what is possible (Gray, 1989). Collaboration develops most easily when parties have a pattern of repeated and frequent interaction, but this interaction itself does not assure collaboration (McCaffrey, Faerman, & Hart, 1995). Residual conflicts affect the establishment of organizational trust and may make collaboration difficult. According to Hartman et al. (1999), collaboration can present significant challenges as it progresses from independent or adversarial parties to more tightly connected interrelationships characterized by coordinated decision-making.

A primary factor influencing the nature of collaboration is the existence of a shared vision (Gray, 1989). It is this shared vision that defines the voluntary organization's reason for existence and serves as the foundation for selecting a collective course of action. Lasker et al. (2001) identify synergy as the outcome that gives collaboration its unique advantage. As viewed through a synergistic process, collaboration can foster creative, comprehensive, practical, and transformative thinking (Lasker et al., 2001). The changes that result from this synergistic thinking can produce comprehensive actions and solutions that address problems at many levels.

In terms of social and political systems, collaboration is more likely when individual power is balanced and the number of parties involved is small enough to develop favorable relationships. McCaffrey et al. (1995) contend that the arguments supporting collaboration are so strong that it is easy to forget that an organization's members generally care about other things besides their collective identity and organizational effectiveness. Case studies indicate that leadership affects the outcomes of collaborative efforts (McCaffrey et al., 1995). In fact, both successful and unsuccessful implementations noted the impact of leadership on the final outcome.

Organizational Effectiveness

While a mutually acceptable definition of organizational effectiveness may not be possible, voluntary organizations may be examined under the existing frameworks of organizational control (leadership), defining organizational characteristics, and the available variables for predicting success.

Organizational control. Tannenbaum (1961) defined organizational effectiveness as the extent to which an organization fulfills its stated objectives and preserves its means and resources. A descriptive model called the “control graph” can be used to characterize the pattern of control in formal organizations, with the horizontal axis representing the hierarchical levels of the organization and the vertical axis representing the amount of control exercised by those at each hierarchical level (Tannenbaum, 1961). The resulting graph allows for four prototypic models of organizational control: autocratic (or oligarchic), democratic, laissez faire (or anarchic), and polyarchic. Tannenbaum suggests that voluntary organizations will be more effective under democratic control than autocratic control for two reasons. First, members with a say in determining policies and actions of their organization will satisfy the needs of a broader segment rather than just the leaders. Second, there is likely to be greater acceptance of jointly made decisions as well as an increased sense of responsibility and motivation to further the goals and purposes of the organization. Tannenbaum’s suggestions are consistent with previously presented information on individual association, organizational commitment, and shared leadership. An individual who exercises control gives more of himself/herself to the organization, and is likely to be more identified with, more loyal to, and more active on behalf of the organization (Tannenbaum, 1962).

According to Tannenbaum (1962), increasing and distributing the exercise of control more broadly within an organization helps distribute an important sense of organizational involvement. However, the process of translating the expressed desire of organizational members for greater control into the actual exercise of that control may lead to several problem conditions (Tannenbaum, 1961). Some of these conditions may lead to a more autocratic environment, such as leaders making decisions themselves rather than begin a more cumbersome and time-consuming decision-making process. Or leaders may fail to, or choose not to, communicate the information necessary for proper decision-making. Some leaders may not have a clear understanding of what decisions are appropriate for them and which should be made jointly. Other problem conditions may lead to a more laissez faire environment, such as ill-defined responsibilities causing decisions to fall between organization roles. The lack of mutual understanding regarding appropriate decision-making may lead to conflict in which efforts of some are canceled out by the efforts of others, resulting in a situation where neither group exercises much control. This implies the importance of communication and interaction between organization members to permit the development of shared understanding, vision, and purpose, which are essential for organizational effectiveness and long-term success.

Organizational characteristics. Webb (1974) developed a general model of organizational effectiveness in terms of four organizational characteristics: cohesion, efficiency, adaptability, and support. While this model emerged from a study of religious organizations, many parallels exist with other forms of voluntary organizations. Cohesion refers to the presence of a positive working relationship (Webb, 1974). Indicators of cohesion would be commonality of interests, activities, values, and a strong identification with the organization. Efficiency refers to producing a desired result with a minimum of wasted time, effort, or expense (Webb, 1974). While voluntary organizations may often operate inefficiently, with duplication of effort and expense by non-experts, business organizations would not tolerate such a situation. Adaptability is a measure of readiness to accept change and respond effectively (Webb, 1974). Since the nature of volunteerism seems to be rotational leadership, it is important for organizations to be adaptive to changes from the internal as well as external environment. Support refers to the degree to which individuals stand behind their leader (Webb, 1974). This is of course a two-way street; individuals need to feel valued and appreciated within their organization and by those in leadership positions.

Ashmos, Duchon, McDaniel, & Huonker (2002) propose a simple managerial rule to improve organizational effectiveness: use participative decision-making. Participation in this context is defined as joint decision making or influence sharing, not delegation. When done appropriately, participative decision making reduces the manager’s capacity to establish and maintain control, but also reduces the need to know everything and to coordinate and organize everything (Ashmos et al., 2002). Participation is a social process, and creates an environment where self-organizing becomes an expression of organizational learning and sense making (Ashmos et al., 2002). While not without difficulty, participative processes reinforce interdependence within organization members, providing a connection to a larger system. According to Ashmos et al. (2002), the connections generated through participation allow the organization to self-organize, re-energize, and co-evolve in ways that are more likely to lead to organizational success.

Organizational success predictors. Mohr and Spekman (1994) found the following variables significant in predicting partnership success: coordination, commitment, trust, communication quality, information sharing,

participation, joint problem solving, and avoiding problem avoidance behaviors. Interestingly, interdependence and persuasive tactics to resolve conflict were not found to be predictors of partnership success. According to Miller and Ahmad (2000), partnerships may have a better chance of success when they are built around specific and limited objectives. Great ambitions are often controversial and more likely to generate fundamental conflict of interests.

An effective system of governance requires balance between three purposes: developing a strategy, mission and/or policy; managing the setting; and being accountable to the people represented by the governing organization (White, 2001). This balance may prove hard to achieve. Additionally, participative management practices must balance the involvement of managers and their subordinates in the processing of information, decision-making, and/or problem-solving (Wagner, 1994).

A study conducted by Kim (2002) found a positive correlation between a manager's use of participative management and high levels of job satisfaction. In addition, the study demonstrated that a participative strategic planning process has a positive effect on employee job satisfaction. These findings also suggest that employee participation in strategic planning contributes to organizational effectiveness. Kim (2002) suggests that the transformational leadership practices of learning, change, and renewal would be required to facilitate implementation of the participative management processes necessary for increased job satisfaction and organizational effectiveness. While job satisfaction may not seem immediately relevant to the voluntary organization, it does exhibit a positive correlation to affective commitment (Meyer et al., 2002), which is arguably necessary for voluntary organization survival.

Implementing Collaborative Leadership

According to Burke (1982), change does not occur without the exercise of power, where "power is the capacity to influence, and leadership is the process or act of influencing" (p. 129). Implementing collaborative leadership would then require the combined influence of all parties involved. Jackson (2000) cites several potential obstacles to the implementation of shared or collaborative leadership. These include team attitudes, turf battles, individual career goals, management versus leadership issues, the organization's culture, the organization's readiness to change, current and future performance, and the current and future external environment. Firestone and Fisler (2002) also speak about the dark side of collaborative, shared, or distributed leadership, noting that it can easily become dispersed leadership, with the chaos, isolation or conflict that logically follows. Many of these barriers are directly influenced by the attitudes of the individuals involved. In fact, the survival of an organization when changing to a shared leadership model may hinge on the ability to incorporate new information into individual mental models (Jackson, 2000), reinforcing the need for a transformative approach. Transformational leadership offers a positive strategy for coordinating these multiple sources of influence without dictatorship or major organizational redesign (Firestone & Fisler, 2002).

Factors that may aid, or even drive, the transition to shared leadership include continuing education, strong organizational and administrative commitment, strong lines of communication, and the ability to define and promote outcomes for shared leadership (Jackson, 2000). For the successful implementation of a shared leadership model, Jackson (2000) recommends a program of concentrated education of the general concepts, specifically accountability, to promote the model. Additionally, all levels of the organization should visibly support the concepts of shared leadership.

McCaffrey et al. (1995) identify four conditions that contribute to the implementation and success of participative systems: prior organizational disposition toward collaboration; social and political organization; nature of incentives, issues, and values; and leadership capacity and style. Ashmos et al. (2002) suggest that implementation of participative processes must be tempered by an organization's predisposition and sensitivity to its environment, essentially their willingness and ability to respond to changes in the environment. Organizations may be predisposed for or against participation based on factors such as past performance, reliance on rules, and rigidity of roles.

Implications for HRD Research

One practical implication of research conducted by Catano, Pond, and Kelloway (2001) on voluntary organizations is the need for a greater emphasis on developing transformational leaders to improve member involvement, commitment, and participation. According to Mohr and Spekman (1994), effort must be dedicated to the formation and implementation of management strategies that promote and encourage continued growth and maintenance of the partnership relationship. As presented here, voluntary organizations require a different leadership approach, and it is quite possible that a different developmental approach is also necessary. Leadership development is an important role for HRD professionals, and as such, differing methods and techniques must be thoroughly researched to identify appropriate and effective processes. Day (2001) suggests that leader development takes a human capital approach

whereas leadership development takes a social capital approach. How do these two approaches impact leadership in voluntary organizations? Additionally, participants in voluntary organizations bring with them knowledge, skills, and abilities from other areas of work and social experience. Research is needed to determine if these prior external leadership experiences translate into effective leadership in the voluntary organization.

According to French and Bell (1999), increasing participation and empowerment are central goals and fundamental values of the field of organization development. As such, interventions are often deliberately designed to increase the involvement and participation of organization leaders and members. What intervention approach should be used with voluntary organizations? Since the consulting skills of HRD professionals are called upon to conduct these participative interventions, research into appropriate and effective methods will always be needed.

According to McCaffrey et al. (1995), studies of perceptions of organizational effectiveness show a higher correlation between participation and effectiveness than studies that look at actual operational indicators of effectiveness. In other words, individuals in participative systems may believe their organization to be more effective than it really is. Does this perception of effectiveness influence individual motivation to associate with a voluntary organization? Since HRD professionals often work with organizations desiring to improve their effectiveness, research is needed to address the apparent difference in perceived versus actual effectiveness.

Conclusions

The review of literature revealed the following tri-partite relationship: organizational commitment arises from individual alignment with the shared purpose and beliefs of the organization; organizational effectiveness depends on effective leadership around achievement of objectives built from core beliefs; and effective leadership is determined by the presence of followers united under a shared purpose and committed to the achievement of organizational objectives. The leader-follower relationship is central. According to White (2001), the top-down governance model of organizational leadership is being replaced by an autonomous, self-referential, and self-organizing model. The view now being adopted is that self-organization is a condition for self-renewal. A transformative leadership and learning process seems to be necessary and evident as interrelationships and connections are rearranged and revised to keep organizations effective at meeting desired outcomes. To be effective, the process of shared governance and leadership must allow this emergence to take place.

Managers and other leaders are drawn to participative systems because they seem to offer solutions to real problems (McCaffrey et al., 1995). However, the implementation of a participative system frequently reveals problems often associated with collective action, including dispositions against cooperating with former adversaries, the perceived costs of collaborating in complex social systems, the difficulties of engaging deep conflict, and the leadership incentives favoring control (McCaffrey et al., 1995). Firestone and Fisler (2002) contend that distribution of leadership may be especially important in partnerships, where no one individual has authority over the full range of participants.

Obviously, the implementation of a collaborative leadership process in a voluntary organization is not to be taken lightly. However, when effectively managed, it can lead to increased member participation and greater organizational effectiveness. An important consideration is that the process of implementing shared leadership is “a dynamic, ever-changing, never-ending journey, rather than a destination” (Jackson, 2000, p. 170).

References

- Allison, L. D., Okun, M. A., & Dutridge, K. S. (2002). Assessing volunteer motives: A comparison of an open-ended probe and Likert rating scales. *Journal of Community & Applied Social Psychology, 12*(4), 243-255.
- Arino, A., & de la Torre, J. (1998). Learning from failure: towards an evolutionary model of collaborative ventures. *Organization Science, 9*(3), 306-325.
- Ashmos, D. P., Duchon, D., McDaniel, R. R. Jr., & Huonker, J. W. (2002). What a mess! Participation as a simple managerial rule to ‘complexify’ organizations. *Journal of Management Studies, 39*(2), 189-205.
- Bass, B.M. (1985). *Leadership and performance beyond expectations*. New York: The Free Press.
- Brinkerhoff, J. M. (2002). Government-nonprofit partnership: A defining framework. *Public Administration and Development, 22*, 19-30.
- Burke, W. W. (1982). *Organization Development: Principles & Practices*. Boston: Little, Brown, & Co.
- Catano, V. M., Pond, M., & Kelloway, E. K. (2001). Exploring commitment and leadership in volunteer organizations. *Leadership and Organization Development Journal, 22*(6), 256-263.
- Chrislip, D. D., & Larson, C. E. (1994). *Collaborative leadership: How citizens and civic leaders can make a difference*. San Francisco: Jossey-Bass.

- Colluccio, M., & Havlick, K. (1998). Shared leadership in a newly merged medical center. *Nursing Administration Quarterly*, 22(2), 36-39.
- Dartington, T. (1996). Leadership and management: Oedipal struggles in voluntary organizations. *Leadership & Organizational Development Journal*, 17(6), 12-16.
- Day, D. V. (2001). Leadership development: A review in context. *Leadership Quarterly*, 11(4), 581-613.
- Farmer, S. M., & Fedor, D. B. (1999). Volunteer participation and withdrawal: A psychological contract perspective on the role of expectations and organizational support. *Nonprofit Management and Leadership*, 9(4), 349-367.
- Farrell, J., & Scotchmer, S. (1988). Partnerships. *The Quarterly Journal of Economics*, 103(2), 279-297.
- Firestone, W. A., & Fisler, J. L. (2002). Politics, community, and leadership in a school-university partnership. *Educational Administration Quarterly*, 38(4), 449-493.
- French, W. L., & Bell, C. H. (1999). *Organization development*, (6th ed.) Upper Saddle River, NJ: Prentice Hall.
- Gray, B. (1989). *Collaborating: Finding common ground for multiparty solutions*. San Francisco: Jossey-Bass.
- Hartman, C. L., Hofman, P. S., & Stafford, E. R. (1989) Partnerships: A path to sustainability. *Business Strategy and the Environment*, 8, 255-266.
- Heidrich, K. W. (1990). Volunteers' life-styles: Market segmentation based on volunteers' role choices. *Non-profit and Voluntary Sector Quarterly*, 19, 21-31.
- Jackson, S. (2000). A qualitative evaluation of shared leadership barriers, drivers and recommendations. *Journal of Management in Medicine*, 14(3/4), 166-178.
- Kim, S. (2002). Participative management and job satisfaction: Lessons for management leadership. *Public Administration Review*, 62(2), 231-241.
- Lasker, R. D., Weiss, E. S., & Miller, R. (2001). Partnership synergy: A practical framework for studying and strengthening the collaborative advantage. *The Milbank Quarterly*, 79(2), 179-205.
- Lord, R. G., Brown D. J., & Freiberg, S. J. (1999). Understanding the dynamics of leadership: The role of follower self-concepts in the leader/follower relationship. *Organizational Behavior and Human Decision Processes*, 78(3), 167-203.
- McCaffrey, D. P., Faerman, S. R., & Hart, D. W. (1995). The appeal and difficulties of participative systems. *Organization Science*, 6(6), 603-627.
- McPherson, M. (1983). The size of voluntary organizations. *Social Forces*, 61(4), 1044-1064.
- Meyer, J. P., & Allen, N. J. (1991) A three-component conceptualization of organizational commitment. *Human Resource Management Review*, 1, 61-89.
- Meyer, J. P., Stanley, D. J., Herscovitch, L., & Topolnytsky, L. (2002). Affective, continuance, and normative commitment to the organization: A meta-analysis of antecedents, correlates, and consequences. *Journal of Vocational Behavior*, 61(1), 20-52.
- Miller, C., & Ahmad, Y. (2000). Collaboration and partnership: An effective response to complexity and fragmentation or solution built on sand? *International Journal of Sociology and Social Policy*, 20(5/6), 1-38.
- Mohr, J., & Spekman, R. (1994). Characteristics of partnership success: Partnership attributes, communication behavior, and conflict resolution techniques. *Strategic Management Journal*, 15(2), 135-152.
- O'Connell, B. (1976). *Effective leadership in voluntary organizations: How to make the greatest use of citizen service and influence*. New York: Association Press.
- Porter, L.W., Steers, R.M., Mowday, R.T., & Boulian, P.V. (1974). Organizational commitment, job satisfaction, and turnover among psychiatric technicians. *Journal of Applied Psychology*, 59, 603-609.
- Porter-O'Grady, T., & Krueger-Wilson, C. (1995). *The leadership revolution in healthcare*. New York: Aspen.
- Tannenbaum, A. S. (1961). Control and effectiveness in a voluntary organization. *American Journal of Sociology*, 67(1), 33-46.
- Tannenbaum, A. S. (1962). Control in organizations: Individual adjustment and organizational performance. *Administrative Science Quarterly*, 7(2), 236-257.
- Wagner, J. A. III (1994). Participation's effect on performance and satisfaction: A reconsideration of the research evidence. *Academy of Management Review*, 19(2), 312-330.
- Webb, R. J. (1974). Organizational effectiveness and the voluntary organization. *The Academy of Management Journal*, 17(4), 663-677.
- White, L. (2001). Effective governance through complexity thinking and management science. *Systems Research and Behavioral Science*, 18, 241-257.
- Wilderom, C. P. M., & Miner, J. B. (1991). Defining groups and agencies within organization science. *Organization Science*, 2(4), 366-378.

Training and Organizational Commitment among Nurses in New Zealand and United States Public Hospitals Experiencing Industry and Organizational Change

Kenneth Bartlett

Dae-seok Kang

University of Minnesota

This study examines the relationship between employee attitudes towards training and organizational commitment among a sample of nurses in New Zealand and the United States. Results show that perceived access to training, training frequency, motivation to learn from training, benefits of training, and supervisory support for training were positively related to the affective and normative components of commitment. Significant differences were found between training and organizational commitment variables between New Zealand and the US.

Keywords: Training, Organizational Commitment, Organizational Change

HRD is recognized as being able to foster and contribute to desired work-place attitudes and behaviors of employees during and after periods of both industry and organizational restructuring. Management of employees' commitment has also become a key management concern as intellectual and human capital become increasingly important to organizational functioning and service provision. Organizational commitment is an increasingly valued work-related attitude, especially in health care settings where retention, job performance, response to change, and organizational restructuring demand the attention of management. In recent years both New Zealand and the United States have undergone changes in their health care systems to different extents with ongoing restructuring and reorganization occurring. This provided an opportunity to explore relationships between training and organizational commitment within the entire sample as well as to examine differences between the two countries. The purpose of this research study was to explore the relationship between a number of training related variables and organizational commitment and to identify differences in a sample of New Zealand and U.S. registered nurses.

Problem Statement and Theoretical Framework

It is widely acknowledged that personnel training is the cornerstone in most organizations' HRD systems (Nordhaug, 1989). Training contributes to gains in competitive advantage (Schuler & MacMillan, 1984) with some suggesting that improvements in productivity and organizational performance have become the most dominant argument for justifying training (Scott & Meyer, 1991). During times of externally driven change many organizations alter their policies and procedures related to training. This may have implications for employee work-related attitudes and behavior.

Of the many work-related attitudes frequently examined for their relationship to the management of employee behavior, organizational commitment is increasingly valued as a predictor of work behaviors and behavioral intentions (Jaros, Jermier, Koehler, & Sincich, 1993). In general terms, organizational commitment can be thought of as a type of mind-set or psychological tie that describes the level of attachment felt by an employee towards the organization in which he or she works.

Early research considered organizational commitment to be a construct with a single dimension; however, it is now widely accepted as being multi-dimensional (Meyer & Allen, 1997). In other words, more than one form of attachment exists to describe the nature of this psychological tie or mind-set. Meyer and Allen (1991) developed a three-component model to capture the different forms of underlying mind-sets that reflect attachment to an organization. They defined the three constructs of organizational commitment as follows: 'Affective commitment refers to the psychological attachment to the organization, continuance commitment refers to the costs associated with leaving the organization, and normative commitment refers to a perceived obligation to remain with the organization' (p.1). An individual employee may have one or more of these mind-sets and report variations across all three.

Recent studies of human resource practices, including training, have been shown to influence employee commitment (Meyer & Smith, 2000; Iles, Mabey, & Robertson, 1990; Whitener, 2001). These findings support a larger body of commitment literature that explores various outcomes measures associated with organizational

Copyright © 2004 Kenneth Bartlett & Dae-seok Kang

commitment. In their review of commitment research Meyer and Herscovitch (2001) noted that accepted correlations exist between all three components of commitment and turnover, turnover intention, absenteeism, job performance, and organizational citizenship behaviors. A recent meta-analysis of the antecedents, correlates, and consequences of organizational commitment highlighted that the strongest and most established consequence investigated is the negative correlation between organizational commitment and turnover intention followed by the negative correlation with actual turnover (Meyer, Stanley, Herscovitch, & Topolnytsky, 2002). Affective, normative, and continuance commitment are negatively related to both turnover intention and actual turnover, although the relationship with actual turnover is not as strong as that with turnover intention. In both cases the affective form of commitment produces the strongest negative relationship followed by normative and continuance commitment. Affective commitment also correlates negatively with self-reported stress and work-family conflict. With other outcomes measures affective commitment again provides the strongest correlations with positive relationships found between coming to work on time, job effort, job performance, and extra-role performance or organizational citizenship behaviors (Leong, Randall, & Cote, 1994; Meyer et al., 2002; Randall, 1990).

During times of industry restructuring and organizational change when performance is carefully monitored the importance of organizational commitment is perhaps most strongly emphasized. Furthermore, during these times absenteeism and turnover can be particularly disruptive for continued change efforts and can negatively affect the attitudes of other employees. A recent study of the effects of organizational change on employee commitment among bank staff in the United Kingdom and the Republic of Ireland highlighted the resulting reduced levels of affective commitment following both structural and cultural change (Bennett & Durkin, 2000). In a study of hospital restructuring Burke and Greenglass (2001) found that nurses in Canada who reported greater workloads and perceived future threats in the workplace from restructuring also reported greater work-family conflict and lower levels of job satisfaction. Low levels of organizational commitment have been found to influence burnout in hospital employees (Kalliath, O'Driscoll, & Gillespie, 1998). However, potential cross-national differences in attitudes towards training and organizational commitment resulting from organizational and industry driven change are yet to be explored. This study addresses this research need.

Research Questions

The two over arching questions for this research were; *Do relationships exist between perceived access to training, training frequency, motivation to learning from training, benefits of training, supervisory support for training, and organizational commitment? And, do significant differences exist between New Zealand and the United States in perceptions of access to training, training frequency, motivation to learning from training, benefits of training, supervisory support for training, and organizational commitment?* To explore these questions five research hypotheses were tested.

The relationships between perceived access to training, training frequency, and organizational commitment has only recently attracted research attention. A recently published qualitative study found that nursing staff believed that opportunities for learning were more important in explaining individual levels of organizational commitment than monetary benefits, job satisfaction, relationship with co-workers, or job security (McNeese-Smith, 2001). Furthermore, perceptions of access to training opportunities and self-report rates of training participation were both found to be positively related to all three forms of organizational commitment (Bartlett, 2001). However, the current study setting of nurses from hospitals outside of major metropolitan areas suggests that a different result could be expected, especially in relation to the continuance form of commitment. More specifically, we believe that, in non-metropolitan areas nurses are likely to have fewer opportunities for employment compared to those in large cities with many hospitals. Consequently, the form of commitment based on attachment driven by the perceived high costs of lost income, time, effort, and stress of leaving the job suggests that continuance commitment may relate in a different way to the affective and normative components.

Hypothesis 1a. *There will be a positive relationship between perceived access to training, training frequency, and affective organizational commitment.*

Hypothesis 1b. *There will be a negative relationship between perceived access to training, training frequency, and continuance organizational commitment.*

Hypothesis 1c. *There will be a positive relationship between perceived access to training, training frequency, and normative organizational commitment.*

Motivation to learn is a key variable linked to actual participation in training (Tharenou, 2001). It is noted that as HRD becomes increasingly vital for organizations it is equally essential that employees who participate in development activities see their participation as rewarding (Nordhaug, 1989). It is likely that employees with a strong affective attachment to their organization will recognize the need for on-going participation in training

activities to enhance their skills, knowledge, and abilities in the achievement of organizational goals. Therefore, we would expect a positive relationship between motivation to learn from training and affective commitment. Continuance commitment describes an attachment based on recognition of the cost associated with leaving. An employee who is high in this form of commitment is perhaps a reluctant learner and a less than enthusiastic training participant and, therefore, may be characterized with lower levels of motivation to learn. An employee with high normative commitment is bound to the organization with a sense of obligation to remain. This sense of obligation may also create an awareness of the need for on going training, which may result in higher levels of motivation to learn. We therefore predict a positive relationship between motivation to learn from training and the normative form of commitment.

Hypothesis 2. There will be a positive relationship between motivation to learn from training and affective and normative commitment, and a negative relationship with continuance commitment.

Employees who believe that positive outcomes result from participation in training and development events have been found to be more motivated to seek opportunities for training (Dubin, 1990; Tharenou, 2001). Nordhaug (1989) identified three different types of reward functions or benefits that employees obtain from participation in training: job, career, and personal related benefits. Job related benefits reflect individuals' perception that training will allow a performance improvement in their current position, whereas, career related benefits will likely assist in the development of skills for a future job. Personal related benefits of training reflect psychological, political, and social outcomes that may or may not be related to the work setting. Because continuance commitment reflects attachment based on the perceived high costs of leaving we would anticipate a negative relationship with all three types of training benefits. In contrast, we would predict that all three categories of perceived training benefits would be positively related to the forms of affective and normative forms of commitment as they represent attachment based on emotional ties and personal values.

Hypothesis 3. There will be a positive relationship between perceived job, career, and personal benefits of training and both the affective and normative forms of organizational commitment and a negative relationship with continuance commitment.

Support for training from an employee's supervisor and senior staff members influences decisions to participate in training and development activities (Kozlowski & Hults, 1987; Noe & Wilk, 1993). A recent meta-analysis of training motivation places manager support for participation in training as a key situational characteristic influencing individual behavior towards training (Colquitt, LePine, & Noe, 2000). Birdi, Allan, and Warr (1997) found that managerial support was related to increased on-the-job learning, increased development, and increased career planning. Given these findings we believe that social support from senior staff and supervisors towards training participation is also likely to be related to employee perceptions of training access. Furthermore, supervisor support for training is also thought to relate to feelings of attachment to the employing organization in that employees may feel more attached to the organization if they are receiving support for training from their supervisors. In this situation employees may view training as a means to improve job performance and future career opportunities. Therefore, employees who receive support for training were thought to be more committed, hence hypothesis 4a and 4b propose:

Hypothesis 4a. There will be a positive relationship between supervisory support for training, and perceived access to training.

Hypothesis 4b. There will be a positive relationship between supervisory support for training, and all three forms of organizational commitment.

Given the magnitude of recent changes in the public healthcare system in New Zealand we anticipated that significant differences between perceived access to training, training frequency, training motivation, benefits of training, supervisory support for training, and organizational commitment would be found between the two countries. As noted above, the radical changes in New Zealand's national healthcare policy have brought many impacts to individual hospital boards forced to focus on cost reduction efforts. Kearns and Joseph (1997) noted that the affects of health-care restructuring have been more severe in New Zealand's rural communities. Despite recommendations to the contrary it appears that New Zealand healthcare administrators are viewing human resources as an area for cost reduction (Ashton, 2000). This would appear to suggest that individual hospital boards maybe viewing training and development activities as a cost rather than as an investment.

While reports of the impacts of healthcare restructuring at both the national policy level and at individual hospitals result in a temptation to predict that New Zealand would have lower scores on our training and commitment variables, there is insufficient research evidence to develop such a claim. Therefore, given the exploratory nature of this study we confine our hypothesis to a non-directional examination to determine whether significant differences in training and organizational commitment levels exist between the two countries.

Hypothesis 5. Significant differences will be found between New Zealand and the United States in perceived access to training, training frequency, motivation to learn from training, perceived benefits of training, supervisory support for training, and all three forms of organizational commitment.

Method

This section reports on the sample, procedures, variables, and data analysis used in this study.

Sample

The population for this study was registered nurses (RNs) employed in public hospitals in New Zealand and the United States. Three public hospitals located outside of large metropolitan areas were selected from the *State Directory of Public Hospitals* in one mid-western U.S. state. Then one similar sized public hospital was selected from the North Island of New Zealand. The four hospitals are somewhat similar in that they are located away from large metropolitan areas with each located in a small city or large town serving both the local population and surrounding rural districts. The smallest hospital was a 40-bed facility serving a population of 15,000 staffed by 70 full-time nurses and the largest a 140-bed facility serving a population of 45,000 staffed by 158 full-time nurses.

Procedures

A self-administered written questionnaire was used to collect individual-level data on the relationship between our training related variables and organizational commitment. The survey was developed and pilot tested in the same US state in which the data were collected with assistance of a group of four HRD trainers/educators with nursing backgrounds. The instrument was also examined by the head nurse and a training manager at the New Zealand hospital used for data collection. Surveys were distributed to all full-time nurses at each hospital (a total of 543 RNs) through the internal mail system with responses returned directly to the lead researcher. A single follow-up was done approximately two-weeks after initial delivery. The initial distribution and the follow-up resulted in a total of 198 completed and useable surveys representing 117 from the three US hospitals and 81 surveys from New Zealand (30% response rate from US; 51% New Zealand; 36% overall). As could be expected from a female-dominated profession, the majority (94%) of respondents were women.

Variables

The variables under investigation were divided into two broad categories related to training and organizational commitment. Training was divided into five operational variables to assess perceived access to training, training frequency, motivation to learn from training, perceived benefits resulting from training, and supervisory support for training. Perceived access to training was measured with a three-item scale used in a previous study of organizational commitment and training (Bartlett, 2001). Coefficient alpha was .77. Training frequency was measured using three items to assess the number of different types of training events employees had participated in during the past twelve months. These items, developed by Tharenou and Conroy (1994), should be thought of as three discrete questions to determine frequency of participation rather than as a scale. A sum of these questions produces a total number of training events participated in during the past year. Motivation to learn from training was measured using the 11-item motivation to learn from training scale developed by Noe and Schmitt (1986). Coefficient alpha was .85. Benefits resulting from training were measured with the 14-item perceived benefits of training scale (Noe & Wilk, 1993). Alpha coefficient was .80. This scale is an adaptation of Nordhaug's (1989) scale composed of three sub scales to measure, job, career, and personal related benefits. The reliability coefficients of these three subscales were .76 for job related benefits, .68 for career related, and .62 for personal related benefits of training. Finally, supervisory support for training was measured using the 16-item senior staff support for training sub scale from the Noe and Wilk (1993) perceived support for training instrument. Coefficient alpha was .96. The Affective, Continuance, and Normative Commitment Scales (ACNCS) of Allen and Meyer (1990) were used to measure organizational commitment ($\alpha = .86, .79, .89$ respectively).

Data Analysis

There were very few instances of missing data (less than 4% missing for any single item). Data analysis employed bivariate correlations to explore hypotheses 1-4. Possible differences between RNs in New Zealand and the United States were explored using t-tests for mean differences.

Results

Table 1 presents the mean scores, standard deviations, and correlations for the variables under investigation. Hypothesis 1 explored relationships between access to training, training frequency, and the three forms of organizational commitment. Access to training produced a positive and significant relationship with the affective and normative forms of commitment. Training participation based on frequency was also found to be positively and

significantly related to affective and normative commitment. All predictions in hypotheses 1a and 1c were supported. Hypothesis 1b predicted a negative correlation between both access to training and training frequency and continuance commitment. The result in terms of access to training was not supported ($r = .02$ n.s.) whereas the predicted negative relationship between training frequency and continuance commitment produced a negative but non-significant relationship ($r = -.09$).

Table 1. *Means, Standard Deviations, and Bivariate Correlational Matrix (n = 198)*

	Mean	SD	α	1	2	3	4	5	6	7	8	9	10	11
1. Access to training	4.08	1.49	.77											
2. Training frequency	2.57	1.85		.39***										
3. Motivation to learn from training	3.98	.41	.85	.21**	.11									
4. Perceived benefits of training	3.60	.48	.80	.24**	.13		.55**							
5. Job related benefits of training	2.79	.80	.76	.22**	.07		.14		.63**					
6. Career related benefits of training	3.52	.63	.68	.30**	.15*		.55**	.80**		.36**				
7. Personal related benefits of training	4.14	.52	.62	.25**	.13		.60**	.78**	.21**		.651**			
8. Supervisory support for training	3.52	.91	.96	.50**	.18*		.10	.20**	.14*		.23**		.18*	
9. Total organizational commitment	2.93	.48		.30**	-.02		.01	.10		.31**	.04		-.02	.32**
10. Affective commitment	3.23	1.01	.86	.54**	.24**		.20**	.18*		.16*		.23**	.22**	.47**
11. Continuance commitment	3.06	.89	.79	.02	-.09		-.13	-.05		.18*		-.11		-.13
12. Normative commitment	2.84	1.04	.89	.53**	.19*		.20**	.22**		.26**		.25**		.16*

Note: * $p < .05$, ** $p < .01$, *** $p < .001$

Hypothesis 2 examined the relationship between motivation to learn from training and organizational commitment. As predicted, we found a positive and significant relationship between motivation to learn from training and the both the affective and normative forms of commitment ($r = .20$, $p < .01$ for both relationships). The predicted negative relationship with continuance commitment was non-significant ($r = -.13$). This partially supports our hypothesis that motivation to learn from training is related to commitment; however, the ordering and magnitude of this relationship in explaining organizational commitment requires further analysis.

The relationships between job, career, and personal related benefits from training, and affective commitment were positive and significant, as predicted in hypothesis 3. In other words, those employees who believe that training participation brings rewards or benefits to their job, career, or personal life are more likely to report higher levels of the affective form of organizational commitment. Likewise, a positive and significant relationship was found between job, career, and personal related benefits of training with normative commitment. Hypothesis 3 also predicted a negative relationship between the three types of training benefits and continuance commitment. Negative but non-significant relationships between career and personal related benefits of training and continuance commitment were found. However, a positive and significant relationship ($r = .18$, $p < .05$) between job related benefits and continuance commitment was found. Additional research on training benefits and organizational commitment would help in understanding this finding.

The relationship between supervisory support for training and access to training was moderately strong and significant ($r = .50$, $p < .01$) supporting hypothesis 4a. Hypothesis 4b predicted a positive relationship between supervisory for training and all thee forms of organizational commitment. This was supported but only the relationships with the affective ($r = .47$, $p < .01$) and normative ($r = .44$, $p < .01$) forms of commitment were significant. Our final hypothesis considered possible differences between RNs in New Zealand the in United States. As shown in Table 3, many significant differences were found between the New Zealand and U.S. samples in mean scores for our training and commitment variables. New Zealand nurses reported lower mean scores compared to the U.S. nurses on all variables with 10 of the 12 comparisons producing a significant difference. A high level of significance in the difference between mean score for the following variables was found; perceived access to training, training frequency, supervisory support for training, as well as the affective and normative forms of organizational commitment.

Table 2. *T-test Results for Differences between New Zealand and U.S.*

Variable	U.S. n = 117	New Zealand n = 81	t statistic	Level of Significance
	Mean	Mean		
Access to training	4.7	3.2	-7.33	.000***
Training frequency	3.0	2.0	-3.95	.000***
Motivation to learn from training	4.0	3.9	-2.44	.016*
Perceived benefits of training	3.7	3.5	-2.19	.030*
Job related benefits of training	2.9	2.6	-2.39	.018*
Career related benefits of training	3.6	3.4	-2.31	.022*
Personal related benefits of training	4.2	4.1	-1.70	.090
Supervisory support for training	3.7	3.2	-4.00	.000***
Total organizational commitment	3.1	2.8	-4.39	.000***
Affective commitment	3.7	2.5	-10.47	.000***
Continuance commitment	3.1	3.0	-.48	.633
Normative commitment	3.6	2.1	-10.37	.000***

Note: *p < .05, **p < .01, ***p < .001

Conclusions and Recommendations

This study examined relationships between employee attitudes related to training and feelings of organizational commitment, and compared these variables in a sample of nurses from New Zealand and the United States. The following conclusions can be made based on the results of this study. First, the affective and normative components of organizational commitment are related to participation in training with perceived access to training producing a stronger relationship than self-report measures of training frequency. Second, the affective and normative components of organizational commitment is also related to motivation to learn from training, perceived benefits of training, and perceived supervisory support for training. This suggests a need for organizations to have supervisors and managers be active supporters of training. Third, a number of significant differences in the attitudes towards training and the level of commitment were found between the New Zealand and U.S. samples. A number of potential explanations could be offered for this cross-national difference. While differences in culture, formal educational pathways, hospital management structures, and so on no doubt play a role we also believe that the lower scores from the New Zealand nurses may highlight their frustration and concern following the reorganization of the nations public health care system. The findings potentially support statements that attribute the general low morale of New Zealand nurses compared to those in other industrialized nations as resulting from the past two decades of major health care reform efforts (Coney, 1996). While not suggesting that the industry and organizational changes in New Zealand hospitals by themselves explain the significantly lower scores related to many training and commitment variables, these findings do point toward the need for additional research to determine potential cultural, organizational, and individual level constructs that may offer further insight.

The implications of the findings from this study apply to both managers and administrators in the health-care field as well as to trainers, HRD practitioners, and researchers. Given that well-established relationships are known between organizational commitment and outcomes that influence performance, such as low absenteeism, reduced turnover, and increased levels of organizational citizenship behaviors (Meyer, Stanley, Herscovitch, & Topolnytsky, 2002), managers could adopt a view towards training that recognizes its relationship to organizational commitment. Health-care managers could perhaps acknowledge that key performance related indicators such as patient welfare, employee stress levels, and turnover are potentially connected to the relationship between attitudes towards training and organizational commitment. However, while managers should not focus solely on organizational commitment, it is important to recognize how management practices, employee responses to change, and additional stress brought on by industry-wide restructuring may impact the type and strength of commitment and consequent behaviors. This is especially true for examining retention, which has long been an issue of concern. A number of the variables investigated in this study can be influenced by supervisors and managers. For example, employee perceptions of training benefits can be enhanced by communication from supervisors and training providers. This could also

potentially contribute to positive perceptions of access to training, as shown by the positive relationships between access and benefits in this study, and encourage additional research into training results.

The findings related to the three separate constructs of organizational commitment examined in this study support a growing body of literature that indicates that employee attachment is multi-faceted. This has practical implications as different management actions related to training and development may have different impacts on affective, normative, and continuance commitment. However, as is supported in existing studies, the affective form of commitment appears to be the focus of most management interest. Recent research has suggested that public personnel administrators increasingly recognize the need to increase affective organizational commitment among public sector employees (Nyhan, 1999). Such recognition among health care administrators may also benefit the public health care field.

Researchers continue to explore which variables are related to and influence organizational commitment. This is resulting in increasingly complex models to understand the nature of organizational commitment and the variety of antecedent and consequent variables. To date, HRD researchers have not played a major role in this line of inquiry despite the potential to make major contributions. As employment practices shift to support management that fosters organizational commitment rather than management by control, additional studies are needed to determine whether changes are actually occurring in the type and strength of employees' feelings of attachment. Such studies are needed, particularly in settings experiencing significant industry and organizational change.

References

- Allen, N. J., & Meyer, J. P. (1990). The measurement and antecedents of affective, continuance, and normative commitment to the organization. *Journal of Occupational Psychology*, 63, 1-18.
- Ashton, T. (2000). New Zealand: Long-term care in a decade of change. *Health Affairs*, 19(3), 72-85.
- Bartlett, K. R. (2001). The relationship between training and organizational commitment: A study in the health care field. *Human Resource Development Quarterly*, 12(4), 335-361
- Bennett, H., & Durkin, M. (2000). The effects of organizational change on employee psychological attachment: An exploratory study. *Journal of Managerial Psychology*, 15(2), 126-147.
- Birdi, K., Allen, C., & Warr, P. (1997). Correlates of perceived outcomes of four types of employee development activity. *Journal of Applied Psychology* 82, 854-857.
- Burke, R. J., & Greenglass, E. R. (2001). Hospital restructuring stressors, work-family concerns and psychological well being among nursing staff. *Community, Work & Family*, 4(1), 49-62.
- Colquitt, J. A., LePine, J. A., & Noe, R. A. (2000). Toward an integrative theory of training motivation: a meta-analysis of 20 years of research. *Journal of Applied Psychology*, 85(5), 678-707.
- Coney, S. (1996). Relentless unraveling of New Zealand's health-care system. *The Lancet* 347(9018), 1825.
- Dubin, S. S. (1990). Maintaining competence through updating. In S. S. Dubin (Eds.), *Maintaining professional competence* (pp. 9-45). San Francisco, CA: Jossey-Bass.
- Iles, P., Mabey, C., & Robertson, I. (1990). HRM practices and employee commitment: possibilities, pitfalls and paradoxes. *British Journal of Management*, 1, 147-157.
- Jaros, S. T., Jermier, J. M., Koehler, J. W., & Sincich, T. (1993). Effects of continuance, affective, and moral commitment on the withdrawal process: An evaluation of eight structural equation models. *Academy of Management Journal*, 36, 951-995.
- Kalliath, T. J., O'Driscoll, M. P., & Gillespie, D. F. (1998). The relationship between burnout and organizational commitment in two samples of health professionals. *Work & Stress* 12(2), 179-185.
- Kearns, R. A., & Joseph A. E. (1997). Restructuring health and rural communities in New Zealand. *Progress in Human Geography*, 21(1), 18-32.
- Knoop, R. (1995). Relationships among job involvement, job satisfaction, and organizational commitment for nurses, *The Journal of Psychology*, 129(6), 643-649.
- Kozlowski, S. W. J., & Hults, B. M. (1987). An exploration of climates for technical updating and performance. *Personal Psychology*, 40, 539-563.
- Leong, S. M., Randall, D. M., & Cote, J. A. (1994). Exploring the organizational commitment-performance linkage in marketing: a study of life insurance salespeople. *Journal of Business Research*, 29, 57-63.
- McNeese-Smith, D. K. (2001). A nursing shortage: building organizational commitment among nurses. *Journal of Healthcare Management*, 46(3), 173-187.
- Meyer, J. P., & Allen, N. J. (1991). A three-component conceptualization of organizational commitment. *Human Resource Management Review*, 1(1), 61-89.

- Meyer, J. P., & Allen, N. J. (1997). *Commitment in the workplace: Theory, research, and application*. Thousand Oaks, CA: Sage.
- Meyer, J. P., & Herscovitch, L. (2001). Commitment in the workplace: Toward a general model. *Human Resource Review*, 11, 299-326.
- Meyer, J. P., & Smith, C. A. (2000). HRM practices and organizational commitment: Test of a mediation model. *Canadian Journal of Administrative Sciences*, 17(4), 319-331.
- Meyer, J. P., Stanley, D. J., Herscovitch, L., & Topolnytsky, L. (2002). Affective, continuance, and normative commitment in the organization: a meta-analysis of antecedents, correlates, and consequences. *Journal of Vocational Behavior*, 61, 20-52.
- Noe, R. A., & Schmitt, N. (1986). The influence of trainee attitudes on training effectiveness: A test of a model. *Personnel Psychology*, 39, 497-523.
- Noe, R. A., & Wilk, S. L. (1993). Investigation of the factors that influence employees' participation in development activities. *Journal of Applied Psychology*, 78(2), 291-302.
- Nordhaug, O. (1989). Reward functions of personnel training. *Human Relations*, 42(5), 373-388.
- Nyhan, R. C. (1999). Increasing affective organizational commitment in public organizations: The key role of interpersonal trust. *Review of Public Personnel Administration*, 19, 58-70.
- Randall, D. M. (1990). The consequences of organizational commitment: methodological investigation. *Journal of Organizational Behavior*, 11, 361-378.
- Schuler, R. S., & MacMillan, I. C. (1984). Gaining competitive advantage through human resource management practices. *Human Resource Management*, 23(3), 241-255.
- Scott, W. R., & Meyer, J. W. (1991). The rise of training programs in firms and agencies: An institutional perspective. *Research in Organizational Behavior*, 13, 297-326.
- Tharenou, P. (2001). The relationship of training motivation to participation in training and development. *Journal of Occupational and Organizational Psychology*, 74, 599-621.
- Tharenou, P., & Conroy, D. K. (1994). Men and women managers' advancement. *Applied Psychology: An International Review*, 43, 5-31.
- Whitener, E. M. (2001). Do "high commitment" human resource practices affect employee commitment? A cross-level analysis using hierarchical linear modeling. *Journal of Management*, 27, 515-535.

Commitment Elements Reframed (Antecedents & Consequences) for Organizational Effectiveness

*Sandra L. Fornes
Tonette S. Rocco
Florida International University*

This structured literature review of commitment in the workplace provides a new way to look at commitment through levels, elements, antecedents and consequences of organizational and individual commitment.

Keywords: Organizational Commitment, Workplace Commitment, Commitment Antecedents

Performance improvement in an organization goes beyond the commonly accepted principles of good management and effective leadership by engaging the emotional commitment of the employee (Katzenbach, 2000). Commitment is the differentiating factor between top performing companies and those of average performance (Katzenbach, 2000). Emotionally engaged employees are more productive and more customer-focused. High-levels of employee commitment are positively correlated with superior financial performance in organizations demonstrated by significant increases in operating and net profit margin (International Survey Research, 2001; Gallup, 2002; Watson Wyatt Global Consulting, 2003). Individuals and teams that are committed to the values and goals of an organization have a higher morale and lower turnover, increased job satisfaction, and increased productivity (Cohen, 2003; Meyer & Allen, 1997; Mowday, Porter, & Steers, 1982).

Gallup (2002) estimates that actively disengaged workers cost the U.S. economy up to \$350 billion per year. Even though employee commitment has a positive impact on organizational and individual performance and job satisfaction, low levels of commitment exist in most industries. More than a third of employees worldwide admit to having low levels of commitment to the job and the company and instead are more committed to their careers (TNS Worldwide, 2002). Only one in twelve (8%) are 'company-oriented' employees, predominantly committed to their company (TNS Worldwide, 2002). Levels of employee commitment in the USA are significantly lower than half of the world's other major economies, placing USA companies at a disadvantage when competing in the global marketplace (International Survey Research, 2001).

Problem Statement

By understanding when and how commitments develop and how they shape attitude and behavior, organizations will be in a better position to anticipate the impact that change will have and to manage it more effectively (Meyer & Allen, 1997). By knowing what drives the commitment of employees, a positive environment can be created to deliver tangible results quickly. The purpose of this paper is to identify theories of commitment in the workplace to develop a framework that helps the field create higher levels of commitment, productivity, and satisfaction. The paper is organized into five main sections: the method, commitment in the workplace, mapping workplace commitment, and the implications for HRD and future research.

Method

A structured literature review was conducted. Educational Resources Information Center (ERIC), PsycInfo and ABI Inform and were selected with the assistance of a reference librarian as most representative of education, psychology and business. We started with 1980 because early in the 1980s organizational downsizing and restructuring became a trend ending with 2003. Databases were searched for the following descriptors: workplace commitment, organizational commitment, affective commitment, employee emotional commitment, career, profession and occupational commitment, job commitment, work group and team commitment. Each term was searched individually. In addition, organizational and workplace commitment, career and job commitment were each paired with commitment antecedents and consequences. Each descriptor set produced a list of records that were reviewed for relevancy. The search resulted in 3985 articles of which 567 addressed workplace issues, not general societal trends such as societal commitment or familial commitment. Articles, non-specific to the workplace, were

Copyright © 2004 Sandra Fornes, & Tonette S. Rocco

eliminated as were duplicate articles. Articles were then examined for the antecedents or consequences of commitment in the workplace resulting in 125 articles to analyze.

A content analysis was conducted. Abstracts were read and categorized by (a) elements of commitment (b) antecedents to commitment (c) consequences of commitment. Tables were created to organize themes and patterns that emerged as the elements, antecedents and consequences of commitment in the workplace. Cognitive mapping was used to create a mental model of the overall meaning of the text. A graphic map depicts the relationships between concepts. Cognitive mapping lends itself to the comparison of semantic connections across texts and attempt to represent the relationship(s) between ideas, beliefs, attitudes, and information available to an author within a text. These relationships can be represented as logical, inferential, causal, sequential, and/or mathematical relationships (Palmquist, Carley, & Dale, 1997).

Commitment in the Workplace

Commitment has been defined as the degree of pledging or binding of the individual to a set of behaviors and motivates one to act (Kiesler, 1971). Once identification with the organization begins, individuals are likely to become concerned with the broader interests of the organization including its reputation, survival, and continued success, that generates activity and resource exchange (reflecting enhanced concern between firm and employee) fostering further identification (Rousseau, 1998). Katzenbach (2000) describes an energized workforce as high performance (those that perform better than industry norms) and whose emotional commitment enables them to make and deliver products or services that constitute a sustainable competitive advantage.

Commitment in the workplace or understanding how people become committed to an organization is multifaceted (Meyer & Allen, 1997) consisting of the elements, antecedents and consequences, and forms such as organizational (affective), job, career, team, and supervisory commitment. Sufficient discriminant validity (reduction in concept redundancy) exists among organizational commitment, job commitment, career commitment (Bashaw & Grant, 1994; Carson & Bedeian, 1994; Chang, 1999; Morrow & Wirth, 1989; Morrow & Goetz, 1998), and group (team) commitment (Ellemers, de Gilder, & van den Heuvel, 1998) to consider these as independent forms of commitment in the workplace. Considering this, these independent forms of workplace commitment are reframed into two distinct levels – organizational commitment (organization and supervisor) and individual commitment (job, career, and team) and will be discussed following the elements of commitment in the workplace, the antecedents and consequences.

Levels of Commitment - Forms of Commitment

Commitment affects the organization and the person, making two levels. (a) Organizational commitment which is directed by organization attributes and defined as the psychological and emotional attachment of employees to their organizations (Morrow, 1993; Meyer & Allen, 1991; Mathieu & Zajac, 1990). (b) Individual employee commitment, guided by attributes that directly affect the person and is defined as the psychological and emotional attachment of individuals to their jobs, careers, work groups or teams, peers and supervisors (Cohen, 2003).

Organizational commitment. Organizational commitment is the measure of strength of the employee's identification with the goals and values of the organization (Mowday et al., 1982) and supervisor. Individuals committed to the organization exert extra effort, desire organizational membership (Morrow, 1993), protect company assets, and share company goals and values (Meyer & Allen, 1997). Supervisory commitment is defined as the strength of identification with supervisor and internalization of supervisor's values. Identification occurs when the subordinate admires certain attributes of the supervisor, such as attitudes, behavior, and accomplishments. Internalization occurs when the subordinate adopts the attitudes and behaviors of the supervisor because the supervisor's attitudes and behaviors are congruent with the subordinate's value systems (Becker, 1992; Gregersen & Black, 1993). Commitment to organization is related positively to a variety of desirable work outcomes including employee job satisfaction, motivation and performance, and related negatively to absenteeism and turnover (Mathieu & Zajac, 1990). Organizational commitment can be measured as either attitudinal or calculative. Attitudinal, referred to as affective (Meyer, Allen, & Smith 1993), or internalization and identification (O'Reilly & Chatman, 1986) is the employee's emotional attachment and identification with the organization (Meyer & Allen, 1997; Mowday et al., 1982; Cohen, 2003; Porter et al 1974). Employees continue with the organization because they want to do so (Meyer & Allen, 1997; Mowday et al, 1982) and feel proud to be part of the organization, respecting its values and accomplishments (O'Reilly & Chatman, 1986). The calculative or "side-bet" (Becker, 1960), also referred to as continuance (Meyer & Allen, 1997) and compliance (O'Reilly & Chatman, 1986), signifies the extent to which employees feel committed to their organization by virtue of the cost that they feel is associated with leaving it and their need to remain with the organization (Becker, 1992; Meyer & Allen, 1997).

The affective (attitudinal) commitment approach provides a clearer and more focused scale of organizational commitment (Jaros, 1997) because the correlation between antecedents and attitudinal (affective) measures are stronger than those measures of the calculated or continuance approach (Hrebiniak & Alutto, 1972; O'Reilly & Chatman, 1986; Meyer & Allen, 1997). In addition, many existing measures of organizational commitment are attitudinal (Ko, Price & Mueller, 1997; McGee & Ford, 1987), and the construct validity of affective (attitudinal) commitment is supported (Ko et al., 1997), while the construct validity of continuance and compliance commitment is questionable (Ko et al., 1997).

Individual employee commitment. Individual commitment is the measure of strength of the employee's identification with the values of other individuals and peers within the organization (team commitment), and their work (job commitment) and careers (career commitment) and encourages individuals to exert extra organizational citizenship behavior as active positive contributions to colleagues and avoid engaging in harmful behaviors. Team commitment is an individual's identification and sense of cohesiveness with other members of a group. The importance of team commitment is its enhancement of social involvement that reinforces the social ties that the individual forms with the organization (Randall & Cote, 1991).

Job commitment is the degree to which a person identifies psychologically with his/her work and is the internalization of the values and the importance of work for the person's worth and the degree to which one's work performance affects one's self-esteem and self-image (Lodhal & Kejner, 1965; Rabinowitz & Hall, 1977). Career commitment (professional and occupational commitment) focuses on the employee's career and the devotion to a craft or occupation (Blau, 1995; Morrow, 1983). Career commitment is defined as the magnitude of an individual's motivation, attitude, affects, belief and behavioral intentions toward an occupation or vocation (Blau, 1995; Hall, 1971) or the degree of centrality of one's career for one's identity (Gould, 1979).

Antecedents to Commitment in the Workplace

Antecedents of commitment are actions or elements that cause commitment to occur. Congruency, interesting work, clarity of purpose, feedback, equity /fairness, empowerment, and autonomy are antecedent elements linked to organizational commitment that produces psychological states that lead to positive consequences for the organization and individual. The antecedents that lead to individual employee commitment are congruency, interesting work, feedback, and autonomy.

Congruency is the quality of agreement that exists between the employee's values and interests and those of the organization. If congruency exists between a person's interests, preferences, abilities (Holland, 1985) and values (Katzenbach, 2000), and organizational factors in the work environment, employees become more emotionally committed to the organization leading to improved performance (Holland, 1985; Katzenbach, 2000). Congruency or "fit" between the individual and his or her job/career increases commitment to the career and/or job (O'Reilly, Chatman, & Cadwell, 1991).

Interesting work holds the individual's attention, is challenging and rewarding, is significant to the organization, and allows utilization of a variety of skills and knowledge. Job characteristics such as job challenge, skill variety (different activities and talents the job requires), task identity (doing a job from beginning to end with visible results), task significance (the job's impact on the lives of workers and the organization), degree of autonomy (freedom, independence and discretion in scheduling work and determining procedures) all improve commitment to the organization (Mathew & Zajac, 1990; Nelson, 1999), to the job (Hackman & Oldham, 1976; Varona, 2002), and one's career (Person, 1997). The more important a task or job component (job significance) is, the greater the level of job commitment and job satisfaction, motivation and job performance (Hackman & Oldham, 1976). Organizations that ensure interesting work will improve employee commitment to the organization and the job itself.

Clarity of purpose provides a clear identification of the intentions, ideas, goals and plans of the organization allowing employees to be informed, ask questions, share information, provide a clear sense of direction. Lack of clarity, about purpose, lies at the core of organizational ineffectiveness and inefficiency (Kaufman, 2000; Katzenbach, 2000). Organizations that provide a clear sense of direction (Greenberg, 1994), adequate explanation of new policy (Rhodes & Steers, 1981; DeCotiis & Summers, 1987) and purposereport high levels of organizational commitment (Mathieu & Zajac, 1990), workgroup commitment (Konovsky & Cropanzano, 1991) and individual commitment (Varona, 2002).

Equity and fairness maintains a balance between and within the organization and its employees. Affective commitment and commitment between peers and supervisor is strengthen when employees' perceptions are of a fair, trusting, and equitable environment (Konovsky & Cropanzano, 1991; Kim & Mauborgne, 1993; Rhodes & Steers, 1981). Feedback is the degree to which employees receive information that reveals how well they are performing on the job. Feedback that promotes continuous improvement and constant communication with employees leads to the development of organizational commitment (Luthans, 1998) and enhanced performance (Katzenbach, 2000; Nelson, 1999; Varona, 2002).

Empowerment gives authority to the employees to make decisions about their work. Organizational commitment is stronger among employees who are allowed to participate in decision-making and empowered to carry out their work (Rhodes & Steers, 1981; DeCotiis & Summers, 1987; Meyers & Allen, 1997). Empowerment, autonomy, and mutual accountability focus employees on doing a job well and encourage them to lend a hand to a co-worker or department that needs help (Katzenbach, 2000). Giving people latitude, flexibility, and empowerment to make decisions increases the chance that they will perform as desired bringing additional initiative, ideas, and energy to their jobs (Nelson, 1999). Autonomy is the degree of freedom, independence and discretion an employee is allowed in scheduling work and determining procedures. Increased autonomy strengthens organizational commitment (Mathew & Zajac, 1990), increases job satisfaction (Fried & Ferris, 1987), and contributes to job commitment (Person, 1997; Hackman & Oldham, 1975).

Consequences of Workplace Commitment

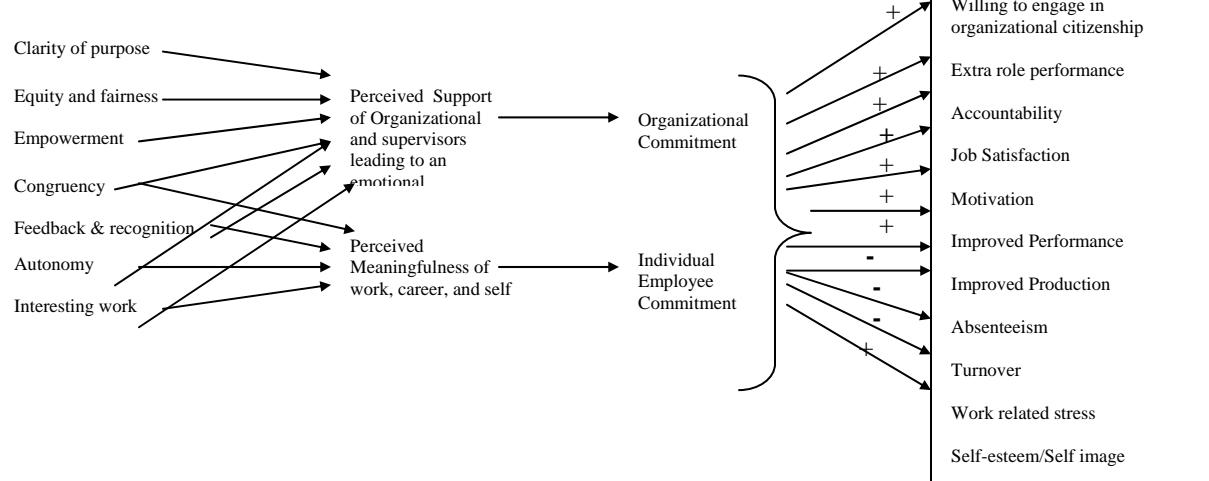
The consequences of workplace commitment are the effects and outcomes that result from organizational and individual employee commitment. Employees with strong organizational affective commitment are emotionally attached to the organization having a greater desire to contribute meaningfully to the organization, choose to be absent less, work harder (Mathieu & Zajac, 1990), improving production (Randal & Cote, 1994) and overall performance on the job (Meyer & Allen, 1997). Managers with strong affective commitment report higher levels of compliance with strategic decisions and avoidance of budgetary slack in financial planning (Kim & Mauborgne, 1993; DeCotiis & Summers, 1987), are more willing to engage in organizational citizenship (Nouri, 1994) or extra-role performance (Meyer et al, 1993). The willingness to go above and beyond the call of duty (extra-role performance) include things such as providing extra help to coworkers, volunteering for special work activities, being particularly considerate of coworkers and customers, arrive early to work and/or leave late, and make suggestions when problems arise (Meyer & Allen, 1997). Affective commitment leads to increased competitiveness, accountability and the desire to improve overall performance of the job (Konovsky & Cropanzano, 1991).

Affective organizational commitment is beneficial to the employee as well. Employees that have high levels of affective commitment, experience lower stress levels even though they work longer and harder than those not committed. Affective commitment encourages motivation (Meyer & Allen, 1997) and lower psychological physical, work-related stress (Reilly & Orsak, 1991), less emotional exhaustions and depersonalization (Jamal, 1990). Employees committed to the organization, their jobs and careers appear happier, and are able to exert more quality time to their families and hobbies (Reilly & Orsak, 1991).

Individual employee commitment and commitment to work groups improves team performance, pro-social behavior and group cohesion enhancing individual job performance and satisfaction (Bishop and Scott, 1997). Those committed to their jobs and/or careers are absent less and have lower intentions to quit (Bishop & Scott, 1997), increased job satisfaction, and increased intrinsic motivation (Hackman & Oldham, 1976). Job characteristics or interesting work such as task identity, skill variety, task significance and autonomy increases motivation, job satisfaction and job performance (Hackman & Oldham, 1976). Career commitment and job involvement affect professionals' job satisfaction, turnover intention, role stress, productivity, and job migration (Aranya & Ferris, 1984; Gunz & Gunz, 1994).

Figure 1. Commitment Mapped

Mapping Workplace Commitment



Cognitive mapping was used to create a model of the relationships between the elements, antecedents, and consequences of workplace commitment, which lead to organizational commitment and/or individual employee commitment (See Figure 1). The antecedents to organizational commitment (clarity of purpose, equity & fairness, empowerment, congruency, feedback & recognition, autonomy and interesting work) lead to an employee's perception of organizational and supervisory support creating an emotional attachment to the organization (organizational commitment). The antecedents to individual commitment (congruency, feedback & recognition, autonomy and interesting work) lead to meaningfulness of work, career, peers, and self, creating an attachment to ones job, career, and work teams (individual commitment). Organizational and individual commitment results in positive outcomes and implications for the organization and the individual (consequences of commitment).

Commitment in the Workplace Reframed and Performance Implications

If commitment behavior is not transferred from individuals and subgroups to the total organization, dysfunctional behavior can exist among individual employees whose goals are in conflict with the goals of the total organization (Cohen, 2003; Vandenberg & Scarpello, 1994). One example of this is the possible inverse relationship between career commitment and organizational commitment. If the organization is not in line with the employee's career goals, it may cause the employee to be more committed to his or her career rather than the organization, which would have an inverse effect on organizational performance (Cohen, 2003). Commitment in the workplace reframed (See Figure 2) illustrates this issue of conflict which is explained by the extent to which organizations engaging in activities (antecedents) that enhance both organizational commitment (committed to the organization and supervisor) and individual employee commitment (committed to their jobs, careers, work groups) consequences will occur, leading to outcomes of maximization of organizational and individual performance. When the employee is committed at all levels, optimal organizational and individual performance occurs as well as individual employee satisfaction. In organizations where employees are neither committed to the organization nor to their job, careers, and/or work groups, or the organization, distress within the organization may occur leading to organizational performance problems and low performing workers.

Organizations where employees may either be committed to the organization, but not committed at the individual level (i.e. to their jobs or careers) or committed at the individual level, but not committed to the organizational level may experience conflict between organizational values and goals of the employee leading to a status quo performance situation or performance lower than expected.

Figure 2. Reframing of Workplace Commitment

Organizational (Affective) Commitment	Individual Employee Commitment	
	LOW	HIGH
HIGH	<p>CONFLICT Low individual job performance, low satisfaction and motivation. High organizational performance</p>	<p>OPTIMIZATION High individual job performance, High organizational performance, High satisfaction and motivation</p>
LOW	<p>DISTRESSED Low job performance, Low satisfaction, motivation. Low organizational performance</p>	<p>CONFLICT High individual job performance, satisfaction and motivation, Low or average organizational performance</p>

Implications for HRD and Future Research

Lower levels of commitment may indicate a lack of coherent strategies linking human resource development interventions to increasing commitment in the workplace. Human Resource Development's (HRD) principle purpose is to improve organizational performance through increased productivity, efficient work processes, and individual contributions (Swanson & Arnold, 1996). One trend affecting modern HRD practices is greater expectation of meaningful work and employee involvement (McLagan, 1989). A major focus of HRD interventions is an effort to change employee behavior to enhance performance. Commitment of organizations and individuals to each other, the process and the product, is vital to increased productivity and efficiency.

Potential spill over into other areas such as commitment to one's family and nation may provide affects on society at large (Cohen, 2003). If the quality of an employee's attachment to work organizations were low, this would carry certain implications for the basic fabrication of society (Cohen, 2003). Without employee commitment, individuals would lose one very basic source of identity and belonging. When quality of membership status linkages is low in a number of work organizations, the level of productivity and the quality of products and service would be affected (Cohen, 2003, Mowday et al., 1982). The identification of people with the organization can create a larger whole that is often a driving force behind a firm's performance, and its employees' well being (Meyer & Herscovitch, 2001).

References

- Aranya, N. & Ferris, K. R. (1984). A reexamination of accountants' organizational-professional conflict. *The Accounting Review*, 59, 1-15.
- Bashaw, R. E., & Grant, E. S. (1994). Exploring the distinctive nature of work commitments: Their relationships with personal characteristics, job performance, and propensity to leave. *Journal of Personal Selling & Sales Management*, 14, 41-56.
- Becker, H. S. (1960). Notes on the concept of commitment. *American Journal of Sociology*, 66, 32-40.
- Becker, H. S. (1992). Foci and bases of commitment: Are they distinctions worth making? *Academy of Management Journal*, 35, 235-244.
- Blau, G. J. (1995). The measurement and prediction of career commitment. *Journal of Occupational Psychology*, 58, 277-288.
- Bishop, J. W. & Scott, K. D. (1997). How commitment affects team performance (employee commitment). Society for Human Resources, *HR Magazine*, 42, 107-112.
- Brook, P.P., Russell, D.W. & Price, J. L. (1988). Discriminant validation of measures of job satisfaction, job involvement and organizational commitment. *Journal of Applied Psychology*. 73, 139-145.
- Brown, R.B. (1996). Organizational commitment: Clarifying the concepts and simplifying the existing construct typology. *Journal of Vocational Behavior*. 49, 230-251.
- Brown, S. P. & Peterson, A. J. (1993). Antecedents and consequences of salesperson job satisfaction: Meta-analysis and assessment of causal effects. *Journal of Marketing Research*. Chicago, 30, 63-78.
- Carson, K. D., & Bedeian, A.G. (1994). Career commitment: Construction of a measure and examination of its psychometric properties. *Journal of Vocational Behavior*, 44, 237-262.
- Chang, E. (1999). Career commitment as a complex moderator of organizational commitment and turnover. *Human Relations*, 52, 1257-1278.
- Cohen, A. (2003). *Multiple commitments in the workplace: An integrative approach*. Mahwah, NJ: Lawrence Erlbaum.
- Coffman, C. W. (2002). *The critical elements of a performance management system*. The Gallup Organization – September 26, 2002. Available at: <http://gmj.gallup.com/op/article.asp?I=232>. Retrieved: June 2, 2003.
- Colarelli, S. M., Dean, R. A., & Konstans, C. (1987). Comparative effects of personal and situational influences. *Journal of Applied Psychology*. Washington: 72, 558-567.
- Czander, W. M. (2001). *The psychosocial analysis of employee commitment: How organizations induce and destroy commitment*. Available at: <http://www.isps.org/Symposia/Paris/2001czander.htm>. Retrieved: May 21, 2003.
- Darden, W. R., Hampton, R. & Howell, R. D. (1989). *Career versus organizational commitment: antecedents and consequences of retail sales people's commitment*. JAI Press, Inc.
- DeCotiis, T. A., & Summers, T. P. (1987). A path analysis of a model of the antecedents and consequences of organizational commitment. *Human Relations*, 40, 370-380.
- Dubin, R. (1983). Theory building in applied areas. In M.D. Dunnette (Ed.), *Handbook of individual and organizational psychology* (pp. 17-39). New York: John Wiley.
- Ellemers, N., de Gilder, D., & van den Heuvel, H. (1998). Career-oriented versus team-oriented commitment and behavior at work. *Journal of Applied Psychology*, 83, 717-739.
- Gallup Organizations Survey - September 26, 2002. Available at: <http://gmj.gallup.com/op/article.asp?I=232>. Retrieved: June 2, 2003.
- Gould, S. (1979). Characteristics of planners in upwardly mobile occupations. *Academy of Management Journal*, 22, 539-550.
- Greenburg, J. (1994). Using socially fair treatment to promote acceptance of a worksite smoking ban. *Journal of Applied Psychology*, 79, 288-297.

- Gregersen, H. B. & Black, J. S. (1993). Multiple commitments upon repatriation: The Japanese experience. *Journal of Management*, 22, 209- 230.
- Gunz, H. P. & Gunz, S. P. (1994). Organizational influences on approaches to ethical decisions by professionals: The case of public accountants. *Canadian Journal of Administrative Sciences*, Halifax: 19, 76-92.
- Hackman, J.R., & Oldham, G.R. (1975). Development of the job diagnostic survey. *Journal of Applied Psychology*, 60, 159-170.
- Hackman, J.R., & Oldham, G.R. (1976). Motivation through the design of work – Test of a theory. *Organizational Behavior and Human Decisions Processes*, 16, 250-267.
- Hall, D.T. (1971). A theoretical model of career sub-identity development in organizational settings. *Organizational Behavior and Human Performance*, 6, 50-76.
- Holland, J. L. (1985). *Making vocational choices: A theory of vocational personalities and work environments* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.
- Hrebiniak, L.G., & Alutto, J.A. (1972). Personal and role related factors in the development of organizational commitment. *Administrative Science Quarterly*, 17, 555-573.
- Ilgen, D. R., Hollenbeck, J. R., Sego, D. R. & Hedlund, J. (1991). Multilevel theory of team decision-making: Decision performance in teams incorporating distributed expertise. *Journal of Applied Psychology*, 80, 292-317.
- International Institute for Management. (1996). *World competitiveness yearbook, 1996*. Lausanne, Switzerland: IMD Press.
- ISR - International Survey Research. (2001). Retrieved June 23, 2003, from www.isrsurveys.com/en/ser.
- Jamal, M. (1990). Relationship of job stress and Type-A behavior to employee's job satisfaction, organizational commitment, psychosomatic health problems, and turnover motivation. *Human Relations*, 43, 727-738.
- Kaufman, R. (2000). *Mega Planning, practical tools for organizational success*. Thousand Oaks, CA: Sage Publications, Inc.
- Katzenbach, Jon R. (2000). *Peak performance, aligning the hearts and minds of your employees*. Boston: Harvard Business School Press.
- Kidwell, R. E., Mossholder, K. W. & Bennett, N. (1997). Cohesiveness and organizational citizenship behavior: a multilevel analysis using work groups and individuals. *Journal of Management*, 23, 775-794.
- Kim, W.C., & Mauborgne, R.A. (1993). Procedural justice, attitudes, and subsidiary top management compliance with multinationals' corporate strategic decisions. *Academy of Management Journal*, 36, 502-528
- Kiesler, C.A. (1971). *The psychology of commitment: Experiments linking behavior to belief*. San Diego, CA: Academic Press.
- Ko, J.W., Price, J. L., & Mueller, C. W. (1997). Assessment of Meyer and Allen's three component model of organizational commitment in South Korea. *Journal of Applied Psychology*, 82, 961-973.
- Konovsky, M.A., & Cropanzano, R. (1991). Perceived fairness of employee drug testing as a predictor of employee attitudes and job performance. *Journal of Applied Psychology*, 76, 698-707.
- Lodhal, T.M. & Kejner, M. (1965). The definition and measurement of job involvement. *Journal of Applied Psychology*, 49, 24-33.
- Luthans, K. (1998). Using HRM to compete in the 21st century. *Management Quarterly*, 38, 4, 17-23.
- Magenau, J.M., Martin, J.E., & Peterson, M.M. (1988). Dual and unilateral commitment among stewards and rank-and-file union members. *Academy of Management Journal*, 31, 359-376.
- Mathieu, J.E., & Zajac, D.M. (1990). A review and meta-analysis of the antecedents, correlates and consequences of organizational commitment. *Psychological Bulletin*, 108, 171-194.
- McGee, G. W., & Ford, R. C. (1987). Two (or more) dimensions of organizational commitment: Reexamination of the affective and continuance commitment scales. *Journal of Applied Psychology*, 72, 638-642.
- McNeese-Smith, D. (1996). Increasing employee productivity, job satisfaction, and organizational commitment. *Hospital & Health Service Administration*, 41, 160-176.
- McLagan, P.A. (1989). Models for HRD practice. *Training and Development Journal*, 41(9), 49-59.
- Meyer, J.P., & Allen, N.J. (1991). A three-component conceptualization of organizational commitment. *Human Resource Management Review*, 1, 61-89.
- Meyer, J., & Allen, N. (1997). *Commitment in the workplace, theory research and application*. Thousand Oaks, CA: Sage Publications, Inc.
- Meyer, J.P., Allen, N.J., & Smith, C.A. (1993). Commitment to organizations and occupations: Extension and test of a three-component conceptualization. *Journal of Applied Psychology*, 78, 538-551.
- Meyer, J.P., & Herscovitch, L. (2001). Commitment in the workplace: Toward a general model. *Human Resource Management Review*, 11, 299-326.

- Morrow, P.C. (1983). Concept redundancy in organizational research: The case of work commitment. *Academy of Management Review*. 8, 486-500.
- Morrow, P.C. (1993). *The theory and measurement of work commitment*. Greenwich, CT: Jai Press Inc.
- Morrow, P.C., & McElroy, J.C. (1996). Introduction: Understanding and managing loyalty in a multi-commitment world. *Journal of Business Research*. 26, 1-2.
- Morrow, P.C., & Goetz, J. F. (1998). Professionalism as a form of work commitment. *Journal of Vocational Behaviors*. 32, 92-111.
- Morrow, P.C., & Wirth, R. E. (1989). Work commitment among salaried professionals. *Journal of Vocational Behaviors*. 34, 40-56.
- Mowday, R.T., Porter, L. W., & Steers, R. (1982). *Organizational linkages: The psychology of commitment, absenteeism, and turnover*. San Diego, CA: Academic Press.
- Nelson, R. (1999). Low-Cost ways to build employee commitment. *Inc.com*. Retrieved June 22, 2003 from http://www.inc.com/articles/growth/reality_check/reality_check_basics/16412.htm.
- Nouri, H. (1994). Using organizational commitment and job involvement to predict budgetary slack: a research note. *Accounting Organization and Society*. 19, 289-295.
- O'Reilly, C.A. & Chatman, J. (1986). Organizational commitment & psychological attachment: The effects of compliance, identification, and internalization on prosocial behavior. *Journal of Applied Psychology*. 71, 492-499.
- O'Reilly, C.A. & Chatman, J. (1991). People and organizational culture: A profile comparison approach to assessing person-organizational fit. *Academy of Management Journal*. 34, 487-516.
- Person, C.A., & Chong, J. (1997). Contribution of job content and social information on organizational commitment and job satisfaction: an exploration in a Malaysian nursing context. *Journal of Occupational and Organizational Psychology*, 70, 4, 357-375.
- Porter, L.W., Steers, R.M., Mowday, R.T., & Boulian, P.V. (1974). Organizational commitment, job satisfaction and turnover among psychiatric technicians. *Journal of Applied Psychology*. 59, 603-609.
- Rabinowitz, S., & Hall, D.T (1977). Organizational research on job involvement. *Psychological Bulletin*. 84, 265-288.
- Randal, D.M., & Cote, J. A. (1991). Interrelationships of work commitment constructs. *Working and Occupation*. 18, 194-211.
- Reilly, N. P., & Orsak, C. L. (1991). A career stage analysis of career and organizational commitment in nursing. *Journal of Vocational Behavior*. 39, 311-330.
- Rhodes ,S. R., & Steers, R. M. (1981). Conventional vs. worker-owned organizations. *Human Relations*, 12, 1013-1035.
- Rousseau, D. M. (1998). Why workers still identify with organizations. *Journal of organizational Behaviors*. 19, 217-233.
- Swanson, R. A., & Arnold, D. E. (1996). The purpose of human resource development to improve organizational performance in R W Rowden (ed.), *Workplace Learning: Departing the Five Critical Questions of Theory and Practice*. Higher and Adult Education Series. San Francisco: Jossey-Bass.
- TNS Worldwide – Global employee commitment report, (2002). Retrieved June 22, 2003 from, <http://www.tnsofres.com/gec2002/keyfindings/index.cfm>
- Vandenberg, R.G., & Scarpello, V. (1994). A longitudinal assessment of the determinant relationship between employee commitments to the occupation and the organization. *Journal of Organizational Behavior*. 15, 535-547.
- Varona, F. (2002) Conceptualization and management of communication satisfaction and organizational commitment in three Guatemalan organizations. *Online American Communication Journal*. Vol. 5, 3. Retrieved June 30, 2003, from <http://acjournal.org/holdings/vol5/iss3/articles/concept.htm>.
- Watson Wyatt Global Consulting (2003). WorkUSA- weathering the storm: a study of employees' attitudes and opinions. Retrieved June 22, 2003 from <http://www.watsonwyatt.com/research/resrender.asp?id=5557>

Knowledge Sharing in Organizations: An Analysis of Motivators and Inhibitors

Minu Ipe
University of Minnesota

Knowledge sharing has been identified as critical to the management of knowledge in organizations. However, in practice, problems with knowledge sharing have proved to be a major barrier to the effective management of knowledge. This paper reports on research that identified four motivators and five inhibitors of knowledge sharing within one organizational context.

Keywords: Knowledge, Knowledge Sharing, Motivators of Knowledge Sharing

Knowledge is increasingly perceived as being commercially valuable and its ownership is being recognized by individuals and the organizations in which they work (Brown & Woodland, 1999; Weiss, 1999) and therefore, knowledge sharing has been identified as critical to the management of knowledge in organizations. Knowledge sharing connects individuals with the organization by transferring knowledge that resides with individuals to the organizational level where it is converted into economic and competitive value for the organization (Hendriks, 1999). However, knowledge sharing is not an activity that takes place seamlessly within organizations. In practice, problems with knowledge sharing have been identified as a major barrier to the effective management of knowledge in organizations (Hendriks, 1999). This paper reports on factors that function as motivators and inhibitors of knowledge sharing from a larger study on knowledge and knowledge sharing in organizations.

Problem Statement

There is enough evidence to suggest that knowledge sharing is critical to organizations (e.g. Davenport & Prusak, 1998; Hendriks, 1999). However, the dominant idea in the literature related to knowledge sharing is that individuals do not readily share knowledge (Brown & Woodland, 1999; Davenport & Prusak, 1998); and that individuals are motivated to share what they know primarily through financial inducements (Gupta & Govindarajan, 2000; Quinn, Anderson & Finklestein.). These assertions, while they appear to be intuitive, are not based on sufficient in-depth research in multiple organizational settings. This study addressed the need for a comprehensive investigation of knowledge and knowledge sharing in organizations through an in-depth examination of these issues within an organizational setting.

Theoretical Framework

The following sections summarize some key ideas about knowledge sharing and factors that function as motivators and inhibitors of this process in organizations. The objective here is not to provide an exhaustive review of the literature but to give an overview of the prominent ideas in this area that serve as the theoretical framework for this study.

Knowledge sharing between individuals. Knowledge sharing is the process by which individuals make their knowledge available to others. Davenport (1997) defined it as *voluntary* and distinguished it from reporting. While reporting involves the exchange of information based on some routines or structured formats, sharing implies a voluntary act by an individual who participates in the knowledge exchange even though there is no compulsion to do so. According to Hendriks (1999), knowledge sharing suggests a relationship between at least two parties—one that possesses the knowledge and the other that acquires the knowledge. Individuals in organizations have always created and shared knowledge and therefore knowledge sharing was considered to be an activity that took place automatically. Today, there is growing

realization that this is not the case. Knowledge sharing is a dynamic process mediated by complex factors that exist at the organizational, group, and individual levels (Andrews & Delahaye, 2000; Davenport & Prusak, 1998). Despite the importance of the role of individual knowledge and the need for this knowledge to be shared effectively, relatively little empirical research sheds light on how individuals share what they know within their work settings.

Copyright © 2004 Minu Ipe

Dominant ideas about knowledge sharing. Among the factors considered a significant inhibitor of knowledge sharing in organizations is power politics. The phrase *knowledge is power* is used frequently in the context of organizations. Empirical evidence suggests that knowledge is used at the individual level for both control and defense (Brown & Woodland, 1999), and that if individuals perceive that power comes from the knowledge they possess, it is more likely to lead to knowledge hoarding instead of knowledge sharing (Gupta & Govindarajan, 2000). Withholding information from those perceived to be competitors is often considered useful in attaining one's goals in a competitive environment (Pfeffer, 1980). Research further indicates that professionals zealously guard their knowledge, as they perceive that their own value to the firm is a product of the knowledge they possess (Empson, 2001; Weiss, 1999). Issues of power that mediate the relationships between individuals involved in knowledge exchanges is also thought to influence knowledge sharing behavior (Huber, 1982). However, it must be noted that many of these studies were conducted in situations involving organizational restructuring, mergers, and other highly volatile environments.

Equating knowledge with power has fuelled the notion that knowledge is not easily shared within organizations and sufficient incentives need to be provided in order to prompt individuals to share what they know with others within the organization. O'Reilly and Pondy (1980) indicated that there is a positive relationship between rewards and knowledge sharing behavior among individuals. The relationship between knowledge sharing and incentives was further supported by case studies (Gupta & Govindarajan, 2000; Quinn et al., 1996) which found that significant changes had to be made in the incentive system to encourage individuals to share their knowledge, particularly through technology based networks in the organizations. Yet there appear to be inconsistencies in the literature regarding the role of tangible rewards as means to enhance knowledge sharing in organizations. While there are those who perceive rewards and incentives to be indispensable to knowledge sharing, others argued that the only reason that professionals participate in knowledge sharing activities is the intrinsic reward that comes from the work itself (Tissen, Andriessen, Deprez, 1998). There is also some evidence for knowledge sharing that was not motivated by any tangible rewards (e.g. Constant, Sproull, & Kiesler, 1996). Yet others who argued against the use of incentives to share knowledge claim that in the long run, unless knowledge sharing activities help employees meet their own goals, rewards will not help to sustain the system (O'Dell & Grayson, 1998).

Culture is another factor that has proved to have a significant influence on knowledge sharing behavior in organizations. Regardless of how strong an organization's commitment is to knowledge management, it has been found that the influences of the organization's culture are much stronger (O'Dell & Grayson, 1998). Due to the very complex nature and influence of culture, organizational culture is increasingly being considered a major barrier to effective knowledge sharing in organizations (DeLong & Fahey, 2000; Leonard-Barton, 1995). Empirical evidence of the relationship between culture and knowledge sharing was found among other by Leonard-Barton, 1995, and Pan and Scarborough (1999).

Other motivators and inhibitors of knowledge sharing. Other factors that have been identified as influencing knowledge sharing behavior are sensitivity of knowledge (Weiss, 1999), friction (Szulanski, 2000; von Hippel, 1994), reciprocity (Nahapiet & Ghoshal, 1998) and trust (Andrews & Delahaye, 2000; Ghoshal and Bartlett, 1994). The importance of having shared language to facilitate knowledge sharing was identified by several authors (e.g., Blackler, et al., 1998; Nonaka and Takeuchi, 1995; Nahapiet and Ghoshal, 1998; Orr, 1990). While several factors have surfaced from the literature as having an influence on knowledge sharing behavior, empirical evidence for the existence and influence of these factors is sketchy and fragmented. Individual factors that have been identified from different settings and different contexts do not offer a complete understanding of the dynamics that influence knowledge sharing behavior within organizations. This study attempts to address this void by doing an in-depth analysis of motivators and inhibitors within one organizational setting.

Research Questions

The purpose of this study was to understand the factors that motivate and inhibit individuals to share knowledge with others within the context of their work environments. The primary research questions were:

1. What are the individual level factors that motivate and/or inhibit knowledge sharing?
2. What are the motivators and inhibitors that come from organizational policies and formal practices?
3. What are the motivators and inhibitors that are influenced by the culture of the work environment and informal practices?

Method

The focus of this study was on trying to understand knowledge sharing from the point of view of the individuals who worked on the project that was selected as the case of interest for this inquiry. This study was exploring a current phenomenon within a real life setting, making the case study an appropriate research method (Yin, 1994). This study assumes that knowledge and knowledge sharing behavior arise out of and are influenced by the context in which it exists. Therefore it was important to isolate a setting with clearly defined boundaries with a clear context within which to conduct this study. Merriam (1998) further supports the use of the qualitative case study as an appropriate method when the researcher is interested in “insight, discovery, and interpretation rather than hypothesis testing” (p.10).

The case. The primary unit of analysis was a project from a Midwest based division of an Information Technology (IT) Services company. Members of the project team were involved in designing, developing, and implementing a new technology based system that would significantly improve the services provided by the company. This particular project was selected for this study because (a) it was an active project involving a cross-functional team, (b) all members of the project team were professionals who would be considered *knowledge workers* as each of their areas was knowledge intensive, (c) the progress of the project and its ultimate success was fully dependent on how individuals with different backgrounds and areas of expertise shared their knowledge with one another, and (d) it provided the researcher with adequate access to collect data. This project also allowed the researcher to focus on one specific group of people who worked together, providing both a clear context and clear boundaries. The project team had just begun the implementation phase when the active data collection process began for this study.

Sources of data. An advantage of the case study method is that it allows for multiple sources of data, providing for data triangulation and validation of findings (Yin, 1993). Four sources of data were collected for this study. (1) Observation of 13 team meetings, (2) a sample of 40 e-mails exchanged by team members related to the project, (3) key documents related to the project (4) interviews with 22 members of the team.

Data collection process. Data was collected over a period of five months from June to October, 2002. The data collection instruments used in this study drew their focus from the theoretical framework that was created prior to data collection. Observational data was collected by the researcher who attended project meetings as a non-participant observer. All the project team members were informed about the objectives of the study as well as the researcher's objectives as an observer at the meetings. Key project documents and a sample of project related e-mails were obtained from project members. Interviews were conducted with 22 team members, each lasting about an hour and a half. All interviews were transcribed with the permission of the participants and sent back to them for verification. The interview schedules used for the study were designed by the researcher and pilot tested with two individuals from the same organization. An expert in the area of qualitative research also reviewed the interview schedules.

Data analysis. Data analysis focussed on uncovering the factors that functioned as motivators and inhibitors of knowledge sharing within the project team. Thematic analysis of data was conducted using the qualitative data analysis tool, *Nvivo*. Each data source was analyzed independently to begin with using sentences as the primary unit of analysis. Guba's (1978) steps for analysis of qualitative data—convergence and divergence, guided the process of data analysis. Convergence involved creating a classification system for the data to identify the things that fit together. Divergence refers to the process of developing the patterns that emerge from the data. All the findings that emerged from the study were shared with the participants and their feedback and verification was sought. The findings were also validated by *methods triangulation* (Patton, 1990), checking the consistency of findings across the different sources.

Results

Four motivators and five inhibitors of knowledge sharing were identified in this study. The four motivators of knowledge sharing were (a) a feeling of being valued, (b) informal relationships with team members, (c) commitment to the project, and (d) a sharing climate within the team.

A feeling of being valued. There was clear recognition among individuals of the knowledge they brought to the team and therefore the value they were able to add to the project. The most important motivator to sharing knowledge within this group was an individual's perception of being valued by others in the group as well as in the organization. This feeling of being valued was manifested through several means: (a) being recognized by peers for

contributions made to the team, (b) having ones opinions and knowledge solicited by team members, (c) having ones expertise in a specific area acknowledged by team members, and (d) the perception of being treated with respect during interpersonal interactions. The example below illustrates what recognition of an individual's expertise by team members mean to them and how it resulted in their willingness to share more with others.

I guess it gives you more confidence inside that says, If I say something to people they'll listen and they'll believe me. They won't question or doubt what I'm saying.

Soliciting someone's knowledge while recognizing their expertise proved to be a very positive factor for knowledge sharing within the project team. As one individual said:

There were times when I would go and specifically say, "I know that you're very good at this, you know. And can you help me understand what this means or can you help me understand what you do." ...To let them know that I know "I'm not the expert in your area and I'm not trying to be the expert in your area. So why don't you help me?" ... "I respect what you are doing on this project because I know you are good at what you do" and that seemed to help.

Informal relationships with team members. Having informal relationships with team members outside of their roles within the project was another factor that motivated individuals to share knowledge. Informal relationships allowed individuals to seek out other members of the team either to share their inputs or seek clarifications on things that they were not clear about. Such relationships also facilitated the sharing of knowledge in social settings outside of work. In fact, opportunities to socialize outside of work strengthened informal relationships, which in turn facilitated the knowledge sharing process. One team member described how this worked:

You know, I guess from my perspective, I've always tried to connect on a personal level, because I think when people feel like they're connected that way, they tend to share more than in their business meetings as well.

Informal relationships with team members also created awareness of other individuals' skills, abilities, and strengthened the social web within the organization. Individuals who knew the skills and knowledge sets of their team members proved vital to the efficacy of knowledge sharing within the team. As one participant described:

I would say my knowledge was greater in pointing to other people's knowledge. Like I knew enough people, and I knew what their skill sets were, and I knew the different areas that they've worked in. A lot of times I think I was a bigger asset on, "Why don't you go talk to such-and-such because I know that they've worked on, you know, X, Y and Z before and this is very similar."

Commitment to the project. A key motivating factor to share knowledge on this project was individuals' commitment to the project—a desire to contribute meaningfully to the project and ensure its success. Most individuals on the team had worked on the project since its inception and were therefore committed to seeing it through. Many individuals were selected for this important project because the organization valued them. So it was also a matter of professional pride for them to ensure that this project was completed successfully. Commitment to the project was manifested in individuals by (a) wanting the project to be successful, (b) valuing commitment in team members, and (c) valuing individual and group learning. One individual described how commitment to the project was a key motivator of knowledge sharing.

...I want this to be good.... So that I think is what keeps me going and knowing that what I'm doing is providing value to the team.

Most team members agreed that they tended to share more with those who demonstrated a high degree of commitment to the project. As one individual explained:

People that I tend to share with are people that do care about the project. They are not just doing their job, but they are looking out for improvements that we can make. They are helping me do my job. If there are issues, if there are questions they are ready to roll up their sleeves too.

Sharing climate within the team. Most of the participants talked about the openness within the team and how that facilitated knowledge sharing throughout the project. Since team members had been working on this project for a long time, they had opportunities to get to know most of the others on the team and many had built strong informal relationships with each other. One individual described the working climate within the team:

I think this is a pretty good group. I think we've evolved. It seems like there is a lot of snags here, but as far as communicating amongst the team and working with the team, it's been pretty good. Everyone's willing to share what they know and pull their weight, do their end of the project.

Valuing expertise in others not only functioned as a direct motivator of knowledge sharing; it also enhanced the sharing climate within the team. One individual described how the group was receptive to the knowledge that experts brought to the team.

It was a good group of people to work with and they were very open to having data administration involvement to help them come up with the terminology and to come up with how made it sense to organize this data. So it

worked out very well and I don't feel like I really had to step on any toes to establish myself. The group was very open to what I could provide to the team.

Five factors emerged as inhibitors of knowledge sharing on this project. The factors are lack of shared contexts, tacit nature of knowledge, dependence on individuals' abilities to manage the sharing process, cost of sharing, and project setup process and structure.

Lack of shared contexts. The most frequently cited inhibitor of knowledge sharing within this group was the lack of shared contexts between individuals from different backgrounds and business areas. Shared contexts refer to having a high level understanding of what each group does within the project and how this relates to the overall business context and project goals. Individuals from different backgrounds and different areas of expertise often approach issues from different perspectives and have to create a common language before they are able to communicate effectively with each other. Shared contexts were not only a function of similar backgrounds and training but also of tenure in the company and the industry. Lack of shared contexts influenced knowledge sharing most significantly in the initial stages of the project when the requirements were being identified. Shared contexts continued to evolve through the life of the project. The lack of shared contexts inhibited knowledge sharing because (a) individuals from different backgrounds had different perspectives, (b) there was a lack of common industry knowledge among team members, (c) there was a lack of a common language for communication among team members, and (d) there was a lack of absorptive capacity in recipients. The following examples illustrate how the lack of shared contexts inhibited knowledge sharing.

I think when it comes to the technical side, the development side, sometimes it's hard to ask them about how things work from a technical stand point when you're very non-technical. So say a customer comes to me or for part of this project I need to understand something technical and I maybe write an e-mail to [a developer] or [the chief designer] and their response will not be at all what I was expecting. Like they did not understand where I was coming from so I have to rephrase it or stop by and just try to explain. It's like pulling teeth sometimes. So it is challenging, it's just a matter of prying and prodding and re-wording and trying to get what you need... because it's just a different world. Their understanding of the system is the code behind it and to me it's the screens, its what the user puts into it. That's the challenging part.

Another participant said:

In this project I felt that on a really higher level you can share, but as you go down deeper it's not possible because it's so varied and the things that people work on are so varied. We cannot share it with everybody, but with only a certain number of people.

Tacit nature of knowledge. Individuals carry knowledge in both tacit and explicit forms. Much of the knowledge that individuals possess tends to be tacit in nature, especially as individuals move up the ladder from novices to experts. Since many of the individuals selected to be part of the project team were those considered experts in their areas, it was clear that they were bringing with them a significant amount of tacit knowledge based on their experiences in their areas of specialization. This tacitness of knowledge negatively influenced individuals' abilities to share what they knew with others. One individual described how hard it was to document a process that was part of the knowledge base of another individual who had expertise in that area.

So that was one of the times when it was very intense where we would sit down and I would document how--what a score model consists of and then how its processed. Step by step. It was very tedious and very difficult because he knew it very well but he had a hard time communicating it. Because it is just in his head. You know, its just one of those things where "I don't how we do it, we just do it". And that's really difficult to work with.

When you're trying to ask these questions and starting from ground zero.

Another individual pointed out that tacit knowledge, since it is not easily captured in any tangible format, is not easily shared between individuals.

I think that's an issue because people retain all this information in their head instead of in a document someplace so that its not easily exchanged on to the next person.

Dependence on individuals' abilities to manage the sharing process. In situations where individuals lacking shared contexts had to come together to share specialized knowledge, much of the success of the sharing effort depended on the abilities of individuals to communicate with team members. These abilities related to structuring and sharing knowledge in a manner that was easily absorbed by others within the team. Most of the participants talked about the conscious effort involved in assessing the knowledge needs of other team members and the effort and time spent in structuring their communication so that it was effective. Effective sharing of knowledge involved the ability to adapt to and develop multiple strategies of sharing to ensure that everyone on the team had a basic understanding of critical issues related to the project. One participant spoke about the importance of making a conscious effort to share the same knowledge differently with individuals from different backgrounds.

...it goes back to that breaking it down into plain English as best you can...I would say I've got the ability to take technical information and translate it into a form that different groups can understand. So, yeah, you'd have to make that conscious effort to switch gears so to speak when you're going between two different groups.

Another individual explained how finding a medium of sharing that worked for most members helped the sharing of knowledge that would otherwise be challenging.

...And I realized quickly with this team that most of the people were visually oriented. And I find that drawing pictures helps [the team] gain some perspective on complex situations

Cost of sharing. The primary costs involved in knowledge sharing were time and effort. Individuals on this project were conscious of the costs of sharing and wherever possible were keen to minimize these costs for themselves. Individuals were particularly conscious of the high cost of sharing in those situations related to (a) the perceived utility of shared knowledge:

Like someone coming and asking me--asks me to explain stuff to him or her at a microscopic level. It doesn't make sense. You don't even care. You are not going to work on it or anything like that at that level. It's my job. And I'm wasting my time explaining to him because I know that it's completely useless to him and explaining this to him is completely useless to me.

(b) cost of sharing with individuals who should already have known it:

The only time I get frustrated is when you share it once and you're expected to share again with that same person. That's kind of frustrating. Granted people don't always remember everything, I mean, I tell you something once. You go away. You come back. I tell you something again. That's okay still, but the third and fourth time is when it's like, "Okay, how many times do I have to explain this to you?"

Project setup process and structure. While the openness within the team and the relationships shared by individuals were motivators of knowledge sharing, some aspects of the structure of the process obstructed the smooth flow of knowledge at times. Some issues with the project structure included the setup processes involved in the initial stages of the project, and project practices that developed over the project life cycle. Issues with the project setup process and structure was manifested in three areas: a) not knowing all team members, (b) not having clarity on roles and responsibilities, and (c) lack of awareness of developments on the project. One individual described how early on in the project, not knowing all team members resulted in ineffective knowledge sharing that resulted in a lot of rework for the team.

Initially when [one group] were building the strategies and all that, things used to go haywire. And we did not know what was happening and the communication was really, really bad. It was like basically nobody knew what was happening and nobody knew who was on the team. I think that one of the reasons was because we were at two different locations and we never had any face to face meetings or anything like that. We did not have any track of what was happening and there were too many gaps. We had to redo a lot of stuff because of those gaps.

During the early stages of the project, developments on the project were often not shared with the whole team and this resulted in some individuals feeling like they could have contributed more of what they knew if they had been given a chance to do so.

I and the rest of the consultants didn't get a whole lot of input on it. You know, we have ideas that maybe [the business owner] didn't have or the programmers or anyone else... So maybe we should have been brought in and like said "are we on track? Here's what we've done so far". Kinda run it by different groups and get their feedback. And do that periodically.

Discussion and Conclusion

The findings of this study revealed some new factors that have not been identified in the literature so far while confirming some other well known motivators and inhibitors of knowledge sharing. The literature in this area overwhelmingly favors the *knowledge as power* notion, suggesting that individuals who recognize the value of their knowledge are not very likely to share it with others around them. In contrast, this study found that while individuals within the project group were aware of the knowledge and expertise they brought to the project team and the value of their knowledge, this awareness did not result in knowledge hoarding. It was found that individuals were motivated to share their knowledge with others so long as others in the team recognized them and the contribution they were making to the team. The willingness of individuals to share what they knew with others despite empirical evidence supporting knowledge hoarding and the need for monetary rewards indicates that the process of knowledge sharing is far more complex than it is generally thought to be. This finding points to the need for HRD professionals to consider designing recognition and reward systems linked to knowledge sharing that are not focussed only on tangible reinforcements. However, it must be noted that the results of this study cannot be generalized to a wider

population due to the research method. More research is required to verify if the results of this study are consistent with motivators and inhibitors of knowledge sharing in different organizational settings.

An important issue in the literature regarding knowledge intensive work and knowledge workers is the commitment of knowledge workers to their work vis-a-vis their organizations. Several authors have suggested that knowledge workers are more likely to be committed to their professional groups than to the organization in which they are employed (e.g., Quinn, et al, 1996; Zuboff, 1988). This study provides some empirical evidence regarding the commitment of knowledge workers to their organizations and the impact of this commitment on knowledge related behaviors in organizations. More research is required to verify these findings in multiple organizational settings.

The results of this study reinforce the importance of organizational cultures and sub-cultures in maintaining and nurturing an environment that supports knowledge sharing. It also pointed to the fact that informal relationships between individuals who work together not only create a social web within the organization but also has a direct impact on knowledge sharing behaviors of individuals within work teams. The field of HRD has an important role to play in nurturing and managing organizational cultures that facilitate knowledge sharing. While more research is required to tease out those elements that directly influence knowledge sharing, practitioners can focus on building initiatives that support the creation of strong social webs within organizations based on what is already known in this area.

The influence of individuals' abilities on the sharing process within the team is an important finding. The influence of individuals' abilities on the effectiveness of the knowledge sharing process reinforces the importance of the role of individuals in knowledge-related activities and initiatives in organizations. Bonner (2000) suggested that HRD could exert more strategic influence within the firm through involvement with knowledge related initiatives. HRD's traditional role of developing human expertise and advancing organizational learning can be extended to the management of knowledge in organizations by maximizing motivators while controlling or trying to work around inhibitors of knowledge sharing.

References

- Alvesson, M. (1993). Organizations as rhetoric: Knowledge-intensive firms and the struggle with ambiguity. *Journal of Management Studies*, 30(6), 997-1015.
- Andrews, K. M., & Delahaye, B. L. (2000). Influences on knowledge processes in organizational learning: The psychological filter. *Journal of Management Studies*, 37(6), 2322-2380.
- Bhatt, G. D. (1998). Managing knowledge through people. *Knowledge and Process Management*, 5(3), 165-171.
- Blackler, F., Crump, N., & McDonald, S. (1998). Knowledge, Organizations and Competition. In G. von Krogh & J. Roos & D. Kleine (Eds.), *Knowing in firms: Understanding, managing and measuring knowledge* (pp. 67-86). London: Sage Publications.
- Bonner, D. (Ed.). (2000). *Leading knowledge management and learning*. Alexandria, VA: American Society for Training and Development.
- Brown, R. B., & Woodland, M. J. (1999). Managing knowledge wisely: A case study in organizational behavior. *Journal of Applied Management Studies*, 6(2), 175-198.
- Constant, D., Sproull, L., & Kiesler, S. (1996). The kindness of strangers: The usefulness of electronic weak ties for technical advice. *Organization Science*, 7(2), 119-135.
- DeLong, D. W., & Fahey, L. (2000). Diagnosing cultural barriers to knowledge management. *The Academy of Management Executive*, 14(4), 113-127.
- Davenport, T. H. (1997). *Information ecology*. New York: Oxford University Press.
- Davenport, T. H., & Prusak, L. (1998). *Working knowledge: How organizations manage what they know*. Boston, MA: Harvard Business School Press.
- Empson, L. (2001). Fear of exploitation and fear of contamination: Impediments to knowledge transfer in mergers between professional service firms. *Human Relations*, 54(7), 839-862.
- Gupta, A. K., & Govindarajan, V. (2000). Knowledge management's social dimension: Lessons from Nucor Steel. *Sloan Management Review*, 42(1), 71-80.
- Guba, E.G. (1978). *Toward a methodology of naturalistic inquiry in educational evaluation*. CSE Monograph Series in Evaluation no. 8. Los Angeles: University of California, Center for the study of evaluation.
- Hendriks, P. (1999). Why share knowledge? The influence of ICT on the motivation for knowledge sharing. *Knowledge and Process Management*, 6(2), 91-100.
- Huber, G. (1982). Organizational information systems: Determinants of their performance and behavior. *Management Science*, 28(2), 138-155.

- Leonard-Barton, D. (1995). *Wellsprings of knowledge: Building and sustaining the source of innovation*. Boston: Harvard Business School Press.
- Merriam, S. B. (1998). *Qualitative research and case study applications in education*. San Francisco: Jossey-Bass.
- Nahapiet, J., & Ghoshal, S. (1998). Social capital, intellectual capital, and the organizational advantage. *Academy of Management Review*, 23(2), 242-267.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge creating company: How Japanese companies create the dynamics of innovation*. New York: Oxford University Press.
- O'Dell, C., & Grayson, C. J. J. (1998). *If only we knew what we know*. New York: The Free Press.
- O'Reilly, C., & Ponds, L. (1980). Organizational Communication. In S. Kerr (Ed.), *Organizational Behavior*. Columbus, OH.
- Orr, J. E. (1990). Sharing knowledge, celebrating identity: Community memory in a service culture. In D. S. Middleton & D. Edwards (Eds.), *Collective remembering: Memory in society* (pp. 169-189). Beverly Hills, CA: Sage.
- Pan, S. L., & Scarbrough, H. (1999). Knowledge management in practice: An exploratory case study. *Technology Analysis and Strategic Management*, 11(3), 359-374.
- Pfeffer, J. (1980). *Power in organizations*. Marshfield, MA: Pitman.
- Szulanski, G. (2000). The process of knowledge transfer: A diachronic analysis of stickiness. *Organization Behavior and Human Decision Processes*, 82(1), 9-27.
- Tissen, R., Andriessen, D., & Deprez, L. F. (1998). *Value-based knowledge management: Creating the 21st century company: knowledge intensive, people rich*. Amsterdam: Addison-Wesley Longman.
- Weiss, L. (1999). Collection and connection: The anatomy of knowledge sharing in professional service firms. *Organization Development Journal*, 17(4), 61- 67.
- von Hippel, E. (1994). 'Sticky information' and the locus of problem solving Implications for innovation. *Management Science*, 40(4), 429-439.
- Yin, R. K. (1993). *Applications of case study research* (Vol. 34). London: Sage.
- Yin, R. K. (1994). *Case study research: Design and methods* (2nd ed, Vol. 5). London: Sage.
- Zuboff, S. (1988). *In the age of the smart machine: The future of work and power*. New York: Basic Books.

Knowledge Management Leadership: Exploring the Role of the Chief Knowledge Officer

*Tina M. Chindgren
Perkins Learning Solutions*

The chief knowledge officer (CKO) provides leadership as a technologist and as a shaper of organizational culture and information exchange. Through a review of the literature, the CKO role is explored by comparing and contrasting five sources. As more and more organizations use competency models to select, evaluate and develop their knowledge manager, this presentation of CKO roles may be used as a starting point for discussion and a building block for identifying CKO competencies.

Keywords: Knowledge Management, Chief Knowledge Officer, Competencies

"In today's service-oriented, information-intensive economy, intellectual capital is a critical resource that can help [organizations] forge sustainable, renewable, competitive advantage. Like financial capital, it must be accumulated, cultivated, and managed in an active and thoughtful way. But unlike financial capital, it is routinely squandered by even the most competent [organizations]" (Pemberton, 1997, p. 67). Pemberton (1997) is one of many who believe that *knowledge* has become intellectual capital, a manageable resource (Earl & Scott, 1999; Rifkin, Fineman, & Ruhnke, 1999; St. Leon, 2002). As more and more organizations formalize a leadership role to oversee their intellectual capital or knowledge resources, the chief knowledge officer (CKO) position has appeared. The CKO provides leadership as a technologist, understanding which technologies can contribute to capturing, storing, exploring, and sharing knowledge, while also creating social and environmental conditions that stimulate and facilitate deliberate knowledge creation and exchange (Earl & Scott, 1999).

My original research interest was to identify CKO competencies, but there was very limited information in the literature that provided a comprehensive and validated CKO competency model. Furthermore, there was no consensus in the literature about CKO roles – a necessary building block for a CKO competency model. As a result, my research focus moved to defining the CKO roles in contemporary organizations, recognizing that environmental (e.g., global competition, information explosion, budget fluctuations) and organizational (e.g., trust among units, type of industry, support from stakeholders) factors will *customize* role descriptions. To this end, I have compared and contrasted five sources that identify key roles for the CKO. The paper also provides an overview of the evolution of knowledge management and highlights the theme of leadership (i.e., the CKO) in the current evolutionary phase. Finally, the paper introduces a definition of a competency as a springboard for future research in CKO competency models.

Knowledge Management

von Krogh (Keursten & van der Klink, 2003) believes there have been three main stages in the evolution of knowledge management. In the beginning, there was a strong emphasis on technology. The technology facilitated "locating and capturing knowledge and making knowledge explicit" (p. 119). According to Williams and Bukowitz (1997, p. 77) organizations used technology to "create a database" to respond to an organizational problem. Yet, databases resulted in additional problems such as, "Which database is the information in?...What does [the] document mean anyway?...Why has it taken me three hours to find it?" (p. 77). Users often concluded that picking up the telephone and talking to someone would provide a quicker response.

Williams and Bukowitz (1997, p. 77) report that despite the promises of information technology, "people will continue to be the key to delivering the right information to the right place at the right time." During the second stage of the knowledge management evolution, organizations promoted sharing of knowledge among individuals and between teams. von Krogh (Keursten & van der Klink, 2003) illustrated this stage by citing the rise in popularity of cross-functional teams to work on common issues and the development of communities of practices to promote discussion across work groups.

In the third and current stage, von Krogh (Keursten & van der Klink, 2003, p. 120) believes that organizations need to be entrepreneurial and innovative, "focus[ing] on developing new knowledge quickly: from using best practices to developing new practices." Since the emphasis is placed on knowledge creation, organizations must pay

Copyright © 2004 Tina M. Chindgren

more attention to how their culture enables the development of knowledge. This stage is more than managing knowledge, but rather, creating the cultural conditions to foster its development.

Leadership: The Chief Knowledge Officer Role

As the evolution of knowledge management moves from technology to structure to culture, delegating a leader to manage the strategy, processes, and cultural transformation would support organizations in meeting their service or product goals. As more organizations recognize that people – not information technology (IT) – are at the center of their knowledge systems, an increasing number of organizations have created a new position, the knowledge manager, to lead their efforts (Bonner, 2000; Earl & Scott, 1999).

A review of the literature provides a range of knowledge manager position titles including knowledge activist, director of intellectual capital, strategic knowledge manager, director of knowledge transfer, and global director of intellectual asset/intellectual capital management (Davenport & Prusak, 2000; Duffy, 2001; Nonaka & Konno, 1998). In many organizations, the knowledge manager is better known as the chief knowledge officer (CKO) (Earl, 1999). Davenport & Prusak (2000) report that instead of CKO, some organizations have created chief learning officers (CLO), a related role that entails both knowledge management and organizational learning. Bonner (2000) compiled eighteen cases about organizations who are using a knowledge manager and she groups the CKO and CLO positions together when discussing roles, responsibilities, and daily activities.

Pemberton (1997) distinguishes the CKO role from the chief information officer (CIO) by referring to McGee (1996, p. 94) cited in *Information Week*, “while the CIO...is typically interested in data, the CKO...must identify what corporate knowledge needs to [be] retained and built on.” The CIO is more interested in the how of information distribution (i.e., the process, such as via technology) whereas the CKO is focused more on the what (i.e., content) and who (i.e., needs access to the content). The CKO, however, must understand the use of technology in order to combine content and process effectively. Earl and Scott (1999) add that although there is often a CIO where there is a CKO, the reverse is not always true. Tiwana (2002) describes the CIO as providing general IT oversight, managing the development of systems, connectivity, and IT support. He believes the CIO may not be entrepreneurially oriented, but the CKO must be. Individuals who serve in CKO positions provide subject matter experience from such diverse fields as academia, new product development, information science, records management, IT, human resources, finance, marketing, journalism, research and learning (Pemberton, 1997; Tiwana, 2002; Williams & Bukowitz, 1997).

Many factors influence how the CKO role is used and valued within an organization. Factors include the size of organization, product or service orientation, availability of technology resources, trust among staff members, and leadership's support. In addition, there are some private sector organizations that have been more strategic in tying knowledge management to their bottom line (i.e., profit) during the past decade than others (Bonner, 2000). In addition, there are some Federal agencies that have a history of capturing, codifying, and storing information, even if it was not considered “knowledge management.” For instance, the primary product of the Central Intelligence Agency (CIA) is knowledge that is used by the President and policymakers. Today, the CIA has an active CKO role (Bonner, 2000). Perhaps as Kurtzman (1996, p. 20) asserts, “organizations which manage knowledge best are those whose survival and prosperity depend upon it.”

Comparison of CKO Role Descriptions

In reviewing the literature about CKO-related role descriptions, it was apparent that there is little consistency in how *role* is defined. For instance, Davenport and Prusak (2000) cited *tasks* (e.g., provide critical input to the process of knowledge creation) and Bonner (2000) identified CKO *activities* (e.g., align or integrate diverse functions or groups). Others cited *characteristics* (e.g., comfort with the primary operational processes of the business) needed by CKOs. In addition to the challenge of distinguishing among tasks, activities, and characteristics, some roles were broadly defined (e.g., provide leadership and strategy), while others were more narrowly defined (e.g., evangelize the nature and value potential of knowledge). Lastly, there were few CKO role descriptions that used the same words or descriptors, so it was necessary to analyze the descriptions for similarities. Most CKO role descriptions are generic and apply to most knowledge managers, regardless of position title or type of organization. The array of CKO role descriptions is likely because the role is so new that the individuals who fill these roles generally are in the process of building their job, “and they often do so without blueprints or models” (Bonner, 2000, p. 12). For the purpose of this paper, role is defined as the “expected-perceived-enacted behavior patterns attributed to a particular job or position” (Kissler, 1991, p. 261).

Using Kissler's definition of role, I selected five sources and compiled a list of role descriptions. I selected these sources to review and compare for three reasons. First, I wanted to include both academic and industry/practitioner perspectives about knowledge management in the public and private sectors. Second, I included the Federal Knowledge Management Group (Federal KM Group) because their research focused on the roles in a public sector organization. (The Federal arena is the context I am most interested in.) This group appears to be the first to capture and share the framework of knowledge management in the government, addressing Federal organization's structures, systems, and cultures. Because it is the most comprehensive presentation of CKO roles, the Federal KM Group research provides the benchmark that the other four sources are compared against. Third, all five sources attempted to document CKO roles by exploring tasks, activities, and characteristics. Although none of the five individually provide a comprehensive picture of what a CKO does, each researcher's snapshot contributes to a richer image of a CKO in the workplace today. Table 1, Summary of CKO Roles, presents the list of CKO roles identified by the Federal KM Group (2000) (industry literature), Davenport and Prusak (2000) (academic and industry literature), Earl and Scott (1999) (academic and industry literature), Pemberton (1997) (academic and industry literature), and Bonner (2000) (industry literature).

Results & Findings

The CKO role entails a combination of technological, psychological, and business responsibilities. To illustrate this combination, Table 1, Summary of CKO Roles, reflects the actual words used in the literature to describe the role. The columns represent the five literature sources. Each row reflects an aspect or component of the CKO role. Blank rows indicate that the literature did not explicitly address the aspect or component of the role.

Table 1. *Summary of CKO Roles*

Federal KM Group (2000) <i>Focus is on public sector</i>	Davenport and Prusak (2000) <i>Focus is on private sector</i>	Earl and Scott (1999) <i>Focus is on private sector</i>	Pemberton (1997) <i>Focus is on private sector</i>	Bonner (2000) <i>Focus is on both sectors</i>
1. Provide leadership and strategy	<ul style="list-style-type: none"> • Advocate or “evangelize” for knowledge and learning • Manage relationships with external providers of knowledge and negotiate contracts with them • Lead the development of knowledge strategy, focusing the firm’s resources and processes 	<ul style="list-style-type: none"> • Evangelize the nature and value potential of knowledge and sell the benefits to both corporate and line/local management • Initiate customized KM projects to respond to knowledge gaps 	<ul style="list-style-type: none"> • Be the liaison between the organization and external suppliers of knowledge 	<ul style="list-style-type: none"> • Visionary or champion role for KM • Strategic planning and implementation • Partnerships with senior managers and others
2. Secure resources				

Table 1 continued

Table 1. *Summary of CKO Roles*

3. Create and use taxonomy (common language)	<ul style="list-style-type: none"> Design and implement a firm's knowledge codification approaches 	<ul style="list-style-type: none"> Capture, codify, store, protect knowledge 		<ul style="list-style-type: none"> Knowledge-content activities (contributed to or managed the capture, share, and retention activities)
4. Champion education	<ul style="list-style-type: none"> Manage the organization's professional knowledge managers, giving them a sense of community, establishing professional standards, and managing their careers 		<ul style="list-style-type: none"> Advocate learning and knowledge development 	
5. Provides tools and technology	<ul style="list-style-type: none"> Design, implement, and oversee a firm's knowledge infrastructure 	<ul style="list-style-type: none"> Use technology and physical space to facilitate explicit and tacit knowledge exchange. 	<ul style="list-style-type: none"> Design, implement, and oversee a firm's knowledge infrastructure 	
6. Use incentives and rewards	<ul style="list-style-type: none"> Build a knowledge culture 			
7. Champion communities of practice	<ul style="list-style-type: none"> Build a knowledge culture 	<ul style="list-style-type: none"> Promote and manage the construction of social interaction, reflection, and conversations. 		<ul style="list-style-type: none"> Leverage corporate-wide learning and/or knowledge Align or integrate diverse functions or groups
8. Create knowledge-sharing culture	<ul style="list-style-type: none"> Build a knowledge culture 	<ul style="list-style-type: none"> Promote and manage the construction of social interaction, reflection, and conversations. 	<ul style="list-style-type: none"> Work to break down the natural reluctance to share information and foster an environment in which collaboration and teaming can thrive 	<ul style="list-style-type: none"> Development of culture for acceptance of the following: organizational learning, continuous learning, or KM
9. Promote "best" practices				<ul style="list-style-type: none"> Best practices or benchmarking

Table 1 continued

Table 1. Summary of CKO Roles

and processes				studies (either utilize previous ones or design new ones)
10. Measure outcomes	<ul style="list-style-type: none"> • Manage relationships with external providers of knowledge and negotiate contracts with them • Measure and manage the value of knowledge 	<ul style="list-style-type: none"> • Measure and protect intellectual capital 		<ul style="list-style-type: none"> • Knowledge-content activities (contributed to or managed the capture, share, and retention activities) • Best practices or benchmarking studies

In reviewing the preceding table, the reader will notice that although CKO roles differ in the literature, there are several common themes. First, the CKO is a technologist. Second, the CKO organizes a broad range of material so that it will be meaningful to users (e.g., codifying knowledge). Third, the CKO fosters knowledge sharing and community of practice development by providing resources and structures that help people communicate. Davenport and Prusak (2000, p. 115) articulate what is illustrated by the table, “that of all the CKO responsibilities, three are particularly critical: building a knowledge culture, creating a knowledge management infrastructure, and making it all pay off economically.”

Since viewing knowledge management as a conscious practice is relatively new, these responsibilities suggest the need for *change management*. Change management can address the power and political dynamics of the organization and communicate the need for change that will result in a culture that fosters knowledge management (Burke, 1992). Although the Federal KM Group provided the most comprehensive list of CKO roles, they did not include change management as a part of the CKO role. In fact, out of the five sources, only Bonner (2000) identifies it as a core CKO role. Although some organizations have an organizational development (OD) manager who is responsible for planning and implementing change, the CKO must still be concerned about change management.

Much like Tiwana (2002), Davenport and Prusak (2000) emphasize the CKO’s role in *improving infrastructure and processes*. For Davenport and Prusak (2000), building a knowledge culture incorporated several aspects or components of the CKO role identified by the Federal KM Group: *Creating a knowledge-sharing culture, using incentives and rewards, and championing communities of practice*, in addition to *championing education*.

Bonner (2000) examines eighteen CKOs and the table reflects the roles that all or almost all of the CKOs demonstrated. Her research (2000) yields two additional roles that were not identified by the other researchers: *provide a customer service orientation* and *identify critical areas for improvement or conducting needs analysis* (as distinct from measuring outcomes or results). These aspects may be indirectly included in the CKO roles, but are not explicitly cited by the other researchers.

For Earl and Scott (1999), a significant component of the CKO role is providing leadership. They believe that a CKO must identify and interact with four types of managers: those who are excited about a particular knowledge management project (knowledge champions), those who will publicly comment positively about knowledge management (knowledge sponsors), those who are hostile to knowledge management and/or the appointment of a CKO (knowledge skeptics), and those who are allies in knowledge management implementation (knowledge partners).

Conclusion & Recommendations

Table 1, Summary of CKO Roles, reflects that much of the CKO role is a leadership role. Clearly, the CKO must demonstrate unique, role-specific responsibilities (e.g., knowledge management strategy development, knowledge codification, knowledge infrastructure and technologies). Yet, much of what a CKO does is leadership, regardless of the role-specific responsibilities. Chindgren and Callahan (2002) describe leadership as a role that leads towards goal achievement, involves interaction and influence, and usually results in some form of changed structure or

behavior of groups, organizations, or communities. Strength of personality and ability to persuade or effect compliance are critical variables in the effectiveness of leaders, but their relative influence depends on time and circumstance. This leadership definition intersects with what is currently being identified as leadership competencies in the workplace.

Intellectual capital represents an element of organizational wealth within this knowledge-based society (St. Leon, 2002). King, Fowler, and Zeithaml (2001) believe the most fundamental strategic resources in any organization are the competencies the employees have developed over time. These competencies combine skills and abilities grown by experience in occupational units or roles, with explicit and tacit knowledge. In order to respond to organizational challenges such as evolving technology, information explosion, and budget fluctuations, competencies are gaining¹ more importance in employee development (Berge, de Verneil, Berge, Davis, & Smith, 2002; Davenport & Prusak, 2000; Keursten & van der Klink, 2003; van der Klink & Boon, 2002). Today, competencies provide a richer picture of what professionals do when performing their work, as compared to traditional job descriptions which identify knowledge, skills, or abilities and classify jobs as a bundle of strictly definable tasks.

Just as there are many definitions of *roles*, there are many definitions of competencies, with definitions dependent on how the concept is used. McLagan (1996) identified six approaches to defining competency: (1) job tasks, (2) results of work efforts, (3) outputs, (4), knowledge, skills, and attitude, (5) qualities of superior performance, and, (6) bundles of attributes. The definition of a competency that I use is synthesized from the suggestions of several hundred HRD specialists who attended a conference on the subject of competencies in Johannesburg, South Africa, in October, 1995: *A cluster of related knowledge, skills, and attributes that affects a major part of one's job (a role or responsibility), that correlates with performance on the job, that can be measured against well-accepted standards, and that can be improved via training and development.*

Parry (1996) examines the individual components of the definition as follows: *A cluster of related knowledge, skills, and attributes*² illustrates that competencies take cognitive (knowing), affective (feeling), and psychomotor (doing) into account. *Affects a major part of one's job* signifies that competencies focus on underlying skills or generic competencies that are transferable to a number of tasks. Many tasks are situational and specific, such as linking the knowledge management strategy with the business strategy, but require underlying skills, or generic competencies, such as organizational agility and business acumen. *Correlated with performance on the job* recognizes that given unique job responsibilities, competencies may be as job related as possible if they will be used as a basis of human resource activities such as training, career development, and compensation. *Can be measured against well-accepted standard* denotes that as with the correlation to job performance, competencies should be measured as the ability to set behavioral objectives. *Can be improved via training and development* means that competencies require that knowledge, skills, and attributes can be measurable and teachable. In short, competency descriptions provide an observable, measurable pattern of knowledge, skills and attributes that an individual needs to perform work roles or occupational functions successfully in *any* profession.

As organizations pay more attention to how their culture enables the development of knowledge, creating the cultural conditions to foster its development will require leadership (Keursten & van der Klink, 2003). Just as behavioral scientists helped us to understand leadership as a set of behaviors, viewing the CKO role from the behavioral perspective complements the focus of competencies which emphasizes *how* a CKO creates value and *what* is actually accomplished. As organizations implement knowledge management, the foundation for the effort is the knowledge manager competency model.

Contributions to the HRD Community

King, Fowler, and Zeithaml (2001) report that organizations frequently claim that their people – *intellectual capital or knowledge-based resources* – are their source of competitive advantage. However, they also believe that “many organizations are vaguely aware of the value of their competencies or the important competencies that they lack”

¹ Perhaps “regaining” is more accurate, as competency-based training was popular in the 1970s, although the focus was on developing isolated competencies, and there was limited interest in integrating the competencies for improved performance.

² Rifkin, Fineman, and Ruhnke (1999) distinguish between attributes, knowledge and skills. Attributes are fairly fixed and immutable in adults, such as creativity and persistence, and are of little use in designing developmental programs. Knowledge and skills provide the best basis for training and development programs. This is because competencies can be concretely defined, broken down in teachable elements, and measurably demonstrated by learners.

(p. 95). Yet, better understanding and awareness of CKO competencies can provide a couple of benefits: First, the knowledge manager community that agrees on its occupation's most valuable competencies is more likely to be consistent in developing those competencies. Second, identifying competency gaps can help organizations identify areas where improvements are required in order to facilitate organizational advantage. King, Fowler, and Zeithaml (2001, p. 96) believe that, in general, organizations "that invest the time and effort to assess their competencies can expect to have better information to support strategic decision making."

This paper briefly reviewed the evolution of knowledge management as a backdrop to the CKO role in contemporary organizations. Five sources provided different perspectives on the CKO role and will provide the foundation for building a CKO competency model. As more and more organizations use competency models to select, evaluate and develop their knowledge manager (Rifkin, Fineman, & Ruhnke, 1999), this presentation of CKO roles may be used as a starting point for discussion and a building block for identifying CKO competencies.

References

- Berge, Z., de Verneil, M., Berge, N., Davis, L., & Smith, D. (2002). The increasing scope of training and development competency. *Benchmarking*, 9(1), 43-61.
- Bonner, D. (2000). *In action: Leading knowledge management and learning*. Alexandria, VA: American Society for Training and Development.
- Burke, W. (1992). *Organizational development: A process of learning and changing*. Reading, MA: Addison-Wesley.
- Chindgren, T., & Callahan, J. (2002). A comparison of organization-derived and theory-derived leadership competencies. In L. Ross (Ed.), *Institute for behavioral & applied management 2002 Denver conference proceedings*. SUNY: IBAM.
- Davenport, T., & Prusak, L. (2000). *Working knowledge: How organizations manage what they know*. Boston, MA: Harvard Business School Press.
- Duffy, J. (2000). Knowledge management: What every information professional should know. *Information Management Journal*, 34(3), 10-16.
- Earl, M., & Scott, I. (1999). Opinion: What is a chief knowledge officer? *Sloan Management Review*, 40(2), 29-38.
- Federal Knowledge Management Group (2000). http://www.fgipc.org/02_Federal_CIO_Council/cko.htm, accessed July 2, 2003.
- Keursten, P., & van der Klink, M. (2003). Enabling knowledge creation: An emerging concept of knowledge management. *Human Resource Development International*, 6(1), 117-123.
- King, A., Fowler, S., & Zeithaml, C. (2001). Managing organizational competencies for competitive advantage: The middle management edge. *Academy of Management Executive*, 15(2), 95-106.
- Kissler, G. (1991). *The change riders: Managing the power of change*. Cambridge, MA: Perseus Books.
- Kurtzman, J. (1996). A mind is a terrible thing to waste. *General Manager*, 112, April, 20.
- McGee, M. (May 2, 1996). The person in the know. *Information Week*, 581, 94.
- McLagan, P. (1996). Great ideas revisited. *Training & Development*, 50(1), 60-66.
- Nonaka, I., & Konno, N. (1998). The concept of "ba": Building a foundation for knowledge creation. *California Management Review*, 40(3), 40-55.
- Parry, S. (1996). The quest for competencies. *Training*, 7, 48-56.
- Pemberton, J.M. (1997). Chief knowledge officer: The climax to your career? *ARMA Records Management Quarterly*, 31(2), 66-69.
- Rifkin, K., Fineman, M., & Ruhnke, C. (1999). Developing technical managers: First you need a competency model. *Research Technology Management*, 42(2), 53-57.
- St. Leon, M. (2002). Intellectual capital: Managerial perceptions of organisational knowledge resources. *Journal of Intellectual Capital*, 3(2), 149-166.
- Tiwana, A. (2002). *The knowledge management toolkit: Orchestrating IT, strategy, and knowledge platforms*. Upper Saddle River, NJ: Prentice Hall PTR.
- van der Klink, M., & Boon, J. (2002). The investigation of competencies within professional domains. *Human Resource Development International*, 5(4), 411-424.
- Williams, R., & Bukowitz, W. (1997). Managing technology: Knowledge managers guide information seekers. *HRMagazine*, Jan, 77-81.

A Critique of Selected Knowledge Management Models

Baiyin Yang
Wei Zheng
Chris Viere
University of Minnesota

Based on a newly developed holistic theory of knowledge and learning, this paper critically evaluates selected models of knowledge management (KM). Most existing KM models tend to narrowly define knowledge from technical and practical perspectives and fail to recognize critical knowledge such as values and visions. Furthermore, most models view KM as a linear or cycle process and thus fail to identify the multidimensional nature of knowledge dynamics between individuals and organizations.

Keywords: Holistic Theory, Knowledge Management, Organizational Learning

Knowledge management (KM) and related terms such as organizational learning and learning organization have become buzzwords in business practice and popular research topics in the field of human resource development (HRD). However, little consensus can be identified what the real meanings of these concepts are. At the same time, numerous conceptual frameworks and models have been proposed in the literature to explain new organizational phenomena in this emerging knowledge economy. Even the term Knowledge economy itself is another term related to the concept of knowledge that has been used frequently in popular media and scholarly writings. A central concept in these terms is knowledge, which has received inadequate attention in the literature in terms of its clear definition and implications comparing to its wide usage. Tsoukas and Vladimirov (2001) contended that "Organizational knowledge is much talked about but little understood" (p. 973).

Although distinctions among data, information, and knowledge have often been made in the literature (Boisot, 1995; Choo, 1998; Davenport & Prusak, 1998; Nonaka & Takeuchi, 1995), no consensus is reached for the definition of knowledge. Tsoukas and Vladimirov (2001) concluded that "[w]hat differentiates knowledge from information, ..., is that knowledge presupposes values and beliefs, and is closely connected with action" (p. 976). Bell (1999) maintained that data is an ordered sequence of given items and events, information is a context-based arrangement of items whereby relations between them are shown, and that knowledge is the judgment of the significance of events and items that comes from a particular context and/or theory. Tsoukas and Vladimirov (2001) differentiated individual knowledge and organizational knowledge. Individual knowledge is defined as "the individual capability to draw distinctions, within a domain of action, based on an appreciation of context or theory, or both" (p. 979). And organizational knowledge is "the capability members of an organization have developed to draw distinctions in the process of carrying out their work, in particular concrete contexts, by enacting sets of generalizations whose application depends on historically evolved collective understandings and experiences" (p. 983). While the above definitions of knowledge tend to acknowledge the tacit dimension of knowledge, not all authors recognize the complexity of knowledge. Some authors maintain that knowledge resides in one's cognitive domain. For example, Boisot (1998) believes that knowledge is essentially a set of patterns stored in memory that helps us make sense of the world. Further more, most authors of organizational learning have examined how individuals learn in organizational contexts or explored how individual learning theories could be applied at the organizational level (Cook & Yanow, 1996). Consequently, there is a need to critically examine the existing conceptual frameworks of KM and OL so as to identify commonalities and differences for the purpose of better understanding of related concepts and proposed models.

There is an increasing body of literature on KM, LO and OL. Argote, McEvily and Reagans (2003) suggested an integrative framework for organizing the literature on KM. This framework consists of two dimensions, KM contexts and outcomes. Knowledge creation, retention, and transfer represent the KM outcomes. The KM contexts are reflected in units (individual, group, organization), relationship between units and the nature of knowledge itself (tacit vs. explicit). It has been observed that existing theoretical frameworks of KM can be categorized into one of the three contexts. Some frameworks emphasize the properties of the units themselves (Cohen & Levinthal, 1990), some recognize the importance of the relationships between units (Crossan, Lane & White, 1999), and yet others call attention to the nature of knowledge such as tacitness (Nonaka & Takeuchi, 1995). This is probably one of the most comprehensive models of KM that appeared in the literature. However, this model has not yet been fully

Copyright @ 2004 Baiyin Yang, Wei Zheng, & Chris Viere

developed because the interactions between its key components are not identified nor described. Furthermore, the authors of this integrative model have used the model to identify points of integration across many studies reported in a special issue on KM. No effort was made to critically examine the major KM models in the literature from an integrative perspective.

Research Questions

The purpose of this study is to critically examine the major models of KM in the literature from an integrative and holistic perspective. This paper has two related tasks. First is to demonstrate the utility and application of a newly developed holistic theory toward an integrative perspective of KM. Second, the paper is to critically examine major models of knowledge management. The following research questions were used to guide the study:

1. What is organizational knowledge from a holistic perspective?
2. What are the key assumptions of major KM models in the literature?
3. What are the merits and limitations of major KM models from the perspective of a holistic learning theory?
4. What are the implications of a holistic approach to KM for HRD theory, research and practice?

Methods

Two major research methods were used in this study, literature review and conceptual analysis. First of all, the researchers identified major KM models. Conceptual analysis was then used to critically examine the major KM models. The analysis was based on two integrative frameworks of knowledge and knowledge management.

The first conceptual framework that guided this study was the one proposed by Yang (2003). Yang (2003) suggested that knowledge has three facets and layers and that it is the interactions among them that determine learning. Yang also distinguished individual and organizational knowledge and proposed an interactive model of learning. The second conceptual model was the one suggested by Argote, McEvily and Reagans (2003).

Theoretical Foundation

The theoretical foundation of this paper is based on a newly developed holistic theory of knowledge and learning (Yang, 2003). The holistic theory defines knowledge as a social construct with three distinctive and interrelated facets—explicit, implicit, and emancipatory knowledge. Knowledge is viewed as human beings' understanding about the reality through mental correspondence, personal experience, and emotional affection with outside objects and situations. The explicit facet consists of the cognitive component of knowledge that represents one's understandings of the reality. *Explicit knowledge refers to clear and certain mental apprehension that is transmittable in formal and systematic format.* It is the codified knowledge that identifies true from false in the reality. It is part of the technical knowledge that reflects one's intentional and conscious effort to understand reality to meet his/her individual needs. Theories, models, and formulas in textbooks are examples of explicit knowledge.

The implicit facet is the behavioral component of knowledge that denotes the learning that is not openly expressed or stated. In most cases we know more than we think know (Polanyi, 1967). *Implicit knowledge is personal and context-specific familiarity.* It is either something hard to formalize and communicate implicit knowledge, or the familiarity that has yet to be articulated. It indicates something works in the reality based upon direct observation or involvement. Implicit knowledge usually comes from and exists in one's behavior, action, and accumulated experiences.

The emancipatory facet is the affective component of knowledge and is reflected in affective reactions to the outside world. *Emancipatory knowledge is one's understanding based on emotional affection and thus it is value-laden.* It is indicated by feelings and emotions people have toward the objects and situations around them. Emancipatory knowledge defines one's view of what the world ought to be, and it is the product of seeking freedom from natural and social restraints. It reflects one's internal affective and motivational states.

A Dialectic Perspective of Three Knowledge Facets

Yang (2003) posits that all of the three facets are present in all learning processes, even though not all of them need to experience a change. Furthermore, the holistic theory calls for a dialectical perspective of the three knowledge facets. On one hand, we need to acknowledge some intrinsically different characteristics of the three knowledge facets. If we examine each of the three knowledge facets at a time, they tend to be different and contradictory. The results will be like observing different faces of a coin. On the other hand, we should understand the complementary nature of these three knowledge facets. They are interacting with each other and indivisible when we take a holistic perspective. They occur by default whether we recognize them or not. All of the three facets are necessary components of the whole.

The holistic learning theory asserts that the construct of knowledge consists not only of the three facets but also of three knowledge layers (Yang, 2003). The knowledge layers include: foundation, manifestation, and orientation.

The first layer is a stratum of foundation or premise, which serves as the basis for our knowing and determines the boundary of explicit knowledge. Foundation includes those tacit assumptions that have been taken for granted as valid and are not normally requiring proof. We have to accept certain assumptions in order to know and act. This layer indicates our epistemological beliefs. The second layer is manifestation that represents the outcomes of our knowing. The third layer is the orientation of our knowing which defines the direction and tendency of knowing action. So the third layer indicates the driving forces of our learning process.

Learning as Dynamic Interactions among Knowledge Facets

The holistic learning theory not only identifies characteristics of three knowledge facets and layers, but also points out that it is learning that unifies different facets. Each of the three facets of knowledge provides a support needed for the other facets to exist. Explicit knowledge will exist only as meaningless facts, figures or bytes of information without the support of other facets (i.e., when two other facets are disconnected). We normally use “body of knowledge” to denote theories, models, and empirical findings but fail to realize that these things only represent explicit facet of knowledge. From the perspective of the holistic theory, theories and models themselves are not knowledge per se. They are carriers or indications of explicit knowledge and they become simply available information when human factors are detached or removed. It should be noted that information itself is not knowledge. Thus the term “knowledge base” is a better term to represent explicit knowledge such as theories and models in textbooks. By the same token, learning is also influenced by emancipatory knowledge that defines the objectives and missions that guide our actions. Implicit knowledge also connects with the two other facets. It will appear as random, idiosyncratic, and isolated practical experiences without the support from two other facets. Similarly, emancipatory knowledge will be simply emotion or affection when the explicit and implicit facets are removed in learning process. In sum, the holistic theory contends that knowledge exists in a dynamic dialectic interactions among all three facets.

The holistic theory suggests that knowledge is created and transformed through the interactions among explicit, implicit, and emancipatory knowledge (Yang, 2003). These relations are reflected by nine modes of learning: *participation*, *conceptualization*, *contextualization*, *systematization*, *validation*, *legitimization*, *transformation*, *interpretation*, and *materialization*. It is suggested that learning occurs as a result of interactions within each of and among the three knowledge facets. Learning can start in any of the three knowledge facets and in different forms. Learning may involve one, two, or all of the three knowledge facets. “*Learning is defined as the process whereby knowledge is created, acquired, transformed, converted, or utilized in different context from its origin*” (p. 117). *Knowledge creation* is a learning process where new understanding (in either of the three facets) about reality is formed. For example, theory building is a knowledge creation process that normally results in a new format of explicit knowledge. *Knowledge acquisition* such as attending a lecture is also a learning process where a learner gains knowledge from another source in the original form. *Knowledge transformation* refers to a process where the learning outcome is a new format of knowledge. For instance, research seminars and symposiums are sometimes very powerful in transforming the participants’ knowledge to a greater understanding on the topic. *Knowledge conversion* refers to the exchange from one knowledge facet to another and the following paragraphs will discuss different forms of knowledge conversion in detail. Finally, *knowledge utilization* can also be viewed as learning when a learner applies knowledge in a different context from its original and gains new understanding about the problem facing him/her. In sum, learning involves all of three knowledge facets and appears in different forms.

The holistic theory suggests a total of nine modes of learning in the dynamic interactions among three knowledge facets (Yang, 2003). *Participation* is a process of learning from practice and thereby creating implicit knowledge from experiences. *Conceptualization* is a process of articulating implicit knowledge into explicit concepts. It converts familiarities into tangible explanations by proposing new concepts or theories. *Contextualization* is a process of embodying explicit knowledge into implicit knowledge. It is the process of utilizing concepts, models, formulas, principles, and propositions in a specific context. *Systematization* is a process of systematizing explicit conceptions into a system with logic and reasoning. This learning mode generally involves combining different bodies of explicit knowledge in a consistent format. *Validation* is a process of examining and possibly modifying underlying values, desires, judgments, perceived importance and worth, and other kinds of fundamental learning based on explicit knowledge (which is believed to be true under a rational perspective). *Legitimization* is a process of justifying explicit knowledge based upon emancipatory knowledge. *Transformation* is a process of converting an old meaning scheme (i.e., values, feelings, ethics, etc.) into another form. *Materialization* is a process of transferring emancipatory knowledge into tacit knowledge. Those who utilize what has been learned from participatory action research to improve the quality of their daily life are in the process of materialization. *Interpretation* is a process of making a meaning scheme from tacit learning and direct experiences.

Learning as Social Activity and Organizational Knowledge

The holistic theory further suggests that learning is not only an individual activity but also as social phenomenon as well (Yang, 2003). An individual learner has to interact with his or her immediate social group or

organization within certain social/cultural contexts. The holistic theory posits that a group or organization has to have three major components—critical knowledge, technical knowledge, and practical knowledge. Similar to individual knowledge, group and organizational knowledge can be viewed as a social construct with three facets and each of them has three layers. Table 1 lists three layers of group and organizational knowledge in three domains. The first facet of group and organizational knowledge is technical knowledge, which is carried by formal system and structure. Technical knowledge is institutionalized explicit knowledge of individual members (Crossan, Lane & White, 1999). Technical knowledge is manifested by those establishments such as formal rules, regulations, policies, standard operation procedures, technical specifications, formal communication channels and formats. The orientation of technical knowledge is efficiency and optimum, which is one the major driving forces of organizations. In other words, the main function of technical knowledge of an organization is to produce maximum products and services with efficient utilization of available resources for a clearly defined mission. Once technical knowledge is acquired and established in a group or in an organization, it has influences on an individual employee's behavior mainly through the rational driving force within the domain of explicit knowledge.

The second facet of group and organizational knowledge is practical knowledge, which can normally be identified in organizational process and practice. Practical knowledge is manifested by the implicit knowledge that has not been (or cannot be) incorporated into formal organizational system. Examples of practical knowledge include social norms, customs, conventions, shared understandings, intuitions, insights, routines, and technical know-hows. Practical knowledge also includes individual employees' knowledge that has not been incorporated into the formal system such as their awareness of market changes. Group and organizational learning of practical knowledge can be facilitated by those action-oriented activities such as socialization, conversation and dialogue, and some interactive systems (Crossan, Lane & White, 1999). Practical knowledge is oriented toward effectiveness and flexibility, one of the driving forces for a group or organization to function. A group or organization's practical knowledge is a collection of its members' knowledge that has been proven to be workable in practice; it thus interacts directly with an individual's realistic driving force within the domain of implicit knowledge.

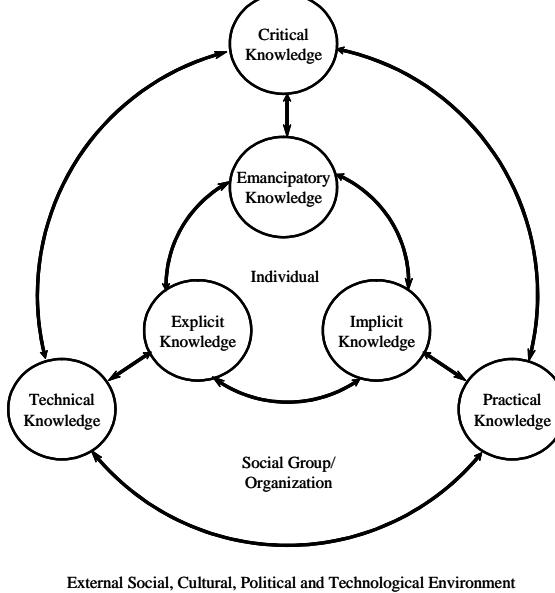
Table 1. Holistic Learning Theory: Indications of Group and Organizational Knowledge

Knowledge Layers	Knowledge Facets		
	Technical	Practical	Critical
Foundation	Institutionalized Explicit Knowledge (System & Structure)	Collective Implicit Knowledge (Process & Practice)	Dominated Emancipatory Knowledge (Value & Vision)
Manifestation	Rules, regulations, policies, standard operation procedures, technical specifications, formal communication channels and formats.	Social norms, customs, conventions, shared understandings, intuitions, insights, routines, technical know-hows, markets changes.	Formal mission statements, managerial philosophies, perceived social responsibilities, morale, ethical and moral standards, and spirituality.
Orientation	Efficiency, optimize	Effectiveness, flexible	Productivity, responsibility

The third facet of group and organizational knowledge is critical knowledge, which is based on the foundation of organizational value and vision. Critical knowledge can be defined as the dominant emancipatory knowledge of its members. Because individuals tend to have diverse values and visions for their own and have different understandings about the organizational issues, the formation and change of the critical knowledge generally involve organizational power and politics. It also activates and defines individual and organizational interests and ethics. Critical knowledge is manifested by those less stable but vital elements such as formal mission statements, managerial philosophies, perceived social responsibilities, morale, ethical and moral standards, and spirituality in workplace. Critical knowledge is largely determined of the sense of social responsibility and it interacts directly with individual employees' emancipatory knowledge.

Further more, the holistic theory defines group/organizational learning as a process of change in the dimensions of collective beliefs (i.e., shared technical knowledge), social norms (i.e., prevalent practical knowledge), and shared values (i.e., dominant critical knowledge) among group members. In other words, organizational knowledge is viewed as collective understandings among members through their technical, practical, and emancipatory facets of knowledge. Organizational learning involves changes of technical, social, and political dimensions of the organization. Figure 1 depicts the dynamic interactions among three knowledge facets at individual and group/organizational level.

Figure 1. Dynamic Interactions Among Three Knowledge Facets at Individual and Social Levels (©Yang, 2003)



A Critique of Selected Knowledge Management Models

Knowledge Creation Model

Nonaka and Takeuchi (1995) proposed a knowledge creation model that likely has more influence than any other model in practice. The theory as a whole presents a model for describing the creation and dissemination of knowledge throughout an organization as embodied within “products, services and systems” (Nonaka & Takeuchi, 1995, p. 3). According to the theory, knowledge moves on two ontological dimensions (individuals to organizational) and on two epistemological dimensions (tacit and explicit). Tacit knowledge is distinguished as more difficult to formalize and communicate because it is often intimately tied to action and experience. Explicit knowledge is the knowledge that can be put into words, written down, modeled and relatively easily transferred. The modes of knowledge conversion include socialization (from tacit to tacit knowledge), externalization (from tacit to explicit knowledge), combination (from explicit to explicit knowledge), and internalization (from explicit to tacit knowledge). The progression on the ontological dimension ranges from the individual at one end of the range and moves to team, group, organization, and beyond in a spiral-like fashion “when the interaction between tacit and explicit knowledge is elevated dynamically from a lower ontological level to higher levels” (Nonaka & Takeuchi, 1995, p. 57). The knowledge creating process for this model contains five steps- sharing tacit knowledge, creating concepts, justifying concepts building an archetype, and cross-leveling knowledge (Nonaka & Takeuchi, 1995; von Krogh et al, 2000). Enabling knowledge creation organizationally is promoted by examining barriers, establishing conditions by creating an enabling context, and by establishing organizational enablers (von Krogh et al, 2000).

The knowledge creation model recognizes the potential nature of tacitness of the knowledge and provides useful concepts of the dynamic interactions between explicit and tacit knowledge. However, there are several limitations associated with this model. First, despite its illustration of the knowledge creation process between individuals and organizations, this model does not differentiate individual and organizational knowledge. Therefore, it fails to acknowledge the characteristics of knowledge at different organizational levels. Second, this model suggests knowledge creation is a spiral process and implies that all types of knowledge have to go through tacit-explicit process. In fact, much tacit knowledge cannot be externalized and the learners have to participate in a community of practice to gain such knowledge. Therefore, the limitation of externalization should be recognized. For example, most professional schools require their students to fulfill practicum (i.e., to gain tacit knowledge) in addition to formal schooling (i.e., for the purpose of acquiring explicit knowledge). Third, this model fails to recognize a third facet of knowledge, emancipatory knowledge. Learning and knowledge creation should not be isolated from emotion, motivation, and perceived needs.

4I Framework of Organizational Learning

Crossan, Lane and White (1999) observed that despite a growing popularity, little convergence among

organizational learning theories had advanced. As a major step towards an integrated organizational learning theory, they proposed one of the most comprehensive frameworks of organizational learning to date (Yang, 2003). Their model, also referred to as the 4I framework, contains four process stages of organizational learning that consist of *intuiting, interpreting, integrating, and institutionalizing*. Each of the 4I process stages are conceptualized into the individual, group, and organization levels. Together, the stages and levels and their interactions are explicated to improve organizational learning for the underling purpose of strategic renewal in organizations.

In Crossan et al. (1999) model, the central proposition states that the 4I's (intuiting, interpreting, integrating, and institutionalizing) are related in "feed-forward and feedback processes across the [organization] level." (p. 523). For the framework, intuiting and interpreting occur at the individual level. *Intuiting* refers to subconscious recognition of the pattern and/or possibilities that are implicit to a personal experience that leads to the development of tacit knowledge. For Crossan et al., *interpreting* is largely a cognitive act and progressively conscious act of explaining, through words and/or actions, a cognitive map with insight or idea to one's self and to others as change from previous understanding and/or actions. As learning progresses from individual learning towards assimilation in to group member, a process of integration begins to occur. Crossan et al. (1999) refer to the process of *integrating* as developing shared understanding among individuals and with the outcome taking shared and coordinated action through mutual adjustment. *Institutionalizing* refers to the process of ensuring that routinized actions occur as an organization strives to leverage the knowledge created by individuals or informal communities.

Crossan et al. (1999) provided a systematic and dynamic model of organizational learning that includes process and level dimensions. By integrating disparate theories and language on how organizational knowledge is created, Crossan et al. have provided scholars and practitioners with a model on internal and interpersonal process on flow of knowledge from implicit to explicit, and from individual to group that has served fruitful purpose.

Under the perspective of Yang's (2003) holistic theory, the foundation or premise generally represents, in part, an epistemological belief system. The holistic theory defines knowledge as a social construct with three distinctive and interrelated facets—explicit, implicit, and emancipatory knowledge. The knowledge facets provide visibility into an epistemological basis for the holistic theory that calls for acknowledging a dynamic interplay in the creation of knowledge between empirical-analytic, interpretive, and critical epistemologies (Yang, 2003). Crossan et al.'s (1999) 4I framework, does not fully explicate the foundations of framework with respect to highlighting epistemologies or knowledge facets. The framework does begin to illustrate the roles the of explicit and implicit knowledge, but stops short of acknowledging an emanciptaory facet.

Both frameworks, however, advance propositions related learning processes. Crossan's et al. (1999) intuiting process is closely related to gaining implicit knowledge at the individual level. Interpreting in the framework represents developing cognitive maps and is similar to conceptualization included in the holistic theory. However, the interpreting process centers around the cognitive domain and role of the affective domain and emancipatory knowledge equivalent is not defined or mentioned. Integrating in Crossan et al.'s (1999) framework refers to shared understanding by group members that results in coherent, collective actions. This learning process reflects the dynamic relationships between individual and group. However, the holistic theory suggests that integrating individual knowledge does not always occur in the cognitive and explicit knowledge, but can also integrate individuals' implicit knowledge such as knowledge hard to be express in formal language and symbols, and emancipatory knowledge into its values and consequently change its critical knowledge. Likewise, both models incorporate the concepts embodied by Crossan et al. (1999) notion of *Institutionalizing* process, but differ moving beyond explicit, in the continued interplay implicit and emancipatory knowledge.

The major shortcoming of 4I model is its failure to recognize the nature of knowledge. Because 4I framework does not distinguish the three facets of knowledge and clarify the epistemological knowledge basis, it fails to capture some of the key organizational learning activities. For example, the holistic theory suggests that changing an organization's values and visions is a vital learning process and that it is critical knowledge that interacts with individual shared values and critical knowledge. Rules and procedures can be institutionalized but cannot guarantee the desired change and the coherence of individual values.

Information-Space Model

Boisot (1998) proposed that individual knowledge is the sum of our mental models and through these mental models we process data and information in order to bring about action and change. He believed that knowledge is essentially a set of patterns stored in memory that helps us make sense of the world (1998). He further categorized knowledge along three dimensions, codification, abstraction, and diffusion. These three dimensions make up the I-space for capturing the distribution of knowledge in organizations. In terms of codification, knowledge is either codified or uncodified. Codified knowledge refers to the knowledge that is represented by language or other systems. Codified knowledge is easily transmittable from one human agent to another. On the contrary, uncoded knowledge is highly dependent on the implicit expertise of the human agent. The second dimension, abstraction,

describes the extent to which knowledge is abstracted from the concrete and observable information. Knowledge with higher abstraction is believed to be constructed through building relationships of less abstract knowledge (Boisot, 1998). The third dimension is diffusion. This refers to the extent to which knowledge is available among human agents.

Boisot's three dimensional Information-Space (I-Space) bears similarities with the holistic model. The codification dimension is similar to our distinction between explicit and implicit knowledge, because it can be argued that knowledge becomes explicit when it is codified by language or other systems and can be transmitted from one agent to another. On the other hand, implicit knowledge is usually not verbalized or codified through other means. As regard to diffusion dimension, the holistic model elucidates three levels along this dimension, individual, group, and organization.

The holistic model proposes three dimensions of knowledge, explicit, implicit, and emancipatory. Boisot's (1998) model considers the explicit (codified) and implicit (uncodified) categories, but does not consider the emancipatory dimension. Elements of emancipatory factor is recognized in his model as the perceptual and conceptual filters that affect what data and information human agents turn into knowledge. However, Boisot (1998) failed to accommodate these filters into his model of knowledge. The holistic model takes into consideration these filters, and offers a third category of knowledge — emancipatory knowledge. This emancipatory knowledge is defined as the objectives and missions that guide our actions. In Boisot's model, the perceptual and conceptual filters are such knowledge that dictates what knowledge human agents take in and spread, as well as the direction of human actions. The holistic model absorbs this emancipatory knowledge into the nature of knowledge, contrary to Boisot's model that externalizes these filters. The reason for internalizing the filters into the arena of knowledge is consistent with Boisot's definition of knowledge — a set of patterns stored in memory that helps us make sense of the world (1998). These filters as conceptualized by Boisot are previous patterns that exist in the human mind in understanding the world.

Learning with Knowledge Cycle Model

A large portion of the past literature focused on knowledge management processes. Demerest (1997) built a KM model which consists of four stages, knowledge construction, knowledge dissemination, knowledge use, and knowledge embodiment. Soliman and Spooner (2000) modified this model and proposed a five-stage knowledge management chain. Their five stages are: create knowledge, capture knowledge, organize knowledge, access knowledge, and capture knowledge. Based on their models, Rowley (2001) suggested a model Learning with Knowledge Cycle (LK cycle) that consists of knowledge articulation, knowledge repository updating, knowledge access, knowledge use, and knowledge revision. According to Rowley (2001), the cycle applies to both explicit and implicit knowledge, which means that these stages are equally applicable to both explicit and implicit knowledge.

These knowledge management process models contribute to the conceptualization of the development of knowledge from individual level to organizational level, but they only offer a macro picture of knowledge management. While they are useful in grouping different organizational activities into different knowledge management processes, these models do not account for the dynamic relationship and interaction of the components of knowledge. Nor does it describe how knowledge moves from one stage to another. In practice, the interrelations among people or units often affect the learning process. The rigid segregation of a flow of actions and events into static stages is inadequate to direct practice effectively.

Rowley (2001) included explicit knowledge and implicit knowledge in the LK model. However, she posited that both explicit and implicit knowledge go through the processes discussed in the model. This proposition puts an indiscriminant face on explicit and implicit aspects of knowledge. As implicit knowledge is either something hard to formalize and communicate, or the familiarity that has yet to be articulated. It is hard, if not at all, to make a convincing case that the evaluation, dissemination, use, and revision of such unarticulated knowledge can be done the same way for explicit knowledge. How can some unarticulated, unverbalized, and shapeless knowledge be measured and weighed?

Another inadequacy is similar to that of Boisot's model. The emancipatory aspect of knowledge is not given sufficient attention. Rowley (2001) claims that the LK cycle model embraces the social construction of knowledge, but it actually follows a mechanical approach of disregarding the value orientation of individuals or interrelations of people which is in the realm of emancipatory aspect of knowledge.

Conclusion

This paper examined milestone knowledge management models from the holistic perspective. Most the models reviewed in the paper touch upon but do not incorporate an important aspect of knowledge — emancipatory knowledge. Most models do recognize the importance of organizational culture, relations among people or units,

and other emotional factors, which demonstrate their agreement that this emancipatory facet of knowledge is not dispensable because it describes people's or organization's values, assumptions, and other knowledge that dictates their direction of action. However, they do not integrate this facet into their model of knowledge, and so fail to make a holistic account of what is happening and what ought to be.

Implications for Research and Practice

The holistic model of knowledge management highlights the equal importance of the three facets of knowledge, explicit, implicit, and emancipatory. Explicit and implicit knowledge are given abundant consideration in past research, but the emancipatory knowledge is either totally neglected or externalized to be an environmental factor instead of something innate to a person or an organization's knowledge base. The practical implication of this view is that personal values or organizational culture is dealt with separately from rules, regulations, or experiences. However, in real life, personal values go hand in hand with a person's knowledge as a whole, and an organizational culture permeates every aspect of the organization's repertoire of knowledge. The artificial separation of emancipatory knowledge from others would lead to partial organizational solutions.

The holistic model of knowledge management combines the emancipatory aspect with the explicit and implicit aspects of knowledge, and so offers a complete picture for practitioners when dealing with organizational problems. For example, when solving a problem communication inadequacy in a certain department, technological (explicit), contextual (implicit), and motivational (emancipatory) aspects will be considered at the same time.

References

- Argote, L., McEvily, B., & Reagans, R. (1993). Managing knowledge in organizations: an integrative framework and review of emerging themes. *Management Science*, 49(4), 571-582.
- Bell, D. (1999). The axial age of technology foreword: 1999. In *The coming of post-industrial society* (pp. ix-lxxxv). New York: Basic Books.
- Boisot, M. (1998). *Knowledge assets – Securing competitive advantage in the information economy*. Oxford University Press.
- Choo, C. W. (1998). *The knowing organization: How organizations use information to construct meaning, create knowledge, and make decisions*. New York: Oxford University Press.
- Cohen, W. M., & Levinthal, D. (1990). Absorptive capacity: A new perspective on learning and innovation. *Administrative Science Quarterly*, 35, 128-152.
- Cook, S. D., & Yanow, D. (1996). Culture and organizational learning. In Cohen, M. D. and Sproull, L. S. (Eds.), *Organizational learning* (pp. 430-459). Thousand Oaks, CA: Sage.
- Crossan, M. M., Lane, H. W., & White, R. E. (1999). An organizational learning framework: From intuition to institution. *Academy of Management Journal*, 24, 522-537.
- Davenport, T. H., & Prusak, L. (1998). *Working knowledge*. Cambridge, MA: Harvard University Press.
- Demerest, M. (1997). Understanding knowledge management. *Journal of Long Range Planning*, 30(3), 374-384.
- Easterby-Smith, M., Crossan, M., & Nicolini, D. (2000). Organizational learning: Debates past, present and future. *Journal of Management Studies*, 37, 783-796.
- Gilley, J. W., & Maycunich, A. (2000). *Organizational learning, performance, and change: An introduction to strategic human resource development*. Cambridge, MA: Perseus Publishing.
- McAdam, R. & McCready, S. (2000). A critique of knowledge management: using a social constructionist model. *New Technology, Work and Employment*, 15 (2), 155-168.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge-creating company: How Japanese companies create the dynamics of innovation*. New York: Oxford University Press.
- Polanyi, M. (1967). *The tacit dimension*. New York: Doubleday.
- Soliman, F. & Spooner, K. (2000). Strategies for implementing knowledge management: role of human resource management. *Journal of Knowledge Management*, 4(4), 337-345.
- Swanson, R. A., & Holton III, E. F. (2001). *Foundations of human resource development*. San Francisco: Barrett-Koehler Publishers.
- Tsoukas, H., & Vladimirou, E. (2001). What is organizational knowledge? *Journal of Management Studies*, 38, 973-993.
- Yang, B. (2003). Toward a holistic theory of knowledge and adult learning. *Human Resource Development Review*, 2(2), 106-129.
- Von Krogh, G., Ishijo, K., & Nonaka, I. (2000). *Enabling knowledge creation: How to unlock the mystery of tacit knowledge and release the power of innovation*. New York: Oxford University Press.

Human and Organization Studies: The Discipline of HRD

*Neal Chalofsky
The George Washington University*

Human resource development (HRD) has long been considered a field with an interdisciplinary foundation. Unfortunately, there has never been a consensus on the composition of the disciplinary base of HRD. We may have a sense of the purpose of the field; but it still does not lead easily to a sense of the discipline of the field. And it may be that we are thinking of the discipline and the profession of HRD in the same mindset, when there is an alternative perspective. It is proposed that the body of knowledge and teaching that HRD practitioners study to learn about or advance in the field be known by a different label than HRD. Human and Organization Studies (HOS) is described as it exists at one university and a discussion is presented about the need to begin the dialogue about the discipline of HRD.

Keywords: Discipline of HRD, Human and Organization Studies, Theory and Research

Human resource development (HRD) has long been considered a field with an interdisciplinary foundation. Pat Galagan (March, 1986), then editor of Training & Development, referred to this issue in an editorial when she described the field:

. . . as an omnivorous discipline, incorporating over the years almost any theory or practice that would serve the goal of learning in the context of work. Like an amoeba, it has ingested and taken nourishment from whatever it deemed expedient in the social and behavioral sciences, in learning theory, and business". Indeed, it is a field that has borrowed heavily over the years from other disciplines, and will continue to do so in order to apply the best of approaches to the learning needs of the workplace (p.4).

Jacobs (Spring, 1990) 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 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).

Every new occupation seeking professional status has sought to delineate its foundation in terms of its unique body of knowledge. (Jarvis, 1987). HRD, like adult education (which most professionals consider at the least a closely related field), has developed a unique body of knowledge suited to its purposes though two methods;

- 1) Experiences gained from coping with problems of practice lead to the formulation of principles or generalizations which provide guides for future practice.
- 2) Knowledge that has been developed by other disciplines is borrowed and reformulated for use in HRD (Jensen, 1964). HRD, again like adult education, is a practical discipline. "Its primary objective is coping effectively with some unsatisfactory state of affairs or problem of everyday life" (Jensen, 1964).

HRD as a Discipline

Unfortunately, there has never been a consensus on the composition of the disciplinary base of HRD (Swanson, 2001; Kuchinke, 2002). The one agreement that seems to exist is that the foundation of the field is multidisciplinary. After that is noted, there is considerable disagreement as to the disciplines that inform and support HRD. This is largely due to the field's inability to define the concept of HRD.

Recent attempts to define the concept of Human Resource Development (HRD) by academics, researchers, and practitioners are proving frustrating, elusive, and confusing. This suggests that HRD has not established a distinctive conceptual or theoretical identity. The process of defining HRD is frustrated by the apparent lack of boundaries and parameters, elusiveness is created through the lack of depth of empirical evidence of some conceptual aspect of HRD. Confusion also arises over the philosophy, purpose, location, and language of HRD. The [different] epistemological and ontological perspectives of individuals in the HRD area further complicate this (McGoldrick, Stewart, & Watson, 2002, 19).

Copyright © 2004 Neal Chalofsky

For quite a while, the scholarly literature and presentations at academic conferences have 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 field forward in terms of a definition, or philosophy. It is, as Ruona and Lynham (1999), have 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).

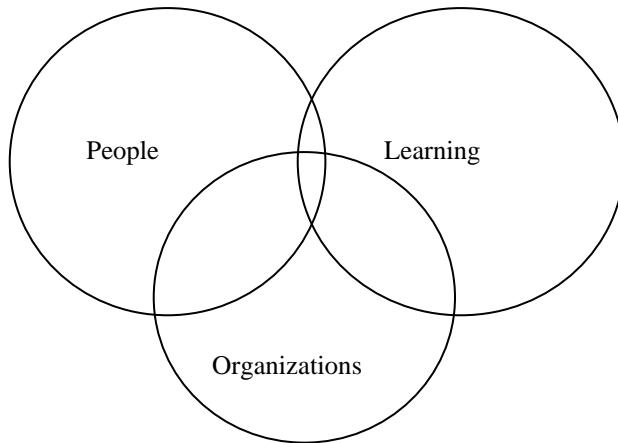
The former editor of HRDI, (Lee, 2001), made the plea for not defining HRD because the act of defining itself is mechanistic/scientific. Instead, she argued that we should seek to establish what HRD should become as it evolves. In actuality, a small group of HRD scholars and practitioners at the 2000 Academy of HRD conference began to analyze the tension and gulf between the perspectives noted above. The goal was to clarify the fundamental values about what HRD should be and to explore if and how these values could be woven together. Once the group started to share what was common among the three perspectives, they were able to articulate a new statement of purpose for HRD that the group believed reflected 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 system” (p. 205). Watkins (2000), in outlining her key beliefs about HRD, said that, “The aims of HRD are to bring learning and change in an organizational context” (p. 54).

It could be that these conversations, and others, are closer to a unified position than we have been willing to admit. And it could be that this position of purpose can give us a basis for a dialogue on the discipline of HRD. But I believe we have been mistakenly talking about the *discipline* and the *profession* of HRD in the same mindset, when there is an alternative perspective. Someone who desires to be a management consultant studies the various organization behavior and management disciplines, or one studying to be a group therapist learns about group dynamics and psychology. We do not refer to the discipline of consulting or therapy, they are fields of practice. A discipline, as defined by the American Heritage dictionary, is a branch of knowledge or teaching. I am proposing that the body of knowledge and teaching that HRD practitioners study to learn about or advance in the field be known by a different label than HRD.

Human and Organization Studies

A number of years ago in the HRD program at The George Washington University, we began to realize a significant number of people were applying to our doctoral programs who were not HRD/training/adult learning professionals, nor did they have an interest in becoming one. In researching doctoral programs in business, psychology, and education, they felt that the description of our programs gave them the development they needed, which was to learn about “people management”. We began to revise and evolve our curriculum to meet the needs of these students, while still holding fast to the purpose of developing professionals in the HRD field, especially at the masters’ level. Then, at a faculty retreat several years ago, we decided to tackle the issue of our program focus. This led us to the decision that the program should rest on three constructs; people, learning, and organizations (refer to figure 1). While this may seem simplistic, it reflects our commitment to a balance between these areas (as opposed to programs that may lean towards any one area). More recently, we decided that this represented more than a program focus; it represented a discipline, a field of study, and we are in the process of changing the name of our program to represent the discipline; Human and Organization Studies (HOS).

Figure 1. People, Learning and Organizations



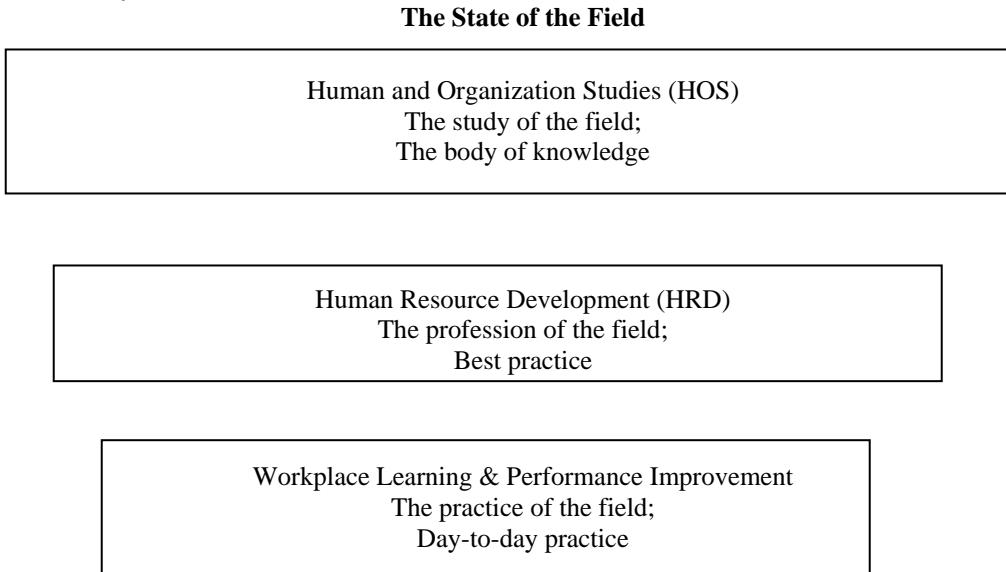
- *People* are the critical resources of any workplace, more so now than ever before. The need for knowledge workers in judgment-based positions that are equipped to provide high quality service to their customers requires a workplace that is supportive and an organizational culture that is empowering. “Organizations don’t change, people change. And then people change organizations.” (Richards, 1996). Students of the discipline need to understand how people work and interact in social systems at individual, group and organizational levels.
- *Learning* needs to be embedded in the culture of the workplace so that the development and growth of management and staff is continually enhanced. Interventions need to be designed to improve effectiveness through systemic change processes and consideration for alternative perspectives. Students of the discipline need to understand learning and change constructs and models that can be applied at individual, group and organizational levels.
- *Organizations* need to be adaptable, humanistic, and ethical. Leadership should be transformational. Structure and work processes should be designed to meet both employees’ and customers’ needs. Students of the discipline need to understand the complexities of organizations as systems and their impact on stakeholders, the community, and the economy, both nationally and globally.
- (Note that the concept of change is embedded in all three constructs.)

These constructs are all interrelated, yet the study of them can involve examining them individually, in pairs, and/or all together. The discipline is multi- and/or inter-disciplinary. It has been and continues to be informed by other related disciplines. These include:

- Sociology (e. g. social systems)
- Anthropology (e.g. culture)
- Psychology (e.g. motivation and behavior)
- Management (e.g. leadership, strategy and structure)
- Education (e.g. learning theory)
- Economics (e.g. human capital)
- Physical Sciences (e.g. systems theory, chaos theory)

Many academic programs include the study of some, all, and/or additional subjects within their curriculum.

What is different with our program is that we are proposing that the discipline is a more encompassing concept than the profession, which in turn is a more encompassing concept than the practice (refer to figure 2).

Figure 2. The State of the Field

Anyone with a need or desire to understand the complex interactions between people, learning, and organizations can come and study the discipline, not just those individuals that are interested in being HRD professionals.

In the 1990's, many academic programs base their curriculums on the role and competency study conducted by the American Society for Training & Development (ASTD) (McLagen, 1989). The results of this study represented both practice and borrowed theory and knowledge, which is sometimes hard to distinguish because of the mingling of the two over the years. It is important to note that the data collection technique used to arrive at the results was to poll approximately 300 "experts" (as identified by a committee of practitioners and academics) as to what they perceived to be the critical roles and competencies for the HRD field in five years (from the time of the study). This may have been a legitimate form of inquiry for a field in its infancy, but it does not translate into a full-fledged body of knowledge for a professional discipline. There have been little, if any, research to test the experts' perceptions; few attempts to develop theoretical constructs from the data; and almost no scholarly critique and debate of the value of the study beyond its immediate applications (Chalofsky, 1996).

More recently, most programs have based their curriculums on the needs of the local market (employers of HRD professionals) or on the disciplinary base of their "parent" programs (e.g. vocational education or adult education). Kuchinke (2002) studied the curricula of 55 HRD related graduate programs and found that over 75% of the programs covered what I would label practice or professional subjects; instructional design, instructional delivery, and evaluation. (Adult) learning theories was covered by 73%; the next disciplinary subject on the list, organization theory/organization behavior, was covered by only 55%. Only 40% covered psychological dimensions of HRD and only 27% covered economic dimensions of HRD. What this tells me is that the body of knowledge most graduate programs are covering is still based on professional practice. Since the practice of HRD is accepted as a necessity in most organizations, and there is an increasing number of training and consulting firms serving organizations, the focus of most graduate programs has been on preparing professionals to meet the needs of the marketplace.

Since our field is still primarily practice-driven, the body of knowledge studied in most HRD graduate programs has been informed by "reflective theory building" (Mott, 1996). There is nothing wrong with practitioners engaging in reflective theory building that results in expert knowledge for use in practice. And there is nothing wrong with graduate students studying expert knowledge as part of their programs of study. The danger is both what is "expert" knowledge and whether what may work in one context will work equally well in another context (Chalofsky, 1996). Most of what is practiced in the field is still, at best, educated trial and error, and, at least, "the fad of the month". Few organizations or HRD consulting firms conduct research to test new approaches. And the academic research being conducted is still too new to be readily translated into practice. The state of research and

theory building has not had outlets for dissemination until the establishment of the *Human Resource Development Quarterly* and the *Performance Improvement Quarterly* journals. In addition, an association for HRD academics (the HRD Professors Network of ASTD) was established in 1981 but did not seriously begin to promote scholarly work until the Academy for Human Resource Development was formed in 1993. Thus, HRD has not had its own research and theory building guiding and informing best practice; which, in turn, would be guiding and informing day-to-day practice. Instead, we have had practitioners' and consultants' educated opinions and ideas *cloaked as new theories and/or approaches* driving practice.

In essence, the very HRD doctoral programs that are producing the new research and theory that will inform the field should also be anchored with a foundation of seminal theories in related disciplines. This will insure that we are building on what is already known, rather than reinventing the wheel. It also means we will be practicing what we preach; that doctoral students should know the seminal theories and research in their respective specialties within HRD. In addition, research and theory should also be linked with expert knowledge wherever possible in the curriculum.

Conclusion

While our program faculty would advocate this disciplinary framework for all HRD graduate programs, I primarily want to start the dialogue about the basis for a discipline for our field. Eventually, our Academy is going to have to deal with questions of quality control and accreditation. Should the academy have an agreed upon core set of theories for the discipline? Should there be specialty areas within the discipline? Should quality be evaluated on a program's adherence to and coverage of the core theories? These and other questions need to be addressed in the academy at some point in the near future.

References

- Bates, R., Hatcher, T., Holton, E., & Chalofsky, N. (2001). Redefining human resource development: An integration of the learning, performance, and spirituality of work perspectives. In O.A. Aliaga (Ed.), *Academy of Human Resource Development 2001 Conference Proceedings* (pp.205-212). Academy of Human Resource Development: Tulsa, OK.
- Chalofsky, N. (1996). Professionalization comes from theory and research: The why instead of the how-to. In R.W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 51-56). San Francisco, CA: Jossey-Bass.
- Chalofsky, N. & Lincoln, C. (1983). *Up the hrd ladder*. Reading, MA: Addison-Wesley.
- Galagan, P. (1986). HRD is..., *Training & Development Journal*, 40, 4.
- Kuchinke, P. (2002). Institutional and curricular characteristics of leading graduate hrd programs in the united states. *Human Resource Development Quarterly*, 13, 127-143.
- Jacobs, R. (1990). Human resource development as an interdisciplinary body of knowledge. *Human Resource Development Quarterly*, 1, 65-71.
- Jarvis, P. (1987). *Twentieth century thinkers in adult education*. London: Croom Helm.
- Jensen, G. (1964). How adult education borrows and reformulates knowledge of other disciplines. In G. Jensen, A. Liveright, & W. Hallenback, (Eds.), *Adult education: Outlines of an emerging field of university study* (pp. 105-112). Washington, D.C.: Adult Education Association.
- Lee, M. (2001). A refusal to define hrd. *Human Resource Development International*, 3, 327-341.
- McGoldrick, J., Stewart, J., & Watson, S. (2002). Understanding hrd: A research approach. *International Journal of Human Resources Development and Management*, 1/2, 17-30.
- McLagan, P. (1989) *Models for HRD practice*. Alexandria, VA: ASTD Press.
- Mott, V. (1996). Knowledge comes from practice: Reflective theory building in practice. In R.W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 57-63). San Francisco, CA: Jossey-Bass.
- Richard, S. (1996). Unleashing the human spirit. *At Work*. 5, 11-13.
- Ruona, W. E. A., & Lynham, S. (1999). Toward a philosophical framework of thought and practice. In K.P. Kuchinke (Ed.), *Academy of Human Resource Development 2000 Conference Proceedings*, (pp. 206-215). Academy of Human Resource Development: Baton Rouge, LA.
- Swanson, R. (2001). The theory challenge facing the human resource development profession. In O.A. Aliaga (Ed.), *Academy of Human Resource Development 2001 Conference Proceedings* (pp. 1013-1017), Tulsa, OK.

Watkins, K. (2000). Aims, roles, and structures for human resource development. In W. E. A. Ruona & G. Roth (Ed.) *Advances in developing human resources, Vol. 7: Philosophical foundations of human resource development practice* (pp. 54-59). San Francisco: Berrett-Koehler.

A Survey of Current and Former Members of the Academy of Human Resource Development

Fredrick Muyia Nafukho

Barbara E. Hinton

University of Arkansas

The primary purposes of the study were to: determine the overall satisfaction of current and former members with the AHRD professional activities; establish the members' perception regarding the resources provided by the academy and the additional resources that need to be provided; establish the members' perceived importance of the academy's selected professional activities, and determine the reasons for leaving the Academy by former members. Seminal findings regarding the professionalization process of AHRD were established.

Keywords: Professional Organizations, Professional Development, Academy of HRD

(The findings from this study have been analyzed by the authors and do not necessarily represent the opinion of the AHRD Board of Directors.)

The Academy of Human Resource Development (AHRD) began in 1993 in the United States of America and "today, AHRD is a vital professional organization with membership worldwide" (McLean, 2003, p.157). The academy focuses on a new and evolving discipline of Human Resource Development (HRD). As noted, "HRD is an evolving discipline that is in the process of creating and validating knowledge" (Bierema & Cseh, 2003, p.5). The vision of AHRD is "leading Human Resource Development profession through research." This vision is not static and is ever evolving. In addition to North America, AHRD has chapters in Africa, Asia, and Europe. To show the dynamic nature of AHRD, it holds annual research conferences in the US, Asia and Europe. The academy also sponsors or co-sponsors four scholarly journals: *Advances in Human Resources*, *Human Resource Development International*, *Human Resource Development Quarterly* and *Human Resource Development Review*. It also publishes annually a 1000 plus page refereed conference proceedings. McLean (2003, p. 1) observed, "the success and vitality of the organization today reflect many of the forces, events, and people behind the formation of the Academy of Human Resource Development."

Since the establishment of AHRD, several studies have been conducted related to its vision and mission. For instance, Arnold (1996) looked at the 1994 and 1995 proceedings of the Academy of Human Resource Development conference proceedings according to the type of research and tools used to discuss findings, Van Hooff and Mulder (1997) examined the contents of research appearing in the 1996 AHRD conference proceedings, and Chermack and Lynham (2002) examined the highest procedures of scholarship in human resource development. Bierema and Cseh (2003) evaluated over 600 AHRD Proceedings papers from 1996 to 2000 according to a feminist research framework. While these studies advance the professionalization of AHRD, limited research has addressed the issue of customer (member) satisfaction within the Academy of Human Resource Development.

Research Problem and Purpose of the Study

Empirical research shows that AHRD is a dynamic professional association with a vision to lead the HRD profession through research. The academy "is already filled with a rich and meaningful past" (McLean, 2003, p.155). While the Academy is making tremendous progress, members must continuously aim for excellence. Empirical research shows that "96% of customers/members who experience poor customer service never complain to someone in the organization, an unhappy customer/member will tell 9 to 15 other people/members about their experience and it takes 12 positive experiences to make up for one negative customer service experience" (Epsilon Pi Tau Inc., 2002, p.5). Thus, one customer receiving poor service experience normally gets exaggerated more than expected. Therefore, AHRD must continuously examine itself. While there is much to be researched and written about the Academy, the primary purpose of this paper was to determine the overall satisfaction of AHRD current and former members with the professionalization of the Academy. The research questions that guided this study were: What is

Copyright © 2004 Fredrick Muyia Nafukho & Barbara E.Hinton

the background information of AHRD members? (Country of residence, state of residence for US members, primary area of responsibility, membership in other professional associations and reasons for joining the Academy). How satisfied are the current members with the AHRD's professional services? What are the current members' perceptions regarding the resources provided by the academy? What additional new resources should be introduced? How important are the various professional activities provided by the Academy? And what reasons do the former members provide for leaving the Academy?

Significance of the Problem

AHRD has become a major professional association for both researchers and practitioners in the field of HRD. Members of the academy have made significant contribution by writing outstanding books such as "Principles of Human Resource Development" by Gilley, Eggland and Gilley, "Ethics and HRD: A New Approach to Leading Responsible Organizations" by Hatcher, "The Workplace Learner: How to Align Training Initiatives with Individual Learning Competencies" by Rothwell, "Strategic Human Resource Development" by Walton, and "Foundations of Human Resource Development" by Swanson and Holton. Several Members of the academy are professors, respected practitioners and leading international consultants in organizations world over. It is important that the association sets the best example by valuing her own members – their diversity, their unique contribution to the association, their nationality, their cultures, and their views regarding the professional growth and performance of the Academy. What AHRD has become today, its vision, its mission, its ethical values, its growth and recognition, can all be attributed to the members of the association. The authors hope that this paper will provide some insight on how to best serve the members of the Academy and make AHRD a leading world professional association in the field of HRD. Regarding the Academy and the globalization agenda, one of the founding members of the association noted: "Again in contrast with last year, only two of the ten papers had at least one author who is obviously not a U.S. citizen. This is an interesting observation for me as the Academy struggles with defining what it means to become a global organization. ... The results from this year raise questions about whether we are, indeed, making consistent movement in the direction of attracting the best of HRD research that is being conducted outside of the U.S" (McLean, 2001, p. 1). While we totally agree with these sentiments, more views from AHRD membership should help the organization re-examine its vision, mission, and organizational services.

Theoretical Framework

The conceptual framework for this study is derived from Gilley and Egglands (1989) overall marketing strategies for HRD departments. In their model, Gilley and Eggland developed a 2 by 2 matrix for marketing HRD programs. The Academy could adapt this model for the purpose of marketing its services to existing and new markets. The model argues that existing HRD programs need to penetrate existing markets while at the same time develop new markets. The organization needs to develop new programs by developing new products through diversification. Application of this model to AHRD as a profession requires continuing offering the existing services to both current markets and to new markets. In addition, the Academy must design new services and provide additional resources to its exiting members and to new members. The Gilley and Eggland model, as adapted for AHRD, is illustrated in Figure 1.

Figure 1. Overall Marketing Strategies for AHRD

	Existing AHRD Services for Members	New services and Resources for Members
Existing Markets in Africa, Asia, Europe and U.S.	Market penetration	New Resources and Service Development
New Markets in Australia, New Zealand, and South America	Market Development through networking and strong ties with colleagues and former students	Diversification of Services and Resources offered

Blake (1995) and Mclean (2003) noted that HRD is a relatively young profession that was born out of sagacity rather than sentient action by its founders. AHRD as a young professional association needs to appropriately market itself. An understanding of member's choice in decision-making is therefore critical in designing of unique professional services for the members. This understanding is in line with investment in customer-capital (Nafukho & Burnett, 2002). Human Resource Development professionals as marketers should use their marketing skills to research the issue of member satisfaction and perception of the professionalization process of the Academy. The AHRD's strong and competent leadership should provide customer-capital services to the members by helping in

designing effective marketing strategies. The Academy as a professional association dedicated to serving its members has an obligation to the members to help them grow professionally. This can only be achieved by knowing what the members want through research.

Marketing as applied to education is a concept that allows decision makers to think systematically and sequentially about the mission of the organization, the services it offers, the markets it currently serves, and the extent to which these same markets and possibly new ones may demand its services in the future (Ihlantfeldt, 1980). HRD researchers and practitioners, in particular, deal with an intangible product that is more of a service than a commodity. There is always some difficulty when it comes to quantifying intangible services such as providing quality journals to members. Marketing can, however, enable AHRD leadership and professionals to determine whether their vision and mission match member interests. Kotler (1975) defines marketing as the "analysis, planning, implementation, and control of carefully formulated programs designed to bring about voluntary exchange of values with target markets for the purpose of achieving organizational objectives" (p.5). Marketing relies heavily on designing the "organization's offering in terms of the target market's needs and desires and on using effective pricing, communication and distribution to inform, motivate and service the markets. Rothwell and Sredl (1992) noted that marketing is important to HRD field since people (members) cannot benefit from products or services that are unsuitable or those they know nothing about. Therefore, when the Academy markets its products, resources and services, it must tailor these services, resources and products to suit the needs of the customers (members) and to continuously inform members of the products, resources and services that are offered.

Professional Associations and their Roles

While it is obvious that AHRD as a profession needs strategies for marketing itself, it is important to look at what professional organizations are and why they need members. It has been noted that professions must "(1) involve intellectual operations (2) derive their material from science (3) involve definite and practical ends (4) possess an educationally communicable technique (5) tend to self-organization, and (6) be altruistic" (Cervero, 1988, p.6). When a profession is looked at in this way, Cervero calls it a static approach of defining a profession (Merriam & Brockett, 1997, p. 218). The second approach of defining a profession is known as the process approach. In this approach, "emphasis is placed on the circumstances by which an occupation professionalizes (Merriam & Brockett, 1997, p. 219). Houle (1980) observed that the professionalization process has the following core characteristics: Clarifying the functions of the profession, mastery of theoretical knowledge, capacity to solve problems, use of practical knowledge, self-enhancement, formal training, credentialing, creation of a subculture, legal reinforcement, public acceptance, ethical practice, penalties, relations to other professions, and relations to users of the service (customers/members). The fourteen characteristics identified by Houle (1980) define a profession from the process approach. This perspective differs from the static approach in that it defines a profession by the extent to which the criteria is met and not from specific objectives and standards. Merriam and Brockett, (1997, p. 219) provide a third definition of a profession as a socioeconomic approach which views a profession as "a folk concept, in that an occupation is a profession only to the degree to which it is regarded by the general public." This approach relates to the tenth characteristic of a profession – public acceptance, and has social, political and cultural implications for the developing profession such as AHRD.

The professionalization process of AHRD is in line with a number of the characteristics identified above. While professions that have existed for many years may be easy to market, new and emerging professions like HRD face tough challenges. The profession of HRD faces challenges related to its definition (Lee, 2001). Although several studies have looked at vision and mission of AHRD, gender issues in the Academy, quality of research conducted, philosophical beliefs of the founders of AHRD (Arnold, 1996; Beriema & Cseh, 2003; Chermack & Lynham; 2002; Hooff & Mulder, 1997), no study has looked at members' perception regarding the professionalization of the Academy. This study was therefore designed to fill this gap.

Method

Sample. The sampling frame for this study consisted of 522 current members (fully paid up members in 2002) and 473 former members (members who had not renewed their membership in 2002). Respondents participated in the study via a Web-based survey. The AHRD professionals that participated in the study were identified through their affiliation with the Academy headquarters based at Bowling Green State University, College of Technology. The researchers sought permission to contact the Academy members from the AHRD Executive Board and Institutional Review Board (IRB) at the University of Arkansas. All current and former members (995) received e-mails from the Academy office directing them to the University of Arkansas server where the research instruments were hosted. Participation was voluntary and

totally anonymous. The software used in the design of the research instrument enabled the researchers to receive the e-mail feedback anonymously. In total, 157 (16%) current and former members responded to the instruments posted on the web.

Instrumentation. A web-based instrument designed using the Perseus software was developed for both the current and former members. Several research experts who are members of the Academy examined the instrument for its content validity before it was posted on the web site. Respondents were asked to rate their level of satisfaction with professional activities on a five point Likert-type of scale (Extremely Satisfied, Mostly Satisfied, Neither, Mostly Dissatisfied, and Extremely Dissatisfied). The respondents' perception on need for additional services was sought by requesting them to indicate whether new resources were required or not. An open-ended item on the instrument required members to specify ways to improve the Academy. Respondents were also asked to rate the professionalization activities of the Academy on a five-point Likert-type of scale (Strongly Agree, Somewhat Agree, No Opinion, Somewhat Disagree and Strongly Disagree). In addition, respondents were asked to provide background information such as country of residence, state of residence for U.S. members, primary area of responsibility, membership in other professional associations and reasons for joining the Academy. The former members were asked to provide reasons for leaving the Academy.

Results and Findings

Research Question 1: What Was the Background Information of AHRD Members?

Of the 97 current members who responded to the online survey, the majority (73.2%) came from the U.S., 5.2% from UK, 4.1% from Netherlands, 2.1% Kenya, while Afghanistan, Australia, Belgium, Finland, Hungary, Ireland, Jamaica, Japan, South Korea, and Taiwan had 1% of respondents each. The remaining 5.1% did not indicate their country of residence. In the case of former members, of the 60 members who responded to the online survey, 76.7% were from the U.S., 3.3% from India, while Afghanistan, UK, Ireland, Italy, South Korea, Thailand, and Hungary, had 1.7% of the respondents each. The remaining 8.3% did not indicate their country of residence. Regarding the state of residence for U.S. current members, the majority (16.5%) was from Minnesota. This was followed by the states of Arkansas and Illinois, with 6.2%, Georgia and Pennsylvania had 5.2% each, Florida had 4.1%, Virginia, Texas, Ohio, and Michigan had 3.1% each, Tennessee and Maryland had 2.1% each, while 17 other states had 1.0% of the respondents each. The remaining 22.7% did not indicate their state of residence. In the case of former members, the majority (13.3%) were from Minnesota, this was followed by Oklahoma with 8.3%, Texas and Virginia with 6.7% each, Georgia, Louisiana and Tennessee with 5.0% each, Illinois, Indiana, Michigan, with 3.3%, while 13 other states had 1.7% each. The remaining (18.3%) of the former members who responded to the online survey did not indicate their state of residence.

Regarding primary area of responsibility, 46.4% of the current members surveyed were faculty members, 17.0% were practitioners employed in business, non-profit or government organizations, 14.4% were consultants, while 11.3% were students. The remaining 10.3% filled "other" as their main occupation. When compared to the former members' primary area of responsibility, approximately 23% were students, 12.4% were faculty, and 33% worked as practitioners in business, non-profit, government or consultants. The former members' major reasons for joining the Academy were to: gain intellectual stimulation from HRD scholars, learn the latest research, gain visibility relative to career moves, present research, and network 86%, while 6% joined the Academy to look for a job. Of the current members, 93% reported that they would recommend the Academy to others. Of the former members, 80% had belonged to the Academy for a period ranging from 1-6 years.

Research Question 2: How Satisfied are the Members with the Professional Services Provided?

When current members were asked to rate their overall satisfaction with AHRD activities, 50.5% were extremely satisfied, 25.8% were mostly satisfied, 14.4% indicated neither, 3.1% were mostly dissatisfied, none were extremely dissatisfied, while 6.2% did not respond to this item. Table 1 shows the satisfaction level of the current members with the peer-reviewed journals published by the Academy. As shown in Table 1, 86.6% of the current members who completed the online survey were satisfied with the HRDQ; this was followed by ADHR and HRDR with 72.2% each. Regarding the ARHD annual research conference, 69% of the members were satisfied with the way the conference was being organized and another 69% of the members were satisfied with the cost of AHRD membership, while 39% of the current members were satisfied with the research to practice activities of the Academy.

Table 1. Overall Satisfaction with AHRD Professional Activities by Current Members

Service provided by AHRD	ES	MS	N	MD	ED	NR	Total
	N/%	N/%	N/%	N/%	N/%	N/%	N/%
Advances in Developing Human Resources ADHR)	32/33.0	38/39.2	15/15.5	4/4.1	1/1.0	7/7.2	97/100
Human Resource Development Quarterly (HRDQ)	45/46.4	39/40.2	8/8.2	0/0.0	0/0.0	5/5.2	97/100
Human Resource Development Review (HRDR)	32/33.0	38/39.2	18/18.6	2/2.0	0/0.0	7/7.2	97/100
Human Resource Development International (HRDI)	25/25.8	54/55.7	10/10.3	3/3.1	0/0.0	5/5.2	97/100
AHRD Annual research conference	30/30.9	37/38.1	17/17.5	6/6.2	0/0.0	7/7.2	97/100
Cost of AHRD Membership	23/23.7	44/45.4	11/11.3	8/8.3	3/3.1	8/8.2	97/100
Research to practice Linkages	6/6.2	32/33.0	28/28.9	21/21.6	3/3.1	7/7.2	97/100

Note: ES= Extremely Satisfied, MS=Mostly Satisfied, N=Neither, MD=Mostly Dissatisfied, ED=Extremely Dissatisfied, NR=No Response.

The current members were asked to indicate whether the resource provided was useful as is or if the resource needed improvement. Data in Table 2 show that 72.2% of the respondents reported that the AHRD print resources were useful in their present forms. This was followed by print proceedings of the AHRD Annual Conference, 65%. The resource that urgently needed improvement as rated by the respondents was the AHRD web site with 46.4% of the respondents rating it, as “resource needs improvement.”

Table 2. Current Members' Rating of Resources provided by AHRD to Members

Type of Resource	Resource Useful as is	Resource Needs Improvement	No Response	Total
	N/%	N/%	N/%	N/%
AHRD print resources	70/72.2	19/19.6	8/8.2	97/100
Articles in AHRD electronic publications	38/39.2	26/26.8	33/34	97/100
Reading lists of relevant articles Delivered Online	19/19.6	31/32.0	47/48.5	97/100
Compilations of relevant information delivered online	22/22.7	28/28.9	47/48.5	97/100
List serve/online discussions	18/18.6	24/24.7	55/56.7	97/100
Web seminars/Web meetings	11/11.3	23/23.7	63/64.9	97/100
AHRD Website	27/27.8	45/46.4	25/25.8	97/100
AHRD pre-conference sessions	42/43.3	23/23.7	32/33.0	97/100
Print proceedings of the AHRD Annual Conference	63/64.9	8/8.2	26/26.8	97/100
Electronic proceedings of the Annual conference	58/59.8	14/14.4	25/25.8	97/100
Forum general question	41/42.3	18/18.6	38/39.2	97/100
AHRD Committees	26/26.8	35/36.1	36/37.1	97/100

Research Question 3: What Are the Current Members' Perceptions Regarding the Additional Resources that should be Provided by the Academy?

Given the many resources now existing, current members were asked to suggest some of the additional resources that should be provided by the Academy. The following resources were recommended as being needed: Articles in AHRD electronic publications such as HRDQ, HRDI, HRDR and ADHR for members (20%), reading lists for relevant articles delivered online (26%), compilation of relevant information delivered online to members (26%), list serve online discussions (25%), and web seminars/meetings (25%).

Research Question 4: What is the Current Members' Perception of the Professionalization Process of the Academy?

The professionalization process of such a vibrant organization such as AHRD is ongoing and not static. As shown in Table 3, 63% of the current members who completed the online survey agreed that the Academy's activities helped members in their research mission, 60% agreed that the Academy provided opportunities for participation in leadership positions, 52% agreed that the Academy's leadership was responsive to individual input and members' concerns, while only 38% agreed that Academy sought inclusion to new membership on editorial boards or journals.

Table 3. Current Members' Perception of the Professionalization Process in AHRD

Professional Activity	SD	SWD	N	SWA	SA	NR	Total
	N/%	N/%	N/%	N/%	N/%	N/%	N/%
Leadership is responsive to individual input and members' concerns	3/3.1	10/10.3	21/21.6	38/39.2	12/12.4	13/13.4	97/100
Activities help members in their research mission	1/1.0	8/8.2	14/14.4	35/36.1	26/26.8	13/13.4	97/100
Activities help members in their teaching mission	3/3.1	10/10.3	26/26.8	29/29.9	16/16.5	13/13.4	97/100
Academy provides opportunities for participation in leadership positions	4/4.1	11/11.3	11/11.3	34/35.1	24/24.7	13/13.4	97/100
Academy provides opportunities for members to contribute book chapters that it sponsors	6/6.2	20/20.6	24/24.7	29/29.9	7/7.2	11/11.3	97/100
Academy provides opportunities for reviewers of manuscripts for juried journals that it sponsors	4/4.1	8/8.2	14/14.4	27/27.8	30/30.9	14/14.4	97/100
Academy seeks inclusion to new membership on Editorial Boards or Journals	7/7.2	19/19.2	20/20.6	29/29.9	8/8.2	14/14.4	97/100
Academy encourages participation from International Members	5/5.2	9/9.3	18/18.6	30/30.9	22/22.7	13/13.4	97/100
Generally speaking, AHRD Conference is Useful to me	5/5.2	13/13.4	32/33.0	34/35.1 1	0/0.0	13/13.4	97/100
I receive timely information from the Academy office	16/16.5	13/13.4	8/8.2	29/29.9	18/18.6	13/13.4	97/100
Activities help members apply research to practice	9/9.3	20/20.6	19/19.6	24/24.7	13/13.4	12/12.4	97/100

Note: SD= Strongly Disagree SWD= Somewhat Disagree N= No Opinion, SWA= Somewhat Agree SA= Strongly Agree, NR=No Response.

Research Question 5: How Important are the Various Professional Activities Provided by the Academy?

Data in Table 4 show the current members' perceptions regarding the importance of various AHRD activities. Research opportunities, publishing opportunities and development seminars were rated as being important by 86.6%, 83.56% and 81.4%, respectively, while leadership development programs had 70.1% and E-modules, 76.2%. In addition, 64.9% of respondents rated mentoring and 69.1% rated pre-conferences.

Table 4. Current Members' Perception Regarding the importance of AHRD Activities

Professional Activity	Very Important	Somewhat Important	Not Important	No Response	Total
	N/%	N/%	N/%	N/%	N/%
Special pre-conference	24/24.7	39/40.2	22/22.7	12/12.4	97/100
Special post conferences	7/7.2	38/39.2	36/37.1	16/16.5	97/100
Networking opportunities	62/63.9	21/21.6	1/1.0	13/14.4	97/100
Mentoring program	35/36.1	32/33.0	16/16.5	14/14.4	97/100
Publishing opportunities	69/71.1	12/12.4	3/3.1	13/13.4	97/100
Development seminars	50/51.5	29/29.9	6/6.2	12/12.4	97/100
Development E- Modules	30/30.9	38/39.2	16/16.5	13/13.4	97/100
Leadership development program	40/41.2	34/35/	110/10.3	13/14.4	97/100
Research opportunities	69/71.1	15/15.5	1/1.0	12/12.4	97/100

Research Question 6: What Reasons do the Former Members Provide for Leaving the Academy?

To help AHRD grow and attain international recognition among its members world over, it was found necessary to establish reasons for leaving the association from former members. The highest percentage (17.39%) of the members found AHRD not relevant to their needs, another (13.04%), reported that dues were expensive, (13.04%), found the journals not being relevant, (12.17%) were cutting back on membership while (12.17%) quit because of poor service.

Table 5. Reasons Why Former Members Discontinued Membership

Reasons	Frequency	Percent
Academy was not relevant to needs	20	17.39
Dues were too expensive	15	13.04
Journals were not relevant to needs	15	13.04
I am cutting back on memberships	14	12.17
Poor service	14	12.17
Prefer membership in other organizations	9	7.83
Employer no longer pays dues	9	7.83
Retired and no longer in the field	6	5.22
Do not receive journals	4	3.48
Appearance of scholastic inbreeding	2	1.74
I can get journals through library	2	1.74
The Association produces too many journals	1	0.87
I am not sure why	1	0.87
Limit on years for student membership	1	0.87
NA	2	1.74
Total	115	100.00

Conclusions

Current members are satisfied, to some degree, with the four Academy journals, the cost of membership, and the annual research conference. HRDI and HRDQ are the oldest AHRD publications, and, perhaps, are most familiar to current membership. The two newest publications, ADHR and HRDR were also reported as satisfactory by a majority of the respondents. Equally important, none of the publications were reported as being unsatisfactory by more than 5.1% of current members. Cost of membership does not appear to be a major concern with current members. Over two-thirds indicated some degree of satisfaction with membership cost. The annual research conference appears to be meeting the needs of a majority of the current members. Research to Practice Linkages need to be increased and improved. They are not perceived as being satisfactory by a majority of the members. Clearly, this is an activity that needs attention. Print resources are regarded as useful, according to a majority (72.2%) of respondents. There was no clear preference for print over electronic form of the AHRD Conference proceedings. Many of the AHRD electronic resources may not be well known or utilized by current membership. There should be an effort made to either make the resources available and known to the membership or to improve the existing resources. The AHRD Website needs improvement. Responses concerning the website had a spread of 27.8% (useful), 46.4% (needs improvement), and 34% (no response). Clearly, those responding "the resource needs improvement" signals a need for immediate attention to the web pages. AHRD pre-conference sessions are perceived as useful by almost half of the respondents (43.3%). However, with 33% of current members not responding to this item, perhaps the pre-conference sessions may not be fully utilized by membership. The same pattern is evident in the Forum General Question resource, with 42.3% indicating it is useful, but 39.2% not responding.

AHRD Committees need to become more effective and membership participation increased. Many members may believe they either are not useful or are unaware of their functions. Overall, the current members who responded view the professionalization process in AHRD as positive. Over half of respondents felt that leadership is responsive to member needs, that activities help members in their research and teaching missions, and that opportunities for participation in leadership positions are provided. They agreed that there are adequate opportunities for members to contribute to book chapters and to serve as reviewers of manuscripts; they also perceive the Academy as encouraging international membership. The AHRD Office is not perceived as providing timely information by almost a third of the respondents (29.9%). Although 48.5% agree that they receive timely service, with a third of the membership being dissatisfied, the Office should establish procedures that respond in a timely manner. Clearly, the office relocation has not been easy; however, the level of dissatisfaction calls for critical analysis. Research to Practice efforts need to be expanded. A third of respondents did not agree that AHRD "activities help members apply research to practice." As with the issue above, there is a perceived need for more or better support of research to practice. Opportunities for members to contribute book chapters/serve on editorial or journal boards should be expanded. Current members identified most of the activities of the organization as being important. Research opportunities, publishing opportunities, and development seminars are clearly valued by current membership. Leadership development programs and E-modules are activities that should be further developed. In addition, mentoring, networking, and pre-conferences should continue to be emphasized. Post-conference activities

should not be pursued at this time. Less than half of respondents (46.4%) rated post conference activities as being important. Former members seem to have left for three major reasons: Academy and journals were not relevant to their needs; expense of dues and cutting back on membership; and poor service. The relatively small number of people mentioning other reasons suggests that AHRD should focus on the top three.

Limitations

The data were purely descriptive; no relationships between variables were studied. The small sample could raise questions about the generalizability of the findings. Additional research involving larger samples is necessary to insure more generalization to AHRD membership.

Implications for HRD

The findings of this study show that AHRD leadership needs to communicate and clarify the Academy's vision and mission. The Academy must refine its activities and services to meet the greatest needs of the target audience. There is a need to strengthen the research to practice component. This calls for further collaboration between ASTD and AHRD to bridge the gap and clarify the application of AHRD research. Leadership should focus efforts on the things that the Academy is doing right. Process issues need to be addressed. Further qualitative inquiry is needed.

References

- Arnold, D. E. (1996). An exploration of the type of research appearing in the AHRD conference proceedings. In E.F. Holton III (Eds.), *Proceedings of the Academy of Human Resource Development Conference*, (pp. 817-821). Minneapolis: *Academy of Human Resource Development*.
- Bierema, L. L., & Cseh, M. (2003). Evaluating AHRD research using a feminist research framework. *Human Resource Development Quarterly*, 14(1), 5-26.
- Blake, R. R. (1995, March). Memories of HRD: A respected leader in HRD reminisces about the people, places, and programs that made the field what it is today. *Training & Development*, 22-28.
- Chermack, T. J., & Lynham, S. A. (2002). Assessing institutional sources of scholarly productivity in human resource development from 1995 to 2001. *Human Resource Development Quarterly*, 13(3), 341-345.
- Cervero, R. M. (1988). *Effective continuing education for professionals*. San Francisco: Jossey-Bass.
- Epsilon Pi Tau (2001, Fall). "Members are our customers." *Preceptor*, 5.
- Gilley, J. W., & Eggland, S. A. (1989). *Principles of human resource development*. Cambridge, MA: Addison-Wesley.
- Houle, C. O. (1980). *Continuing learning in the professions*. San Francisco: Jossey-Bass.
- Ihlantfeldt, W. (1980). The current marketing environment in higher education. In *Marketing in college admissions: A broadening of perspectives* (pp. 70-91). New York: College Entrance Examination Board.
- Kotler, P. (1975). Marketing for non-profit organizations. Englewood Cliffs: New Jersey Prentice Hall.
- Lee, M. (2001). A refusal to define HRD. In R. F. Poell (Ed.), *Academy of Human Resource Development: Cutting edge outstanding papers, 2001 annual conference*. (pp.3-12). Bowling Green: Academy of Human Resource Development.
- Mclean, G. N. (2001). *Academy of Human Resource Development: Cutting edge outstanding papers, 2001 annual conference*. (p. 1). Bowling Green: Academy of Human Resource Development.
- Mclean, L. D. (2003). Forces, people and events that contributed to the formation of the Academy of Human Resource Development. In S. A. Lynham & T. M. Egan (Eds.), *Proceedings of the Academy of Human Resource Development Conference*. (pp.157-162). Bowling Green, OH: Academy of Human Resource Development.
- Merriam, S. B., & Brockett, R. G. (1997). *The profession and practice of adult education*. Jossey-Bass: San Francisco.
- Rothwell, J. W., & Sredl, H. J. (1992). *The ASTD reference guide to professional human resource development: Role and competencies* (2nd Ed). Amherst, MA: HRD Press.
- Van Hooff, N. M., & Mulder, M. (1997). The analysis of conference proceedings for the Academy of Human Resource Development (AHRD) 1996: A review In R. J. Torraco (Ed.), *Proceedings of the Academy of Human Resource Development conference*, (pp.178-185). Atlanta, GA: Academy of Human Resource Development.

Bridging the Great Divide: Exploring Resistance to HRD in Adult Education

Laura Bierema

Wendy Ruona

Karen Watkins

University of Georgia

Maria Cseh

Oakland University

Andrea Ellinger

University of Illinois

Keywords: HRD on the Margins, Adult Education, Foundational Issues

This paper examines the debates and critiques surrounding HRD by uncloaking myths about HRD philosophy and practice that seem to commonly held by professionals in the field of Adult Education. We argue that the HRD field is “marginalized” in adult education and reflect on both the problems this situation creates and the increasing need to bridge these two fields.

During a recent Adult Education conference, participants were asked to identify metaphors for how they viewed both the fields of HRD and adult education. Several slogans emerged. These slogans included, “Learn and Earn,” “The Buck Starts Here,” “Cheerleaders for Management,” and “Corporate-centered, rigid, and individualistic.” The Adult Education slogans were characterized as being “learner-centered, flexible, collaborative,” “A Journey of Learning,” and “Education for Life.” These slogans tend to embody the views adult education holds toward HRD. These rather narrow views sometimes function to marginalize a growing field.

The study of marginality and commitment to eroding it are hallmarks of adult education theory and practice. Adult education’s interest in marginality, however, seems to be selective where HRD is concerned. There is little space on the agenda for HRD at adult education research conferences. Conversations about HRD tend to be less constructive than combative. Expressing an interest in HRD can be risky as it opens one up for unsolicited, often inaccurate critique. Because of these unwelcoming dynamics, many adult educators who are interested in HRD have moved to circles that are more hospitable and allow them a voice, and in the process, the voice of adult educators and their influence on HRD is being increasingly lost.

It is ironic that adult education marginalizes HRD since this behavior defies both the philosophy and practice of adult education. Although HRD is often accused of embracing money and management motives, the truth is that the HRD function is significantly marginalized in organizations. Furthermore, the majority of HRD professionals are women. Adult Education’s marginalization of HRD does little to help students who find themselves in the “trenches” striving to address the difficult process of organizational learning and development. HRD also straddles often competing interests between employees and management.

While we are not asking that adult education embrace every tenet of HRD, we feel that critical reflection on the profession’s behavior toward and treatment of HRD is imperative. By silencing this increasingly important aspect of adult education, we are doing a disservice to the profession, students, and most importantly stakeholders in the educational process. Seemingly, the HRD field is like unwelcome guests at dinner. Although they have a place at the table, they are merely tolerated, offered insincere niceties, and talked about in unsavory terms when they depart.

The purpose of this paper is to examine some of the commonly held myths that may portray HRD professionals as being behaviorally and performance focused, potentially irresponsible and non-reflective, economically focused on the bottom-line, exploitative, and possibly of questionable ethical practice. Following and examination of these myths, we will explore the possibilities of how some of these philosophical and practice-based differences between HRD and adult education can be bridged.

HRD Myths

According to *The New Shorter Oxford English Dictionary* (1993), a myth is:

Copyright © 2004 Bierema, Ruona, Cseh, Ellinger, & Watkins

A traditional story, either wholly or partially fictitious, providing an explanation for or embodying a popular idea concerning some natural or social phenomenon...; A widely-held (esp. untrue or discredited popular) story or belief; a misconception; a misrepresentation of the truth; an exaggerated or idealized conception of a person, institution, etc.; a person, institution, etc., widely idealized or misrepresented. (p. 1874).

Our goal is to identify myths that negatively portray or characterize HRD and HRD practice. These myths are either explicitly discussed in Adult Education literature or seem to be commonly held although not explicated. Whether explicit or not, these myths ultimately position HRD on the margins of adult education.

Myth # 1: HRD Professionals are Capitalist Sympathizers who Abuse Behaviorist and Humanistic Practices to Exploit Workers

Some adult educators assume that adherents of HRD profess unconditional allegiance to the human capital theory perspective (Cunningham, 1993; 2000; Scheid, Carter & Howell, 2001; Welton, 19xx). For instance, Schied, Carter, Preston, and Howell (1997) suggest that the HRD profession is prisoner to its history and view human capital and human relations theories as the key influence in HRD with their claim that “Embedded within human capital theory, in some quarters HRD has become synonymous with workplace learning” (p. 404).

There are several problems with the assertion that HRD is synonymous with capitalism and human capital theory exclusively. First, it is reckless to lump an entire field under one label. HRD is a complex multi-disciplinary field that is constantly changing in response to multiple stakeholders. Stereotyping the philosophical orientation of the many HRD scholars and practitioners is discourteous, and no more accurate than doing so for the profession of Adult Education. In fact, in a recent analysis of the philosophical underpinnings of HRD, Gilley, Dean, and Bierema (2001) illustrate how philosophical perspectives ranging from human capital to radicalism are represented in the scholarship and practice of the field.

Another flaw in the belief that HRD professionals are capitalist sympathizers is centered on the unit of analysis for critique. Seemingly, HRD is categorized as such because of its work with organizations. However, this is flawed for a few reasons. First, there is an underlying assumption that HRD only happens between the walls of corporations. This perspective ignores the important HRD work that is happening in non-profit organizations, governments and communities. What many critics of the human capital influence on HRD assert is that it is futile to work within the system to change it. We disagree. Second, this myth simply does not hold up when it is recognized that HRD is one of the few professions in organizations that most deeply cares and works for groups and individuals. One of the tenets of HRD is to work both from within and outside organizational systems to promote change that is beneficial to all stakeholders. Indeed to do that requires a constant balancing act and many struggles to find “win-win-win.” It also demands that HRD professionals cultivate a true systems perspective. HRD is often wrongly critiqued by people who focus largely on HRD roles in training processes, and yet this too ignores the systemic and broader issues that HRD must face. HRD is not only concerned with training, but also career development and organization development.

Finally, while human capital theory may be one theoretical lens to utilized in HRD, Swanson (1998) has acknowledged that there is no universal view or agreement on the theory or multiple theories that support HRD as a discipline. In fact, it is generally acknowledged that HRD is a discipline that draws upon many theories and is informed by several disciplines. Willis also suggests that “there is considerable agreement that adult education; instructional design and performance technology; psychology; business and economics; sociology; cultural anthropology; organization theory and communications; philosophy; axiology; and human relations theories, principles, and practices have all become a visible part of the HRD milieu” (p. 32). Still, there is often the tendency for critics to focus exclusively on human capital theory, or to narrowly conceive of HRD practice in highly economic and behavioristic terms. Accordingly, the images of HRD professionals as “capitalist pigs” and “Pavlovian trainers” are often construed.

Myth # 2: HRD Professionals Embrace Exploitation

Amplifying the myth that all HRD professionals embody an exploitative, capitalist perspective is the myth that they also seek to control employees through training and conditioning, or through humanistic initiatives that coax employees into participative or employee empowerment programs. Gee, Hull, and Lankshear (1996) charge that work in the old capitalism was alienating and characterized by workers being forced to sell their labor, with little mental, emotional, or social investment in the business. Today, they view management’s expectation for employees to invest their hearts, minds and bodies fully in work while at the same time thinking and acting critically, reflectively, and creatively. The authors acknowledge that this “new work” offers a less alienating view of work and labor in practice, but they suggest that it can also amount to a form of mind control and high-tech, but indirect coercion. The authors suggest that this high tech, kinder, gentler coercion happens through training. Schied, Carter,

Preston, and Howell (1997) assert, "It is the use of human relations techniques that form the central struggle over control in the workplace. From this perspective, HRD can be seen as a system of control embodied in a relatively new economic theory, human capital theory, and an old approach to controlling workers, human relations theory" (p. 405). These myths assume that there is one technology for addressing HRD issues: training. In reality, there are hundreds of organizational interventions (Cummings and Worley, 2000) and several philosophical orientations (Ruona, 2000) alive and well in HRD.

Myth #3: HRD Has No Ethics?!

One of the contentious topics that often fuels the scholarly debate triggered by the tenuous relationship between adult education and HRD is that of ethics in HRD (Bierema, 2000; Cunningham, 1993; Dirkx, 1996,; Kuchinke, 1999; Swanson, 1996; Willis, 1996). The question under scrutiny is "Are HRD professionals guided by ethical standards in their practice?"

HRD professionals have been actively engaged in discussion of the ethical issues involved in our profession (Dean, 1993; DeVogel, Sullivan, McLean, & Rothwell, 1995; Hatcher, 2002; Paige & Martin, 1996) for at least 10 years. During the 1996 Academy of Human Resource Development (AHRD) conference, Marsick (1996) and Jacobs (1996) started a discussion on the need for a code of ethics that continued at the 1997 and 1998 AHRD conferences. In her reflections after the 1996 AHRD conference, Marsick (1997) called for a code that "should be a living entity that is solidly anchored in enduring principles but lends itself to discussion and interpretation over time" (p. 91). The AHRD Standing Committee on Ethics and Integrity was formed in 1998 to develop a code on ethics and integrity, and the "Academy of Human Resource Development Standards on Ethics and Integrity" was published in 1999. Burns, Hatcher and Russ-Eft (2000) addressed the need for a casebook on ethics and integrity to raise the awareness of HRD professionals of the ethical standards of the profession and to help them examine how ethical standards apply to specific situations. The publication of the AHRD Standards on Ethics and Integrity (Academy of Human Resource Development Standing Committee on Ethics and Integrity, 1999) and a special issue of *Advances in Developing Human Resources on Ethics and integrity in HRD: Case studies in research and practice* (Aragon & Hatcher, 2001) shows the deep commitment of HRD professionals to an ethical profession.

While both the fields of HRD and organization development have established, published codes of ethics, ironically, the field of adult education has none. That is not to say that there are not ethical principles that the field is based upon, but that the field has not made identifying a unifying code of conduct a priority.

Myth #4: HRD Professionals do not Deeply Reflect on Practice, Theory, or Philosophy

Another myth surrounding the growing profession of HRD is that the profession does not deeply reflect on its practice, theory, or core beliefs. The last 10 years, however, demonstrate steadily increasing attention to philosophical issues. There has been a consistent call for work in this area from many of HRD's leading scholars. Chalofsky (1992) called for the conceptualization of the core of the profession comprised of philosophy and mission, theory and concepts, and roles and competencies. In a later writing, he stated that "the essence of why HRD exists as a profession—its purpose, values, and ethics—provides the foundation for professional practice of the field" (Chalofsky, 1998, p. 180). This call has been echoed by many others throughout the last 10 years, including Marsick (1990), Watkins (1991), Ellinger (1998), and Barrie and Pace (1998) who stated that "we may need to discover the foundational principles, as opposed to commonsense descriptors, that give HRD its philosophical base" (p. 39). Kuchinke (1996) described, compared, and contrasted different goals of HRD and their underlying ideologies, focusing solely on the concept of human development to elucidate alternative philosophies of HRD. In 1998 Barrie and Pace conducted a philosophical analysis, framed within a liberal education mode, to approach and describe the field of HRD. They argued that the key concepts of "learning" and "performance" could be elucidated in much the same way that differences between education and training were explained as part of analyses of philosophy of education. The utility of this kind of analysis, they argued, was that making some progress in analyzing these concepts would ultimately make a preferred model of HRD clearer. Recently a monograph entitled, *Philosophical Foundations of Human Resource Development* (Ruona & Roth, 2000) was introduced. In it Ruona (2000) shares the findings of a research study that sought to uncover core beliefs underlying HRD by exploring assumptions and beliefs of 10 scholarly leaders in the field.

Myth #5: Poor Practice is Representative of the Majority of HRD Practice

HRD has received sometimes-deserved critique, but unfortunately the profession is often condemned by its worst performers. What is never mentioned in many of the critiques is that often the program being evaluated is flawed and one that no responsible HRD professional would support. We must be critical of the critiques noting the type of intervention reported and analysis. Much of the critique assumes that HRD is synonymous with training. This view is laden with its own problems indicating that researchers are quick to critique HRD before they are even fully cognizant of what the process entails (For instance, Gee, Hull and Lankshear (1996) use an abhorrent training

examples to discuss “the new work order”). Until HRD efforts that are of high integrity and systemic are objectively evaluated, the critiques will lack credibility or useful information for improving HRD practice.

Myth #6: HRD Cannot Influence the System

The information age, the power of knowledge, and recognition of people’s role in gaining competitive advantage brought the HRD field out from its traditional role of offering individual training to that of supporting individual learning, the integration of learning into the workplace, the development of learning teams and organizations and facilitation of organizational development and change. As organizations have to change more frequently and sometimes radically in order to maintain their competitiveness on the global market, HRD professionals are seen more often in the role of strategic business partners in the change process.

The theory and practice of aligning HRD as a major organizational process having strategic business contributions has been the topic of many books published in the last decade (Chalofsky & Reinhart, 1988; Hendry & Newton, 1993; Brinkerhoff & Gill, 1994; Pfeffer, 1994; Rothwell & Kazanas, 1994; Phillips & Rothwell, 1998; Rothwell, 1998; Price & Walker, 1999; Walton, 1999). Their purpose was to describe the strategic roles of human resource development in organizations and strategic planning, to develop the ability of HRD professionals to think strategically and holistically about the organization and the environment within which it is situated and gain understanding on how to influence change. Continuous inquiry in understanding the challenges facing “change agent” HRD professionals (Kalata & Wentling, 1999; Leimbach & Ceh, 1999; Anthony, Jeris & Johnson, 2000; Watkins, Marsick, Honold & O’Neil, 2000) give a glimpse on how HRD professionals influence the system and present lessons learned for better practices.

Myth #7: HRD Lacks an International Perspective

Some have charged HRD for lacking an international perspective and discipline. Once again, there is ample evidence to the contrary. The interdisciplinary nature of HRD described so metaphorically by Willis (1996). The open space created by the intensive globalization of the world economy, triggered by the development of science and technology, has offered people the opportunity to migrate across national boundaries in search of the “ideal” employment opportunity or political environment. This raises continuous challenges for HRD professionals whom work in organizations that are increasingly becoming globalized and multi-national. More and more professionals “fly off to learn from each other” in an attempt to understand each others’ issues. Seeking this understanding is even more important in the light of literature (Rijk, Mulder and Nijhof, 1994; McLean & McLean, 2001; Odenthal & Nijhof, 1996, Valkeavaara, 1998) that has shown the culture-bound nature of HRD.

For example, in Finland and other Scandinavian countries human resource development is seen as a special area of adult education which is closely related to working life and new ideas in the HRD field are quickly followed and adopted into local HRD needs and practices (Valkeavaara and Vaherva, 1998). Valkeavaara and Vaherva also acknowledge the changing role of HRD practitioners from deliverers of training to facilitators of change and lifelong learning in organizations. HRD is called to adopt a proactive role towards the change in society and in the work organizations.

Myth #8: The Primary Role of HRD Professionals is Training and Educating Adults

There have been at least 20 definitions of HRD forwarded and analyzed (Weinberger 1998) and most of them do indeed describe a role/responsibility related to training and adult education. In 1989, Nadler and Nadler defined HRD as “organized learning experiences provided by employers within a specified period of time to bring about the possibility of performance improvement and/or personal growth” (p. 6). However, 1989 also revealed a very different truth for the people who were *actually* practicing in the field of HRD. McLagan’s (1989) study of practitioners explained that the three key roles HRD professionals were working in could be classified as (1) training and development, (2) organization development, and (3) career development. This is an important marker in HRD’s history, because since 1989 and the explosion of the knowledge economy, those roles have multiplied and diversified rather than being refocused back to only training. Watkins (1998) discusses the more complex reality in which HRD professionals exist: “Actual titles for human resource development practitioners vary enormously, and job responsibilities are more often combinations of one or more of these three roles with other assigned personnel roles such as organization designer, personnel specialist, or employee assistance counselor” (pg. 58).

HRD has not taken the technical-rational paradigm of separating practice from theory (Schön, 1983). HRD is an applied field, and to serve its practitioners well, HRD must tune-in to the real-world roles they are being asked to fill. It has and will continue to help them prepare for those roles by developing the proper diverse skill sets, and building an interdisciplinary knowledgebase that will serve the profession well.

Myth #9: HRD Exploits the Disenfranchised According to Race, Gender and Class

HRD has been accused of exploiting people based on race, gender and class. In fact, there is a growing recognition among several HRD scholars of the importance of critically evaluating HRD practice and scholarship (Bierema and Cseh, 2000, 2003). While we acknowledge that any educational endeavor, including HRD, can be

exploitative, HRD in and of itself is not. There may be practitioners and organizations that engage in questionable practices, but the field as a whole cannot and should not be labeled as an exploitative undertaking. The difficult work of making HRD more accountable and inclusive is underway. Considering that HRD is a younger field than adult education, it is to be expected that much of the research to date has focused on methods, evaluation and philosophical foundations. The field is entering a new phase of evaluating its purpose and impact as described elsewhere in this paper, and we believe that there will be even more critique and change in the future.

Myth #10: HRD is a sub-set of Adult Education

Throughout the years we have engaged in many a debate about HRD's heritage. Typically the discussion revolves around whether HRD is a sub-set of various academic disciplines. For instance, a common question is whether HRD grew out of a more established discipline such as Adult Education? The quick and obvious answer is that "yes, it has." However, that same answer can just as readily be stated by other strong and rich disciplines such as Vocational Education, Human Resource Management, and Industrial-Organization Psychology. Willis (1997) lists well over 20 "information files" that HRD practitioners use to support their work and states that "HRD practitioners and theorists will take from whatever disciplinary resources they need at any given time" (p. 666).

Epilogue: Bridging Adult Education and HRD

As we ponder the question of how to bridge the values chasm that now divides adult education and HRD, we are struck by Mark Twain's comment when told that the transcontinental lines were completed that would enable Maine to wire California. Twain replied, "But does Maine have anything to say to California?" In fact, over the years that we have been in adult education and human resource development, we see the chasm widening. Adult education increasingly speaks of inclusiveness—meaning including people who are different—but still within the value frame of adult education. HRD has become more and more distinctive in its own right, now a major academic entity in multiple disciplinary homes and yet has little allegiance to any one of them. Theory development in adult education has moved more to a post-modern critique and human resource development theory development continues with a few bursts of post-modernism but is still dominated by the modernists. So perhaps we have reached that point in a marriage of irreconcilable differences? Often this conversation ends with ponderings of whether HRD should "divorce" its spouse.

On the other hand, what would be different were we to seek marriage counseling? It would seem that we would need to renegotiate our relationship. As is so often the case, that renegotiation would likely have to do with power (in issues, for instance, such as who decides what HRD curriculum will be). We have built separate programs within our Universities because we could not come to a meeting of the minds. We have increased the distance between the two areas by creating and attending different "churches" (in this case academic or research conferences). Those of us who attend both churches already are boundary spanners, bridges between the two worlds. It has been left to those few boundary spanners to literally be bicultural. One of us recently described to a colleague what it was like to "be HRD" within adult education and yet "be adult education" in HRD"—she was amused at the realization that HRD was marginalized in both places! Frankly, it is not really all that funny if you're living it.

Real bridging would ask more of us to span the boundaries of both fields. We would incorporate both kinds of courses in our curriculums. We would create a culture of safety and acceptance for students with interests in literacy, social action, AND organizational training and development. We would problematize both corporate oppression and the oppression of post-modern critiques of organizations. In short, we would entertain multiple realities, and multiple truths.

But real bridging is hard. It may be that our values frames have already solidified and we are already looking around for a new life partner. If we do decide to get a divorce, it will be interesting to see who gets what property. Will adult education get to own theory about how adults learn and develop---or has psychology already taken that? What about program development? Will that stay with adult education or migrate to instructional design? What about theories of educational and organizational change? Will adult education retain any of that or let it go with HRD? What about issues of multiculturalism, race, class, and gender? Will HRD leave the best of what adult education has to offer behind? What of the students who do HRD work in government, hospital, non-profit, and corporate settings? Will adult education have a strong student base when these students are gone? Will HRD students want to leave adult education?

In other venues we have argued that, for the sake of HRD professionals, we need to be connected. We believe that we are a fate-sharing group and both HRD and adult education are enhanced by our connections. Perhaps it is time to challenge that assumption. Perhaps HRD professionals are worse off caught in the crossfire of our differing assumptions and values. In this article we have raised a number of issues about the myths that adult educators hold about HRD and attempted to illustrate that these are indeed myths. Yet, the prevalence of these views suggests to us

that we are like a voice in the wilderness. While the little interest in bridging between these two areas of study is coming from those of us who already bridge them, it would seem obvious that the time of reckoning has already come and we were simply unaware. A common statement of recently divorced people is, "I was living alone and didn't know it." Perhaps HRD is already living alone?

On the other hand, Short (2000) asserts that the metaphor of marriage and divorce is all together wrong and that continuing to think of HRD as a marriage between disciplines may fundamentally impede its progress. Perhaps, instead, it would be better to acknowledge HRD as a child of a diverse set of parents. In so doing, the child would be expected to learn about its heritage and be grateful for all of it—including the parts from the "other" parent's family. The child would be expected to deeply hold and integrate core values of each parent, rather than compromise the "other" parent's set of values and beliefs. Willis's (1997) assertion is that HRD will use whatever resources it needs to thrive and succeed. Perhaps that fittingly characterizes the teenager that HRD is now—a teenager that is passionately open and focused on the possibilities and the needs of the world and, yet at the same time, still struggling to figure out its own capacities, belief systems, foundations, and how it will fit in the world. Developmental theory would recognize this as a healthy and normal stage for a teenager and encourage this interdisciplinary odyssey. These disciplines together have produced a multitude of HRD scholars and practitioners who are rich in their diversity, and have given HRD a strong interdisciplinary heritage on which to grow. This metaphor of child also, of course, has implications for the parent. As a recognized "parent" of HRD, Adult Education must reflect on its role. Does a parent's job ever stop? What are the duties of this position we call a "parent"? How does a parent effectively use its influence as the child matures? How does a parent nurture the growth of an independent and successful child?

References

- Academy of Human Resource Development Standing Committee on Ethics and Integrity (1999). *Standards on ethics and integrity*. Baton Rouge, LA: Academy of Human Resource Development.
- Anthony, C. C., Jeris, L. S., & Johnson, J. R. (2000). HR involvement decisions and strategies in mergers and acquisitions: Four organizational portraits. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 1046-1053.
- Aragon, S. R., & Hatcher, T. (Issues Eds.) & Swanson, R. A. (Ed. in chief) (2001). Ethics and integrity in HRD: Case studies in research and practice. *Advances in Developing Human Resources*, 3(1), 1-102.
- Barrie, J., & Pace, R. W. (1998). Learning for organizational effectiveness: Philosophy of education and human resource development. *Human Resource Development Quarterly*, 9(1), 39-54.
- Bierema, L. L. (2000). Moving beyond performance paradigms in human resource development. In A. L. Wilson and E. R. Hayes (Eds.), *Handbook of adult and continuing education*. San Francisco: Jossey-Bass.
- Bierema, L. L., & Cseh, M. (2000). Knowledge creation in HRD: A feminist perspective. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 141-148.
- Bierema, L. L., & Cseh, M. (2003). Evaluating HRD research using a feminist research framework. *Human Resource Development Quarterly*, 14(1), 5-26.
- Brinkerhoff, R. & Gill, S. J. (1994). *The learning alliance: Systems thinking in human resource development* (1st ed.). San Francisco: Jossey-Bass.
- Burns, J. Z., Hatcher, T., & Russ-Eft, D. (2000). Confronting professional values and ethical issues: An innovative session on development of a case on ethics and integrity. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 600-604.
- Chalofsky, N. (1992). A unifying definition for human resource development. *Human Resource Development Quarterly*, 3(2), 175-182.
- Chalofsky, N. & Reinhart, C. (1988). *Effective human resource development: How to build a strong and responsive HRD function* (1st ed.). San Francisco: Jossey-Bass.
- Chalofsky, N. E. (1998). Professionalization comes from theory and research: The why instead of the how-to. In R. J. Torraco (Ed.), *Academy of Human Resource Development Conference Proceedings* (pp. 666-670). Baton Rouge, LA: AHRD.
- Cummings & Worley (2001). *Organization development and change*. (7th ed.). Cincinnati: South-Western College Publishing.
- Cunningham, P. (1993). The politics of worker's education: Preparing workers to sleep with the enemy. *Adult Learning*, (September/October), 13-14, 24.
- Cunningham, P. (2000). A sociology of adult education. In A. L. Wilson & E. R. Hayes (Eds.), *Handbook of adult and continuing education*. San Francisco: Jossey-Bass.

- Dean, P. J. (1993). A selected review of the underpinnings of ethics for human performance technology professionals. Part one: Key ethical theories and research. *Performance Improvement Quarterly*, 6(4), 3-32.
- DeVogel, S. H., Sullivan, R., McLean, G. N., & Rothwell, W. J. (1995). Ethics in OD. In W. J. Rothwell, R. Sullivan, & G. N. McLean (Eds.), *Practicing organizational development: A guide for consultants* (pp. 445-489). San Diego, CA: Pfeiffer & Company.
- Dirkx, J. M. (1996). Human resource development as adult education: Fostering the educative workplace. In R. W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 41-50). New Directions for Adult and Continuing Education, 72.
- Ellinger, A. D. (1998). Credentialing in the workplace: Human resource development practitioners should strive for certification. In R. J. Torraco (Ed.), *Academy of Human Resource Development Conference Proceedings* (pp. 677-684). Baton Rouge, LA: AHRD.
- Gee, J. P., Hull, G., and Lankshear, C. *The new work order: Behind the language of the new capitalism*. Boulder: Westview Press, Inc, 1996.
- Gilley, Dean, & Bierema, L. L. (2001). *The philosophy and practice of learning, performance and change*. Cambridge: Perseus.
- Hatcher, T. (2002). *Ethics and HRD*. Cambridge, MA: Perseus.
- Hatcher, T. G., & Aragon, S. R. (2000). A code of ethics and integrity for HRD research and practice. *Human Resource Development Quarterly*, 11(2), 179-185.
- Hendry, J., Johnson, G., & Newton, J. (Eds.). (1993). *Strategic thinking: Leadership and management of change*. Chichester, NY: Wiley.
- Howell, S. L., Carter, V. K., & Schied, F. M. (1999). "Irreconcilable differences: Critical feminism, Learning at work, and HRD." Paper presented at the Adult Education Conference, DeKalb, IL.
- Jacobs, R. L. (1996). Human resource development with integrity. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 1-5.
- Kaeter, M. (1995). HRD degrees: Who needs them? *Training*, 65-74.
- Kalata, E., & Wentling, T. (1999). The relationship between human resource development and business strategy in 1998 Fortune 500 companies. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 504-511.
- Knowles, M. S., Holton, E. F., & Swanson, R. A. (1998). *The adult learner: The definitive classic in adult education and human resource development*. Houston: Gulf Publishing Company.
- Kuchinke, K. P. (1996). Critique of classification of human development in human resource development. *Organizational Development Journal*, 14(2), 66-69.
- Kuckinck, K. P. (1999). Adult development towards what end? A philosophical analysis of the concept as reflected in the research theory, and practice of human resource development. *Adult Education Quarterly*, 49(4), 148.
- Leimbach, M., & Ceh, M. (1999). Mastering turbulent growth: A growth audit at a major pharmaceutical research center. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 386-395.
- Marsick, V. J. (1996). Performance with integrity: Thoughts on a code of conduct for HRD that reflects adult development theory. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 6-13.
- Marsick, V. J. (1997). Reflections on developing a code of integrity for HRD. *Human Resource Development Quarterly*, 8(2), 91-94.
- Marsick, V. J. (1990). Altering the paradigm for theory building in human resource development. *Human Resource Development*, 1(1), 5-24 & 29-33.
- McLean, G. N., & McLean, L. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- McLagan, P. (1989). Models for HRD practice. *Training and Development*, 43(9), 49-59.
- Merriam, S. B., and Caffarella, R. S. (1999). *Learning in adulthood: A comprehensive guide*. San Francisco: Jossey-Bass.
- Nadler, L., & Nadler, Z. (1989). *Developing human resources: Concepts and a model* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Odenthal, L. E., & Nijhof, W. J. (1996). HRD roles in Germany. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 158-165.
- Paige, M. R., & Martin, J. N. (1996). Ethics in Intercultural Training. In D. Landis & R. S. Bhagat (Eds.), *Handbook of intercultural training* (pp. 35-60). Thousand Oaks, CA: Sage.
- Pfeffer, J. (1994). *Competitive advantage through people: Unleashing the power of the work force*. Boston, MA: Harvard Business School.

- Phillips, J. J., & Rothwell, W. J. (1998). *Linking HRD programs with organizational strategy: Twelve case studies from the real world of training*. Alexandria, VA: American Society for Training & Development.
- Price, K. F., & Walker, J. W. (Eds.) (1999). *The new HR: Strategic positioning of the human resource function*. The Human Resource Planning Society.
- Rijk, R. N., Mulder, M., & Nijhof, W. J. (1994, June). *Role profiles of HRD practitioners in 4 European countries*. Paper presented at IRNETD, Milan.
- Rothwell, W. J. (1998). *The strategic human resource leader: How to prepare your organization for the six key trends shaping the future* (1st ed.). Palo Alto, CA: Davies-Black Pub.
- Rothwell, W. J., & Kazanas, H. C. (1994). *Human resource development: A strategic approach*. Amherst, MA: HRD Press.
- Ruona, W. E. (1999). *An investigation into core beliefs underlying the profession of human resource development*. St. Paul, MN: University of Minnesota, HRD Research Center.
- Ruona, W. E. A. (2000). Philosophy and Core Beliefs in Human Resource Development: A Journey for the Profession and its Professionals. In W. E. A. Ruona and G. Roth (Eds.), *Philosophical Foundations of Human Resource Development and Practice*. Advances in developing human resources, No. 7.
- Ruona, W. E. A., & Roth G. (2000), Philosophical Foundations of Human Resource Development, *Advances in Developing Human Resources*, 7 (pp. 1-27). San Francisco, Berrett-Koehler.
- Schied, F. M., Carter, & Howell, S. L. (2001). Silent power: HRD and the management of learning in the workplace. In R. M. Cervero & A. L Wilson (Eds.) *Power in practice: Adult education and the struggle for knowledge and power in society*. San Francisco: Jossey-Bass.
- Schön, D. A. (1983). *The reflective practitioner: How professionals think in action*. New York: Basic Books.
- Short, D.C. (2001). Shining a torch on metaphor in HRD. In D.C. Short (Ed.), *Metaphor in human resource development: Theory, research, and practice* (pp. 5-14). Manuscript submitted for publication.
- Swanson, R. A. (1998). The discipline of human resource development. In R. J. Torraco (Ed.). *Proceedings of the 1998 Academy of Human Resource Development Conference*, 880-887.
- Swanson, R. A., & Arnold, D. E. (1996). The purpose of human resource development is to improve organizational performance. In R. W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 13-20). New Directions for Adult and Continuing Education, 72.
- Swanson, R. A., and Holton, E. F., III. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Valkeavaara, T. (1998). Human Resource Development Roles and Competencies in Five European Countries. *International Journal of Training and Development*, 2(3), 171-189.
- Valkeavaara, T., & Vaherva, T. (1998). HRD in changing working life in Finland. *Human Resource Development International*, 1(1), 15-17.
- Walton, J. (1999). *Strategic human resource development*. Edinburgh Gate, Harlow, England: Pearson Education Limited.
- Watkins, K. E. (1991). Many voices: Defining human resource development from different disciplines. *Adult Education Quarterly*, 41(4), 241-255.
- Watkins, K. E. (1998). Foundations for HRD in a knowledge era. In B. R. Stewart and H. C. Hall (Eds.), *Beyond Tradition: Preparing HRD Educators for Tomorrow's Workforce*. Columbia, Missouri: University Council for Workforce and Human Resource Education.
- Watkins, K. E., Marsick, V. J., Honold, L., & O'Neil, J. (2000). Shaping a learning vision: Life histories of learning leaders and facilitators. *Proceedings of the Annual Conference of the Academy of Human Resource Development*, 205-212.
- Watkins, K. E. (1991, Summer). Many voices: Defining human resource development from different disciplines. *Adult Education Quarterly*, 41(4), 241-255.
- Weinberger, L. A. (1998). Commonly held theories of human resource development. *Human Resource Development International*, 1(1), 75-93.
- Willis, V. (1997). HRD as evolutionary system: From pyramid building to space walking and beyond. In R.J Torraco (Ed.), *1997 Conference Proceedings* (pp. 660-667). Austin, TX: Academy of Human Resource Development.
- Willis, V. J. (1996). Human resource development as evolutionary system: From pyramid building to space walking and beyond. In R. W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 31-40). New Directions for Adult and Continuing Education, 72.

Behaviorally Anchored Competencies as Assessment Tools

*Kim E. Dooley
James R. Lindner
Larry M. Dooley
Meera Algaraja
Texas A&M University*

*Gary Jedynak
Elaine Pattison
Summerhill Associates, LLC*

This session will address the use of behaviorally anchored competencies as assessment tools to measure employee performance and learning in formal educational settings. Practitioners from private industry and higher education will discuss and provide self assessment instruments and authentication measures that promote dialog and continuous improvement for both the employee/learner and the supervisor/instructor. Challenges and solutions for human resource professionals will be discussed, with a focus on implementation of innovative approaches to measure performance based upon competencies.

Keywords: Behaviorally Anchored Competencies, Behaviorally Anchored Self-Assessment, Strongly Inferential Anchors

Introduction

Many businesses and educational institutions face numerous challenges in determining appropriate assessment tools to measure knowledge, skills, and abilities (competencies). One innovative solution is the use of behaviorally anchored scales to measure competence for performance appraisal and to measure learning/growth as a result of training/formal education. According to Klink and Boon (2002), current uncertainty in employment contracts necessitate that employees have a “clear insight into their competencies and into the possibilities of maintaining or improving their professional competencies” (p. 1). Employers on the other hand are seeking multi-skilled employees flexible enough to keep up with the pace of change and growth taking place in the workplace. Organizations therefore provide training so that individuals become more competent for effective performance in their jobs. In this scenario, the concept of competency is gaining more and more importance (Barnett, 1994). This is also the case in higher education (Dooley & Lindner, 2002; Dooley, Lindner, & Dooley, 2002; Lindner & Dooley, 2002). From experience based on this system, the authors have seen significant practical, economic, and legal advantages in comparison with other performance review systems. Innovative work in progress is application of this system to software development worker performance appraisals. Key to the long term observed success of this behaviorally anchored self-assessment system is a one page, simple self-assessment document. This document is kept very compact by using strongly inferential anchors.

Theoretical Framework

Competency based training has emerged as an important human resource development tool. Professionals have used competency models to “clarify organization-specific competencies to improve human performance and unify individual capabilities with organizational core competencies” (Rothwell & Lindhom, 1999, p. 104). A competency model is a validated decision tool, correlated to a specific group of activities that describes key knowledge, skills, and abilities for performing those activities (Buford & Lindner, 2002). Competency models can be used as a recruitment and selection tool; as an assessment tool; as a tool to develop curricula and other training material; as a coaching, counseling, and mentoring tool; as a career development tool; and as a behavioral requirement benchmarking tool (Yeung, Woolcock & Sullivan, 1996).

Copyright © 2004 Kim E. Dooley, James R. Lindner, Larry M. Dooley, Meera Algaraja, Gary Jedynak, & Elaine Pattison

Competency based education primarily is a training program that is individualized and focused on the outcomes. It has flexible pathways for realizing the outcomes. According to Watson (1990) competency based education is an approach to education that ensures that the competencies taught are those that are required on the job. The goal of any competency based education is to ensure transfer of learning on the job.

Transfer of learning and the ability to measure learning outcomes as a result of a training program have been major issues in training and development (Antonacopoulou, 1999; Kellie, 1999; Smith, 1999). “Currently, the individual’s perspective is relatively under-researched, thus much remains unclear about the way individuals perceive the association between training and learning and more significantly whether individuals actually learn from training” (Antonacopoulou, 1999, p.14).

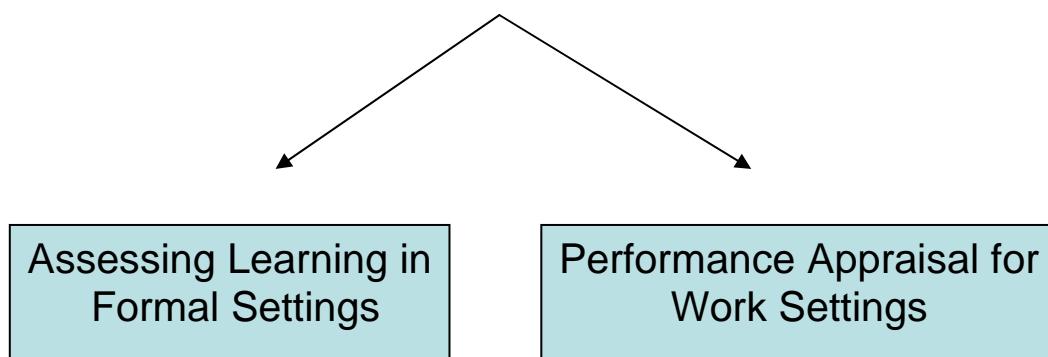
Description of Innovative Session Format

Consider the conventional methods of performance review and formal education assessment. Employees are judged by supervisors who circle or check boxes to give “grades” (Halbert, 2000). College classrooms include primarily lectures with exams, also giving “grades.” Is there a better way to measure learning and performance?

This innovative session proposes the use of a practitioner forum to discuss challenges and opportunities while using behaviorally-anchored competency assessment tools to measure job performance and learning in formal educational settings. The practitioners will include consultants whose work conceptualized and implemented an innovative system of behaviorally anchored self-assessment and performance appraisal as workers progress from “novice” to “expert.” This system is empowering to employees because they have the opportunity to assess their own skill levels and receive feedback from their supervisors. Both are asked to identify “long-term personal objectives,” including “skills and knowledge required and/or future positions desired,” and the “skills and capabilities you have that could be better utilized in your present job or in the future” (Halbert, 2000, p. 41). It was noted by the consultants that this system puts an emphasis on what people actually *know* and provides a forum for conversation about what a person can *do*.

Another component of this practitioner forum will be a discussion from researchers who have implemented behaviorally anchored assessments in short-term training programs and graduate coursework in the university setting. Competency-based behavioral models have been used to help adult learners understand their core competencies, and may subsequently increase satisfaction, motivation, learning, and ultimately success in educational programs (Drawbaugh, 1972). Use of anchors to authenticate results overcomes limitations of self-administered rating scales that are typically used to measure perceptions of competencies. A model will be shared in the session that can serve as an additional tool for HRD managers to measure the quality of training and address public and political pressure to explain learning.

Behaviorally Anchored Competencies As Assessment Tools



Agenda

1. Creating an Assessment Toolkit: Introductions and Overview of Session (5 minutes)
2. Hammer It In! Demonstration of Behaviorally Anchored Self-Assessment in Everyday Life (10 minutes)
3. Nuts and Bolts: A 7 Year Success Story in Manufacturing (15 minutes)
 - a. Overview of Competency-Based Self-Assessment for Performance Appraisal
 - b. Commercial Application in Collaborative Software Development
 - BASA: How do you determine the expertise of the design team?
4. Taking Measurements: (15 minutes)
 - a. Training and Education Overview of Competency-Based Self-Assessment for Documenting Learning
 - b. Exercise on Distance Education – Technology Knowledge and Skills
5. Structure Building: (30 minutes)
 - a. Small Group Discussion and Reports: Challenges in Developing and Using Behaviorally-Anchored Competencies as Assessment Tools
 - b. Closing and Complete Self-Assessment Instrument

References

- Antonacopoulou, E. P. (1999). Training does not imply learning: The individual's perspective. *International Journal of Training and Development*, 3(1), 14-33.
- Barnett, R. (1994). *Limits of competence: Knowledge, higher education and society*. London: Open University Press.
- Dooley, K. E. & Lindner, J. R. (2002). Competency-based behavioral anchors as authentication tools to document distance education competencies. *Journal of Agricultural Education*, 43(1), 24-35.
- Dooley, K. E., Lindner, J. R., & Dooley, L. M. (2002). Competencies of the distance education professional: Self-assessment and authentication measures to document learning. *Proceedings of the 2002 Annual Academy of Human Resource Development International Research Conference*, Honolulu, HA.
- Drawbaugh, C. C. (1972). A framework for career education. *Journal of the American Association of Teacher Educators in Agriculture*, 13(2), 16-23.
- Halbert, T.A. (2000). Reference check gridlock: A proposal for escape. *Employee Rights Quarterly*, 1(1), 34-46.
- Kellie, D. (1999). The Australian way: Competency-based training in the corporate sector. *International Journal of Training and Development*, 3(2), 118-131.
- Klink, van der M., & Boon, J. (2002). The investigation of competencies within professional domains. *Human Resource Development International* 5 (4) 411-424.
- Lindner, J. R. & Dooley, K. E. (2002). Agricultural education competencies and progress towards a doctoral degree. *Journal of Agricultural Education*, 43(1), 57-68.
- Rothwell, W. J. & Lindholm, J. E. (1999). Competency identification, modeling and assessment in the USA. *International Journal of Training and Development*, 3(2), 90-105.
- Smith, E. (1999). Ten years of competency-based training: The experience of accredited training providers in Australia. *International Journal of Training and Development*, 3(2), 106-117.
- Watson, A. (1990). *Competency based vocational education and self-paced learning*. Monograph series. (ERIC Document Reproduction Service NO. ED 324 443)
- Yeung, A., Woolcock, P., & Sullivan, J. (1996). Identifying and developing HR competencies for the future: Keys to sustaining the transformation of HR functions. *HR. Human Resource Planning*, 19(4), 48-58.

Grounding our HRD Practice in the Challenges of Management Development: A Case of China

Jia Wang

Wendy E. A. Ruona

University of Georgia

In the context of on-going economic reforms in the People's Republic of China, the paucity of management resources is widely recognized as a major obstacle to the country's endeavor toward modernization. This review of the literature explores pressing issues facing Chinese managers and current solutions being provided at the national, organizational and individual levels. Implications for management development are drawn and specific directions for future HRD research are presented.

Keywords: Management Development, International HRD, China

China's economic reforms since 1978 have ignited the transformation of many Chinese state-owned enterprises (SOEs) from a centrally planned government allocation system to a free market oriented shareholding system (Blayney, 2001). As a result, cadres of managers have shifted from being bureaucratic administrators to becoming strategic decision-makers (Branine, 1996). China's open-door policies and recent entry into the World Trade Organization (WTO) have further exposed Chinese managers to tougher global competition and higher standards of performance. In light of these changes, attracting and developing qualified managers has become a pressing issue for many Chinese organizations (Wang, 2002). Management development has been prompted speedily during the past two decades in response to the enormous and urgent demand for competent managers, however there is still a critical shortage of experienced and well-trained managerial personnel. In fact, it is widely recognized today that the paucity of management resources is a major obstacle to China's endeavor toward modernization (Frazer, 1999; Newell, 1999, Wang 2002).

China's economic transition has called for not only high quality managers but also professionalization of organizational management. How to transform so-called "civil servants" (*gong pu*) of SOEs into professional managers under the market economy has become a major issue in SOEs reforms (Li, 2003). Consequently, China is witnessing an emerging market of professional managers whose management experiences, talents, and skills are being recognized as valuable yet scarce resources.

All of these challenges continue to emerge, and yet there is strikingly little information available that helps us to really understand the day-to-day challenges that Chinese managers experience. The limited volume of literature on management and management development in China reflects the formative state of research in these areas (Lau & Roffey, 2002). Even the information that is available is not effectively synthesized to allow the typical HRD professional to get a grasp of how to best design and implement HRD interventions that will be most helpful during this transitional time. HRD professionals working with Chinese managers need a clearer and richer understanding of the unique and complicated managerial and organizational issues facing Chinese managers. If HRD professionals are to facilitate the development of people and systems in organizations, they must be more fluent in these issues and ground their HRD practice in the challenges of the stakeholders they serve.

Purpose and Methodology

The purpose of this literature review is to assess the management and management development literature related to two questions. First, what pressing issues are facing Chinese managers in a transitional economy? Second, what solutions for these issues are being discussed in the Chinese management literature?

This paper presents the results of a review of the literature. Searches of both Western and Chinese literature were conducted at two different phases. For the Western literature, a thorough search via five American databases was conducted in areas of business/economics and education: ABI/Inform Complete at ProQuest, ERIC at EBSCOhost, PsychInfo, Academic Search Premier, and Business Search Premier. The following key words were used either alone or combined to generate as many publications as possible: "organization management," "business management," "Chinese managers," "professional managers," "human resource management/development," "management education," "organization development," "management development," and "China". This search was

Copyright © 2004 Jia Wang & Wendy E. A. Ruona

confined to the literature from 1990 to 2003.

The second phase was locating the Chinese literature. This search was conducted by one of the authors in China over a two-month period of time during summer 2003. Major Chinese management websites were reviewed such as China Professional Managers Research Center website, China HRD Net, China Training Net, China Professionals Net, China Organization Management Net, and Chinese Professional Manager Training Certification Net. In addition, several of the popular Chinese management journals and periodicals were reviewed including *Manager, Professional Managers in the Chinese Market, China Entrepreneur, China Small and Medium Enterprises, Sino-Foreign Management, and HR World*. Due to time constraints, only issues between 1999-2003 were reviewed.

For the purpose of data analysis, all the data was organized in a matrix according to the author(s), year of publication, research questions, research method, participants (if empirical study), and key findings. Qualitative techniques were applied to identify major themes.

Pressing Issues Facing Chinese Managers in a Transitional Economy

The following themes must be understood in the context of five major transitions that have resulted from China's change initiatives: (a) transition of the economy from being rigid planned to becoming market oriented, (b) transition of the country from being rural and agricultural to becoming urban and industrialized (Zhang, Yang & Zhang, 2002), (c) transition of the society from being closely self-contained to becoming more actively involved in the global community (Zhang et al.), (d) transition of enterprises from being state-owned allocation system to representing private or collective forms of ownership (Blayney, 2001; Lau, 2002), and (e) transition of culture from being Confucian dominant to be more diverse with emerging socialism and capitalism (Yang, 2002). These five transitions have had a huge impact on managers. Fan (1998) likened this impact as "a non-swimmer being suddenly plunged into the 'sea of market' by the force of reform" (p. 203). In this section, we present three pressing issues facing managers during this transitional time.

Challenge of Changing the Managerial Role and Practice

China's economic transition has shifted millions of Chinese managers from being bureaucratic administrators to becoming strategic decision-makers (Branine, 1996). For example, managers under the market-oriented economy have been charged with sufficient autonomy and responsibilities to set production quotas and make decisions while they were left with little room to do so under the centrally planned economy because production quotas were pre-established by central and local governments (Krone, Chen, & Xia, 1997). Hiring is another example. In the planned economy, hiring was based on state assignment of jobs while in the market economy the state has gradually removed itself from this administrative responsibility and managers increasingly make hiring decisions independent of state control (Guthrie, 1999). Further, the practice of organizations providing employees with guaranteed lifetime employment (*iron rice bowl*) and generous benefits (e.g., free medical care, housing) is being replaced by time-specific employment contracts (Wang, Ruona, & Rojewski, 2003).

While managers are forced to re-adjust their thinking and practice in the light of a market-driven economy that emphasizes performance and individual accountability (Branine, 1996), they are still found to make compensation or bonus decisions and evaluate subordinates based more upon relationships than work performance (Zhou & Martocchio, 2002). This kind of resistance to change has historical and cultural roots. Historically, China has been a rural, agricultural and self-contained society isolated from the outside world for many years. Culturally, China has been dominated by the Confucian ideology (Wang et al., 2003). It was not until the country's recent opening to the outside that managers were exposed to different cultural norms and beliefs, different political and social systems, and different managerial mindset and conducts. Nevertheless, the strong cultural orientations of Chinese managers have often constrained them from understanding and accepting business and social practices that differ from their own, and these problems then "generate other human resource and strategic management problems, in job design, leadership, motivation, performance and productivity improvement, and organizational development" (Lau et al., 2002, pp. 3-4). Therefore, it is not surprising that even with a shift in managerial values, Chinese managers are more likely than their Western counterparts to engage in "informal" (what may be regarded in the West as illegal) business activities (Whitcomb, Erdenei, & Li, 1998). Further, the co-existence of traditional and reformed economic, institutional and cultural systems in China have caused more challenges for managers. For instance, despite the government's continued effort in promoting the market-oriented labor contract system since the mid-1980s, a considerable number of employees in SOEs still hold the mentality of relying on the government or state agency to assign jobs rather than actively participating in the labor market (Zhang et al., 2002).

Challenge of Developing Management Competencies

This issue can be understood in two respects. First, periodic changes in China have made managers' previous know-how increasingly inadequate and obsolete (Newell, 1999). Many managers have realized that skills they

acquired a decade ago are no longer sufficient for them to cope with changing business issues. In this regard, competencies such as problem-solving, strategic decision-making based upon a realistic understanding of market competition, and business English are most desired by employers (Shi, 2000). However, the majority of Chinese managers holds no education beyond high schools (Lau & Roffey, 2002) and have been promoted from workers or appointed because of their political and military background. The formal training they have received from organizations has tended to be in areas such as production and finance, even though there is a serious need for managers with knowledge in HRD, marketing, and organizational analysis (Branine, 1996).

Second, China's global development initiatives (e.g., open-door policy, WTO membership) have exposed Chinese managers to higher international standards for competencies. A recent research conducted using the Managerial Proficiency Assessment studied 70000 global managers from 17 different countries and found that the 7000 Chinese managers under investigation scored much lower in relevant managerial skills including listening and information processing (20%), clearly thinking and analyzing (32%) and performance evaluation (34%) (Ma, 2002). A reasonable conclusion can be reached that Chinese managers are not yet fully on track with the international world (*yu guoji jiegui*) (Guthrie, 1999) as the Chinese government has anticipated.

Challenge of Professionalizing and Standardizing Managerial Conduct

Related to the issue above, Chinese managers are facing the increasing pressure of professionalizing their conduct. This is confirmed by a survey of 300 middle-level Chinese managers in which 86% of them agreed that it has become imperative for organizations' leaders and managers to professionalize their practices (Li, 2003a). Unfortunately, Chinese managers have continuously reported their struggles in the process of professionalization largely due to the lack of established government policies, effective market mechanism and sufficient organizational support. For example, in a recent study on the income of managers of 40 large Chinese enterprises directly under the jurisdiction of the central government, the Department of Labor and Social Security found that on average Chinese managers receive much lower pay than their western counterparts and in many cases the annual income of a Chinese CEO is only 1.5 times of that of an ordinary employee (Anonymous, 2002). Another recent survey on Chinese managers in Beijing, Shanghai, Guangzhou, and Shenzhen (the four most economically advanced cities in China) disclosed six areas that managers felt most frustrated about: (a) objectives being too ambitious to achieve, (b) unclear directions of organizational development, (c) high turnover of human talents, (d) unbalance between heavy workload and little compensation, (e) unfair competition in the labor market, and (f) lack of credit from organizations (Li, 2003b). The results of this survey partly reflect the current situation of Chinese managers. Further, inadequacies in both laws and enforcement have weakened professional morality and social responsibility in China (Wright, Szeto, & Cheng, 2002). It is predicted that it will take at least another 8-10 years before the market of professional managers in China reaches maturity.

Current Solutions for Management Development in China

China now faces the daunting task of developing more than seven million Chinese administrators. To accomplish this huge task, many strategies have been adopted at the national, organizational, and individual levels.

National Level

The central government has made substantial efforts in addressing issues facing Chinese managers. First, the central government has stipulated adequate national laws and policies as a reaction to the critical shortage of managerial resources in reformed China. These include, for instance, the Law of Labor, the Law of Professional Education, and the Law of Enterprise. A series of training policies have also been formulated to provide specific guidance for developing management staff in large and medium enterprises. The *Guidelines for Training National Enterprise Managerial Personnel during the Ninth Five-Year Plan* explicitly regulate that during the planned five-year period of 1996-2000 all the enterprise managers must attend a three-month training on business administration which consists of 12 subjects such as Corporate Finance, Marketing, International Business, Economics, and Human Resources Development. Meanwhile, they must also complete a minimum of seven-days training on newly formulated laws, policies, and pressing issues during enterprise reforms. However, no literature has been found to assess whether or how well these government policies have been implemented in reality.

Second, in an effort to establish effective professional management systems within enterprises, a series of strategies have been adopted by the central government. A typical example is the 2002 establishment of China Professional Managers Research Center (CPMRC) and the China Institute for International Professional Managers (CIIPM) under the administration of the China Economy and Trade Commission. These organizations are charged with central tasks such as conducting professional management related research, providing accreditation for managers, and promoting life-long learning among managers (Wen, 2003). The government has also proposed specific strategies to build effective professional management systems including (a) continuing research on

professionalization by CPMRC, (b) strengthening collaboration between CPMRC and CIIPM, (c) cooperating between China International Professional Qualification Accreditation Center and government bodies, (d) collaborating between relevant Chinese agencies and International Professional Managers Association, (e) developing Chinese professional managerial talents pool, and (f) building long-distance education networks for Chinese managers. In addition, multiple channels have been used to provide the latest information and practical tools related to organization management at home and abroad. The primary goal of such an initiative is to create as many opportunities as possible to facilitate the learning and development of Chinese managers and government administrators at all levels.

Third, the central government has played a key role in management education by actively seeking the international assistance, especially from Western countries. A typical example is the development of Western-style MBA (Master of Business Administration) programs. Since the central government views MBA programs as an effective way to improve the quality of managerial personnel, the planning and implementation of MBA programs in Chinese universities are closely monitored by the Ministry of Education and the Academic Degree Committee (ADC, the highly ranked government authority supervising the award of academic degrees by universities in China) (Shi, 2000). In addition, the Ministry of Education and the ADC have also set up the National Guidance Committee for MBA Degree to supervise academic standards and evaluate the teaching quality of MBA programs offered by universities at different levels. At the same time, China has imported MBA programs from the United States, Canada, Australia and European countries. However, despite the government's effort in quality control, a number of researchers and scholars have reported problems associated with both domestic and imported management programs. Included among these problems are cultural discrepancy (Fan, 1998; Lau & Roffey, 2002; Newell, 1999) and unqualified management educators (Frazer, 1999; Shi, 2000; Zhang et al., 2002) which are widely accepted as major obstacles to the transfer of learning. Compared to developed countries, management development in China appears to have a less coherent strategy (Zhang, et al.) and has a long way to go to meet international standard and the need for Chinese management personnel (Qui & Zeck, 2001).

Finally, the Chinese government has also made a special effort in developing Chinese managers into WTO experts. A result of this effort is a 2002 national training project launched by China Enterprise Management Training Center and the University of International Business and Economics. It is expected that within next two years about 6500 high-level Chinese managers will attend this program which mainly offer training courses on WTO rules and market economy knowledge (China Trade World, 2002).

Organizational Level

China's SOEs reform during the past two decades has led to many fundamental changes in organization management. These continuous transformations are evidenced by organizations' effort in restructuring, technological upgrading, and human resource development (Yiu, Wu, & Saner, 2000). The gradual reduction of organizational hierarchy and bureaucracy requires managers to understand the market economy, have major accountability to their stakeholders, and retain more autonomy in decision making. The selection of managers has shifted from governmental appointment to public competition which adds new pressures for organizations to develop their selection systems.

In addition, formal management training and development programs have been given top priority and have been adopted Chinese organizations as a core strategy for the organizations' growth (Branine, 1996; Wang, 1999). The Chinese training market has witnessed rapid expansion in recent years. The domestic training expenses in 2001 were ¥30 billion (approximately US\$3.8 billion) and amounted to ¥40 billion (approximately US\$4.8 billion) in 2002 (Qu, 2003). Training has taken a variety of forms. For example, Frazer (1999) identified five training options for companies in China, including in-house training, the use of regional training centers, local outsourcing training, overseas work and study programs, and the local MBA programs. Similarly, Wang (1999) highlighted on-the-job technical training programs, formal management development programs (e.g., academic programs in economics and management), MBA programs, and management personnel on-the-job training programs. Although training has been given great importance, to what extent such an intervention has been sufficient and effective remains unclear. Branine (1996) characterized the process of introducing and implementing training programs in China as a great emphasis on quantitative rather than qualitative knowledge and as a poor appreciation of training priorities. He further critiqued the Chinese approach to management training and development for not being selective because training priorities are not clearly defined at the outset and being over-ambitious given the fact that the majority of managers have no education beyond high school and their management knowledge and skills are limited to the strict socialist central planning economy model.

Individual Level

Few studies have been found in the current management literature exploring how Chinese managers prepare themselves to deal with challenges day to day. However, it is apparent that Chinese managers are increasingly

committed to lifelong learning in both formal and informal settings. There is ample evidence that MBA education has gained and is increasingly gaining prominence among Chinese managers (Newell, 1999; Wang, 2003). Other means of learning include attending on-the-job training and management development programs and experiential learning - i.e. learning from personal experiences and mistakes, learning from the media, networking with other managers, and joining management associations, etc.

Implications

This analysis of the literature points to a few key themes for HRD professionals to consider. We organize them around two areas: management development in China (especially as is relevant for those practicing HRD in China) and future HRD research.

Implications for Management Development in China

First, it is evident from our discussion above that training has been adopted as a primary means to address the need for quality managers in China. This intervention is supposed to equip Chinese managers with adequate competences that will ultimately result in more effective managerial performance in the changing Chinese and global environments. However, both Western and Chinese management researchers and scholars have continuously reported problems associated with training programs-and these are increasingly being encountered in China. For example, Frazer (1999) stated that developing a quality in-house training program is one of the most difficult tasks for HR professionals in China. Shi (2000) found that the lack of qualified teaching staff, inappropriate teaching materials, and ineffective teaching methods are three major problems associated with MBA education in China. For Chinese management education as a whole, there is still a long way to go to meet the international standard (Qui & Zeck, 2001). Yiu et al. (2000) even went further by cautioning us that there is little evidence that training actually leads to better managerial and organizational performance. Thus the need to ensure adequate talent pools of middle and top managers in the coming decades continues to grow unabated even though China has invested extensive resources in training and upgrading its managerial talents. Two implications can be inferred here. First, HRD professionals working in China must be very critical when adopting training as an intervention, especially when managers' issues are beyond what can be effectively addressed via training. Hence, conducting an in-depth organization and training needs analysis should always be on the agenda of HRD professionals. Second, HRD professionals should strive to find means to warrant the quality of training programs whenever they decide to use training as an intervention. In fact, a few scholars have already taken actions in this direction. For instance, Wang (1999) identified the following three approaches that are approved to be useful in management development in China particularly in international joint ventures: (a) process skills, teamwork, and context learning, (b) action learning and experiential development, and (c) cross-cultural management learning and strategic distributive training. However, many more actions must be taken.

Second, our analysis also revealed that organizations do not have effective systems to support the development of professional managers. It is widely accepted in China that an effective management development system must incorporate four areas of practice: selecting, motivating, monitoring, and performance evaluating. Yet it is found that none of these four systems has proved adequate within Chinese organizations (Anonymous, 2003a). Take the selection procedures as an example. It is not uncommon for a manager in a shareholding enterprise to be designated by his/her superior authority rather than being selected by the board of directors from the managerial talent pool. In other words, the selection of a manager is not guided by the principle of openness, equality, and fairness as it is supposed to be. Concerning the motivation system there is currently no significant difference in pay between a manager and his subordinate, nor adequate monetary or non-monetary incentives. Further, performance evaluation in Chinese organizations still reflects the old practice under the planned economy which is to base performance reviews on personal attributions (Hempel, 2001; Huo & von Glinow, 1995) rather than work performance. The lack of effective management support systems has resulted in the increased turnover of Chinese managers (Anonymous, 2003a). A huge task for HRD professionals is to help organizations build more market-oriented selection, reward, monitoring, and appraisal systems that will not only develop but also retain management talents.

Third, Western management techniques are being uncritically adopted in Chinese management programs primarily through the channel of imported management education and development programs such as MBA. While there is extensive demand in China for Western MBA degrees, there is also a strong agreement that these degrees are inadequate in addressing the values, needs, and expectations of both Chinese managers and the organizational environment in China (Lau & Roffey, 2002). This is largely due to cultural discrepancy in these imported programs and a clear gap between what Western programs offer and what modern-day Chinese organizations demand (Wang, 2003). Newell (1999) made this point well with the following statement.

The manager in China faces a very different set of problems from his/her Western counterpart ...and has a

very different set of underlying assumptions and values. Recognising the importance of developing a new cadre of managers, but relying on transferring explicit management knowledge from the West, may ironically impede economic development, by over-emphasising simple mechanistic tools, which bear little relation to reality and will not really help to solve the organizational problems in China. (p. 291)

HRD professionals must work harder to understand the demands on managers and how the Chinese and Western ways of working relate to each other. In addition, the cultural context plays a critical role in facilitating the transfer of learning. An uncritical adoption of Western management theories and techniques without recognition of unique Chinese environments is unlikely to resolve Chinese problems (Wang et al., 2003).

Fourth, as mentioned earlier, the professionalization of management is a result of the development of the market economy. Therefore, management competencies are not natural or in-born skills but are acquired and developed through long-term training and developmental experiences (Anonymous, 2003a). It is HRD professionals' responsibility to promote learning at both the individual manager and organizational levels. Further, given that the need for professionalizing management practices was not felt until the late 1980s (Anonymous, 2003b), China is witnessing the burgeoning of the market of Chinese professional managers, and guidelines for professional conducts are yet to be established. This presents a large area that HRD professionals can take a lead in helping organizations improve the quality of Chinese managers.

Implications for Future HRD Research

In light of the foregoing discussion, the following research areas seem likely to make an important contribution in helping HRD professionals to facilitate further management and organization development in China.

Building a management competency model with Chinese characteristics. Managerial competencies should be defined by focusing on various Chinese organizations' critical success factors and the particular challenges that are likely to face Chinese managers over the next decade and beyond. For example, state enterprises will need people to manage international competition and global expansion. Government ministries and agencies will need people to formulate effective policies to deal with constant political-socio-economic-cultural changes confronted by a technologically advanced society. Political organizations will need people who know how to manage the governance infrastructure in an interconnected global community, while social organizations will need people who can strengthen the functioning of the civil society. Whatever the nature of these organizations, they all require people who can manage change, rejuvenation, and growth. The task for HRD professionals is to develop multiple sets of managerial competency models that can guide management development more coherently.

Identifying the development paths of successful managers. It is widely believed that managerial and leadership skills can be taught through training and development. However, there is still little evidence that management training actually leads to better organizational performance (Yiu et al., 2000). This lack of transfer is particularly predictable when training programs are disconnected with the performance needs and /or strategic orientation of the organization. However, on-the-job learning seems to be formative for managerial success. Therefore, it would be useful for HRD professionals to conduct research to document the effectiveness and impact of management development so we have more evidence of if/how it affects managers and organizations.

Developing a profile of Chinese managers. Given the dearth of Chinese management theories and the minimal empirical research in China over the past fifty years, little is known about Chinese managers—their changing management values, styles, practices, etc.. Some effort has been made in studying Chinese managers. For example, Ralston, Egri, Stewart, Terpstra, and Yu (1999) developed a profile of the new generation of Chinese managers based on measures of individual values (individualism, collectivism, and Confucianism). However, it would be extremely helpful if HRD professionals can further and more deeply understand modern Chinese managers. This will help in many ways including to begin to reveal the strengths and weaknesses of the existing managerial pool. The results of such an endeavor could then serve as a guide not only for Western organizations who plan to engage in business in China, but more importantly, for HRD professionals when designing OD interventions and training programs that will develop, enhance, or supplement existing managerial competencies.

Identifying situational factors that affect managerial and subsequently organizational performance. Research in this direction is particularly meaningful given the dramatic changes which have taken place in China in the past twenty years. Data needs to be collected concerning the contextual factors which impact both individual and organizational performance. This data will provide HRD professionals with a better insight into the dynamic interplay between managers and their working environments.

Assessing current interventions for management development. Few studies have been forwarded in the literature we reviewed, yet we see an increasing number of scholars moving toward this direction. For example, Zhang, Zhang, and Yang (2002) empirically examined the applicability of the learning organization intervention in Chinese SOEs and found that the Chinese version of the Dimensions of Learning Organization Questionnaire demonstrated acceptable psychometric property. Newell (1999) conceptually explored the transferability of Western management

knowledge to China and suggested that a community model, rather than the cognitive model of knowledge development could be a good fit with Chinese culture. Effort in this area will be extremely worthwhile because it provides HRD professionals with a solid base that can enable them to make the best decision.

In sum, HRD professionals must continue to build a firm understanding of organizational and managerial issues in the coming decades. They must take a more proactive role and make more conscious attempts so that they can discover more effective ways of developing managers and maximizing their managerial capacity.

Conclusion and Contributions to HRD

This paper has explored a critical area of concern among Chinese organizations and managers. Although this exploration has been a rather broad brushstroke at the conceptual level, it has intended to provide insightful information for HRD professionals. In this paper, three pressing issues facing Chinese managers were identified and strategies to address them were also discussed at the national, organizational, and individual levels. Current management development issues in China have been tackled, but not entirely and with mixed results.

Given China's phenomenal economic expansion, corresponding social and administrative complexities, and their continuing effort to globalize, it is imperative that Chinese organizations ensure better equipped talent pools of middle and top managers in the coming decades. The need to groom future managers who can oversee operations at various hierarchical levels with various types of organizations will remain a huge challenge for HRD professionals. Another issue that deserves reiterating is the emerging trend of professionalizing management in China. What is garnering the most passion and concern among Chinese managers today is how to professionalize and standardize their conduct so that they are in a better position to compete against their international counterparts. This is certainly an issue most Chinese organizations are grappling with, and HRD professionals are in a unique position to discover more effective ways of unleashing and maximizing managers' capacity.

This paper contributes to HRD in four ways. First, focusing on a developing country like China where radical changes have taken place in the last two decades, this paper presents more details about a case in which HRD professionals practice in an unstable environment full of high ambiguity and uncertainty. Given that most conceptual and empirical studies in the field of management training and human resource development are conducted in developed countries, this literature review provides a needed perspective and expands our current understanding. Second, this paper adds knowledge to management development by outlining the critical concerns of Chinese managers and by synthesizing findings that could inform the development of management resources in China. Third, by analyzing the unique issues facing managers in the Chinese context, this paper increases the cultural awareness of HRD professionals and situates them in a better position to develop culture-sensitive HR/OD interventions that will be most appropriate to the Chinese situation. Lastly, for HRD scholars who are interested in Chinese management studies, this paper provides specific areas for future research.

References

- Anonymous (2003a). *Shida huhuan jingli* [Time calls for professional managers]. Retrieved from <http://www.zyjl-china.com/wz/wz3.htm>
- Anonymous (2003b). *Fazhan zhongjie zuzhi, cujin zhongguo zhiyi jingli* [Developing agencies, promoting Chinese professional managers]. Retrieved from <http://app.ceo-china.com/enterprise/jsp/data/publish/PublishRecordShow.jsp?recordNo=page>
- Anonymous (2002). Zhongwai jinliren xinchou bijiao [Comparing income of Chinese and foreign managers]. *China Entrepreneur*, 203(3), 99.
- Blayney, S. (2001). Corporate restructuring in China – a path to backdoor listing. *International Financial Law Review*, 20(2), 33-36.
- Branine, M. (1996). Observations on training and management development in the People's Republic of China. *Personnel Review*, 25(1), 25-39.
- China Trade World (2002, May 29). *Training program to update Chinese managers with WTO rules*. Retrieved from http://www.chinatradeeworld.com/en/wto350_en.html
- Fan, Y. (1998). The transfer of western management to China. *Management Learning*, 29(2), 201-221.
- Frazer, A. J. (1999). A scouting report on training options. *The China Business Review*, 1, 44-47.
- Hemple, P. S. (2001). Differences between Chinese and Western managerial views of performance. *Personnel Review*, 30(2), 203-226.
- Huo, Y. P., von Glinow, M. A. (1995). On transplanting human resource practices to China: A culture-driven approach. *International Journal of Manpower*, 16(9), 3-15.

- Krone, K. J., Chen, L., & Xia, H. (1997). Approaches to managerial influence in the People's Republic of China. *The Journal of Business Communication*, 24(3), 289-315.
- Lau, A., & Roffey, B. (2002). Management education and development in China: A research note. *Labour and Management in Development Journal*, 2(10), 3-10.
- Li, M. (2003). Qi ye jia jia zhi shi xian, guo qi gai ge zhuan zhan [Self-realization of entrepreneurs and refocus of state-owned enterprise reforms]. *China Small & Medium Enterprises*, 87(2), 17-18.
- Li, Q. (2003a). *Jinliren zhiyehua de fazhan zhilu* [The developmental path for professional managers]. Retrieved from http://www.zhiyehua.net/zhuilan_02.htm
- Li, Q. (2003b). *Jingliren, ruhe yingdui shidai de jiyu yu tiaozhan* [Managers, how to deal with opportunities and challenges]. Retrieved from http://www.zhiyehua.net/zhuilan_01.htm
- Ma, R. (2002). Zhongguo jingliren gaide jifen? [How many scores should Chinese managers get?]. *Sino-Foreign Management*, 116(8), 74-75.
- Newell, S. (1999). The transfer of management knowledge to China: Building learning communities rather than translating Western textbooks? *Education & Training*, 41(6/7), 286-294.
- Qu, Y. B. (2003). Mai xiang cheng gong pei xun de di yi bu [The first step to successful training]. *China Small & Medium Enterprises*, 91(6), 36-37.
- Qui, M., & Zech, M. (2001). The first steps on a long road. *Selections*, 1(1), 13-14.
- Ralston, D. A., Egri, C. P., Stewart, S., Terpstra, R. H., & Yu, K. (1999). Doing business in the 21st century with the new generations of Chinese managers: A study of generational shifts in work values in China. *Journal of International Business Studies*, 30(2), 415-428.
- Shi, Y. Z. (2000). A status report on MBA education in China. *International Journal of Educational Reform*, 9(4), 328-334.
- Wang, J. (2003). Management education in the People's Republic of China: Managers' perceptions and learning experiences. In D. Flowers, M. Lee, A. Jalipa, & E. Lopez (Eds.), *The 44th Annual Adult Education Research Conference Proceedings* (pp. 435-440). San Francisco: San Francisco State University.
- Wang, J., Ruona, W. E., & Rojewski, J. (2003). Confucian values: A review of the literature and implications for HRD. In S. A. Lynham & T. M. Egan (Eds.), *Proceedings of the Academy of Human Resource Development* (pp. 319-326). Minneapolis, MI.
- Wang, Z. M. (2002). New research perspectives and implicit managerial competency modeling in China. In C. L. Cooper & I. T. Robertson (Eds.), *International Review of Industrial and Organizational Psychology*, (Vol. 17, pp. 265-282). New York: John Wiley & Sons.
- Wang, Z. M. (1999). Current models and innovative strategies in management education in China. *Education and Training*, 41(6/7), 312-318.
- Wen, Y. (2003). *Jiji tuijin zhongguo qiyi jingli zhiyehua* [Actively promoting the professionalization of Chinese enterprise managers]. Retrieved from http://www.zhiyehua.net/wenzhai_02.htm
- Whitcomb, L., Erdener, C., & Li, C. (1998). Business ethical values in China and the US. *Journal of Business Ethics*, 17(8), 839-853.
- Wright, P., Szeto, W. F., Cheng, L. T. W. (2002). Guanxi and professional conduct in China: A management development perspective. *The International Journal of Human Resource Management*, 13(1), 156-182.
- Yang, B. Y. (2002). Cultural Conflicts and convergences: Impacts of Confucianism, socialism and capitalism on managerial philosophy and practice in the P. R. China. In *The Fourth International Symposium on Multinational Business Management Proceedings* (pp. 389-413). Nanjing, China: Nanjing University.
- Yiu, L. S., Wu, J., & Saner, R. (2000). *Leadership selection and development in the Public Sector for the 21st century: Case example of China*. Retrieved from <http://www.csend.org/china.htm>
- Zhang, D., Yang, B. Y., & Zhang, Y. C. (2002). Challenges and strategies of developing human resources in the surge of globalization: A case of the People's Republic of China. In T. M. Egan & S. A. Lynham (Eds.), *Proceedings of the Academy of Human Resource Developments* (pp. 193-200). Honolulu, HI.
- Zhang, D., Zhang, Z., & Yang, B. Y. (2003). Can Chinese State-Owned Enterprises (SOEs) become learning organizations? An empirical research on Dimensions of Learning Organization Questionnaire (DLOQ) in the Chinese Context. In S. A. Lynham & T. M. Egan (Eds.), *Proceedings of the Academy of Human Resource Developments* (pp. 104-111). Minneapolis, MI.
- Zhou, J., & Martocchio, J. J. (2001). Chinese and American managers' compensation award decisions: A comparative policy-capturing study. *Personnel Psychology*, 54(1), 115-145.

A Review of HRD Research in Three Areas of East Asia: Mainland China, Taiwan, and Japan

Yi-Hsuan Lee

Jie Lin

Kenneth. E. Paprock

Susan A. Lynham

Jie (Jessica) Li

Texas A&M University

Recent research focusing on Human Resource Development (HRD) in East Asia is attracting increasing attention. The purpose of the study is to explore the definition and practice of HRD, together with influencing cultural factors, in Mainland China, Taiwan, and Japan. The results indicate a difference in the definition and implementation of HRD among these three areas, and that the nature and role of HRD are influenced by cultural factors specific to each region examined.

Keywords: HRD in Mainland China, HRD in Taiwan, HRD in Japan

Organizations increasingly operate within a global context. It challenges both HRD practitioners and researchers to examine the definition, implementation and function of HRD in multinational environments. A common problem in defining the field of HRD lies in the majority of studies being limited to a North American perspective (Ruona, 2000). Singh (Peterson, 1997) argued that HRD, as defined in the United States, may not be an appropriate definition for other regions. Similarly, McLean and McLean (2001) commented that a US perspective alone does not represent the entire field of HRD. "It appears that the definition of HRD terms varies from one country to another, and the national differences are a crucial factor in determining the way in which HRD professionals work". (Hillion and McLean, 1997, p. 695) Maclachlan (1993) offered similar conclusions, namely, that HRD practitioners from different countries use culturally based perceptions and attitudes to define their work and its effectiveness that may differ from American-based HRD definitions. Furthermore, that the social cultural factors affecting the thinking and learning styles and local perceptions of HRD effectiveness lead to differences in the mission and means of the developmental aspects of HRD (Hansen & Brooks, 1994). Therefore, it is important, especially for international HRD researchers and practitioners to explore the difference in which cross-cultural and cross-national enterprises formulate and apply their HRD frameworks.

Purpose of Study

We focused our research interest among Mainland China, Taiwan, and Japan. The reason for this focus was due to authors' preference, interest, and cultural familiarities with these three regions. In reviewing the literature, we discovered that even though there were studies of the HRD field available for these three regions, however, there is no single research that summarizes the similarities and differences in the definition, practice, and cultural influence of HRD within and among these three regions. Given the importance of cross cultural and cross national difference in HRD research and practice, this paper attempts to address the gap and does so in the following three specific ways:

1. How is HRD *defined* in these three East Asian areas?
2. What constitutes HRD *practice* in these three East Asian areas?
3. How does the *cultural* influence the HRD practice in these three East Asian areas?

By doing so, the authors intend to provide references for international HRD researchers and practitioners who are interested in these areas or working in these areas when making critical HRD decisions.

Methodology and Limitations

The methodology used for this paper was one of conceptual review, analysis, and synthesis of related scholarly literature. The predominantly available literature came from relevant refereed publications, including conference

Copyright © 2004 Yi-Hsuan Lee, Jie Lin, Kenneth E. Paprock, Susan A. Lynham, & Jie (Jessica) Li

proceedings and secondary materials on human resource development (HRD) strategies in Mainland China, Taiwan, and Japan, and the role of these strategies in the economic development of these regions and countries. A keyword search of HRD and various related terms conducted through several large search engines at a major university in the United States yielded several sources. The analysis of the data consisted of two steps. First, the results of the literature review were reviewed and compared several times for individual research questions. Following, conclusions were synthesized and summarized from the outcomes of step one, and used to inform recommendations for future related studies.

It is important to acknowledge that this exploratory study has at least three limitations. First, all studies reviewed were limited to available English-language literature. As McLean and McLean (2001) suggested, the literature readily available in the United States tends to focus on a US perspective. The limitation of this tendency in accessible literature is evident in this study. Due to language limitation, research material in Japanese are not reviewed. In addition, online resources about HRD in China are limited and most material available was focusing on HR practice in general. Second, few synthetic data studies addressing HRD definition and practice and the influence of culture in these three regions were found. This lack of synthetic data within these three regions points to a gap in the literature and underscores the need for more studies. Third, it is recognized that for the development of a broader understanding of HRD in East Asia, more countries need to be included in this study, a limitation that is currently being attended to by the authors, and will attract further attention of other researchers.

In spite of these limitations, the research resources on HRD that were available and accessible to us enabled a fairly thorough analysis of HRD in the three regions. In addition, among the authors, there were years of practical HRD experiences in these three regions which should allow first-hand analysis of HRD practices to be included in this study. The authors are confident that the insights gained as a result of this study should be able to add to the development of HRD in East Asia as well *international HRD* as a whole.

Theoretical Framework

The majority of the research studies consulted related to HRD definitions and practices in East Asia, specifically at the national and local levels. As previously pointed out, synthetic research studies that contrast and integrate HRD among different nations are hard to come by, a finding consistent with the experience of this study. In order to better understand the nature and role of HRD in East Asia, researchers have explored and interpreted how economic success has influenced the practice of HRD in these regions (Lee & Stead, 1998; Niemi & Owens, 1995; McLean & McLean, 2001).

Outcomes of the analysis of the literature reviewed clearly points to the existence of regional and cultural differences in the way the term *HRD* are formulated and interpreted (Hillion & McLean, 1997; MacLachlan, 1993; McLean & McLean, 2001; Peterson, 1997). As pointed out by McLean and McLean (2001), and in a 2001 special issue of the *Human Resource Development International* (HRDI) journal, HRD practitioners use different terms to identify and describe the construct of HRD in different nations. Clearly the term, HRD, has different meanings in different countries. Similarly, the findings of this exploratory study indicate clear differences in tasks and means of training, organizational, and career development systems among the three East Asian regions considered. Furthermore, these differences are shaped by economic status, employee development, and governmental policies.

As for the practice of HRD in Asia, many studies that explored HRD activities in different countries implied that, although the majority of HRD principles applied internationally originated in the U.S., the nature and purpose of HRD activities differ in each country (Harada, 1998; Hillion & McLean, 1997; Kuo & McLean, 1999; Wee-Liang-Tan, 1998; Yan & McLean, 1997). For example, in the transition from a planned economy to a free-market economy in Mainland China, HRD is shaping up differently in difficult sectors of the economy and in general it is not well distinguished from human resources (HR) practices. The definition and understanding of HRD among the four major sectors of the economy, the state-owned enterprises, private-owned companies, Joint-Ventures, and foreign-owned companies, could reveal totally different understanding and practices in the field of HRD.

Although cross-cultural HRD was paid increasing attention in the literature (Bennett, Aston, & Colquhoun, 2000; Black & Mendenhall, 1990; Osman-Gani, 1996), there still is a surprisingly limited amount of literature that addresses HRD professionals working cross-culturally (Black & Mendenhall, 1990). Most of the writings on cross-cultural and international HRD strongly suggest that HRD practitioners must pay attention to socio-cultural factors. Black and Mendenhall (1989) indicate that the HRD models of many countries vary significantly from those common to the USA. They also suggest that interpretation and definition of HRD is a function of both local culture and social history.

In summary, and specific to the East Asian region that is the broader focus of this study, there is a lack of synthetic data relating how what makes for HRD in different countries and regions, and how this definition is

influenced by local perception, practice, and culture. This absence of synthetic HRD literature is not only an obstacle to understanding the role and nature of HRD in various regions and countries of the world, but also to that of the general construct of what makes for *international HRD*.

Research Findings

The review of the literature revealed a number of themes. Next, these themes are presented and discussed against the three research questions posed in this paper, namely: How is HRD *defined* in these three East Asian areas?, What constitutes HRD *practice* in these three East Asian areas?, and How does the *cultural influence* HRD in these three East Asian areas?

Definition of HRD

Currently, HRD literature and practices in the USA and throughout the world have been strongly affected by the definition of the American Society for Training and Development (ASTD) proposed by McLagan in 1989 (Paprock, 2003, p.1): "Human resource development is the integrated use of training and development, career development, and organizational development to improve individual, group and organizational effectiveness." Although researchers suggest that most countries have used this USA definition of HRD, it was changed in each of Japan, Mainland China, and Taiwan because of the influence of some variables, like economy, governmental legislation, and national context, and culture, on the construct (McLean & McLean, 2001), and as indicated in the discussion following.

Japan. According to Harada (1999, p. 357) the concept of *human resource development* can be identified by three terms. The first is that of "*Noryoku kaihatu*" meaning "development of individual abilities". The second is "*Jinzai keisei*" meaning "formation of a masterly level of human resources through the work system and training". And the third is the term "*jinzai ikusei*" meaning "fostering the development of human resources through management of the human resource process".

Harada (1999, 1998a, 1998b) further suggests that an outcome and process perspective can be used to describe HRD in Japan. The outcome perspective of HRD includes "the development of desirable human resources, characterized by employees who acquire corporate knowledge and a high level of job competencies to use in the improvement of products or services" (1999, p. 357). The process perspective of HRD involves learning activities and opportunities designed to grow employee job competencies by developing potential human capabilities through their job experiences.

Taiwan. The concept of HRD in Taiwan is still confused with that of human resource management (HRM), involving personnel, training, manpower planning, and industrial relations. HRM is therefore considered to be more significant than HRD in Taiwan. Nevertheless, some researchers (Kuo & McLean, 1999; Lee & Chen, 1998; Lien & McLean, 2001) have begun to identify the role, policy histories and current practices of HRD in Taiwan. According to Lee & Chen (1998), HRD in Taiwan is defined as "the systemic education, training and development which employers provided for their employees to promote career development for employees and organizational development for corporations" (p.3). Kuo and McLean (1999), by reviewing the literature related to the field of HRD in Taiwan, defined HRD in Taiwan as "a systematic, intentional, innovative, and long-term committed process of developing an individual's work-related learning capability through education and training with an aim to contribute to individual, organizational, and national growth" (p.448).

Mainland China. HRD is a relative new concept in China. Under the socialist planned economy, the meaning of HRD is placement, social welfare, record keeping and move up among the ranks solely by party assessment. With the economic reform in the past twenty four years, China has been experiencing double digits growth and comes with it were the influence from the western world and other Asian countries and regions. HRD was the first noticed in China as an important field of study in mid 1990th. Even though, a comprehensive definition of HRD for Mainland China was not easily available from the literature, however definitions for both individual training and development, and organization development are readily available (Yan & McLean, 1997). McLean and McLean (2001) contacted the China Training Center for Senior Civil Servants (1997) and obtained a preliminary definition of HRD, namely, "A planned and organized education and learning process provided by organizations to improve employees' knowledge and skills as well as change their job attitudes and behaviors. The process helps unleash the employees' expertise for the purpose of enhancing individual performance and achieving effective organizational functions". As further indicated by McLean and McLean, "In many ways, there is no distinction at present between HR, HRD and personnel in Mainland China" (p. 316).

Practice of HRD

Japan. In Japan HRD receives strong support from all levels with Japanese companies (Weber, 1984). Japanese employers are very concerned with recruiting and training, and most organizations develop their own strategies,

plans and training programs and other approaches to employee capability development (Frank, 1988).

Harada (1998; 1999) conducted a comprehensive study regarding the HRD function in Japan. According to him, individual development (ID), career development (CD), and organizational development (OD) are the three major practical components to HRD in Japan. Individual development, including On-The-Job training (OJT), Off-The-Job training (Off-JT), and self-development programs, focus on obtaining higher levels of job mastery and competencies. The ID activities among Japanese companies that include OJT were categorized as the acquisition of job-related procedural know-how learned at the office, job-related information gained from various sources and customer/client-related knowledge learned from customer interactions. Off-JT provided by Japanese companies was found to be based on: (1) levels of managerial rank, (2) orientation program, (3) job classification, and (4) levels of job competency. In addition, self-development program were found to be focused on personal development including acquisition of job-related and non-job-related certifications through workshops, correspondence programs and higher education degrees.

Highlighted in Harada's study, career development in Japanese companies is comprised of job rotation and assignments, and Job Qualification Competency (JQC) rankings. Through the JQC system, employees are able to increase their knowledge, skills and abilities (KSAs) which are required for a particular qualification rank in the job. Through job rotations and assignments, employees can obtain necessary KSAs at each rank and accumulate job experience required for promotion. Generalists and specialist constitute two major career paths within Japanese companies. Through the experience of job rotation, transfers, and assignments, generalists can become managers. Specialists, on the other hand, are reported to be limited to horizontal career paths provided by the company.

Harada (1998; 1999) pointed out that OD methods developed by Japanese people largely consist of the group activities of Total Quality Control (TQC), Just-in Time, and Quality Control Circles (QCCs). OD methods are integrated into the work process in Japanese companies. Hence, these methods assist the work system to make continuous changes in work processes and environments. A variety of learning activities, which focus on the overall human system, are incorporated into the OD system to bring about changes for the operational improvement of the organization.

Additionally, it is worth mention that "Japanese management practices provide an overall frame for HRD while the work system indicates actual HRD activities" (Harada, 1998, p.93). HRD activities are therefore clearly practiced in most Japanese firms. Many large organizations have their own technical institutes to support in-plant training. Small and medium enterprises, which cannot afford the expense of their own technical institute, can utilize training facilities provided by government or facilities of larger companies if they belong to the same company grouping or have close relationships with them.

Although it is admitted by Japanese HRD professionals that the HRD system in Japan is frequently adopted from the West, the HRD system in Japan is more comprehensive than in other countries in Asia (Weber, 1984). Nevertheless, it is reported that lifetime employment and the work system is undergoing substantial changes and that a new HRD system is currently emerging in Japan (Harada, 1998; 1999). More investigations into the operation of this emerging HRD system are expected in the future.

Taiwan. The current status of HRD in Taiwan was explored by Jean (1993). After investigating 1000 large-scale enterprises and small and medium enterprises, Jean concluded that: 1) training in large-scale enterprises is mainly focused on in-service specialized training, orientation for new employees, and leadership training for potential heads, while orientation for new employees in small and medium size enterprises constitute the major element of training, followed by safety and hygiene training and on-the-job specialized training; 2) more than half of the large enterprises investigated had organized training departments, however, training departments were seldom found in small and medium size enterprises; 3) in terms of training instructors, most of enterprises were found to rely on insiders, while professional experts were brought in from outside the organization; and 4) a lack of enthusiasm among employees, a lack of qualified training personnel, and insufficient support from policy-makers were the major difficulties encountered by the enterprises. Furthermore, high employee turnover rates, lack of personnel conducting training and a shortage of funds were the given reasons for why employers in small and medium size enterprises were reluctant to conduct training activities.

It can therefore be concluded from Jean's study that HRD receives more emphasis in large-scale Taiwanese enterprises. The shortage of training professionals and the low level of interest and satisfaction with training activities among policy-makers, employers and employees are essential challenges that need to be overcome (Lee & Chen, 1998). Furthermore, HRD in small and medium-size enterprises appear to be still restricted by their inherent limitations.

Lien and McLean (2001) conducted an interpretive study to describe the experiences of Taiwanese Human Resource (HR) practitioners who are performing Human Resource Development (HRD) tasks. Seven participants were interviewed about their daily work experiences as HR practitioners. Three major themes were produced from

the data analysis: "(a) HRD is one aspect of HRM, (b) HRD is equated with training in Taiwan, and (c) HRD success relies on the vision and support of top management" (p. 66). The researchers concluded that organizations neither regarded HRD as a separate profession and nor distinguish HRD activities from those of HRM. Furthermore, HRD practitioners appeared to seldom recognize their role as change agents within the organization in Taiwan. Instead, HRD practitioners tended to be recognized as training specialists because the majority of their responsibility was to deliver training. The Taiwanese organizations investigated were found to see HRD as associated with training rather than a broader scope of activities, or even training and development. Supported by Jeans' (1993) study, the researchers also indicated that many HR activities in Taiwan do not succeed without top management commitment. In other words, HR practitioners are able to do more meaningful work if the leader of the company has a clear vision and supports training and other HRD-related activities.

Kuo and McLean (1999), by reviewing the history of HRD in Taiwan from 1949 to 1999, indicated that most of HRD policies in Taiwan aimed to promote economic growth. Furthermore, three functions core to Taiwans' HRD system emerged from the strategies and policies adopted by the Taiwanese government. First, HRD assists in increasing the employability of the laborers, thereby decreasing unemployment, and enhancing economic growth. Second, HRD helps handicapped people to develop needed job skills. And finally, HRD improves employee skills levels, upgrades technological levels, increases job mobility, and lessens structural unemployment (Kuo & McLean, 1999). Thus, from their point of view, vocational education and employee training seem to constitute the major roles of HRD in Taiwan, with the primary purpose of HRD being to improve the national economy and reducing unemployment rates.

Although career development and organization development are significant components of HRD in Taiwan, there are still only a limited amount of studies exploring these two aspects. Hence, more studies regarding career development and organization development as components of HRD are required in this East Asian area.

Mainland China. In a 1992 study undertaken by Xu and Ma on HRD in China, it was found that the whole HRD profession was under-developed. This under-developed state of HRD was considered partly caused by such problems as the limited number of people receiving higher education in China (Yan & McLean, 1997). A shortage of skilled workers is a common problem faced by Chinese organizations. Furthermore, employers do not feel that the education system is addressing the necessary skills needed (Venter, 2003). Although Chinas' frame of HRD does not appear include career development, increasing attention has been paid to HRD during the early and mid ninetieth to organization development and employee training (Yan & McLean, 1997). Benson and Zhu (2002) also believed that, in spite of the underdevelopment of HRD, there is potential development of the HRD system in China by, for example, increasing pre-employment vocational education, employment training centers, and expanding higher education.

China has gradually recognized the important of as Nieml and Owens commented that "the Chinese government recognizes the importance of HRD in an enterprise, as a process that would involve workers in new learning" (1995, p. 19). Xie and Wu (2001) also stated that HRD problems are gaining national attention now in China, because scholars and policy-makers realized that HRD is not only the key to economic development, but also would be one solution to employment and population aging problems. In terms of organization development, Yan & McLean (1997) suggest that in the past few years China has insisted on implementing different policies to reform and build new functions in government, institutions, and enterprises. They believe that the Chinese government in recent years has focused increasingly on organization development and human resource development, with organization development not being considered a component of HRD.

Strongly influenced by the HRD practices brought in by foreign investments and joint-venture companies, and the emphasis from the government for HRD, we could see major changes in the HRD field in China in the past seven or eight years. Base on authors first hand experience in the field of HRD in China, the changes can be summarized into the following areas. First of all, the state-owned enterprises started investment in HRD, companies like TCL, Hair and Future Wave has formed their own HRD practices which combine the western theory with Chinese culture and believes. Some private owned companies began invest in people, even thought still in very small numbers. Joint ventures and foreign owned companies started to pay attention to customize and adapt their home countries HRD practices to better fit Chinese environment. Additionally, HRD as an academic discipline has emerged in Mainland China. In 1996, the first two HRD program were established in Beijing University and Nankai University.

Culture Factors Influencing HRD

Culture can be defined as "shared reality that individuals and groups value and accept as a guide for organizing their lives" (Ramsey, 1996, p. 9). Most authors agree that particular cultures and traditions have significant influence and impact on HRD definition and practice. Hansen and Brooks (1994) suggest that cultural frames which affect business are multidimensional in that employee beliefs are shaped by national-societal values. From a summary of

findings on cultural influences on the HRD system, Peterson commented that “what is known is this: culture plays a role in understanding international organization and international HRD”, but that “technology and industrialization have had a leveling effect on some cultural distinctions” (Peterson, 1997). Marquardt and Engel (1993) also refer to the importance of understanding cultural factors in HRD thought and practice: “...global HRD programs cannot succeed if cultural factors are ignored” and that “diagnosing and understanding trainee’s cultural values are as important as recognizing their training need” (p. 16). McLean and McLean (2001) point out that differences in national culture, in particular a country’s value system, are reflected in the definitions collected from around the world. They also mention that HRD roles, competencies, and scope of activities are influenced by national culture.

Swaak (1995) suggests that in East Asia, especially in Japan, Mainland China, and Taiwan, many values reflected in the behavior of workers today originated with Confucius, a renowned educator and thinker who lived in the Fifth Century B.C. He explains that Confucianism emphasizes the importance of the family, a favoring of order, and a stable hierarchy. Confucianism therefore informs the basic national and individual code of conduct, informing the avoidance of friction and disharmony in working or social relationships. Swaak further argues that given this cultural framework, it is no wonder that East Asia reflects a particular perspective of the business environment and of HRD practices.

The literature reviewed supports Swaaks’ point of view. For instance, Black & Mendenhall (1990) comment that according to the finding of Hayes, Anderson, and Fonda, training in the United States is intended to develop richness and diversity in job performance. However, in Japan it is attaining perfection and increasing the ability to learn. Austin (1990) concludes that Japan and China reportedly share certain group decision-making practices because of their group-oriented culture. Especially in China, negotiators place great emphasis on friendship and personal relationship, and this derives from their concept of *guanxi*, a relationship between individuals that allows them to make unlimited demands on each other. This concept provides further impetus to Swaaks’ point, namely, that East Asian workers pay so close attention to their work groups. What’s more, Weber (1984) conducted cultural comparisons and reviewed training programs in Japan. He reported that training programs were supported from various levels within companies, and attributed this support to the paternalistic orientation of most large Japanese companies.

With the rapid economic growth, culture and value system in Mainland China has changed largely during the past decade. The co-existence of Western and Eastern values results in the turbulence of value system in China society today (Matthews, 2000). These changes have many impacts on the HRD practices in China. For example, loyalty was considered a main attribute of a good manager in China, a claim supported by an investigation by Liu in 1988 (as cited in Yan & McLean, 1997) that reported that 60.7% of Chinese people never change their jobs in their lifetime. However, Chinese people have become more mobile, especially the young and well educated in recent years. The government has also relaxed its regulation policies to support the mobility of these people. HRD practitioners are called to create retention programs to attract and retain the highly desirable employees. For instance, Motorola sent 100 Chinese employees to the United States for about a year to train them with technology skills, which cost up to \$3 million annually (Pacific Bridge, 2001). Nokia created a retention program in 1999 to provide the top 50 employees with unique training opportunities for over a two year period. The loyalty to people and company may have been substituted by the loyalty to development opportunities which rooted in the Chinese tradition value for a good education.

Implications to Future Study in HRD

Professional organizations are becoming increasingly globally operated, both in practice and academic. As McLean and McLean stated, “If we are to create a body of knowledge that is relevant to academicians and practitioners around the world, the definitions we use must be inclusive of the range of contexts that exist in the multitude of nations which we live and work” (p. 322). Currently, most theories and operational actions concerning HRD were generated in the West. There is a large need for more comprehensive perspectives involving the interpretation and implementation of HRD in a global context.

This paper explored and synthesized the definition, practice, and cultural influencing factors of HRD in three East Asian areas. It should offer practical applications for HRD researcher and practitioner in these regions or in international HRD field to examine and study. Through this study, reader can clearly identify how culture and policy can influence a practical field of HRD and same goes to the economy development. It calls HRD practitioners and researchers to pay special attention to culture, policy, and economic status when enter an unfamiliar culture or country to practice or conduct HRD research.

Although most studies examined are limited to English literatures, the authors believe that this review still provides a new synthetic perspective to help understand the transferability of the framework of the HRD system to

multinational circumstances, and suggests that more synthetic inquiries be conducted which focus on theory and application of HRD among the different East Asian regions.

Conclusions

In terms of definition of HRD, a difference in what constitutes HRD among the three areas of focus emerged from a review of related and relevant literatures. The definition of HRD in Japan is more comprehensive than that in Taiwan and Mainland China, and more close to the HRD system in the West. Although Taiwan practiced HRD earlier than Mainland China, both of them reflect a lack of distinction in definition between HRD with HRM, emphasizing personnel training, and manpower planning in both areas. Especially in Mainland China, the officially and scholarly defined HRD is under construction.

In Japan, HRD activities are often incorporated with HRM activities. However, in Taiwan, the implementation of HRD relies on HRM practices, and government and its policies play an important role in shaping HRD practices, mainly through implementing the HRD policies and education of HRD practitioners. Further, the success of implementation of HRD depends on the support from top management. Most HRD activities in Taiwan are conducted by large-scale enterprises. Because of a high turnover rate and a scarcity of funding, the small and medium scale companies seldom engage in HRD activities. The practices of HRD in Mainland China are mostly through the contribution of multinational enterprises with most training programs being limited to inside these foreign-owned corporations.

As for the influence of cultural factors on HRD, we can draw a number of conclusions from the findings that emerged from the literature review, namely: that what makes for the roles of HRD are influenced by cultural factors; and that the nature of the East Asian culture, together with an operating philosophy that originated from Confucius, seem to significantly influence the behavior of HRD practitioners.

References

- Austin, J. E. (1990). *Managing in developing countries: Strategic analysis and operating techniques*. NY: The Free Press.
- Bennett, R., Aston, A., & Colquhoun, T. (2000). Cross-Cultural training: a critical step in ensuring the success of international assignments. *Human Resource Management*, 39(2), 239-250.
- Benson, J., & Zhu, Y. (2002). The emerging external labor market and the impact on enterprise's human resource development in China. *Human Resource Development Quarterly*, 13(4), 449-466.
- Black, J. S., & Mendenhall, M. E. (1989). A practical but theory-based framework for selecting cross-cultural training methods. *Human resource Management*, 28, 511-539.
- Black, J. S., & Mendenhall, M. E. (1990). Cross-cultural training effectiveness: A review and a theoretical framework for future research. *Academy of Management Review*, 15(1), 113-136.
- Frank, E. (Eds.). (1988). HRD around the world. *Journal of European Industrial Training*, 12(5), 2-66.
- Hansen, C. D., & Brooks, A. K. (1994). A review of cross-cultural research on human resource development. *Human Resource Development Quarterly*, 5(1), 55-74.
- Harada, K. (1998). The Japanese human resource development system. In R. J. Torracca (Ed.), *1998 Academy of Human Resource Development Conference Proceedings* (pp. 91-97). Baton Rouge, LA: AHRD.
- Harada, K. (1999). The changing Japanese human resource development system: Two models that enhance prediction and reflection of dynamic changes. *Human Resource Development International*, 2(4), 355-68.
- Hillion, B., & McLean, G. N. (1997). The status of human resource development in French companies. In R. J. Torracca (Ed.), *1997 Academy of Human Resource Development Conference Proceedings* (pp. 694-701). Baton Rouge, LA: AHRD.
- Kuo, M. S., & McLean, G. N. (1999). The history of human resource development in Taiwan from 1949 to 1999. In R. J. Torracca (Ed.), *1999 Academy of Human Resource Development Conference Proceedings* (pp. 443-451). Baton Rouge, LA: AHRD.
- Jean J. Z (1993). A survey and analysis of 1,000 large-scale enterprises HRD training status in Taiwan. *Journal of Labor studies*, 121(10), 1- 18.
- Lee, L. S., & Chen, Y. Y. (1998). An introduction to human resource development in Taiwan. R.O.C. (ERIC Document Reproduction Service No. ED416414).
- Lee, M., & Stead, V. (1998). Human resource development in the United Kingdom. *Human Resource Development Quarterly*, 9(3), 297-308.

- Lien, Y. H., & McLean, G. N. (2001). What is it like to be a Taiwanese HR practitioner performing HRD Tasks? In O. A. Aliaga (Ed.), *2001 Academy of Human Resource Development Conference Proceedings* (pp. 11-17). Baton Rouge, LA: AHRD.
- Maclachlan, M. (1993). Sustaining human resource development in Africa: The influence of expatriates. *Management Education and Development*, 24, 167-171.
- Marquardt, M. J., & Engel, D. W. (1993). *Global human resource development*. Englewood Cliffs, NJ: Prentice-Hall.
- Matthews, B. M. (2000). The Chinese value survey: An interpretation of value scales and consideration of some preliminary results. *International Education Journal*, 1(2), 117 -126.
- McLean, G. N., & McLean, L. D. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- Pacific Bridge, 2001. *China human resources update*: Spring 2001. Retrieved September 10, 2001, from <http://www.pacificbridge.com>
- Niemi, J., & Owens, K. (1995). Russia and China in Transition: Implications for human resource development (HRD), In E.F. Holton III (Ed.), *1995 Academy of Human Resource Development Conference Proceedings* (pp.13- 20). Baton Rouge, LA: AHRD
- Swaak, R. (1995). *HR in China*, Source of this article Compensation & Benefits Review (A publication of the American Management Association). Retrieved September 15, 1995, from http://www.frankallen.com/Executive_Reports/HR_and_The_Global_Marketplace/HR_In_China/hr_in_china.html
- Tse, Lee, Vertinsky, & Wehrung (1988). Does culture matter? A cross-cultural study of executives' choice, decisiveness, and risk adjustment in international marketing. *Journal of Marketing*, 52, 81-95.
- Osman-Gani, A.A.M. (1996). International human resource management. In G. Thong (Ed.), *Human resource issues in Singapore* (pp. 295-326). New York: Addison-Wesley.
- Paprock, K. E. (2003). *Dimensions of cross-cultural competency research in attempting to defined HRD*. Unpublished manuscript.
- Peterson, L. A. (1997). International HRD: What we know and don't know. *Human Resource Development Quarterly*, 8(1), 63-79.
- Ramsey, S. (1996). Creating a context: Methodologies in intercultural teaching and training. In H. N. Seelye (Ed.), *Experiential activities for intercultural learning: Vol. 1*. Yarmouth, ME: Intercultural Press.
- Ruona, W. E. A. (2000). Should we define the profession of HRD? Views of leading scholars. In K. P. Kuchinke (Ed.), *2000 Proceedings of the Academy of Human Resource Development* (pp. 188-195). Baton Rouge, LA: AHRD.
- Venter, K. (2003). Building on formal education: Employers' approaches to the training and development of new recruits in the People's Republic of China. *International Journal of Training and Development*, 7(3), 186-202.
- Weber, D. E. (1984). An eye to the East: Training in Japan. *Training and Development Journal*, 38(10), 32-33.
- Wee-Liang-Tan, A.A.O.G. (1998). Human resource development: The key to sustainable growth and competitiveness of Singapore. In R. J. Torraco (Ed.), *1998 Academy of Human Resource Development Conference Proceedings* (pp.111-119). Baton Rouge, LA: AHRD.
- Xie, J. , & Wu, G. (2001). Training and development in the People's Republic of China. *International Journal of Training and Development*, 5 (3), 223-232.
- Yan, B., & Mclean, G. (1997). Human Resource development in the People's Republic of China. In R. J. Torraco (Ed.), *1997 Academy of Human Resource Development Conference Proceedings* (pp.15-22). Baton Rouge, LA: AHRD.

HRD in Latin America: An Exploratory Review of the Literature

*Michael G. Hasler
 Monica D. Thompson
 Susan A. Lynham
 Kenneth E. Paprock
 Texas A&M University*

Differences in global contexts clearly influence and change what makes for HRD, making it important to study and understand HRD from these different contexts (McLean & McLean, 2001). Interested in what and how international contextual factors change and influence the definition and practice of HRD, this paper explores HRD in the economic region of Latin America, and forms part of a larger study of HRD in different economic regions of the world.

Keywords: Latin America, International Human Resource Development, Training and Development

Human Resource Development (HRD) has long been concerned with processes of developing and unleashing human expertise for the purpose of improving learning and performance (Swanson, 1995; Texas A&M University, 2001). In the context of the United States of America, HRD has largely been confined to and studied within the context of the organization, and largely for-profit organizations at that. However, in an emerging global economy, "...the transfer of learning, new knowledge and the notion of intellectual capital has become important to leveraging competitive success and does [have] sensitivity to local conditions" (Horwitz, 1999, p. 180). As McLean and McLean (2001) and a special issue of the Human Resource Development International Journal (HRDI) in 2001 pointed out in their inquiry into the definition of HRD in various parts of the world, what makes for HRD, both in terms of process and intended outcome, is significantly influenced by the local (national) and regional (continental) context in which it is studied and practiced.

This paper represents an initial exploration of the construct of HRD as it is thought about and practiced in Latin America and is presented in a number of parts. First, the problem statement, theoretical framework, and research questions that direct and inform the study are made explicit. Second, a brief description of the study methodology is provided. Next, an overview of contextual factors driving and shaping HRD practice and outcomes of HRD in Latin America are presented, together with implications of these findings for future HRD research and practice.

Problem Statement, Theoretical Framework and Research Questions

Research informs us that what makes for HRD can vary quite significantly among national and regional settings (McLean & McLean, 2001; Ruona, 2000; Hillion & McLean, 1997; MacLachlan, 1993). Yet today HRD professionals are increasingly practicing their profession internationally, which provokes a number of questions. Are there regional similarities in what makes for HRD thought and practice? How can we study the construct of *international HRD*, with the purpose of developing a comparative global understanding of how it is and ought to be thought about and practiced in different contexts of the world? Inspired by this curiosity, and the lack of comparative and integrating texts that address these issues of international HRD, this paper is one part of a larger exploratory work currently in progress. Being conducted by faculty and graduate students in the Texas A&M HRD program, this study is aimed at developing a comparative understanding of HRD in six broad regions of the world. It is hoped that this broader exploratory study will contribute not only to a better understanding of the regional and national contextual influence on what makes for HRD, but also a deeper appreciation and informed research agenda on the construct of international HRD.

Literature reviewed suggests that several factors influence and drive the definition of HRD in Latin America. One set of such factors includes the broader political and social environments (The Latin Chronicle, 2003). Another key driving force is that of prevailing economic realities and disparities in economic performance and development (The World Bank Group, 2003). Other such factors include the power and impact of multinational companies and their influence on HRD-related needs and activities such as job training, and career and organizational development (Zabludovsky, 2001).

Copyright © 2004 Michael G. Hasler, Monica D. Thompson, Susan A. Lynham, & Kenneth E. Paprock

Informed by the purpose of the broader study of how HRD thought and practice vary among different world economic regions, and how these differences inform the construct of *international HRD*, this study considers HRD from a Latin American perspective. Three primary questions were used to construct this study:

- What key contextual factors (e.g., social, economic, political, and cultural) drive and influence HRD in the Latin American region?
- What is the necessary purpose of HRD in the Latin American region?
- What are possible implications of these factors and purpose for HRD research and practice in the Latin American region?

Methodology

The three research questions posed by this study were addressed by way of a review, analysis, and synthesis of related and available literature. Electronic databases were used to identify and locate empirical studies reported between 1998 and 2003 that provided data about Latin America, and HRD in Latin America, which included the Caribbean, Central America, Mexico and South America. Most of the studies found in the search were of a regional rather than a national nature—that is, fewer studies found were on HRD in specific Latin American countries, than on HRD in the Latin American region as a whole. While we searched multiple journal databases and online indexes in the conduct of this exploratory study, and even though these databases yielded an abundance of results, less than a hundred studies met the keyword topics we finally selected to guide the search.

The keyword topics used to inform the literature selected for inclusion in this study tended to cluster around four HRD-related subject areas: (1) regional contextual factors, including historical, cultural, economic and social issues; (2) frequently perceived components of HRD, including training and development, career development and organization development; and finally (3) studies that explored the topics of literacy, bilingual training, adult education, workforce development and job training. The difficulty of finding and accessing information written in English is a recognized current limitation to this study. This limitation will be addressed in the next phase of the study by including a researcher native to the Latin American region in the conduct of the study.

Findings

The findings of the study so far can be divided into two sections. The first describes the broader political, social, and economic context of the Latin American region. The second, explains specific HRD research and practice within this context. Also supported by the findings is a dual, micro-macro, nature to the focus of HRD activities in Latin America. The details of these findings are considered next.

The Broader Context

The Latin American region studied is comprised of the Caribbean, Central America, Mexico and South America. Specifically, this region includes the following countries: Antigua and Barbuda, Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Organization of the Eastern Caribbean States (OECS), Panama, Paraguay, Peru, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Uruguay, and Venezuela (The World Bank Group, 2003). This section of the paper will first provide descriptive information on Latin America's society including economic, political, and cultural issues. Next, the economic status and gross domestic product (GDP) of Latin America will be considered. The authors' research points to these contextual factors as direct influences on HRD in Latin America (McLean & McLean, 2001).

The political and cultural context. The Latin American region is one of staggering diversity, with 524 million people who speak Spanish, Portuguese, English, French and some 400 indigenous languages (The World Bank Group, 2003). Its topography and ecosystems range from those of tropical islands to high *sierras* and *altiplanos*, rainforests, deserts and sprawling plains. Latin America is the most urbanized region in the developing world, with three-quarters of its people living in and around cities, but natural resources and agriculture are important to many of its economies .(The World Bank Group, 2003). Despite immense resources and dynamic societies, deep inequalities of wealth persist in most of these countries, with almost one-third of the region's people living in poverty. Life expectancy is 71 years, and infant mortality is 28 per thousand births (The World Bank Group, 2003).

Gender is also an important dimension of many of the pressing socioeconomic issues confronting Latin American and Caribbean countries today, including: high rates of maternal mortality, teenage pregnancy, and child labor; the transmission of HIV/AIDS; and the lack of job and income opportunities for young adults (The World Bank Group, 2003).

These issues are critical in the fight against poverty as they undermine the capacity of the poor to make use of available economic opportunities. Furthermore, socially ascribed gender roles result in expectations imposed on men and women due to their sex, or which are negotiated through social interaction, gender relations, and power relations between men and women, and play a pivotal role in some of the region's most pressing development challenges (The World Bank Group, 2003). For example, in the Latin American countries researched by the authors it was found that there are very few women in leadership in large corporations. The probability of finding women in positions of leadership appears to diminish with the climb up the corporate ladder. Overall, the higher the level of a female executive, the more important "chauvinism" and the "national ideology" becomes as barriers to further advancement (Zabludovsky, 2001, p. 8). The political overview for most of the Latin American countries is that they can all be characterized as unstable and they share similar obstacles as a result of government corruption and lack of economic and political freedom (The Latin Chronicle, 2003).

The economic context. Latin America's economies have been growing the past decade. As of 2001, the combined GDP of Latin America and the Caribbean stood at \$1.9 trillion, according to World Bank data for 19 countries in the region. Latin America's economy ranks behind the United States, the European Union and East Asia and Pacific, but ahead of regions like the Middle East and North Africa, South Asia and Sub-Saharan Africa. Mexico became Latin America's largest economy in 2001, measured in both current prices and constant prices. Mexico's GDP reached \$617.9 billion in 2001 in current prices, which was 22.5 percent more than the economy of Brazil, which has long had the largest economy in the region. Despite a dramatic decline, Argentina remained the third-largest economy in the Latin America region.

Despite the impressive size, there are huge differences between individual countries. The top three economies - Mexico, Brazil, and Argentina - accounted for a whopping 75 percent of the region's GDP. Mexico's economy is 237.6 times larger than Nicaragua, the region's poorest economy (The World Bank Group, 2003). Shown in Table 1, the GDP size ranking generally follows the ranking of population. Among the poor examples - both figuratively and literally - are countries like Haiti, Nicaragua and Honduras, which have larger populations than countries like Panama and Costa Rica, yet considerably smaller economies. Haiti and Nicaragua have suffered from political instability and unique factors, while Honduras has suffered from a lack of sufficient development (The World Bank Group, 2003).

Table 1. *Relative Size of Latin American Countries by Economy and Population in 2001*

\$US (billions)	Population (millions)
Mexico	99.4
Brazil	172.6
Argentina	37.5
Venezuela	24.6
Colombia	43.0
Chile	15.4
Peru	26.1
Dom. Rep.	8.5
Guatemala	11.7
Uruguay	3.4
Ecuador	12.9
Costa Rica	3.9
El Salvador	6.4
Panama	2.9
Bolivia	8.5
Paraguay	5.6
Honduras	6.6
Haiti	8.1
Nicaragua	5.2
Total	1,862.6*
Notes: Real GDP in current (2001) prices in U.S. dollars.	
*Excludes Cuba. Sources: World Bank, <i>Latin Business Chronicle</i>	

The context of Latin American culture, politics and economy has a direct impact on how HRD is defined and practiced in the region (McLean & McLean, 2001). While most HRD activities in Europe and the USA are focused on learning and performance in the organizational context, those in an environment of political instability and widespread illiteracy (as seen in Latin America), should include learning and performance at the community, national and regional levels. This implies that HRD that focuses only on the organization is insufficient in developing regions.

HRD in Latin America

The literature review revealed a very clear set of contextual factors and drivers that have implications for defining and prioritizing ongoing HRD activities in the region. During the synthesis of the information from the variety of sources consulted in the study, a format for clarifying, organizing, and relating key issues pertaining to the questions of the study emerged. The resulting information was organized by type (macro and micro), level (regional, national, organizational, and individual), drivers (e.g., cultural, economic), and implications for HRD thought and practice in the region (e.g., literacy training, leadership development, training in civic participation). Table 2 presents a summary of the contextual framework that emerged from the synthesis of the study. While the synthesis shows drivers and implications at all four levels of study, the levels can be grouped into two types, macro and micro, for analysis. Likewise, there is almost certainly overlap between some of the types, levels, and drivers depending on their specific context and definitions, for example, multinational corporations can exert both national and regional influence.

Table 2. *The Nature of the Dual Focus to HRD-related Activities in the Context of the Latin American Region*

Type of Focus	Level of Outcomes	Drivers of HRD-related Activities	Implications for HRD Research and Practice
MICRO	Individual	<ul style="list-style-type: none"> • Professional Growth • Language Skills • Personal Growth 	<ul style="list-style-type: none"> • Individualized skills training • Leadership development
	Organizational	<ul style="list-style-type: none"> • Cultural-Org culture as well as social culture • Profitability • Growth, Org Effectiveness • MNCs—Influence of home country culture 	<ul style="list-style-type: none"> • Employee/leadership development • Targeted skills training • Diversity and cultural training
MACRO	National	<ul style="list-style-type: none"> • Economic—FDI/MNCs, Fiscal Policy, Trade • Legislative—Democratic Elections, “Language Laws” • Cultural/Social—Indigenous Peoples, Patriarchal Structures, Civic Activities, Citizenship 	<ul style="list-style-type: none"> • Financial skills training, job/technical training • Work with indigenous peoples to enhance civic participation • Language/bilingual skills training
	Regional	<ul style="list-style-type: none"> • Economic • Cultural • Legislative—OAS, NAFTA 	<ul style="list-style-type: none"> • Civic awareness and democratic participation • Legal infrastructure and knowledge

From the review of the current literature on HRD in Latin America, the purpose of HRD falls clearly into two areas, namely, labor force development within the corporate setting, and human and community development. The area that most closely resonates with the current definitions of HRD, as described in the USA, is that of labor force development within the corporate setting. This area includes career development, functional training (i.e., total quality management, quality circles, machining skills), and management training (Luchi & Paladino, 2000; Nelson, 1998; Dooley, Paprock, Shim, & Gonzalez, 2001). In this study the individual and organization focus of HRD is defined as a micro analysis. The second HRD-related area evident in the literature is that of human and community development. This approach manifests itself in literacy training, development of skills for civic participation, and bilingual education (King, 1998). The Inter-American Foundation (2000) defines HRD as “Activities that generally focus on building the skills of disadvantaged people and/or personnel in organizations that partner with the poor” (p. 15). The concept of multiple definitions of the role and purpose of HRD was explored by McLean and McLean (2001). They found that the role and purpose of HRD varies throughout the world, and is affected significantly by

the context of national culture and economic development. The current literature relating to Latin America clearly supports this contention. For the purposes of this study, HRD-related activities at the national and regional levels are described as macro analysis.

Micro analysis. HRD within the Latin American corporate environment appears to be focused heavily on Multinational Corporations (MNCs) with headquarters in North America or Europe and satellite operations in Latin America. The vast majority of literature addresses development efforts by MNCs in Latin America with very little found that speaks to Latin American-based companies. The assumption is that this development exists, but is not well represented in the English-language literature. Harzing (2001) notes that "organization development is not a goal of international transfers as such, but is rather the result of knowledge transfer, management development and the creation of a common organizational culture and effective informal information network" (p. 3). In their study of the automobile sector in Argentina, Luchi and Paladino (2000) reviewed efforts by Fiat, Mercedes Benz, Ford, and GM to develop green field auto assembly plants along with the local firms that make up the value chain of supplier companies. The efforts of these large MNCs included activities focused on training supplier personnel, their own employees, and dealer personnel throughout the value chain. Topics included quality training, management principles, and high technology skills.

MNC participation in the Latin American economy often takes the form of substantial foreign direct investment (FDI). As Schuler and Brown (1999) note, "MNCs face substantial risks in deciding where to locate their FDIs. MNCs must assess factors such as social cultural differences, local supply-and-demand structures, exchange rates, and organizational structures and processes" (p. 2). Schuler and Brown (1999) use Costa Rica as an example of the decision-making process used by various North American companies to locate facilities in Latin America. The practice of HRD in Costa Rica played a significant role in the decision-making process, as well as the ongoing execution of strategy once the facilities were operational. For example, "Intel invested in a labor supply that was inexpensive but not necessarily the cheapest in the world" (p. 8). From this perspective Intel's interest was not in a ready-made, fully-trained workforce, but rather a workforce that was able to be trained. The training used by Intel included technical skills, semiconductor manufacturing skills, and both English and Spanish language training (Schuler & Brown, 1999).

The current literature also revealed a significant focus on cultural and social training, both for MNC expatriate employees and native employees. Several authors noted training and development efforts concerning women in management in Latin America. The general assessment of the impact of cultural training in organizational development has a similar theme, that is, the role of women in management and technical positions requires awareness and training on part of both MNC expatriates as well as employees from the host country. (Harzing, 2001; Head, Haug, Krabbenhoft, & Ma, 2000; Nelson, 1998; Osland, De Franco, & Osland, 1999; Zabludovsky, 2001) Likewise, training and development on the individual level resides primarily in the MNC community, according to the current literature reviewed (Zabludovsky, 2001; Osland, et. al., 1999).

Macro analysis. There is a parallel effort in human (resource) development evident within the literature. In the Latin American region, a significant effort has been underway for decades in developing the economic and political infrastructures of the various countries. Much of this effort centers on literacy and bilingual education in order to provide a trained workforce for MNC direct investment (Schuler & Brown, 1999). Several studies subsidized by the United Nations on a country-by-country basis show that adult literacy and bilingual training is being prioritized by Latin American countries for reasons that go beyond the standard economic development efforts. In the UN study, authors (King, 1998; Gleich, 1998) note that much of the literacy efforts taking place in Latin America are being used to bolster the use of a national common language among indigenous peoples. Given the presence of indigenous peoples, each with their own language, Latin American countries have found literacy and common language education to be a critical factor in the level of participation in civic affairs at levels beyond the immediate community. While many indigenous peoples can survive and thrive at the community level, the presence of a common national language, in most cases Spanish, is necessary for the group to participate in the civic affairs of the nation. Ushina (1998) found that Ecuador had at least eleven indigenous peoples, each with their own language. In order for Ecuador to have an active democratic society, these eleven groups needed a common language in order to participate in the most basic activities of citizenship. Ecuador began an effort to provide literacy training in Spanish speaking and writing skills that initially met with resistance, particularly from more senior members of the various communities. Likewise, participation in language training for indigenous peoples was not always supported with enthusiasm by the more entrenched sectors of the existing power structure, as literacy gave the formerly illiterate communities more power in the democratic process.

Gleich (1998) noted that the legal implications of rights for indigenous peoples affected many aspects of life within the country and the targeted communities. Efforts to legislate action on behalf of distinct communities and cultures have resulted in "language laws" and laws to protect the rights of indigenous peoples. This direction toward

a legislative solution has been met with a mixed response as the people that these laws were intended to help have often resisted participation in the training mandated by national legislation. As Cruz (1998) observed in Mexico, the skills desired by the targeted communities were those that led to community self-sufficiency, not civic participation. The communities were interested in skills training for farming, carpentry, and ironworking (blacksmithing) skills. The need for literacy was perceived as something being done in the national interest, not the interest of the individual or the self-sufficient indigenous community. This view was supported by reports from the Inter-American Foundation (2000) and United Nations Educational, Scientific, and Cultural Organization (1999) and applies to several other countries in the region.

Conclusions and Implications

This study set out to address three questions:

- What key contextual factors (e.g., social, economic, political, and cultural) drive and influence HRD in the Latin American region?
- What is the necessary purpose of HRD in the Latin American region?
- What are possible implications of these factors and purpose for HRD research and practice in the Latin American region?

The literature review and subsequent analysis allows us to answer these questions.

In response to the first research question on the contextual factors driving HRD, we found that problems common to several developing nations throughout the world are, predictably, also present in Latin America. These include: low levels of adult literacy, lack of a common language among the population, significant differences in the concentration of economic resources, and lack of technical skills normally associated with participation in the global economy. Several authors highlighted the illiteracy and lack of common language skills as critical to citizen participation in the civic activities of the various countries (Cruz, 1998; Gleich, 1998; King, 1998; Ushina, 1998).

The review of current literature reveals a distinct two-tiered view of HRD in Latin America, and helps to answer the second research question on the necessary purpose of HRD in the region. The classic USA view of HRD, namely, development of individual skills and capabilities to improve organizational effectiveness, is evident in corporate activities of MNCs with operations in Latin America. The corresponding activities found in literature included: workforce training, total quality management concepts, technical training, career development, and leadership development. However, investigation reveals a body of literature noting the need for development of the human capital of most of the countries in the Latin American region. It is the role of HRD professionals to help in the development of the basic human resource infrastructure that presents the main topic for discussion about the appropriate area of focus in the coming years; however, it is beyond the present scope of this study to define that focus. We hope to address this in more detail in the next phase of this study.

These conclusions present several, sometimes conflicting, implications for HRD research and practice. While HRD activities in organizations tend to mesh closely with current USA definitions of HRD, the English-language literature highlights efforts in MNCs and Non-Governmental Organizations (NGOs) from Europe and North America rather than Latin American-based firms. Those local firms that are mentioned become involved in HRD activities because they are members of the value chain (suppliers or local dealers) of MNCs and have been encouraged to participate. The opportunities to participate in the growth of HRD research and practice in Latin America by allying with MNCs and NGOs appear to be many and consistent with current popular USA views of HRD. Most of the current definitions of the HRD discipline appear to leave literacy and language skills in the domain of adult education professionals. However, without a serious investment of effort and resources in the most basic development activities of the populations in the Latin American region, there appears to be little need to be concerned with growth of the HRD discipline in organizations. Unless the population has the ability to participate in civic affairs outside the immediate community, there will be very little need for development efforts at the organizational or individual level, since there will not be sufficient economic development through MNCs or other commercial organizations. The level of HRD activity should reflect the context of the region, nation, and community within which it is operating.

Contribution to New Knowledge in HRD

The current USA definitions of HRD focus primarily on development of the individual and groups of individuals within the context of an organization in order to improve the learning and performance effectiveness of that organization. In the context of a region of the world that has significant gaps in the level of political and economic development, professionals in the field of HRD may be required to look beyond the current USA definitions.

Participation in less developed regions requires the field of HRD to expand its definitions to include human development at the community, national, and indeed, regional level. This expansion of definitions will lead the field to align more closely with professionals in the fields of adult education, literacy training, social development, and political science in order to bring about positive change.

References

- Beck, J. K. (2001). Toward a new HRD organization model. In O. A. Aliaga (Ed.), *Academy of Human Resource Development 2001 Conference Proceedings* (pp. 107-114). Baton Rouge, LA: AHRD.
- Inter-American Foundation. (2000). *Partnerships: An alternative development strategy*. (Inter-American Foundation 2000 in Review). Arlington, VA: Author.
- Cruz, F. S. (1998). A personal critique of adult education. In L. King (Ed.), *Reflecting visions: New perspectives on adult education for indigenous peoples* (pp. 143-146). Hamburg, Germany: UNESCO.
- Dooley, L. M., Paprock, K. E., Shim, I., & Gonzalez, E. G. (2001). Differences in priority for competencies trained between U.S. and Mexican trainers. In O. A. Aliaga (Ed.), *Academy of Human Resource Development 2001 Conference Proceedings* (pp. 115-122). Baton Rouge, LA: AHRD.
- Gleich, U. von (1998). Linguistic rights and the role of indigenous languages in adult education. In L. King (Ed.), *Reflecting visions. New perspectives on adult education for indigenous peoples*. (pp. 33-52). Hamburg, Germany: UNESCO.
- Harzing, A. W. (2001). An analysis of the functions of international transfer of managers in MNCs. *Employee Relations*, 23(6), 581-598.
- Head, T., Haug, R., Krabbenhoft, A., & Ma, C. (2000). Issues and trends in international business law: Implications for O.D. consultants. *Organization Development Journal*, 18(2), 62-73.
- Hillion, B., & McLean, G. N. (1997). The status of human resource development in French companies, in R. J. Torraco (Ed.), *Academy of Human Resource Development 1997 Conference Proceedings* (pp. 694-701). Baton Rouge, LA: AHRD.
- Horwitz, F. M. (1999, May). The emergence of strategic training and development: the current state of play. *Journal of European Industrial Training*, 180-190.
- King, L. (1998). Adult learning in the context of indigenous societies. In L. King (Ed.), *Reflecting visions. New perspectives on adult education for indigenous peoples*. (pp. 23-32). Hamburg, Germany: UNESCO.
- The Latin Business Chronicle. (n.d.). *Country Briefs Updated, Key Economic and Political Data on Latin America countries*. Retrieved October 3, 2003 from <http://www.latinbusinesschronicle.com/countries/index.htm>.
- Leamer, E. E., Maul, H., Rodriguez, S., & Schott, P. K. (1999). Does natural resource abundance increase Latin American income inequality? *Journal of Development Economics*, 59, 3-42.
- Luchi, R., & Paladino, M. (2000). Improving competitiveness in a manufacturing value chain: issues dealing with the automobile sector in Argentina and Mercosur. *Industrial Management + Data Systems*, 100(8), 349-358.
- Maclachlan, M. (1993). Sustaining human resource development in Africa: The influence of expatriates. *Management Education and Development*, 24, 167-171.
- McLean, G. N., & McLean, L. D. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International Journal*, 4(3), 313-326.
- Osland, J. S., De Franco, S., & Osland, A. (1999). Organizational implications of Latin American culture: Lessons for the expatriate manager. *Journal of Management Inquiry*, 8(2), 219-234.
- Ruona, W. E. A. (2000). Should we define the profession of HRD? Views of leading scholars. In K. P. Kuchinke (Ed.), *Academy of Human Resource Development 2000 Conference Proceedings* (pp. 188-195). Baton Rouge, LA: AHRD.
- Schuler, D. A., & Brown, D. S. (1999). Democracy, regional market integration, and foreign direct investment. *Business and Society*, 38(4), 450-473.
- Swanson, R. A. (1995). Human resource development: Performance is the key. *Human Resource Development Quarterly*, 6(2), 207-213.
- United Nations Educational, Scientific, and Cultural Organization. (1999). *Literacy in the world and its major regions. Ensuring universal rights to literacy and basic education*. Hamburg, Germany: UNESCO.
- Ushina, P. (1998). Adult education and indigenous peoples in Ecuador. In L. King (Ed.), *Reflecting visions. New perspectives on adult education for indigenous peoples*. (pp. 125-134). Hamburg, Germany: UNESCO.
- Woodall, J. (Ed.). (2001). Defining HRD [Special Issue]. *Human Resource Development International Journal*, 4(3).

- The World Bank. (2003, September). *The World Bank in the Latin America and Caribbean region*. Retrieved September 29, 2003. from
<http://wbln0018.worldbank.org/LAC/LAC.nsf/ECADocByUnid/53AEDA6320C3215285256CFE00518DF0?Opendocument>.
- Zabludovsky, G. (2001). Women managers and diversity programs in Mexico. *The Journal of Management Development*, 20(4), 354-370.

The Change Agent In the Global Environment: An Exploration of a Role in Transition

*Toni Powell
Barry University*

This paper explores some of the effects of the global organization on communities and the role of HRD change agents in developing the social responsibility of corporate leaders. The paper then suggests, as an alternative workplace for effecting social change, employee-owned organizations, where HRD could exert more influence in supporting long-term sustainability than in the global organization.

Keywords: Change Agents, Social Responsibility, Global Organizations

For several years, there has been growing interest in the role of HRD professionals as social consciences for the corporate world (Brooks, 2003; Chalofsky, 2003; Hatcher, 1997; Hatcher, 2003; Hatcher & Brooks, 2000; Kuchinke, 2003; Lee, 2003.) Hatcher and Reio (2003) urge practitioners to take an activist role in increasing the accountability of organizations. In arguing for a global HRD code of ethics, Russ-Eft and Hatcher (2003) pose some of the ethical questions the profession should address in the global era. "Should the HRD professional "stand for increased efficiency, reduced labor costs, and increased profitability alone? Should he or she speak out to prevent gender discrimination? To lobby for retraining of U.S. workers? To mitigate the effects of family dislocation?" (p.298). Marquardt & Berger (2003) have suggested three relatively new areas in which HRD should focus, one of which is social responsibility. Russ-Eft and Hatcher (2003) place great emphasis on social responsibility. "If we as HRD professionals continue to assume a subordinate role in organizations that are unethical and socially irresponsible, then we are complicit" (p.302). Kuchinke (2003), who suggests we frame assumptions grounding the discussion of professional roles for HRD within a radical humanist perspective, argues that HRD has the opportunity to "address issues of power and domination in organizations, of justice and fairness, or equality and access for all. This role is in contrast to the subservient role often adopted by the profession and a role that has the potential to strengthen the organization as a whole" (p. 487). One might reasonably ask, however, how likely it is that HRD practitioners, either as full-time employees or, externally, as outsourcing consultants, have the power or influence to effectively raise the social conscience of global organizations to the extent that corporate executives and stockholders become more accountable to employees and local communities.

The purpose of this paper is to critically examine some of the current assumptions underlying the role of change agents in global organizations and to suggest an alternative workplace culture in which HRD scholars and practitioners could more easily and effectively implement social change through influencing organizations to strive for long-term sustainability. To this purpose, the paper draws upon the work of economists, philosophers, and psychologists to discuss some of the effects, in particular powerlessness, of the global organization on employees and the community. Next, the paper focuses on the HRD professional as organizational empowerer (Watkins, 1989) whose key contribution is to "assist people and organizations in critically reflecting on what is oppressing them and how their organizations can free them to create new worlds and to design organizations not for control but for adaptability" (p.168). Finally, the paper examines the climate of some of the smaller employee-owned organizations where employees are more likely to hold greater power over their own work, and suggests that HRD might more easily and effectively develop policies and procedures that would assist them in supporting the organization to engage in social responsibility. The paper asks the following questions: Can HRD change agents significantly influence organizations to become socially responsible to individuals and communities? Are there corporate workplaces that are more open to inviting long-term sustainability than others?

Conceptual Framework

This paper links the conceptual arguments of ecological economists and other sociopolitical writers that point to a limitless power and flexibility held by organizations through globalization. To combat the power of global organizations, HRD scholars such as Hatcher and Reio (2003) suggest "an ecocentric view of HRD" (p. 634) which they define as focusing on enhancing learning that contributes to "sustainable human and environmental development" (p.634). One might ask, at this point, what kind of corporate environment most readily allows and encourages HRD professionals to provide for and support sustainable development? One such environment might

Copyright © 2004 Toni Powell

be one proposed by Aktouf (1992) who envisions a “humanized firm, where the organization would become a place for partnership and dialogue” (p.419) and a culture of synergy and collaboration that would empower employees to participate in shared values. After reviewing the literature of economists who describe the limitless power unleashed through globalization, this author makes the assumption that the global organization, as a means for retaining unlimited power, is not likely to fit Aktouf’s definition of the humanized firm, nor is it likely to support efforts by employees or management to encourage sustainable development, defined by Hatcher (2003) as “meeting our present needs without compromising the needs of the future” (p.486).

Globalization, Power, and Morality

Globalization, by definition, means that one company in one country owns, or operates, another company or companies in different countries (McPhail, 2001). Marquardt and Berger (2003) note that globalization combines factors such as a worldwide increasing flow of information sharing, connections and links to people in every continent. However, many economists (Aktouf, 2001; Andrews, 2001; Korten, 1995; Mander, 1996; Nader, 1996; Townley, 1993) and, more recently, business leaders such as Drucker (1993) and Senge, (1997) point to the immense power inherent in the global organization, and the impact such power can have on human societies. Workers around the world view this power with, at best, ambivalence, worrying that unchecked power will increase the growing disparity between rich and poor by threatening employment and living standards and setting up barriers to social progress (Marquardt and Berger, 2003). Mander (1996) reminds us that, for several reasons, an organization has its own rules of corporate behavior. The corporate structure is operated by rules that are not subject to human control. These rules dictate that profit and growth are the primary motivators. If individuals working within an organization attempt to change these rules or even re-prioritize them, the corporation dismisses them and replaces them with other individuals who would abide by the rules. Mander concludes: “Form determines content. Corporations are machines.” (p. 310). Global corporations are not directly accountable to stockholders and are, for the most part, independent of the states in which they operate (Barnett and Finnemore, 1999). Mander (1996) adds that when a global organization damages a community so outrageously that the situation becomes newsworthy, or when employees begin to rebel against unsafe working conditions, the corporation simply disappears, then reappears somewhere else where it can continue to acquire profit and grow. As McPhail (2001) points out, the further individuals are removed from the consequences of their actions and the individuals affected by those actions, the easier it is to take the actions.

Certainly there are managers and executives who feel shame or anger at some of the consequences of their corporations’ actions. However, individuals are constrained in publicly expressing anger or reproach about their organizations’ actions; corporate law mandates that managers are legally obligated to support the corporations’ position on community welfare issues (Mander, 1996). In the case where an ethical and humane chief executive is selected to take the reins of an organization with an historically unethical and inhumane corporate culture, the CEO can have some power over the behaviors and decision making of the executive staff, managers and supervisors, primarily through the rewards system, where moral and ethical behaviors can be rewarded and immoral behaviors can be punished. However, as decentralization occurs and the organization’s sub-systems are spread throughout the world, the CEO loses control over the enforcement of new policies. The more distance between the main offices and regional offices, the more disparate the cultures and countries are, the harder it becomes for the CEO to impose moral values and practices (Andrews, 2001).

Aktouf (1992) argues that as the power and the profits of the organizations increase, the rights and decision-making powers of its employees have decreased. During the 80s and 90s, when down-sizing and decentralization began to significantly reduce the number of middle managers, organization theorists envisioned a new culture where employees would participate in shared values, shared profits, increased autonomy and greater satisfaction. With few exceptions, however, employees have not been the recipients of enhanced autonomy. Aktouf maintains that the current management trend emphasizing the concerns of the employees through increased interest in human capital and knowledge management, denotes, in fact, a “false and stunted humanism” (p.412), and the increased concern for employees masks a new culture that “is bestowed, organized, and remote-controlled by a throng of leaders, visionaries, cheerleaders, and entrepreneurs” (p.412). Aktouf argues that earlier management gurus such as Peters (1986), Waterman (1987) and Mintzberg (1989), while calling for a revolution, actually suppressed this dehumanizing process by not challenging basic premises which degraded people and disregarded the reality of unilateral power and corporate monopolizing.

Ecocentric HRD

HRD primarily serves the organization; its purpose is to improve employee performance. As global organizations acquire more power over the world's economic, social and political arenas, some HRD theorists are suggesting that the field focus more on building socially and politically responsive individuals and organizations (Hatcher & Reio, 2003). Hatcher (1997) argues that HRD should focus not only on creating humane workplaces for employees, but on extending corporate responsibility to building a sustainable environment. However, HRD has traditionally taken on a reactive, rather than proactive role, finding solutions to problems that are defined by corporate leaders. In our traditional stance, the professional appears to avoid accountability which, according to Dalla Costa, (1998) "renders us isolated and anonymous. It heightens our longing for community and personal context but also allows us an invisibility from which it is easy, and often self-advancing, to avoid obligations and cut corners" (p. 20). In the global organization, as with earlier corporate cultures, this role creates a dilemma. As Lee (2003) notes, HRD practitioners train and coach employees to "espouse, promulgate and enact ideals within a system that by its very nature denies such ideals." (p.488). This dilemma is embodied in Gramsci's (1978) concept of "ideological hegemony", which suggests that the ideas and actions of leaders gradually become internalized by followers as if they were their own and "when, in fact, they are constructed and transmitted by a powerful minority interest to project the status quo" (as cited by Brookfield, 2000, p.41). In the corporate world, Gramsci's concept is applied through the interaction between trainer and trainee, mentor and mentee, coach and employee. One might ask, then, how successful HRD practitioners can be in arguing for radical change in the workplace when, as paid employees, they have pledged their commitment to the corporate mission which, in the case of the global organization, is to expand "beyond its reach and powers, and to spread the consumer life-style around the globe" (Mander, 1996, p.310)

In addition to Hatcher and Reio (2003), Marquardt and Berger (2003) have also proposed a proactive model as a means for HRD to address ethical and environmental concerns arising from globalization. The authors cite seven areas in which HRD should impact global power, one of which is environment sustainability. The authors list specific steps to take, including developing governmental policies to strengthen the position of HRD in persuading global organizations to cooperate in improving the environment and empower employees. Through the lobbying efforts of professional organizations such as ASTD and SHRM, the field could encourage policies that "encourage country integration into the global economy while putting in place measures to help those adversely affected by the change" (p.286). Clearly HRD must form partnerships with other groups to effectively impact the powerful forces of global organizations. Other recommendations made by Marquardt and Berger include building global teams, developing cross-cultural communication skills, strengthening vocational training programs in the areas of environmental and development programs, and encouraging more mentoring and communication networks. The authors warn that "to retain their relevance and leadership, HRD professionals will need to play an increasingly strong role in the development of global and multicultural competencies throughout organizations"(p.293).

An Alternative to the Global Organization

The recommendations made by Russ-Eft and Hatcher (2003) and Marquardt and Berger(2003) call for counteracting HRD's reactive stance within the global environment and strengthening its role as change agent to become, in the words of Watkins (1989) an organizational empowerer. This paper suggests that as an alternative to the global workplace, HRD change agents consider the small, employee-owned company as a more conducive environment for taking on such a role. Employee ownership provides a structure that aligns a corporation's private self interest with public goals such as distributing wealth and providing retirement benefits. Such an alignment promotes ethical conduct. Berg and Kalish (1997) employed a model of business ethics that focused on the organization, rather than the individual employee or employer. The authors cite Drucker (1993) who rejected the popular corporate view of ethics that holds that businesses don't need to consciously seek the public good since economic self-interest will create public benefit. Drucker argues that "in a good, a moral, a lasting society the public good must always rest on private virtue...It is management's public responsibility to make whatever is genuinely in the public good become the enterprise's own self interest (pp.390-391). Berg and Kalish (1997) choose the organizational model to describe the advantages an employee-owned company has in developing trust, which the authors define as "anticipated cooperation" (p.214). Employee ownership has existed, in one form or another since the 1920s. It wasn't until 1950, however, that an investment banker argued that with one percent of the population owning over fifty percent of the privately owned stock, the country would incur serious economic and social problems. By 1974, there were 300 Employee Stock Ownership Plans (ESOP), retirement plans with tax incentives that encourage companies to borrow money so that, as the debt is being repaid, the stock being financed will be

owned by employees. Employees then have equity ownership. ESOPs are now much more common and there is growing evidence that employee ownership companies that actually ask for and implement employee input substantially outperform their competitors. Recent studies examining financial data of employee owned companies (EOPs) have found that employee ownership does, with some exceptions, result in returns to employees (Beatty & Schacter, 2002). Of five companies experiencing severe financial problems prior to their shift to employee ownership, only one failed during the seven-year period in which the companies were examined. Berg and Kalish (1997) point to one of larger and more successful EOPs – Amsted Industries, which formed employee stock ownership in 1986; by 1998, the company had become 100% owned by the ESOP trustee corporate structure. Participants in the ESOP include all employment levels, from clerical and nonunion factory workers to top management. In 1985, Amstead endured a leveraged buy-out (LBO), which significantly altered the company's finances. This was a situation that required enormous trust between Amstead and its shareholders. Employee shareholders placed their trusts in the company even when they were faced with the termination of their pension plans and only promises from management that they would benefit in the end. They responded by remaining loyal to Amstead and supporting the LBO transaction. The authors conclude that Amsted and the employee/shareholders had a knowledge-based trust relationship built up over many dealings. As a result, Amsted was able to pay off the entire LBO debt much earlier than scheduled. Berg and Kalish (1999) conclude that employee ownership aligns a corporation's self interest with public goals. This alignment then promotes business ethics. In a recent study (Kuvaas, 2003) examined the relationship between the preferences of employees for an ongoing share ownership plan and their organizational commitment. The findings support the idea that employee ownership has intrinsic motivating efforts on employees' affective commitment toward their work and their environment. With the evidence from a number of studies pointing to the high degree of trust, commitment, involvement and feelings of empowerment and profitability enjoyed by workers in employee owned companies, this paper suggests that an EOP offers a work environment that seems an attractive alternative to the global corporation. In an employee-owned organization, certain assumptions can be made—that employees can be trusted to be effective decision-makers; that when employees are expected to be trustworthy, they are trustworthy. In return, when individuals work in organizations where they are treated as partners and co-managers, and where there is tolerance of human error and an open-book policy on information, including financial information, (Aktouf, 1992), they become employees who perform far beyond expectations because they take ownership of their work.

Conclusions

This paper suggests that as a result of the empowerment they find in their EOP experience, employee-owners could more easily perceive and feel their connectedness with the bigger world. Another conclusion reached by the author of this paper is that employee-owners will be more willing to commit to the social, economic, and environmental development of the community than would employees of large global organizations. Employees that take ownership of their workplace have roots in the community; the extent to which the community is healthy and vital is the extent to which they and their families remain healthy and vital. A sustainable, empowering workplace creates a model for a sustainable, empowered community environment.

Implications for HRD

This paper is proposing an alternative to the global workplace for HRD change agents who wish to exert more influence in promoting long-term sustainability. In an employee-owned company, HRD professionals could serve as organizational empowerers, while developing cross-cultural communication skills and building capabilities in knowledge management and technology systems (Marquardt and Berger, 2003). An employee-owned organization has greater potential than a global organization for developing an empowering environment, one that encourages employees and HRD professionals to work together as problem-solving teams. Together, employees and HRD change agents could use action research models to gather data and determine what the major barriers to a sustainable environment are. In this organizational culture, such needs and concerns would not be perceived as extraneous to the "bottom line." Instead, they could be seen as critical, superceding the traditional corporate profit margins as the bottom line. Aktouf (1992) warns that "although the pursuit of profit is a legitimate objective, it must not become the only factor to be considered for the sole benefit of managers and shareholders. Instead, profit should be regarded as the result of collective efforts of all parties, and it should be administered accordingly" (p. 426).

References

- Aktouf, O. (1992). Management and theories of organizations in the 1990s: Toward a critical radical humanism? *Academy of Management Review, 17*(3), 407-431.
- Andrews, K.R. (1989). Ethics in practice. *Harvard Business Review, September-October*, 99-104.
- Barnett, M. & Finnemore, M. (1999). The politics, power, and pathologies of international organizations. *International Organization, 53*(4), 699-733. Retrieved August 14, 2003, from the EBSCO database.
- Beatty, C. & Schacter, H. (2002). *Employee ownership: The new source of competitive advantage*. Etobikoke, Ontario, Canada: John Wiley.
- Berg, T.C. & Kalish, G.I. (1997). Trust and ethics in employee-owned companies. *Business and Professional Ethics Journal, 16*(1-3), 211-221. Retrieved September 2, 2003, from the EBSCO database.
- Brookfield, S.D. (Ed.). (2000). *The concept of critically reflective practice*. San Francisco: Jossey-Bass.
- Brooks, A. (2003). A critical feminist perspective. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource Development 2003 Conference Proceedings* (pp. 484-485). Academy of Human Resource Development: Minneapolis, MN.
- Chalofsky, N. (2003). Exploring the concept of the humane workplace. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource Development 2003 Conference Proceedings* (p. 483). Academy of Human Resource Development: Minneapolis, MN.
- Della Costa, J. (1998). *The ethical imperative: Why moral leadership is good business*. Reading, MA: Perseus Books.
- Drucker, P.F. (1993). *The practice of management*. New York: Harper Collins.
- Drucker, P.F. (1993) *Post-capitalist society*. New York: Harper Collins
- Gramsci, A. (1978). *Selections from the prison notebooks*. Lawrence and Wishart.
- Hatcher, T. (1997). Improving corporate social performance: A strategic planning approach. *Performance Improvement, 36*(9), 23-27.
- Hatcher, T. (2003). Ethics, integrity, and social responsibility. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource Development 2003 Conference Proceedings* (pp. 485-486). Academy of Human Resource Development: Minneapolis, MN.
- Hatcher, T. & Brooks, A. (2000). Social responsibility of Human Resource Development: How our definitions and worldviews impact our leadership role. In K.P. Kuchinke (Ed.) *Academy of Human Resource Development 2000 Conference Proceedings*. (Town Forum). Academy of Human Resource Development: Durham, N.C.
- Hatcher, T. & Reio, T. (2003). Politics, power and HRD: Toward an ecocentric view. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource Development 2003 Conference Proceedings* (pp. 631-636). Academy of Human Resource Development: Minneapolis, MN.
- Korten, D. (1995). *When corporations rule the world*. San Francisco: Berrett-Koehler.
- Kuchinke, P. (2003). A radical, humanist perspective. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource 2003 Conference Proceedings* (pp. 486-487).
- Kuvaas, B. (2003). Employee ownership and affective organizational commitment: Employees' perceptions of fairness and their preference for company share over cash. *Scandinavian Journal of Management, 19*(2), 193-213. Retrieved August 21, 2003, from the EBSCO database.
- Lee, M. (2003). Democratic organization perspective. In S.A. Lynham & T.M. Egan (Eds.) *Academy of Human Resource 2003 Conference Proceedings* (pp. 487-488). Academy of Human Resource Development. Minneapolis: MN.
- Mander, J. (1996). The rules of corporate rule. In J. Mander & E. Goldsmith, (Eds.) *The case against the global economy*. (pp. 309-322). San Francisco: Sierra Club.
- Marquardt, M., & Berger, N. (2003). The future: Globalization and new roles for HRD. *Advances in Developing Human Resources, 5*(3). 283-295.
- McPhail, K. (2001). The ethical challenges of globalization: Critical reflections on the ISBEE 2nd World Congress in Sao Paulo, Brazil. *Business Ethics, 10*(1), 78-82.
- Mintzberg, H. (1989). *Inside our strange world of organizations*. New York: Harper & Row.
- Morris, D. (1996). Communities: Building authority, responsibility, and capacity. In J. Mander & E. Goldsmith (Eds.) *The case against the global economy*. (pp. 434-445). San Francisco: Sierra Club.
- Nader, (1996). GATT, NAFTA, and the subversion of the democratic process. In J. Mander & E. Goldsmith (Eds.) *The case against the global economy*. (pp. 92-107). San Francisco: Sierra Club.
- Peters, T. (1987). *Thriving on chaos*. San Francisco: Knopf.

- Russ-Eft, D. & Hatcher, T. (2003). The issue of international values and beliefs: The debate for a global HRD code of ethics. *Advances in Developing Human Resources*, 5(3). pp. 296-307.
- Senge, P. (1997). Rethinking control and complexity. In R. Gibson (Eds.). *Rethinking the future*. (pp. 132-166). London: Nicholas Brealey.
- Waterman R. (1987). *The renewal factor*. New York: Bantam.
- Watkins, K.E. (1989). Five metaphors: Alternative theories for human resource development. In D.B. Gradeous (Ed.), *Systems theory applied to human resource development* (pp. 167-184). Alexandria, VA: American Society for Training and Development

Managing Effectively as a Global Manager in Thailand

Boon-Anan Phinairup

National Institute of Development Administration, Bangkok.

Global management is an important issue these days because of the growing number of multinational companies in Thailand. This article will explain the main characteristics of a global manager and how higher education in Thailand can help prepare people to be global managers. The main characteristics of a global manager are 1) to have received training in global management, 2) to have the ability to manage political, economic, and foreign environments, 3) to be strongly interested in adapting to other cultures, and 4) to be proactive in global business. The research methodology employed for this study is documentary research.

Keywords: Global Management, Manager, Education

Thailand is trying to encourage more international companies to invest and operate within its borders. There are many international companies in Thailand such as Colgate-Palmolive, Pepsi-Cola, Johnson & Johnson, Uniliver, Toyota, Ahold, and Effem. These companies have increased the demand for people who can manage effectively in international companies. In addition, the Thai government is trying to persuade Thai companies to set up businesses in foreign countries. These Thai companies also need people who can be global managers. This study is justified by the fact that there are relatively few research studies on the qualifications for people who work in these types of positions.

Purpose of study

This study aims to identify the characteristics of a successful global manager. For this paper, literature was reviewed on the characteristics of global managers, leadership of global managers, and the impact of global managers on business opportunities.

Literature Review

The literature indicates that the global manager's role is particularly challenging. In addition, there is a literature review on Thai education to determine how educational curricula prepare Thai people to work as global managers in international companies. Therefore, the literature review is divided into two parts; the first part on global managers and the second part on the role of Thai higher education.

Role of Global Manager

Several studies have tried to explain the role of the global manager that impact the management of multinational company. Geber (1992) stated that many multinational companies are concerned about global managers who have an impact on the company's marketing or competitiveness. In this article, the author said that global managers have a strong interest in, and tolerance for, other cultures and an understanding of the decision-making processes of their host culture. Yet at issue is how such understanding can be created. Many multinational companies are spending so much time on what attributes produce the kind of employees who can succeed in another culture. There are some surveys among US and non-US companies about key success factors that enable a global manager to do their job efficiently. There are three key success factors: 1) knowledge of the business, 2) a high degree of tolerance and flexibility, and 3) the ability to work with other people. McBride (1992) examines the global organization and its development needs. Global managers must be able to cross national and cultural boundaries with a high quality of service. It is proposed that global managers manage multicultural micro cultures that have their own ecology-relationship, attitudes, beliefs, and behavior. This microworld is proposed by Peter Senge as a context for learning. It is constructed to reflect real organizational dynamics and to combine meaningful business issues with meaningful interpersonal. A management development program is proposed that prepares managers not only for crafting strategy, but also for crafting a strategic culture worldwide.

It is also consistent with Ioannou (1994) said that midsize multinationals may not have played the global game as well as their larger competitors, but many are proving remarkably skilled, especially when it comes to the crucial task of creating efficient, responsive international interactive workforces. They realize human assets will play at least as large a role as advanced technology and economies of scale when it comes to competing in the new world order. These surprising findings emerge from a survey of 1,200 American multinationals with

Copyright © 2004 Boon-Anan Phinairup

annual sales of 1 billion dollars or less conducted by International Business Magazine and the human resources

firm of Drake Beam Morin Inc. The world being a complex place, this joint study shows many cross currents roiling the global personnel pond, including: 1) management compensation costs are rising faster outside the US than inside, but still fall well short of the total package required to establish a senior US manager abroad. 2) Most American companies now try to fill senior positions abroad with locals, importing US experts only for such specific projects as technology transfer. Katz and Seifer (1996) mentioned that internationalization has increased the demand for individuals who can manage effectively in a foreign environment. Historically, multinational firms have been plagued with the problem of expatriate managers returning home prematurely due to their inability to adapt to the culture of the host country. This study integrates models of national culture thus providing a framework for the prediction of the appropriate types of cross cultural training and socialization necessary for an expatriate manager prior to the foreign assignment, as well as the methods and goals of socialization to be used within the organization upon his/her arrival. The discussion leads to specific HR guidelines and implications for the proper socialization of expatriate managers, more use of performance appraisal systems, and heightened motivation, culminating in management styles that more closely correspond to the cultural expectations of host countries and result in higher overall managerial success.

During the past few years, other authors have response to the diversity in the management of multinational. As stated by Buhler (1999) said that many managers do indeed recognize globalization and see its impact on their daily work. In reality, the globalization of business has effected every sector of business and in many cases causes changes in work performance. In some cases, the changes are subtle. It is therefore important to the manager and the organization that care is taken to ensure the trends are monitored. Managers must be proactive in their global business. Saner, Yin, and Sondergaard (2000) said that global managers don't need to know how to manage non-business stakeholders in all the countries where they work. However, they do need to be able to manage complex organizational environments. To do this they must develop diplomatic strategies for handling internal structures and conflict. Failure in this diplomatic function can easily lead to crisis, open conflict, or missed business opportunities. In order to succeed in business, many global companies should show competence in managing multiple stakeholders at home and abroad. While it is of key importance to have the right price and time, global companies might not be able to deal successfully with obstacles outside their direct sphere of control. Facing such challenges, global companies require business competencies in which most managers have no background or training. The competencies needed to deal with foreign country interests, multiple domestic and foreign pressure groups, or international conflict demand that global companies acquire organizational competency in business diplomacy management. This competency can build bridges between core businesses. In fact, many of the attributes of a business diplomacy manager are comparable to those of a political diplomat.

Caligiuri and Di Santo (2001) said that multinational companies need globally competent managers to drive business successfully. To address this human resource need, many strategic human resource departments have initiated global leadership development programs to groom future leaders. There are two inherent assumptions in all global leadership programs. First that "global competence" can be defined in terms of a developmental dimension and, second, that once defined, this dimension can be developed through global experience.

Role of Education

At present, Thai society is confronting many changes - economic, political, and educational. These changes come both from within and from its interconnectedness with a complex and rapidly changing world. For some time, Thai society has been based on a system of relationships and the code of conduct of small communities. Within a short period, it has changed radically into a complex society with a modern economic system, new information technology, new reform politics and changes in education. Many people have learned to cope with the changes through education which has been used as a tool to prepare Thai people for the new business environment which is more and more involved with global business. In addition, since education is very important in enabling people to work in a global environment and as a bridge to sustainable social and business development, there are many international seminars conducted in Thailand in order to broaden perspectives or renew curricula, create new student characteristics for international business, and create an international network. For example, the First International Forum on Education Reform: Key factors in effect implementation (July 2001); and the Second International Forum on Education Reform: Experiences in selected countries (February 2002). There is also an annual seminar on "The Educated Man in the 21st Century: Guidelines for Thai education reform, as well as international links between ASEAN, Asian Development Bank, Asia-Pacific Economic Cooperation, IMF, ILO, the World Bank Group, WTO, and the United Nations Industrial Development Organization.

As Thailand is trying to bring itself up to international standards, it is very important to utilize education as a tool for preparing Thai people for international organizations. To do this, universities must perform a new role as follows (www.inter.mua.go.th): The role of universities toward the whole education system including basic education. Universities can only have a limited contributive role in the overall education system because of certain barriers, particularly those relating to the continuity between basic and higher education systems and the inflexibility of the teaching-learning system. It is therefore advisable that higher education institutions and other

institutions cooperate and allow schools, universities and the community to join forces in enhancing educational research, academic services and the preservation of art and culture. Secondly, universities should provide increased educational opportunities for the community through diversified systems such as providing courses for second degrees. In addition, they should take a more active part in providing non-formal and informal education. Transfer of credits and learning experiences acquired from non-formal to formal systems should also be allowed. Government support should also be provided to universities in order to enable them to provide education to disadvantaged groups and the disabled. Thirdly, Universities should give equal importance to internationalization and national identity based upon proper adaptation and assimilation. Comprehensive education, in the world community and national identity should be specified as desirable attributes of graduates in the 21st century. The international dimension should be integrated into curriculums, extra curricula activities, the academic environment, as well as management systems and academic services. Attention should also be given to harmony, local wisdom and local culture. Fourthly, universities should make the best use of the information and data available in the business and industry sector to develop and revise the curriculum.

From the above, it is apparent that education needs to be reformed. Every university must take steps to create a curriculum that incorporates world affairs. This can be achieved through such activities as apprenticeships/internships in multinational companies or American, European, or Asian studies programs. These programs can contain courses of an international nature, often focusing on questions of foreign policy or current events. The programs may be designed to prepare students for the Foreign Service. Many specialized courses are devoted to helping students strengthen competence in their chosen fields such as business or industry. Universities need to relate their international programs to the community.

It is very important to confirm that this new approach to educational curricula is being developed. Further, that curricula options and majors are being created to give students alternative course sequences to follow; that international dimensions are being infused into national courses, and that there is increased opportunity to travel.

Research Methodology

The author conducted a literature review of empirical and research based articles to understand the theoretical and conceptual aspects of global manager characteristics. The study provides definitions and current knowledge in the area. It is limited to a literature review and would benefit anyone who is interested in building competency as a global manager.

Data collection was document analysis. Documents related to multinational companies were collected from primary and secondary sources. Documents were solicited from corporations and from standard literature sources such as journals, magazines, the world-wide-web, newspaper articles, and research reports. Data obtained from these documents provides insightful and enriched information that was used to confirm and verify the information provided through literature review.

Findings

This article tries to show the importance of global managers and the role that education must play in preparing students for global business. The discussion section will be divided into three parts. The first part summarizes the findings from the literature review on the role of global managers. The second part shows how selected companies prepare their people to be global managers, and the last part encourages educational institutions to do more and be involved more in the development of educational curricula for world business.

According to the literature review, global managers need to have a few basic characteristics. These can be summarized as follows: 1) to have received training in global management, 2) be able to manage political, economic, and foreign environments, 3) be strongly interested in adapting to other cultures, and 4) be proactive in global business. Therefore, it is essential to train global managers to develop these competencies. These competencies provide opportunities for people to perform the role of global manager with a shared set of beliefs, attitudes, and values.

Furthermore, in many cases, in order for multinational companies to succeed, they need managers who can handle diplomatic assignments as part of their job portfolio. Global companies must participate in environment conflict, communicate effectively with nonbusiness interests and pressure groups, influence decisions of foreign government constituencies, and negotiate on behalf of the company in foreign countries with nonbusiness groups. Therefore, global companies need to be able to forecast, plan, and manage international issues, cope with multiple crises, influence and work with intergovernmental organizations, and operate appropriately within diverse cultural and social environments.

Following are examples of how multinational companies prepare global managers:. A Dutch company pairs a key overseas manager with a manager at its US headquarters. Top management monitors the foreign manager's progress and helps the manager stay in tune with what is going on back at the source of power. This

mentoring can provide vital input into management succession strategy (Ioannou, 1994). Nordson Corporation, a producer of industrial paint with sales in Europe and Japan, recruits young talent directly from the American Graduate School of International Management in Arizona, Columbia, and South Carolina. Since 1988, Nordson has hired 18 graduates and assigned them to such jobs as regional marketing manager and business group head in Germany and other key markets (Clark and Arbel, 1993) In addition , Beckman Instruments Inc. of Fullerton, California, exports the “leadership process”, a three day course on the company’s management philosophy and global mission. All senior and mid-level executives in Europe and Asia and the Pacific Rim are required to attend. Other companies turn to human resource consulting firms that provide three-week programs including language studies, courses on cultural adaptation, and business and social practices in foreign countries. The Food Corp International simulation was specifically developed to simulate the activities of a firm in need of a strategic review of its worldwide activities. Developed by McBride and other associates of the Management Simulation Project Group at New York University, Food Corp International was designed to provide multicultural managers with a micro culture which must be managed strategically. It highlights the complexity of developing a culture, which can support a global strategy and can be exported worldwide. Food Corp also allows managers to wrestle with the inconsistencies of a culture in transition (McBride, 1992) Warner Lambert’s Global Leadership Associate Program (GLAP) is an international rotational program designed to yield business managers with a global perspective. The goal of GLAP is to provide managers with international assignments early in their career and expose them to the diversified business of Warner-Lambert. Through GLAP, it is believed that participants will gain the skills necessary to successfully manage and lead anywhere in the world (Caliguri and Di Santo, 2001)

Finally, the role of higher education needs to be reformed. Every sector of the educational community must cooperate and design curricula that can produce students who can work in multinational companies since there is an increased number of multinational companies around the world. New curricula should help prepare students in terms of language and an understanding of the culture, beliefs, and values in the environments in which they may work.

Future Research

The purpose of this literature review was to examine the characteristics of global managers. There are several recommendations and questions for future research. More emphasis needs to be given to strategic partnerships as these help to reduce the complexity of operating in the global arena. Focus more on the development of global managers in order to prepare them to be ready for the job.

References

- Allard, L. (1995) The new international manager. *Management Review*, 84(8), 6-7.
- Beeth, G. (1997) Multicultural managers wanted. *Management Review*, 86(5), 17-20.
- Buhler, P. (1999) The impact of the global arena on managers at all organizational levels. *Supervision*, 60(8), 15-17.
- Caligiuri, P., & Santo, V. (2001) Global competence: What is it, and can it be developed through global assignments? *Human Resource Planning*, 24(3), 27-35.
- Clark, J., & Arbel, A. (1993) Producing global managers: The need for a new academic paradigm. *Cornell Hotel & Restaurant Administration Quarterly*, 34(4), 83-89.
- Forster, N. (2000) Expatriates and the impact of cross-cultural training. *Human Resource Management Journal*, 10(3), 63-78.
- Foulkes, R. (1995). Globalising organizations and empowering people for high performance leadership of our multicultural world: Or, behold, the demise of business-as-usual is at hand. *Equal Opportunities International*, 14(12), 37-46.
- Geber, B. (1992). The care and breeding of global managers. *Training*, 29(7), 32-37.
- Giusti, J., Lightner, L., & Stillo, L. (1994). Using inside expertise for global training. *Human Resource Professional*, 7(2), 15-18.
- Harvey, M., & Novicevic, M. (2001). The impact of hypercompetitive timescapes on the development of a global mindset. *Management Decision*, 39(5/6), 448-460.
- Harvey, M., Price, M., Speier, C, and Novicevic M. (1999) The role of inpatriates in a globalization strategy and challenges associated with the inpatriation process. *Human Resource Planning*, 22(1), 38-50.
- Hebard, C . (1996). Managing effectively in Asia. *Training and Development*, 50(4), 34-39.
- Ioannou, L. (1994). Human resources special report: It's a small world after all. *International Business*, 7(2), 82-88.
- Kim, P. (1999). Globalization of human resource management: A cross-cultural perspective for the public sector *Public Personnel Management*, 28(2), 227-243.

- Maiser, D.H. (1985). The one-firm: What makes it successful? *Sloan Management Review*, Autumn , 3-13.
- Neelankavil, J., Mathur, A., & Zhang, Y. (2000). Determinants of managerial performance: A cross-cultural comparison of the perceptions of middle-level managers in four countries. *Journal of International Business*, 31(1), 121-140.
- Pucik, V., & Saba, T. (1998). Selecting and developing the global versus the expatriate manager: a review of the state-of-the-art. *Human Resource Planning*, 21(4), 40-41.
- Solomon, C. (1994). How does your global talent measure up? *Personnel Journal*, 73(10), 96-108.
- Sullivan, P. (1992). Six traits of global managers. *Executive Excellence*, 9(9), 8-9.

Institutionalization of Organizational Change: A Study of HRD Interventions in Singaporean, US, Japanese, and German Companies

*AAhad M. Osman-Gani
Nanyang Technological University*

*Ronald L. Jacobs
The Ohio State University*

Institutionalizing organizational change has emerged as an issue among organization researchers and managers alike. Institutionalization of change is derived from change management theory in its emphasis on understanding the roots of organizational success and failure. The field of HRD appears particularly poised to help organizations institutionalize change. The purpose of this study was to identify what HRD interventions are being used to institutionalize organizational change in multinational corporations (MNCs). This paper presents empirical findings on the use of Cascade Training along with other methods, and the nature of significant differences found among companies from the four countries in their use of the HRD interventions.

Keywords: Institutionalizing change, Cascade Training, MNCs, Singapore

The purpose of this study was to identify what HRD interventions are being used to institutionalize organizational change in multinational corporations (MNCs) from four countries. *Institutionalizing* organizational change has emerged as an issue among organization researchers and managers alike (Kearney, 1999). *Institutionalizing* organizational change appears the best way to describe the relative perseverance of planned change efforts (Jacobs, 2002; Cummings & Worley, 1997). Perseverance means that the change effort has received sufficient acceptance by individuals and groups over a period of time to achieve the intended goals (Beer, Eisenstat, & Spector, 1990; Mirvis & Berg, 1977). Of concern here is whether the desired change becomes part of the organization's ongoing activities to replace what existed beforehand. *Institutionalizing* change is derived from change management theory in its emphasis on understanding the roots of organizational success and failure.

The field of human resource development appears particularly poised to help organizations institutionalize change. As shown in Figure 1, Jacobs (2003) introduced a framework for institutionalizing organizational change, adapted from the one presented by Cummings and Worley (1997). The framework presents how organization characteristics influence intervention characteristics and each of them in turn influences institutionalization processes, resulting in the desired institutionalization outcomes. The outcomes show the extent to which the change has taken hold and can, presumably, be sustained over a length of time. The framework, based on a systems theory perspective, suggests that the failure of change can occur because of inadequate or incomplete attention to any one or a combination of the organization characteristics, the intervention characteristics, or the institutionalization processes.

Following Cummings and Worley (1997), the framework posits that institutionalization processes infer a dependency relationship among employee competence, self-efficacy, commitment, incentives, and behavior modeling. More specifically, employees should first have the competence to meet the new expectations that, in turn, is dependent on employees having the self-efficacy to carry out the change. Self-efficacy is prerequisite for expressing the commitment behaviors, both words and actions, related to the change. Over time, commitment depends on the allocation of financial and non-financial incentives. Finally, institutionalization processes depend on individuals to model the change behaviors for others to observe and repeat (Washington, 2002; Klein, Wesson, Hollenbeck, & DeShon, 2001; Klein & Wright, 1994).

Research Problem

Institutionalization of organizational change has become an issue of increasing interest among organization researchers and managers alike. HRD has the potential to be useful in helping organizations implement planned change, primarily because institutionalization processes focus on key HRD concerns: employee competence, self-efficacy, commitment, incentives, and behavior modeling. These processes help determine the extent to which

Copyright © 2004 AAhad M. Osman-Gani & Ronald L. Jacobs

institutionalization outcomes will be achieved. However, a review of the literature shows that few if any studies have been conducted to understand how HRD has actually been used to institutionalize organizational change. If HRD has potential for ensuring the institutionalization of change, and if few studies have been done to understand current practices that would help guide future practices, then more needs to be known about current institutionalization practices. Also, no empirical research could be identified that investigated this phenomenon so far. In addition, previous research suggests the importance of considering national culture in the study of management practices (Osman Gani, 2000; Hofstede, 1997).

The specific research questions of the study were the following:

1. What HRD interventions are being used to institutionalize organizational change?
2. Is Cascade Training being used as a specific means to implement institutionalization process?
3. Are there country-based differences in the ways multinational companies (MNCs) implement institutionalization practices?
4. Are there differences in the perceived effectiveness of the training methods used across countries?

Methodology

This study adopted an exploratory research design since no previous study on the issue of institutionalization of organizational change could be identified. The research was carried out in two phases in Singapore, where MNCs from various countries are operating for a long time as regional headquarters and are involved in making such decisions. First, interviews were carried out with human resource managers and general managers of twelve local Singaporean and multinational companies. In the second phase of the research, a questionnaire was administered to a sample of human resource managers and general managers. Managers from a total of 127 local and multinational companies (MNCs) from four countries participated in the study: Singapore, the United States, Japan, and Germany. The business sectors represented were: manufacturing, construction, finance and business, transportation, communication, commerce and information technology.

The sampling frame of the study was the "Singapore 1000" (2001/2002 edition), in which the top 1000 companies operating in Singapore with the highest sales turnover for the time period specified are listed in the annual publication. A sample of 411 companies from the four countries was selected from this sampling frame by using a proportionate stratified random sampling method.

The main source of data was from a survey conducted using a structured questionnaire, designed to solicit the opinion of HR or general managers from local as well as multinational corporations. The questionnaire method was chosen to enable a standardized format of collecting the necessary data required for this study. The questionnaire was designed based on literature reviews and the interviews with the managers. To ensure validity and reliability of the questionnaire, a pilot test was carried with ten of the 12 managers interviewed. The questionnaire was organized into four parts: Part I aimed to gather information about the general characteristics of the participating companies; Part II outlined the process of institutionalization of organizational change and is divided into six parts; and, Parts III and IV of the questionnaire respectively solicit job-specific as well as demographic information of the respondents. In order to test for reliability, a test-retest method was used, and reliability coefficients (α) were computed for various section of questionnaire. There is relatively high level of internal consistency for most of the variables as shown by the α values ranging from 0.65 to 0.88.

A panel of experts consisting of the professors from Nanyang Business School, NTU, and HR and general managers of companies were consulted to test for content and face validity of the research instrument. Feedback from this panel was incorporated in finalizing the questionnaire before the final administration. In order to test for construct validity, factor analysis was conducted. Eigenvalue of more than one was used to identify the constructs consisting of the items with highest factor loadings and the items not loading properly in relevant construct were removed from the analysis.

A combination of mail, fax, and E-mail administration methods were used for distributing the questionnaires. The research team called up each company and explained to the managers, the purpose of the study and requested for completing the questionnaire. A majority of the questionnaires were administered using mail administration, a procedure that holds advantages over others in terms of coverage, cost and confidentiality issues. A two-week deadline for the return of the questionnaires was set and return-envelopes were enclosed to encourage participation and thus, a higher response rate. Follow-up phone calls were made to non-returnees one week and two weeks after the deadline to serve as reminders. Due to initial low response rate, the research team followed a personal administration method after the two sets of follow-up calls. A total of 127 questionnaires were collected giving an overall response rate of 26.8%.

Results

The following are the results for each of the research questions of the study:

What HRD interventions are being used to institutionalize organizational change? Table 1 presents different types of training programs adopted by companies in dealing with organizational changes. It can be seen that the top five training programs most commonly adopted by companies are job-skills training, management training, IT training, certified technical training, and team-building courses.

Table 2 presents the training methods to deliver information about the organizational change. The most commonly used training methods are on-the-job-training (OJT), conference/seminar/workshop, classroom/lecture, mentoring, and computer-based training. Table 2 also presents the distribution of the effectiveness of the training methods, where OJT was found to be more effective than others.

Is Cascade Training being used as a specific means to implement institutionalization process? (For this study, Cascade Training has been defined as the process of providing critical change-related information that will flow through the organization in a planned way to facilitate subsequent parts of the institutionalization process.) The results generally showed that most respondents are not aware of cascade training as a method of change management. About 78% of the respondents indicated that they have not heard of the term although some organizations practiced it unknowingly. Table 3 shows a breakdown of the responses according to company ownership. A cross-tabulation of the results showed that the largest number of respondents who have heard of cascade training came from middle-level managers. An analysis by business sector showed that the manufacturing sector had most respondents who have heard of cascade training. Analyses by functions showed that the human resources function had the most number of respondents who have heard of cascade training, followed by general management. Finally, a cross-tabulation on awareness by country showed that USA and German managers at 25 percent, while Japan and Singapore managers were 15.2 percent and 23.1 percent respectively.

The results also showed that 65.2 percent of the respondents who have knowledge of cascade training expressed interest in using this intervention. The results also showed that managers from USA and Singapore organizations were the most interested in adopting cascade training, once they understood the concept. Singapore, Japan and German managers rate the factor, "Top management support" the most important factor that would influence their decision to adopt cascade training. On the other hand, respondents from the USA rate the factor "Tested and proven successful" as the highest. Finally, the results showed that potential influences in adopting cascade training included the need for "faster dissemination of information" and "reinforce one's learning".

Are there country-based differences in the ways multinational companies (MNCs) implement institutionalization practices? Table 4 presents the factors considered important to implement cascade training by organizations from different country of ownership. The results showed that organizations from Singapore, Japan and Germany rated the factor, "Top management support" significantly higher in terms of influencing their decision to adopt cascade training. On the other hand, organizations from the USA rated the factor "tested and proven successful" significantly higher..

Table 5 presents the perceived effectiveness of initiatives having different country ownership. The results showed that "Communication" was rated significantly by respondents from all countries. However, only companies from Singapore and Germany rated "Education" as being significant and companies from USA rated "Participation and involvement" as being significant.

Table 6 presents the training methods used most frequently to implement change by country of ownership. The results showed that "On-the-job training", "Classroom", and "Seminar/Workshop" were rated significantly by respondents from the four countries. On-the-job training had the highest mean across all four countries of ownership.

Table 7 presents the strategies used by country of ownership. The results showed that countries differed across all approaches presented to respondents. The results showed that "Communication" was the highest rated approach across all respondents.

Are there differences in the perceived effectiveness of the training methods used across countries? Table 8 presents the perceived effectiveness of differing training methods across countries. The results showed that on-the-job training was significantly rated as the most effective training approach across all four counties. Self-instructional training was significantly rated the lowest among three of the four countries. Significant differences were also found in the degree of effectiveness for all the training methods used across the four countries.

Summary and Discussion

In general, the results showed that in the institutionalization process, communication and training initiatives play more significant roles over other change management strategies. With regards to the new concept of cascade training, a general lack of awareness was been found, although many companies are using it in various ways. Socio-cultural issues have also been shown to have significant influences on several aspects of the change management process. In determining the effectiveness of the institutionalization of change, several types of training programs were found to play significant roles. This study provides insights into the different strategies of institutionalizing changes; the potential of using cascade training as a means of institutionalizing change, as well as the influence of various cultural, organizational and demographical factors on the institutionalization process. In this study, respondents were exposed to a wider range of strategies and initiatives available to effectively manage changes in their organizations, and were asked to identify important influencing factors, and cultural differences were found to play significant role in this regard. The differences in the degree of effectiveness of the training programs can also be explained by the cultural factors of the four contrasting socio-cultural environments.

Overall, training interventions seems to be more effective in institutionalization of organizational changes compared to non-training interventions. This signifies the role of HRD in organizations from all national cultural background. Organizations are using a wide range of strategies and training methods to institutionalize changes, however, they have yet to explore the other areas of HRD from strategic perspective (such as career development, organizational learning). Organizations should review existing strategies and explore the ways to make HRD strategies more integrated with other organizational functions to ensure better success in institutionalization of change.

Although most respondents did not seem to have known about Cascade Training, it was found to be an effective method in faster dissemination of information and knowledge transfer needed for implementing the changes. Thus, managers should study this method and adopt it in their organizations for more effective institutionalization of change. This study involved respondents from organizations originating from only four countries, namely USA, Singapore, Germany and Japan. However, as the environment is ever changing, more countries are increasing their investment in Singapore and in other countries of Asia. Future research could involve MNCs from more countries and similarities and differences found from this study could then be compound so that a broader conceptual framework could be developed.

References

- Beer, M., Eisenstat, R., & Spector, B. (1990). Why change programs don't produce change. *Harvard Business Review*, 6(68) 158-166.
- Cummings, T.G., & Worley, C.G. (1997). *Organization development and change*. Cincinnati, OH:Southwestern.
- Klein, H. J. & Wesson, M. J., Hollenbeck, J. R., Wright, P. M., & DeShon, R. D. (2001). The assessment of goal commitment: a measurement model meta-analysis. *Organizational Behavior and Human Decision Processes*, 85, 32-55.
- Klein, H. J., & Wright, P. M. (1994). Antecedents of goal commitment: An empirical examination of personal and situational determinants. *Journal of Applied Social Psychology*, 24, 95-114.
- Hofstede, G. (1997). *Cultures and organizations: Software of the mind*. McGraw Hill.
- Jacobs, R., & Russ-Eft, D. (2001). Cascade training and institutionalizing organizational change. In R. Jacobs (Ed.), *Planned training on-the-job*. San Francisco: Sage.
- Jacobs, R.L, & Osman Gani, A.M., (2002), *Institutionalizing Organizational Change through Cascade Training*, *Proceedings of AHRD International Conference*, Honolulu, Hawaii (Feb-Mar 2002)
- Kearney, A.T., (1999) *Enterprise transformation: Mastering the art and science of mastering Change*. London: A. T Kearney Ltd.
- Mirvis, P.H., & Berg, D.N. (1977). *Failures in organizational change*. New York: John Wiley.
- Osman Gani, A. (2000). Developing expatriates for the Asia-Pacific region: A comparative analysis of multinational Enterprise managers from five countries across three continents. *Human Resource Development Quarterly*, 11(3), 213-243.
- Washington, C. (2002). *The relationships among learning transfer climate, transfer self-efficacy, goal commitment, and sales performance in an organization undergoing planned change*. Dissertation: The Ohio State University, Columbus.

Figure 1. Institutionalization of Change Framework

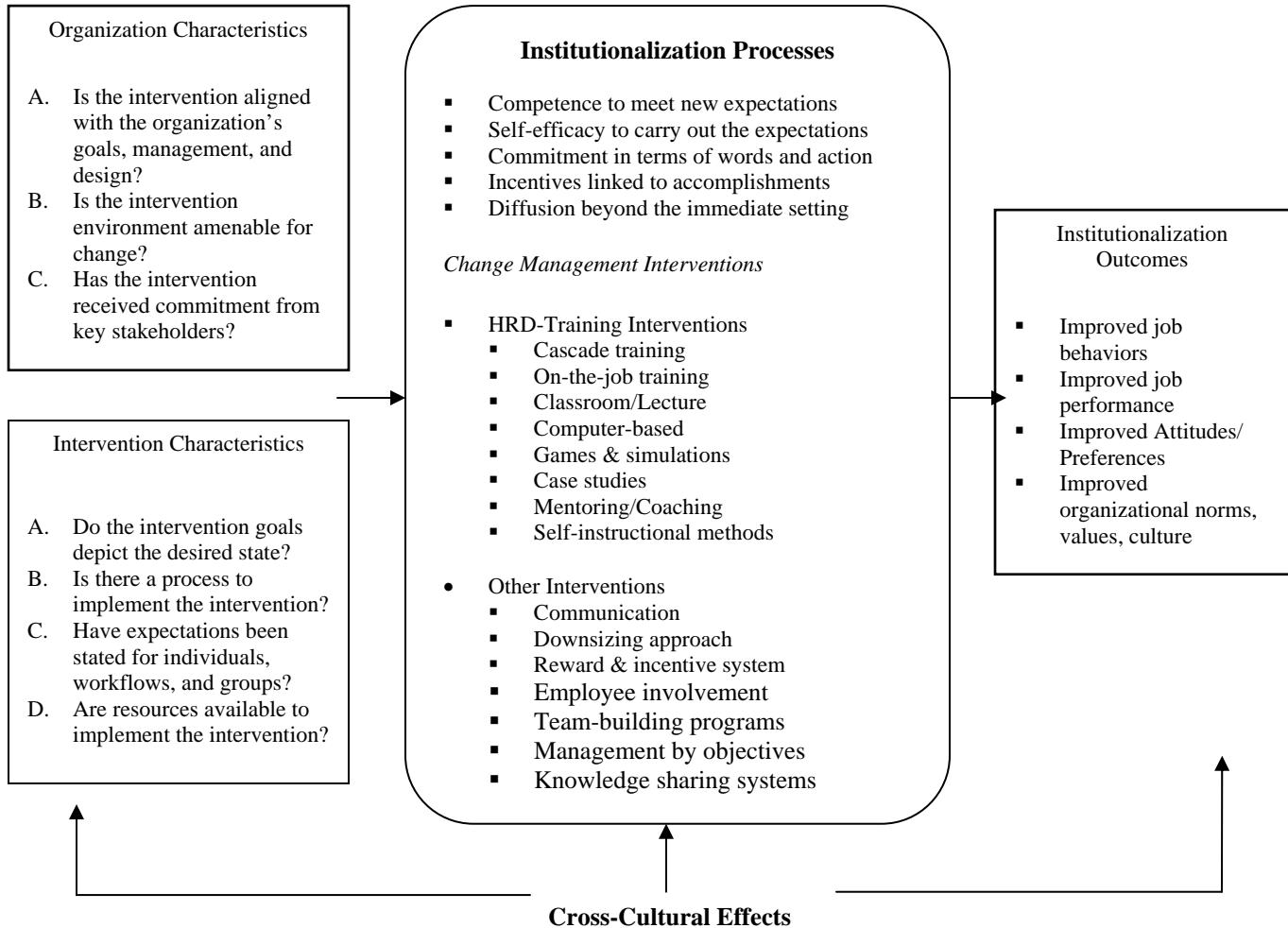


Table 1. *Types of Training Programs*

<i>Training Programs</i>	<i>N</i>	<i>Mean</i>	<i>S.D.</i>
Job skills training	127	4.10	0.83
Management training	127	3.50	1.03
IT training	127	3.31	0.94
Certified technical training	127	3.24	0.91
Team-building courses	127	3.14	1.21
Communication skills training	127	3.03	1.01
Sales & customer relations training	127	2.80	1.08
New product training	127	2.72	1.15
Situational leadership training	127	2.68	1.02
Production & quality training	127	2.67	0.98
Attitude/motivational training	127	2.41	0.89
Employee health & wellness training	127	2.17	0.78
Clerical & administrative training	127	2.10	0.81
Higher learning courses	127	2.08	0.96

(1=Least Frequent...5=Most Frequent)

Table 2. *Types of Training Methods*

<i>Training methods</i>	<i>N</i>	<i>Frequency</i>		<i>Effectiveness</i>	
		<i>Mean</i>	<i>S.D.</i>	<i>Mean</i>	<i>S.D.</i>
On-the-job training	127	4.44	0.66	4.48	0.60
Conference/Seminar/Workshop	127	3.67	0.92	3.76	0.80
Classroom/Lecture	127	3.54	1.06	3.55	1.13
Mentoring	127	2.99	1.19	3.17	1.05
Computer-based training	127	2.76	1.10	2.94	1.02
Audiovisuals	127	2.62	1.08	2.83	1.07
Self instructional training	127	2.56	1.14	2.69	1.03
Online training	127	2.49	1.02	2.62	0.93
Case studies	127	2.20	1.00	2.44	1.03
Games & Simulations	127	1.98	0.89	2.28	0.99
Adventure/ Outdoor learning	127	1.94	0.83	2.23	1.02

(1=Least Frequent/Effective...5=Most Frequent/Effective)

Table 3. *Degree of Interest in Cascade Training*

		Singapore		USA		Germany		Japan	
		N	%	N	%	N	%	N	%
Heard of	Yes	9	23.1	7	25.0	7	25.9	5	15.2
	No	30	76.9	21	75.0	20	74.1	28	84.9
Interest in adopting	Yes	6	85.7	6	100.0	2	40.0	1	20.0
	No	1	14.3	0		3	60.0	4	80.0

Table 4. *Summary Results of ANOVA on Factors to Adopt Cascade Training by Company Ownership*

Factors	Singapore			USA			Japan			Germany			f-value	Sig
	N	M	SD	N	M	SD	N	M	SD	N	M	SD		
Tested and proven successful	39	3.49	0.72	28	4.18	0.82	33	3.58	1.00	27	4.04	0.71	5.418*	0.002
Effective shown by research	39	3.44	0.60	28	4.00	0.98	33	2.82	0.95	27	3.96	0.81	13.563*	0.000
Top management support	39	3.72	0.89	28	4.11	0.69	33	4.12	0.93	27	4.19	0.68	2.409	0.070
Business expansion	39	3.62	1.04	28	3.61	0.83	33	3.67	0.74	27	3.81	0.83	0.341	0.795
Company's support system	39	3.51	0.89	28	3.93	0.81	33	3.48	0.87	27	3.52	0.64	1.954	0.124
Not applicable	39	1.41	0.75	28	1.54	0.58	31	1.35	0.95	27	1.04	0.19	2.586*	0.056
Satisfied with current method	39	1.41	0.75	28	1.86	0.89	31	1.42	0.67	27	1.04	0.19	6.535*	0.000

(1 = Least important.....5 = Most important) * Significant at $\alpha=0.05$ Table 5. *Summary Results of ANOVA on Effectiveness of Initiatives by Company Ownership*

Initiatives	Singapore			USA			Japan			Germany			f-value	Sig
	N	M	SD	N	M	SD	N	M	SD	N	M	SD		
Education	39	3.79	0.92	28	4.14	0.80	33	3.09	0.84	27	4.15	0.60	11.506*	0.000
Communication	39	4.23	0.71	28	4.46	0.51	33	3.91	0.68	27	4.59	0.50	7.151*	0.000
Creating a vision	39	3.56	0.72	28	4.25	0.70	33	3.36	0.93	27	3.96	0.76	7.879*	0.000
Participation and involvement	39	3.62	0.67	28	4.32	0.48	33	3.45	0.83	27	3.52	0.58	10.548*	0.000
Facilitation and support	39	3.54	0.56	28	4.18	0.55	33	3.24	0.94	27	3.37	0.57	10.970*	0.000
Negotiation and agreement	39	2.90	0.88	28	4.07	0.72	33	3.33	0.78	27	2.70	0.67	17.614*	0.000
Reward system	39	3.26	1.07	28	3.61	0.63	33	3.00	0.97	27	2.37	0.84	9.129*	0.000
Explicit and implicit coercion	39	2.46	0.88	28	2.89	0.83	33	2.64	0.65	27	3.26	0.76	5.941*	0.001
Stress management	39	2.41	0.94	28	3.14	0.80	33	2.73	0.91	27	2.26	0.66	6.138*	0.001
Redundancy	39	2.18	0.94	28	2.71	0.94	33	2.52	0.94	27	2.44	0.89	1.904	0.132

(1 = Least important.....5 = Most important) * Significant at $\alpha=0.05$

Table 6. Summary Results of ANOVA on Training Methods by Company Ownership

Training methods used	Singapore			USA			Japan			Germany			f-value	Sig
	N	M	SD	N	M	SD	N	M	SD	N	M	SD		
On-the-job training	39	4.38	0.71	28	4.57	0.50	33	4.18	0.73	27	4.70	0.54	3.790*	0.012
Classroom	39	3.51	1.12	28	4.04	0.96	33	2.82	0.77	27	3.96	0.90	10.537*	0.000
Seminar/Workshop	39	3.67	0.98	28	4.00	0.90	33	3.24	0.94	27	3.85	0.60	4.254*	0.007
Audiovisuals	39	2.10	1.10	28	3.07	0.90	33	2.06	0.75	27	3.59	0.57	22.725*	0.000
Computer-based training	39	2.15	1.16	28	3.14	1.01	33	2.42	0.90	27	3.63	0.49	15.744*	0.000
Online training	39	1.92	1.01	28	2.82	0.95	33	2.61	1.03	27	2.81	0.74	6.993*	0.000
Games & Simulations	39	1.85	0.96	28	2.54	0.88	33	1.73	0.80	27	1.89	0.64	5.486*	0.001
Case studies	39	2.03	1.01	28	2.54	0.88	33	2.30	1.19	27	1.96	0.76	2.123	0.101
Mentoring	39	3.23	1.42	28	3.07	0.81	33	3.30	1.24	27	2.19	0.68	6.096*	0.001
Adventure/Outdoor learning	39	1.74	0.75	28	2.64	0.83	33	1.76	0.71	27	1.70	0.72	10.576*	0.000
Self instructional training	39	2.10	0.97	28	3.11	1.03	33	3.24	1.03	27	1.81	0.83	16.521*	0.000

(1 = Least important.....5 = Most important)

* Significant at $\alpha=0.05$

Table 7. Summary Results of ANOVA on Various Strategies Used by Company Ownership

Strategies used	Singapore			USA			Japan			Germany			f-value	Sig
	N	M	SD	N	M	SD	N	M	SD	N	M	SD		
Communication	39	4.28	0.69	28	4.68	0.55	33	4.06	0.86	27	4.56	0.70	4.625*	0.004
Adopt a "stick" approach	39	2.10	0.68	28	2.68	0.95	33	2.33	0.82	27	3.89	0.93	26.990*	0.000
Designing a new reward system	39	2.33	0.84	28	2.86	0.71	33	2.70	0.68	27	3.59	0.75	15.250*	0.000
Package for early retirement	39	1.87	0.73	28	2.36	0.83	33	1.58	0.61	27	1.48	0.64	8.818*	0.000
Knowledge sharing system	39	3.36	1.04	28	3.25	0.89	33	2.42	0.90	27	3.19	0.74	7.312*	0.000

(1 = Least important.....5 = Most important)

* Significant at $\alpha=0.05$

Table 8. Summary Results of ANOVA on the Effectiveness of Training Methods used by Company Ownership

Training methods used	Singapore			USA			Japan			Germany			f-value	Sig
	N	M	SD	N	M	SD	N	M	SD	N	M	SD		
On-the-job training	39	4.41	0.68	28	4.57	0.50	33	4.27	0.63	27	4.74	0.45	3.588*	0.016
Classroom	39	3.72	1.10	28	4.11	0.79	33	2.58	0.97	27	3.93	0.92	16.090*	0.000
Seminar/Workshop	39	3.79	0.95	28	4.18	0.67	33	3.33	0.69	27	3.78	0.58	6.381*	0.000
Audiovisuals	39	2.51	1.12	28	3.46	0.92	33	2.09	0.72	27	3.56	0.58	20.233*	0.000
Computer-based training	39	2.64	1.09	28	3.43	0.88	33	2.33	0.82	27	3.63	0.57	15.098*	0.000
Online training	39	2.46	1.05	28	3.14	0.89	33	2.42	1.20	27	2.85	0.72	3.616*	0.015
Games & Simulations	39	2.38	1.04	28	3.11	0.79	33	1.70	0.81	27	1.74	0.71	17.063*	0.000
Case studies	39	2.51	1.00	28	3.14	0.80	33	2.33	1.02	27	1.74	0.81	10.713*	0.000
Mentoring	39	3.54	1.07	28	3.39	0.69	33	3.42	0.97	27	2.11	0.70	16.173*	0.000
Adventure/Outdoor learning	39	2.36	0.93	28	3.18	0.77	33	1.85	0.83	27	1.74	0.76	17.462*	0.000
Self instructional training	39	2.36	0.90	28	3.14	0.76	33	3.00	0.79	27	2.00	0.78	12.665*	0.000

(1 = Least effective.....5 = Most effective)

* Significant at $\alpha=0.05$

Empirically Based Recommendations for Training and Development of Supervisory Social Support

*Duchduen Bhanthumnavin
National Institute of Development Administration*

Based on Interactionism Model, this study investigated the important situational and psychological factors, influencing three types of supervisory social support behavior. Data from 345 supervisors in Thai health centers were analyzed. Results revealed that all 10 factors together could account for the variation of the SSSBs with a range of 25.4% to 50.6% in various subsamples. Findings also revealed three types of supervisors needed to be trained, and also the topic for training and development.

Keywords: Supervisory Social Support Behavior, Training and Development, Interactionism Model

It has long been evident of the important consequences of social support in many social contexts, such as, family (Abbey, Andrews & Halman, 1995; Cobb, Davila, & Bradbury, 2001), and especially at work (Glaser, Tatum, Nebeker, Sorenson, & Aiello, 1999; Geller & Hobfoll, 1994; Pinpradit, 2003). Supervisory Social Support Behavior (SSSB), for that matter, was positively related to group member's work motivation, such as, job satisfaction (Sorod & Wongwattanamongkol, 1996; Mayfield, Mayfield, & Kopf, 1998), commitment to work (Littrell, Billingsley, & Cross, 1994; Thacker, Fields, & Bracley, 1990) and follower's work effectiveness (Bhanthumnavin, 2003a). SSSB was further found to have negative relationships with undesirable outcomes, from, job stress (Dormann & Zapf, 2003; Frese, 1999), work – family conflict (Goff, Mount, & Jamison, 1990), to occupational injury (Iverson & Erwin, 1997).

Although many beneficial consequences of receiving supervisory social support in the workplaces have been accumulated in Thailand and abroad, however, there has been inadequate attention to the investigation of predictors of this valuable behavior for the purpose of training and development. Therefore, this study is a response to such an urgent demand.

Research Objectives

This research study has three major objectives. First, to pinpoint the most important antecedents of SSSB in Thai health centers, both situational, as well as psychological factors. Secondly, to compare and contrast the amount of the three types of SSSB among supervisors in health centers, to empirically indicate the more urgent target groups needed for training and development. Finally, deriving from the research results, more definite and reliable recommendations on what need to be trained, in order to obtain more effective and sustainable training outcomes.

Literature Review

Accumulation and content organization in this section will yield three important research directions. First, the operational definitions of the three dimensions of SSSB to be validly and reliably assessed in this study. Secondly, the conceptual framework, using Interactionism Model to indicate the important types of independent variables which was used in this study. Finally, previous research findings are used as bases for hypotheses' formulation to be tested in this study.

Supervisory Social Support Behavior

Most previous studies have focused on perceived social support of a person from many sources, including that of his or her supervisors (Kaufmann & Beehr, 1986; Niranthawee, 1989). There were also multiple types of support, such as, appraisal, emotional, esteem, financial, informational, material, services, welfare, and tangible support (House, 1981). Recently, definition of SSSB was reorganized and proposed by Bhanthumnavin (2000) as an interpersonal behavior between supervisor and subordinate in work situation where the supervisor provides subordinate one or more types of the three types of supports, i.e., emotional, informational and material, for the purpose of creating, improving, and/or maintaining work motivation and satisfaction, work performance, and/or effectiveness of the recipient and organization.

Copyright © 2004 Duchduen Bhanthumnavin

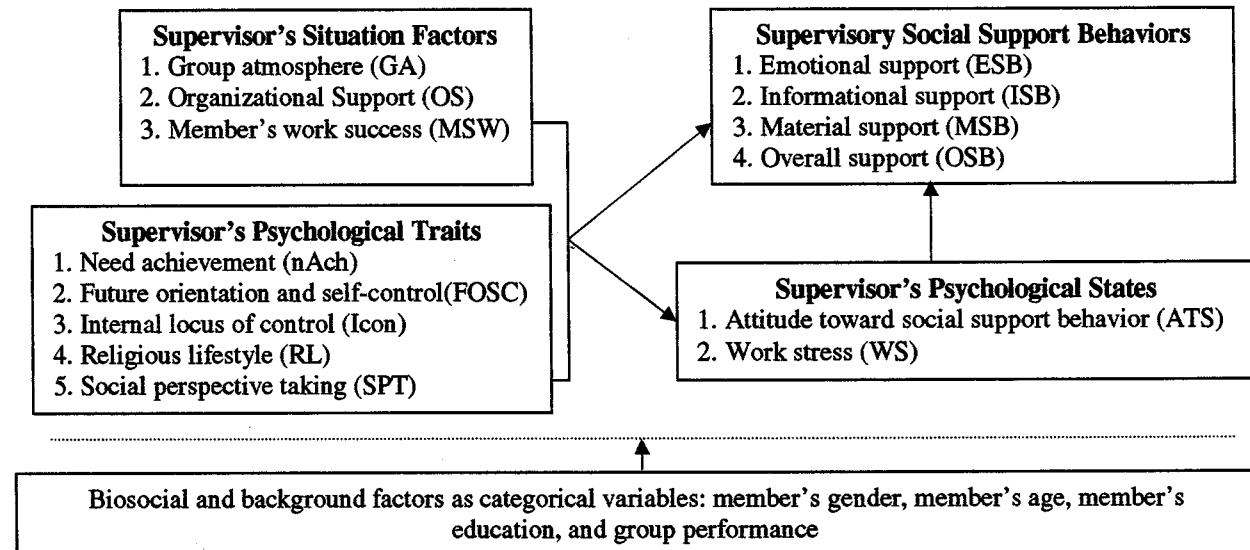
Bhanthumnavin (2003b) suggested that emotional support behavior (ESB) from supervisors to group members should include various types of behaviors, namely, caring for, showing acceptance and respect, and especially showing willingness to help group members to cope with stress or work problems. There are various means for supervisors for showing informational support behavior (ISB), such as giving advice; suggestions, and/or guidance about knowledge and skills related to subordinate's work; passing important work related information including training or work-shop news, techniques; giving appropriate rewards or punishment to appropriate members, and being a good role model at work. Material support behavior (MSB) from supervisor includes providing needed material or instruments, and seeking for financial support or budget arrangement prior to, and/or on request from group members. Many researchers (Fenlason & Beehr, 1994; House, 1981; Sarason, Sarason, & Pirece, 1990), furthermore, suggested that most types of social support behaviors should be viewed as interrelated. In this study, these three types of SSSB in local health centers were separately assessed by self-reported questionnaires, employing summated ratings method which assumed interval scaling.

Conceptual Model of Supervisory Social Support Behavior : An Interactionism Model

This study was based on interactionism model (Magnusson & Endler, 1977) for conceptual framework. At present, the interactionism model has been most widely used for investigating the multiple antecedents of various types of human behaviors, especially work performance in organizational context (Tett & Burnett, 2003). Interactionism model indicates four mainstreams of antecedents of human behavior: situational factors, psychological traits, interaction between the situational factors and psychological traits, and psychological states.

This model requires multiple causes of behavior both intra and extra-individual, and their interactions. In this model extra - or situational factors are those conditions which can facilitate or hinder the behavior in question. In work's context, such situation can be conceptualized into three levels, i.e., individual, work unit, and organization levels (Tett & Burnett, 2003). In this study, three work situations are studied, that is, group atmosphere, organizationnal support, and member's work success. For intra- or psychological factors, five important psychological traits of the supervisors are expected to play a key role, need for achievement, future orientation and self-control, belief in internal locus of control of reinforcement, religious lifestyle, and social perspective taking are employed. Psychological states of the actor are specified by the Interactionism Model to exert strong influence on one's behavior. In this present study, favorable attitude toward social support behavior and work stress are deemed to have such effects (Figure 1).

Figure 1. Conceptual Framework and Relationships Among Variables in this Study.



Situational Variables and Social Support Behaviors

Many scholars and researchers agree that human behaviors are affected by situational influences. There are many

possible situational factors affecting supervisor's behaviors including group atmosphere, Organizational support, and member's work success.

Group atmosphere (GA) has long been accepted as one of the three important group situations affecting leadership effectiveness in Fiedler's Contingency Theory of leadership effectiveness (1967). GA is also considered as an important component of social capital (Staber, 2003). Thai research findings confirmed that GA was significantly and positively related to leader's effectiveness (Soonthornvipart, 1989; Sorod, 2003; Surakitbowon, 1989).

Organizational support (OS) in employee's point of view is called Organizational Support. Eisenberger, Fasolo, and Davis-LasMastro (1990) defined OS as "employee's perception of being valued and cared about by the organization" (p. 51). OS, was found to be related to several desirable characteristics of employees (Rhoades & Eisenberger, 2002), e.g., prosocial behavior (Lee, 1995; Moorman, 1991), and organizational citizenship behavior (Lynch, Eisenberger, & Armeli, 1999).

Relationship between social support and member's work success has been reported in many recent studies (Ballantine and Nunns, 1998; Bhanthumnavin, 2003c; Mayfield, et al., 1998). These studies, however, were correlational-comparative studies which assessed social support from supervisor and member's performance at the same time. Thus, the cause-effect relationship between these two variables could be viewed in two directions. The first direction views member's work success as a consequent in this phenomenon, the second direction as antecedent of SSSB. Based on this possibility, it is predicted that supervisors of a less successful subordinates have higher SSSB than their opposites. Thus, it expected that at least one of these three situational factors will be among the first three most important predictors of SSSB in this study.

Psychological Traits and Social Support Behaviors

Psychological traits have been generally accepted as exerting important influence on human behaviors (Bhanthumnavin, 1983), especially prosocial behavior at work (Brief & Motowidlo, 1986) and being a transformational leader (Bass, 2002; Bhanthumnavin & Bhanthumnavin, in press). At least five psychological characteristics are potentially associated with supportive behavior of an individual, i.e., social perspective taking, internal locus of control, religiousness, need for achievement, and future orientation with self-control.

Many research studies both from Thailand and abroad have recently confirmed that multiple psychological characteristics can account for higher percentages of variation of members' and leaders' behaviors and work effectiveness (Bass, 2002; Brief & Motowidlo, 1986; Chaumthong, 1993; Pinpradit, 2003; Sorod, 2003). These psychological traits are nAch, FOSC, Icon, and SPT. Recently, religiousness has come into the picture as an important antecedent of various types of work behaviors of teachers (Na Wanjun 1993), nurses (Phosrithong, 1993; Tamavong 2000), policemen (Sopa, 2002), and especially for giving social support to AIDS patients (Chanchamlha, 2001). Thus, it is expected that at least one of these five psychological traits will be among of the first three most important predictors of SSSB.

Psychological States and Social Support Behavior

Psychological state of an actor is an organismic interaction between one or more situational antecedents with one or more psychological traits of that actor. In this category, work stress and attitude toward SSSB (ATS) were more often found to be strong predictors of work effectiveness, such as, in the study of air force personnel (Thummathon, 2003), of IPD nurses (Tamavong, 2001), government officials (Sorod & Wongwattanamongkol, 1996) and Thai bankers (Sorod, 2003).

In addition, it has been found that situational factors and psychological traits mentioned above predict not only behaviors, but also attitude towards behaviors and job satisfaction as well (Pinpradit, 2003; Sorod, 2003; Tamavong, 2001). Thus, it is expected that situational and psychological traits are good predictors of ATS.

Characteristics of Support Receivers and SSSB

Social support is usually given to people who seem to need it, such as the young, the poor, sick person, the new comers in organization, and the uninformed or less educated (Vaux, 1985). It is expected that the supervisors in health centers would give more SSSB to young and less educated subordinates than to the opposites.

Hypotheses of This Study

Based on the above literature review, two hypotheses were established as follow.

- Hypothesis 1 Supervisors of subordinates who are female, or, younger, or less educated, or in less successful group show higher SSSB than supervisors of subordinates who are male, or older, or more educated, or in more successful group.
- Hypothesis 2 ATS is the first among the most important predictors of ESB, or ISB, or MSB or OSB supervisors when the total of 10 independent variables are used, and, together with other important predictors, accounts for more than 30% of the variance of ESB, ISB, MSB, and OSB, individually.
- Hypothesis 3 When eight independent variables (3 situational factors and 5 psychological traits) are used, the three most important predictors of ATS are from both groups of independent variables, and all important predictors together account for more than 40% of the variance of ATS .

Methods

Sample

Sample of this study was 345 supervisors in health centers in Thailand. The sample consisted of 212 males (41.7%) and 293 females (57.6%) with four unidentified gender. The average age of supervisors was 43.45 (SD = 7.72). The average years of education was 14.92 (SD = 1.10).

Only one health worker in each center was specified by the researcher to be the target of SSSB, consisting of 145 males(42.0%) and 200 females (58.0%), with the average age of 30.48 years (SD = 5.93) and average years of education of 14.89 years (SD = 1.08)

Measures

Summated ratings method was used in all measures written in Thai language. Each item in most questionnaires was accompanied by 6-point Likert Scale ranging from "very true" to "not at all true". The details of these measures are shown in Table 1.

Data collection and Data Analysis

Data were collected from health center supervisors in 6 provinces in Thailand, employing Stratified-Accidental sampling method (Kerlinger & Lee, 2000). Three approaches were used to obtain data: sending out questionnaire, collecting on-site conference, and collecting on-site of health center supervisors' monthly local meeting. Three-way Analysis of Variance and Multiple Regression Analysis were used to test the hypotheses.

Results

There are three important research findings (Table 2). First. It was found that supervisor of female subordinates provided more ESB than supervisors of male subordinates. This result was more evident especially in supervisors who worked with young subordinates with high education.

Second, supervisors of young subordinates provided more ESB, ISB, MSB and OSB to their target followers than supervisors of old subordinates. Finally, supervisors of less educated subordinates showed more ESB than supervisors of highly educated subordinates, especially the young ones. Thus, the results mostly support hypothesis1.

Results from Entered and Stepwised Multiple Regression Analysis showed in Table 3 and 4, revealed that ATS was the first predictor of ESB, ISB, MSB and OSB with beta weight ranges from .45 to .55 in the total sample. A TS together with other predictors could account for the four dependent variables with a range of 30.6% to 44.1% in the total sample. These results fully supported hypothesis 2.

Results in Table 3, furthermore, revealed that all 8 predictors from situational factors and psychological

Table 2. *Analysis of Variance of ATS, ESB, ISB, MSB, and OSB Using Followers' Gender, Age and Education as Independent Variables.*

Dependent Variables	Cases	F- Value							% prediction
		Gender A	Age B	Education C	AxB	AxC	BxC	3 way	
ATS	322	<1	1.01	<1	<1	<1	<1	<1	0.5
ESB	331	<1	4.16*	1.14	3.81	<1	7.25**	5.66*	6.7
ISB	331	1.03	6.62*	<1	1.45	1.80	<1	<1	4.5
MSB	331	<1	1.46	<1	<1	<1	<1	<1	1.2
OSB	331	<1	4.66*	<1	1.69	<1	2.19	1.32	3.9

Note: * p< .05, ** p< .01

Table 1. Definition, Items, and Alpha Coefficient of Variables in this Study.

Variables	Short Definition	Items	α
1. n.Ach	The extent that the respondent get the work done quickly as possible with less distract.	1.5	.86
2. Icon	Belief that the consequences received are from one's own efforts not from outside.	1.5	.75
3. FOSC	Belief in the amount of predictability and controllability of future personal outcomes .	1.0	.67
4. SPT	Ability to perceive, understand, and predict others' feelings, motives, and behaviors.	1.5	.79
5. RL	Way of life based on religion, such as leisure activities, restrains and religious involvement activity.	1.0	.76
6. GA	Relationship, climate, trust and cohesiveness among group members	1.0	.92
7. OS	Support from organization in terms of being valued, cared about ,and flexible work environment	1.5	.92
8. MSW	Performance within 6 months of subordinate, in terms of quality, quantity, and time, rated by supervisor	1.5	.88
9. ATS	Perceived degree of advantage, liking and positive behavioral intention toward giving SSSB to followers	1.5	.83
10. Stress	Degree of anxiety related noxious social and physical situation at work	2.0	.86
11. ESB	Showing acceptance and respect, showing willingness to help group members to cope with stress /work problems	7	.75
12. ISB	Giving advice, suggestions, and/or guidance about knowledge and skills related to subordinate's work, and being a good role model at work	6	.40
13. MSB	Providing needed material or instruments, and seeking for financial support or budget arrangement prior to, and/or on request from group members	7	.83
14. OSB	Degree of giving ESB, ISB and MSB to group members. 5 items from each ESB, ISB, and MSB tests	1.5	.86

Note: All betas are significant at $p < .05$. 1 = Need for achievement (nAch), 2 = Internal locus of control (FOSC), 3 = Future orientation and self-control (SPT), 4 = Religious lifestyle (RL), 6 = Group atmosphere (GA), 7 = Organizational support (OS), 8 = Member's work success (MSW), 9 = Member's work success (MWS), 10 = Work stress.

Table 3. Summary of Multiple Regression Analysis Results Using Psychological traits and Situational factors as Predictors of ATS (8 predictors) and OSB (10 predictors) in Total and Subgroups

Group	Attitude Toward Social Support Behavior (ATS)			Overall Support Behavior (OSB)			Predictors (1-10)	Beta
	Cases	% R ²	Predictors (1-8)	Beta	Cases	% R ²		
Total	289	58.1	6, 3, 1, 5, 8	.37, .34, .30, .17, -.16	289	44.1	9, 6	.55, .20
Male Members	127	55.5	1, 3, 6, 5, 7	.35, .31, .19, .18, -.16	124	45.0	9, 6	.57, .17
Female Members	166	62.8	6, 3, 1, 8, 5	.46, .30, .27, -.19, .18	164	45.5	9, 6	.52, .23
Young Members	167	56.9	3, 6, 1, 5	.36, .33, .31, .15	163	41.1	9, 6	.49, .23
Old Members	123	63.9	6, 3, 1, 8, 5	.38, .32, .26, -.25, .21	122	51.1	9, 6	.63, .14
Lo Ed Members	161	52.2	1, 6, 3, 8, 5	.33, .30, .29, -.21, .18	159	42.5	9, 6	.49, .23
Hi Ed Members	130	66.4	6, 3, 1, 5	.39, .36, .25, .21	127	50.6	9, 7	.70, .13

Note: All betas are significant at $p < .05$. 1 = Need for achievement (nAch), 2 = Internal locus of control (Icon), 3 = Future orientation and self-control (FOSC), 4 = Religious lifestyle (RL), 6 = Group atmosphere (GA), 7 = Organizational support (OS), 8 = Member's work success (MWS), 9 = Member's work success (MSB), 10 = Work stress.

Table 4. Summary of Multiple Regression Analysis Results Using Psychological traits and Situational factors (10 predictors) as Predictors of ESB, ISB and MSB in Total and Subgroups

Group	Emotional Support Behavior (ESB)			Informational Support Behavior (ISB)			Material Support Behavior (MSB)			
	Cases	% R ²	Predictors	Beta	% R ²	Predictors	Beta	% R ²	Predictors	Beta
Total	289	30.6	9, 6	.45, .16	39.4	9, 6	.47, .25	38.0	9, 6	.54, .13
Male Members	124	33.3	9	.53	39.1	9, 6	.47, .24	41.8	9	.61
Female Members	164	30.5	9, 6	.41, .20	42.6	9, 6	.47, .26	37.4	9, 6	.51, .15
Young Members	163	31.4	9, 5, 6	.38, .16, .15	39.7	9, 6	.49, .28	31.6	9, 6	.44, .19
Old Members	122	32.9	9	.55	43.4	9, 6	.54, .19	50.0	9	.69
Lo Ed Members	159	25.4	9, 6	.37, .21	38.0	9, 6	.44, .30	40.8	9, 6	.49, .25
Hi Ed Members	127	39.4	9	.61	47.5	9, 6, 7	.56, .18, .16	43.2	9	.62

Note: All betas are significant at $p < .05$. 1 = Need for achievement (nAch), 2 = Internal locus of control (Icon), 3 = Future orientation and self-control (FOSC), 4 = Religious lifestyle (RL), 6 = Group atmosphere (GA), 7 = Organizational support (OS), 8 = Member's work success (MWS), 9 = Member's work success (MSB), 10 = Work stress.

traits could account for 58.1% of the variance of ATS in total sample. The important predictors of ATS were GA, FOSC, nAch, RL, and MWS. The highest predictive percentage of ATS with 66.4% was found in supervisors who worked with highly educated subordinates. The important predictors of this group were GA, FOSC, nAch, and RL. Percentages of prediction in the subgroups ranges from 52.2% to 63.9%. Thus these results fully supported hypothesis 3.

Discussion

Research on social support behavior suggested that individual's decision for helping others are influenced by many factors including situational, interpersonal, personal and the recipient's characteristics (Cutrona, Cohen, & Ingram, 1990; Sarason, Pierce, & Sarason, 1990). However, recent finding did not find the relationship between SSSB and the actor's biosocial characteristics (Bhanthumnavin, 2003c).

Nevertheless, this present study found that the SSSB differed according to the biosocial types of their recipients, especially the recipient's age. The current study clearly revealed that supervisors who worked with older health workers (older than 30 years old) showed less of all three types of SSSB than supervisors of younger subordinates. Furthermore, another study on health workers in Thailand found that older workers' job success was clearly related to receiving more SSSB (Bhanthumnavin, 2001). Therefore, less SSSB for older workers can be detrimental to the organization as well as the workers themselves. The problem of older workers receiving less social support has been signified out in this study which is consonant with one of the most concerned HRD issues (Rocco, Stein, & Lee, 2003).

In addition, this study also identifies other two types of supervisors who provided less support, that is, supervisors who worked with less educated subordinates, and supervisors who worked with young, highly educated, male subordinates. Recommendations for training and development of these three types of supervisors are as follow.

Recommendations for Training and Development

Based on findings from this study, three recommendations for supervisory social support training and development can be made. First, supervisors should be trained on both social support behaviors and psychological characteristics as well as in management for good group atmosphere in order to improve their subordinates' work motivation, performance and effectiveness.

Second, this study has clearly identified three types of supervisors in Thai health centers who are the more urgent target groups for training. These are 1) supervisors who worked with older workers, 2) supervisors who worked with less educated workers, and 3) supervisors who worked with young, highly educated, male workers.

Finally, these three groups of supervisors should be trained on four groups of antecedents of SSSB found in this study. These are 1) ESB, ISB, MSB and OSB, especially of supervisors of older workers, 2) favorable attitude towards SSSB, 3) two psychological characteristics, i.e., nAch and FOSC and for the third group of risky supervisors, RL should be heightened as well, and 4) management for better group atmosphere.

References

- Abbey, A., Andrews, F.M., & Halman, L.J. (1995). Provision and receipt of social support and disregard: What is their impact on the marital life quality of infertile and fertile couples? *Journal of Personality and Social Psychology*, 68(3), 455-469.
- Ballantine, K., & Nunns, C.G. (1998). The moderating effect of supervisory support on the self-efficacy work performance relationship. *South Africa Journal of Psychology*, 28(3), 164-173.
- Bass, B.M. (2002) Cognitive, social, and emotional intelligences of transformational leaders. In R.E., Riggio, S.E., Murphy, & F.J., Pirozzolo (Eds.), *Multiple intelligences and leadership* (pp. 105-118). New Jersey: LEA Publishers.
- Bhanthumnavin, D. (1983). *Teacher and moral development of pupils* (Tech. Handbook No. 4). Bangkok, Thailand: Srinakharinwirot University, Behavioral Science Research Institute.
- Bhanthumnavin, D., & Bhanthumnavin, D. (in progress). Leadership effectiveness in Thailand. In D. Tojsvold & K. Leung (Eds.), *Psychology of leadership in Asia and the Pacific*. UK: Sage Publication
- Bhanthumnavin, Duchduen. (2000). Importance of supervisory social support and its Implications for HRD in Thailand. *Psychology and Developing Societies*, 12(2), 155-165.

- Bhanthumnavin, Duchduen. (2001). *Supervisory social support and the multi-level performance in Thai health centers*. Unpublished doctoral dissertation, University of Minnesota, USA.
- Bhanthumnavin, Duchduen. (2003a). Perceived social support from supervisor and group members' psychological and situational characteristics as predictors of subordinate performance in Thai work units. *Human Resource Development Quarterly*, 14(1), 79-97.
- Bhanthumnavin, Duchduen (2003b, in press). Antecedents of Social Support Behavior in Thai Supervisors: An Interactionism Approach. *Proceedings The Second Asian HRD Conference*. November 29-December2, 2003, Rama Gardens Hotel, Bangkok, Thailand.
- Bhanthumnavin, Duchduen (2003c). The relationship among supervisory social support, self-efficacy, and work overload on health workers' performance in Thailand. In S.A. Lyham and T.M. Egan (Eds.), *Proceedings in AHRD 2003 Conference* (Symposium 36-1, pp. 744-7451)., Minneapolis, Minnesota.
- Brief, A. P., & Motowidlo, S. J. (1986). Prosocial organizational behaviors. *Academy of Management Review*, 11(4), 710-725
- Chanchamlha, T. (2001). *The relationship between psycho-social characteristics of caregivers and social support behavior to AIDS infected persons*. Unpublished Mater's degree. Srinakharinwirot University, Bangkok, Thailand.
- Chumgthong, P. (1993). *Administrator's psychological characteristics and group situations relating to school effectiveness*. Unpublished doctoral dissertation, Srinakharinwirot University, Bangkok, Thailand.
- Cobb, R.J., Davila, J., & Bradbury, T.N. (2001). Attachment security and marital satisfaction: The role of positive perception and social support, *Personality and Social Psychology Bulletin*, 27(9), 1131-1143.
- Cutrona, C.E., Cohen, B.B., & Igram, S. (1990). Contextual determinants of the perceived supportiveness of helping behavior. *Journal of Social and Personal Relationship*, 7(4), 553-562.
- Dormann, C., & Zapf, D. (2003). Social support, social stress at work, and depression symptoms: Testing for main and moderating effects with structural equations in a three-way longitudinal study, *Journal of Applied Psychology*, 84(6), 874-884.
- Eisenberger, R., Fasolo, P., & Davis-LaMastro, V. (1990). Perceived organizational support and employee diligence, commitment, and innovation. *Journal of Applied Psychology*, 75(1), 51-59.
- Fenlason, K.J., & Beehr, T.A. (1994). Social support and occupational stress: Effects of talking to others. *Journal of Organizational Behavior*, 15, 157-175.
- Fiedler, F. E. (1967). *A theory of leadership effectiveness*. New York: McGraw-Hill Book Company.
- Frese, M. (1999). Social support as a moderator of the relationship between work stress and psychological dysfunction: A longitudinal study with objective measures. *Journal of Occupational Health Psychology*, 4, 179-192.
- Geller, P.A., & Hobfoll, S.E. (1994). Gender differences in job stress, tedium and social support in the workplace. *Journal of Social and Personal Relationships*, 11, 555-572.
- Glaser, D.N., Tatum, B.C., Nebeker, D.M., Sorenson, R.C., & Aiello, J.R. (1999). Workload and social support: Effects on performance and stress. *Human Performance*, 12(2), 155-176.
- Goff, S.J., Mount, M.K., & Jamison, R.L. (1990). Employer support child-care, work-family conflict, and absenteeism: A field study. *Personnel Psychology*, 43, 793-809.
- House, J.S. (1981). *Work stress and social support*. Reading, MN: Addison-Wesley Publishing Company.
- Iverson, R.D., & Erwin, P.J. (1997). Predicting occupational injury: The role of affectivity. *Journal of Occupational and Organizational Psychology*, 70, 113-128.
- Kaufmann , G.M.,& Beehr,T.A. (1986). Interaction between job stressors and social support: Some counterintuitive results. *Journal of Applied Psychology*, 71, 522-526.
- Kerlinger, F.N., & Lee, H.B. (2000). *Foundations of behavioral research* (4th ed.). Singapore: Wadsworth.
- Lee, C. (1995). Prosocial organizational behaviors: The roles of workplace justice: Achievement striving and pay satisfaction. *Journal of Business and Psychology*, 10(2), 197-206.
- Littrell, P.G., Billingsley, B.S., & Cross, L.H. (1994). The effects of principal support on special and general educators' stress, job satisfaction, school commitment, health, and intent to stay in teaching. *Remedial and Special Education*, 15(5), 297-310.
- Lynch, P.D., Eisenberger, R., & Armeli, J. (1999). Perceived organizational support: Inferior versus supervisor performance by wary employees. *Journal of Applied Psychology*, 84(4), 467-483.
- Mayfield, J.R., Mayfield, M.R., & Kopf, J. (1998). The effects of leader motivating language on subordinate performance and satisfaction. *Human Resource Management*, 37(3&4), 235-248.
- Magnusson, D., & Endler, N. S., (1977). *Interactional psychology and personality*. New York, NY: John Wiley & Sons.

- Moorman, R.H. (1991). Relationship between organizational justice and organizational citizenship behaviors: Do fairness perceptions influence employee citizenship? *Journal of Applied Psychology*, 76, 845-855.
- Na Wanjun, P. (1993). *Variables relating to work efficiency of elementary school teachers in Chaingrai province*. Unpublished master's thesis, Srinakharinwirot University, Bangkok, Thailand.
- Nirunthawee, S. (1989). *Alienation and job performance of teachers in Bangkok metropolis*. Unpublished doctoral dissertation, Srinakharinwirot University, Bangkok, Thailand.
- Phosritong, A. (1993). *Variables relating to nursing behavior for old age patients of nurses in the Department of Medicine Services, Ministry of Public Health*. Unpublished master's thesis, Srinakharinwirot University, Bangkok, Thailand.
- Pinpradit, N. (2003). *Psychosocial indicators as predictors of polices' work behaviors*. Research report. Thai Behavioral System Project. National Research Council. Bangkok, Thailand.
- Rhoades, L., & Eisenberger, R. (2002). Perceived organizational support: A review of the literature. *Journal of Applied Psychology*, 87(4), 698-714.
- Rocco, T.S., Stein, D., & Lee, C. (2003). An exploratory examination of the literature on age and HRD policy development. *Human Resource Development Review*, 2(2), 155-180.
- Sarason, B. R., Sarason, I. G., & Pierce, G. R. (1990). Traditional views of social support and their impact on assessment. In B. R. Sarason, I. G. Sarason, & G. R. Pierce (Eds.), *Social Support: An Interaction View* (pp. 7-25). New York, NY: John Wiley & Sons, Inc.
- Sarason, I.R., Pierce, G.R., & Sarason, B.R. (1990). Social support and interaction processes: A triadic hypothesis. *Journal of Social and Personal Relationship*, 7 (4), 495-506.
- Soonthornvipart, L. (1989). *Leadership and group characteristics relating to the effectiveness of the public agency in charge of countering corruption*. Unpublished master's thesis, Srinakharinwirot University, Bangkok, Thailand.
- Sopa, T. (2002). *The comparative study of Buddhist characteristics and psycho-social correlates to policemen's work behavior between the trained and untrained of life-quality development project*. Unpublished Master's degree. Khon Kean University, Thailand.
- Sorod, B. (2003). *Cross-cultural study of bank employees in Thailand and United States*. Research report. Thai Behavioral System Project. National Research Council. Bangkok, Thailand.
- Sorod, B., & Wongwattanamongkol, A (1996). *A study of job stress of Thai government executive officers: An analysis of the antecedence and consequences of the stress*. Research report. National Institute of Development Administration, Bangkok, Thailand.
- Staber, U. (2003). Social capital or strong culture? *Human Resource Development International*, 6(3), 413-420.
- Surakitbowon, S (1989). *Leadership of the Dean of the faculty affected to the teachers' colleges' academic administrative effectiveness*. Unpublished doctoral dissertation, Srinakharinwirot University, Bangkok, Thailand.
- Tamavong, S. (2001). *Psycho-social correlates of human rights abiding behavior in IPD nurses*. Unpublished master's thesis. Graduate School of Social Development. National Institute of Development Administration. Bangkok, Thailand.
- Tett, R.P., & Burnett, D.D.(2003). A personality trait-based Interactionist model of job performance. *Journal of Applied Psychology*, 88(3),500-517.
- Thacker, J.W., Fiedls, M.W., & Bracay, L.A. (1990). Union commitment: An examination of antecedent and outcome factors. *Journal of Occupational Psychology*, 63, 33-48.
- Thummathon, V. (2003). *Psycho-social as correlate of devoting work behavior of Air Force personnel*. Research report. Military Executive College, Ministry of Defense, Thailand.
- Vaux, A. (1985). Variations in social support associated with gender, ethnicity, and age. *Journal of Social Issues*, 41(1), 89-110.

The Value of Critically Reflective Work Behaviour

Marianne van Woerkom
University of Tilburg

This article discusses an investigation into the value of critically reflective work behaviour to a textile-printing factory and a forensic psychiatric clinic. A survey was carried out to measure the critically reflective work behaviour of employees, perceived appreciation of employees by their managers and colleagues, and their feelings of success in their jobs. Interviews with managers and employees were carried out to get insight into their perspectives on the value of critically reflective work behaviour.

Keywords: Critically Reflective Work Behaviour, Work-related Learning, Organisational Learning

Critical reflection can play an important role in organisational learning. By asking critical questions and confronting the basic assumptions underpinning prevailing organisational norms, values, myths, hierarchies, and expectations, workers help prevent stagnation and dysfunctional habits (Argyris and Schön, 1996). The workplace is however not the easiest context for critical reflection. Critical reflection is often considered soft and irrelevant to the results-oriented and bottom-line world of business, and one might also question how critical critical reflection in the workplace can be, because the primary purpose of organisation is productivity (Marsick, 1988). Communities of practice tend to be conservative and reproduce counterproductive patterns, injustices and prejudices. (Wenger, 1998). Communities of practice are also the place for espoused theories, general norms about what works that everybody agrees on (Schön, 1983). Even if espoused theories do not work, people will be afraid to criticise them, for fear of appearing incompetent, or being expelled from their professional group (Schön, 1983). People who dare to criticise espoused theories are perceived as saying ‘the emperor is wearing no clothes’ or as ‘troublemakers’, as the participants in a company for telecommunication expressed it (Brooks, 1999). Although this was not regarded as bad, it was also often brushed aside, leaving the critically reflective worker alone. The ambiguous attitude towards critical reflection also came to the fore in a research into characteristics of good employees (Van Woerkom, 2003). When managers are asked for characteristics of a good employee, many of them stress aspects having to do with critical reflection (Van Woerkom, 2003). They mention the importance of thinking critically about the whys and wherefores, asking questions like “Why are things organised like this? Can the work be done more efficiently? Why do I work like this?” This implies an employee who can distance himself from his work, and reflect on it and on the changes that are taking place, instead of one who does what he is expected to do, and follows changes uncritically. However, some managers only value critical thinking that is ‘positive’, only want employees to reflect critically on themselves, instead of on the organisation, or restrict the importance of critical reflection on the organisation only to higher levels of management. This paper discusses the value of critically reflective work behaviour to organisations. The paper begins with a review of some key issues and themes in the literature on reflection and critical reflection and the operationalisation of critically reflective work behaviour. We then turn to the qualitative and quantitative data that were gathered in a textile-printing factory and a forensic psychiatric clinic. We conclude with discussions of the main findings.

Theoretical Framework

Mezirow (1990) makes a distinction between three levels of reflection, namely reflection, critical reflection and critical self-reflection. *Reflection* is aimed at the assessment of assumptions implicit in beliefs about how to solve problems. *Critical reflection* is devoted to problem posing and addresses the question of the justification for the very premises on which problems are posed or defined in the first place. *Critical self-reflection* is devoted to the emancipation of the individual, in order to make free choices. It means reassessing the way we have posed problems, our own meaning perspectives, and reassessing our own orientation to perceiving, knowing, believing, feeling, and acting. In the literature on reflection and critical reflection in the context of the workplace, we recognise these three levels of reflection. *Reflection* in the workplace can be an individual activity, aimed at solving the problems one encounters in one’s job. Reflection is important to examine one’s experience, in order to assess its effectiveness and to improve performance.

A very influential theory about reflection in the workplace in the instrumental problem-solving domain is the theory of Schön (1983) about reflection-in-action and reflection-on-action. Reflection in the workplace can also take

place in social interaction, aimed at making tacit knowledge explicit (Nonaka and Takeuchi, 1995). When people attempt to conceptualise an image, expressing its essence in language, these expressions, are often inadequate, inconsistent, and insufficient. A process of collective reflection and interaction between individuals, results in a creative process leading to the new explicit knowledge. Reflection as a social interaction can also be aimed at problem-solving, as in continuous improvement or quality circles. We recognise *critical reflection* on the values of the organisation in various appearances. Sometimes, this is approached in a conflict model by one individual challenging groupthink (for example Brooks, 1999). Sometimes, it is approached in a more institutionalised conflict model - that of trade unions and workplace democracy (Brookfield, 1987). And sometimes, this is approached in a harmonious, but very Utopian model as in 'Model II behaviour' (Argyris & Schön, 1996). The 'governing' variables of Model II are to produce valid information, to make free and informed choices, to develop internal commitment to those choices and constant monitoring of their implementation, and the bilateral protection of others. The pity is, however, that this harmonious model does not exist in practice, as appears from the statement that "we are unlikely to find the new learning system by looking at the world as it presently exists" (Argyris & Schön, 1996, p. 111). *Critical self-reflection* in the workplace is aimed at the emancipation of the individual in relation to the organisation. Critical self-reflection refers to learning to participate critically in the communities and social practices of which a person is a member, and creating an identity in relation to this specific social practice. The instrumental approach to learning by reflection cannot be separated from critical self-reflection, because job-related knowledge and skills cannot be separated from the rest of the worker's life (Marsick, 1988). Through critical self-reflection, people can better see the way in which task-related learning is often embedded in norms that also impact on their personal identity. The three levels of reflection in the workplace cannot be seen as separate dichotomies, they are interrelated, and all touch upon each other. Individual reflection may lead to collective reflection; instrumental reflection may lead to critical reflection, and critical reflection on organisational values may lead to critical reflection on the self. One dimension thus cannot be seen as more important than another. Since the concept of critical reflection has been developed within the context of theory or practice, rather than research, it has not been developed operationally, and no instrument exists to identify individuals capable of critical reflection (Brooks, 1999). Many definitions of reflection seem to characterise a process, instead of visible behaviour, and many definitions are focused rather on learning or thinking than on working in an organisation. We therefore decided to make an analysis of interviews that were carried out with 32 employees in seven organisations in both services and industries to look for identifiable, concrete, and practical examples of the three levels of reflection identified in the previous section. This analysis resulted in seven dimensions of critically reflective work behaviour. These dimensions are reflection, critical opinion-sharing, asking for feedback, challenging group-think, learning from mistakes, experimentation and career awareness.

Table 1. Seven Dimensions of Critically Reflective Work Behaviour, Ordered by Level of Reflection.

	<i>Individual activity</i>
Reflection	<ul style="list-style-type: none"> - Learning from mistakes - Experimentation - Reflection
Critical reflection	<ul style="list-style-type: none"> - Critical opinion-sharing - Asking for feedback - Challenging group-think
Critical self-reflection	<ul style="list-style-type: none"> - Reflection - Career awareness

In Table 1 we see the seven dimensions of critically reflective work behaviour that we have found ordered by level of reflection. The reflection dimension is a combination of an instrumental function in problem-solving and a function in critical self-reflection with regard to one's own identity in relation to the job. The career awareness dimension refers to critical self-reflection on the position of the individual in his current job. *We can now define critically reflective work behaviour as a set of connected activities carried out individually or in interaction with others, aimed at optimising individual or collective practices, or critically analysing and trying to change organisational or individual values.* In order to measure the construct critically reflective work behaviour, each of the dimensions was measured by a scale of five to ten items. The scales were validated in a self-report instrument tested on 742 respondents working in various sectors (Van Woerkom, 2003).

Methodology

We opted to study the value of critically reflective work behaviour by combining quantitative and qualitative approaches in case studies of a textile-printing factory and a forensic psychiatric clinic. The case-study approach enabled us to investigate the perspectives and opinions of management and employees on the value of critically reflective work behaviour to the organisation. Any finding or conclusion in a case study is likely to be much more convincing and accurate if it is based on several different sources of information (Yin, 1994). First, a survey was carried out amongst all the employees of the organisations, using the instrument we developed to measure critically reflective work behaviour. Each of seven dimensions was measured using items we developed ourselves and consisted 5 to 10 items. All items could be scored from 1 to 6 (1=totally disagree, 6=totally agree). Besides the dimensions of critically reflective work behaviour, in the survey we also asked for the perception of the employee of the appreciation of his work by his manager and colleagues, and his own impression of success at work. In the textile-printing factory, 483 valid questionnaires were returned, leading to a response of 77%. In the forensic psychiatric clinic, 104 valid questionnaires were returned, leading to a response of 56%. Second, more qualitative information was gathered by carrying out semi-structured interviews with managers and employees. Literal transcriptions were made of all the interviews.

In the selection of interview respondents, we tried to maximise the variance in the dependent variable, critically reflective work behaviour. The HRD managers in the textile-printing factory and the line managers in the forensic psychiatric clinic were asked to make a selection of five employees whom they expected to score high and five whom they expected to score low on critically reflective work behaviour. The selected employees were asked to participate in an interview, and their permission was requested to include them in the survey research on a nonanonymous basis. If an employee refused, another employee was selected by the procedure described above. In order to get an opinion from the management perspective, in the textile-printing factory, the managing director and three HRD managers were interviewed, while in the forensic psychiatric clinic, the managing director, three line managers, and a staff employee concerned with the organisational climate were interviewed.

In the semi-structured interviews with the respondents, we asked their opinions on the organisational climate and aspects thereof, and on the value of critically reflective work behaviour and its subdimensions to the organisation. The interviews were semi-structured, allowing for the perceptions, attributions, and hypotheses of interviewees. Respondents were encouraged to clarify their statements with examples.

In order to answer the research questions, we made three kinds of analysis. First, based on the interviews with all the respondents, we made a general sketch of the organisational setting in order to gain a better understanding of the context of critically reflective work behaviour. Second, the more direct answers by the interviewees concerning the value of critically reflective work behaviour were described. Third, based on the survey data, Pearson correlations were computed between the self-ratings on critically reflective work behaviour, the perception of the employee of the appreciation of his work by his manager and colleagues, and his own impression of successfulness in his work.

Findings: A Textile Printing Factory

The textile-printing factory is an industrial production organisation, concerned with exotic printing on cotton. Each year, 16 million yards of fabric are produced by 680 employees, 300 of whom are production workers. The production process is rather complicated (batik), since this makes the product so unique and vivid and so popular among African consumers. The factory has been in existence since 1846, and still has in part the character of a Taylorist production organisation. In recent years, much energy has been invested in the delegation of responsibilities to the shop floor - partly in order to increase commitment and thus to reduce the costs of misproduction, and partly to become a more attractive employer, because a relatively large number of its employees are over 50 years old. In general, workers in the textile-printing factory have lifetime contracts of employment and feel very committed to the product and the organisation. Many workers are sceptical about change. During the past few years, there has been a change from a labour-intensive process to a capital-intensive one, which has led to the disappearance of jobs. Further, because of the increasing importance of product quality, the attitude towards the workers has become more businesslike. Workers are tackled about their achievements, and this has resulted in a great amount of tension and uncertainty on the shop floor. The 'us and them' culture has become evident, and many workers have developed a defensive attitude, according to the HRD manager. Some workers are dissatisfied about communication from management to the shop floor. They have the feeling that many decisions are taken behind the backs of the workers. According to the HRD manager, workers do not sufficiently take the initiative in preparing for the future. Since the year 2000, much attention has been paid to upgrading team meetings, in order to increase the

participation of the workers. Although this policy is officially propagated, it often fails because of the bosses, who are often still old-fashioned, and do not really know how to deal with it. Many workers still have the feeling they are not being listened to.

The Value of Critically Reflective Work Behaviour According to Interviewees

The importance of critically reflective work behaviour is unanimously acknowledged by management. According to the HRD manager, a change in work behaviour is crucial for the future: “*New procedures, new systems, new machines, it's all very well, but it all has to be carried out, thought up, developed and implemented by the employees we have here. What I see as good work behaviour is being very much aware of what needs to be done, knowing what is required of you, and being able to step back from what you're doing.*” Although he acknowledged the impact of the organisational climate on this behaviour, in his opinion, individuals can also change the organisation by their behaviour. The managing director and an HRD manager put the importance of ‘challenging groupthink’ into perspective. Workers who always say, ‘yes, but...’ are not perceived as very cooperative, and impede the process of change: “*Because some people are the only ones to speak their mind, it looks as though they're also speaking for the rest of the group, whereas that's often not the case. Then the rest thinks, let him get on with it, I've got my own opinion.*” The HRD manager valued discussions based on arguments, instead of rousing popular feelings. She emphasised the importance of critical self-reflection: “*A lot of people point their finger at others, especially when things go wrong. It's up to other people to change, I don't need to.*” Asking for feedback is important, but should not be at the expense of independence, was the view of this HRD manager. According to many respondents, experimentation cannot be seen as something entirely positive, because it is in conflict with continuity in the quality of products, which is determined by sticking to the procedures. One line manager saw experimentation as a right that can be earned by performing one’s duties first. If workers prove that they understand the procedures and stick to them, they earn the scope for experimentation. Often experimentation takes place too individually, with too little control. The line manager especially valued critical opinion-sharing: “*Many people keep strictly to the rules, make perfect products, but as soon as we start talking about making improvements, they won't commit themselves. For me, that's not enough - a good employee is someone who is at least open to change and, preferably, starts to use his own initiative.*” According to him, many workers do not have their own objectives when they come to a meeting, and merely listen to the manager. They do not have an agenda for their own development or have the feeling that the organisation is also part of themselves. They feel that the organisation only makes demands of them, but have no clear view about what they want from the organisation. This sometimes gives them the feeling that they are being treated like slaves. The managing director emphasised that shy people will have problems with critical opinion-sharing and that this has to be accepted. Everybody has his strong and his weak sides, so these people probably have other qualities.

The three high-rated respondents also acknowledged the importance of critically reflective work behaviour. One operator felt that, thanks to this behaviour, she was able to get a promotion. She indicated that she often tackled colleagues about their behaviour, but in spite of this, she got along well with everybody. Another high-rated respondent stated: “*There are several people among us who just keep quiet when something is wrong. And they say, 'Well, I'm not going to say anything'. Then I think, 'yeah, but things will never improve that way. After all, if you're trying to get improvements, you'll have to speak your mind when others are around.'*” It is striking that all five of the low-rated respondents do not feel that critically reflective work behaviour is important. Three of them stated that only production is valued in the organisation. An administrative worker: “*I see it actually more as character, you see. And I don't think that management knows what sort of character everyone has. You're here to work and you just have to do it as well as you can. If you do it on your own, that's fine; if you need other people's opinions, then you ask for them. The work simply has to be done as well and efficiently as possible.*” One of them stated that it makes no sense to share one’s views, because one does not have a say anyway.

The Relation Between Critically Reflective Work Behaviour and the Perceived Appreciation of Employees by Managers and Colleagues and the Feeling of Successfulness

Table 1 presents the correlations in the survey data between the self-reported score on critically reflective work behaviour and the score on the items “Do you feel appreciated by your manager?”, “Do you feel appreciated by your colleagues?” and “Do you feel successful in your job?” It appears that most of the (Pearson) correlations are not very high, but most of them are significant. Only four of the correlations are not significant, namely the correlation between experimentation and appreciation by both manager and colleagues, the correlation between reflection and appreciation by colleagues, and the correlation between career awareness and appreciation by colleagues. These results converge with the results from the interviews and indicate that managers and workers in general appreciate critically reflective work behaviour, but are less positive about experimentation, because of continuity in the quality of products. The nonsignificant correlation between reflection and appreciation by colleagues can be explained by the individual character of reflection. The nonsignificant correlation between career awareness and appreciation by

colleagues is not surprising, because this activity is more in the interest of the individual and of the employer than in that of colleagues.

Table 2. Pearson Correlations Between Critically Reflective Work Behaviour and Perceived Appreciation by the Manager and Colleagues and the Feeling of Successfulness in the Job.

	<i>Do you feel appreciated by your manager?</i>	<i>Do you feel appreciated by your colleagues?</i>	<i>Do you feel successful in your job?</i>
Reflection	.126**	.085	.236**
Critical opinion-sharing	.174**	.142**	.265**
Asking for feedback	.251**	.203**	.281**
Challenging groupthink	.261**	.217**	.188**
Learning from mistakes	.168**	.138**	.142**
Experimentation	.063	.025	.092*
Career awareness	.111*	.002	.266**
Critically reflective work behaviour (total)	.226**	.145**	.318**

* Significant at a 0.05 level

** Significant at a 0.01 level

Findings: A Forensic Psychiatric Clinic

The forensic psychiatric clinic is a closed clinic for mentally disturbed patients on the border between judiciary and health care. In the clinic, treatment, intensive care, and security are interlinked. This policy is intended to diminish psychiatric problems, prevent delinquent behaviour, and reduce the danger to society. The clinic has over 185 employees and about 60 patients. Most of the employees are directly involved in the treatment, such as psychiatrists, psychologists, psychotherapists, social therapists, and social workers. The clinic has to adjust to ever changing legislation and care insurance procedures, and it is becoming more and more a subject of public and political debate with regard to the punishment versus treatment of delinquents, and the reactions to incidents. Personnel cannot walk freely through the building, but have to stay in their own unit for security reasons and for the privacy of patients. This has caused many workers to focus on their own small working environment and their immediate colleagues. Danger and security are dominant in the culture which made the rules, power and suspicion prevail. There used to be a climate in which workers were made to leave their job whenever they made a mistake, because of the serious consequences this could have for the safety of others. It is hard to break out of this culture. It is hard to strike a balance between a clear hierarchical structure and employee participation. There is a therapeutic climate, where everybody has a say in the many meetings, but it is unclear who is responsible for what. Many workers are dissatisfied with the communication from the top to the floor, and do not feel they are being taken seriously in their professionalism and their participation in decision-making.

The Value of Critically Reflective Work Behaviour According to Interviewees

In general, critically reflective work behaviour is valued as very important in interaction with patients. Since patients are expected to learn to reflect on their own behaviour, it is very important that the workers do so as well. A cluster manager: “*Whether you’re a cleaner or a psychiatrist, you serve as an example. You have to behave accordingly and make sure it’s visible too.*” It is also very important that workers can reflect on their interaction with the patients, because their own emotions can interfere with the treatment. Critical opinion-sharing is important, although sometimes annoying, according to the managing director: “*To those people who think critically, I say: ‘We’ll have to discuss matters, since that always produces a better solution than when you just obediently nod your head because your boss is nodding in agreement too. But it must be rooted in some consensus, otherwise it’ll be utter chaos here.’*” However, it is also acknowledged that followers too are needed in a team. With regard to the treatment, the social therapists have to carry out their tasks according to the procedures, and cannot always ask questions. The managing director: “*For the routine work, you need people who say, ‘Tell me what to do, that’s when I feel happiest’.*” Three managers also felt that critical opinion-sharing often arose more from conservative than progressive arguments and more from negative than positive impulses. A cluster manager said that a large group of employees only spoke up when it was a matter of sticking to the rules and maintaining things as they were, but became silent as soon as development was at issue. Asking for feedback is important, but, on the other hand, it is also vital that workers can react quickly and effectively in the event of serious incidents, and dare to take

independent action. Experimenting is important as long as it happens in contact with others. The organisation has to deal with many procedures. However, some workers interpret these rules too rigidly. A cluster manager mentioned, as an example, a social therapist who threw away some crisps that the parents of a patient had brought along for the whole unit, because visitors are not allowed to bring in things to eat. A cluster manager: "*I feel there are too many people in this organisation who say, 'We've always done it like this and it's going to stay that way'. They are the people who think in black-and-white terms in a crisis; they handle that well. There are two ways of thinking that govern the actions of this sort of organisation: on the one hand, they want to control things and make sure that everything remains calm, and that there are no accidents. For this they need the sort of people who believe that orders are orders. On the other hand, they'll say, 'No, we are the psychiatric unit, we are the Mental Health Care Service, and we have to evolve'.*" Another cluster manager also underlined the ambiguous attitude towards critically reflective work behaviour: "*It's very negative when people won't lift a finger, or have the attitude of, 'Let's just wait and see'. And yet within their teams, they're often very valuable, because they just get on with their work while others stand chatting, and forget that there are patients who need to be cared for.*" He emphasised that both qualities were needed, and stressed the importance of self-reflection and willingness to change: "*The most positive people are those who are not just critical about the people around them, but also about themselves, and then look for ways to change things themselves.*" The cluster manager of the outpatient clinic felt that experimentation was hampered too much, because of the central position of security "*Of course, we're working among a group of patients where safety and danger are sometimes very much on your mind, you see. Those lousy security bleepers and all that - I can see that they're necessary, but they've almost become the symbols of rules, power, order, and so on. And I sometimes think, just be a bit relaxed, experiment a bit with it, that wouldn't be such a bad idea.*"

The five high-rated respondents stressed the importance of critically reflective work behaviour to their interaction with patients, which should never become routine, and to the development of the treatment. One of them thought management did not care about critically reflective work behaviour, because they were mainly interested in running things smoothly without too many incidents or an overly high absentee rate. Another social therapist stated that one was only allowed to be critically reflective in one's own 'backyard'. The five low-rated respondents also stressed the importance of critically reflective work behaviour in their interaction with the patient; however, two of them felt they were so experienced that reflection was no longer necessary. One therapist stated that critical opinion-sharing was just not possible, because of the heavy workload, and the fact that everybody worked on their own. Two others stated that critically reflective work behaviour was too much of a good thing - there were too many meetings that were not very effective, they perceived participation as 'bread and circuses'. One respondent said that a lot could be learned from the business world, where it's only the results that count.

Table 3. Pearson Correlations Between Critically Reflective Work Behaviour and Perceived Appreciation by the Manager and Colleagues and Feeling of Successfulness in the Job

	<i>Do you feel appreciated by your manager?</i>	<i>Do you feel appreciated by your colleagues?</i>	<i>Do you feel successful in your work?</i>	
Reflection	.113	.137	.329	**
Critical opinion-sharing	-.157	-.166	.086	
Asking for feedback	.001	.207	.261	**
Challenging groupthink	-.061	-.084	.084	
Learning from mistakes	.129	.040	.314	**
Experimenting	.157	.039	.301	**
Career awareness	-.131	-.103	-.043	
Critically reflective work behaviour (total)	.021	.017	.278	**

** Significant at a 0.01 level

The Relation Between the Self-reported Score on Critically Reflective Work Behaviour and Perceived Appreciation by Managers and Colleagues and the Feeling of Successfulness

If we look at the (Pearson) correlations in the survey data between the self-reported score on critically reflective work behaviour and the score on the items "Do you feel appreciated by your manager?", "Do you feel appreciated by your colleagues?" and "Do you feel successful in your work?", it appears that only correlations with the employee's own perceived successfulness are significant (own perceived successfulness and reflection, asking for feedback, experimenting, learning from mistakes, and the total construct of critically reflective work behaviour).

Correlations with perceived appreciation by the manager or by colleagues are very low. Correlations with the aspects of challenging groupthink, critical opinion-sharing and employability awareness are even negative, though not significantly so. It appears that these aspects of critically reflective work behaviour are indeed triggered by negative events (bad relationships with colleagues and manager). The fact that most correlations are not significantly positive indicates that managers and workers, in general, do not really appreciate critically reflective work behaviour. The fact that there is a relatively high positive (though nonsignificant) correlation between appreciation by colleagues and asking for feedback indicates that colleagues appreciate people who ask for feedback.

Conclusion and Discussion

In both the organisational settings of our case studies, we have seen that the concept of critically reflective work behaviour is experienced as valuable for the development of the organisation. In the textile factory, it is perceived as valuable for making the shift from a Taylorist to a modern organisation, with participating and self-managing workers. This requires employees to reflect on their own current and future position in the organisation, and to reflect on their own behaviour, instead of blaming others for mistakes. In the forensic psychiatric clinic, critically reflective work behaviour is perceived as valuable for the development of the treatment, in such a way that criminal offences in the future are being prevented. This requires employees to break out of the legalistic climate, dominated by rules and safety, and to contribute to innovations in the treatment. Further, the psychiatric clinic is atypical, in the sense that critically reflective work behaviour is also essential to the primary process - therapeutic interaction with patients. However, in both organisations we have also seen that, for many dimensions of critically reflective work behaviour, there ought to be a balance, for example, between experimentation and standardisation in the factory, and between reflection and action in the clinic. It is acknowledged that there is also a need for 'followers' and 'workers', who focus on their daily work and not so much on development. There should also be a balance between critical opinion-sharing, self-reflection, and asking for feedback. Sometimes balance within a person is more important, for example, the balance between reflection and action for social therapists. Sometimes, balance within a team is more important, as became apparent by the R&D project worker in the textile-printing factory, who stated that he was not an experimenter, in order to counterbalance his colleagues. The case study in the psychiatric clinic especially has taught us that we should not talk about critically reflective work behaviour in terms of 'good' and 'bad'. This relates to Kirton's (1994) theory about adaptors and innovators. According to Kirton, these are preferred cognitive styles, and are unrelated to the level of capacity. Adaptors are important for stability and continuity, innovators for the dynamics and development. Thus, the value of critically reflective work behaviour will probably also depend on the historical stage of development of the organisation. It is especially in the dynamic stages that critically reflective work behaviour will be assessed positively. The latitude for innovative role establishment in the job may also play a role in the assessment of critically reflective work behaviour. Jobs vary in the size of the task component and the role component, and the latitude they permit for innovative role establishment (Bandura, 1997). In the textile-printing factory, jobs used to be defined mainly by a task component. With the growing importance of process control and product quality, and the development of the organisation in the direction of self-management, latitude in the role component has increased. In the psychiatric clinic, jobs consist mainly of a role component. This can be illustrated by the remark of a social therapist that every social therapist should have 'a colour'. Here, however, we see the difference in the assessment of critically reflective work behaviour between the social therapists who opt for the legal aspect of the job (emphasis on rules) and those who prefer the health care aspect (emphasis on development). What we also see is that, although managers think that critical opinion-sharing is important, they feel that it sometimes arises from conservative arguments, or is more based on the rousing of popular feelings than on arguments. It appears that it is not so much the critically reflective work behaviour itself that can be assessed as 'positive' or 'negative', but more the motivation that lies behind it. The correlations in the survey data from the forensic psychiatric clinic underline the ambiguous attitude with regard to critically reflective work behaviour. Though nonsignificant, the negative correlations in the survey data between challenging groupthink, critical opinion-sharing and employability awareness and the perceived appreciation by manager and colleagues indicate that these aspects of critically reflective work behaviour in the organisation may arise from dissatisfaction. People behave in such a way because they do not feel appreciated in the organisation, or they are not appreciated because they behave in such a way. Our conclusion with regard to the value of critically reflective work behaviour is that the answer to the question of *why* people show this behaviour is more important than the question of *if* people show this behaviour. What motivates people to behave in a certain way? There may be very valid reasons for not behaving in a critically reflective way. However, it is important to make these motivations explicit. Thus, the value of the concept of critically reflective work behaviour lies mainly in the phase of consciousness-raising and making the implicit

interaction between the motivation for behaviour - linked to the organisational environment - and individual behaviour the topic of action research.

How This Research Contributes to New Knowledge in HRD

The concept of critical reflection has made us aware that HRD is often approached from the paradigm of adaptive learning. Adaptive learning is necessary for developing routine, expertise, and efficiency. However, when it comes to the development or innovation of existing work practices, this focus on adaptive learning, aimed at 'how to' questions about efficiency and effectiveness, is not sufficient. For effective learning that goes beyond the reproduction of existing practices, whether in a formal or informal setting, at an organisational or individual level, learning must not only deal with 'how to' questions, but also with 'why' questions about individual and organisational values. Adaptive learning and critical reflection build upon each other. Adaptive learning is necessary for critically reflection, because it stimulates a realistic perceived self-efficacy, which on its turn proves to have a major effect on critically reflective work behaviour (Van Woerkom, 2003). HRD should therefore not only play a role in the adaptive learning of competence in relation to given tasks, goals, and conditions, but also in supporting people in critically reflective work behaviour. Critical reflection is not by definition in contradiction with a performance paradigm (Holton, 2000). What is essential is how performance is defined and if this definition includes also performance on the long-term. What is also crucial in the definition of performance is if individual motivations for and perspectives on performance are taken into account, since people cannot be forced to learn. Therefore, HRD should build on employee's insights and energies, providing support, assistance and strategic direction (Kuchinke, 1998).

References

- Argyris, Ch., & Schön, D.A. (1996). *Organizational learning II: Theory, method and practice*. Reading Massachusetts: Addison-Wesley Publishing company.
- Bandura, A. (1997). *Self-efficacy. The exercise of control*. New York: Freeman and company.
- Brookfield, S.D. (1987). *Developing critical thinkers*. San Francisco: Jossey-Bass Publishers.
- Brooks, A.K. (1999). Critical reflection as a response to organizational disruption. *Advances in Developing Human Resources*, 3, 67-97.
- Holton, E.F. (2000). Clarifying and defining the performance paradigm of human resource development. In K.P. Kuchinke (Ed.), *AHRD Conference Proceedings*, Raleigh-Durham: AHRD2-3.
- Kuchinke, K.P. (1998) Moving beyond the dualism of performance versus learning: a response to Barrie and Pace. *Human Resource Development Quarterly*, 2, 377-384.
- Kirton, M. (1994). *Adaptors and innovators. Styles of creativity and problem solving*. (Rev ed). London: Routledge.
- Marsick, V.J. (1988). Learning in the workplace: The case for reflectivity and critical reflectivity. *Adult Education Quarterly*, 38(4), 187-198.
- Mezirow, J., & associates (1990). *Fostering critical reflection in adulthood: a guide to transformative and emancipatory learning*. San Francisco: Jossey Bass Publishers.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge creating company. How Japanese companies create the dynamics of innovation*. New York: Oxford University Press.
- Schön, D.A. (1983). *The reflective practitioner*. New York: Basic Books.
- Wenger, E. (1998). *Communities of practice. Learning, meaning and identity*. Cambridge: Cambridge University Press.
- Van Woerkom, M. (2003). *Critical reflection at work. Bridging individual and organisational learning*. Enschede: University of Twente (dissertation).
- Yin, R.K. (1994). *Case study research: Design and methods*. Thousand Oaks, London: Sage publications.

Tools and Strategies for Engaging the Supervisor in Technology-Supported Work-Based Learning, Evaluation Research

*Manuela Bianco
Betty Collis
University of Twente*

This study reports the results of the formative evaluations of two computer-supported tools and the associated strategies for their use. Tools and strategies embedded in web-based courses can increase a supervisor's involvement in helping employees transfer learning onto the workplace. Issues relating to characteristics of the tools and strategies as well as factors influencing their likelihood of use are identified via summaries of the two evaluation studies.

Keywords: Supervisor Engagement, Tools and Strategies, Work-based Learning

The supervisor, or the supervisory team¹, plays an important role both in the formal and informal learning of his or her team members. For formal learning, the supervisor is seen as a facilitator of transfer of training, with roles before, during, and after the training event (Broad & Newstrom, 1992; Nelson & Dufour, 2002). For informal learning the supervisor can have a variety of roles such as monitoring, guiding, enabling sufficient exposure to learning situations, providing help and advice, or encouraging the learner to contact appropriate colleagues (Eraut, Alderton, Coles, & Senker, 1998). However, the supervisor is often the "weak link" in the transfer of training process (Robinson & Robinson, 1989). The supervisor may be reluctant to participate or may lack preparation for how to effectively support learning (Billett, 2002) or lack time or motivation. If the employee is involved in a course using Web-based technology the supervisor may lack insight into how the employee is studying because of the supervisor's unfamiliarity with the use of such a system. Thus when the course involves a non-traditional pedagogy, such as a new form of workplace learning that combines both formal and informal learning via courses that are centered on work-based activities learning (Bianco, Collis, Cooke, & Margaryan, 2002; Collis & Margaryan, 2003), the needs of the supervisor will be even stronger.

Tools and strategies are needed to help the supervisor in his or her new role (Kessels, 1993). Using the terminology of human performance technology (Stolovich & Keeps, 1992), there is a performance gap between current and desired performance, and to close this performance gap an appropriate intervention needs to be designed and evaluated. If the intervention involves tools or instruments for the supervisor, the supervisor must perceive them as having utility (usefulness) and user-friendliness (usability) before he or she will make use of them. Pilot versions of the tools thus require formative evaluation to improve both their usefulness and usability. In addition, in a multinational corporation, when the target group of supervisors includes individuals with different management styles affected, among other variables, by cultural differences, the adaptability of the tools and strategies for different contexts needs to be considered.

There are many sorts of tools and intervention strategies that could be used to increase the involvement of the supervisor in work-based learning. Some may involve incentives for the supervisor in terms of his own job-performance criteria. Others are under the control of the course-design team and the course facilitators. These can include tools such as messages or other forms of personal contact with the supervisor, informational material about the course directed at the supervisor, or (virtual) meetings or workshops. A learning agreement, or contract, in the form of a document structuring and recording a discussion and agreement between a course participant and his or her supervisor concerning course goals and support for course attendance is a particularly promising example of an intervention. Such an agreement can steer the participation of the learner towards the ways that performance change in the workplace is expected to be seen as a consequence of the course. Another type of intervention is particularly relevant for courses supported in a Web environment as it involves making supplementary material about the course and about how the supervisor can intervene at various times in the course for feedback to and support of the participant directly available to the supervisor via the Web environment. This type of intervention has the benefit of

¹ It should be noted that the term supervisor might be replaced by "supervisory team". The supervisor is defined as the direct superior working with the team member and learner on a daily basis. However, in practice, it might be that others are carrying out aspects of supervision, for example when the supervisor is not an expert in the content that is being learned or "when teamwork is a key component of work practice" (Billet, 2002, p. 184).

also helping the supervisor to become familiar with the learning environment and types of learning activities in which the participant is involved. If a collection of different types of tools and strategies is integrated together in one electronic environment, this collection can be called an electronic performance support system (EPSS).

Problem Statement

Within the Learning & Leadership Development organization of Shell International Exploration and Production (LLD-SIEP) the problem of increasing supervisor involvement in learning is of particular significance because of a new learning strategy that focuses on work-based activities. The overall problem being investigated is: what tools and strategies, used in what conditions, can lead to increased supervisor involvement in technology-supported work-based learning? Through preliminary research (Bianco & Collis, 2003) an intervention has been identified consisting of an electronic performance support system (EPSS) and is in the process of development. Two particular components of the EPSS, a learning agreement and personalized materials added to the Web-based course environments supporting the participants, have been designed and are in the process of various cycles of revisions and formative evaluation. The problems relating to these two types of tools are: Are these types of interventions suitable for supervisors in the LLD-SIEP context? If they are suitable as general types, what features should they have in order to strengthen their likelihood of use by supervisors? Will supervisors perceive the tools as useful to themselves? Will they experience them as easy to use? Will it be advantageous to provide alternative forms of each type of tool, to anticipate differences in the supervisors themselves? The formative evaluations summarized in this paper address these questions.

Theoretical Framework

The supervisor's performance in terms of supporting learning, as with any type of performance, can be affected by appropriately designed interventions. Interventions are combinations of goals, strategies, and instruments (Stolovich & Keeps, 1992). A distinction can be made between instructional interventions such as courses and seminars, and non-instructional interventions (Greenworks Consulting Training Services, 2003). The latter category includes tools such as electronic performance support systems (EPSSs), knowledge management (KM) tools, tools offering just-in-time support, tools supporting the functioning of communities of practice, and job aides and strategies related to corporate culture changes and process re-engineering. When the performance change being focused upon includes working with electronic environments, the support tools typically also have an electronic component. A major category of non-instructional interventions is that of electronic performance support tools. An electronic performance support system can also be described as "any computer software program or component that improves employee performance by reducing the complexity or number of steps required to perform a task, providing the performance information an employee needs to perform a task, or providing a decision support system that enables an employee to identify the action that is appropriate for a particular set of conditions" (<http://www.pcd-innovations.com/infosite/whatepss.htm>). Leighton (n.d.) indicates that an EPSS typically includes some combination of the components shown in Table 1:

Table 1. *Components of Electronic Performance Support (Leighton, n.d.)*

Tools	Information Base	Advisor	Learning
Word Processing, Spreadsheet, Database	On-line Documents, Reference Materials	Expert Advice and Coaching	Multimedia CBT and Tutorials
Templates & Forms	Info Databases, Case History Data	Context-Sensitive On-Line Help	Simulations and Scenarios

The methodology for the design and development of such an electronic intervention relates to human performance technology (Stolovich & Keeps, 1992) and also to software-design research more generally (Reeves, 2000). In the design of an EPSS a number of key issues must be considered. One of these is the content of the EPSS: Which of the types of tools and resources indicated in Table 1 should be included? And once the choice for a type of component is made, how should the component be further realized? The development process of an EPSS and of its component tools and resources involves many iterations of pilot testing with design experts and performance analysts as well as the target users, in order to identify which aspects of the tool will be perceived as having the most

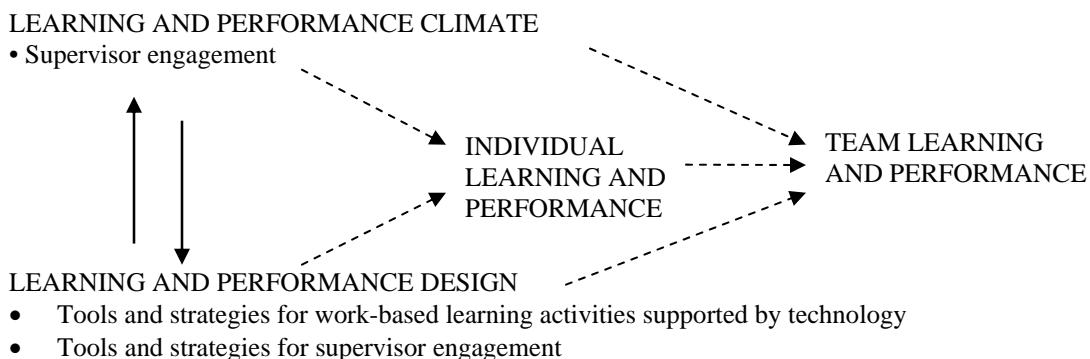
value, or utility, and which aspects will most affect the ease of use, or usability, of the tool in order to increase its likelihood of use in practice (Sweeney, Macquire, & Shakel, 1993).

Research Setting

The context for this research project is the Learning & Leadership Development organization of Shell International Exploration & Production B.V. (LLD-SIEP). LLD-SIEP supports learning for technical professionals within SIEP worldwide. At the LLD-SIEP a form of technology-supported course is being implemented based on a model of learning that involves different types of work-based activities, predominately carried out in the workplace with the support of the supervisor as well as others with relevant experience (Bianco, Collis, Cooke & Margaryan, 2002). Work-based learning within these courses is supported by web-based course environments that are part of the TeleTOP system, a blend of a course management system and learning content management system (Collis & Moonen, 2001). The work-based assignments involve colleagues and supervisors and are aimed at solving actual challenges that the learner's team is facing in practice.

An important part of a five-year collaborative research project between the LLD-SIEP and the University of Twente focuses on the development of tools and strategies to support this approach to workplace learning. At the LLD-SIEP courses are designed by teams that include subject matter experts and designers. Tools and strategies for supervisor involvement are among the focuses in the design process. This portion of the overall research can be characterized as development research (Reeves, 2000) and has "the dual objectives of developing creative approaches to solving human teaching, learning, and performance problems while at the same time constructing a body of design principles that can guide future development efforts" (Reeves, 2000, p. 7). Figure 1 shows the model for part of the overall research that focuses on supervisor engagement. The dotted lines are taken as assumptions; the focus of the current research is on the vertical arrows relating to supervisor engagement levels and tools and strategies as interventions that can affect this engagement.

Figure 1. A Model to Study Supervisor Engagement in Technology-Supported Work-based Learning: Effect of Tools on Supervisor Engagement and Effect of Supervisor Engagement on Individual Performance.



Within the research represented in Figure 1, a variety of tools and strategies to involve the supervisor are being developed and evaluated in an iterative manner. The two examples whose evaluations are reported in this paper are the "Learning agreement", an electronic template for a letter of commitment between supervisor and participant; and "Resources and activities embedded in the course Website", additions to the course web-environment specifically designed for supervisors to encourage their participation. The formative evaluations presented in this paper are part of this portion of research.

Research Questions

This study focused on the following questions:

1. How are the learning agreement and course-addition tools perceived in terms of utility and usability by domain experts, performance-analysis experts, and tool-design experts as well as supervisors and course participants?

2. How are the learning agreement and course-addition tools perceived in terms of utility and usability by the LLD-SIEP course designers?

Example 1: The Learning Agreement

The learning agreement is one of the tools for supervisor engagement being developed within LLD-SIEP. The learning agreement aims at supporting participants in negotiating with their line managers for suitable conditions to complete the work-based course, and understanding what goals are to be achieved by participating in this course and how it is intended to be followed. It consists of an electronic template for a letter of commitment between supervisor and participant that covers goals to be achieved during the course, relation of the course to workplace needs, and resources available to the participants to follow the course. Participants fill in the learning agreement jointly with their supervisor as first activity of a course and submit the agreement in the course web-environment where it remains available for review and for use during the final evaluation

The learning agreement piloted at LLD-SIEP was structured in five sections. These included: course participant's details and his or her line manager's name and email; dates during which learning agreement was valid and persons involved; description of a workplace situation that suggested a business need for the course and how successful completion of the course would impact on it; conditions under which the course participant was following the course, such as where and when he or she intended to study and if time would be made available for learning activities. It is the selection of the workplace activity or problem, which will be the focus of the course that is particularly critical because it is in this that the learning becomes anchored in real workplace needs.

Pilot Test Setting

The Learning Agreement was first designed and piloted in 2002 in a course called Health and Risk Assessment (Bianco, 2003). This course was designed to take practitioners involved at different levels and in different roles in the health- and risk-assessment process to the skill level necessary to carry out an assessment in their own workplaces. Participants worked both for Shell EP Operating Units worldwide and for contractor companies. The course consisted of seven e-modules and a number of activities that extended the concepts in the e-modules and were carried out in the real workplace settings of each participant. Each module consisted of a theoretical portion developed as an e-module and a number of self-assessment questions. After completing each e-module participants were required to carry out assignments that involved the application of what they had learnt in their own workplaces and also regularly required the involvement of the local HRA team. Results of the assignments were submitted via the TeleTOP system. Course participants were expected to finish the course in four weeks, but completion could take up to a maximum of six weeks. The course took place entirely at a distance. The learning agreement was the focus of the first activity of the course. The course did not involve any face-to-face component but was entirely carried out in the workplace, with support of the TeleTOP system.

Method and Respondents

This study employed qualitative methods to explore supervisors' and participants' perceptions of the learning agreement as a tool to involve the supervisor in the course HRA. There were 18 participants and 15 supervisors. All completed a learning agreement, and all but one participant indicated his or her supervisor's email addresses. These sets of participants and supervisors were invited to participate in semi-structured telephone-interviews that were carried out between September and October 2002. Additional documents were also analyzed to provide insight into the interview data. These were the course participants' descriptions of themselves and their work uploaded in the TeleTOP course-management system and the learning agreements themselves. Both types of documents were submitted as course assignments. The uploading of participant descriptions as an assignment was meant both to familiarize them with the course-management system and to help them to get to know the other course participants.

In addition to being a tool undergoing pilot testing, the learning agreement was also a key tool for data collection as via it participants indicated the names and emails of their supervisors. This means that only supervisors whose names had been indicated in the learning agreement were contacted, thus not all the supervisors whose employees were following the course.

Interviews were recorded and transcribed. The supervisors' answers were then compared to find emerging patterns. The same procedure occurred for participants' answers. Then, once preliminary patterns were found, participants' descriptions and learning agreements were re-analyzed to provide additional insight (Bianco, 2003).

Results

Response rate. Of the supervisors and participants who submitted the learning agreement, only 8 supervisors and 12 participants agreed to be interviewed. In the end, only 4 supervisors and 8 participants were interviewed. Their busy schedules and time-zone difference made it impossible to arrange a suitable time for some of the appointments. This response rate, 28% for the supervisors, was low. However, the course participants' response rate

was also lower than expected, namely 44% (8 out of the 18 that submitted learning agreements). There appeared to be two reasons for this. Participants' work descriptions in the course Web environment show that they come from and work all over the world, and so do their supervisors. Thus was logically difficult to contact them and arrange a suitable time to interview them (phone connection, time differences). In addition, cultural differences could influence their perceptions of their roles and duties (Wang, Ruona, & Rojewski, 2003) and thus perhaps influenced the response rate. Interestingly, from the analysis of the learning agreements it emerged that participants who did not answer the interview request had a lower level of support from their supervisor than participants who did. Also they were away from their workplace for other job assignments longer.

Participants' and supervisors' perceptions of the learning agreement. An interesting contrast between participants and supervisors emerged with respect to the utility of the learning agreements. Except for one, all participants thought the learning agreement was useful in getting their supervisors' support by clarifying expectations and requirements for course participation and communicating to their supervisors about what they were doing. However, they thought the learning agreement had not helped them in getting appropriate resources (such as computer, or a quiet room to study) to follow the course. The supervisors' perceptions were less enthusiastic. Two out of three defined the learning agreements as "just more paperwork" and could not see any utility in it. One suggested that the total amount of hours the course participant is expected to spend on the course should be clearly indicated.

Another interesting aspect emerged with respect to the increase in workload for the participants caused both by the course assignments and the fact that they were expected to keep up with their already-overloaded job tasks. This overload seemed to be an acceptable situation in the opinion of the supervisors who did not expect any problems for participants to complete the course. Interestingly, this was true to a certain extent also for the participants: for five participants the course added to an already heavy workload, but only three of them thought they would not be able to meet the deadline.

Current Status

Taking into account the insights gained during the formative evaluation, the learning agreement is currently in use in all TeleTOP-supported courses now being offered to the Shell EP business. Different versions of the learning agreement are currently being developed as part of the ongoing research on tools and strategies. Further evaluation is taking place to codify and analyze the contents of the learning agreements and relate them to the impact of the course in the workplace.

Example 2: Resources and Activities Embedded within the Course Website

For the intervention piloted at LLD-SIEP and reported in this paper, resources and other additions for the supervisor included an introduction to the work-based learning strategy, a description of what is available for the supervisor in the embedded EPSS, a description of the need for a learning agreement, a set of examples of the benefits of the supervisor's involvement in work-based activities, a reflection moment in the form of a questionnaire, guidelines for a debriefing meeting, a fill-in-form for an action plan to complete with the team member after the course, and a questionnaire to reflect on the team member's performance improvement and to relate the observed performance to what was planned for in the learning agreement.

All these tools function as a type of embedded EPSS (Sleight, 1993). Parallel to the design of these embedded resources the course design also needs to call for the supervisor's involvement via suitable activities. The embedded additions to the site specifically for supervisors then encourage the supervisors to know how to participate. The underlying strategy is that supervisors' access to the course website is first step towards establishing a learning partnership.

Resources and activities are to be included in the course roster. The roster is one of the main features of the TeleTOP system and consists of a matrix-type structure that displays the organization of the course and integrates materials, activities, and feedback (Collis & Moonen, 2001). There are many ways to make such components of an embedded EPSS available to supervisors. In the pilot described next, two sets of alternative ways were developed, presented to the target group, and evaluated. While the learning agreement pilot focused more on the utility of the tool, the embedded EPSS pilot focused more on the usability.

Pilot Test

Two alternative sets of embedded EPSS components were developed to be integrated into two otherwise identical course web environments. The pilot test refers here to the feedback gathered both in the development and evaluation of the first prototype carried out respectively in Q1, 2003 and Q2, 2003 (Tang, 2003). The methods used are described in the next section.

Method

Development method. Resources and additions embedded within the course Website were developed using a rapid-prototyping approach (Reeves, 2000). A first draft of the components of the EPSS based on a preliminary task analysis was prepared. Feedback was collected from different stakeholders at the LLD-SIEP during individual semi-structured face-to-face interviews. Stakeholders included one of the directors of the LLD-SIEP, the senior learning advisor, two instructors, and a marketing expert. Adjustments to the design of the components followed. The modified new draft of the contents was later discussed during a meeting with the senior learning advisor and a business consultant, who agreed on the general design decisions and suggested a number of further specific design decisions. The general design of the components was then worked out in two different styles of language and tone of presentation, based on an analysis of key differences in supervisors from different regions internationally in Shell EP (Tang, 2003). Two versions of the embedded EPSS were then prepared, underwent an expert review, and adjusted once again based on the experts' comments relating to usability and aspects that differentiated one of the versions from the other.

Evaluation method. Data were collected via a questionnaire that included questions about the utility and usability of the tools. Issues about cultural diversity were also included since the two versions of the tools were designed to account for differences between Western and Asian supervisors. The URL of the website where the tools could be viewed was included in the invitation letter for the evaluation, together with a description of the tools and instructions for how to fill out the questionnaire.

Results

Respondents. The questionnaire was sent to 25 persons. Of these, 17 answered, namely 5 LLD-SIEP learning designers, 11 students of Chinese nationality involved in the HRD Masters program at the University of Twente, and one learning expert from the faculty of the university. The Chinese students were included because of their HRD background. Besides based on their experience with managers in China they could comment on the presentation style and the tone of instruction. No actual Shell EP supervisors were directly involved because they had to be first introduced to the TeleTOP system and it was judged not convenient for them at this point in time to view such an early prototype. Each studied the two alternatives of embedded EPSSs and completed the evaluation questionnaire.

Utility. The ideas of resources and activities for supervisors embedded within the course Website were generally well accepted, and thought to be useful and appropriate, as shown in Table 2. However, 35% of the respondents thought the number of activities was too much to expect of the supervisors.

Table 2. *Results with Respect to Utility (N=17).*

• Idea of using this tool to build communication with supervisors is good (88%)
• Content is appropriate (82 %)
• Amount of activities is too much (35%)
• Improves supervisor's support skills (82%)
• Encourages supervisor's involvement (71%)
• Expects trainee to feel more supported by supervisors that use this tool (71%)

Usability. Usability aspects need to be further improved, particularly in the wording of several of the sets of instructions. Because of reservations with respect to the clarity of wording of instructions, which were only thought to be attractive and persuasive by 29% of the respondents, the usability of the embedded EPSS was not considered to be high in its current version, as shown in Table 3.

Table 3. *Results with Respect to Usability (N=17).*

• Supervisors will like the form and layout (47%)
• Instructions are clear (47%)
• Instructions are attractive and persuasive (29%)
• Instructional tone is friendly (41%)

Current status

After the development of the first prototype the development method for the tools and strategies has evolved. The researcher now works together with course designers and instructors to develop or adapt, implement, and

evaluate the tools as the course itself is being designed and developed and piloted. This is valuable for several reasons. First, both designers and instructors need to feel ownership of the tools they use, and tend not to accept tools that have been developed without their input. Secondly, the course design needs to include features that anticipate the use of the tools by the supervisors during the course so that the supervisors have a structure for intervening in the learning process of their team members.

Discussion

The pilot of the learning agreement clearly showed that attention to supervisors' perceptions of the learning agreement should continue to occur in order to help evolve it into a useful tool. Supervisors' perceptions of learning and other factors that influence their likelihood to become involved in learning as well as barriers to their involvement should be further investigated. More generally, feedback from the supervisor is of key importance in further developing this type of EPSS tool. Ideally, such tools should be developed jointly. There are several reasons for this: if a supervisor does not see the utility of a tool he or she will not use it, and more positively a supervisor can give suggestions to improve the tool. For example during the pilot, one supervisor suggested that the estimate of amount of total time required for the course should be added. The pilot of the embedded EPSSs show that offering options to the supervisors, in terms of tone and style of approach in the EPSS, needs to be studied further.

Also, courses differ considerably in their design and in the conditions in which they take place. This means that tools need to be adaptable with each course, but also that the researcher needs to understand this complexity in order to develop suitable tools. An approach in which a variety of tools and versions of the tools are developed jointly together with course designers and instructors, piloted, and evaluated involving actual participants and supervisors is seen as appropriate. This will strengthen the further development of a portfolio of tools and strategies and guidelines for how to use them in different situations. It is this portfolio that will be integrated into the overall EPSS for performance support of supervisors that is to be completed in 2005.

Contribution to HRD Knowledge

There is not much research that focuses on the role of the supervisor when technology-supported courses focus on work-based activities. The current study contributes to HRD knowledge related to electronic performance support because it identifies tools and strategies that can be used by supervisors when employees are taking web-based courses and also to a new type of partnership involving educational technologists, performance analysts, course designers and supervisors themselves. The methodology used for the design and development work (Reeves, 2000) is well known in fields involving electronic performance and learning support but not often seen in HRD research. This is another contribution to the HRD community.

References

- Bianco, M. (2003). *Technology-supported workplace-oriented learning impact: The line manager/supervisor perspective*. Research report, dossier number: GW03.25.014, Faculty of Behavioral Sciences, University of Twente, Enschede, NL.
- Bianco, M., & Collis, B. (2003). Blended learning in the workplace: Tools and strategies for line managers' and supervisors' involvement in the learning process. In A. Jarvinen (Ed.), *Work & learning: Book IV: Theme 6: Learning processes and work processes. Proceedings of the 3rd International Conference of Researching Work and Learning* (pp. 22-29). Tampere, Finland: University of Tampere Department of Education.
- Bianco, M., Collis, B., Cooke, A., & Margaryan, A. (2002). Instructor support for new learning approaches involving technology. *Staff and Educational Development International*, 6, 2, 129-148.
- Billett, S. (2002). *Learning in the workplace: Strategies for effective practice*. Crows Nest, Australia: Allen & Unwin.
- Broad, M.L., & Newstrom J.W. (1992). *Transfer of training: Action-packed strategies to ensure high payoff from training investments*. Reading, MA: Addison-Wesley.
- Collis, B., & Margaryan, A. (2003, September 7). *Work-based activities and the technologies that support them: A bridge between formal and informal learning in the corporate context*. Paper presented at the LearnIT Workshop, University of Gothenburg, Sweden.
- Collis, B., & Moonen, J. (2001). *Flexible learning in a digital world: Experiences and expectations*. London: Kogan Page.

- Eraut, M., Alderton, J., Coles, G., & Senker, P. (1998). Learning from other people at work. In F. Coffield (Ed.), *Learning at work*, (pp. 37-48). Bristol, UK: Policy Press in association with the ESRC Learning Society Programme.
- Greenworks Consulting Training Services (2003). *HPT quick reference guide*. Retrieved October 1, 2003 from Greenworks Consulting Training Services Web-site: <http://www.greenworks.org/hpt/morelinks.htm>.
- Kessels, J. (1993). *Towards design standards for curriculum consistency in corporate education*. Doctoral dissertation. University of Twente, Enschede, NL.
- Leighton, C. (n.d.). *What is an EPSS?* Retrieved September 25, 2003 from University of Georgia, College of Education Web-site: <http://it2.coe.uga.edu/EPSS/Whatis.html>.
- Nelson, D., & Dufour, W. (eds.) (2002). *Transfer of learning a guide for strengthening performance of health care workers*. Retrieved October 1, 2003 from Reproductive Health Online Web-site: <http://www.reproline.jhu.edu/english/6read/6pi/tol/>
- Reeves, T. (2000). *Enhancing the worth of instructional technology research through "Design experiments" and other development research strategies*. Retrieved on September 10, 2003 from University of Georgia, College of Education Web-site: <http://it.coe.uga.edu/~treeves/AERA2000Reeves.pdf>.
- Robinson, D. G., & Robinson, J. (1989). *Training for impact*. San Francisco: Jossey-Bass.
- Sleight, D. A. (1993) *Types of electronic performance support systems: Their characteristics and range of designs*. Retrieved on September 30, 2003 from University of Michigan Web-site: http://www.msu.edu/~sleightd/epss_copy.html.
- Stolovich, H., & Keeps, E. (eds.) (1992). *A handbook of performance technology*. San Francisco: Jossey Bass.
- Sweeney, M., Maquire, M., & Schakel , B. (1993). Evaluating user-computer interaction: A framework. *Journal of Man-Machine Studies*, 38, 689-711.
- Tang, X. (2003). *The development of a performance support tool to enhance line management involvement in workplace blended learning*. Masters thesis, Faculty of Behavioural Sciences, University of Twente, Enschede, NL.
- Wang, J., Ruona, W. E. A. & Rojewski, J. W. (2003). Confucian values: A review of the literature and implications for HRD. In S. A. Lynham, & T. M. Egan (Eds), *Proceedings of the Academy of Human Resource Development Conference*, (pp. 319-326). Bowling Green, OH: AHRD.

Organizational Learning Culture, Transfer Climate and Perceived Innovation in Jordan

Reid Bates

Samer Khasawneh

Louisiana State University

This paper examined the relationship between organizational learning culture, learning transfer climate, and organizational innovation. The objective was to test the ability of learning organization culture to account for variance in learning transfer climate and subsequent organizational innovation, and to examine the role of learning transfer climate as a mediator between learning organization culture and innovation. Results showed that organizational learning culture predicted learning transfer climate, and both these factors accounted for significant variance in organizational innovation.

Keywords: Learning Organization, Innovation, Transfer Climate

Technological advancements, dynamic customer demands, increasing globalization, the blurring of organizational boundaries (Arthur & Rousseau, 1996), and increasing competition are all combining to produce organizational environments more turbulent than ever before. Given the uncertain nature of organizational environments it is not surprising that increasing attention in the human resource development (HRD) and organizational development (OD) literature has been paid to learning organizations. A recurring theme in this literature is that the adoption of some all of the features of the learning organization enables organizations to develop more flexible and adaptable systems that improve long-term performance (Guns, 1996; Senge, 1992; Slater & Narver, 1995).

However, the literature addressing the learning organization is largely descriptive and conceptual in nature. For example, many authors have described why a learning organization should work, but there are few specific descriptions about the mechanics of how the learning organization as a strategy works to improve performance (Kaiser, 2000). In an effort to bridge this gap in the learning organization literature, Kaiser and Holton (1998) have identified a number of parallels between the characteristics and recommended procedures in the learning organization literature and the innovation literature. They note that the learning organization and innovation literatures both focus on the facilitating role of the same organizational variables including culture, climate, leadership, management practices, information acquisition, retrieval, and sharing, and organizational structures, systems and environment. Both literatures also focus on strategies that will enhance the adaptability and flexibility of organizations in ways that improve long-term performance. The convergence on a common outcome together with the similarity in influencing variables has been interpreted to suggest that innovation may be a close relative of organizational learning (Kiernan, 1993) and a relationship may exist between the two.

It has been suggested that every organization is to some degree a learning organization but are differentiated by the degree to which they learn better, faster, or more completely (Mai, 1996). This could be revealed through outcomes like innovation and is likely to be facilitated and supported by climates or systems that enhance and support learning application. In other words, the culture of an organizational learning system is all about developing and applying intellectual capital. Learning and the factors that support the transfer (application) of learning are part of that organizational culture that creates and shares knowledge. The purpose of this paper is report on an initial exploratory examination of the relationship between organizational learning culture, learning transfer climate and organizational innovation. The objective was to empirically examine the ability of learning organization culture to account for variance in learning transfer climate and subsequent organizational innovation. Our analysis also seeks to examine the role of learning transfer climate as a mediator between learning organization culture and innovation. The research model shown in Figure 1 depicts a partially mediated model that views learning organization culture as an antecedent that influences learning transfer climate that, in turn, affects organizational innovation.

The Research Model

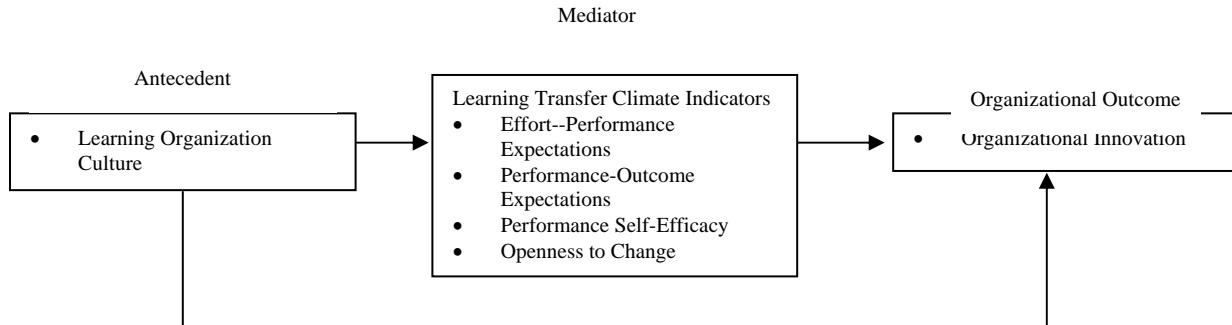
Organizational Culture and Innovation

One of the outcomes of interest in this study is organizational innovation. For our purposes, innovation will be equated with the adoption and application of new knowledge and practice. This conceptualization is consistent with that of other researchers (Agrell & Gustafson, 1994; Burningham & West, 1995; West & Anderson, 1996) and

Copyright © 2004 Reid Bates & Samer Khasawneh

emphasizes the importance not only of learning but also the application of that learning. The literature on organizational innovation focuses heavily on the role of culture as a facilitator largely because of the role that

Figure 1. Research Model



organizational culture plays in effective change initiatives (Bluedorn & Lundgren, 1993). In fact, Kotter and Heskett (1992) have identified an adaptive culture – or a culture that fosters and nurtures innovation - as the optimal culture for organizations pursuing long-term superior performance in dynamic environments.

Organizational culture refers to the “shared meanings and manifestations” of organizational behavior (Kopelman, Brief, & Guzzo, 1990, p. 284) and, as such, emphasizes the common beliefs, values and assumptions of organizational members. The learning organization literature also emphasizes that role of organizational culture to the extent it indicates that a consensus has developed among organization members about the value of learning and use of new learning to pursue organizational goals and objectives. In discussing organizational learning, for example, Watkins and Marsick (1993) suggest that a culture that supports the acquisition of information, the distribution and sharing of learning, and provides rewards and recognition for learning is essential. Marquardt (1996) emphasizes the importance of an organizational culture that facilitates and promotes continuous learning and improvement.

An organizational learning culture becomes important in the consideration of innovation to the extent that the culture enables an organization to anticipate and adapt to the dynamics of a changing environment. For example, Bass and Avolio (1990) emphasize the value of innovative and adaptive cultures in their distinction between transformational and transactional cultures. The former support change and innovation while the latter tend toward the maintenance of the status quo. Both innovation and organizational learning are seen as emphasizing the free exchange of information and ideas in ways that facilitate learning and its application. Both focus heavily on the role of culture as a facilitator of creativity. The common threads that emerge from this and other literature underscore the importance of culture in promoting and supporting inquiry, risk-taking, and experimentation.

Organizational Climate and the Culture-Climate Connection

Organizational climate as a general construct can be defined as a psychologically meaningful description of the work environment (James & Jones, 1976; Jones & James, 1979) or, similarly, a individual psychological state affected by organizational conditions like culture, structure, and managerial behavior (Burke & Litwin, 1992). Thus organizational climate is not the work environment per se but the way in which people respond to it; it is the ‘perceptual medium’ (Kopelman et al., 1990) through which the work environment affects job-related attitudes and behaviors. Climate has thus been described as a ‘sense of imperative’ that arises from a person’s perceptions of his or her work environment, one that influences how he or she responds (Schneider & Rentsch, 1988). This sense of imperative can be reflected, for example, in perceptions of task-related support (e.g., feedback) for learning transfer or in the cognitive and affective states that ensue from these perceptions.

Organizational culture differs from climate to the extent that culture is based on beliefs that are shared organization-wide while climate is based on what an individual senses in and about the organizational environment (Reichers & Schneider, 1990). This has led to the notion that climate is a surface manifestation of culture to the degree that different beliefs, meanings, and symbols (i.e., culture) give rise to different individual expectations and interpretations of the organizational environment (Denison, 1996). This view is consistent with considerable research into organizational climate that recognizes it as useful multidimensional construct that can be applied to a wide variety of organizational and perceptual variables reflective of organizational-individual interactions (Glick, 1985; Schneider, 1980).

Our research model suggests that organizational learning culture gives rise to task support and cognitive and affective elements indicative of supportive learning transfer climates that, in turn, influence organizational innovation. Our rationale for this sequence is based on several factors. First, these hypothesized relationships are generally consistent with Kopelman et al.'s (1990) model of climate, culture and productivity. Second, to the extent that climate is a surface manifestation of culture it is possible to draw on Schneider's (1987) attraction-selection-attrition model of organizational development and speculate that an organizational learning culture may, over time, lead to the development of transfer climates conducive to learning and its application. Finally, there is evidence that organizational climates can have an effect on innovation (Abbey & Dickson, 1983; Anderson and West, 1998). More specifically, the research model suggests the following hypotheses:

- H1: After controlling for organizational sector and industry type, learning organization culture will explain a significant amount of variance in innovation
- H2: After controlling for organizational sector and industry type, the block of transfer climate variables will explain a significant amount of variance in innovation
- H2: Regression results will support the inference of a partially mediated model in which the block of transfer climate indicator variables partially mediate the relationship between learning organization culture and innovation

Methodology

Population and Sample

Data for this study were collected from 450 subjects employed by 28 different organizations in Jordan. Because of limited access to subjects in Jordan, both purposive sampling and convenient sampling (Ary, Jacob, & Razavieh, 1996) were used. Approximately 38% ($n = 172$) of the respondents were from public sector organizations and about 62% ($n = 278$) were from the private sector. A little over 25% of the respondents were from public sector educational institutions with the remainder fairly evenly divided between public/governmental organizations and private sector manufacturing, high tech, banking, insurance, retail, and service organizations. A slight majority of the sample was male (54%). Respondents were predominantly 30 or more years old (71.4%) and held a bachelor's degree or higher (89.1%). Over 60% of the respondents had four or more years of work experience.

Instrumentation

Since all the scales used in this study were developed in English, a rigorous English-to-Arabic translation process was used that included an iterative process of forward translation, backward translation, assessment for clarity and correctness, and subjective and objective evaluation. The goal of the translation and various evaluation procedures was to produce an Arabic version of the items that were equivalent *in meaning* to the original English versions. This last point is important because our objective was an *equivalent translation* not an identical word-by-word translation. Equivalent translations emphasize functional equivalence or the equivalence of meaning of the survey items between the original and translated instruments. Functional equivalence helps to ensure that the measures work in the new target culture as well as they did in the original culture because the translation is based on achieving equivalence in meaning rather than just the form of the sentence or word-by-word translations.

Exploratory (common) factor analysis was used to identify the latent construct structure of the survey items and to provide some evidence of construct validity and cross-cultural equivalence. Common factor analysis is considered more appropriate than principal component analysis when the objective is identification of latent structures (Nunnally & Bernstein 1994). Oblique rotation was employed because of its suitability for latent variable investigation when latent variables may or may not be orthogonal (Hair, Anderson, Tatham, & Black, 1998). The initial criterion used to determine the number of factors to retain was an eigenvalue greater than or equal to one. In the analysis (a) factor loadings reflected interpretable simple structures; (b) only items with loading .40 or higher were included in the scales; and (c) average item loading values were greater than .50 on major factors and less than .15 on other factors for all scales.

A five-item scale was used to measure perceived organizational innovation. Scale items were drawn from an assessment tool entitled Assessing Strategic Leverage for the Learning Organization (ASLLO) (Gephart, Marsick, Holton, & Redding, 1996). This scale was designed to measure the perceived ability of an organization to adopt or create new ideas and implement these ideas in the development of new and better products, services, and work processes and procedures (Holton & Kaiser, 1997).

Items for the three scales used to measure organizational learning culture were also drawn from the ASLLO. The knowledge indeterminacy scale was a four-item scale designed to measure the perceived belief that knowledge in organizations is not fixed and that anyone can be a source of learning and knowledge. The learning latitude scale was a four-item scale designed to measure the belief that individuals are free to be independent thinkers and are able

to freely promote and try new ideas. The organizational unity scale was a five-item scale measuring the belief that all organizational members share a common goal and are all working for the benefit of the organization and its stakeholders. These three scales were summed to yield a single score for organizational learning culture.

The learning transfer climate measures were drawn from the Learning Transfer Systems Inventory (LTSI) developed by Holton and Bates (2002). The LTSI is a diagnostic tool used to assess the factors that influence learning transfer and to assess transfer systems in organizations. It is an 89-item instrument with two sections: the first section contains training-specific constructs that reference a specific training program. This section includes 63 items representing 11 constructs. The second section of the LTSI contains 26 items, measuring five constructs that reference training-in-general in the respondent's organization.

Because we were concerned with the learning transfer climate in general (as opposed to that generated from a specific training program) the training-in-general measures were used in this study as an indicator of learning transfer climate. The training-in-general measures consist of five scales that reflect perceived task support elements and individual cognitive states that, taken together, comprise a psychologically meaningful 'sense of imperative' regarding learning and its application. The two scales reflecting task support elements included performance coaching (six items) and openness to change (four items). Performance coaching measures the extent to which individuals perceive they receive constructive input, assistance, and feedback from people in their work environment when applying new knowledge or trying new ideas to improve work performance. Openness to change measures an individual's perceptions about his or her work group's resistance to change, willingness to invest energy to change, and the degree of support provided when trying to use new learning to improve work performance. The three measures reflecting individual cognitive states included performance self-efficacy (PSE), transfer effort-performance expectations (TEPE), and performance-outcome expectations (POE). Performance self-efficacy (four items) assessed the extent to which individuals feel confident and self-assured about applying new learning, ideas, and abilities in their jobs, and can overcome obstacles that hinder the use of new learning. Transfer effort-performance expectations (four items) assessed the extent to which individual believe that applying new learning will improve performance. Performance-outcomes expectations (three items) measured the extent that individuals believe the application of new learning will lead to recognition or rewards they value. All scales used a Likert-type scale ranging from 1 = strongly disagree to 5 = strongly agree.

Data Collection

The survey instrument was administered in Jordan to employees at varying time lengths following an episode of organizational training. Time varied from directly after training to six months after training. When distributed at the end of the training program, either the researchers or the administrator of the training distributed and collected the instruments. In the other cases the instruments were distributed to trainees through the human resources personnel and then returned to the researchers.

Data Analysis

Bivariate correlations were calculated to examine the direction and magnitude of inter-variable associations. Hierarchical regression analysis was used to determine whether the mediated model provided a reasonable description of the relations among variables. A mediator has been described as a variable "that accounts for the relation between the predictor and the criterion" (Baron & Kenny, 1986, p. 1176). James and Brett (1984) describe two types of mediators, complete and partial. Complete mediation occurs when the mediating variable "transmits all of the influence of the antecedent x to a consequence y , which implies that x and y are indirectly related" (p. 310) and that the relationship between x and y disappears when the mediator z is controlled for. Thus the independent variable significantly affects the mediator; the mediator significantly affects the dependent variable; and controlling for the mediator produces a nonsignificant relationship between the independent and dependent variables. Partial mediation occurs when the independent variable has a direct effect on the dependent variable as well as an indirect effect through the mediator (James & Brett, 1984). Partial mediation is suggested when controlling for the mediator does not attenuate the significant relationship between the independent and dependent variables.

Our research model suggests an partially mediated $x \rightarrow z \rightarrow y$ linkage in which organizational learning culture (x) directly influences innovation (y) and the block of transfer climate variables (z) mediates the relationship between organizational learning culture and innovation. To infer support for partial or completely mediated models using hierarchical regression several statistical conditions must be met (Baron & Kenny, 1986). Specifically, three regression analyses need to be run to determine if learning transfer climate functions as a mediator. A fourth regression analysis provides information about the nature of the mediated relationship (complete or partial mediation). In the first analysis, the predictor block (organizational learning culture) is regressed on the innovation ($x \rightarrow y$). Second, the mediator variable (the learning transfer climate block) is regressed on innovation ($z \rightarrow y$). Third, the predictor block is regressed on the mediator ($x \rightarrow z$). To infer support for a mediated relationship each of

these regression equations must be significant. Finally, to obtain information about the nature of the mediation (partial or complete) a hierarchical regression analysis is performed in which learning transfer climate (the mediator) is regressed on the outcome measure ($z \rightarrow y$) and organizational learning culture (x) is added as a second step. If adding x contributes significantly to the variance explained by the regression equation and $z \rightarrow y$ remains significant this suggests the presence of partially mediated relationship (i.e., one in which there are both direct and mediated effects). If adding x does not yield a significant R^2 increment, then there is evidence of complete mediation. Finally, to control for the variation in innovation across organizational types and sectors, these variables (organizational sector [public versus private] and industry type [high-tech, manufacturing, service]) were dummy coded and entered as control variables in each regression model.

Results

Descriptive Statistics

Analysis of regression diagnostics following a process described by Bates, Holton, & Burnett (1999) did not reveal any serious violations of regression assumptions, multicollinearity, or the presence of influential observations. The means, standard deviations, intercorrelations, and reliability estimates for all measures are shown in Table 1. Examination of the intercorrelations suggests several noteworthy patterns. First, the one-tailed correlations among variables were generally low to moderate suggesting the measures used in this study were assessing different constructs. Second, organizational learning culture showed significant correlations with all variables except openness to change. Innovation was correlated with all variables except openness to change and performance self-efficacy. Third, all of the associations were in the expected direction except for openness to change. Contrary to expectations, openness to change was negatively correlated with performance outcome expectations, effort performance-outcome expectations, performance self-efficacy, and performance feedback. This was somewhat surprising to the extent it is reasonable to expect that transfer climates that reflect positive reward orientations (i.e., strong values for performance-related expectations and efficacy beliefs) and relatively strong task support for transfer (performance coaching) would also tend to reflect a willingness to change. This finding suggests that Jordanian employees in organizations with learning-oriented cultures and supportive transfer climates perceived relatively little openness to change (despite rating the level of innovation relatively high).

Table 1. Scale Means, Standard Deviations, Correlations and Coefficient Alphas

Variable	N	%	M	SD	1	2	3	4	5	6	7
1Innovation	443	.79	4.75	.77	--						
2Org Lrn Cult	439	.84	14.06	1.99	.52*	--					
3Open Change	448	.54	2.23	.40	-.01	-.04	--				
4POE	447	.86	3.54	.84	.17*	.23*	-.10*	--			
5TEPE	443	.79	3.90	.63	.21*	.21*	-.15*	.41*	--		
6PSE	449	.80	3.90	.64	.09	.19*	-.26*	.30*	.54*	--	
7Perf Fdbk	449	.80	3.47	.66	.23*	.22*	-.20*	.41*	.33*	.33*	--

The control variables Sector (public vs. private) and Industry type (e.g., high-tech, manufacturing, and service industry sectors) were dummy coded and therefore are not included in this table.

* p # .05

POE (performance-outcomes expectations), TEPE (transfer effort-performance expectations), PSE (performance self-efficacy)

Mediated Model Evaluation

The steps and results of the regression tests for mediation are shown in Table 2. Results from the test of Model 1 show that organizational learning culture was a significant predictor of organizational innovation ($R^2 = .28$, p # .05). Results from the test of Model 2 in which innovation is the dependent showed that, after accounting for the variance explained by the control variables ($R^2 = .04$, p # .05), the learning transfer climate indicators explained a significant amount of variance in perceived organizational innovation ($R^2 = .09$, p # .05). The Model 3 test involved multiple dependent variables (the learning transfer climate indicators) and therefore required the use of multivariate analyses of variance (Manova). In this analysis, after controlling for organizational task and sector, the main effect for organizational learning culture was significant ($F = 9.06$, p # .05). The results from the analysis of these three models support the inference that learning transfer climate as measured by the indicators used in this study mediated the relationship between the organizational learning culture and perceived organizational innovation.

To obtain information about the nature of the mediation, a fourth regression analysis was performed. This model required the use of hierarchical regression in which the learning transfer climate variables were regressed on innovation with organizational learning culture entered as a second step. Results showed that, after entering the control variables, learning transfer climate was a significant predictor of innovation ($R^2 = .09$, $p \leq .05$, and the addition of organizational learning culture significantly increased the variance ($R^2_{change} = .18$, $p \leq .05$). These findings support the inference of a partially mediated model in which organizational learning culture has a direct influence innovation and influences learning transfer climate that in turn influences innovation.

Table 2. Regression Analyses Testing for Mediation

Regression Models	Variables	R^2	F_{model}	df	R^2_{change}
Model 1	Control Variables ⁺	.04	9.49*	2,429	--
	$x^{\dagger} \rightarrow y^{\ddagger\dagger}$.28	53.34*	3,428	.24*
Model 2	Control Variables ⁺	.04	8.32*	2,429	--
	$z^{\ddagger\dagger\dagger} \rightarrow y$.13	8.92*	7,424	.09*
Model 3 ⁺⁺	Control Variables ⁺	.03	2.59	5,420	--
	$x \rightarrow z$.10	9.06*	5,420	.07*
Model 4	Control Variables ⁺	.04	8.54*	2,419	--
	$z \rightarrow y$.13	9.09*	7,414	.09*
	$z \rightarrow y + x$.31	23.24*	8,413	.18*

^KSector & Organizational Task were entered as controls in each of these regression models.

[†] x = Organizational Learning Culture as the predictor

[‡] y = Innovation as the dependent variable

^{††} z = Learning Transfer Climate indicators as the mediator variables

⁺⁺Because of the multiple dependent variables (the learning transfer climate variables) in Model 3 a Manova procedure was used in which the predictor variable (organizational learning culture) was specified as a covariate.

* $p \leq .05$

Summary and Discussion

This study took the perspective that a culture of organizational learning is all about developing and applying intellectual capital in ways that make organizations more productive. More specifically, we suggested that learning and its transfer (application) are principle processes in organizational innovation. We speculated that learning initiatives (e.g., training) and the factors that support the transfer of learning are part of an organizational learning culture that values the creation and sharing of knowledge. This paper reported on an initial exploratory examination of the relationship between organizational learning culture, learning transfer climate, and organizational innovation. The objective was to empirically examine the ability of learning organization culture to account for variance in learning transfer climate and subsequent organizational innovation. Our analysis also sought to examine the role of learning transfer climate as a mediator between learning organization culture and innovation. The results supported the hypothesized partially mediated model. Findings indicated that organizational learning culture can predict learning transfer climates, and that both of these factors can account for significant variance in the perceived innovative capacity of an organization. These findings are consistent with the Kopelman et al. (1990) model of culture, climate and productivity in organizations and suggest that organizational learning cultures may, through human resource and other practices, create learning climates and individual cognitive and affective states that enhance and facilitate innovative double-loop learning in organizations.

Limitations

There are several limitations in this study that deserve mention. First, this study relied on self-report and survey data. Although the correlation matrix indicated a relatively wide range of correlations, most generally consistent with expectations, common method variance could have inflated the correlations or affected the observed relationships in other unknown ways. On the other hand, some researchers have suggested that method bias may not

be as serious a problem as has been assumed (Spector, 1987) and that the seriousness of the bias depends on the research question. For instance, when perceptions are the object of empirical interest, method bias may not be a serious issue (Clark, Dobbins, & Ladd, 1993). Although we do not suspect that method bias significantly affected the pattern of results in this study the use of additional data collection strategies or outcome measures would have strengthened the validity of our findings. Second, the cross-sectional nature of the data as well as the analytical technique employed means that the causal relationships between variables in this study can only be inferred. Cultivating more valid insights about the causal antecedents and effects of learning transfer climate, organizational learning culture, and innovation would benefit from future research employing more rigorous research designs (e.g., longitudinal designs) and analytic techniques more suited to testing causal hypotheses (e.g., structural equation modeling). For example, because learning and its application to performance improvement or innovation is not a one-shot kind of experience (it typically requires some trial-and-error and adaptation) it is possible that the learning transfer climate variables would show a stronger relationship with innovation when assessed from a longer-term perspective.

How This Research Contributes to HRD

The results of this study are important to HRD for several reasons. First, As Kaiser (2000) has noted, the organizational learning literature is "startling unclear" about how learning organization strategies are improve critical organizational outcomes. This research provides an initial glimpse of what may be a valuable linkage between organizational learning culture, learning transfer climate, and innovation. Second, the study links three constructs that have generated a lot of interest in the HRD and organizational behavior literature. We have in effect expanded the nomothetic networks of organizational learning, innovation, and transfer climate and pointed to potentially important relationships between these constructs. Finally, there has been little if any research that has examined variables related to organizational learning, learning transfer, or innovation variables in Arabic cultures such as that found in Jordan. This paper therefore represents an important first step in this kind of cross-cultural research by showing that organizational learning culture, perceived innovation, and several transfer climate constructs can be fruitfully examined in cultures quite different from that in the U.S.

References

- Abbey, A., & Dickson, J. (1983). R & D work climate and innovation in semi-conductors. *Academy of Management Journal*, 26, 362-368.
- Agrell, A., & Gustafson, R. (1994). The Team Climate Inventory (TCI) and group innovation: A psychometric test on a Swedish sample of work groups. *Journal of Occupational and Organizational Psychology*, 67, 143-151.
- Arthur, M. B., & Rousseau, D. M. (1996). *The boundaryless career: A new employment principle for a new organizational era*. New York: Oxford University Press.
- Baron, R. M., & Kenny, D. A. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of Personality and Social Psychology* 51, 1173-1182.
- Bass, B. M., & Avolio, B. J. (1990). The implications of transactional and transformational leadership for individual, team, and organizational development. In W. Pasmore & R. W. Woodman (Eds.), *Research in organizational change and development* (Vol. 4, pp. 231-272). Greenwich, CN: JAI Press.
- Bates, R. A., Holton, E. F. III, & Burnett, M. F. (1999). The impact of influential observations on multiple regression analysis in human resources research. *Human Resource Development Quarterly*, 10(4), 343-364.
- Bluedorn, A. C., & Lundgren, E. F. (1993). A culture-match perspective for strategic change. *Research in Organizational Change and Development*, 7, 7-9.
- Burke, W., & Litwin, G. (1992). A causal model of organizational performance and change. *Journal of Management*, 18(3), 523-545.
- Burningham, C., & West, M. A. (1995). Individual, climate, and group interaction processes as predictors of work team innovation. *Small Group Research*, 26, 106-117.
- Clark, C. S., Dobbins, G. H., & Ladd, R. T. (1993). Exploratory field study of training motivation: Influence of involvement, credibility, and transfer climate. *Group and Organization Management*, 18(3), 292-307.
- Denison, D. (1996). What is the difference between organizational culture and climate? A native's point of view on a decade of paradigm wars. *Academy of Management Review*, 21(3), 619-654.
- Dixon, N. (1994). *The organizational learning cycle: How we can learn collectively*. New York: McGraw Hill.

- Gephart, M., Holton, E., Redding, J., & Marsick, M. (1996). *Assessing strategic leverage for the learning organization*.
- Glick, W. H. (1985). Conceptualizing and measuring organizational and psychological climate: Pitfalls in multilevel research. *Academy of Management Review*, 10(3), 610-616.
- Guns, B. (1996). *The learning organization: Gain and sustain the competitive edge*. San Diego, CA: Pfeiffer.
- Hair, J. F., Anderson, R. E., Tatham, R. L., & Black, W. C. (1998). *Multivariate data analysis* (5th ed.). Englewood Cliffs, NJ: Prentice Hall.
- Holton, E. F., III, & Bates, R. A. (2002). *The learning transfer systems inventory*. Louisiana State University: Office of HRD Research.
- James, L., & Brett, J. (1984). Mediators, moderators, and test for mediation. *Journal of Applied Psychology* 69: 307-321.
- James, L. R., & Jones, A. P. (1976). Organizational structure: A review of structural dimension and their conceptual relationships with individual attitudes and behaviors. *Organizational Behavior and Human Performance*, 16, 74-113.
- Jones, A. P., & James, L. R. (1979). Psychological climate: Dimensions and relationships of individual and aggregated work environment perceptions. *Organizational Behavior and Human Performance*, 23, 201-250.
- Kaiser, S. (2000). *Mapping the learning organization: Exploring a model of organizational learning*. Unpublished doctoral dissertation, Louisiana State University.
- Kaiser, S., & Holton, E. (1998). The learning organization as a performance improvement strategy. In R. Torracca (Ed.), *Proceedings of the Academy of Human Resource Development Conference*, 75-82.
- Kiernan, M. (1993). The new strategic architecture: Learning to compete in the twenty-first century. *Academy of Management Executive*, 7(1), 7-21.
- Kopelman, R. E., Brief, A. P., & Guzzo, R. A. (1990). The role of climate and culture in productivity. In B. Schneider (Ed.), *Organizational culture and climate* (pp. 282-318). San Francisco: Jossey Bass.
- Kotter, J., & Heskett, J. (1992). *Corporate culture and performance*. New York: Free Press.
- Mai, R. (1996). *Learning partnerships: How leading American companies implement organizational learning*. Chicago: Irwin.
- Marquardt, M. (1996). *Building the learning organization*. New York: McGraw Hill.
- Nunnally, J. C., & Bernstein, I. H. (1994). *Psychometric theory*. New York: McGraw Hill.
- Reichers, A. E., & Schneider, B. (1990). Climate and culture: An evolution of constructs. In B. Schneider (Ed.), *Organizational culture and climate* (pp. 5-39). San Francisco: Jossey Bass.
- Schneider, B. (1987). The people make the place. *Personnel Psychology*, 40, 437-453.
- Schneider, B. (1980). The service organization: Climate is crucial. *Organizational Dynamics*, 52-65.
- Schneider, B., & Rentsch, J. (1988). Managing climates and cultures: A futures perspective. In J. Hage (Ed.), *Futures of organizations*. San Francisco: New Lexington Press.
- Senge, P. (1992, March). Building the learning organization. *Journal for Quality and Participation*, 30-38.
- Slater, S., & Narver, J. (1995). Market orientation and the learning organization. *Journal of Marketing*, 59, 63-74.
- Spector, P. E. (1987). Method variance as an artifact in self-reported affect perceptions at work: Myth or significant problem? *Journal of Applied Psychology*, 72, 438-444.
- Watkins, K., & Marsick, V. (1993). *Sculpting the learning organization: Lessons in the art and science of systemic change*. San Francisco: Jossey Bass.
- West, M. A., & Anderson, N. R. (1996). Innovation in tip management teams. *Journal of Applied Psychology*, 81, 680-693.

A Conceptual Exploration of the Antecedents of Organizational Trust

Samuel H. Adams

Albert K. Wiswell

Virginia Polytechnic Institute and State University

Trust is important for organizational learning and performance, but it is often taken for granted or misunderstood by organizations although trust facilitates individual and organizational learning and organizations must continuously learn in order to survive. Developing a better understanding of the antecedent of organizational trust such as adult attachment and emotional self-disclosure (ESD) may provide better understanding of the variance in trust and help leaders to elevate overall levels of trust in their organizations.

Keywords: Organizational Trust, Adult Attachment, Self Disclosure

This paper provides a brief overview of the literature relating to organizational and individual trust and explores the relationships among three constructs: adult attachment, ESD, and organizational trust. The paper opens with a brief introduction to the three constructs and their relationships. It then provides an overview of the literature on organizational trust with an exploration of definitions of trust and a model looking at trust and distrust as separate variables, as well as measurement issues regarding organizational trust.

The paper traces the trust that individuals manifest in organizations to the roots of trusting relationships developed during childhood attachment experience (usually with the mother). The paper then explores ESD and its relationship to organizational trust and adult attachment. The paper concludes with a summary discussion of the three constructs of adult attachment, ESD, and organizational trust, their relationships with each other, and a call for additional research to gain a better understanding of the relationship among the three constructs and especially in the influence of adult attachment and ESD as antecedents or facilitators of organizational trust.

Trust plays a key role in organizational learning and performance (Shaw, 1997), and organizations must learn continuously (Drucker, 1999; Senge, 1990). However, trust is often taken for granted or ignored by organizations, even though organizations have generally declined in their perceived trustworthiness (Tyler & Kramer, 1996). Although trust is important for successful organizational function and distrust is considered deleterious for organizational harmony and performance. Some authors give the impression that little can be done to improve the level of trust among individuals in an organization (Gilley & Maycunich, 1998). For example, Drucker (1999) assumes that trust is present and is important for the exchange of knowledge within organizations and that this exchange is crucial if organizations are to successfully compete and survive (Drucker, 1999). A key part of the discussion of trust that is missing from the management literature is the need to balance the current emphasis on the leader's role in shaping organizational trust by exploring of the origins of an individual's trust that can be traced to childhood experience.

John Bowlby, M.D. (1969), an English psychiatrist, is credited with creating attachment theory and contends that childhood attachment to a significant caregiver (usually the mother) is biologically rooted and is crucial for a child to develop trust. Other research confirms the biological basis of attachment (Hinde, 1982). Furthermore, the propensity to trust learned during childhood substantially influences a person's lifetime relationships (Ainsworth, 1989; Bowlby, 1969, 1988). As a result of her research, Klohnen noted that attachment styles developed in childhood tend to be resilient throughout life (Klohnen & Bera, 1998). In family therapy, attachment theory is often associated with therapy provided to couples that have distressed relationships. The therapist's grasp of attachment theory provides a basis for understanding the distress experienced by the couple as well as a basis for providing beneficial therapy, such as emotionally focused therapy (Johnson, Makinen, & Millikin, 2001).

Erikson (1997), in describing the stages of human development extending from childhood through adulthood, sees the need to develop trust and avoid distrust as the first developmental hurdle facing the individual. Bowlby focuses on attachment as a prerequisite for secure relationships later in life. Erickson uses slightly different terminology, but his message is the same: Normal human development is based on the ability to trust. He also asserts that individuals who fail to develop trusting relationships will find their personal development stunted because of a lack of trust (Erikson, 1997).

Copyright © 2004 Samuel H. Adams & Albert K. Wiswell

We know from Bowlby's work as well as the work of other authors that childhood attachment has a profound influence on an individual's ability to develop trusting relationships, including friendships, throughout life (Klohn & Bera, 1998). Based on the work of Chelune, Petronio, and Pistole, we know that ESD also facilitates bonding between individuals in a dyadic relationship by helping people to build friendships and that the willingness to self-disclose on a reciprocal basis is based on a feeling of trust in the target of the self-disclosure (Chelune, 1979; Petronio, 2000; Pistole, 1993). Self-disclosure in relationships tends to be reciprocal and to occur progressively over time and helps individuals to form friendships and intimate relationships. These friendships and relationships are formed in part through the process of sharing personal and sensitive information with each other in steps that could be viewed as part of a bonding or attachment process. The amount and content of one's ESD could be viewed, in part, as a behavioral manifestation of one's adult attachment.

Based on the work of Erikson and Bowlby, it is clear that the capacity to trust is very important for individual development of satisfying relationships that nurture personal growth, and based on the work of Chelune and others, we know that ESD facilitates bonding between individuals and the formation of friendships and intimate partnerships. Trust is also crucial for organizational learning and performance (Reina & Reina, 1999). However, we do not understand how childhood attachment, ESD, and the individual's propensity to trust influence an individual's behavior in organizations, including interpersonal networking and sharing of information, which are crucial for individual as well as organizational learning.

Because there has been a substantial body of qualitative literature developed particularly over the last 10 years, some well-designed quantitative studies similar to the one conducted by Korsgaard may help to advance our understanding of trust and clarify some of these contentious issues (Korsgaard, Broadt, & Whitener, 2002). Before proceeding with a discussion of organizational trust, it would be helpful to examine a definition of trust.

An Overview of the Literature on Trust

There is no agreement among prominent authors on a single definition of individual or organizational trust (Kurstedt, 2002). This lack of agreement on a definition of trust means that different authors not only perceive trust in different ways (often in the context of their academic domains), but also that they discuss different constructs when they speak of trust. This use of multiple definitions of trust contributes to part of the confusion in the literature because authors use the same or similar terms to describe different constructs, rather like the four blind men each with a hold on a different part of the elephant and arguing about the shape of the elephant from his own perspective. One definition of trust developed by Shockley-Zalabak and associates captures a view of organizational trust and provides an introduction to the complexities of defining trust and conducting research on trust. Their view of trust presumes that trust and distrust are opposite ends of a single variable and are inversely related to each other. We will also examine a model of trust and distrust presented by Lewicki, McAllister, and Bies (1998) from the management literature that is based on the contention that trust and distrust are separate but linked dimensions.

The Shockley et al. definition focuses on the willingness to risk becoming appropriately vulnerable in order to achieve commonly held goals and is based on four factors developed by another researcher (Mishra, 1996). The definition connects trust to the accomplishment of individual, group, and organizational goals. Implicit in this definition is the understanding that risk is present and that blindly giving trust may bring harm rather than benefits to the individual (Kramer, 1999). Shockley defines trust as follows:

The organization's willingness, based on its culture and communication behaviors in relationships and transactions, to be appropriately vulnerable if it believes that another individual, group or organization is competent, open, and honest, concerned, reliable, and identified with common goals, norms and values. (Shockley-Zalabak, Ellis, & Cesaria, 2000) (p. 8)

As a part of their research, Shockley et al. also developed a model consisting of five factors and an instrument consisting of 29 items. The five factors are (a) competence; (b) open and honest communication; (c) concern for employees; (d) reliability; and (e) sharing of common goals, norms, and values. The breach of any one of these factors can damage the individual's perception of trust. Trust is engendered by shared values, and a perception that teams within an organization do not share similar values can lead to distrust and deteriorating organizational performance (Sitkin & Stickel, 1996).

Although the Shockley-Zalabak et al. instrument appears to be useful in measuring organizational trust, it does have three shortcomings. First, although they used structural equations modeling and path analysis to develop a

model of organizational trust, job satisfaction, and effectiveness, her discussion of the model is brief. It is not clear what the relationship is between the five trust factors she identifies and organizational trust. Second, we found no table showing how the items in their instrument loaded to the factors in their model that would have been helpful for the reader to understand that there were no problems such as cross loadings of the items that could have reduced the reliability of the instrument.

Third, we found no factor analysis in their report that displayed the correlations between the factors that make up trust in her model. There may be correlations between the five factors they identified (e.g., between concern for employees and reliability) that could be strong enough to raise questions as to whether multicollinearity (Allison, 1999) could have influenced the results she reported. Although we requested that the authors provide us a factor loading table and a correlation matrix, we did not receive either of these tables.

Shockley-Zalabak et al. view trust and distrust as opposite extremes of a single variable as do many of the authors of the literature on trust. However, Lewicki et al. present a different view. Their model is based on the assertion that an individual may approach a situation in an organization with both trust and distrust simultaneously and that trust and distrust are separate variables.

A Model of Trust and Distrust (Lewicki, McAllister, & Bies, 1998)

Lewicki et al. state that trust implies risk. They define trust quite differently from Shockley and also links trust to distrust. They define trust as “confident positive expectations regarding another’s conduct,” and they define distrust as “confident negative expectations regarding another’s conduct” (Lewicki et al., 1998) (p. 439). They also provide a model (Table 1) that is useful for examining trust in individuals and organizations and for showing how trust may change over time. They draw the connection between individual trust and the collective trust that constitutes organizational trust and states that trust provides a foundation for social order. Their model demonstrates the interplay of trust and distrust in interpersonal transactions encountered in the workplace. They also focus their model at the interpersonal level consistent with his view that trust is established between individuals. They also explain that trust and distrust are two dimensions that are interconnected, that they exist along indefinite continuums, and that both are often present in interpersonal situations.

The discussion of Lewicki et al. provides important insight into individual’s behavior in organizations that may reflect contextual influences. For example, an individual’s perception of whether he or she could trust a supervisor or upper level manager may be heavily influence by the salience and recency of experience with that person. This is particularly true because trust is fragile and once damaged is difficult to restore (Kurstedt, 2002). Trust can also be influenced by organizational culture which tends to be developed over time and may be particularly shaped by the initial leaders of an organization (Schein, 1996). Specifically, the Lewicki et al. model is useful for developing a better understanding of the behavioral dynamics and ambiguities of trust and distrust in an organizational situation. For example, when high trust and low distrust are present, new initiatives can be undertaken and opportunities pursued (Quadrant 1). Under conditions of high trust and low distrust, individuals tend to perceive each other as partners pursuing common objectives. They are also likely to identify with the values of their partner as well as have positive affect for their partner. Partners within organizations are likely to manifest their support for each other through expressions of appreciation, support, and encouragement and to promote positive interdependence in part by monitoring and acting to repair the trust bond between them. On the other hand, when high distrust and low trust exist between individuals, harmful motives on the part of others are assumed and defensive reactions predominate (Quadrant 4).

The presentation of Lewicki et al. in this table ties to extensive research by other researchers who conclude that many individuals, including managers, in organizations operate in a defensive manner and tend to focus on their own best interests (Argyris, 1993). Argyris also points out that the defensive actions taken by individuals in organizations can contribute to a disparity between espoused values and the values in use in the organization and that defensiveness can also hinder organizational learning. The observation of Lewicki et al. that trust and distrust are often both present at the same time also connects to the observation that it is often wise to be wary in the workplace (Kramer, 2002).

Although the Lewicki et al. model is helpful in understanding trust, it also has three shortcomings. In fairness, they may have considered a discussion of some of these issues to be beyond the scope of his article. First, they do not explain why some individuals have a higher level of trust when approaching a given situation. According to Duffy, some of this propensity to trust could be explained by developing a better understanding of attachment theory (Duffy, Lafferty, & Lafferty, 2001). Second, the model is somewhat simplistic because it places individual reactions into four distinct categories and thereby omits ambivalent reactions that do not fit neatly into one of the four categories. Although Lewicki et al. discuss ambivalence, his model nevertheless provides a general and simple presentation of an individual response that tends to sacrifice accuracy (Weick, 1979). Third, the model is biased

toward high trust and low distrust as a desirable approach to a situation for an individual. However, this may not be the most prudent approach for an individual to take. Lewicki does not sufficiently discuss when wariness may be advisable for an individual confronting a given situation (Kramer, 2002).

Table 1. *Integrating Trust and Distrust.*

High Trust Characterized by Hope, Faith, Confidence, Assurance, Initiative	Quadrant 1 High Value Congruence, Interdependence Promoted, Opportunities Pursued, New Initiatives	Quadrant 2 Trust but Verify, Relationships Highly Segmented and Bounded, Opportunities Pursued, Down-side Risks/Vulnerabilities Continually Monitored
Low Trust Characterized by No Hope, No Faith, No Confidence, Passivity, Hesitance	Quadrant 3 Casual Acquaintances, Limited Interdependence, Bounded, Arms-length Transactions, Professional Courtesy	Quadrant 4 Undesirable Eventualities Expected and Feared, Harmful Motives Assumed, Interdependence Managed, Preemption: Best Offense is a Good Defense, Paranoia
	Low Distrust Characterized by No Fear, Absence of Skepticism, Absence of Cynicism, Low Monitoring, No Vigilance	High Distrust Characterized by Fear, Skepticism, Cynicism, Weariness and Watchfulness, Vigilance

Note: Adapted from Lewicki et al., 1998

Despite its shortfalls, their model does provide important insights regarding the behavior of individuals in an organization. They state that the view commonly expressed in the literature that trust and distrust are opposite ends of the same variable is an incorrect view and asserts that trust and distrust are separate but linked variables. Although the views of Lewicki et al. regarding trust are intriguing, his work is at the theory-building stage of development, and we have not seen any quantitative empirical work that confirms the accuracy of his view of trust and distrust. Although it is intriguing to view trust and distrust consistent with their theory, additional research needs to be done to demonstrate that these are indeed separate variables and that they are not so heavily correlated with each other that they in fact need to be viewed as opposite extremes of a single variable.

Attachment and the Development of Adult Relationships

Bartholomew and Horowitz (1991) build on the work of Bowlby and develop a grid (Table 2) to help explain adult behavior based on attachment. They state that individuals who develop secure attachments in early childhood tend to be secure individuals later in life and that their relationships can be characterized by low dependency on others as well as positive regard for others. They further state that these individuals tend to have relationships that are comfortable, with a good balance between intimacy and autonomy. On the other hand, individuals who do not develop secure attachments during early childhood may have relationships characterized by fear of intimacy and avoidance of social contact. They say that the latter group of individuals tends to have relationships marked by a negative view of self and others as well as a high degree of dependency (Bartholomew & Horowitz, 1991). The therapist's grasp of attachment theory can provide a basis for understanding the distress experienced by the adult couple as well as a foundation for needed therapy (Johnson, 1999). The therapy provided for these couples often focuses on working with each of the partners in the relationship to facilitate open communication of caring feelings to reduce the partners' sense of hopelessness and pain and to restore trust and affection to the relationship. Just as secure attachment and trust are crucial for healthy and less stressful relationships between individuals, trust is also the glue that helps to hold relationships together in the workplace (Gibb, 1991). In order to more fully understand the implications of attachment for adult relationships, it would be useful to examine Bartholomew's model that provides insight into adult attachment and into how individuals approach their relationships.

Table 2. Bartholomew and Horowitz' Model of Adult Attachment

(Level of Dependence)		Model of Self	
		Positive (low)	Negative (high)
Perception of Other Positive (low avoidance)		Cell 1 Secure Comfortable with intimacy and autonomy	Cell II Preoccupied Preoccupied with relationships
Perception of Other Negative (high avoidance)		Cell III Dismissing Dismissing of intimacy Counter-dependent	Cell IV Fearful Fearful of intimacy Socially avoidant

Note: Adapted from Bartholomew and Horowitz (1991)

The model of Bartholomew and Horowitz is quite helpful in providing a framework for understanding how individuals tend to approach intimate relationships. It does, however, have two primary weaknesses. First, it is limited in its representation of complex human behaviors. Their model provides simplified categories for understanding behaviors, but it does not address ambivalent responses that fall between the categories. For example, what cell does an individual fit into who has not had a secure childhood attachment and is preoccupied with relationships (consistent with Cell II) but who still relishes the intimacy and autonomy offered by a stable marriage (consistent with Cell I)? General and simple explanations are more easily grasped, but they sacrifice accuracy because they are overly simplistic (Weick, 1979). Second, their model and discussion do not explain how someone can repair weak attachment bonds developed during childhood in order to achieve the secure attachments they crave in intimate and autonomous relationships. In fairness, however, they may have felt that exploring this issue was outside the scope of their article. Nevertheless, the thrust of their model is consistent with the findings of other researchers who observe that a secure person tends to approach relationships in the workplace in an open and friendly manner and that this approach helps to provide the basis for a virtuous cycle of trust (Kurstedt, 2002). This open and friendly approach also makes possible the networking between individuals and the formation of bonds of trust that facilitate individual learning as well as organizational learning (Senge, 1990).

The Connections of Adult Attachment, ESD, and Trust

Some connections between adult attachment, ESD, and organizational trust have been made in the literature. For example, secure attachment may lead to increased prosocial behaviors by employees and reduced turnover (O'Reilly III & Chatman, 1986), however, O'Reilly and Chatman do not explore the connection to attachment theory. However, other researchers do connect attachment and ESD in his research and have found that the securely attached are better able to emotionally self-disclose in an appropriate way that facilitates the development of friendships (Mikulincer & Nachshon, 1991). Other researchers have also made the connection between the propensity to trust that is developed during childhood and the propensity to engage in ESD (Vangelisti & Banski, 1993).

Although there is a basis for connecting the constructs of attachment and ESD in order to better understand organizational trust, the limited discussion of the constructs in the literature, and these discussions are usually focused within particular academic domains, and as a result we have a limited understanding of the antecedents of organizational trust. For example, authors in family systems focus on attachment theory for its value in understanding the disturbed attachment between partners in a couple (Johnson & Sims, 2000) or in order to understand the emotional needs of those seeking therapy (Pistole, 1999). An exception has been the work of two researchers, who noted, based on their study, that there was a "modest linear relationship between individual trust and various dimensions of self-disclosure" (Wheless & Grotz, 1977) (p. 250). As a part of a body of work on the connections between ESD and trust, Wheeler develops instruments for measuring the solidarity between individuals, ESD, and a generalized ESD that he calls disclosiveness (DS) (Wheless, 1978). However, as a part of his work, Wheless does not explore the connections between individual trust and trust in organizations.

There has been considerable interest in ESD in the fields of communications and social and personal relations, but little has been written about ESD in the field of management science. Some management literature has been focused on the commercial advantages that can accrue from ESD, for example, on how insurance agents can use ESD as a way of cementing long-term relationships with clients (Jacobs, Hyman, & McQuitty, 2001). The article explores the commercial advantages of self-disclosure from the perspective of self-presentation and relationship

manipulation rather than focusing on emotional benefits that may accrue to the agent as a result of forming a friendship bond with a client. If the target of the ESD detects the attempt at manipulation, the target could feel a diminished level of trust in the individual who is disclosing. Other authors have noted that there are organizational benefits that can be attained from ESD such as information sharing, teamwork, and productivity (Baird, 1977; Rawlins, 1992). Hossack also explores ESD by leaders in an organization that presents the perspective that leaders who are willing to self-disclose tend to be more certain of themselves and more self-confident than those leaders who avoid self disclosure (Hossack, 1993). In his article, Hossack notes that in order to be willing to emotionally self-disclose, the leader had to be willing to risk vulnerability. Unfortunately, the article is very brief and does not provide information regarding the responses of 150 Canadian leaders to the author's questionnaire or any of the details from his interviews with 15 leaders of private sector companies. Hossack also does not explore the potential negative consequences that can arise as a result of the inappropriate disclosure of sensitive information (Ubel et al., 1995). Although trust is often associated with the willingness to risk vulnerability through ESD, Hossack does not directly discuss individual trust in the article. Rather he focuses on the connection between the leaders' self-disclosure and their relatively high levels of self-confidence.

A Proposed Research Agenda

Future research on trust needs to concentrate on three specific areas. First, after the extensive and dispersed theory building of the past 10 to 15 years, the study of organizational trust would benefit from researchers making an effort to arrive at a common conceptual understanding of the construct of organizational trust and to develop a commonly shared framework for exploring organizational trust.

Second, researchers need to build on the work of their colleagues in the field of organizational trust. For example, there are now three instruments for measuring organizational trust that are identified as the OTI. Three different researchers developed instruments since 1995 and have given their different instrument the same acronym. Not only did they not build on each other's research work in developing and refining an instrument for measuring organizational trust, they also added to confusion in the field by labeling their instrument as the OTI.

Third, the bulk of the research on organizational trust has focused on individual demographic characteristics and the characteristics of organizations rather than exploring underlying individual dimensions such as adult attachment and the propensity to self-disclose. More attention is paid to overall measures than to explaining the variance observed within organizations. Future research on organizational trust would benefit from an interdisciplinary review of the antecedents of trust that would increase our understanding of the propensity to trust that individuals bring with them to the workplace. This understanding could facilitate interventions in organizations and increase trust levels thereby contributing to increased productivity and the achievement of organization's strategic goals. Specifically, the authors of this paper propose to focus a study on the question: What portion of the variance in employee's perception of organizational trust is explained by employee's adult attachment and disclosiveness (general self-disclosure)?

In order to explore the relationships between the three constructs of adult attachment, generalized self-disclosure, and organizational trust, the authors will use valid and reliable instruments to gather data from two Washington, D.C. metro area organizations, one commercial contractor and one trade organization. Participants from the respective organizations will all be volunteers and the samples will be convenience samples. The data collected will be analyzed using statistical techniques including hierarchical multiple regression. This research study is currently underway and data collection is complete.

Conclusion

Trust is multifaceted and complex. Based on the work of Erikson and Bowlby, we know that the capacity to trust is very important for individual development of satisfying relationships that nurture personal growth. Additionally, based on the work of Chelune and Petronio, we know that ESD facilitates bonding between individuals by helping people to build friendships and that the willingness to self-disclose is based on a feeling of trust in the target of the self-disclosure (Chelune, 1979; Petronio, 2000). Self-disclosure in relationships tends to occur progressively over time and helps individuals to form friendships and intimate relationships based in part on the process of sharing personal and sensitive information with each other in progressive steps that could be viewed as a part of a bonding or attachment process.

Trust is also crucial for the sharing of information and networking in the workplace and is one of the keys for individual learning as well as for organizational learning (Reina & Reina, 1999). However, we have an incomplete

understanding of the nexus between adult attachment, ESD, and organizational trust. There are real consequences to our limited understanding. Based on the work of Lewicki, Kurstedt, Senge, and other authors, it is clear that trust is crucial for individual learning, the sharing of information, and the development of productive team relationships. At least on an intuitive level, there appears to be a connection among these constructs of adult attachment, ESD, and organizational trust. However, in the literature, the discussion appears to have been largely confined to particular academic domains, and few authors have ventured into a broader discussion so that the scholarly community could benefit from a more comprehensive understanding of the connections among these constructs. Our research project that is currently underway may help to clarify how much of the variance in organizational trust is explained by key antecedents, adult attachment and ESD.

References

- Ainsworth, M. (1989). Attachments beyond infancy. *American Psychologist*, 44(4), 709-716.
- Allison, P. (1999). *Multiple regression: A primer*. Thousand Oaks, CA: Pine Forge Press.
- Argyris, C. (1993). *Knowledge for action*. San Francisco: Jossey-Bass.
- Baird, J. (1977). *The dynamics of organizational communication*. New York: Harper & Row.
- Bartholomew, K., & Horowitz, L. (1991). Attachment styles among young adults: A test of a four category model. *Journal of Personality and Social Psychology*, 61(2), 226-244.
- Bowlby, J. (1969). *Attachment and loss* (Vol. 1). New York: Basic Books.
- Bowlby, J. (1988). *A secure base: Parent-child attachment and human development*. New York: Basic Books.
- Chelune, G. (1979). *Self-disclosure: Origins, patterns, and implications of openness in interpersonal relationships*. San Francisco: Jossey-Bass.
- Drucker, P. (1999). Knowledge-worker productivity: The biggest challenge. *California Management Review*, 41(2), 79-93.
- Duffy, C., Lafferty, C., & Lafferty, B. (2001). Organizational trust and attachment to an immediate leader: A pilot study. *AHRD Conference Proceedings, Symposium 6*, 18-25.
- Erikson, E. (1997). *The life cycle completed*. New York: W. W. Norton.
- Gibb, J. (1991). *Trust: A new vision of human relationships for business, education, family, and personal living*. North Hollywood, CA: Newcastle.
- Gilley, J., & Maycunich, A. (1998). *Strategically integrated HRD*. Cambridge, MA: Perseus.
- Hinde, R. (1982). Attachment: Some conceptual and biological issues. In C. Parkes & J. Stevenson-Hinde (Eds.), *The place of attachment in human behavior*. New York: Basic.
- Hossack, R. (1993). A new style of leadership. *Canadian Business Review*, 30-34.
- Jacobs, R., Hyman, M., & McQuitty, S. (2001). Exchange-specific self-disclosure, social self-disclosure, and personal selling. *Journal of Marketing Theory and Practice*, 9(1), 48-62.
- Johnson, S. (1999). Emotionally focused couple therapy. In J. Donovan (Ed.), *Short-term couple therapy* (pp. 13-42). New York: Guilford.
- Johnson, S., Makinen, J., & Millikin, J. (2001). Attachment injuries in couple realtionships: A new perspective on impasses in couples therapy. *Journal of Marital and Family Therapy*, 27(2), 145-155.
- Johnson, S., & Sims, A. (2000). Attachment theory: A map for couples therapy. In T. Levy (Ed.), *Handbook of attachment interventions*. San Diego: Academic Press.
- Klohnen, E., & Bera, S. (1998). Behavioral and experimental patterns of avoidantly and securely attached women across adulthood: A 31-year longitudinal study. *Journal of Personality and Social Psychology*, 74(1), 211-223.
- Korsgaard, M., Broadt, S., & Whitener, E. (2002). Trust in the face of conflict: The role of managerial trustworthy behavior and organizational context. *Journal of Applied Psychology*, 87(2), 312-319.
- Kramer, R. (1999). Trust and distrust in organizations: Emerging perspectives, enduring questions. *Annual Review of Psychology*, 50, 569-598.
- Kramer, R. (2002). When paranoia makes sense. *Harvard Business Review*, 80(7), 62-69.
- Kurstedt, H. (2002, October). *How do we design for trust?* Paper presented at the Proceedings from the 2002 American Society of Engineering Management National Conference, Tampa, FL.
- Lewicki, R., McAllister, D., & Bies, R. (1998). Trust and distrust: New relationships and realities. *Academy of Management Review*, 23(3), 438-458.
- Mikulincer, M., & Nachshon, O. (1991). Attachment styles and patterns of self-disclosure. *Journal of Personality*

- and Social Psychology, 61*(2), 321-331.
- Mishra, A. (1996). Organizational response to crisis: The centrality of trust. In R. Kramer & T. Tyler (Eds.), *Trust in organizations* (pp. 261-287). Thousand Oaks, CA: Sage.
- O'Reilly III, C., & Chatman, J. (1986). Organizational commitment and psychological attachment: The effects of compliance, identification, and internalization on prosocial behavior. *Journal of Applied Psychology, 71*(3), 492-499.
- Petronio, S. (2000). The boundaries of privacy: Praxis of everyday life. In S. Petronio (Ed.), *Balancing the secrets of private disclosures* (pp. 37-50). Mahwah, NJ: Erlbaum.
- Pistole, C. (1993). Attachment relationships: Self-disclosure and trust. *Journal of Mental Health Counseling, 15*(1), 94-106.
- Pistole, C. (1999). Caregiving in attachment relationships: A perspective for counselors. *Journal of Counseling and Development, 77*(4), 437-446.
- Rawlins, W. (1992). *Friendship matters: Communication, dialectics, and the life course*. New York: Aldine De Gruyter.
- Reina, D., & Reina, M. (1999). *Trust and betrayal in the workplace*. San Francisco: Berrett-Koehler.
- Schein, E. (1996). Culture: The missing concept in organizational studies. *Administrative Science Quarterly, 41*(2), 229-240.
- Senge, P. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday.
- Shaw, R. (1997). *Trust in the balance*. San Francisco: Jossey-Bass.
- Shockley-Zalabak, P., Ellis, K., & Cesaria, R. (2000). Highlights from measuring trust: A diagnostic survey and international indicator. *Communication World* (August-September), 7-9.
- Sitkin, S., & Stickel, D. (1996). The road to hell: The dynamics of distrust in an era of quality. In R. Kramer & T. Tyler (Eds.), *Trust in organizations* (pp. 196-215). Thousand Oaks, CA: Sage.
- Tyler, T., & Kramer, R. (1996). Whither trust? In R. Kramer & T. Tyler (Eds.), *Trust in organizations* (pp. 1-15). Thousand Oaks, CA: Sage.
- Ubel, P., Zell, M., Miller, D., Fischer, G., Peters-Stefani, D., & Arbold, R. (1995). Elevator talk: Observational study of inappropriate comments in a public space. *The American Journal of Medicine, 99*, 190-194.
- Vangelisti, A., & Banski, M. (1993). Couples' debriefing conversations: The impact of gender, occupation, and demographic characteristics. *Family Relations, 42*(2), 149-157.
- Weick, K. (1979). *The social psychology of organizing*. New York: Random House.
- Wheless, L. (1978). A follow-up study of the relationships among trust, disclosure, and interpersonal solidarity. *Human Communication Research, 4*(2), 143-157.
- Wheless, L., & Grotz, J. (1977). The measurement of trust and its relationship to self-disclosure. *Human Communication Research, 3*(3), 250-257.

Diagnosing the Learning Capacity of a Financial Services Institution

Wayne Connell

Dana Papke

Robert Stanton

Susan Wise

The George Washington University

The Organizational Learning Systems Model (OLSM) is a dynamic model for understanding the various forces that contribute to an organization's ability to learn and sustain itself over time. This study shows that by combining organizational diagnostic tools with the unifying lens of the OLSM, it is possible to uncover an organization's learning capacity.

Keywords: Organizational Learning, Organizational Diagnosis, Organizational Culture

Why does one organization thrive and survive beyond its faltering peer when both organizations compete in the same industry using similar resources and access to similar information? Does one simply outperform the other? Does one have a special capacity to learn faster and hence change more quickly than the other? Is competitive advantage just a matter of developing superior products?

Most organizations tend to direct their energies toward improving performance in an effort to sustain and even expand their position in the marketplace. In the case of the client studied, encroaching competition during the mid-1990s threatened the market position and forced the client to mount a massive cultural transformation. They sought to change their traditional service into a high-performing sales organization in order to compete more aggressively. Over the course of a four-year span, the institution dedicated most of its resources to create a change in performance. This study will judge the effectiveness of the change effort with a different lens. Instead of examining performance, learning capacity is assessed using a variety of organizational learning tools and methods.

Specifically, this study articulates the key questions to be addressed, clarifies client expectations, reviews relevant literature, identifies the approach and methods conducive to the diagnosis, gathers data through multiple vehicles, organizes and interprets the data, establishes learning capacity, provides feedback and options to the client, makes specific recommendations, and suggests strategies for implementation.

Research Question

To effectively assess learning capacity, it is important to first understand the industry and the environment in which the client operated. By the late 1990s, “[the industry] was no longer going to do a reasonable amount of business because [locations] were on the busiest corner or had the prettiest sign” (Sullivan, 1997). The industry realized that a “shift in focus [was] needed because increasing competition …[was] making them realize they [had] to take initiative to bring in new customers” (Sullivan, 1997). This realization created the “sales culture movement,” an effort for both large and small organizations to “stay in the game for the longer term” (Kimelman, 1999). Because of the thriving economy throughout the 1990s, it is difficult to attribute successes directly to these cultural transitions. What is certain is that the primary emphasis of the industry was on reshaping performance. The focus was on performance measures—volume, referrals, and product sales, for instance—as the tools to gauge the success of their change efforts.

This institution adopted a similar approach to culture change. Due to encroaching competition, the client followed in the footsteps of many of its peers by introducing a sales culture. Such a transformation meant changing the focus of customer interactions from exclusively service to a more balanced approach of both sales and service. Associates were asked to identify needs and recommend additional products and services in an effort to reduce the likelihood that customers would take their business to competitors. Similar to others in the industry, the focus was on performance emphasizing measures such as the cross-sell ratio, product volume, and referral numbers to gauge the success of the change.

Using this initiative as a backdrop, this diagnosis answers the question: What was the learning capacity of the client during its transition to a sales culture? The study examines trends and patterns during a four-year period beginning with the launch of the change effort in 1999 and continuing through year-end 2002.

Client Expectations

As a dominant market shareholder, the client’s sole purpose in undertaking a cultural change effort was to quell

Copyright © 2003 Wayne Connell, Dana Papke, Robert Stanton, & Susan Wise

the impact of encroaching competition while preserving its market dominance and its overall market success. These issues are at the core of the expectations regarding a post-hoc analysis of the transformation from a traditional service into a high-performing sales organization. The client wanted to determine whether its efforts over the course of the change were enough to create lasting, sustained results.

During the four years studied, the leadership remained fully committed to supporting its cultural transformation. However, questions remained regarding the adaptability of the staff to the change effort and the cultural change's impact on the long-term competitive position. In order to penetrate these issues, a post-hoc analysis was conducted. From this analysis, the client hoped to garner insight into the feasibility of maintaining its long-term competitive edge by assessing the organization's overall learning capacity relative to its change into a high-performance sales culture.

Theoretical Framework

Beginning in the late 1970s, the concepts of "organizational learning" and "the learning organization" became increasingly influential as ways of examining and prescribing how organizations might respond to contemporary economic and social conditions (Marsick & Watkins, 1999). These conditions are ones where the rate of change faced by organizations is increased through the advent of globalization, information technology, and the importance of knowledge as the source of competitive advantage.

Organizations must continually learn and adapt in order to survive and prosper and it is in this context that the field of organizational learning has developed. Daft and Weick's (1984) Model of Organizations as Interpretation Systems uses two central variables to differentiate types of organizations based on their interpretation patterns: "(1) management's beliefs about the analyzability of the external environment and (2) the extent to which the organization intrudes into the environment to understand it" (p. 287). Using these variables, the model provides a means to describe the different ways organizations obtain knowledge about the environment. Thus, organizations can be categorized according to their interpretation modes. Through the interpretation process, organizations develop specific ways to scan their environment, in turn influencing organizational outcomes such as strategy and decision-making.

Fiol and Lyles (1985) expanded the field's body of knowledge by defining organizational learning as "the process of improving actions through better knowledge and understanding" (p. 803). The authors distinguish between organizations that respond to their environments based on a reflective understanding of past actions versus those that simply engage in unreflective, reactionary changes. Fiol and Lyles also argue for the need to build cohesion around key terms such as learning, adaptation, and change if the field is to progress. The core of their model centers around four contextual factors impacting the probability that organizational learning will occur: culture, strategy, structure, and the environment. These factors provide a framework for addressing the health of an organization's learning system.

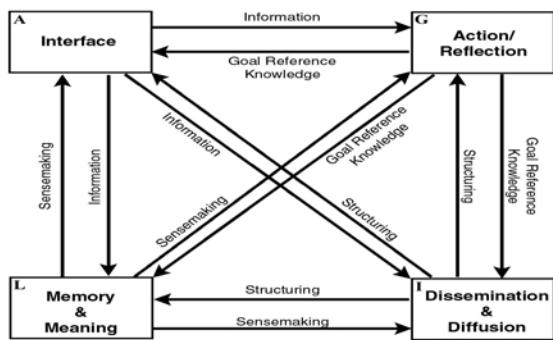
Senge provided some of the cohesion called for by Fiol and Lyles. Senge proposed that the only sustainable source of competitive advantage for an organization is its ability to learn faster than its competition. He draws a blueprint for organizations where individuals expand their capacity to create results and collective aspiration is set free through the development of five key disciplines: personal mastery, mental models, shared vision, team learning, and systems thinking (1990).

In the aftermath of Senge's contributions, many theorists built on his work, including Huber who related four constructs to organizational learning (knowledge acquisition, information distribution, information interpretation, and organizational memory) and Kim who developed an integrated model of organizational learning by linking it to individual learning and the pervasive impact of mental models (1991, 1993). The models developed throughout the 1980s and 1990s were largely descriptive, however, focusing more on what to do and why it should be done than on how to actually do it. To compound matters, the field lacked cohesion among its many disparate elements. Schwandt and Marquardt finally addressed these gaps in the field through the development of a cohesive, dynamic model that contained the necessary complexity to address organizations' complex adaptive capacities—the Organizational Learning Systems Model (OLSM) (see Figure 1) (2000).

Based on Parsonian social action theory, the OLSM reveals that organizations must adapt to their environments, achieve their goals, integrate their various functions, and maintain those behaviors essential to their survival and prosperity. Schwandt and Marquardt built on Parson's premise by delineating these elements into four subsystems that comprise an organization's learning system: the Environmental Interface (EI) subsystem (the adaptation function), the Action/Reflection (AR) subsystem (the goal attainment function), the Dissemination and Diffusion (D&D) subsystem (the integration function), and the Meaning and Memory (M&M) subsystem (the pattern maintenance function). Each of these subsystems produces a critical output, or interchange medium—new

information, goal reference knowledge, structuring, and sensemaking, respectively—which in turn interact with, inform, and impact the other three subsystems in a dynamic, non-linear way. The interdependent relationships between the subsystems form the basis of the first holistic model in the field of organizational learning.

Figure 1



D.R. Schwandt & M. J. Marquardt (2000)

Method of Analysis

Despite the OLSM's capacity to analyze organizational complexity, developing a robust understanding of the client's learning capacity required two additional tools. First, Lewin's Force Field Analysis was utilized to uncover those factors working both for and against the success of the change. Second, Daft and Weick's Model for Organizations as Interpretation Systems was used to understand how the client perceived and interacted with its environment. In both of these analyses, the focus of the diagnosis was on the first year of the change, 1999. Special emphasis was placed on this first year in an effort to gain greater insight into the learning capacity at the outset of the change, as well as create a baseline against which to measure the evolution of its learning capacity over the course of the four-year change effort. Finally, the four subsystems of the OLSM were employed to organize the data and interpret the interchange media collected throughout the four-year transformation.

Because this study was post hoc, avenues for gathering data were limited to those involved throughout the change and existing secondary data. As a result, data were gathered through two primary means. The first was one-on-one phone interviews with senior leaders and managers integral to the change effort's implementation. The following questions were asked: (a) at the outset of the change, what driving forces supported movement from an order-taking/operational culture to a sales-and-service culture, (b) at the outset of the change, what forces impeded or restrained movement from an order-taking/operational culture to a sales-and-service culture, (c) to what extent were you aware of the forces at work—both for and against the change effort—at the outset of the initiative, and finally, (d) how did you overcome the forces working against the change effort?

Second, an analysis of comprehensive secondary data was conducted to capture the progression of the change effort during the four-year period. Extant data included project criteria and obstacles, progress reviews, internal communications and updates, reports to and from external consultants, training design and content, workshop evaluations, field results and measurements, focus group reports, expense tracking, and meeting minutes. Variables were assessed quantitatively by tallying data into themes, as well as qualitatively by considering the relative significance or strength of each theme that emerged. These data afforded a glimpse at both the formal and informal workings of the organization.

Findings

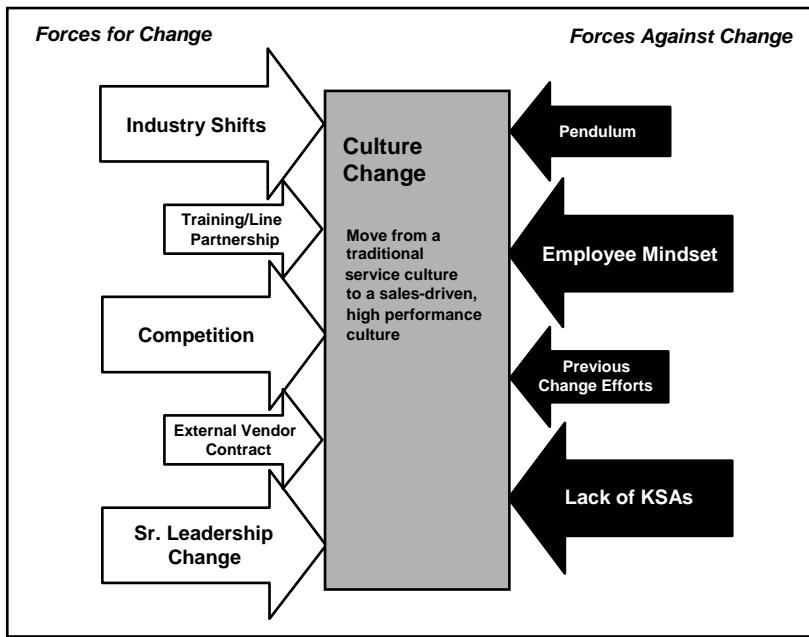
Force Field Analysis Findings

In the force field analysis, three major forces emerged as drivers toward the new culture. First, in the mid-1990s the industry shifted from a traditional service culture to a sales-focused, high performance culture. Second, as a result of the shift, larger, more aggressive, national competitors expanded their operations. Lastly, a change in the senior leadership team was a central driving force fueling the shift from a day-to-day operations focus to a sales focus. This new leadership team possessed extensive experience in sales-driven processes, understood their value, and knew how to develop them in an organization. In addition to these primary driving forces, two lesser forces surfaced during the interviews. These lesser forces included the training organization's decision to partner with line

managers throughout the change effort and a decision to contract with an external vendor to provide expertise in moving to a sales culture.

Two major forces impeded movement to the organization's desired state. First, the mindset of long-tenured employees (10-20 years) was a significant impediment to the success of the initiative. Managers were hired to oversee daily operations, not sell products and services using an integrated, deliberate method. Throughout the organization, managers and employees resisted the new emphasis on sales growth and performance. Second, employees lacked the necessary sales, product knowledge, and coaching skills to implement the change. Two lesser restraining forces were also identified. Participants cited movement from one cultural extreme to another, i.e., shifting from a total operations mindset to a total sales and numbers focus. Additionally, previous failed attempts to institute a sales culture reinforced employees' hesitancy to embrace this change. Figure 2 depicts the driving and restraining forces affecting the change effort.

Figure 2. Force Field Analysis Diagram



Organizations as Interpretation Systems Findings

Secondary data from the first year of the change were analyzed using Daft and Weick's Model of Organizations as Interpretations Systems. Seven variables were analyzed: (1) where the organization acquired its information (Data Source); (2) how the organization acquired its information (Acquisition); (3) to what extent the organization attempted to reduce the lack of clarity in its environment (Equivocality Reduction); (4) how many procedures were created to process information about its environment (Assembly Rules); (5) how frequently the organization reviewed and re-processed new information (Cycles); (6) what type of strategy the organization used to interact with its environment (Strategy Formulation); and, (7) what primary factors influenced the organization's ability to make decisions (Decision-Making) (Daft & Weick, 1984).

With regard to scanning characteristics, 22 instances of Data Source were discovered, all of which were clear examples of "internal impersonal" information in that they were written documents collected and funneled to senior management for review. These included executive overviews, quarterly sales reports, and course evaluations. Fourteen examples of Acquisition were found, 10 of which were characterized by "separate departments, special studies, and extensive information," while four examples were more characteristic of having "no [special] department, regular record-keeping, and routine information" (Daft & Weick, p. 290, 1984). Most examples here included progress tracking and reviews, financial reports, and course evaluations, while the remaining four included more routine data extrapolated from the HRIS and requests to automate certain reports for regular inquiry.

With regard to the interpretation process, seven instances of Equivocality Reduction were revealed in the data as evidenced by senior leaders' frequent discussions regarding the change and benefits to the company. Thirty examples of Assembly Rules illustrated a focus on establishing procedures and guidelines to navigate through the

change effort, and included program success criteria, guidelines for implementation, precise instructional designs, and customer interaction tools and forms. Twenty instances of Cycles were found, including frequent project reviews that often discussed or re-processed topics and decisions from previous meetings.

With regard to interpretive actions, six examples of Strategy Formulation were found, four of which illustrated the Analyzer strategy and two examples resembled the Defender strategy. Analyzer examples included a focus on becoming the provider of choice in the region and how its portfolio management process would support this strategy, while maintenance of traditional markets and a focus on internal efficiency exemplified the Defender strategy. Finally, three instances of Decision-Making were found, including the methodology for selecting a training vendor and how it processed recommendations for improving the quality of the training later in the change effort.

OLSM Findings

By combining information obtained through interviews and secondary data, interchange media variables from the four OLSM subsystems were coded to determine strengths and uncover patterns and prevalent themes. Five prominent themes emerged in EI. Externally, shifts in the industry, the use of consultants, and a heightened emphasis on connecting with the customer were prevalent forces in this subsystem. All interview participants stressed the changing tide of the industry in the 1990s. “Competition and the business...changed the entire landscape of the...industry in the early 90s” according to one training manager. Consultants were referenced continually throughout the change effort, with the client relying heavily on one consulting firm for direction. Customer connections occurred through the external promotion of products, including outbound calling, business development, and direct mail. Internally, key variables included regular reporting mechanisms and employee feedback instruments. Routine progress reports were systematically captured into notebooks and distributed to senior management. Employees’ input was collected through multiple means, including focus groups, surveys, site visits, and meeting and training evaluations. Within EI, data that were not apparent became some of the most important to the analysis. In the secondary data, there was no reference to competition, despite explicit interview statements from the force field analysis that competitive forces necessitated this change.

In AR, four themes surfaced. First, decision-making manifested through key choices in external consulting partnerships, evaluation systems, and campaign identification. Second, the use of extensive pilot studies comprised the experimentation theme. Third, a multitude of performance measures such as the cross-sell ratio, individual sales productivity, and account retention represented the evaluation theme. Finally, the reflective capacity was demonstrated through the training supervisor’s comment, “We were just bringing in numbers, not profitability—we were opening accounts to meet sales goals but the accounts had only pennies in them.”

Within D&D, five themes prevailed: leadership, training, roles, policies, and reward systems. Abundant pattern clusters supporting each theme were found in D&D compared to the other subsystems, given its concrete and observable nature. Leadership examples included the addition of new senior leaders, coaching associates in the field, and the discipline to stay the course throughout the initiative. Training encompassed many elements, the largest of which emphasized sales skills and product mastery. Roles were redefined throughout the organization, with special attention paid to manager and associate responsibilities through scripting, practice sessions, and daily focus sessions. Policies were also fundamentally reshaped to reflect the organization’s evolving culture, including the creation of a customer profile tool, tracking sheets, program guides, and “results coaching” guidelines. The client leveraged and sustained reward systems from the outset of the change in an effort to incent associates. These incentive plans included “Club” status, travel awards, and gift certificates.

In spite of the challenges inherent in studying M&M, four primary themes emerged. First, ingrained values and basic assumptions regarding the client’s mission and role surfaced throughout the data. “I was not hired to sell” was cited as the most frequent response of managers to the new sales initiative. Second, organizational memory played a significant role during the change. Because many senior leaders were new to the organization, a collective understanding had to be established. Likewise, long-tenured employees (10-20 years) held unforgiving views regarding the merits of the change. This widespread resistance embedded in the organization’s memory also served as a driving force for the change through heavy attrition. “All managers were hired to administer daily operations and were very skilled in that arena. Suddenly, they were asked to expand their operations focus to include sales goals. Many refused and left,” according to the vice president tasked with implementing the culture shift. Additionally the organizational memory served as an impetus for action. “By the mid-90s, [the industry was] beginning to bounce back and we did not want to make the same mistakes again,” stated a vice president of training. Also prevalent in the data was a clash in *weltanschauung*, or worldview (Kim, 1993). New senior leaders, having been steeped in the value of high-performance sales cultures, did not anticipate any resistance at the outset of the change. “That the senior leadership changed mid-stream also worked against us. There was no established alignment within the management team. We built understanding of the different perspectives as we developed this initiative,”

said one executive. Lastly, language and symbols became increasingly prominent as the change effort progressed through the creation of new language, logos, newsletters, and a variety of materials created to reinforce the change.

Synthesis

In keeping with the spirit of the OLSM, once information has been collected, knowledge and meaning can be extrapolated through analysis and reflection. Schwandt and Marquardt provide a framework for understanding the strengths and challenges an organization may face in increasing its learning capacity (2000). The subsequent sections synthesize the findings by revealing how effectively the client met the challenges of each subsystem.

Environment Interface Subsystem

Three challenges are common to this subsystem and the generation of new information: inappropriate screening, lack of variety of environmental interface actions, and lack of understanding of the role of management cognition. With respect to inappropriate screening, the client's perception that they understood and could control their environment encouraged them to ignore or dilute new information entering the organization. The use of one consultant as the primary source of external information diminished the quality of new information available, thereby affecting the capacity to learn. Later in the initiative, the institution successfully expanded its EI actions by consistently interfacing with key stakeholders, including employees and customers. They accomplished this through focus groups, surveys, business development, and outbound calls. The senior leadership team failed dismally in understanding how their own cognitive schema could influence scanning outcomes. Through exclusive pursuit of one correct answer, the executive team ignored strategies that could have imported a more robust spectrum of options. This is consistent with Daft and Weick's model that emphasizes the impact of interpretation on environmental scanning strategies (1984).

Action/Reflection Subsystem

This subsystem also includes three challenges to producing goal reference knowledge: lack of organizational reflection, resistance to the dual nature of knowledge, and lack of readiness to confront assumptions. Here, the client reflected on "how" to accomplish the change as consistently as it passed over opportunities to reflect on "why." Frequent evaluations and course corrections to performance and implementation processes demonstrated the strength in managing the "how" of the change. Conversely, the executive team's singular mental model regarding sales transformations coupled with the consultant's synchronous approach impeded the organization's sensemaking function. Senior leaders never questioned "why." Likewise, this mental model acted as a barrier to embracing the dual nature of knowledge resulting in diminished dialogue and diversity during deliberations. The organization did, however, transform tacit knowledge into explicit knowledge by leveraging the consultant throughout implementation. With respect to their willingness to confront underlying assumptions, the senior leadership team failed in several respects. One example was their inability to assimilate the true impact of a 30% turnover outlined at the outset of the change. As a result, opportunities to stem talent loss through sharing the benefits and rationale of the changed were missed.

Dissemination and Diffusion Subsystem

Inherent to D&D are two challenges intrinsic to the facilitation of structuring: lack of information movement and inappropriate alignment of roles. In the aggregate, the client excelled in the process of effective structuring. While many organizations struggle with moving information throughout their myriad functions, this organization incorporated a variety of methods to share information at various levels throughout its system including comprehensive training, daily focus sessions, special events, and regular newsletters. Roles can be difficult to define and refine even under stable conditions. The client managed to redefine roles at all levels during a period of heightened change. For example, in addition to developing a coaching strategy for managers, senior leaders began holding themselves accountable to a higher standard with regard to moving from "good coach to great coach" according to one executive. Concurrently, senior leadership implemented incentive reward programs designed to reinforce the new roles throughout the organization. Because of the client's strength in this subsystem, the organization was able to effectively integrate the many disparate elements of this initiative into a cohesive whole.

Memory and Meaning Subsystem

Two challenges can affect this subsystem: lack of alignment in multiple organizational memories and lack of a cultural profile through surfacing basic assumptions. Long-tenured employees held deeply ingrained beliefs regarding the nature of their roles and the purpose of services offered. These schema clashed with the senior leaders' prevalent mental model. The organization also lacked the insight to surface the level of resistance embedded in the culture at the outset of the change. As the initiative evolved, however, more frequent assessments were conducted along with evaluations of understanding and receptivity.

Establishing the Client's Learning Capacity

When considering the whole of this study, we return to our original research question: What was the learning capacity of the client during its transition to a sales culture? Similar to the early organizational learning models that focused on why, rather than on how, to become a learning organization, the client began its transition knowing only that it should change, with no clear roadmap of how to construct its vision. After four years of continuous efforts to inculcate a new culture, the client began to learn how to become a learning organization.

To fully understand the client's learning capacity, Parsonian social action theory—the basis of the OLSM—must be considered. Parsons proposes that any human action system must adapt, attain its goals, integrate its various functions, and maintain select patterns of behavior. In applying this framework, it becomes evident that the client's adaptation function was weak. Biologically, the organization was slow to adapt to its rapidly changing environment. Psychologically, goals evolved with the influx of new leadership. Sociologically, the integration function was its greatest strength. The client successfully integrated new roles and transported information through its myriad functions. Anthropologically, the pattern maintenance function remained almost immovable at the outset of the change. Only by introducing employee assessments and multiple feedback instruments was the organization able to achieve a level of support sufficient to sustain the change.

Key to gaining insight into learning capacity is M&M. The strength of this subsystem proved to be more than the senior leaders bargained for. The prevalence of a shared mental model inhibited their ability to proactively manage the magnitude of the culture's resistance. Only through consistent structuring sustained over the long term were senior leaders able to overcome these obstacles.

Implications and Recommendations for HRD

To sustain long-term learning capacity, HRD professionals can use two approaches: a generative and a reductionist strategy.

Recommendation 1- Generative Approach

A generative approach focuses on sustaining the momentum already created throughout an organization by enhancing and building upon strengths. As referenced above, many successful strategies on the part of the client demonstrate a propensity for cultivating a learning environment. Therefore, in concert with generative thinking, the client would focus its attention on enhancing the prominent strengths found within each OLSM subsystem.

Within EI, the organization would continue to interface with key stakeholders including its employees and customers. New information could move into the remaining subsystems more effectively if senior leaders looked beyond their shared mental model to the need for incorporating a variety of environmental interface actions. Strengths to be augmented from AR include reflection on accomplishing change consistently through the use of frequent evaluations and periodic course corrections. If the senior leadership team had allowed for diverse opinions during deliberations, the client would have produced more well-rounded goal reference knowledge. This approach calls for sustaining effective D&D activities by continuing to incorporate a variety of methods to share information. By leveraging its integration strengths to disseminate the benefits and rationale for the change, the client could continue to build on the support already established over the course of the initiative.

Having recognized the importance of organizational memory and culture, the client could adopt a generative approach within M&M by managing any resistance to change through continued frequent assessments of understanding and receptivity. If the senior leadership team had shared the benefits and rationale for the change at the outset, they could have more effectively addressed the intense resistance present in the existing culture.

Recommendation 2- Reductionist Approach

A reductionist approach focuses on eliminating those factors that contradict and restrict the attainment of an organization's desired goals. Additionally, this approach encourages the detection of factors that may be potential barriers. In adopting a reductionist strategy, the client would direct its strategic focus toward correcting weaknesses found within the OLSM subsystems.

Within EI, a reductionist approach requires more complete consideration of information before limiting its entry into the subsystem. Additionally, expanded methods of interaction with the environment need to be developed to reduce the reliance upon the consulting firm as the primary source of external information. Finally, this approach necessitates that senior leaders carefully examine and surface their own knowledge structures and shared mental models.

A reductionist approach to overcoming barriers found within AR would call for movement towards a higher level of thinking and learning by considering the "why" of the change and not simply implementing the "how." Additionally, the organization must engage employees at all levels in dialogue to increase diversity in deliberations.

Finally, senior leaders must confront underlying assumptions, including their own, that unduly inhibit learning and attainment of goals.

While D&D is a strength for the organization, it must be leveraged to effectively influence M&M. The client must focus on deeply ingrained cultural phenomena and their effects on the remaining subsystems by actively questioning perceptions, norms, and values. This questioning process would increase information sharing and dialogue throughout the organization.

Because each subsystem requires the input of interchange media from the other three, focusing on one alone will hinder the development of the organization's overall learning capacity. Similarly, because the variables within each subsystem are related, focusing only on those that remove barriers or only on improving those that are already strong cannot improve the learning system over time. For this reason, it is recommended that the client integrate both generative and reductionist approaches to improve its learning and long-term adaptive capacity.

This balanced approach includes the need to sustain and build upon what is working well while reducing barriers by addressing the most compelling of each. By eliminating barriers while simultaneously building upon strengths, synergies can be created to more effectively achieve goals. The combined approach would call for identification of the most compelling of the aforementioned options within each of the subsystems and implement a plan of action.

Conclusion

The results of this analysis bring some clarity to the dynamics of organizational learning capacity. Just as the descriptive, linear models of early organizational learning theory proved to be inadequate tools for diagnosing learning capacity, so too does using only one approach when assessing an organization's ability to learn over time. The combination of several methods and approaches resulted in a deeper, more robust understanding of the client's learning capacity in this study, with the dynamic lens of the OLSM serving as the unifying element.

Certain limitations in this study do exist, however. When examining D&D, diffusion activities are inherently informal in nature, and the design of this study did not allow for this kind of detection. Likewise, the abstract nature of M&M does not lend itself to discovery. M&M also poses a particular challenge to any organization attempting to increase its learning capacity: the belief that only one subsystem can be enhanced at any given time. Because this study focused on a single initiative in assessing the client's capacity to learn, the design prevented the collection of meaningful data around the client's ability to implement changes to multiple subsystems simultaneously.

In spite of these limitations, the most salient issues related to the client's learning capacity have been surfaced. In the final analysis, balance is the key to unlocking the client's full capacity to learn and sustain itself over time. By balancing generative and reductionist strategies, improvement options from each subsystem, short-term performance and long-term learning, senior leadership support, and employee involvement, the client organization can learn to apply these lessons to a variety of change efforts.

References

- Daft, R.L., & Weick, K.E. (1994). Toward a model of organizations as interpretation systems. *Academy of Management Review*, 9, 284-295.
- Fiol, C. M. & Lyles, M, (1985). Organizational learning. *Academy of Management Review*, 10, 803-813.
- Fuqua, D.R., & Kurpius, D.J. (1993). Conceptual models in organizational consulting. *Journal of Counseling & Development*, 71, 607-612.
- Harrison, M.I.. (1994). *Diagnosis organizations: Methods, models, and processes*. Thousand Oaks, CA: Sage.
- Huber, G. (1991). Organizational learning: the contributing processes and the literatures. *Organization Science*, 2, 88-109
- Kim, D.H. (1993). The link between individual and organizational learning. *Sloan Management Review*, Fall, 37-49.
- Kimelman, J. (1999). Sales culture: A survival strategy. *American Banker Online*,
www.AmericanBanker.com/search.html?query=da+ge+19980904+AND+da+le+20030404.
- Marsick, V., & Watkins, K. (1999). Facilitating learning organizations: Making learning count. *Journal of Occupational & Organizational Psychology*, 75, 252-255
- Schwandt, D., & Marquardt, M. (2000). *Organizational learning: From world-class theories to global best practices*. Boca Raton, Florida: CRC Press LLC.
- Senge, P. (1990). *The fifth discipline: The art and practice of the learning organization*. New York, NY: Bantam Doubleday Dell Publishing Group Inc.
- Sullivan, J. (1997). Competition puts sales focus in small banks. *American Banker Online*.
www.AmericanBanker.com/search.html?query=da+ge+19960904+AND+da+le+20030404.

Customizing Learning Programs to the Organization and its Employees: How HRD Practitioners Create Tailored Learning Programs

*Rob F. Poell
Tilburg University*

*Ferd J. Van der Krog
University of Nijmegen*

This study investigates how HRD practitioners customize learning programs, that is, tailor them to take into account the demands set by organization and participants. A theoretical account of the relations between learning programs and organizational/individual characteristics is provided. Results from an action-research project involving thirteen learning programs conducted in healthcare institutions are presented. The main conclusion of the study is that the seven HRD practitioners in our sample used few strategies to customize learning programs.

Keywords: Customization, Learning Programs, Action Research

There is a lot of learning going on in organizations. Mostly this learning occurs informally, with colleagues and supervisors, during the preparation and execution of work (Eraut, 2000). One could call this employees' every-day learning, although organizational practice rarely refers to these processes as 'learning'. Notions of a learning organization also have such ideas at their core: employees learn while they do their work and improve upon it, they learn while developing the organization (Swieringa & Wierdsma, 1995). From the moment, however, that the learning is organized more systematically, a learning program is in the making. A learning program refers to a coherent set of learning activities conducted by a group of employees around a core theme that is relevant to their work, supported by an HRD practitioner (Poell & Van der Krog, 2002, 2003). The central idea is that organizing a learning program brings new impetus to employees' every-day learning, improving the organizational learning system at the same time.

HRD practitioners who set up a learning program, which can comprise training activities besides workplace learning, (have to) take into account both the situation in the organization and the characteristics of the participating employees. Learning programs are influenced by the organizational situation in two ways. In the first place, it affects the learning program content, the core theme studied in the program. Current work problems and expected developments can lead to learning initiatives. Second, the make-up of the learning program will be influenced by the learning opportunities offered by the organization, for example, the available learning facilities. Besides organizational characteristics, the participants also place their mark on a learning program, for instance, through their existing competencies, their ideas about learning, and their learning styles.

This paper deals with the question in which ways HRD practitioners tailor-make learning programs, that is, take into account the demands set by the organization and the participants. We start out by providing a theoretical account of the relations between learning programs, on the one hand, and organizational and individual learner characteristics, on the other hand. We then continue by presenting results from thirteen learning programs carried out in several care institutions. It is concluded that there is a considerable theory-practice divide when it comes to customizing learning programs. Finally, implications for theory building and organizational practice are discussed.

Learning Programs and Customization: A Theoretical Exploration

The learning-network theory (Van der Krog, 1998; Poell, 1998) stipulates there are several ways to organize employee learning and there are probably certain relationships between an organization and its learning system. The core idea is that organizational dynamics are expressed also in the way employees learn. Differences among organizations lead to different ways of organizing employee learning. Assuming relations between organizations and learning programs enables the formulation of hypotheses concerning customization.

Organizing Learning Programs as Projects

Employees learn a lot simply by working in an organizational context. Doing their job, informally improving it, or attending training sessions are common ways of learning for them. Such learning may be conducted more systematically and explicitly when several employees team up with an HRD practitioner as facilitator to form a

Copyright © 2004 Rob F. Poell & Ferd J. Van der Krog

temporary learning group collaborating to create a learning program. A learning program takes place when a collaborative group of different actors undertake a range of learning activities around a certain work theme during a certain time.

Organizing learning programs can be done using project-based work methods, provided the special nature of learning programs is specifically taken into account. Poell & Van der Krog (2002, 2003) developed a typology of project-based learning programs to this end (also referred to as learning projects). The typology comprises three phases that are elaborated upon to describe four ideal types of learning programs. The three phases are orientation, learning and optimizing, and continuation. The four types are the contractual, individual-oriented learning program (liberal type), the regulated, task-oriented learning program (vertical type), the organic, problem-oriented learning program (horizontal type), and the collegial, profession-oriented learning program (external type). For limitations of space, these are not further elaborated upon here (please refer to Poell & Van der Krog, 2002, 2003).

Learning Programs in Organizations: The Impact of Work and Employees

Above, we have indicated that learning programs can be organized in a variety of different ways. The actual structure and phasing of the program, however, depend on the characteristics of the organization and its workforce.

Types of organization and learning programs. The literature provides two arguments to expect relationships between learning programs and the organization in which they take place: first, the way work is organized impacts upon learning programs; second, they are affected by the existing learning structure and culture in the organization.

Work and learning programs. When it comes to the organization of work, oftentimes the differences between mechanical, bureaucratic organizations and organic, team-based organizations are mentioned (Ellström, 200x; Onstenk, 1997; Doorewaard & De Nijs, 1998). Machine-type organizations with extensive task differentiation are likely to feature highly standardized, formalized learning programs, whereas in team-based organizations more organic learning programs are expected to take place. The learning-network theory (Van der Krog, 1998) draws on the work of Mintzberg (1989) to bring two more types of organization into play: entrepreneurial and professional organizations (cf. Weggeman, 1997). Table 1 shows which learning programs are expected to occur in the four different types of organization and work.

Table 1. Relationships between Work and Learning Programs in Different Types of Organization.

Type of Organization	Type of Work	Type of Learning Program
Entrepreneurial	Individual work	Contractual, individual oriented (liberal)
Machine-bureaucratic	Task work	Regulated, task oriented (vertical)
Organic	Group work	Organic, problem oriented (horizontal)
Professional	Professional work	Collegial, profession oriented (external)

Learning structure / culture and learning programs. The second argument to expect relationships between organization and learning programs emphasizes the impact of the existing learning structure and culture in the organization. These have come into being over time, usually rather implicitly as a result of the concrete learning activities that take place. For instance, when organizational changes are implemented training courses are often provided, or employees participate in educational programs to further their careers. In doing so, procedures and task divisions concerning training and learning gradually take shape and organizational members' beliefs about education and development become clear. It is expected that organizations differ in their learning structures and cultures, which affects the actual learning programs that are conducted (Baars-Van Moorsel, 2003).

Employees and learning programs. Besides existing work and learning structures, the employees who participate leave their mark on learning programs in the organization. First of all, their learning capabilities and beliefs about learning are relevant in this respect. Second, employees' prior knowledge, skills, and attitudes also influence the learning activities they undertake.

No general hypotheses can be stated concerning the impact of employee characteristics on learning programs. It is possible, however, to come up with expectations about the roles to be played by employees in different types of learning program. The liberal type gives individual participants a very active role, in that, they have to form a picture of their own learning needs and opportunities as well as mobilize others to support them. In a horizontal learning program, ability to be a team player and to learn together with others by solving complex work problems is crucial. The vertical type expects employees to follow a training program designed for them by HRD practitioners and management. In the external learning program, colleagues within the professional community set the stage and an externally oriented, professional attitude is needed.

Customization Strategies of HRD Practitioners

Learning activities and programs are strongly affected by the existing work and learning structure in the organization, as well as by the employees who participate. In creating learning programs, HRD practitioners have to

take into account the specific characteristics of organization and employees. Two general customization strategies of HRD Practitioners can be distinguished: differentiating in the program structure and individualizing during program execution.

Differentiation in the program structure. In designing a learning program, the HRD practitioner can build in options in order to adapt to the specific situation in an organization and to differences among participants. This strategy is clearly visible in regulated, task-oriented learning programs. The key question here is how the program designer takes into account the organizational context and participant characteristics in the program structure and planning.

Individualization during program execution. Both the HRD practitioner and the participants can adjust the program during execution in order to fit better with organizational and employee characteristics. The core issue in this strategy is, as all parties together realize learning activities, how does the HRD practitioner make room for unexpected developments and newly acquired insights during program execution. Three types of learning program feature this strategy, be it each with a different emphasis. In the contractual, individual-oriented type individual participants are responsible for customizing the program to their needs as it unfolds. The organic, problem-oriented learning program places the responsibility for progress and participation with the learning group as a team. In the collegial, profession-oriented type, a strong emphasis is put on the externally directed, professional bond within the learning group.

Research Questions

Although customization is a term often used in HRD practice, little is known about the exact way in which HRD practitioners (can) deliver tailored learning programs. The main question in this study, therefore, is how HRD practitioners customize learning programs. The investigation is targeted at their activities in creating work-related learning programs. Two research questions need to be answered:

1. How do HRD practitioners tailor learning programs to individual learners?
2. How do HRD practitioners tailor learning programs to the organization where they take place?

Research Methods

Research Design

The study was set up as an action-research project in a collaboration of researchers with HRD practitioners from the healthcare sector. Its explicit aim was to use joint reflection on the practices of the HRD professionals to improve their self-understanding and to broaden the researchers' insight into the customization strategies employed by HRD practitioners, in a continuous mutual exchange process. The Dutch healthcare sector was chosen because the broad nature of its primary processes yields a possibly wide range of learning-program types. In order to facilitate comparisons, participant selection focused as much as possible on the primary work process of the organization as opposed to its management layers. In selecting learning programs for the study, the emphasis lay on those with participants around the higher vocational education level. Two learning-program cases were selected for each HRD practitioner, in order to establish whether the customization strategies were bound more to their person or to their situation.

The analysis of separate cases focused on the characteristics of the learning programs designed by all HRD practitioners and on the elements of their customization strategies, as far as they could isolate the latter in a reflection session held afterwards. An analysis across cases was performed to relate characteristics of work and learning programs to the customization strategies that the HRD practitioners employed.

An Action-Research Project in Four Phases

The action-research project with the HRD practitioners took place in four phases: selection, description, analysis, and reflection.

1. Selecting the participants and learning programs. Two learning groups were established consisting of HRD practitioners. Snowball sampling was used to find HRD practitioners from the Dutch healthcare sector who worked with employees at least at the secondary vocational education level. Potential participants were asked to take part in an action-research project-cum-learning program about customization strategies. Eventually a useful and complete data set was acquired from seven participants, among them six men. They worked as HRD practitioners in or for large (psychiatric) hospitals, and in or for medium-sized nursing homes and institutes for home care or for mentally handicapped people. Most participants were very well informed within the healthcare sector and had extensive experience with educational consultancy and training. Two introduction sessions were held with the participants at the start of the study in order to familiarize them with theory about learning programs and customization.

2. Describing the learning programs conducted. An especially developed checklist ("Customized Learning-Programs Checklist": CLPC, see below) was used to interview each participant twice about two different recent learning programs that they had organized. Useful learning programs had a core theme to do with the quality of care or service and lasted at least a month with two plenary sessions. One participant had only one useful learning program, accounting for a total number of thirteen cases on which the analysis was based. In total five researchers were involved in doing the interviews, including an initial analysis, operating in ever changing pairs. Table 2 contains a general overview of the cases.

Table 2. HRD Practitioner, Learning-Program Theme, and Participants and Organization per Case.

HRD Practitioner	Learning-Program Theme	Participants and Organization
Case 1	Ed	Methodical treatment Community supervisors in an institution for problem youths
Case 2	Ed	Therapeutic action Community supervisors in a residence for youth assistance
Case 3	Harry	Systems methodology Nurses in a psychiatric institution
Case 4	Harry	Client participation Nurses in a psychiatric institution
Case 5	Jacco	Restricted actions Intensive-care nurses in a hospital
Case 6	Jacco	Thorax draining Nurses in a hospital
Case 7	Johan	Day-care improvement Activity coaches in an institution for mentally handicapped
Case 8	Johan	Supervisor-client collaboration Community supervisors in an institution for mentally handicapped
Case 9	Pascal	Respectful treatment Helpers, attendants, and nurses in a nursing home
Case 10	Pascal	Vision development All employees of a nursing home
Case 11	Trudy	Networked care Managers and employees of four nursing homes
Case 12	Trudy	Client allocation Managers in an institution for home care
Case 13	Uri	Doing research Nurses in a hospital

3. Analyzing the learning programs described. During the interviews the researchers summarized the answers of the participants at the end of each separate section of the CLPC in order to check whether their interpretations fitted with the intentions of the participants. Tape recordings, full transcripts, interview notes, and the CLPC as completed during the interview were used to make a four to six-page summary of each interview. This was sent to the participants for verification and additions, together with the version of the CLPC that was completed during the interview. All thirteen summarized case descriptions were returned to the researchers with corrections. These corrected versions were used for the initial case analyses, which were carried out by different pairs of researchers for each learning-program case using the N-Vivo software package for qualitative analysis. An interpretation and diagnosis were made of each learning program in terms of the typology presented above. All thirteen case analyses were discussed and commented on by the other three researchers in two or three rounds, leading to a number of changes in the interpretation of some cases. The analysis was aimed at gathering information about pre-selected categories, although an effort was made as well to find 'new' customization strategies beyond the ones already singled out. At the end of this phase, the individual case analyses were used as input for a learning program with the HRD practitioners and for a comparative multiple case analysis that was discussed with the participants during the last meeting of said program.

4. Reflection on the learning programs and case analyses. The descriptive and analytic phases of this action-research project contained some activities that could also encourage HRD practitioners' learning about the organization of learning programs. In the final reflection phase, their learning was intensified by forming two learning groups. The action-learning project in this phase consisted of four workshops and reflective discussions about the backgrounds to the choices made by the HRD practitioners in their respective cases. The researchers and other participants gave individual HRD practitioners suggestions to improve the way they organize learning programs. The action-learning project ended after the participants had used the CLPC to improve an existing learning program, or design a completely new one, from their own work practice. Participants were invited to think about how to continue the action-learning project individually in their own organization. A final meeting was held with all HRD practitioners to evaluate the action-learning project for learning effects and impact on their work situation.

The Customized Learning-Programs Checklist (CLPC)

Before the action-research project took place, the typology of learning-programs presented above was used to design a draft Customized Learning-Programs Checklist. This draft was tried out for interpretive power in interviews with six HRD practitioners (not the same group) and adapted accordingly. During the action-research project the CLPC was employed to guide the interviews, but using it has yielded many concrete ideas for customizing learning programs as well (see Poell & Van der Krogt, in preparation). HRD practitioners can draw upon these to determine to what extent and how they operationalize the vast array of possible customization

activities. It also provides them with a range of alternative ways to tailor their learning programs to the organization and its employees.

As an interview guide, the CLPC contains 52 open questions spread across five categories. First, there are fourteen questions about the organizational context where the learning program took place. The core of the interview is about the activities of the HRD practitioner and the learning-program participants in the orientation (thirteen questions), learning and optimizing (thirteen questions), and continuation phase (eight questions). The final category comprises four questions about the customization strategy of the HRD practitioner. Time for completion in the thirteen cases ranged from an hour and a half to two-and-a-half hours. Half this time was usually needed to get a general picture of the learning program in its organizational context, the other half to complete the CLPC on the basis of the information provided with some specific additional questions.

Results

This section has two main parts. First, the structure of the thirteen learning-program cases is discussed in relationship to the type of work in which they were conducted (cf. Table 1). After that, some illustrations from the reflection sessions are provided of how these HRD practitioners customized their learning programs and which problems they ran into.

Learning Programs and the Organization of Work

The main results from the analysis of the thirteen cases are presented in Table 4. The most striking result is that all learning programs had at least a vertical component, meaning that they were to a large extent pre-structured by the HRD practitioner and mainly task oriented. The majority of cases (nos. 1, 4, 5, 8, 9, 10, and 13) even had vertical characteristics only. Four of the remaining cases showed a vertical-horizontal hybrid structure (2, 6, 11, and 12) with some organic, problem-oriented elements within the pre-structured, task-oriented framework. There is one vertical-liberal case (no. 7) with some unstructured and individual-oriented elements, and one vertical-liberal-external hybrid (no. 3) with a number of collegial, profession-oriented elements also.

Table 3. *Work Type, Learning-Program Type, and Customization per Case.*

	Work Type				Learning-Program Type				Differentiation in Program Design?	Individualization in Program Execution?
	Individual work	Task work	Group work	Professional work	Liberal	Vertical	Horizontal	External		
Case 1	X	-X		X		X			o	
Case 2		X	X			X	X		o	o
Case 3	X	X		X	X	X		X	o	o
Case 4	X	X		X		X			o	
Case 5		X		X		X				
Case 6	X	X				X	X			
Case 7		X	X	X	X	X			o	o
Case 8	X	X				X			o	
Case 9		-X				X			o	o
Case 10		X				X			oo	
Case 11		X	X			X	X			oo
Case 12		-X				X	X		o	ooo
Case 13		X				X			o	

Note: Legend for work type and learning-program type: X = characteristic in case, o = dominant type for case, -X = characteristic in case, however unsystematic. Legend for customization: blanc = none, o = very little, oo = to some extent, ooo = extensive customization.

The work in all thirteen cases was predominantly task based, that is, much shop floor activity was directed from the top with relatively little employee autonomy. Jobs were often rather narrow, split up into sub-tasks, and subject to standard protocols. Incidentally, in three cases this type of work was not functioning very systematically, in the sense that key work procedures were not well executed. Four cases (9, 10, 12, and 13) were characterized purely by task work, the other nine were hybrid forms in several combinations. Elements of professional work were found in five cases (1, 3, 4, 5, and 7), individual work in five as well (1, 3, 4, 6, and 8), and group work in three organizations (2, 7, and 11).

Without performing a statistical analysis, comparing the respective columns in Table 4 makes rather clear that a relationship exists between types of learning program and work. To illustrate this point, all cases contain the main elements of regulated, task-oriented (vertical) learning programs as well as key features of task work. However, no

one-on-one relationship was found, in that, relatively fewer external and liberal elements were found in learning programs than could be expected had there been a direct relation with the professional and individual work types.

Reflection on Customization by HRD Practitioners in Learning Programs

The final phase of the action-learning project consisted of two reflection sessions with HRD practitioners and focused, besides on discussing the analyses of the learning programs in their work context, on further analysis of the customization strategies in use. The main result of this exercise was that HRD practitioners make little explicit use of customization strategies (see two rightmost columns in Table 4). Although they do have implicit images of the characteristics of work and learners in mind, these are scarcely taken into account in organizing learning programs.

Although differentiation in the design of the program structure occurred in ten of the thirteen cases, this happened to a limited extent only. Individualization during the execution of the learning program is takes place even more rarely, occurring as it does in six cases to a limited extent only. The only case where explicit and extensive attention is paid to customization (no. 12) is a learning program targeted at first-line managers, where the work has rather different characteristics compared to the shop floor. All in all, the repertoire of customization strategies used by these seven HRD practitioners turns out to be quite limited.

To illustration the customization strategies that were surfaced a number of examples from the interviews follow. Differentiation in the design of the program structure occurred, first, through *learning needs and task analyses* (e.g., analyzing a work problem with the participants, then discuss with them what they should learn as a result). A second strategy in this connection was taking into account the *learning styles* of participants (e.g., "Nurses are clearly doers, they have a very practical orientation," therefore use real-life cases and emphasize action throughout the learning program). Third, differentiation upfront was achieved through a *flexible program design* (e.g., use parallel groups meeting at different days of the week, so that individual participants can attend when they please). A fourth strategy related to transfer enhancing measures (e.g., encourage several people from one department to take part, the head also; pay attention to management processes besides shop-floor learning).

Three main categories of individualization during the execution of the learning program were found. First, *being flexible during the program* (e.g., open a help-desk telephone for specific questions from individual participants at a moment when they need an answer). The second strategy was *facilitating self-directed learning* (e.g., encourage participants to attend a national conference about the same topic, so that they can keep up). Finally, HRD practitioners mentioned examples of the individualization strategy *continuous adaptation* of the learning program (e.g., by establishing a meeting's first assignment only, leaving further proceedings dependent on the group and the situation at hand).

There is no scope in this article for an elaborate account of all customization activities employed by the seven HRD practitioners, besides these examples. A full overview will appear in Poell & Van der Krog (in preparation). Although some examples of customization strategies were found among these seven HRD practitioners, their repertoire in this area was far from extensive. Paying explicit attention to the characteristics of the organization and the participants in organizing learning programs happened in only few cases. The final section of this paper deals with the implications of these findings.

Conclusions and Perspectives

This study has presented an action-research project conducted with seven HRD practitioners, which was aimed at investigating how they take into account the characteristics of work and learners in organizing learning programs. These HRD practitioners were found to pay a reasonable amount of attention to differentiation in the design of the learning program for the participants. This mostly took the shape of taking into account transfer enhancing measures and different learning styles. Different types of learning program emerged as a result of this, also based on the particular beliefs about learning that differed from one HRD practitioner to the next. Despite such diversity, the pre-structured task-oriented (vertical) learning program was a rather dominant type in most cases. The HRD practitioners in our sample seemed to employ very few individualization strategies during the execution of their programs, for example, continuous adaptation and facilitating self-directed employee learning. The programs were rarely adjusted along the way on the basis of progressive insight. All in all, these HRD practitioners used few explicit customization strategies. In view of the attention paid to customization in literature, it has to be concluded that there is a considerable theory-practice divide in this area.

The HRD practitioners all tended to use their own individual method to organize a learning program, an idiosyncratic system that usually remains implicit unless there are action researchers around. Nevertheless, most individual approaches seemed to be based on an underlying means-end rationality that has been rather dominant in HRD literature to legitimize training efforts (Robinson & Robinson, 1989; Jacobs & Jones, 1995; Swanson & Holton, 2000). Clearly, the HRD practitioners in our sample initially embraced the assignment and problem definition of management, leading to a quite vertical, top-down approach. Within that framework, they then tried to

negotiate some room for learning-program elements that were more in line with their own professional beliefs. In practice, this pointed to learning activities like self-direction and teamwork, which are associated with the more liberal and horizontal types of program (cf. Poell, Pluijmen & Van der Krogt, 2003). Arguably, then, more effort is spent on tuning the learning program to the organization than there is to taking into account learner characteristics.

The major conclusion of this study is that the HRD practitioners in our sample used few explicit customization strategies in organizing learning programs. Obviously, the limitations of the present study have to be taken well into account. Its empirical base was restricted to thirteen cases and seven participants, all working in the healthcare sector. On the other hand, the action-research project at the core of the study was very intensive and well suited for an in-depth investigation of the customization strategies employed by HRD practitioners. Also, the findings of the present study are in line with a number of other studies that dealt with systematic learning efforts in organizations. For example, Overduin, Kwakman, & Metz (2002) concluded that HRD departments in organizations used few of the systematic practices propagated by the performance approach. Similarly, Sels, Huys, & Van Hootegem (2001) found that very few of the elaborate methods for training design from the HRD literature were used in practice. Weggeman (2000) came to the conclusion that few organizations managed knowledge systematically. In a longitudinal study, Kieft & Nijhof (2000) found that promising notions like, for example, learning organizations were hardly encountered in organizational practice. Instead, HRD practitioners still seemed to devote most of their time to training delivery, with their own particular beliefs and insights directing such efforts. In organizational practice, a systematic approach to organizing learning programs that goes beyond the individual action repertoire of the HRD practitioner appears to be far from widespread as yet.

Where to go next for promising research avenues? Three general remarks must be made before this question can be answered. First, a rather constant finding in empirical HRD research is that theoretical concepts find limited resonance in practice. The theory-practice gap in HRD seems rather wide. Much of the thinking in the field offers little assistance for practitioners to express their everyday actions in words, let alone to give these some more direction. A second observation is that organizations pay far less explicit attention to training and learning than assumed in HRD literature. This call for modesty should be a crucial starting point from which only small steps away can be taken. In this connection, it should be clear that employees and managers oftentimes are unwilling to invest as much in training and learning as many HRD practitioners desire. Moreover, their views and interests in the arena of training and learning can vary widely. Third, explicit and systematic attempts to organize learning programs seem rather rare, thus severely limiting the possibilities of studying the underlying dynamics and processes. Perhaps we should accept that training and learning cannot easily be subjected to traditional conceptions of organizing and controlling.

The above considerations raise the question of what value there is at all in looking at the notion of learning programs. Everyday learning is everywhere and probably always will be, but its further systematization gets scant attention from employees, managers, and even, as the present study suggests, from HRD practitioners. The latter seem to fall back on their implicit action repertoire, which is usually strongly biased by traditional training-design approaches. Although many in HRD underwrite the importance of alternative approaches to learning, including workplace learning and the integration of work and learning, much is unclear as yet about the ways to fully realize their potential. From an effectiveness perspective this is problematic, in that, as witnessed in many of our cases, the impact of learning programs is small as a result of the apparent lack of optimizing and continuation during execution.

The question arises if the movement from training to learning that characterized much of the HRD literature over the last decade has been very successful. Besides the current study, other studies too have had to conclude that the impact of the HRD practitioner is very limited (e.g., Nijhof, 2000; Tjeenkema, Sambrook, Stewart, Mulder, Ter Horst, & Scheerens, 2002). Managers and employees are far powerful actors when it comes to learning in organizational and work contexts (cf. Van der Krogt, 2002). HRD practitioners can attempt to create a coherent set of learning activities within the boundaries of a pre-designed program. It seems illusionary, however, to also want to change the work and organizational context, which appears to be restricted to managers and employees.

If HRD practitioners have little impact in practice on employee learning and on the work context where everyday learning takes place, their challenge is to create learning programs that take into account that context to the best possible extent. They can try and find out about the normal ways in which these core actors learn (implicitly) from work and build upon that in a tailored learning program. This involves not only differentiation in the design of the program structure, but also leaving room along the way for adjustment, employee self-direction, and flexibility in program execution.

Although the latter customization strategies did not feature often in the present study, their illustrations show that there is a range of possible ways to bring some more system and customization to the interventions of HRD practitioners (cf. De Caluwé & Vermaak, 1999): through needs and work analyses (Swanson, 1994), by taking into account different employee learning styles (Riding & Sadler-Smith, 1997), through transfer enhancing measures (Robinson & Robinson, 1989; Simons, 1990; Holton, Bates, & Ruona, 2000), by applying flexible design methods and leaving room for adjustment along the way (De Corte, Geerligs, Lagerweij, Peters, & Vandenbergh, 1986), by

facilitating self-directed learning (Brookfield, 1986), and through continuous adaptation of the learning program during its execution (De Lange-Ros, 1999). Poell & Van der Krogt (in preparation) give a full overview with concrete illustrations of all customization strategies.

The framework employed in the present study to analyze learning programs offers HRD practitioners and other learning actors (e.g., employees and managers) a diverse range of context-sensitive action possibilities. Straight or hybrid forms of contractual individual-oriented, regulated task-oriented, organic problem-oriented, and collegial profession-oriented learning programs can be experimented with in organizational practice. Those who want to offer tailored learning programs can use such models to both determine their own strategy and better understand other actors' strategies in use.

References

- Brookfield, S. D. (1986). *Understanding and facilitating adult learning: A comprehensive analysis of principles and effective practices*. Milton Keynes: Open University.
- Daley, B. J. (1999). Novice to expert: An exploration of how professionals learn. *Adult Education Quarterly*, 49(4), 133-147.
- Eraut, M. (2000). Non-formal learning and tacit knowledge in professional work. *British Journal of Educational Psychology*, 70(1), 113-136.
- Holton, E. F., Bates, R. A., & Ruona, W. E. A. (2000). Development of a generalized learning transfer system inventory. *Human Resource Development Quarterly*, 11(4), 333-360.
- Jacobs, R. L., & Jones, M. J. (1995). *Structured on-the-job training: Unleashing employee expertise in the workplace*. San Francisco: Berrett-Koehler.
- Lange-Ros, D. J. de (1999). *Continuous improvement in teams: The (mis)fit between improvement and operational activities of improvement teams*. Ph.D. thesis, University of Twente, Netherlands.
- Marsick, V. J., & O'Neil, J. (1999). The many faces of action learning. *Management Learning*, 30(2), 159-176.
- Mintzberg, H. (1989). *Mintzberg on management: Inside our strange world of organizations*. New York: Free Press.
- Poell, R. F. (1998). *Organizing work-related learning projects: A network approach*. Ph.D. thesis, University of Nijmegen, Netherlands.
- Poell, R. F., Pluijmen, R., & Van der Krogt, F. J. (2003). Strategies of HRD professionals in organising learning programmes: A qualitative study among 20 Dutch HRD professionals. *Journal of European Industrial Training*, 27(2/3/4), 125-136.
- Poell, R. F., & Van der Krogt, F. J. (2002). Using social networks in organisations to facilitate individual development. In M. Pearn (Ed.), *Individual differences and development in organisations* (pp. 285-304). London: Wiley.
- Riding, R., & Sadler-Smith, E. (1997). Cognitive style and learning strategies: Some implications for training design. *International Journal of Training and Development*, 1(3), 199-208.
- Robinson, D. G., & Robinson, J. C. (1989). *Training for impact*. San Francisco: Jossey-Bass.
- Sels, L., Huys, R., & Van Hoetegem, G. (2001). *Measuring the degree of organisational transformation: A methodological benchmark of organisation surveys*. Leuven: Katholieke Universiteit.
- Swanson, R. A. (1994). *Analysis for improving performance. Tools for diagnosing organizations and documenting workplace expertise*. San Francisco: Berrett-Koehler.
- Tjepkema, S., Stewart, J., Sambrook, S., Mulder, M., Ter Horst, H., & Scheerens, J. (2002). *HRD and learning organisations in Europe*. London: Routledge.
- Van der Krogt, F. J. (1998). Learning network theory: The tension between learning systems and work systems in organizations. *Human Resource Development Quarterly*, 9(2), 157-177.

Constructing a Theoretical Model of Human Resource Development Knowledge Innovation in Corporate Settings

Yu-Shu Chen (Jason)

National Chung Cheng University

The purpose of this study is to construct a theoretical model of Human Resource Development (HRD) knowledge innovation. To achieve the purpose, grounded theory was chosen as the research methodology. This research design included a sampling of nine benchmarking companies in Taiwan. Five theoretical categories were grouped as follows: (a) knowledge generation, (b) building archetypes of innovation, (c) knowledge distribution, (d) knowledge utilization, and (e) factors leading to knowledge innovation success.

Keywords: Knowledge Innovation, Grounded Theory, Theory Building

In the era of knowledge-based economy, companies depend on knowledge innovation to help gain a competitive edge. Organizations dealing with an uncertain environment cannot get ahead merely through passive adaptation; they need to actively interact with that business climate. Organizations that wish to cope dynamically with the changing environment need effective innovative knowledge. Furthermore, the organizational members must not be passive but must rather be active agents of innovation (Nonaka & Takeuchi, 1995). In order to transform knowledge into a valuable organizational asset, knowledge must be generated, distributed, and utilized. Knowledge innovation is considered a key part of the strategy in using knowledge to create a sustainable competitive advantage in today's business environment (Beckman, 1999). How to generate new knowledge and utilize it to improve performance become more and more important in corporate settings.

The purpose of HRD is to improve employees' and organizations' performance (Swanson & Holton, 2001). Therefore, new HRD knowledge generation and utilization is vital for companies. However, there is little literature related to HRD knowledge innovation in corporate settings, let alone HRD knowledge innovation theory construction. Therefore, this study was conducted to fill the knowledge gap in the HRD domain. The purpose of this study is: (a) to explore the concepts of corporate HRD knowledge innovation, (b) to explore the relationships among those concepts, and (c) to construct a corporate HRD knowledge innovation theoretical model.

Problem Statement

HRD knowledge innovation is the process of managing organizational HRD knowledge for creating business value and sustaining competitive advantage through the creation, acquisition, sharing, and application of knowledge to maximize organizational growth and value (Tiwana, 2001). In a knowledge-based economy, a business' intangible assets carry more weight than its income statement. Therefore HRD knowledge innovation, one of the critical factors in producing intangible assets, is more important than ever. However, HRD knowledge innovation has been overlooked and neglected for years by many companies as a key component of human resource strategy. The primary thrust of strategic thinking and planning has centered on how to cut the personnel cost. Of course, reducing costs is an important piece but knowledge innovation brings far more potential power to reach human resource strategic goals (Kuczmarski, 1996). In reviewing the literature, there is a lack of available information on how HRD knowledge innovation happens. The focus of previous research has been on HRD with little attention paid to knowledge innovation. The phenomenon of HRD knowledge innovation has not been well understood in the past.

Theoretical Framework

"An innovation is an idea, practice, or object that is perceived as new by an individual or other unit of adoption" (Rogers, 1995, p. 11). In this study, HRD knowledge innovation is not objectively new since its first use or discovery. The perceived newness of knowledge for the company determines its reaction to it. If the knowledge seems new to the company, it is a knowledge innovation.

Many authors have proposed models for knowledge innovation, such as linear models of innovation, the simultaneous coupling model (Trott, 1998), interactive model of innovation (Rothevell & Zegveld, 1985), five-phase model of the organizational knowledge-creation process (Nonaka & Takeuchi, 1995), a model for best

Copyright © 2004 Yu-Shu Chen (Jason)

practice transfer (O'Dell & Grayson, 1998). However, the purpose of this study is to build theory that is faithful to and illuminates the HRD knowledge innovation phenomenon. Therefore, grounded theory was chosen as the research methodology. The grounded researcher uses a systematic set of procedures to develop an inductively derived grounded theory about a phenomenon without previous theoretical framework. A grounded theory orientation allows theoretical categories to emerge from the data that explain how HRD practitioners continually process and respond to knowledge innovation phenomenon (Brott & Myers, 2002). One does not begin with a theory and then prove it (Strauss & Corbin, 1990).

Research Questions

The research question was developed to elicit the process of knowledge innovation for HRD practitioners. This question evolved from a review of the literature and dialogue with experts in HRD and grounded theory research design. Several iterations and revisions of the question were developed and discussed resulting in the following research question: "To what extent does knowledge innovation in HRD reflect the generic knowledge innovation models?"

Methodology and Research Design

To achieve the above objectives, grounded theory was chosen as the research methodology. The research design included a sampling of nine benchmarking companies in Taiwan. Seventeen HRD practitioners participated in this study. Data collection was through qualitative interviews using an open-ended approach. Each interview lasted approximately one to three hours. Interviews were tape-recorded with prior consent of the participants. Verbatim transcriptions were produced for data analysis. A set of rigorous coding procedures guided the analysis to develop theoretical interpretations of the data. Data analysis progressed through the stages of open, axial, and selective coding.

Methodology

A grounded theory is inductively derived from the study of the phenomenon it represents. It is discovered, developed, and verified through systematic data collection and analysis. Conducting grounded theory research, the researcher does not begin with a theory; rather he or she begins with an area of study, and what is relevant to that area is allowed to emerge (Strauss & Corbin, 1990). The purpose of this research is to explore the process and factors, which influence HRD knowledge innovation in corporate settings in order to build a theoretical framework. Therefore, the grounded theory was chosen as the research methodology. The research begins with field data collection and lets the HRD knowledge innovation emerge from the substantive area.

Sampling and Data Collection

The research design included a sampling of HRD practitioners who worked in companies with a good reputation in knowledge innovation. A purposeful sampling approach was used to generate information-rich events that illuminated the study and elucidated variation as well as significant common patterns within that variation.

Data collection was through structured interviews using an open-ended approach with an interview guide. The interviews lasted approximately one hour for each participant. Most of the interviews were completed at the HRD practitioners' respective work site. The question included in the interview guide focused on HRD knowledge innovation activities and processes. The interviews were tape-recorded with prior consent of the participants, and verbatim transcriptions were produced for data analysis. Each HRD practitioner who participated also was asked to complete a form about his or her demographic information.

The researcher, as an active participant in the data collection, was intent on understanding in detail how HRD knowledge innovation happens. The interview guide provided the topic within which the researcher explored, probed, and asked questions to elucidate and illuminate the subject area. Therefore, the researcher remained free to build a conversation within a particular subject area and establish a conversational style. In addition to interviews and descriptive data, the researcher observed some participants in their respective working settings. A narrative that was a composite of the transcriptions and participant observations provided a portrait of the HRD practitioners who participated in the study.

Participants

Because the research purpose is to build a theoretical model of HRD knowledge innovation, the participants had to work for those companies whose HRD knowledge innovation is active. The researcher sifted research companies carefully. Most of them have a good reputation for HRD knowledge innovation in Taiwan. Some of them even obtained an award for human resource innovation, which is given by the Human Resource Development Association

of the Republic of China. After a recruiting, there were 16 HRD practitioners from 9 companies who participated in this study. Fifteen HRD practitioners have more than three years' working experience in corporate HRD practice.

One of the concerns is the possible selection of participants by the researcher that might reflect preexisting biases and the unique perception of HRD practitioners that would lead them to respond in particular ways to the research questions. The selection of participants was intentional and thus provided sufficient variety in experience to overcome the possibility of selection bias. The unique perceptions and experiences of the HRD practitioners were strength of the study rather than a limitation because their uniqueness contributed to the variety of perspectives, and thus categories, which emerged in the data analysis.

The Researcher

The researcher is an assistant professor, who teaches HRD classes at the Department of Adult and Continuing Education in National Chung Cheng University in Taiwan. He earned his Ph.D. degree from University of Minnesota and came back to Taiwan to teach HRD classes in university settings since 2001. The researcher has devoted him to the HRD field.

Any researchers will encounter the same problem when conducting qualitative research. There are several possible biases that can result from the research process. The researchers' biases can affect the findings. Therefore, the researcher invited several faculties to participate in reviews of the data, and interpretations were intended to minimize researcher expectations as a possible source of error.

Data Analysis

A set of rigorous coding procedures guided the analysis to develop theoretically informed interpretations of the data. Data analysis progressed through the stages of open, axial, and selective coding. Open coding identified and developed concepts and then grouped concepts into categories, and further, the researchers explored the properties and dimensions of categories. Axial coding put the data together in new ways by making connections between a category and its subcategories to develop several main categories. Finally, selective coding integrated the categories to form a grounded theory for the development of HRD knowledge innovation.

Open coding. The naming and categorizing of phenomena through a close examination of the data is referred to as open coding (Strauss & Corbin, 1990). In taking apart a description by a line, a sentence, or a paragraph of transcription, each discrete incident, idea, or event was given a name or code word that represented the concept underlying the observation. Concepts were selected by the researcher to elicit new insights from the data. Examples of concepts identified in this study included assessing, learning, supporting. A total of 200 concepts were identified in this study.

Grouping the concepts in the data is called categorizing, which reduces the number of concepts with which to work. The creative aspect of the data analysis was incorporated with the researcher naming categories as a basis of innovative theoretical formulations. For example, "rental," "hiring," and "purchasing" were grouped around the category named knowledge acquisition. A total of 36 categories were identified through open coding in the study.

Axial coding. Whereas open coding fractured the data, axial coding put the data back together in new ways by making connections between a category and its subcategories to develop several main categories (Strauss & Corbin, 1990). The resulting model denotes causal and intervening conditions, phenomena, and contexts.

Selective coding. The selective coding process integrates the categories to form a substantive theory (Strauss & Corbin, 1990). This theory describes an interrelated set of categories that emerge from the data through a constant comparative coding and analysis procedure. The identification of a core category, one that accounts for most of the variation in a pattern of HRD knowledge innovation phenomenon, was essential for the development of the theory. After the core category was identified, the remaining categories were related to the core category as the conditions that led to the occurrence of the phenomenon and as the phases that represented the phenomenon.

Results and Findings

The results of the coding procedures reflect the theoretical categories that explain how research companies continually process the knowledge innovation. These categories form the basis for a substantive theory, which describes an interrelated set of categories grounded in the data that emerged from the constant comparative coding and analysis procedures. Five main theoretical categories emerged through the axial coding process that explained how the research companies continually processed the knowledge innovation. The five theoretical categories included: (a) knowledge generation, (b) building archetypes of innovation, (c) knowledge distribution, (d) knowledge utilization, (e) factors leading to knowledge innovation success. Using selective coding, the core category was identified as a dynamic interaction process. The core category and major theoretical categories were linked through conditions that described how research companies process the knowledge innovation.

Major Theoretical Categories

Knowledge generation. In this study, knowledge generation is the specific category describing firms' phenomenon, which increase their stock of corporate knowledge. Many companies approach HRD knowledge generation as a "black box." In this research, two subcategories were grouped under the category of knowledge generation. When we talk about knowledge generation, we mean the knowledge acquired by an organization as well as that created within it.

Acquired knowledge does not have to be newly created. It is only new to the organization. The most direct and often most effective way to acquire knowledge is to buy it. The acquiring company may not succeed in integrating new knowledge effectively. Although the purchase is proof of a desire to increase the corporate knowledge stock, there may be cultural and political barriers to accepting and absorbing the acquisition's knowledge fully (Davenport & Prusak, 1998). There are several concepts grouped in the categories of knowledge creation. Companies can establish a project team to come up with new knowledge. Informal networks within organizations also create HRD knowledge. They may over time become more formalized.

Building archetypes. The new HRD knowledge is converted into an archetype, which can take the form of a prototype, in the case of training and development products such as training programs, or an operating mechanism, in the case of organizational development projects such as a new corporate value, or innovative organizational structure.

Knowledge distribution. The distribution of knowledge within an organization is a vital precondition for turning isolated new knowledge into something, which the whole organization can use. Knowledge distribution is the process of sharing and spreading knowledge, which is already present within the organization (Probst, Raub, & Romhardt, 2000). Knowledge distribution consists of several subcategories such as diffusion and sharing. Diffusion is the process by which new knowledge is communicated through certain channels over time among the members of a social system (Rogers, 1995). Sharing reflects what individuals tell others about their innovation, including related ideas, problems, and plans (Hall & Hord, 2001).

Knowledge utilization. Just because a company has first-rate processes for generating and distributing knowledge don't mean it will succeed in knowledge innovation; if it does not apply its new knowledge, no benefit is achieved (Probst, Raub, & Romhardt, 2000). Countless HRD projects have failed because of the mistaken belief that designing better infrastructures automatically leads to mastery of the knowledge innovation process. All the generated new knowledge must be directed towards efficient use in order to reach the company's goals. In this study, knowledge utilization comes almost at the end of the cycle of knowledge innovation. However, the whole process could be turned around.

Factors leading to knowledge innovation success. There are several factors influencing HRD knowledge innovation in organizations such as culture and senior management support. Culture was one of the most important factors leading to the success of knowledge innovation in this study. In a positive culture of knowledge innovation, employees are willing and free to explore and do not fear that sharing knowledge will cost them their jobs. Like almost every other type of change project, knowledge innovation projects benefit from senior management support. Strong support from executives was critical for knowledge innovation projects.

Theoretical Model of HRD Knowledge Innovation

The results of the coding procedures reflect the emergence of theoretical categories that explain how the participants continually processed the phenomenon. These categories form the basis for a substantive theory, which describes an interrelated set of categories grounded in the data that emerged from the constant comparative coding and analysis procedures (see figure 1). As revealed in reviewing each story, HRD knowledge innovation was faced with multiple influences, and HRD practitioners found a way to intertwine or blend these influences. As a process, the core category was entitled "dynamic interaction." Using selective coding, each of the remaining theoretical categories was related to the core category as conditions (that is, events or incidents that led to the phenomenon) or phases (that is, strategies and activities of the process).

Proposition about HRD Knowledge Innovation

Concepts were generated from the data and systematically related. The conceptual linkages were presented as activities of HRD knowledge innovation. Variation and specificity were built into the theory as conditions for the process under study. The theory described a dynamic process for the blending of influences involving phases and actions/interactions in response to prevailing conditions. The theoretical findings represented the creative interplay between the researcher and the data. Finally, the substantive theory was presented as a process. With the theory of HRD knowledge innovation stated, we can assert the following formal propositions about the theoretical model:

Proposition 1. Factors leading to knowledge innovation success have a positive relationship to knowledge generation.

Proposition 2. Factors leading to knowledge innovation success have a positive relationship to building

archetype.

Proposition 3. Factors leading to knowledge innovation success have a positive relationship to knowledge distribution.

Proposition 4. Factors leading to knowledge innovation success have a positive relationship to knowledge utilization.

Proposition 5. Knowledge generation has a positive relationship to building archetype.

Proposition 6. Knowledge generation has a positive relationship to knowledge distribution.

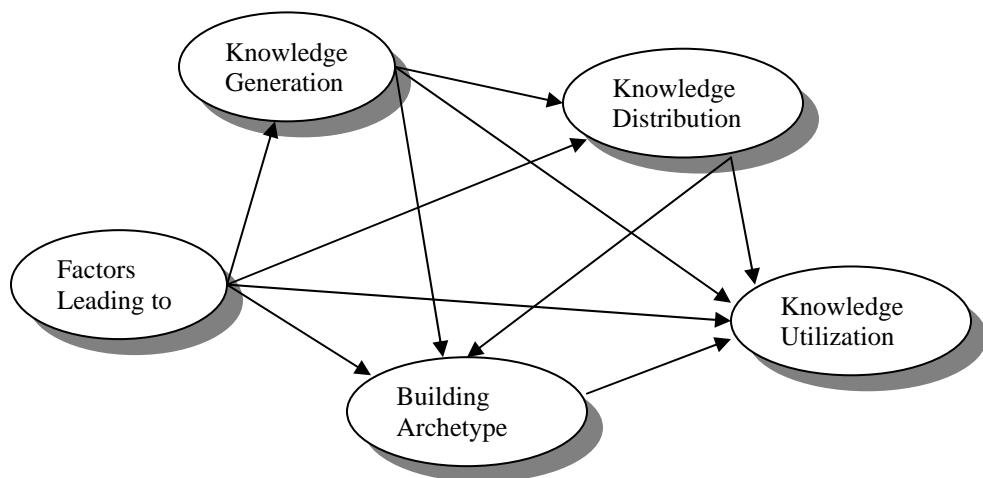
Proposition 7. Knowledge generation has a positive relationship to knowledge utilization.

Proposition 8. Knowledge distribution has a positive relationship to knowledge utilization.

Proposition 9. Knowledge distribution has a positive relationship to building archetype.

Proposition 10. Building archetype has a positive relationship to knowledge utilization.

Figure 1. Theoretical Model of HRD Knowledge Innovation



Conclusions and Recommendations

This study discovered that there were five main categories among the phenomenon of HRD knowledge innovation as occurring in the corporate context. The process of knowledge innovation was identified as a dynamic interaction process. The core category and the major theoretical categories were linked and described how HRD knowledge innovation occurred. The relationships of categories that comprise the process for HRD knowledge innovation were presented (see figure 1). There are 10 theoretical propositions comprising the HRD knowledge innovation theory.

The present set of propositions is premised on existing knowledge about HRD knowledge innovation. The findings are limited by current methods used to describe knowledge innovation. HRD knowledge innovation is very complex. Additional research findings and improved methods may suggest other propositions. Further exploration and conceptualization of this theory through quantitative methods would be advantageous. Further research would be focused on testing and refining the theory through examining relationships within the theory, collecting data from multiple corporate settings.

Contribution to New Knowledge in HRD

The purpose of this study was to generate a grounded theory of HRD knowledge innovation in corporate settings. It is useful to have a theoretical framework to organize and evaluate social phenomenon, to provide direction for future research, and to stimulate new ideas and concepts. The total set of propositions suggests research hypotheses that may be tested to determine the usefulness of the theory in understanding HRD knowledge innovation. This study

focused on the development a theoretical model of HRD knowledge innovation that is useful in explaining and predicting the phenomenon of knowledge acquisition, diffusion, and utilization in the corporate setting. The implications have relevance for the practice of HRD. By understanding the concepts and the relationships of concepts of knowledge innovation, HRD practitioners may be in a better position to improve their organizational innovation performance.

References

- Beckman, T. J. (1999). The current state of knowledge management. In J. Liebowitz (Ed.), *Knowledge management handbook* (pp. 1-22). Roca Raton. FL: CRC Press LLC.
- Brott, P. E., & Myers, J. E. (2002). Development of professional school counselor identity: A grounded theory. In S. B. Merriam & Associates (Eds.), *Qualitative research in practice: Examples for discussion and analysis* (pp. 145-159). San Francisco: Jossey-Bass.
- Davenport, T. H., & Prusak, L. (1998). *Working knowledge: How organizations manage what they know*. Boston: Harvard Business School Press.
- Dawis, R. V., & Lofquist, L. H. (1984). *A psychological theory of work adjustment: An individual-differences model and its application*. Minneapolis, MN: University of Minnesota Press.
- Hall, G. E., & Hord, S. M. (2001). *Implementing change: Patterns, principles, and potholes*. Boston: Allyn and Bacon.
- Kuczmarski, T. D. (1996). *Innovation: Leadership strategies for the competitive edge*. Chicago: American Marketing Association.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge-creating company: How Japanese companies create the dynamic of innovation*. New York: Oxford University Press.
- O'Dell, C., & Grayson, C. J., Jr. (1998). *If only we knew what we know: The transfer of internal knowledge and best practice*. New York: The Free Press.
- Probst, G., Raub, S., & Romhardt, K. (2000). *Managing knowledge: Building blocks for success*. New York: John Wiley & Sons.
- Rogers, E. M. (1995). *Diffusion of innovations* (4th ed.). New York: The Free Press.
- Rothewell, R., & Zegveld, W. (1985). *Reindustrialisation and technology*. London: Longman.
- Strauss, A., & Corbin, J. (1990). *Basics of qualitative research*. Newbury Park, CA: Sage.
- Swanson, R. A., & Holton, E. F., III. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Tiwana, A. (2001). *The essential guide to knowledge management: E-Business and CRM application*. Upper Saddle River, NJ: Prentice-Hall.
- Trott, P. (1998). *Innovation management and new product development*. London: Financial Times Management.

Relationship Between Learning Style and Learning Modality of Employees of a Health Care Organization

Geri McArdle

Paul VanBuskirk

Barry University

Nancy Edwards

Florida Gulf Coast University

When training and certifying a large number of employees at various levels, there is a need to determine the most effective and efficient training methodology. One way of becoming more effective in training individuals could be to determine the preferred learning style of the learners, and deliver training that is conducive to these preferred styles. This study explores the relationship between learning styles and preferred learning modalities.

Keywords: E-learning, Learning Styles, Learning Modalities

Medical centers are faced with the challenge of maintaining a competent workforce in an era of rapidly changing technologies and increasingly complex healthcare needs. In addition, they must meet standards for accreditation that stress quality of care, as well as provide mandated training required by state regulatory agencies. This challenge becomes more complicated when the medical center includes several facilities that are separated geographically. Added to this is a workforce that has no time to attend scheduled sessions, and a limited education staff. This is the dilemma currently facing a large medical center, with three hospitals, several physician office buildings, a home health agency, and other medical services. Therefore, there is a need to find the most productive training delivery modality that impacts the greatest number of learners.

Theoretical Framework

Learning and Learning Style

Learning is an interactive process. Learning can only take place when students feel confident that they can learn, and possess the skills to facilitate their learning (Kirkpatrick, 1998). Furthermore, learners learn differently (Price, 1977). Each learner has a distinct and consistent learning preference to organize and retain information (Keefe, 1987).

A learning style is both a student characteristic and an instructional strategy. As a student characteristic, learning style is an indicator of how a student learns and likes to learn. As an instructional strategy, it informs the cognition, context, and content of the learning (Keefe, 1991). Learners can identify their own learning style when exposed to a teaching style that matches their own learning style (Dunn and Dunn, 1987).

During the past two decades, a great deal of research has focused on learning styles. Claxton and Murrell (1988) concluded that learning styles consist of four elements: (1) personality, (2) information processing, (3) social interaction, and (4) instructional methods. A previous study conducted by Kirby (1979) and often cited in the literature suggests that learning styles can be classified using only two fundamental categories or orientations: the "splitters," and the "lumpers." Learners who are "splitters" tend to analyze content and break down the information into smaller parts, while "lumpers," tend to watch for patterns and relationship between the parts.

Learning Styles, Preferences and Modalities

Learning occurs using the sensory channels of seeing, feeling and/or hearing. These three communication channels are considered in the literature to be the prime media that is used by an individual to give, receive and store information (Reiff, 1992). When an individual uses channels of communication, they establish a preference perception for learning, and these channels establish the three learning styles (Eiszler, 1983). The three learning style categories consist of the *kinesthetic/feeling type* learner, who has a need to touch, feel or try something out

Copyright © 2004 Geri McArdle, Nancy Edwards, & Paul VanBuskirk

(Stronck, 1980); the *auditory type* learner, who has a need to talk about what to do when they learn, and the *visual type* learner, who has a need to see something in order to learn (Barbe, 1979). Learners have the ability to identify their own learning style, according to Dunn and Dunn (1987), and all learners can benefit by having the learning delivery mode and materials accommodate a variety of learning modalities (Agnogino & His 1995; Kramer-Koehler, Tooney & Bebe 1995).

According to Litzinger & Osif (1992, p. 32), "...in the learning process the learner develops a preferred and consistent set of behavior or approaches." Additional research studies focusing on learning styles suggest that learning styles play an important role in determining learning outcomes. A study by Birkey & Rodman (1995), asserted that the key to getting learners involved in their learning is to design learning that acknowledges the learning style preferences of the learner.

Recognizing different learning preferences probably began with the ancient Greek teachings (Wratcher, Morison, Riley & Scheirton, 1997). Through the years, educators were aware that some students preferred certain instructional methods over others, and that these dispositions to learning, called learning styles, formed the learner's unique learning preference (Kemp, Morrison & Ross, 1998, p.40). However, planning instruction around an exclusive use of one teaching or learning style does not produce a successful educational program (Dunn and Dunn, 1987). Many research studies claim that students will have higher achievement, a more positive attitude, and improved self-concept, if individual learning style differences are accommodated during the learning process (Reiff, 1992).

Numerous studies have focused on the learning process in order to "catalog" the range of learning styles. There are many different ways to classify learning styles including: perceptual modalities that define biologically based reactions; information processing that distinguish between the way one senses, thinks, solves problems and remembers information; and personality patterns that focus one's attention, emotion, and values.

There are many ways to measure learning styles. David Kolb (1985) has written extensively on learning styles and theorized that learning styles develop as a result of life experiences, both past and present, and hereditary influences. To help individuals identify their learning style, Kolb developed a self-descriptive questionnaire called the Learning Style Inventory (LSI). Kolb asserted that his theory and the LSI could help HRD professionals, supervisors, and employees identify and appreciate a number of different approaches to learning. Further research on the Kolb model took place at the University of Colorado at Colorado Springs. Here they developed a prototype of a computer-based tutoring system that could assess an individual's learning style (Eurich, 1990). Although these studies focused on various aspects of learning styles, the research did reflect a common agreement that learning, learning modalities and learning strengths may be classified as sensory (*Learning Style Inventory* modality), perceptual (Hemispheric Dominance), Cognitive information processing (Kolb's *Learning Styles* model and *Learning Style Inventory*), personality type (*Myers Briggs Type Inventory* and Kersley Temperament Sorter II), and personal or situational (*The Multiple Intelligence Inventory*; *Using Multiple Intelligence*; Gardner's Seven Types of Intelligence and *Seven Styles of Learning*).

A popular learning style inventory used in distance learning research is the Kolb Learning Style Inventory (LSI) (Kolb, 1986). Kolb's LSI measures student learning preference from two perspectives: the preference for either concrete experiences or a preference for engaging in abstract or conceptual analysis. Dille and Mezack (1991) used Kolb's LSI to identify predictors of high risk among community college telecourse students. The results indicated that the successful students had lower scores on their preferences for concrete experiences than did the non-successful students. Gee (1990) administered the Canfield Learning Styles Inventory (CLSI) (Canfield, 1980) to students to study the impact of learning style variables in a live teleconference distance education class. His findings suggested that students in the distance learning class who possessed a more independent and conceptual learning style had the highest average scores in all of the student achievement areas. Gee (1990) also developed an inventory designed to assess the impact of different social dynamics on the learning preferences of students. Of the different learning style instruments, the Grasha-Reichmann Student Learning, (GRSLSS), according to Hruska-Reichmann & Crasha, (1982), is one of the few instruments designed to address the distinguishing features of a distance learning class, including the relative absence of social interaction between instructor and student and student/student.

Online learning defined by Steiner (1997) is a program that uses media tools to deliver instruction. Educational programs come in a variety of formats, including audio, computer-assisted programming of modules, lessons or whole curricula (Sherry, 1996). Yet, little empirical research exists that explores the potential strategic success factors that make one online program successful over another (Merisotis and Phipps, 1999). Using knowledge of student learning preference could provide a bridge to course success in a online mode, however, instructors must be willing to recognize and appreciate the variety of student learning styles, and to adjust their teaching strategies and techniques (Sarasin, 1998).

Learning Style and Training Transfer

The focus of this study is to determine if a relationship exists between an individual's learning style and a preference for a specific learning modality. The learning style inventory chosen for this study was the Felder-Solomon's Index of Learning Styles (ILS). This inventory is based on the learning styles model developed by Richard Felder and Linda Silverman (Felder 1993; Felder and Silverman, 1988) and incorporates five dimensions, two of which replicate aspects of the Myers-Briggs and Kolb models. Specifically, the five dimensions include: the Perception dimension (sensing/intuitive), which is analogous to the Perception dimension of both Myers-Briggs and Kolb; the Processing dimension (active/reflective) which is also found in Kolb's model; Input (visual/verbal); Organization (inductive/deductive); and Understanding (sequential/global).

In a recent white paper, Donzelli (2000) asserted that e-learning would revolutionize training similar to the way that airplanes revolutionized transportation. E-learning, according to the author, has potential to drive knowledge closer to meaningful organizational results as people within organizations share the best practices and knowledge, and apply the expert thinking to their own duties. Developing and providing e-learning is fast becoming a mainstream practice in the field of HRD, due to geographical and time constraints of traditional training. Many organizations are utilizing online training and investing tremendous amount of resources in developing e learning programs (Park & Wentling, 2003).

Important changes have occurred during the past 20 years in the area of understanding the nature of effective learning (Briggs, 1996). Specifically, Briggs asserted that learning involved passive transmission of knowledge from teacher to student. A recent study conducted by Boekaerts (1997) found that encouraging students to take responsibility for their learning led to more effective learning, and that student responsibility made a difference. A year later, Vermunt (1998) proposed an integrated learning model as a means of studying learning styles. His model suggested that although there is an implicit assumption that one approach to learning is more desirable than another, different methods of assessment may promote or discourage different styles of learning.

There is some evidence, according to Smith (2001) that individuals can generally do better in tasks, which are developed around their preferred method of processing information. Researchers in the United States such as Brown, Collins and Duguid (1989), Lave and Wenger (1991), and Resnick (1987), asserted that learning should be situated in a context of practice, and that workplace learning can be supported through the effective use of more flexible learning methods.

Research Hypothesis

Does a correlation relationship exist between a learning style and preferred learning modality?

Method

Participants

Forty staff members were randomly selected from a total population of 90 employees that had participated in three instructional delivery methods used at the medical center to deliver training. The employees were staff from the Patient Management departments from three different campuses. The three types of training delivery systems or modalities were: classroom-based, online modules, and videotaped learning programs. Each of the study participants received a package from the medical center's Office of Training that included an introductory letter from the researchers explaining the purpose of the research study, instructions on how to complete the two survey questionnaires, instructions for signing the research participant's consent form, and instructions as to returning the packet back to the Office of Training.

Instrumentation

The first survey questionnaire that the participants were asked to complete was the Index of Learning Styles Questionnaire, which consists of 40 multiple choice question statements. The second questionnaire was designed by the researchers to elicit the participant's preference for one of the three instructional delivery methods (classroom-based, online modules or videotape programs), currently used at the medical center. The questionnaire used a Likert 5-point Scale using a "5" for most highly preferred to a "1" indicating a least preferred instructional method. This questionnaire was constructed with the help of the staff in the Office of Training at the medical center and reflected the actual training delivery that each participant had attended. A pilot test was conducted with seven doctoral students to test the instrument prior to surveying the healthcare group.

Experimental Design

The design for this study was a correlation testing of a continuous independent variable (the learning style) and continuous dependent variable (the preferred learning modality). The first statistical test was used to explore the relationship or association between each independent variable and each dependent variable as a bivariate analysis. A correlation matrix was designed to illustrate the degree of association between the independent and dependent variables.

Scatterplots were produced to analyze the association between the independent and dependent variables. These graphic illustrations provided the opportunity to analyze the patterns' associations between variables.

Finally, a statistical test of multiple regression for predicting, a statistical procedure used to examine the combined relationship of multiple independent variables and a single dependent variable, was run. The variation in the dependent variable is explained by the variance of each independent variable. Predictive scores of an outcome can be generated using the equation form multiple regression.

Procedure

Forty employees were selected from the employees at the medical center, using a table of random numbers. The research participants were given the Felder and Solomon Index of Learning Styles Questionnaire, a 40-item survey that measures learning styles.. Next, they completed the Learning Preference Survey. This survey asked for the participant's preference for each of the three learning delivery methods (classroom-based, online modules or videotape production programs) presently used at the medical center to deliver training.

Preliminary Results

An analysis of the means from 19 of the 40 participants revealed the group of healthcare employees favored the online learning modality, followed by the class-room based modality, and video learning. A bivariate analysis of the visual learning style and online learning modality resulted in a $r=.327$ and a $p=.080$.

Multiple regression was conducted to evaluate how well the learning styles correlated with learning modalities. The visual, verbal, intuitive, active and global learning styles were tested as predictors to predict the preference of online learning modality. The preliminary results were $R^2=.699$; $F(5,14)=6.497$; $p=.003$. These preliminary results indicate that these learning styles in linear combination could be significantly related to the online learning modality.

Preliminary runs of learning style predictors of predicted preference for classroom-based and videotape learning modalities resulted in high R^2 , but were not statistically significant.

The Felder and Solomon Index of Learning Styles instrument is designed to pair opposite learning styles. A bivariate correlation analysis of the paired learning styles yielded the following results: active and reflective learners $r=-.996$ $p=.000$; sensing and intuitive learners $r=-.991$ $p=.000$; sequential and global learners $r=-.981$ $p=.000$. These results verify the reliability of the Felder Solomon Index of Learning Styles instrument.

Preliminary Conclusions, Limitations, and Recommendations

The preliminary analysis of testing multiple regression in which the correlated learning styles as predictors to predict preferences for learning modality yielded a high R^2 . However, as the sample size increases for similar correlation coefficients, the R values yield p values that could meet the test of statistical significance.

It is anticipated that final results will demonstrate that learning styles may be predictors of online and video learning modalities. However, it is doubtful if learning styles will be a predictor of preference for the classroom-based modality for this healthcare group. Correlation and regression analysis addressed the predictive relationship between variables and not the causal nature of the relationship.

The small sample size is one limitation of this study since the findings cannot be generalized for a larger population. It is recommended that further studies be conducted using a larger sample size. Since this study involved employees with post-secondary degrees who worked in similar job capacities, future research needs to include employees with broader educational backgrounds and more diverse job responsibilities.

Contributions to the Field

The results will allow HRD practitioners to be able to optimize their limited resources by determining the most effective learning modality for training, retraining and certification in rapidly changing technologies and increasing complex health care needs. The return on investment in training will be justified by using the modality that is most effective and provide the trainee with the learning environment in which they are most productive.

Preliminary results for this sample indicated that there is a preference for online learning and not classroom-based modalities, regardless of learning style. This finding, if it continues to bear out in future studies, will provide further justification for the use of e-learning modalities for training purposes..

References

- Agogino, A.M., & His, S. (1995). Learning style based innovations to improve retention of female engineering students in the Synthesis Coalition. In *ASEE/IEEE Frontier in Education '95 Proceedings*. Purdue University .<http://fairway.ecn.purdue.edu/aasee/fie95/4a2/4a24a21/4a21/htm>
- Barbe, W.B., & Swassing, R.H. (1979). *Teaching through modality strengths*. New York, NY: Zane
- Birkey, R. C., & Rodman, K.J. (1995). *Adult learning styles and preference for technology programs*. <http://u.edu/www2.nu.edu/nuri/lcconf1995/birkey.html>: National Research Institute.
- Claxton, C.S., and Murrell, P.H. (1988). ED301143 88 Learning Styles. *ERIC Digest*. ERIC Clearinghouse on Higher Education, Washington, DC.
- Dille, B., & Mezack, M. (1991). Identifying predictors of high risk among community college telecourse students. *The American Journal of Distance Education*, 5(1), 24-35.
- Donzelli, D. (2000). Catch the waves: picking the winners. In R.Gay (Ed.), *A white paper on the B2B E-learning industry*. Retrieved December 2, 2002 from <http://www.masie.com/b2breport.pdf>.
- Dunn, R., & Dunn, K. (1978). *Teaching students through their individual learning styles*. Reston Publishing Company, Inc. Reston, VA.
- Eislzer, C.F. (1983). Perceptual preferences as an aspect of adolescent learning styles. *Education*, 103(3), 231-242.
- Felder, R. M. (1993). Reaching the second tier – Learning and teaching styles in college science education. *Journal of College Science Teaching*, 23(5), 286-290.
- Felder, R. M. and Silverman, L.K. (1988). Learning styles and teaching styles in engineering education. *Engineering Education*, 78(7), 674-681.
- Gee, D.G. (1990). *The impact of students' preferred learning style variables in a distance education course: A case study*. Portales: Eastern New Mexico University. (ERIC Document Reproduction Service No. ED 358836).
- Hruska-Reichmann, S., & Grasha, A.F. (1982). The Grasha-Riechmann student learning style scales. In J. Keefe (Ed.). *Student learning style and brain behavior* (pp. 81-86). National association of secondary school principals. Reston, VA.
- Keefe, J.W. (1987). *Theory and practice*. National Association of Secondary School Principals. Reston, .
- Keefe, J.W. (1991). *Learning style: Cognitive and thinking skills*. National Association of Secondary School Principals. Reston, VA.
- Kirby, P. (1979). *Cognitive style, learning style, and transfer skill acquisition*. Information Series No. 195. Columbus: Ohio State University, National Center for Research in Vocational Education, ED 186 685, (pp 123).
- Kirkpatrick, D. (1998). *Evaluating training programs: The four levels*. San Francisco: Berrett-Koehler.
- University of Georgia*. Retrieved May 1, 2003 from <http://jwilson.coe.uga.edu/EMT705/EMT705.Hood.html>
- Kramer-Koehler, P., Tooney, N. M. & Beke, D.P. The use of learning style innovations to improve retention. In *ASEE/IEEE Frontiers in Education '95: Proceedings*. Purdue University .<http://fairway.ecn.purdue.edu./aasee/fie95/4a2/4a22.htm>
- Kemp, J.E., Morrison, G. R., & Ross, S. M . (1998). *Designing effective instruction* (2nd ed.). Upper Saddle River, NJ
- Kolb, D. (1984). *Experiential learning: Experience as the source of learning and development*. Prentice-Hall., Englewood Cliffs, NJ.
- Kolb, D. A. (1986). *Learning style inventory: Technical manual*. (Rev. ed.). McBer. Inc. Boston, MA.

- Litzinger, M.E., & Osif, B.(1993). Accommodating diverse learning styles: Designing instruction for electronic information sources. In *What is Good Instruction Now? Library Instruction for the 90s*. Linda Shirato (ed). Ann Arbor, MI: Pierian Press.
- Park, J.H. & Wentling T.L.(2003). A conceptual framework of transfer for e-learning. University of Illinois at Urbana-Champaign, *The National Center for Supercomputing Applications*. Retrieved from: <http://learning.ncsa.uiuc.edu/papers/elearnlit.pdf>
- Price, G., Dunn, R., & Dunn, K. (1977). A summary of research on learning styles. *American Education Research Association*, New York, NY.
- Reiff, J. C. (1992). Learning styles. *National Education Association*. Washington, DC.
- Sarasin, L.C. (1998). Learning style perspectives: Impact in the classroom. Madison, WI: Atwood.
- Stronck, D.R. (1980). The educational implications of human individuality. *American Biology Teacher*, (42),146-151.
- Wratcher, M.A., Morrison, E.E.,Riley, V. L., & Scheirton, L.S. (1997). Curriculum and program planning: A study guide for the core seminar. Programs for higher education: *Nova Southeastern University*.

Applications of Psychology-based Theoretical Approaches to Executive Coaching: A Summary and Exploration of Potential Utility

*Brandi Lyn Plunkett
Toby Marshall Egan
Texas A&M University*

We focus on the fast growing human resource development (HRD) role of Executive Coaching and the psychological frameworks influencing coaching practice. Theories and applications underlying current practices in executive coaching are outlined and explored. Assumptions, roles, strategies, strengths, and weaknesses of a variety of coaching-related theoretical frameworks—from psychoanalytic to athletic coaching—are detailed and compared.

Keywords: Coaching, Individual Development, Psychology-based Theory

Although the concept of coaching is not new, executive coaching is quickly becoming the development approach of choice for many professionals (Bennet & Martin, 2001; Bobkin, 2002; Deane, 2001; Filipczak, 1998; Fulmer, 1997; Hall, Otazo, & Hollenbeck, 1999; Maher, 2001; Morris, B., 2000; Morris, T., 2000; Peterson & Hicks, 1999; Smither, London, Flaaftt, Vargas, & Kucine, 2003). Some scholars have attempted to explain this increased demand for executive coaches by pointing out that traditional executive development programs (usually involving some form of classroom or workshop instruction) do not meet the unique needs of executives in today's fast-paced business world (Conger, 1993; Edelstein & Armstrong, 1993; Filipczak, 1998; Zenger, Ulrich, & Smallwood, 2000). While executive development programs are often created and implemented based on sound learning theory, many executive coaching methods are not. Methods are often based on the executive coach's experience or isolated training rather than any kind of theory. Current scholarship and practice literature examines executive coaching from the standpoint of counseling or clinical psychology (e.g., psychodynamic theory or psychotherapy or behavioral modification), and rely on case studies or vignettes as illustrations or sources of evidence (Corey, 1991). However, despite a handful of articles that examine core approaches associated with executive coaching, there appear to be a very limited number of articles exploring the underlying theories associated with executive coaching interventions.

Purpose of the Paper and Research Questions

The purpose of this paper is to take the first step toward addressing the disconnect between theory and practice by exploring the breadth of theories, most of which originate from psychology, that are likely to influence underlying assumptions and overt practices chosen by executive coaches. We explore the practice of executive coaching with particular emphasis on applied and theoretical frameworks. The research questions include: 1) What are the theories influencing coaching practice?; 2) What are the goals associated with each theory?; 3) What are some of the strengths and weaknesses of the identified theories? 4) What are the implications for these theories in coaching and HRD practice? By identifying and analyzing the theories that may influence coaching practice, we create the conditions whereby HRD scholars and practitioners can make more informed contributions to the field of executive coaching.

Overview of Executive Coaching: Review of Current Literature

The following section reviews the available popular literature on coaching, outlines the current gaps in the literature, explores executive development, and the transferability of coaching skills to manager roles. Literature was selected through an extensive search of Ebsco and Proquest databases (key words: executive coaching, executive development, managerial coaching, management development) and through reviewing reference lists from a variety of published doctoral dissertations.

Coaching Overview

The notion of coaching employees in an organization can be found in the management literature as far back as the 1950's (Evered & Selman, 1989). The next two decades found business writers attempting to make connections between executive and sports coaching. However, several scholars and researchers find athletic coaching to be

Copyright © 2004 Brandi L. Plunkett, & Toby M. Egan

lacking specific consideration of complex and unpredictable issues unique to working in an organizational setting (Evered & Selman, 1989; McLean & Kuo, 2000). Currently, we find terms such as executive coaching, managerial coaching, executive development, and several other derivations of the term to mean generally one of two types of relationships; a one-on-one relationship with a high level executive, frequently involving an external coach, or a relationship involving a manager and his or her subordinate (Peltier, 2001). There are a number of other fields that use the term coach including: psychology, management training, industrial/organizational psychology, counseling, adult education and more (McLean & Kuo, 2000).

"Executive coaching is an outgrowth of executive development programs," (Judge & Cowell, 1997, p. 71). One of the differences, however, is that executive coaching includes ongoing support, frequent checkups, and feedback (Judge & Cowell, 1997). Executive coaching is a development-oriented approach designed to focus on specific contexts where executives can identify and understand problem behaviors, adopt new and better behaviors, and maintain sustained change; with the goal always being improved business results (Bobkin, 2002; Deane, 2001; Koonce, 1994). According to Witherspoon and White (1996), coaching leads to: clearer goals and roles, better self-awareness, better support for performance improvement, shared goals for success, better discovery of developmental needs, and better support for continuous development. These outcomes could be linked to a variety of psychological foundations. The analyses of frameworks and theoretical approaches described in this paper will make such linkages possible.

Gaps in the Current Research

Although the popularity of coaching as an applied field is experiencing growth, research and scholarly writing on the subject is sorely lacking (Ellinger & Bostrom, 2002; Ellinger, Ellinger, & Keller, 2003; Kilburg, 2000; McCall, 1988; McLean and Kuo, 2000; Smith, London, Flaatt, Vargas, & Kucine, 2003). The International Coaching Federation (ICF), the primary organization recognized for coaching certification, coaching resources, and where standards for the field were established (Bennett & Martin, 2001), experienced an increase in membership in 2001 to 2,400 members and estimated the number of practicing coaches in the United States to be in the neighborhood of 10,000, with the growth rate doubling each year (Maher, 2001; Deane, 2001; Morris, 2000). Yet, a study conducted in 1999 by Personnel Decisions International (PDI) showed that less than 10 percent of organizations using executive coaches were actually calculating the return on investment (ROI) (Peterson & Hicks, 1999). Finally, in 2001 Manchester, Inc. conducted what is believed to be the first major study to evaluate the impact of executive coaching and found the ROI to be almost six times the amount initially invested by corporations (Business Wire, 2001). While this study, and the popularity of coaching, speak the perceived value of executive coaching, there is no available evidence that organizations are asking questions about why it works, if it works consistently in a variety of situations, what individual coaches are doing to address long-term development, or if managers as coaches are able to achieve an overall success. Again, there is no discussion of any kind of theoretical underpinning of executive coaching methods or approaches. Some of the literature attempted to explain the lack of research on coaching by pointing out the confidential nature of the coaching relationship and the fact that the nature of the executive position precludes the executive from openly discussing developmental issues with colleagues, but this explanation does not address the lack of scholarly inquiry that would lead us to the creation of informed frameworks for coaching based on theory. It is clear that more scholarly research is needed to inform human resource development professionals regarding related theories, effective practices, and outcomes associated with the phenomenon of coaching (Ellinger, Ellinger, & Keller, 2003; Kilburg, 2000; McCall, 1988; McLean & Kuo, 2000; Smith, London, Flaatt, Vargas, & Kucine, 2003).

Defining Executive Coaching and Executive Coach

There is no single agreed upon definition of coaching, how it works, or what it is intended to do (Morris, T., 2000). However, the ICF does offer their definition of coaching as, "...an ongoing relationship that focuses on clients taking action toward the realization of their visions, goals, or desires," (Bennet & Martin, 2001, p. 6). Coaching can take on many different forms. "Some executives use coaching to learn specific skills, others to improve performance on the job or to prepare for advancement in business or professional life, and still others to support broader purposes, such as an executive's agenda for major organizational change," (Smith, et.al., 2003, p. 24). Overall, the literature suggests that executive coaching is a short-term, confidential, one-on-one development strategy with many possible goals (depending on the needs of the "coachee") including helping executives or managers overcome problems, increase confidence, solidify new behaviors, increase motivation, and link individual performance with organizational goals for the primary purpose of achieving better business results (Bobkin, 2002; Ellinger, Ellinger, & Keller, 2003; Hall, Otazo, Hollenbeck, 1999; Judge & Cowell, 1997; Koonce, 1994; McLean & Kuo, 2000; Mellema, 2001; O'Brien, 1997; Witherspoon & White, 1996). However, these definitions and explanations do not include discussion of theoretical underpinnings of coaching and its various approaches. While it

is acceptable for there to be no single agreed upon definition or strategy, executive coaching must know what its foundations are for practice if it is to be an informed field rather than a passing business trend.

For the purposes of this paper, executive coaching will be defined as processes and interventions facilitated by qualified consultants utilizing psychology and other HRD-related knowledge, skills, and techniques to assist positional leaders in the improvement of individual effectiveness, learning, and performance. An executive coach is defined as a trained HRD specialist who utilizes knowledge, skills, and techniques from psychology and HRD-related fields in the design, development, and implementation of individually focused change efforts aimed at improving executives' effectiveness, learning, and performance.

Theoretical Frameworks and Approaches

The following section outlines theoretical frameworks and approaches associated with executive coaching.

Specific Theoretical Frameworks Influencing Executive Coaching

Although clarification of appropriate steps in the coaching process is an important element of effective coaching, the nature of the relationship implies that the coach will, in fact must, have underlying assumptions regarding individual development.

Table 1. Differences in Practices: Coaching versus Therapy

Therapeutic Practice	Coaching Practice
Predominant focus on the past	Predominant focus on present and future
Data is gathered exclusively from client	Data is gathered from client and other stakeholders
Facilitated with passive orientation	Facilitated with active orientation
Problem-solution orientation is intrapsychic	Problem-solution orientation involves person-environment mix
Client enrichment important goal of the process	Organizational enhancement important goal for stakeholders including the client
Client is clearly the person with whom the coach works	"Client" definition unclear as it may involve organizational payment and mixture of organization-client interests
Confidentiality is clear, absolute, and often informed by legal statute	Confidentiality is complex, must be negotiated, and has less definitive legal parameters
Rigid client-therapist boundaries involving public anonymity and distance	Fluid client-coach boundaries including social settings
Work through to resolve personal/personality issues	Work through and around personal/personality issues
Client or HMO chooses therapist	Organization may choose coach

Influenced by Sperry (1996) and Peltier (2001)

The field of psychology has long been working toward approaches aimed at increasing individual well-being and capacity. Some executive coaches have identified psychology as a major contributor to their approaches to client interventions (Peltier, 2001). Whether or not an executive coach's background has included professional training regarding psychology paradigms and the implementation of various approaches to client intervention, assumptions regarding the nature of the coaching relationship and assumptions about human development in general are inherent in any coaching relationship. Ultimately, an executive coach will utilize some framework for working with a client(s). This section explores current perspectives from applied psychology and their interactions with executive coaching.

It is important to note that most of the applied psychological frameworks that can be associated with coaching originated in psychotherapeutic practices. Despite some overlap between therapeutic and coaching relationships, there are many differentiating factors between the two. Table 1 demonstrates the differences between therapy and coaching. The theoretical frameworks explored in this paper are identified and explored in Table 2 below:

Theoretical Approach	Foundational Assumptions	Goals of Coaching Relationship	Techniques	Strengths	Limitations
Psycho-dynamic	<ul style="list-style-type: none"> - Early experiences and personal development and current levels of mental energy are essential in understanding current behavior - Present behavior is strongly influenced by unconscious motives and conflicts - Irrational, aggressive and sexual impulses strongly influence behavior 	<ul style="list-style-type: none"> - To make unconscious attitudes, behaviors, and their roots conscious - To review the relationship between previous work and life experiences and current situations leading to insight regarding root causes of behavior - To expand intellectual awareness - To develop “work around” strategies for dealing with identified limitations 	<ul style="list-style-type: none"> - Utilizes dream interpretation, free association, analysis of resistance and analysis of transference. - Assists clients with self-awareness and minimizing self-defeating behaviors through dialogue and case history techniques 	<ul style="list-style-type: none"> - The techniques used to explore clients personal limitations and strengths have influenced coaching practices - Emphasis on self-awareness as a critical element in the personal change process - Assumes connections between work and personal life shaping the breadth of reflection explored by client 	<ul style="list-style-type: none"> - Is based on an in-depth approach that requires lengthy training - Social, cultural, and interpersonal factors are often overlooked in exchange for emphasis on personal factors. - It is difficult to transfer the in-depth therapeutic perspectives into the coaching context as client expectations for coaching are inconsistent with the demands of this approach
Adlerian	<ul style="list-style-type: none"> - Human nature is viewed as essentially positive - Individuals typically create a unique approach or life style which remains relatively constant throughout the lifespan - Core human motivations are social interest, goal orientation, and a focus on critical life tasks - People control their fate and are not victims of it 	<ul style="list-style-type: none"> - To challenge the basic premises and goals of clients - To provide support to clients in their development of socially useful goals. - To support change in faulty motivation and empower clients 	Paraphrasing, providing encouragement, confrontation, interpretation, gathering life history (family constellation, early recollections), coaching contracts, and homework assignments	<ul style="list-style-type: none"> - Is humanistic, unified, and goal oriented and places emphasis on social and psychological factors - Approach is relatively easy for clients to understand and to transfer to different contexts beyond the coaching relationship - Because it is a “growth model” it is ideally suited for a broad range of contexts including individuals and organizations 	<ul style="list-style-type: none"> - Weak in terms of precision, testability, and empirical validity. - Few attempts have been made to validate the basic concepts used in this approach to coaching - Tends to oversimplify some complex human problems and is based heavily on “common sense”
Jungian	<ul style="list-style-type: none"> - Human nature is both positive and negative and is better understood when including broad historical and cultural human perspectives - Humans have cognitive preferences that can be organized into psychological types - The unconscious plays an important role in human behavior - The potential for increasing development or awareness is not limited by age 	<ul style="list-style-type: none"> - To introduce the notion of individual preferences and psychological types in support of exploration of self and others. - To work with clients in the development of their understandings of the ways their faulty assumptions or complexes create barriers to their success - To support the notion of growing throughout the lifespan - To introduce the shadow concept as it relates to interactions and decision making 	Use of Myers-Briggs Type Indicator, exploring psychological type theory from individual and interactive perspective, exploring life history, assumptions, association techniques, dreams and imagery considered, journaling, and reflection	<ul style="list-style-type: none"> - The Myers-Briggs Type Indicator has been identified as one of the most popular and most recalled tools for exploring personality dimensions - The approach is holistic and engages in exploration of client's lives, not just their work lives - The emphasis on paying attention to symbolism can be helpful in the development imagination and interpretation of workplace interactions 	<ul style="list-style-type: none"> - The Myers-Briggs Type Indicator has been found to have questionable psychometric validity and reliability - The approach is demanding on individuals not used to thinking about the “big picture” of their lives, workplace, and decisions - Similar to the psychodynamic approach the demands on time and possible misalignment with client expectations may make this approach difficult to utilize
Person-Centered	<ul style="list-style-type: none"> - Human nature trends toward full functionality and positive outcomes - Increased awareness is developed through accessing feelings and insight not previously acknowledged - Developmental foci lead to actualization of potential, increased awareness, self-directedness, and increased self-esteem 	<ul style="list-style-type: none"> - To provide a climate for growth to clients in support of self-exploration - To challenge distorted notions of self or previous experiences - To enable openness and greater trust in self, in life as an ongoing process and to increased spontaneity and aliveness 	<ul style="list-style-type: none"> - Stresses the attitudes of the coach more than specific techniques. - Emphasizes active listening, hearing, paraphrasing, clarifying, and being fully present. This approach does not involve probing questions, or exploration of past issues 	<ul style="list-style-type: none"> - Client takes an active stance and assumes responsibility for coaching relationship - Training for coaches to utilize this method is relatively easy and accessible - Basic concepts easy to understand and apply - Excellent for building trust 	<ul style="list-style-type: none"> - Due to extensive active listening emphasized in this approach, the coach may be perceived as not providing enough advice - Those in crisis may need more direction from coach - Lacks specific or rigorous techniques

Approach	Foundational Assumptions	Goals of Coaching Relationship	Techniques	Strengths	Limitations
Existential	<ul style="list-style-type: none"> - Humans should be viewed holistically and subjectively - Humans have the capacity for self-awareness, responsibility, freedom of choice, determination of one's own fate, the search for unique meaning and anxiety - It is important that individuals develop philosophically regarding what it means to be human 	<ul style="list-style-type: none"> - To help clients to become aware of new possibilities and the current freedom that they are overlooking - To challenge clients to take responsibility for their actions and the events that occur in their lives - To help clients to identify barriers that block their sense of freedom 	Although this approach can be very confrontational and can borrow techniques from other approaches, there are no standard techniques	<ul style="list-style-type: none"> - Emphasizes the importance of a subjective approach to understanding the client - Asks clients to clarify a personal philosophy and approach to implementing it - Emphasizes the importance of a mutually respectful relationship between client and coach 	<ul style="list-style-type: none"> - The general framework used in this approach can be overly general - Has limited applicability to clients who are not verbal - Is limited in its ability to provide specific direction to clients (instead wants clients to develop their independent approach)
Behavioral	<ul style="list-style-type: none"> - Humans are both product and producer of the environment - Behavior is a product of learning and, therefore, can be modified - Assessment, evaluation, and goal setting are important to success 	<ul style="list-style-type: none"> - To apply the principles of learning theory - To eliminate unproductive and maladaptive behaviors - To learn more effective behaviors - To determine factors contributing to current behavior and what action can be taken to address the problematic behavior 	The main techniques used are systematic desensitization, relaxation techniques, modeling, cognitive restructuring, assertion and social skills training, self-management programs, behavioral rehearsal, and coaching of client regarding behavior and decision-making	<ul style="list-style-type: none"> - Emphasis on assessment and evaluation techniques provide basis for accountable practice - Specific problems and goals are identified and monitored - Has demonstrated effectiveness in a broad array of contexts including coaching 	<ul style="list-style-type: none"> - Although client behavior may change, their feelings or reactions may not, creating problems for long-term behavior change - Coach has predominant role in the relationship - Hard to assess outcomes because environmental variables cannot be controlled
Cognitive	<ul style="list-style-type: none"> - Human beings are born with the potential to think rationally, but also with tendencies to think irrationally - Human beings tend to socialize themselves to organize their lives around irrational beliefs - Coaching is a process of reeducation which is didactic and directive - Coaching is organized around client cognition, behavior, and action and stresses thinking, judging, analyzing, doing, and redirecting 	<ul style="list-style-type: none"> - To eliminate clients' self-defeating outlook - To assist clients in the development of a more rational and tolerant view of life. - To assist clients in applying the scientific method to solve emotional and behavior problems throughout life 	<ul style="list-style-type: none"> - Disputing irrational beliefs, homework, and changing one's thinking and behavior patterns. - Use of emotive techniques include role-playing, imagery, listening to tapes, keeping records on behavior, and shame attacking exercises 	<ul style="list-style-type: none"> - Uses an approach for limiting irrational thinking - Uses a variety of techniques that provide opportunities for people with various learning styles - Openness to incorporating techniques from other theoretical approaches 	<ul style="list-style-type: none"> - Coach may be perceived as too forceful, direct, or confrontational - Feelings may be left behind in place of a more thinking focus - Coaches must be careful not to be overly forceful with clients in ways that could be harmful
Systems	<ul style="list-style-type: none"> - The old paradigm associated with linear causality is replaced - Coaching is focused on the relationship between the client and the workplace system - Coaching is a process of shifting client perceptions from individual to context, from content to process, and from linear causality to circular determinism - By definition, coaches are inside of the system in which they are working with clients 	<ul style="list-style-type: none"> - Coaching questions shift from "why," "how," and "what is wrong with this person" to "how does this person's behavior make sense in to the organizational context?" - To focus clients on the present rather than the past - To focus on process over content identifying what is and the interactions that occur, not focusing on explanations for why they are that way - To avoid scapegoating by removing the focus on problem individuals to how the system perpetuates individual behavior - Work toward structural change 	<ul style="list-style-type: none"> - Family role identification—reflecting regarding the dynamics of the group or organization and the roles individuals play that are similar to family roles. - Exploring systems characteristics myths, roles, rules, and norms. - Process observation by client or coach, skills training, and reflecting on the "miracle question" as to what would it be like if in the ideal new context. 	<ul style="list-style-type: none"> - The approach changes the way in which the client is considered—from individual to individual-environment interchange - Understanding the ways individual executive action can have system-wide impact - Reframing interactions between parts of a system and the client's parts in the system - Extending the way in which clients consider their situations 	<ul style="list-style-type: none"> - Too much focus on system can remove responsibility from individuals/clients for their actions or related outcomes - Perceived locus of control can be blurred making it difficult for the client to focus on immediate needs - System dynamics are complex and demand client attention in order that they might be better understood - Some clients may feel overwhelmed by complexity of systems

Approach	Foundational Assumptions	Goals of Coaching Relationship	Techniques	Strengths	Limitations
Athletic Coaching	<ul style="list-style-type: none"> - Coaching is aimed at specific performance strategies in the context of well-defined parameters - Approaches to fostering and improving athletic and team performance are transferable to other individual and organizational contexts - Cooperation and an orientation toward “innocence” aimed at give and take interactions is important to organizational success - Practice the precise development of fundamentals 	<ul style="list-style-type: none"> - Work toward the development of specific and realistic performance goals - Establish agreed upon principles and clear contracts related to client's contexts, abilities, skills, and goals - To develop expertise in the execution of fundamentals associated with client's performance goals - The coach serves as catalyst for client development 	<ul style="list-style-type: none"> -Reflection on motivation and desire; using videotape to review behavior and actions; visualization techniques; reflection on defeat; establish contracts and principles for coaching relationship and for client's other situations needing clarification. - Uses sports literature, metaphor and genre. 	<ul style="list-style-type: none"> - Is clearly goal oriented - Supports the practice of establishing clear relationships between coach and client - Emphasizes the unique treatment of each client and the focus on their strengths - Is comfortable with the notion that client-coach relationships can be fun - Utilizes visual tools, audio, and video techniques to provide specific client feedback - Can provide memorable sayings or metaphors that stay with clients 	<ul style="list-style-type: none"> - Is based on sports and motivation approaches that can often be oversimplified - Often places the coach in place of authority versus mutual connection - Theoretical underpinnings not well developed - Depends on observable and obviously measurable outcomes to determine success in achieving goals
Feminist	<ul style="list-style-type: none"> - Society is generally male dominated and unconscious regarding the effects of patriarchy - Women's often unique preferences for working and living in community may be overlooked or subsumed by the larger environment - Women can develop strategies for greater growth and independence through awareness, strategizing, and support from allies 	<ul style="list-style-type: none"> - To develop awareness regarding the male dominated system and its aversive impact - To develop client strategies for managing the male dominated system on an individual basis - To help clients figure out unwritten rules and gender codes - Assist client in developing support, where possible, for reinforcing awareness of male dynamics and persistence regarding goals 	<ul style="list-style-type: none"> - Reading of feminist/women's perspectives - Dialogues with other women aimed at reflection and self-awareness - Utilizes social networks as catalysts for growth and development - Often encourages the utilization of experienced women who “have been there” and who are willing to help. 	<ul style="list-style-type: none"> - Focuses on systems-level analysis in analyzing clients' situations - Use of extended network including the coaching relationship can help in achieving desired goals - Clients learn to see how some of their negative self-perceptions are connected to gender issues and can learn to reframe them - Creates overall awareness of the potential impacts of gender on relationships and interactions 	<ul style="list-style-type: none"> - Can be overly general in defining gender roles, social structures, and individual perceptions - Previously unaware client may become overwhelmed by insights regarding negative experiences with men/male dominated systems - Outward discussion of concerns about gender issues in the workplace can lead to isolation for those who discuss them

Adopted from Corey (2000) and Peltier (2001)

Although in some cases overlapping, these perspectives have unique orientations to the framing of both the client-coach relationship and the underlying assumptions about the nature of human development. Some perspectives, such as the psychodynamic, Adlerian, and Jungian approaches assume underlying issues such as personal history, family history, or psychological type influence present behavior. Utilizing these perspectives in coaching implies that there is a need to support the client in the development of a basic framework for understanding the interaction between personal underlying orientations and workplace interactions. Unlike the therapeutic approach from which these frameworks emerge, coaching applications influenced by these theories involve much less emphasis on client self-disclosure and more on assessment techniques that will support the client's understanding of some of the underlying issues that could be considered in workplace interaction and decision-making.

Although coaching is generally more present than past focused, some approaches such as person-centered or existential view the present with much more emphasis than three approaches identified previously. Similarities between person-centered and existential approaches are the focus on personal perspectives and individual responsibility for challenges being faced by the client. These two approaches often position the coach as an active listener but more passive talker than other approaches to working with clients.

Cognitive and behavioral approaches overlap in their more directive focus on the part of the coach and their focus on observable behavioral outcomes as a key indicator for goal setting and measured progress. Behavioral approaches focus more on the actions of clients in the context of their consistency or inconsistency with desired outcomes while the cognitive approach explores the manner in which the client has supported or inhibited belief systems that are either desirable or undesirable. In recent years, cognitive and behavioral approaches have been combined to cognitive-behaviorist approaches to coaching. These frameworks attempt to provide support and action planning for behavioral modification or reinforcement while paying attention to self-image, learning, and client use of the scientific method to solve problems.

Because of their focus on large scale impacts on individual functioning, we placed systems and feminist perspectives next to each other on Table 2. Both perspectives insert an assumption involving interconnectedness of the parts of an organization or system and the potential for those parts to influence individual understanding, perspectives, and outcomes. Both perspectives see events and assumptions of system stakeholders to be influenced by interchanges between various elements leading to the need to take a nonlinear approach to engaging a specific problem or issue in an organizational context. The departure between systems and feminist approach is at the point of causality, as feminist perspectives have a more narrowly defined set of explanations for the manner in which a systems operates and by which outcomes occur. In theory, systems perspectives are more neutral regarding the underlying assumptions driving a particular system dynamic.

Finally, athletic coaching is likely what influenced the term "executive coaching" (Peltier, 2001). Of the theories identified, athletic coaching is the least well formulated. However, in practice, athletic coaching is the most frequently practiced development approach of all the areas identified in this study. Some key themes identified by Peltier include: 1) focus on individual drive; 2) focus on the development and use of fundamentals; 3) utilizing individualized approaches involving flexibility and ingenuity; 4) setting goals relevant to individual progress versus "top status" or "becoming the best."; 5) using visualization; 6) accessing video feedback when possible; 7) learning from defeat; and 8) focusing on communication, trust, and integrity. Until recently, insights regarding athletic coaching has been communicated in popular literature and has lacked coherence and scholarly organization. However, academics in kinesiology, sports psychology, sports education, and sports management, and in business schools have begun to assemble more coherent discussions and research associated with theoretical and applied dimensions associated with athletic coaching. This literature may provide more specific conceptualizations of the influences of athletic coaching approaches to theory and practice in other realms of human development.

Summary

The purpose of this paper was to explore the practice of executive coaching with particular emphasis on applied and theoretical frameworks associated with coaching. The psychology-based theories identified provide some insight into the types of assumptions that may be chosen and likely influence current executive coaching practice. It is important to note that although all of the theories identified are likely influencing current coaching practice the overt goal orientations underlying behavioral and cognitive approaches likely make it most attractive in task-focused business environments. This is due largely to the utilitarian approach taken by clients who have specific performance or outcome related expectations.

Psychologists sometimes get stuck in their primary theoretical point of view. This is professionally acceptable in the practice of psychotherapy, in part because it is part of theoretical integrity. But this is counterproductive in

executive coaching. Unlike many psychotherapy patients, coaching clients will quit the relationship when they aren't getting results (Peltier, 2001, p. 175).

Perhaps most important from a scholarly perspective is the need for HRD professionals to more closely examine the implications of various approaches. Similarly, it is important to note that the numbers of therapists or coaches dedicated to a single theoretical framework pales in comparison to those who use a combined or eclectic approach (Corey, 2000; Peltier, 2001). Therefore, understanding the breadth of psychology-based theoretical orientations can assist executive coaches not only to be more informed practitioners, but may influence their interpretations of client situations and the extend the range of possibilities for interventions with clients.

References

- Bennett, J.L., & Martin, D.J. (2001). The next professional wave: Consultant/coach. *Consulting to Management*, 12(3), 6-8.
- Bobbin, S. (2002). Everything HR needs to know about executive coaching. *Canadian HR Reporter*, 15(10), 9-11.
- Executive coaching yields return on investment of almost six times its cost says study (2001). Business Wire, January 4th. Retrieved November 11th, 2002. http://www.findarticles.com/cs_0/m0EIN/2001_Jan_4/
- Conger, J. (1993). The brave new world of leadership training. *Organizational Dynamics*, 21(3), 46-59.
- Corey, G. (2000). *Theory and practice of counseling and psychotherapy* (6th ed.). New York: Wadsworth.
- Deane, R. (2001). Coaching: A winning strategy. *The British Journal of Administrative Management*, 25(May/June), 22-23.
- Edelstein, B., & Armstrong, D. (1993). A model for executive development. *Human Resource Planning*, 16(4), 51-68.
- Ellinger, A. D., & Bostrom, R.P. (2002). An examination of manager's beliefs about their roles as facilitators of learning. *Management Learning*, 33(2), 147-179.
- Ellinger, A.D., Ellinger, A.E., & Keller, S.B. (2003). Supervisory coaching behavior: Is there a payoff? *Proceedings of the Academy of Human Resource Development Conference*, Minneapolis, MN, Vol.1, 443-450.
- Evered, R.D., & Selman, J.C. (1989). Coaching and the art of management. *Organizational Dynamics*, 18(2), 16-32.
- Filipczak, B. (1998). The executive coach. Helper or healer? *Training*, 35(3), 30-36.
- Fulmer, R. M. (1997). The evolving paradigm of leadership development. *Organizational Dynamics*, 25(45), 59-72.
- Hall, D.T., Otazo, K.L., & Hollenbeck, G.P. (1999). Behind closed doors: What really happens in executive coaching. *Organizational Dynamics*, 37(3), 39-53.
- Judge, W.Q., & Cowell, J. (1997). The brave new world of executive coaching. *Business Horizons*, 40(4), 71-78.
- Kilburg, R. (2000). *Executive coaching: Developing managerial wisdom in a world of chaos*. Washington D.C.: American Psychological Association.
- Koonce, R. (1994). One on one. *Tranining and Development*, 48(2), 34-40.
- Maher, S. (2001). The case for a coach. *Association Management*, 53(4), 78-85.
- McCall, M.W. (1988). Developing executives through work experiences. *Human Resource Planning*, 11(1), 2-11.
- McLean, G. N., Min-Hsun, K. (2000). Coaching in organizations: Self-assessment of competence. *Proceedings of the Academy of Human Resource Development Conference*, Raleigh-Durham, NC., Vol. 2, 638-645.
- Mellema, A. (2001). The many faces of executive coaching. *Canadian HR Reporter*, 14(11), G2-G4.
- Morris, B. (2000). So you're a player. Do you need a coach? *Fortune*, 141(4),144-154.
- Morris, T. (2000). Coaching: Rebirth of an age-old remedy. *AFP Exchange*, 20(3), 34-36.
- O'Brien, M. (1997, April). Executive coaching. *Supervision*, 58(4), 6-8.
- Peltier, B. (2001). *Psychology of executive coaching*. New York: Brunner-Rutledge.
- Peterson, D.B., & Hicks, M.D., (1999). Strategic coaching: Five ways to get the most value. *HR Focus* (February), 57-58.
- Smithier, J. W., London, M., Flauitt, R., Vargas, Y., & Kucine, I. (2003). Can working with an executive coach improve multisource feedback ratings over time? A quasi-experimental field study. *Personnel Psychology*, 56, 23-44.
- Witherspoon, R., & White, R.P. (1996). Executive coaching: What's in it for you? *Training and Development*, 50(3), 14-15.
- Zenger, J., Ulrich, D. & Smallwood, N. (2000). The new leadership development. *Training and Development*, 54(3), 22-27.

An Investigation of CEOs' Learning Experiences: Implications for Leadership Training

Margot B. Weinstein
Kingston Group Inc.

This study explored the learning experiences of CEOs in organizations for profit throughout the United States. Malcolm Knowles theory of Andragogy was used as the framework of the inquiry. While the CEO's position is considered unique from other executive positions, it is has not been the focus of many studies. The findings suggest how CEOs learn and how the implications of this research can be used to improve leadership development programs in HRD

Keywords: CEOs, Leadership Development, Adult Learning

Today's organizations worldwide are faced with many new challenges in business. Leaders must learn new strategies, competencies and skills in order to lead organizations successfully in this new age (Collins & Holton III, 2003; Kotter, 1988; Sherlock 2002; Bennis & Nanus, 1985; Senge, 1990). Even though the literature asserts that the Chief Executive Officer (CEO) plays a key role in the success of the organization, few studies have concentrated on understanding how the CEOs learn (Sherlock, 2002; Bennis & Nanus, 1985). Many studies have focused on how senior executives learn, but few studies have focused exclusively on how the Chief Executive Officers learns (CEO) (Collins and Holton III, 2003; Sherlock, 2002). "This lack of understanding of how CEOs learn has negative workplace implications for both CEOs and the organizations they serve. It produces an information void for both the CEO seeking self-development, as well as executive development practitioners who seek to facilitate CEO development in both current CEOs and potential successors" (Sherlock, 2002, p. 632).

The purpose of this paper is to explore how CEOs' learn, and relate the information to expand the literature on leadership training in organizations. The research study used Andragogy by Malcolm Knowles as the lens to examine the topic because the framework of Andragogy with its core adult learning principles works well when it is adapted to fit the uniqueness of the learners and the learning situation (Knowles, Holton, & Swanson, 1998). This paper first defines the terms and theoretical framework. Then, the paper provides a summation of how qualitative research methods were used as a lens to examine the learning experiences of 33 CEOs' from real estate companies throughout the United States. Last, the paper relates the conclusions and implications of the research to add to the literature for developing leadership training and education programs in HRD.

Definition of Terms and Theoretical Framework

Professional Context

"Professional Context" was operationalized in this study to mean CEOs of large real estate companies who operated for profit in the United States. Serving as CEO is unique context, because he/she has the highest level of staff accountability for achieving organizational goals and power dynamics between 1) The CEO and the staff reporting to him/her, and 2) The CEO and the Board of Directors to whom the CEO reports (Sherlock, 2002).

The CEO is recognized as a unique position that allows the person to occupy a position of unique influence in the firm" (Mintzberg, 1983). The result of the degree of power that the CEO has, and his/her role and responsibilities, the literature states that that this creates a unique "professional context" that is unlike others who are in an executive capacity (Sherlock, 2002).

Leadership

The definition of leaders and leadership is an elusive concept, although written about often, the concept has been vague and ambiguous. The definition of leaders in this study was operationalized to as that defined by James MacGregor Burns (1978) in his book *Leadership*: "Leadership is leaders inducing followers to act for certain goals that represent the values and the motivations-the wants and needs, the aspirations and expectations-of both leaders and followers. And the genius of leadership lies in the manner in which leaders see and act on their own and their followers= values and motivations" (p.3).

Copyright © Margot B. Weinstein

Andragogy.

This qualitative research study used the concept of Andragogy by Malcolm Knowles as the framework of inquiry to explore the learning phenomenon of how CEOs perceive and describe their learning from an adult learning perspective. The concept of Andragogy by Malcolm Knowles is defined as “the art and science of helping adults learn” (Knowles, 1980, p. 43). Andragogy transformed the study of adult learning. A review of the literature acknowledged that the following concept has been used to examine on how adults learn in organizations (Knowles, 1995; Gilley and Eggland, 1989). Additionally, Andragogy is a unique concept that focuses on the internal process of how adults learn.

Malcolm Knowles (1980, 1995) concept of Andragogy, adult learning theory is based on the assumption that learning is an internal process of which the locus of control resides with the learner. Five key assumptions form the tenets of Andragogy by Knowles (1980; 1995):

Self-concept of the learner. Adults have a deep psychological need to be self-directing. As adults, they have a deep psychological need to be perceived by others and treated by others as able to take responsibility for themselves (Knowles, 1995). Adults do not want to find themselves in situations where they feel that others are imposing their will on them without their participation in making decisions that affect them. When this happens, adults feel resentment and resistant. As a result, the Andragogical process assumes that adults should enter in the design process of a program.

Role of experience. Adults bring with them a rich background of experiences that is a valuable resource for their own learning and that of other students. Adults come to situations with a depth and breadth of experience than can be used as a resource for theirs and other learning (Knowles, 1980, 1995).

Readiness to learn. Adults learn more effectively when adults see that the information is relevant to their lives. It assumes that the facilitators need to help adults see how the training programs or courses can help them perform more effectively in their jobs.

Orientation to learn. Adults enter into educational or training activities to acquire prescribed subject-matter. Educational activities need to help adults in the process of acquiring content in organized units, sequenced according to logic of the subject matter.

Motivation to learn. “Each person is unique and brings with his/her own goals and internal motivators; it assumes that learning plans and strategies must be highly individualized” (Knowles, 1995, pp. 1-3). The Andragogical Model acknowledges that adults will respond to external motivators such as a promotion, a change of jobs or a change in technology; it assumes that the most powerful motivators are internal (i.e. self-esteem, recognition by peers, better quality of life, greater self-confidence, self-actualization), and that program announcements should emphasize these benefits (Knowles, 1995).

Research Questions

The following research questions guided this study:

1. How did the leaders describe and perceive their learning?
2. What were the common learning strategies the leaders used to learn?
3. How can these strategies be utilized to improve leadership training programs in organizations?

Methodology

The study used phenomenological research design to explore how CEOs perceived and described their learning in this context. In phenomenology, an interview has a unique potential to provide an understanding of the lived experiences of participants that helps to explicate the meaning of the phenomena (Van Manen, 1990). There are various approaches and methods used with phenomenology, but all of them contain certain common characteristics (Lincoln and Guba, 1985). This methodology allowed the researcher to explore the subject through formal and informal interviews, and gain new insights from the themes that emerged (Denzin & Lincoln, 1994). Qualitative research methodology was used for the research because an intensive description and analysis of the phenomenon would uncover the interplay of significant factors that are characteristic of the phenomenon (Merriam & Simpson, 1995). A key goal for HRD practitioners is to strive for insight into the human experience and provide a new level of understanding that strengthens current knowledge in the area (Van Manen, 1990).

Participants

By means accorded in the methodology (Lincoln & Guba, 1995), 33 CEOs of real estate companies throughout the United States were purposely selected because they represented successful business organizations for profit in the United States in the field. The researcher’s knowledge of and work experience in the field was helpful in gaining

research access to 33 CEOs. The sample was limited to individuals who were considered exemplar executives in the field based on characteristics of top professional in the membership profile of the National Association of REALTORS® (1996). Participants characteristics were: (a) 27 were men and six were women. (b) The ages of the respondents ranged from mid-40s to 70 years old. (c) The respondents had practiced a minimum of 10 years in the business, and (d) had been CEO for a minimum of five years. (e) had completed a minimum of a bachelor's degree, and (d) all took CPE regularly to increase knowledge.

Procedure

The researcher studied the respondents and their companies for two years. Standardization was obtained by taping one formal interview with each respondent using questions that were designed in advance, and all respondents were asked the questions in exactly the same sequence and manner (Lincoln and Guba, 1995). In addition to the 33 formal taped interviews with each CEO, additional informal interviews, both face-to-face and telephone were taped with consent of the participants to clarify answers or gather additional information. The researcher used structured, open-ended questions to explore participants' perceptions regarding the subject matter. The characteristics that emerged from the interviews were validated through documents, journals, a literature review and discussions with other CEOs and educators in the field.

After the completion of the data analysis process, another phase of data analysis, a search for themes, was begun. The process used "concept mapping" (Smith & Associates, 1990) as a diagnostic tool. "A concept map depicts in a diagrammatic form, ideas, examples, relationships, and implications about a particular concept. The center or core idea is placed at the center or top of the page, and radiating from it are a number of spokes or lines leading to other concepts related to, or indicated of the central idea" (Smith et al., p. 49). Concept mapping enabled the researchers to group similar examples of large concepts together, and smaller concepts were set aside until they could be integrated into the larger themes; this process allowed the dominant themes to emerge from the data.

In order to examine the data from the formal interviews, tables were designed to display the data, and quotations from respondents and further explanation were presented by the researcher as needed to explain the data. The characteristics that emerged from these in-depth interviews were validated through review of tapes, transcriptions, and field notes of the interviews. The researcher contacted the respondents several times during this study as well as reviewed all published information about their companies and themselves in order to obtain accurate information. The respondents also received copies of the final transcribed tapes and edited any personal information that they did not want in the final case study. The information was further validated through documents, journals, literature review, and discussions with other CEOs and educators in the field.

The similarity of the process of the information gained in the research made possible the rich, descriptive data needed to interpret the phenomenon being investigated as explained by Merriam and Simpson (1995).

Limitations

Since this qualitative study was based on a small sample of 33 CEOs in real estate, the study can not attempt to predict how CEOs learn in all contexts. Although qualitative studies can lead to deeper insights into the area of the study, findings from qualitative studies cannot be generalized in the same way as the findings from random samples. In addition, although the researcher spent considerable face-to-face time to establishing rapport and trust with the CEOs, the study is also limited by the willingness of the participants to discuss their personal learning experience. For these reasons, this study should be the first step to lead to further research on the subject.

Results and Findings

The results provided information and data that led to deeper understanding on all three research questions. This section presents the themes that emerged from the interviews with the participants that describe how they learn using adult learning principles of Andragogy. The 33 CEOs in this study presented similar stories that led to consistency of the 12 themes presented in this section.

Themes That Emerged

Theme 1. Be lifelong learners. The Andragogical Model supports that adults will respond to some external motivators for example, a chance for promotion, a change of jobs, or a change in technology. The Model proposes that the more potent motivators are internal-such as self-esteem, recognition by peers, better quality of life, great self-confidence, self-actualization. The CEOs recognized that success in their job requires a dedication to be lifelong learner to deal with the changes and challenges in business. The CEOs believed that utilizing opportunities for continual learning was one of the most important reasons they chose and were successful in business. They used phrases such as "being on the top of the heap," "being innovative," "learning faster than competitors," and "being a quick study," which expressed what made these CEOs' love the field. Respondents explained that with the

development of newer technologies, new laws, and constant restructuring of companies they must continue to adapt and learn in order to remain successful in the business. CEOs often described how they had entered into training programs or educational activities that were offered at the organization to obtain valuable information. They felt that they learned better when learning activities are designed in a logical order for the material. They always felt that they are short on time, and they do not want to attend learning activities in which the material is not organized in a way for them to learn it easily.

Theme 2. Use entrepreneurial characteristics. Knowles (1995) asserts that adults learn from their life experiences, and they are motivated to learn for personal change and career advancement. CEOs stated the CEO is a unique position, and that they succeed because they concentrate on learning and thinking in new ways which they believe centers on learning by using the characteristics of entrepreneurs as they have read the literature by several authors (McClelland, 1965; Meyers, 1986; Peters, 1994). CEOs state that they embraced qualities of entrepreneurship by being: 1) Creative; 2) Innovative; 3) Risk takers; 4) Possess interest in concrete knowledge of the result of decision (i.e., money as a measure of success); 5) They have need for achievement; and 6. Take personal responsibility for their learning. (McClelland, 1965, p. 389).

Throughout the interviews, CEOs continually conveyed the importance of being able to use information in creative and innovative ways to succeed. Their statements affirmed writings by Roberts (1994) that people who are innovative create their future. Roberts stated, "You learn rapidly from experience, and continually improve your ability to take effective action and produce results" (p. 228). CEOs repeatedly explained that their position demands that they think like an entrepreneur and are self-directed learners who take responsibility for knowing how to investigate situations using a variety of strategies to propose innovative solutions.

Theme 3. Develop interpersonal skills. The Andragogical Model assumes that adults enter into an educational activity with a greater volume and a different quality of experience than youths. The greater volume is obvious in regard to the interpersonal skills of the CEOs. CEOs said that they had developed outstanding interpersonal skills. CEOs explained that business was a "people business" and successful leaders must be able to utilize interpersonal skills to interact with customers, CEOs, experts, the public and members of the board of directors.

Although 33 CEOs believe in practicing an "open-door" policy that encourages effective communication with everyone who is important to their organizations, the six women CEOs attributed the formation of their interpersonal skills to being a women in American society. They believed that women, more than men, are encouraged from childhood to learn how to communicate effectively with family members and friends. Young girls are able to express ideas openly, share information, and receive feedback. The women emphasized the ability to listen is an important skill CEOs need to learn in the business. They also stressed that the ability to deal with nonverbal signs of communication is also critical skills for leaders to serve diverse workforces, publics and populations.

Theme 4. Value expertise. The Andragogical Model assumes that adults benefit from former rich life experiences. As in the Andragogical Model, the CEOs in this study have been in their role for over five years, and as such have had vast life experiences and different quality of experiences the non-CEOs in their companies. The respondents felt that they had gained knowledge through experience and practice that had enabled them to become experts in their area of the business similar to literature on expertise (Benner; 1994; Smith, 1982, 1990; Weinstein, 1998; 1999). The respondents frequently explained that they valued expertise, and they constantly seek other experts. They described two types of experts who they sought to keep learning in the business: 1) Other people who were experts in their business, and 2) were experts who practiced in other fields. For example, they sought out lawyers, bankers, accountants who could keep them abreast of important new changes in the business.

Theme 5. Recognize and value diversity. The Andragogical Model assumes that adults enter into activities with a different quality of experience from the different roles adults perform, and they value a climate where people feel that they are being treated as human beings. The CEOs' described the importance of respecting and valuing other people. CEOs stated that their employees and customers are becoming increasingly diverse. They work with employees and customers of all ages, sexes, ethnicities, disabilities and differences. CEOs embraced ideas expressed in the words by Work (1996): In the final analysis, true leadership brings people of diverse backgrounds and interests together in ways that provide fair and equitable opportunities to contribute their best, achieve personal goals, and realize their full potential (p. 79). CEOs recognize the importance of learning of others and creating an organization in which learning is encouraged throughout the organization

Theme 6. Be problem solvers. The Andragogical Model acknowledges that adults are motivated to learn after they experience a need to know, and they enter into an activity with a life-task and are problem-centered. The Andragogical process assumes that people tend to feel committed to any decision in proportion to the extent to which they have participated in making it, and they tend to feel uncommitted to any decision that they feel others are making for or imposing on them (Knowles, 1995). The CEOs explained that they had developed an ability to define difficult

problems, find solutions and achieve their goals. CEOs often work with others to solve intricate business problems. They described problems that often complex solved over time through cycles and iterations that is similar to ideas explained in literature (Argyris and Schon , 1974, 1978). During the continuous process of problem-solving, CEOs said that they work with employees individually as well as in groups to resolve problems. They demonstrated the ability to trust their employees and delegate jobs and responsibility effectively to solve problems to reach organizational goals.

Theme 7. Importance of networking. Knowles Model assumes that although there is competition and adults enter into learning activities with rivalry toward fellow learners, the Model also recognizes that peers are often the riches resources for learning. CEOs understood that Networking is a way to gather useful information, build a pool of professional contacts, and position themselves for new opportunities in the long term. The CEOs explained that they were constantly networking to find people who could provide them with the answers to problems. They believed that networking enables them to build relationships, and they do this both at different business functions and in their personal lives (i.e. professional associations, PTA meetings, family functions, and community functions). The respondents also remarked that they believed that in the future, the Internet and E-mail will provide them with another valuable way to network.

Theme 8. Support teamwork and collaboration. The Model assumes that not only do adults learn from peers, but it assumes that people learn more from those they trust and respect rather than from those that they are not sure they can trust. CEOs stated that a climate of mutual trust, support and openness is necessary for optimum learning to take place. They said that they have developed their ability to learn in groups in a variety of situations (e.g., with employees, in courses, in lectures, at conventions, in teaching or training sessions, etc.). Respondents stated that leaders must possess the skills necessary to work in groups effectively, because of demands in business. They explained that such collaborative learning requires communication skills, observation and reflection skills, and planning and consensus skills and developing an organization where people feel comfortable sharing information to work together effectively.

Theme 9. Value the mentoring relationship. The Andragogical Model asserts that adults can be induced to learn by exposing them to role Models and experiences to assess the gaps between where they are now and where they want and need to be in terms of this personal competencies. CEOs described mentors who had been essential in enabling them to become successful CEOs. The respondents stated that teachers were mentors in their early schooling, and throughout their careers they have had many mentors, and as a result, they believe in mentoring others.

Theme 10. Be trainers and teachers. The Andragogical Model asserts that adults experience a need to know or to be able to do something to perform more effectively in some aspect of their lives. Among the chief sources of readiness are the developmental tasks associated with moving from one state to another, or any change, such in job, activities can induce readiness by providing learners with a diagnostic experiences to assess the gaps between where they know, and where they want and need to be in terms of their personal competencies. Respondents claimed that it was essential to learning new material and gaining insight on solving problems for them to train and teach in the business. The old adages “good leaders are good teachers@ and don=t know what you know until you teach it@ applied to these CEOs. They discussed how they learned how to teach through the process of training employees and teaching courses, and through constantly taking training and educational programs throughout their careers. They also gained valuable information through assessments forms and feedback from their employees and students. They affirmed that in a training or teaching session, adults must: be involved, receive content that relates to their specific work setting and expertise, and have an atmosphere or setting that is comfortable. Teachers should use overheads, computer technology, lectures, and cases studies and involve learners through dialogs, questions, and group discussions.

Theme 11. Value integrity and honesty. The Andragogical Model assumes that adults learn best in a setting where people are treated fairly and honestly. CEOs understood that they needed to treat their employees and customers fairly in order to be successful. They explained that their role as CEO creates intense feelings of responsibility and accountability, especially with new laws, lawsuits, etc., in business. CEOs were critically aware of how important their ethical behavior was in their leadership role and to the success of the organization, and they continue to learn to create an environment where people are treated fairly.

Theme 12. Create an open learning environment. The Andragogical Model assumes that adults learn from each other, and when they work well together, learning increases for everyone. Knowles (1995) suggested that although there is rivalry with adults in learning experiences, they work to create open supportive atmospheres that can increase learning and sharing ideas throughout the organization. CEOs recognized the power dynamics of their position as well as their need to transcend that dynamics in order for everyone to work together effectively. With constant changes in the business and the competition, CEOs believe that they must work to build an environment where employees can learn from each other through for the organization to remain profitable. CEOs' understood the power dynamics of their

position, and that the dynamics is important in shaping "what" and "how" they learn. CEOs' recognized that his/her role was to transcend the power dynamics in the organization so that they could help employees work together, collaborate, and learn from each other to stay ahead of the competition from other organizations.

Conclusions and Recommendations

This study used the framework of Andragogy to uncover and describe the 12 competencies that these CEOs use in their learning process. This section discusses the major conclusions of the research:

The assumptions of the Andragogy appear to provide an excellent Model to explore how CEOs' learn, and the Model could be used in further research studies with CEOs. Adult learning theories have been used in several studies as a framework of inquiry to explore the leadership phenomena (Sherlock, 2002). And the competencies cited in this study are similar to ones discovered in other research studies on leaders of organizations (Sherlock, 2002; Collins and Holton III, 2003; Senge, 1990; Peters, 1994; Weinstein, 1999; 1998). Knowles (1995) discussed in *Designs for Adult Learning*, how the practical resources, exercises and course outlines he designed in the book could inform employees in the workplace. This study supports the ideas expressed in his Model, and offer many suggestions for incorporating the results of this study into leadership development programs.

Second, the research supports literature on the overall importance for CEOs to be self-directed learners who know how they learn and how to foster continual learning throughout the organization. The CEOs in this study sought out learning opportunities through formal and informal learning activities, and they suggested several activities and programs whereby training programs could incorporate these ideas. Leadership training programs could be designed by utilizing the 12 themes and information discussed in this study. The twelve themes that were cited in this study as key to leadership are consistent with other studies (Collins and Holton III, 2003; Leeamornsiri and Schwindt, 2002.).

A third implication was that CEOs' understood the power dynamics of their position, and that the dynamics is important in shaping "what" and "how" they learn. The Andragogical Model assumes that adults have a deep psychological need to be self-directing, and the CEOs supported this theme by providing learning opportunities and personal growth throughout their organizations. CEOs' recognized that his/her role was to transcend the power dynamics in the organization so that they could help employees work together, collaborate, and learn from each other to stay ahead of the competition from other organizations. Further research could examine in detail how the competencies CEOs' used to learn in this context could be utilized in training programs.

Fourth, although of the 33 CEOs, only six were women, the women described how being a woman in the United States contributed to their development of learning strategies that will be important to successful CEOs in the future. The Andragogical Model assumes that adults bring with them a rich background of experiences that is valuable resource for their own learning and that of other students. The women CEOs attributed the formation of their excellent interpersonal skills, working well in teams and in collaboration from being a woman in American society. They believed that women, more than men, are encouraged from childhood to learn how to communicate effectively with family members and friends, as a result, they are able to express ideas openly, share information, and receive feedback.

Future studies should examine how women CEOs' perhaps possess skills that help them learn effectively that could be applied in leadership training programs.

Last, with the amount of money spent on leadership development and training programs, further research should examine how CEOs learn. Both qualitative and quantitative research should be conducted to examine this topic. Since most of the research has been conducted on leadership training programs with senior management people instead of CEOs, perhaps, there are different qualities or strategies that should be used to develop training programs for CEOs because of their senior position in the company. The lack of understanding of how CEOs' learn has negative workplace implications for both CEOs and the organizations they serve, and more research could add to the literature in the field.

Implications for HRD Research and Practice

Organizations spend millions each year on leadership training. As we enter the millennium, visionary leadership is needed in HRD to succeed in competitive and changing workplaces (Noe, 2001; Knowles, 1980, 1995; Gilley and Eggland, 1989; Senge, 1990). With increasing global competitiveness, continuous restructuring activities, demographic changes in the workforce, customer demands, and rapid technological changes, CEOs are in a unique professional context to help organizations compete successful today. The CEOs in this study acknowledged that

learning was essential to their success as well as to the organization's profitability. However, most research studies focus on managers and non-CEO learning, even though literature supports that executive learning research provides little insight on the learning of CEOs (Sherlock, 2002). While learning remains a focus of leadership development programs and interventions (Sherlock, 2002; Collins & Holton III, 2003), there is a need to do more research specifically with CEOs to understand how they learn in order to design better-quality programs for future CEOs. Since this study was limited to CEOs in the real estate business, perhaps the all the themes that emerged would not be supported by CEOs in other industries.

With the tremendous costs spent on training each year, both human and financial, it is important to constantly add to the research and literature to create more effective leadership programs in HRD. Malcolm Knowles concept of "Andragogy," provides a framework to examine this topic as well as exercises and course outlines that could be explored for use in developing leadership training programs in HRD in the future.

References

- Argyris, C., & Schon, D. (1974). *Theory in practices: Increasing professional effectiveness*. San Francisco, CA: Jossey-Bass.
- Argyris, C., & Schon, D. (1978). *Organizational learning*. Reading, MA: Addison-Wesley.
- Benner, P. (1984). *From novice to expert: Excellence and power in clinical nursing practice*. Menlo Park, CA: Addison-Wesley.
- Bennis, W. & Nanus, B. (1985). *Leaders: The strategies for taking charge*. New York: Harper & Row.
- Burns, J. M. (1978). *Leadership*. New York: Harper & Roe.
- Collins, D. B., & Holton III, E. F. (2003). The effectiveness of managerial leadership development programs: A meta-analysis of studies from 1982-2001. In T. M. Egan and S. A. Lynham (Eds.) *Proceedings of the Academy of Human Resource Development* (pp.186-193). Minneapolis, MN: AHRD.
- Denzin, N. K., & Lincoln, Y. S. (1994). *Handbook of qualitative research*. Newbury Park, CA: Sage Publishing.
- Gilley, J. W., & Eggland, S.A. (1989). *Principles of human resource development*. Reading, MA: Addison-Wesley.
- Knowles, M. S. (1995). *Designs for adult learning: Practical resources, exercises, and course outlines from the father of adult learning*. Alexandria, VA: American Society for Training and Development.
- Knowles, M. S. (1980). *The modern practice of adult education: From pedagogy to andragogy* (2nd ed.) New York: Cambridge Books.
- Knowles, M.S., Holton, E. F., & Swanson, R. A. (1998). *The adult learner* (5th ed). Houston: Gulf Publishing Company.
- Kotter, J. P. (1988). *The leadership factor*. New York: The Free Press.
- Leeamornsilk, S. (2002). The awareness and utilization of emotional intelligence in leadership development as perceived by HRD practitioners in the Kansas City ASTD Chapter In T. M. Egan & S.A. Lynham (Ed.) *Proceedings of the Academy of Human Resource Development* (pp.640-646). Honolulu, Hawaii: AHRD.
- Lincoln, Y. S., & Guba, E. G. (1995). *Naturalistic inquiry*. Newbury Park, CA: Sage.
- Mintzberg, H. (1983). *Power in and around organizations*. Englewood Cliffs, NJ: Prentice-Hall.
- McClelland, D. C. (1965). Need achievement and entrepreneurship: A longitudinal study. *Journal of Personality and Social Psychology*, 1(1), 389-92.
- Merriam, S. B., & Simpson, E. (1995). *A guide to research for educators and trainers of adults*. (2nd ed.). Malabar, Fl: Krieger.
- Meyers, D. D. (1986). How many champions will an innovation cycle support? In D. L. Sexton & R. W. Smilor (Eds.), *The art and science of entrepreneurship* (pp.211-222). Cambridge, MA: Ballinger.
- National Association of REALTORS® (1996). *Membership profile*. Washington, DC: Author.
- Peters, T. (1994). *The pursuit of wow*. New York: Vintage Books.
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Dell.
- Smith, R. M. (1982). *Learning how to learn: Applied theory for adults*. New York: Cambridge.
- Smith R.M., & Associations.(1990). *Leaning to learn across the life span*. San Francisco, CA: Jossey-Bass.
- Sherlock, J. J. (2002). Learning at the top: An investigation of nonprofit CEOs' learning experiences. In T. M. Egan & S. A. Lynham (Eds.), *Proceedings of the Academy of Human Resource Development*. (pp.632-639). Honolulu, Hawaii.
- Van Manen. (1990). *Researching lived experience*. Albany, NY: State University of New York Press.
- Weinstein, M.B. (1999). Strategies and competencies to enhance leaders in the new millennium: A multi-case study. In J.J. Phillips & F.C. Ashby (Eds). *Effective leadership programs*, Alexandria, VA: American Society of

- Training and Development.* (pp 81-107).
- Weinstein, M. B. (1998). Continuing professional education in real estate In W. H. Young (Ed). *Continuing professional education in transition: Visions for the professions and new strategies for lifelong learning*. Malabar (pp.283-306). FL: Krieger.
- Work, J. W. (1996). Leading a diverse workforce. In F. Hesselbein, M. Goldsmith, & R. Beckhard (Eds.) *The leader of the future* (pp.71-79). New York: The Peter F. Drucker Foundation.

In Support of Coaching Models of Management and Leadership: A Comparative Study of Empirically Derived Managerial Coaching/Facilitating Learning Behaviors

Bob Hamlin

University of Wolverhampton

Andrea D. Ellinger

University of Illinois at Urbana-Champaign

Rona S. Beattie

Glasgow Caledonian University

The concept of managers assuming developmental roles such as coaches and learning facilitators has gained considerable attention in recent years as organizations seek to leverage learning by creating infrastructures that foster employee learning and development. Despite the increased focus on coaching, the literature base remains atheoretical. Accordingly, the purpose of this study was to compare the empirical findings from three separate studies to derive a comprehensive understanding of coaching models of management and leadership.

Keywords: Coaching Behavior, Facilitator of Learning, Managerial and Leadership Effectiveness

Increasingly organizations are beginning to embrace a new management paradigm based on empowerment rather than a traditional command, control, and compliance paradigm of management which “cannot bring about the conditions and competence necessary to successfully meet the challenges [of *endless innovation; relentless downsizing, re-engineering, and multicultural working*] holistically (Flaherty, 1999, p. 2-3). Therefore, this new paradigm of management calls for new facilitative behaviors that focus on empowerment and employee development (Beattie, 2002; Ellinger, 2003; McGill & Slocum, 1998). Accordingly, coaching has been conceived as the essence of the new management paradigm (Evers & Selman, 1989) and the notion of leaders and managers serving as coaches has gained tremendous currency in the literature (Ellinger, 2003). Several scholars believe coaching is an essential role that most managers and leaders need to develop (Antonioni, 2000; Bianco-Mathis, et al., 2002; Hunt & Weintraub, 2002; Kraines, 2001; Piasecko, 2000; Ragsdale, 2000). However, not all managers adopt a facilitative coaching role. Some may find it challenging to switch from a prescriptive to an empowering style and may lack the requisite skills to coach effectively (deJong et. al, 1999; Keep & Rainbird, 2000). However, based upon the growing number of books and practitioner-focused articles, it is clear there is a significant body of expert opinion that believes coaching is an essential core activity of everyday management and leadership, and that managers and leaders need to become fully competent as proactive facilitators of learning and development if they are to be truly effective and successful in today’s and tomorrow’s world.

Current HRD practice has been criticized for lacking a sound and sufficient empirical base (see for example, Mumford, 1997; Hamlin & Stewart, 1998; Hamlin, 2002) and similar criticisms have been leveled at most current coaching practice within the context of HRD (Grant, 2003) and about the devolution of HRD responsibilities to line managers (deJong et. al., 1999). Whilst there is an extensive literature on developmental roles that managers may play, such as mentor and coach, much of this literature is prescriptive and there are relatively few examples of substantive research and empirical studies (Beattie, 2002; Ellinger, 2003; Graham, Wedman & Garvin-Kester, 1993, 1994; Marsh, 1992; Popper & Lipshitz, 1992). According to Horowitz (1999), “the HRD literature is somewhat normative and rhetorical in exhorting line managers to take responsibility for training and development” (p. 187). This should not be surprising. Even in the field of management and leadership where there has been a plethora of empirical research, major concerns have been expressed recently about its practical relevance and utility for determining and distinguishing between ‘good’ and ‘bad’ management practice. Furthermore, there is still little agreement about what constitutes and what is meant by managerial and leadership effectiveness (See Cammock, Nikalant & Dakin, 1995; Conger, 1998; Kim & Yukl, 1995; Willcocks, 1997). In terms of coaching, “while there has been consensus amongst professional trainers and developers about what good coaching looks like, little published research exists that identifies specific coaching behaviors, shows that preferred models of coaching have any relationship to improved performance, or demonstrates what differentiates a ‘good’ coach from a ‘poor’ coach”

Copyright © 2004 Bob Hamlin, Andrea D. Ellinger, & Rona S. Beattie

(Ellinger, 2003, p. 6). Accordingly, the present study endeavors to address this lack of a sound and sufficient empirical base with regard to the “manager as coach” phenomenon in the management and leadership and coaching literature bases by presenting and comparing three distinct empirical studies that have examined this concept in the context of the UK and USA.

Research Method

The current study was designed to compare and contrast the findings that were empirically derived in three separate studies conducted within the UK and the US that examined effective manager/leader coaching and facilitating learning behaviors using the Critical Incident Technique (CIT) as originated by Flanagan (1954). These previously conducted studies include, respectively, the UK based ‘managerial/leadership effectiveness’ studies of Hamlin (2003a, 2003b) and the ‘managerial facilitative behaviors’ study of Beattie (2002), and the US based ‘managerial coaching behaviors in learning organizations’ study of Ellinger (1997) and Ellinger and Bostrom (1999). The following research questions guided this comparative meta-level analysis:

1. How are effective coaching/facilitating behaviors of managers manifested within the featured studies of Hamlin, (2003a, 2003b; Beattie (2002), and Ellinger (1997; Ellinger & Bostrom, 1999) respectively?
2. What behaviors are held in common and generalized to each other?
3. To what extent are the empirically derived effective coaching/facilitating learning behaviors resulting from questions 1 and 2 held in common with the prescribed behaviors associated with the notions of the ‘facilitative leader’ and ‘coaching manager/leader’ as reported recently in the management literature?

The Hamlin ‘generic model of managerial and leadership effectiveness. Hamlin’s (2003a, 2003b) model was derived from several meta level analyses of the respective sets of criteria of managerial/leadership effectiveness identified by three previous empirical studies carried out within three different types of UK public sector organizations: schools, customs and excise, hospitals. In each case a qualitative approach based on CIT using a grounded theory mind-set was adopted for the initial data collection, and a quantitative approach, namely factor analysis, was used for reducing and classifying the CIT data and identifying behavioral categories/criteria of effectiveness. In all three studies critical incidents were obtained from the perspectives of subordinates, peers and superiors. Managers were required to offer examples of critical incidents based on their personal observations of other managers, and not on their own management practice. Meta-level analyses were carried out on the various sets of managerial/leadership effectiveness criteria obtained from the three studies. These revealed very high degrees of sameness, similarity, coincidence and congruence of meaning. The findings led to the creation of an eleven (11) factor ‘Generic Model of Managerial and Leadership Effectiveness.’ This comprised six (6) positive criteria comprising 48 behavioral items indicative of effective management/leadership [*including coaching, mentoring and other facilitating learning behaviors*], plus five (5) negative criteria comprising 49 behavioral items indicative of ineffective management /leadership [*typical of traditional manager/leader behavior*] (See Hamlin, 2003a). The six positive behavioral categories are the focus of the current study.

<ul style="list-style-type: none"> Effective organization and planning/proactive management - Is well organized and well prepared for situations; thinks ahead and makes sure things are done in good time; does the necessary groundwork research and gathers all the facts; produces detailed plans and procedures; is well prepared for meetings and runs them efficiently and effectively with good agendas; makes effective use of systems and resources; sets and maintains high standards for self and others; ensures people follow procedures and expects them to be well prepared; takes initiative to resolve problems and proactively confronts difficult /sensitive issues. 	<ul style="list-style-type: none"> Genuine concern for people/Looks after the interests and development needs of staff - Responds quickly and appropriately to staff problems; deals with difficult or personal issues concerning staff and handles them with sensitivity; allocates work to staff and self fairly; argues a strong case for obtaining resources in support of staff wishing to develop new ideas; fights hard for the department; promotes the importance or needs of the department; brings to the attention of top management the achievements/contributions of staff; congratulates and praises staff/Recognizes, nurtures and develops the latent abilities and potential of staff; initiates, promotes and supports their personal and career development; identifies the training needs of team members; personally takes the time to train, coach and mentor team members.
<ul style="list-style-type: none"> Participative and supportive leadership/proactive team leadership - Provides active support and guidance to staff; responds immediately to requests for help; provides backing and personal support to staff confronted with particularly difficult/stressful operational situations; takes time to get to know staff; creates a climate of trust; actively listens to their concerns, worries and anxieties; gives praise when due; defends staff from unfair criticism/attack and protects their interests; provides coaching and training; supports the team through its problems and helps team members learn from their mistakes. 	<ul style="list-style-type: none"> Open and personal management approach/inclusive decision making - Actively listens to the views and opinions of staff; encourages staff to become involved in planning, decision making and problem solving, particularly in change situations; invites staff to recommend how to best spend the departmental budget; includes team members in meetings and/or projects which normally would have involved higher grades of staff; uses a personal approach to managing; takes the time to get to know staff and develops in them a sense of trust.
<ul style="list-style-type: none"> Empowerment and delegation - Encourages staff to take on new responsibilities; gives them the freedom to make own decisions without close supervision; allows staff to develop and experiment with own ideas; encourages and empowers them to run their own unit/project and to work through their own problems; proactively and effectively delegates. 	<ul style="list-style-type: none"> Communicates and consults widely/keeps people informed - Consults and discusses change plans with staff; proactively canvasses and seeks their ideas; holds frequent meetings with staff; gathers all relevant facts and judges things on their merits; proactively disseminates within the team/unit major documents of importance; on major change initiatives conducts special events to communicate with staff and keep them informed

The Beattie 'managerial facilitative behaviors framework'. The coaching behaviors comprising the Beattie (2002) 'Managerial Facilitative Behaviour Framework' were derived empirically by studying the behaviors used by voluntary sector senior and first line managers when facilitating employee learning in the workplace. Similarly using the CIT, Beattie (2002) obtained from 60 respondents, representing senior line managers, first line managers, employees and key informants, critical incidents offered by the respondents as examples of effective or ineffective managerial behavior in facilitating, or conversely inhibiting learning in the workplace respectively. The analytical strategy adopted was based on a grounded theory approach. The fist stage of analysis involved developing profiles for each managers. This involved collating data collected on them from their own interview, the interviews with their staff, and where appropriate, the interview with their senior line manager. Each profile was then analyzed several times to identify actions within critical incidents which contained words and phrases that provided examples of behaviors that facilitated or inhibited learning. These clustered with similar examples from other managers. The examples were not reduced to data sets of single words or short phrases as this was viewed to be overly reductionist and may have resulted in the loss of significant data by removing them from their context. On completion of this process of analytical refinement, 22 facilitative behaviors were identified and were then allocated to one of nine

behavioral categories. Nine categories of inhibitory behaviors were identified, incorporating 13 descriptions of negative behaviors. The nine facilitative behavioral categories are the focus of the current study.

<ul style="list-style-type: none"> Caring – support, encouragement, approachable, reassurance, commitment/involvement, empathy- Supporting by giving aid or courage to; Encouraging by inspiring or instilling confidence; approachable by being easy to approach; giving reassurance to relieve anxiety; commitment and involvement by giving time (to staff); empathy by showing understanding of another's situation. 	<ul style="list-style-type: none"> Thinking – reflective or prospective thinking, clarification- Reflective or prospective thinking through the process of taking time to consider what has happened in the past or may happen in the future.
<ul style="list-style-type: none"> Informing – sharing knowledge - Sharing knowledge through the transmission of information. 	<ul style="list-style-type: none"> Empowering – delegation, trust- Delegation by giving duties and responsibilities to others; trust and having confidence in someone.
<ul style="list-style-type: none"> Being professional –role model, standard-setting, planning and preparation - Role model by behaving in a manner that people respect and wish to emulate; standard setting by outlining or encouraging an acceptable level of performance or quality; planning and preparation in terms of organizing and structuring learning. 	<ul style="list-style-type: none"> Developing Others – developing developers - Developing developers by stimulating the acquisition of skills & knowledge by employees to develop others.
<ul style="list-style-type: none"> Advising – instruction, coaching, guidance, counseling - Instruction by directing an individual in a specific task; coaching through discussion and guided activity; guidance by providing advice; counseling by helping others take control of their own behavior and solve problems. 	<ul style="list-style-type: none"> Challenging – challenging- Challenging by stimulating people to stretch themselves.
<ul style="list-style-type: none"> Assessing – feedback and recognition, identifying developmental needs. 	

The Ellinger (1997) and Ellinger & Bostrom (1999) 'managerial coaching behaviors in learning organizations framework'. The Ellinger (1997) and Ellinger and Bostrom (1999) model comprising managerial coaching behaviors were empirically derived using CIT and semi-structured interviews as the primary methods of data collection. Content analysis and thematic open coding were subsequently used to cluster, classify, and categorize the behavioral critical incident data. Fifty six effective and ineffective critical incidents were obtained from twelve (12) managers employed within four organizations considered to be learning organizations. These managers, who were deemed through a process of expert nomination to be exemplary coaches/facilitators of learning within their respective organizations, were asked to describe an average of 4.6 critical incidents that reflected effective and ineffective behaviors associated with facilitating their employees' learning. This study also examined the catalysts for facilitating learning, the outcomes associated with such informal learning episodes, and the belief systems of exemplary managers who serve as coaches/learning facilitators. Thirteen (13) themes emerged from the rigorous open and thematic coding processes and were further categorized into two distinct clusters of behavior sets: empowering behavior sets and facilitating behavior sets.

Empowering Cluster	Facilitating Cluster
<ul style="list-style-type: none"> Question framing to encourage employees to think through issues - Posing outcomes, results oriented questions, or context specific questions to encourage learners to think through issues themselves. 	<ul style="list-style-type: none"> Providing feedback to employees - Providing observational, reflective, and third party feedback to learners.
<ul style="list-style-type: none"> Being a resource – removing obstacles - Providing resources, information, materials to learners, and removing roadblocks and obstacles they perceive to be in their way. 	<ul style="list-style-type: none"> Soliciting feedback from employees - Seeking feedback from learners about their progress.

Empowering Cluster (Continued)	Facilitating Cluster (Continued)
<ul style="list-style-type: none"> • Transferring ownership to employees - <i>Not taking over learners' responsibilities and shifting them back to the learners and holding them accountable.</i> 	<ul style="list-style-type: none"> • Working it out together – talking it through - <i>Talking through things together to come up with options, a gameplan, or an overall approach.</i>
<ul style="list-style-type: none"> • Holding back – not providing the answers - <i>Not taking over learners' responsibilities and shifting them back to the learners and holding them accountable.</i> 	<ul style="list-style-type: none"> • Creating and promoting a learning environment - <i>Organizing meetings and activities, using learning plans, and creating formal and informal opportunities to help employees grow and develop.</i>
	<ul style="list-style-type: none"> • Setting and communicating expectations – fitting into the big picture - <i>Setting goals and expectations with learners and communicating their importance to learners.</i> • Stepping into other to shift perspectives - <i>Stepping into another person's shoes to experience their perspective.</i> • Broadening employees' perspectives – getting them to see things differently - <i>Encouraging learners to think out of the box by encouraging them to see other perspectives and by providing other perspectives and experiences.</i> • Using analogies, scenarios, and examples - <i>Role playing, personalizing learning situations with examples, and using analogies, and scenarios.</i> • Engaging others to facilitate learning - <i>Bringing in others, peers, or human resources to help facilitate learning, or sending learners to outside resources.</i>

The current study. The present study comprised a comparative meta-level analysis of the three respective empirical model/frameworks. This involved a detailed comparison of the respective behavioral categories and their specific underpinning behaviors. The purpose was to search for evidence of sameness, similarity, coincidence, and congruence of meaning, and thereby identify the existence or otherwise of a relationship between coaching/facilitating learning behaviors and the determinants of managerial/leadership effectiveness. To enhance the reliability and validity of the meta-level analysis, the authors compared and contrasted their respective model/frameworks independently of each other. Overall, there was general agreement regarding their respective judgments and perceptions of what was held in common and when minor discrepancies and inconsistencies occurred, these were resolved through discussion and critical examination to reach a consensus. This rigorous approach helped to establish reliability in the findings.

Findings

Due to the limitations of space, Table 1 presents the findings from this meta-level comparison. As can clearly be seen in Table 1, the vast majority of the Hamlin (2003a, 2003b), Beattie (2002) and Ellinger (1997) and Ellinger and Bostrom (1999) categories/behaviors align closely with each other. Most of the behaviors comprising Ellinger and Ellinger and Bostrom coaching/learning facilitation behavior categories appear to be very similar, or equivalent in type, to a majority of the managerial behaviors comprising one or more of all of the criteria of managerial/leadership effectiveness criteria comprising Hamlin's generic model, and were nearly identical or very similar or equivalent to the Beattie model. In the case of the Beattie framework, the behaviors associated with managerial facilitative behavior categories are near identical, or very similar to equivalent behaviors comprising the Hamlin and Ellinger and Bostrom behavioral constructs. Overall, the degree of alignment, overlap, similarity and congruence of meaning between the categories/criteria of the three model/frameworks is extremely high.

Hamlin (2003a, 2003b)	Ellinger (1997) Ellinger & Bostrom (1999)	Beattie (2002)
• Empowerment and delegation	• Question framing to encourage employees to think through issues	• Thinking
• Effective organization and planning/proactive management	• Being a resource – removing obstacles	• Informing
• Empowerment and delegation	• Transferring ownership to employees	• Empowering
• Empowerment and delegation	• Holding back – not providing the answers	• Thinking and/or Empowering
• Participative and supportive leadership/proactive team leadership • Effective organization and planning/proactive management	• Providing feedback to employees	• Assessing
• Open and personal management approach/inclusive decision making	• Soliciting feedback from employees	• Assessing
• Participative and supportive leadership/proactive team leadership	• Working it out together – talking it through	• Informing and/or Thinking
• Participative and supportive leadership/proactive team leadership • Genuine concern for people/Looks after the interests and development needs of staff • Communicates and consults widely/keeps people informed	• Creating and promoting a learning environment	• Advising • Assessing • Develop developers
• Effective organization and planning/proactive management	• Setting and communicating expectations – fitting into the big picture	• Being professional
• Genuine concern for people/Looks after the interests and development needs of staff	• Stepping into other to shift perspectives	• Caring
• Empowerment and delegation	• Broadening employees' perspectives – getting them to see things differently	• Thinking
• Participative and supportive leadership/proactive team leadership	• Using analogies, scenarios, and examples	• Advising • Developing developers
• Communicates and consults widely/keeps people informed • Participative and supportive leadership/proactive team leadership	• Engaging others to facilitate learning	•Developing developers

Discussion

It is quite evident from the results of the meta-level analysis that there is considerable overlap between the Hamlin (2003a, 2003b) Ellinger (1997) and Ellinger and Bostrom (1999) and Beattie (2002) models. All three models are comprised of the type of managerial behaviors that managers and leaders need to exhibit if they are to be perceived and judged by their superiors, peers, and subordinates to be effective (See Hamlin 2003a; 2003b). The findings from the present study provide further empirical support for the soundness, validity and generalizability of the Hamlin (2003a, 2003b), Ellinger (1997) and Ellinger and Bostrom (1999), and Beattie (2002) models and suggest

truly effective managers/leaders are those who embed effective coaching and learning facilitation into the heart of their management practice.

The findings also support the conceptual notions articulated by scholars who believe that coaching is an essential core activity of management and leadership (Burgett, 1998; Bianco-Mathis et. al., 2002; Evered & Selman, 1989; Flaherty, 1999; Hunt & Weintraub, 2002). The common managerial coaching/facilitating learning behaviors resulting from the present study are consistent with the range of coaching behaviors identified by these scholars.

Limitations of the Study

This study has several limitations that should be addressed with regard to methods and sampling. Although the CIT was used according to the procedures outlined by Flanagan (1954) in all three studies, it is possible that the richness and depth of the critical incident data collected may vary within each of the three studies. It is also possible that data from interviews, observations, and documents also aided in the analyses and informed each of the three respective models. Another limitation in performing this meta-level comparison is that the original samples of managers for each of the three studies also varied to some extent. The Hamlin (2003a, 2003b) model was generated based upon the collection of critical incident data from large and homogenous groups of middle and first line managers within six public sector organizations with the intent to examine manager and leader behavior in general. In slight contrast, Ellinger (1997) and Ellinger and Bostrom's (1999) sample was comprised of mid-level and senior level exemplars who were nominated as being excellent learning facilitators within four consumer goods and manufacturing organizations deemed to be learning organizations. Similarly, Beattie's (2002) sample was comprised of line managers, senior line managers and employees in social service organizations. Both the Ellinger (1997) and Beattie (2002) studies were designed to specifically examine coaching/facilitating learning behaviors. Despite these limitations, it appears that the findings across all three studies are robust and the meta-level comparisons provide a rich portrait of critical managerial coaching behaviors.

Conclusions and Implications for HRD

The results of the meta-level comparative analysis carried out on the three empirical studies referenced above have mutually validated the respective fundamental soundness of each of these behavioral constructs. Furthermore, the results of this study lend empirical support for the conceptual notions of the 'facilitative leader,' the 'coaching manager,' and the 'coaching leader' as advocated (Bianco-Mathis, et. al, 2002; Hunt & Weintraub, 2001). However, more empirical evidence is required before a generic model of coaching and learning facilitation can be offered. It is recommended that a range of studies should be carried out specifically to identify concrete examples of effective and ineffective coaching behaviors, as manifested in a wide range of private and public sector organizations within the UK, USA, and other countries. However, these should be replica studies using a common research design and method, including critical incident technique, with some form of central control to ensure consistency in the research process. Such research needs to be conducted if the coaching/facilitating components of everyday management/leadership practice are to be deemed research-informed/evidence-based as opposed currently to being 'guru' led. From a practical perspective, the behaviors that emerged within these three empirical studies may provide managers and leaders with diagnostic tools to examine their own coaching and facilitative behaviors. Although coaching has been deemed to be a powerful tool in organizations to develop employees, and has been linked with job satisfaction and performance improvement, Goleman (2000) contends that the coaching manager is still a rare species. Perhaps these findings will stimulate appropriate management and leadership development programs that seek to make coaching a managerial way of being.

References

- Antonioni, D. (2000). Leading, managing and coaching. *Industrial Management (USA)* September-October, 27-33.
- Beattie, R. S. (2002). *Developmental managers: Line managers as facilitators of workplace learning in voluntary organizations*. Ph.D. Thesis, University of Glasgow.
- Bianco-Mathis, V.E., Nabors, L.K., & Roman, C.H. (2002). *Leading from the inside out: A coaching model*. Thousand Oaks, CA. Sage.
- Cammock, P., Nilakant, V. & Dakin, S. (1995). Developing a lay model of managerial effectiveness: A social constructionist perspective. *Journal of Management Studies*, 32(4), 443-447.
- Conger, J.A. (1998). Qualitative research as the cornerstone methodology for understanding leadership, *Leadership Quarterly*, 9(1), 107-121.

- DeJong, J. A., Leenders, F. J., & Thijssen, J. G. L. (1999). HRD tasks of first-level managers. *Journal of Workplace Learning*, 11(5), 176-183.
- Ellinger, A.D. (2003). Antecedents and consequences of coaching behavior. *Performance Improvement Quarterly*, 16(1), 5-28.
- Ellinger, A. M. (1997). *Managers as facilitators of learning in learning organizations*. Unpublished doctoral dissertation, The University of Georgia, Athens, Georgia.
- Ellinger, A. D & Bostrom, R.P. (1999). Managerial coaching behaviors in learning organizations. *Journal of Management Development*, 18(9), 752-771.
- Evered, R. D. & Selman, J.C. (1989). Coaching and the art of management. *Organizational Dynamics*, 18, 16-32.
- Flaherty (1999). *Coaching: Evoking excellence in others*. Burlington, MA. Butterworth-Heinemann.
- Graham S., Wedman, J., & Garvin-Kester, B. (1993). Manager coaching skills: Development and application. *Performance Improvement Quarterly*, 6(1), 2-13.
- Graham S., Wedman, J., & Garvin-Kester, B. (1994). Manager coaching skills: What makes a good coach? *Performance Improvement Quarterly*, 7(2), 81-94.
- Grant, A. M. (2003). Executive and life coaching. *UKCLC Professional Development Workshop*, London, Royal Society of Medicine. [Unpublished Presentation].
- Hamlin, R. G. (2002). Towards evidence based HRD practice, In J. Stewart, J. McGoldrick & S. Watson (Eds.) *Understanding human resource development: A research-based approach*, London: Routledge.
- Hamlin, R. G.(2003a). Towards a generic theory of managerial effectiveness: a meta-level analysis from organisations within the UK public sector. *AHRD International Research Conference, 2003* Minneapolis, February/March.
- Hamlin, R .G. (2003b). Towards a Generic Model of Leadership: a comparative study of British and American empirically derived criteria of managerial and leadership effectiveness. *UFHRD 4th Conference on HRD Research and PracticeAcross Europe*. July Toulouse.
- Hamlin, R. G., & Stewart, J. (1998). In support of evidence -based human resource development practice *Lancaster-Leeds Collaborative Conference : Emergent Fields in management- Connecting Learning and Critique*, Leeds University, UK.
- Horowitz, F. (1999). The emergence of strategic training and development: The current state of play. *Journal of European Industrial Training*, 23(4/5), 180-190.
- Hyman, J., & Cunningham, I. (1998). Managers as developers: Some reflections on the contribution of empowerment in Britain. *International Journal of Training and Development*, 2(2), 41-107.
- Keep, E., & Rainbird, H. (2000). Towards the learning organization. In S. Bach & K. Sisson, (Eds.), *Personnel management: A comprehensive guide*. Oxford: Blackwell.
- Kim, H. & Yukl, G. (1995). Relationships of managerial effectiveness and advancement to self-reported and subordinate-reported leadership behaviors from the multiple-linkage model. *Leadership Quarterly*, 6(3), 361-377.
- Kraines, G. A. (2001). Are you L.E.A.D.ing your troops? *Strategy and Leadership (UK)*, 29(2), 29-34.
- Marsh, L. (1992). Good manager: Good coach? What is needed for effective coaching? *Industrial & Commercial Training*, 24(9), 3-8.
- McGill, M., & Slocum, J., Jr. (1998). A little leadership please? *Organizational Dynamics*, Winter, 39-49.
- Mumford, A (1997). *Management development: Strategies for action*. London Institute of Personnel and Development.
- Piasecka, A. (2000). Not “Leadership” but “leadership.” *Industrial and Commercial Training*, 32(7), 253-255.
- Popper, M., & Lipshitz, R. (1992). Coaching on leadership. *Leadership & Organization Development Journal*, 13(7), 15-18.
- Ragsdale, S. (2000). Finding a high speed button: New management paradigm. *Triangle Business Journal*, (Raleigh, NC), October, 16(7), 23.
- Willcocks, S. G. (1997). Managerial effectiveness in the NHS: A possible framework for considering the effectiveness of the clinical director. *Journal of Management in Medicine*, 11(3), 181-189.

Diversity Training in the Heartland: An Exploratory Study of Small and Mid-size Organizations

Linda M. Hite

Kimberly S. McDonald

Indiana University-Purdue University Fort Wayne

This qualitative, exploratory study investigated the development and implementation of diversity training in small and mid-size organizations in a midwestern region. The results indicate these organizations are implementing diversity awareness programs that recognize diversity as a business imperative. Common themes found in the diversity literature are supported in this study.

Keywords: Workforce Diversity, Diversity Training

The topic of diversity has become increasingly important to organizations since the early 1990's as changing workforce demographics and increased global competition have become reality (Cox, 2001; Weiner, 1997). This interest has prompted a proliferation of diversity training programs throughout the United States. The most recent industry report conducted by *Training* indicates that 72% of the companies responding to that survey offered some form of diversity and/or cultural awareness training (Galvin, 2002).

At the same time, a variety of diversity initiatives have begun to take shape on college campuses across the country (Hurtado, Milem, Clayton-Pedersen & Allen, 1999). Included in these initiatives have been efforts to infuse diversity into the college curricula. As faculty in a leadership program, we have struggled with how to best integrate diversity issues into our curriculum to prepare our students to work in a multicultural society. Currently, we require majors to take a course that focuses on diversity issues as they relate to organizations and leadership.

A segment of that course focuses on organization-based diversity initiatives. Students study the theory and practice of designing and implementing diversity endeavors. Many of the available examples involve large multinational companies with sufficient resources to apply to diversity programs. While the students find this interesting in theory, it inevitably prompts questions of what can be done in smaller companies, like the small or mid-size organizations where they are employed. They live in a mid-size midwestern city and commute to a regional campus for their education. True to adult learning principles, they typically are most engaged in the learning process when they see the relevance to their own lives. This is particularly critical when teaching a diversity course. Chan and Treacy (1996) recommend making "the issues relevant to students' own experiences and lives" (p. 220). Since the majority of our students will stay and work in this community after graduation, they want to know how diversity initiatives are being designed and implemented in companies in the vicinity.

This research project developed for two major reasons. First, to investigate local organizations' training practices to better inform our students. Second, to build on the current research examining diversity training programs. Very little empirical research has been conducted on diversity training, and most of the existing studies focus on large, multinational organizations. This exploratory research project examines the diversity training efforts of six organizations located in a mid-size midwestern city.

Theoretical Framework

While the most successful organizational diversity endeavors include multiple system wide initiatives, one of the most visible and potentially viable features of many diversity programs is training (Arredondo, 1996; Wentling, 2002; Wentling & Palma-Rivas, 1998). Richard & Johnson (2001) argue that training and development is one of four human resource practices that are needed for an organization to have a "diversity orientation" (p. 181). Arredondo (1996) writes:

Education and training have often been considered the essence of a diversity initiative. In some organizations, they are viewed as key to changing attitudes and behavior; others view them as a way to build awareness about valuing differences (p. 125).

Several diversity experts have identified important characteristics of effective diversity training programs. For example, Ferdman & Brody (1996) provide three major reasons organizations develop diversity training: 1. to comply with moral standards, 2. to respond to legal and social pressures, and 3. to succeed in business and remain

Copyright © 2004 Linda M. Hite & Kimberly S. McDonald

competitive (p. 284). Often all three of these reasons are important motivations for diversity training. Common objectives of diversity training programs include: developing awareness of diversity issues and one's feelings about diversity, disseminating information about diversity/legal issues and policies, developing skills for a diverse work environment, and applying those skills to improve or change the organizational culture (Ferdman & Brody, 1996; Holvino, Ferdman, & Merrill-Sands, 2004; Wentling & Palma-Rivas, 1998). While the content of diversity training will vary based on need, topics commonly covered include: definitions of diversity and key terms; information regarding equal opportunity laws and sexual harassment policies; explanations of prejudice, stereotyping, acculturation, and cultural differences; and obtaining "diversity-interaction skills" (Ferdman & Brody, 1996, p. 293). It is important to note that the majority of training conducted in organizations has focused on increasing employees' awareness of diversity issues.

Various prescriptions for diversity training have been offered as well. Recommendations include: developing something customized for the organization rather than using a "canned" program, ensuring that content and learning objectives are complementary, allowing sufficient time for learning to occur, using a variety of instructional methods, selecting highly skilled individuals to facilitate the training, and carefully considering the composition of the training groups (Arredondo, 1996; Cox, 2001). Other suggestions (Cox, 2001; Koonce, 2001) include getting leadership support, conducting a needs assessment, and benchmarking effective programs.

Wentling and Palma-Rivas (1998) interviewed twelve diversity experts to gather information regarding diversity issues and initiatives. One area of inquiry included the components of effective diversity training programs. The factors mentioned most frequently included: gaining commitment from upper management, including diversity training initiatives in the strategic plan, identifying training needs before development, "using qualified trainers," and combining the training with other diversity initiatives (pp. 244-245). Fifty percent of the experts interviewed also advocated making attendance at diversity training mandatory and evaluating the effectiveness of the training.

While several scholars have provided recommendations regarding essential components of diversity training, relatively little empirical work has been done examining how training is implemented in organizations, what evaluation methods are being used, and whether the training is effective. A few studies have investigated effectiveness issues. For example, some research has focused on the impact of training group composition on diversity training effectiveness (Roberson, Kulik, & Pepper, 2001) and the influence of environment factors on the transfer of training (Hanover & Cellar, 1998). In the latter study, Hanover and Cellar (1998) found that diversity training positively affected participants' perceptions of management practices related to diversity.

In addition, Wentling (2000, 2002) conducted interviews with diversity managers/directors at eight multinational companies to identify their diversity initiative evaluation processes (2000) and to investigate their perceptions of "factors that assist and barriers that hinder the success of diversity initiatives" (2002, p. 42). While these studies do provide useful information regarding how diversity training is being conducted and evaluated, most of the research has been done examining practices in large organizations. Wentling (2000) notes that all of the corporations in her study had received public recognition for their diversity practices. However, very little is known about the diversity training practices in smaller organizations.

Research Questions

Reflecting previous work by Cox (2001), Arredondo (1996), and Wentling and Palma Rivas (1998), interview questions focused on three major areas: 1) organizational definition of diversity, 2) diversity program structure (training goal and level, availability and requirements, need establishment and trainer selection), and 3) program evaluation (evaluation methods, training program strengths and limitations, and connection to other diversity initiatives). Our initial expectations were that we would find limited resources devoted to diversity training and that although diversity might be acknowledged, it would not be perceived as a pressing concern, except for legal compliance.

Methodology

This was an exploratory study. Data were gathered through semi-structured interviews with six individuals representing a variety of organizations. All of the study participants were involved in a significant way with diversity training in their organizations.

A total of fifteen companies were contacted to be included in the study. Companies were selected for two primary reasons: 1. the organization might have a diversity training program or 2. the organization represented one of the sectors of business we hoped to include in the research. Of the companies contacted, only seven indicated

that they currently had a diversity training program in place. Six of the seven agreed to be interviewed. Obviously a limitation of this study is the small sample. However, the organizations included in the research represent several types of industries: manufacturing, insurance, military, healthcare, government, and non-profit. The organizations range in size from approximately 3,650 employees to 154 FTEs. Two of the companies are divisions of large, multinational companies. The non-profit organization is affiliated with a national office.

All interviews were conducted face-to-face. Both researchers were present for each interview; one conducted the interview, while the other took notes. Each interview was conducted on-site at the interviewee's office. The interviews were one-two hours in length and based on fifteen pre-planned questions. Examples of questions asked of each interviewee included: How does this organization define diversity? How does the organization determine the need for diversity training? What instructional methods are used in the training? Who conducts the training? What are the strengths of the diversity training offered in this organization? Follow-up questions and/or probes were included as needed. Three of the interviews were tape-recorded and transcripts were prepared. Three interviewees did not consent to tape-recording the interviews. In these cases, notes were compiled and sent to the interviewees to verify their accuracy and completeness. No differences were perceived between the taped and non-taped interviews in regard to the openness, thoroughness, and clarity of the interviewee responses.

Five of the interviewees are female; one is male. Most of them are affiliated with the human resource function in their organizations. The exception is at the non-profit agency where we interviewed the director of the organization. One interviewee is from the corporate office of a multinational company. The HR manager of the division requested that we interview her because she, along with local facilitators, conducts all of the diversity training for the division. Two of the interviewees actually conduct most of the diversity training for their organizations. The rest of them serve as administrators of the programs.

The interview data were content analyzed by each researcher independently. Each question response was analyzed across interviews to determine patterns and themes related to the specific question. After this analysis was completed, general themes that emerged across interviews and throughout the interviews were noted as well (Creswell, 1994). The researchers then shared their findings and found no major discrepancies. Additionally, all notes and transcripts were read and analyzed by an independent researcher, not associated with this project, to control for potential bias in interpretation (Marshall & Rossman, 1989).

Results and Findings

Definition

All of the interviewees acknowledged a broad-based definition of diversity that includes multiple aspects of difference (i.e. gender, race, ethnicity, age, etc.) with two noting specifically that diversity included both differences and similarities. There was a variation however in how those differences were perceived. One participant clearly noted that of all aspects, they choose to focus on racism, because it is difficult to address and if people understand that, they will understand the others. She later noted that sometimes people want to put attention on types of difference that are not as difficult to deal with, but that makes the concept of diversity too soft. In contrast, another interviewee readily included geographic location and profession in listing types of differences the company recognizes, factors that many consider secondary in terms of impact on self (Loden & Rosener, 1991).

Program Structure

Goals and levels. When questioned about goals for the diversity training, participants gave multifaceted responses that reflected both pragmatic and humanitarian reasons for this endeavor, as described by Ferdman & Brody (1996). Four cited the business case as an important goal for the training, positioning the organization for success in a multicultural society. One phrased this succinctly as keeping the organization "open, competitive, and viable." Another said, "It's a customer service issue all the way around." Two interviewees included protection from liability as another goal for diversity training. Three also indicated that culture change or a better work environment is an additional goal. Several of the participants specifically indicated that enhancing awareness and understanding of diversity is a goal of their diversity training. One said, people "need to understand their own lack of awareness, to realize how ethnocentric we are and to develop methods to get out of that." However, she like the others in this study, admitted that at present, their training is limited to the awareness level rather than expanding into increased knowledge and skill building.

Availability and requirements. There is a wide variation in the amount of training available across the organizations studied. The shortest time allotment is one hour (much to the chagrin of the trainer), which limits the content to a basic introduction to diversity and why it is important to the organization. The longest is approximately eight hours, but this varied because one system measures training time in credits and while eight credits was reported as the target, there is not a credit per hour ratio established, and the other that cited a program designed for

eight hours noted that it recently has been shortened to four hours to meet scheduling demands. Other interviewees indicated four hours was a common time allotment. Just as experts vary on the wisdom of mandating diversity training for all (see for example, Wentling & Palma Rivas, 1996, Joplin & Daus, 1997), these organizations vary on requiring diversity training. Two were emphatic about mandatory training; two indicated that although diversity training is not mandatory, it is strongly encouraged and the goal is to have all employees attend; two others noted that training participation is left to the discretion of the person in charge of each work unit. The two interviewees that described their training as not mandated, but expected, represent the only organizations in this study affiliated with large multinational corporations.

Need establishment and trainer selection. When asked about how the need for diversity training was established, only one participant cited use of a formal needs assessment. One indicated it was in response to immediate needs and concerns in the system. Four of the organizations represented were prompted to implement training upon the directive of a senior staff member, illustrating the importance of leadership support to diversity initiatives (Cox, 2001).

Variations were evident regarding diversity trainers. One organization developed the program, but has it delivered by outside trainers, while another had their program designed by an outside firm, but it is facilitated by people within the organization. Two organizations use a mix of in-house trainers/facilitators and outside presenters and two rely on staff within the system for all of the training. Participants indicated that selection was based on expertise and interest in and understanding of diversity issues.

Program Evaluation

Evaluation methods. While participants acknowledged the value of training evaluation in determining the progress of diversity initiatives, they indicated that to date, their organizations had done little to quantify the value of training. Most described using participant satisfaction forms that focus primarily on trainer delivery and perceived usefulness of the session. The two representatives from multinational affiliates also outlined plans to implement additional levels of evaluation. One will be based on comparing performance data and feedback with previously collected baseline information. The other will focus on managerial perceptions of training application. Another interviewee noted that the primary metric is numbers trained, but that the system also monitors recruitment and retention data in comparison with the demographics of the community. The one organization that does not conduct any type of evaluation at this time readily indicated that is a weakness and that they are exploring ways to gather meaningful evaluative data.

Training program strengths and limitations. A common strength cited among most of the programs studied was that the training has a good reputation among recipients, often surprising them with an unexpected approach, the scope of the topics covered, and the usefulness of the information (in other words, it is a better experience than what potential trainees expect it will be). It is so well received in one organization that the representative affirmed, "It's become embedded in the organization's fabric." Two interviewees also cited the increased awareness that the training has fostered, a plus since most organizations indicated that was a training goal.

Limitations cited fell into three main categories: level, time, and support. Three interviewees acknowledged that while their current programs are well received, it is time to offer something more advanced to build beyond the awareness level and to keep employees engaged in applying what they are learning. Time concerns focused on the challenge of scheduling to accommodate other work priorities, the limited amount of time allotted for diversity training, and time to further develop the diversity curriculum. Concerns about support included lack of firm commitment from the senior staff of the organization, cited by two interviewees; as well as comments about limited staffing and money to further develop and conduct diversity training.

Connection to other initiatives. Responses varied widely regarding about how diversity training supports other initiatives in the organization. One cited programs that are only peripherally connected with diversity. Another stated that the organizational lack of support is evident in that diversity training is not included in the strategic plan or given resources to grow. At the other end of the continuum, one interviewee made the connection between diversity and the organization's leadership standards and described several human resources initiatives that are analyzed from a diversity perspective (i.e. developmental opportunities, succession plans and compensation), and another cited the racial justice aspect of diversity as being a driver in the organization. The two other participants indicated that the goal is to make diversity so much a part of the culture that it is simply embedded in the system.

Conclusions and Recommendations

As noted previously, this is a small, exploratory study. Therefore the sample size is too small for generalization of these results, but the findings reaffirm previous studies on diversity training and prepare the way for future research. Conclusions from these data suggest several interconnecting patterns. The small and mid-sized organizations

included in this study are recognizing the potential of diversity as a business imperative, even those who also cited liability protection as a secondary factor. This indicates that they have moved further along the continuum of diversity perspectives from seeing diversity as simply a legal compliance issue to recognizing it as a benefit to the organization (Dass & Parker, 1999; Joplin & Daus, 1997). The diversity training in each of the organizations remains in the awareness stage of learning, although several interviewees recognized the need to move to the next level so that trainees not only understand differences but also have sufficient knowledge and skills to apply that understanding (Cox, 2001).

The importance of leadership support for diversity initiatives (Cox, 2001) was reinforced at several points. For example, a trainer described the impact of having a senior staff member address every training session to talk about their own and the company's commitment to diversity and a non-profit director acknowledged setting the mandatory training requirements for her organization. In contrast was the trainer who fights for training time and sees no commitment from senior staff and the organization representative who noted the training had been a high priority with the previous leadership but has slipped in importance and visibility since new management has taken over. This support plays out in time and resources allotted for diversity training and in how much people are urged, if not required, to attend.

One way to reinforce the value of any endeavor is to evaluate its effectiveness. Unlike the large companies Wentling (2000) describes that use multiple methods to measure the impact of diversity training, most of the organizations in this study currently limit their evaluation to participant satisfaction forms. However, two interviewees described specific plans for performance-based measures to determine how training affects performance and two others expressed interest in developing a more meaningful way to assess the effect of diversity training on the organization. The connection between organizational commitment to diversity and measurement of results (Arredondo, 1996; Cox, 2001) reinforces the importance of devoting time and attention to evaluation efforts of diversity training if programs are going to not simply survive but evolve and expand into greater depths of learning.

While all of the persons interviewed for this study expressed interest in diversity and clearly recognized the value of diversity training in making their organizations more viable, a difference in personal styles and investment in the topic was evident. Three of the participants can best be described as being passionate about diversity, readily acknowledging that it is of great importance to them personally and is an integral part of who they are and how they approach their work. They interjected personal anecdotes into their responses to questions and readily disclosed their feelings about diversity and their own commitment to helping people "get it." One in particular talked about progress that has been made in the organization, but followed that with the telling statement, "I'm never satisfied with what we do, we never do enough." Each touched on the importance of engaging the individual as well as clarifying the business case at an organizational level, and made comments like "how do you engage the soul?" of trainees so they truly understand what this is about. One expressed her concern that some diversity training is too soft, that is does not challenge people to address the really difficult issues, like racism, for example, because trainers want the training to be palatable to the audience. This is in contrast with another interviewee who described the organization's efforts to use a "balanced, tempered approach" so that trainees feel good about diversity and the training session when they leave.

Certainly, one of the purposes of an exploratory study is to suggest additional avenues for research. This study indicates that there is much more to learn about diversity training in small and mid-sized organizations that recognize the moral and business implications of a global society and shifting demographics but that may lack the resources of larger companies. It is not uncommon for the biggest organizations to pioneer new organizational initiatives and set precedents for others to benchmark, but it is important to consider how those endeavors can be adapted to organizational systems that operate on a small scale. Studies that will assist smaller firms both to move beyond the awareness stage of training and to formulate more meaningful measurements for evaluating the performance value of diversity training are needed. Questions to be explored include: How to connect diversity initiatives more directly with organizational goals? How to evaluate the value added of diversity training to organizational productivity? What types of diversity training will help organizations move beyond the awareness stage into more advanced levels of implementation? How do organizational systems reinforce or hinder transfer of diversity training?

Implications for HRD

This study taps into some of the traditional struggles of the human resource development function. Training programs often are given tacit approval by upper management, but not supported with strong leadership commitment or with the resources needed to foster growth. Like some of the diversity training endeavors cited in

this study, training initiatives frequently are seen as set aside programs that are not linked with the mission or the strategic plan of the organization, leaving them vulnerable to changes in leadership and complicating efforts to foster transfer of training and to evaluate organizational impact. One of the interviewees likened the current interest in diversity initiatives to earlier efforts to adopt a quality mindset, noting it is high profile and provided with resources at first, then it either becomes embedded into the culture or it is abandoned. Projections strongly indicate that the forces prompting globalization and demographic changes will continue for the foreseeable future (Judy & D'Amico, 1997). Diversity is therefore an inevitable part of HRD's future.

An additional implication for AHRD stems from the one of the initial reasons for this study, preparing students to work in a multicultural society and providing them with information about the workplace that is current, accurate, and applicable. The results of this study reinforce the viability of diversity initiatives in an area that is just beginning to experience demographic changes in its workforce and customer base. Further, they reveal that these small to mid-sized organizations use models for diversity training similar to those employed in larger systems. Certainly, students can learn from case studies about Fortune 500 firms, but the most powerful reference typically brings the real world into the classroom in a more personal way. Theory, no matter how well documented, makes more of an impression when students can envision it applied in their own lives. Just as the interviewees in this study and diversity researchers (Arredondo, 1996; Wentling & Palma-Rivas, 1998) cite the importance of customizing training programs to their employees and responding to their needs, applying diversity theory into small and mid-sized firms that students recognize reinforces the value of their learning and gives them a realistic job preview.

References

- Arredondo, P. (1996). *Successful diversity management initiatives: A blue print for planning and implementation*. Thousand Oaks: Sage Publications.
- Chan, C.S. & Treacy, M.J. (1996). Resistance in multicultural courses. *American Behavioral Scientist*, 40, 212-221.
- Cox, T. Jr. (2001). *Creating the multicultural organization: A strategy for capturing the power of diversity*. San Francisco: Jossey-Bass.
- Creswell, J.W. (1994). *Research design: Qualitative and quantitative approaches*. Thousand Oaks: Sage Publications.
- Dass, P., & Parker, B. (1999). Strategies for managing human resource diversity: From resistance to learning. *The Academy of Management Executive*, 13, 68-80.
- Ferdman, B.M., & Brody, S.E. (1996). Models of diversity training. In D. Landis & R.S. Bhagat (Eds.), *Handbook of intercultural training* (pp. 282-303). Thousand Oaks: Sage Publications.
- Galvin, T. (2002, October). 2002 Industry report. *Training*, 39, 24-73.
- Hanover, J.M.B., & Cellar, D.F. (1998). Environmental factors and the effectiveness of workforce diversity training. *Human Resource Development Quarterly*, 9, 105-124.
- Holvino, E., Ferdman, B.M., & Merrill-Sands, D. (2004). Creating and sustaining diversity and inclusion in organizations: Strategies and approaches. In M.S. Stockdale & F.J. Crosby (Eds.), *The psychology and management of workplace diversity* (pp. 245-276). Oxford, UK: Blackwell Publishing.
- Hurtado, S., Milem, J., Clayton-Pederson, A., & Allen, W. (1999). *Enacting diverse learning environments: Improving the climate for racial/ethnic diversity in higher education*. ASHE-ERIC Higher Education Report Volume 26, No. 8. Washington, DC: The George Washington University, Graduate School of Education and Human Development.
- Joplin, J.R.W., & Daus, C.S. (1997). Challenges of leading a diverse workforce. *Academy of Management Executive*, 11, 32-47.
- Judy, R.W., & D'Amico, C. (1997). *Workforce 2020: Work and workers in the 21st century*. Indianapolis: Hudson Institute.
- Koonce, R. (2001, November). Redefining diversity. *T+D: Better Performance Through Workplace Learning*, 55, 22-33.
- Loden, M., & Rosener, J.B. (1991). *Workforce America! Managing employee diversity as a vital resource*. Homewood, IL: Business One Irwin.
- Marshall, C., & Rossman, G.B. (1989). *Designing qualitative research*. Newbury Park, CA: Sage Publications.
- Richard, O.C., & Johnson, N.B. (2001). Understanding the impact of human resource diversity practices on firm performance. *Journal of Managerial Issues*, 13, 177-195.
- Roberson, L., Kulik, C.T., & Pepper, M.B. (2001). Designing effective diversity training: Influence of group composition and trainee experience. *Journal of Organizational Behavior*, 22, 871-885.

- Weiner, N. (1997). *Making cultural diversity work*. Scarborough, Ontario: Carswell.
- Wentling, R.M. (2001). Evaluation of diversity initiatives in multinational corporations. *Human Resource Development International*, 3, 435-450.
- Wentling, R.M. (2002). Factors that assist and barriers that hinder the success of diversity initiatives in multinational corporations. In T.M. Egan & S.A. Lynham (Eds.), *Academy of Human Resource Development: 2002 Conference Proceedings* (pp. 41-48). Honolulu, HI.
- Wentling, R.M., & Palma-Rivas, N. (1998). Current status and future trends of diversity initiatives in the workplace: Diversity experts' perspective. *Human Resource Development Quarterly*, 9, 235-253.

HRD in Community Development: A U.S. Case Study of Diverse Community Development

*Mesut Akdere
University of Minnesota*

The notion that HRD can also function as an agent of societal and international development as well as organization development has brought a new dimension to the field. One of the ways to achieve this is to study the potential contributions and implications of HRD to community development. In addition to the tremendous growth of diverse populations in our neighborhoods, administrative policy changes have pushed community leaders to approach organizational engagement with diversity more comprehensively.

Keywords: Community Development, HRD, Diversity

Human Resource Development (HRD) is a very large field of practice and a relatively young academic discipline. Furthermore, HRD is deeply concerned about the dynamic issues of individual and organizational change. Thus, the field of HRD is in continuous growth and change. A current definition of HRD brought a new approach to the way we understand the field. According to McLean & McLean (2001) "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, the whole humanity." Thus, the definition indicates the levels that HRD can contribute to community development. This study is conducted using case study research. The umbrella strategy of case study research is extremely useful to HRD in which case studies are one of the most prevalent formats for conducting research and they are often a combination of qualitative and quantitative inquiry (Marsick & Watkins, 1997).

The Cultural Diversity Council (CDC) is a rural community-based nonprofit organization, serving the Upper Minnesota River, formerly the Hispanic Outreach Task Force. It was organized in 1999 to strengthen the network of intercultural human relationships and thereby to achieve welcoming, peaceful, trusting, and respectful communities. The Council strives to maintain a multicultural commitment to peacefully built communities that embrace the gifts of every member of the community it serves. The CDC serves the counties of Chippewa, Lac qui Parle, and Yellow Medicine in the Western Central Minnesota. According to the U.S. Census Bureau (2000), the total population of these three counties is 32,235 with a total minority population of 1,151, which constitutes approximately 3.57% of the total population (2000). The breakdown of the minority population for each county is as follows: Chippewa County 4.1%; Lac qui Parle County 1.3%; and Yellow Medicine County 4.6%. The census results also indicate that in these three counties the largest groups of minorities include the Hispanic/Latino (467) and Native American (375) groups. Additionally, in recent years (after the 2000 Census) there has been an increasing migration of the Somalian population to the region from the larger metropolitan areas such as the Twin Cities.

These statistics indicate an increase in the number of diverse populations in the area and the trend is likely to continue implying more culturally diverse people will be migrating into the communities in these counties (Diaz, 2001). As such, there are increasing issues about housing, education, health care, banking and credit, socialization, recreation, language assistance, citizenship, legal advocacy, food, and spiritual issues. However, at present, there are not adequate infrastructures to properly address these issues. Thus, the study attempts to develop an understanding of the realities of people of color in these counties. The study further attempts to develop an understanding of the interactions of these diverse individuals and the community at large. The results of the study will also enable the CDC to better understand: a) the social structures within the community in these counties; b) how the CDC can work with other community service providers and networks to better promote and utilize the strengths of the residents and support their goals; and c) respond to the needs and issues that most concern them. This report will be instrumental in determining the utility of the current services and programs by the CDC; the demand to these services; how to recruit volunteers to assist with the CDC's efforts; and the appropriate community development and skill building opportunities for the members of the community. Consequently, the purpose of this study is to understand the ways HRD can contribute to community development.

Research Process

This study is based on the case study methodology, an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between the phenomenon and context are

Copyright © 2004 Mesut Akdere

not clearly evident; and in which multiple sources of evidence are used (Yin, 1984, p. 33). Thus, the researcher is neither aims to predict nor attempts to generalize the findings. The researcher that embarks upon case study research is usually interested in a specific phenomenon and wishes to understand it completely, not by controlling variables but rather by observing all of the variables and their interacting relationships (Dooley, 2002, p. 336). As such, case study research has the ability to utilize multiple cases, to analyze quantitative and qualitative data, and to implement multiple research paradigms in which the conduct of case study research can be expanded to engage multiple and simultaneous studies using multiple research paradigms. In this study, the participants are identified upon the suggestions of the CDC. The participants are selected using convenient sampling method. They are individually invited to the focus group interview sessions via phone by the CDC. The advantages of the case study method are its applicability to real-life, contemporary, human situations and its public accessibility through written reports (p. 344). Case study results relate directly to the common reader's everyday experience and facilitate an understanding of complex real-life situations (Soy, 1996). Furthermore, the major point about case studies to keep in mind is that they are richly descriptive in order to afford the reader the vicarious experience of having been there (Merriam, 2001, p. 238)

Among the data collection processes that case study research employs are participant observation, document analysis, surveys, questionnaires, interviews, and Delphi processes (Dooley, 2002, p. 338). For the purposes of this study, the data collection processes include document analysis from of the U.S. Census Bureau records to quantify the minority groups living in the region; focus group interviews with three largest minority groups; and phone interviews with the community service providers in the area. The power of case study research is the ability to utilize all methodologies within the data collection process and to compare within case and across case for research validity (p. 338). As such, the study utilizes a number of methods to compare and analyze for research validity. Studying the government records to find out the factual figures about these groups; conducting focus groups to obtain intensive descriptions and analyses of a single unit or bounded system (Smith, 1978); and conducting phone interviews with community service providers to understand the issues from their perspective may be adequately achieved with multiple techniques that only case study research enables. Case study research enables the researcher to study the observations of a single unit or subject, or contextual case, as the focal point of a study, along with its plurality as a research method (Dooley, 2002, p. 338). Thus, it is a process of scholarly inquiry and exploration whose underlying purpose is to create new knowledge (Herling, Weinberger & Harris, 2000). For the purposes of this study, case study research is considered as a research strategy in which a contemporary phenomenon and the associated contexts that are not clearly evident are examined to achieve methodological rigor, validity, and reliability (Dooley, 2002, p. 338). Consequently, this study includes the following six steps:

1. Determine and define the research questions.
2. Select the cases and determine data gathering and analysis techniques.
3. Prepare to collect data.
4. Collect data in the field.
5. Evaluate and analyze the data.
6. Prepare the report.

Determine and Define the Research Questions

The first step in case study research involves establishing the focus or the intent of the project. The focus or intent is established once a complete literature review has been completed and the problems have been well identified which should be something that the research can refer to as grounding during the process of the study (p. 339). Although the focus and intent of this study have been pre-determined by the CDC, in light of the literature review, the research questions, the focus and intent of this study, thus, have been modified. Objects—organizations, groups or teams, and individuals—involved in case study research are usually associated with political, social, historical, and personal issues, making the case much more complicated than at first glance (p. 339). Thus, the objects of this study are the organizations such as the agencies under which the community service providers serve, and the individuals from the minority groups. This further helps to refine the research questions and to also discover if past research has been done that will add to the study (p. 339), which also adds face validity to the project.

Select the Cases and Determine Data Gathering and Analysis Techniques

About selecting the cases and determining data gathering and analysis techniques, Dooley (pp. 339-340) suggests that:

This is a very important phase and sets the tone for the rest of the study. The researcher must select single or multiple cases that reflect the research questions in step 1. Moreover, this step also involves selecting the instruments and other data gathering strategies that will be used... The researcher must also decide how to select the cases; will they cover similar or different geographic regions, will they be the same size or different... A major strength of case study research is the ability to use multiple sources and techniques.

Tools used in this type of data collection are usually surveys, interviews, document analysis and observation, although standard quantitative measures such as questionnaires are also used.

Thus, the cases selected for this study are diversity, community development, and immigration. The data gathering techniques include focus groups with the members from the minority population; phone interviews with the community service providers in the community; and governmental documents. The data analysis techniques are bracketing, which describes the act of suspending one's various beliefs in the reality of the natural world in order to study the essential natural structures of the world; determining the themes which are essential qualities that make a phenomenon what it is and without which the phenomenon cannot be what is; and consequently, imaginative variation, which is the process for determining which themes are essential and which are incidental to a phenomenon and in which the theme has to be looked at from several directions and be considered in different ways to discern whether or not it is essential to the phenomenon.

Prepare to Collect the Data

Dooley suggests that case study researchers will typically begin a study using only one method of data collection and will add others as the situation warrants it (p. 340). In this case, the first method of data collection is government documents to analyze the population demographics. Due to the nature of case study research, the researcher generates large amounts of data from multiple sources (p. 341). Consequently, larger and more in-depth data are generated from the focus groups and phone interviews in regard to the phenomenon under study. Brief comments by the researcher about his or her background and experiences relevant to the case study may facilitate data collection and the reader's ability to better understand the findings (Gall, Borg, & Gall, 1996). In this regard, the researcher possesses adequate first-hand experience as a minority as well as substantial knowledge and scholarly research experience in the content area.

Collect Data in the Field

Dooley (2002, pp. 341-342) states that:

Data collection is emergent in case study research. That means what the researcher learns from the data collected at one point in time often is used to determine subsequent data collection. The researcher therefore must collect and store multiple sources of data, in a systematic manner. The storing of the data is critical so as to allow for patterns and themes to emerge. One must always keep the original object in mind and observe causal factors associated with the observed phenomenon. It is important to make formative evaluation checks so arrangements can be made in the event that factors arise causing the manner in which the case is evaluated to change. Case study research is flexible, but when changes are made, they must be documented systematically. Field notes document this process; they record feelings, hunches, pose questions and document the work of the case.

Taken this into account, the researcher collects the data from a variety of resources as indicated earlier. The government documents collected for this study are not only statistically significant and valid but also instrumental in determining the minority groups to include in the study. The focus groups have been established through collaboration with the CDC and the minority community leaders. Every effort has been made to accommodate the needs of the participants during the process. Due to the regulations of the Institutional Review Board at the University of Minnesota, each participant is asked to complete a consent form before the process is initiated. They are further explained about the nature and the purpose of the study as well as how the study is to benefit their community. Since all of the groups decline to be taped the data collection is conducted in the form of note taking.

Initially, two largest minority groups were identified to participate in the study, the Hispanic/Latino and the Native American communities. However, the literature review indicates a new trend of Somalian workforce migration to the region from the Twin Cities metropolitan area. As such, a third focus group is established to study these new comers. An interpreter from the community has been present for the focus groups with the Hispanic/Latino and the Somalian groups. The consent forms are also translated into their native languages so as to ensure an effective communication and authentic agreement. The participants for the focus groups were equally represented in terms of age and gender. Such balance of demographics among the participants is important to achieve validity and reliability in case study research.

Community service providers, on the other hand, are contacted via telephone. They are explained the nature of the study and the value of their voluntarily participation to the study. Over seventy service providers from the three counties are contacted and forty-six of them agreed to participate in the study. Such large percentage of participation does not only increase the validity and reliability of the study but also allows a large spectrum of professionals from all serving agencies to express their concerns and problems about these minority groups from their own perspective.

Evaluate and Analyze the Data

Dooley (p. 342) describes this stage as:

The researcher now evaluates the data using an array of interpretations in order to find any and all relationships that may exist with reference to the research questions. The discovery of constructs in qualitative data can be a significant outcome to a case study. The case study method, with its many different data collection and analyzing techniques, allows researchers opportunities to triangulate data in order to strengthen the findings.

The following section includes the evaluation and analyses of the interviews with these three focus groups and the phone interviews with the community service providers. Each group is evaluated separately to allow individualized analysis and prevent any possible exclusion of findings due to generalization.

Focus Groups

The Hispanic Community

The majority of the focus group participants have only been in the area for the past two years, which may be interpreted as the majority of the Hispanic/Latino population is new to the area. As such, there are some concerns related to socialization, which is described as to adapt to social needs and uses or to participate actively in a social group (American Heritage Dictionary, 2003). Consequently, programs and policies should be adapted to enhance the socialization process of this group.

Among the problems they face are the bureaucracy that immigrants have to go through; lack of adequate utilization of information pertaining to immigrants; lack of bilingual staff in many governmental agencies, especially in healthcare organization; lack of equal access opportunities to public services; lack of sufficient food shelves; lack of public transportation; lack of bilingual manuals, descriptions, and directories for public services; lack of awareness towards Hispanic students in schools; and general stereotypes among the residents. Such issues and concerns need to be addressed by the CDC since one of its primary missions is to help immigrants with their problems and concerns and their transition to become members of the community.

The participants indicate that the CDC can help the Hispanic/Latino community by informing the community about the services available to the Hispanic/Latino population; providing more individualized services; developing more programs for the community at large to help increase awareness for Hispanic culture; recruiting bilingual employees to public services; attracting more interpreters to the area; offering more English as a Second Language courses; and lobbying for equal access opportunities to education. They further state that in order to create a community that welcomes new people from diverse backgrounds the CDC can help in the establishment of a center with a full-time bilingual employee to offer aid with their problems, in providing food shelter and more job opportunities, and increasing opportunities for public housing. The CDC can also establish a data bank through a general membership to help tracking the members and also to offer a sense of belonging to its members.

The participants indicate a larger participation from the Hispanic/Latino population to the community events will definitely help achieving a diverse community. To achieve this, a connection between the CDC and the Hispanic/Latino community must be established so that people will become more familiar with the CDC and its programs and services. Thus, they can contribute to the CDC through their human and social capital such as their bilingualism, advertising the events and programs, and helping out with the preparations. There is no doubt that the Hispanic/Latino community has a lot to offer to the CDC. However, due to a lack of community-based partnership, this is not adequately achieved. The CDC can recruit more Hispanic/Latino members to develop and foster such networks.

The Native American Community

One of the problems that the Native American community faces is the ignorance and lack of awareness within the larger community about the Native American history and culture. They suggest that this can be overcome through various programs and curriculum change in schools. Another problem that the Native American community faces is gambling, alcohol, and drug addiction. More social services are needed in this area to help with the treatment processes. In addition, the CDC can initiate a taskforce with the Leadership Council of the Upper Sioux Board of Trustees, which can help the CDC to offer programs and services focused towards this population. Furthermore, such networking will increase participation and involvement in the CDC's programs and services within the Native American community. The Council should utilize such opportunities by active encouragement, collaboration, and involvement.

The Somalian Community

The majority of the Somalian community migrated to the region for the job opportunities, nice neighborhood, and the English as a Second Language (ESL) support that they receive in the workplace. They suggest that the CDC can help for more ESL programs, electricity and gas aid programs, affordable housing, and translators for public services. This group has expressed a need for a new service—electricity and gas aid programs. The CDC can lobby for such programs at local, state, and federal level.

Phone Interviews with the Community Service Providers

Part of this project included conducting phone interviews with the community service providers who serve in the region. The CDC provided a list of seventy community service providers from the agencies in education, health care, nonprofit organizations, federal and state agencies, social work, law enforcement, and spiritual institutions. Among these seventy community service providers forty-six of them are participated included in the study. Among the responses are:

- It is a rural setting and the location is geographically widespread.
- Although there is an increasing diverse population, this is not reflected on the numbers of the community service providers
- There is a need for further educational programs on compulsive gambling.
- School attendance and retention ratio of the minority students are low and there is a need to address this issue.
- There is a great need for affordable housing.
- There is a lack of farming employment.
- Acceptance of the people with diverse backgrounds within the community at large is a challenge achieving a diverse community.
- Economy and employment in parallel to that are also great concerns.
- Funding for social services is also decreasing.
- Public transportation is much needed especially in the remote areas of the region.
- There is a lack of sufficient services and interpreters available to the minority groups.

These responses, in fact, are almost identical with the responses those of the minority groups. This is an indication that these problems are equally observed, recognized, and experienced by both the minority groups and the community service providers.

All of the participating community service providers further indicate that a good relationship exist between their organizations and the minority groups. Most of them indicated that an interpreter usually solves many problems, without which otherwise would have become more complex and complicated to resolve. A positive relationship between the community service providers and the minority groups is an indication of future collaborations and larger participations.

The participants state that both governmental and nongovernmental organizations can reach out and serve minority communities by providing funding to educational programs and services and training the minority groups in basic skills required for many entry-level job positions. They also indicate that minority groups require more individualized service, though this may be difficult. Another suggestion is that the Housing Authority can assist the minority groups with issues related to housing. The local business can also address the unemployment by providing new job opportunities. English and Spanish language classes can be offered both to the immigrants and the locals. Another suggestion is to develop broader based task forces in form of more specific committees. Legislators can address these needs at political settings. More grants may be offered to organizations to offer programs to the minority groups.

They characterize the strengths and assets of their organizations in respect to serving the minority groups as being well aware of the needs of the minority groups; having access to bilingual staff; welcoming diverse groups; and reflecting the multicultural aspect of the community in their organizational policies. The participants also express a desire for the growth of minority population and a culturally diverse community, which welcomes people with all different backgrounds. To achieve this, some local policies should be changed and some new laws have to be made. Furthermore, the business should provide not only new job opportunities but also offer programs for professional and personal development.

Prepare the Report

Dooley (p. 343) suggests that:

The goal of the report is to present the conclusions to the questions posed by the researcher in a way so the reader can understand. Two types of reports are popular for case study researchers. *Reflective reporting*, where the writer will use literary devices to bring the case alive for the reader and the strong presence of the researcher's voice is apparent; and *analytic reporting* which notes an objective writing style (the researcher's voice is either silent or subdued).

In the analytic style, the report generally has a conventional organization: introduction, review of the literature, methodology, results, and discussion (Gall, Borg, & Gall 1996). Thus, this report is written in the analytic style, as it is more appropriate to achieve the goals and the purpose of the study.

Conclusion

Using case study research model, this study examines the potential for building community-based partnerships among a community center, community service providers in the area, people of color, and the community at large. The paper identifies current problems and issues as well as potential barriers to successful partnership, and provides instrumental findings as to how these problems and barriers can be overcome. The paper offers possible ways and methods for building community-based partnerships and increasing cultural diversity awareness to other communities facing similar challenges around the world.

Studies of this nature require a multiple implementation of research methodologies. Case study research has undoubtedly provided the study with such modes of inquiry to better understand the phenomena under study. This study is intended to provide an understanding about the cultural and social backgrounds of the minority groups as well as their needs, the problems and issues that they face within the community.

As a country of immigrants, the U.S. will, undoubtedly, continue to attract new immigrants from other parts of the world. The notion that U.S. is a 'melting pot' has diminished long ago, and the concept of diversity, where individuals are encouraged to express their cultural, ethnic, and religious heritage in everyday life, is on the rise. Studies that examine immigrant populations and analyze the challenges, issues, and problems that immigrants are facing are not only necessary to better understand them but also vital for scientific and sound approaches to help them in their transition phases to their new environment.

Two major capitals that the CDC needs to address and utilize are human capital and social capital, which are equally critical in community development. Human capital is defined as the knowledge and skills (physical and intellectual) that an individual possesses that make that individual a productive worker (Besanko, Dranove, & Stanley, 1996, p. 641). Social capital, on the other hand, is defined as any aspect of social structure that creates value and facilitates the actions of the individuals within that social structure (Coleman, 1990).

Community development is a new and dynamic field of study to which HRD can greatly contribute. A community is composed of individuals, groups, and organizations. As such, HRD can help address issues and challenges in community development at individual, group, and community levels. In this aspect, community may be viewed as the organization that needs to be developed. It is recommended that future studies in community development can adequately utilize HRD in responding to a rapidly changing environment; dealing with some of the most significant human issues of poverty, inequity, diversity, discrimination; determining individual learning styles and responding to them; and dealing with the ambiguities of life (Azevedo & McLean, 2002).

References

- Azevedo, R., & McLean, G. N. (2002). HRD: A perspective on the search for new paradigms in a time of crisis. In Oscar Aliaga (Ed.), *The Proceedings of Academy of Human Resource Development*.
- Besanko, D., Dranove, D., & Stanley, M. (1996). *Economics of strategy*. New York: John Wiley & Sons, Inc.
- Coleman, J. S. (1990). *Foundations of social theory*. Cambridge, MA: Harvard University Press.
- Diaz, J. (2001). *Executive Summary: Community attachment research study*. Marshall, MN: Southwest Minnesota Foundation.
- Dooley, L. M. (2002). Case study research and theory building. In Susan A. Lynham & Richard Swanson (Eds.), *Advances in Developing Human Resources*, 4(3), 335-354.
- Gall, M. D., Borg, W. R., & Gall, J.P. (1996). *Educational research: An introduction* (6th ed.). White Plains, NY: Longman.
- Herling, R. W., Weinberger, L., & Harris, L. (2000). *Case study research: Defined for application in the field of HRD*. Human Resource Development Research Center. St. Paul, University of Minnesota.

- Marsick, V. J., & Watkins, K. E. (1997). Case study research methods. In R. A. Swanson & E. F. Holton III (Eds.), *Human resource development research handbook: Linking research and practice*. San Francisco: Berrett-Koehler.
- McLean, G. N., & McLean, L. (2001). If we can't define HRD in one country, how can we define it in another? *Human Resource Development International*, 4(3), 313-326.
- Merriam, S. B. (2001). *Qualitative research and case study applications in education*. San Francisco, CA: Jossey-Bass.
- The American Heritage® Dictionary of the English Language: (4th ed.). (2003). [Online]. Available: <http://www.bartleby.com/61/29/C0562900.html>
- Smith, L. M. (1978). An evolving logic of participant observation, educational ethnography and other case studies. In L. Shulman (Ed.), *Review of research in education*. Itasca, IL: Peacock.
- Soy, S. K. (1996). *The case study as a research method*. Retrieved September 15, 2003, from University of Minnesota, Wilson Library. Available: <http://www.gslis.utexas.edu/~ssoy/usesusers/l391d1b.htm>
- The U.S. Census Bureau (2000). [Online]. Available: <http://www.census.gov>
- Yin, R. K. (1984). *Case study research: Design and methods*. Thousand Oaks, CA: Sage.

Diversity and Human Resource Development

Rose Mary Wentling

University of Illinois at Urbana - Champaign

An important factor in diversity and Human Resource Development (HRD) is understanding how the changes in society are affecting the workforce. This literature review brings about an understanding of the complexity and breadth of workplace diversity issues and provides information that can be used to enhance the role of HRD professionals in organizational change and diversity. The information provided in this paper can be used by HRD professionals to develop new and unique diversity initiatives for their organizations.

Keywords: Diversity, Human Resource Development, Organizational Change

It is common knowledge that the American workforce doesn't look like the workforce of the past. Today's workforce is significantly different in that the working population is aging, more women are working, ethnic diversity is growing, more people with disabilities are employed, an increasing gap exists between highly educated persons and the large number of people who cannot read and write well enough to hold simple jobs, and employees have a greater mix of values and attitudes (Jamieson & O'Mara, 1991; Judy & D'Amico, 1997; Naylor, 1997). These demographic changes are dramatic, important and a reality in today's workplace. People from many diverse groups will be working together to keep business running competitively (Baytos, 1995; Fernandez, 1993; Gasorek, 1998; Hayles & Russell, 1997).

It is expected that the extent to which these workforce demographics are effectively and efficiently managed will have important impact on the competitive and economic outcome for organizations (Lynch, 1997; Morosini, 1998; Schell & Solomon, 1997; Thomas, 1992). Organizations that recognize that they need to fully develop all members of their workforce to remain competitive are responding by implementing a variety of different approaches to manage diversity (Brimm & Arora, 2001; Cavanaugh, 1997; Martino, 1999).

Diversity has received increasing attention in recent years, on account of demographic as well as attitudinal shifts. Within the field of human resource development, the interest in diversity is primarily focused on improving individual, group, and organizational effectiveness (Rothwell, Sanders, & Soper, 1999). This focus is critical as workplaces throughout the world evolve within the global economy. While the last decade have seen an increase in valuing and managing diversity in the workplace, the role of human resource development in diversity remains vague. Once a workplace becomes diverse what needs to change? Whose responsibility is it to make sure that the goal of a more inclusive workplace becomes a reality? The focus of HRD puts HRD professionals in a unique position to help organizations redefine the way they do business, especially around issues of organizational change and diversity.

This literature review brings about an understanding of the complexity and breadth of workplace diversity issues as they relate to defining diversity, diversity in the workplace, managing diversity in the workplace, strategies for managing diversity in the workplace, and the role of HRD professionals in organizational change and diversity. To accomplish this, workforce diversity issues and the key points from research studies, books, reports, and journal articles written for business and human resource professionals on diversity in the workforce were reviewed.

Diversity Defined

There are numerous ways in which different individuals have defined diversity. Definitions of the term range from narrow to very broad. Narrow definitions tend to reflect Equal Employment Opportunity (EEO) law, and define diversity in terms of race, gender, ethnicity, age, national origin, religion and disability (Hayles & Russell, 1997; Wheeler, 1996). Broad definitions may also include sexual/affectional orientation, values, personality characteristics, education, language, physical appearance, marital status, life-style, beliefs, and background characteristics such as geographic origin, tenure with the organization, and economic status (Thomas, 1992; Triandis & Bhawuk, 1994; Wheeler, 1996).

Morrison (1992) categorized diversity in terms of four levels: (a) diversity as racial/ethnic/sexual balance, (b) diversity as understanding other cultures, (c) diversity as culturally divergent values, and (d) diversity as broadly

Copyright © 2004 Rose Mary Wentling

inclusive (cultural, subcultural, and individual). Griggs (1995) classified diversity into primary and secondary dimensions. Primary dimensions of diversity are those human differences that inborn and/or that exert an important impact on our early socialization and have an ongoing impact throughout our lives. The six primary dimensions include: (a) age, (b) ethnicity, (c) gender, (d) physical abilities/qualities, (e) race, and (f) sexual/affectional orientation. According to Griggs, people cannot change these primary dimensions. They shape our basic self-image and have great influence on how we view the world. The secondary dimensions of diversity are those that can be changed and include, but are not limited to: (a) educational background, (b) geographic location, (c) income, (d) marital status, (e) military experience, (f) parental status, (g) religious beliefs, and (h) work experience.

Thomas (1996) contends that diversity needs to be expanded much further than race and gender. He claims that diversity needs to be expanded beyond the single arena labeled human resources into the entire spectrum of strategic issues that modern corporations face. Thomas believes that by restricting the word, "diversity" only to "people" issues we overlook a powerful, versatile idea and a new tool that can contribute significantly to many problems facing organizations today. He states that diversity can be used as a tool for strategic management in issues such as globalism, acquisitions and mergers, teaming, work/family, teaming, and managing change.

For the purpose of this literature review, diversity is defined as all the ways in which people differ, and it encompasses all the different characteristics that make one individual or group different from another. It is all-inclusive and recognizes everyone and every group as part of the diversity that should be valued (Kossek & Lobel, 1996).

Diversity in the Workplace

The demographic composition of the U.S. society and the workforce has changed considerably and is expected to continue undergoing dramatic changes in the near future (Jamieson & O'Mara, 1991; Johnston & Packer, 1987; Judy & D'Amico, 1997). The demographic trends will most certainly affect the makeup of the U.S. labor force. Through 2020, people of color, white women, and immigrants will account for 85 percent of the net growth in the U.S. labor force (Judy & D'Amico, 1997). In 1980, women made up 43 percent of the total workforce. By the year 2010, they will account for more than 47.6 percent of the total workforce, and 65 percent of all American women will be employed. Also, in 1980, blacks made up ten percent of the total workforce and Hispanics accounted for six percent. By 2010, black will make up 12 percent of the total labor force. Hispanics will account for ten percent and Asians another four percent (U.S. Bureau of Labor Statistics, 2000).

The significant increase in minority populations also affects market place demands. According to the Population Reference Bureau, African Americans, Asians, and Hispanics currently make up about 21 percent of the U.S. consumer base and they are expected to reach 25 percent by the year 2010. Polar and González (1994) noted that organizations benefit from diversity by tapping into the tremendous purchasing power that minorities have. They provided two examples: (a) older Americans spend over \$ 800 billion annually; and (b) minority markets buy more goods and services than any country that trades with the United States (p. 22). To market products and serve a variety of diverse customers effectively, organizations will have to employ a diverse workforce (Brimm & Arora, 2001; Schell& Solomon, 1997).

The American workforce will continue to mature and there will be increase in the racial and ethnic diversity within the elderly population as well (U.S. Department of Commerce & U.S. Department of Health, 1998). The average age of the workforce is expected to increase, from 36 in 1986 to age 45 by the year 2010. Those in the 35-54 age group will increase by more than 25 million--from 38 percent of the workforce in 1985 to 55 percent by the year 2010. The combination of changes in the age distribution of employees and new flatter organization structures mean that several generations of workers can find themselves working side by side (Norton & Fox, 1997). Even if employees from these different generations were all white Americans, they would differ fundamentally in their values and attitudes about work, physical and mental functioning, as well as the everyday concerns that reflect their age group . There will be increasing differences within each generation, gender, and cultural group (Carnevale & Stone, 1995; Carr-Ruffino, 1996).

People with disabilities is another group that is becoming increasingly part of the workforce. Workers with disabilities have to be integrated in the labor force by law. They have been historically stereotyped and discriminated against because of their disabilities. "Such individuals are generally viewed as not being capable employees" (Henderson, 1994 p. 105). However, the American with Disabilities Act of 1990 has been a major piece of legislation that has tried to reverse this situation for workers with disabilities. Due to the American with Disabilities Act of 1990, people with disabilities benefit, as well as, society because supported employment helps decrease government subsidies and increases tax revenues and productivity.

When taking into consideration the changes in society and the workplace, it is easy to understand the significant role that diversity will play in the future competitive and organizational success. Regardless of whether one looks at diversity as a societal, workplace, strategic management, or a consumer marketing issue, these demographic changes can not be disregarded (Carnevale & Stone, 1995; Jackson & Alvarez, 1992). The character of society and the workforce is changing and is expected to change significantly in the future. All these changes have directed many organizations to explore the business implications and have provided a strong rationale for managing diversity in the workplace.

Managing Diversity in the Workplace

Triandis, Kurowski, and Gelfand (1994) defined managing diversity very broadly, from the cultural perspective. For them “managing diversity means changing the culture---that is, the standard operating procedures. It requires, data, experimentation, and the discovery of the procedures that work best for each group. It is more complex than conventional management but can result in more effective organizations” (p. 773). Thomas (1992) relates it to employees. For him managing diversity is to empower or enable employees. Managing diversity prescribes approaches that are philosophically broad enough to encompass all dimensions of diversity (p. 315). Henderson (1994) relates managing diversity to the accomplishment of the organization's goals. For him managing diversity also emphasizes managerial skills and policies needed to optimize and emphasize every employee's contribution to the organizational goals.

There are important fields that have shaped and continue shaping diversity (Simons, 1992). Simons identified the pioneering organizations in valuing diversity. International business has been one of the pioneer fields in valuing diversity. Diversity, in this case, has emerged as a need for survival and success. Multinational corporations are forced to develop and implement strategies that could lead them to capture and retain diverse customer bases not only nationally but also throughout the world. They are also required to recruit and retain a diverse workforce that mirror its market (Cox, 2001; Kossek & Lobel, 1996; Fernandez, 1993; Talbott, 2001).

Sports/athletic organizations is another group that has had the need to effectively manage diversity. Sports/athletic organizations include group dynamics, behavioral processes, social interaction, socialization, and subcultures. Sports have become more institutionalized, especially at the highest levels of amateur and professional athletic events and have come to reflect the corporate/commodity model, which make sports more like work than play (Frey & Eitzen, 1991). An athletic team's win-loss record many times is used to measure its effectiveness. Similarly, a business organization's profit-loss record is used to measure its efficiency. Comparable to organizations, an athletic team designs policies and procedures to recruit, socialize, train, and promote its team members. These policies and procedures are strategically utilized to make the team more effective, so they can compete and win (Guttmann, 1988).

In many professional athletic teams, players come from all parts of the world, different cultures, speak different languages, eat different foods, have different levels of education, and different values. To win and be competitive the team members need to understand and appreciate each other's differences and work toward an overall team goal. Murrell and Gaertner (1992) conducted an experimental study that examined team interaction and performance outcomes in teams. They found that there was a significant difference between members of winning versus losing teams involving issues of team unity and cooperation, and interpersonal conflict. Players who were members of winning teams rated team unity and cooperation as more important, and interpersonal conflict as less favorable than players on teams with losing records.

Many companies trace their diversity initiatives to the Workforce 2000 report (Johnston & Packer, 1987), which greatly intensified concern for the effective utilization of an increasing diverse workforce. However, many believe that the concern for managing diversity started with Equal Employment Opportunity/Affirmative Action (EEO/AA). Traditionally, EEO/AA requirements have been based upon social, moral, and legal obligations. While many companies are still obligated to comply with EEO/AA policies today, they are convinced that programs and processes for managing diversity go beyond compliance with EEO/AA policies because they are directly connected to bottom-line business issues (Fernandez, 1993; Morrison, 1992; Norton & Fox, 1997; Thomas, 1999). According to Gottfredson (1992), “our nation must work harder to help all workers develop themselves to their fullest and that such efforts are required not only in the interest of social justice, but also to maintain competitiveness in the global marketplace” (p. 279).

Cox (1993) noted that companies that learn how to manage diversity acquire a competitive advantage over companies that do not know how to deal with diversity. They found that sound management of diversity affects cost savings, employee selection, creativity, problem solving, flexibility, marketing, and resource acquisition. Triandis, Kurowski, and Gelfand (1994) reported that those companies that “manage diversity well are more likely to gain

competitive advantages, attain increased productivity from available human resources, and reduce the intergroup conflict cost" (p. 775).

Managing and valuing diversity is a bottom line issue for organizations (Harris & Moran, 2001). Possibly, the simplest and the strongest rationale for managing diversity stems from the potential to increase productivity among all workers, especially among those groups of workers that have historically been underrepresented and underutilized (Miller & Katz, 2002). Examples of these groups include women, people of color, people with physical disabilities, older workers, and gay or lesbian employees (Carnevale & Stone, 1995, Hayles & Russell, 1997; Morrison, 1992). It is not legally required that organizations manage diversity, instead it is in the best interest of American corporations to develop and utilize the talents and energies of all their workforce. Managing diversity's goal is to develop an environment that takes into consideration all dimensions of diversity and works for all employees at all levels in the organization (Griggs, 1995; Loden, 1996).

Strategies for Managing Diversity in the Workplace

During the last decade, many organizations have responded to the increase in diversity with programs designed to manage diversity in the workplace (Arredondo, 1996; Baytos, 1995; Carnevale & Stone, 1995; Cox, 2001; Fernandez, 1993; Gottfredson, 1992; Griggs, 1995; Thomas, 1996; Wheeler, 1996). Cox (1993) reported on about 42 American corporations' specific diversity activities. Examples of such programs included nontraditional work arrangements, such as flextime and home work stations; education and training programs intended to reduce stereotyping, increase cultural sensitivity, and develop skills for working in multicultural environments; career management programs designed to promote constructive feedback to employees, mentoring relationships, and access to informal networks; and new employee benefits, such as parental leave and dependent-care assistance.

Wheeler (1995) conducted a study for the Conference Board. He surveyed and interviewed 69 diversity managers, consultants and academicians and found seven innovative diversity initiatives. Those practices were: (a) incorporation of diversity into mission statement; (b) diversity action plans; (c) accountability in business objectives; (d) employee involvement from all levels and functions; (e) career development and planning; (f) community involvement and outreach; and (g) long-term initiatives directed at overall culture change.

Although there are a wide range of approaches and strategies for managing diversity, there is no single approach or strategy that can be recommended for all organizational situations. Even though there is no method that contains all the necessary ingredients for success in managing diversity, several individuals have developed steps and/or procedures that can assist organizations in successfully managing diversity. Morrison (1992) cited five major steps involved in the process of putting diversity into action. The first step is to identify the diversity problems in the organization by collecting relevant information. The second step is strengthening top management commitment by getting them involved in the diversity effort. Third, select practices that fit the organizations needs and problems and develop a balanced diversity strategy. Fourth, measure the specific results of the diversity efforts. Fifth, establish a process that ensures ongoing successful diversity efforts.

Louw (1995) identified five phases in the overall process of managing diversity. (a) needs analysis--answer the questions why, what, how, when, where, and who of the managing diversity strategy; (b) diversity strategy design--develop goals, objectives, methods, dimensions, management, actions, priorities, and resources of plan; (c) development--form specific interventions and initiatives related to diversity; (d), implementation--develop a plan that answers who, when, where, and how the diversity interventions and initiatives will be accomplished; (e) maintenance--evaluate and monitor diversity efforts to ensure ongoing improvement. In addition, Louw (1995) identified the following eight principles required for managing diversity successfully: Use a holistic, integrated approach; obtain top management commitment and accountability; consciously work to integrate diversity values into the broader organizational values; integrate responsibility for diversity initiatives into other management functions and initiatives; integrate diversity efforts with existing strategic objectives and programs; expect resistance to change, and take steps to minimize it; use a participative management approach; and be instrumental or facilitative rather than charismatic or autocratic in leading diversity initiatives.

Leadership commitment and revising policies and benefits so that they support diverse needs are elements that are essential to building diversity (Cross, 2000; Carnevale & Stone, 1995). Before diversity can be valued and properly managed in any organization, the organization's leadership must be committed to it. Leaders/managers need to get directly involved in making things happen. Leaders need to lead by example, and also hold others accountable. They warn that proceeding without leadership commitment diversity initiatives will have little impact if employees view management as not supportive of diversity efforts. When people are engaged in diversity initiatives and leadership commitment is lacking, it is important to stop and design a strategy to get it. Commitment takes time to develop and leaders/managers need to understand the benefits and process involved in managing

diversity (Arrien & Gorbachev, 2001). Many organizations use accountability as a key component to ensuring commitment to diversity from their managers (p. 27). Some organizations have managers develop their own diversity goals and specific ways to demonstrate their support for diversity. Other organizations connect performance-appraisal ratings, compensation, and even annual bonuses to the achievement of diversity goals (Weiss, 2001). Morrison (1992) found through her research that companies are beginning to attach consequences to diversity-related performance. According to Morrison, leaders competent in developing and capitalizing on diversity are essential to the success of American organizations. Further, Loden (1996) stated that to set the stage for changing the organizational culture, company leaders must take an influential and visible role from the very beginning. Specifically, their role must focus on: Acknowledging the fundamental difference between equal employment opportunity and valuing diversity; endorsing the value of diversity and communicating this throughout the organization; and articulating a pluralistic vision (p. 197).

Organizations are undertaking a number of diversity initiatives. However, no single strategy or activity, used in isolation, is likely to constitute an adequate approach for managing diversity. What is needed is a careful selection of initiatives adapted to organizational needs, tied to business aims, and used strategically in an ongoing manner. Clearly issues of managing diversity need to work their way through the strategic planning process of the organization. Diversity initiatives should not be fixed and should be modified over time, as an organization needs change.

The Role of HRD Professionals in Organizational Change and Diversity

Bringing about organizational change effectively may be one of the most critical challenges facing human resource development professionals today (Kossek & Lobel, 1996; Norton & Fox, 1997; Weiss, 2001). A survey of the nation's top human resource professionals at American's Fortune 100 companies found that their number one concern was managing change (Laabs, 1996). Any change process needs to recognize the issues of workforce diversity in relation to organizational change, especially as it relates to buy-in and the eventual success of the diversity initiatives (Henderson, 1994; Norton & Fox, 1997; Triandis, 1998; Weiss, 2001). By viewing every diversity initiative as having a critical change element that will either drive or restrain the initiative, HRD professionals can more effectively tap all of the organization's human capital. HRD professionals today need to develop diversity initiatives that take the changing needs of all their workforce into consideration. In order to respond to such needs, HRD professionals need an understanding of the culture of the organization and a broad-base definition of diversity.

The ideal intent of diversity initiatives is to maximize the utilization of all available talent in the organization, in order to accomplish the organization's goals and objectives (Davidson & Fielden, 2003; Martino, 1999; Schell & Solomon, 1997; Thomas, 1996). In addition, effective diversity initiatives assist in removing barriers related to gender, race, ethnicity, family responsibilities, level of education, religion, personal beliefs, and so on (Morrison, 1992). The organizational culture can be either a driving force or a restraining force for diversity initiatives (Miller & Katz, 2002; Norton & Fox, 1997).

For HRD professionals to implement diversity initiatives they must enlist the support and commitment of top management. Before an organization can change top level leaders must agree that change is necessary (Cross, 2000). They must buy-in to the idea that a change is needed and believe that the proposed diversity initiatives will bring about the desired change (Carnevale & Stone, 1995; Loden, 1996). To obtain the support of top management HRD professionals need to make clear the purpose of the diversity initiatives (e.g., improve productivity, increase new markets, decrease employee conflict, improve employee moral) by providing them with relevant education (e.g., information, statistics, documentation). The primary purpose is to obtain the commitment of appropriate stakeholders (those individuals with a stake in the welfare of the organization) by helping them to understand the positive organizational change that will take place because of successful diversity efforts (Baytos, 1995; Hayles & Russell, 1997; Norton & Fox, 1997). HRD professional whenever possible need to make a link between the organization's goals and the achievement of these goals through the implementation of the diversity initiatives.

Once HRD professionals have obtained the support and commitment of the organizational leadership and they are fully behind the proposed diversity initiatives, the organization's readiness for change needs to be assessed. The purpose is to develop a clear understanding of the driving and restraining forces present in the organization and using the information effectively in determining the possible outcomes of the diversity initiatives (Arredondo, 1996, Loden, 1996). Resistance may be found from members of management, individual employees, and in even from individuals outside the organization such, as customers and suppliers (Thomas, 1999). HRD professionals can conduct a cultural assessment to obtain a better understanding of the organization's culture and how it may affect the desired outcomes of the diversity initiatives. During a cultural assessment data can be collected about the

organizational culture; organizational structure; management systems, policies and practices; individual/team roles and responsibilities; work relationship skill, and so forth (Gardenswartz & Rowe, 1998; Greer, Plunkett, & Plunkett, 2003; Norton & Fox, 1997). Cultural assessment data can provide a comprehensive analysis of the issues that could affect the implementation of diversity initiatives in the organization (Loden, 1996).

Next the HRD professionals must develop specific plans for overcoming possible barriers and implementing the desired diversity initiatives (Baytos, 1995; Prasad & Mills, 1997; Thomas, 1999). In planning the organizational diversity initiatives the HRD professionals need to work closely with organizational leaders and employees representatives from different groups and levels. The purpose is to develop a planning process for the diversity initiatives from beginning to end in order to maximize the potential for success (Arredondo, 1996; Hayles & Russell, 1997). The HRD professionals need to decide on the specific strategic objectives that the diversity initiatives are intended to achieve and make sure that these are reflected in the mission and goals of the organization. In addition, outcomes of the objectives need to be identified, as well as the systems, policies, and practices needing to be changed to achieve these outcomes. During planning it is important for HRD professionals to identify other corporate initiatives that can be linked to the diversity initiatives. Plans for linking different change initiatives may allow an organization to increase its competitive advantage by coordinating and combining efforts and resources wherever possible (Norton & Fox, 1997; Wheeler, 1996).

Next, HRD professional need to assist in the implementation of the diversity initiatives that were planned by embedding them into the systems and functions of the organization and consequently changing the organizational culture (Arredondo, 1996; Baytos, 1995). The expected outcomes is for the diversity initiatives to be integrated into the organizational culture; for the systems, practices, and policies to be re-engineered to support the diversity initiatives where necessary; and for employees to acquire the knowledge, skills, and experience they will need to ensure their success (Hayles & Russell, 1997; Wheeler, 1996). Diversity initiatives of any type can result in backlash or increased inter-group conflict when the initiative is poorly implemented. HRD professionals can identify specific skill deficits and help determine the appropriate education and training (Carnevale & Stone, 1995; Clements & Jones, 2002; Prasad & Mills, 1997). For example, it may be that cross-cultural sensitivity training is needed to increase awareness and understanding of differences reflected in different cultures. Similarly, employees may need to learn to communicate better in order to work together more effectively, or learn to negotiate disagreement more productively, or learn how to perform better as a group, and so on (Gardenswartz & Rowe, 1994; Norton & Fox, 1997). Many diversity experts recommend that all training related to diversity initiatives be customized. They believe that training should be customized to fit the realities and needs of each organization (Carnevale & Stone, 1995; Cox, 1993; Griggs, 1995; Thomas, 1996; Loden, 1996)

After the diversity initiatives have been fully implemented and integrated into the organization, (which may take several months or several years, depending on the types of initiatives) and a new organizational culture has been created, it is important to assess the diversity initiatives with emphasis toward future changes or directions that should be established (Baytos, 1995; Norton & Fox, 1997). HRD professionals can measure outcomes with a combination of hard data (attrition rates, productivity indexes, promotional patterns, employee-satisfaction ratings, customer feedback, etc) and more subjective data generated by focus groups (town meetings of both internal and external consumers and workers, etc.). Outcomes assessment data can provide valuable insights into what improvements can be made for the future related organizational diversity initiatives (Arredondo, 1996; Gardenswartz & Rowe, 1994). Organizations today must continuously plan for the future. Frequently diversity initiatives are implemented and then the change process comes to an end. To ensure that the diversity initiatives that have been implemented continue to have the desired effect and more important to plan for the future, HRD professionals need to establish a monitoring system with continuous feedback, so that problems can be noted early on and strategies for future action can be identified (Arredondo, 1996; Baytos, 1995; Henderson, 1994; Norton & Fox, 1997).

The human resource development (HRD) approach to diversity focuses on the interplay between people and the organization, and recognizes that diversity includes every employee (Davidson & Fielden, 2003; Henderson, 1994). This perspective starts with the principle that people are the most important resource in an organization. The challenge is to successfully apply and optimize every employee's contribution to make an organization better. To effectively manage diversity, it is important for HRD professionals to understand the beliefs and values of the employees in the organization. These beliefs and values come together to create an environment that employees perceive as supportive or not supportive of diversity. Within all organizations there are diversity supportive and non-supportive people, policies, and informal structures. This is referred to as the organizational culture. The process to change an organization's culture requires the implementation of effective diversity initiatives by HRD professionals. The integration of diversity issues into all systems and functions of an organization means eliminating

barriers to the full utilization of all organizational employees. The aim is to see that all employees are empowered to contribute to their fullest potential in achieving professional and organizational goals.

References

- Arrien, A., & Gorbachev, M. (2001). *Working together: Diversity as opportunity*. San Francisco, CA: Berrett-Koehler.
- Arredondo P. (1996). *Successful diversity management initiatives: A blue print for planning and implementation*. Thousand Oaks, CA: Sage Publications.
- Baytos, L. M. (1995). *Designing & implementing successful diversity programs*. Englewood Cliffs, NJ: Prentice Hall.
- Brimm, L., & Arora, M. (2001). Diversity management at Hewlett-Packard, Europe. In M. H. Albrecht (Ed.), *International HRM: Managing diversity in the workplace* (pp. 108-124). Malden, MA: Blackwell Publishers.
- Carnevale, A. P., & Stone, S. C. (1995). *The American mosaic*. New York: McGraw-Hill, Incorporated.
- Carr-Ruffino, N. (1996). *Managing diversity: People skills for a multicultural workplace*. San Francisco: Thomson Executive Press.
- Cavanaugh, J. (1997). Managing the politics of workplace difference. In P. Prasad, A. Mills, M. Elmes, & A. Prasad (Eds.), *Managing the organizational melting pot: Dilemmas of workplace diversity* (pp. 31-53). Thousand Oaks, CA: Sage Publishing, Inc.
- Clements, P., & Jones, J. (2002). *The diversity training handbook: A practical guide to understanding & changing attitudes*. London: Kogan page.
- Cox, T., Jr. (2001). The multinational organization. In M. H. Albrecht (Ed.), *International HRM: Managing diversity in the workplace* (pp. 245-260). Malden, MA: Blackwell Publishers.
- Cox, T., Jr. (1993). *Cultural diversity in organizations: Theory, research & practice*. San Francisco: Berrett-Koehler Publishers.
- Cross, E. (2000). *Managing diversity—the courage to lead*. Westport, CT: Quorum Books.
- Davidson, M., & Fielden, L. (2003). *Individual diversity and psychology in organizations*. Hoboken, NJ: John Wiley.
- Fernandez, J. P. (1993). *The diversity advantage*. New York: Lexington Books.
- Frey, J. H., & Eitzen, D. S. (1991). Sport and society. *Annual Review of Sociology*, 17, 503-522.
- Gardenswartz, L., & Rowe, A. (1998). Why diversity matters. *HRFocus*, 75(7), s1-s3.
- Gardenswartz, L., & Rowe, A. (1994). *Diverse teams at work: Capitalizing on the power of diversity*. Chicago: Irwin.
- Gasorek, D. (1998). Inclusion opportunity: Levering diversity for bottom-line results in today's global marketplace. *Business Credit*, 100(6), 70-71.
- Gottfredson, L. S. (1992). Dilemmas in developing diversity programs. In S. E. Jackson & Associates (Eds.), *Diversity in the workplace*. NY: Guilford Press.
- Greer, C., & Plunkett, W. (2003). *Supervision: Diversity and teams in the workplace*. Upper Saddle River, NJ: Prentice Hall.
- Griggs, L. B. (1995). Valuing diversity: Where from...where to? In L. B. Griggs & L. L. Louw (Eds.), *Valuing diversity: New tools for a new reality* (pp. 1-14). New York: McGraw-Hill, Inc.
- Guttmann, A. (1988). *A whole new ball game: An interpretation of American sports*. Chapel Hill, NC: University of North Carolina Press.
- Harris, P., & Moran, R. (2001). European leadership in globalization. In M. H. Albrecht (Ed.), *International HRM: Managing diversity in the workplace* (pp. 42-54). Malden, MA: Blackwell Publishers.
- Hayles, R. V., & Russell, A. M. (1997). *The diversity directive: Why some initiatives fail and what to do about it*. Chicago: Irwin.
- Henderson, G. (1994). *Cultural diversity in the workplace: Issues and strategies*. Westport, CT: Quorum Books.
- Jackson, S. E., & Alvarez, E. B. (1992). Working through diversity as a strategic imperative. In S. E. Jackson & Associates, *Diversity in the workplace* (pp. 13-29). New York: Guilford Press.
- Jamieson, D., & O'Mara, J. (1991). *Managing workforce 2000: Gaining the diversity advantage*. San Francisco: Jossey-Bass.
- Johnston, W. B., & Packer, A. E. (1987). *Workforce 2000: Work and workers for the 21st century*. Indianapolis, IN: Hudson Institute.
- Judy, R. W., & D'Amico, C. D. (1997). *Workforce 2020: Work and workers in the 21st century*. Indianapolis, IN: Hudson Institute.

- Kossek, E. E., & Lobel, S. A. (1996). *Managing diversity: Human resource strategies for transforming the workplace*. Cambridge, MA: Blackwell Publishers Inc.
- Laabs, J. (1996). Change. *Personnel Journal*, 74(8), 54-63.
- Loden, M. (1996). *Implementing diversity*. Chicago: Irwin Professional Publishing.
- Louw, L. L. (1995). No potential lost: The valuing diversity journey--an integrated approach to systemic change. In L. B. Griggs & L. L. Louw (Eds.), *Valuing diversity: New tools for a new reality* (pp. 15-58). New York: McGraw-Hill, Inc.
- Lynch, F. (1997). *The diversity machine*. New York: The Free Press.
- Martino, J. M. (1999). *Diversity: An imperative for business success*. New York: Conference Board.
- Miller, F., & Katz, J. (2002). *The inclusion breakthrough: Unleashing the real power of diversity*. San Francisco, CA: Berrett-Koehler.
- Morosini, P. (1998). *Managing cultural differences*. Oxford, UK: Pergamon.
- Morrison, A. M. (1992). *The new leaders: Guidelines on leadership diversity in America*. San Francisco: Jossey-Bass Publishers.
- Murrell, A., & Gaertner, S. (1992). Reducing intergroup bias: the benefits of recategorization. *Journal of Personality and Social Psychology*, 62, 239-249.
- Naylor, L. (1997). *Cultural diversity in the United States*. Westport, CT: Bergin & Garvey.
- Norton, J. R., & Fox, R. E. (1997). *The change equation: Capitalizing on diversity for effective organizational change*. Washington, DC: American Psychological Association.
- Pollar, O., & González, R. (1994). *Dynamics of diversity: Strategic programs for your organization*. Menlo Park, CA: Crisp Publications, Inc.
- Prasad, P., & Mills, A. (1997). From showcase to shadow: Understanding the dilemmas of managing workplace diversity. In P. Prasad, A. Mills, M. Elmes, & A. Prasad (Eds.), *Managing the organizational melting pot: Dilemmas of workplace diversity* (pp. 3-27). Thousand Oaks, CA: Sage Publishing, Inc.
- Rothwell, W. J., Sanders, E. S., & Soper, J. G. (1999). *ASTD models for workplace learning and performance: Roles, competencies, and outputs*. Alexandria, VA: ASTD.
- Schell, M., & Solomon, C. (1997). *Capitalizing on the global workforce*. Chicago: Irwin Professional Publishing.
- Simons, G. F. (1992). *The questions of diversity: Assessment tools for organizations and individuals* (4thed.). Amherst, MA: ODT Incorporated.
- Talbott, S. (2001). Building a global workforce starts with recruitment. In M. H. Albrecht (Ed.), *International HRM: Managing diversity in the workplace* (pp. 148-151). Malden, MA: Blackwell Publishers.
- Thomas, R. R., Jr. (1999). *Building a house for diversity*. NY: AMACON.
- Thomas, R. R., Jr. (1996). *Redefining Diversity*. NY: AMACON.
- Thomas, R. R., Jr. (1992). Managing diversity. A conceptual framework. In S. E. Jackson & Associates (Eds.), *Diversity in the workplace*. NY: Guilford Press.
- Triandis, H. C. (1998). A theoretical framework for the study of diversity. In M. M Chemers, S. Oskamp, & M. A. Costanzo (Eds.), *Diversity in organizations: New perspectives for a changing workplace* (pp. 11-36). Thousand Oaks, CA: Sage Publishing, Inc.
- Triandis, H. C., & Bhawuk, D. P. (1994). *Bridging the gap between theory and practice: A comparative study of current diversity programs*. Final Report, Working Paper #2, University of Illinois Center for Human Resource Management, Champaign, IL.
- Triandis, H. C., Kurowski, L. L., & Gelfand, M. J. (1994). Workplace diversity. In H. C. Triandis, M. Dunnette, & L. M. Hough (Eds.), *Handbook of Industrial and Organizational Psychology* (pp. 770-827). Palo Alto, CA: Consulting Psychologists Press.
- US Bureau of the Labor Statistics. (2000). *Statistical report on employment*. Washington, DC, p. 9-30.
- US Department of Commerce & U.S. Department of Health and Human Services. (1998). *Profiles of America's elderly : Growth of America's elderly*. Authors.
- Weiss, J. (2001). *Organizational behavior and change: Managing diversity*. Cincinnati, OH: South-Western.
- Wheeler, M. L. (1996). *Corporate practices in diversity measurement*. (Research Report Number 1164-96RR). New York: The Conference Board.
- Wheeler, M. L. (1995). *Diversity: Business rationale and strategies*. (Research Report Number 1030-95RR). New York: The Conference Board.

Innovative Session: Publication Tips and Strategies: A Scholar's Perspective on How to Get Published

*Laura Boehme
Darlene Russ-Eft
Oregon State University*

*Tim Hatcher
North Carolina State University*

*Tonette Rocco
Florida International University*

*Baiyin Yang
University of Minnesota*

Invited Panelists

*Andrea Ellinger, University of Illinois at Urbana-Champaign
Reid Bates, Louisiana State University
Wendy Ruona, University of Georgia
Laura Bierema, University of Georgia*

Contact

*Laura Boehme, Managing Editor, HRDQ
Oregon State University, 421 Education Hall, Corvallis, OR 97330
(541) 737-6398 or (541) 312-9356
boehmel@onid.orst.edu*

This proposal for an Innovative Session at the AHRD Annual Conference is intended to assist new and experienced research scholars in publishing their research work. This session will consist of the Editorial Board of a leading HRD journal and a panel of published scholars providing guidance and suggestions to authors interested in getting their materials published. The session will include tips on the most significant factors that cause manuscripts to be accepted and rejected.

Keywords: Journal Publication, Refereed Process, Editorial Review

Theoretical Framework

Success in publishing is an uncertain business. Authors must be systematic, persistent and willing to accept total rejection. Huff (1999) offers some wise words when advising authors, "Don't fall in love with anything you have written. Be willing to cut, revise and reorganize every word and every draft" (p. 120).

Getting a manuscript published can be a game of chance. It depends on many factors that may be within the author's control or completely outside of the author's control. Successful publication can be enhanced, however, if authors take opportunities to learn tips and skills that will increase the probability of acceptance. For many authors, publishing becomes easier and more effective when they follow the suggestions and counsel of other scholars who have successfully published or been involved in the Editorial Review process (Henson, 2001). Authors armed with knowledge of the publication process and editorial expectations and guidelines can gain greater control of the fate of their manuscript, and subsequently their career.

Scholars have a responsibility to contribute to their professions by increasing the knowledge base of their particular field, enhancing the professional literature and sharing their knowledge with others at professional meetings (Staudt, Dulmus, & Bennet, 2003). Scholars also have an obligation to model scholarly writing in their

Copyright © 2004 Laura Boehme, Darlene Russ-Eft, Timothy Hatcher, Tonette Rocco, & Baiyin Yang

work. A scholar's livelihood and future can very well depend on their ability to publish on a regular basis. This "publish or perish" (McConnell, 1999, p. 73) expectation creates a scenario in which an author must avail themselves of, as well as develop, particular writing habits and methods that will significantly increase the opportunity for acceptance. Writing quality is critical to successful scholarly publication. A key to this success is keen familiarity with the publication and/or Editorial Review process (Thompson, 1995).

According to Smaby and Crews (1998), every author seeking publication should "make writing their top priority, set writing achievement goals, spend time matching their project to a relevant journal, develop an outline for each paper, maintain a coherent focus within the manuscript and follow journal submission guidelines" (p. 2). Authors should practice their writing by "submitting different types of papers for publication such as book reviews, practitioner-oriented pieces and non-refereed articles" (Dorn, 1985, p. 512). Writing for these types of publications will give an author confidence, expose the author to various publication processes and allow the author to make contacts within their scholarly field. Another outcome will be that the author will receive appropriate feedback to assess and redefine writing problems and behaviors. The author can then establish a writing program for change by setting short- and long-term goals for eventual publication in a scholarly journal (Smaby, Crews, & Downing, 1999).

Specific strategies for attaining this level of writing experience and mastery and ultimately publishing scholarly research result can be obtained by affiliating with other published scholars in one's field of expertise. By creating networks of contacts and mentors, scholars can increase the likelihood that their publications will be of the quality accepted by scholarly journals. An elevated understanding of the publication and Editorial Review process can help the author "identify writing goals" (Henson, 2001, p. 765); "attend to the details" of writing a research manuscript (Thompson, 1995, p. 343); "accept constructive feedback" from the peer-reviewers and editors (Thompson, 1995, p. 343); focus on "complying with revision requests" of editors (Thompson, 1995, p. 344); "follow the submission and style guidelines" requested by a particular journal or publication (Henson, 2002, p. 766); "have colleagues judge a manuscript prior to submission" (Henson, 2001, p. 765); and "choose the right journal for their manuscript" (Miracle, 2003, p. 31).

Authors must remain ethical with regard to "authorship, simultaneous submissions, integrity of research information and conflict of interest" (Erlen, 2002, p. 68). Research-based scholarly writing encompasses a wide array of issues that must be addressed in order for publication to occur. An author's ability to access publication resource information to not only improve their writing quality, but to be aware of specific guidelines for publication will determine that authors publication success and potential future research and publication opportunities.

Erlen (2002) suggests that in order to "improve their writing and help them establish good habits when developing papers, authors need to identify resources such as mentors or colleagues who can assist them as they prepare a manuscript" (p. 68). As authors focus their energies on improving the quality of their writing and work habits, the publications will naturally follow. Subsequently, authors will not only gain personal and professional acknowledgment, but also learn respect for the work of others through honoring the scholarly pursuit of publishing.

Session Description

The proposed Innovative Session will help guide both novice and experienced researchers to learn more about the Editorial Review and publication process. The authors will receive tips, suggestions and strategies from published scholars on how to get published and increase publications. The authors will obtain insights about the peer review process and gain greater understanding of why and how a manuscript gets accepted or rejected. This session will provide a unique opportunity for authors to network with one another, collaborate and share ideas within their fields of expertise, and hear direct feedback from their peers who have published.

Authors will also work in small groups with published scholars and members of an Editorial Board, discussing relevant issues in publishing and the profession. It will not be a review course for how to write a manuscript. It will give potential authors the chance to voice questions, ideas and concerns of their own as well as obtain insights from an established group of authors about the publication process. It will offer counsel into why a manuscript gets accepted or rejected, the dilemmas of accepting feedback, how to make suggested revisions and handling editorial rejections. While the session does not guarantee publication in any journal, it does offer an opportunity for researchers to find out particular guidelines that will assist them in gaining confidence to publish their manuscript. The session will also provide authors the opportunity to hear what an Editorial Board looks for in manuscript submissions.

Presenters and Panelists

A five member Editorial team of a leading Human Resource Development journal will lead the innovative session, with one who will act as the moderator and facilitator. All members will actively participate in the session with each bringing their particular views and experiences into the discussion. The Qualitative and Quantitative Editors will offer suggestions of how to design the methodology and results sections as well as offer their insight and comments for the overall manuscript. The Editor and Associate Editor will elaborate on their own publication experiences, review the guidelines for journal submissions and the differences between a manuscript that is accepted and one that has been rejected. The Managing Editor will give some tips on how to submit a manuscript for publication including style guidelines and what to send and what not to send with the manuscript. Finally, the invited panelists will participate in small group sessions on publication issues as well as offer their scholarly advice and answer any questions participants may have.

Purpose

The purpose of the Innovative Session is to assist new and experienced researchers with improving their scholarly writing to achieve publication of their manuscripts in peer-reviewed journals. This innovative session is structured so an author can get a better understanding of what combination of scholarly activity, writing style, personal dedication, and professional expertise go into preparing a publication-worthy manuscript. This session is not a guarantee of publication in a journal. It will, however, provide tips and hints on how authors can make their scholarly work more attractive to an Editorial Board.

This session will utilize the expertise of published HRD professionals to guide other authors in their efforts to publish scholarly work in the field of HRD. The authors' backgrounds differ in such a manner that this session will address both the qualitative and quantitative aspects of scholarly writing and go in depth with regard to specific publication guidelines and tips. The session will also provide time and opportunity for authors to ask specific questions of the panelists regarding publishing in a scholarly HRD journal. The breakout session and small groups will lend to individual attention and focus to particular publication questions and concerns of authors.

Goals

To assist researchers in preparing their manuscripts for submission to journals, the proposed Innovative Session will provide a 'developmental' discussion followed by a question and answer period. By the end of the session, each author should have a clearer understanding of what components are involved to successfully write a manuscript suitable for consideration by a scholarly HRD journal for publication. This session is intended to enlighten authors regarding the essential features and strategies to get published in any HRD scholarly journal, not any particular one. The panelists have published in a wide variety of scholarly HRD journals and can thus provide significant feedback on common themes, processes, and expectations. The authors will learn about the content and organization of a manuscript that is ready for publication (American Psychological Association [APA], 2001). The session will achieve this by completing the following goals:

- a. Differentiating between quality scholarly-based research and practitioner-based work.
- b. Exploring the essential elements of research-based manuscripts and what must be included.
- c. Discussing the essential nature of focusing the research on new and developing areas of interest in scholarly fields, thus making a strong case for the importance of the work to the field or other implications.
- d. Elaborating on the importance of presenting relevant findings and making connections to existing literature.
- e. Rationalizing reducing the method section to the key elements as well as identifying what elements to keep and what to leave out.
- f. Providing the basic information for submitting a manuscript to a journal.
- g. Staying encouraged and not discouraged in the publication process.
- h. Tips of the trade by the Editors of a leading HRD journal including a list of Tips for Authors and a copy of Information to Contributors.

Discussion and Timetable (90 minutes)

- a. Introduction of the panel members, what each person brings to the session, review of goals and objectives (15 minutes).

- b. Explanation of what differs between an accepted and rejected manuscript (10 minutes).
- c. Break out into small groups led by the panelists to explain their own personal writing strategies, successes and failures as well as their perspectives on the process of publication and peer-review. These discussions will include insights on 1) focusing the manuscript on research area studied, hypothesis or research question; 2) adequately and succinctly providing a review of literature; 3) streamlining the methodology used and presenting the findings in a succinct manner; 4) allowing for complete discussion of limitations of study, recommendations for future research and logical conclusions (40 minutes).
- d. Reconvene and report back from small groups with a discussion period and an open question and answer period (20 minutes).
- e. Wrap-up and address any additional items (5 minutes).
- f. Adjourn.

The Innovative Session is planned so each participant can gain a better understanding of how to write and report their scholarly findings in a manuscript that is ready for review and possible publication by a journal. While it does not guarantee publication in any journal, it does offer a unique opportunity to discuss with the Editorial Board of a leading HRD journal and leading scholars the requirements of a potentially successful manuscript submission. The format has been designed to thoroughly present the pertinent material and to allow for adequate discussion between the panel and the audience.

Tips for Authors

- Follow exactly the submission and style guidelines established by the journal.
- Proof-read your manuscript and ask a colleague or peer to proof-read prior to submission.
- Remove any identifying features within the manuscript.
- Work with others and learn from their experience and expertise.
- Use all available resources that will help the manuscript get published. Become intimately familiar with spell check, thesaurus and your word processor.
- Be patient! The peer review process can take up to six months or longer depending on the journal.
- Don't take recommendations or rejections personally. Feedback, even rejection, can be an excellent learning tool.
- Follow ethical behavior. Let editors know if the paper was a previous conference proceeding, poster session, or submitted elsewhere. Don't submit manuscript to more than one journal at a time.
- Be resilient and persistent. Accept suggestions for improvement, knowing this information will help get closer to publication. Comply with revisions requests of editors, and do it in a timely manner, as this means the paper is being considered for publication.
- Start small. Editorials, case studies, book reviews and practitioner pieces are good ways to build confidence and skill in writing.
- Develop your writing skills. Make writing a habit and a regular part of your personal and professional life. Set aside time to write and improve your thinking and writing behaviors.
- Remember that a successful publication is a work in progress that can take more than once to complete. Don't ever give up!

Information to Contributors: Guide To Preparing Manuscripts

- A. Importance of Topic
 - 1. Theoretical Importance
 - Is theoretically important
 - Can take field in new directions of change future research
 - Justifies claims of importance
 - 2. Practical Importance
 - Is practically important
 - Links theory and practice
 - 3. Appropriateness
 - Is appropriate to the journal and readership
 - Is a new, emerging, or under-researched area
 - Is timely in terms of current trends

B. Literature Review

1. Linkage to most important literature
 - References cite key studies
 - Considers recent literature
 - Recognizes all relevant aspects of literature
2. Framing the Problem
 - Uses literature to develop arguments, not just a review
 - Fits the study into a logical development of the area
 - Justifies direction taken by the study
3. Thoroughness and Accuracy
 - Demonstrates understanding of the literature
 - Draws proper inferences without overstating, misinterpreting, or selectively reporting
 - Identifies the major issues and themes relevant to the study
 - Reviews the literature critically, pointing out limitations, conflicts, and constraints
 - Recognizes seminal works and minimizes non-scholarly citations
 - Integrates other literature bases when appropriate
 - Clarifies narrowly defined terms

C. Problem Statement

1. Adequacy of scope and complexity
 - Focuses on most critical variables that may influence situation
 - Level of abstraction appropriate for the study
2. Presenting the Research Problem
 - Explains the principal proposition in some depth
 - Presents how the interacting proposition contradicts the principal proposition
 - Explains how the speculative proposition provides a consequence for the interacting proposition
 - Presents the explicative statement to propose a purpose for the study
3. Clarity and Logical Coherence
 - Defines constructs and variables clearly and differentiates them
 - Uses theory and arguments that are internally consistent
 - Reaches logical and clear deductions about the theory or conceptual development
 - Constructs statements in a way to be understood by a wide range of readers

D. Methodology

1. Appropriateness of Sample and Setting
 - Uses a sample that is appropriate for the research questions
 - Uses a setting that is appropriate for the research questions
 - Uses a context that is relevant to the human resource development field
2. Appropriateness of Method or Paradigm
 - Justifies use of methodology based on research problem and questions
 - Describes methodology adequately to ensure replication
 - Describes trade-offs in selecting one method or paradigm over another
3. Appropriateness of Data Gathering
 - Provides information about how instruments were developed
 - Provides information about the reliability of instruments
 - Provides information about the validity of instruments
 - Provides statements about the limitations of the instruments
 - Provides information about how interview or observational protocols were developed
 - Provides information about the use of audits and other techniques
 - Provides statements about the limitations of the protocols

E. Research Design

1. Appropriateness
 - Uses appropriate design
 - Matches research questions, questions, or issues that are amenable for the design
 - Addresses issues of control, influence, causation, relevance vs. rigor, internal and external validity

2. Technical Accuracy
 - Uses statistical techniques accurately
 - Addresses issues related to statistical techniques
 - Uses qualitative techniques accurately
 - Addresses issues related to analyzing qualitative data
 - Describes all procedures clearly to ensure possible replication
 - Describes any procedural issues that might be of interest to other researchers

F. Data Analysis, Results, and Conclusions

1. Appropriateness of the Reporting
 - Reports both descriptive and inferential statistics
 - Reports analyses in logical order
 - Reports significance levels
 - Reports complete tables to ensure replication
 - Reports sample qualitative data to support results and conclusions
2. Appropriateness of the Results
 - Links research questions and data analyses
 - Does not over-interpret or under-interpret results and conclusions
 - Minimizes discussion of tangential results
3. Appropriateness of the Conclusions
 - Links results to conclusions
 - Does not go beyond results in the conclusions
 - Derives theoretical implications from the results
 - Derives practical implications from the results
 - Places results in larger context
 - Suggests new and innovative directions for future research
 - Considers both limitations and constraints in the study
 - Does not overlook results that contradict or suggest alternative explanations

G. Presentation

1. Quality of the Writing
 - Presents analyses clearly
 - Presents ideas in a logical and orderly manner
 - Shows intentional organization
 - Is impartial, objective, and professional in the treatment of the subject
 - Tells an integrated, consistent story
2. Conformance to Publication Requirements
 - Conforms to publication guidelines
 - Presents citations correctly
 - Follows journal style and format requirements

H. Contribution of the Manuscript

1. Overall contribution
 - Makes a theoretical contribution
 - Makes a practical contribution
 - Makes a methodological contribution
 - Provides a constructive replication
2. Contribution to Current Knowledge
 - Fills gaps in current knowledge
 - Goes beyond literature
 - Has the potential to stimulate future research
3. Creativity and Scope
 - Addresses the “so what” question
 - Is innovative in some respects
 - Reports new information not found elsewhere

References

- Dorn, F. (1985). Developing your potential and copyright confidence. *Journal of Counseling and Development, 63*, 512-514.
- Erlen, J. (2002). Writing for publication: ethical considerations. *Orthopaedic Nursing, 21*, 68-71.
- Henson, K. (2001). Writing for professional journals. *Phi Delta Kappan, 82*, 765-768.
- Huff, A. S. (1999). *Writing for scholarly publications*. Thousand Oaks, CA: Sage Publications.
- McConnell, C. R. (1999). From idea to print: Writing for a professional journal. *The Health Care Supervisor, 17*(3), 72-85.
- Miracle, V. (2003). Writing for publication. *Dimensions of Critical Care Nursing, 22*, 31-34.
- Smaby, M. H., & Crews, J. (1998). Publishing in scholarly journals: Part I—Is it an attitude or technique? It's an attitude. *Counselor Education & Supervision, 37*, 218-223.
- Smaby, M. H., Crews, J., & Downing, T. (1999). Publishing in scholarly journals: Part II—Is it an attitude or technique? It's a technique. *Counselor Education & Supervision, 38*, 227-236.
- Staudt, M. M., Dulmus, C., & Bennett, G. A. (2003). Facilitating writing by practitioners: Survey of practitioners who have published. *Social Work, 48*, 75-83.
- Thompson, B. (1995). Publishing your research results: Some suggestions and counsel. *Journal of Counseling and Development, 73*, 342-345.

Author Index

A

Abston	55-2
Adams	25-2
Akdere	28-2, 38-2, 43-1, 55-1
Akins	1-3
Alagaraja	5-3, 8-1, 46-3, I-3
Allen	10-2
Anthony	PC-3
Arlikatti	8-1
Azevedo	38-2

B

Barnard	4-1
Bartlett	19-2, I-1
Bartley	10-1, 46-2
Bastiaens	PC-2
Bates	3-2, 3-3, 25-1, 49-3
Beattie	27-3
Berger	PC-1
Berry	44-2
Bhanthumnavin	24-1
Bianco	24-3
Bierema	21-3
Boehme	I-4
Bowman	16-2
Boyle	30-2
Braden	51-2
Brooks	6-2
Buford	42-3

C

Callahan	6-1, 12-1, 12-2, 46-3, PC-1, I-6, I-8
Calvin	14-1
Chalofsky	21-1
Chapman	42-2
Chen, Y.	26-2
Chen, H.	3-3

Chermack	2-2, 9-3, 16-3, 38-1
Chien	15-2
Chindgren	20-2
Cho	7-3
Chu	41-1
Collis	24-3
Colton	9-1, 49-2
Conine	48-2
Conlon	36-2
Connell	25-3

Crowder

55-2

Crystal
Cseh

I-1
21-3

D

Daley	53-1
Danielson	30-1, PC-3
Dell	33-3
Dirani	53-2
Dirkx	14-2
Dobbs	10-2
Dooley, L.	5-3, 42-3, 46-3, I-3
Dooley, K.	42-3, I-3
Doornbos	7-1
Doran	5-2
Downy	40-2
Drewry	15-3

E

Edwards
26-3, 39-3, P-2

Egan
1-2, 1-3, 11-2, 27-1,
33-3, 39-2, 43-1

Ekeland
19-1

Ellinger
7-2, 21-3, 27-2

Ezell
13-1

F

Fornes
19-3

Frisque
48-3

Fu	41-1	Jedynak	42-3, I-3
G		Jeris	47-2, 51-1
Gallagher	17-3	John	35-3
Gangani	51-2	Johnson, J.	47-2
Garza	1-2	Johnson, K.	51-1
Geroy	35-2	K	
Gibb	13-2	Kang	19-2
Giberson	45-1	Ke	8-3
Gibson	11-1	Kehrhahn	PC-1
Golek	10-1	Khasawneh	3-2, 25-1, 49-3
Gourlay	16-1	Kim	47-1
Graham, C.	36-3	Kolb	48-3
Graham, P.	PC-1	Kontoghiorghes	44-1
Gray	PC-3	Kormanik	PC-1
Greenwood	13-1	Kotrlík	52-1, 52-2
H		Kupritz	46-2
Hamlin	27-3	L	
Hammons	1-3	Lane	9-2
Harada	16-2	Lee	34-1
Hasler	22-3	Lehner	I-7
Hatcher	9-1, 31-3, 49-2	Li	22-2
Hatcher	9-1, 49-2, I-4	Lien	41-2, 56-2
Hayes	5-3	Lim	40-1, 49-1
Haynes	18-1	Lin, Y.	37-2
Helland	29-2, 43-2	Lin, H.	48-3
Henderson	PC-3	Lin, J	22-2
Herrington	6-2	Lindner	42-3, I-3
Hezlett	18-2	Lohman	42-1
Hite	28-1	Lyle	43-3
Holton	3-2, 3-3, 38-3	Lynham	2-2, 8-3, 22-2, 22-3, 33-2, 54-2
Horrocks	12-2, I-6	M	
Hsuan Lee	1-3, 22-2, 34-2	Machala	I-6
Huang	56-1	Mackey	45-2
Hudson	15-1	MacTavish	33-1
Hung	41-2, 56-2	Madsen	35-3, 45-3
I		Maltbia	35-1
Ipe	20-1	Marsh	48-1
J		Marsick	I-1, I-5
Jacobs	23-3, 56-1		

Martens	PC-2	Rocco	5-1,19-3, I-4, PC-4
Martin, M.	1-1	Rosser	11-2
Martin, D.	33-3	Roth	4-2, 8-2
Maxwell	41-3	Rowden	48-2
McArdle	26-3, 39-3, P-2	Ruona	2-2, 21-3, 22-1, I-7
McDonald	28-1	Rushing	54-2
McLean	15-2, 51-2	Russ-Eft	31-1, I-2, I-4
Miller	35-3	S	
Mills	46-2	Sandlin	12-1
Morris	31-2, 44-2	Scott	2-3
N		Seaman	2-2
Nafukho	6-2, 21-2, 36-3	Short	PC-1, I-6
O		Simons	16-1
Opengart	50-2, I-6	Smith	14-2
Orr	43-3	Snow	32-2
Osman-Gani	3-1, 23-3	Somasundaram	1-3, 39-2
Ovaise	PC-1	Song	29-1
P		Squillaci	PC-1
Packard	30-3	Stanton	25-3
Paek	18-3	Stein	14-1
Papke	25-3	Stenning	34-2
Paprock	8-3, 22-2, 22-3	Stout	15-3, 31-2, 55-2
Parke	17-1	Sutton	4-1
Patterson	42-3, I-3	Swanson	PC-5
Peat	43-2	T	
Phinaitrup	23-2	Taylor	6-1
Plunkett	1-2, 27-1	Thomas	45-2
Poell	26-1, I-5	Thompson, M.	22-3
Powell	23-1	Thompson, B.	PC-6
Preskill	I-2	Thompson, C.	43-3
Provo	PC-3	Thompson, D.	43-3
R		Torraco	37-3, I-1
Raby	31-2	Tovar	32-1
Razvi	4-2, 8-2	Tracey	45-1
Reardon	46-1	Turnbull	45-3, 50-1, I-6
Reeves	33-3	V	
Reio	30-2	Van der Krog	26-1
Ripley	15-1	van Kijk	36-1
		van Loo	5-1, PC-4

VanBuskirk	26-3
Veldkamp	44-3
Venneberg	35-2
Viere	20-3
Vittrup	33-2

W

Wadsworth	40-2
Waight	13-1, 37-1
Walker, B.	15-3
Walker, J.	37-3
Walton	1-1
Walton	9-3
Wang, J.	22-1
Wang, G.	38-3
Warren	35-3
Watkins	21-3, I-1
Watson	41-3
Weinberger	54-1
Weinstein	27-2
Wells	17-2, P-1
Wentling, R.	28-3, 32-2, 40-2
Wentling, T.	40-2
Wheaton	14-1
Wilkinson	35-2
Williams	52-1, 52-2
Wilson	33-3
Winterton	2-1
Wise	25-3
Wiswell	17-2, 25-2
Woerkom	24-2
Wognum	44-3
Woodall	16-1, I-5

Y

Yang	20-3, 34-3, 39-1, I-4
Yoon	47-3
Yorks	I-5

Z

Zhang, D	34-3
Zhang, M	34-3
Zhen	20-3

Keyword Index

21st Century Workplace	36-2	Chief Knowledge Officer	20-2
A			
Academy of HRD	21-2	China	22-1
Action Learning	I-5	Chinese State-Owned Banks	8-3
Action Research	26-1, 37-3	Cluster Studies	3-1
Adult and Community Learning	2-1	Coaching	1-2, 27-1
Adult Attachment	25-2	Coaching Behavior	27-3
Adult Education	21-3	Collaboration	14-1
Adult Learners	43-3	Commitment	19-1
Adult Learning	27-2, 29-2, 39-1, 45-3	Commitment Antecedents	19-3
Aesthetics	13-2	Communication	I-8
Agency Theory	38-2	Community	14-1
Andragogy	49-2	Community Development	28-2
Appreciative Inquiry	45-2, I-7	Community-Based Education	2-3
Appreciative Pedagogy	I-7	Competence	51-1
Assessment	10-2, 29-3	Competencies	9-2, 20-2, 43-1, 45-1
Attribution	17-2	Competency Models	51-2
B		Computer-Mediated-	47-3
Behavioral Anchors	42-3	Communication	
Behaviorally Anchored Competencies	I-3	Construct Validation	3-2
Behaviorally Anchored Self-Assessment	I-3	Constructivism	29-2
Benchmark	41-2	Consulting	1-2, PC-3
Blended Learning	P-2	Consumer Education	12-1
C		Context	15-1, 53-1
Career Development	36-1, 36-2, 36-3	Contextual Approach	16-2
Career Development Practices	36-3	Continuing Professional	
Career Development Programs	36-3	Education	5-1
Career Planning	36-2	Corporate University	1-1
Career Success	18-2	Cost Matrix	10-1
Career-benefit Outcomes	18-1	Creative Class	13-1
Cascade Training	23-3	Creativity	13-2
CEOs	27-2	Creativity Model	13-1
Change	35-3, 37-3, I-1	Critically Reflective Work	24-2
Change Agents	23-1	Behaviour	
		Cross-cultural Comparison	I-5
		Cross-cultural Study	40-1
		Cross-cultural Training	15-3
		Cross-national	15-1

Cultural Analysis	12-1	Ethics	8-1, 31-3,
Culture	15-1, 30-3		48-1, 48-3
Culture-Specific Training	15-2	Ethics Training	48-3
Curriculum	45-1	Evaluation	10-2, 29-3,
Customization	26-1		30-3, 42-2,
D			
Delphi Method	49-2	Evaluation & Assessment	1-3
Delphi Technique	9-1, 9-2	Evaluation Use	29-1
Development	18-2	Expatriate Selection Criteria	41-1
Development and Change	9-3	Expatriate Training	41-1
Devolvement	41-3	Expatriates	15-2
Discipline of HRD	21-1	F	
Distance Education	43-1, 43-2, 43-3, 55-2	Face-to-face Communication	46-2
Diversity	2-3, 28-2, 28-3, 35-1	Face-to-face Training	10-1
Diversity Training	28-1	Facilitator of Learning	27-3
Dutch-US Collaboration	I-5	Factor Analysis	34-2
E			
Economic Development	4-2	Failure	PC-3
Economics	5-1	Foundational Issues	21-3
Editorial Review	I-4	Foundations of HRD	36-1
Education	23-2	G	
E-learning	26-3, 40-2	Gender	4-2, 8-2
Electronic Communication	46-2	Global Management	23-2
Electronics Industry	56-1	Global Organizations	8-1, 23-1
Emotion	12-2, 50-1, I-6	Grounded Theory	26-2
Emotion Management	12-1	Group Development	47-3
Emotional Abuse	P-1	Group Learning	14-2
Emotional Intelligence	50-2, 54-1	Growth Theory	33-2
Emotional Labour	16-1	H	
Emotions	50-2	Hierarchical Regression	52-1
Employee Development	50-2	Higher Education	37-3, 55-1,
Employee Participation	33-1	Holistic Theory	I-1
Employee Selection	43-2	Hope Theory	20-3, 39-1
Employee Training	46-1	Hospitality Industry	31-2
Empowerment	33-1	HRD	
Ethical Climate	48-2	HRD	5-3
			2-2, 6-2,
			8-1,
			16-3, 28-2,
			34-1, 38-1,
			43-1, 46-3
			50-1, 55-1
		HRD Competencies	45-3

HRD Effectiveness	44-3	Interactionism Model	24-1
HRD in China	8-3	Intercultural Training	15-2
HRD in Japan	22-2	Interdisciplinary	51-1
HRD in Mainland China	22-2	Internal Labor Market	38-3
HRD in Taiwan	22-2	International HRD	8-3, 22-1
HRD on the Margins	21-3	International HRD Research	3-1
HRD Practitioner	39-3	International Human Resource	22-3
HRED Postsecondary Faculty	52-2	Development	
HRM & HRD	41-3	International Student Services	1-3
Human and Organization Studies	21-1	International Teams	30-3
Human Capital	35-2	Internship	45-2
Human Capital Theory	5-1, 5-3	ISO 9000	56-1
Human Resource Development	1-2, 16-1, 17-1, 28-3, 32-1, 37-1 45-1	J	
Human Resource Development	13-1	Job Knowledge	30-2
Programs		Job Satisfaction	11-2, 48-2
Human Resources	6-2, 45-2	Jordan	3-2
Human Talent Development	34-3	Journal Publication	I-4
Humor	17-1	K	
I		Knowledge	20-1, 39-2
I-A model of Human Resource	46-3	Knowledge Building	14-1
Development		Knowledge Innovation	26-2
Identity	12-2	Knowledge Management	5-2, 20-2, 20-3
Imagination	13-2	Knowledge Sharing	20-1
Incidental learning	I-8	Korea	34-1
Incidental Learning Theory	7-2	L	
Income	8-2	Latin America	22-3
Individual Development	27-1	Law Enforcement	32-1
Informal Learning	7-1, 46-1	Leadership	19-1, 47-2, 54-2
Informal Workplace Learning	7-2	Leadership Development	27-2, 48-1
Information Technology	4-3	Leadership Style	54-1
Innovation	25-1, 46-1	Learning	17-2, 29-3, 53-1
Institutional Economics	38-3	Learning and Skills Council	2-1
Institutionalizing change	23-3	Learning Application	49-1
Instructional Design Model	P-2	Learning Modalities	26-3
Instrument Development	3-3	Learning Motivation	40-1
Intangible Assets	5-2	Learning Organization	25-1
Intellectual Capital	5-2	Learning Preferences	49-1

Learning Programs	26-1	Neoclassical Economics	38-3
Learning Styles	26-3	Neural Networks	3-1
Learning Theory	31-1	New Directions in HRD	36-1
Learning to Learn	14-2	NGOs	4-2
L		O	
Learning Transfer	3-2, 3-3, 44-1	Older Worker	35-2
Learning Transfer System	44-2	Online Communication	46-2
Learning Worker	7-1	Online degrees and Value-added	10-2
Learning-Oriented Evaluation	29-1	Online Learning	29-2, 40-1, 49-1, 49-2
Line Managers	41-3	Online Learning Technology	49-3
Literacy	2-2	Online Training	10-1
Local Education Authorities	2-1	Organisational Learning	24-2
M		Organization Development	37-2, 33-3
Management Development	22-1	Organizational Career	34-2
Manager	23-2	Development Programs	
Managerial and Leadership Effectiveness	27-3	Organizational Change	19-2, 28-3
Margin in Life	35-3	Organizational Commitment	19-2, 19-3
Measurement	42-2	Organizational Contextual Factors	7-2
Mediated Model	52-2	Organizational Culture	11-1, 25-3
Mental Models	17-2	Organizational Diagnosis	25-3
Mentoring	11-1, 11-2 18-1, 18-2, 18-3	Organizational Effectiveness	19-1
Mergers and Acquisitions	37-1	Organizational Identity	37-2
Mission Statements	1-1	Organizational Learning	20-3, 25-3,
Model Testing	16-2	29-1, 50-1	
Motivation	33-1, 49-3	Organizational Trust	25-2
Motivation Theory	33-2	Outsourcing	16-1
Motivation to Learn	44-1	P	
Motivation to Transfer	44-1	P. R. China	34-3
Motivators of Knowledge Sharing	20-1	Partnership	33-3
Multicultural Immersion Program	2-3	People Involvement	56-2
Multicultural Organizations	18-1	Perceptions and Characteristics of HR Managers	41-1
Multiculturalism	48-3	Performance	11-2, 33-2,
Multi-site Case Study Research	47-2	N	54-2
Narrative	12-2	Performance Appraisal	42-3
National Culture	40-2	Performance Communication	31-2
National Policy	34-3	Performance Improvement	1-3, 44-3,
Needs Assessment	34-2	51-2	

Planned Organizational Change	37-2	Social Responsibility	17-3, 23-1,
Planning	16-3		48-1
Police Officers	32-2	Socialization	30-1, 30-2
Postsecondary Faculty	52-1	S-OJT Trainer	7-3
Poverty	8-2	Spirituality	17-3
Power	P-1	State-intervention	34-1
Prejudice	32-2	Strategic Learning	35-1
Problem-solving Skill	42-1	Strategy	16-3
Process Alignment	56-2	Strongly Inferential Anchors	I-3
Professional Development	9-2, 21-2	Structured On-the-Job Training	7-3
Professional Organizations	21-2	Supervisor Engagement	24-3
Professional Training Programs	53-2	Supervisory Social	24-1
Psychology-based Theory	27-1	Support Behavior	
R			
Rater-based Assessment	42-1	Survey	2-2
Readiness for Change	35-3	Swing Dance	I-8
Recruitment	6-2	Systems	PC-3
Refereed Process	I-4	Systems Approach	18-3
Reflective Practice	17-3	Systems Model	I-2
Relationships	30-2	T	
Renewal	30-1	T&D	38-2
Research	55-1	Taiwan	41-2
Research Productivity	52-1	Teacher Professional	
Research Skill Development	55-2	Development	53-1
Research to Practice	I-6	Teaching	I-2
Retention	5-3	Teaching Method	I-7
ROI	42-2	Team Development	47-1
S			
Safety	54-2	Teamwork	14-2
Scenario Planning	38-1	Technology	46-3
Scenarios	9-3	Teleology	9-3
Selection Model	16-2	Theoretical foundations	31-3
Self Disclosure	25-2	Theory	30-1, 38-1
Self-Assessment	42-1, 42-3	Theory and Research	21-1
Self-Efficacy	15-3, 49-3	Theory Building	26-2, 38-1,
Service-Learning	45-3		39-1
Sexual Harassment	44-2	Theory to Practice	51-1
Singapore	23-3	Time Spent in Research	52-2
Skills	39-2	Tools and Strategies	24-3
Small Businesses	48-2	TQM	56-2
Social Capital	35-2	Traditional University	1-1
		Trainees	53-2
		Trainer Competencies	39-3
		Trainer Roles	39-3

Training	19-2, 32-2
Training and Development	18-3, 22-3, 24-1, 31-1, 39-2, 56-1

Training Environment	53-2
Training Evaluation	41-2
Training Transfer	44-2
Transfer	44-3
Transfer Climate	25-1
Transfer of Training	15-3
Transformational Learning	17-1
Transformational Performance	31-2
Transformative Learning	35-1
Translation Issue	3-3

U

Unanticipated Consequences	7-3
Usability	40-2
University	33-3

V

Validation	9-1
Values	31-3
Vicarious Traumatization	32-1
Virtual Team Building Strategies	47-1
Virtual Teaming	55-2
Virtual Teams	47-1, 47-2, 47-3

W

Web Classes	43-3
Web-Based Instruction	P-2
Web-based Research	9-1
Women	4-3
Women Faculty	11-1
Work Practice	7-1
Work-based Learning	24-3
Workforce	4-3
Workforce Diversity	28-1
Workplace	P-1
Workplace Commitment	19-3
Workplace Learning and Performance	31-1
Work-related Learning	24-2



Academy of Human Resource Development

PROCEEDINGS

AHRD 2004 CONFERENCE

Austin, Texas
March 3 – March 7, 2004

Volume 2

Toby Marshall Egan

Editor

Michael Lane Morris

Associate Editor

Vinod Inbakumar

Managing Editor



Academy of Human Resource Development

**Proceedings
AHRD 2004 Conference**

Individual authors retain the copyright for the papers in these Proceedings.
Unauthorized use is not permitted. Content, editing, and proofreading were the responsibilities of each author.

For information, additional copies, or for a CD-Rom version, please contact:

Academy of Human Resource Development

College of Technology
Bowling Green State University
Bowling Green, OH 43403

Telephone: (419) 372-9155
Fax: (419) 372-8385
E-Mail Address: ahrd@bgnet.bgsu.edu
Website: www.ahrd.org

Editor: Toby Marshall Egan
Associate Editor: Michael Lane Morris
Managing Editor: Vinod Inbakumar

See the 2004 AHRD Conference Program for a full list of conference volunteers and contributors.

AHRD 2004



Academy of Human Resource Development

PROCEEDINGS
AHRD 2004 CONFERENCE

TABLE OF CONTENTS

Volume 1

From the Editors **Call for Papers – AHRD 2005 Conference** **AHRD 2004 Conference Overview**

Pre-Conferences

Wednesday and Thursday, March 3 – 4

Bridging HRD Research and Practice: Motivating, Collaborating, and Communicating through Awards, Partnerships, and Translations <i>Chris Squillaci, Darren Short, Ghazala Ovaice, Marijke Kehrhahn, Martin Kormanik, Nancy Berger, Philip Graham, and Jamie Callahan</i> (PC-1 No Description)	PC
International Adult and Continuing Education: Expanding the Horizons (in Conjunction with the Induction of the 2004 Class of the IACE Hall of Fame) <i>Richard Swanson</i> (PC-5 No Description)	
Factor Analysis: Exploratory and Confirmatory - Advanced Faculty Professional Development Seminar on Quantitative Research Methodology Tools <i>Bruce Thompson</i> (PC-6 No Description)	
E-learning in Human Resource Development <i>Theo Bastiaens and Rob Martens</i>	PC-2
OD Consulting Engagements Gone Wrong: A New Framework for Analyzing and Learning from Our Mistakes <i>Joanne Provo, Monica M. Danielson, Gregory M. Henderson, Terrence Gray, Kshanika Anthony</i>	PC-3
Continuing Professional Education: Linking CPE and Workplace Learning <i>Tonette Rocco and Jasper van Loo</i>	PC-4

Conference Papers

Friday, March 5 • 10:30 AM – 12:00 PM

Symposium 1: HRD with International and Multinational Groups	
Corporate Universities v Traditional Universities: Comparison Through Published Organisation Documentation <i>John S. Walton and Michele Martin</i>	1-1
Current Status of Executive Coaching Interventions as Identified by Selected Consultants to Multinational Organizations <i>Brandi L. Plunkett, Toby Marshall Egan, and Marco Garza</i>	1-2
An Evaluation Case Study of an International Student Services Office: Assessing Satisfaction and Productivity <i>Laura Hammons, Yi-Hsuan Lee, Ralitsa Akins, Usha V Somasundaram, and Toby Marshall Egan</i>	1-3

Symposium 2: Learning in Communities

Adult and Community Learning in England: A New Era for HRD in the Community? <i>Jonathan Winterton</i>	2-1
Adult Literacy: Issues and Directions Impacting HRD <i>Don Seaman, Susan A. Lynham , Thomas Chermack, and Wendy Ruona</i>	2-2
Giving Voice to the Factors that Promote and Inhibit Learning in a Community- Based Multicultural Immersion Program: Adult Learner Perspectives Implications for Research and Practice in HRD <i>Chaunda Scott</i>	2-3

Symposium 3: Learning Measurement and International HRD	
Neural Network Analysis in Cross-Cultural and Comparative Management Research: Implications for International HRD	3-1
<i>Aahad M. Osman-Gani</i>	
Construct Validation of an Arabic Version of the Learning Transfer System Inventory (LTSI) for Use in Jordan	3-2
<i>Samer Khasawneh, Reid A. Bates, and Elwood F. Holton, III</i>	
Validating Constructs of a U.S.-Based Transfer Instrument in Taiwan <i>Hsin-Chih Chen, Elwood F. Holton, III, and Reid A. Bates</i>	3-3
Symposium 4: Gender in HRD	
Women's Socio-economic Development in India: The Role of Non-governmental Organizations - Research and Theory	4-1
<i>Meena Razvi and Gene L. Roth</i>	
Women in Information Technology	4-2
<i>Rose Mary Wentling and Steven Thomas</i>	
Symposium 5: Intellectual Capital and Human Capital Theory	
Continuing Professional Education and Human Capital Theory	5-1
<i>Jasper B. van Loo and Tonette S. Rocco</i>	
Intellectual Capital: Opportunities and Challenges	5-2
<i>Madeleine Doran</i>	
Human Capital Theory: A Reflection on Retention of Employees in the Hospitality Industry	5-3
<i>Hanna B. Hayes, Meera Alagaraja, and Larry M. Dooley</i>	
Symposium 6: Connecting Education and Practice	
Making Connections: The Link between HRD Education, Practice, and Research	6-1
<i>Lindsay M. Taylor and Jamie L. Callahan</i>	
Human Resource Development in Newspaper Recruitment Advertisements: A Resource for Curriculum Design	6-2
<i>Kit Brooks, Fredrick M. Nafukho, and Mary Herrington</i>	
Symposium 7: Formal and Informal on-the-job Learning	
Work Practice, Learning Worker Characteristics and Informal Learning	7-1
<i>Anja J. Doornbos</i>	
Contextual Factors and Detractors Shaping Informal Workplace Learning and Its Facilitation: The Case of 'Reinventing Itself Company'	7-2
<i>Andrea D. Ellinger</i>	
Unanticipated Effects on Trainers Using Structured OJT: The Literature Review	7-3
<i>Dae Yeon Cho and Ronald L. Jacobs</i>	
Innovative Session 1	
Organizational Development in Universities	I-1
<i>Ken Bartlett, Francine Crystal, Victoria Marsick, Richard Torraco, and Karen Watkins</i>	
Friday, March 5 • 1:30 PM – 3:00 PM	
Symposium 8: International Human Resource Development	
The Why's of Bhopal Revisited	8-1
<i>Meera Alagaraja and Sudha Arlikatti</i>	
Socio-economic Status of Women in India	8-2
<i>Meena Razvi and Gene L. Roth</i>	
The Role of HRD in Chinese State-owned Banks and Implications for Future HRD Policies and Practices	8-3
<i>Jie Ke, Kenneth E. Paprock, and Susan A. Lynham</i>	

Symposium 9: HRD Methods and Tools

The Web-based Delphi Research Technique as a Method for Content Validation in HRD and Adult Education Research 9-1

Sharon Colton and Tim Hatcher

Competencies and Training Needs of Financial Aid Administrators 9-2

James F. Lane, Jr.

Development and Change through Scenario Planning 9-3

Thomas J. Chermack and John S. Walton

Symposium 10: Considerations for Distance Education

Online and Face-to-face Training: A Cost Matrix 10-1

Sharon J. Bartley and Jennifer H. Golek

Designing an Assessment Model for Implementing a Quality Online Degree Program 10-2

Rita L. Dobbs and W. Clayton Allen

Symposium 11: Gender and Mentoring

Organizational Politics and Culture: An Essential Attribute of the Mentoring Experience for Women Faculty 11-1

Sharon K. Gibson

Do Formal Mentoring Programs Matter? : A Longitudinal Randomized Experimental Study of Women Healthcare Workers 11-2

Toby Marshall Egan and Manda H. Rosser

Symposium 12: Emotions in Organizations

Creating Consumer Resistance through Adbusters: Managing Emotion beyond Organizational Boundaries 12-1

Jennifer A. Sandlin and Jamie L. Callahan

Identity Consistency: The Role of Emotion Management across Contexts 12-2

Aubrie Horrocks and Jamie L. Callahan

Symposium 13: Creativity and Aesthetics

Developing the Creative Class: A Role of Human Resource Development Programs 13-1

Consuelo L. Waight, Shirley Ezell, and Katy Greenwood

Practise In and Perceptions of HRD: Do we Need an Aesthetic Perspective? 13-2

Stephen Gibb

Symposium 14: Collaboration

Building Web-based Communities: Factors Supporting Collaborative Knowledge-building 14-1

Jennifer Calvin, David S. Stein, and Joe E. Wheaton

There is No "We" in Team: Learning to Learn across Difference in Problem-based Teams 14-2

John M. Dirkx and Regina O. Smith

Innovative Session 2

Teaching the Ins and Outs of Evaluation in Organizations I-2

Hallie Preskill and Darlene F. Russ-Eft

Friday, March 5 • 3:30 PM – 5:00 PM**Symposium 15: Cross Cultural Training**

Context beyond Culture: Implications for Human Resource Development? 15-1

David Ripley and Irene Hudson

Intercultural Training for Business Expatriates: Cultural-specific Training Needs of US Business Expatriates on Assignment to Taiwan 15-2

Tien-Chen Chien and Gary N. McLean

Connecting Cross-cultural Training Transfer with Performance 15-3

Anne W. Drewry, Vickie Johnson Stout, and Brian Walker

Symposium 16: Strategic Human Resource Development	
The Emotional Reactions of HRD Professionals to the Decision to Outsource HRD <i>Nicole Simons, Jean Woodall, and Stephen Gourlay</i>	16-1
Testing a Model of Employee Selection: A Contextual Approach <i>Kiyoe Harada and Jeffry S. Bowman</i>	16-2
An Integrated Approach to Planning in Organizations <i>Thomas J. Chermack</i>	16-3
Symposium 17: Learning	
Transformational Learning and Human Resource Development: Advances Toward a Knowledge Based Society through Humor <i>Joanne Parke</i>	17-1
Escaping the Tyranny of Belief <i>Albert K. Wiswell and C. Leanne Wells</i>	17-2
Asking the Right Questions, Looking in All the Right Places: Re-embedding Knowledge Construction in Professional Education <i>Suzanne J. Gallagher</i>	17-3
Symposium 18: Mentoring	
A Summary Analysis and Prescriptions for Mentoring in Multicultural Organizations <i>Ray K. Haynes</i>	18-1
The Advantages of Reporting to Your Mentor: A Comparison of Managers with Supervisory and Non-supervisory Mentors <i>Sarah A. Hezlett</i>	18-2
A Systems Approach to Mentoring: A Review of Literature <i>Jeeyon Paek</i>	18-3
Symposium 19: Organizational Commitment	
Voluntary Organizations: Commitment, Leadership, and Organizational Effectiveness <i>Terry P. Ekeland</i>	19-1
Training and Organizational Commitment among Nurses in New Zealand and United States Public Hospitals Experiencing Industry and Organizational Change <i>Kenneth R. Bartlett and Dae-seok Kang</i>	19-2
Commitment Elements Reframed (Antecedents and Consequences) for Organizational Effectiveness <i>Sandra L. Fornes and Tonette S. Rocco</i>	19-3
Symposium 20: Knowledge Management	
Knowledge Sharing in Organizations: An Analysis of Motivators and Inhibitors <i>Minu Ipe</i>	20-1
Knowledge Management Leadership: Exploring the Role of the Chief Knowledge Officer <i>Tina M. Chindgren</i>	20-2
A Critique of Selected Knowledge Management Models <i>Baiyin Yang, Wei Zhen, and Chris Viere</i>	20-3
Symposium 21: Defining Human Resource Development	21-1
Human and Organization Studies: The Discipline of HRD <i>Neal Chalofsky</i>	
A Survey of Current and Former Members of the Academy of Human Resource Development <i>Fredrick M. Nafukho and Barbara E. Hinton</i>	21-2
Bridging the Great Divide: Exploring Resistance to HRD in Adult Education <i>Laura Bierema, Wendy Ruona, Maria Cseh, Andrea D. Ellinger, and Karen Watkins</i>	21-3

Innovative Session 3

Behaviorally Anchored Competencies as Assessment Tools

I-3

*Kim E. Dooley, James R. Lindner, Larry M. Dooley, Meera Alagaraja, Gary Jedynak, and Elaine Patterson***Saturday, March 6 • 10:30 AM – 12:00 PM**

Symposium 22: Exploring International Human Resource Development

Grounding Our HRD Practice in the Challenges of Management Development: A Case of China

22-1

Jia Wang and Wendy Ruona

A Review of HRD Research in Three Areas of East Asia: Mainland China, Japan, and Taiwan

22-2

Yi-Hsuan Lee, Jie Lin, Susan A. Lynham, Kenneth E. Paprock and Jie (Jessica) Li

HRD in Latin America: An Exploratory Review of the Literature

22-3

*Michael G. Hasler, Monica D. Thompson, Susan A. Lynham, and Kenneth E. Paprock***Symposium 23: Change in International Human Resource Development**

The Change Agent in the Global Environment: An Exploration of a Role in Transition

23-1

Toni Powell

Managing Effectively as a Global Manager in Thailand

23-2

Boon-Anan Phinaitrump

Institutionalization of Organizational Change: A Study of HRD Interventions in Singaporean,

23-3

US, Japanese, and German Companies

*AAhad M. Osman-Gani and Ronald L. Jacobs***Symposium 24: Supervisory Social Support**Empirically Based Recommendations for Training and Development of Supervisory Social
Support

24-1

Duchduen Bhanthumnavin

The Value of Critically Reflective Work Behaviour

24-2

Marianne van Woerkom

Tools and Strategies for Engaging the Supervisor in Technology-supported Work-based Learning

24-3

*Manuela Bianco and Betty Collis***Symposium 25: Organizational Learning and Culture**

Organizational Learning Culture, Transfer Climate and Perceived Innovation in Jordan

25-1

Reid A. Bates and Samer Khasawneh

A Conceptual Exploration of the Antecedents of Organizational Trust

25-2

Sam Adams and Albert K. Wiswell

Diagnosing the Learning Capacity of a Financial Services Institution

25-3

*Wayne Connell, Dana Papke, Robert Stanton, and Sue Wise***Symposium 26: Education Customization**Customizing Learning Programs to the Organization and Its Employees: How HRD Practitioners
Create Tailored Learning Programs

26-1

*Rob F. Poell and Ferd J. Van der Krogt*Constructing a Theoretical Model of Human Resource Development Knowledge Innovation in
Corporate Settings

26-2

*Yu-Shu Chen*Relationship between Learning Style Learning and Learning Modality of Employees of a
Healthcare Organization

26-3

Geri McArdle, Paul VanBuskirk, and Nancy Edwards

Symposium 27: Executive Training and Development

Applications of Psychology-based Theoretical Approaches to Executive Coaching: A Summary and Exploration of Potential Utility <i>Brandi L. Plunkett and Toby Marshall Egan</i>	27-1
An Investigation of CEO's Learning Experiences: Implications for Leadership Training <i>Margot B. Weinstein</i>	27-2
In Support of Coaching Models of Management and Leadership: A Comparative Study of Empirically Derived Managerial Coaching/Facilitating Learning Behaviors <i>Bob Hamlin, Andrea D. Ellinger, Rona S. Beattie</i>	27-3

Symposium 28: Diversity Programs and Initiatives

Diversity Training in the Heartland: An Exploratory Study of Small and Mid-size Organizations <i>Linda M. Hite and Kimberly S. McDonald</i>	28-1
HRD in Community Development: A U.S. Case Study of Diverse Community Development <i>Mesut Akdere</i>	28-2
Diversity and Human Resource Development <i>Rose Mary Wentling</i>	28-3

Innovative Session 4

Publication Tips and Strategies: A Scholar's Perspective on How to Get Published <i>Laura Boehme, Darlene Russ-Eft, Tim Hatcher, Tonette Rocco, and Baiyan Yang</i>	I-4
--	-----

Volume 2

AHRD 2004 Conference Overview

Conference Papers

Saturday, March 6 • 1:30 PM – 3:00 PM

Symposium 29: Learning Assessment

Implementation of a Learning-oriented Evaluation for HRD Programs <i>Youngsook Song</i>	29-1
The Constructivist Learning Environment Scorecard: A Tool to Characterize Online Learning <i>Barbara J. Helland</i>	29-2
Organisational Factors Influencing the Assessment of Formal and Informal Learning <i>Nicholas R. Clarke</i>	29-3

Symposium 30: Culture and Organizational Socialization

Development of a Theory of Continuous Socialization for Organizational Renewal <i>Monica M. Danielson</i>	30-1
Coworker Relationships, Acculturation and Socialization-related Job Knowledge <i>Thomas G. Reio, Jr. and Mike A Boyle</i>	30-2
Cultural Effects on Medical Residents Evaluations of Interpersonal Skills and Professionalism <i>Carol Packard</i>	30-3

Symposium 31: Theoretical Frameworks of Performance and Human Resource Development

Toward a Meta-theory of Learning and Performance <i>Darlene Russ-Eft</i>	31-1
Taking Hope to Work--Extending Hope Theory to Include Performance Communication <i>Vickie Johnson Stout, Kristye Yvette Raby, and Michael L. Morris</i>	31-2
A Rationale for HRD-Ethics and its Inclusion as a Theoretical Foundation <i>Tim Hatcher</i>	31-3

Symposium 32: Human Resource Development in Law Enforcement

Vicarious Traumatization: The Role of the Human Resource Development Practitioner <i>Lynn A. Tovar</i>	32-1
Understanding the Formation of Prejudice Attitudes of Police Officers <i>Lisa M. Snow and Rose Mary Wentling</i>	32-2

Symposium 33: Motivation

Motivating Employees During Lean Times: A Review of the Employee Participation Literature <i>Murray D. MacTavish</i>	33-1
An Exploratory Examination of Selected Growth Theories of Individual Motivation and How They Inform Performance in Organizations <i>Melissa A. Noggle and Susan A. Lynham</i>	33-2
Taking on the Teacher Supply and Retention Challenge: A Performance Focused Model for School-University Partnerships <i>Dorian Martin, William E. Reeves, Eric Wilson, Lisa O'Dell, and Toby Marshall Egan</i>	33-3

Symposium 34: Human Resource Development Policy in Asia

State-led Policy in Human Resource Development: Korea Case <i>Hae-young Lee</i>	34-1
Needs Assessment for Career Development Programs in the Taiwan Power Company (TPC): A Factor Analysis of Employees' Career Development Needs for Their Present and Future Positions <i>Yi-Hsuan Lee and Walter Stenning</i>	34-2
National Human Resource Development in the People's Republic of China <i>Baiyin Yang, De Zhang, and Mian Zhang</i>	34-3

Symposium 35: Diversity's Impact on Change and Learning

Leveraging Diversity—Strategic Learning Capabilities for Breakthrough Performance <i>Terrence E. Maltbia</i>	35-1
Viewing Older Workers' Social and Human Capital Capacity Development to Evolve an Adaptive Future Workplace <i>Donald L. Venneberg, Vida D. Wilkinson, and Gary D. Geroy</i>	35-2
The Relationship between an Individual's Margin in Life and Readiness for Change <i>Susan R. Madsen, Cameron John, Duane Miller, and Emily Warren</i>	35-3

Innovative Session 5

Cross-Cultural Multi-Theory Perspectives in Research: Dialogue Based on Theory and Data from the US and Netherlands on Action Learning Programs <i>Rob F. Poell, Lyle Yorks, Victoria J. Marsick, and Jean Woodall</i>	I-5
---	-----

Saturday, March 6 • 3:30 PM – 5:00 PM

Symposium 36: The Future of Career Development

Career Development within HRD: Foundations or Fad? <i>Marieke S. van Kijk</i>	36-1
Career Development Challenges for the 21 st Century Workplace: A Review of the Literature <i>Thomas J. Conlon</i>	36-2
Perceived Effectiveness and Application of Organizational Career Development Practices <i>Carroll M. Graham and Fredrick M. Nafukho</i>	36-3

Symposium 37: Organizations and Change

Involvement in the Investigative Phase of a Merger and Acquisition: Perceptions of HRD Professionals <i>Consuelo L. Waight</i>	37-1
Organizational Identity and Its Implication on Organization Development <i>Yueh-Ysen Lin</i>	37-2
Change and Higher Education: A Multi-disciplinary Approach <i>Julia Storberg-Walker and Richard Torraco</i>	37-3

Symposium 38: Theorizing Human Resource Development	
Conceptualizing a Theory of Scenario Planning	38-1
<i>Thomas J. Chermack</i>	
Agency Theory: Implications for Human Resource Development	38-2
<i>Mesut Akdere and Ross E. Azevedo</i>	
Neoclassical and Institutional Economics as Foundations for HRD Theory	38-3
<i>Greg Wang and Elwood F. Holton, III</i>	
Symposium 39: Adult Learning Theory and Defining Training and Development	
A Critical Evaluation of Adult Learning Theories and Implications for Human Resource Development	39-1
<i>Baiyin Yang</i>	
Training and Development: An Examination of Definitions and Dependent Variables	39-2
<i>Usha V. Somasundaram and Toby Marshall Egan</i>	
The Realities of Clarifying and Redefining the Trainer Role	39-3
<i>Geri McArdle and Nancy Edwards</i>	
Symposium 40: E-learning and Culture	
Cross Cultural Differences in Online Learning Motivation	40-1
<i>Doo H. Lim</i>	
The Relationship between National Culture and the Usability of an E-learning System	40-2
<i>Steve Downy, Rose Mary Wentling, Tim Wentling, and Andrew Wadsworth</i>	
Symposium 41: Relating Human Resource Development and Human Resource Management Internationally	
Expatriate Practices in Taiwan's Multinational Companies	41-1
<i>Chi-jung Fu and Hui-chin Chu</i>	
Training Evaluation: A Case Study of Taiwanese Benchmark Companies	41-2
<i>Bella Y. Lien and Richard Y. Y. Hung</i>	
Devolving HRM and HRD to Line Managers: The Case of Hilton International's UK Hotels	41-3
<i>Gillian A. Maxwell and Sandra Watson</i>	
Symposium 42: Performance Appraisal	
Seeking Symmetry between Supervisory Ratings and Self-ratings of Employee Problem-solving Skill	42-1
<i>Margaret C. Lohman</i>	
Preferences of Training Performance Measurement: A Comparative Study of Training Professionals and Non-training Managers	42-2
<i>Diane D. Chapman</i>	
Using Behaviorally Anchored Self-assessment Instruments to Evaluate Employee Performance	42-3
<i>James R. Lindner, James A. Buford, Jr., Kim E. Dooley, Gary Jedynak, Elaine Patterson, and Larry M. Dooley</i>	
Innovative Session 6	
Playing with Perspective: Emotions in Organizations	I-6
<i>Jamie L. Callahan, Aubrey Horrocks, Carrie Machala, Rose Opengart, Sharon Turnbull, and Darren Short</i>	

Sunday, March 7 • 9:00 AM – 10:30 AM**Symposium 43: Perceptions of Online Education**

Distance Learning Roles and Competencies: Exploring Similarities and Differences between Professional and Student Perspectives <i>Toby Marshall Egan and Mesut Akdere</i>	43-1
The Competitive Advantage of Online Versus Traditional Education <i>Jillian A. Peat and Katherine R. Helland</i>	43-2
Adult Students' Perceptions of Web and Interactive Video Classes <i>Dale E. Thompson, Cecelia Thompson, Buddy Lyle, and Betsy Orr</i>	43-3

Symposium 44: Learning Transfer and Human Resource Development Effectiveness

Reconceptualizing the Learning transfer Conceptual Framework: Empirical Validation of a New Systemic Model <i>Constantine Kontogiorghes</i>	44-1
A Theoretical Framework for Addressing Training Needs Associated with Sexual Harassment Prevention Programs <i>Mary Lynn Berry and Michael L. Morris</i>	44-2
Strengthening a Comprehensive Model for Explaining HRD Effectiveness <i>A. M. Wognum and Bernard P. Veldkamp</i>	44-3

Symposium 45: Human Resource Development Degree Programs

Defining Human Resource Development Technical Knowledge and Job Skills at the Undergraduate and Graduate Levels: Where's the Beef? <i>Thomas R. Giberson and Monica W. Tracey</i>	45-1
Identifying Benefits of an Internship Program through Appreciative Inquiry Interviews <i>Debbie L. Mackey and Connie Thomas</i>	45-2
Academic Service-learning in the HRD Curriculum <i>Ovilla Turnbull and Susan R. Madsen</i>	45-3

Symposium 46: Technology Perceptions

Conceptualizing and Measuring Employee Response to Imposed Technological Change <i>Robert Reardon</i>	46-1
Effective Management Communication: A Study of Employees' Perceptions of Online and Face-to-face Communications <i>Sharon J. Bartley, Virginia W. Kupritz, and Jennifer L. Mills</i>	46-2
Technology as a Critical Issue in HRD: Effects on the Organization <i>Meera Alagaraja, Jamie L. Callahan, and Larry M. Dooley</i>	46-3

Symposium 47: Virtual Teams

Team Development of Virtual Teams <i>Sooyoung Kim</i>	47-1
Leading Virtual Teams: Three Cases <i>James Johnson and Laurel Jeris</i>	47-2
Two Group Development Patterns of Virtual Teams: Linear Progress and Adaptive Progression <i>Seung-won Yoon</i>	47-3

Symposium 48: Ethics

Graduate Business Students Perceptions of the Qualities and Behaviors of Ethical Leaders: An Approach to Ethical Leadership Development <i>Catherine Marsh</i>	48-1
The Relationship between Ethical Climate and Job Satisfaction in Small Businesses <i>Clyde T. Conine, Jr., and Robert W. Rowden</i>	48-2
Ethics Teaching and Training Practices in the Workplace: A Review of Approaches Used in Academic and Corporate Institutions and the Special Challenges of Multiculturalism <i>Judith A. Kolb, Dee Frisque, and Hong Lin</i>	48-3

Symposium 49: Assessing Online Learning		
The Effect of Flexible Learning Schedule on Online Learners' Learning, Application, and Instructional Perception <i>Doo H. Lim</i>	49-1	
The Development of a Research Instrument to Analyze the Application of Adult Learning Principles to Online Learning <i>Sharon Colton and Tim Hatcher</i>	49-2	
A Path Analytic Study of the Determinants of College Students' Motivation to Use Online Learning Technologies <i>Reid A. Bates and Samer Khasawneh</i>	49-3	
Innovative Session 7		
Using Appreciative Inquiry to Build and Enhance a Learning Culture <i>Rachelle Lehner and Wendy Ruona</i>	I-7	
Sunday, March 7 • 11:00 AM – 12:00 PM		
<hr/>		
Symposium 50: Emotions at Work		
Emotion in Organizational Learning: Implications for HRD <i>Sharon Turnbull</i>	50-1	
Women Managers: Learning about Emotional Expression in the Workplace <i>Rose Opengart</i>	50-2	
Symposium 51: Competencies in Human Resource Development		
Speaking of Competence: Toward a Cross-translation for Human Resource Development (HRD) and Continuing Professional Education (CPE) <i>Laurel Jeris and Kathleen Johnson</i>	51-1	
Competency-based Human Resource Development Strategy <i>Noordeen T. Gangani, Richard A. Braden, and Gary N. McLean</i>	51-2	
Symposium 52: Human Resource Development Faculty		
A Mediated Hierarchy Regression Analysis of Factors Related to Career Research Productivity of Human Resource Education and Development Postsecondary Faculty <i>Heather A. Williams and Joe W. Kotrlík</i>	52-1	
Variables Influencing Time Spent in Research of Human Resource Education and Development Faculty Members <i>Heather A. Williams and Joe W. Kotrlík</i>	52-2	
Symposium 53: Professional Development		
Learning and Context: Connections in Teacher Professional Development <i>Barbara J. Daley</i>	53-1	
Professional Training Programs as Effective Interventions for Staff Development and Launch Pads for Learning Transfer: A Case Study <i>Khalil M. Dirani</i>	53-2	
Symposium 54: Leadership		
An Examination of the Relationship between Emotional Intelligence and Leadership Style <i>Lisa A. Weinberger</i>	54-1	
Safety Leadership Development in the Oilfield: Operationalizing Lynham's Theory of Responsible Leadership for Performance <i>Jim Rushing and Susan A Lynham</i>	54-2	

Symposium 55: Graduate Student Research Skills	
Research in Higher Education: Graduate Student Perspective	55-1
<i>Mesut Akdere</i>	
Lessons Learned in a Virtual Team: An Integrative Model for Graduate Student Research Skill Development	55-2
<i>Kristie Abston, Cindy Crowder, and Vickie Johnson Stout</i>	

Symposium 56: Quality Management	
Impact of ISO Certification on Training and Development Activities in the Electronics Industry in Taiwan	56-1
<i>Wen-Rou Huang and Ronald L. Jacobs</i>	
Total Quality Management Practices and Their Effects on Organizational Performance	56-2
<i>Richard Y. Y. Hung and Bella Y. Lien</i>	

Innovative Session 8	
Learning Lessons from the (Dance) Floor	I-8
<i>Jamie L. Callahan</i>	

Posters

Friday, March 5 • 10:30 AM – 12:00 PM

Toward an Understanding of Targets' Reactions to Workplace Abuse	P-1
<i>C. Leanne Wells</i>	
Rapid Adaptation To An Online Format	P-2
<i>Geri McArdle and Nancy Edwards</i>	

Author Index

Keyword Index



From the Editors

It is with great pleasure that we welcome you to Austin and the celebration of our eleventh Annual Academy of Human Resource Development Conference! This year's AHRD 2004 Conference Proceedings once again reflect a rich collection of scholarly voices committed to the ongoing challenge of leading our evolving discipline through research.

The collection of research in the over 160 papers and conference sessions contained in these Proceedings celebrate the work and effort of authors from five continents. The papers cover a wide array of topics, methods, and contexts of enquiry and represent a growing consciousness and worldwide recognition of the importance of developing and unleashing human skills and expertise, and of celebrating and recognizing the greatness within every human being. As reflected in these papers, HRD continues to contribute to and influence thoughtful dialogue, discovery of new knowledge, and improved practice in HRD, and in so doing, have increasing impact in multiple contexts and domains of learning and performance.

Using the Proceedings

1. This year's Proceedings are divided into *two volumes, reflecting the Conference Program*. Volume One covers all symposia through Saturday morning, while Volume Two covers the remainder of Saturday and whole of Sunday symposia.
2. The *Table of Contents*, provided at the beginning of each Volume of the Proceedings, covers the contents for both Volumes. The comprehensive Author Index and Keyword Index are included at the end of each Volume.
3. A *Program Overview* is included in both Volumes of the Proceedings. The full version of the Conference Program is printed as a separate document.
4. Papers are grouped by *symposium number*. Symposium numbers are used in the Author and Keyword indices.
5. As in past years, we also have a *CD-Rom* version of the Proceeding. Instructions for use of the *CD-Rom* are provided in digital text.

Our most sincere thanks to all of the authors featured in these Proceedings — without YOU this celebration of HRD scholarship would not be possible.

Our very best wishes to each of you for an enjoyable, engaging, and energetic conference in Austin! May you leave the Conference having had fun, made new friends, found new opportunities for collaboration and enquiry, and reenergized to continue to demonstrate and pursue our important professional mission of "Leading HRD through Research." Yeeh-Hawh!!

Toby Marshall Egan, Editor
 Michael Lane Morris, Associate Editor
 Vinod Inbakumar, Managing Editor

Texas A & M University
 University of Tennessee
 Texas A & M University



Human Resource Development Scholarly and Professional Community

Dear HRD Professional:

The Academy of Human Resource Development strives toward a vision of "***Leading Human Resource Development Through Research.***" A key component in achieving this vision is our annual research conference, which convenes scholars, students, and reflective practitioners from business, government, non-profits, the military, the academic sector, and any other setting to discuss research and forge relationships that foster cooperation and collaboration. As the world grows increasingly smaller, we are particularly interested in extending that cooperation and collaboration to the international community. Accordingly, we extend a special invitation to international scholars, students, and reflective practitioners to submit manuscripts and attend the conference.

We urge every HRD scholar and professional to give the call for papers the widest possible dissemination. In addition to giving the hard copy of the call for papers to an interested associate, you may refer those interested to the EVENTS AND CONFERENCES section of the AHRD website <http://www.ahrd.org> or ask them to contact the AHRD office.

We are also interested in expanding the number and quality of innovative and poster sessions and, towards that end, have provided additional information on various formats, submission requirements, and acceptance criteria as part of this call for papers. Finally, in an effort to expand and refresh our preconference offerings, we have gone to a proposal format for those sessions, also. We urge you to be creative and innovative in putting together either half-day or full-day sessions that would attract the interest of the HRD community.

We look forward to receiving a wide variety of submissions and proposals from the worldwide HRD community and making this 11th annual research conference the best we have had. Thank you for sharing our vision, and I look forward to seeing you in Estes Park, Colorado, Feb 24 – 27, 2005.

Best Regards,

Gene L. Roth

Gene L. Roth
President
Academy of Human Resource Development

ACADEMY OF HUMAN RESOURCE DEVELOPMENT

International Research Conference 2005

Call for Papers

Conference Dates:

February 24 – 27, 2005

Submission Address:

<http://hrd.utk.edu/AHRDsubmit>

Conference Hotel:

Holiday Inn Rocky Mountain Park
P.O. Box 1468
Estes Park, Colorado 80517
Telephone: 970-586-2332
 800-803-7837
Fax: 970-586-2038
www.rockymountainparkinn.com

Conference Hosted by:

Colorado State University

Questions about Papers:

Direct all questions regarding submissions to Lane Morris, Program Chair: AHRDsubmit@utk.edu

Questions about the Conference:

Direct all questions regarding the Conference to the AHRD Office: Office@ahrd.org
(419) 372-9155

The Academy of Human Resource Development, an international organization having the mission of encouraging the systematic study of human resource development theories, processes, and practices, encourages you to submit manuscripts for the 2005 International Research Conference.

All scholars interested in HRD are invited to submit manuscripts for consideration. The conference is attended by researchers and students from the areas of HRD, business, psychology, education, economics, sociology, technology, and communication. In addition, HRD researchers and reflective practitioners from business, industry, and government participate fully in the conference.

Manuscripts may be submitted in five categories: Research and Theory Symposium, Poster, Research in Progress, Innovative Session, and Pre-conference. Research and Theory, Poster, and Innovative Session manuscripts will be blind reviewed and should be of new unpublished research. Research in Progress manuscripts will be blind reviewed but will not be published in the proceedings. Pre-conference proposals will not be blind reviewed but will be published in the proceedings. Manuscripts accepted for the conference program will be published in the conference proceedings and may be published elsewhere following the conference.

At least one author for each submission must register for the conference by January 10, 2005, in order for the submission to be included in the program and proceedings. The registration form will be available at www.AHRD.org.

Submission Deadlines

Manuscripts Due: **5 PM (Eastern) Monday, September 20, 2004**

Decision Notification: **October 25 – November 1, 2004**

Camera-ready Papers: **Friday, December 3, 2004**

Online Submission Address: <http://hrd.utk.edu/AHRDsubmit>

AHRD International Research Conference 2005

Submission and Formatting Requirements

-
- Manuscripts **must not exceed 8 pages** in length (10 point font), including everything except the cover sheet (all figures, graphs, references, and tables must be included in the 8 pages). Submissions must be made via the online submission site (<http://hrd.utk.edu/AHRDsubmit>). The online submission form will not accept more text than what is stated in this document, so ensure your paper fits the requirements before trying to submit the paper. **The deadlines are firm. The submission site will be disabled at 5:01 PM (Eastern) Monday, September 20, 2004. Exceptions to this deadline will be made only for true emergencies or extraordinary circumstances, so please submit your paper early. If you have problems or issues when submitting your paper, then immediately send an e-mail to AHRDsubmit@utk.edu for assistance.**
 - Upon successful submission and completion of the submission process, authors will receive a confirmation message via email.
 - Manuscripts must be blind review ready upon submission. The cover sheet will be the only page with any identifying information. **This information will be required during completion of the online submission form.** The header, footer, and the body of the manuscript as well as the file properties must not contain any author names or identifying information. The cover sheet must include the following:
 1. Each author's full name, academic or business affiliation, complete address, work phone, fax, and e-mail address. All communications with authors will be via e-mail, so addresses are required for each author.
 2. Abstract (**no more than 75 words**)
 3. Category of the manuscript: Research and Theory Symposium, Poster, Research in Progress, Innovative Session, and Pre-conference
 4. Primary research methodology: Quantitative, Qualitative, Theory, Literature Review, etc.
 5. Three keywords – choose from those made available on the submission site.
 - Manuscripts should be camera-ready upon submission. Formatting requirements for all manuscripts include the following:
 1. First page includes the abstract (**75 words maximum**), three descriptive keywords, and the primary research methodology immediately below the manuscript title.
 2. Margins of 1.0" (left, right, top, and bottom)
 3. Times New Roman font, 10 point
 4. Single line spacing
 5. The first line of each paragraph should be indented 0.25" from the left, except for the first line under a major heading.
 6. Full justification throughout
 7. Do not start references on a new page. Follow APA (5th edition) throughout except when specified otherwise in this Call for Papers.
 8. Embed tables and figures into the document.
 - You and/or your co-author(s) must be available to present **at any time** throughout the duration of the conference. As soon as the conference program has been finalized, you will be notified about the assigned date and time of your presentation.

AHRD International Research Conference 2005

Category Requirements

Research and Theory

Full manuscripts of 8 pages are required for this category. Submissions must be new and unpublished research and theory. Research papers, as appropriate to the methodology used, should contain the following elements:

1. Title
2. Problem statement
3. Theoretical framework
4. Research questions or propositions
5. Methodology and/or research design with limitations
6. Results and findings
7. Conclusions and recommendations
8. How this research contributes to new knowledge in HRD

Research and theory papers will be combined according to the three keywords submitted by the authors and presented orally in symposium format with at least one other paper. AHRD also welcomes manuscripts presenting methodologies including new scholarly theory, models, conceptual analyses, literature reviews, and case studies. While these papers may not yet offer results (#6 above), they must otherwise follow the above requirements.

Poster

Manuscripts with a maximum of 8 pages (including the poster miniatures) are required for submission. Visual representations of the posters can enhance the clarity of the research and help us view the field of HRD in new and different ways. Posters are not a substitute for a scholarly paper. Posters will remain up throughout the conference, and a session will be scheduled to allow interaction between the author(s) and conference participants.

The following criteria MUST be included in the manuscript:

1. Title
2. Theoretical Framework
3. Substantive contribution to HRD knowledge
4. Reduced copies of the posters
5. Accepted posters will have no more than two, professional appearing, 2' x 3' poster boards that must be readable from a distance of six feet.

Research in Progress

Research in progress manuscripts have the same requirements as Research and Theory papers. While these papers may not yet offer results, they must otherwise follow the stated requirements. Furthermore, by the conference date, it is anticipated that the presenters be able to share preliminary results, conclusions, and recommendations.

AHRD International Research Conference 2005

Category Requirements

Innovative Session

Proposals up to 8 pages in length may be submitted for this category. An innovative session is designed to present new and innovative HRD work through creative, interactive presentation formats that do not fit within the research and theory symposium process.

The formats described below are offered as suggestions only. The intent of these examples is to be useful to those considering alternatives to the standard paper and symposium session formats. Preference will be given to proposals with a research or theoretical basis.

Debate. The debate format can be an effective way to present two opposing views about a topic. One structure for a debate is to have a moderator and two, two-person teams. The debate begins with the moderator stating a position. One team then presents arguments that affirm the proposition and the other team presents arguments against the proposition. Each team member has a fixed amount of time (e.g., 10 minutes) to present arguments. Time for rebuttal can be incorporated into the session and/or a discussant can sum up the main points of the session. When submitting a debate proposal, be sure to include a statement of the proposition to be debated and descriptions of the major points likely to be argued by each side.

Panel Discussion. In a panel discussion, the chairperson plays a very active role, serving as a moderator who asks questions of the panelists and ensures that all panelists (three to six people) have the opportunity to speak. Diversity among panelists is important to the success of the session. Further, all panel discussion members must recognize the need for advance preparation. Panelists and chair do not prepare papers. They make brief introductory remarks before engaging in ad hoc give and take for which they may have prepared themselves but which cannot be predicted or entirely controlled (a chair skilled in discussion management is essential). Panel discussions should generate spontaneous interaction among participants and between participants and the audience. A panel discussion proposal should describe the questions that will be addressed by the panel, the underlying issues or themes to be discussed, and the structure or format of the session.

Practitioner Forum. A Practitioner Forum provides an opportunity for HRD professionals to discuss challenges in the work environment and innovative solutions that are linked to HRD research issues. Each forum is devoted to a single topic. A chair introduces the session, three or four presenters take approximately 10 minutes each to discuss applied research and practice issues, and audience members spend the remaining time interacting with presenters and each other, offering their own ideas about applied research and practice. Practitioner Forum topics are welcome on any "cutting edge" topic. Special effort should be made to link theory and practice.

The following criteria MUST be addressed in the proposal:

1. Title
2. Session Description
3. Presenters/Panelists (name, affiliation, and contact information for each person)
4. Purpose
5. Goals
6. Content of session with evidence that it is new, is innovative, addresses research or scholarship, and makes a substantive contribution to HRD knowledge. The content section should include a theoretical framework.
7. Description of format, style, and an agenda for the presentation that is to be innovative, intellectually stimulating, generative of a high level of scholarly dialogue, and participative by both presenters and audience.

AHRD International Research Conference 2005

Category Requirements

Pre-Conference

The AHRD Conference Planning Committee seeks dynamic learning experiences that would be of significant interest to HRD researchers and reflective practitioners. Pre-conference sessions may be problem oriented, professional-development oriented, focus on knowledge transmission, address recent methodological and substantive developments in HRD research, or serve as organizing sessions for special interest groups exploring an HRD related subtopic in depth. AHRD welcomes sessions that extend beyond traditional research paradigms and methods and especially encourages offerings that merge research and practice.

- Full-day sessions and half-day seminars (4-hour) are available. Pre-conferences will run on Wednesday and Thursday before the annual conference.
- The following criteria must be addressed in the proposal:
 1. Cover page with each author's full identification and contact information as required for all submissions
 2. Title
 3. Committee or Panel Members with affiliations and contact information
 4. Purpose including a statement about how the session advances the mission and vision of the Academy
 5. Constituency or target audience
 6. Specific goals
 7. Draft agenda
- Pre-conference proposals will not be blind reviewed but will be judged on their contribution to advancing the vision of the Academy. The Conference CEO will make the final decisions on pre-conference proposals. Pre-conference manuscripts will be included in the proceedings.
- An example proposal can be found on the AHRD website <www.ahrd.org> under EVENTS AND CONFERENCES.
- No budgets are allocated by AHRD for pre-conferences, except for refreshment breaks.
- All pre-conference attendees are expected to pay the fee including invited speakers.
- No pre-conference is guaranteed approval from one year to the next.
- **As with the other types of submissions, the pre-conference proposals must be submitted online at <http://hrd.utk.edu/AHRDsubmit>. All deadlines are firm. Exceptions will be made only for true emergencies or extraordinary circumstances.**



Call for Papers

Academy of Human Resource Development, International
Jointly with the
Korea Academy of Human Resource Development (KAHRD), Korea

Announces the

Third Asian Conference of the Academy of HRD

November 21 - November 23, 2004
(Pre-conference Workshops: November 20-21)

Venue:
Seoul Olympic Parktel, Seoul, Korea

Host Institution:
Korea Academy of Human Resource Development (KAHRD), Korea

Conference Theme:
Human Resource Development in Asia:
Harmony and Partnership

The Asian Chapter of the Academy of HRD (the top global scholarly organization in the field of HRD), in cooperation with the Korea Academy of Human Resource Development (KAHRD), invites scholarly papers (empirical or conceptual) for its third Asian Regional conference. The conference will bring together researchers and practitioners in the field of HRD coming from various disciplines and fields of study (HRD and HRM, business management, education, IT, economics, psychology, sociology and others). It will also be an effective forum for networking and professional interactions among leading HRD researchers and practitioners from around the world who have interests in HRD in Asia. From throughout Asia, attendance is expected from Japan to New Zealand, from Vietnam to Saudi Arabia, as well as participants from the USA and Europe.

The Korea Academy of Human Resource Development (KAHRD), established in 2003, aims at a center for scholars' and practitioners' community who have interests in the field of HRD. It holds forums, seminars and other conferences designed to share and discuss HRD related ideas, research, practices, and programs in both corporate and not-for-profit settings and national policy areas.

The Academy of HRD, headquartered in the USA, is supported by four international publications: *Human Resource Development Quarterly (HRDQ)*, *Human Resource Development International (HRDI)*, *Advances in Developing Human Resources*, and the new *Human Resource Development Review*. All of these journals are published quarterly by reputed publishing houses in the USA and the UK. Papers from this conference may be submitted for publication consideration in these journals.

Possible Topics or Issues to be Covered in the Conference (not an exhaustive list):

Harmony and Partnership in HRD

- Labor-management cooperative HRD, partnership building of HRD, partnership and alignment between government and business, and partnerships among academia, industries, and research institutes.

HRD in Policy Areas

- HRD at the National/Strategic Level (national policy initiatives, national innovation system, various strategies used, focus and interpretations of HRD in different countries, regional HRD, regional innovation system)
- Lifelong Education & Learning Policy and Practice (trends in research and practice, adult education & learning, international comparison of lifelong education and learning, future of lifelong education & learning)

Training and Development in Corporate Sector

- HRD in the Business or Corporate Sector (recent trends, leadership development, competency mapping research, roles and responsibilities of HRD staff, performance management systems, HRD Audit, career planning, coaching and mentoring and their effectiveness.)

HRD in Non-Government Sector/Non-Profit Sector

- HRD in the Not-for-Profit Sector (NGO, national & local development, social infrastructure, health, education, services sectors, community development)

HRD Concept, Model, Tools, Techniques and Theory

- HRD Theory, Concepts, Frameworks, Systems (relevance and application to Asian context)
- HRD Tools, Techniques, and Innovations (instructional technology, performance technology, performance management systems, adult learning & teaching methodology, assessment centers.)
- HRD Professionals and HRD Roles (emerging roles of HRD professionals, new competencies, new knowledge & skills, academics & consultants)

Diagnosis and Evaluation in HRD

- Measuring and Managing the Impact of HRD (HRD audit, HRD measurement & evaluation, implementation research, assessment centers)
- HRD and Information Technology Driven Change (role of IT in HRD, role of HRD in change management, particularly in technological changes, such as SAP, ERP)

Organizational Development

- Organization Development and Learning Organization (OD and change management, organizational survey feedback, team-building & development, group dynamics, inter-departmental cooperation, organizational learning & learning organization, action research case studies, appreciative inquiry, action learning)

Career Development and Change

- Career Assessment, Change, Development, and Planning (Career development theory and practices, CD and HRM, Career change and transition, Career coaching & counseling, Assessment of career interests and career seeking behaviors)

Global HRD

- International/global HRD (International flow of human resource: studying abroad, employment, immigration & emigration and its impact, cultural influences on HRD practice, cross-cultural differences, comparative analyses, culture change and change management)
- HRD Interventions Based on Indigenous Culture and Values
- Impact of Globalization on Human Resource Development in Asian Countries.
- HRD Research in Asia (potentials, problems, strategies used, partnerships among academia and industry)

[In all cases, please keep in mind that the list above is suggestive only. Any paper that forwards our scholarly understanding of the HRD field is eligible for review and consideration. While an Asian focus is desirable, it is not essential for acceptance.]

Guidelines for Submission of Papers

- Please send a summary of less than 200 words as an e-mail attachment in MS Word file. All summary will be accepted with no feedback. After you submit a full paper by August 15, 2004, you will receive feedback on whether your paper is acceptable.
- Please e-mail summary and full paper to: kahrd@plaza.snu.ac.kr.
- For the full paper, follow the same guidelines as for the annual AHRD Conference submissions. The guidelines are available from the web site, www.ahrd.org. All papers are to be in English and must be complete at the time of submission. If English is not your native language, please have the paper edited before submission.
- Deadline for sending 200 words summary : May 30, 2004
- Deadline for submission of full papers: August 10, 2004
- Information on the acceptance of papers: September 15, 2004
- Submission of final revised papers: September 30, 2004

Pre-conference Workshops and Skillshops

Interested professionals and institutions (research institutes, companies, consulting agencies, etc) are requested to offer pre-conference workshops on any related themes.

The following research themes are being considered at present:

- | | |
|--|---|
| <ul style="list-style-type: none"> - Partnership in HRD - Leadership Development | <ul style="list-style-type: none"> - Ethical Dimensions in HRD - National HRD |
|--|---|

- Cultural Dimensions in HRD
- Return on Investment of HRD
- HRD for Managing Change
- Other proposals will be considered
- Evaluation of HRD Programs
- Evaluation of OD Interventions
- Knowledge Management & HRD

Each theme will be for one half/full day duration. The pre-conference workshop will be led by one person or a group of persons and should be designed for professional development. Those who desire to offer such workshops may send details of the workshop to pre-conference coordinator Dr. Young-sik Ahn at Fax: 82-51-890-1209 , Tel: 82-51-890-2184, or e-mail: ays@deu.ac.kr.

The details should include the purpose and objectives of the workshop, coverage, time schedule, prerequisites, if any, for participation, and the presenter's qualifications. One conference registration will be waived for offering a half-day workshop; if there are two presenters for a full-day workshop, both presenters will have their conference registrations waived.

Registration

Conference registration fee (payments received by September 20, 2004): For members of AHRD International: US \$150 (covers opening cocktail dinner on November 21, conference materials, proceedings, and coffee breaks on November 22 and 23, and the concluding dinner on November 23); For non-members, US \$200.

After September 20, the fee will be \$185 and \$235, respectively. (Student discount of US\$75 will be provided upon recommendation from his/her advisor/supervisor).

Registration fee for each pre-conference workshop: US \$30 per half-day and \$55 for each one-day workshop or two half-day workshops. Registrants for a full-day pre-conference workshop or two half-day workshops on the same day will be provided with lunch as part of their workshop registration fees. Details of the pre-conferences will be mailed to all registrants as soon as possible.

To register: please mail, fax, or e-mail completed Registration Form to a conference organizer:
Contact person: Ms. Mihwa Lee

Mailing Address: Department of Education, Seoul National University
 San 56-1 Sillim-dong, Gwanak-gu, Seoul, 151-742 Korea
 E-mail: polk0070@empal.com
 Tel: 82-11-9838-3790 Fax: 82-2-880-7635

For credit card payment: Please fill up the credit card payment information on the Registration Form. Be sure to include full name on credit card, type of credit card (acceptable cards are: Visa, MasterCard, Discover, American Express), credit card account number, and expiration date.

For wire transfer payment, and for local Korea delegates: Please remit the appropriate registration fees (including pre-conference) to bank account as follows. And please fax remittance slip to Fax: 82-2-880-7635. Be sure to indicate your full name and university or company on the remittance slip, as well as the amount submitted. Confirmation will be sent to you by e-mail upon receipt of payment.

Account Name: Mihwa Lee
 Account No: Saving Account No. 079-12-665093 (same as Control Number)
 Bank Name: National Agricultural Cooperative Federation (Swift Code: NACFKRSEXXX)
 Bank Address: National Agricultural Cooperative Federation Seoul National University Branch .
 San 56-1 Sillim-dong, Gwanak-gu, Seoul, 151-742 Korea

Conference Venue

Seoul is the capital of Korea with over 600 years of history. It is the heart of Korea's culture and education as well as politics and economy. Seoul is unique in that historical sites such as grand royal palaces and modern cultural facilities coexist in harmony. Seoul is a world-class city with numerous amenities and shopping districts such as Myeong-dong, Apgujeong-dong, and Itaewon Special Tourist Zone.

Travel from Incheon International Airport to the conference venue at Seoul Olympic Parktel is easy. The best-recommended way is by airport limousine bus #606 (bus stop 5B, 12A at airport, 5:40 AM- 10:50 PM). It takes about 90 minutes to the conference venue. The best way to explore Seoul at a low cost is by subway. The public bus is also available at a low cost but not recommended for first timers to Seoul. Seoul map will be available in the conference package upon arrival.

Accommodation

For your convenience, hotel accommodation is available at the conference venue, the Seoul Olympic Parktel, located approximately one and half hours from Incheon International Airport. Seoul Olympic Parktel agreed to offer great discount rates for AHRD participants.

Single or double rooms are available at 119,000 Korean won (inclusive of tax and service charge) per room per night inclusive of morning buffet breakfast (which is about US \$100 per room per night at current exchange rate of Korean won 1,200 per US\$).

Advance booking **before November 1, 2004** is strongly recommended. For room reservation, please e-mail, or fax to Ms. Jeong Eun Kim at Seoul Olympic Parktel . E-mail: parktel@sosfo.or.kr, or Fax: 82-2-410-2100. Tel: 82-2-410-2514 or 82-17-290-1180.

Credit card information, your full name, and address are required for hotel room reservation. Please clearly indicate period of stay, bedding preference (SGL or DBL), arrival & departure flight detail, in your e-mail or fax for making reservations. Hotel confirmation will be sent to you by e-mail.

Sightseeing and Excursions

Delegates may plan for pre & post conference sightseeing excursions in Seoul and throughout Korea. Half-day and full day excursions in Seoul and its vicinities are available at special discount rates for conference delegates. Some are the must-visits: Royal Grand Palace([Gyeongbokgung Palace](#), [Deoksugung Palace](#)) Insa-dong, Itaewon Special Tourist Zone, Dongdaemun and Namdeamun Market, and Korea House. To explore more of Korea through full day excursions, recommendations are: Yongin Folk Village, City of Gyeongju (designated as a World Heritage by UNESCO, capital of the Silla Kingdom for almost a thousand years), or DMZ(Demilitarized Zone).

Advance reservation is recommended. A Tour Table will be set up at the venue for your convenience. For more details, inquiries, questions, and concerns regarding accommodation, excursions, package tours, and general information, please feel free to contact Ms. Yoonmi Choi. E-mail: ymchoi03@snu.ac.kr or Fax: 82-2-880-7635. Tel: 82-11-9749-8409.

Conference Schedule (Details will be announced later)

- Seoul city tour in the afternoon of November 19. Please make reservations with Ms. Yoonmi Choi (ymchoi03@snu.ac.kr). (Also, the city tour is available everyday if there are more than six persons per trip.)
- Pre-conference workshops will be held at the conference venue on November 20 and 21.
- Get Acquainted icebreaker on November 21 starting at 5:30 PM.
- This will be followed by a plenary session at 6.00 PM with introduction of the Conference and first Keynote speech.
- Opening Dinner will follow the first plenary session at the conference venue on November 21.
- AHRD conference parallel sessions will be on November 22 and 23 from 9:00 AM onwards.
- Conference will close on November 23 at 4:30 PM after the final plenary session.
- Cultural evening and Closing Dinner at Seoul Olympic Parktel on the evening of November 23 at 7:00 PM.

Conference Chairs and Committee Members

Conference CEO and AHRD Asia Chapter Coordinator:

Dr. AAhad M. Osman-Gani

Professor of HRD and International Business

Nanyang Business School (S3-B3A-27)

Nanyang Technological University, Singapore 639798

Tel: (65) 6790-4982 Fax: (65) 6791-8377

E-mail: aahad@ntu.edu.sg

Conference Co-Chair and Site Coordinator:

Dr. Shinil Kim

President of Korean Academy of Human Resource Development

Professor at Department of Education, Seoul National University

San 56-1 Shillim-dong, Gwanak-gu, Seoul, Korea, 151-742.

Tel: 82-2-880-7643 Fax: 82-2-884-8542.

E-mail: kshinil@snu.ac.kr

Advisor:

Dr. Gene L. Roth, AHRD International Board Liaison and Past-President

Professor and Director of Office of HRD and Workforce Preparation,

Northern Illinois University, Dekalb, Illinois 60115-2854 USA

Tel: 1-815-753-1306 Fax: 1-815-753-9309

E-mail: groth@niu.edu

Conference Site Co-Chairs:

Dr. AAhad Osman-Gani and

Dr. Yonglin Moon

Professor at Department of Education, Seoul National University

San 56-1 Shillim-dong, Gwanak-gu, Seoul, Korea, 151-742.

Tel: 82-2-880-7648 Fax: 82-2-880-7635.

E-mail: moonyl@snu.ac.kr

Program Associate Chairs:

Dr. T.V. Rao, India: tvraoad1@sancharnet.in

Dr. Baiyin Yang, China: yinyang@umn.edu

Dr. Kiyo Harada, Japan: HRDHarada@aol.com

Dr. Jamilah Othman, Malaysia: jamilah@ace.upm.edu.my

Dr. Bella Ya-Hui Lien, Taiwan: bmayhl@ccunix.ccu.edu.tw

Dr. Ahmad A. Ajarimah, Middle-East & Gulf: ajarimaa@aramco.com.sa

Dr. David Ripley, NewZealand and Australia: d.ripley@mang.canterbury.ac.nz

Dr. Hunseok Oh, Korea: ohhs@snu.ac.kr

Financial Committee Chair

Dr. Jongcheol Yang: jcylife@kornet.net

Program Committee Chair:

Dr. Eunsang Cho: aquinascho@hanmail.net

Conference Proceedings Editors:

Dr. Yonglin Moon, Dr. AAhad M. Osman-Gani, Dr. Gene Roth,

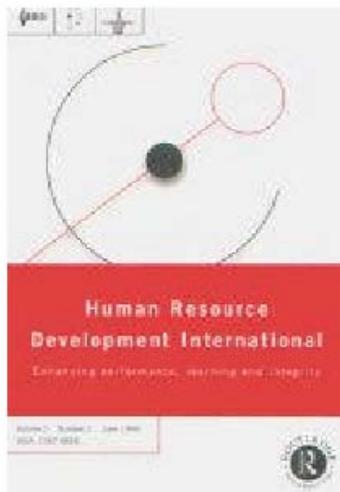
Dr. Hunseok Oh, & Dr. Eunsang Cho

E-mail: kahrd@plaza.snu.ac.kr / Papers and Summaries to be sent at kahrd@plaza.snu.ac.kr

	<h2 style="text-align: center;">Academy of Human Resource Development</h2>
VISION	To Lead Human Resource Development through Research
MISSION	The Academy was formed to encourage systematic study of human resource development 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.
PUBLICATIONS	AHRD in cooperation with our publishing partners, provides a full range of scholarly and professional publications:
	<ul style="list-style-type: none"> ◆ <i>Human Resource Development Quarterly</i>, our research journal ◆ <i>Human Resource Development International</i>, our new international journal ◆ <i>Advances in Developing Human Resources</i>, a quarterly monograph series ◆ <i>Human Resource Development Review</i>, a quarterly theory journal ◆ <i>AHRD Standards on Ethics and Integrity</i> in Human Resource Development ◆ <i>Human Resource Development Research Handbook</i>, a book for both researchers and practitioners ◆ Blind Refereed Annual Conference Proceedings published annually in conjunction with the annual research conference
MEMBERSHIP BENEFITS	AHRD membership includes the following <ol style="list-style-type: none"> 1. Being a member of the only global organization dedicated to advancing the HRD profession through research 2. Subscription to all four AHRD sponsored scholarly journals: <ul style="list-style-type: none"> ◆ <i>Human Resource Development Quarterly</i> ◆ <i>Human Resource Development International</i> ◆ <i>Advances in Developing Human Resources</i> ◆ <i>Human Resource Development Review</i> 3. Copy of <i>AHRD Standards on Ethics and Integrity</i> 4. Subscription to the <i>Forum</i>, the Academy newsletter 5. Subscription to the Academy Listserv, for timely professional and career information annual 6. Discount on annual conference participation 7. Research conference with full proceedings of research papers (1200+) pages 8. Research partnering, funding, and publishing opportunities
ANNUAL RESEARCH CONFERENCE AWARDS PROGRAM	AHRD holds an annual research conference in the early spring of each year. The 2005 conference will be held in Estes Park, Colorado. The conference will be hosted by Colorado State University
	AHRD recognizes professional excellence in the HRD profession through its awards program, including: HRD Scholar Hall of Fame Outstanding HRD Scholar Award Richard A. Swanson Research Excellence Award Outstanding Human Resource Development International Article Malcolm S. Knowles Dissertation Award HRD Book of the Year Award AHRD Outstanding Academic Program "Cutting Edge" Top Ten Conference Proceedings Papers



Human Resource Development International



AVAILABLE ONLINE

Editor-in-Chief: [Jean Woodall](#), Kingston Business School, Kingston University, UK

Editors: [Allan Hixson Church PhD](#), Director, Organization and Management Development, Pepsico, USA

[Rob Poell](#) University of Nijmegen, The Netherlands

Reviews Editor: [Darren Short](#), Office for National Statistics

Reviews Sub-Editor: [Reid Bates](#), Louisiana State University, USA

Special note: Jean Woodall will be Editor-in-Chief for the journal from January 2003, and as of August 1, 2002 all new submissions should be sent to the new editorial office: Penny Macoustra, Editorial Assistant, HRDI, Kingston Business School, Kingston University Kingston Hill, Kingston Upon Thames, Surrey, KT2 7LB.

Monica Lee, in consultation with Jean Woodall, will continue to handle all manuscripts already under consideration by HRDI. All files, regardless of decision status will be transferred to Jean Woodall at the end of 2002.

Publication Details:

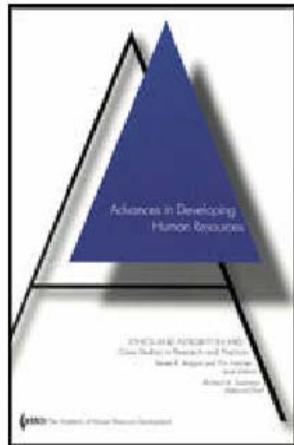
Volume 6, 2003, 4 issues per year

ISSN 1367-8868

*A preferential rate is available to accredited members of the Academy of Human Resource Development (AHRD) and the University Forum for Human Resource Development (UFHRD)



Taylor & Francis is a member
of CrossRef



 Sage Publications
Thousand Oaks • London • New Delhi

Advances in Developing Human Resources

The essential tool for Human Resource Development specialists...

Advances in Developing Human Resources

Editor:

Scott Johnson	University of Illinois at Urbana-Champaign
Wendy Ruona	University of Georgia, Athens, GA

Submission Guidelines

Advances in Developing Human Resources provides a central focus for the reporting on sound theory and practice within topical areas of interest to the profession. Members of the profession are encouraged to submit issue proposals and should contact the editor-in-chief for current proposal guidelines.

The **Advances** editorial board utilizes a two-tier blind review process. The first tier is the review of proposals for individual issues; the second tier is the review of completed manuscripts. Issue proposals are reviewed for (1) relevance to the HRD profession, (2) potential in advancing the theory in HRD, and (3) potential in advancing the practice in HRD. Complete manuscripts are reviewed for (1) completeness of the ideas, (2) quality of the writing, (3) advancement of HRD theory, and (4) advancement of HRD practice.

Human Resource Development Review



Elwood F. Holton III, Editor

Louisiana State University

Richard J. Torraco, Associate Editor

University of Nebraska



**A quarterly refereed journal from the Academy of Human Resource Development
Published by Sage Publications**

Human Resource Development Review is a theory journal for scholars of human resource development and related disciplines. **Human Resource Development Review** publishes articles that make theoretical contributions in papers devoted to theory development, foundations of HRD, theory building methods, and integrative reviews of the literature.

The journal provides new theoretical insights that can advance our understanding of human resource development, including:

- Syntheses of existing bodies of theory
- New substantive theories
- Exploratory conceptual models
- Taxonomies and typologies developed as foundations for theory
- Treatises in formal theory construction

Send manuscripts to:

Dr. Elwood F. Holton, III, Editor

Electronic submission (preferred) to eholton2@lsu.edu.

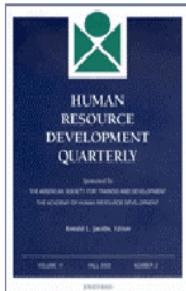
Human Resource Development Review

School of Human Resource Education and Workforce Development

Louisiana State University

142 Old Forestry Building

Baton Rouge, LA 70803, U.S.A.



Human Resource Development Quarterly

Sponsored by the
American Society for Training and Development and the
Academy of Human Resource Development.



Human Resource Development Quarterly - <http://www.josseybass.com>

Sponsored by the
American Society for Training and Development and the Academy of Human Resource
Development.
Darlene Russ-Eft, Editor

Editor **Darlene Russ-Eft**, Ph. D., is currently with the American Institutes for Research in Palo Alto, CA. *Human Resource Development Quarterly (HRDQ)* is the first scholarly journal focused directly on the evolving field of human resource development (HRD). *HRDQ* has become the national forum for interdisciplinary exchange on the subject of HRD. Sponsored by the **American Society for Training and Development** and the **Academy of Human Resource Development**.

INFORMATION FOR AUTHORS AND CONTRIBUTORS

Human Resource Development Quarterly is a publication sponsored by the Academy of Human Resource Development and the Research Committee of the American Society for Training and Development (ASTD). It provides a central focus for research on HRD issues, as well as the means for disseminating such research. *HRDQ* recognizes the interdisciplinary nature of the HRD field and brings together relevant research from related fields, such as economics, concerned solely with the practice of HRD are not within the scope of this journal, but may be more appropriate for practitioner-oriented publications such as *Human Resource Development International* or *Training and Development Magazine*.

Authors may contribute to *HRDQ* by submitting three types of manuscripts:

- Peer Review
- nonrefereed Forum Section
- nonrefereed Review Section

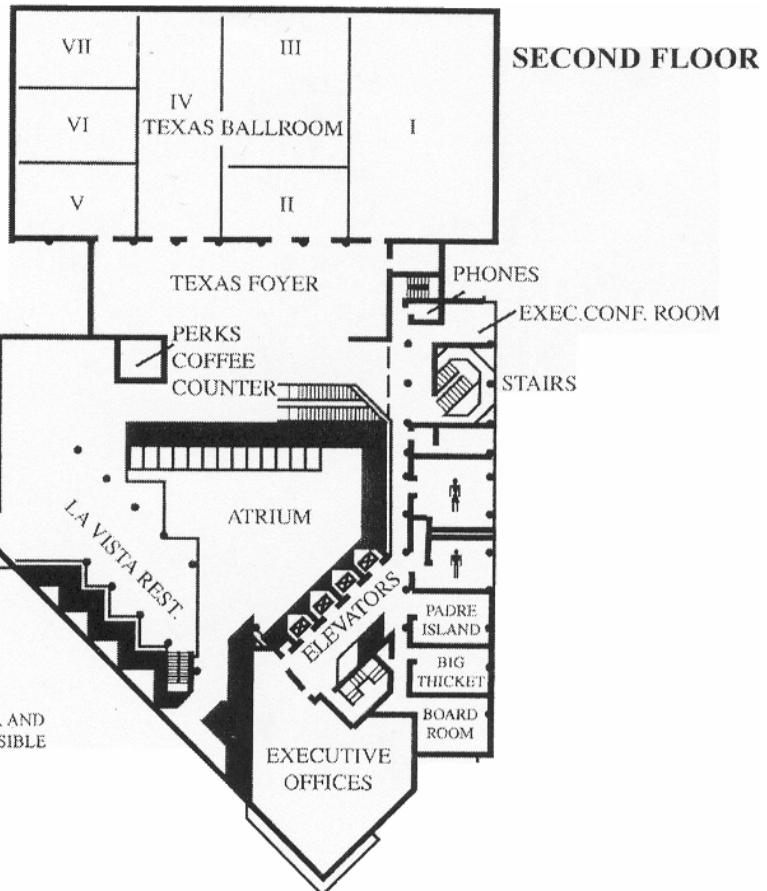
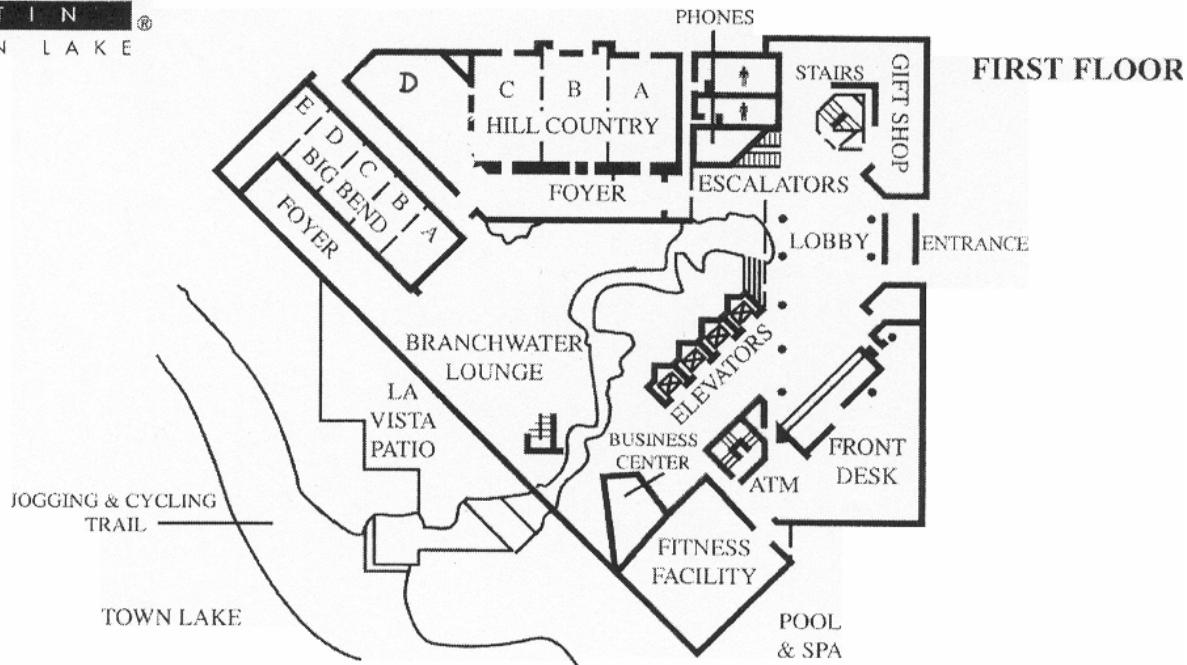
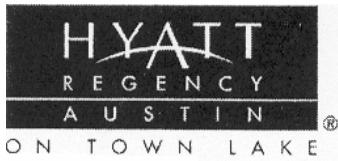
Submit forum manuscripts to Darlene Russ-Eft, Edition, HRDQ, 1791 Arastradero Road, Palo Alto, CA 94304

MORNING OVERVIEW

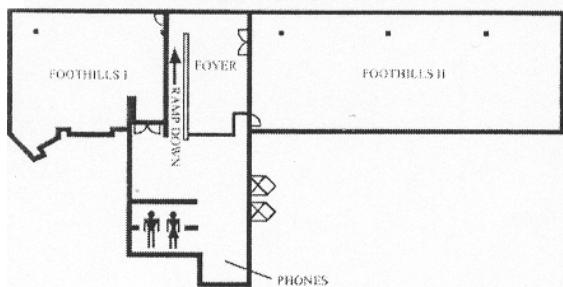
Time	Wednesday, March 3	Thursday, March 4	Friday, March 5	Saturday, March 6	Sunday, March 7
6 AM to 8:30 AM			<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM Food-N-Thought 	<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM Food-N-Thought 	<ul style="list-style-type: none"> ▪ 7:15 – 8:15 AM Food-N-Thought ▪ 8 – 9 AM AHRD Board Meeting ▪ 8 – 9 AM SLDC Breakfast
8:30 AM to 10 AM			<p>Keynote: Bill Gardner, Advanced Micro Devices</p>	<p>Keynote: Yvonna Lincoln, Texas A & M University</p>	<p>9 AM – 10:30 AM SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Perceptions of Online Education ▪ Learning Transfer and HRD Effectiveness ▪ HRD Degree Programs ▪ Technology Perceptions ▪ Virtual Teams ▪ Ethics ▪ Assessing Online Learning ▪ Innovative Session
10:30 AM to 12 PM		<p>8:30 AM to 5 PM</p> <p>Registration and Conference Central</p>	<p>SYMPOSIA</p> <ul style="list-style-type: none"> ▪ HRD with International and Multinational Groups ▪ Learning in Communities ▪ Learning Measurement and International HRD ▪ Gender in HRD ▪ Intellectual Capital and Human Capital Theory ▪ Connecting Education and Practice ▪ Formal and Informal OJT Learning ▪ Innovative Session ▪ Poster Session 	<p>SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Exploring International HRD ▪ Change in International HRD ▪ Supervisory Social Support ▪ Organizational Learning and Culture ▪ Education Customization ▪ Executive Training and Development ▪ Diversity Programs and Initiatives ▪ Innovative Session 	<p>11 AM – 12 PM SYMPOSIA</p> <ul style="list-style-type: none"> ▪ Emotions at Work ▪ Competencies in HRD ▪ HRD Faculty ▪ Professional Development ▪ Leadership ▪ Graduate Student Research Skills ▪ Quality Management ▪ Innovative Session

AFTERNOON AND EVENING OVERVIEW

Time	Wednesday, March 3	Thursday, March 4	Friday, March 5	Saturday, March 6	Sunday, March 7
12 PM to 1:30 PM	1 PM to 5 PM Pre-conferences Wednesday, 3/3 through Thursday, 3/4	<ul style="list-style-type: none"> ▪ 12 – 3 PM IACE Hall of Fame ▪ 1 PM AHRD Foundation Board 	<ul style="list-style-type: none"> ▪ 12 – 1:30 PM International Committee Meeting ▪ 12:15 – 1:15 Food-N-Thought 	<ul style="list-style-type: none"> ▪ 12 – 2 PM HRDR Editorial Lunch ▪ 12 – 2 PM ASTD/AHRD Lunch ▪ 12 – 2 PM Advances Editorial Board Lunch ▪ 12:15 – 1:15 Food-N-Thought 	12 - 5 PM ASTD Research to Practice (and Monday, 8 – 12 PM) 12 PM - 2004 AHRD International Research Conference adjourned. See you next year in Estes Park, Colorado!
1:30 PM to 3 PM		TOURS <ul style="list-style-type: none"> ▪ 1 - 2:30 PM Tour of Austin area and State Capitol on “Austin Duck,” Pick up at the Hyatt ▪ 3 – 5 PM Tour and Presentation at Applied Materials, Bus Pick up at the Hyatt 	SYMPOSIA <ul style="list-style-type: none"> ▪ International HRD ▪ HRD Methods and Tools ▪ Considerations for Distance Education ▪ Gender and Mentoring ▪ Emotions in Organizations ▪ Creativity and Aesthetics ▪ Collaboration ▪ Innovative Session 	SYMPOSIA <ul style="list-style-type: none"> ▪ Learning Assessment ▪ Culture and Organizational Socialization ▪ Theoretical Frameworks of Performance and HRD ▪ HRD in Law Enforcement ▪ Motivation ▪ HRD Policy in Asia ▪ Diversity’s Impact on Change and Learning ▪ Innovative Session 	
3:30 PM to 5 PM		MEETINGS <ul style="list-style-type: none"> ▪ 3 - 5 PM HRDI Board of Directors and “Meet the Editors” – Jean Woodall ▪ 3 - 5 PM Diversity Committee ▪ 4 – 5 PM SLDC Meeting – Rob Poell 	SYMPOSIA <ul style="list-style-type: none"> ▪ Cross Cultural Training ▪ Strategic HRD ▪ Learning ▪ Mentoring ▪ Organizational Commitment ▪ Knowledge Management ▪ Defining HRD ▪ Innovative Session 	SYMPOSIA <ul style="list-style-type: none"> ▪ The Future of Career Development ▪ Organizations and Change ▪ Theorizing HRD ▪ Adult Learning Theory and Defining Training and Development ▪ E-learning and Culture ▪ Relating HRD and HRM Internationally ▪ Performance Appraisal ▪ Innovative Session 	
Evening Events	<ul style="list-style-type: none"> ▪ 5 PM – 7 PM Journal Editors Meeting 	<ul style="list-style-type: none"> ▪ 5 PM HRDI Editorial Team Meeting ▪ 4.30 – 5.30 PM Conference Orientation ▪ 5.30 – 6.30 PM Opening Reception ▪ 6.45 – 8:30 PM Town Forum: “HRD Theory or HRD Practice: Advancing the Profession” ▪ 8:30 PM – 9 PM Symposium Chair Meeting 	<ul style="list-style-type: none"> ▪ 5 - 6 PM AHRD Business Meeting ▪ 6 – 7 PM Student Reception ▪ 6 - 9 PM HRDQ Editorial Board Dinner and Meeting 	<ul style="list-style-type: none"> ▪ 5 – 6:30 PM Asian Chapter Meeting ▪ 5 – 6 PM Meet the Editors ▪ 6 - 10 PM President’s Reception/Dinner and Awards Banquet for all conference attendees (included in registration fee) 	



SEVENTEENTH FLOOR FOOTHILLS BALLROOMS



ALL MEETING SPACE, RESTROOMS, AND PHONES ARE WHEELCHAIR ACCESSIBLE

Conference Papers

Development of Learning-Oriented Evaluation for HRD Programs

Youngsook Song

University of Illinois at Urbana-Champaign

This study examines key theoretical principles of learning-oriented evaluation for HRD programs. Practical guidelines for the implementation of learning-oriented evaluation are also developed based on the related literature. This study suggests that evaluation should be a learning process in which information and knowledge are socially constructed and used for individual, group, and organizational learning.

Keywords: Learning-Oriented Evaluation, Evaluation Use, Organizational Learning

There has been growing attention on evaluation of Human Resource Development (HRD) programs in organizations. As the importance of optimizing human potential in the competitive business environment has been increasing, organization leaders need to learn more about how HRD programs operate and can be improved. Accordingly, HRD practitioners have paid more attention to evaluation of HRD programs and its impacts on the organization. On the other hand, HRD scholars have grown skeptical about the effectiveness of Kirkpatrick (1998)'s evaluation approach that has dominated training evaluation over the last forty years. This has resulted in an increasing number of studies that aim to enhance HRD evaluation theory and practice and search for an alternative evaluation approach to HRD programs.

Despite this growing attention, evaluation of HRD programs in organizations, especially in the private sector, is still problematic. First, evaluation has not been widely implemented (Swanson & Holton, 2001). Russ-fit and Preskill (2001) explain ten reasons why evaluation is ignored in organizations. Among the reasons, the top reason is organization members' misunderstanding of evaluation purpose and role. The second reason is organization members' fear of the impact of evaluation findings. In general, evaluation is negatively perceived by organization members. This makes evaluation difficult to implement.

Second, evaluation approaches to HRD programs are very limited. Most of them are based on or are variations of Kirkpatrick (1998)'s four level evaluation approach. In spite of its strengths, such as simplicity, flexibility, and popularity, Kirkpatrick's approach has not provided a comprehensive information and understanding of how HRD programs work and influence organizational members. As Holton (1996) indicates, Kirkpatrick's approach is not grounded in a philosophy or theory of evaluation. In addition, the majority of evaluations based on his four-level approach have been conducted only at level one (reaction) or level two (learning) (Dixon, 1987).

Third, there is a significant lack of evaluation use. Preskill and Caracelli (1997) conduct a survey asking American Evaluation Association (AEA) members about various conceptions of evaluation use. Although their study does not target evaluation of HRD programs, its result shows that nonuse and misuse of evaluation are critical issues. In fact, many HRD scholars and practitioners have focused only on instrumental use of evaluation results and the evaluation results are not actually used (Russ-Eft, Atwood, & Egherman, 2002). Some researchers emphasize use of evaluation to justify the bottom line impact of HRD programs (Philips, 1997; Swanson, 1998). Yet, there is lack of research and discussion on conceptual use of evaluation and the link between evaluation and organizational learning.

I believe that these problems are driven from critical misconceptions about evaluation of HRD programs, such as evaluation is bad and unnecessary, evaluation means a smile sheet, and evaluation use is not important. The future of HRD evaluation will be shaped depending on the extent to which we can overcome the problems. The success of HRD evaluation relies on whether we can change these misunderstandings. In this regard, academic efforts for developing new evaluation approaches to HRD programs are asked in order to improve the existing HRD evaluation theory as well practice. New approaches should be more responsive to organization members and their needs and be more systemic and comprehensive in investigating the quality of HRD programs. In addition, they ought to contribute to increase the usability of evaluation in the private sector.

The purpose of this paper is to investigate the development of learning-oriented evaluation for HRD programs. In order to achieve this, I first define the notion of evaluation as learning process. Key theoretical principles

Copyright © 2004 Youngsook Song

Underlying learning-oriented evaluation are also examined based on the related literature. Further, I develop practical guidelines for successful implementation of learning-oriented evaluation. Learning-oriented evaluation, which aims at fostering different types and levels of learning through evaluation, can change negative conceptions of evaluation to a learning opportunity. Evaluators as well as stakeholders can have opportunities to broaden and deepen their knowledge and understanding of HRD programs from this kind of evaluation approach. Learning-oriented evaluation also can help organizational members consider evaluation as ongoing learning experiences rather than as a one-time event. Moreover, it can produce useful and comprehensive information of the program being evaluated. So, evaluators and stakeholders can develop diverse ways to enhance evaluation use and to improve HRD programs. Evaluation should be an opportunity and catalyst to learning in organizations.

Evaluation as Learning Process

Several evaluation researchers, such as Lee Cronbach, Gretchen Rossi, John Owen, Hallie Preskill, and Rosalie Torres, have emphasized evaluation as a process of fostering learning. Although there are variations in explaining the learning dimension of evaluation among them, their major focus is on helping evaluators as well as stakeholders learn from evaluation, so they can deepen their understanding, obtain new insights, take visible actions, and improve quality of an evaluand – product, program or process being evaluated.

Cronbach and his colleagues contend that “evaluation is a process by which society learns about itself” (Cronbach et al., 1981, p.2). According to them, evaluation should be a learning opportunity that enables stakeholders to know better about the program, understand multiple perspectives, and thus make wise choices for the program improvement. In doing this, an evaluator need to play a role as an educator that facilitates sharing as well as providing information. Although their main concern is to help members of the “policy-shaping community”, their contention provides at least two important points of view for evaluation of HRD programs. First, they suggest a different view on the role of an evaluator from the traditional one. According to them, it is not an evaluator’s task to decide whether the program is good enough. Instead, the evaluator provides information which stakeholders may want to take into account in forming their judgments. Second, Cronbach et al. (1981) believe that things can be changed because of stakeholders’ learning through evaluation. Evaluation can directly or indirectly change stakeholders’ understanding and behavior, whether it is intended or unintended, throughout evaluation. Accumulations of these changes can affect procedure and culture of the program and other parts of organization processes, so in the long run, the organization can be changed.

The concept of evaluation as learning process is further explained by Preskill and Torres (1999), who suggest the notion of *evaluative inquiry* as a new form of evaluation for learning. Since organizations have experiencing continuous and dramatic changes due to advanced technology, workforce diversity, and globalization, continuous learning and development becomes the key for organizations to survive (Dixon, 1992; Ruona, Lynham, & Chermack, 2003). Under consideration of this feature, Preskill and Torres (1999) emphasize that evaluation should be integrated into daily work practice in organizations and thus it ought to be an ongoing inquiry for learning. In this sense, they introduce *evaluative inquiry*, which encourages organization members to have chances of exploring, reflecting, questioning and discussing critical organization issues based on the evaluation logic and process. They believe that this will bring out enhanced organization capacity for continuous learning as well as personal and professional development of organization members.

Learning through evaluation can occur at individual, group, and organizational level. Individual learning can occur when individuals are able to alter their perceptions and knowledge of the program from the evaluation process and findings, achieve new insights, and take actions based on the insights (Rossman & Rallis, 2000). Learning from evaluation at the group level can take place when individuals share their experiences, knowledge, and insights through dialogue and participate in collaborative learning situations. Since evaluation involves, in most cases, different groups of stakeholders, it is important to provide chances of communicating across the groups and understanding diverse perspectives of the program that will increase the potential of stakeholders for learning. Organizational learning from evaluation can occur when individuals and groups disseminate their learning and knowledge obtained from evaluation throughout the organization. This will lead to organizational change and development.

Key Theoretical Bases of Learning-Oriented Evaluation

Learning-oriented evaluation is concerned with developing the potential of stakeholders as well as evaluators by providing opportunities to learn and stimulating social interactions among stakeholders and evaluators in a given

context. In this section, I examine theoretical assumptions of learning-oriented evaluation in terms of its claims on knowledge construction, evaluation use, and organizational influence.

Knowledge Construction

Most researchers who advocate learning-oriented evaluation emphasize participation and ownership of stakeholders in creating information and knowledge useful. This assertion is based on the belief that knowledge and values are socially constructed and transited rather than exist independently from the social world waiting to be revealed by technically expert evaluators. Therefore, stakeholders should be active participants in construction of knowledge through evaluation and use of the knowledge in their work. In fact, HRD programs involve adult learners in the workplace. Compared to children, adults are more self-directed and learn from their experiences. They tend to have their own willingness, motivation, intention, and styles for learning. These characteristics of adult learners enable learning-oriented evaluation of HRD programs to be a platform for stakeholders to construct and use their own knowledge.

From the constructivist view, learning is also a process of meaning making (Preskill & Torres, 2000; Rossman & Rallis, 2000). Individuals and groups learn by understanding and making meanings of their experiences. In this sense, learning from evaluation is socially situated and is mediated through stakeholders' previous knowledge and experiences. Constructions of meanings are influenced by specific historical, political, geographical, and cultural practice and discourses in a given context (Greene, 2000). These constructions are multiple, contingent, and contextual. It is, therefore, important through learning-oriented evaluation to involve and discover multiple constituencies each representing different perspectives.

Evaluation Use

Although the concept of evaluation use is still diverging and expanding (Shulha & Cousins, 1997), there are mainly three different kinds of evaluation use based on the purposes they serve. They are instrumental, conceptual, and symbolic use (Weiss, 1998). Learning-oriented evaluation can be employed for instrumental, conceptual, and/or symbolic purpose.

Instrumental use of evaluation aims at providing information for decision makers. Evaluation findings and recommendations are used to give feedback into decision making processes for the program. According to Weiss (1998), this kind of use is fairly common under three conditions. First, the application of evaluation findings is relatively non-controversial. Second, the change that occurs as a result of evaluation is relatively small-scale. Lastly, internal and external environments of the program are relatively stable without dramatic change in leadership, fund, and stakeholders. If evaluators and stakeholders learn from findings of learning-oriented evaluation and make informed decisions regarding operation, continuation, or improvement of the program, this evaluation is instrumentally used to produce information for decision-making.

Conceptual use of evaluation is concerned with changing and developing, through evaluation, stakeholders' understanding of what the program is and does. Many aspects of learning-oriented evaluation are connected to this kind of use, because learning-oriented evaluation focuses primarily on the evaluation process and conceptual change (learning) of the people who are involved in evaluation. In fact, stakeholders can obtain new ideas and insights about the program from evaluation findings. However, they can learn even more about merits and limitations of the program and possible directions for action by engaging in the evaluation process. The notion of Patton (1997)'s *process use* is similar to this kind of use. Patton (1997) highlights evaluators as well as stakeholders' changes as participating in the evaluation process.

Process use refers to and is indicated by individual changes in thinking and behavior, and program or organizational changes in procedures and culture, that occur among those involved in evaluation as a result of the learning that occurs during the evaluation process. (p. 90)

Preskill and Torres (2000) describe this kind of use as a form of individual, team, and organizational learning. They suggest that when individuals participate in the evaluation process that is collaborative and guided by dialogue, reflection, and critical inquiry, learning occurs not only at the individual level but also at the group and organizational level.

Symbolic or political use of evaluation is intended to strengthen one's positive or negative opinions about the program (Marra, 2003). For example, program managers know what is not working and how problems can be solved. Thus, they use evaluation to legitimize their position and gain supports from other members. Moreover, the very existence of evaluation can influence organization members. For example, when learning-oriented evaluation is carried out in the organization that never or little has employed this type of evaluation approach, the presence of learning-oriented evaluation creates a level of interests among organization members and makes them be aware of needs for learning and change.

Organizational Influence

Evaluation is performed within an organizational context. Learning through evaluation is critically influenced by the organization's goals, systems, structures, and culture. Rogers and Hough (1995) claim that focus, methods, and management of evaluation should reflect realistic assumptions about how the organization works. Without understanding of how individual, group, and organizational learning occurs in the organization, learning-oriented evaluation cannot be successfully implemented and its benefits will be significantly reduced.

In addition, several researchers stress that evaluation capacity building is critical in order to "continuously create and sustain overall organizational processes that make quality evaluation and its uses routine" (Compton, Baizerman, & Stockdil, p.1). The success of learning-oriented evaluation influences and is influenced by the organization's infrastructure that supports continuous learning. Therefore, structures, policies, procedures of the organization need to incorporate and maintain learning through evaluation. Desirable organization systems, structures, and culture make it easy to share evaluation information and make it possible to work collaboratively among different stakeholder groups. These organization features also allow organization members to try new things and to consider mistakes as opportunities for learning. It is obvious that the organization including such desirable systems, structures, and culture is motivated to provide organizational members financial, technological, and human resources for learning.

Moreover, organization members should understand the importance and potential of learning from evaluation. Especially, leaderships at all levels of the organization ought to support and consider evaluation as a means for individual, group, and organizational learning. Organization leaders at top positions need to provide a vision for learning through evaluation and encourage organization members to value and prioritize evaluation. Leaders at the program levels need to realize their responsibility for continuous program improvement and appreciate partnership with an evaluator in creating evaluation information.

Because effective use of learning-oriented evaluation sometimes requires organizational changes, there is an issue of how to deal with organization members' resistance to changes. Organization members tend to defend the status quo and have negative expectations of a new evaluation approach. According to Taut and Branus (2003), organization members have fears that they can be criticized or lose their jobs as a result of evaluation. These fears are often rooted in lack of trust among organization members and misunderstanding of what learning-oriented evaluation can be and do for them. Therefore, it is essential that the development of learning-oriented evaluation should be based on shared trust, value, and belief that evaluation can be a catalyst for individual, group, and organizational learning.

Key Practical Guidelines for Learning-Centered Evaluation

Learning-oriented evaluation is somewhat similar to other evaluation approaches that also emphasize learning as an outcome of evaluation, such as participatory, stakeholder-focused, empowerment, or utilization-oriented approach. To varying degrees, these approaches position an evaluator as a facilitator of learning from evaluation in which stakeholders learn about themselves as well as the program. However, learning-oriented evaluation for HRD programs is distinguishable from other approaches in that it focuses on increasing the potential of stakeholders and contributing to achieve organizational learning. In this section, I explain crucial strategies for the practice of learning-oriented evaluation. I develop one strategy for each evaluation stage that should be a focus or at least be gained attention.

Purpose and Audience

Identify multiple stakeholders and their information (learning) needs. The main concern of learning-oriented evaluation is to enlighten people involved. Therefore, it is important to include diverse audiences and understand what they want to know and learn through evaluation. Different purposes can be developed depending on the context- the program or intervention being evaluated, problems identified, stakeholders engaged, a type of the organization, and so on. For instance, one purpose of learning-oriented evaluation may be to provide information for decisions needed to be made regarding the program's improvement and expansion. Another purpose may include gaining a better understanding of the program's effects on different groups. Whatever the purpose of the evaluation may be, an evaluator needs to ensure that the purpose(s) of the evaluation is formed based on diverse stakeholders' needs for learning and action. Diverse audiences, such as organization leaders, program directors, staff, trainers, trainees, and community members can be identified. From the beginning of the evaluation, the evaluator needs to facilitate the stakeholders to be informed of different issues and to priority them. Thus, they can decide what they need to know and what purpose is appropriate and feasible in a given situation. The purpose(s) of the evaluation chosen should be clearly stated and be effectively shared with the stakeholders.

Questions

Develop a set of questions in negotiations with stakeholders. Evaluation questions are very important, since these determine the boundary as well as the focus of the evaluation. Evaluation questions also help to further define the purpose of the evaluation and can influence decisions about evaluation design and methods for data collection. The evaluator and stakeholders may start from overarching and broad questions. For instance, what do or don't we know about the program?, What do we need to know?, How does the program work?, How does the program achieve its goals?, and so on. It may be better to develop open-ended questions, because open-ended questions likely are more responsive to change of stakeholders' needs as well as evaluation environments and produce rich information.

The process of developing evaluation questions calls for intense negotiations with stakeholders. Learning-oriented evaluation seeks to involve diverse stakeholders. So, it is not easy to come to agreement on a set of questions across different groups. While certain things are crucial to some stakeholders, others may not agree with that. Therefore, the evaluator needs to encourage stakeholders to explore their assumptions and values underpinning their support of certain questions. In this case, stakeholders can articulate why particular questions are more important and relevant to the purpose of the evaluation. Furthermore, they can understand what others think and expect from the evaluation. Through these processes, the evaluator and stakeholders can develop deeper understanding and new insights about the program (conceptual use). This also increases the likelihood that meaningful and useful data will be obtained as carrying out the evaluation (Cousins, Donohue, & Bloom, 1996). In addition, stakeholders who attained deeper knowledge and understanding about the program can influence other organizational members' understanding of the program and the people involved. Both the evaluator and stakeholders need to make key inputs in the negotiations for developing evaluation questions. For example, stakeholders can bring knowledge of the program and the organization, while the evaluator is able to indicate limits to the evaluation given resources available.

Design and Methods

Select the most relevant, effective, and appropriate design and methods for data collection. The main focus in selecting proper evaluation design and methods is on understanding which design and methods will produce the best possible data to adequately answer evaluation questions. According to Preskill and Torres (1999), the evaluator and stakeholders can consider at least four factors in making decisions regarding evaluation design and methods.

- Preferred methods of those experienced in data collection and analysis activities.
- Prior experiences of team members with data collection and analysis activities.
- Unexamined notions, perceptions, or prior knowledge about the organization's culture
- Perceived methodological, time, or other logistical constraints (p.101).

The evaluator should not employ a particular design or methods without having the expertise to use them. Also, resources and time available for data collection need to be checked before determining a design and methods. In consultation with stakeholders, the evaluator can make decisions about an overall evaluation design – experiment, quasi-experiment, systems analysis, case study, or participatory process, so on – and specific data collection and analysis methods – questionnaires, standardized measures, interviews, and observations, so on. Many researchers recommend that use of multiple information sources and methods is more likely to generate evaluation data that represent accurate and true indications of the program (Patton, 1997; Russ-Eft & Preskill, 2000).

Criteria for Judging Program Quality

Clarify stakeholders' assumptions of the program quality. There is often confusion or difference among diverse stakeholders about evaluation criteria of the program should be. Even though they agree on a certain constitution of the program quality, for example effectiveness, or productivity, they may have different assumptions about what effectiveness or productivity means. Therefore, Evaluation criteria need to be defined based on shared opinions and similar assumptions of the program quality across different groups of stakeholders.

Developing evaluation criteria is a contextually sensitive matter, so that there is no single and objective standard out there to be used for HRD programs. Evaluation criteria should be mutually defined among the evaluator and stakeholders in a given context. One of the problems that HRD evaluation has faced is that "satisfaction" of customers or trainees has been overused to determine merit and worth of HRD programs. Due to loosely employing Kirkpatrick's evaluation approach, satisfaction or reaction has become the key criteria to judge HRD programs even when satisfaction is not actually relevant to the quality of the program being evaluated.

Reporting

Share final findings with all stakeholders. Some researchers emphasize on reporting to a certain group of stakeholders, for example intended users (Patton, 1997), influential program staff (Owen, Lamber, & Stringer, 1994; Rossman & Rallis, 2000), premising that use of evaluation findings can be ensured by them. However, when considering the importance of information as a major source for learning, evaluation information should be reported to and shared with all of the stakeholders. This does not mean that every stakeholder needs to have a same type of report. Various versions of reports—short or long, electric or printed—can be used. Even though a thick and comprehensive report can describe findings, recommendations, and implications in details, it is not always necessary for all stakeholders to receive such report, and it takes high cost to produce it. Mattson (2003) studies managers' perceptions of different types of evaluation reports in terms of their usefulness for decision making. The study shows that managers tend to use evaluation information more when it is reported in a way that is shorter in length and higher in comprehensibility. In addition to written evaluation reports, verbal presentations can be used for reporting evaluation findings. Sometimes, presentations can be more effective in informing and stimulating stakeholders for learning and action, because the evaluator and stakeholders can have chances to directly discuss evaluation information, ask questions, and voice reactions or concerns.

Participation

Create genuine forms of stakeholder participation. Learning-oriented evaluation recognizes the importance of including multiple stakeholders' views. In this sense, the evaluator needs to provide opportunities over time for diverse stakeholders to better understand benefits and limitations of the program by engaging in the evaluation process. Stakeholders are not only relevant and appropriate sources of evaluation information, but they also play a role in creating evaluation practice as well (Cousins, Donohue, & Bloom, 1996; Greene, 1988). Therefore, the evaluator should work collaboratively with stakeholders in defining and developing many aspects of the evaluation. Diverse stakeholders' participation increases the likelihood of their commitment to evaluation and use of evaluation findings. Stakeholders' participation also increases the likelihood that individual, group, and organizational learning take place through collaborative group efforts. Even though it is necessary that multiple stakeholder groups participate in the evaluation process, it is often difficult to achieve this element within realities of the program operations.

Use

Provide ongoing support for stakeholders to integrate learning into their daily work. If learning-oriented evaluation is successfully implemented as intended, use should not be a problem since use is integral to learning through evaluation. In other words, if individual, group, and organization learning occur during the evaluation process, this means that intended use of evaluation is achieved. As already mentioned, in addition to use of evaluation results, there is conceptual or process use that is important and needs to obtain more attention from HRD professionals. Again, stakeholders' participation in the evaluation process enhances learning and thus increases evaluation use. Moreover, use of evaluation is not the solo responsibility of the evaluator, because the evaluator and stakeholders are partners and co-producers in generating evaluation information as well as forming evaluation practice. Therefore, a collective commitment is required to apply learning into the program operations and outcomes.

Rather than a one time event, evaluation needs to be a force for continuing efforts for learning and action. As a means of integrating learning from evaluation into daily work, Preskill and Torres (1999) propose that the evaluator and stakeholders collaboratively work to develop an action plan for implementation of recommendations based on evaluation findings. According to Preskill and Torres (1999), after sharing evaluation information with stakeholders, the evaluator should encourage stakeholders to consider various action alternatives, choose among them, and develop an action plan to implement the alternative(s) selected. To maximize use of evaluation findings, the evaluator can work with stakeholders to implement program or organizational changes recommended by the evaluation. However, these collaborative endeavors need to be based on other organizational members' trust and support.

Contribution to HRD Research and Practice

As the importance of evaluation in organizations has increased, there have been academic endeavors that suggest alternative approaches to evaluation of HRD programs. The notion of evaluation for learning has influenced HRD scholars and practitioners to expand their perception of evaluation use and see a clearer link between evaluation and

learning in organizations. However, there are still increasing needs for developing and articulating learning-oriented evaluation in which information and knowledge are socially constructed, and learning is facilitated by people and their social interactions. There is also a little theoretical discussion and practical applications of how this kind of evaluation approach helps to better develop organization members and enhance the quality of HRD programs. In this regard, this study attempt to provide conceptual as well as practical information needed when developing an evaluation for learning. Future research may need to take a deeper look at theoretical background of learning-oriented evaluation. Also, more empirical studies should be conducted to support evaluation as a means of individual, group, and organizational learning. In addition, it is necessary to investigate how and when the organization capacity for learning influences the development of learning-oriented evaluation for HRD programs.

References

- Brett, B., Hill-Mead, L., & Wu, S. (2000). Perspectives on evaluation use and demand by users: the case of city year. *New Directions for Evaluation*, 88, 71-84.
- Campton, D., Baizerman, M., & Stockdill, S. (2002). The art, craft, and science of evaluation capacity building. *New Directions for Evaluation*, 93.
- Cousins, J. B., Donohue, J. J., & Bloom, G. A. (1996). Collaborative evaluation in North America: Evaluators' self reported opinions, practices, and consequences. *Evaluation Practice*, 17(3), 207-226.
- Cronbach, L. J., Ambron, S. R., Dornbusch, S. M., Hess, R. D., Hornik, R. C., Phillips, D. C., et al. (1981). *Toward reform of program evaluation*. CA: Jossey-Bass Publishers.
- Dixon, N. M. (1987). Meeting train's goals without reaction forms. *Personal Journal*, 66(8), 108-115.
- Dixon, N. M. (1992). Organizational learning: A review of the literature with implications for HRD professionals. *Human Resource Development Quarterly*, 3(1), 29-47.
- Greene, J. C. (1988). Stakeholder participation and utilization in program evaluation. *Evaluation Review*, 12(2), 91-116.
- Greene, J. C. (2000). Understanding social programs through evaluation. In N. Denzin, & Y. Lincoln (Eds.), *Handbook of qualitative research* (2nd ed., pp. 981-999). CA: Sage Publications, Inc.
- Holton, E. F. (1996). The flawed 4-level evaluation model. *Human Resource Development Quarterly*, 7(1), 5-21.
- Jenlink, P. M. (1994). Using evaluation to understand the learning architecture of an organization. *Evaluation and Program Planning*, 17(3), 315-325.
- Kirkpatrick, D. (1998). *Evaluating training programs* (2nd ed.). CA: Berrett-Koehler Publishers, Inc.
- Marra, M. (2003). *Dynamics of evaluation use as organizational knowledge*. Unpublished doctoral dissertation, The George Washington University, Washington DC.
- Mattson, B. W. (2003). The effects of alternative reports of human resource development results on managerial support. *Human Resource Development Quarterly*, 14(2), 127-151.
- Owen, J. M., Lambert, F. C., & Stringer, W. N. (1995). Acquiring knowledge of implementation and change. *Knowledge: Creation, Diffusion, Utilization*, 15(3), 273-284.
- Patton, M. (1997). *Utilization-focused evaluation* (3rd ed.). CA: Sage.
- Phillips, J. (1997). *Return on investment in training and performance improvement programs*. TX: Gulf Publishing Company.
- Preskill, H., & Caracelli, V. (1997). Current and developing conceptions of use: Evaluation use TIG survey results. *Evaluation Practice*, 18(3), 175-194.
- Preskill, H., & Torres, R. T. (1999). *Evaluative inquiry for learning in organizations*. CA: Sage.
- Preskill, H., & Torres, R. T. (2000). The learning dimension of evaluation use. *New Directions for Evaluation*, 88, 25-37.
- Rogers, P., & Hough, G. (1995). Improving the effectiveness of evaluations: Making the Link to organizational theory. *Evaluation and Program Planning*, 18(4), 321-332.
- Rossman, G. B., & Rallis, S. F. (2000). Critical inquiry and use as action. *New Directions for Evaluation*, 88, 55-69.
- Russ-Eft, D., Atwood, R., & Eggerman, T. (2002). Use and non-use of evaluation results: case study of environmental influences in the private sector. *American Journal of Evaluation*, 23(1), 19-31.
- Russ-Eft, D., & Preesskill, H. (2001). *Evaluation in organizations*. MA: Purseus Publishing Service.
- Ruona, W. A., Lynham, S. A., & Chermack, T. J. (2003). Insights on emerging trends and the future of Human resource Development. *Advances in Developing Human Resources*, 5(3), 272-282.
- Shulha, L. M., & Cousins, J. B. (1997). Evaluation use: Theory, research, and practice since 1986. *Evaluation Practice*, 18(3), 195-208.

- Swanson, R. A. (1998). Demonstrating the financial benefit of HRD: State and update on the theory and practice. *Human Resource Development Quarterly*, 9, 285-295.
- Swanson, R. A., & Holton, E. F. (2001). *Foundation of human resource development*. CA: Berrett-Koehler Publishers, Inc.
- Taut, S., & Branus, D. (2003). Resistance to evaluation. *Evaluation*, 9(3), 247-264.
- Weiss, C. H. (1998). Have we learned anything new about the use of evaluation? *American Journal of Evaluation*, 19(1), 21-33.

The Constructivist Learning Environment Scorecard: A Tool to Characterize Online Learning

*Barbara J. Helland
The Krell Institute*

Over the past five years, the number of individuals engaging in online learning as well as the number of online course offering has grown exponentially. At the same time, outcome research on online learning design is sparse. This paper describes the development of a constructivist learning environment scorecard and explores its usefulness in characterizing and comparing online learning courses and subsequently learning outcomes.

Keywords: Adult Learning, Constructivism, Online Learning

Society has shifted from the industrial age and its use of machines for production to the information age with its rapidly increasing volume of accessible information (Toffler, 1990). By the year 2000, the number of online, indexable documents available via the Internet surpassed the 100 billion mark with 3.2 million new pages and more than 700,000 images added every 24 hours. Also in 2000, approximately 55,000 new users per day logged on to Internet; triple the number of users in 1997 (UCLA Internet Report: Surveying the Digital Future, 2000).

In the midst of this information explosion, the 1999 CEO Forum Report on Education and Technology reported that sixty percent of the jobs available at the beginning of the 21st century will require skills currently held by only twenty percent of the workforce. Correspondingly, in 1999, the "Industry Report" in *Training Magazine* estimated that corporations would spend \$62.5 billion on training, a 24 percent increase in five years.

Problem Statement

More and more corporations and educational institutions are offering distance education or e-learning courses. As corporations rush to offer courses online, human resource development practitioners may have to reexamine their assumptions on course design. Distance learning courses should be designed not only to meet business needs but also to reflect the characteristics and needs of their learners—the adult (Rosenberg, 2001). Most online learners are full-time workers who want to improve their skills by participating in continuing education opportunities that fit into their busy schedules (Green, 2000). Furthermore, they are older and have dependents at home (Huang, 2002). These individuals realize that to survive in today's environment, they must be able to construct their own knowledge by evaluating and applying new information. Thus, human resource development practitioners should also revisit learning theories such as constructivism, with its focus on the learner constructing knowledge.

Like corporations and universities, I have become interested in how to use computers to deliver instruction to geographically dispersed learners. In the ten years that I have been conducting face-to-face workshops for middle and high school teachers, the workshops have transformed from a teacher-led, lecture-based courses to student-centered, constructivist learning environments. To successfully translate these workshops to an online learning environment, I need to identify the critical attributes of the constructivist classroom and what tools or constructs are available to recreate those attributes if the learners only meet online. Much of the current research on the outcomes of online research has been anecdotal reports, surveys or self-reports on small samples (Rudestam & Schoenholz-Read, 2002). In my review of the literature, I found several models that defined constructivist learning environments or rubrics that measures specific components found in distance learning such as collaboration or interaction. I did not, however, find an instrument that could help me classify a course as a constructivist learning environment. Thus, the purpose of this pilot is to propose an analytical tool, the constructivist learning environment (CLE) scorecard, and explore its usefulness in to characterize online training.

Theoretical Framework

Characteristics of Adult learners

As noted above, adult learners comprise the largest segment of learners in online courses. According to Malcolm Knowles, adult learners are self-directed; bring life experiences, which serve as resources for learning,

Copyright © 2004 Barbara J. Helland

into the learning situation; take a problem-centered approach to learning; are ready to learn when they experience the need to learn something because of a work-related or life-related problem or task; and are motivated to learn by internal and external factors (Merriam and Caffarella, 1999, Noe, 1997). Furthermore, because of demands on their time, they appreciate flexibility in their learning environments and respect for their situation in life.

John Dewey postulates that genuine education or learning comes from experiences (Merriam & Caffarella, 1999). However, an experience doesn't educate if it doesn't lead to broader and deeper experiences. To understand how experiences lead to learning, Kolb (Jarvis, 1992) defined the four-stages that individuals go through in response to an experience: experience a new event, observe and reflect on what happened, make generalizations about experiences, and use new ideas and concepts in actual practice. Jarvis (1992) expanded Kolb's cycle by identifying nine responses that can occur from an experience: presumption, non-consideration, rejection, preconscious learning, skills learning, memorization, contemplation, reflective skills learning and experimental learning. Recognizing that we do not always learn from our experiences, Jarvis classifies the first three responses as non-learning. The second set of three responses defines non-reflective learning. As Jarvis notes, people involved in non-reflective learning are trying to fit into their environment and don't question the underlying culture. In reflective learning, as evidenced in the final three possible responses to an experience, people "stand back, make decisions and evaluate their learning. (p. 76) Jarvis' reflective learning is similar to Argyris' (1993) notion of double loop learning. In double loop learning, errors are corrected by changing the governing values or underlying master programs that led to the error. Correspondingly, reflective learning requires the learner to stand back and evaluate their governing principles before the action of learning takes place. Learning begins when the equilibrium between the individual and their environment is disrupted and they are forced to reflect on their past and future actions.

Constructivism

As indicated by the title of the tool, the scorecard is based on the constructivist theory of learning. Constructivism is consistent with adult learning theory because it focuses on the learner making meaning from experiences (Herring, 1997). Bruner (1990) defines "making meaning" as experiencing phenomena, interpreting the experiences based on our current knowledge schema, reasoning about them and reflecting on the experiences. Thus, constructivists believe that knowledge must be constructed from our experiences (Jonassen, Peck & Wilson, 1999).

Social constructivists, as evidenced in the work of Lev Vygotsky, believe individuals make meaning by engaging in dialogues and activities about shared problems or tasks. Vygotsky defined the zone of proximal development to describe how collaboration leads to learning. Smith (1998) used three concentric circles to illustrate Vygotsky's zone of proximal development. The inner circle represents an individual's current knowledge and skills based on life experiences. The area in the second circle is the zone of proximal development. This zone is characterized by what the individual could learn with the help of a more experienced individual. The outer circle is the information or concepts that the individual won't understand no matter how much assistance is provided. Thus, learning or knowledge is a social interaction where the learners are introduced to the culture by more knowledgeable individuals or other learners and making meaning is both an individual activity and a socially interactive exchange (Herring, 1997, Merriam & Caffarella, 1999). The implication that social constructivism has for a learning environment is that it should support dialogues and shared problem solving between learners and it should provide a mechanism for more knowledgeable individuals to help the learners move into their zone of proximal development.

Learning Principles

Huang (2002) proposed six instructional principles based on the constructivist approach to online learning for adults. The following sections present a more detailed discussion of Huang's instructional principles.

Interactive learning. In an online environment, opportunities must exist to support interactions between the learner and the teacher, between learners and between the learner and the content. Cavallo (2001) explains that content in constructivist learning environment emerges from interactions between teacher and students and between students. This is preferable to instructional designers specifying content because it allows the content to be based in and grow out of the existing culture or real world of the learner.

In a web-based problem presentation/simulation space, the learner creates his/her own path through the interconnected chunks of information. Unfortunately, one side effect of interactive learning within online systems may be information overload. Instead of engaging with the learning material, learners become disoriented and focus on navigational and browsing issues. Information resources in a constructivist learning environment (CLE) must be organized in a meaningful way so that the learners don't lose sight of their learning objectives (Nunes and Fowell, 1991, Hudson, 2002). Navigational tools are needed to keep the learners focused on the information.

Collaborative learning. Collaborative learning is contrasted with cooperative learning. In cooperative learning, learning is characterized by learners sharing the workload and coming to consensus. Collaborative learning requires the learners to search and evaluate the evidence for different viewpoints. In the CLE, learners are presented

with opportunities to work together to develop, compare, evaluate and understand different viewpoints on an issue. (Bednar, Cunningham, Duffy & Perry., 1992). Specifically, activities must be “designed to include issues of individual differences, diversity in groups and structural inequalities that arise in globalized economy” (Hudson, 2002, p. 60).

Facilitating learning. To support collaborative and interactive learning, teachers must create a safe, but not necessarily comfortable, environment that supports critical dialogues and experimentation by the disoriented learners. Learning begins when the individual’s equilibrium within their environment is disrupted (Jarvis, 1992). Students need to feel free to offer written advice or constructive criticism even when they don’t know how it will be received on the other end because they can’t see the reaction. In order to create a safe online learning environment, Hudson (2002) advocates the use of guidelines or covenants to promote critical dialogues where the learners are free to give voice to the thoughts in their head.

In addition to creating a safe environment, another instructional method that can be used to facilitate learning is the creation of cognitive apprenticeships within the learning environment. Employing the technique of cognitive apprenticeship, teachers first serve as experts and model problem solving within the content domain. As the learners gain skills and knowledge, the teachers evolve into coaches that guide learning. For instance, the teachers help learners into their zone of proximal development by involving the learners in tasks that stretch them to go beyond their level of expertise and providing the appropriate level of social guidance and support (Wilson & Cole, 1992). Teachers can force learners to recognize the inconsistencies in their naïve model and challenge them to create better models (Perkins, 1992). Lastly, cognitive tools, such as online tutorials, should be developed to help the learners or cognitive apprentices acquire skills that they may lack to complete the projects in the CLE.

Authentic learning. Merriam and Caffarella (1999) identify the attributes that must be present if a learning activity is to be considered authentic. These include solving real-life problems with ill-structured complex goals, evaluating the relevance of information, involving student’s beliefs and values, and participating in collaborative activities. Consistent with adult learning theory, learning must relate to real life needs and the learner’s experiences are a valuable resource for the instructor to draw upon. In the CLE proposed by Jonassen, et al. content, through related cases and information resources, is introduced in the context of the real-world as defined in the problem presentation/simulation or problem manipulation space.

Learner-centered learning. Both adult learning and constructivist theories identify new roles for the learner. In the constructivist classroom, learners must be involved in designing their own learning environments, defining content, setting objectives and evaluating their progress toward meeting their objectives. Students learn as they dialogue with each other, by actively participating in learning activities and through observation.

The difficulty in moving from a teacher-centric to learner-centric environment is one of task management. Learners can become overwhelmed when asked to accept responsibility for their learning. The teacher or course designer walks a fine line in defining structure to help the students overcome their feelings of frustration while allowing them to take control of their learning. As noted in earlier sections, the teachers or the navigational elements in an online course can serve as guides to help the students when they become lost. (Duffy & Jonassen, 1992; Rudestam & Schoenholtz-Read, 2002; Hudson, 2002.)

High quality learning. Jonassen et al.’s. (1998) term for high quality learning is constructive learning. When engaged in high quality or constructive learning, learners “articulate what they know or have learned and reflect on its meaning and importance in larger social and intellectual contexts.” (p 218) Jarvis’ (1992) reflective learning and Argyris’ (1993) double loop learning are also examples of high quality learning. Within the CLE, high-order thinking skills are called upon to determine the validity and quality of information and for viewing information from multiple perspectives. As noted above, the learning activities must force the learner to question their governing values and reflect on their past and future actions.

Methodology

Constructivist Learning Environment Scorecard

Wilson (1996) defines a constructivist learning environment (CLE) as “a place where learners work together and support each other as they use a variety of tools and information resources in their guided pursuit of learning goals and problem-solving activities” (p.5). Jonassen, et al. (1999) defined a CLE as technology-based environments where students “can do something meaningful and useful.” For the purposes of my study, a constructivist learning environment (CLE) is defined as a safe place for students to work together and learn from their experiences, and each other, by exploring, experimenting, dialoguing, and reflecting. Combining my definition of a constructivist learning environment with Huang’s instructional principles, I initially used the rubric construct as the foundation for the my instrument. However, as I applied the rubric to an online course that I had

previously taken, I found that the rubric was difficult to use because it was too narrowly focused. Thus, I redesigned my instrument (see Table 1) using the scorecard metaphor because I wanted it to represent a balanced approach for course design based on constructivist learning attributes.

Table 1. *Constructivist Learning Environment Scorecard*

Evaluation Criteria:

Little or no evidence: 0-1; Limited evidence: 2-4; Some Evidence: 5-7; Compelling evidence: 8-10

Points	Category	Characteristics
	Interactive Learning (10 points maximum)	Course design supports interactions between students; between student and teacher and between student and content. Navigational tools designed to keep learners engaged with the content.
	Collaborative Learning (10 points maximum)	Course design supports teamwork to understand and act on materials, work on projects and engage in dialogues to understand and evaluate each others perspective.
	Facilitating Learning (10 points maximum)	Course design and/or teacher create a safe environment for dialogues and experimentation. Teachers/simulations serve as role models, facilitators and guides.
	Authentic Learning (10 points maximum)	Course design requires students to draw upon their experiences as well as content. Course materials and projects are presented in context of the real world of the learner.
	Learner Centered Learning (10 points maximum)	Students are integral in defining content, setting course learning objectives and identifying projects that they want to work on.
	High quality Learning (10 points maximum)	Course design encourages students to evaluate and reflect on their learning and determine the validity of information.

This version of the CLE scorecard allows the rater to assign up to ten points based on the level of evidence that the course design exhibited the constructivist/adult learning characteristics for each of the six categories. I established the following point distribution: Little or no evidence – 0-1 point; Limited evidence – 2-4 points; Some evidence – 5-7 points; Compelling evidence – 8-10 points. The end points, compelling evidence and little or no evidence, are representative of each end of the spectrum in each category. For example, in the case of the interactive and collaborative learning components, working in collaboration is at one end of the continuum while working in isolation is at the other. Similarly, the movement is from student-centric to teacher-centric in facilitating and learner centered learning; from project-based or discovery learning to memorization in authentic learning; and from Jarvis' reflective to non-reflective learning in the case of high quality learning. The differentiation between the middle two subdivisions is based on the degree to which the elements listed under the Characteristics column are proposed and implemented in the course design.

The *score* generated from the scorecard is actually an identifier that conveys information about individual components. The proposed identifier is defined in the following manner: HHIICCAA.FFLL where HH = High quality score; II = Interactive score; CC = Collaborative score; AA = Authentic score; FF = Facilitating score; LL = Learner-centered score. The facilitating and learner-centered score were placed to the right of the period because they represent roles within the learning environment rather than a type of learning.

Pilot Study

To pilot my scorecard, I applied it to a qualitative study of an online graduate sociology course offered in at a large Midwestern university. As described in the course syllabus, the sociology course "addresses the theoretical and applied topics in the sociology of technology." The instructor designed online course using WebCT and materials from a similar undergraduate sociology course. The course content was available on web pages, in texts and articles an E-Reserve at the university and on a CD mailed to each student registered for the class. As described in the course instructions, the instructor developed self tests to help the students understand the basic concepts. In the initial design, the instructor included two common online constructs, the chat room, a synchronous component that requires the participants to be online at the same time, and threaded discussion group, an asynchronous component that is available to participants any time. The purpose of the chat room was to further clarify the materials and readings and the threaded discussion group was included to let the students share their

opinions about issues covered in the materials. For the purposes of my study, I observed the class participation in the chat sessions and reviewed the transcripts of both the chat sessions and threaded discussion groups.

I asked for volunteers from the sociology students to share their experiences in the course with me via questionnaires that I developed. I solicited their experiences via e-mail three times during the semester and once after the course was over. The first questionnaire was actually two instruments. The first instrument was Felder and Solomon's (2002) Index of Learning Styles instrument. I chose this instrument to help characterize the students in the study. Although it has not been validated, I chose it because it was available to the public via the web. The second instrument was designed to collect background information on the students participating in the study. The questionnaire was divided into two sections. The first section collected demographic information and assessed the students' readiness for online learning. The second part was designed to determine the students' familiarity with technology.

The second questionnaire was designed to touch base with the students after the first month of class to see how much time they were spending on the class and how comfortable they were the technological constructs. I also used the questionnaire to draw them into the design of the course by soliciting their suggestions for redesigning the discussions groups to encourage more participation. The third questionnaire was given at the end of the class and was designed to determine the presence or lack of the creation of a community of learners. Finally a month after the class finished, I send the CLE scorecard out to the participants to determine their reaction to the design of the course.

Results

Of the sixteen people who signed up for the class, five responded to all four surveys. The participants involved in study were between the ages of 25 – 47 living in geographically dispersed regions in the U.S. All but one was working on a Masters of Agriculture degree. None of the respondents were fulltime students and they represented a variety of professions. Based on a review of the time periods when items were posted to the threaded discussion groups, the majority of students in my study logged onto the system during non-working hours. The characteristics of the students in my study were similar with those described by Huang (2002) and Green (2000).

To determine the CLE scorecard category ratings for the course, I reviewed design of the course as described in the course syllabus and instructions and the student responses to the questionnaires as well as their participation in chat and discussions groups.

CLE Scorecard Ratings

Interactive learning. Although the students interacted with each in the chat rooms, the threaded discussions were really designed to support these interactions. According to the participation diagram that I developed for the first unit's threaded discussion group, the students responded to the instructor, not to each other. Shortly thereafter, the instructor modified the threaded discussion grading so that the students were required to respond to one of the other student's posting. This modification resulted in some interaction between students as evidenced in subsequent units' participation diagrams. The chat rooms served as the opportunity for the students to interact with the instructor. As evidenced in the transcripts of the chat sessions, the instructor posed questions that led to lively discussions of the material. Based on these observations, there was compelling evidence that the course was designed to support interactive learning and it received nine points on the scorecard.

Collaborative learning. In the chat session after the first discussion group assignment, the instructor indicated that the participation in the discussion groups was not meeting his expectations. This observation was based on the students' posting patterns. According to the course syllabus, the threaded discussions had been included in the course design to create a team-like environment where the students could share their ideas and perspectives. The description of the threaded discussions in the course instructions was the only indication that I had that the instructor expected some collaborative learning. I felt that this represented limited evidence in support of collaborative learning and only awarded two points in this area.

Facilitating learning. On the second questionnaire, one student commented that the environment in the threaded discussions did not support free expression of ideas. This student felt bullied by others in the course, primarily because of the student's profession. Reviewing the chat sessions and discussion groups provided evidence to support this student's observation. The student offered a different perspective, but some of the other students chose to "bully" rather than to understand. In addition, another student observed that "a lot of times people are afraid of sharing their opinions or ideas, especially if there are classmates dominating the chat session." The course syllabus or instructions did not offer any guidelines for appropriate behavior in either the chat sessions or threaded discussion groups. I felt that there was little evidence that the course was designed to create a safe environment that promoted dialogue.

The instructor, on there other hand, tried to serve as a facilitator and guide. He created structure for the course so that the students knew when the discussion groups and chat sessions were scheduled. There were separate threaded discussion groups for each unit and a beginning and end for each discussion. He guided the threaded discussions by posting thought-provoking questions that were designed to encourage collaboration and reflection on the part of the students. He continually requested feedback from the students on the design of the course. However, there was little chance for the students to take leadership roles in setting or resetting course objectives or goals, sharing their experiences or providing supplementary materials.

Within the learning environment of the course, the instructor served as a guide to the learner. He did not set or ask the students to establish guidelines to create a safe environment. Because these two actions tended to counteract each other, I averaged the scores for each part and only found some evidence that the instructor was acting as a constructivist learner-centered facilitator and awarded six points for facilitating learning.

Authentic learning. The CD that the students received contained a simulation that required the students to become change agents and develop a strategy to insure the adoption of a new technology in a hypothetical village. This game was similar to the "SimCity" type of computer games without the fancy graphics. The students had to apply the skills and knowledge they gained in other course units in order to develop their strategy.

There was some evidence that the course materials were presented in the context of the real world, but, as evidenced in the assignments, the real world was limited to the immediate area around the university. Students from other states experienced some difficulty relating to the material. For these reasons, I only awarded five points for authentic learning.

Learner-centered learning. The instructor asked for input and feedback from the students during several of the chat sessions. Their suggestions were used to restructure the threaded discussion groups. According to the participation diagrams of the threaded discussion groups, the most involved conversations were still in response to the instructors questions. Even though two points were awarded for taking leadership in the chat sessions, I found little indication in the transcripts that the students assumed this role. Because I found very little evidence that students designed their own learning, I awarded it one point in the learning center learning category.

High quality learning. Based on my observations, the rapidity of the online chat sessions did not allow for reflection. The threaded discussion groups were included in the course design so that the students would evaluate and reflect upon their learning. For the most part the student responses to the instructor's questions demonstrated some reflection and thought. However, in relation to either the instructor's or student's posts, there was little evidence that the students reached the level where they questioned their own governing principles. As evidenced in the transcripts, none of the students changed their position on the technology studied in the course. Based on these observations, I found that there was some evidence that the instructor had designed the course to promote high quality learning and awarded it five points.

As an additional assessment of the usability of my CLE scorecard, I asked the participants who responded to the third questionnaire to fill out my CLE scorecard and compared their responses to mine (see Table 2). Our scoring pattern was similar expect in the case of authentic learning. Since all of the respondents were working on their Masters of Agriculture, they felt the course as designed was authentic and addressed the issues that they face in real life. As expected, the student who felt bullied gave the course the lowest score for facilitating learning. Finally, because they all felt the course met their expectations, they considered that they had experienced high quality learning.

Table 2. Comparison of CLE Scorecard Response.

HHIICCAA.FFLL	
Student 1:	10100810.1007
Student 2:	10100010.1000
Student 3:	8100810.0908
Student 4:	8060608.0708
Student 5:	7070709.0707
My Score:	5090205.0601

Discussion

The pilot study in this paper was primarily undertaken to test the design and development of the CLE scorecard. As noted above, the advantage of using an identifier rather than a *score* is that the identifier maintains the information from each individual component in the scorecard. Thus, this instrument could also be used to compare elements in

many courses or to establish a baseline if the goal is to modify an existing course. In the pilot study, I examined the course syllabus and instructions as well as the transcripts from chat sessions and threaded discussion groups to establish the final, mixed rating for each component in the scorecard. In order to identify what course elements were successful, prior to the start of the course, I should have generated an identifier based on the evidence found the class syllabus and course instructions. Once the course was over, I should have generated a second identifier based on the evidence gathered from the transcripts of the chat sessions and threaded discussion and the student questionnaires. The comparison of the two characterizations would more accurately identify the learning areas that needed refinement or more study. Even though I didn't generate a pre- and post-identifier for the class in my pilot study, I felt that the CLE scorecard was useful in that it identified possible connections between the categories. For instance, the lack of course elements that encouraged the students to work collaboratively may have contributed to learners relying on the instructor to guide their learning.

In pilot study, I also used the identifier, as seen in Table 2, to compare my characterization of the course with the students' reaction to the course. However, the students' level of expertise and understanding of the categories in the scorecard was limited because the information in the CLE scorecard was the only description that I gave the students for each category. The disparity in our ratings is probably attributable to inter-rater reliability. Further pilot studies are needed to refine the definitions for each category so that consistent identifiers are generated by different raters using the scorecard. To gather this information, I intend to modify the CLE scorecard and include an area for the rater to document the evidence or lack of evidence for each component.

As I used the CLE scorecard with the sociology course, I began to question my initial assumption that all of the categories carried equal weights. Based on my literature review, I believed each component contributed equally in creating a constructivist learning environment. However, even as I created the algorithm to generate the identifier, I separated facilitating learning and learner centered learning from the other learning categories. I felt that these two categories represented the roles of the student and the instructor/course designer within the constructivist learning environment. Upon reflection, the pilot study raised several questions such as: does a constructivist learning environment exist if one of the elements, for example, authentic learning, is missing? Can learners can still "make meaning?" Correspondingly, does a constructivist learning environment exist if only one element is present, for example high quality learning? The answers to these questions may depend on the purpose of the training. Perhaps every course does not need to have a rating of ten for each component. For instance, all components may be necessary, but if skill development is the goal of the course, then authentic learning may be the most relevant learning attribute. Overall, I'm encouraged with the CLE scorecard, but realize that more testing is needed to address the issues raised in this study.

Applications to HRD

I designed the CLE scorecard, in part, to provide a tool that would help course designers develop courses and training based on learning theories. Successful employees in today's global, information-age corporations rely more on cerebral skills than on manual skills, are able to work collaboratively in teams, and are asked to solve ill-posed problems. The constructivist learning theory with its focus on shared problem solving and making meaning by reasoning and reflection on experiences more closely mirrors the training needs of the 21st century workplace than more traditional learning theories. Thus, the CLE scorecard, based on the characteristics of adult learners and the constructivist learning theory, has several applications to human resource development. Strategically integrated HRD practitioners (Gilley & Maycunich, 1998) can use the CLE scorecard to provide a discussion framework when managers approach them with a training need. However, based on my limited pilot study, I believe that a more important use of the scorecard is in conjunction with assessments of learning and transfer to the job to identify instructional elements that are successful or that need further modification. The CLE scorecard can provide HRD practitioners with an action research-based method for making training decisions and modifications.

References

- Argyris, C. (1993). *Knowledge for action: A guide to overcoming barriers to organizational change*. San Francisco, CA: Jossey-Bass, Inc.
- Bednar, A.K., Cunningham, D., Duffy, T.M., & Perry, J.D. (1992). Theory into practice: How do we link? In T. M. Duffy & D. H. Jonassen (Eds.), *Constructivism and the technology of instruction: A conversation* (pp. 17-34), Hillsdale, NJ: Lawrence Erlbaum Associates.
- Bruner, J. S. (1990). *Acts of meaning*. Cambridge, MA: Harvard University Press.

- Cavallo, D. (2000). Emergent design and learning environments: Building on indigenous knowledge. *IBM Systems Journal*, 38(384), 768-781. [On-line] Available, URL http://web.media.mit.edu/~cavallo/cavallo_emergent.design.pdf
- CEO Forum on Education and Technology, School Technology and Readiness Report. (1999). *Professional development: A link to better learning*. [On-line], Available: <http://www.ceoforum.org/reports.cfm..>
- Duffy, T. M., & Jonassen, D. H. (1992). Constructivism: New Implications for Instructional Technology. In T. M. Duffy & D. H. Jonassen (Eds.), *Constructivism and the Technology of Instruction: A Conversation* (pp. 1-16), Hillsdale, NJ: Lawrence Erlbaum Associates.
- Dunlap, J. C., & Grabinger, S. (1996) Rich environments for active learning in the higher education classroom. In B. Wilson (Ed.), *Constructivist learning environments: Case studies in instructional design* (pp. 65-82). Englewood Cliffs, NJ: Educational Technology Publications, Inc.
- Felder, R., & Solomon, B. (2002). *Index of Learning Styles*, [Online], Available: <http://www.ncsu.edu/felder-public/ILSpage.html>, accessed August, 2002.
- Gilley, J., & Macycinich. (1998). *Strategically integrated HRD*. Reading, MA: Addison-Wesley.
- Horton, W. (2000). *Designing web-based training: How to teach anyone anything anywhere anytime*. New York, NY: John Wiley & Sons, Inc.
- Hudson, B. (2002). Critical Dialogue Online: Personas, Covenants, and Candlepower. In K.E. Rudestam & J. Schoenholtz-Read (Eds.) *Handbook of online learning: Innovations in higher education and corporate training*. (pp. 53-90). Thousand Oaks, CA: Sage Publications, Inc.
- Hudson, B. (2002). The jungle syndrome: Some perils and pleasures of learning without walls. In K.E. Rudestam & J. Schoenholtz-Read (Eds.) *Handbook of online learning: Innovations in higher education and corporate training*. (pp. 185-216). Thousand Oaks, CA: Sage Publications, Inc.
- Herring, M. C. (1997). *Design and training for implementation of constructivist-based distance learning environments*. Doctoral dissertation, Iowa State University.
- Huang, Hsiu-Mei. (2002). Toward Constructivism for adult learners in online learning environments. *British Journal of Educational Technology* 33(1), 27-37.
- Industry Report: 1999. (1999, October). *Training Magazine*, 46.
- Jarvis, P. (1992). *Paradoxes of learning*. San Francisco, CA: Jossey-Bass, Inc.
- Jonassen, D. H., Peck, K. L., & Wilson, B. G. (1999). *Learning with technology: A constructivist perspective*. Upper Saddle River, NJ: Prentice Hall, Inc.
- Merriam, S. B. & Caffarella, R. S. (1999) Learning in Adulthood: A Comprehensive Guide Second Edition. (pp.223- 230, 271-287). San Francisco, CA: Jossey-Bass Inc.
- Noe, R.A. (1999). *Employee training and development*. New York: McGraw-Hill.
- Nunes, J. M. B., & Fowell, S. P. (1996 August) Hypermedia as an experiential learning tool: A theoretical model. *Information Research*, 2(1). [On-line] Available, URL: <http://informationr.net/ir/2-1/paper12.html>.
- Perkins, D. N. (1992). Technology meets constructivism: Do they make a marriage? In T. M. Duffy and D. H. Jonassen (Eds.), *Constructivism and the technology of instruction: A conversation* (pp. 45-56), Hillsdale, NJ: Lawrence Erlbaum Associates.
- Stevens-Long, J. & Crowell, C. (2002). The design and delivery of interactive online graduate education. In K.E. Rudestam & J. Schoenholtz-Read (Eds.) *Handbook of online learning: Innovations in higher education and corporate training*. (pp. 151-170). Thousand Oaks, CA: Sage Publications, Inc.
- Rosenberg, M. J. (2001). *E-Learning- Strategies for delivering knowledge in a digital age*. New York, NY: McGraw-Hill
- Rudestam, K. E., & Schoenholtz-Read, J (2002). Overview: The Coming Age of Adult Online Education. In K.E. Rudestam & J. Schoenholtz-Read (Eds.) *Handbook of online learning: Innovations in higher education and corporate training*. (pp. 3-28). Thousand Oaks, CA: Sage Publications, Inc.
- Smith, F. (1998). *The book of learning and forgetting*. New York, NY: Teachers College Press.
- The UCLA Internet Report. (2000). *Surveying digital future*. UCLA Center for Communication Policy [Online]
- Toeffler, A. (1990) *Powershift*. New York NY: Bantam Books.
- Wilson, B., & Cole, P. (1992). A critical review of elaboration theory. *Educational Technology Research and Development* 40 (3), 63-79. [On-line] Available, URL: <http://carbon.cudenver.edu/~bwilson/elab.html> .
- Wilson, B. G. (1996). *Constructivist learning environments: Case studies in instructional design*. Englewood Cliffs, NJ: Educational Technology Publications, Inc.

Organisational Factors Influencing the Assessment of Formal and Informal Learning

*Nicholas R. Clarke
University of Greenwich*

Increasingly the different ways in which learning can be conceptualised alongside debates within the field of HRD regarding its nature and purpose, potentially lead to confusion regarding how learning is to be assessed in the workplace. This paper identifies some of the complexities associated with assessing learning in today's workplace and presents empirical findings suggesting that different aspects of an organisation's training and development system are likely to differentially determine the extent to which either formal or informal learning is assessed.

Keywords: Learning, Assessment, Evaluation.

The ascendancy of 'Learning' to the position it now occupies as one of the most dominant themes within the management literature is predicated on the assumption that it may well be the most significant factor upon which organisational success is contingent (Barrie & Pace 1998; Easterby-Smith et al 1998). Recent empirical findings are also beginning to confirm the importance of providing suitable opportunities for developing individuals and for enhancing learning as being related to better organisational performance when measured as either an individual HR practice or as part of a bundle of HR practices within 'high performance work systems' (Ichniowski et al 1997; Storey 2002). Given such developments, the question of whether we can actually measure or assess whether learning has occurred in organisations takes on added significance. Potentially contributing to the difficulties in assessing learning within organisations is the variety of ways in which learning is conceptualised, which can give rise to considerable confusion on a practical level. Indeed although 'learning' is increasingly seen as occupying a central component within HRD, it is a multi-faceted construct, the different components of which have yet to be satisfactorily integrated within a comprehensive, functional model to underpin HRD at either a theoretical or practical level. Instead, different approaches to understanding the nature of learning has led to increasing controversy about both the nature and purpose of HRD itself (Garavan 2000; McGoldrick et al 2001). Central to these debates are differing perceptions of learning either as a process unique and confined to the individual, contrasting with those that conceptualise learning as embedded within socio-cultural practices. Concepts of learning are also differentiated as either formal or informal, as well as occurring at either the individual or organisational level. Not only do these approaches suggest that the actual target of assessment in relation to learning may be very different in each case (e.g. the individual versus the social context), but they also bring to the fore very different epistemological assumptions and practices to underpin any assessment of learning. As Easterby-Smith et al (1998) state, 'how you categorize and measure something depends on how you look at it' (p267). Complicating assessment further, is whether learning can be said to have occurred as a result of a change in cognition or whether a change in behaviour is required. In this respect there are two contrasting schools of thought within the HRD field. The first, the 'learning perspective', suggests that the focus of HRD should be to enhance both the organisation's and the individuals within it, capacity to learn. The performance perspective on the other hand is concerned with ensuring that learning should be translated into behaviour or performance that is associated with meeting organisational goals (McGoldrick et al 2001). Given that the need to assess or evaluate learning programmes and activities has traditionally been recognised as a key component of the HRD practitioner's role (Wexley & Latham 2002), these differing perspectives are of no small significance (Ruona et al 2002). Much of the literature relating to training evaluation however suggests that this tends to be given very little priority within organisations (Philips 1997; The Industrial Society 1994; Training 1999). Recent findings in relation to workplace learning more widely suggest that problems with the assessment of informal learning may pose similar problems. Woodall (2000) for example in a study examining workplace learning concluded that,

"Most organisations made use of personal development plans, but this was usually as a follow-up mechanism to a formal off-the-job development programme or as part of a competence-based approach. Yet there appeared to be little facilitation of PDPs, and few resources devoted to supporting guided reflection: scant use was made of learning logs and diaries, personal development planning workshops or developmental counselling" (p27).

Copyright © 2004 Nicholas R. Clarke

Yet although we have some understanding of those factors that seem to impede training evaluation, we actually know very little about those factors which seem to drive the assessment of learning in organisations. Furthermore despite an increasing reliance by organisations on different forms of workplace learning, the extent to which the drivers of the assessment or evaluation of training are similar to the assessment of informal learning in organisations is a relatively unexplored area. Given this context this paper considers how different conceptualisations of learning as either formal or informal may impact on our understanding of how to undertake effective assessment and presents empirical findings suggesting that particular organisational factors are differentially associated with the assessment of both forms of learning within the workplace.

Assessing Formal & Informal Learning

Traditionally much of the activity directed towards learning in organisations relied to a considerable extent on off-the-job methods, typically those such as training courses, seminars and educational programmes. Critics however have commented that formalised approaches to learning can often be removed from the realities of the workplace and as such suffer in terms of transferring learning to use on the job, and may often be seen as lacking relevance to learners' needs. Informal learning by contrast, refers to that learning which occurs on the job falling under the general rubric of workplace learning or development, and includes mechanisms such as mentoring, coaching, job rotation, job-shadowing and special projects or assignments (Marsick & Watkins 1997). Also included is learning gained as employees go about their daily work referred to as incidental learning or learning by trial-and-error. Such learning is increasingly being recognised as possibly the most important type of learning within organisations (Coffield 2000) and evidence suggests that such informal methods are becoming increasingly prevalent (Dench 1993). Although a clear definition of workplace learning has yet to emerge, it would appear to be centred around a number of key concepts (Eraut 2000; Raelin 2000). That is it is (1) concerned with reflection on and learning from experience; (2) as a result of the former significantly based on real-life problem-solving; and (3) acknowledges that much learning is also a function of a collective activity situated within a specific social context. In this respect work-based learning recognises learning from both socio-cultural and individual perspectives and does not necessarily exclude more formal learning methods, where more deliberate activities designed to focus on self-reflectivity and examining theories in action are seen as important (Eraut 2000; Pedler 1991). In terms of assessment, formal learning has the longest tradition within HRD and as such there exists a multitude of methods that are generally well known to HRD practitioners. Most of these have their origins within the adult education and training disciplines and include amongst others knowledge tests, simulations, and case studies, usually given to learners before and after they have participated in a formal learning activity (Wexley & Latham 2000). By its very nature however measuring or assessing informal learning outcomes can pose significant problems. Informal learning is often both unplanned and ad hoc and thus is not amenable to those traditional approaches used to measuring formal learning, since specific outcomes are difficult to specify *a priori*. For the most part, writers within this area have seen learning as a means to improve the well-being of individuals within organisations and have tended to reject the learning-performance paradigm. Instead the focus has been on the need to develop mechanisms suggested as facilitating informal workplace learning (Marsick & Watkins 1997; Raelin 2000). Here then the focus of assessment shifts from outcomes, to assessing learning conditions or opportunities for informal learning to take place. A number of authors for example, have argued that if organisations wish to encourage informal learning, then individuals need support in maintaining an openness towards new experiences, support in reflection, and support in translating the learning into practice (Marsick & Watkins 1997). However much of the writing here is often limited, in that there is generally a significant lack of empirical support to justify the claims made regarding those mechanisms or conditions suggested as supporting informal learning. Nonetheless questions remain as to whether merely measuring learning capacity for workplace learning is in itself sufficient. Clearly from a performance perspective this would not be. But similarly even from a learning perspective there are significant limitations with simply measuring learning capacity. The major problem being whether all learning could necessarily be seen as either *effective* or *valuable* learning. Research has shown for example that inaccuracies can often occur in learning from experience as a result of human biases and distortions (Feldman 1986). Furthermore it can be difficult for individuals to accurately identify cause-and-effect relationships within such complex organisational environments again leading to inaccuracies in the knowledge gained (Tsang 1997). Such arguments suggest that whether from a strictly learning or performance orientation, there should be some attempt to determine the actual impact of work-based or informal learning, although qualitative approaches for assessing learning are likely to be far more appropriate in this instance. Clearly determining those conditions which support informal learning are important not least since they go to the heart of our understanding of how people learn in differing contexts (Elkjaer 2000). However this does not detract from those arguments for the need to assess learning outcomes of both formal and

informal types of learning, although the mechanisms used may differ in each case. These could include for example, the specific use of workplace diaries or journals and learning logs (Luckinsky 1990) as well as more formalised mechanisms such as action learning groups for reflecting upon and analysing the learning gained (Pedler 1991).

It would seem then that different sources of workplace learning require a flexible and variegated approach to assessment, yet much of the literature would seem to suggest that despite the tools and approaches outlined above, the evaluation or assessment of learning is far more difficult to achieve in practice (Bassi et al 1996; Philips 1997; Woodall 2000). Research suggests that a major problem lies in the fact that most evaluation is undertaken for the primary purpose of improving instruction, rather than demonstrating actual outcomes in terms of individual performance (Brandenburg, 1982). Other explanatory factors might also include the lack of necessary knowledge and skills with which to conduct training evaluations (The UK Industrial Society 1994). Research by Grove & Ostroff (1990) in the US identified five key barriers that appeared to explain why training evaluation was often not carried out very effectively within organisations. They suggested that this was often due to (1) Senior management often not insisting or requesting information on the impact of the training that was provided (2) The lack of expertise amongst HRD professionals regarding how to carry out training evaluations; (3) A lack of clear training objectives attached to training programmes so that actually knowing what to evaluate against is difficult if not impossible; (4) The limited budgets available to training departments means that resources are preferred to be devoted to training provision rather than training evaluation; and finally (5) that the risks associated with evaluation may be too great given that the evaluation data might reveal that the training had little impact. Much of the research which has identified barriers to undertaking training evaluation would seem to suggest then that the characteristics of the training and development system play a significant role in determining whether training is evaluated. However the extent to which the characteristics of an organisation's training and development infrastructure influence the assessment of workplace learning more widely is a relatively unexplored area. It is therefore in this respect that this paper seeks to enhance our understanding of the assessment of learning in the workplace by examining how differing elements of the training and development system may potentially influence the assessment of either formal or informal types of learning.

The Study

Following Mabey & Thompson (2000) in their study examining the determinants of management development in UK organisations, a systems approach was also adopted here to map the potential training process or infrastructure variables likely to influence the assessment of both formal and informal learning in organisations (Figure 1). Based on the findings relating to barriers to training evaluation, as well as the training and development literature more widely concerning factors influencing training evaluation, the model posits the key elements of an organisation's training and development system considered important in the assessment or evaluation of learning (Goldstein 1993; Stewart 1999; Wexley & Latham 2002)

Policy Variables

Policy variables include (1) organisation-wide training policy, (2) on-the-job learning policy, and (3) organisation-wide training & development strategy and (4) paid staff study leave. Training and development policies should outline the commitment of the organisation to learning and expectations that learning methods will be utilised to improve performance. A training and development strategy operationalises the policy in terms of the amount and sources of development to be provided in order to meet the learning goals of the organisation (Buckley & Caple 1995; Rothwell & Kazanas 1989; Stewart 1999). Both policies and strategy reflect the importance placed on learning by the organisation and provide clear objectives for learning which will facilitate its assessment. These are therefore posited to be associated with a greater likelihood that different forms of learning will be assessed.

Practices Variables

Practice variables include (5) organisation-wide staff appraisal, and (6) the use of personal development plans, are acknowledged within the training and development literature as important practices to identify learning needs and facilitate learning (Eaton 1999; Taylor & Edge 1997). Both these practices are used to identify learning goals and provide feedback on performance and are therefore considered to be key tools used to provide data regarding the effectiveness of learning undertaken by individuals. Organisations with these practices are therefore more likely to be undertaking learning assessment.

Staffing Variables

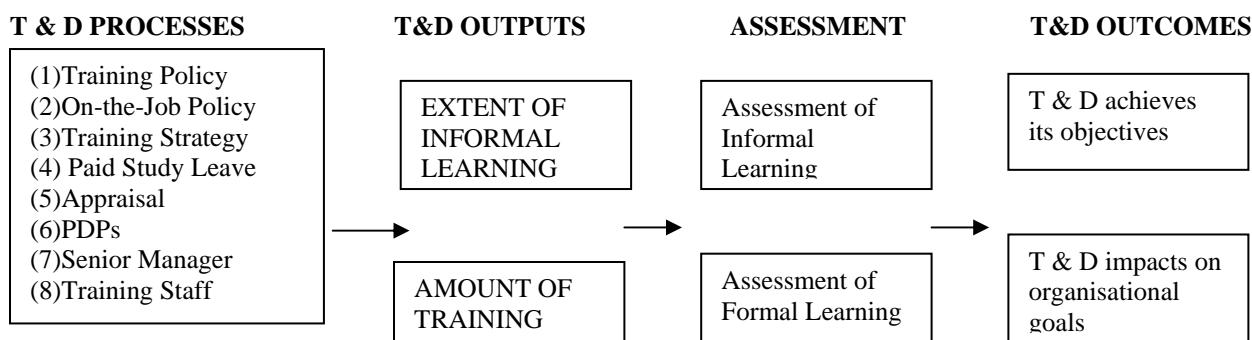
Staffing variables include (7) a senior manager with responsibility for training & development, and (8) training & development staff, are posited here to be important elements of an organisation's training and development system that will influence whether assessment of learning is undertaken. A senior manager with responsibility for learning is likely to recognise the importance of assessment and be in a better position to secure resources to be

allocated to this. Similarly where organisations employ training staff there should be a greater recognition of the importance of the assessment of learning (Celinksi 1983; Reid & Barrington 1997). Together then these two staffing variables are posited to drive learning evaluation or assessment.

Learning Outputs and Assessing Learning

The extent to which the organisation provides opportunities for both formal and informal learning is also posited here to influence the need to assess the learning taking place. The more the organisation is actively involved in providing opportunities for staff to undertake learning, the more likely assessment is to be accorded greater status. Given that the extent to which formal and informal learning is assessed may well differ in any one organisation, these two differing types of assessment are identified separately. Finally the model posits that the extent to which organisations assess their learning is considered to have a direct impact on learning outcomes, indicated here by the extent to which (1) staff training & development programmes achieve their objectives and (2) training and development impacts on organisational goals.

Figure 1. Training & Development System



Methodology

In order to investigate the organisational influences on the assessment of learning, data was obtained from a national survey of specialised healthcare organisations (hospices) in the UK. A total of 161 questionnaires were sent to hospices throughout Britain together with a covering letter explaining the aims of the research and a guarantee of anonymity. 120 questionnaires were returned a response rate of 74% which is considered a good response. Questionnaires were addressed to either the chief executive or the director of nursing requesting that a member of the senior management team with either responsibility for or knowledge of training and development within the organisation respond. Of those completing questionnaire, 37.5% (45) were nursing directors, 27.5% (33) were chief executives, 4.2% (5) were medical directors, 10% (12) were HR personnel and 21% (25) categorised themselves as other (such as education/training specialists). 12% (14) were male and 88% (105) were female. The mean age of respondents was 47 (SD 8.36).

Measures

A number of measures were included in order to examine the posited relationships contained in the model.

(1) Measures of the eight training process variables were obtained by a simple dichotomous categorical coding of either yes or no. Yes was coded as 1 and a dummy variable of 0 was coded to negative answers. (2) The amount of formal learning was measured by asking respondents the amount of days off the job training received by employees during a year on a scale of 1 to 4, where 1= 0-2 days, 2= 3-4 days, 3= 5-6 days and 4 =7 days or more. (3) The amount of informal learning was measured by asking respondents to allocate 100 points between a range of 12 learning sources including supervision, training, team meeting and mentoring that were used within the organisation for developing the knowledge and skills of staff. The measure of informal learning was obtained by summing all those categories classed as informal learning. (4) The extent to which formal learning is assessed in the organisation was measured by asking respondents to indicate the extent to training is evaluated on a likert-scale, from 1-4, where 1 =never and 4=always. (5) A measure of the assessment of informal learning was obtained by summing the number of mechanisms respondents indicated they formally used on a regular basis to assess such learning from a choice of 7 options including learning logs, workplace diaries, guided reflection, and development counselling. (6) Size of the organisation was used in the study as a control variable and based on the number of employees.

Findings

Data from the survey suggests that the assessment of training and development figured prominently within these organisations, with 98% (117) of these organisations stating that they used appraisal and 88% (105) personal development plans as a means of assessing learning on-the-job. Other methods were used to a far lesser degree with 24% (29) making use of developmental counselling, 16% (19) workplace diaries, 18% (21) learning logs.

Table 1. *The Determinants of the Assessment of Learning*

Variable	Beta	Multiple R	RSquared
<i>Determinants of Assessment of Informal Learning</i>			
Size	.215*	.226	.051
Senior Manager	.282***	.399	.159
Personal Development Plans	.506*	.440	.194
Amount of Informal Learning	.211*	.488	.238
<i>Determinants of Assessment of formal Learning</i>			
Size	.147*	.197	.039
Training Strategy	.289**	.328	.108
Study Leave	.204*	.384	.148

*p<.05; **p<.01; ***p<.001

A series of regression analyses were undertaken to examine relationships between training process and training output variables on the extent of the assessment of both formal and informal learning. In both instances size was entered as a control variable, followed by each of the learning process variables entered as a block, followed by the amount of formal and informal learning variables entered together as a second block, and regressed against the extent of assessment of each form of learning. The key results are presented in table 1. In relation to informal learning, organisational size was found to have a positive effect, with a beta coefficient of .215 (p<.05) and an Rsquared value of .051. The presence of a senior manager with responsibility for training and development within the organisation and the use of personal development plans for all staff, were the only two variables to be positively associated with its assessment, accounting for approximately a further 11% and 3.5% in the value of Rsquared. As suggested in the model, the greater the amount of informal learning opportunities provided is positively associated with the assessment of informal learning, with a beta coefficient of .211, p<.05 and increasing Rsquared by a further 4.4% from .194 to .238. When the same sets of variables were regressed against the extent of assessment of formal learning, organisational size was again found to have a positive effect, but different training process variables were found to have positive associations. Training strategy was found to have the most significant effect with a beta weight of .289, p<.01 and changing Rsquared from .039 to .108. The provision of study leave further determined the assessment of formal learning adding a further 4.0% in variance.

The Impact of Training & Development

Table 2. *The Impact of Formal and Informal Learning*

Variable	Beta	Multiple R	RSquared
<i>Training & Development Impacts on Organisational Goals</i>			
Appraisal	.275**	.292	.086
Methods of Assessment	.234**	.374	.140
<i>Training & Development Achieves its Objectives</i>			
Training policy	.231**	.241	.058
Training Staff	-.185*	.325	.106
Training Evaluated	.269**	.420	.177

*p<.05; **p<.01

All sets of variables were again entered as blocks: (1) size, (2) training & development processes, (3) the amount of formal and informal learning and (4) the extent of assessment of formal and informal learning, and regressed against the two perceptual measures of the impact of training and development (table 2). Both the use of appraisal and the assessment of informal learning were found to be positively related to a belief that training and development impacted on organisational goals with beta coefficients of .275 and .234 (p<.01) respectively with

values of Rsquare changing from .086 to .140. By contrast, training policy (Beta .231, p<.01) and the assessment of formal learning (Beta .269, p<.01) were found to be positively related to training and development achieving its objectives.

Discussion

The most important finding to emerge from this study was that after controlling for organisational size, four of the eight training and development process variables were significant in determining the extent to which the assessment of training and development actually occurs within these organisations. Interestingly though these differed in their impact on the assessment of either formal or informal learning. In terms of formal learning (such as through training), paid study leave for staff and possessing a training strategy were identified as the key drivers determining whether any assessment or evaluation took place. Whereas in relation to informal learning, a senior manager with responsibility for training and development and the use of personal development plans by the organisation, were the key training process variables determining its assessment. It is interesting then to consider why this should be the case. An organisational training strategy identifies the training and development that is required to be undertaken by the organisation generally over a set period, and according to training theory is informed by organisational-wide training needs analysis. This should outline what the training needs are and how particular training and development activities are supposed to meet these needs. This then results in a clear set of training objectives and expected outcomes identified in the strategy (Wexley & Latham 2002). This being the case it might therefore be expected that an organisational training strategy should facilitate the evaluation or assessment of training and development within the organisation, having specified *a priori* expected outcomes. Furthermore given that formal learning methods such as training is off-the-job, organisations will need to both plan and budget for staff cover as well as allocate financial resources in order for training to take place, a training strategy is therefore also an important tool in budgeting. With a clear cost element attached, this again suggests why a training strategy influences the assessment or evaluation in the organisation. Supporting this latter point is the finding that paid study leave by an organisation also determines whether the assessment of formal learning takes place. Again it would be expected that paid study leave for staff requires employees to identify the off-the-job learning programme they are undertaking, including its expected learning outcomes, as well as having a clear financial cost identified. Together this suggests that it is both cost and greater clarity of expected outcomes generated by both these training processes, that may be responsible for the greater use of assessment, with organisational investment predicated on the basis of some organisational return.

That training strategy was not associated with the assessment of informal learning is interesting and there may be a number of reasons for this. Firstly, it may indicate that despite the widespread use of informal learning in these organisations, it is undertaken far more on an ad hoc basis responding to the individual learning needs of employees, and as a result is less likely to appear in an organisation's training strategy. Secondly, the ad hoc nature often associated with informal learning and the fact that it occurs on the job, make the cost element of informal learning far more difficult to quantify. These latter points may well further explain the importance of the two training process conditions that were instead, found to be associated with the assessment of informal learning. Here senior management responsibility for training and development was found to have the most significant influence. The finding that the use of personal development plans by the organisation was also related to the extent of assessment of informal learning would seem to underscore the importance of this mechanism as a means for recording and monitoring the impact of learning gained on the job. It may well also suggest the greater use of such individual plans as a means to assess this form of learning in the absence of other forms of data upon which managers are able to make any judgements. The failure to find any relationships here between the two relevant policy variables (T&D policy & On-the-job learning policy) and either forms of assessment was surprising. Previously Mabey & Thompson (2000) demonstrated that management development policy was the most significant factor in determining the amount of management development provided by organisations. It would seem that although written training and development policy statements may influence its provision, it does not then follow that this then influences assessment. Perhaps of more interest though is that the presence of training staff within the organisation has no effect on whether either forms of learning are assessed or not, despite 63% (76) of organisations stating that they had training staff. It may be that the assessment or evaluation of training and development programmes might not fall within the responsibilities of training staff within the organisation, or they may lack the expertise or resources. Such explanations have been cited previously as perhaps accounting for the lack of training evaluation (Training 1999). There has often also been the criticism that training staff are more interested in providing training and development activities within an organisation rather than actually assessing them. Certainly the failure to find any relationship here suggests that different approaches to understanding both the nature of learning in organisations may be causing

some confusion on a practical level as to go about assessing it. Indeed the additional finding showing a negative relationship between the presence of training staff, and training and development achieving its objectives seems to provide further support for this conclusion. Together both these findings suggest some concern in that HRD practitioners may not necessarily be assisting organisations to understand the contribution that training and development might be making by failing to undertake appropriate assessment.

Perhaps one of the most significant findings from this study is the extent to which the assessment of training and development in the organisation contributes significantly to perceptions regarding the impact of training and development in the organisation. In particular the finding that the assessment of informal learning rather than formal learning was found to be associated with the perception that learning impacts on organisational goals. It might be the case that the benefits of on-the-job learning are far easier to recognise by managers, with greater relevance for providing staff with knowledge and skills for use on the job. With perhaps less problems associated with transfer it seems likely that the linkages between on-the-job learning, improvements in performance and the contribution towards organisational goals become more transparent. The finding that the presence of an organisation-wide training policy is associated with a belief that training and development achieves its objectives is consistent with previous findings by Mabey & Thompson (2000), who also found a positive relationship between management development policy and a belief that management development achieves its objectives. The findings here are significant however in suggesting that the assessment of both formal and informal forms of learning may well be particularly important in contributing to senior management beliefs regarding the impact of training and development in an organisation. Nonetheless the findings here do need to be placed within the context of the limitations associated with the study which prevent any firm conclusions being drawn regarding any causal relationships between the variables examined. Although the findings here do demonstrate some significant relationships, the data is drawn from a cross-sectional survey of healthcare organisations. A longitudinal study would have offered greater insights into the nature and direction of these relationships. A reliance on self-report data which was collected from in most instances a senior executive manager from within the organisation whose perceptions may well represent a distorted picture of training and development within the organisation is also a limitation. Supplementing the data here with the perceptions of employees would have offered a more accurate picture of organisational reality. Common source bias might also have accounted for the results obtained here.

Conclusions

Different conceptualisations of learning potentially lead to differing approaches to its assessment in organisations but the literature to date on factors influencing the assessment of learning is significantly limited in being heavily training focused. Our knowledge of the extent to which those factors suggested as influencing the assessment of training are relevant for the assessment of workplace learning more widely is therefore rather limited. Findings from this study have provided some key insights into the differential impact of factors associated with an organisation's training and development that potentially influence the assessment of formal and informal types of learning. Such findings are important in directing HRD practitioners to considering how elements of their training and development system might be developed to serve as useful drivers for the assessment of these different forms of learning. This would seem to be all the more important given the key finding from this study that where organisations undertake assessment of their training and development (both formal and informal learning) then there is a greater belief in the positive impact training and development has, both in terms of it achieving its objectives and more significantly in terms of its impact on organisational goals. This is particularly important since much of the literature relating to informal learning, seems to suggest that merely installing particular organisational conditions will result in quality learning outcomes. These findings would refute such ambitious aspirations and underscore the need for HRD practitioners to assess or evaluate learning outcomes in order to ensure greater recognition of the contribution HRD makes in the organisation. Far more research needs to be undertaken to determine whether these training processes typically determine the assessment of training and development more widely. In particular qualitative studies are required that seek to elucidate a more in-depth understanding regarding the impact of differing training processes. Further research is also required to focus on identifying other key variables that could potentially be harnessed by HRD practitioners to help drive the assessment of different forms of learning.

References

- Barrie, J., & Pace, R.W. (1998). Learning for organizational effectiveness: philosophy of education and human resource development. *Human Resource Development Quarterly*, 9, 39-54.
- Bassi, L.J., Benson, G., & Cheney, S. (1996). The top ten trends. *Training and Development Journal*, 50, 28-42.

- Brandenburg, D. (1982). Training Evaluation: What's the Current Status? *Training and Development Journal*, 36(8), 14-19.
- Buckley, R., & Caple, T. (1995). *The theory and practice of training* (3rd ed.). London: Kogan Page.
- Celinski, D. (1983). Trainers manual: formulating training policy statements. *Training and Development, June*.
- Coffield, F. (2000). *The necessity of informal learning*. The Policy Press: Bristol
- Dench, S. (1993) *Employers training: its infrastructure and organisation*. Employment Department Social Science Research Branch, Working paper no.4 December 1993.
- Easterby-Smith, M., Snell, R., & Gherardi, S. (1998). Organizational learning: Diverging communities of practice? *Management Learning*, 29(3), 259-72.
- Eaton, P. (1999). Coaching for results. *Industrial and Commercial Training*, 31(4), 14-15.
- Elkjaer, B. (2000). Learning and getting to know: The case of knowledge workers. *Human Resource Development International*, 3(3), 343-359
- Eraut, M. (2000). Non-formal learning and tacit knowledge in professional work. *British Journal of Educational Psychology*, 70, 113-136.
- Feldman, J. (1986). On the difficulty of learning experience. In H.P. Sims , D.A. Gioia & associates (Eds.) *The thinking organization* (pp403-420). San Francisco: Jossey-Bass.
- Garavan, T.G. (2000). Contemporary HRD research: a triarchy of theoretical perspectives and their prescriptions for HRD. *Journal of European Industrial Training*, 24, 65-93
- Goldstein, I.L. (1993). *Training in organizations: Needs assessment, development and evaluation*. Monterey, CA: Brooks/Cole 3rd Ed.
- Ichniowski, C., Shaw, K., & Prennuski, G. (1997). The effects of human resource management practices on productivity: a study of steel finishing lines. *American Economic Review*, 87(3), 291-313.
- Luckinsky, J. (1990). Reflective withdrawal through journal writing. In J. Mezirow & associates (Eds.). *Critical reflection in adulthood* (pp213-34). Jossey-Bass, San Francisco, CA.
- Mabey, C., & Thompson, A. (2000). The determinants of management development: The views of MDA graduates. *British Journal of Management*, 11, S3-S16
- Marsick, V.J., & Watkins, K. (1997). *Informal and incidental learning in the workplace*. London: Routledge
- McGoldrick, J., Stewart, J., & Watson S. (2001). Theorizing human resource development. *Human Resource Development International*, 4(3), 343-356.
- Pedler, M. (Ed.) (1991). *Action learning in practice*, (2nd ed.). Aldershot:Gower.
- Phillips, J.J. (1997). *Return on investment in training and performance improvement programs: A step by step manual for calculating the financial return on investment*. Woburn, MA.: Butterworth-Heinemann.
- Raelin, J.A. (2000). *Work-based learning: The new frontier of management development*. Prentice-Hall: NJ
- Reid, M., & Barrington, H. (1997). *Training interventions* (5th ed.). London: IPD
- Rothwell, W.J., & Kazanas, H.C. (1989). *Strategic human resource development*. Englewood Cliffs, New Jersey: Prentice Hall.
- Ruona, W.E.A., Leimbach, M., Holton, E.F., & Bates, R. (2002). The relationship between learner utility reactions and predicted learning transfer among trainees. *International Journal of Training and Development*, 6(4), 218-228
- Stewart, J. (1999). *Employee development practice*. London: Pitman
- Storey, D.J. (2002). Education, training and development policies and practices in medium-sized companies in the UK: do they really influence firm performance? *Omega*, 30, 249-264.
- Taylor, D., & Edge, D. (1997). Personal development plans: Unlocking the future. *Career Development International*, 2(1), 21-23.
- The Industrial Society (1994). *Managing best practice - Training evaluation*. London: The Industrial Society
- Training (1999). A professional agenda for the millenium. *Training*, July 1999, 8-10.
- Tsang, E.W. (1997). Organizational learning and the learning organization: A dichotomy between descriptive and prescriptive research. *Human Relations*, 50(1), 73-89.
- Wexley,K.N., & Latham, G.P. (2000). *Developing and training human resources in organizations*, 3. Englewood Cliffs, N.J.: Prentice-Hall.
- Woodall, J. (2000). Corporate support for work-based management development. *Human Resource Management Journal*, 10(1), 18-32.

Development of a Theory of Continuous Socialization for Organizational Renewal

Monica M. Danielson
University of Minnesota

Current literature suggests for sustained competitive success, organizations must have processes in place for continuous learning and adaptation. Any process, then, that appears to hinder agility, should come under scrutiny. Examination of socialization theories revealed an intended outcome of perpetuating the status quo. The purpose of this study was to develop an alternative socialization theory that would facilitate renewal, not encumber it. Dubin's theory building research method was used to conceptualize and operationalize this theory.

Keywords: Socialization, Renewal, Theory

The literature suggests that organizations, seeking to be agile in the face of change, too often focus only on changing tangible elements of the company, such as products, services, processes, and training programs (Collins, 2001; Goss, Pascale, & Athos, 1993; Nonaka & Takeuchi, 1995; Strebler, 1996). Attention to the organization context, or culture, is at times missing from an organization's strategy to facilitate renewal (Goss et al., 1993; Kotter, 1995; Schein, 1985). It takes little effort to comprehend that in these organizations, conscious or unconscious socialization to the existing organizational culture could be holding back real change. Those organizations willing to question the very foundation upon which they were built, and every reconstructed foundation built since, are the ones that many say will be the agile organizations, able to respond to and even dictate the market (Gibbons, Limoges, Nowotny, Schwartzman, Scott, & Trow, 1994; Senge, Kleiner, Roberts, Ross, Roth & Smith, 1999; Wheatley, 1999).

Problem Statement

Our current understanding of organizational socialization as a process has been shaped by its conceptualization in the past. There was an understanding that as individuals aged and moved through new stages in their life, they would need to adjust to meet society's needs. Brim (1966) stated that society demands, "the individual meet these changed expectations, and demands that he alter his personality and behavior to make room in his life for newly significant persons such as his family members, his teachers, his employers, and his colleagues at work" (p.18); in other words, altering personality and behavior to fit existing norms and practices. The dictionary definition of socialization concurs with Brims description, as "a process by which an individual learns the appropriate modifications of behaviour and the values necessary for the stability of the social group of which he is a member" (Oxford English Dictionary, 1989, p. 910). The explicit outcome of successful socialization, then, was the transfer or perpetuation of culture. This understanding of socialization throughout the lifecycle was applied to the work setting in the early 1900s. In combination with other tactics affecting the entry process of individuals, socialization was thought of as a process to increase job satisfaction, organizational commitment, and tenure (Wanous, 1980). The indicators of success for workplace socialization looked very similar to those in other areas of life: learning, adjustment, and culture acquisition (Louis, 1990; Tuttle, 2003a).

The problem being addressed by this study is as follows: *An examination of the process of organizational socialization, as it was and is currently conceptualized, reveals an apparent inability to facilitate agility within the organization; instead, its purposes, desired outcomes, and characteristics appear to perpetuate a stable and unmoving organization.* Given this problem statement, the purpose of the study was to develop an alternative theory for *organizational socialization* that would facilitate organizational renewal, not impede it.

Theoretical Framework

Some organizational socialization research and theory suggests that through interactions with incumbents, transitioning individuals learn about how the organization operates. During these interactions, incumbents consciously and unconsciously reward behaviors that align with the existing organizational values, beliefs, culture, practices, and systems, and manage those behaviors that do not align (Louis, 1990; Jones, 1983,1986; Van Maanen & Schein, 1979). Transitioning individuals' behavior in the future is modified by this new knowledge (Van Maanen, 1976). The majority of organizational socialization theory and research is focused on this learning process that exists

Copyright © 2004 Monica M. Danielson

for individuals entering or transitioning within an organization; there is very little research and theory on how the transitioning individual influences organizational incumbents (Jones, 1983; Tuttle, 2003a). Thus, there is significant theory to explain how socialization can perpetuate that which has brought the organization success in the past, but there is very little to explain how an organization would go about socialization if the goal was to change.

A literature search of *ABI Inform*, *Expanded Academic Index*, and *Psych Info*, using *organizational socialization*, *occupational socialization*, and *socialization* as keywords, resulted in 81 relevant articles on organizational socialization (for a description of these articles see Tuttle, 2003a). Twenty-two articles concentrated primarily on theory development. Over half, being 15 of the 22, focused either primarily on detailing the adjustment experience of the individual during socialization, or the organizational tactics to accomplish socialization. In other words, “The inquiry at all times is concerned with how society changes the natural man, and not how man changes his society” (Brim, 1966, p.4). These foundational theory articles have shaped the perspective that how individuals respond to the socialization efforts of the organization is more important than understanding how the individuals themselves affect the process.

In more recent years, there has been an increasing trend focusing on both organizational and individual variables in the socialization process; this is often termed an *interactionist* perspective (Jones, 1983). The interactionist perspective argues that analysis of the socialization process cannot be complete unless three things are taken into consideration, “(1) the effects of individual differences and (2) the effect of the attributional process involved in organizational learning” (p. 464), and (3) individuals as active participants in their own socialization experience. In essence, “characteristics of the insiders as well as the interactions themselves need to be investigated if research from an interactionist perspective is to proceed” (Reichers, 1987, p. 279).

Interactionist research and theory suggest that some reciprocal influence exists between individuals in transition and incumbents, causing shifts inside the organization as well as inside the individual in transition (Jones, 1983; Wanous, 1980). In fact, some literature suggests that organizations operate with the understanding that they could not exist without acquiring and utilizing the knowledge of the employees (Allee, 1997; Amidon, 1997; Gibbons, et al., 1994; Nonaka & Takeuchi, 1995, Wheatley, 1999). “We can begin to see that organizational intelligence is not something that resides in a few experts, specialists, or leaders. Instead, it is a system-wide capacity directly related to how open the organization is to new and disconfirming information, and how effectively that information can be interpreted by anyone in the organization” (Wheatley, 1999, p. 99). An example of an organization that has socialized its employees to this effect is 3M; the culture is continually shaped by the reinforcement of behaviors consistent with perpetuating individual and organizational learning and knowledge (Nonaka & Takeuchi, 1995):

Individuals are set free to pursue their dream while management bites its tongue and grits its teeth to foster the development of new product ideas. There is even a commandment that serves as a behavioral guide. Known as the ‘eleventh commandment’ within 3M, it says, ‘Thou shalt not kill ideas for new products’ (p. 139)

Research Question

The following research question guided the study: *Can an alternative theory of organizational socialization be developed to facilitate continuous organizational renewal and agility?*

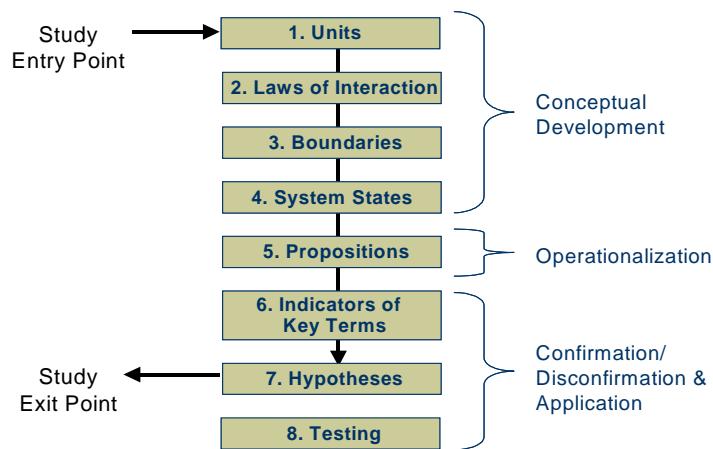
Methodology

Two considerations guided the approach for this study. First, the theory-building research methodologies of (1) quantitative, (2) grounded theory, (3) meta-analysis, (4) social construction, and (5) case study would each be able to contribute different knowledge to the target phenomenon. Yet, not all are designed to contribute to each stage of the theory-building research process: conceptualization, operationalization, confirmation /disconfirmation, application, and continuous refinement (Lynham, 2002a). Second, the new knowledge developed by this theory should be accessible and immediately applicable to both scholars and practitioners of HRD. Thus, some consideration was given to the utility of the end product resulting from each theory building approach. While less mainstream strategies are gaining support in both practitioner and scholar communities, traditional quantitative/empirical methods remain dominant in the field of HRD and business (Holton & Burnett, 1997).

One theory-building strategy that met the considerations for this study was the quantitative theory-building research method of Robert Dubin (1978), a theory-then-research approach that contains eight steps, progressing through each of the five phases outlined by Lynham’s (2002a) General Method (Figure 1). The first four of Dubin’s eight research steps are as follows: (1) the *units* of the theory, meaning the elements that interact to create the

phenomenon observed, must be presented and defined; (2) the *laws of interaction* that state the relationship and effects each unit has upon the others must be determined; (3) the *boundaries* of the theory must be defined to help focus attention on forces that could affect the interplay of the units; (4) the *system states* of the theory must be defined because the units, influenced by the forces around them, will interact differently in different situations. These four steps represent the theoretical model. Now the researcher can move to step (5), defining specific *propositions* about the theoretical model that are to be considered logical and true. The last three steps comprise the testing phase. The researcher must convert each unit or term into (6) an *empirical indicator*, that can be measured, or, in other words, operationalize each key point of the theory to be tested. The researcher then generates testable (7) *hypotheses*, or creates research questions to direct the focus of research. Finally, the theory is at stage (8), *testing*. Once tested, the researcher is able to determine whether or not the results approximate the propositions set out in the fifth stage of development.

Figure 1. Entry & Exit Points for this Continuous Socialization for this Theory Building Research Study, Integrating Lynham (2002a) and Dubin's (1978) Steps



Manageable boundaries and scope were also determined for this theory. The boundary of for-profit organizations was delineated as the entity this theory would apply to. Without such a boundary, this theory could apply to educational, religious, government, military, corporate organizations and the like. A broad theory building research effort may have found some elements of socialization that were universal across organization types. However, during the literature research process, some distinctions among the different forms of organizations became clear, decreasing the likelihood of one overarching theory of organizational socialization that would encompass all forms of organizations. For the theory's scope, a manageable portion of the theory building process was chosen. Theories that are considered valid and robust have been subjected to numerous iterations of the theory-building process to mirror more closely the properties of the world (Dubin, 1978). In essence, theory building can be a career-long endeavor (Dubin, 1978). The entry point for this study was at the Conceptual Development phase (Figure 1). The output of these steps is a theoretical model (Dubin, 1978). While these steps and the rest of the process are often separated, this study also began to move the theory to the steps ahead. Specifically, this study developed propositions, empirical indicators, and testable hypotheses for the theoretical model, and set forth a clear research agenda, preparing this theory for testing (Figure 1).

Results

The development of this theory of Continuous Socialization for Organizational Renewal is based on several premises that are core to its purpose and meaning: (1) organizations as open systems (Capra, 1996; Nonaka & Takeuchi, 1995; Wheatley, 1999), (2) the existence of a rapidly changing business environment (Allee, 1997; Drucker, 2001; Marshak, 1993; Nonaka & Takeuchi, 1995; Waterman, 1987; Wheatley, 1999), (3) the existence of for-profit organizations that have renewal as a significant challenge (Allee, 1997; Drucker, 2001; Marshak, 1993; Nonaka & Takeuchi, 1995; Tsoukas, 1996; Waterman, 1987; Wheatley, 1999), and (4) socialization can be consciously structured as renewing process within the organizational system. While the first three premises have become core concepts in the literature, the fourth may need a brief explanation.

Both conscious and unconscious socialization processes occur within organizations, regardless of whether their intent or outcomes are made explicit. The existing theory and research support this assumption for both individual and collective socialization (Feldman, 1976; Jones, 1983; Van Maanen & Schein, 1979; Wanous, 1980). Therefore, regardless of whether effort is expended on tailoring socialization processes within an organization, those processes will continue to occur. The second underlying assumption is that some form of socialization occurs at every boundary transition, or context change, for an individual or a collective. As an individual makes a functional, hierarchical, or inclusionary shift into or within the organization, a socialization cycle will be catalyzed (Van Maanen & Schein, 1979). Similarly, an entire organization may experience a boundary shift, such as a change in strategy to expand geographically into other countries. This strategy requires immense changes throughout the organization; therefore, socialization cycles would be in motion here as well. If socialization occurs at every boundary transition for an individual or for a collective, then it is possible to assume that socialization is *continuous* and should be planned for as such. The final underlying assumption is that the conscious application of socializing strategies can influence the behaviors of the targets. Again, the research indicates that, with varying socializing strategies, varying outcomes in perceptions and behaviors will result (Allen & Meyer, 1990; Jones, 1986; Klein & Weaver, 2000). In sum, if socialization will always occur and can, to some extent, be molded to alter perceptions and behaviors, then crafting strategies to favor renewal rather than stability should be possible. It is on these four major premises that the theory of Continuous Socialization for Organizational Renewal was developed.

Conceptual Development of the Theory

Conceptual development involves the formation of units, laws of interaction, boundaries, and system states (Dubin, 1978). A brief description of this theory's units is presented below, highlighting only one step of conceptual development (for a full description of the theory see Tuttle, 2003b). In choosing the units for the theory, an eventual mirroring of the real world is the desirable end-state. However, the initial understanding should not be overly constricted by the desire to ensure close correspondence between concepts and operations; rather, this phase should consist more of "disciplined imagination" (Weick, 1989). The discipline should be in the logical rigor of the concept development, and the imagination should be in the diversity of thought in its development; in this initial phase, logic is the basis for evaluation (Weick, 1989). Later in the process, research determines whether changes need to take place to better mirror the world. The five units of the theory of Continuous Socialization for Organizational Renewal were developed: (1) *Socializing Strategies*, (2) *Negotiated Meaning*, (3) *Mobilized Knowledge*, (4) *Internalized Learning*, and (5) *Externalized Performance* (Table 1).

The effective application of these units is hypothesized to contribute to organizational renewal capacity. As individuals or collectives utilize socializing strategies, interactions are facilitated between transitioning and incumbent parties. During such interactions, each party attempts to find an appropriate meaning definition for the new situation, at which point both tacit and explicit knowledge begin to be mobilized and new tacit and explicit knowledge can be generated. It is clearly not feasible for recipients to be altered measurably with each exchange. Incorporation of new knowledge can take several forms, with varying alteration to the core identity or functioning of the individual or collective. Regardless of the level of acceptance, certain pieces of data, information, and knowledge must be incorporated in such a way as to alter future behavior in a desired direction for socialization processes to facilitate organization renewal.

As socialization is hypothesized to be continuous, there is also a system for feedback. With the passage of time, there becomes a shared history and memory within the organization; "These shared meanings and behaviors facilitate coordination of activities, making behaviors understandable and predictable and stable...and they progressively lose their novelty and become part of the objective, taken-for-granted reality of the organization" (Szulanski, 1996, p. 29). What was once new becomes institutionalized. Therefore, this theory of socialization is not only *continuous* because boundary context changes continually occur, but also because without continuous iterations there is less likelihood for renewing and altering what has become institutionalized (Figure 2).

Operationalization of the Theory

Dubin's (1978) methodology calls for the development of propositions, or truth statements, about the theoretical model as a next step. The elements of each statement are then given an empirical indicator that can be used for testing the viability of the theoretical model (Dubin, 1978). While the number of truth statements about how a theoretical model operates could be limitless, those that are strategic should be highlighted, meaning those that "state critical or limiting values" for the units involved (Dubin, 1978, p. 168). Eleven strategic propositions were highlighted for the theory of Continuous Socialization for Organizational Renewal (Table 2). Empirical indicators, hypotheses, and one possible research agenda were also proposed (Tuttle, 2003b).

Table 1. Unit Definitions in Brief for the Theory of Continuous Socialization for Organizational Renewal

Unit Title	Unit Definition
<i>Socializing Strategies</i>	Boundary changes due to changing contexts are catalysts for the next iteration of the socialization cycle. Once a boundary change has occurred, transitioning and incumbent parties can employ strategies to promote interactivity between the two parties. These activities can take place before, during, and after a boundary transition; these are called <i>priming</i> , <i>linking</i> , and <i>renewing</i> stages. Interactivity between transitioning and incumbent parties facilitates the progression of the rest of the socialization cycle.
<i>Negotiated Meaning</i>	Socialization that is continuous and facilitates organizational renewal creates opportunities for interactivity between transitioning individuals and organizational incumbents where symbols can be exchanged. These interactions do not have to be interpersonal but often are. During these interactions, both parties actively manage symbols to negotiate an understanding of the situation. Transitioning and incumbent parties experiment with communicative acts to negotiate emergent situational role identities.
<i>Mobilized Knowledge</i>	Continuous socialization that facilitates organizational renewal mobilizes existing and newly generated knowledge, occurring between transitioning and incumbent parties, into additional domains of the organization. Such processes of mobilization need to occur for all types of knowledge on the tacit to explicit continuum, and as a two-way exchange between transitioning and incumbent parties.
<i>Internalized Learning</i>	Knowledge exchanges between transitioning parties and incumbent parties may result in various levels of incorporation into individual schemas or collective memory. During transitions, the critical learning for individuals/collectives is the importance of awareness in the socialization process as well as knowledge process proactivity in the form of unique generation, reconfiguration, and utilization of new knowledge.
<i>Externalized Performance</i>	The capacity of purposeful renewal for transitioning parties is the performance outcome of continuous socialization. The drivers of performance for transitioning parties are (1) purposeful and proactive utilization of socializing strategies, and (2) purposeful and proactive participation in knowledge mobilization processes. The performance outcome of increased renewal capacity from the socialization cycle acts as one contributor to organization-level renewal performance.

Figure 2. A Theory of Continuous Socialization for Organizational Renewal: Fully Conceptualized Model

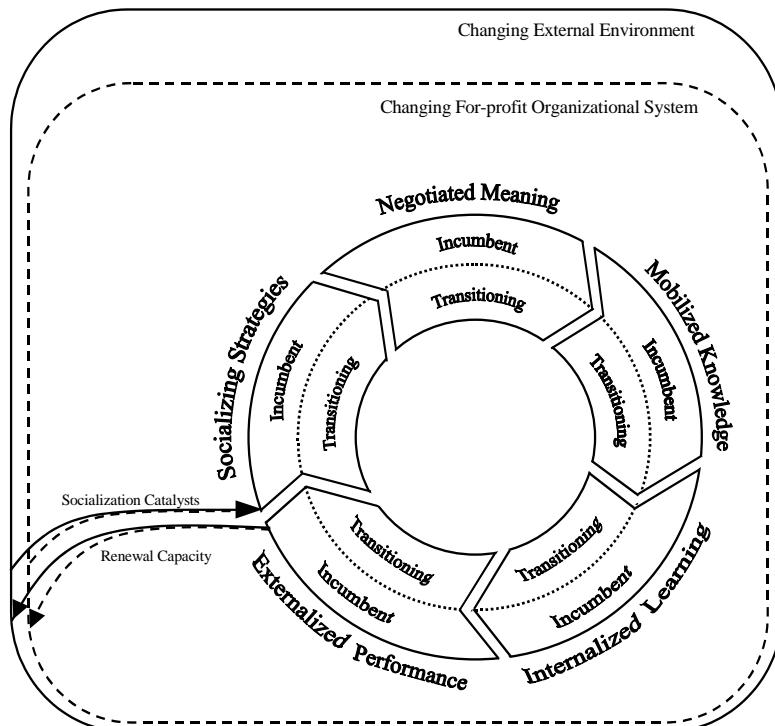


Table 2. *Propositions of the Theory of Continuous Socialization for Organizational Renewal*

Propositions
1. Interactivity between transitioning and incumbent parties during the socialization cycle results in reciprocal influence.
2. The socialization cycle is catalyzed by individual or collective boundary changes.
3. The context of the particular boundary change influences the content of the socialization cycle but not its form; namely, the progression through the five units of the theory.
4. Transitioning and incumbent parties are proactive and purposeful in their use of socializing strategies.
5. As interactions from socializing strategies increase, opportunities for accelerated meaning negotiation between transitioning and incumbent parties is possible.
6. Negotiated meaning increases mobilization of existing tacit and explicit knowledge and the emergence of new knowledge.
7. The presence of internalized learning influences the degree of performance; namely, the degree of renewal capacity.
8. Degree of performance influences the next socialization cycle.
9. The outcome of increased renewal capacity from socialization practices is only made possible by the presence and interaction of all five units of the theory. Without them, there is not Continuous Socialization for Organizational Renewal.
10. Collective awareness of socialization cycles and a proactivity of the knowledge mobilization processes within those cycles increase the likelihood for purposeful renewal capacity.
11. The level of reciprocal influence between transitioning parties and incumbent parties can depend on characteristics of the transitioning party.

Conclusions

Both the scholarly management literature and the popular business press have pinpointed the capacity for renewal as a major organizational challenge: “Organizations, like people, are creatures of habit. For organizations, the habits are existing norms, systems, procedures, written and unwritten rules—‘the way we do things around here.’ Over time these habits become embedded like rocks in a glacial moraine” (Waterman, 1987, p. 16). Practices that continue to embed the status quo within the organization, hinder renewal capacity. This study has proposed socialization practices need to be reviewed to ensure that they facilitate organizational agility rather than obstruct it.

Given the way this theory of Continuous Socialization for Organizational Renewal has been conceptualized, there are three critical considerations for organizations moving forward in the acceptance of this theory. First, knowledge must be valued throughout the organization as a way to achieve strategic advantage (Allee, 1997; Amidon, 1997; Nonaka & Takeuchi, 1995; Topp, 2000). It must be valued at the individual, group, and organizational levels. In the industrial or information economies of the past, traditional performance stakes were appropriate: efficient and effective production of goods or services and for some organizations, profit. However, with the transition to a knowledge-based economy, traditional stakes for organizations no longer suffice; performance stakes need to change to new knowledge production (Drucker, 2001; Nonaka & Takeuchi, 1995; Topp, 2000). Second, if the stakes of organizational performance must move to knowledge mobilization, similar expectations must be placed at the individual level of performance. At a simplistic level, rather than measuring performance by efficiency on predetermined role tasks, such as production of widgets, individual performance must be measured in part with the generation and application of new knowledge for value creation within the organization (Drucker, 2001). Third, knowledge mobilization must be supported throughout the organization, not merely with a few individuals or a few roles. Knowledge work can and should occur at all levels within the organization (Drucker, 2001). This theory asserts that interactions between transitioning and incumbent parties are necessary for those mobilization processes to occur. Many authors support the need for such interactions (Brim, 1966; Evan, 1963; Fisher, 1985; Katz, 1980; Reichers, 1987; Nonaka & Takeuchi, 1995). “The vision is one of *an integrated system of initiatives designed to create the optimal flow of knowledge within and throughout the organization resulting in stakeholder success*” (Amidon, 1997, p.92).

Contribution to New Knowledge in HRD

After significant research, it is the opinion of this author that the organizational socialization literature lacks: (1) a consistent focus on the transitioning party as proactive and influential, a consistent consideration of socialization as continuous and iterative, and a consideration of collectives as transitioning parties. This theory proposes that, without those elements, socialization cannot facilitate renewal capacity within the organization. Rather, it will likely

perpetuate “taken-for-granted precedents established in the dim past of an organization’s history” (Van Maanen, 1978, p. 20). Therefore, the developed theory of socialization for renewal attempted to remedy these deficiencies.

Implications for Socialization Research

This study raises several implications for research. First, this study has attempted to model quality theory building: by utilizing the well-regarded theory-building research approach of Dubin (1978); by drawing on the scholarly literature from multiple disciplines and taking note of emerging dynamics from the popular business press; by utilizing thought leadership that recognized the complexity of the phenomenon; and finally, by attempting to meet a call to action from the business literature regarding the need for organizational renewal. Second, the introduction of this theory into the socialization literature presents a new line of research inquiry on the topic. Research efforts may attempt to show this theory does not model reality for organizations with renewal capacity. Lastly, opportunities are available for future research to extend this theory to other types of organizations beyond for profit entities. It is also important to note the possibility that some organizations may already have effective socialization practices in operation, which may or may not mirror this theory. As such, there is a clear opportunity for *grounded theory* (Eisenhardt, 1995) to act as another avenue to support or refute this theory.

Implications for Socialization in Practice

Even prior to thorough testing, some components of this theory can act as catalysts in companies to assess the alignment between their organizational intent and their current approach to socialization. Current popular business press calls for renewal capacity in organizations (Allee, 1997; Hurst, 2002) but does not explicitly link strategies for accomplishing that feat with practices of socialization. For activities that have socializing capability to do so, it is the position of this author that approaches should be conscious, as “people in a company always organize to support the *actual values*, not the *espoused values*” (Allee, 1997, p. 199). Then following more rigorous testing and refinement, this theory may provide a framework to assist organizations in crafting and implementing new socialization practices. This theory proposes that socializing strategies go well beyond the orientation organizations design for their new members. It proposes that increasing interactions among transitioning parties and incumbent parties will open the doors to increased knowledge mobilization. The theory asserts that not all elements of the organization’s norms, systems, processes, and practices must be completely internalized into each individual in order for continuous renewal to be possible. In fact, renewal may be more likely if each individual incorporates fewer non-relevant organizational habits. Research to support such assertions would provide clear avenues for practitioners to follow in changing the course of their current socialization practices.

References

- Allee, V. (1997). *The knowledge evolution: Expanding organizational intelligence*. Boston, MA: Butterworth-Heinemann.
- Allen, N. J., & Meyer, J. P. (1990). Organizational socialization tactics: A longitudinal analysis of links to newcomers' commitment and role orientation. *Academy of Management Journal*, 33(4), 847-858.
- Amidon, D. M. (1997). *The ken awakening: Innovation strategy for the knowledge economy*. Boston, MA: Butterworth-Heinemann.
- Brim, O. G., Jr. (1966). Socialization through the life cycle. In O. G. Brim & S. Wheeler (Eds.), *Socialization after childhood: Two essays* (pp. 3-49). New York: John Wiley & Sons, Inc.
- Capra, F. (1996). *The web of life*. New York: Anchor.
- Collins, J. (2001). *Good to great: Why some companies make the leap...and others don't*. New York: HarperCollins Publishers.
- Drucker, P.F. (2001). *The essential Drucker*. NY: HarperCollins Publishers Inc.
- Dubin, R. (1978). *Theory building*. New York: The Free Press.
- Eisenhardt, K. M. (1995). Building theories from case study research. In G. P. Huber & A. H. Van de Ven (Eds.), *Longitudinal field research methods: Studying processes of organizational change*. Thousand Oaks, CA: Sage.
- Evan, W. M. (1963). Peer-group interaction and organizational socialization: A study of employee turnover. *American Sociological Review*, 28(3), 436-440.
- Feldman, D. C. (1976). A contingency theory of socialization. *Administrative Science Quarterly*, 21, 433-452.
- Fisher, C. D. (1985). Social support and adjustment to work: A longitudinal study. *Journal of Management*, 11(3), 39-53.
- Gibbons, M., Limoges, C., Nowotny, H., Schwartzman, S., Scott, P., & Trow, M. (1994). *The new production of knowledge: The dynamics of science and research in contemporary societies*. London: Sage Publications.
- Goss, T., Pascale, R., & Athos, A. (1993). The reinvention roller coaster: Risking the present for a powerful future. *Harvard Business Review, November-December*.

- Holton, E. F., III, & Burnett, M. F. (1997). Quantitative research methods. In R. A. Swanson & E. F. Holton (Eds.), *Human Resource Development Research Handbook* (pp. 65-87). San Francisco, CA: Berrett-Koehler Publishers.
- Hurst, D. K. (2002). *Crisis and renewal: Meeting the challenge of organizational change*. Boston, MA: Harvard Business School Press.
- Jones, G. R. (1983). Psychological orientation and the process of organizational socialization: An interactionist perspective. *Academy of Management Review*, 8(3), 464-474.
- Jones, G. R. (1986). Socialization tactics, self-efficacy, and newcomers' adjustments to organizations. *Academy of Management Journal*, 29(2), 262-279.
- Katz, R. (1980). Time and work. In B. M. Staw & L. L. Cummings (Eds.), *Research in organizational behavior* (Vol. 2, pp. 81-127). Greenwich, CT: JAI Press, Inc.
- Klein, H. J., & Weaver, N. A. (2000). The effectiveness of an organizational-level orientation training program in the socialization of new hires. *Personnel Psychology*, 53(1), 47-66.
- Kotter, J. P. (1995). Leading change: Why transformation efforts fail. *Harvard Business Review, March-April*.
- Louis, M. R. (1990). Acculturation in the workplace: Newcomers as lay ethnographers. In B. Schneider (Ed.), *Organizational Climate and Culture* (pp. 85-129). San Francisco, CA: Jossey-Bass Publishers.
- Lynham, S. A. (2002a). The general method of theory-building research in applied disciplines. *Advances in Developing Human Resources*, 4(3), 221-241.
- Lynham, S. A. (2002b). Quantitative research and theory building: Dubin's method. *Advances in Developing Human Resources*, 4(3), 242-276.
- Marshak, R. J. (1993). Lewin meets Confucius: A re-view of the OD model of change. *Journal of Applied Behavioral Science*, 29(4), 393-415.
- Nonaka, I., & Takeuchi, H. (1995). *The knowledge-creating company*. New York: Oxford University Press.
- Oxford English Dictionary (1989). J.A. Simpson & E.S.C. Weiner (Eds.). Oxford: Clarendon Press.
- Reichers, A. E. (1987). An interactionist perspective on newcomer socialization rates. *Academy of Management Review*, 12(2), 278-287.
- Schein, E. H. (1985). *Organizational culture and leadership*. San Francisco, CA: Jossey-Bass Publishers.
- Senge, P., Kleiner, A., Roberts, C., Ross, R., Roth, G., & Smith, B. (1999). *The dance of change: The challenges to sustaining momentum in learning organizations*. New York: Currency Doubleday.
- Strebel, P. (1996). Why do employees resist change? *Harvard Business Review, May-June*.
- Szulanski, G. (1996). Exploring internal stickiness: Impediments to the transfer of best practices within the firm. *Strategic Management Journal*, 17, 27-43.
- Topp, W. (2000). Generative conversations: Applying Lyotard's discourse model to knowledge creation within contemporary organizations. *Systems Research and Behavioral Science*, 17(4), 333-350.
- Tsoukas, H. (1996). The firm as a distributed knowledge system: A constructionist approach. *Strategic Management Journal*, 17, 11-25.
- Tuttle, M. M. (2003a). *Strategic HRD for the knowledge age: Does organizational socialization have a place?* Paper presented at the Academy of Human Resource Development, Minneapolis, Minnesota.
- Tuttle, M. M. (2003b). *Towards a theory of continuous socialization for organizational renewal*. Human Resource Development Research Center, University of Minnesota, St. Paul.
- Van Maanen, J. (1976). Breaking in: Socialization to work. In R. Dubin (Ed.), *Handbook of work, organization, and society* (pp. 67-130). Chicago: Rand McNally College Publishing Company.
- Van Maanen, J. (1978). People processing: Strategies of organizational socialization. *Organizational Dynamics, Summer*, 19-36.
- Van Maanen, J., & Schein, E. H. (1979). Toward a theory of organizational socialization. *Research in Organizational Behavior*, 1, 209-264.
- Wanous, J. P. (1980). *Organizational entry: Recruitment, selection, and socialization of newcomers*. Reading, Massachusetts: Addison-Wesley Publishing Company.
- Waterman, R. H. (1987). *The renewal factor: How the best get and keep the competitive edge*. Toronto: Bantam Books.
- Weick, K. E. (1989). Theory construction as disciplined imagination. *Academy of Management Review*, 14(4), 516-531.
- Wheatley, M. J. (1999). *Leadership and the new science*. San Francisco, CA: Berrett-Koehler Publishers.

Coworker Relationships, Acculturation, and Socialization-Related Job Knowledge

Thomas G. Reio, Jr.

Mike A. Boyle

University of Louisville

There is a lack of clarity about the role of establishing coworker relationships in acquiring socialization-related job knowledge. In this study, 233 adults ranging from 17-59 years old were administered the Workplace Adaptation Questionnaire (Copeland & Wiswell, 1994). Several conceptual models were tested. Results demonstrated that establishing coworker relationships had both a positive direct and indirect (through the acculturation variable) influence on acquiring job-related knowledge. Implications for practice were discussed.

Keywords: Relationships, Socialization, Job Knowledge

Feldman (1976) proposed that the task- and culture-related learning associated with the socialization process (especially in the Accommodation part of the process) was dependent upon first establishing coworker relationships. Feldman claimed that once the employee believed he or she could be friendly with and trust coworkers, they were more likely to learn essential job-related information that would facilitate the development of competent job performance. Likewise, experienced employees reported feeling that if they could not trust the new employee, they would be much less inclined to share information. According to Senge (1990), this inclination not to share information due to the lack of openness will probably limit the employee's socialization-related learning.

The initial access to important organizational information signifies, as Feldman (1976) noted, "initiation to the group" (p. 442). In the hospital participating in his study, it was only after an individual had been initiated to the group was he or she introduced to the job task. Nevertheless, Feldman did observe that it was also possible to be initiated to the task before being initiated to the group, yet it would be much less likely.

Extending Feldman's (1976) work, Copeland and Wiswell (1994) developed the Acquiring Job Knowledge Model. They advanced the idea that socialization-related job knowledge was sequentially acquired by first establishing coworker relationships and then by learning the norms, values, and procedures (becoming acculturated) of the organization. Through factor-analytic techniques they constructed the Workplace Adaptation Questionnaire (WAQ) to test their theoretical model. The instrument was administered to 352 government employees. The item scores of the three learning-related WAQ subscales were summed and subsequently analyzed through hierarchical regression techniques; 25% of the variance in the Job Knowledge variable was explained by the model. Establishing Relationships, the first subscale, accounted for 23% of the variance while acculturation to the company (the second subscale) contributed an additional but significant 2% to the model. Overall, the Acquiring Job Knowledge Model was statistically supported, however the results suggested there may be alternative interpretations.

Although Feldman (1976) and Copeland and Wiswell (1994) claim that establishing coworker relationships is the first step toward the process of acquiring job knowledge, the results of their research lack conceptual clarity. Feldman's Accommodation Model implies that becoming initiated to the task rather than to the group is still quite possible and is thus situational, despite the results of his study. Conversely, not only does Copeland and Wiswell's (1994) Acquisition of Job Knowledge Model disallow for the possible situational nature of acquiring socialization-related job knowledge, it adds a mediating variable (acculturation) to this primarily informal workplace learning process (Wiswell, 1993), yet still explaining but 25% of their theoretical model's variance.

Whereas both of the aforementioned studies provide some empirical support that establishing coworker relationships is the probable first step to acquiring socialization-related job knowledge, there is a need to investigate this learning process further. There are perhaps other paths through which employees acquire pertinent job knowledge.

Purpose and Research Questions

The purpose of this research was to examine Copeland and Wiswell's (1994) theoretical model in particular to clarify the nature of establishing coworker relationships in acquiring socialization-related job knowledge. The specific research questions were:

Copyright © 2004 Thomas G. Reio, Jr. & Mike A. Boyle

1. Does the establishment of coworker relationships directly contribute to acquiring socialization-related job knowledge?
2. Does employee acculturation directly contribute to acquiring socialization-related job knowledge?
3. Does employee acculturation mediate the relationship between establishing coworker relationships and acquiring socialization-related job knowledge?

Method

This research was part of a larger exploratory study of workplace learning in the service industry. A demographic questionnaire and a survey instrument were utilized in this part of the study. Path-analytic techniques were used to test the *a priori* developed conceptual models.

Participants

Roughly 37% of the sample had less than twelve months tenure, an additional 33% had less than two years on their current job, and the remaining 30% had more than 2 years tenure (none of the partial correlations between tenure and the WAQ scales were statistically significant in this study). Consequently, the typical participant in this study was a white male less than 40 years of age, with at least some college, earning less than \$30,000 per year, and possessing approximately 2 years of job tenure. The mean age of the sample was 32.5 years ($SD = 8.8$).

One-way ANOVAs (1 X 4) between the Workplace Adaptation Questionnaire (WAQ) and the four organizations were employed to determine possible significant group differences. Although there was a significant main effect for the WAQ Total Score ($F_{3, 229} = 4.54, p < .01$), a Scheffé test (1% level of significance) for comparing means between the groups indicated no significant differences between the group means. Investigation of the correlational patterns (both zero order and partial) between the variables of interest was also examined for consistency between the four groups with no statistical differences detected at the .05 level of significance. On the basis of both the results of the ANOVAs and the correlational analyses, the four sub-samples were combined into one large sample. Thus, the research sample consisted of 233 service-industry employees of various tenure from four organizations similar in corporate philosophies toward customer service and quality.

Instruments

Background information was collected via a questionnaire. The instrument consisted of a variety of questions modeled after those utilized by Morton (1993). The questions solicited data concerning the subject's age, gender, annual salary, education level, tenure, and amount of previous work experience.

The Workplace Adaptation Questionnaire (WAQ; Copeland, 1993; Copeland & Wiswell, 1994) was used as a measure of socialization-related learning. The instrument is a self-reported 19-item instrument, consisting of three subscales developed to measure an employee's socialization-related learning and one to measure satisfaction with learning experiences. This study's modified version of the instrument utilizes an additional three high-loading Job Knowledge questions from the original Copeland and Wiswell study to balance the instrument (now 22 items overall); many of the questions seemed to be biased more toward interpersonal skill knowledge. All questions are based on 5-point Likert scales (1=strongly disagree; 5=strongly agree). The four subscales are as follows: Job Knowledge (JK), Acculturation to the Company (AC), Establishing Relationships (ER), and Satisfaction with Learning Experiences (SLS). JK refers to the extent the respondent reports mastering the tasks of his or her job and consists of eight questions. AC is a five-item subscale that measures an employee's degree of learning the norms, values, and culture of the organization. ER, the third subscale, contains five items that assesses the employee's capacity to identify coworkers who could provide useful information or who know their way around the organization. Finally, the four-item SLS subscale evaluates the employee's satisfaction with the learning experiences one has encountered while at the organization (this subscale was not examined in this research).

Cronbach's alpha internal consistencies of the 4-subscale, 22-item instrument were as follows: Job Knowledge .96; Acculturation .86; Establishing Relationships .85; and Satisfaction with Learning Experiences, .81. All three of the socialization-related learning reliabilities were somewhat higher than in the Morton (1993) study. The reliability of the JK subscale may have been noticeably higher because of the lengthening of the subscale for this study (Crocker & Algina, 1986). By adding the three items to the subscale, its total variance was increased by both the sum of each item's variance and its covariances with all other items in the subscale. Such an effect can even be more pronounced proportionally when items are added to a short scale, such as in the original 5-item JK subscale. In this research, the Cronbach's alpha of the internal consistency (reliability) of the 8-item JK subscale was .96; as a 5-item subscale, the reliability dropped to .83, mirroring the subscale's reliability in the Copeland and Wiswell (1994) study. Considering this evidence, it may be advantageous to retain the three new JK subscale questions in an updated version of the WAQ, especially for researchers investigating socialization-related job knowledge. The extra questions would not significantly add to the time required to take the test, and the modified 22-item scale instrument would still easily fit on one page. In addition, the increased reliability of the JK subscale would increase the

likelihood of desirable consistency or reproducibility of what the subscale is supposed to measure, i.e., self-perception of job knowledge associated with the socialization process.

A PCA extraction with varimax rotation then was used to determine the stability of the subscale factors of the modified instrument. Four subscales were identified as was expected, and the three additional Job Knowledge items all loaded positively ($> .30$) on the JK subscale. The factor loadings for both males ($n = 152$) and females ($n = 81$) were virtually the same, and thus consistent with the larger sample population's ($N = 233$) results. These results provide further support for combining the four smaller samples into one large sample (Tabachnick & Fidell, 2001).

Table 1 shows the relationships and standard deviations between this study's variables of interest. The patterns of correlations were much as expected. The ER subscale logically correlated the least the WAQ Total Scale because it presumably does not reflect acquisition of pertinent task knowledge. The equal correlation between the AC and JK subscales and the WAQ Total Scale was somewhat curious, yet when considering that the acculturation process consists of acquiring both interpersonal and technical skills the relationship seems plausible.

Table 1. *Correlational Table for Research Variables*

	ER	AC	JK	WAQ-T
ER	1.00	.47	.37	.42
AC		1.00	.45	.77
JK			1.00	.77
WAQ-T				1.00
SD	4.41	3.54	3.02	10.05

Note. $N = 233$. All correlations $p < .001$.

ER = Establishing Relationships

AC = Acculturation

JK = Job Knowledge

WAQ-T = Workplace Adaptation Questionnaire-Total Scale

Analytic Procedures

Figure 1 represents the Job Knowledge Acquisition Conceptual Model proposed by Copeland and Wiswell (1994). Conceptually, the model represents the notion that an employee acquires job knowledge after first establishing coworker relationships and then by becoming acculturated to the company. Thus, by virtue of the first two steps, one accumulates the knowledge necessary to adequately perform one's job.

Figure 2 represents a hypothesized path model incorporating both Copeland and Wiswell's (1994) original conceptual model and Feldman's (1976) plausible notion of direct employee initiation to job tasks without the benefit of being acculturated as well. The one-way arrows indicate an assumed "causal" direction of influence. Because this is a recursive-path model, it is assumed there are no feedback control loops and that causality is primarily unidirectional. The model suggests that the acquisition of socialization-related job knowledge proceeds in two ways. First, establishing coworker relationships influences job knowledge acquisition directly, and secondly, the effect of establishing coworker relationships on job knowledge is mediated by being acculturated to the company.

The standardized partial regression coefficients were computed for this model using ordinary, least squares multiple regression in which each variable was regressed on its explanatory variables, beginning with the Establishing Relationships variable and moving in sequence to Job Knowledge. All the regression coefficients were computed from a combination of both the correlation matrix of the main study variables and their standard deviations using the EQS 5.4 for Windows routine (Bentler & Wu, 1995).

Figure 1. Job Knowledge Acquisition Conceptual Model

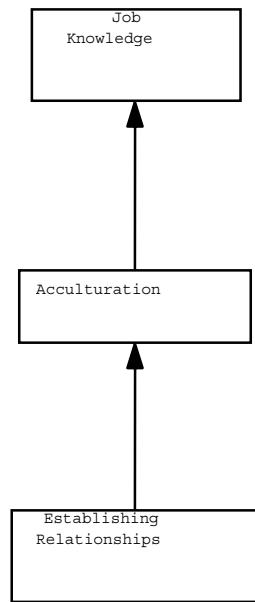


Figure 1. Job Knowledge Acquisition Conceptual Model.

Figure 2. Job Knowledge Acquisition Path Model

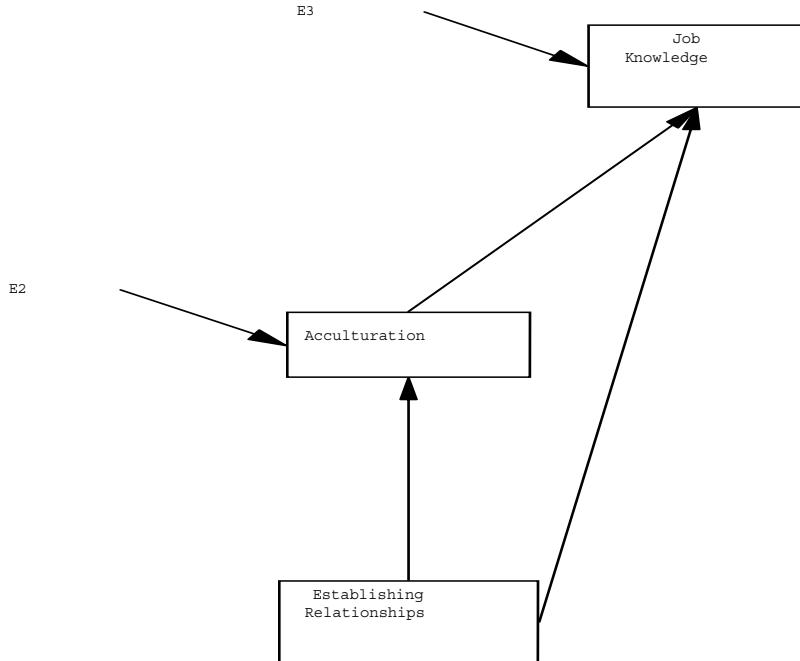


Figure 2. Job Knowledge Acquisition Path Model (Revised)

Results

The Copeland and Wiswell (1994) Acquisition of Job Knowledge Model was first tested as it was proposed in the literature, i.e., establishing relationships has no direct influence on job knowledge. The standardized path coefficient for the ER to AC path was .43, and the AC to JK path's standardized path coefficient was .42. In essence, this model allows for solely an indirect relationship between Establishing Relationships (ER) and Job Knowledge (JK) as the Acculturation variable mediates the relationship between ER and JK. Upon checking the fit of the model to the data, the Comparative Fit Index (CFI) was below conventional acceptance (a .90 is needed [Loehlin], 1992); this model was .89 and thus the data disconfirmed the model.

The hypothesized path model for this study with the standardized path coefficients for the theoretical paths is presented in Figure 3. The revised Job Knowledge Acquisition Model allows for a direct as well as an indirect effect of ER on JK. Apparently, there is also a weak direct effect of ER on JK, as the standardized path coefficient was .23 (R^2 of direct path to JK was 18.6; $p < .001$). The new standardized path coefficients for the remainder of the model were as follows: the ER to AC path .43, and the AC to JK path .32 (R^2 of this indirect path to JK was .22; $p < .001$). Because this is a just-identified model, a CFI could not be calculated, but the model seemed to be much more conceptually appealing. Therefore, while more of the variance of job knowledge was explained by the indirect path of ER to JK, the direct path of ER to JK is also necessary to fully explain the data.

Figure 3. Job Knowledge Acquisition Path Model with Standardized Path Coefficients

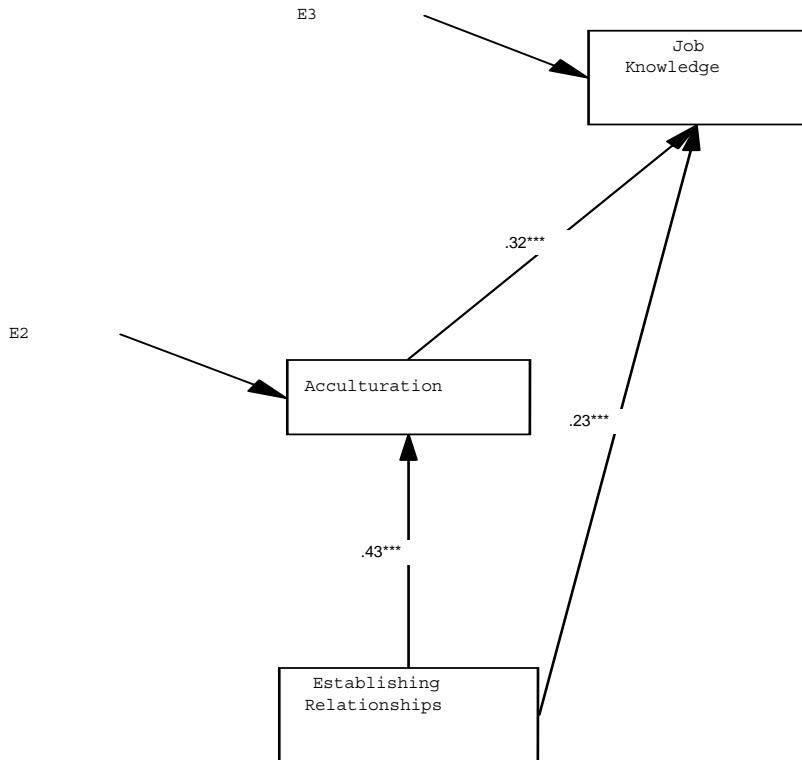


Figure 3. Job Knowledge Acquisition Path Model (Revised) with standardized path coefficients.

The effect sizes were of great interest. For the direct path, a one standard deviation increase in establishing relationships, on average, holding all else constant, was associated with a .23 standard deviation increase in job knowledge. With the indirect path, a one standard deviation increase in the establishing relationships score, on average, holding all else constant, was associated a .43 standard deviation increase in the acculturation score, which in turn mediated a .32 standard deviation increase in job knowledge.

There was empirical support for each of the research questions. Thus, the establishment of coworker relationships significantly and directly influenced the acquisition of socialization-related knowledge. Second, acculturation significantly and directly impacted the acquisition of socialization-related job knowledge. Finally, employee acculturation indeed served as a mediator between establishing coworker relationships and socialization-related job knowledge.

Discussion

What, then, are the implications of these results for the validity of establishing coworker relationships on job knowledge? First, it must be mentioned that the literature has generally supported the accuracy of these evaluations; hence, the development of the conceptual models. Nevertheless, this study suggests that other factors can exert an influence on the acquisition of job knowledge, one of them is being acculturated to the company. On the other hand, establishing coworker relationships also can directly influence acquiring socialization-related job knowledge.

These results suggest support for the Copeland and Wiswell (1994) Acquiring Job Knowledge Conceptual Model. Establishing relationships with one's peers has a direct effect on acquiring job knowledge as predicted by both Feldman (1976) and Copeland and Wiswell (1994). There is also a suggestion that the acculturation process (being acculturated to the company) plays a role in the relationship between establishing coworker relationships and acquiring socialization-related job knowledge by mediating it. This information helps to clarify the nature of

establishing coworker relationships in acquiring socialization-related job knowledge. While it is indicated that, as Feldman (1976) suggested, that establishing relationships is an important consideration in being initiated to organizational job tasks and acquiring job knowledge, an even more potent consideration is the utility of also considering acquiring job-related knowledge through the acculturation process as well.

The implications for organizational practice are many. As Schein (1988) has argued, despite years of incumbency at the organization, it is important to consider that employees often switch to different offices, branches and divisions of a business, acquire new bosses, encounter new coworkers, go to school, and learn new job tasks and each requires some level of socialization-related learning to realize job task proficiency. Of course, at organizational entry, this process is particularly vital as failure to acquire culture- and task-related learning can lead to an increased rate of employee turnover (Copeland & Wiswell, 1994; Feldman, 1976). Nevertheless, the results of this study which employed participants across a broad range of job tenures, have demonstrated that Schein's notion of the ongoing relevance of socialization-related learning is a relevant one, regardless of time on the job.

Copeland and Wiswell (1994) stressed the importance of new employee training and orientation programs that are designed to increase the fit between the individual, work groups, and the organization. More organizational emphasis on socialization-related learning may be needed for employees of all job tenure, especially considering the increasingly ever-changing nature of today's business climate.

References

- Bentler, P. M., & Wu, E. J. (1995). *EQS for windows user's guide*. Encino, CA: Multivariate Software, Inc.
- Copeland, S., & Wiswell, A. K. (1994). New employee adaptation to the workplace: A learning perspective. In *Proceedings of the National Conference of the Academy of Human Resource Development*, (pp. 35-40). San Antonio, TX: ASTD Press.
- Crocker, L., & Algina, J. (1986). *Introduction to classical and modern test theory*. Fort Worth: Harcourt Brace Jovanovich.
- Feldman, D. C. (1976). A contingency theory of socialization. *Administrative Science Quarterly*, 21, 443-452.
- Loehlin, J. C. (1992). *Latent variable models: An introduction to factor, path, and structural analysis*. Hillsdale, NJ: Lawrence Erlbaum Associates.
- Morton, S. (1993). *Socialization-related learning, job satisfaction, and commitment for new employees in a federal agency*. Unpublished doctoral dissertation, Virginia Polytechnic Institute and State University.
- Schein, E. H. (1988, Fall). Organizational socialization and the profession of management. *Sloan Management Review*, 53-64 (reprint).
- Senge, P. M. (1993). Transforming the practice of management. *Human Resource Development Journal*, 4, 5-32.
- Tabachnick, B. G., & Fidell, L. S. (2001). *Using multivariate statistics* (4th ed.). Boston: Allyn & Bacon.
- Wiswell, A. K. (1993). *Informal learning in the workplace: On-the-job-learning for human resource development*. Unpublished manuscript, Virginia Polytechnic Institute and State University, Falls Church, VA.

Cultural Effects on Medical Residents Evaluations of Interpersonal Skills and Professionalism

*Carol Packard
University of Illinois*

This study examines effects that cultural values have on a peer evaluation process within an international medical resident team in the United States. Residents evaluated critical incidents based on required interpersonal skill competencies. An analysis was done to determine perceived differences between actions considered good vs bad clinical practice, and whether these differences broke down along cultural dimensions of Collectivists and Individualists. Results suggest that there is less agreement based on cultural values on what constitutes poor practice.

Keywords: Culture, Evaluation, International Teams

Problem Statement and Purpose

Medical educators have acknowledged for some time that a physician's interpersonal skills have a significant effect on patient care. Over the last decade, support for this belief has grown as empirical evidence for the link between communication skills, positive physician/patient relations and actual clinical outcomes has accumulated (Campbell, McDaniel, Cole-Kelly, Hepworth & Lorenz, 2002; Cole, 2002; Deveugele et al, 2002; Ferguson & Candib, 2002; Khazoyan & Anderson, 1994; Skelton, Kai, Loudon, 2001; Stewart, 1995). In 1999, the Accreditation Council for Graduate Medical Education (ACGME) rewrote their required residency competencies to include interpersonal skills and professionalism as part of their residency requirements (ACGME Graduation Competencies, 2000). As a result, all American medical residency programs now require the following competencies be demonstrated by residents and formally evaluated by their peers and supervising physicians: (1) patient care, (2) medical knowledge (3) practice-based learning and improvement, (4) interpersonal and communication skills, (5) professionalism, and (6) systems-based practice.

Since these new competencies were introduced and implemented, a survey was given to residency program directors asking them how the implementation of the new competencies was progressing. Directors reported that assistance in developing evaluations for interpersonal skills were among the types of help most frequently requested (Heard, Allen, & Clardy, 2002).

Many American residency programs currently have a large percentage of residents who are foreign born and educated (Council on Graduate Medical Education, 1998). These residents practice medicine in American communities under the supervision of senior physicians, becoming part of a medical team in hospitals and clinics. This is happening while our patient population is also becoming more ethnically diverse. In light of these changing demographics and the implementation of the new required competencies, discussions are beginning within the medical community as to whether people from different cultures have different perceptions and expectations of what constitutes good interpersonal skills, good physician-patient relations, and good professional and ethical judgments (Betancort, Green, Carrillo, 2002; Cooper-Patrick, et al, 1999; Murray-Garcia, Garcia, Schembri, Guerra, 2001). However, there are few empirical studies to systematically determine if this is the case (Helmreich & Merritt, 2001). One such study by Feldman, Mitchell, Mphil, & Cummings (1999) found significant differences in clinical practices due to the different ethical beliefs of internists in China and the United States. In addition, Murray-Garcia et al (2001) asks the question:

"How do racially and ethnically diverse patients define optimal communication, issues of trust, and desirable health outcomes?....Answers to these questions ...should receive urgent and substantive attention as the physician workforce and medical education policies are refined in the 21st century" (p. 1240).

This study extends Murray-Garcia et al's questions regarding how patients define these concepts to include how medical residents define these concepts, given that formal evaluation of their interpersonal/communication skills, professionalism and ethics are required. Interpersonal skills, as defined by the ACGME, include such

Copyright © 2004 Carol Packard

constructs as "therapeutic and ethically sound relationships", "works effectively with others", and "leader of a health care team". If different cultures define "therapeutic", "ethical" "teamwork", and "leadership" differently, as the literature suggests (Feldman et al, 1999; Skelton et al, 2001), what impact do these different perceptions have on the competency evaluation system within an ethnically diverse team? This study seeks to answer the question of how residents from different cultural backgrounds and perspectives define and evaluate professionalism, teamwork, caring, leadership, and autonomy, and whether these different perspectives result in a significant source of variation within the required performance evaluation outcomes.

Theoretical Framework

There is an increasing body of knowledge demonstrating that interpersonal skills have a significant effect on patient care (Lang, Floyd and Beine, 2000; Stewart, 1995). In addition, the literature includes both descriptive accounts and empirical research studies that support the theory that physician-patient relationships may be influenced by culture (Campbell, 2002; Cooper-Patrick, et al, 1999; Ferguson, 2002; Flores, 2000; Ngo-Metzger et al, 2003). Murray-Garcia (2001) and Stewart (1995) found that patients report more satisfaction in a given medical encounter when their physician is of the same race and/or ethnicity. Illustrating the negative aspects, in a study done with Chinese and Vietnamese immigrants, patients who receive negative reactions from Western clinicians reported their reluctance to discuss their use of Asian medicines, resulting in misdiagnoses and unhappiness with their medical care (Ngo-Metzger et al, 2003). These examples support the proposition that cultural differences exist which affect a person's evaluation of their clinical care.

Another aspect of cultural differences in the clinical setting lies in the dynamics of the medical team itself. Heimlich & Merritt (1998) make the case for directly linking team communication of emergency room physicians, surgeons and nurses to high-risk safety outcomes. Their studies emphasize the connection between safety, communication, and the three types of cultures that exist in the medical team: national, organizational and professional cultures. All three cultures interact to develop the unspoken code for communications, relationships, and what is considered ethical. Differences can potentially result in team conflict, misunderstandings, and poor clinical outcomes. The ACGME has recognized this dynamic as important, and has thus included teamwork as a part of their clinical competencies (ACGME Graduation Competencies, 2000). In this study, all members of the team share the same professional and organizational culture. National cultures, however, are different. Therefore, it is this aspect of cultural differences resulting from national differences that will be addressed in this study.

To understand how culture affects dynamics in interpersonal relationships, a large number of empirical studies in cross-cultural research use the cultural dimensions of individualism (valuing the individual rights and identity) and collectivism (valuing group norms and obligations) (Ardichvili & Kuchinke, 2002). These dimensions allow one to examine how basic values affect an individual's behavioral choices. Globalization has increased factors leading to intracultural variations (Anderson, Li, & Harrison, 2003), examining an individual's value system, rather than country of origin, may be a better predictor of social behavior, due to intracultural variation and acculturation.

Because formal evaluations of interpersonal skills and professionalism are now required in all American residency programs, it is important that residency training directors understand the cultural influences affecting such evaluations. Thus, this study is grounded in an integration of two established models. The first is the model of skills adopted by ACGME as necessary for the delivery of quality health care; the second includes models of individualism/collectivism and their effect on how individuals' value systems affect their interpersonal behaviors.

Research Questions

The purpose of this study is to address the question: Do International Medical Resident (IMG's) demonstrating different cultural attributes evaluate and interpret "interpersonal skills" and "professionalism" differently than their American born and educated colleagues. The study will be guided by the following research questions:

1. Is there a relationship between national origin and cultural profile, as identified by Triandis's Cultural Profile Survey?
2. Is there a relationship between residents' cultural profiles as identified by Triandis's Cultural Profile Survey and the ratings they provide on teamwork, leadership and humanistic medicine as observed through the ratings of critical incidents? That is, do Collectivists interpret critical incidents differently than Individualists?

Methods

Population and Sample

Residents in an Internal Medicine Residency program in central Illinois were chosen as a purposeful sample, since this program is representative of many American residency programs in that it is demographically an international team.

<i>Demographic breakdown:</i>	Residents – 51
Gender:	29 males; 22 females
Country of origin:	IMG's 42 USA 13 (India 23; USA 13; Middle East 9; East Africa 2; Europe 1; Africa/Europe 1; Philippines 1)

Instrumentation

SINCOL Cultural Profile Questionnaire

Due to intracultural variation and varying levels of acculturation, cultural patterns rather than country of origin are identified and correlated with residents' interpretations of evaluation terms. The SINCOL Cultural Profile Questionnaire (Subjective Individualism and Collectivism, *Triandis, 1995*) was chosen to identify these cultural patterns based on its demonstrated validity in similar cultural studies exploring individual difference (Chiou, 2001; Hofstede, 2001; Triandis, 1995). The coefficient alpha reliability of the Individualist and Collectivists scales are .71 and .69 respectively (Triandis, 1995, p. 204). Each resident completed the questionnaire. Results were matched with the residents' ratings of critical incidents (see following section below).

Resident Performance Evaluations

In ACGME accredited medical residencies programs, senior residents teach, mentor and work together with the first year residents. First year residents evaluate their seniors on technical, interpersonal and mentoring skills, rating each skill using a 1-5 Likert scale. The interpersonal skill categories are:

- Question 5: Professionalism: Works effectively with nurses & attendings
- Question 6: Relationship with Trainees – provided leadership in a team approach to learning & patient care
- Question 7: Humanistic – demonstrated a caring attitude towards patients and families
- Question 8: Relationship with Trainees - Availability
- Question 9: Teaching skills, autonomy – provided a balance between independence and supervision

Critical Incidents

The Critical Incident Technique (Anderson & Wilson in Whetzel & Wheaton, 1997; Keatinge, 2002,) is a tool that is used to conduct task analysis by identifying desired, effective and/or dysfunctional behaviors. Beech & Norman (1995, cited in Keatinge, 2002) suggests the technique as a research tool to collect observations of human behavior in specified settings. Since this study seeks to identify differences in job task *expectations* in a specific medical setting, the critical incident technique was chosen to identify task behaviors that might be interpreted differently depending on an individual's cultural perspective.

At two noon conferences, residents were given instructions on how to write two critical incident summaries based on a given question from their evaluation form. They wrote both a description of how this competency would be behaviorally demonstrated well ("something you would rate as a 5 on the evaluation"), and poorly ("less than 3"). These summaries could be real or hypothetical examples including the following descriptions:

Situation:

Actions (residents were instructed to describe the actions only in behavioral terms):

Reasoning behind actions:

Outcomes:

The action part of these descriptive summaries were then typed up and included on a "Critical Incident Evaluation Form"(Appendix A contains samples). To ensure that the critical incidents were behaviorally descriptive rather than value statements, member checking was done in a few cases to elicit clearer action statements, and several were modified to delete value-laden words. Three incidents written by Collectivists and three from Individualists were chosen for each category to ensure a balance. Of these six incidents, three had been written as good examples and three were written as bad examples of the competency being rated. The residents were later asked to rate these thirty incidents as they would rate observations for a performance evaluation.

Data Analysis

The SINCOL cultural profile was scored using the directions provided by the instrument's author (Triandis, 1995). Subjects were identified as either Individualists or Collectivists by totaling their first response choices on 32 scenarios. A third category, C/I, was later added when 12 subjects (30%) scored evenly between the two dimensions. The cultural profile was used to divide the critical incidents into these four categories:

1. Incidents written by Individualists as good examples of the skill being evaluated
2. Incidents written by Individualists as bad examples of the skill being evaluated
3. Incidents written by Collectivists as good examples of the skill being evaluated
4. Incidents written by Collectivists as bad examples of the skill being evaluated

An analysis of variance using SAS's Mixed Procedure was used to calculate planned comparisons between the above groupings.

Results

To answer the first research question, *Is there a relationship between national origin and cultural profile?*, 40 residents completed the Cultural Profile Survey (Triandis, 1995), with the following results: all five Middle Eastern residents were collectivist, all three East African were collectivists, no Americans were collectivists, although 45% were split evenly between the two dimensions. The Indian sample showed greater diversity: 55% were collectivists, 10% were individualists, and 35% were split evenly between the two dimensions.

The second research question asked, *Is there a relationship between residents' cultural profiles as identified by Triandis's Cultural Profile Survey and the ratings they provide on teamwork, leadership and humanistic medicine as observed through the ratings of critical incidents? That is, do Collectivists interpret critical incidents differently than Individualists?*

To answer this question, 29 residents completed both the Culture Survey and the Critical Incident Evaluations, allowing comparisons between culture and rating of behavior descriptions. Table 1 summarizes these results:

Table 1. Means and Standard Deviations of Critical Incident Ratings, Using Likert Scale 1(poor) – 5(excellent)

Rater	N=29	Author					
		Collectivist		Individualist		C/I (even)	
		Good (s.d.)	Bad (s.d.)	Good (s.d.)	Bad (s.d.)	Good (s.d.)	Bad (s.d.)
Collectivist N=14		3.34 (1.8)	3.54 (1.7)	3.77 (1.6)	2.72 (1.4)	4.10 (1.4)	3.50 (1.6)
Individualist N= 11		3.54 (1.7)	3.52 (1.6)	3.43 (1.6)	2.36 (1.3)	4.00 (1.4)	3.21 (1.7)
C/I (even) N=4		3.31 (1.7)	3.25 (1.7)	3.20 (1.4)	2.65 (1.4)	4.25 (1.3)	3.35 (1.6)

Table 2. Planned Comparisons

Rater	N*	Incidents by Authors			
		C	I	Difference	Significance
Individualists rating all good incidents	70	3.54	3.43	.22	p<.38
Collectivists rating all good incidents	70	3.34	3.77	.43	p<.10
Individualists rating all bad incidents	70	3.52	2.36	1.16	p< .001
Collectivists rating all bad incidents	70	3.54	2.72	.82	p< .002
C x C bad vs. I x I bad	55	3.54	2.36	1.17	p<.001
C x C good vs I x I good	55	3.34	3.43	.09	p<.74

* N= number of incidents rated

Results show only significant differences for how the two cultural groups rate bad incidents, suggesting that although most residents generally agree on what constitutes a good action, they disagree on what constitutes a bad one. Residents identified as Individualists tended to rate "poor" or bad performance incidents lower than did Collectivists. A surprising finding was that Individualists rated incidents written by Individualists lower than for those written by Collectivists.

Results from four residents who scored evenly on both dimensions (C/I) were different from the other two groups, but were not included in the planned comparisons since they resulted from unexpected findings. Also, their numbers are too small to result in meaningful findings. Their "good" incidents received slightly higher ratings from all groups, with the C/I ratings for C/I "good" incidents being rated significantly higher than for those incidence written by either Collectivists and Individualists.

Discussion

This study sought to answer the question of whether residents from different cultural perspectives define and evaluate professionalism, teamwork, caring, leadership, and autonomy differently, and whether these different perspectives result in a significant source of variation within the required performance evaluation outcomes. The results show that while residents generally agree on what constitutes good clinical practice, they did not agree on how to rate those behaviors they believed to be poor clinical practices. A further qualitative examination is planned to discover the reasons for these differences in ratings. Results will be used to further understand how cultural values affect clinical judgments and team relationships in general, and specifically to help improve early team relations and the evaluation process within this residency program.

This study serves as an exploratory study. Due to the small sample size, the power of the statistical significance is limited. To generalize beyond this initial view of this residency program, one would need to replicate this study with this or other similar resident programs. The SINDCOL instrument was chosen for its demonstrated validity and reliability in similar cultural research (Chiou, 2001; Sinha, Vohra, Singhai, Sinha & Ushashree, 2002).

Implications (Contributes to New Knowledge in HRD)

Heimlich & Merritt (2001) warn, “*culture can be a problem, but only if its influence goes unacknowledged*” (*authors’ italic*, p. 223). As our physician and patient populations become more culturally diverse, it is important to understand how different cultural perceptions affect the clinical competency teaching and evaluation process. By taking cultural differences into account, directors will be better able to diagnose whether the resident’s clinical decisions are based on cultural difference rather than the inability to make good clinical judgments in general.

Increasingly, Human Resource Development specialists are being called on to assist in the development, facilitation, and evaluation of international teams. It is, therefore, important to understand the dynamics involved with asking an international team do complete peer reviews and other types of performance evaluations such as the ones required in American residency programs. This study found a difference in how residents from different cultures rated the same incidents. This may be especially important since there was a higher variation for behaviors perceived as negative. It suggests that facilitated discussions on how culture affects workplace decisions and evaluations should be held early within a team development process. Although these are generally good guidelines for all teams, this is especially important for international teams whose members are required to coordinate their activities and are required to complete peer evaluations.

References

- Accreditation Council of Graduate Medical Education. (2000). Graduation competencies. Retrieved December, 2002 from <http://www.acgme.org>.
- Anderson, L., & Wilson, S. (1997). *Critical incident technique*. In Deborah Whetzel & George Wheaton (Eds.), *Applied measurement methods in industrial psychology*. Davies-Black Publishing, Palo Alto, CA.
- Anderson, A., Li, J., & Harrison, R. (2003). The effects of firm ownership and culture on Total Quality Management in China. In Ilan Alon (Ed.) *Chinese culture, organizational behavior, and international business management* (p. 225). Westport, Ct.: Praeger.
- Ardichvilli, A., & Kuchinke, P. (2002). The concepts of culture in international and comparative HRD research: Methodological problems and possible solutions. In T. Marshall Egan & Susan Lynham (Eds.) *Academy of Human Resources Development 2002 conference proceedings Volume 1* (pp. 343 – 350). AHRD.
- Betancourt, J., Green, A., & Carrillo, E. (2002). Cultural competence in health care: Emerging frameworks and practical approaches. *Commonwealth Fund Field Report*, N.Y. October.
- Campbell, T.L, McDaniel, S.H, Cole-Kelly, K., & Hepworth, J. & Lorenz. A. (2002). Family interviewing: a review of the literature in primary care. *Family Medicine*, 34(10), 715-6.
- Chiou, J. (2001). Horizontal and verticle uindividualism and collectivism among college students in the United States, Taiwan, and Argentina. *Journal of Social Psychology*, 141(5), 667-678.
- Collins, K.S., Hughes, D.L., Doty, M.M., Ives, B.L., Edwards, J.N., & Tenney, Katie (2002). Diverse Communities, common concerns: Assessing health care quality for minority Americans. *Commonwealth Fund*, N.Y.
- Cooper-Patrick, L., MPH, Gallo, J.J, Gonzales, J., Vu, H.,Powe, N., Nelson, C., Ford, D., (1999). Race, gender and partnership in the patient-physician relationship. *Journal of the American Medical Association (JAMA)*, 282, 583-589.

- Council on Graduate Medical Education. (1998). *International Medical Graduates, the physician workforce and the GME payment reform*. Retrieved February 3, 2003 from <http://www.cogme.gov/rpt11.htm>.
- Deveugele, M., van den Brink-Muijen, Atie, Bensing, J., & Maeseneer, J. D. (2002) Consultation length in general practice: Cross sectional study in six European countries. *British Medical Journal*, 323(31), 1-6. Bmj.com
- Feldman, M., Mphil, Z.J., & Cummings, S. R. (1999). Chinese and U.S. Internists adhere to different ethical standards. *Journal of General Internal Medicine*, 14(8), 469-473.
- Ferguson, W.J., & Candib, L.M., (2002). Culture, language, and doctor-patient relationship. *Family Medicine*, 34(5), 353-61.
- Flores, & Glenn. (2000). Culture and the patient-physician relationship: Achieving cultural competency in health care. *Journal of Pediatrics Online*, 136(1), 1-14.
- Heard, A., & Clardy. (2002). Assessing the needs of residency program directors to meet the ACGME general competencies. *Academic Medicine*, 77(7), 750.
- Helmreich, R., & Merritt, A. C. (2001). *Culture at work in aviation and medicine: National, organizational and professional influences*. Ashgate. Burlington, USA.
- Hofstede, G. (2001). *Culture's consequences: Comparing values, behaviors, institutions, and organizations across nations*. Thousand Oaks, CA: Sage.
- Keatinge, D., RSCN, Ph.D. (2002). Versatility and flexibility: Attributes of the critical incident technique in nursing research. *Nursing & Health Sciences*, 4, 33-39.
- Khazoyan, C.M., & Anderson, N.L. (1994). Latinas' expectations for their partners during childbirth. *Maternal Child Nursing*, 14(9), 226-9.
- Lang F, F., Beine, K.L. (2000). Clues to patients' explanations and concerns about their illnesses: A call for active listening. *Arch Family Medicine*, 9, 222-7.
- Murray-Garcia, Jann, L., Garcia, Jorge A. S., Michael, E., & Guerra, L.(2001). The service patterns of a racially, ethnically, and linguistically diverse housestaff. *Academic Medicine*, 76(12), 1232-1240.
- Office of Minority Health web site. (2002). *Assuring cultural competence in health care: Recommendations for national standards and an outcomes-focused research agenda*. Retrieved October, 2002 from <http://www.omhrc.gov/CLAS/>.
- Skelton, J.R., Kai, J., & Loudon, R.F. (2001). Cross-cultural communication in medicine: Questions for educators. *Medical Education*, 35, 257-261.
- Sinha, J.B.P., Vohra, N., Singhai, S., Sinha, R.B.N, & Ushashree, S. (2002). Normative predictions of collectivist-individulaist intentions and behaviour of Indians. *International Journal of Psychology*, 37(5), 309-319.
- Stewart, M.A. (1995). Effective physician-patient communication and health outcomes: a review. *Canadian Medical Association Journal* 152(9), 1423-1433.
- Thomas, P., Gebo, K., Hellmann, D. (1999). A pilot study of peer review in resident training. *Journal of General Internal Medicine*, 14, 551-554.
- Triandis, H. (1995). *Individualism & collectivism*. Westview Press, Boulder, CO.

Appendix A: Cultural Effects on medical residents evaluations of interpersonal skills and professionalism

Examples of Incidents from Critical Incident Evaluation Form:

Professionalism: Works effectively with nurses & attendings

5.1. *Situation:* patient deteriorates in his condition. Intern doesn't agree with attending's approach to the case. Senior agrees with intern.

Action: Senior gets involved, calls attending & explains to the attending the situation from the senior's and resident's perspective.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

5.2. *Situation:* Crashing patient at night

Action: Senior responded by coming to the floor, seeing patient, contacting attending.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

5.3. *Situation:* Nurse calls in with concerns regarding a patient.

Action: The intern does not reassess the patient, since (s)he (intern) had assessed the patient earlier.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

Teaching Skills, Autonomy

9.1 *Situation:* Intern manages patients.

Action: Resident allows intern to manage patients. Intern manages situation independently only asking for help when needed or unsure of self.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

9.2 *Situation:* Intern had a call from the nurse about a patient who was having acute onset of abdominal pain.

Action: Intern immediately calls the senior without first assessing the patient.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

9.3 *Situation:* Patient has congestive heart failure (CHF).

Action: Intern decides on medical regimen for a patient with CHF, with final decision review by supervising resident.

(Poor or unnecessary)	1	2	3	4	5	(Excellent)
-----------------------	---	---	---	---	---	-------------

Toward a Meta-Theory of Learning and Performance

*Darlene Russ-Eft
Oregon State University*

This purpose of this paper is to identify implications of various learning theories for workplace learning and performance and HRD. It begins with a review of various theoretical positions on learning including behaviorism, Gestalt theory, cognitive theory, schema theory, connectionist theory, social learning or behavior modeling, social perspective theory, and situated cognition theory. Implications are drawn from these various theories. A theoretical framework is then constructed incorporating these implications, along with suggestions for needed research.

Keywords: Learning Theory, Training and Development, Workplace Learning and Performance

No single theory of learning currently exists. Rather, a multitude of different theoretical positions emphasize different aspects of the individual or situation context. Furthermore, this situation has characterized the literature on learning and performance for a number of years. As Underwood (1964) wrote

There are many approaches which might be used to express the relationships among research findings for all forms of human learning. Undoubtedly, the most elegant way would be in terms of theory. A general theory of human learning ... is clearly an ideal solution. No such system is available. (p. 48)

More recently, Merriam (2001), acknowledging that no single theory exists, stated "What we do have is a mosaic of theories, models, sets of principles, and explanations that, combined, compose the knowledge base of adult learning" (p. 3).

Although no such comprehensive system or theory currently exists, there are many connections among the different learning theories. The present paper provides a meta-theory of learning and performance with an attempt to include many of the major theories. It begins with an overview of the major learning theories and their implications. It then presents a systems model of learning and performance in the workplace, along with implications for research and practice. As Senge (1990) stated, a systems model is "a framework for seeing interrelationships ..." (p. 68-69). One aspect of this interrelationship is the lack of distinction between learning and performance.

Philosophical, Historical, and Theoretical Background

Discussions concerning human learning began with the early Greek philosophers. Indeed, Reynolds, Sinatra, and Jetton (1996) provide an overview of the theories of the Greek philosophers, as well as current-day learning theories. They suggest that these approaches be positioned along a continuum from environment-centered (where all learning comes from stimulation outside the organism) to mind-centered (where all learning comes from manipulations within the mind of the organism). Such a classification helps to identify similarities and differences among the theories.

If we begin with the Greek philosophers, we see that Alcmaeon, Democritus, and Protagorus held a view that can be labeled the "environment-centered." They suggested knowledge or learning comes only from the senses and what is observed. In contrast, Socrates rejected the notion that knowledge comes only from perception. He argued that knowledge comes from ideas, concepts, and reasoning. This can be labeled "mind-centered." Aristotle presented a compromise view in which sensations and perceptions combined with the organization of the mind to create higher-order concepts and processes. Thus, Aristotle provided what might be called an "integrationist" view. Similar distinctions can be made of more current theories of learning.

Behaviorism

The behaviorist approach, derived from the British Empiricists (Locke, 1690, 1995; Mill, 1929) and popular from about 1910 until about 1960, held that all learning comes from behavioral responses to external stimuli. Thus, it provides an example of an environment-centered approach. Watson's seminal article (1913) stated, "Psychology as the behaviorist views it is a purely objective experimental branch of natural science. Its theoretical goal is the prediction and control of behavior."

Both Pavlov (1927, 1941) and Watson (1913) focused on classical or respondent conditioning. Pavlov introduced the principle of "frequency" according to which the more frequently an unconditioned stimulus (e.g.,

Copyright © 2004 Darlene Russ-Eft

meat powder) is paired with a conditioned stimulus (e.g., salivation) the greater is the likelihood that the conditioned stimulus (e.g., bell) will elicit a conditioned response (e.g., salivation). Watson added the principle of “recency” indicating that the more recently a response has been made to a particular stimulus the more likely it is to be made again. The idea of reinforcement was added by Thorndike (1932). Specifically, the law of effect states that a connection becomes stronger or weaker depending on its consequences. Furthermore, the law of exercises states that, with practice, a connection will be strengthened, and, with no practice, the connection will be weakened. In addition, the concept of identical elements introduced the notion that transfer of training could be enhanced with greater similarity between the learning situation and the environment in which transfer of that learning is to take place. These ideas were further elaborated and codified through various mathematical equations by Hull (1929, 1943, 1951) and Spence (1956, 1960). Skinner (1938, 1953, 1968) refined these ideas to include various stimulus-response-reinforcement paradigms. According to this view, the learner is the passive recipient of knowledge. Information must be broken down into small units in order to maximize success (and provide reinforcement).

Gestalt / Cognitive Theory

Gestalt theory, with a focus on organization provided by the mind, posed certain dilemmas to the strict behaviorists. (See Koffka, 1935; Kohler, 1929; Wertheimer, 1912.) These dilemmas, such as response sets (Lashley, 1929), were easily solved by the behaviorists. However, Chomsky's work (Chomsky & Miller, 1958; Chomsky, 1959) represented a severe threat to the behaviorist approach – more specifically, his critique of Skinner's book (1957) on verbal learning. According to Chomsky, higher-order functioning, such as language acquisition and problem solving, could not be accounted for by stimulus-response-reinforcement. (For example, people would have to learn sentences at a rate faster than one per second for even small vocabularies.) The cognitive revolution led to the notion that humans are active processors of information. Furthermore, cognitive psychologists introduced the concept of mental representations and suggested a computational metaphor (with the computer). In this case, encoding specificity was introduced as the means by which transfer of learning took place (Thompson & Tulving, 1970; Baddeley, 1998). But, it should be noted that the metaphor of the computer still implied an external focus, given that data and instructions must be provided from outside the organism.

Schema Theory

Schema theory emerged in reaction to the machine metaphor of early cognitive theorists. It falls close to the interactionist view but leaning toward mind-centeredness. Following the philosophical notions of Kant (1781/1900) and Wittgenstein (1958), the mind frames perceptions and experiences, actively interacting with sensory information from the environment. Rumelhart and Ortony (1977) and Rumelhart (1980) suggested certain characteristics of schemas: (1) They have variables; (2) They can be embedded in each other; (3) They represent knowledge at various levels of abstraction; (4) They represent knowledge rather than definition; (5) They are active processors; and (6) They are recognition devices, determining the goodness of fit of the incoming information. Such schemas help to organize disparate bits of information into a meaningful system or network (Anderson, 1990). According to schema theory, the individual's background knowledge influences the processing of incoming information. Thus, trainee-centered approaches, such as strategy instruction, metacognition, and selective attention, are recommended.

Connectionist Theory

Connectionism, unlike traditional cognitive models, focuses on nodes and networks. (See Bechtel & Abramson, 1991; McClelland & Rumelhart, 1988; Quinlan, 1991; Rumelhart & McClelland, 1986.) In this case, cognition is the process of changing activation levels of interconnected nodes or neurons within the network. Knowledge is distributed among the nodes and connections. As with behaviorist notions, knowledge is acquired through contiguity and frequency. Back propagation allows for errors to be fed back through the system. Thus, this approach appears at the environment-centered end of the continuum. It emphasizes the importance of proceduralized knowledge, the automaticity of lower level skills, and parallel distributed processing. Rather than teaching isolated facts, network models suggest the importance of chunking information and proceduralizing and automating processes. Such proceduralization and automaticity reduce the cognitive demands or the cognitive load (Paas, Renkl, & Sweller, 2003). Recently, however, Kalyuga, Ayres, Chandler, and Sweller (2003) found an “expertise reversal,” such that techniques that reduce the cognitive load for novices may increase the cognitive load for experts.

Social Learning or Behavior Modeling

Initial work on behavior modeling (also called social learning) began when behaviorism was pre-eminent. Bandura (1965a, 1965b) proposed, in contrast to the importance placed on frequency, that most human learning involves no-trial learning. New responses are simply acquired by observing the behavior of other people (i.e., models). The person can, thus, learn new responses without ever having performed the task and without having

received any reinforcement. Nevertheless, since observation of a model is critical to learning, this approach can be considered environment-centered. Sorcher and Goldstein (1972) reported on the first research on behavior modeling undertaken in an industrial setting. Goldstein and Sorcher (1973, 1974) reported on the use of such programs to reduce the turnover among “hard-core unemployed” employees. Since then, over 50 published studies have examined various aspects of behavior modeling. (See Russ-Eft [1997] for a review of this research.) Elaboration of Bandura’s original notions of “no trial learning” tend to include the following steps as part of the learning or training process: (1) a description of the behaviors to be learned, (2) a model or models displaying those behaviors, (3) opportunities for learners or trainees to practice the behaviors, (4) feedback and social reinforcement following practice (Decker & Nathan, 1985; Robinson, 1982; Taylor, Russ-Eft, & Chen, 2003).

Andragogy and Self-Directed Learning

Merriam (2001) claimed that these two theoretical approaches formed the pillars of adult learning theory. Andragogy, introduced by Knowles (1968), characterized the adult learner as directing his/her own learning, using life experiences in learning, seeing changing roles as learning opportunities, focusing on the practical and immediate application of knowledge, and being internally motivated to learn. Houle (1961), Tough (1967, 1971), and Knowles (1975) explored self-directed learning. Such learning can lead to an increased capacity for self-directed learning, critical reflection and transformational learning (Brookfield, 1986; Mezirow, 1985), and social action (Brookfield, 1993). These theories seem aligned with mind-centered approaches, while recognizing the influence of the context.

Social Perspective Theory

In reaction to the cognitive approaches, a variety of theorists have begun to emphasize the importance of the social and cultural contexts. Given this emphasis on the social, cultural, and historical contexts, such theories fall near the environment-centered end of the continuum. These approaches have been labeled sociocultural perspective (Wertsch, 1991), social constructivism (Palinscar, 1998; Turner, 1995; Turner & Meyer, 2000), sociohistorical theory (Wertsch, del Rio, & Alvarez, 1995), and socio-cultural-historical psychology (Cole, 1995). The development of cognition comes from an internalization of social interactions, and knowledge is constructed by and distributed among individuals and groups as they interact with one another. Thus, experiences are shared, and learning and knowledge emerges from participation in social interaction. Vygotsky (1979) suggested that learning occurs when a person internalizes the social experiences of interacting with another person; such internalization results in inner speech and thought processes. These theories point toward the importance of considering the training environment, the organizational context, and the broader social and cultural context. At the very least, such theories contribute to the notions of cooperative learning environments and contextualized activities.

Situated Cognitive Theory

Situated cognition arose from artificial intelligence and cognitive psychology (Brown, Collins, & Duguid, 1989; Clancey, 1993; Greeno, 1991, 1998; Winograd & Flores, 1986). Similar to Vygotsky, situated cognition results from reasoning that occurs when the individual interacts with the social and physical situation. In contrast to Vygotsky, this approach places greater emphasis on internal processes. Thus, knowledge is acquired through the internal processing of the individual as that person interacts with the situation. This theory seems close to an interactionist approach in that emphasis is placed on the mind, in the form of mental models, and on the affordances of the environment. This theory suggests that training should facilitate the development of trainee’s mental models through problem-solving activities, particularly by using ill-defined problems. Anchored instruction means that the instructors or the medium must anchor or situate trainees in simulated contexts, situations representing life experiences, or apprenticeships in real life situations. Thus, not all learning involves the retrieval of stored propositions; rather the emphasis is upon providing rich contexts or situations in which learning can occur.

Summary of Theoretical Suggestions for HRD and Training Practices

Table 1 provides some training implications for each of the previously described theories.

Table 1. *Summary of Training Implications*

Learning Theory	Training Implications
Behaviorism	<ul style="list-style-type: none"> • Learners are passive recipients. • Information must be organized and broken down into small, simple steps for maximum success. • Learners should be encouraged to make observable responses. • Trainees should be encouraged to make these responses multiple times (frequency), and these

	<p>responses should be rewarded (reinforcement).</p> <ul style="list-style-type: none"> Transfer of training can be facilitated through the use of identical elements (Thorndike & Woodworth, 1901).
Cognitive Theory	<ul style="list-style-type: none"> Learners are active processors of information. Learners manipulate symbolic information. Transfer can be enhanced through encoding specificity, meaning that the stimulus cues in the transfer environment must be encoded with the information being trained (Cormier, 1987). Perceived similarity, not actual similarity, appears to be most critical (Gick & Holyoak, 1980, 1983, 1987). <u>Providing a variety of examples can enhance transfer, leading to general rules.</u>
Schema Theory	<ul style="list-style-type: none"> Trainees' background knowledge influences the interpretation of incoming information. Active, involved trainees are critical to success in training. Since schemata are procedures, strategy instruction, instruction in metacognition, and the use of selective attention are critical.
Social Learning / Behavior Modeling	<ul style="list-style-type: none"> New behaviors can be acquired by observing the behavior of models and without actually performing the task and without receiving reinforcement. New behaviors may, however, not be exhibited until and unless some reinforcement is provided. <u>Behaviors can be changed directly and do not require changes in knowledge or attitudes.</u>
Androgogy / Self-Directed Learning	<ul style="list-style-type: none"> Individualized instruction is needed to match learners' needs and increase relevance. Training should include individual tasks, group processes, and critical reflection to promote discovery, self-knowledge and self-direction.
Social Perspective Theories	<ul style="list-style-type: none"> The training environment and social and organizational context shape individual learning, knowledge, and thought. Trainees should have more opportunities to interact with peers and with those having more experience or more skill.
Connection Theories	<ul style="list-style-type: none"> Training should encourage the development of proceduralized knowledge rather than limit development to declarative knowledge. Training should help to develop automaticity of lower-level skills. (Trainees who have developed such automaticity have more mental capacity available for other tasks.) Training or trainers should support the development of trainee ability to check, proceduralize, or automate skills or processes.
Situated Cognition	<ul style="list-style-type: none"> Training should facilitate trainees' construction of mental models through problem-solving activities, particularly ill-defined problems (Brown, Collins, & Duguid, 1989). Training should be "authentic," using realistic situations, leading to trainee's acquisition of the requisite knowledge and the condition for applying that knowledge (Sonntag, 1997) Creating such mental models involves both individual and group construction. Training should provide settings for group problem solving so that trainees can express their mental models to each other, improve their mental model, and use alternative mental models. (This can provide the "Learning circle" or "Lernstatt." [Sonntag, 1996, 1997].) The trainer or the instruction materials should provide aid by identifying "affordances," such as easy routes, resources, or strategies. Training needs to take place within rich contexts or situations (involving real life tasks or using media to simulate such situations). <u>Trainees should be supported by "coaching" or "scaffolding" and should "fade" over time.</u>

An Inclusive Meta-Theoretical Framework

This review of various learning theories helps to identify similarities and differences. Figure 1 depicts a theoretical framework that combines the elements from the various learning theories. By connecting these theories, we can identify further practice and research implications.

Almost all of the learning theories, except perhaps for the behaviorist theory, recognize that learning and performance takes place within a social and organizational context which, in turn, affects the training environment. Furthermore, this training environment leads to the use or non-use of such methods as coaching and fading. The effects of background and context are primarily emphasized in schema theories and social perspective theories.

Critical differences among the theories seem to emerge in what might be labeled as the input phase of the learning process. Various theories possess different conceptions of the trainee and suggest different ways in which information should be presented. Thus, behaviorism posits that the trainee is a passive recipient of information, and therefore the information must be broken into small steps or small bits of information. In a similar way, connectionist theories emphasize the importance of automaticity of lower-level skills, presumably through repetition of procedures. With such automaticity, the learner can engage in higher-level learning, thinking, and problem solving. In contrast, social learning or behavior modeling suggests that the trainee is an observer and can learn simply by observing someone else. It may, nevertheless, require some form of reinforcement and feedback for the learner to display or perform the learned skill or task. Schema, cognitive, self-directed, and situated cognitive theories emphasize the importance of active, involved trainees. The theoretical framework presented in this paper, however, recognizes that new knowledge can be developed and created through all of these different approaches.

Similarities also appear in some but not all of the methods suggested for the transfer phase. Common elements for the transfer phase include frequency, reinforcement or reward, identical elements (according to the behaviorists) or encoding specificity (according to cognitive theorists). Elements such as multiple examples, strategy instruction, metacognitive instruction, ill-defined problems, realistic situations, and learning circles appear in certain theories, such as the cognitive theories, and are missing in other theories, such as the behaviorist theories. Further discussion and exploration of the various elements critical in the transfer phase can be found in Russ-Eft (2002).

HRD Research Implications

The theoretical framework implies that trainees may need information to be presented in multiple ways. It may be that a specific approach may prove more effective for certain types of learning and performance and certain kinds of situations. For example, it may be that the features and benefits of a new product to be learned by salespeople in one day through an e-learning format is best conveyed in small bits of information. In contrast, using a behavior model may be the best method for instructing organizational consultants on new approaches to executive coaching. Alternatively, providing symbolic information and facilitating problem solving may prove most effective in training problem-solving skills to mechanics and computer programmers. These speculations need testing.

The theoretical framework assumes that alternative methods are equally effective in the input phase. Gagne (1970, 1985) and Medsker and Gagne (1996) argue that certain kinds of training may be more effective using a specific theoretical approach. More research is needed to determine whether alternative methods are indeed equally effective or whether certain approaches prove more effective for specific kinds of trainees, certain types of information, and specific situations. As another example, the framework indicates that social and organizational context affects the training environment and that the training environment affects the extent to which coaching and fading takes place. Some research efforts need to examine these relationships. Similarly, it is assumed that the social and organizational context, the training context, and the level of coaching and fading affect the input phase and the extent to which new knowledge is created during training. Again, these relationships need further examination.

If we remove some elements of the social and organizational context, what are the implications for the type of theoretical approach used for the input phase? For example, when uncertainty exists as to the support provided through the social and organizational context or the training context, do multiple input approaches or one particular input approach function better? Might it be that, using behaviorist or connectionist approaches, repetition and reinforcement would lead to learning and automaticity of the response? Such an implication needs further testing.

Various elements appear to affect the transfer phase (such as frequency, reinforcement, identical elements). It is not at all clear whether each of these yields equivalent results. Russ-Eft (2002) provides a more complete taxonomy of elements affecting transfer. Research is needed to determine issues regarding the timing and use of these elements, particularly in relationship to the different types of input methods. For example, learning and transfer may not take place with the behaviorist approach of small steps and bits of information without using both frequency and reinforcement. In contrast, a social learning or behavior modeling approach, suggesting "no trial learning" (Russ-Eft, 1997), may prove equally effective with or without reinforcement. In this case, the behavior or information may be "learned" but may not be "performed" without some reinforcement.

Figure 1. Theoretical Framework Derived from Various Learning Theories

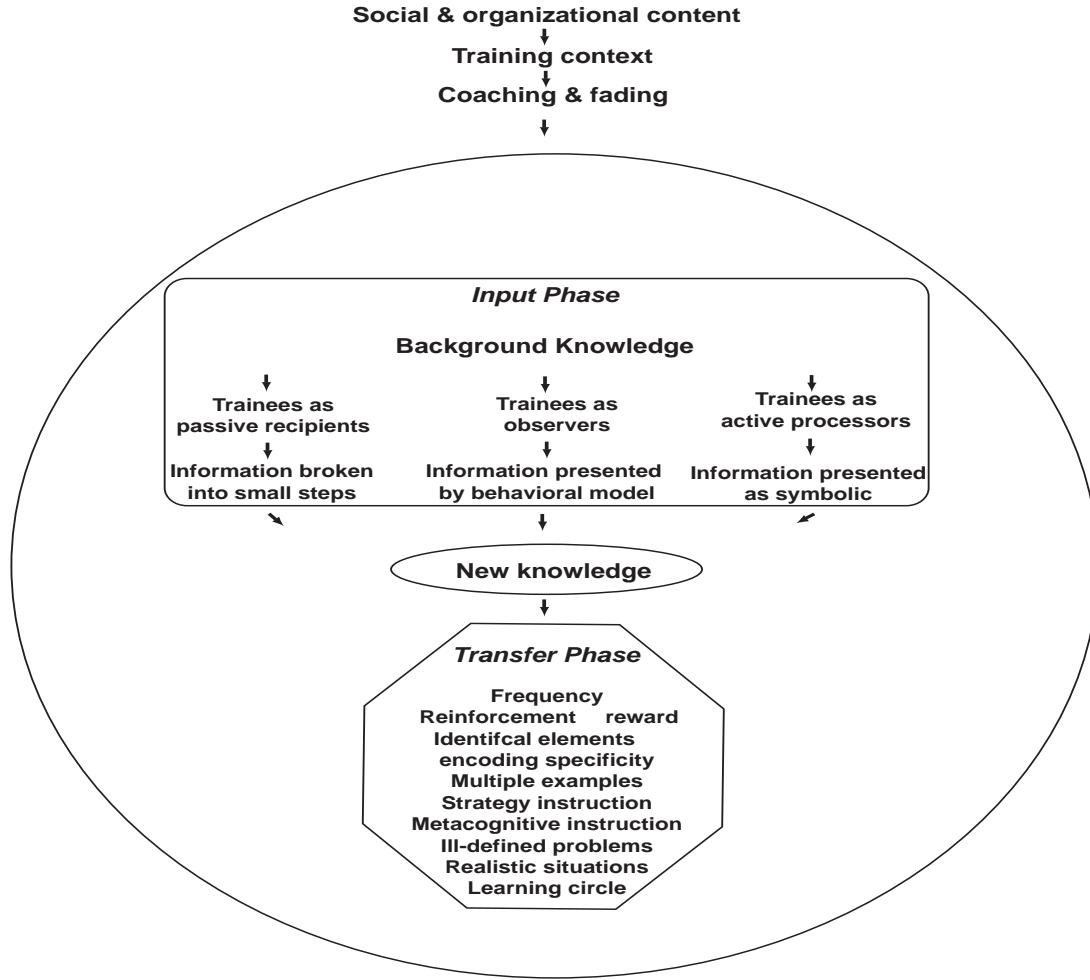


Figure 1. Theoretical framework derived from various learning theories.

References

- Anderson, J. R. (1990). *Cognitive psychology and its implications* (3rd ed.). New York: Freeman.
- Baddeley, A. D. (1998). *Human memory: Theory and practice* (Rev. ed.). Boston: Allyn and Bacon.
- Bandura, A. (1965a). Behavior modification through modeling procedures. In L. Drasner & L. P. Ullman (Eds.), *Research in behavior modification* (pp. 310-340). New York: Holt.
- Bandura, A. (1965b). Vicarious processes: A case of no-trial learning. In L. Berkowitz (Ed.), *Advances in experimental social psychology* (Vol. 11). New York: Academic.
- Bechtel, W., & Abrahamsen, A. (1991). *Connectionism and the mind*. Basil Oxford, UK: Blackwell Ltd.
- Brookfield, S. (1986). *Understanding and facilitating adult learning*. San Francisco: Jossey-Bass.
- Brookfield, S. (1993). Self-directed learning, political clarity, and the critical practice of adult education. *Adult Education Quarterly*, 43(4), 227-242.
- Brown, J. S., Collins, A., & Duguid, P. (1989). Situated cognition and the culture of learning. *Educational Researcher*, 18(1), 32-42.
- Chomsky, N. (1959). Review of *Verbal Behavior* by B. F. Skinner, *Language*, 35, 26-58.

- Chomsky, N., & Miller, G. A. (1958). Finite-state languages. *Information and Control*, 1, 91-112.
- Clancey, W. J. (1993). Situated action: A neuropsychological interpretation response to Vera and Simon. *Cognitive Science*, 17, 87-116.
- Cole, M. (1995). Socio-cultural historical psychology: Some general remarks and a proposal for a new kind of cultural-genetic methodology. In J. V. Wertsch, P. del Rio, & A. Alvarez (Eds.), *Sociocultural studies of mind* (pp. 187-214). New York: Cambridge University Press.
- Cormier, S. M. (1987). The structural processes underlying transfer of training. In S. M. Cormier & J. D. Hagman (Eds.), *Transfer of learning: Contemporary research and applications* (pp. 152-182). San Diego, CA: Academic Press.
- Decker, P. J., & Nathan, B. R. (1985). *Behavior modeling training: Principles and applications*. New York: Praeger.
- Gagné, R. M. (1970). *The conditions of learning* (2nd ed.). New York: Holt, Rinehart and Winston.
- Gagné, R. M. (1985). *The conditions of learning and theory of instruction* (4th ed.). Fort Worth, TX: Holt, Rinehart and Winston.
- Gagné, R. M., & Medsker, K. L. (1996). *The conditions of learning: Training applications*. Fort Worth, TX: Harcourt Brace College Publishers.
- Gick, M. L., & Holyoak, K. J. (1980). Analogical problem solving. *Cognitive Psychology*, 12, 306-355.
- Gick, M. L., & Holyoak, K. J. (1983). Schema induction and analogical transfer. *Cognitive Psychology*, 15, 1-38.
- Gick, M. L., & Holyoak, K. J. (1987). The cognitive basis of knowledge transfer. In S. M. Cormier & J. D. Hagman (Eds.), *Transfer of training: Contemporary research and application* (pp. 9-46). New York: Academic Press.
- Goldstein, A. P., & Sorcher, M. (1973). Changing managerial behavior by applied learning techniques. *Training & Development*, 36-39.
- Goldstein, A. P., & Sorcher, M. (1974). *Changing supervisor behavior*. New York: Pergamon.
- Greeno, J. G. (1991). Number sense as situated knowledge in a conceptual domain. *Journal for Research in Mathematics Education*, 22, 170-218.
- Greeno, J. G. (1998). The situativity of knowing, learning, and research. *American Psychologist*, 53, 5-26.
- Houle, C. O. (1961). *The inquiring mind*. Madison, WI: University of Wisconsin Press.
- Hull, C. L. (1929). A functional interpretation of the conditioned reflex. *Psychological Review*, 36, 498-511.
- Hull, C. L. (1943). *Principles of behavior*. New York: Appleton-Century-Crofts.
- Hull, C. L. (1951). *Essentials of behavior*. New Haven: Yale University Press.
- Kalyuga, S., Ayres, P., Chandler, P., & Sweller, J. (2003). The expertise reversal effect. *Educational Psychologist*, 38, 23-31.
- Kant, I. (1900). *Critique of pure reason*. New York: Colonial Press (Original work published 1781).
- Koffka, K. (1935). *Principles of Gestalt psychology*. New York: Harcourt.
- Kohler, W. (1929). *Gestalt psychology*. New York: Liveright.
- Knowles, M. S. (1968). Andragogy, not pedagogy. *Adult Leadership*, 16(10), 350-352, 386.
- Knowles, M. S. (1975). *Self-directed learning*. New York: Association Press.
- Lashey, K. S. (1929). *Brain mechanisms and intelligence*. Chicago: University of Chicago Press.
- Locke, J. (1995). *An essay concerning human understanding*. New York: Prometheus. (Original work, 1690).
- Locke, E., & Latham, G. P. (1990). *A theory of goal setting and task performance*. Englewood Cliffs, NJ: Prentice-Hall.
- Merriam, S. B. (2001). Andragogy and self-directed learning: Pillars of adult learning theory. In S. B. Merriam (Ed.) *The new update on adult learning theory*. New Directions for Adult and Continuing Education, no. 89, 3-13.
- McClelland, J. L., & Rumelhart, D. E. (1988). *Explorations in parallel distributed processing: A handbook of models, programs, and exercises*. Cambridge, MA: MIT Press/Bradford Books.
- Palincsar, A. S. (1998). Social constructivist perspectives on teaching and learning. *Annual Review of Psychology*, 49, 345-375.
- Pavlov, I. (1927). *Conditioned reflexes*. (Trans. G. V. Anrep). New York: Oxford University Press.
- Pavlov, I. (1941). *Lectures on conditioned reflexes*, (Vol. I & II), New York: International Universities Press.
- Paas, F., Renkl, A., & Sweller, J. (2003). Cognitive load theory and instructional design: Recent developments. *Educational Psychologist*, 38, 1-4.
- Mezirow, J. (1985). A critical theory of self-directed learning. In S. Brookfield (Ed.). *Self-directed learning from theory to practice*. New Directions for Continuing Education, no. 25, San Francisco: Jossey-Bass.
- Mill, J. (1829). *Analysis of the phenomena of the human mind*. London: Baldwin & Cradock.

- Quinlan, P. T. (1991). *Connectionism and psychology: A psychological perspective on new connectionist research*. Chicago: The University of Chicago Press.
- Reynolds, R. E., Sinatra, G. M., & Jetton, T. L. (1996). Views of knowledge acquisition and representation: A continuum from experience centered to mind centered. *Educational Psychologist*, 31, 93-104.
- Robinson, J. C. (1982). *Developing managers through behavior modeling*. San Diego, CA: Learning Concepts.
- Rumelhart, D. E. (1980) Schemata: The building blocks of cognition. In R. Spiro, B. Bruce, & W. Brewer (Eds.), *Theoretical issues in reading comprehension*, (pp. 33-58). Hillsdale, NJ: Erlbaum.
- Rumelhart, D. E., & Ortony, A. (1977). The representation of knowledge in memory. In R. C. Anderson, R. J. Spiro, & W.E. Montague (Eds.), *Schooling and the acquisition of knowledge* (pp. 99-136). Hillsdale, NJ: Erlbaum.
- Russ-Eft, D. (1997). Behavior modeling. In L. J. Bassi & D. Russ-Eft (Eds.), *What works: Training and development*. Alexandria, VA: American Society for Training and Development.
- Russ-Eft, D. (2002). A typology of training design and work environment factors affecting workplace learning and transfer. *Human Resource Development Review*, 1, 45-65.
- Senge, P. M. (1990). *The fifth discipline*. New York: Doubleday.
- Skinner, B. F. (1938). *The behavior of organisms: An experimental analysis*. New York: Appleton-Century-Crofts.
- Skinner, B. F. (1953). *Science and human behavior*. New York: Macmillan.
- Skinner, B. F. (1957). *Verbal behavior*. New York: Appleton-Century-Crofts.
- Skinner, B. F. (1968). *The technology of teaching*. New York: Appleton-Century-Crofts.
- Skinner, B. F. (1987). What ever happened to psychology as the science of behavior? *American Psychologist*, 42, 780-786.
- Sonntag, Kh. (1996). *Lernen im Unternehmen*. Munchen: C. H. Beck.
- Sonntag, Kh. (1997). Real-life tasks and authentic contexts in learning as a potential for transfer. *Applied Psychology: An International Review*, 46(4), 344-349.
- Sorcher, M., & Goldstein, A. P. (1972) A behavior modeling approach in training. *Personnel Administration*, 35, 35-41.
- Spence, K. W. (1956). *Behavior theory and conditioning*. New Haven: Yale University Press.
- Spence, K. W. (1960) *Behavior theory and learning: Selected papers*. Englewood Cliffs, NJ: Prentice-Hall.
- Taylor, P. J., Russ-Eft, D., & Chan, D. (2003, June). *The impact of alternative rating sources and retrospective pretests on training effect sizes*. Paper presented at the Australian Industrial Organizational Psychology conference, Melbourne, Australia.
- Thompson, D. M., & Tulving, E. (1970). Associative encoding and retrieval: Weak and strong cues. *Journal of Experimental Psychology*, 86, 255-262.
- Thorndike, E. L., & Woodworth, R. S. (1901). The influence of improvement in one mental function upon the efficiency of other functions. *Psychological Review*, 8, 247-261.
- Tough, A. (1967). *Learning without a teacher*. Educational Research Series, no. 3. Toronto: Ontario Institute for Studies in Education.
- Tough, A. (1971). *The adult's learning projects: A fresh approach to theory and practice in adult learning*. Toronto: Ontario Institute for Studies in Education.
- Turner, J. C. (1995) The influence of classroom contexts on young children's motivation for literacy. *Reading Research Quarterly*, 30, 410-441.
- Turner, J. C., & Meyer, D. K. (2000). Studying and understanding the instructional contexts of classrooms: Using our past to forge our future. *Educational Psychologist*, 35(2), 69-85.
- Underwood, B. (1964). The representativeness of rote verbal learning. In A. W. Melton (Ed.), *Categories of human learning* (pp. 48-77). New York: Academic Press.
- Vygotsky, L. S. (1979). Consciousness as a problem in the psychology of behavior. *Soviet Psychology*, 17(4), 3-35.
- Watson, J. B. (1913). Psychology as a behaviorist views it. *Psychological Review*, 23, 89-116.
- Wertheimer, M. (1912). Experimentelle Studien über das Sehen von Bewegung. *Zeitung der Psychologie*, 61, 161-265.
- Wertsch, J. V. (1991). A sociocultural approach to socially shared cognition. In L. B. Resnick, J. M. Levine, & S. D. Teasley (Eds.), *Perspectives on socially shared cognition* (pp. 85-100). Washington, DC: American Psychological Association.
- Wertsch, J. V., del Rio, P., & Alvarez, A. (1995). *Sociocultural studies of mind*, New York: Cambridge University Press.

- Winograd, T., & Flores, F. (1986). *Understanding computers and cognition: A new foundation for design*. Norwood, NJ: Ablex.
- Wittgenstein, L. (1958). *Philosophical investigations* (3rd ed.). New York: Macmillan.

Taking Hope to Work--Extending Hope Theory to Include Performance Communication

Vickie Johnson Stout

Kristye Yvette Raby

Michael Lane Morris

University of Tennessee

The research reported in this paper represents the preliminary stage of Hope theory extension to include performance communication in work contexts. A theoretical framework emerges that provides transformational leaders with the necessary structure and strategy for potentially fostering Hope-based, GAP-oriented transformational performance.

Keywords: *Hope Theory, Performance Communication, Transformational Performance*

Change within an organization—planned or unplanned—sets off shock waves within individuals, teams, and the organization as a whole. Uncertainty abounds and affects how workers perceive their individual and collective roles, *goals*, and responsibilities within the organization. Such uncertainty often erodes *Hope* and subsequently impedes performance. Because organizational change, by its nature, mandates changes in *goals* and how individuals align with and attain those *goals*, employee *Hope* may vary a lot. Consequently, planned organizational change efforts necessitate leader performance communications that foster rather than diminish employee *Hope* and performance. In pursuit of extending *Hope* theory to include performance communication, the research reported in this paper represents the preliminary stage of *Hope* theory extension—formulation of a plausible theoretical framework.

Problem Statement and Research Questions

From the time that this preliminary *Hope* theory-extending research was initiated well over a year ago to the present, no research-based literature has been found pertaining to strategic facilitation of organizational change and development through *Hope*-based performance communication. Therefore, the researchers purposed to:

(a) determine how organizational change is facilitated through *Hope*-based performance communication, and
 (b) formulate a plausible theoretical framework for implementing *Hope*-based performance communication in work contexts. Supportive of the research problem and purposes, the following research questions were posed:

1. What is the nature of organizational change?
2. What is the nature of performance communication?
3. What is the nature of *Hope*?
4. How do organizational change, *Hope*, and performance communication interface?

Methodology

For over 10 years one of the researchers has been employed as a university faculty member and concurrently provided eldercare for a chronically ill parent. Throughout the eldercare experience the researcher has reflected upon transferable strategies for (a) sustaining *Hope* and resilience amidst major life changes, (b) perpetuating her personal and professional development, and (c) innovating *because of* rather than *in spite of*, sometimes overwhelming and seemingly competitive and conflicting roles, *goals*, and responsibilities. As a result of periodically reflecting upon and bundling the lessons learned from her informal three-part study, the researcher formulated a research agenda initiative related to her ever-evolving organizational communication teaching responsibilities. In early 2002, the researcher began a comprehensive literature review about the cognitive construct of *Hope*. The review entailed a systematic scouring of electronic databases for *Hope* measurement tools and related publications. Discussions with two colleagues studying change by design, collaboration, and strengths as positive organizational behavior subsequently led all three researchers to concur that, while research has documented *Hope*'s positive influence on performance in numerous arenas (Zournazi, 2003; Snyder, Ilardi, Michael, & Cheavens, 2000; Farran, Herth, & Popovich, 1995), research about *Hope*'s utility in work contexts is almost nonexistent. The researchers' discussions prompted them to integrate and extend their related literature reviews and to contact multiple prominent interdisciplinary *Hope* researchers requesting that they share *Hope* reference and publication information. At the

Copyright © 2004 Vickie Johnson Stout, Kristye Yvette Raby, & Michael Lane Morris

time that the researchers prepared this paper, only 10 writings (consisting of book chapters and articles) had been located about *Hope*'s utility in work contexts. While voluminous quantities of interrelated literature pertaining to *Hope*, performance management, communication, change management, transformational leadership, and positive psychology literature were reviewed, analyzed, and synthesized, the researchers selectively included narrative and reference citations in this paper in order to comply with the Academy of Human Resource Development's conference proceedings page-length parameter for paper submissions.

For over a year the researchers have met intermittently to think collaboratively about the extension of *Hope* theory as it applies to performance in work contexts. Having agreed early on that their mutual professional arena of human resource development is most likely to impact individual *Hope states* in organizations versus impacting individual *Hope* traits, the researchers committed to thinking collaboratively about strategic organizational processes whereby individual *Hope* states could be enhanced and individual performance improved.

Periodically melding insights gleaned from their respective and collaborative literature searches, the researchers discerned connectedness of *Hope* theory with at least four theories commonly associated with work issues—namely, organizational change, human capital, communication, and transformational leadership—which led them to consider the important connection between organizational change and performance communication. Subsequently, the researchers generated four research questions for which answers would aid in their preliminary extension of *Hope* theory. Based upon an extensive review, analysis, and synthesis of related literature, responses were found for each of the research questions, which in turn, contributed to the researchers' formulating a plausible theoretical framework for preliminarily extending *Hope* theory to include performance communication. Actual testing of the researchers' framework is in progress and represents a separate, multi-faceted research endeavor.

Results

Within the responses to their four research questions, the researchers' reveal their proposed framework for preliminarily extending *Hope* theory.

In response to Research Question 1,

What is the nature of organizational change?

the researchers found that organizational change is now a given, and “the pace of change is accelerating” (McLagan, 2002), because of the rapid changes consistently occurring in the environment, in technology, in culture, in laws and regulations, and within the organization itself as it seeks to respond proactively to these many changes (Fisher, Schoenfeldt, & Shaw, 2003). But, what is organizational change?

Based upon extensive review of change literature spanning Lewin's seminal change research (Swanson & Holton, 2001) and continuing through to McLagan's dynamic action research-based contemporary writings (2002), the researchers operationally defined organizational change as the recognition of a gap between the desired performance objectives and the existing performance of the organization and the implementation of the necessary course of action to fill the gap, as illustrated in Figure 1.

Performance can be service related, product related, innovation related, or anything that the organization does to meet the constituent-requested need. According to Lawler and Mohrman (2003), the organization's survival depends upon its capabilities to compete with quality, service, technology, innovation, and knowledge management, to mention only a few of the many elements that affect the survival or the failure of the company. Performance is the central focus, the driver, and the motivating factor for organizational change. The necessity to do things more effectively and more efficiently at a lesser cost drives organizational change. Organizations strive to do the right thing with the right people at the right time at the least cost and with the highest level of integrity possible. McLagan and Krembs (1995) indicated that, “change is inevitable in today's dynamic environment.” Through its transformational leadership, the organization now recognizes that change is anticipated and strategically plans proactive means for utilizing the changes as opportunistic challenges instead of catastrophic barriers.

As organizations develop proactive approaches to the plethora of changes, Becker, Huselid, and Ulrich (2001) stressed the importance of aligning internal strategies and measurements with performance metrics. Additionally, Stout and Raby (Association for Business Communication Conference, 2003), indicated that individuals' perceptions about *goals*, roles, and responsibilities must be addressed proactively through any organizational change. Their research further indicated that strategic, purposeful communication was the key to any successful implementation of change.

With change being the rule rather than the exception in today's environment, Tichy (as cited in Swanson & Holton, 2001) indicated that “these changes are often frightening and threatening while at the same time potentially stimulating and providers of new hope.” Transformational leadership addresses the perceived barriers to implementation, as outlined in the American Society for Training and Development (ASTD) *Info-Line* (1989,

October) in order to facilitate a successful change. Implementation barriers stem from a wide variety of issues, but many of the barriers relate directly to poor communication (or perhaps non-existent communication) specifically involving the change process and its intended objectives.

Recognizing that successful organizational change completely depends upon the quality and content of communication from the organization, transformational leadership becomes accountable and responsible for providing *Hope-based* communication.

Figure 1. The Performance Delta Associated with Organizational Change



Responding to Research Question 2,

What is the nature of performance communication?

the researchers determined that performance communication (PC) refers to the system of and the formal and informal processes for exchanging information with the purposes of: informing, guiding, and shaping the performance of organizations and individuals. As a purposeful endeavor, PC is *a*, if not *the*, primary means whereby organizations develop. PC occurs in both traditional and virtual environments among persons internal and external to an organization, particularly if value chain interfaces count as competitive advantage touch points. PC is inter-organizational (if viewed from a supply-chain perspective), intra-organizational, inter-personal, and/or intra-personal in scope, and PC (a) involves spoken and written messages, and (b) entails use of a comprehensive range of communication skills, including listening, speaking, reading, writing, and nonverbal skills.

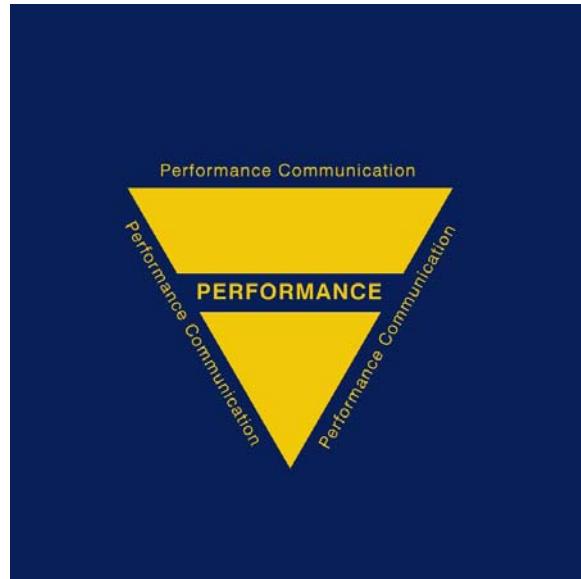
When viewed from the perspective of the individual employee in relation with the organization, PC begins from the time that the organization posts or advertises job specification information and the future employee as a prospective candidate makes application for employment, and PC continues throughout the employment lifespan of that individual performing on behalf of an organization.

Characteristically facilitative, PC helps individuals complete their work and improve the way they work with others (Farrell & Weaver, 2000). Figure 2 depicts how PC, if planned for and present, encapsulates and fortifies performance. While written and oral communication performance tools such as business and performance metrics, job descriptions, performance evaluations, strategic plans, manuals outlining policies and procedures, job aids, instructional emails, meetings, and debriefings aid individuals in knowing performance expectations, one-on-one relating between the individual worker and the immediate supervisor serves as a primary means whereby the worker receives and participates in performance communication. According to Jablin and Putnam (2001),

. . . future organizational communication research will likely focus on developing new perspectives on old processes, relationships, problems, and issues, including the study of communication structures and networks, leader-follower communication, participation, feedback , information flow and the filtering of messages, the creation and interpretation of messages, and communication media and channels.

Use of the term *performance* has emerged in the field of organizational communication, thus, moving scholars to ask different kinds of questions and reconsider assumptions about traditional areas of study (Jablin & Putnam, 2001). However, to date, *Hope-based PC* has yet to appear in organizational communication literature.

Figure 2. Performance Fortified by Performance Communication



Analysis of literature supportive of answering **Research Question 3**,

What is the nature of Hope?

indicated that since the early 1950s numerous theorists have emphasized the importance of *Hope* and its embodiment of expectations for success in attaining *goals* (Stotland, 1969). The fact that *Hope* has been given many definitions has resulted in a confusing picture of *Hope* as a construct (Lopez & Snyder, 2003).

For the purpose of this research, *Hope* was defined as a cognitive construct that appears as both a trait and a state. Characteristically, *Hope* involves the actions of trusting in, focusing on, waiting or looking for, desiring, demonstrating boldness and courage, and expecting attainment of a benefit-enriched (value-added) goal (Stout & Raby, 2003). Figure 3 shows that three components comprise *Hope*, namely, *goals*, *agency*, and *pathways*. *Goals* represent performance targets pursued by organizations and individuals. *Agency* or motivation serves as (a) a requisite *driver* of what is targeted for strategic emphasis and focused on for goal attainment, and (b) a powerful goal attainment *enabler* which aids in stimulating, channeling, and sustaining cognitive energy toward goal attainment. *Pathways* pose viable routes to goal attainment. Curiously, once realized, attained *goals* promote bolstered *agency* and expanded capacity to perform and commonly evolve into *pathways* for/to subsequent or complementary *goals*.

With the transfer of knowledge about the organization's strategic business and performance expectations (*goals*), the motivation (*agency*) of organizational leadership for pursuing selected *goals*, and suitable/appropriate strategies, tactics, and actions (*pathways*) for fulfilling the organization's strategic business and performance expectations (*goals*), individual employees are better able to craft complementary *goals* which support organizational development.

As illustrated in Figure 4, *goals*, *agency*, and *pathways* in concert provide a tremendous value-adding template for designing, implementing, and evaluating performance communication and resultant transformational performance so that aggregately, employees are better equipped to perform in value-adding and empowering ways that foster their individual growth in alignment with the organization's growth and development. Leadership capacity to articulate the organization's vision, mission, and values represents a strategic capacity for knowledge transfer about performance expectations. In addition, leaders are expected to communicate goal attainment by modeling alignment with and support for the organization's strategic *goals*.

Snyder (1994) indicated, "*hope* is the essential process of linking oneself to potential success." He further stated that "hope in the minds of people is translated into actions involving the *goals* in their lives" (Snyder, 1994).

Understanding that people are inherently goal focused provides communicators with strategic tools for preparing messages that increase *Hope*, increase performance, and enhance organizations. Goleman (as cited in Kouzes & Posner, 1999), in a study about *Hope* in general and involving more than 7,000 men and women ages 18-70, found that only about 40 percent had *Hope* or capacity to reach their *goals*. Based upon Goleman's research, Kouzes and Posner (1999) speculated that if only 40 percent of working-age adults have the capacity to achieve their *goals*, then organizations potentially have less than half the hope needed to achieve optimal organizational performance. Snyder and Feldman (2000) encouraged, "a high hope work place. . .one where workers are allowed some freedom to generate their own *goals* for advancing the interests of the company (and themselves)." A supporting relationship exists between communication and *Hope*. McDermott and Snyder (1999) indicated, "you can use hope strategies to learn more effective communication, while good communication also nourishes hope."

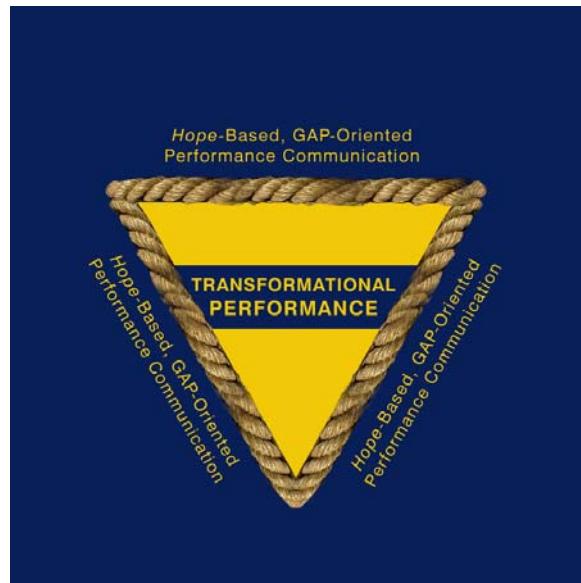
In their compelling text, *Hope and Hopelessness, Critical Clinical Constructs*, Farran, Herth, and Popovich (1995) chronicled published quantitative and qualitative *Hope* research from 1974 through 1993 with no mention of any research conducted linking *Hope* and work. They do mention *Hope* research involving hospitalized suicide attempters, psychiatric patients, college students, nursing home residents, cancer patients, psychiatric inpatients, healthy adults, chronically and acutely ill hospitalized medical patients, outpatients, depressed patients, children, rural mental health outpatients, community based older adults, chronic heart failure patients, persons with AIDS, acute myocardial infarction patients, adolescent substance abusers, adult oncology patients, elderly widows, terminally ill adults, multiple sclerosis patients, HIV-spectrum homosexual men, persons diagnosed with major depression, persons with traumatic spinal cord injuries, elderly stroke patients, and family caregivers of terminally ill patients. The bulk of the research overviewed by Farran, Herth, and Popovich appeared to support a disease-based model for studying *Hope* rather than a preventative or wellness model. Snyder, Ilardi, Michael, and Cheavens (2000) reported extensive *Hope* research targeting academic and athletic performance.

Based upon their extensive literature review, the researchers of this preliminary *Hope* theory extending paper found only 10 writings published since 1993 linking *Hope* and work, and of those only one reported empirical research involving 59 managers in 21 Midwest fast-food restaurants associated with a large chain franchise company (Peterson & Luthans, 2003). Nine of the 10 writings suggested that *Hope should go to work*, but the literature included no mention of the vital connections amongst *Hope*, performance communication, and performance.

Figure 3. Hope-Based Performance Communication Components



Figure 4. Hope-Based, GAP-Oriented Performance Communication's Promotion of Transformational Performance



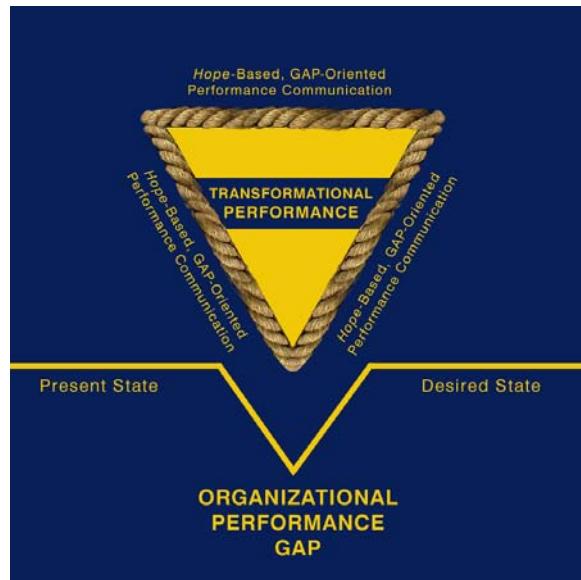
In response to **Research Question 4**,

How do organizational change, Hope, and performance communication interface?

the researchers found that the meshing of theory with practice must encompass an organization's purpose-driven and performance-focused objectives. The theories of organizational change, human capital, communication, and transformational leadership provide the plumb line for the organization as it strives for environmental alignment. Performance represents the common denominator and central focus of these related theories. Further, the integrative element that pervades all of these theories is the value of human capital. Thurow (as cited in Swanson & Holton, 2001), indicated "new industries of the future depend...on brain power." While theories provide a collective plumb line for organizational effectiveness and performance, such a plumb line must be suspended from or supported by the figurative girders of human capital. Transformational leaders embrace the ideal that successful firms are people-centered, facilitating the understanding and defining of *goals*, *agency*, and *pathways* (the components of *Hope*) as they relate to performance objectives. Human capital, the most valuable resource of any organization, is "related to all organizational processes and thus [is] important in allowing an organization to gain and sustain a competitive advantage" (Fisher, Schoenfeldt, & Shaw, 2003). Recognizing that *Hope* directly relates to superior performance, transformational leaders facilitate the organizational change with *Hope-based* strategic, consistent, and direct performance communication (Stout & Raby, 2003).

Performance communication is absolutely vital in the transition through change. Kelly (as cited in Isaacs, 1999) indicated, "' the new economy is about communication, deep and wide.'" According to Andrews (2002), "the rise in popularity of the World Wide Web and e-mail has created opportunities and practices that were unimaginable just a few short years ago." Technology provides the capability for immediate access so that time zones, locations, and schedule coordination are no longer issues. Performance information can be communicated virtually anywhere, anytime, and to anyone in the organization. However, the information must be valuable and authentic, facilitating employees' with *goals*, *agency*, and *pathways* so that they can harmonize personal *goals* with organizational *goals* and fill the gap with *Hope-based GAP*. *Hope* separates extraordinary organizations from ordinary organizations. As illustrated in Figure 5, organizational change must be facilitated by performance communication, which is threaded with the components of *Hope*, *Goals*, *Agency*, and *Pathways* (GAP), necessary to fill the gap to create *transformational performance*, the ultimate level of performance for which every organization should strive.

Figure 5. Hope-Based, GAP-Oriented Performance Communication Filling the Organizational Performance Gap



Conclusions, Recommendations, and Implications

Conclusions derived from this research are as follows. Organizational change mandates change in business metrics, performance metrics, and performance. Effective performance communication facilitates organizational change. And, as a system process, performance communication lends itself to continuous improvement.

The researchers recommend that future research be conducted to clarify the connections amongst *Hope*, performance communication, and performance. In addition, research is needed to identify performance communication best practices and to investigate strategies for sharing hope across cultures and environments. Longitudinal research is needed to determine the gains derived by leaders who use *Hope*-based, GAP-oriented performance communication.

Implications stemming from the present research include the following. Change has a negative connotation, but the fear is not in the change itself but in the perceived unknown. Transformational leaders must recognize the grip and strength the fear, perceived or real, has and its potential effect on the success of any organizational change. Organizations and individuals need to view change opportunistically as a means of filling the gap between existing and desired performance. Because the gap is constituent focused, an organization's response in filling the gap must also be constituent focused. Organizational change of any kind demands that heroes emerge to provide *Hope*-based, GAP-oriented performance communication throughout the transition. HRD professionals must step up to the plate and become such heroes. Everyone in an organization has responsibility for performance communication.

Hope-based, GAP-oriented performance communication is a language, which *can* be learned. Through practice this language can be shared, grown, and replicated within organizations. Change theories such as Lewin's addressing change as more of a static state through the basic elements of "unfreezing, moving, and refreezing" (Swanson & Holton, 2001) are still applicable to the dynamic state of change today, just in an ongoing, constant organizational realignment with internal and external variables. The interrelated foundational theories of organizational change, human capital, communication, and transformational leadership provide the necessary strategies and approaches for organizational change management. However, for successful change implementation to occur, performance communication that is *Hope*-based, GAP-oriented must transition the organization through the change. The transcendence of *Hopeful* thinking transforms leaders, followers, and organizations, and births *transformational performance*, which in turn expands the potentiality of individuals and organizations.

Contributions to the New Knowledge in Human Resource Development (HRD)

This research builds upon extensive review, analysis, and synthesis of related literature, and proffers a theoretical framework for extending *Hope* theory to include performance communication. The researchers have commenced

testing the proposed framework to confirm whether and how it (a) provides structure and strategy for leaders to transform themselves and instill *Hope* in others, and (b) launches transformational performance in the workplace. Many HRD scholars and practitioners should contribute to this new construct of organizational performance. Because of its relevance to HRD, *Hope-based*, GAP-oriented performance communication deserves a place on the Academy's research agenda.

References

- Andrews, J. (2002). *i-Net+ Guide to the Internet*. Boston: Course Technology.
- Becker, B. E., Huselid, M. A., & Ulrich, D. (2001). *The HR scorecard: Linking people, strategy, and performance*. Boston: Harvard Business School Press.
- Farran, C. J., Herth, K. A., & Popovich, J. M. (1995). *Hope and hopelessness, critical clinical constructs*. Thousand Oak, CA: Sage Publications.
- Farrell, J. D., & Weaver, R. G. (2000). *The practical guide to facilitation, a self-study resource*. San Francisco, CA: HRD Press.
- Fisher, C. D., Schoenfeldt, L.F., & Shaw, J. B. (2003). *Human resource management* (5th ed.). Boston: Houghton Mifflin.
- Isaacs, W. (1999). *Dialog and the art of thinking together*. New York: Doubleday.
- Jablin, F. M., & Putnam, L. L. (Eds.) (2001). *The new handbook of organizational communication, advances in theory, research, and methods*. Thousand Oaks, CA: Sage Publications, Inc.
- Kouzes, J. M., & Posner, B. Z. (1999). *Encouraging the heart, a leader's guide to rewarding and recognizing others*. San Francisco: Jossey-Bass Publishers.
- Lawler, E. E., III, & Mohrman, S. A. (2003). *Creating a strategic human resources organization: An assessment of trends and new directions*. Stanford, CA: Stanford University Press.
- Lopez, S. J., & Snyder, C. R. (2003). *Positive psychological assessment, a handbook of models and measures*. Washington, DC: American Psychological Association.
- Managing change: Implementation skills, (1989, October). *American Society for Training and Development Info-Line* (8910).
- McDermott, D., & Snyder, C. R. (1999). *Making hope happen: A workbook for turning possibilities into realities*. Oakland, CA: New Harbinger Publications.
- McLagan, P. (2002). *Change is everybody's business*. San Francisco: Berrett-Koehler.
- McLagan, P., & Krembs, P. (1995). *On-the-level: Performance communication that works*. San Francisco: Berrett-Koehler.
- Peterson, S. J., & Luthans, F. (2003). The positive impact and development of hopeful leaders. *Leadership & Organization Development Journal* 24(1), 26-31.
- Snyder, C. R. (1994). *The psychology of hope: You can get there from here*. New York: The Free Press.
- Snyder, C. R., Ilardi, S., Michael, S. T., & Cheavens, J. (2000). Chapter 7, Hope theory: updating a common process for psychological change. *Handbook of psychological change: psychotherapy process and practices for the 21st century*. New York, NY: John Wiley & Sons.
- Stotland, E. (1969). *The psychology of hope*. San Francisco: Jossey-Bass, Inc., Publishers.
- Swanson, R. A., & Holton, E. F., III. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Stout, V. J., & Raby, K. Y. (2003). Communication strategies that foster hope in a changing organization. *Association for Business Communication Annual Convention Research Forum*.
- Zournazi, M. (Ed.) (2002). *Hope, new philosophies for change*. New York, NY: Routledge.

A Rationale for HRD-Ethics and its Inclusion as a Theoretical Foundation

*Tim Hatcher
North Carolina State University*

A rationale is developed for a new HRD-ethics and its inclusion as a core theoretical foundation for HRD research and practice.

Keywords: Ethics, Theoretical foundations, Values

While disciplines other than HRD contribute to an ethical climate in organizations, it is increasingly obvious that lapses in ethical judgment well illustrated by Enron, Tyco, Shell, Union Carbide and others resulted primarily from inadequate *people development systems*. Disregarding human development and human potential not only places an organization at economic risk but also in moral jeopardy. When HRD-related systems fail ethics suffer. The moral fabric of the system is stained. HRD sans moral responsibility creates a discipline sans heart and soul. Thus, as Stewart (2003b) has fervently stated: "HRD is, in and of itself, an ethical endeavor" (p.83). Professionals and scholars are concerned about HRD-related ethics. Researchers such as Roberson & Hinton (2000), Woodall and Douglas (2000), and McDonald (1995) identified several HRD specific ethical issues/dilemmas and unethical behaviors. See Table 1 for a summary of HRD ethics research findings. Left unresolved these issues have dire consequences for people and organizations.

Table 1. *Summary of HRD Ethics Research Findings*

Use of 'cure all' programs	Improper behavior (lack of follow up)
Dishonesty regarding program outcomes	Lack of professional development
Abuses of trainees	Working within one's expertise/competence
Failure to give credit	Choosing interventions with a high probability of success
Conflicts of interests	Hidden agendas
Confidentiality	Respecting rights, dignity and worth of all people
Ownership of instructional materials	Balancing individual and organizational needs
Honesty, integrity, professional/accountability	Addressing diversity
Training for training sake	Appropriate use of Technology (copyright, privacy, access to information)
Using power appropriately	
Discrimination	

Taken together the items listed in Table 1 illustrate the diverse character of ethical issues surrounding HRD. They also remind us of the profession's inability to address them and the dearth of policies to insure they are managed. Without a specific and valid moral foundation within which to deal with these specific issues HRD must rely instead on the same business ethics that failed Enron, WorldCom and a host of others.

Human resource development (HRD) as commonly defined is a unique discipline that is organizationally bound. Organizational morality is characterized as business ethics. Thus, HRD research and practice is moderated by and dependent upon business ethics. Business ethics, defined as right and wrong conduct within a business context has recently been criticized as not alleviating immoral business practices (Cornelius & Gagnon, 1999). Neither has business ethics as academic inquiry contributed much to alleviating the unethical concerns listed above. As a result, 'To what extent has business ethics added moral value to HRD?' becomes a valid and important question.

"Business ethics continues to have a marginal status in both the theory and the practice of commercial organizations" (Sorrel, 1998, p. 15). Due to its inherent 'good' HRD is likely to come under ethical scrutiny (Woodall & Douglas, 2000). Stewart (2003a) added "the basic confusion at the heart of business ethics is the false belief that business decisions and activities can be separated into ethical and non-ethical issues. The two are interrelated" (p. 92). The business approach to ethics has tended to be observational and based on external reflection, with few recommendations for change (Cornelius & Gagnon, 1999). Business ethics has not provided a catalyst for morally sound work-related behaviors nor for the evolution of ethics norms for the HRD profession. This lack of direction is the impetus for changes that include (a) the development of a unique HRD-ethic to replace business ethics, and (b) inclusion of HRD-ethics as a core theoretical foundation for HRD.

Copyright © 2004 Tim Hatcher

Problem and Purpose

The problem addressed in this paper is twofold. First, that ethics, defined as right and wrong/moral and immoral conduct, is viewed in terms of *business ethics* as the predominate ethic in HRD, and that HRD professionals do not view ethics as a specific metatheory for HRD.

Second, *HRD-ethics* is not considered as a core theoretical foundation for HRD. Based on these two problems the purpose of this conceptual inquiry is to investigate the applicability and validity of the following two propositions (P) and supporting questions (Q).

P_a: Because of the inability of business ethics to add value to HRD a new *HRD-ethic* is justified.

Qa₁ *Why is ethics needed?*

Qa₂ *Why is a new ethic needed? To what extent is the existing ethic not working?*

Qa₃ Why would adding HRD ethics be important? What are implications for the field? What would it do for research and practice?

Qa₄ What would a new HRD-ethic look like? How would it be different from business ethics?

P_b: HRD is an ethical endeavor, thus HRD-ethics should be included as a core theoretical foundation.

Qb₁ *Why would adding HRD ethics as a core TF be important? What would it do for research and practice? What are implications for the field?*

To accomplish these goals a brief discussion is offered on current ethical theory in HRD followed by a rationale for a new *HRD-ethics*. Next is a justification for HRD-ethics as a core theoretical foundation. The paper concludes with implications for HRD. Note that implications for HRD are embedded throughout the paper.

Ethical Theory in HRD

A review of current HRD-related scholarly publications revealed a lack of discussion on ethical theory in HRD. This review included scholarly publications from 1998-2003 for the following: Academy of Human Resource Development (AHRD) annual conference proceedings, *Human Resource Development Quarterly*, *Human Resource Development International*, *Advances in Developing Human Resources*, *Human Resource Development Review* and *Performance Improvement Quarterly*. A content analysis focusing on ethical theory and ethics and HRD theory revealed that of the hundreds of publications reviewed there were none with a specific focus on ethical theory in HRD and only 4 publications were located that specifically discussed ethics and HRD theory (See Swanson, 1999; Swanson and Holton, 2001; Hatcher, 2003; Stewart, 2003a&b). There were however several publications on ethics and HRD (see Russ-Eft, 2003; Stewart, 2003; Aragon & Hatcher, 2001). A conclusion that can be drawn from this limited review is that ethical theory is of little concern to many HRD scholars and that ethics as theory has played only a minor role in HRD to date.

HRD-ethics: Rationale for a New Ethic

Why is Ethics Needed?

Several scholars suggested that HRD has moral responsibilities and is an ethical endeavor (McLean, 2001; Chalofsky, 2003; Stewart, 2003a&b; Woodall, 1996; Hatcher, 2002); that the processes and outcomes of HRD contain values, morals and ethical implications. Socrates is credited with saying “The unexamined life is not worth living”. To the extent this is true in postmodern society is open for debate. However, with on-going moral dilemmas highlighted in the media the need for ethics, especially within commerce and organizational contexts is increasingly obvious. Several underlying reasons for business ethics are proposed:

1. The public's expectations that business act ethically.
2. The possibility of harm to people and the environment.
3. To comply with the law. [For example the Sarbanes-Oxley Act]
4. The protection of employees' safety and health.
5. To promote personal morality (Post, Lawrence & Weber, 2002)

The extent that the above generalizations of ethics are applicable to HRD is questionable. For example, many HRD interventions are not visible to the public and in many organizations HRD is only minimally concerned with legal compliance. Ethics specific to HRD is thus justified and includes the following rationale:

1. The ability of HRD to change work-related systems depends on values and ethics as much as competence.
2. Globalization and technology are changing the construct of leadership from transactional to values-based.
3. Organizations do not change as a result of instrumental means; they change through transformations in the thoughts, actions, attitudes and values of people (Hatcher, 2002).

Why is a New Ethic Needed? To What Extent is the Existing Ethic not Working?

If HRD-ethics amounts to a coherent theory rather than a random collection of ethical problems, codes of ethics, and practical solutions, what then is its conceptual rationale? (Floridi & Sanders, 2002). HRD has provided modest leadership in organizational ethics/morality. It has been accused of being complicit in corporate wrongdoings and HRD has assisted in fostering less than ethical behaviors. Trying to adhere to a business ethic based on neo-classical economics results in practice and scholarship ill conceived to fully address the critical nature of morals and ethics.

Business ethics theory is ineffective in today's complex work environments. "Some at least of its practitioners have taken the position that theory is of little or no use in the solving of those real-life ethical problems" (Kaler, 1999, p. 207). This may be, in part, due to its theoretical nature and unlike ethics in medicine, law and government, its failure to solve many real-world ethical problems. Dean (1997) added, "There is a gap between the theory and practice of business ethics" (p. 1638). Add to this ineffectiveness an increasingly global and complex context in which business ethics is being asked to provide more values-based solutions and it becomes clear that business ethics is not providing a basis even for minimal ethical conduct.

Globalization and technology have caused new and unanticipated problems and opportunities that outpace contemporary business ethics and theoretical developments. Witness business ethics' inability to address the breakdown in moral leadership and ethical practices within Enron, WorldCom, Tyco and others. HRDs reliance on business ethics has not served to expand HRD as a moral profession. Business ethics tends to keep HRD compliant and a 'handmaiden' of management; limiting its influence beyond the organization, reducing provisions for a humane workplace (Chalofsky, 2003), or depreciating workplace democracy (Dirkx, 1996). "It does appear that an institutional ethical vacuum, or 'moral hole' has been created" (Cornelius & Gagnon, 1999, p. 227).

Why Would Adding HRD Ethics be Important? What are Implications for the Field? What Would it do for Research and Practice?

First, it would send a message that an ethics specific and applicable to HRD is as important as business ethics. It would help HRD assume a more professional stance. Beyond codes of conduct or integrity standards, many other professions and disciplines have seen fit to develop their own ethical theories. There are business ethics, engineering ethics, computer ethics, feminists' ethics, and environmental ethics to name but a few. Additionally, it would provide HRD research and practice and HRD philosophy ethical guidelines and principles specific to HRD. Second, an HRD-ethic would be an explicit lens through which practice and scholarly work can be accomplished. It would provide an ethics base and specific knowledge necessary to identify ethical issues imbedded in complex situations and help professionals select both research and practice strategies for morally sound resolutions. In addition, an HRD-ethic can sensitize public opinion, professionals, scholars and politicians.

While some scholars have criticized normative approaches to values and morals, it is apparent that through recent activities and publications including codes of ethics, conference topics and presentations, and journal publications the HRD profession is currently seeking normative solutions to ethical issues. And while moral philosophers might eschew defining morality, HRD consists of behaviors and practices and thus knowledge (moral boundaries) that scholars and practitioners may well concur are right and/or wrong. For example, manipulating data to improve test results or coercing employee participation in research. Kaler (1999) added, "There has to be some sort of prior knowledge of the nature of morality. There is a kind of knowledge of what it is that makes situations good or bad and actions right and wrong. It is only by having that knowledge that we be in a position to judge what is and is not a correct resolution of an ethical problem" (p. 210). This knowledge establishes a 'common morality' that sets the stage for a distinctive HRD-ethic:

The core idea of a common morality is that all humans – at least all morally serious humans- have a pretheoretical awareness of certain moral norms. The claim is that normal humans intuit or in some other way know that there is something wrong with things like lying or breaking promises or killing people. These purportedly universally shared insights can provide the raw data from which ethical theories are constructed (Veatch, 2003, p.189).

Gilley, Dean, & Bierema (2001) in comparing HRD philosophy and practice pointed out that normative philosophies include allowing the "inner good to unfold, spirituality, and meaning of work" (p. 37). The recent support amongst scholars, HRD professional organizations and in HRD-related publications for inclusion of this "third paradigm" for HRD (the other two being learning and performance) is a conceptual change. The UK appears to be on the leading

edge of this paradigm change. Cornelius & Gagnon (1999) noted that “in the UK literature on ethics HRM..involves promoting ethics for social justice (deontological) rather than for business case reasons (utilitarian) (p. 227). [Note that HRM in the UK includes a potent HRD component]

The moral philosophies and normative ethical guidelines that a profession establishes influence practice and research. Thus, in increasingly complex and global organizations HRD professionals need an ethic that enhances sustainability of individuals, organizations and HRD by transcending the instrumentality of business ethics.

The third implication involves normative development. Most professions have typically had little trouble establishing skills and competencies and using them to attract members. It appears *prima facie* that a profession that wishes to attract people with deeply held moral values should develop and espouse highly moral ethical norms. But more than simply assigning merit or worth to outcomes or processes, ethics is the milieu in which professional's establish integrity, and develop solidarity through normative ethical worldviews.

The context in which ethics is applied serves to establish its limitations, boundaries, definitions and points-of-view. As examples, *business ethics* is viewed through neo-classical economics while *environmental ethics* establishes right and wrong within an ecological/natural viewpoint. This diversity of ethics provides alternatives about values. It can also influence the ethical worth of an activity or outcome. “Practical moral problems have multiplied and have become exceedingly complex in our rapidly changing world. Applied ethics is the attempt to solve them and consolidate ways of dealing with them, making the best use possible of the resources of ethical theory as well as accumulated human knowledge” (Edel, Flower, & O'Connor, 1994, p.7).

Building ethical theory requires either an *evolutionary* or *utility* approach. An evolutionary approach implies that a specific ethic evolves as a profession grows and changes. Establishing and normalizing acceptable and unacceptable behaviors is a process that can occur as a result of describing acceptable behaviors within a specific context. In addition to descriptions it requires systematic observation and accounting of professional conduct and subsequent changes over time. Norms are then established by behavioral feedback primarily in the form of rewards and punishments. This feedback supports behaviors that in turn may become normative guidelines in the form of codes of ethics or regulations. For example, unwanted sexual advances were widespread in the 1970s workplace but are considered unacceptable practices in most modern business environments.

Conversely, a *utility* approach involves examining and drawing from existing and equivalent ethical theories. For example, “Environmental ethics presents and defends a systematic and comprehensive account of the moral relations between human beings and their natural environment” (Des Jardins, 2001, p. 13). It is the discipline that studies the moral relationship between human beings and nature and also the value and moral status of the environment. While environmental ethics is based on non-anthropocentrism, HRD can draw value from this approach to ethics by considering how being human, most HRD professionals are by nature anthropocentric; the outcomes of practice are increasing productivity and developing people within organizations. And although this is a virtuous goal HRD that considers implications for people alone has the potential to cause harm to other sentient beings, ecosystems and nature. For example, research grounded in economically grounded business ethics conducted in a service firm finds that with new skills fewer workers are needed. The research helps management justify a reduction in workforce that has negative impacts on the tax base of the community and its ability to address critical environmental issues. While simplistic, this example illustrates how theory might limit the potential impact of HRD research.

Values are important in understanding how aspects of environmental ethics might be evaluated for inclusion in building HRD-ethics. Environmental ethics distinguishes between *instrumental* and *intrinsic* values for individual organisms, species, and ecosystems. *Instrumental* means useful for humans to obtain something else of value. In environmental terms, animals, plants and land are valued only because of the benefits they bring to humankind. The environment has *intrinsic* value when it is valued for itself and not for what benefit it brings to people. Rolston (2003) argued that environmental values are objective; pre-existing humans, continuing in all species and ecosystems, and would continue without *Homo sapiens*. The conflict of values involves the inability of *people within economic organizations* to acknowledge the subjectivity of intrinsic values versus the objectivity of instrumental values.

To include nature for its intrinsic value in ethical theory means that “determinations have to be made regarding how these values are carried by natural things and how they are to be traded against other human values and the demands of industry and business for economic growth” (Buchholz, 1993, p. 63). Moral extensionism forces us to include moral value to non-sentient rocks and dirt, even awe-inspiring landscapes. But should we extend ethics only to living beings with “interests, or cognitive equipment” as some philosophers have suggested, or to those creatures with endearing human characteristics? Rather than pose arguments on either side of this debate, it seems reasonable to suggest that the primary lesson from environmental ethics applied to HRD-ethics is that no human welfare, liberty, prosperity, or future exists apart from an ecological rubric in which life must exist. Thus, both the utilization

and evolutionary approaches to establishing an HRD-ethic appears valid and suggests that this evolving new ethic may be more sustainable than previous business ethics.

To insure that a new HRD-ethic adheres to Dubin's (1976) criteria for theory building it is necessary to justify how the new ethic differs from the old. The following section is designed to address these differences.

What Would a New HRD-ethic Look Like? How Would it be Different from Business Ethics?

"We need to reconsider how we use theories in applied ethics. Our job may be less making choice of one theory over another than exploring where a given theory provides help in solving or addressing a particular problem: we select from theories rather than among theories, we draw from theories...it means we regard theories less as providing rival truths and more as instruments or tools to be drawn on to solve problems" (Edel, Flower, & O'Connor, 1994, p.61). Business ethics tends to limit the kinds of questions asked to those around efficiency, effectiveness, performance and production and thus limit the actions taken. Simply acknowledging the gap between statements of fact and statements of value is enough at this juncture, to caution against overreliance on the instrumentality of business as a construct for ethics (Des Jardins, 2001). If the questions being asked are limited, then so too will the answers and the policies, consequences, and outcomes.

Business philosophy is reductionistic, objective and value-neutral in nature, yet much of what HRD is asked to accomplish is subjective and values-laden. The reductionistic/objective tendency disregards and distorts the morally charged relationships that exist between individuals, groups, and organizations. It also ignores values, one of the most important attributes of HRD.

HRD is practice-bound and relies on many 'tools' to solve organizational and individual problems around learning and performance. But like all tools, their use depends on the user's intent and values. The time to examine such values is prior to opening the toolbox. Of course, ethics done in the abstract, ignoring the relative simplicity of strategy, profit, performance or productivity, has limited contributions toward resolving complex moral problems. Another way to view this is to look solely to business for short-term fixes that block looking instead to ethics.

HRD-ethics can initially be defined as a systematic examination of the moral relations of people and work-related systems (organizations). It is based on the following 3 assumptions: 1. The relationship between people and organizations is governed by moral norms (normative), 2. Organizations have moral obligations to people, and 3. Includes both descriptive and normative characteristics.

Descriptive aspects describe, classify, and summarize *current* values, beliefs and principles that individuals within a group or population hold as important. Normative HRD-ethics then are *future-oriented* values and principles associated with the development and growth of people in work-related systems. Normative aspects are based on judgments that suggest how people 'ought' or 'should' behave. For example, "Human rights ought to be insured". Normative ethics theory unlike descriptive theories would prescribe what morality in HRD ought to be and will bring some order out of the confusion of questions and concerns that seem to abound when we attempt to assign value. While normative theory will not answer all ethical questions it can and does answer questions that descriptive theory cannot, such as 'What values? On whose perspective should HRD be based?'

The paradigms of HRD are learning, performance and meaning. Business ethics is focused on right and wrong conduct within a performance paradigm and as long as some return or value-add is obvious learning too remains an instrumental value. Yet, for people as employees, meaning like values is of paramount importance. Business ethics has well-established characteristics, i.e., codes of ethics and cases for example. What it fails to accomplish is to provide a truly non-instrumental or non-fiscally-based way to address issues of morality and meaning. The failure of business ethics to sufficiently take into account the importance of meaning is what gives rise to HRD-ethics. Adding values beyond the economic, toward meaning would help to validate HRD-ethics.

An HRD-ethics would also provide the profession a way to better address humanistic issues such as human rights and global contexts. An argument against HRD-ethics is that it has no conceptual foundation; that just because a profession chooses an ethics does not necessarily mean that it has a solid conceptual base. However, a case can be made that HRD-ethics already exists. The definition of ethics being right and wrong conduct implies that descriptive (cases) and normative (codes) characterizations of such conduct is explicit and at least to some extent accepted within a defined context. Both codes and cases exist in HRD literature and practice. The more distinct HRD is as a profession the more defined the context.

Finally, a new HRD ethic is more relevant today. Business ethics was a better fit when HRD was confined more to simply training and a primarily remote and esoteric field of study as a minor part of human resource management (HRM). However, in the current work environment this approach jeopardizes the enhancement of values and moral behaviors. In addition, HRD-ethics can sensitize us to specific HRD-related ethical problems such as human rights. Similar to relativism, HRD-ethics viewed from a relativistic stance provides a lowest-common denominator approach to ethics; that is, that the context of HRD dictates an ethic. The more changes in context HRD is asked to operate within, the more applicable a specific ethic becomes.

Until recently the theoretical foundations of HRD have served the profession well. However, the instability and scientific/technical objectives of contemporary organizations challenge HRD scholars and practitioners to question the foundations that no longer function to insure ethical process or outcomes. The following builds on this inquiry by presenting a rationale for HRD-ethics as a core theoretical foundation.

HRD-Ethics as a Core Theoretical Foundation for HRD

Why Would Adding HRD Ethics as a Core TF be Important? What Would it do for Research and Practice? What are Implications for the Field?

Ethics has been largely ignored as a theoretical foundation for human resource development, yet HRD is inherently an ethical endeavor (Stewart, 2003b). Ethics has played a secondary role, as a “supporting theory for HRD, but not a core theory” (Swanson & Holton, 2001, p. 100). Swanson’s three-legged stool metaphor with each leg representing either economics, psychology or systems theories, lays on a “ethical rug” that plays a moderating role amongst the three core theories. It is a common belief that theory is critical to HRD. “What we do is too important to wallow in atheoretical explanations” (Swanson & Holton, 2001, p. 67). Yet, ethics remains in a subservient role.

“Without good theory, applied fields, like that of human resource development, would be impoverished domains” (Turnbull, 2002, p. 219). And while theory in HRD is advocated as applied and of practical value (Lynham, 2002), it is doubtful that sound theory should support only techniques that are effective and efficient. Theory should help the profession add *sustainable* growth and value to individuals, organizations, societies and ecosystems. If we focus only on recognized theories such as economics, psychology and General Systems Theory (GST) as Swanson has suggested, then we are likely limiting ourselves to worldviews that never ask the question ‘What is the right thing to do?’ or ‘Is it moral for a company to move off-shore while executives take bonuses?’

Giving ethics equal footings as a theoretical foundation helps us organize, categorize, predict, develop, and interpret processes and outcomes through an ethical lens. The Academy of Human Resource Development’s *Standards on Ethics and Integrity* (AHRD, 2000) provides such a ‘lens’ through which HRD professionals may view the profession. But more importantly, and of vital importance to research and critical to further establishing HRD as a *bona fide* profession, ethics has the potential as a metatheory to move us beyond its normative value as a scientific task or method and consider HRD as a “moral undertaking” (Stewart, 2003a). HRD-ethics as a theoretical foundation also has the potential to coalesce business, environmentalism, feminism and other theories and contexts under a rubric of HRD as a construct worthy as a profession and providing value to a diversity of stakeholders.

The underlying moral and values-based frameworks in which HRD scholars and practitioners ply their craft are theoretical constructs that can be used in practice. For clarity, *theory* in HRD requires some definition. Theory is the underlying principle of and explanation of how a phenomenon works. It explains concepts and their relationship (Torraco, 1997). Both formal and informal theories help solve problems and address dilemmas or provide explanations for complex research or practice problems in organizations. Dubin (1976) suggested that to build theory requires eight steps: 1. Identify its concepts or units, 2. Create laws of interaction among the concepts, 3. Establish boundaries, 4. Illustrate the conditions or contexts; the system states of the theory, 5. Create propositions or deductions about the theory, 6. Identify how the theory is tested, 7. Draw hypotheses, and 8. Test the hypotheses. The model’s first five steps build and explain theory. The last three steps test and apply theory. To consider ethics as a theoretical foundation, we must determine its constructs and define it before we attempt to test it. Since we are just beginning to conceptualize HRD-ethics theory, we will be limited herein to a general explanation.

HRD is a multidisciplinary field with unique theories that allow for a myriad of approaches and solutions in the complex and often messy world of social interaction. Theories describe and justify why certain practices lead to particular ends across the many contexts that HRD professionals confront. Theories (and philosophies) include, among others, *stakeholder theory*, discussing those who have a stake in the program or its evaluation; *Knowledge construction*, which asks Is anything special about the knowledge HRD professionals construct, and How do they construct such knowledge? Theories of knowledge that include *ontology*, a study of the nature of reality, and *epistemology*, that seeks to find the justifications for knowledge claims; *Methodology*, or how we construct knowledge; and, finally *Knowledge use*, or how we use information and wisdom to change programs and policies. These and other general theories can be categorized under one or more of the common theoretical foundations of HRD, namely psychology, economics or GST.

Even if we acknowledge and accept the applied nature of HRD theories such as psychology or stakeholder theories the limits of the contexts in which these theories are conceptualized and carried out restricts the moral boundaries and ethical potential of HRD. Conversely, ethics as theory provides a common language and answers philosophical questions raised by descriptive and normative ethics. These questions arise from individual as well as professional/occupational moral viewpoints.

Ethical theory makes shared values and beliefs visible and language functional for professionals when faced with controversies or ethical dilemmas. Historically, HRD practitioners and scholars have come to accept that values are salient in research and practice. Making decisions about distribution of resources and interventions such as training are values-laden no matter how much we might wish otherwise. Lincoln and Guba (1985) added that “inquiry is value-bound, specifically, that it is influenced by the values of the inquirer, by the axioms or assumptions underlying both the substantive theory and the methodological paradigm that undergird the inquiry, and by the values that characterize the context in which the inquiry is carried out” (p. 161).

Implications for HRD

An assumption made in this brief discussion of ethical theory is the organization as economic entity; that firms are rationally operated for wealth maximization. Their purpose is to produce goods and services that maximize financial performance. As a result, the predominate ethic within business is one that supports this economic goal. This myopic view offers HRD a narrow approach to ethics. HRD scholars and practitioners enhance skills and knowledge, and improve performance in corporations. They address ethical issues in a principled yet primarily applied and instrumental manner. They also tend to base practice on common and recognized theories. But when HRD theory is questioned as to its ethical foundations it appears to fall short.

A metatheory of ethics as a foundation for HRD may lead professionals to view their practice as a moral imperative versus an instrumental outcome, no matter how economically important the result. Without a metatheory it is unclear how HRD can state or justify a conclusion that an intervention is morally good or bad.

Singular points of view such as business ethics limit the scope of our values and result in unidimensional and often-amoral behaviors. A new, more specific approach to foundational ethics will broaden the scope of our values and enhance the profession as moral and intrinsic versus instrumental values-driven. We must examine values before we apply tools/methods. Our ethical conscience underlying methods should include the unconscious values that shape our prejudices and ways of thinking.

With recent ethical *faux pas* of major economic engines like WorldCom, it is obvious that a myopic, business-oriented approach to ethics is simply not enough. HRD scholars and other professionals are encouraged to examine HRD-ethics as described herein as a possible replacement for business ethics. However, we must temper this assumption by addressing the subservience of HRD in many organizations and recalling the prevailing business/economic ethic within which HRD practitioners and scholars must function. Today, we need a way to understand our moral problems in a way that expedites solutions. This goal calls for an exploration that is “both theoretical and practical and that relates the two” (Edel, Flower, & O’Connor, 1994, p.12).

This paper was a reflection on the nature and justification of HRD-ethics and the discussion of HRD ethics within the broader context of business and metaethical theories. We are still normalizing values and moral conduct within HRD. This normalizing may take time in the hurricane-force change contexts in which HRD finds itself. This should not however curtail us from moving forward with the definition and establishment of an HRD-ethic and its inclusion as a core theoretical foundation for HRD research and practice.

References

- Aragon, S., & Hatcher, T. (2001). Ethics and integrity in HRD: Case studies in research and practice. In S. Aragon, & T. Hatcher (Eds.), *Advances in Developing Human Resources*, 3(1).
- Gilley, J.W., Dean, P., & Bierema, L. (2001). *Philosophy and practice of organizational learning, performance and change*. Cambridge, MA: Perseus Publishing.
- Buchholz, R.A. (1993). *Principles of environmental management: The greening of business*. Englewood Cliffs, NJ: Prentice Hall.
- Chalofsky, N. (2003). An emerging construct for meaningful work. *Human Resource Development International*, 6(1), 69-84.
- Cornelius, N., & Gagnon, S. (1999). From ethics ‘by proxy’ to ethics in action: New approaches to understanding HRM and ethics. *Business Ethics: A European Review*, 8(4), 225-235.
- Dean, P.J. (1997). Examining the profession and the practice of business ethics. *Journal of Business Ethics*, 16, 1637-1650.
- Des Jardins, J.R. (2001). *Environmental ethics: an introduction to environmental philosophy* (3rd ed.), Belmont, CA: Wadsworth/Thomson Learning.

- Dirkx, J. (1996). Human resource development and adult education: Fostering the educative workplace. In R. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice*. San Francisco: Jossey-Bass.
- Dubin, R. (1976). Theory building in applied areas. In M.D. Dunnette (Ed.), *Handbook of industrial and organizational psychology* (pp. 17-39). New York: Wiley.
- Edel, A., Flower, E., & O'Connor, F.W. (1994). *Critique of applied ethics: Reflections and recommendations*. Philadelphia, PA: Temple University Press.
- Floridi, L., & Sanders, J.W. (2002). Mapping the foundationist debate in computer ethics. *Ethics and Information Technology*, 4, 1-9.
- Hatcher, T. (2002). *Ethics and HRD: A new approach to leading responsible organizations*. Cambridge, MA: Perseus Publishing.
- Hatcher, T. (2003). Worldviews that enhance and inhibit HRD's social responsibility. In M. Lee (Ed.). *HRD in a Complex World* (pp. 42-56). London: Routledge.
- Kaler, J. (1999). What's the good of ethical theory? *Business Ethics: A European Review*, 8(4), 206-213.
- Lincoln, Y.S., & Guba, E.G. (1985). *Naturalistic inquiry*. Thousand Oaks: CA: Sage.
- Lynham, S.A. (2002). The general method of theory-building research in applied disciplines. In S.A. Lynham (Ed.), Theory building in applied disciplines, *Advances in Developing Human Resources*, 4(3), 221-243.
- McDonald, K.S. (1995). An examination of HRD practitioners' reasoning regarding ethical dilemmas. In E.F. Holton (Ed.), *Academy of Human Resource Development, 1995 Conference Proceedings*, (pp. 15-3). St. Louis, MO: Academy of Human Resource Development.
- McLean, G.N. (2001). Ethical dilemmas and the many hats of HRD. *Human Resource Development Quarterly*, 12, 219-221.
- Post, J.E., Lawrence, A.T., & Weber, J. (2002). *Business and society: Corporate strategy, public policy, ethics* (10th ed.). Boston: McGraw-Hill Irwin.
- Roberson, J. & Hinton, B. (2000). Key ethical issues for human resource development in the future: A Delphi study. In K. P. Kuchinke (Ed.), *Academy of Human Resource Development 2000 Conference Proceedings* (pp. 693-700). Raleigh, NC: Academy of Human Resource Development.
- Rolston, H. (2003). Value in nature and the value in nature. In A. Light & H. Ralston (Eds.), *Environmental ethics: An anthology* (pp. 143-154). Oxford, UK: Blackwell Publishers, Ltd.
- Russ-Eft, D. (2003). Corporate ethics: A learning and performance problem for leaders? *Human Resource Development Quarterly*, 14(1), 1-4.
- Sorell, T. (1998). Beyond the fringe? The strange state of business ethics. In M. Parker (Ed.), *Ethics and organizations*. London: Sage.
- Stewart, J. (2003a). The ethics of HRD. In M. Lee (Ed.). *HRD in a Complex World* (pp. 83-99). London: Routledge.
- Stewart, J. (2003b). The ethics of PI: A polemical overview. In Hatcher, T. (Ed.). Special Section on Ethics, *Performance Improvement Quarterly*, 16(2), 90-104.
- Swanson, R.A., & Holton, E.F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Torraco, R.J. (1997). Theory -building research methods. In R.A. Swanson & E.F. Holton (Eds.), *Human resource development research handbook* (pp. 114-137). San Francisco: Berrett-Koehler.
- Turnbull, S. (2002). Preface. In S.A. Lynham (Ed.), Theory building in applied disciplines, *Advances in Developing Human Resources*, 4(3), 219-220.
- Veatch, R.M. (2003). Is there a common morality? *Kennedy Institute of Ethics Journal*, 13(3), 189-192.
- Woodall, J. (1996). Managing culture change: Can it ever be ethical? *Personnel Review*, 25, 26-41.
- Woodall, J., & Douglas, D. (2000). Winning hearts and minds: Ethical issues in human resource development. In D. Winstanley & J. Woodall (Eds.), *Ethical issues in contemporary human resource management*. Basingstoke, UK: MacMillan Business.

Vicarious Traumatization: The Role of the Human Resource Development Practitioner

Lynn Atkinson Tovar
 Elk Grove Village Police Department
 Northern University

This qualitative study was conducted to examine the extent to which youth investigators and forensic interviewers demonstrate signs of vicarious traumatization as a result of investigating child sexual abuse and whether their experiences cause life-affecting transformation. The research examines the concept of vicarious traumatization and the officer's shift in reality in which meanings and beliefs were transformed through critical reflection. The phenomena of vicarious trauma and transformation were explored through the use of narrative grounded theory.

Keywords: Vicarious Traumatization, Law Enforcement, Human Resource Development

This year, as in every year, tens of thousands of children will be sexually abused in the United States and around the world. They will be damaged physically, emotionally, mentally, and spiritually; every aspect of their lives will be affected. So, too, will be those law enforcement officers and forensic interviewers who must investigate these crimes against children. It is no secret that police work is inherently stressful. Patrol officers must face potential violence on a daily basis, leading many to consider police work to be a particularly risky occupation (Blau, 1994; Fain & McCormick, 1988; Hallett, 1966; Reiser & Geiger, 1984). It is less widely recognized that there are specific positions within police departments that are more stressful than average, particularly the investigation of child abuse cases. The additional stress involved in these positions is often overlooked, and the source of this stress is generally examined anecdotally rather than empirically.

Law enforcement managers and human resource development practitioner need to acknowledge their critical role within the police organization in assisting change in behavior and attitudes through the development of training programs on stress related issues. The police organization is accountable for the learning and developmental improvement of their workers' professional and personal lives. Implementation of focused training programs can impact the organization's efficiency and effectiveness in the community.

People-Oriented Occupational Stress

Stress is an always-present component of people's lives. Factors such as the pace of current technology, economic instability, complexity of interpersonal relations, and the ever-growing crime rate have produced a society that must respond to a barrage of problems and changes in a timely manner. Constantly, individuals are asked to take on more responsibilities and become increasingly more efficient at the performance of their job (Senkfor & Williams, 1995). The increased complication comes with the factor of exposure to traumatic events during the course of a day. There is a growing recognition that many members of the law enforcement profession, along with crisis workers such as firefighters, paramedics, ambulance drivers, rescue workers, and emergency medical response teams, may be called upon to deal with disasters and other traumatic events and the consequences. The collective term for these occupations is "critical occupations" because it encapsulates two general aspects of the work experience of emergency and helping professions. It also describes the critical role they play in protecting the community and its members (Paton & Violanti, 1996).

Researchers agree, generally, that people-oriented occupations are more stressful than occupations that require persons to work alone or in small groups with data because data are a more predictable factor than people who are unpredictable (Mathew & Casteel, 1987). Because people-oriented occupations represent a variety of work settings and involve numerous types of interactions, it seems plausible that different work environments impose effects associated with stress. Matthew and Casteel (1987) conducted a study on stress and the workplace, a comparison of occupational fields. The study examined persons in various people-oriented occupational fields and whether there were significantly different results in comparing crisis workers such as in the health and social services fields with workers in banking and industry. These authors found that most people believe their jobs are stressful. However, the study showed that those who work with children, the needy, and the physically ill believe their environment is more stressful, and they have a higher burnout rate. Another comparative study on stress and control involving child

Copyright © 2004 Lynn Atkinson Tovar

protective service workers found that some people seek out highly stressful environments as a way of testing their competence, building feelings of mastery and self-esteem, or relieving boredom. Learning helps individuals to reduce stress in their lives by being able to control situations effectively. "Being able to understand the stress, its sources and effects, and the successes of various actions over stress enriches the quality of life's experiences. The learning responses create attitudes and behavior for managing stress and having a more satisfying life" (McLean, 1991, p. 30). Those who do not learn to cope or change behaviors to combat stress frequently move into the final stages of stress known as burnout.

Vicarious Traumatization

The concept of vicarious traumatization, introduced by McCann and Pearlman (cited in Stamm, 1989), provides a theoretical framework for understanding the complicated and often painful effects of trauma work on crisis workers. By definition, "the effects of vicarious traumatization on an individual resemble those of traumatic experiences. They included significant disruptions in one's affect tolerance, psychological needs, beliefs about self and others, interpersonal relationships, and sensory memory, including imagery" (Pearlman & Saakvitne, 1995, p. 151). The phenomenon of *vicarious traumatization* can be applied to police officers who are marked by profound changes in the core aspects of the police officer's self or psychological foundation. These alterations include shifts in the police officer's identity and worldview; in the ability to manage strong feelings, to maintain a positive sense of self; and to connect to others; in spirituality or sense of meaning, expectation, awareness, and connection; and in basic needs for a schemata about safety, esteem, trust and dependency, control, and intimacy (Pearlman & Saakvitne, 1995).

Vicarious traumatization, (Pearlman & Saakvitne, 1995) refers to a transformation in the police officer's inner experience resulting from empathic engagement with victims' trauma material. Through exposure to graphic accounts of sexual abuse experiences, the realities of peoples' intentional cruelty to one another, and the inevitable participation in traumatic reenactments, police officers are vulnerable through their empathic openness to the emotional and spiritual effects of vicarious traumatization. These effects are cumulative and can be permanent, evident in both the officers' professional and personal lives. Police officers acknowledge that they entered this type of work by choice and continue because of their commitment to others and the tremendous rewards of helping others and recognize that it affects them personally. It is an occupational hazard that must be acknowledged and addressed.

McCann and Pearlman's more recent research (cited in Stamm, 1989) in vicarious traumatization focuses primarily on the portion of the theory that describes psychological needs and cognitive schemas. The cognitive portion of the theory is based upon a constructivist foundation. The underlying premise is that humans construct their own personal realities through the development of complex cognitive structures, which are used to interpret events. These schemas or mental frameworks include beliefs, assumptions, and expectations about self and world that enable individuals to make sense of their experiences. McCann and Pearlman's major hypothesis in their research is that trauma can disrupt these schemas and that the unique way in which particular trauma is experienced depends in part upon which schemas are central or salient for the individual.

Vicarious traumatization is unique to trauma or crisis workers because traumatic events such as child sexual abuse are painfully real and part of our larger world and society. If police officers are to help, they cannot protect themselves from acknowledging this reality as they listen to the victims' stories. Police officers are left with the powerful effects stirred as they face this reality on a daily basis. Police officers become inevitably aware of the potential for trauma in their own lives. Traumatic events can happen to anyone, at any time; however, it is almost intolerable to accept the fact that lives can be permanently changed in a moment when a traumatic event occurs.

Purpose of the Research

I assumed the participants of the study, all youth investigators and forensic child abuse interviewers, would be struggling with emotionally painful and horrific experiences that would totally disrupt their everyday notion of how the world should be. That the participants would be confronting the difficult task of reconciling these disruptions to previously held core beliefs, (e.g., good versus evil, hope versus despair, safety versus vulnerability) and would be struggling with physical, psychological, and social manifestations as well. My interest lay in the various stresses, the transformation of struggling with shifting core beliefs, the ways in which the participants reconstruct their lives in order to be psychologically and physically healthy, and how their organization assisted the police officers through their struggles.

Narratives

The participants in this study relayed their stories individually, and the interactions between storyteller and researcher were recorded and transcribed verbatim. The names of the participants were substituted as numbers to

assure confidentiality for the participants. All participants' narrative accounts of their most memorable cases are full of the pain and meaning of struggles associated with the theory of vicarious trauma stress that youth investigators and forensic interviewers encounter daily. These accounts represent the exercise of critical reflection through one's own environment and the process of examining, questioning, validating, and revising their perceptions of the world (Cranton, 1994). One of the questions posed to the participants was, "Tell me about your most memorable case, which could be either positive or negative in nature". All participants provided negative accounts, reinforcing my feelings that vicarious trauma stress existed in all participants although at varying degrees. The accounts in this study highlighted the daily lives of the participants and their repeated exposure to pain and human destructiveness as a result of their career choice.

Research Questions

1. To what degree does repeated exposure to child sexual abuse investigations affect police officers and forensic child abuse interviewers?
2. How does vicarious trauma manifest itself in youth investigators and child abuse interviewers who investigate child sexual abuse?
3. To what extent and in what ways does repeated exposure to child sexual abuse investigations precipitate life-affecting transformations in those who specialize in these types of investigations?
4. Can the human resource practitioner make an impact to officers suffering from vicarious traumatization?

Methodology

I employed a qualitative research design utilizing data-collection techniques consistent with phenomenological and grounded theory methodology. I took the approach that designing my research would not begin from a fixed starting point or proceed through a determined sequence of steps. Throughout the research process, I continuously examined and reflected on the data to provide the reader and future literature an understanding of the phenomena under study.

Participants were 11 police officers from five police departments located in the northwest suburban Cook County area outside of Chicago, Illinois, along with four forensic child abuse interviewers from the Children's Advocacy Center that serves the northwest suburban Third District of Cook County. As the study progressed, I realized the participants emerged into three distinct groups: active youth investigators, former youth investigators, and forensic interviewers. The gender makeup of the participants was equally divided between males and females. The age breakdown coincided with time on the job; naturally, the former youth investigators were 40 years or older with at least 20 years of law enforcement experience. An interesting data result obtained was that all the former youth investigators were promoted from the youth unit and were presently either sergeants or commanders at their respective police agencies. The active youth investigators and forensic interviewers tended to be younger, usually in their 30's and had fewer years of experience—between 5 and 10 years—at their agencies. The makeup of formal education was diverse, from some participants with no formal higher educational degrees to several participants who had obtained master's degrees in education, social work and law.

Interviews were conducted at a location of the participant's choice, which ultimately turned out to be their police stations or office. I feel this assisted with their comfort level during the interviews because it afforded them a feeling of control. The surroundings were comfortable and familiar, putting them more at ease. The participants were told prior to the actual interview that I would be tape-recording our conversations with each interview typically lasting two hours in length. The youth investigators and forensic interviewers who participated in this study represented purposeful sampling. It was a strategy to select a group of people in order to provide important information that might not be obtained by a random selection outside the crisis worker field. The goal was to select experts in the field of child sexual abuse investigations who could provide meaningful information in order to answer the research questions. The selections also adequately captured the heterogeneity in the population, ensuring that the conclusion represented the entire range of variation and the most relevant dimensions of the study and afforded the opportunity to deliberately examine data that were critical to the theories, which were under study.

I believe unstructured interviews and the utilization of open-ended questioning proved to be beneficial for a number of reasons. Questions such as "tell me about your most meaningful case" and "how did the child's story of sexual abuse make you feel" offered insight with respect to relationships and events from the perspective of those youth investigators and forensic interviewers who had immersed themselves in the world of the phenomena under investigation; vicarious trauma, and transformational learning. The information generated by the data served as a resource upon which hypotheses could be built, permitting the study of phenomena that are not always directly observable. They also allowed me to examine how, if at all, the interviewees were influenced or changed personally by their respective environment. Another advantage associated with this technique was the depth and breadth of responses. Reliability and validity were concerns, but with redundancy and with asking the same questions in

different ways, one is provided the ability to demonstrate each. Finally, this approach afforded me the opportunity to observe the body language of the participant, such as rolling of the eyeballs, long pauses between responses, or voice inflections characteristic of emotions such as contempt, concern, frustration, or sorrow. Data collection techniques included not only interviews but also literature reviews and phenomenological insights. After each interview was tape-recorded, it was transcribed and coded.

For my coding process, I utilized a relatively new software program called Nvivo or NUD*IST, designed in Australia by Lyn Richards (1999) and published by Qualitative Solutions and Research Ltd. This software program creates a project to hold data, observations, ideas, and links among them. Any number of projects can be created, and any number of people can participate in a project. Once a project is opened, the program allows a researcher to move around these processes using menus and icons. The researcher must download all transcribed interviews and develop categories and subcategories as the coding process proceeds. Working with Nvivo meant that my data was live data. I was able to change, grow, and develop my categories continuously as I better understood my data. This process allowed me to rethink, recontextualize, recode, or code-on new categories. To accomplish the goals of coding, the data were broken down into discrete parts, closely examined, and compared for similarities and differences. Questions pertaining to the phenomena, such as *what is this* and *what does this present*, were continually pondered. I did have to break through assumptions and uncover specific dimensions. I drew upon personal knowledge, professional knowledge, historical knowledge, and the technical literature on vicarious trauma and transformation learning through critical reflection.

Validity

Validity is the final component of any research study. The validity of my research results was not guaranteed by following a prescribed set of procedures. Rather it depended on the relationship of my conclusions to the phenomena under study and the real world. The term "validity" does not imply the existence of any objective truth to which an account can be compared. However, the idea of objective truth gives grounds for distinguishing credible accounts from those that are not credible. The usefulness and believability of one's study is the important factor. A researcher's role is to provide information from the study that can possibly be tested against the world, giving the chance for the phenomena that they are trying to understand to be proven wrong. The key concept for validity is thus the validity threat--a way in which the researcher might be wrong. Therefore, I concentrated on three main areas of my research to eliminate any potential threat to the validity of the study: description, interpretation, and theory.

I chose to apply a narrative approach as an interpretive substantive focus with intent on procedure in data collection. The technique of continuous narrative description reveals the purpose and intentions as human beings and the meanings we make of our experiences. Narratives provide explanations of how episodes, experiences, or events in our lives are meaningfully linked. It should be noted that this method is criticized for its focus on the individual rather than social context. However, it seeks to understand sociological questions about groups, communities, and contexts through the individual's lived experiences.

Results and Findings

The results indicated that participants did exhibit signs of vicarious trauma; hypervigilance, symptomatic reactions, relationship problems, lack of communication through denial, repression, isolation and disassociation, change in worldviews and a loss of sense of meaning (spirituality). Participant's statements clearly express the affect of the investigating child sexual abuse on their lives; "I think that is a part of what this job has done to me. You look at society or you look at people with a jaundiced eye, cynical perspective. We don't always see the best, we see the worst, or we have suspicion about someone first" (Interview 1) "Headaches, the general tightness in the shoulders, I don't sleep well. I haven't slept well in a very long time. When I wake up in the morning, I never feel refreshed" (Interview 8). "I think before I got on the job and people would ask, "Do you believe in God"? I would say yeah, I believe in Him, but I just don't go to church. Now when people ask if I believe, I will say, "If you saw what I saw—and I spent two hours in Children's Memorial Hospital—and if you saw what I saw...There is no God." Yeah, I would say it has had an impact on my belief". (Interview 12) Participants reported their experiences transformed their lives permanently both professionally and personally. As a result, new perspectives, new beliefs, and coping strategies emerged. Participants who were most distant from the repeated exposure were more open in their acknowledgement of the affects and more readily able to critically reflect on their experiences.

Conclusion and Recommendations

The purpose of this qualitative research study was to determine if repeated exposure to human pain and destructiveness would cause vicarious traumatization among youth investigators and forensic interviewers who investigate child sexual abuse. The study also examined whether professional experiences caused transformation to these investigators' and interviewers' personal and professional lives and whether that transformation was a result of self-critical reflection. The study produced life-transforming evidence in the form of personal self-statements gained through open-ended interviews and the shared relationship and trust between the participants and myself as researcher. It also demonstrated the need for the HRD practitioners to take a lead role in training on vicarious traumatization and the affects of stress on the person and organization.

It is fairly common knowledge that law enforcement is a stressful profession, and a large number of police work stressors have been identified--aspects of the job believed to trigger stress reaction among employees (Blau, 1994; Brown & Campbell, 1994; Davidson & Veno, 1980; Ellison & Genz, 1983; Reiss, 1996; Terry, 1981). However, less widely recognized is the fact that a particular position within a law enforcement agency can especially be "toxic" or threatening to their professional and personal well being. The additional stress involved in these positions is often overlooked, and the sources for this stress have traditionally been examined quantitatively. In order to understand and to minimize the impact of victim material and lessen the vulnerability of the investigators to vicarious traumatization, it is important to examine the toll that conducting this work takes on the self. How has the work affected personal identity, spirituality, sexuality, relationships, dreams or flashbacks, and emotional responsiveness? When does this work lead to feelings of frustration and hopelessness or to joy and feelings of accomplishment? This study helped identify the personal triggers of vicarious trauma and self-transformation, which is an important part of the self-care and survival for these officers. These particular stories or types of trauma revealed in the research might have been especially difficult to process; however, it is necessary to awaken the law enforcement culture to the realization that some specific job assignments have a higher occurrence of repeated exposure to trauma, which is often more acute and life transforming.

The more the police culture learns about vicarious traumatization stress, the more police decision makers and HRD practitioners may realize the importance of recognizing the needs of the helpers as well as the needs of those victims they try to help. "While this seems plain, it is not necessarily easy to identify, understand, or address the problems or the solutions" (Rudolph & Stamm, 1999, p. 277). After decades of denial from the law enforcement culture, agencies are beginning to open up to the idea of the value of the employee and HRD's role in addressing the impact of the officer's work on his or her whole life.

Many of the youth investigators and forensic interviewers described enjoying their experiences with police investigations. In time, however, many of those same youth investigators and forensic interviewers described becoming stressed by internal and external circumstances; their life had changed and they were often not in control. One youth investigator stated, "Every conversation turns to abnormal sex talk; it has become dinner conversation." Another claimed that stories she had heard would haunt her forever. These findings raise the question of what should be done next and how police decision makers and HRD might find a resolution or solution to the effects of repeated exposure.

At times, it is unclear as to what to advise in dealing with trauma. Should police educators and supervisors suggest analyzing or talking about the pain of trauma or aid in distraction or avoidance? In this study, the participants who are isolating and denying, and therefore not dealing with the trauma, are experiencing greater distress than those who use other coping mechanisms. This indicates that one should confront the trauma or at least accept that it exists. On the other hand, this study also indicated that actual removal from the position assisted in the recognition and acceptance of the effects but also indicated that stress continued to exist on a different conceptual level. Thus, the law enforcement culture must first acknowledge that stress appears to be prevalent and then implement means to prevent, recognize, and cope with stress into the mainstream education and conduct of policing. This implies that HRD has a critical and vital role for the organization and the officers who suffer from repeated trauma.

HRD practitioners must perform several different activities and duties, such as design, develop, and implement learning programs and training activities within an agency. They need to understand the effects of vicarious traumatization in order to make a needs assessment as well as an evaluation of programs involving the law enforcement professional learner. It is critical to the well being of the agency for HRD practitioners and administrators to face the day-to-day events of not only the beat cop but also the specialized investigators who struggle with repeated exposure of trauma in their lives. "The development of the people refers to the advanced knowledge, skills, and competencies and the improved behavior of people within the organization for their personal and professional use" (Gillie, 1989, p. 5). The role for HRD is their commitment to the professional advancement

of people within the agency through career development and understanding to bring about change within the police officers.

HRD needs to focus on the coping mechanism of the learning response, which, unlike other responses, is not a temporary measure. It is preventative rather than remedial (Thomas, 1983). One may overcome stress in an effective and constructive fashion. "It is the thoughtful analysis and examination of methods to deal with a problem" (Reed, 1984, p. 33). Learning is the synthesizing of coping strategies from a battery of resources, which may be used in the future to prevent the reoccurrence of the negative aspects of the stressor and may initiate opportunity for self-improvement through self-reflection. Learning helps police officers to reduce stress in their lives by being able to control the situation effectively. "Being able to understand the stress, its sources and effects, and the successes of various actions over stress enriches quality-of-life experiences. Learning responses create attitudes and behavior for managing stress and having a more satisfying life" (McLean, 1991, p. 34).

Violanti (1996) developed a four-phase basic stress-learning model, which many agencies have adopted. The phases are (1) education, (2) prevention, (3) support, and (4) research. A well-rounded stress education program should include identification of stress, the value and techniques of physical exercise, the benefits of proper nutrition, and the exposure to interpersonal communication methods. It is important to begin the education during the first phase of a police officer's career. However, during the in-service level, instruction on coping strategies should take priority because these officers have most likely already been exposed to the effects of stress. Understanding the relationship of police officers and their fear of acknowledging stress related to their work has several implications for HRD. An HRD practitioner tends to serve increasingly as a change agent and internal consultant within agencies. Those who work within the law enforcement field need to build a trusting relationship with the officers in their day-to-day communications. Trust becomes a foundation in a joint commitment to the agency and the citizens they serve, which results in the proficiency and effectiveness of the police officer. HRD practitioners may need to identify the implications of these day-to-day communications through their trust in the unique culture and the development of specific programs through instructional design, training, and counseling. Schurr and Ozane (1985) suggested that trust "[leads to] a constructive dialogue and cooperation in problem solving, facilitates goal clarification, and serves as a basis of commitment to carry out agreements" (p. 9).

Support from the police officers' agencies and families is a critical factor in troubled persons' decisions to seek help. Many law enforcement agencies utilize employee assistance programs, which provide 24-hour service calls and confidential counseling. In addition, psychological debriefings can be an important technique in helping police officers with traumatic events. Providing debriefing soon after an incident allows police officers to vent their feelings and discuss the occurrence in a supportive group setting (Mitchell, 1990). Peer support groups consist of professionals in the same occupation, not psychologists who are primarily there as someone to talk to. These support groups or individuals can assist members involved in a traumatic incident or continued exposure to trauma. Each law enforcement agency is, in a sense, unique and has its own set of stress-related problems. It is therefore necessary to conduct ongoing research into the causes and minimization of stress. More research into the implications of repetitive, vicarious traumatic stress phenomena is also required to augment support and psychological strategies.

References

- Blau, T. H. (1994), & Glaser. (1967). *Psychological services for law enforcement*. New York, New York: John Wiley & Sons, Inc.
- Brown, J. M., & Campbell, E.A. (1994). *Stress and policing: Sources and strategies*. Chichester, England: John Wiley & Sons.
- Cranton, P.(1994). *Understanding and promoting transformative learning*. San Francisco, CA: Jossey-Bass, Inc.
- Davidson, M. J., & Veno, A. (1980). Stress and the policeman. In C.L. Cooper & J. Marshall (Eds.), *White-collar and professional stress* (pp. 131-166). Chichester, England: John Wiley & Sons.
- Ellison, K. W., & Genz, J. L. (1983). *Stress and the police officer*. Springfield, IL: Charles C. Thomas.
- Fain, D. D., & McCormick, G. M. (1988). Use of coping mechanisms as a means of stress reduction in north Louisiana. *Journal of Police Science and Administration*, 16(1), 21-
- Gilley, J. W. (1989). *Principles of human resource development*. Reading, MS: Addison-Wesley Publishing Company, University Associates, Inc.
- Hallet, S. J. (1996). *Trauma and coping in homicide and child sexual abuse detectives*. San Diego, CA: California School of Professional Psychology.

- Matthew, D.B., & Casteel, J. F. (1987). Stress and the workplace: A comparison of occupational fields. In South Carolina State College (Ed.), *Annual Convention of the American Association of Counseling and Development* (pp. 1-19). New Orleans, Louisiana: South Carolina State College.
- Matteson, M. T., & Ivancevich, J. M. (1987). *Stress and health: The intelligent person's guide*. New York, NY: The Free Press.
- McLean, L. H. (1991). *Stress and burnout: An organizational synthesis*. Nashville, TN: Vanderbilt University.
- Mitchell, J. T., & Bray, G.P. (1990). *Emergency services stress: Guidelines for preserving the health and careers of emergency services personnel*. Englewood Cliffs, NJ: Prentice Hall.
- Paton, D., & Violante, J. M. (1996). *Traumatic stress in critical occupations*. Springfield, IL: Charles C. Thomas Publishing.
- Pearlman, L. A., & Saakvitne, K. W. (1995). *Compassion fatigue: Treating therapist with vicarious traumatization and secondary traumatic stress disorder*. Levittown, PA: Brunnel/Mazel.
- Piaget, J. (1971). *Psychology and epistemology: Toward a theory of knowledge*. New York, NY: Viking.
- Reed, M. (1984). *A study of the relationship among degree of stress, coping preferences and leadership styles among secondary school principals*. Unpublished doctoral dissertation: Peabody College of Vanderbilt University.
- Reiss, J. B. (196). Helping cops cope with stress: Briefing strategies for mandated psychological intervention with police officers. *Dissertation Abstracts International*, 57-04, Section B, 2881.
- Reiser, M., & Greiger, S. P. (1984). Police officer as victim. *Professional Psychology: Research and Practice*, 15(3), 315-323.
- Richards, L. (1999). *Nvivo-NUD*IST for qualitative research*. Bundoora, Victoria, Australia: Qualitative solutions and Research.
- Rudolph, J. M., & Stamm, B. H. (1999). Maximizing human capital: Moderating secondary traumatic stress through administrative and policy action. In Stamm, B. H. (Ed.), *Secondary traumatic stress: Self-care issues for clinicians, researchers, & educators* (2nd ed., pp. 277-290). Lutherville, MD: Sidran Press.
- Senkfor, A. J., & Williams, J. M. (1995). The moderating effects of aerobic fitness and mental training on stress reactivity. *Journal of Sport Behavior*, 18, 130-57.
- Schurr, P. H., & Ozane, J. L. (1985). Influences on exchange processes: Buyers' preconception of a seller's trustworthiness and bargaining toughness. *Journal of Consumer Research*, 11, 939-953.
- Stamm, B. H. (Ed.). (1989). *Secondary traumatic stress: Self-care issues for clinicians, researchers, and educators*. Lutherville, MD: Sidran Press.
- Terry, W.C., III (1981). Police stress: The empirical evidence. *Journal of Police Science and Administration*, 9(1), 61-75
- Thomas, R. E. (1983, Spring). *Stress in school administration: Perceptions of Tennessee public school superintendents*. : Unpublished manuscript.
- Violanti. (1996). Residuals of police occupational trauma. *The Australasian Journal of Disaster and Trauma Studies*, 1997-3.

Understanding the Formation of Prejudice Attitudes of Police Officers

Lisa M. Snow

Rose Mary Wentling,

University of Illinois at Urbana-Champaign

Prejudicial attitudes and discriminatory practices of the police damage the fiber of our society, and much has been written about the extent of the problem; however, the reasons why these attitudes exist are less clear and much less frequently addressed. This literature review provides an understanding of how and the extent to which prejudice is displayed by the police and what is known about the formation of prejudicial attitudes in the police. The tailoring of training programs to reduce the formation of prejudice attitudes of police officers is also discussed.

Keywords: Prejudice, Police Officers, Training

Racism and discrimination by the police directed at citizens in the United States has been one of the most controversial and talked about subjects of recent history (MacDonald, 2003). Often, the police have been accused of abusing their power and failing to provide adequate service to blacks, Hispanics, and other minority groups due to discrimination and prejudice toward minorities (MacDonald, 2003). Prejudice for the purpose of this paper will be defined as, "the tendency to have prior negative judgment toward...people who are different from some reference group in terms of sex, ethnic background or racial characteristics such as skin color" (Morrison, 1992, p. 34-35). The police are the most visible representatives in our justice system and have the ability to act on their prejudices in the form of exercising police power unfairly against minority groups. This visibility makes the police one of the most outward indicators of prejudice in the justice system (Muwakkil, 2001).

There is an abundance of literature that documents that prejudice does exist in the police profession and is a prevalent and driving force in decision making at all levels of the bureaucracy (Muwakkil, 2001, Reinhold, 1991, Wise, 2001). Prejudicial attitudes and discriminatory practices of the police damage the fiber of our society, and much has been written about the extent of the problem; however, the reasons why these attitudes exist are less clear and much less frequently addressed. The question of whether a prejudice mindset came with the officer to the job or if the officer formed such opinions while on the job seems to be an area where little research has been conducted. The great reduction/elimination of institutional racism within police departments may lie in the prevention of such attitudes forming. In order to develop a preventive strategy, we must understand the causes and not just the outcome of prejudice and discrimination by police departments.

Police discrimination is a sensitive and emotionally charged topic. It is a subject, which has many complex facets and has an enormous effect on law enforcement (Tizon & Forgrave, 2001). In order to be seen as sensitive to the issue of police discrimination and prejudice, police administrators take great pains to create policy and procedures to announce they do not approve of prejudice and discrimination (Schott, 2001). Is the problem of prejudice by the police one which exists in isolation, created in the media by high profile cases, or are there legitimate grounds to assume the problem does exist? In order to address the issues of police prejudice, one must first look at the extent of the issue and the impact it has on our society as a whole. This literature review provides an understanding of how and the extent to which prejudice is displayed by the police and what is known about the formation of prejudicial attitudes in the police. The tailoring of training programs to reduce the formation of prejudice attitudes of police officers is also discussed.

The literature review strategy on this topic was developed to first gain a sense of how prejudice concerning the police is viewed by society as a whole by reviewing the literature in research studies, books, reports, internet sources, journal and magazine articles. This strategy was adopted to help frame the problem in terms of the actual extent and impact prejudice has had on society. Due to the extent of the available literature about prejudice incidents involving the police only a select group of highly significant events are discussed. The review then focuses on what is known about the formation of prejudice in general and how this knowledge applies to the police. The literature was reviewed for specific examples of which examine how the police specifically form prejudice.

Copyright © 2004 Lisa M. Snow & Rose Mary Wentling

The Extent of the Problem Related to Prejudice Attitudes

The images of the police beating black demonstrators in the 1950s and 1960s during the civil rights movement were responsible for untold damage to the reputation of the police. The nation watched as black demonstrators were beaten, sprayed with fire hoses and attacked by police dogs. The news footage of the civil rights demonstrations has been played and replayed until it has become a part of our nation's collective memory. The law enforcers who were entrusted to protect the rights of all citizens were portrayed by their own actions to have racist mindsets. This film footage has increased ten fold in the years following the demonstrations. The Internet, popular journalism, television, and the radio are saturated with stories of racist police officers and institutional racism. On almost any given day somewhere in the U.S., a story about the police abusing their powers for reasons of racism can be heard via the popular media. The most infamous in recent history were the beating of Rodney King, a black motorist who was arrested and beaten following a vehicle chase by Los Angeles Police in March 1991, and the subsequent riots in Los Angeles. This incident, which was widely viewed to be the result of racist police acting on their attitudes, had national impact causing a string of rioting and violence across the country. The Rodney King incident also caused an outpouring of emotion and contempt to be directed towards the police, in the form of public attacks on the very validity of our national system of policing. The Los Angeles Police Department (LAPD) came under intense public scrutiny following the March 3, 1991, beating of Rodney King and subsequent trial of the officers charged in the attack. Following the acquittal of the officers, riots broke out lasting five days and resulting in 40 deaths, 2,382 injuries and an estimated one billion dollars in damages (Kappeler, Sluder, & Alpert, 1998). When one begins to calculate the cost to society that racial unrest precipitated by police action has caused society, a sense of overwhelming enormity is felt. The monetary cost is in the billions while the damage to society is beyond measure.

As a response to the trial and riots in the Rodney King case, the LAPD was studied extensively in an attempt to uncover the causes and develop solutions to the underlying cause of the racial unrest. The Christopher Commission set up in 1991 as a response to the Rodney King incident, studied the LAPD's response to officer brutality. According to Kappler, Sluder, and Alpert (1998), the LAPD has a subculture of racism and violence; however this department is not alone. Reprinted in Kappler, Sluder, and Alpert, (1998), The Christopher Commission went on to state: "This is a national problem, we have conducted our study with awareness that it might have considerable relevance for other cities, other police departments around the country" (p. 4-8). The Christopher Commission equated the LAPD's excessive use of force directly to the racist attitudes of its officers and stated that the problem was a national problem rather than just an LAPD problem.

The Christopher Commission (1991) suggested that the LAPD suffers from institutional racism. The term *institutional racism* has been increasingly associated with law enforcement agencies. *Institutional racism* means: "Racism, which, covertly or overtly, resides in the policies, procedures, operations and culture of public or private institutions-- reinforcing individual prejudices and being reinforced by them in turn" (Institute of Race Relations, 2002, p. 1). Institutional racism tends to exist in a much more subtle and indirect way. It is often more recognizable in the form of racial jokes, prejudices, conversation, and exaggerated stories about minorities (Police Magazine, 1999). Institutional racism can also be more outright as in the example of the LAPD. The term institutional racism appears to be a term more and more associated with the police. Institutional racism also implies that the condition permeates throughout the entire organization. The popular media seems to portray the law enforcement community as a whole as suffering from institutional racism (Police Magazine, 1999). What happens in the larger cities such as Los Angeles and Chicago has an effect on the smaller communities in the form of policy setting and trends. Los Angeles has had an effect on the rest of the country (Kappeler, Sluder, & Alpert, 1998). The literature suggests that the extent of the problem is far reaching perhaps even to the extent of saturation (Muwakkil, 2001).

In the arena of law enforcement prejudice and discrimination, the most devastating scenario is the unjustified killing of a minority suspect. This type of incident often leads to further violence in the form of rioting and at the very least leads to racial unrest within the community. Muwakkil (2001) describes several incidents in which white officers killed minority suspects allegedly without provocation. The incidents occurred throughout the United States, and all sparked some form of racial tension in the community. Muwakkil goes on to state that the police are using deadly force more and more frequently without justification against minorities and are getting away with murder. Muwakkil states:

Escalating police violence reflects a growing fear of black criminality among the broader population. The skyrocketing rate of black imprisonment and the profits to be made from the prison industry suggest that the criminal justice system and young African-Americans are increasingly becoming each other's sworn enemies (p. 60).

Muwakkil appears to be suggesting a conspiracy between the police and the prison system to incarcerate young African Americans for the profit of the prison system. While this suggestion may be far-fetched, he does point out incident after incident in which the police seem to be in an adversarial position against minority populations. The facts that rioting and racial unrest have erupted from the killing of minority suspects by white police officers suggests that much of the minority population feels the police are racist and take the life of minority individuals because they have racist attitudes (New York Urban League, 2000). The violence clearly suggests that the public perception is that had the suspects been white, they would not have been killed. This lack of trust from the public that the police are sworn to protect hinders the police in their duties and forms a vicious circle of animosity between the police and the public (Reinhold, 1991).

The misuse of the Bill of Rights takes many forms from improperly arresting an individual on a felony to using police powers to inconvenience an individual by temporally restricting his or her movements. To stop and detain an individual for a short period of time could seem to be trivial in comparison to arresting an individual for a felony charge; however, stopping an individual solely because of their race is certainly harassment by the police and an improper use of police power (ACLU, 2002). Racial profiling has been extensively discussed in recent years (MacDonald 2003). It is a subject that evokes emotion from both the police and minority groups. The frequency in which racial profiling is discussed in the media is an indicator that the subject is of widespread concern to the population (Delattre, 1996). The controversy surrounding racial profiling is yet another demonstration of the extent of the problem of prejudice by the police.

Racial Profiling

One of the most recently controversial topics relating to racism and discrimination within police departments is the subject of racial profiling. Racial profiling has been a repeated topic in the media gaining national attention in recent years. The very term racial profiling seems to insight anti-racist groups and the public in general, as it implies profiling people as criminals on the basis of their race (ACLU, 2002). Citizens have filed lawsuits in reference to racial profiling and police departments across the nation have implemented policies to avoid lawsuits on the basis of racial profiling (General Order P.P.D. 400.81, 2000). The practice of officers using race as a criminal profiling factor has caused immense controversy and reflects yet another aspect of the complex issue of racism and discrimination by the police (Muwakkil, 2001).

The term *racial profiling* is defined as the police targeting someone for investigation on the basis of that person's race, national origin or ethnicity (Arrest the Racism, 2000). As racial profiling is defined, it appears to be a blatant misuse of authority by the police. Recently the American Civil Liberties Union (ACLU) has taken a strong stand against what they believe to be blatant racism on the part of the police against minority citizens:

Today skin color makes you suspect in America. It makes you more likely to be stopped, more likely to be searched, and more likely to be arrested and imprisoned.

One of the highest priority issues is the fight against the outrageous practice of racial profiling (ACLU, 2002, p. 1).

The fact that the ACLU pays such credence to the subject of racial profiling is telling on the effect it has on society. The police and the minority population are heavily divided on the subject. Minorities say the practice is widespread and rampant, while the police argue that the emotions associated with the issue are not backed by facts Schenecker & Brenner, 2002). The foundation of the racial profiling issue is the idea that racist police are using their police power to violate the 14th Amendment rights of minority citizens (Institute of Race Relations, 2000).

The very public nature of accusations of racism, prejudice, and racial profiling leads one to believe that the police should have some reaction, beyond the policy making of collecting statistics, to the controversy directed at them as individuals and as a profession. The police conduct their business in the public and are therefore subject to the attitudes and trends practiced by the public. The police cannot ignore the demands of the public for long periods of time and still expect to conduct business as usual. The police must react in some way either internally or publicly to the politics of prejudice (Perlmuter, 2001). The way the police respond to this controversy-by choosing either to resolve or not to resolve the conflict- could have a tremendous impact on the direction that police work travels and how the police are perceived as a whole (Levin, 2001).

The Reactions by the Police to Accusations of Racism and Prejudice

The police are beginning to react to the chronic charges of police racism in black neighborhoods by looking the other way at crime. According to the *Seattle Times*:

De-policing is passive law enforcement: Officers consciously stop trying to prevent

low-level crime and simply react to 911 calls. Many officers, wary of being labeled racists or racial profilers say they hold back or bypass opportunities to make traffic stops or arrests of black suspects (Tizon & Forgrave, 2001).

The Seattle Police Chief, Gil Kerlikowske agreed that officers were being particularly cautious in black neighborhoods but denied the problem had become a crisis. The officers are beginning to refer to themselves as "tourists in blue". Officers report that they would rather park under a tree and do nothing than be labeled as a racist and subjected to an investigation and lawsuit. Officers also report holding back on acting on experience when they feel an individual may be up to illegal activity because the individual in question was a minority. In essence, the police are afraid to do their job because they do not want to suffer the consequences of being called a racist (Tizon & Forgrave, 2001). Tizon and Forgrave go on to state that during a Mardi Gras riot in 2000, officers were fearful of being video taped battling with black suspects and subsequently held back allowing a young white male to be beaten to death by the black offenders.

The implications for de-policing on a chronic scale could be incredibly devastating to our society as a whole. While it cannot be confirmed in the literature, the law enforcement community has murmured rumors about de-policing under its breath for years. Police profession insiders will state off the record that it is their belief that de-policing is happening at least in isolated cases, despite the fact that little has been researched to document its existence. Black officers interviewed by Tizon and Forgrave (2001) have also stated they understand why drug dealers cry racism when pulled over on a traffic stop. It works in diverting the attention away from the crime they committed or were about to commit. The officers stated that drug dealers know most police officers are unnerved by accusations of racism and may allow the drug dealer to leave without an arrest.

The police appear to be responding to the accusations of racism and prejudice in a number of ways both internally and externally. Overall, the police appear to be responding in a negative manner as is evidenced by de-policing (Tizon & Forgrave, 2001). It could also be argued that the police are justified in their response when they observe the political power of the press and feel the evidence will not be properly examined before they are labeled as prejudice. There is also evidence that police administrations are taking an aggressive stand to show the public that the police as a profession do not support prejudice attitudes and racial discrimination in the form of policy making. For the most part, administrators are merely responding to political pressure by writing policy and investigating accusations on a case-by-case basis, instead of looking deeper into the problem by asking such questions as: "are our officers prejudice and if so why and how do we end or prevent it"? A deeper look must be taken to determine the actual depth of feelings experienced by police officers in order for true strategy to develop, otherwise policy is just rules in a manual easily avoided by the average officer.

Probable Causes of Prejudice by the Police

The question of where prejudice by / of the police originates is a daunting complex question with no simple answers. Each individual experiences life and forms his or her opinions based on the learning experiences of life. People who have similar experiences, have similar backgrounds, and live through life's experiences together can form similar opinions (Perlmutter, 2000). The police experience their careers in a similar pattern in most areas where there is a minority population and do so with each other for support. Could the police learn prejudice attitudes on the job, or does the individual officer bring the prejudice attitude to the job as part of an internal resume? The vast majority of literature relating to prejudice in the police relates to the effects of prejudice and not the origins of prejudice by the police (Levin, 2001, Reinhold, 1991, Websdale, 2001). It appears that the assumption is for the police to have come on the job having already formed their opinions about mankind, including any prejudice attitudes he or she may have formed prior to entering police work. (Police Magazine, 2000). There is a lack of literature that explores the origins of police prejudice attitudes toward minorities.

It also becomes apparent from the literature that very little research has been conducted to determine if the police are more prejudice than other groups within society. According to *Police Magazine* August 2000:

There is a need for a survey of police attitudes towards racial minorities; whether the police are any more prejudiced than the ordinary population, whether racial prejudice is inherent in humanity as a whole and whether minorities do suffer from prejudice against other minorities and the majority population (Police Magazine, 2000 p. 1).

With so much written and so much media attention on the subject of racism and prejudice in police departments, it appears odd that so little valid research has been conducted on the causes. It may prove to be true that the research has not been conducted on the origins of police prejudice because of an underlying unproven assumption that the police come to the job with prejudice rather than becoming that way while working as police officers. The

assumption of the origins of police prejudice needs to be explored in far greater detail before our society can develop a solution (Garrett, 2001).

The formation of prejudice is a subject, which has been widely studied, in the general population. In order to understand how the police may acquire prejudice while on the job it is necessary to build a conceptual framework on the formation of prejudice using the available literature on what is known about how prejudice and stereotypes are formed. This literature must then be viewed in the context of how it might apply to the formation of prejudice in the police as a group.

In 1922 the book *Public Opinion* written by Walter Lippman began the study of stereotypes from a social science perspective (Hinton, 1994). The term stereotype was introduced and defined in Lippman's landmark publication. The early definition of stereotyping came out of Lippman's view that individuals look to what society has already defined about groups and then pick out characteristics about the group which fit the picture society has defined. These pictures, as stated by Lippman, are fundamentally false representations of those groups. According to Hinton an implication from this view is that from these false often-derogatory stereotypes leads to the formation of prejudice in individuals (Hinton, 1994).

Following Lippman's early theory on stereotypes and prejudice a number of theories relating to how prejudice is formed have been developed. Much of the related literature cautions that there are multiple causes in any social phenomena and the formation of prejudice is no exception (Allport, 1954, Fishbein, 1996, & Marger 1991). Fishbein (1996) summarized six theories adapted from earlier research in his book *Peer Prejudice and Discrimination*. The six theories are: Phenomenological Emphasis, Psychodynamic Emphasis, Situational Emphasis, Sociocultural Emphasis, Historical Emphasis, and Emphasis on Earned Reputation.

Aronson (1992) discusses the formation of prejudice using four major causes: (1) economic and political competition or conflict, (2) displaced aggression, (3) personality needs, and (4) conformity to existing social norms. Aronson's listed theories bear a similarity to those of Allport (1954) and Fishbein's (1996) listed theories. An interesting theory from both Aronson and Fishbein is that of personality in particular the authoritarian personality being more likely to form prejudice. This is of particular interest in relation to the police (Leippe & Zimbardo, 1991, Aronson, 1992, Fishbein, 1996, Allport 1954, Bethlehem 1985). The police have been presumed by some to be attracted to the job due to a similarity in personality. The police are presumed to possess an authoritarian personality and therefore harbor deep prejudice upon starting on the job (Wortley & Homel, 1995). This idea in relation to the police begins to weaken when one looks at the composition of today's police forces. They are from diverse backgrounds and upbringings and vary greatly in personality types (Perlmutter, 2000).

The remaining above listed theories offer limited explanations of prejudice in the police as a group. The Aronson theory on economic and political competition, which is similar to Allport's (1954) Sociocultural Emphasis, could offer some explanation in the political conflict portion of the theory. The police do experience political pressure from minority groups, which may lead to conflict and prejudice; however, the argument weakens when the economic and upward mobility portion of the theory is applied. The police do not compete against minorities for economic stability or upward mobility as a group in the way suggested by Aronson (1992). The theory of displaced aggression is difficult to apply to the police as a group. One must assume that the police are themselves operating as a minority group which may in many cases be true; however, it would be a stretch to say that the police as a group have formed displaced aggression and are then acting upon it.

The police may be responding to existing social norms concerning prejudice. This theory states that individuals form prejudice under social pressure. The police do in fact operate as a social group and do force the adherence of social norms upon the members (Perlmutter, 2000). This theory holds some promise of explanation for the police as a group both before and after they enter the job if institutional racism is occurring among the police subculture, and should be studied further in reference to the police.

The police are well known for developing a strong subculture and in order for an officer to see some success, he or she must join the culture to an extent. It would seem a natural progression that one who enters and embraces a new culture would undergo a transformation of beliefs at least to a small degree. Police officers who contemplate themselves such as David Perlmutter (2000) who wrote *Policing the Media: Street Cops and Public Perceptions of Law Enforcement*, state that the police develop an, "us verses them" mentality, which is reinforced by the wearing of the uniform. The police come to see themselves as separate from the rest of society. According to Perlmutter (2000), the police can also see themselves as having minority status; a group of separates who lack the support or understanding of the rest of society. If the police do feel they are separatists, might they also be developing prejudice against certain minority groups as part of their culture and perceived separation ideas? This idea is supported in part by an article on Institutional Racism for *Police Magazine* (2000), which states minority groups tend to "differentiate zealously between themselves: i.e., their own group and those different from themselves" (p. 2). The police may in turn be differentiating between themselves and the rest of society as if they are a minority

group, and thus separate themselves from the rest of society. This could cause the police to form a group consensus such as an: "us (the police) against them (society)" attitude.

Another possible cause of police prejudice is the idea that the police form prejudice attitudes through a series of traumatic experiences with minorities they encounter on the job. The police individually and collectively experience trauma on the job. The police are faced time and time again with situations involving high levels of stress and emotion (Kappler, Sludder, & Alpert, 1998). These incidents often involve minorities due to the fact that most traumatic calls occur in the high crime areas, which are predominately occupied by minority groups (Websdale, 2001). According to Allport (1954), trauma can induce the learning of prejudice attitudes: "Traumatic learning is, then, a matter of vivid one-time conditioning. It tends to establish an attitude at once, and this attitude overgeneralizes to include all members of a class of objects associated with the original stimulus" (p. 354). Allport goes on to state that, "if over and over again a person has a certain kind of experience with members of a certain group, there is no question of trauma" (p. 315).

Officers are exposed again and again to members of minority groups under the stress of high priority calls. They constantly see individuals at their worst with very little interaction that can be called positive. Officers within the subculture then share their experiences and influence each other. If the officer has been exposed under traumatic incidences to members of a minority group who are hostile to the officer, the officer may be developing prejudice, a dislike of a particular minority group, on the job. The officer may have started police work with little or no preconceived prejudice opinion toward a particular minority group, but may have developed that opinion after a certain amount of time spent as an officer. Thus, society could potentially be creating prejudice officers on the job. If this is a possibility, there exists a means for a cure by prevention. Allport's Contact Hypothesis (1954) appears to offer the most plausible explanation of formation of prejudice among the police while on the job, when compared to the other theories on prejudice formation.

The majority of researchers who have studied Allport's contact hypothesis have studied it from the aspect that positive contact between groups should promote a positive relationship between the groups (Nesdale & Todd 2000). Much of the research does in fact support the hypothesis, however some research has failed to support the theory of positive contact and in fact has indicated the reverse is true that prejudice increased with positive contact (Nesdale & Todd, 2000). These findings both supportive and non supportive of Allport's hypothesis indicate that contact does influence opinion.

The only theory specifically applied to the police in the study of the formation of prejudice was an adaptation of the contact hypothesis. Wortley and Homel (1995), conducted a year long longitudinal study on recruit officers in Australia to determine if there is a rise in prejudice attitudes following contact with aboriginal populations, an Australian minority group. The study, which used quantitative methods, found that officers do have an increased level of prejudice following fieldwork in predominately minority areas. Wortley and Homel argue that the development of prejudice on the job and for the police is consistent with theories on motivational and cognitive development of prejudice. Motivational theory argues that the denigration of minority group members as an attempt by an individual to support beliefs in his or her personal dominance over members of a different group. Prejudice is more likely to develop when the contact between groups is negative or laced with conflict.

Cognitive theories state that prejudice is created because of the perception that socially unacceptable acts are associated with certain groups (Wortley and Homel 1996). If the police are observing socially unacceptable behavior in the particular minorities they deal with on a daily basis they may be equating this behavior to all members of the group. The police come into contact with people typically under circumstances involving antisocial behavior and see people at essentially their worst. This fact could be leading to the development, through negative contact, of prejudice while on the job. We may not be able to control what officers are told in the home, but we can control what they are given during the early impressionable years as an officer, at least during official training. If the officers are armed with the understanding that they will face traumatic events, which could cause them to develop prejudice attitudes and are taught ways to avoid developing such attitudes, part of the cycle could be broken.

One must also take a critical look at the minority groups themselves. If the minority groups are contributing to the formation of prejudice officers, then long-term societal changes could help to eliminate the cycle of prejudice. If an education and training campaign is developed targeted at the public to foster understanding of why the police develop such attitudes, it may be possible to slowly break the cycle. This type of undertaking would certainly prove to be an enormous task; however, societal opinions are proven to change slowly with education and training (Bar-Tal, 1989). Nation wide campaigns such as the one currently being undertaken to eliminate drunk driving have greatly increased the consciousness of the public. While there are still drunk drivers, many people now choose not to drink and drive. A campaign explaining to the public in simple terms how the police become prejudice may cause citizens to alter their actions or influence others to think about how they treat the police.

Discussion and Implications

Police prejudice and discrimination is consistently a headline story in our national media. Most recent is the videotaped beating by the police of a black, 16-year-old boy by officers near Los Angeles in June of 2002. It immediately became headline news on every news channel and newspaper in the United States. The incident was termed to be a racial incident by the media due to the fact that officers involved were white while the suspect was black. Another video taped beating soon surfaced of a black man who was being struck by a white police officer while lying face down and arms extended in a classic stance of surrender. The extent of the media coverage demonstrates the interest our society has in the subject. While much will undoubtedly be written on these cases, will the media or researchers look deeper into the underlying questions and causes? Are the police prejudiced? Are they more prejudiced than the rest of society? Do they learn prejudice on the job, or is it formed before the job begins? These questions deserve further research attention for the purpose of tailoring training programs to reduce the formation of prejudice attitudes, if they do develop on the job.

Police training institutes could and should focus to a much greater degree on diversity education. Most police officers are still white, middle class, and from blue-collar, non-minority neighborhoods and are fighting crime in neighborhoods which are the alter ego of their upbringing. A new and inexperienced officer should receive some training on the types of emotions he or she will face when confronted again and again with hostility in a dangerous physical environment. If research indicates that this type of emotional trauma does facilitate the formation of prejudice attitudes, the attitudes could be diverted from forming through the implementation of proper training, while the officer is still at the academy.

The literature indicates very little research has been done in the area of De-policing and its implications. De-policing should be further explored because of the potential for societal damage in the form of rising crime rates and further discord between the police and minority populations. The characteristics of the officers engaging in de-policing should also be further explored to determine which officers are most likely to practice de-policing. It would be helpful from a preventative standpoint to understand if the officers practicing de-policing have prejudice attitudes or if the officers are cracking under the threat of public scrutiny. Once we can determine if and who de-policing affects, training to counter de-policing can be developed and implemented for high-risk officers.

Current training at many police training institutes focuses a minimum amount of time on diversity issues relating to cultural and ethnic differences. The more progressive training programs are using scenario training on a frequent basis. This type of training has proven very effective; however, very little is done to reconstruct realistic scenarios in a simulated minority neighborhood, where a hostile relationship exists between the police and citizens. These predominately white officers from small communities have never dealt with a group of angry minority individuals who have been offended by or are hostile to the police. These new officers possess the skills to handle domestic disputes, traffic, officer safety, and basic criminal law, but are not prepared in any way for the realities of the emotion and cultural issues they will face with in a poor minority neighborhood. Police training institutes need to focus on developing scenario training that could partly prepare new officers for the types of realistic calls they will face in minority areas, using experienced minority police officers to act as roll players.

In the arena of Field Training the best minority and white officers working in minority neighborhoods should be utilized as field training officers focusing on developing communication skills and teaching the diverse laws and language of the streets particular to each neighborhood, which cannot be taught in a simulated controlled environment. The Field Training Sergeant and officers must be able to identify individuals struggling with issues relating to minority interaction. Once this individual has been identified through his or her actions on the job, an effort must be made to tailor a training program around the individual, such as placing the recruit in a minority neighborhood, during a busy shift and setting aside time for the recruit to reflect and discuss the calls and behaviors of individuals with a high functioning minority officer. The issues of diversity should be addressed head on at the very beginning of training, utilizing the best field officers as mentors and advisors. The current procedure that you allow a new officer to sink or swim, and the belief that talking about emotions is a sure sign of weakness leaves an individual with little to help him or her to develop positive feelings about the citizens he serves.

Police prejudice will continue to plague our society, damaging the fibers and foundation, until we can effectively prevent it from starting with each new group of police recruits. The damage police prejudice causes society cannot be overstated or overlooked; but until we actively seek real solutions, we are just spinning our wheels with no end in sight and the very real possibility of hostilities becoming worse.

References

- Allport, G. W. (1954). *The nature of prejudice*. (25th Anniversary ed.). (pp. 312-317, 350-355). Reading, MA.
- Arnon, E. (1992). *The social animal, causes of prejudice*. (pp. 111-122). Buffalo, NY. Prometheus Books.
- Arrest the racism: racial profiling in America*. (2002). American Civil Liberties Union Freedom Network. Addison-Wesley Publishing Company. Retrieved May 14, 2002 from <http://www.aclu.org/profiling/>.
- Bar-Tar, Y., Bar-Tar D., Graugmann, C., Kruglanski, & Wolfgang, S. (1989). *Stereotyping and prejudice changing conception*. New York. Springer-Verlag.
- Bethlehem, D. (1985). *A social psychology of prejudice*. Great Britain. Billing & Sons.
- Christopher, W. (1991b). *Summary: Report of the independent commission on the Los Angeles Police Department*. Los Angeles: City of Los Angeles.
- Delattre, E. J. (1996). *Character and cops: ethics in policing* (3rd ed.). Washington, D.C. The AEI Press.
- Fishbein, H. (1996). *Peer prejudice and discrimination*. Bolder CO. The Westview Press.
- Garrett, R. L. (2001, April). Changing behavior begins with data: collecting traffic stop data is a means to identify profiling and stop it in its tracks. *Law Enforcement Technology* 28(4), 100-108.
- General Order 400.81 (2000, May 14). City of Peoria Police Department. Racial Profiling.
- Hinton, P. R., (2000). *Stereotypes, cognition and culture*. Philadelphia, PA. Psychology Press.
- Institutional racism. (2000, August). *Police magazine*. Retrieved June 4, 2002, From http://www.polfed.org/magazine/08_2000/2000racism.htm
- Kappeler, V.E., Sluder, R., & Alpert, G. P. (1998). *Forces of deviance: understanding the dark side of policing*. (2nd ed.). Prospect Heights IL. Waveland Press Inc.
- Leippe, M. R., & Zimbardo, P. G. (1991). *The psychology of attitude change and social influence*. New York, NY. McGraw-Hill Inc.
- Levin, M. (2001). *The police are not racist. Police brutality: opposing viewpoints*. San Diego, CA. Greenhaven Press Inc.
- MacDonald, H. (2003). *Are cops racist?* Chicago, IL. Ivan R. Dee.
- Morrison, A.M. (1992). *The new leaders: guidelines on leadership diversity in America*. San Francisco: Jossey-Bass.
- Muwakkil, S. (2001). Racism causes police brutality. *Police brutality: Opposing viewpoints*, San Diego, CA. Greenhaven Press Inc.
- Perlmutter, D. D. (2000). *Policing the media: street cops and public perceptions of law enforcement*. Albany NY. Sage Publishing.
- Racism in the police and the criminal justice system*. (2000). Institute of Race Relations. Retrieved June 4, 2002, from <http://www.irr.org.uk/resources/cjs.htm>
- Reinhold, R. (1991, July 10) *Violence and racism are routine in Los Angeles Police, study says*. Retrieved May 14, 2002, From <http://www.nytimes.com/books/98/02/08/home/rodney-report.html>
- Schencker, L., & Brenner, S. J. (2002, February 27). *Driving while black: racial profiling*. The Daily Illini, pp. A1, A7.
- Schott, R. J.D. (2001, November). The role of race in law enforcement: racial profiling or legitimate use?. *Legal Digest* 70(11), 24-32.
- The state of black New York 2000: The optimism and vulnerability of the black community*. (2000). The New York Urban League. Retrieved May 23, 2002 from <http://www.nyul.org/poll.html>
- Tizon, A., & Forgrave, R.. (2002). *Wary of racism complaints, police look the other way in black neighborhoods*. SeattleTimes. Retrieved May 14, 2002 from <http://seattletimes.nwsource.com/html/localnews/134310782police26m.html>
- Understanding institutional racism*, (1999, March). *Police magazine*. Retrieved May 14, 2002, from http://www.polfed.org/magazine/03_1999_racism.htm
- Websdale, N. (2001). *Policing the poor: from slave plantation to public housing*. Boston MA. Northeastern University Press.
- Wise, T. (2001, May 22). *Shot by cops? not if you're white*. Alternet.org. Retrieved May 21, 2002 from <http://alternet.org/story?StoryID=10910>
- Wortley, R., & Homel, R. (1995). Police Prejudice as a function of training and out-group contact. *Law And Human Behavior*, 19(3), 305-317.

Motivating Employees During Lean Times: A Review of the Employee Participation Literature

*Murray D. MacTavish
Pennsylvania State University*

With the dynamic changes in the global economy, morale of layoff “survivors” suffers as they take on more responsibility. How can managers motivate employees when extrinsic rewards are scarce? This literature review briefly presents the concept of psychological empowerment in the workplace, before engaging in a more detailed exploration of the employee participation literature and how it creates motivating environments through empowering practices. Issues pertinent to Human Resource Development (HRD) practitioners and researchers are addressed.

Keywords: Employee Participation, Empowerment, Motivation

It has been argued that traditional bureaucratic social structures have resulted “in high social costs through disempowerment, reduced labor productivity, and decreased worker satisfaction” (Spreitzer, 1992, p. 36). With the dynamic changes in the business environment brought on by international competition, increasing demands for quality and product development, and the shift from a manufacturing to a service-oriented economy, many organizations have had to alter how they manage work and workers (Judy & D’Amico, 1997). The difficult economic times that followed 9/11 further exacerbated the elimination of management layers and reduction in staff size and was accompanied by changes in management philosophy. The result of these more recent layoffs is an increasing dependence on the remaining employees—often called layoff “survivors”—to take initiative, be creative, and expand their roles by assuming the responsibilities of managers (Lawler, 1986; Quinn & Spreitzer, 1997). Needless to say, morale, climate, and culture have been negatively impacted. This review of the literature related to employee participation and empowerment seeks to assist Human Resource Development (HRD) practitioners in their approach to motivating post-layoff survivors in a lean economy. Critical research challenges and future research needs are also addressed.

Problem Statement

Acknowledging the above changes, the question arises: How are employees motivated to perform and achieve organizational and personal objectives within these new organizational contexts? When extrinsic rewards (i.e., bonuses or even raises) are not necessarily feasible, managers need to look to other, more intrinsic forms of motivation. Ryan and Deci’s (2000/2003) work on intrinsic motivation and Bandura’s (1986) concept of self-efficacy are important components of psychological empowerment (Spreitzer, 1995), a motivational construct. Spreitzer (1996) identified employee participation as positively related to psychological empowerment. A review of the employee empowerment literature will enhance our understanding of this relationship.

Researchers (Cotton, Vollrath, Froggatt, Lengnick-Hall, & Jennings, 1988; Wagner, 1994) have found that involving employees in decision making processes has a positive, but small effect on performance and satisfaction at work. A review of the existing employee participation literature needs to be expanded beyond a satisfaction–performance framework to incorporate motivation research that looks at the factors that explain the variance in intrinsic motivation (Ryan & Deci, 2000/2003) and determine human behavior (Stajkovic & Luthans, 2003). As well, the review of the empowerment literature can explore alternate explanations for the impact of employee participation on performance.

As corporations are challenged with the task of motivating employees amidst dramatic environmental changes, research into the empowering management practice of employee participation in the U.S. and its effects on motivation, satisfaction, and performance will provide useful guidance for their management and for HRD practitioners in U.S.-based contexts.

Theoretical Framework

Employee participation is generally considered to have originated with the work of Coch and French (1948) and is concerned with shared decision making in the work environment (Mitchell, 1973). Even after many studies, the

Copyright © 2004 Murray D. MacTavish

research findings are mixed concerning the benefits of participatory management practices. Researchers (Cotton, Vollrath, Froggatt, Lengnick-Hall, & Jennings, 1988; Wagner, 1994) have found that involving employees in daily information-processing, problem-solving, and decision-making has a positive, but small effect on performance and satisfaction at work. With many different techniques or approaches having been researched, Lawler (1986) changed the perspective from a program- to process-orientation, and studied the level of employee involvement.

Additional research (Locke & Schweiger, 1979; Latham, Winters, & Locke, 1994; Wagner, Leana, Locke, & Schweiger, 1997) has explored participation's effect from both motivational and cognitive frameworks. The cognitive benefits of employee participation are derived from its facilitation of higher quality decision outcomes through the sharing of knowledge and information by employees who know more about their work than their supervisors. In the motivational framework, performance is improved through participation in goal setting and increased commitment (Wagner et al.). The results, however, remain mixed.

This review of the literature expands the current participation discussion to include a review of the research on psychological empowerment and the incorporation of employee participation as a motivational approach that enhances perceptions of empowerment, leading to increased motivation, satisfaction, and performance. While Conger and Kanungo (1988) proposed that empowerment was the motivational concept of self-efficacy, Thomas and Velthouse (1990) considered it a multifaceted concept in which intrinsic motivation is increased. It is manifested in a set of four cognitions: meaning, competence (synonymous with self-efficacy), self-determination, and impact.

Ryan and Deci's (2000/2003) self-determination theory identified three psychological needs that are the basis of intrinsic motivation—needs for competence (self-efficacy), relatedness, and autonomy. They concentrated most of their research on autonomy ("feelings of volition," p. 58), so for the discussion of the research on competence, Bandura's (1997) concept of self-efficacy—a central component of human agency in his social cognitive theory—will be used. Self-efficacy is an individual's belief about his or her capability to mobilize resources (motivational and cognitive) and the actions needed to successfully accomplish a specific task within a specific context (Bandura).

Finally, Brockner (1988) found that survivors of a downsizing were likely to experience high levels of stress and reduced levels of organizational commitment and motivation. According to Neihoff, Moorman, Blakely, and Fuller (2001), employee empowerment and job enrichment initiatives may moderate such negative reactions. Spreitzer (1996) confirmed that a participatory work unit climate is an antecedent of psychological empowerment, and that empowered employees are more innovative and effective (performance), and experience less strain; a significant issue in a post-layoff environment.

Research Questions

The purpose of this literature review is to explore the research related to employee participation and to consider the implications of involving employees in decision making processes to HRD theory and practice in post-layoff work environments in the U.S. The following questions were determined:

1. What are the theoretical connections between employee participation and employee empowerment?
2. Does participation positively affect employee satisfaction, performance, and motivation?
3. What research findings can help the HRD practitioners develop methods and programs to increase the motivation and performance of post-layoff survivors?

Methodology

A large proportion of the participation research can be found in the psychological, religious, sociological and social work literature. Empowering disenfranchised populations through community participation is the predominate focus. For the purposes of this literature review, however, I examine the psychological and management literature addressing employee participation in the decision processes in the workplace.

ProQuest, Psyc Info, JSTOR, ERIC, and EBSCO host were used to locate the literature. Of the 113 articles from peer-reviewed scholarly journals (with a few other scholarly and professional journal articles included), 23 participation articles were reviewed. The terms used to conduct the searches included Employee Empowerment, Employee Participation, Employee Involvement, Self-Efficacy and Motivation. Articles focusing primarily on U.S.-based research were included. Articles on empowerment in the healthcare industry or union-related issues were excluded. Thus, the U.S. corporate context is the focus of this review of the participation literature.

Review of the Literature

This literature review briefly presents the concept of psychological empowerment in the workplace. It then engages in a more detailed discussion of the employee participation literature and how management practices that involve

employees in decision making processes create motivating environments which can lead to improved performance.

Psychological Empowerment

Psychological empowerment as a relational and motivational construct has increasingly been the focus of organizational researchers (e.g., Conger & Kanungo, 1988; Spreitzer, 1995, 1996; Thomas & Velthouse, 1990), as well as business practitioners (Block, 1987). While there is no commonly agreed upon definition, Conger and Kanungo defined empowerment as a motivational “process of enhancing feelings of self-efficacy among organizational members through the identification of conditions that foster powerlessness and through their removal by both formal organizational practices and informal techniques of providing efficacy information” (p. 474).

Thomas and Velthouse (1990) extended Conger and Kanungo’s (1988) work by proposing a multifaceted process or framework in which empowerment is operationalized in terms of “increased intrinsic task motivation” (p. 666) and is focused on an individual’s interpretations or assessments of the task as the primary source of intrinsic task motivation. They identified four dimensions of task assessments or cognitions: choice (i.e., the degree to which an individual perceives they have choice in initiating and regulating actions), meaningfulness (i.e., the perceived value of the task or goal), competence (i.e., self-efficacy), and impact (i.e., the degree to which behavior accomplishes the purpose of the task). Empowerment is conceptualized as a process whereby individual perceptions of choice, meaningfulness, competence, and impact are increased.

Thomas and Velthouse’s (1990) cognitive model of intrinsic task motivation consists of environmental events (data about task behaviors), task assessments (see above), and behaviors. These primary factors are influenced by global assessments (generalized beliefs about task assessments), the individual interpretative process (attributing, evaluating, and assessments), and empowering managerial interventions (changes in empowerment by changing environmental events). Such environmental interventions are designed to “produce empowerment (increased intrinsic task motivation) through changes in the environmental events that impinge upon individuals, or through changes in these individuals’ manner of interpreting those events” (p. 676). Organizational empowerment interventions such as job enrichment techniques and participative management techniques were hypothesized to increase an individual’s task assessments and motivation.

Spreitzer (1995, 1996) approached employee empowerment from the psychological and social structural perspectives. Using the four cognitions of Thomas and Velthouse’s (1990) model, she developed and empirically validated a multidimensional measure of psychological empowerment in the workplace. Additionally, she explored and identified work unit design characteristics of an empowering system.

Spreitzer (1995) incorporated the four dimensions of task assessments discussed in Thomas and Velthouse’s (1990) model into her partial nomological network of psychological empowerment in the workplace. Through her research on the antecedents of empowerment, she determined that access to information about the organization’s mission and unit performance, self-esteem, and performance-based reward systems are positively related to empowerment. She also discovered from the structural model for the consequences of empowerment, that managerial effectiveness and innovative behavior were moderately related to empowerment. Except for self-esteem, the remaining antecedents and consequences of empowerment can be found in job enrichment and employee participation models. These findings suggest that employee participation in decision-making may lead to empowerment and that these empowered employees are innovative and more effective managers.

Spreitzer (1996) acknowledged empowerment’s common roots with job enrichment theory (Hackman & Oldham, 1980) and drew upon Lawler’s (1992) high-involvement system design for employee participation in decision making to identify the social structural characteristics (content and nature) of an empowering system. A high-involvement, “empowering design provides opportunities for, rather than constraints on, individual mind-set and behavior (Torbert, 1991)” (Spreitzer, 1996, p. 485). According to Lawler (1992), such a system supports the transmission of extensive information, resources, and power throughout an organization to enable employee influence in organization decision making.

Employee participation has both a cognitive and motivational influence (Locke & Schweiger, 1979) on empowerment. Cognitively, high-involvement systems enable employees to use information better and to understand how they can influence organizational activities (Miller & Monge, 1986). From a motivational perspective, such systems facilitate employees’ trust in an organization and increase their sense of control, ego involvement, and identification with it (Locke & Schweiger).

According to Spreitzer (1996), participatory work unit climate, access to information, and sociopolitical support (i.e., approval from or legitimacy granted by organizational constituencies, such as a boss, Kanter, 1983) were positively related to empowerment—all factors found in employee participation strategies. Further, researchers (Conger & Kanungo, 1988; Lawler, 1986; Spreitzer, 1996; Thomas & Velthouse, 1990) believe implementing conditions that increase feelings of self-efficacy and control (e.g., participative decision making), and removing conditions that foster a sense of powerlessness (e.g., bureaucracy) has an empowering effect on employees. With a

foundation in the concept of psychological empowerment and how employee participation can lead to empowerment, the discussion now turns to a review of the employee participation literature.

Employee Participation

Over 50 years ago, Coch and French (1948), in their classic study, showed that employees resist change when they are not allowed to participate in the change process. Other early studies treated participation as a “motivational (commitment) device” (Latham, Winters, & Locke, 1994, p. 50)—a perspective accepted by most behavioral scientists (Latham et al.).

Dachler (1978) noted, “the major problem underlying participation research is that it is nearly impossible to determine what participation entails” (p. 17). For example, participative decision making varies along several dimensions including the degree of participatory choice allowed to employees, the degree of formality, the degree of directness (Locke & Schweiger, 1979) and the content and duration of the particular application (Cotton et al., 1988; Lawler, 1986). In general, participation is defined as joint decision making (Locke & Schweiger) or shared decision making (Mitchell, 1973).

Locke and Schweiger’s (1979) comprehensive review of more than 50 empirical research studies on participation in decision making did not find any relationship between participation and productivity. Participation did, however, increase individual satisfaction, although not uniformly across the studies. Schuler (1980) surveyed 811 employees in two organizations (a large manufacturing firm and public utility company) to discover *how* participation in decision making works. He found that when employees participate in decisions at work they experience less role conflict and ambiguity, increased performance-reward expectancy (based on an increased awareness of which behaviors will be rewarded), and more satisfaction with their supervisor and with work.

With more sophisticated analytical techniques, such as meta-analysis, Miller and Monge (1986) reviewed 47 articles and book chapters on participation. They tested cognitive, affective, and contingency models of the effects of participation in decision making on employees’ satisfaction and productivity. They concluded that participation has an effect on both, with a somewhat stronger effect on satisfaction. Employee participation in goal setting does not have a strong effect on productivity. From their analysis, there is no evidence to suggest that participation is more effective for managers than for lower-level employees, or the converse. Also, there is no evidence that service, manufacturing, and research organizations differ in terms of the effectiveness of participation. In this study, several of the strongest moderators were methodological variables, such as research setting and type of participant.

Two other researchers have addressed the methodological issues in the participation literature. Wagner and Gooding (1987a, 1987b) performed a pair of meta-analyses on 70 research studies. They first analyzed 118 correlations measuring relationships between participation and a variety of outcomes (i.e., task and decision performance, motivation, satisfaction, and acceptance). The results of their methodological analysis suggest that evidence supporting positive relationships between participation and the various outcomes might be mostly a product of percept-percept artifacts, and that research results may be inflated when using percept-percept data collection techniques (“that is, using data collected from the same respondents using the same questionnaire at the same time,” Lam, Chen, & Schaubroeck, 2002, p. 905). Thus, researchers must be careful to control for the effects of methodological artifacts (Wagner & Gooding, 1987a).

Using the same 70 articles, Wagner and Gooding’s (1987b) other study attempted to resolve the discrepancies among quantitative reviews of the research on participation-outcomes (i.e., task and decision performance, motivation, satisfaction, and acceptance) relationships. They conducted meta-analytic comparisons investigating the moderating effects of four situational variables (i.e., group size, task interdependence, task complexity, and performance standards) on these relationships. To control for the effects of different research techniques, the 118 correlations were nested into paired subgroups and nested within percept-percept and multisource groups. The results show that the four situational moderators failed (except in one instance) to influence percept-percept measures of the relationships. Hence, “the moderating effects of situational variables cannot be attributed solely to biases associated with percept-percept artifacts” (p. 534). With regard to the participation-outcomes, participation has only a modest influence on task and decision performance, motivation, satisfaction, and acceptance. The authors suggest that many of the positive findings published in research can be explained by methodological artifacts.

Even though Wagner and Gooding (1987b) came to different conclusions about the effect of participation on employees, they agreed with Miller and Monge (1986) that methodological issues continue to be a major concern in the interpretation of results of participation research.

Participation, Satisfaction and Performance

Of additional interest to some researchers, Wagner and Gooding (1987b) discovered that the four situational moderators have significant multisource correlations between participation and acceptance ($r = .315$) and satisfaction ($r = .258$) in situations where participants were required to perform simple tasks. Such findings seem to support Locke and Schweiger’s (1979) proposition that participation might enrich simplified work.

Cotton et al. (1988) added another dimension to the analysis of employee participation when they reviewed 91 articles and concluded that “participation is a multidimensional or multiform concept” (p. 16), and not unidimensional as it has been studied in earlier reviews (Locke & Schweiger, 1979). Thus, participation in decisions has a modest positive effect on satisfaction and performance, though its effects vary according to form. (Cotton et al.). Leana, Locke, and Schweiger (1990) rejected Cotton et al.’s conclusions, noting that generalization was not possible due to the methodological problems within their study. Cotton et al.’s categorization of different forms of participation was unsystematic, the choice of studies in the sample was selective, and there were errors in how many of the research results were reported.

In a later study, Wagner (1994) reanalyzed Cotton et al.’s (1988) research on relationships between participation and performance or satisfaction and compared the findings with the results of 10 other reviews. While some discrepancies were noticed among the 11 articles, they all supported the same conclusion “that participation can have statistically significant effects on performance and satisfaction, but the average size of these effects is small enough to raise concerns about practical significance” (p. 312). Wagner was unable to verify Cotton et al.’s conclusion that different forms of participation had different effects on satisfaction and performance.

It is clear that after more than 50 years of research on participation, no agreement has been reached on the effects of participation on employees. Discrepancies over which type of methodology to use remain unresolved, leaving inconsistent and insufficiently strong quantitative research evidence from which to draw conclusions (Yukl, 1994). Reviewers of the literature on the effectiveness of participation are therefore left with the conclusion that in some instances participation is effective, and in others it may not be—it just depends (Miller & Monge, 1986).

Participation and Motivation

Even with the inconclusive results from the participation research, employee involvement and empowerment is still promoted in non-academic publications (Blanchard, Carlos, & Randolph, 2001). The discussion now turns to the empowering effects of participation on intrinsic motivation, beginning with Ryan and Deci’s (2000/2003) work on self-determination, followed by Bandura’s (1997) concept of self-efficacy.

Intrinsic motivation is a “natural inclination toward assimilation, mastery, spontaneous interest, and exploration that is so essential to cognitive and social development” (Ryan & Deci, 2000/2003). Deci and Ryan are interested in a positive motivational approach and argue that intrinsic motivation will flourish in conditions conducive to its expression. From their cognitive evaluation theory, feelings of competency or self-efficacy will not increase motivation without one experiencing a sense of autonomy (self-determination). Such feelings of choice and self-determination have been found to increase intrinsic motivation (Deci & Ryan, 1985). Further, intrinsic motivation is hypothesized to thrive in situations where there is a strong sense of security and relatedness. This speaks to the importance of teambuilding in post-layoff environments.

According to Ryan and Deci (2000/2003), extrinsic rewards can undermine intrinsic motivation. Since they may not readily be available during lean times, intrinsic motivational strategies may be the only option. However, Deci et al. (1989) suggest that higher order needs for self-determination may not be of import to layoff survivors until their lower order needs, such as income and job security, are met. Finally, Lawler (1986) strongly argues for financial rewards commensurate with performance as an extrinsic motivator to participate. As participation shifts power relationships and decision levels, it may require financial motivators to ensure employee buy-in.

Competence or self-efficacy is an individual’s belief in his or her capability to perform a specific task (Bandura, 1997). According to Bandura (1989), competence is comparable to agency beliefs, personal mastery, or effort-performance expectancy. Earlier studies have shown that self-efficacy powerfully influences performance through such mechanisms as effort, persistence, high personal goals and effective analytical strategies (Bandura, 1986).

Past performance attainments, as well as using appropriate task strategies, facilitate self-efficacy by building confidence in one’s ability to do a task (Latham et al., 1994). Latham et al. studied the cognitive, rather than motivational, benefits of participation in decision making, as well as the role of self-efficacy as a motivational mediator. They found that participation in goal setting has a direct effect on self-efficacy and an indirect effect on goal commitment.

Leading in a Participative Environment

Creating empowering environments through participative management approaches seems to be an effective strategy to improve organizational performance. This brief discussion looks at how employees can be involved in decision making processes in the organization. Vroom and Yetton (1973) identified four types of decision making styles that differentiate the amount of participation provided to subordinates: (a) autocratic decision making, (b) consultation, (c) joint decision making, and (d) delegation. The autocratic decision making style does not involve participation. While the consultative decision making process incorporates the input of employees, the manager makes the decision alone. In joint decision making, managers and employees meet to discuss and make a decision together. Finally, delegation involves giving “an individual or group, [i.e., self-directed work teams], the authority

and responsibility for making a decision" (Yukl, 1994, p. 157). It is this latter approach that tends to be associated with employee empowerment (Drehmer, Belohlav, & Coye, 2000). Delegation occurs in such activities as job enrichment and self-managing work teams.

Lawler (1986) has identified four critical organizational processes that can influence participation: (a) information sharing, (b) training, (c) decision making, and (d) rewards. Unlike traditional participative management approaches, in Lawler's high involvement approach, "the degree of employee participation is seen to be a function of both the efforts of the employees to participate and the efforts that management expends to ensure that participation actually does occur" (Coye & Belohlav, 1995, p. 6). Thus, employee involvement is a dynamic interplay between the creation of participatory contexts and employees embracing the opportunities to participate.

From Deci, Connell, & Ryan's (1989) study, it seems likely that managers perform a significant role in facilitating or inhibiting the empowering process. Some examples of specific impacting behaviors include the degree to which the manager shares power and supports subordinate autonomy, and provides noncontrolling positive feedback. In Spreitzer's (Quinn & Spreitzer, 1997; Spreitzer, 1992, 1995, 1996) extensive research into employee empowerment, she identified four "key levers" (Quinn & Spreitzer, p. 45) for facilitating employee empowerment in organizations: (a) providing employees with a clear vision and challenge, (b) creating a work environment characterized by openness and teamwork, (c) exercising discipline and control (i.e., clear goals, lines of authority, and task responsibilities), and (d) providing social support and a sense of security (Quinn & Spreitzer).

Results and Findings

Employee participation research results remain inconclusive after over 50 years of studies. Most researchers acknowledge that participation is positively related to satisfaction (Cotton et al., 1988; Locke & Schweiger, 1979; Miller & Monge, 1986; Schuler, 1980; Wagner & Gooding, 1987b). There is less conclusive evidence for the relationship of participation with performance (Locke & Schweiger; Miller & Monge). Methodological concerns have plagued much of the participation research.

While there seems to be statistical significance, the small average effects of participation raise questions as to the practicality of implementing participative management approaches—especially if the costs of implementation, training and maintenance are greater than the gains from involving employees (Wagner, 1994). However, these costs may be unavoidable in lean times when fewer employees must produce at the previous staffing levels.

In support of participation, the empowerment literature suggests that participatory work unit climate is an antecedent of psychological empowerment, and that empowered employees are more innovative and effective (performance), and experience less strain; a significant issue in a post-layoff environment. Creating empowering environments through participative management approaches may moderate layoff survivors' negative reactions, such as, high stress levels and decreased levels of organizational commitment and motivation (Neihoff et al., 2001). Through increased perceptions of self-determination (Ryan & Deci, 2000/2003) and self-efficacy (Bandura, 1997), layoff survivors will be more intrinsically motivated in the workplace and perform better (Latham et al., 1994).

Successfully motivating layoff survivors requires clear articulation of a vision and challenge; identification of clear goals, lines of authority, and task responsibilities; training to improve employee competence in new roles, including teamwork and decision processes; bi-directional information sharing; a reward system to encourage involvement; and most importantly, with distrusting, worried survivors, open communication channels in which employees can share their ideas and concerns and are listened to in a supportive, secure environment where trust is built (Lawler, 1986; Quinn & Spreitzer, 1997).

Conclusions and Recommendations

Even though there have been productivity gains in recent years, low morale and motivation of the survivors of layoffs can hinder achieving performance objectives. As HRD practitioners look to improve the performance of employees who remain after layoffs, they must not just seek to implement a specific technique; rather, they must work towards the creation of an empowering environment (Drehmer et al., 2000).

Participation has been found to have significant but small effects on satisfaction and performance (Wagner, 1994). It is also positively correlated with psychological empowerment (Spreitzer, 1996). Through participation, employees' enhanced perceptions of self-determination (autonomy) and competence (self-efficacy)—both dimensions of empowerment—lead to increased intrinsic motivation. (Deci & Ryan, 1985; Ryan & Deci, 2000/2003; Spreitzer, 1996). Further, increased feelings of self-efficacy are positively related to effort, persistence, and performance (Bandura, 1986). Consequently, employees will feel more empowered to meet the performance demands within a limited staff environment if they are invited to participate in their work processes through the delegation of authority. The key to effective participative management approaches is how the leader creates

empowering environments for his or her employees. Lawler's (1986) employee involvement system involves the distribution of information, training, decision making power, and rewards to the lowest levels in the organizational hierarchy in order to increase worker discretion. Clearly, the behavior of managers is critical to achieving performance goals with fewer staff.

Further empirical exploration to refine the use of models and instruments (Thompson & Kahnweiler, 2002) in empowerment research in organizational settings would strengthen the research data and provide a stronger framework upon which to build. So, too, consideration needs to be given to which research methodologies are the most effective for examining the effects of employee participation. Researchers need to control for the effects of percept-percept bias. Ledford and Lawler (1994) challenge participation researchers to approach research into employee participation from a systems theory approach, using multivariate interventions that acknowledge the complexity of the employee's world—certainly a more difficult task.

Implications for HRD

Effective motivation of employees in lean economic times is important to companies as they seek to remain competitive in the ever-changing and complex global marketplace. Successful managers and HRD practitioners need to be able to understand the dynamic context in which they find themselves, as well as how to lead and manage for results with the reduced workforce.

Survivors of layoffs are likely to experience high levels of worry and stress and decreased levels of organizational commitment and motivation. Managers must be sensitive to these realities and work to provide positive, supportive environments to rebuild trust. By allowing employees to participate in decision processes and encouraging open communication and teamwork, providing appropriate training and feedback, they will be more motivated and their performance will be enhanced. Through empowering practices, such as employee participation, America's workforce will be motivated and well-prepared to change and grow as the economy continues to rebuild.

References

- Bandura, A. (1986). *Social foundations of thought and action: A social-cognitive theory*. Englewood Cliffs, NJ: Prentice-Hall.
- Bandura, A. (1989). Human agency in social cognitive theory. *American Psychologist*, 44, 1175-1184.
- Bandura, A. (1997). *Self-efficacy: The exercise of control*. New York: W. H. Freeman.
- Blanchard, K., Carlos, J. P., & Randolph, A. (2001). *Empowerment takes more than a minute* (2nd ed.). San Francisco: Berrett-Koehler Publishers.
- Block, P. (1987). *The empowered manager*. San Francisco: Jossey-Bass.
- Brockner, J. (1988). The effects of work layoffs on survivors: Research, theory and practice. In B. M. Staw & L. L. Cummings (Eds.), *Research in organizational behavior*, 10, 213-255.
- Coch, L., & French, J. R. P. (1948). Overcoming resistance to change. *Human Relations*, 1, 512-532.
- Conger, J. A., & Kanungo, R. N. (1988). The empowerment process: Integrating theory and practice [Electronic version]. *Academy of Management Review*, 13, 471-482.
- Cotton, J. L., Vollrath, D. A., Foggatt, K. L., Lengnick-Hall, M. L., & Jennings, K. R. (1988). Employee participation: Diverse forms and different outcomes [Electronic version]. *Academy of Management Review*, 13, 8-22.
- Coye, R. W., & Belohlav, J. A. (1995). An exploratory analysis of employee participation. *Group & Organizational Management*, 20, 4-17.
- Dachler, H. P. (1978). The problem nature of participation in organizations: A conceptual evaluation. In B. King, S. Streufert & F. E. Fiedler (Eds.), *Managerial control and organizational democracy* (pp. 17-29). New York: John Wiley & Sons.
- Deci, R. L., Connell, J. P., & Ryan, R. M. (1989). Self-determination in a work organization. *Journal of Applied Psychology*, 74(4), 580-590.
- Deci, R. L., & Ryan, R. M. (1985). *Intrinsic motivation and self-determination in human behavior*. New York: Plenum.
- Drehmer, D. E., Belohlav, J. A., & Coye, R. W. (2000). An exploration of employee participation using a scaling approach [Electronic version]. *Group and Organization Management*, 25, 397-418.
- Hackman, J. R., & Oldham, G. R. (1980). *Work redesign*. Reading, MA: Addison-Wesley.
- Judy, R. W., & D'Amico, C. (1997). *Workforce 2020: Work and workers in the 21st century*. Indianapolis, IN: Hudson Institute.

- Kanter, R. M. (1983). *The change masters*. New York: Simon & Schuster.
- Lam, S. S. K., Chen, X. P., & Schaubroeck, J. (2002). Participative decision making and employee performance in different cultures: The moderating effects of allocentrism/idiocentrism and efficacy. *Academy of Management Journal*, 45, 905-914.
- Latham, G. P., Winters, D. C., & Locke, E. A. (1994). Cognitive and motivational effects of participation: A mediator study [Electronic version]. *Journal of Organizational Behavior*, 15, 46-63.
- Lawler, E. E., III. (1986). *High-involvement management*. San Francisco: Jossey-Bass.
- Lawler, E. E., III. (1992). *The ultimate advantage: Creating the high-involvement organization*. San Francisco: Jossey-Bass.
- Ledford, G. E., Jr., & Lawler, E. E., III. (1994). Research on employee participation: Beating a dead horse. [Electronic version]. *Academy of Management Review*, 19, 633-636.
- Leana, D. R., Locke, E. A., & Schweiger, D. M. (1990). Fact and fiction in analyzing research on participative decision making: A critique of Cotton, Vollrath, Froggatt, Lengnick-Hall, and Jennings [Electronic version]. *Academy of Management Review*, 15, 137-146.
- Locke, E. A., & Schweiger, D. M. (1979). Participation in decision making: One more look. In B.M. Staw (Ed.), *Research in Organizational Behavior: Vol. 1* (pp.265-339). Greenwich, CT: JAI.
- Miller, K. I., & Monge, P. R. (1986). Participation, satisfaction, and productivity: A meta-analytic review [Electronic version]. *Academy of Management Journal*, 29, 727-753.
- Mitchell, T. R. (1973). Motivation and participation: An integration [Electronic version]. *Academy of Management Journal*, 16, 670-679.
- Neihoff, B. P., Moorman, R. H., Blakely, G., & Fuller, J. (2001). The influence of empowerment and job enrichment on employee loyalty in a downsizing environment. *Group and Organization Management*, 26(1), 93-113.
- Quinn, R. E., & Spreitzer, G. M. (1997). The road to empowerment: Seven questions every leader should consider. *Organizational Dynamics*, 26(2), 37-49.
- Ryan, R. M. & Deci, E. L. (2003). Self-determination theory and the facilitation of intrinsic motivation, social development, and well-being. In L. W. Porter, G. A. Bigley, & R. M. Steers (Eds.), *Motivation and work behavior* (7th ed., pp. 49-65). New York: McGraw-Hill/Irwin. (Reprinted from *American Psychologist*, pp. 68-78, 2000, 55(1))
- Schuler, R. S. (1980). A role and expectancy perception model of participation in decision making. *Academy of Management Journal*, 23, 331-340.
- Spreitzer, G. M. (1992). When organizations dare: The dynamic of individual empowerment in the workplace (middle management). *Dissertation Abstracts International*, 53(11), 3993. (UMI No. 9308456)
- Spreitzer, G. M. (1995). Psychological empowerment in the workplace: Dimensions, measurement, and validation [Electronic version]. *American Journal of Community Psychology*, 38, 1442-1465.
- Spreitzer, G. M. (1996). Social structural characteristics of psychological empowerment [Electronic version]. *Academy of Management Journal*, 39, 482-504.
- Stajkovic, A. D., & Luthans, F. (2003). Social cognitive theory and self-efficacy: Implications for motivation theory and practice. In L. W. Porter, G. A. Bigley, & R. M. Steers (Eds.), *Motivation and work behavior* (7th ed., pp. 126-140). New York: McGraw-Hill/Irwin.
- Thomas, K. W., & Velthouse, B. A. (1990). Cognitive elements of empowerment: An "interpretive" model of intrinsic task motivation [Electronic version]. *Academy of Management Review*, 15, 666-681.
- Thompson, M. A., & Kahnweiler, W. M. (2002). An exploratory investigation of learning culture theory and employee participation in decision making [Electronic version]. *Human Resource Development Quarterly*, 13, 271-288.
- Vroom, V. H., & Yetton, P. W. (1973). *Leadership and decision making*. PA: University of Pittsburgh Press.
- Wagner, J. A., III. (1994). Participation's effects on performance and satisfaction: A reconsideration of research evidence [Electronic version]. *Academy of Management Review*, 19, 312-330.
- Wagner, J. A., III, & Gooding, R. Z. (1987a). Effects of societal trends on participation research [Electronic version]. *Administrative Science Quarterly*, 32, 241-262.
- Wagner, J. A., III, & Gooding, R. Z. (1987b). Shared influence and organizational behavior: A meta-analysis of situational variables expected to moderate participation-outcome relationships [Electronic version]. *Academy of Management Journal*, 30, 524-541.
- Wagner, J. A., III, Leana, C. R., Locke, E. A., & Schweiger, D. M. (1977). Cognitive and motivational frameworks in U. S. research on participation: A meta-analysis of primary effects [Electronic version]. *Journal of Organizational Behavior*, 18, 49-65.
- Yukl, G. (1994). *Leadership in organizations* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

An Exploratory Examination of Selected Growth Theories of Individual Motivation and How They Inform Performance in Organizations

Melissa A. Noggle

Susan A. Lynham

Texas A & M University

Human resource development (HRD) professionals are compelled to deal with performance. It is therefore essential that they understand what variables contribute to performance. This paper examines the effects of individual motivation as a specific input to performance from the perspective of three clusters of motivational theories and then shows how this understanding can be used to inform the desired outputs of individual, process and organization level performance, and ultimately, how to create environments which cultivate high-quality performance.

Keywords: Motivation Theory, Growth Theory, Performance

Efforts to understand performance provide constant and complex challenges. It seems that organizations have always struggled with understanding and assessing performance. Many performance-related programs and fads have passed through organizations over the years (Micklethwait & Woodridge, 1996). Some performance interventions have been firmly rooted in theory and research while others have been temporary concoctions which have had limited or unsustainable organizational impacts (Holton, 1999).

Intuitively, HRD professionals recognize that motivation is a critical element of individual performance. Schein (1975) remarked that "...every one of us has his own theory of ...what makes people tick.... the actual behavior that we exhibit toward people tends to be a reflection of those deep-down inner assumptions that we make" (p. 21). Motivation is certainly one driver of the inner assumptions of which Schein speaks. We labor with characterizing performance as a product, or outcome, but it is important to understand the ingredients in the performance recipe in order to effectively appreciate the results. The purpose of this inquiry is to examine how three specific theories of motivation can be used to inform the thought and practice of HRD in the context of individual performance within organizations. This paper focuses on how individual motivation to perform can be better understood with the purpose of enhancing the opportunity to achieve goals critical to an organization.

Problem Statement, Theoretical Framework, and Methodology

This is a theoretical, conceptual paper aimed at exploring motivation theory and perspectives. More specifically, it examines how clustering growth theories of motivation according to driving factors can be used to inform the human resource development (HRD) profession about individual and other levels of performance in the workplace. The research questions are:

- Do selected growth theories of individual motivation inform HRD about performance improvement in the workplace?
- If so, how do those theories inform the HRD profession about affecting individual performance improvement in relation to the overall organization?

The study begins with a working definition of the concepts of performance and motivation. Next, it presents an organizing framework for motivation theory which is used to sort this body of knowledge into two major theoretical approaches, each approach of which is shown to have three supporting theoretical perspectives. Using the organizing theoretical framework, three specific motivation theories within the purposive approach and growth perspective are then selected, contrasted and examined in terms of how they can be used to inform performance-related HRD thought and practice. In closing and summary, the contributive value of this examination to new knowledge in HRD is considered.

Motivational theory addresses distinct aspects of individual behavior, including biological, social, and cognitive. This inquiry will explain the motivational theories which characterize growth and are considered purposive rather than regulatory in nature. (Beck, 2000; Levine, 1975). The application of these theories can inform

Copyright © 2004 Melissa A. Noggle & Susan A. Lynham

HRD by identifying which facets of motivation which impact individual performance within organizations and contribute to the development of approaches to capitalize on their effects.

Defining Performance and Motivation

Human resource development (HRD) is concerned with performance (and learning) in multiple domains – individual, group, process, and organizational (Holton, 1999; Rummler & Brache, 1995; Swanson & Holton, 2001). For the purposes of this paper, the *individual* domain of performance will be defined as people doing specific jobs or tasks either as individuals or as teams/groups. Individuals perform activities/jobs which contribute to and manage processes and, ultimately, define the organizational performance domain (Swanson & Holton, 2001). *Groups* are “internal subsystems for which performance goals have been set that are derived from and contribute to the mission of the overall system” (Holton, 1999, p. 31). The term, *process*, explains the moving parts of the organization and illustrates its work flow (Swanson & Holton, 2001). The domain of process performance is influenced by the organization’s goals, customer needs, skills of individual workers as well as facilities and the efficiency of equipment (Rummler & Brache, 1995). The domain of *organizational performance* represents the integration of individuals, groups, and processes with the external environment to form an open, dynamic system. By understanding the taxonomy of the separate performance domains, we can use this knowledge to better understand how motivation influences multi-domain performance, an understanding which will in turn serve to inform HRD as a discipline.

Simply defined, *motivation* is need or desire which instigates or incites an individual into a specific course of action in order to produce a specific effect (Landau, 1997). Motivation is therefore purposeful action and is distinguishable from a habit which is an acquired mode of behavior that has become involuntary (Landau, 1997). This distinction, between a motive and a habit, is an important factor in the relationship between individual motivation and performance (Bolles, 1975).

Performance is defined as acting in accordance with requirements to execute a duty or promise in order to produce a desired effect (Landau, 1997). The business book, *The Hunters and the Hunted*, describes how organizations typically measure performance (Swartz, 1994). The text illustrates performance measurements in terms of the following comparisons:

- Present performance versus past performance or standards (comparisons of annual sales, return on investment, budget versus actual expenditures)
- Customer’s perceptions versus their expectations or requirements (complaints, comments, focus groups)
- Organization’s performance versus competitor’s performance (competitive benchmarking)
- Current performance versus ultimate possible performance.

Managers look at performance not as an absolute, but rather as a variance between factors, as indicated in the above comparisons, which allows an organization to quantify the impact of improvement initiatives. If we recognize motivation as a major contributing factor to performance, it is critical to appreciate how motivation affects variance. It can eventually be used to help explain motivation’s impact at the group, process and organizational levels in terms of quality, productivity, and financial performance.

Unfortunately, the term, motivation, is used indiscriminately and we ignore the contextual confinement of the word. There is “difficulty in fitting it [motivational factors] neatly into the framework of types of explanation” (Peters, 1967, p. 29) since these factors are basically individualistic in nature. By understanding how an individual’s motivation influences their performance and what organizational factors can facilitate that motivation, HRD can work to enhance performance at both the operational and strategic levels (Rummler & Brache, 1995). This knowledge will support the organization’s decision making processes whether the issue is compensation, the launch of a new product, career development for employees, workforce diversity or succession planning.

Categorizing Theories of Motivation

According to Torraco (1996), a theory helps to explain a phenomenon and Beck (2000) adds that “a theory is a representation of real things and places in the world”, a theory “relates those things to each other by a set of rules” (p. 4) as well as guides us through our search for understanding particular concepts or phenomena. Based primarily on research in the field of psychology, theories of motivation can be placed into two main categories, one representing a purposive approach to these theories, and the other a regulatory approach (Beck, 2000; Bolles, 1975). Since we have narrowed our inquiry specifically to the purposive approach, theories within this approach can be examined and used to help guide HRD professionals in capitalizing on individual motivation in order to affect

performance. These theories can be further divided into groups which serve to inform HRD initially from the individual performance domain and can eventually be extrapolated to support the potential performance impact on groups, processes and organizations. A summary of these two approaches to motivation theory, and sub-categories of supporting groups of theories, are presented in Table 1.

Table 1. Motivation Theory: Categories and Supporting Sub-categories

Two Major Categories of Motivation Theory			
The Regulatory Approach		The Purposive Approach	
Drive Reduction	Activities or efforts to achieve balance in one's life or lifestyle (maintaining individual status quo); The goal of behavior is to reduce intrusions on biological needs which are necessary for survival (Levine, 1975)	Cognitive	Addresses how people are motivated to function and process information; People's thoughts, beliefs and imaginations motivate their choices from both negative and positive perspectives (DeSimone, Werner, & Harris, 2002; Levine, 1975)
Arousal	Efforts which are considered catalysts or terminations (motivation to begin or end an action); Addresses aspects of activity in terms of instigation, duration, cessation, energy and activation (Levine, 1975; Vroom, 1964)	Social	Motivation in terms of how choices will affect or are perceived by others; The social judgment which validates their opinions and abilities; The selection of others to provide standards for self-evaluation (DeSimone, Werner, & Harris, 2002; Levine, 1975)
Biological	Physical and psychophysical motivation such as hunger, comfort and safety; Deals with how an individual is neurologically 'wired' and uses physiological psychology rather than philosophy, which is based on man's rational abilities; (Levine, 1975)	Growth	Speaks to how or why people are driven to excel beyond their status quo; Processes (stimulants) which motivate people to aspire, excel, create or fulfill potentialities (Levine, 1975); Actions which are variable, constructive and goal directed (Vroom, 1964)

As mentioned earlier, Beck (2000) utilizes a two-type approach, regulatory and purposive, to categorize motivational theories. Each is an "equally legitimate approach to motivation [but they] are deeply rooted in different historical traditions" (Beck, 2000, p. 25). The regulatory approach to motivation emphasizes the body's response to internal pressures or needs such as pain or hunger. The word, regulatory, implies a process of homeostasis which is concerned with the restoration of equilibrium. This approach to motivation relates to the fulfillment of fundamental needs and is basically intrinsic in orientation. This approach can be further divided into subcategories of theories: drive reduction, arousal, and biological. Regulatory-type motivation theories concerned with *drive reduction* speak to an individual's effort to reduce intrusions on their biological needs (Levine, 1975), while those dealing with *arousal* are concerned with the initiation of activity and all of the stages which follow. The *biological group* of regulatory motivation theories addresses the physiological psychology of individuals. As a result of this category of theories of motivation being concerned chiefly with the internal, physiological aspects of motivation, and for purposes of this paper, we have chosen to confine our inquiry (into individual motivation and how it informs performance) to theories of a purposive-type approach to motivation.

The purposive theoretical approach explains the notion of motivation as more cognitive in nature and specifically highlights the concept of goal-oriented behavior (Beck, 2000; Locke & Latham, 1990; Torraco, 1996). This particular approach does not focus on motivation as obtaining balance through actions, but rather as achieving a specific objective and which can be considered either intrinsic or extrinsic in nature. "The purposive approach emphasizes the goal-oriented nature of behavior" (Beck, 2000, p. 25) and is therefore considered best suited to frame this inquiry. Three sub-categories of theories illustrate the purposive-type approach to motivation: cognitive, social and growth. The *cognitive* sub-category deals with how an individual's belief system and thought process affect their motives (Beck, 2000). In contrast, the *social* theory sub-category enlightens the concept of motivation by revealing how individuals seek validation from external influences such as peer groups, management, occupational fields, and family, as well as from standards or perceived societal expectations (Levine, 1975). *Growth* theories support why the individual constructs their actions and how they are oriented towards a goal (Vroom, 1964). The sub-category of growth theories provides a most effective rationale for informing HRD regarding the relationship between individual motivation and performance, because by examining these types of theories we can construct knowledge which informs HRD about the correlation between individual motivation and performance. If we understand this concept at the individual level then we can also use that knowledge at the group, process and organizational levels.

These sub-categories of theories of motivation are further depicted in Table 1 above. Following is a closer examination of three particular growth theories of motivation and how they inform individual performance.

A Closer Examination of Three Clusters of Growth Theories of Motivation and How They Inform Individual Performance

The purposive category of motivation theory is supported by many different and distinct theories, all of which seem to have emerged in the mid-twentieth century. As indicated earlier, the first two sub-categories of theory attributed to motivation from this purposive perspective are identified as *cognitive* and *social*. Where the cognitive sub-category of theories deals with how an individual's belief system and thought process affect their motives (Beck, 2000), the social sub-category of theory enlightens the concept of motivation by revealing how individuals seek validation from external influences such as peer groups, management, occupational fields, and family, as well as from standards or perceived societal expectations (Levine, 1975). This paper focuses on the third sub-category of purposive theories of motivation, namely, *growth* theories. This particular sub-category of theories concentrates on motivational factors which stimulate individuals to achieve or work to satisfy one's potential in a specific area. As such, these theories offer significant insight for the field of HRD since growth is a vital part of the overall motivational structure of an individual, group, process or organization and the concept of performance implies growth at some level (Beck, 2000; Levine, 1975).

By examining growth theories of motivation, critical motivational elements that drive performance at the individual level can be identified. Torraco (1999) highlighted some of these elements, which influence the motivational framework throughout the different performance domains, as individual personalities, work schedule, cultural differences, and facilities. These growth theories also indicate that some individual characteristics can be developed or modified in order to meet the needs of the organization as a whole, as evidenced in McGregor's Theory X. Other traits or factors are considered foundational to the individual or environment, and therefore, according to McGregor's contrasting Theory Y, the organization must adjust to support individual needs in order to be effective (Barrett, 1966; Beck, 2000; Locke & Latham, 1990, McGregor, 1960).

There are a number of growth theories of motivation and these can be grouped into three clusters of supporting theories, namely, expectancy, achievement, and reinforcement theories. Table 2 presents a comparative description of these three clusters of supporting theories by comparing and contrasting them in terms of nine descriptive dimensions--the theoretical perspective of motivation core to each theory cluster; specific supporting theories within each theory cluster; core theorists associated with each cluster; common aims of each cluster of theories; assumptions about motivation essential to each theory cluster; specified limitations of each theoretical cluster; which HRD-related theoretical foundations each cluster is informed by; the performance domains to which each cluster of theories is applicable; and the application-value of each cluster of theories to HRD practice. For purposes of clarification, we have used the tri-part view on the theoretical foundations of HRD offered by Swanson (1999), namely, psychology, systems, and economics, and the whole system perspective of HRD performance suggested by Holton (1999), namely, individual, group/team, process and organization, to inform this comparative examination. The comparative framework used in Table 2 is therefore useful in comparing and contrasting the three clusters of growth theories of motivation that inform purposive-type approaches to the issue of motivation. An exploration of how these three clusters of growth-type motivation theories can serve to inform HRD is briefly discussed in the sub-sections following and presented in Table 2.

The Expectancy Theory Cluster

The clusters of theories which address *expectancy* affectively span all three of the HRD theoretical foundations of psychology, systems and economics. The original theorist, Bernoulli, applied expectancy-value to economics during the early eighteenth century (Beck, 2000). In 1964, Atkinson and Vroom separately adapted the theory to explain the concept of motivation from an economic or value-added perspective. The purpose of this application was to explain the reasons for a decision making process strictly based on a value associated with the expected result (Atkinson & Birch, 1970; Vroom, 1964). The underlying premise of this theory cluster is that motivation can be quantified or at least organized in an ordinal fashion based on a value which is established by the specific domain (Atkinson, 1970; Beck, 2000; Levine, 1975; Locke & Latham, 1990). This premise allows these theories to be utilized at the individual, group, process and organizational levels of performance, which provides an effective tool to the field of HRD. Furthermore, this approach to motivation is both strategic and tactical which affords an organization support for short and long term decision making.

The illustration of the relationship between motivation and performance is a simple function. The theorists postulated that the tendency to succeed is the product of motivation to succeed, probability of success, and the associated incentive value of that success (Beck, 2000). Atkinson (1964) proposed a practical, mathematical relationship which provides a roadmap for optimizing performance by understanding its drivers (motivation, level of difficulty and value of the outcome). Although this is a simple dynamic, the factors are not completely under the

control of any one entity and the theories assumes that motivation can be directly correlated to a specific outcome with an assigned value.

As a compliment to Atkinson and Vroom's theory, Gilbert's Behavior Engineering Model describes motivation in terms of incentives (financial, personal, and career) which can help refine the concept of expected value. This model looks at performance from a behavior repertory and the environment which supports it (Swanson & Holton, 2001). This interdependence between the individual and their environment creates a management system which Gilbert illustrates as a mathematical equation. Gilbert represents an individual's potential performance related to specific task as a ratio of exemplary or best performance to normal or typical performance. This ratio frames motivation's relation to performance, but falls short of identifying specific influences such as: elements which facilitate exemplary performance, measuring or defining typical performance and demonstrating how different types of motivation affect the ratio (Swanson & Holton, 2001).

Of the three clusters of theories of motivation explored in this study, expectancy-value theory provides the strongest framework to inform HRD since it can be applied to all the performance domains and theoretical foundations that are of concern to HRD. When combined with achievement theory, HRD can appreciate extrinsic (value) expectations and intrinsic (achievement) motivations. By understanding how the drivers of motivation operate and relate to performance, HRD can learn how to effectively unleash individual resources, which can have a cascading effect on the facilitation of group, process and organizational performance.

The Achievement Theory Cluster

We can borrow from the personality driven motivational theories to address some aspects of this growth oriented perspective. Murray's research in the 1930s provided part of the foundation for growth theories with his observation of three motives: need for achievement, need for power, and the need for affiliation (Beck, 2000). The need for achievement is motivated by satisfaction in work itself; sense of completion or competitive as well as response to success or failure. McClelland's achievement motivation theory built on Murray's assertion that an individual has the "desire or tendency to overcome obstacles, to exercise power, to strive to do something difficult as well as quickly as possible" (Beck, 2000, p. 326).

The purpose of this theory cluster is to explain the need for people to excel, to compare themselves with a standard of excellence (McClelland, 1975). Achievement theory highlights the tension between intrinsic and extrinsic motivation factors which should be noted as organizations seek to understand individual motivation's effect on performance. Individuals have internal needs for achievement that are personal. Organizations will benefit from understanding these needs but might not be able to identify a connection with organizational performance. External motivational factors for achievement need to be understood at the individual level since people are not motivated to achieve in the same manner. Scholars have asserted that "people can be taught to think and imagine in ways that increase in the need for achievement" (McClelland, 1975, p. 380) and proposed the concept of learned industriousness implying that individuals can be taught to achieve (Beck, 2000; Levine, 1975; McClelland, 1965). By understanding the application of this theory, organizations can employ methods to capitalize on an individual's need to achieve to impact performance across all of the domains (individual, group, process, organization).

An incentive or extrinsic motivation factor may initially have an additive effect on an individual's composite motivation level, meaning that on the surface the duration of the factor's effect can appear to promote improved performance but may, in reality, only provide a short term stimulus which can eventually transform into a negative effect. The result of this phenomenon may be that an individual's intrinsic motivation is diluted by the introduction of the extrinsic factor or the residue of the incentive's effect results in motivation decomposition (McClelland, 1965). The limitations of the achievement theory cluster includes finding the delicate balance between internal and external stimuli and the fact that this approach is best applied to those individuals who consider themselves medium risk takers (Levine, 1975). Achievement theories informs HRD by providing a better understanding of the real impact of extrinsic motivation within a whole systems perspective as well as those factors which cannot be controlled outside the internal psychology of the individual.

Table 2. Three Sub-Categories of Growth Theories of Motivation: A Comparative Overview

Three Types of Purposive Growth Theories of Motivation			
Theoretical Dimensions	Expectancy	Achievement	Reinforcement
Theory Perspective	Individuals make decisions based on the value of the potential outcomes to them personally; (DeSimone, Werner, & Harris, 2002, Atkinson & Birch, 1970).	Internal drive to achieve or excel beyond minimum requirements; Desire to overcome obstacles; Strive to complete a difficult task to the best of one's abilities; comparing self with some standard of excellence; (Beck, 2000; McClelland, 1975)	Individuals will work towards organizational objectives if committed to them; Identify needs and at what performance level which they need to be accomplished coupled with the expected outcomes; (DeSimone, Werner, & Harris, 2002, McGregor, 1960; Schein, 1975)
Supporting Theories within Cluster	Expectancy-Value Theory Expectancy Theory Equity Theory	Theory of Achievement Motive	Reinforcement Theory Goal-Setting Theory Theory Y
Core Theorists	Bernoulli Atkinson Vroom	McClelland	Skinner Locke McGregor
Aims of Cluster Theories	To explain the concept of motivation based on the assignment of a 'value' or expectation related to the result of a decision-making process;	To explain why individuals are motivated to achieve; to illustrate how people have an internal drive for achievement as well as be creative, self-directed, and solve problems (Beck, 2000).	To explain how the needs of the organization and the individual can be integrated to achieve an objective;
Essential Theoretical Assumptions	Motivation can be quantified or at least organized in an ordinal fashion based on a value which is established by the specific domain (Atkinson & Birch, 1970);	Individuals have an internal motivation to achieve which is relatively independent of external considerations; Explains achievement for its sake alone regardless of external motivations;	Integrate organization and individual goals; "individuals will exercise self-direction and self-control in achieving the objectives of the organization if they are committed" (Barrett, 1966, p. 60) to those goals and understand reinforcement systems;
Limitations	Assumes motivation can be correlated directly an outcome or value can be assigned; May not explain all types of motivation or if it can be associated with an outcome or a value may not be easily quantified or ordered;	Achievement motives may not lead to better performance in all occupational roles; Theory best applied to individuals who describe themselves as medium risk takers.	Requires a holistic view on the part of the organization and can fail if management does not own the trust of the individuals or believes that compensation is sufficient to motivate workers.
HRD-related Theoretical Foundations	Psychology, Economics, and Systems	Psychology and Systems	Psychology
Performance Domains Applicable To	Individual, Groups, Processes, and Organizations	Individual (Eventually Groups and Organizations)	Individual, Groups and Organization
Application-value to HRD	By understanding the concept of expectancy, organizations can develop effective communication methods to connect activities to the expected values, which has strategic implications; The impact of perceived equity can have a major impact on the effectiveness of organizations; Acknowledging this phenomenon is critical to implementing HRD initiatives;	Individuals can learn to think and imagine in ways which increase the need for achievement; Achievement need is stimulated by environmental factors; Integration of individual drivers with organizational needs can capitalize on the dynamics of achievement motives and impact the performance of the organization; (Beck, 2000, Levine, 1975, McClelland, 1975)	Reinforcement has to be integrated into an overall HRD system; Correlating goals, objectives, and outcomes with reinforcement initiatives can communicate sense of trust within an organization and establish a systematic process to motivate individuals along with accomplishing the mission of the organization;

The Reinforcement Theory Cluster

Reinforcement theories are grounded in behaviorism. The idea of reinforcement theory is that behavior can be changed if you imposed modification techniques. This approach to motivation has been applied in HRD especially in the area of programmed instruction (DeSimone, Werner, & Harris, 2002). This specific theory cluster is limited in its use because it implies a specific cause and effect which cannot fully explain complicated motivations of individuals. Other theories related to reinforcement, direct or indirect, seem to explain the influences on individual performance.

McGregor (1960) published his book, *The Human Side of Enterprise*, which introduced Theory X versus Theory Y as two opposing approaches to managing organizations. The tension between Theory X and Theory Y was an individual's feeling or motivation towards work. Barrett (1966) summarized the concept of Theory Y in his work, *Motivation in Industry*, by asserting that individuals will work towards organizational objectives if they are committed to them. This theory informs HRD by providing a simple psychological basis for an individual's impact on the ability of an organization to achieve its strategic and operational goals.

Even though it can be applied to the individual, group, process and organizational domains, the theory primarily speaks to the psychological and some of the systems foundations of HRD. The literature indicates that Theory Y is widely applicable, but if it is not successful, it is due to the attitudes, such as distrust, which are embedded in the organization from prior management practices (Schein, 1974). If an organization wants to achieve a particular goal then it needs to tend to the individual's motivations related to that goal.

Reinforcement type theories which are most applicable to HRD are those related to goal-setting. Locke's work in correlating training in goal setting as well as establishing specific goals for individuals with performance provide unique quantitative examples (Lock & Latham, 1990). Goal-setting is the basis for a number of performance management systems and understanding how individual motivation is related to goal development and assignment is critical to the success of these types of systems.

Concluding Implications for HRD

The purpose of this paper was to examine which parts of motivational theory can expand the information HRD uses to address the concept of performance. The study's initial approach was to understand how motivational theories inform HRD in the individual performance domain in order to later examine its compounding effect in the group, process and organizational context. In order to achieve this objective, we considered two distinct categories to motivation theory, regulatory and purposive, together with corresponding sub-categories of theories (biological, drive reduction, arousal, cognitive, social, and growth). The theories of motivation, which were identified by the purposive approach and addressed growth, provided the appropriate foundation from which to examine the phenomenon of motivation from an HRD perspective. The selected theory clusters, expectancy, achievement and reinforcement, were deconstructed in order to identify the elements which could serve to inform HRD in regards to performance.

As indicated in this inquiry, HRD can develop an understanding of how to unleash the power of individual motivation in order to influence performance at the individual, group and organizational levels. We recognize that motivation also impacts the performance of processes, but only through the individuals who provide the motives for achieving objectives and the organization which sets the mission. The interdependence of the performance domains, as they relate to motivation and performance, impacts HRD from many different and distinct perspectives including learning, leadership, capitalizing on diversity, change management, economics, organizational development as well as performance management systems (Rummel & Brache, 1995). While HRD and other disciplines struggle to characterize and assess performance as an output, we need to remember to identify and understand the inputs and drivers (Holton, 1999) of performance. By being able to discern the different influences of motivation on performance, HRD can impact the strategic focus of an organization.

Contributions to New Knowledge

Management of performance is not unlike solving the Rubik's Cube. Each color, row and column are factors in the solution just as motivation, leadership, economy, or customer requirements are part of the dynamics of performance. Adjusting or concentrating on one factor can affect the puzzle process in either positive or negative ways, thereby, with each action, putting you closer or further away from a solution. Understanding how each move will affect the next helps to unveil the final solution to the puzzle. Likewise, HRD can more readily impact performance by appreciating the impact that strategic and operational actions have on motivation as well as motivation's effect on the performance at the individual and organizational levels. Even when the puzzle is solved, the environment may

change causing an organization to need to solve the performance puzzle again. By understanding the impact of different factors and developing a systematic approach (strategic HRD) to solving the puzzle, an organization can function at its optimal level without sacrificing the other domains. With each additional insight provided by the theories, HRD can start to develop a more complete image and understanding of the relationship between motivation and performance. This inquiry provides the basis for future applications in HRD practice in the frameworks of performance evaluation, goal-setting, training as well as career planning and development.

HRD must continue the inquiry process in the area of performance inputs in order that we might better understand the outputs of individual performance and their effect on whole system performance. Further study in understanding how to capture and facilitate the inputs, including motivation, will provide a better foundation from which to develop appropriate and effective measurements of performance. Appreciation of the motivational theories highlighted and discussed can lay a foundation for further research in how motivation factors into the performance equation from a workplace perspective. The development of integrative theories between the fields of psychology, business, engineering, education and HRD will serve to further inform HRD from a theoretical viewpoint.

References

- Atkinson, J. W., & Birch, D. (1970). *The dynamics of action*. New York: John Wiley & Sons.
- Barrett, G. V. (1966). *Motivation in industry*. Cleveland, OH: Howard Allen.
- Bates, R. A. (1999). Measuring performance improvement. In R. J. Torraco (Ed.), *Performance improvement theory and practices* (pp. 47-67). *Advances in Developing Human Resources*, 1.
- Beck, R. C. (2000). *Motivation: Theories & principles*. (4th ed.). Upper Saddle River, NJ: Prentice Hall.
- Bolles, R. C. (1975). *The theory of motivation* (2nd ed.). New York: Harper & Row.
- DeSimone, R. L., Werner, J. M., & Harris, D. M. (2002). *Human resource development* (3rd ed.). Orlando, FL: Harcourt College Publishers.
- Holton, E. F. (1999). Performance domains and their boundaries. In R. J. Torraco (Ed.), *Performance improvement theory and practices* (pp. 26-46). *Advances in Developing Human Resources*, 1.
- Landau, S. I. (Ed.) (1997). *The new international Webster's concise dictionary of the English language*. (2000 ed.). Naples, Florida: Trident Press International.
- Levine, F. M. (1975). *Theoretical readings in motivation: Perspectives on human behavior*. Chicago: Rand McNally.
- Locke, E. A., & Latham, G. P. (1990). *A theory of goal setting & task performance*. Englewood Cliffs, NJ: Prentice Hall.
- McClelland, D. C. (1965). Toward a theory of motive acquisition. *American Psychologist*, 20, 29-47.
- McClelland, D. C. (1975). *The achievement motive*. In F. M. Levine (Ed.), *Theoretical readings in motivation: Perspectives on human behavior*. Chicago: Rand McNally.
- McGregor, D. (1960). *The human side of enterprise*. New York: McGraw-Hill.
- Micklethwait, J., & Woolridge, A. (1996). *The witch doctors: Making sense of the management gurus*. New York: Random House.
- Peters, R. S. (1969). *The concept of motivation*. London: Routledge & Kegan Paul.
- Rummel, G. A., & Brache, A. P. (1995). *Improving performance: How to manage the white space on the organization chart* (2nd Ed.). San Francisco: Jossey-Bass.
- Schein, E. H. (1975). In defence of theory Y. In E. L. Cass & F. G. Zimmer (Eds.), *Man and work in society: A report on the symposium held on the occasion of the 50th anniversary of the original Hawthorne studies* (pp. 17-30). New York: Van Nostrand Reinhold.
- Swartz, J. B. (1994). *The hunters and the hunted: A non-linear solution for re-engineering the workplace*. Portland, OR: Productivity Press.
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource management*. San Francisco: Berrett-Koehler.
- Torraco, R. J. (1999). Advancing our understanding of performance improvement. In R. J. Torraco (Ed.), *Performance improvement theory and practices* (pp. 95-111). *Advances in Developing Human Resources*, 1.
- Torraco, R. J. (1996). Job performance goals: Bridging the gap from theory to practice. *Academy of Human Resource Development 1996 Conference Proceedings* (pp. 513-520). Minneapolis, MN: Academy of Human Resource Development.
- Vroom, V. H. (1964). *Work and motivation*. New York: John Wiley & Sons.

Taking on the Teacher Supply and Retention Challenge: A Performance Focused Model for School-University Partnerships

Dorian Martin

William E. Reeves

Eric Wilson

Lisa O' Dell

Toby Marshall Egan

Texas A & M University

In this case study, we describe a strategic initiative that partnered public schools with the fifth largest land-grant university system in the United States to improve statewide recruitment, training, hiring, and retention of K-12 teachers. This effort sought parallel implementation among nine university system institutions in partnership with community colleges and public schools statewide. Related school-university partnership and organizational alignment literature is explored along with the model deployed and current descriptive performance measures.

Keywords: University, Partnership, Organization Development

Over the past century, universities and public school systems have been working together in partnership (Greene & Tichenor, 1999). Many of the partnerships have involved staff development, teacher training, and school leadership. Such school-university connections have engaged in complex development approaches that demand a significant commitment for collaboration on the part of stakeholders. "The most effective partnerships are dynamic and interactive, work toward common goals, and are characterized by a high level of commitment among group members" (Jenkins, 2001, p. 6). Similar to HRD efforts in other contexts, school-university partnerships hold considerable promise for revitalization and development. However, such efforts "must be vigorously supported and advanced by top leadership at public school and college levels" (Essex, 2001, p. 736); therefore, insights from HRD and related practices can make meaningful contributions to the alignment and development of such relationships.

This paper explores a leading school-university partnership in the state of Texas. The partnership under study was initiated by Texas A&M University (TAMU) Board of Regents. The TAMU Regents' Initiative is a comprehensive change approach aimed at educational improvement from PreKindergarten thru to four-year degree completion (PK-16) for children and young adults throughout the state. The core Initiative issues explored in this study involve the addressing of a need that has reached critical levels throughout the United States (US)—the recruitment, training, hiring, and retention of teachers in public school systems. The nine TAMU System institutions were asked to collaborate in raising the numbers of teachers in the state and to explore ways in which teacher preparation and retention could be further explored and practices modified accordingly throughout the TAMU system in collaboration with statewide stakeholders. This effort relies on the alignment of several relationships including university-university, university-community college, and school-university partnerships.

Purpose and Research Questions

The purpose of this paper is to describe a university system-wide effort to address a statewide K-12 teacher shortage in the State of Texas. We outline the history and implementation strategy along with the most recent outcomes associated with the effort. Research Questions include: 1) What successes and challenges will result from a school-university partnership aimed at increasing statewide teacher supply?; 2) What similarities and differences exist between school-university partnership literature and the case study under examination?; and 3) What is the future for such programs and related research?

Method

As previously identified, this paper combines an exploration of available literature on school-university partnerships with an exploration of a related case. Descriptive data is used to measure the differences between variables associated with stated goals at time 1 (the start of the partnership) and time 2 (year three of the partnership). Increases and decreases in variables associated with teacher supply are assessed.

Copyright © 2004 Dorian Martin, William E. Reeves, Eric Wilson, Lisa O' Dell, & Toby Marshall Egan

Review of the Literature

This paper explores an effort by a US land grant university system to align individual universities in a system-wide partnership with public schools toward growth of teacher training, hiring, and retention in order to address teacher shortages in the state of Texas. A vital element in the examination of the potential for partnership development between schools and universities is the examination of previous school-university partnerships, their successes and challenges. Awareness of prior partnership attempts may be used in early in partnership development. Although we found only a small number of articles focusing on school-university partnerships and even fewer articles exploring related issues from a research/scholarly perspective, Table 1 outlines the effective versus ineffective practices associated with the establishment of partnerships identified in the literature.

According to those authors who have explored school-university partnerships, “conversations among leaders on both sides of potential partnerships may be more successful if the practices presented are considered in getting a clear plan of action formulated prior to establishing the partnership” (Peel, Peel, & Baker, 2002, p. 44). From this point of view, educational partnerships need to approach the development of relationships in the same manner than that of any well run organization in the public or private sectors, whereby stakeholders collaborate in the development of policies and practices (Gayton, 1997). Well designed and implemented school-university partnerships can lead to movement in a positive direction toward change benefiting both sets of stakeholders (Gayton, 1997). The literature identifying effective and ineffective practices associated with school-university partnerships imply some basic “practices.”

Table 1. *Elements of Effective and Ineffective School-University Partnership: Based on a Review of Available Literature*

Effective Practices	Ineffective Practices
Development of respect and trust between stakeholders	Cynicism and absence of outreach needed to maintain trust or to revitalize the breakdown of trust
Visionary leadership based on knowledge and needs	Lack of shared vision and/or low vision clarity
Strong commitment to mutual interests	Individual interests prevail and discussion of mutuality are artificial—lacking clarity and focus
Willingness to promote change	Resistance to change is unaddressed leading to lack of change or relapse into prior behaviors
Flexibility in managing and coping with change	Rigidity and emphasis on the reinforcement of past policies over the need to adjust system to meet current goals
Open and ongoing communication	Communication breakdowns are unaddressed or resolved inadequately
Partners strive toward constructive collaborative climate	Competitive approach to conflict is utilized with little or no responsibility taken when individual institutional interests are fostered over shared interests
Stable and detail-oriented project leadership	General concepts or ideas remain unrefined and unworkable and leadership is handed off from centralized leadership to lower levels
Adequate financial support	Mutual financial needs are not appropriately addressed
Acknowledgement of collaboration successes	Minimization of success and/or self-focused responses to collective achievements identified
Reward and recognition system aligned with mutual interests	Reward system is overlooked with regard to the partnership, or rewards for collaboration are not included

Adopted from Peel et al., (2002)

characterizing more and less successful partnerships. Many of these practices are not unlike those encouraged in the organization development (OD) and HRD literature (Cummings & Worley, 2001; Rothwell, Sullivan, & McLean, 1995). According to Peel and Walker (1995), essential aspects in the establishment of functional school-university partnerships include: development of clear common goals, support of mutual trust and respect, maintenance of open communication, and ongoing clarification of shared responsibility by all stakeholders.

Stages of School-University Partnership Development

In addition to considering school-university partnerships from the perspective of effective versus ineffective practices, some researchers have explored school-university partnerships utilizing developmental stage models. Zetlan and Harris (1992) suggested that the following stages characterize the dynamics of a school-university partnership:

1. People are consumed with hostility.
2. There is a lack of trust as the partners build "mutual confidence."
3. There is a period of truce and equal participation.
4. Mixed approval and short-term successes are recognized.
5. Acceptance by both the school and university as they see the mutual benefits.
6. There is a time of regression due to attrition, faculty promotion, or lack of funding.
7. New members enter with new ideas that lead to renewal.
8. There is a continuation of the collaborative effort.

According to Peel et al. (2002) clear understanding of the stages identified above along with an operational understanding of the essential elements associated with school-university partnership success can lead to more effective implementation. Although the overall stage model presented by Zetlan and Harris (1992) is linear (suggesting that partnerships move consecutively from stages 1-8) the authors emphasized the importance movement from stages one and two toward a more connected and clearly delineated partnership in later stages. Other researcher and practitioners have identified program design and program implementation as key elements in the development of school-university partnerships. According to Tushnet (1996), although the most committed stakeholders may be able to overcome poor program design and implementation, clear outlining and execution of these two elements is viewed to be paramount. Partnerships may begin slipping when necessary steps prior to implementation are not sufficiently clarified and acted upon (Peel & Walker, 1993).

Partnership Financial Issues

Bullough and Kauchak (1997) indicated that universities and public schools face financial constraints due to the enormous size of each organization. Unless both entities are willing to pool their resources and work together in a collaborative manner, the partnership will most likely fail. This problem is especially true of educational partnerships in the rural southern US, which has the highest rural poverty rate in the nation (Davis *et al.*, 1998). In most impoverished communities there is generally a feeling of isolation along with limited resources (Davis *et al.*, 1998). According to Wilcox (2002), partnerships tend to fail when the financial issues overshadow the impending remuneration. Again, a vital need for successful partnerships includes realistic financial commitments from all stakeholders.

It is a reality that partnerships have to maintain adequate funding in order to co-exist. Unfortunately, for many communities in the southern US the funding is just not there (Davis *et al.*, 1998). Therefore, if educational partnerships are going to exist, especially in many impoverished areas, greater financial creativity, flexibility, and an increase in community supporters are needed in order for the partnership to survive.

Leadership

Edens, Shirley, & Toner (2001), emphasize the importance of ongoing leadership in the development of school-university partnerships. The authors observe that a premature departure from central decision-making by top leadership diminishes the likelihood of school-university partnership success. According to Bullough and Kauchak (1997) ongoing representation by top school and university leaders is important to balancing information sharing and investment. In one case, a divestment in time and energy spent by a school representative was diminished leading to a more dominant role on the part of the university. This imbalance leads to partnership misalignment and perceptions that the efforts are initiated singly rather than joint school-university efforts. In such cases, leadership imbalance leads to insufficient formation of goals, unbalanced communication, and unequal responsibility.

Professional Development School Models

One of the most common occurrences of school-university partnerships are professional development schools (PDS) that involve training and other types of development-related exchanges. Often, these development oriented programs involve university leadership in the training of teachers or principals. However, the best PDS efforts involve grassroots connections between teachers and university representatives in the identification and development of innovative approaches to problem-solving (Carlson, 2001). A focus by partners on innovation has led to successful PDS efforts benefiting all stakeholders (Rakow & Robinson, 1997). According to Edens *et al.* (2001) recent research indicates that over the past decade, school-university partnerships have involved a 'series of false starts' and difficult turns leading to divestment by many stakeholders in the school-university partnership concept. Peel et al. (2002) suggests one of the reasons that PDS models tend to fail is because they operate on the fringes. "In order for PDS's to move from the margins to the center of our educational system [partnerships must

become the] accepted way of doing business in the schools and colleges" (Edens et al., 2001, p. 31). Educational partnerships that were well received and successful involved real empowerment, collaboration, and trust by all stakeholders, as well as shared power by the leadership. As identified earlier, these insights into the elements of successful school-university partnerships overlap with suggestions for successful OD and change efforts in a variety of organizational contexts (Cummings and Worley, 2001; Rothwell, Sullivan, & McLean, 1995).

Teacher Demand in the State of Texas

Because this paper focuses on a school-university partnership approach aimed at increasing teacher supply in the state of Texas, it is important to explore recent trends associated with statewide teacher employment. A mixture of economic, educational, and demographic factors have combined to create teacher shortages in a number of US cities and states. In recent years, the state of Texas has focused its energies on the clarification of the total statewide picture for teacher training, recruitment, and retention. Although often considered to be human resource management issues (McLagan, 1989), recruitment and retention have also been explored in the HRD literature (Bartlett, Egan, Ipe, & Kim, 2002; Bierema, 1999; Vann & Hinton, 1994).

In recent years, the supply of certified public school teachers has not met the demand. This shortage has been the result of a number of factors including lower numbers of certified teachers, growing school populations, and teacher turnover. At present, approximately one-fourth of teachers in the state of Texas are not certified or are in the process of becoming certified while working as a full-time public school teacher (Institute for School-University Partnerships, 2002). Nationally, 22% of all new teachers leave the profession in the first 3 years because of lack of support and a 'sink or swim' approach to induction into the profession (US Department of Education, 2002) and 60 percent of Texas teachers quit the profession after the first five years of employment. The National Commission on Teaching and America's Future (1996) estimated that U.S. schools needed to employ more than 2 million new teachers from 1996-2006. This estimate may have been low. Demand is even higher for teacher specializations such as math, science, foreign language, bilingual, and special education are included as considerations.

Given these challenges, the state of Texas has engaged in several approaches aimed at improving teacher induction into the profession, providing effective training and certification, addressing teacher supply issues, and exploring effective approaches for increasing retention rates. One of these efforts is the Texas A&M University (TAMU) Regents' Initiative. This effort has led to the formation of school-university partnerships aimed at comprehensive exploration and action to increase and maintain the numbers and quality of teachers in the state. It is important to note that no scholarly literature associated with teacher supply issues (the focus of the TAMU initiative) were identified in our review of literature. The following sections describe and report results from this TAMU system-wide initiative.

Case Study: The TAMU Regents' Initiative

The following section explores the history, successes and challenges faced by the TAMU Regents Initiative which is school-university partnership aimed toward increasing supply, quality, and retention of public school teachers in Texas.

History of the Regents' Initiative

In March 1999 the Board of Regents of The Texas A&M University System unanimously passed a resolution establishing the Regents' Initiative for Excellence in Education. With the passage of this resolution, the Regents became the first higher education governing board in Texas to formally call for renewed attention to this aspect of university programming. Through this action, the Board declared teacher preparation a priority of the A&M System, and advocated long-term, systemic improvements in both the quality and effectiveness of teacher education programs in A&M System universities. The resolution directed the Chancellor to establish measurable standards of excellence for A&M System teacher preparation programs, including production and performance targets. The Board also directed staff to report periodically to the Regents on institutional progress in achieving these goals.

In presenting this case study, it is important to outline the original purpose and rationale for this work within the A&M System. The Regents' Initiative was undertaken in response to the rapid demographic changes occurring within the state's population, and in particular, its public school system. Given the A&M System's substantial interest in the long-term well-being of Texas public schools, as well as its traditional responsibility as one of the state's leading providers of classroom teachers, the Regents were prompted to reemphasize the A&M System's teacher preparation commitment.

At the time of passage of the Regents' Initiative, A&M System universities, like most institutions of higher education in the state, were experiencing declines in teacher production. During the period from 1993-94 to 2000-

01, system-wide production of teachers decreased by over 14 percent. By the end of the 1999-2000 academic year, the A&M System universities were producing 300 fewer teachers compared to annual production rates of seven years prior. During this same time period, Texas public schools grew by over 400,000 students. Faced with such explosive growth and declining university production, Texas schools were experiencing significant shortages of certified teachers. The Initiative was undertaken in part to counter the declining pool of quality teachers, and to improve A&M System production to better meet the needs of its public school constituents.

The five-year goal of the Regents' Initiative was to increase overall system-wide teacher production by 33 percent, including significant increases in the number of minority teachers and teachers in high-need teaching fields. The established five-year numerical targets were: African American Teachers—228; Hispanic Teachers—671; Bilingual/ESL Teachers—228; Special Education Teachers—433; Math Teachers—328; Science Teachers—514; and Foreign Language Teachers—88, and a total of 3,318 teachers.

In addition to their need for increased production, Texas schools were also faced with more challenging academic standards (in the form of the Texas Essential Knowledge and Skills test), as well as increasingly complex student populations. These academic and demographic changes clearly compel teacher preparation programs to assure that teacher products are better prepared and more accomplished than ever before. In this regard, the Regents' Initiative has served as a vehicle for simultaneous improvement of the quality of teacher preparation experiences within the A&M System. As a means of continuous quality improvement, the system established performance benchmarks on the state's teacher certification examination. In developing these program targets, the Chancellor afforded A&M System institutions with a five-year horizon (through January 2005) by which time all are expected to successfully achieve their respective goals. The data presented in this report covers the period from February 1999 (the actual launch date for implementation) through August 31, 2002.

The School-University Partnership Framework

The Regents' Initiative is a performance-driven improvement model. The initiative focuses on a comprehensive set of 11 performance and/or production benchmarks which measure university progress simultaneously in increasing the quantity and quality of teachers. To achieve the Regents' Standards for Excellence, institutions are expected to make exceptional progress in all target areas.

The Standards for Excellence and core strategies included in the Regents' Initiative model provide a template for the type of institutional changes that will promote enhanced teacher quality and productivity.

Figure 1. The School-University Partnership Framework: Regents' Initiative Model

Regents' Initiative Core Strategies	Regents' Standards for Excellence (Measures)
<ul style="list-style-type: none"> • Strengthening Regional Partnership Structures • Building teacher recruitment programs • Creating community college partnerships • Engaging arts and sciences faculties • Aligning curriculum standards • Restructuring teacher education programs • Collaborating on research and development • Inducting new teachers • Enhancing teacher leadership and building new teacher relationships 	<ul style="list-style-type: none"> • Performance targets • Productivity targets • Resource targets • Leadership • Instruction • Research • Faculty

Since each university's success will ultimately depend upon its ability to integrate these core strategies during the Initiative, a significant portion of efforts has been devoted to building the essential organizational and leadership infrastructure for long-term success. The program model includes:

- A set of seven program standards for A&M System institutions (which includes productivity and performance targets that exceed the nominal standards required by the state), and
 - A set of nine core strategies, to be implemented by each institution in order to achieve the performance standards.
- The elements of the Regents' Initiative model are depicted graphically in Figure 1.

The particular strategies incorporated in the Regents' Initiative model came from the combined recommendations of a variety of system-wide PK-16 working groups such as the Council of School Executives, the Deans' Working Group, and the Richardson Fellows for School-University Collaboration. Taken together, this constellation of nine core strategies comprises a long-term reform agenda for teacher preparation in the A&M

System. These strategies, which complement each other, are being implemented simultaneously on a university system-wide basis in order to achieve the magnitude of improvement specified in the performance goals. The basic strategies associated with the Regents' Initiative may be summarized as follows:

- Active executive engagement and leadership in local PK-16 Councils.
- Enhanced community college partnerships.
- Active recruiting of outstanding teacher candidates, coupled with increased scholarship and grant opportunities.
- Ongoing professional development for university faculty involved in teacher preparation.
- Expanded public school partnerships.
- Coaching and mentoring A&M System graduates as they move into the teaching profession.
- Expanded educational research opportunities.
- Aligned university admissions and academic standards with public school graduation and content standards.
- Leadership development for public school and university instructors.

The specific program standards for the Regents' Initiative include the following production targets:

- Increase annual system-wide production of teachers by 33 percent, to approximately 3,300 teachers annually by 2005.
- Increase annual production of Hispanic and African-American teachers by 64 percent and 90 percent, respectively.
- Increase annual production of math, science and foreign language teachers by 250 percent.
- Increase annual production of special education and bilingual/ESL teachers by 170 percent.

In addition to increasing the number of certified teachers, institutions must also demonstrate increased student performance trends on state certification examinations by 2005. Specific performance standards to be met by each institution are:

- All teacher preparation programs within A&M System universities will meet or exceed minimum performance standards for each demographic subgroup established by the State Board for Educator Certification.
- The percentage of first-year test takers in each demographic subgroup who pass the state-licensing exam will increase by a minimum of 20 percent, or achieve and maintain a pass rate of 90 percent.

The Regents' Initiative for Excellence in Education, which was established by resolution of The Texas A&M University System's Board of Regents in March 1999, has begun to reflect tangible improvements at all nine A&M System universities and for partner schools hiring the teacher-participants in the Regents' Initiative affiliated schools.

Results

Over the initial three years of the Regents' Initiative, system-wide production has increased. This increase marks the first annual increase in A&M System teacher production since the 1993-94 academic year. The total production went from 2,291 in the baseline year of 1999-2000 to 2,742 in 2001-02. This represents a 20-percent increase. Eight of the nine A&M System universities show positive trends in the production of teacher candidates from year 1-3. Of those, Prairie View A&M University has increased its production by 115 percent over the three years of the Initiative.

All nine A&M System universities have achieved 50 percent or more of their respective targets. Furthermore, eight universities have maintained positive trend lines throughout the duration of the Initiative. Three universities have already exceeded their five-year targets for total production. The A&M System has also increased its minority teacher production since the implementation of the Regents' Initiative for Excellence in Education. Since implementation, the A&M System institutions have experienced a 116-percent increase in the number of African-American teachers produced. The A&M System has also seen a 17-percent increase in the number of Hispanic teacher candidates produced over the three years (Figure 9). The System produced 509 Hispanic teachers in 1999-2000; by 2001-02, annual production had increased to 595. The five-year target is 671.

During the first three years of the Initiative, A&M System institutions have increased total output of bilingual/English as a Second Language teachers by 84 percent. In 1999-2000, the total number of Bilingual/ESL teachers produced was 121; by 2001-02, annual production was increased to 223. Six of the nine A&M System universities have experienced an increase in production from Year 1 to Year 3. Three universities have significantly increased their percentage of ESL production over the three-year period. The A&M System has achieved 98 percent of its five-year goal of 228 in bilingual/English as a Second Language. Furthermore, four universities have exceeded their five-year goals for bilingual/English as a Second Language. Seven of nine A&M System institutions have increased the number of special education teachers produced from Year 1 to Year 3. Five universities have increased their production by over 100 percent over that three-year period. Production of foreign language teacher candidates

also has grown by one-third from Year 1 to Year 3. In 1999-2000, the A&M System universities produced 38 teacher candidates in this high-need area; by 2001-02, that number had increased to 50 candidates. The five-year target is 88. Four of nine universities have shown increases in production from Year 1 to Year 3.

Comparing Current Results to Reviewed Literature

The successful performance results to date of the Regents' Initiative efforts to increase certified teacher education, employment and retention are closely associated with several elements in the school-university partnership literature. In comparing effective practices outlined in Table 1 to the case study explored here, the following practices have been observed: 1) visionary leadership; 2) willingness to promote change; 3) open and ongoing communication; 4) stable and detail-oriented project leadership; 5) adequate financial support; and 6) acknowledgement of collaboration success. The actions associated with the identified effective practices associated with the Regents' Initiative are identified in Table 2 below.

Table 2. *Effective practices utilized in the Regents' Initiative*

Effective Practices Observed in the Current Initiative	Actions Associated with Effective Practices
Visionary leadership	The Regents and university administration in collaboration with statewide schools identified the need and invested time, resources, and energy into an ambitious long-term plan aimed at moving the state in a positive direction. Such long-term plans are unusual and representative of vision and commitment by stakeholders.
Willingness to promote change	Regents, community/school leaders, and university leaders worked to effectively communicate and seek endorsement from key statewide stakeholders. Commitment was maintained throughout the stated
Open and ongoing communication	Communication between state, university, and school representatives continues regarding the reporting of progress and challenges
Stable and detail-oriented project leadership	The specificity of the Initiative and the steps needed to get there were well defined, achievable, and measurable. Central school-university partnership leaders were assigned to lead the project and were maintained over an extended period
Adequate financial support	Financial support for training, programs, administration, and retention efforts were provided to those implementing the Initiative
Acknowledgement of collaboration success	Regular reports, publicized newsletters, and public presentations to the Regents provided multiple streams for frequent acknowledgment of success.

Although all of the above effective practices have been observed as part of the Regents' Initiative process, neither the literature supporting these categories, nor the current data available describing the case study under exploration provide information or measures associated with the degree to which these effective practices occur or could occur. Although our exploration of the outcomes associated with this case detail the aforementioned effective practices, space limitations for the current reporting format limit the detail we are able to provide. However, effective practices associated with available literature appear to be relevant and important to the achievement, thus far, of established performance goals. It is important to note that the school-university partnership dynamic is still emerging as schools and community colleges provide ongoing feedback to the TAMU system regarding the effectiveness of outputs associated with the Initiative.

Conclusion

Based on the descriptive findings, the TAMU Regents' Initiative is working successfully toward accomplishing the goals set forth within the context of the school-university partnership. Under the current available data great strides toward teacher induction into Texas public schools has occurred. However, many of the other elements associated with the reviewed literature and the comprehensive school-university partnership framework set forth by the Regents' Initiative remain unclear. Anecdotal data (not presented in this paper due to length restrictions) support that many of the effective practices identified in the literature are being demonstrated in the case study described here. Because the University Initiative has not yet completed its five year timeline, there is much more to be learned about this school-university partnership. However, because it is the first known comprehensive approach of its kind to address statewide teacher shortages, the model and the results are encouraging.

References

- Bartlett, K., Egan, T., Ipe, M., & Kim, S. (2002). The perceived influence of IT industry-sponsored credentials on recruitment and training: An employer and employee perspective. In T. M. Egan & S. A. Lynham (Eds.) *2002 Proceedings of the Academy of Human Resource Development, Honolulu, Hawaii*.
- Bierema, L. (1999). Recruiting and retaining women in business: Women executives maneuver to change the status quo. *Proceedings of the Academy of Human Resource Development*.
- Bullough, R., & Kauchak, D. Jr. (1997). Partnerships between higher education and secondary schools: Some problems. *Journal of Education for Teaching, 23*(3), 215-233.
- Carlson, P. (2001). A grassroots approach to educational partnerships. *The Journal, 29*(3), 83-87.
- Cummings, T., & Worley, C. (2001). *Organization development and change*.
- Davis, M., Emery, M., & Lane, C. (1998). Serve to learn: Making connections in rural communities. *18th Conference Proceedings of the American Council on Rural Special Education, Charleston, SC*.
- Edens, K., Shirley, J., & Toner, T. (2001). Sustaining a professional development school partnership: Hearing the voices, heeding the voices. *The Journal of the Association of Teacher Educators, 23*(3), 27-32.
- Essex, N. (2001). Effective school partnerships: A key to educational renewal and instructional improvement. *Education, 121*(4), 732-736.
- Gayton, C. (1997). Getting into the education business. *Techniques: Making Education and Career Connections, 72*(5), 26-28.
- Green, P., & Tichenor, M. (1999). Partnerships on a collaborative continuum. *Contemporary Education, 70*(4), 13-19.
- Institute for School-University Partnerships (2002). <http://partnerships.tamu.edu/search.shtml>
- Jenkins, D. (2001). Characteristics of enduring partnerships. *Proceedings of the Mid-Western Educational Research Association, Chicago, IL*.
- McLagan, P. (1989). *Models for HRD practice*. Alexandria, VA: American Society for Training and Development.
- National Commission on Teaching for America's Future. <http://www.nctaf.org/>
- Peel, H. A., Peel, B. P. & Baker, M. A. (2002). School/university partnerships: A viable model. *The International Journal of Educational Management, 16*(7), 319-325
- Peel, H., & Walker, B. (1995). The teacher's role in site-based management. *Kappa Delta Pi, 32*(1), 2-5.
- Peel, H., & Walker, B. (1993). Collaboration: Getting all hands on deck facilitates change. *Journal of School Leadership, 3*(1), 30-39.
- Rankow, S., & Robinson, L. (1997). Public school-university partnerships. *Education Digest, 63*(3), 64-68.
- Rothwell, W., Sullivan, R., & McLean, G. (1995). *Organization development: A guide for consultants*.
- Tushnet, N. (1996). *A guide to promising practices in educational partnerships*. Washington DC: U.S. Department of Education, Office of Educational Research and Improvement.
- US Department of Education (2002). <http://www.ed.gov/index.jhtml>
- Vann, B. A. & Hinton, B. E. (1994). Workplace social networks and their relationship to student retention in onsite GED programs. *Human Resource Development Quarterly, 5*(2), 141-152.
- Wilcox, D. (2002). *Partnership*. www.partnerships.org.uk/pguide/pships.htm (Retrieved August 10, 2003).
- Zeltan, A., & Harris, K. (1992). The evaluation of a university/inner-city school partnership. *Urban Education, 27*(1), 80-90.

State Intervention of National Human Resource Development Policy: Korea Case

Hae-young Lee
Northern Illinois University

Sustained rapid economic growth in Korea has spawned ongoing debates over the role of the state. Given the link between economic growth and the state-led policies influencing human resource development (HRD), public policy on HRD is reflected in state's interests. The main focus of this paper is to identify the variables and institutional mechanisms of state-led HRD policies that have been put in place as a strategic national agenda.

Keywords: HRD, State-intervention, Korea

Seeking to explain the relationship and interaction of economic development and state influences behind Korea's industrial achievement, the leadership of government in economics and other social public policies has been playing a vital role and therefore, should be accounted for. This study attempts to identify the factors affecting state institutions that have a great influence on public policies especially human resource development (HRD) policies, and then addresses how proactive HRD policies at a state level are designed to make a difference in helping the state achieve the goals.

Introduction

HRD is an emerging educational and economic agenda in Korea. Many international agencies have conducted or supported research projects on the issues of social capital investment and workforce management. In particular, the Organization of Economic Corporation Development (OECD) routinely conducts research projects and publishes the Country Report and Cross-Country Analysis on the human resource issues such as lifelong education, vocational education, training and development of the workforce, and public schooling. Yet, most of the reports are oriented to the human resource management (HRM) perspective. In addition, many researchers have sought to better understand the impact of different national settings on the management task by conducting literature reviews of organization and cross-cultural management (Bae, J., Chen, S., & Lawler, J. 1998 ; Clark, Grant, & Heijltjes, 1999; Kim, 1999; Lindholm, 1999; Minehan, 1998; Molnar and Loewe, 1997; Rubens, 1995). However, despite the fact that most researchers have described the conceptual, theoretical, and methodological problems encountered and the solutions proposed, very little equivalent literature of state-level HRD policy exists.

As well known, the definition of HRD is different from that of HRM. Since this study does not intend to elaborate the debate on the definition of HRD, it simply accepts the definition that McLean and McLean have observed in their cross-national studies (2001).

Human resource development 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, the whole of humanity.

A little research has been conducted to grasp the role and function of national human resource development (NHRD) (Cho and McLean, 2002; McLean and McLean, 2001; Oh, 2002). Those studies focus on the different definitions of HRD across the nation, the significance of NHRD, the role of government, and the vision of NHRD as a national agenda. Thus, it is hard to grasp the dynamic mechanism between and among other economic, political, and social factors that affect the policy-making process of NHRD. According to the definition of the Korea Research Institute of Vocational Education and Training (KRIVET), NHRD can be defined as comprehensive societal efforts to effectively develop and utilize national capabilities as human resources so that it contributes to improving the quality of life and national competencies to survive in a knowledge-based economy of the 21st century (KRIVET, 2000)

This study has attempted to identify the factors that have an impact on state policy and interpret the interventions of the Korean government in relation to NHRD policy. Since the purpose of this study is not to investigate the attributes and causes of the economic development of Korea, the efficiency and effectiveness of state-led policies and practices have been put behind in this paper. Furthermore, the galvanizing issue of globalization or global divide is not the periphery of this study. Simply, neither examining the fundamentals of political economy nor seeking a solution to economy and society in transition is included in the property of this paper.

Copyright © 2004 Hae-young Lee

The Definition of NHRD Policy

Given the short history of NHRD in Korea, little research has been done on the issue. However, the Ministry of Education and Human Resource Development (MOEHRD) of Korea and several government-sponsored research consortia in Korea such as the KRVET have been playing a leading role in shaping the strategic policies and implementing the NHRD programs in Korea. This study explores how the Korean government architect and implement public policies of HRD that cope with its economic growth and better performance.

The MOEHRD defines that NHRD policy is a comprehensive plan and practice to cultivate and empower the constituencies as human resource with competence, so that the nation and its people per se mutually benefit in a competitive economic environment (MOEHRD, 2002). It implies that HRD policy is a key engine ensuring sustainable development for both individual and society as a whole as well as being committed to a social and cultural environment. Moreover, the government takes initiatives and social accountabilities in educating and training people, distributing resource, and utilizing and managing the workforce. It might be fair to say that NHRD policy include macro- and micro-perspectives of public policy in nature. In this respect, it is to say that NHRD policy is a governmental intervention to facilitate the creation of tacit capabilities in individuals and firms that lack them by providing institutions for education, training, and research.

The Role of State in Public Policy

Over the past decades, much research has been done on the economic development of newly industrializing economies (NIEs), including South Korea, Taiwan, Singapore, and Hong Kong (Aoki, Kim, & Okuno-Fujiwara, 1997; Chang, 2000; Smith, 2000; Li, 2002; Mytelka; 1998). There are a myriad of factors that can explain the success and failure of the NIEs as late-comers to the international economy. As part of their economic development strategies, most governments of NIEs intervene in the market to affect resource allocation. Some research sustains that the role of government has been playing a critical role in formulating economic structure and boosting the development in many Asian nations, while others criticize the by-products such as in-equilibrium development and the concentration of national wealth. The only function of state policies is to increase a given amount of economic activity by stabilizing social conditions and stimulating inward foreign investment. Furthermore, state policies of industrial growth and social development intend to create new business and jobs, not simply distributing or re-distributing resources and industrial sites within the sovereignty. (Aoki, Murdock, & Okuno-Fujiwara).

There has been little consensus in understanding and analyzing the role of the state in economic development of Korea. Some claim, for instance, that state intervention in industrial structuring and economic process has played a positive role in miraculous economic growth. On the other hand, others posit that state is not a neutral institution; rather, it has its own political and economic interests. These arguments can be found between the so-called market-friendly perspective and developmental state perspective.¹ Diverse as they are in construct of the views and approaches, there is no clear consensus between two major perspectives what the role of state in economic growth is and how it is to be analyzed.

The basic assumption of state-led policy is that economic growth and performance can be enhanced and subsidized by education and other public supports for investment in new industries and technologies. In a small scale of economy, like Korea, “the role of state policy is critical in a way that it must become an arbiter and manager of the inevitable strategic conflicts (Aoki and the associates, p. 212).” It is because in such a small size economy there is always a high possibility that a few organized interest groups might dominate economic activities and even exploit resources. Aoki and the associates conducted a comparison study on the late industrialization countries including Korea, Taiwan, Finland, and Austria. The following is the summary of their observations (1996):

1. In all of the four countries, the state has been very powerful and interventionist, so that the practical organization of new investment has at times resembled that of the planned economies;
2. All have been extremely organized, corporatist economies where strategic decisions of economic and industrial policy have been taken in concert between the state and organized interest groups of business and labor;
3. In all of them, and in spite of the extensive planning, the state and the political establishment have been ultimately committed to the liberal market order and respect of private property as a principle;

¹ According to Aoki and the associates (1996), market-friendly perspective maintain its view that the state should confine its role in public policy, especially economic policies only to fostering coordination, while the developmental-state perspective asserts that the state can play a critical role in substituting for market coordination which often fails at the developmental stage of the economy. They regard developmental-state perspective as a close meaning of state interventionism.

4. In all of them, for various historical reasons, the state has been politically strong and has also been endowed with a large and competent bureaucracy;
5. In international politics, all of them were situated in a contested border-zone between the two ideological blocks of capitalism and communism and all of them were confronted with a threat of loss of sovereignty;
6. In all of them, however, the outcome of World War II had shaken or disrupted the established organization of interests groups, so that a new corporatist network had to be built in the aftermath of the war.

These observations have some implications to the state-led economic policies of the Korean government as follows:

1. the government sustain coherence and balance in planning and implementing its policies;
2. due to lack of resources and international pressure, the government is well aware that the consequences of economic failure are fatal;
3. competent bureaucracy establish public policies independently of organized interest groups.

According to Aoki and the associates (1996), the state-led intervention views “market failures as more pervasive for developing economies and thus looks to government intervention as a substitute mechanism for the resolution of these more prevalent market failures (p. 1).” This view regards the market as an alternative mechanism for resource allocation. In this perspective, the role of government is limited to providing a legal infrastructure for market transactions and providing goods subject to extreme market failure. Chang (2000) also elaborates that state intervention may be able to improve the free market outcomes and even makes it more efficient. In this regard, it is fair to say that the role of government and that of the market are considered as substitutes, providing the solution of market failure. Indeed, many claim that Korean economy is one of the most successful examples of state-led development during the postwar period. (Weiss, 2003)

However, since the turmoil of the late 1990s, the pressures of the market-opening measures and privatization imposed by the International Monetary Fund (IMF) have shrunk the leading and coordinating role of state in Korea. It is significant to note that the Korean governmental efforts forced by the IMF conditionalities after the financial crisis since 1997 have been mostly aimed at reducing the state’s role in liberating financial market and restructuring conglomerate-based industry. Along with the pressures, the impact of globalization in general has forced Korean government to re-consider so-called developmental state model in public policies. Ironically, a thread of evidence presents that the financial turmoil has little impact on the transformation of the state role in public policy. Furthermore, the Korean government has aggressively and successfully played a pivotal role in restructuring traditional industry and promoting new high-technology industry. Therefore, the evidence suggests that the normative question whether or not state intervention is bad or good seems to be troublesome. (Weiss, 2003)

The Influences on the Changes of NHRD Policy

The Advent of New Technologies

Information and communication technologies (ICT) as a spearhead of Knowledge-based new economy not only shortens a physical distance but it also removes communication barriers and the cost of transportations or transmissions. Yet, the question of whether this new economy may contribute to economic growth more than the old economy is too difficult to answer at this time. This new economy brings about the integration of economies in the global village. These forces contain profound influences on not only the behavior of individuals, firms, and nations as a whole but also the environment around them by making adequate and timely alterations to process and quality of products, human-related conditions, and regulations. Overall, this global economic integration results in increasing intense competition among nations, especially developing countries that traditionally depend on export economy, disadvantage in creating new knowledge-based industries, and lack in capital investment.

Since the advent of knowledge-based economy, many nations have responded to the trend by restructuring industry and cultivating a new and creative workforce. Although the Korean economy has successfully recovered from the financial crisis in the late 1990s, it is still in transition from a heavy industry economy to a knowledge-based new economy. It has been proved that labor-intense industry is no longer able to sustain the growth of the Korean economy. In order to create a new market and thereby promote small and medium-sized information and communication businesses, instead of heavy-industry-based conglomerates, the Ministry of Information and Communication (MIC) reports that “the government is implementing a project to support these enterprises in developing core and applied technologies with a high potential for commercialization (2002).” For it, the Korean government realizes that in the new economy, a quality workforce is quintessential for ensuring sustainable development and surviving in the never-ending global competition as well.

ICT changes the way that education and training systems are structured and functioned. In the new economy, whether or not the basic economy regarding a workforce shaped by the law of supply and demand can

be applied is in doubt. New technologies and intense global competition may change the parameters and values of human resources. Yet, it is fair to say that the economic growth will continue to depend on the labor force and productivity growth. The Korean government is seeking to nurture new industries as a new driving force of economic development, by developing such core technologies. It is planning on investing billions of US dollars in core technology development as well as gradually increasing investment in basic and fundamental technologies in a short and long-term.

The Transformation of Politics and Economy

Korean government has a long history of playing an exclusive role in shaping and aligning public policies, allocating resources and so on. The state-led economic development plans have been stimulating economic growth through exports in Korea. Exports have shifted from primary goods to labor-intensive manufacturing goods, and then to capital, and information and communication technology products. One of the strengths of Korean economy traditionally lays in its well-developed middle and vocational school system and the early development of engineering training. As the industrial structure shifts, the societal demands of schooling have increased. For instance, the growing number of secondary-educated population played a role in expanding higher educational institutions in size. Even though its higher education institutions were not research-oriented, the increasing enrollment in university has been pushed higher since the early 1980s (Mytelka, 1998). Consequently, this requires to create more jobs for technological savvy population.

The Korean government has attempted to attract inward foreign investment (IFI). However, it is proven by the financial crisis in the late 1990s that this IFI increases economic vulnerability in case of unpredicted massive withdrawals. Due to the crisis, the Korean government has learned that an economy that loses foreign investment inflow experiences both domestic loss and competitive losses in the global market. As a result, the government came to recognize again that improvement in domestic conditions permits sustainable economic growth, which in turn attracts foreign investment. In this regard, it is fair to say that the domestic conditions of economic stability, consistent public policies, and quality workforce are all domestic attributes that attract and hold IFI for sustainable economic growth (Li, 2002).

However, because of the mobility of foreign capital and competition with other developing countries, coupled with standardized manufacturing production and information flow, Korea has to demonstrate the quality and productivity that may guarantee IFI and domestic investment as well. Li asserts that "the quality of human capital is another key factor in the success of Asian economies." (p. 162) Like other NIEs, the investment and development of education and training systems in Korea have assisted the improvements of labor productivity.

As competition rises from neighboring low-wage countries, especially after the financial crisis, labor-intensive production would subsequently erode Korea's competitiveness in exports and foreign investment. Korea needs a new engine, a responsive one for competing in an international market. The Korean education and training system has adjusted to a rapidly changing industrial structure by changing school curriculum and providing diverse training programs (Park, 2001).

Social and Cultural Changes

Although Korea has recovered relatively quickly from the financial crisis in the late 1990s, this event has had a shocking impact on the management system of firms and the cultural values of society. This event has forced employment restructuring, thus causing increase in unemployment. Lifetime employment no longer exists and the loyalty toward organizations has dramatically decreased. Seniority-based incentive systems have shifted to meritocracy or license-based systems in both public and private sectors. In this context, OECD suggests that the provision and expansion of retraining programs for the newly unemployed and the existing workforce are becoming especially important (OECD, 1998). The Korean government, therefore, has to significant extent obligation to appropriately respond to it.

In addition, the demographic composition of Korea in terms of the workforce has changed. In the Korean labor market, employment and production in manufacturing industries are reducing in size. This tendency is predicted to continue and grow stronger. The statistical prediction was that by the year 2000, the workforce in manufacturing industries would be reduced to 22.8% of the total workforce from 23.3% in 1995. OECD reports (2002) have projected that even within the manufacturing itself, high-tech and knowledge-based industries will be emphasized, causing a new demand for a specialized and highly educated workforce instead of a simple- and semi-skilled workforce. One of the most significant factors that has accompanied the economic growth in the NIEs is the principle of 'shared growth'. Under this culture, education has brought the accumulation of human capital, which has also contributed to a high-quality workforce. Because of this, economy comes to house and utilize skilled workers. (Aoki, Kim, & Okuno-Fujiwara, 1996)

Also, according to the MIC (2002), the proportion of the aged, female, and the youth is expected to increase. To this end, the number of economically active population also shows a steady increase, which makes the inevitable enforcement of all measures concerning job security and utilization of human resources for those people.

Policy Responses of NHRD

Institutional Formation of NHRD Policy

In order for the Korean government to successfully cultivate quality workforce and proliferate the new industries, a comprehensive and collaborative planning is required to coordinate multiple ministries in the government so that it increases the effectiveness of resource distribution and social accountability. Furthermore, this new strategy is to respond in a timely manner to economic change and meet the demands of the workforce. As a result, MOEHRD (2003) comes up with six strategic industries such as ‘Information technology (IT)’, ‘Biology Technology (BT)’, ‘Nano Technology (NT)’, ‘Space Technology (ST)’, ‘Environment Technology (ET)’, and ‘Culture Technology (CT)’.

In 2001, the Korean government came up with a grand strategic NHRD plan that the ministries and governmental agencies ought to interdependently collaborate on cultivating right and competent brains for strategic industries. For it, the individual ministry must identify which strategic industry or industries it will take in charge of and come up with their own strategic NHRD plans. The Cabinet Committee presided by the President recognized that each department has taken charge in a specific industry in terms of designing and implementing NHRD policies: MIC for IT, MOST and MOCIE for BT and ST, MOST for NT, MOE for ET, and MCT for CT. Each department has come up with a comprehensive planning containing target industries, budget, timetable, implementation process, and joint-council with the private sector. This idea is to overcome the limit of state-led policy and extend policy capacity.

Park (2001) describes that a vocational education and training system in Korea have been conducted by two governmental departments. One is a vocational education, which is under supervision of the Ministry of Education, a former MOEHRD; the other is a vocational training system, which is under the power of the Ministry of Labor (MOL). Later on, the Korean government created a new department of the MOEHRD in 2001. Although the state-led policy emphasizes the role of intra-state mechanism, the Korean government also recognizes that various inter-organizations between government and the private sector play a significant role in resolving possible market failures by exchanging information.

Table 1 demonstrates the brief explanation of two major councils such as ‘the Council on Education and NHRD Policy (CENHRD)’ and ‘the HRD Committee (HRDC)’ that they are committed to shaping and implementing NHRD policy along with the Korean government (2002). This table shows evidence that the Korean government is not solely rationalized by the state-led models. In addition, this effort to form collaborative councils underlies the notion that a well-defined administrative infrastructure reinforces the implementation capabilities of the state.

Table 1. *Structures and Functions of CENHRD and HRDC*

	CENHRD	HRDC
Role	<ul style="list-style-type: none"> - Presidential Advisory - Developing Long-term policies consisted mostly of experts from private sector 	<ul style="list-style-type: none"> - Reviewing and Coordinating HRD policies within the government branches, consisted of the Ministries of the departments
Function	<ol style="list-style-type: none"> 1. Education and HRD Strategies 2. Policy development and evaluation 3. Other relevant issues on NHRD 	<ul style="list-style-type: none"> - Reviewing and Coordinating Policies on Education, Culture, Science, and Technology 2. Other NHRD Policy before Cabinet Committee
Member	<ol style="list-style-type: none"> 1. Experts selected by the President from education, business, and civil organizations 2. Cabinet members: MOEHRD, MOST, MCT, MOISE, MIC, MOL, MOGE, etc. 	<ul style="list-style-type: none"> - MOEHRD, MOST, MCT, MOCIE, MIC, MOL, MOGE, MOGAHA, MPB, etc.
	<ul style="list-style-type: none"> - MOCIE: Ministry of Commerce, Industry, and Energy - MOST: Ministry of Science and Technology - MOGE: Ministry of Gender Equality - MOGAHA: Ministry of Government Administration and Home Affairs 	<ul style="list-style-type: none"> - MCT: Ministry of Culture and Tourism - MPB: Ministry of Planning and Budget - MOE: Ministry of Environment

There is no doubt that successful implementation of NHRD policies requires smooth coordination among the ministries and civilian experts to bridge the caveats and eradicate, or at least lessen the unnecessary overlaps among the sectors. It requires the cooperation of the business sector and the general public. In this respect, the formation of the councils shown above is a good example of the shift of decision-making process to corporative mechanism from an elite or authoritarian type of governance of Korea. The councils consist of ministers or vice-ministers of each ministry who are in a high position to make terminal decisions on policy. The Korean government invites civilian experts and people from civil organizations. Through this relatively open and comprehensive decision-making mechanism, it is believed that the social accountability of public policy would

be enhanced. Due to this, the function of two major councils is to prevent the failures that have oftentimes been caused by the conflict of interests among the governmental agencies. In addition, by working with the private sector and external professionals, the flexibility and timeliness of public policy would be increased.

Policy Approach to NHRD

Since the International Monetary Fund (IMF) bailout, the Korean government has been working hard to create jobs and restructure its industrial structure (MOEHRD, 2003). Given the lack of capital accumulation, and the shortage of knowledge workforce and technologies, the strategy that the government has chosen is 'Choice and Concentration'. Through searching for new strategic economic engines, the Corporate Korea has attempted to survive in unlimited and undifferentiated global competition with advanced nations and other NIEs. It believes that knowledge-based industries will determine the future of the nation. In this respect, it is convinced that the core workforce with competency will play a critical role in economic recovery and sustainable development. Pfeffer asserts, "one of the most obvious implications of the changing basis of competitive success is the growing importance of having a workforce with adequate skills (1994, p. 16)."

To address the problems caused by the external and domestic demands to the Korean economy, including the workforce training and development sector, the government has pursued several primary policy measures to increase the competency of the nation. The followings are four dimensions in the NHRD policy that the MOEHRD recently has made a report to the public (2002):

1. Administrative and legal establishment;
2. Effective education and training system;
3. Interwoven mechanism among the existing institutions;
4. Infrastructure for further development.

Based upon the report of MOEHRD (2002), the major projects that each dimension focuses as follows:

1. Administrative and Legal Establishment;
 - Remodeling and empowering coordination of NHRD policy within the government
 - Formulating roadmap of NHRD policy
 - Enacting HRD Law
 - Shaping a grand plan for demand and supply of workforce at national level
 - Promoting HRD policy at local level
2. Effective Education and Training System;
 - Enhancing primary and secondary education
 - Supporting drop-outs
 - Providing quality education for marginalized and rural area
 - Promoting science and technology education
 - Supporting education for the gifted
 - Empowering higher education and R & D
 - Establishing vocational education for all
 - Formulating a grand NHRD plan for strategic business
 - Shaping HRD programs for service industry
 - Training professionals in culture industry
3. Interwoven Mechanism among the Existing Institutions;
 - Encouraging female workforce employment
 - Promoting HRD in private sector
 - Developing HRD programs in public sector
 - Expanding co-op programs
4. Infrastructure for Further Development;
 - Assessing the processes of NHRD
 - Investing and analyzing NHRD projects
 - Employing the evaluation of the effectiveness of NHRD projects
 - Establishing database of NHRD
 - Promoting library network

Based upon the recent proposals and reports by the Korean government on NHRD policy for boosting six strategic industries, this paper explores how the Korean government is carrying out the NHRD policy and its programs to ensure the success of the grandiose agenda.

The following is a brief summary of the NHRD policies of the six areas (MOEHRD, 2003):

1. Reforming university curriculum;
2. Extending co-op programs with industries;
3. Promoting a brain-exchange program between the private sector and university;
4. Employing overseas experts;
5. Supporting oversea training programs for graduate students and university faculty;
6. Establishing database and network, domestically and internationally;

7. Supporting R & D and HRM/HRD in the private sector.

With the expansion of the ICT industries and the increasing information and technology orientation of an old economy, the demand for ICT specialists has rapidly increased. By the end of 2005, it is estimated that there would be a shortage of 140,000 such workers (MIC, 2002). In order to improve the quality of education and training institutions, the Korean government will have to invest billions of US dollars in renovating education and training facilities, promoting research activities in higher education, financially supporting private firms for developing software, and encouraging training programs for instructors.

Conclusions and Implications

The Korean government has shifted its public policies from highly interventionist to more open and liberal since the 1990s. As examined in this study, it seems obvious that the Korean government has attempted to coordinate and collaborate with the business sector and the civilian experts from the planning of public policy through the assessment of it. The main purpose of the policy efforts of the Korean government is to mobilize the social support and promote the participation and commitment of the private sector on behalf of successful NHRD policy.

This study has mainly focused on the factors architecting the current NHRD policy and institutional mechanism initiated by the Korean government. Even though the analysis of the NHRD policy of Korea in this paper emphasizes the positive contributions of an extended role of state to economic growth, it must be noted that this study is not totally committed to an anti-market aspect or a rigid interventionism. It may be worthwhile to analyze what can be done by state-led interventions and what determinants of state-led economic policies seem to be conducive to success.

There has been a period of time that a state is the only legitimate entity to sculpt and implement public policies. Yet, the demands for the state attitudes toward public policy, including HRD, require that the traditional state-intervention be defused and instead, advocate the partnership between and among bureaucrats, technocrats, and civilian sectors. As seen above, many ministries and civilian experts are involved in the formation and implementation of NHRD in Korea. This emphasizes the efficiency of communication among the participants in a decision-making process. In many cases, intra-governmental conflict stemmed from policy shift is often crucial to successful implementation. In this respect, the newly-established councils are expected to function as coordinating instruments through planning and assessing the policies.

It is difficult to conduct a scientific analysis of NHRD policy and its management, for it is a complex process involving political, economic, administrative, and socio-cultural factors. As far as the government-issued documents concerned, it is still unclear how the Korean government assesses the large-scale and long-term NHRD policy. In addition, it is significant to note that there is always a big political issue, when there is a big money in public policy. For instance, given that the Korean government is planning to invest a great amount of budget into NHRD over years how to adequately keep the policy priority of resource allocation from political interests is central to the success of NHRD policies.

It is of note that the determinant factors of the economic growth of the late-comers, like Korea, in international market are different from those of the mature economic countries. Important issues emerge from this study of the transformational adjustment of the Korean NHRD policy in association with economic development and industrial restructuring. The notion of transformational adjustment refers to multifold phenomena, a short-term adjustment, and a long-term and substantial restructuring of a nation. It implies that in order for NHRD policies to be efficient and effective, there are several issues that must be examined such as the effect and function of the private sector in designing and implementing the public policy, the domestic capacity fulfilling the given policy goals, and the issue of Research and Development in the business community.

The followings are several topics for future research:

1. To what extent are NHRD policies and practices internally consistent – compatible with each other;
2. To what extent are NHRD policies and practices externally consistent, in that they are likely to produce the kinds of skills and behaviors necessary to compete given the state's intended strategy and the competitive environment it faces;
3. To what extent are NHRD policies and practices likely to produce the skills, competencies, attitudes, and behaviors necessary to implement the state's intended strategies?

References

- Aoki, M., Murduck, K., & Okuno-Fujiwara, M. (1996). Beyond the East Asian miracle: Introducing the market-enhancing view. In Aoki, M. et al. (Ed.), *The role of government in East Asian economic development*. Clarendon Press, London: UK.
- Bae, J., Chen, S., & Lawler, J. (1998). Variations in human resource management in Asian countries. *International Journal of Human Resource Management*, 9(4), 653-669.

- Brewster, C. (1993). Developing a European model of human resource management. *International Journal of Human Resource Management*, 9(4), 765-784.
- Chang, H. (2000). An institutionalist perspective on the role of the state: towards an institutionalist political economy. In Leonard, B., Castro, A. C., & Chang, H. (Ed.), *Institutions and the role of the state*.
- Cho, E., & McLean, G. N. (2002). National human resource development: Korean case. In U. Pareek, A. M. et al. (Ed.), *Proceedings of the Human Resource Development in Asia Conference 2002*. Academy of Human Resource Development of USA and Academy of Human Resource Development of India, 253-259.
- Clark, T., Grant, D., & Heijltjes, M. (2000). National culture and performance management in multi-national corporation subsidiaries. *International Studies of Management & Organization*, 29(4), 45-66.
- Kim, P. S. (1999). Globalization of human resource development: A cross-cultural perspective for the public sector. *Public Personnel Management*, 28(2), 227-243.
- Korea Research Institute of Vocational Education and Training. (2000). *Major policy diagnosis, analysis, and development of national human resource development*. Seoul: Korea.
- Li, Ku-Wai. (2002). *Capitalist development and economism in East Asia*. Routledge. NY: New York.
- Lindholm, N. (2000). National culture and performance management in multi-national corporation subsidiaries. *International Studies of Management & Organization*, 29(4), 45-66.
- McLean, G. N., & McLean, L. D. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- Ministry of Information and Communication. (2002). *The 2001 Information and Communication White Paper*. Seoul: Korea.
- Minehan, M. (1998). SHRM futurist task force. *Human Resource Development Magazine*, 43(3), 77-85.
- Ministry of Education and Human Resource Development. (2002). *The Practice and Direction of National Human Resource Development Policy*. Seoul: Korea.
- Ministry of Education and Human Resource Development. (2003). *Roadmap of HRD project for strategic industries*. Seoul: Korea.
- Molnar, D. E. and Loewe, G. M. (1997). Seven keys to international HR management. *Human Resource Focus*, 74, 11-12.
- Mytelka, Lynn Krieger. (1998). Learning, innovation, and industrial policy, - some lessons from Korea. In Michael Storper, et al. (Ed.), *Latercomers in the global economy*. Routledge, NY: New York.
- OECD. (1998). *Alternative approaches to financing lifelong learning: Country report – Korea*. Paris: France.
- OECD. (2002). *OECD Review of career guidance policies: Country report – Korea*. Paris: France.
- Oh, H. (2002). Human resource development strategies in Korean. In U. Pareek, A. M. et al. (Ed.), *Proceedings of the Human Resource Development in Asia Conference 2002*. Academy of Human Resource Development of USA and Academy of Human Resource Development of India.
- Park, Won-woo. (2001). Human resource management in South Korea. In Budhwar, P. S. et al. (Ed.), *Human resource management in developing countries*. Routledge, NY: New York.
- Pfeffer, Jeffrey. (1994). Source of sustained success. *Competitive advantage through people*. Harvard Business School Press. Boston: MA.
- Rubens, K. (1995). SHRM futurist task force. *Human Resource Development Magazine*. 40(3), 77-81.
- Smith, H. (2000). The state, banking, and corporate relationships in Korea and Taiwan. In Drysdale, P. (Ed.), *Reform and recovery in East Asia*. Routledge, NY: New York.
- Weiss, Linda. (2003). Guiding globalization in East Asia: New roles of old developmental states. In Linda Weiss (Ed.), *State in the global economy: Bringing domestic institutions back in*. Cambridge University Press, Cambridge: United Kingdom.

Needs Assessment for Career Development Programs in the Taiwan Power Company (TPC): A Factor Analysis of Employees' Career Development Needs for Their Present and Future Positions

*Yi-Hsuan Lee
Walter Stenning
Texas A & M University*

A needs assessment was conducted for Career Development Programs in the Taiwan Power Company (TPC). The results of the needs assessment were subjected to factor analysis. The purpose of the study was to identify the factors underlying organizational career development interventions toward the employees' career development needs for present and future positions.

Keywords: Organizational Career Development Programs, Needs Assessment, Factor Analysis

People from all walks of life not only call for material enjoyment, but also psychological contentment (Beach, 1980). Leaders of organizations have thus shifted their focus more to the technological, social, economic, and psychological needs of their workers. Researchers and practitioners have been devoted to creating and designing appropriate career development programs in order to meet the changing needs of individuals and organizations.

Previous researchers have indicated the benefits for organizations to establish career development programs (Beach, 1980; Leibowitz, Farren, & Kaye, 1986). They include: (1) provision of equal employment opportunities, (2) improvement of the quality of working life, (3) retention of high talent personnel, (4) avoidance of the obsolescence skills, (5) increased loyalty of personnel, (6) improved utilization of employees' skills, (7) enrichment of the present job, and (8) an increase in job satisfaction.

Designing an effective career development program requires a system approach (Leibowitz, Farren, & Kaye, 1985). According to Walker and Gutteridge (1979), "the apparent key to making career planning effective is commitment to applying specific practices to satisfy the needs of specific employee groups... General programs rarely get off the ground" (p. 3). Therefore, the design of the career development program must be directly linked back to the specific needs of the target group or to the problems within an organization in order to make adequate justification of the expenditure of time, money, and resources. Human resource development professionals need to find ways to identify the specific needs of employees, managers, and organizations in order to efficiently allocate limited resources.

Theoretical Framework

Organizational Career Development

According to Gutteridge (1986), career development refers to "the outcomes of actions on career plans as viewed from both individual and organizational perspectives" (p. 52). Since the 1970s, career development has been transformed from tools facilitating individual growth to approaches linking with organizational strategies and development. Thus, the purpose of career development is to assist employees in analyzing their abilities and interests in order to match the needs of the individual to the needs of the organization (Gilley, 1997). The term "organizational career development," as defined by Gutteridge, Leibowitz, & Shore (1993), refers to the process of a planned effort to link the individual's career needs with the organization's strategies and development. Gutteridge et al. (1993) propose three assumptions associated with the field of organizational career development. First, development is an on-going process. The career development system is aligned with Human Resource structures and procedures, and the initiatives of the organization. Second, employees, managers, and organizations play varying significant roles in a career development system. Third, *system thinking* is a principal concept to organizational career development. Within the career development system, the individual is responsible for career planning, including the process of setting up employee career goals, and developing activities to achieve the goals, and the organization is responsible for career management, representing the organizational perspective, and setting activities (Gutteridge, 1986).

Needs Assessment

The specific needs of individuals in career planning should be understood before a career development program can be implemented. The tasks of needs assessment can help provide information required to customize a career development program, and can ensure that the important issues and needs that surface are broad enough to warrant extensive intervention (Leibowitz, Farren, & Kaye, 1986). Hence, conducting a needs assessment is the first step and critical stage in designing a career development program.

Many researchers have suggested a number of frameworks for conducting needs assessment (Altschuld & Witkin, 2000; Hammond, 2000; Kaufman & Triner, 1996; Leibowitz, Farren, & Kaye, 1986; Leigh, Watkins, Platt, & Kaufman, 2000; Steadham, 1980).

The frameworks can be categorized into three phases: (1) preassessment, which explores the context and environment of the perceived problem in order to identify needs before analyzing them; (2) assessment, in which data gathering is the primary activity; and (3) postassessment, in which the major tasks are assessment, clarification, and preliminary prioritization occurred in the second phase. The most common techniques used for conducting needs assessment are interviews and questionnaires (Leibowitz & Schlossberg, 1981). The questionnaires are relatively inexpensive, can reach a large number of people in a short time, give opportunity for expression without fear of embarrassment, and produce data easily summarized and reported (Steadham, 1980; Leibowitz & Schlossberg, 1981). In view of these advantages, the questionnaire survey is the most proper way to conduct needs assessment in a large-scale organization, such as the TPC.

Organizational Career Development Programs

Gutteridge (1986) described the generic practices that must be incorporated into the comprehensive organizational career development system. The six areas of the practices include: (1) employee self-assessment tools, (2) an organizational potential assessment process, (3) internal labor market information exchanges, (4) individual career counseling and career discussion, (5) a job match system, and (6) developmental programs (p. 61). In Russell's (1991) review of career development literature in the United States over the last 2 decades, 35 different commonly used organizational career development interventions were identified. She modified Gutteridge's (1986) taxonomy of career development programs, and then formulated her own seven categories of career development programs. They were: (1) self-assessment tools, (2) individual counseling, (3) information services, (4) organizational assessment programs, (5) developmental programs, (6) programs to address issues confronting employees at various career stages, and (7) career programs for special target groups. Hoffman (1997) examined 32 of the 35 career development programs by conducting factor analysis. Factor analysis resulted in seven factors, which accounted for approximately 61% of the total variance. However, the factors resulting from the study were not grouped the same as Russell's categorization. Additionally, Leibowitz, Farren, and Kaye (1986) suggested some career development programs that can be implemented in the organization. Hence, this study incorporated career development programs from previous studies to form the content of the questionnaire.

Statement of the Problem

For a long time, the Taiwan Power Company (TPC), a state-run enterprise, has played an important role in supplying power to support Taiwan's economic and industrial development. At present, two critical governmental policies have strongly impacted the organizational structures of TPC: (1) liberalization of the power industry, and (2) privatization of the TPC.

The TPC is now facing several critical issues in the transition to privatization, such as organizational restructuring, and employee demoralization. Improvement of productivity also needs to be addressed. Hence, how to keep employees committed to the organization and how to improve their performances become important to the TPC during the time of privatization.

After conducting a study of the TPC employees' career planning, education, training, and performance in a publicly owned organization, Chang (1999) indicated that the establishment of a well-designed career development system might lead to higher employee satisfaction, which could further improve productivity and performance. Lin (1998) discovered that more than 78% of the employees in one of the TPC's departments agreed that they were at career plateaus, and only 49% of the employees were satisfied with their career development.

Considering the significant results of these studies, implementing a career development program is an efficacious approach to enhancing the employee's organizational commitment and improving the employee's performance and productivity. Tsay (2001) indicated that a career development program not only assists employees in planning their career according to the organizational working requirements and strategies, but it also improves the employee's motivation. Hence, it is imperative that training programs should include the career development program. Since the TPC does not include the career development program in their current employee training programs, it is suspected that a sound career development program would be beneficial to the company.

Research Questions

The proposed study intends to investigate white-collar employees' career development needs in the TPC. A needs assessment was conducted for planning future career development programs for employees in the company. The results of the needs assessment were subjected to factor analysis, since factor analysis is an essential tool in helping a researcher explain the multitude with the greatest parsimony of explanatory constructs

by identifying the factors which are underlying hypothetical constructs (Shafiee, 1994; Tinsley & Tinsley, 1987; & Hoffman 1997). Additionally, organizational career development researchers (Russell, 1991; Gutteridge, 1986; & Leibowitz, Farren, & Kaye 1986) categorized the career development interventions by their own logics. Hence, the investigation focused on identifying the construct underlying the organizational career development interventions. The purpose of the study was to identify the factors underlying organizational career development interventions toward the employees' career development needs for present and future positions.

The research questions of the study included:

1. What are the factors underlying the constructs of the organizational career development interventions in the needs assessment questionnaire?
2. What factors are contained in the career development interventions in terms of the employees' career development needs for present and future position?
3. What are the differences between the factors underlying the organizational career interventions with regard to the present position and future position?

Methodology

Setting

The Taiwan Power Company (TPC), established in 1948, is the agency responsible for developing, generating, supplying, and marketing electric power for almost the entire Taiwan area. The government owns 90% of its stock, and 10% is owned by non-governmental institutions. There are 26 departments in the TPC, including its headquarters in the city of Taipei, and nearly 80 units distributed over the Taiwan area. The mission of the TPC is to offer diverse services to satisfy the needs of customers, to promote the nation's competitiveness, and to secure its shareholders' and employees' reasonable rights.

Population and Sample

The TPC's operations require a large, talented professional workforce, including over 15,000 white-collar employees and over 12,800 blue-collar employees employed in the summer of 2000. The population of the study was 14,850 white-collar employees. The 14,850 white-collar employees can be further classified in terms of job function and job role based on the statistics provided by the TPC personnel department.

Using the newest general and demographic information about the employees in the TPC that was gathered from computer records at the personnel office in February 2002, the researchers conducted stratified random sampling based on job function (technology, management, and business) and job role (upper-manager, line-manager, and employee), as defined by the TPC's personnel department.

Data were collected by means of interoffice mail, and human resource representatives at each division distributed surveys to 1,636 white-collar employees. Between July and August of 2002, 1,351 surveys were returned, for an overall response rate of 82.5%. In total, data used in the study were obtained from 1,332 usable survey questionnaires. The final sample consisted of 1,067 male white-collar employees and 240 female white-collar employees. The sample consisted of 12.3 % upper-managers (n=167), 26.9% line-managers (n=364), and 60.5% employees (n=818). Additionally, the sample consisted of the following breakdown by classification: technology 51.6% (n=697), management 26.8% (n=362), and business 20.2 (n=273).

Instrument

Based on the reviewed literature, researchers developed a survey questionnaire, entitled the "Career Development Need Assessment Survey." The instrument was a paper-pencil questionnaire. A five-point Likert-type scale was selected for the items with a range from 1 (strongly no need) to 5 (strongly need). The selected-response items were constructed for requesting the demographic information of the participants. Four experts in the field of human resource development and career development were asked to evaluate the content validation of the survey questionnaire. Seven middle managers with more than 10 years' working experience in the TPC, representing the different departments in the company, were asked to review the content of the questionnaire. The preliminary 33-item questionnaire was pilot tested on 36 employees in the company. Revisions were made based on comments and suggestions from the employees in the company who had administered the questionnaire. The final survey questionnaire contained 33 items with the scale combining two subscales measuring the degree of the needs of the career development interventions toward the respondent's present position and future position. In the questionnaire, the 33 items are the 33 career development interventions that were taken from prior relevant studies (Russell, 1991; Leibowitz, Farren, & Kaye, 1986, & Hoffman 1997).

Data Analysis

The study was designed to investigate the underlying constructs of the 33 career development interventions and the differences in the patterns of factor formation among present and future positions in regard to the employee's career development needs toward the 33 interventions. To detect possible differences in the patterns of factor formation among the present and future needs of career development intervention in the first two subscales, a separate factor analysis was performed for the two subscales.

According to Walsh and Beze (2001), factor analysis is used to investigate the underlying structure or basic dimensions of a set of variables, to reduce a set of variables to a smaller one, and to provide evidence to support the construct validity of a measuring instrument. Hence, the responses on all 33 career development interventions were subjected to factor analysis to assess which items were intercorrelated, to establish their internal reliability, to explore the underlying structure in the needs for the 33 items, and to reduce the set of variables in order to simplify further data analysis in the study. The items for both subscales were analyzed using principle component analysis. Factors with eigenvalues greater than 1.0 were retained. The initial factors were rotated with a Varimax procedure for interpretation. The items loading criterion of .30 was used to select which items were interpretable (Gorsuch, 1983, & Tinsley & Tinsley, 1987). Factors that emerged were tested with an Alpha Internal Consistency estimate using the Cronbach Alpha.

Limitation

The study was limited by the disadvantages of questionnaire surveys. The questionnaire survey makes little provision for free expression of unanticipated responses (Steadham, 1980). Besides, this research is limited to the study of a power company in Taiwan; hence, the results may not generalize to other kinds of organizations.

Results and Discussions

Factor Identification in Regard to Employees' Career Development Needs for Present Positions and Future Positions

The alpha coefficients of the two subscales in the first scale were 0.93 and 0.94, respectively. Synthesized versions of the items included in each factor, item loadings, and factor reliabilities are presented in Table 1 and Table 2.

The six factors accounted for approximately 55 percent of the total variance for present positions and 55% of the total variance for future positions. The factor titles were assigned by the researcher based upon the content of the items and with reference to prior relevant research (Hoffman, 1997; Russell, 1991; & Leibowitz, Farren, & Kaye, 1986).

Alpha internal consistency estimates were generated for each factor, using the Cronbach's Alpha. The number of items per factor, and the alpha estimate for each factor are also demonstrated in Table 1 and Table 2.

Discussion

Factor I (Career Information, Resources, and Assessment Programs) was found to be important by previous researchers. Seven of the nine career interventions in Factor I are the same items as the first factor reported in Hoffman's factor analytical study of employees' perceived obligations for career development in the United States. The factor indicated the internal labor market information/placement exchange opportunities in the company (e.g. career ladders, a career resource center, career counseling, and a job posting system). In addition, the career planning workshop, career workbook, assessment centers, and psychological testing were identified as self-directed activities for individual self-assessment in order to allow employees to undertake the career development process in accordance with their own needs and desires, and as methods to assess and offer valuable information for organizations about employee career development (Gutteridge, 1986; Russell, 1991; Hoffman, 1997; & Leibowitz, Farren, & Kay, 1986). The programs related to career information and assessment in the first factor accounted for the most variance (nearly 15%), indicating employees' needs for more information and resources regarding career development, as well as an interest in self-assessment for knowing more about their career interests and attitudes. This may reflect the fact that the company did not provide developmental programs, which directly related to career development and information. Thus, Factor I was named "Career Information, Resources, and Assessment."

In a study of 926 employees from a manufacturing firm, Rothenbach (1982) indicated that employees who vary in demographic background have different career interests, and that organizational career programs need to meet the needs of their various employee groups. Factor II (Career Programs for Special Target Groups) reflects this point by representing the career development interventions that are designed for the specific groups or employees at specific career stages in the organization, such as preretired workers and older workers (preretirement counseling workshops, workshops on older worker issues, and incentives for early retirement); terminated employees (outplacement programs); supervisors (career counseling training); and women and minority employees. Career programs for special target groups accounted for the second most dominant variance, and suggest the attached importance of the needs for specific groups in the company.

Table 1. Item Number, Item Stem, Factor Loading, and Reliability for Career Needs of Present Position.

Item Number	Item Stem	Loading	Reliability
Factor I: Career Information, Resource, and Assessment (14.54)*			.87
3	Voluntary career planning workshops	.74	
6	Specific career ladders	.74	
2	Career workbooks	.73	
4	Individualized career counseling	.72	
7	A career resource center	.62	
10	Psychological testing for vocational interests and work attitudes	.52	
9	Assessment centers	.50	
8	A job posting system	.47	
18	Midcareer development programs	.46	
Factor II: Career Programs for Special Target Groups (11.76)			.84
20	Preretirement counseling workshops	.77	
19	Workshops on older worker issues	.71	
25	Outplacement programs for terminated employees	.69	
21	Incentives for early retirement	.66	
24	Career counseling training for supervisors	.61	
26	Special programs for women and minorities	.57	
Factor III: Programs to Assist Employed Spouses and Parents (9.18)			.78
29	Dependent care services	.77	
28	Paid and unpaid parental leave	.76	
30	Job-sharing programs	.51	
31	Work-family programs	.47	
22	Flexible work schedules	.47	
27	Policies that are designed to better accommodate the needs of dual-career couples	.45	
Factor IV: Programs for Development and Professional Growth (7.98)			.75
15	Mentoring programs	.61	
13	Job rotation programs	.59	
14	Tuition refund programs	.57	
5	Skills inventories	.48	
16	Realistic job previews	.46	
1	Training to perform the current job	.45	
23	Special development programs for “fast track” or “high-potential” employees	.38	
Factor V: Programs for Potential Assessment Process (7.56)			.70
11	Promotability forecasts	.63	
12	Succession planning	.55	
32	Future forums	.46	
33	Career advisers or functional representatives	.41	
Factor VI: Downward Moves for Employees (3.50)			
17	Downward moves for employees	.79	

* Percentage of total variance accounted for appears in parentheses.

Factor III (Programs to Assist Employed Spouses and Parents) involves a strong association with work and family initiatives, and addresses the needs of employed spouses and parents, including dependent care services, paid and unpaid leave, job-sharing programs, work-family programs, flexible work arrangements, and policies for the needs of dual-career couples. This factor is consistent with Russell's (1991) categories for organizational career development interventions to assist employed spouses and parents, and it is the fourth factor reported by Hoffman's factor analytical study.

Factor IV (Career Programs for Professional Development and Growth) mostly related to the career programs that assist employees in developing and improving their job skills and performances. According to Russell's (1991) and Gutteridge's (1986) perspectives, the developmental program included mentoring programs, job rotation programs, tuition refund programs, and internal training programs. Developmental programs comprise skills assessment and the different kinds of training programs needed in order to provide opportunities for professional growth and development and prepare for future positions.

Factor V contains the career development programs associated with potential assessment processes for assessing employees' career potential (Gutteridge, 1986, & Gutteridge, Leibowitz, & Shore, 1993). Promotability forecasts and succession planning both involve providing developmental activities for high-potential individuals in order to groom them for higher positions or to determine several backups for senior positions. Future forums and career advisers or functional representatives should respond to the employees' needs for current and future career development opportunities outside and within the organization (Leibowitz, Farren, & Kaye, 1986). Factor V was named “Programs for Potential Assessment Process.”

Table 2. Item Number, Item Stem, Factor Loading, and Reliability for Career Needs of Future Position.

Item Number	Item Stem	Loading	Reliability
Factor I: Career Information, Resource, and assessment (14.65)*			.87
3	Voluntary career planning workshops	.77	
2	Career workbooks	.73	
4	Individualized career counseling	.71	
6	Specific career ladders	.70	
1	Training to perform the current job	.60	
7	A career resource center	.59	
8	A job posting system	.55	
18	Midcareer development programs	.47	
Factor II: Career Programs for Special Target Groups (9.66)			.78
20	Preretirement counseling workshops	.69	
19	Workshops on older worker issues	.63	
25	Outplacement programs for terminated employees	.62	
26	Special programs for women and minorities	.56	
21	Incentives for early retirement	.55	
24	Career counseling training for supervisors	.51	
Factor III: Programs for Development and Professional Growth (9.13)			.80
13	Job rotation programs	.68	
15	Mentoring programs	.60	
12	Succession planning	.56	
14	Tuition refund programs	.48	
16	Realistic job previews	.47	
5	Skills inventories	.47	
23	Special development programs for "fast track" or "high-potential" employees	.41	
Factor IV: Programs for Potential Assessment Process (9.08)			.83
11	Promotability forecasts	.55	
32	Future forums	.55	
10	Psychological testing for vocational interests and work attitudes	.54	
33	Career advisers or functional representatives	.53	
9	Assessment centers	.53	
31	Work-family programs	.51	
Factor V: Programs to Assist Employed Spouses and Parents (8.91)			.74
29	Dependent care services	.79	
28	Paid and unpaid parental leave	.78	
22	Flexible work schedules	.49	
30	Job-sharing programs	.49	
31	Policies that are designed to better accommodate the needs of dual-career couples	.46	
Factor VI: Downward Moves for Employees (3.50)			
17	Downward moves for employees	.83	

* Percentage of total variance accounted for appears in parentheses.

Factor VI consists of only one career development program—downward moves for employees. There are three reasons for retaining this factor. Although it only accounted for 3.5% of the variance, the Eigenvalue was greater than 1.0, and the factor loading was 0.79. This program is the only intervention which makes a negative result for employees' benefits, although it presents to replace the possibility of laying off employees and the policy of organizational streamlining. In addition, the program could be partly explained by the employees' concerns about the recent economic recession in Taiwan and privatization policies in the organization.

The Comparison of Career Development Needs for Present and Future Positions

The comparison of the results of factor analysis for present position needs and future position needs points to a different pattern of factor information for employees' present needs and future needs for career development interventions.

The items contained in the first and second factors toward the future needs of career development programs are identical with the results of the present career needs, except for Item 1—training to perform the current job—which emerged in the first factor of the future career needs. Hence, Factor I (Career Information, Resources, and Assessment) and Factor II (Career Programs for Special Target Groups) are stable in the results of the two factor analyses, and indicate that they are the most important factors for employees' consideration of career development needs in regard to present and future positions. However, Item 1—training to perform the current job—which showed in the fourth factor in present career needs, jumped to the first factor in regard to future position needs and appeal with an increased loading at the same time.

Factor III in the future career needs was found to be Programs for Development and Professional Growth, which was identified as Factor IV in the present career needs. The result could be explained in that the developmental needs are perceived to be more important in the future position than in the present. This may reflect that employees consider professional development to be important in order to meet the needs for future positions.

Factor IV, Programs Related to the Potential Assessment Process, presented in the factor analysis with regard to the future career needs, was different from the present career needs. Two items, psychological testing and assessment centers, moved from Factor I in present career needs to Factor IV in future career needs. The result corresponds with Gutteridge's (1986) categorization about the career development programs for potential assessment processes. The assessment centers can be used to evaluate the capability of employees to assume managerial responsibilities at higher levels, while the psychological testing can serve as an important technique for executive selection.

The factor related to assisting employed spouses and parents was downward-moved to the fifth factor in future career position needs. This may imply that the need for balancing work and family issues will decrease in future positions.

The program of downward moves for employees presented to be the last factor and consisted of only one component for both present and future career needs. This finding may reveal that employee's concerns about the organization's restructure and the current economic recession in Taiwan will have an impact on their present and future career development.

Conclusions

As mentioned earlier, the design of the career development program must be directly linked back to the specific needs of the target group or to the problems within an organization. The study identified the factors underlying the organizational career development programs toward the employees' career development needs for present and future positions. Most findings can be supported from relevant studies (Gutteridge, 1986; Gutteridge, Leibowitz, & Shore, 1993; Hoffman, 1997; Leibowitz, Farren, & Kaye, 1986; & Rothenbach 1982). The results of the study suggest that a more comprehensive career development program to meet employees' present and future career needs is necessary. The organizational development system needs to be inspected frequently in order to meet employees' career development needs. It also suggests that the TPC can give more weight to the programs related to career information, resources, and assessment, and the needs for specific target groups, like older employees, female employees, and supervisors, which cannot be neglected when designing career development programs.

The specific needs within the different job roles and job functions of employees should be investigated in order to customize career development programs. It is suggested that a comparison of employees' career development needs among other similar scale public sectors and private sectors could be made to identify if the employees' career needs can be explained by other factors.

The study demonstrated different career needs patterns in terms of employees' present and future positions. HRD professionals can apply this framework to design more comprehensive career development programs. The study also established a needs assessment framework that HRD practitioners can use to conduct needs assessment for career development programs in similar organizations.

Additionally, organizational career development researchers (Russell, 1991; Gutteridge, 1986; & Leibowitz, Farren, Kaye 1986) categorized the career development interventions by their own logics. Hence, the investigation can contribute to a more valid and reliable construct underlying the organizational career development which is viewed as one of significant function of HRD.

References

- Altschuld, J. W. & Witkin, B. R. (2000). *From needs assessment to action: Transforming needs into solution strategies*. Thousand Oaks, CA: Sage Publications.
- Beach, D. S. (1980). *Personnel: the management of people at work* (4th ed.). NY: Macmillan Publishing Co., Inc.
- Chang, C. L. (1999). *A study in employee's career planning, education, training and performance in publicly-owned organizations—giving an example of Taipower Company*. Unpublished master's thesis, Department of Business Administration, National Cheng Kung University, Tainan, Taiwan.
- Gilley, J. W. (1997). Career development: The linkage between training and organizational development. *Performance Improvement Quarterly*, 10(1), 214-225.
- Gutteridge, T. G. (1986). Organizational career development systems: The state of the practice. In D. T. Hall & Associates (Eds.). *Career Development in Organizations* (pp. 50-94). San Francisco, CA: Jossey-Bass Inc.

- Gutteridge, T. G., Leibowitz, Z. B., & Shore, J. E. (1993). *Organizational career development*. San Francisco, CA: Jossey-Bass Inc.
- Hammond, M. S. (2001). Career centers and needs assessments: Getting the information you need to increase your success. *Journal of Career Development*, 27(3), 187-197.
- Hoffman, R. R. (1997). *Perceived obligations for career development: A comparison of responses of individuals who differ in managerial status and locus of control beliefs*. Unpublished doctoral dissertation, the George Washington University, Washington, DC.
- Kaufman, R., & Triner, D. (1996). Planning and conducting needs assessment: A practical guide. *Human Resource Development Quarterly*, 7(4), 384-387.
- Leibowitz, Z. B., Farren, C., & Kaye, B. L. (1985). The 12-fold path to CD enlightenment. *Training and Development Journal*, 39(4), 28-32.
- Leibowitz, Z. B., Farren, C., & Kaye, B. L. (1986). *Designing career development systems*. San Francisco, CA: Jossey-Bass Inc.
- Leibowitz, Z. B., & Schlossberg, N. (1981). Designing career development programs in organizations: A systems approach. In D. H. Montross, & C. J. Shinkman (Eds.), *Career development in the 1980's: Theory and practice* (pp. 277-291). Springfield, Ill.: C.C. Thomas.
- Leigh, D., Watkins, R., Platt, W. A., & Kaufman, R. (2000). Alternative models of needs assessment: Selecting the right one for your organization. *Human Resource Development Quarterly*, 11(1), 87-93.
- Lin, D. H. (1998). *The analysis of influence factors of the career plateau and career satisfaction of the employees of Department of Nuclear and Fossil Power Projects of Taiwan Power Company*. Unpublished master's thesis, College of Management, National Chiao Tung University, Taipei, Taiwan.
- Rothenbach, W. F. (1982). Career development: Ask your employees for their opinions. *Personnel Administrator*, 27(11), 43-46.
- Russell, J. E. A. (1991). Invited contribution: Career development interventions in organizations. *Journal of Vocational Behavior*, 38, 237-287.
- Shafiee, S. R. (1994). *An exploratory factor analytical assessment of community college students' attitudes toward technology*. Unpublished doctoral dissertation, Texas A & M University, College Station, Texas.
- Steadham, S. V. (1980). Learning to select a needs assessment strategy. *Training and Development Journal*, Jan. 1980, 56-61.
- Tinsley, H. A., & Tinsley, D. J. (1987). Use of factor analysis in counseling psychology research. *Journal of Counseling Psychology*, 34(4), 414-424.
- Tsay, S. W. (2001). *A study of the relationships among personal characteristics, career perception and organizational commitment (according to the staff of Taiwan Power Company)*. Unpublished master's thesis, College of Management, National Chiao Tung University, Taipei, Taiwan.
- Walker, J. W., & Gutteridge, T. G. (1979). *Career planning practices*. NY: American Management Association.
- Walsh, W. B., & Betz, N. E. (2001). *Tests and assessment* (4th ed.). Upper Saddle River, NJ: Prentice Hall.

National Human Resource Development in the People's Republic of China

*Baiyin Yang
University of Minnesota*

*De Zhang
Mian Zhang
Tsinghua University*

The People's Republic of China (PRC) faces unique challenges and opportunities in developing its tremendous human resources. Since its policy of "reform and open-door" initiated in late 1970s, China has taken a steady move in establishing a nation wide policy of developing human resources and adopting practical measures of implementation. This paper identifies key themes of developing human resources as a national policy and effective measures.

Keywords: Human Talent Development, National Policy, P. R. China

Human resource development (HRD) has been traditionally viewed as a process of training and development for the purpose of organizational performance. In North America, HRD has been regarded as organized training and development efforts for the purpose of improving individual and organizational effectiveness. A widely used definition is: "HRD is a process for developing and unleashing human expertise through organization development and personnel training and development for the purpose of improving performance" (Swanson & Holton, 2001, p. 4). However, McLean and McLean (2001) observed that definitions of HRD around the globe have been determined by contextual factors even though the most common definitions of HRD in the USA have influenced definitions around the world. It has been pointed out that HRD professionals in various countries have different tasks for their work and diverse perceptions of what they should do. Consequently, it is crucial to identify social and cultural contexts that shape the conceptualization of HRD across different nations. Furthermore, HRD conceptualizations in developing countries are normally not well represented in the English literature. Given the increasing presence of globalization and steady impacts of HRD in global economy, it is important to recognize those conceptualizations of HRD from the perspectives of developing countries.

While the dominant US approach to HRD focuses on the organizational outcomes such as performance and growth, HRD has been perceived to have implications not only for organizations, but also for individuals and nations as well in many Asian countries (McLean & McLean, 2001). HRD theory and practice in the US has been built on a market-oriented economic system and individualistic culture (Yang & Zhang, 2003). On the contrast, the People's Republic of China (PRC) is a country with a strong collectivist cultural tradition and is experiencing economic transition from central-planning system to a market orientation. Therefore, an examination of HRD as a national policy and its role in national economic revitalization in China will reveal valuable insights of social and cultural determinants for HRD scholars and practitioners.

During recent years, most of industrialized countries have been struggling to get economic recovery and China has experienced a steady growth. Compared with two decades ago when the economic reformed started, China's economic growth has witnessed remarkable changes from economic aggregate, growth rate and the mechanism, industries, markets and concepts supporting them. One International Monetary Fund (IMF) expert predicted that China's economy could achieve an eight to ten percent growth rate in a quite long period of time (Anonymous, 2003). Given the current success of economic revitalization in China, there are many research questions worth exploring for a better understanding of HRD policy and its role in a developing country, such as how national HRD policy in China has been formed, what the major social and cultural factors are that determined the formation of HRD policy and strategy in China, what the HRD issues and challenges faced by a developing country are, and what the Chinese characteristics of national HRD policy and strategy are.

The purpose of this paper is to identify strategies of developing human resources at the national level. Specifically, this paper intends to address the following questions:

1. What is the indigenous concept of HRD in China?
2. What are the key issues and challenges face by China in developing its vast human resources as a developing country?
3. What are the main features of national HRD policy and strategy in China?

Copyright © 2004 Baiyin Yang, De Zhang, & Mian Zhang

Chinese Definitions of HRD

The concept of human resource development is relatively new in the P. R. China (Yan & McLean, 1997). There was no concept of human resource before China opened its door to the Western world. It was introduced to China after it has opened door to the world when the “reform and open-door” policy was initiated by Deng Xiaoping. In 1978, Deng launched the reform and decentralized economic decision-making. The reform has moved the economy from a sluggish Soviet-style centrally planned economy to a more market-oriented economy. Consequently, many Western concepts of management such HRD and HRM are brought in and they are coexisting with some old terms. In fact, while the majority of newly created organizations such as private owned enterprises, joint ventures and foreign investment firms tend to use the new term of human resource (HR), most governmental agencies, the ruling communist party and its local organizations, and state-owned-enterprises (SOEs) are keeping old terms (i.e., personnel). Although economic reform has progressed to a great extend as indicated by the fact that the proportion of SOE output has been reduced from three quarters to less than one-third in twenty years, no significant change has been implemented in China’s political structure and dominant ideology. Yang (2002) contended that the contemporary management theories and organizational behaviors in the P. R. China should be understood as conflicts and convergences of three ideologies and cultural values—Confucianism, Socialism, and Capitalism. It is posited that three cultures emphasized different aspects in HRD. First of all, Confucianism emphasized social harmony. The traditional scholarly works places a heavy emphasis on personnel management and utilization. Secondly, socialism emphasizes the development of individual morality and loyalty to the party and its ideology. Lastly, capitalism ideology and managerial practice recognize the role of training and development for the purpose of individual growth and organizational performance.

The socialist concept of human resource tends to remain a strong influential force in the P. R. China. Such ideology and implied managerial approach to human resource resides on its core concept that regards individuals as bolts and nuts of a big machine. It assumes that all of social members are working toward a collective vision, i.e., communism. As a result, division of the labor and working roles and tasks are rigidly designed and assigned by a bureaucratic system with a top-down approach. While the orthodox socialist ideology is gradually fading, many socialist characteristics of human resource practice can still be observed in governmental agencies and SOEs. For example, human resource functions have been divided among three agencies at the government level. One type of agency is called “Organization Department” that exists in all levels of the Communist Party of China (CPC). This agency is in charge of leadership selection, training, promotion, evaluation, and disciplinary actions not only for leaders of its own party and various levels of government agencies but also for managerial personnel in medium to large size SOEs. It has its own system of training and development such as education division and party school virtually at all levels from central government to local counties. The second type of government agency is called “Ministry of Personnel” in central government or “Bureau of Personnel” in the provincial, municipal, and lower levels. This system takes care of human resource functions for professional employees with high education attainment of governmental agencies and SOEs. The third type of government agency is called “Ministry of Labor and Social Security” in central government or “Bureau of Labor and Social Security” at the provincial, municipal, and lower levels. This system is responsible for human resource functions for workers in governmental agencies and SOEs. Its functions include labor employment, unemployment security, vocational training, labor relation, and workplace safety. In sum, the socialist approach to human resource is to build a clear manpower system and to prepare individuals work for a collective vision. Even though the HR role of such approach has been crippled within a context of a fast increasing economy of non-SOE sector, the socialist ideology and its implied managerial practices tend to be evident and will probably continue to exert its influence in the future. Neither HRD nor HRM is a suitable term for the CPC and governmental agencies. Instead, three types of agencies have been created and are still operating in a relatively independent way corresponding to three types of human resources—cadre, personnel, and labor.

The traditional or Confucian concept of human resource is the second most influential force in the P. R. China. China has more than 5,000-years history of recorded civilization and its strong identity. Consequently, traditional thoughts and scholarly works continue to have strong influences on today’s managerial theory and practice. For example, even though HR and HRD are foreign concepts introduced after the “open-door” policy, Chinese has similar terms that describe the development of individual knowledge and expertise. Traditionally, human talent (i.e., “ren-cai” in Chinese) and human asset (i.e., “ren-cai”) this term has the same pronunciation as the previous one in Chinese, but means asset) have been widely used. In Chinese, both human talent and human asset have social implications. Individuals who hold certain talents or expertise but with less social responsibility are not regarded as human talent or asset. Yang and Zhang (2003) identified two dimensions of the traditional Chinese concept of human resource that denote the qualities of an individual: “de” (i.e., “morality”) and “cai” (i.e., “competence”).

Under the traditional perspective, human talent and human asset only include two types of individuals: (1) those called “*sheng-ren*” (i.e., “wise person”) who possesses both strong morality and talent, and (2) those called “*xian-ren*” (i.e., “person with virtue”) who shows strong morality but probably less competence. Those who possess certain ability or expertise but hold poor personal integrity is normally regarded as “*xiao-ren*” (i.e., “mean person” or “villain”). They are not regarded as human talent or human asset, and they are treated as the last choice in personnel selection and utilization after “*yong-ren*” (i.e., “mediocre person”) who is low in both competence and morality. After launching economic reform, Deng Xiaoping proposed four criterions for selecting and promoting cadres: revolution (morality), youth, knowledge, and professionalization. Contrary to the orthodox socialist approach which placed a heavy emphasis on the loyalty to the party (i.e., revolution), the new criterions regress to the traditional approach that emphasizes the balance between individual morality and competence. If the orthodox socialist ideology can be viewed as having a vision of egalitarian equity that eliminates differences among social classes, and economic development needs a social system that recognizes the individual differences in competence and contribution, then Deng’s new approach can be viewed as a measure of balancing equity and equality, economic development and social disparate. Therefore, the traditional Chinese vision of social harmony is evident in the new reform policy.

The Western or capitalist concept of human resource is the third major influential force in the P. R. China. The influence of the capitalist concept of human resource is evident in those private firms, joint ventures, and firms fully owned by foreign investors. This influence can also be observed in the curriculum of management education programs such MBA and EMBA education. These educational programs have normally copied the models in the Western universities, particularly from the US. Most of the newly created organizations begin to use the term of human recourse instead of traditional term—personnel. Related university courses have been changed from Personnel Management/Administration to Human Resource Management. Yan and McLean (1997) observed that “[i]n many ways, there is no distinction at present between HR, HRD, and personnel” (cited in McLean & McLean, 2001, p. 316). Also, there is no clearly distinction between HRD and HRM in university curriculum. Training and development has been incorporated as one function of the whole HR activities. Few texts have been published that combined HRD with HRM. For example, in one of the most popular MBA texts designated for management education, Zhang (2001) defined:

Human resource development and management refers to the utilization of scientific method; implementation of adequate training, organizing, and staffing for those human resources combined with certain physical resources; guidance, control and coordination of human thoughts, mentality and behavior; fully unleashing of human motivation; for the purpose of fully utilizing individual potential, tasks with adequate individual, and ultimately the appropriate combination of human and tasks. The overall task of human resource development and management is to realize organization’s objectives (p. 4).

This definition tends to have combined the Western managerial philosophy with the Chinese one. Some characteristics can be observed. First of all, it emphasizes on the ultimate objectives of organizations. Although it does not identify productivity or performance as the sole objective for organizations, this definition recognizes organizations as open systems. Second, this definition incorporates the traditional Chinese harmony approach that calls for balance between human and physical resources, individuals and tasks, organization and society. Third, the Western influence is evident in this definition as it assumes the best approach to HRD and HRM is through applying scientific methods.

Perhaps one Chinese concept closely related to HRD is human talent development (i.e., “*ren-cai-kai-fa*” in Chinese). Human talent development emerged in late 1970s and early 1980s after the reform and open-door had started. In fact, there is a growing field called human talent study that focuses on the characteristics of individual growth and development. Luo (2003) identified several differences between the concepts of human talent study and HRD. First, these two concepts evolved in different contexts. While HRD concept evolved in 1960s in an industrialized country, USA, human talent study started in late 1970s in China as a response to increasing demand of human talent due to the change from the orthodox ideology of class struggling to a pragmatic economic reform. China’s then leader Deng Xiaoping (1977) pointed out that “Modernization cannot be realized though unrealistic talk, it needs knowledge and human talent. There is no way to develop without knowledge and human talent” (p. 40). This is perhaps the earliest statement of human talent. Consequently, a field of study on human talent has been gradually developed. Second, the two fields have different studying focuses. While HRD focuses on developing workforces with certain skills, human talent emphasizes on human talent growth and development. From this perspective, HRD covers broader contexts than human talent study. Third, the two fields have different studying

targets. HRD grew in the context of enterprise and thus mainly focuses on employed workforces, whereas human talent study emphasizes on educating those who have not developed to talent level and on advancing those talents to higher levels. Fourth, HRD and human talent study have different theoretical foundations. Human talent study has two main theoretical foundations, human talent development and human talent utilization. HRD has a heavy emphasis on economic side of human resource and holds an investment perspective of human resource.

Although HRD concept tends to be different from an indigenous Chinese discipline of human talent study, these two fields share several characteristics (Luo, 2003). First of all, they share the same purpose of developing the quality of workforce, unleashing human potential, realizing maximum utility values, and subsequently creating more social wealth through the means of development. Secondly, both HRD and human talent development emphasize on the means of development. The essence of such development is transforming human potential quality to explicit quality and competency through various development means. Lastly, both of the fields share the same internal and external factors that determine the development. The author listed four major determining factors: individual quality and competency (internal factor), education, environment, and practice (external factors). In sum, the notion of human talent development is the closest indigenous concept in China that evolved as a response to the needs of rapid economic development and it focuses on the development high quality workforce.

Issues and Challenges

Many issues of human resource development in the P. R. China appear to be attributed to historical and developmental factors. Zhang (1999) analyzed these issues from both macro and micro perspectives. At the macro level, HRD in China faces four major issues. First, SOEs and government agencies face a serious issue of brain-drain. Strong HR competition comes from private enterprises, joint ventures, and multinational companies that normally can offer higher compensation. Like many developing countries, China is facing a serious issue of brain-drain. While there is a huge shortage of high tech professionals and qualified management personnel with global perspectives, many Chinese students who achievement advanced degrees in science and engineering choose to stay in the host countries. For example, one report by the National Science Foundation (NSF) revealed that there were 16,550 Chinese students who obtained doctoral degrees in science and engineering (S&E) fields at the US universities from 1988 to 1996 (Johnson, 2001). During this period, Chinese students earned 7.5% of all S&E doctorates in US universities. However, the same report also suggested that 85% of Chinese doctoral recipients planned to remain in the US for employment. The report concluded that China contributed significantly to US scientific personnel. In the domestic market, attracting and retaining capable human resources have become key pressures for enterprises (Benson & Zhu, 2002). Second, higher education system tends to be behind the reform process and cannot meet the changing demand of the market. Xie and Wu (2001) noticed that there is no special fund for technician schools and that they have to depend on the unstable non-business income to operate. Third, there is a serious imbalance of demand and supply in human resource market. While there are increasing demands for hi-tech professionals and quality management, China has abundant supply of relatively low skill level workforces. Fourth, a human resource market system has not yet been established. For example, some traditional personnel measures created under the central planning economy tend to constrain workforce mobility and creativity.

Zhang (1999) maintained that there are five major HRD issues at the micro level. The first issue is low investment in human resource and low return rate. A survey revealed that less than 5% of enterprises have invested more on employee training and development than the previous years. The second major issue comes from the fact of the large population with a considerable amount of annual increase. In China, the imbalance between natural/physical resources and human resource will be a continuous challenge for many years to come. The third issue is that the limited employment opportunity has constrained the HRD. It was estimated that there were over 5 million registered unemployed workers, and there were over 22 million spare employees who need reassignment of positions. In the rural areas, there were over 140 million surplus workforces. The fourth issue is the constraint of the traditional industrial structure for developing high quality professionals. Finally, training and development activities are not flexible enough to meet the need of rapid economic development. Cooke's (2000) study in the state-owned railway industry revealed that HRD was on the agenda but much of it hinged on moral teaching.

Zhang, Yang, and Zhang (2002) concluded that the major challenges of HRD for China come from three transitions: (1) from a centrally-planned to a market-oriented economy (i.e., challenge of reform), (2) from a rural and agricultural to an urban and industrialized country (i.e., challenge of development), and (3) from a closely self-contained society to an active participant in the global economy (challenge of globalization).

Emerging Themes of HRD as National Policy and Strategy

Even though HRD is a relatively new concept in the P. R. China, systematic and coordinated efforts in developing and unleashing workforce at the national level have always been the emphasis since the CPC came to the power in 1949. Benson and Zhu (2002) noticed that HRD policies in China have changed over time in an attempt to improve the skills of the entire population. They observed that in the 1950s and 1960s, compulsory primary education and improving the literacy rate were the key HRD policies. During the ten years chaos of the Cultural Revolution from 1966 to 1976, formal educational system experienced serious setbacks. Since the economic reform and modernization was launched in late 1970s, the Chinese government paid particular attention to education, science, and technology. Improving national skill level has become a national strategy integrated with China's overall strategy in economic development and modernization.

Using human talent development and human resource development interchangeably, HRD as national policy and strategy have emerged in recently years. Consensus seems to be established that HRD is one of the vital factors promoting economic development and societal progress (Chen, 2000). There is a growing consensus among Chinese leaders, scholars and business executives that the only competitive advantage that China has is its human resources. China has to be integrated into world's economic activity. In the 8th Asia-Pacific Economic Cooperation (APEC) meeting in Brunei, then-president Jiang Zemin of the P. R. China initiated a high level meeting on human capacity building. As a result, Beijing hosted an APEC conference on human capacity building (Beijing Initiative) in 2001. The conference theme was "New Economy, New Strategy: Co-operation and Innovation to Build Human Capacity for Common Prosperity." The purpose was to reach a deeper understanding of the role of human resources in the economic and social development. Jiang outlined Chinese government's position on human resource: "Human is most valuable among all things in the world. Human resource is the number one resource. Human resource is the key for the progress of science and technology, social and economic development" (cited in Li, 2003, p. 8). Jiang (2001) further pointed out five concrete measures of HRD: (1) establishing new perspective of development and strengthening human capacity building; (2) building lifelong learning system and learning society; (3) utilizing new learning technology; (4) promoting innovation and educating new generation; and (5) strengthening international communication and collaboration. In the "Tenth Five-Year Plan" (2001-2005), a special chapter on HRD has been included for the first time in history (Xie & Wu, 2001).

Huo (2003) noticed several perspectives of HRD have been taken by Chinese government and these perspectives have been gradually implemented. First, HRD has been viewed by the government as a key strategic choice. It has been recognized that human resource is not equal to the amount of population. The country must adopt proactive measures to promote HRD and capacity building. This perspective deviates significantly from Mao Zedong's thought and measures of promoting mass human reproduction. Among three major types of resources (i.e., natural, physical/capital, and human resources), human resource holds the most competitive advantage. It has been recognized that human resource is the key for sustainable development. Second, there is recognition of the dialectic relationship between human resource development and physical resource development. Physical resource development provides the foundation of social development; HRD determines the depth and breadth of physical resource development. Third, the main task of HRD at the national level is to promote scientific spirit, innovative spirit and capacity. It has been recognized that HRD must be based upon clear and dynamic strategies which can effectively respond to the rapid changes that are taking place. There is a critical need to set objectives, principles and priorities, and formulate and carry out effective policy measures.

Gui (2003), president of China Human Resource Development Association and a member of central committee of the C. P. C., pointed out that HRD as a national policy has to deal with six relationships: (1) the relation between improving the overall quality of the population and educating professionals; (2) training human talents of both natural and social scientists; (3) utilization of human talents educated domestically and internationally; (4) the relation between moral quality and scientific/cultural quality; (5) the relation between material incentives and institutional policies that promote innovative environment; and (6) the relation between higher education and lifelong learning systems. Wen (2000), an official from the Planning Bureau of the Ministry of Personnel, outlined three main trends of policy making of HRD from a macro perspective. The first policy is to expand the overall supply for human resources. It has been noticed that although China has the largest population in the world, the overall quality of the population in terms of formal education is far behind those economically developed nations. For example, Shanghai is one of the most developed areas in China and yet its proportion of residents with higher education is about the level of countries like Japan and Canada early 1980s. Therefore, it is necessary to take all measures of education and training to improve the proportion of human talents in the overall population. The second policy is to adjust industrial sections and strengthen human resource structure accordingly. The policy calls for the

improvement of HRD in key industries and the promotion of HRD in hi-tech sectors. The third policy is to speed up the HRD emphasis on educating professionals, especially talents of science and technology.

Wen (2000) identified three levels of HRD as a national strategy. The first level is reserve HRD starting from elementary, secondary school system to higher education that focuses on educating innovative capacity and overall quality for the citizens. The second level is general HRD that focuses on the resolution of current key issue of employment and re-employment. Strategies on this level are implemented along with the economic reforms, including the promotion of employment in service sector along with the adjustment of industrial structure, support for laid-off workers from the SOEs, strengthening of social security system, and guide of human resource transfer from rural areas. The third one consists of high level HRD measures to ensure sustainable concentrated development.

Chen and Zhang (2003) outlined a strategic plan of education and HRD during the first half of the 21st century. The overall goal is to catch up with developed countries within 50 years in many indicators. They proposed three stages for China to catch up and finally exceed the developed countries. Table 1 presents their proposed stages and several selected indicators of economic, education and human resource development. Stage one is projected from 2001 to 2010; and the main objective for this stage is to establish a foundation for sustainable development. The main task for education and HRD is to catch up with those semi-developed countries. This stage of development is comparable to the period of 1900-1950 in the US where its average workforce education was raised from 8 to 9 years. The second stage is from 2011 to 2020 and the main objective is to catch up with those developed nations in education and HRD. This stage of development is comparable to the period of 1950-1970 in the US where its average workforce education was raised from 9 to 12 years. The third stage is from 2020 to 2050 and the main objective is to catch up and surpass those developed countries. This stage of development is comparable to the period of 1970-1995 in the US where its average workforce education raised from 12 to 13 and plus.

Table 1. *China's Long-Term Strategic Objectives of Economic, Education and Human Resource Development*

Year	Economic		Education			HRD		
	GDP per capital	9-Year Ed.	HS Att. Rate	Higher Ed. Att. Rate	New Workforce	Overall Workforce	Higher Ed.	
2001	7,000	88.7%	40.7%	13.3%	10.1	7.99	4.66%	
2010	13,000	95.0%	73.0%	23.0%	11.8	9.6	10.54%	
2020	25,000	99.0%	85.0%	40.0%	12.7	11.0	19.30%	
2050	108,000	--	95.0%	55.0%	13.8	13.5	43.98%	

Note: For the succinct purpose, only few representative indicators are selected in this paper. Economic development is indicated by gross domestic product (GDP) in Chinese Yuan Renminbi (RMB). On October 15 of 2003, the exchange rate is: 1 RMB \cong .12 US\$. Education was reflected in three indicators: (1) percentage of 9-year compulsory education, (2) high school attendance rate, and (3) higher education attendance rate. HRD is indicated by the average years of formal education of new workforce and the overall workforce, and the percent of workforce with higher education to the total workforce.

Chinese Characteristics of HRD as National Policy and Strategy

Chinese leader Deng Xiaoping invented a term of "Chinese characteristics of socialist way" to describe the reform direction for the country. The Chinese characteristics are evident in many aspects of HRD as a national policy and strategy for social and economic development.

First, HRD as a national policy and strategy for social and economic development is initiated and implemented with top-down approach from central government to local ones and then to enterprises. Government played a key role in establishing HRD policy and related strategies. Unlike many Western countries where HRD has been normally regarded as activities at the enterprise level and the main force pushing HRD efforts usually comes from the competitive market, HRD has got great attention in China largely due to the strong governmental effort. For example, professor Dong, a renowned human resource scholar in China and director of Human Resource Development and Management Research Center at People's University, suggested that HRM should focus on the internal systems and managerial approaches in the enterprises and that HRD should focus on the external market environment (cited in Zhou, 2001). He maintained that the government has played a strong role in nurturing a human resource market. In order to utilize and develop human resources effectively, the government plays key roles in establishing new market system, eliminating traditional discriminating system, and breaking the old monopoly structure in a number of sectors.

Second, there is a strong emphasis of social implications of HRD. In many Western countries such as the USA, HRD is merely a business activity and largely conducted at the organizational level. In the North America context, there is a debate whether the purpose of HRD is to improve organizational performance (Swanson & Arnold, 1996) or to develop individuals who ultimately contribute to organizational prosperity (Bierema, 1996). Clearly, such debate tends to view HRD as an intervention used for either individual or organizational development. Both arguments of the debate were established on a firm Western individualistic belief that individuals are responsible for their own learning and growth. Rooted in a strong collectivist cultural context, Chinese approach to HRD tends to have strong social and moral implications (Yang & Zhang, 2003).

Third, there is a strong traditional influence of harmony and balanced approach in HRD policy and strategy. Yang and Zhang (2003) pointed out that social harmony was regarded as the ultimate goal in the traditional Chinese society and that preferred managerial approach could be traced back to the Confucianism classic "The Golden Mean." Such approach calls leaders to bring about equilibrium rather than to create disequilibrium. Here equilibrium implies balance not only between human beings and the environment but also among people in a community or society. Gui's (2003) outline of six key relationships of HRD in China is a good example of the harmonious approach to HRD in China.

Conclusions and Discussions

The above analysis of HRD as a national policy in the P. R. China provides valuable information about how the concept of HRD has been transplanted in a developing country. China is among the most successful countries that have experienced or being experiencing transition from a centrally planned economy to a free market economy. China has set an excellent example for many developing countries in terms of economic growth. There is certainly a need to analyze China's experiences and thus to offer valuable lessons and illuminations for those countries with similar social and cultural contexts. China's strategy of human resources development might be considered for adoption in other countries.

This paper contributes to new knowledge of human resource development by focusing on HRD as a national policy and a vital strategy for economic and social development. The paper identifies a number of unique issues and approaches that might be valuable for interested scholars to conduct further study. The Chinese approaches to HRD also might be valuable for those industrialized nations that normally do not have a coherent HRD policy and strategy. Given the increasing impact of global competition, many governments have to deal HRD issues at the national level. Consequently, studies of HRD as national policy and strategy across nations offer much valuable information for both policy-makers and practitioners.

China has its unique social and cultural contexts of HRD and faces unique challenges during the transition from central planning economy to market oriented one. China faces major issues and challenges that result from economic reform, development, and globalization. Unlike those developed countries that have major interest in globalizing their products and services, China has to deal with issues of development and global competition simultaneously. Since the reform was launched in 1978, HRD as national policy and strategy for social and economic development has gradually emerged. The Chinese government has used HRD as crucial strategy to convert its huge population from the status of less educated as a burden to fully developed human resources. The economic success in China during the past twenty years has proved that some strategies and practice are effective and viable for developing countries. We have identified several Chinese characteristics of HRD as national policy and strategy that is firmly rooted in its cultural and social contexts. In sum, the formation and change of human resource strategy in China reflects a reality where a society is experiencing a transition from "life-long employment" to "life-long learning" (Cooke, 200).

References

- Anonymous, (2003, September 03). IMF chief confident of China's economic growth. *People's Daily*. Retrieved September 24, 2003, from <http://english.peopledaily.com.cn>
- Benson, J., & Zhu, Y. (2002). The emerging external labor market and the impact on enterprise's human resource development in China. *Human Resource Development Quarterly*, 13(4), 449-466.
- Bierema, L. L. (1996). Development of the individual leads to more productive workplaces. In R. W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 21-30). San Francisco: Jossey-Bass.
- Chen, G., & Zhang, Z. (2003). Strategic outline for education and human resource development in China during next 50 years. *Studies of Education Development*, 23(supplement No. 1), 29-41. (Chinese)

- Cooke, F. L. (2000). Manpower restructuring in the state-owned railway industry of China: The role of the state in human resource strategy. *International Journal of Human Resource Management*, 11(5), 904-924.
- Deng, X. (1977). *Selected works of Deng Xiaoping*. Beijing, China.
- Girvetz, H. K. (1973). *Beyond right and wrong: A study in moral theory*. New York: Free Press.
- Gui, S. (2003). On six relationships of current human resource development. *China Human Resource Development*, 10, 23-24. (Chinese)
- Huo, W. (2003). On Jiang Zemin's thought of human resource development and capacity building. *Journal of Technology College Education*, 22(1), 1-4. (Chinese)
- Jiang, Z. (2001). *Strengthening human resource capacity building, promoting development and prosperity in Asian-Pacific region: Speech at the APEC High Level Meeting on Human Resource capacity Building*. Beijing, China. Retrieved October 1, 2003, from <http://www.chinatraining.net/news/shishi/shishi0516-2.htm>
- Johnson, J. M. (2001). *Human resource contributions to U.S. science and engineering from China*. (NSF 01-311). Washington, DC: National Science Foundation.
- Li, Y. (2003). On the human resource development measures in China. *Journal of Hebei Youth Administrative Cadres College*, 3, 8-9. (Chinese)
- Luo, T. (2003, May). Similarities and differences between human talent study and human resource development and management. *China Talent*, 34-35.
- Marshak, R. J. (1994). Lewin meets Confucius: A re-view of the OD model of change. *Journal of Applied Behavioural Science*, 29(4), 393-415.
- McLean, G. N., & McLean, L. (2001). If we cannot define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- Sun, H. (2002). The relationship between organisational culture and its national culture: A case study. *International Journal of Human Resource Development and Management*, 2(1/2), 78-96.
- Swanson, R. A., & Arnold, D. E. (1996). The purpose of human resource development is to improve organizational performance. In R. W. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 13-20). San Francisco: Jossey-Bass.
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Warner, M. (1992). Management education and training strategies in the People's Republic of China: An Overview. *Human Systems Management*, 11(3), 145-156.
- Warner, M. (1996). Human resources in the People's Republic of China: The 'three systems' reforms. *Human Resource Management Journal*, 6(2), 32-43.
- Wen, H. (2000). Trends and strategies of human resource development in China. *China Human Resource Development*, 4, 35-36.
- Xie, J., & Wu, G. (2001). Training and development in the People's Republic of China. *International Journal of Training and Development*, 5(3), 223-232.
- Yan, B., and McLean, G. N. (1997) Human resource development in the People's Republic of China, In R. J. Torraco (Ed.), *1997 Academy of Human Resource Development conference proceedings* (pp. 120--127). Baton Rouge, LA: Academy of Human Resource Development..
- Yang, B. (2002, May). Cultural conflicts and convergences: Impacts of Confucianism, socialism and capitalism on managerial philosophy and practice in the P. R. China. In *The Fourth International Symposium on Multinational Business Management Proceedings* (pp. 389-413). Nanjing, P. R. China: Nanjing University
- Yang, B., & Zhang, D. (2003). A theoretical comparison of American and Chinese culture and impacts on human resource theory and practice. *International Journal of Human Resource Development and Management*, 3(4), 338-358.
- Zhang, D. (2001). *Human resource development and management* (2nd ed.). 21st Century Tsinghua MBA Series. Beijing, China: Tsinghua University Press.
- Zhang, Y. (1999). On the current status and new thinking of human resource development in China. *Postsecondary Education and Human Resource Development*, 24, 3. (Chinese)
- Zhang, D., Yang, B., & Zhang, Y. (2002, March). Challenges and strategies of developing human resources in the surge of globalization: A Case of the People's Republic of China. In T. M. Egan (Ed.), *2002 Academy of Human Resource Development conference proceedings* (pp. 193-200). Bowling Green, OH: Academy of Human Resource Development.
- Zhou, W. (2001). Two major tasks of human resource development and management in China. *China Human Resource Development*, 1, 13-14. (Chinese)

Leveraging Diversity—Strategic Learning Capabilities for Breakthrough Performance

*Terrence E. Maltbia
Teachers College, Columbia University*

This paper presents a conceptual model that positions strategic learning and leveraging diversity as enablers to organizational effectiveness. The model represents an early integration of results from a Diversity Practitioner study and concepts drawn from the literature on organizational transformation and transformative learning theory. It argues that a parallel process consisting of outside-in work (organizational transformation) and inside-out work (transformative learning) is needed to achieve the performance gains required of organizations during the 21st century.

Keywords: Strategic Learning, Diversity, Transformative Learning

In the closing decade of the twentieth century many observers proclaimed that the only constant in that highly competitive business environment of the 1990s was continuous and rapid change (Galbraith & Lawler, 1993; Nadler, Gerstein & Shaw, 1992). During that same period, a number of interventions (e.g., Total Quality, Reengineering, Supply Chain Integration, Benchmarking, Enterprise Resource Planning, Customer Relationship Management, The Learning Organization and Change Management) were introduced to help business leaders respond to the competitive landscape, while at the same time preparing their organizations for success in the dawn of the twenty-first century (Camp, 1989; Ciampa, 1992; Conner, 1993; Hammer & Champy, 1993; and Senge, 1990). Yet early evidence suggests that the successful implementation of these interventions has been elusive for a majority of companies. For example, a survey of Fortune 1000 companies reported that more than 67 percent of re-engineering projects did not achieve their stated objectives (Fletcher, 1990). Further, insufficient attention to cultural and other human factors is often cited as the rationale for disappointing results. The model described in this paper represents a powerful integration of concepts and approaches designed to address this implementation gap and enhance organizational effectiveness.

Problem and Purpose Statements

As demographic, market and economic trends continue to evolve the complexity of doing business in the emerging global economy has intensified. Companies today are under tremendous pressure to develop the capabilities needed to create adaptive, flexible and highly responsive organizations to cope with dynamic, often turbulent market conditions. These demands place a premium on designing and successfully implementing organizational interventions that ensure the rate of learning at the individual, group and organizational levels, at least match, if not exceed, the rate of change in the external business environment. Scholars, consultants and practitioners from the disciplines of organizational development, organizational learning, adult learning and psychological development have devised theories and related practices designed to help organizations make the transformation needed to prosper, or even survive, in an environment characterized by mergers, acquisitions, global competition, changing workplace and market demographics, and technological innovations. Further, these theories and practices can be categorized into the three areas of transformative learning, organization transformation and working productively with diversity.

While much is known about each of these categories, heretofore each has preceded in a rather fragmented manner both in terms of research and practice (Cross & Israelit, 2000; Henderson, 2002; and Miller & Katz, 2002). This study sought to discover potential connections among these three schools of thought related to personal and organizational change (i.e., organizational transformation, transformative learning and working productively with diversity) based on an extensive review of this literature and previous diversity practitioner research (Maltbia, 2001). Specifically, the purpose of this study was to integrate key elements from these three approaches to change into a comprehensive model with a focus on building strategic learning capabilities to leverage diversity for breakthrough performance. To achieve this aim, the study sought to respond to three core research questions:

1. What is meant by strategic learning capabilities? / How can they be deployed to leverage diversity in pursuit of organizational effectiveness and breakthrough performance?
2. What outcomes, if any, are associated with building strategic learning capabilities?
3. Does the focus on learning vary by strategic learning capability? If so, how?

Copyright © 2004 Terrence E. Maltbia

Methodology and Summary of Case Study Findings

The findings discussed in this paper are based on a descriptive and exploratory qualitative case study. The two primary forms of data collection included: semi-structured interviews and a post-study literature review. The case study included a sample of 20 diversity practitioners located across the United States and selected for their contribution to the emerging theory and practice of diversity initiatives in or for Corporate America. Twelve external practitioners agreed to participate in the study from a potential “expert” sample of 16 individuals who were identified during the literature review on workplace diversity as “thought leaders” from databases (including: A.S.T.D TRAINLIT, ABI and ERIC), resource guides that list diversity consultants and internal practitioners (e.g., The Diversity Directory, Hunt-Scanlon) and conference brochures (e.g., The Society of Human Resource Development’s Annual Diversity Conference, currently the largest in the United States and The Annual Diversity Forum, sponsored by Linkage Inc., a Human Resources consulting firm based in Boston). Further, the sampling approach used to identify the eight internal practitioners emphasized maximum variation to ensure a diverse set of respondent characteristics (Patton, 1990). Criteria for inclusion in the internal sample consisted of a combination of the following factors: (1) referrals from the expert sample; (2) leaders of award-winning diversity initiatives (such as the Opportunity 2000 award winners); (3) practitioners involved in post “class action” lawsuits or other turnaround situations; and/or (4) practitioners who have led, or worked on, diversity initiatives in more than one organization. This combination of external and internal practitioners was chosen because they collectively represented a sample of individuals with current, yet diverse perspectives on pioneering work that is shaping the emerging field of workplace diversity. Such knowledge is not currently available in other sources of information.

The data gathered from the 20 face-to-face case interviews were supplemented by additional data sources including: a review of selected literature (i.e., workplace diversity, learning from experience and critical pedagogy), pre-interview data inventories (participant’s basic demographic data) and case documents (i.e., written materials including books, articles, diversity strategy, program materials. etc.). All case interviews were audio recorded and supported by extensive researcher notes. The interviews ranged from one and a half to three hours in duration. Data were content analyzed by systematically examining all data sources using eight categories designed to reveal the competency development process for this sample of practitioners (i.e., key experiences, Self-Q-questions the respondents would ask if they were conducting the study and their rationale for each questions, definitions of diversity, role expectations, approaches to diversity practice, and the competencies require of the role including knowledge, skills and attributes). The results from this case study: (1) confirmed a three-phase diversity change process found in the literature, (2) generated a catalog of definitions for the term diversity, (3) clarified the general role requirements of diversity practitioners including objectives and related outcomes, (4) listed the key experiences that reflect the competency development process for the practitioners in this sample and (5) presented a preliminary model that included 19 competencies that reflected the lessons learned from the experience of the study respondent’s engaging in this pioneering work (Maltbia, 2001). Importantly, the study revealed important connections between building strategic learning capabilities and leveraging diversity for enhanced organizational performance. This insight has led to this researcher’s interest in exploring and integrating key ideas from two bodies of literature that inform strategic learning (i.e., organizational transformation and transformative learning theory) and that were not examined in the first stage of this emerging research agenda. The preliminary results presented in this paper reflect this expanded insight based on conducting a post study literature review.

Definition and Discussion of Key Terms and Concepts

The terms and concepts presented in this section represent an integration of ideas drawn from the literature on organizational transformation and transformative learning. These two areas provide a foundation for framing strategic learning and leveraging diversity as enablers to organizational effectiveness.

What is Meant by Strategic Learning Capabilities?

Sanchez and Heene (2000) define learning as a “process which changes the state of knowledge of an individual or organization” (p. 26). Accordingly, changes in the state of knowledge can take various forms ranging from adopting a new belief about a causal relationship, modifying an existing belief or abandoning a previously held belief. In addition, the state of knowledge can be characterized at four levels of “mastery” including *reproduction*—or basic recall, *explanation*—or understanding and meaning, *application*—or ability to act on knowledge appropriately and *integration*—or a comprehensive understanding that allows the acquirer to selectively choose to apply knowledge in beneficial ways (Sanchez and Heene, 2000). Further, the process of learning is holistic and made up of *cognitive* (concerned with thinking), *affective* (concerned with feeling and belief structures) and *psychomotor* (concerned with action and doing) dimensions (Bond, Cohen & Walker, 1993, p. 12). This holistic

nature of learning brings focus to the importance of creating learning interventions that engage the “whole person,” that is the head, hand and heart work (Hayles & Mendez-Russell, 1997).

Transformative learning theory, with its theoretical roots in adult learning theory, highlights the importance of understanding the context for learning. That is, to be effective, the form of learning should align with the nature of the challenge or situation. Jack Mezirow, the father of transformative learning theory distinguishes between two forms of learning, *instrumental learning* and *communicative learning*. The former focuses on “learning to control and manipulate the environment or other people, as in task-oriented problem solving to improve performance” while the later focuses on “learning what others mean when they communicate... and often involves feelings, intentions, values and/or moral issues” (Mezirow 2000, p. 8). Combining these two forms of learning with Ron Heifetz and Marty Linsky’s (2002) descriptions of technical and adaptive challenges provide a platform for applying appropriate learning strategies to various situations. Instrument learning and related strategies seem to align with what Heifetz and Linsky call “operational challenges,” where people apply their current repertoire of skills, know-how and/or procedures to the problem or opportunity (p. 14). By contrast, adaptive challenges are not “amenable to authoritative expertise or standard operating procedure” and as such require a form of co-creation that can only be facilitated by more communicative forms of learning and interaction (p. 13). Comparatively, communicative forms of learning and interaction require higher levels of involvement with others and active experimentation to foster new discoveries.

The personal and organizational transformation characteristic of adaptive challenges demand that all involve learn new ways of thinking, acting and being. Transformative learning, with its focus on examining, questioning, validating and revising our perceptions of the world (or mental models) is ideally suited to help individuals and collectives adapt to change in fundamental as well as dramatic ways (Cranton, 1994; Senge 1990). A sample agenda for integrating transformative learning principles into a broader strategic learning framework might include (1) using Merizow’s phases of perspective transformation as a foundation for designing learning interventions, (2) applying Merizow’s guidelines for rationale discourse to approaches designed to develop dialogue skills and enhance interpersonal interaction, (3) devising learning strategies to foster critical thinking and critical reflection to bring in the aspect of learning from experience to the process (Brookfield, 1991, Cranton, 1994) and (4) linking the advocacy and inquiry tools from Action Science to the fore mentioned tools (Argyris, 1993).

Having defined learning, the concept of levels of learning mastery, the three dimensions of learning and two situational forms of learning, we have built a foundation for understanding strategic learning as a particular type of learning and its role in building organizational capability, in short, strategic learning capabilities. Strategic learning is intentional in that it is (1) guided by the strategic objectives of the business and (2) integrated with important business priorities and related initiatives (Cross & Israrlit, 2000). Strategic learning is grounded in the resource-based view of organizations that purports the identification of core competencies and the related tacit and explicit knowledge needed to support such competencies are critical elements of strategy formulation and strategy implementation (Prahala & Hamel, 1990). As a result, we are beginning to understand that organizational capability is a fundamental source of sustainable competitive advantage (Nadler, Shaw and Walton, 1995). From a strategic learning perspective, it is important to understand the relationship between employee capability and organizational capabilities. Ulrich, Zenger and Smallwood (1999) define employee capability as the “knowledge, skill, ability and motives of each individual employee and includes the technical know-how and skills needed to get the work done (or operational work) and social know-how to address adaptive challenges with others (pp. 58-59). Organizations can buy, build and/or rent the employee capabilities needed to execute their business strategy. Organizational capabilities represent the collective skills, abilities and core competencies of the business enterprise as a system and are the result of experience, knowledge, individual capabilities, relationships, structures and importantly shared learning (Nadler, Shaw & Walton, 1995, p. 8). Building on the ideas presented in this section, the meaning of strategic learning capabilities as defined in this paper is presented below:

Intentional and performance driven learning linked to strategy that clearly defines the core competencies necessary for current and future organizational success. Involves identifying critical knowledge and skill areas needed to support organizational core competencies and establishes planning and accountabilities systems that ensure that learning is embedded in the actual work and major business processes of the enterprise.

What is Meant by Leveraging Diversity?

The meaning of “diversity” as a stand-alone concept is simply “difference.” Both theorists and practitioners conceptualize diversity as a *subject* (or the “what”) and/or a *verb* (or the “how”), capturing both its static characteristic as well as its dynamic processes (Burke, 1994; Cox, 1993; Gardenswartz & Rowe, 1993; Hayles & Mendez-Russell, 1997; Loden, 199; and Thomas, 1996). A survey of the numerous definitions of the term diversity in the literature, reveal one of two components (or both) are embedded in the various ways of expressing the meaning of the concept: (1) as a *dimension* (or group of dimensions), and (2) as *action or process* (i.e.,

acknowledging, understanding, and valuing differences; effectively managing and leveraging differences).

Diversity as dimensions. The *diversity as dimensions* framework provides a guide for examining the unique mixture of similarities and differences that characterize human existence (Gardenswartz & Rowe, 1993; Loden, 1996; Loden & Rosner, 1991). The *primary dimensions* of diversity (also known as social category diversity) encompass inborn characteristics generally determined early in the life span (Jehn, 1999). These elements (i.e., race, ethnicity, country of origin, gender, age, physical and mental ability, and sexual orientation) form an interdependent core of one's identity that people often use to determine "in-group" (others like us) and "out-group" (those who are different) status. The theoretical foundations for primary dimensions of diversity include the *self-categorization theory* (e.g., Turner, 1982), the *social identity theory* (e.g., Tajfel, 1978), the *similarity-attraction paradigm* as articulated by Byrne (in Thatcher, 1999), and the *racial identity theory* (Jehn, 1999). *Secondary dimensions* of diversity (i.e., experience-based or informational diversity) can be viewed as mutable differences that are acquired, discarded, and/or modified throughout the life-span (Jehn, 1999) and, as a result, are less salient to one's core (e.g., education, occupation, income, parental status, etc.). *Organizational dimensions* of diversity resulting from one's work role are influenced by such factors as organizational level, classification (i.e., exempt, hourly, etc.), line of business, work content, location (e.g., corporate vs. field office), seniority, organizational type, mergers/acquisitions and union affiliation. The theoretical basis for secondary and organizational dimensions of diversity is *information processing and decision-making theory* (e.g., Gruenfeld, Mannix, Williams, & Neale, 1996). *Personal dimensions* of diversity also exist; these include one's psychological type, thinking and work styles, motivational profile, conflict style, use of power, value orientation, and learning style. The sum total of the four dimensions of diversity shape people's identities, the frame or lens through which, they view, experience, and act in the world.

Diversity as action or process. Individuals often ascribe personalized meaning to the concept of diversity. In practice, this is often achieved by placing a word before the term, essentially giving personal or organizational meaning to the concept. This inserted word reflects one's assumptions about diversity (e.g., valuing, managing, cultural) versus the absolute meaning of the concept—thus, the multiple interpretations of what people actually mean when talking about diversity. This is a significant observation because the way one defines diversity has an impact on, and provides insight into how one actually responds to situations involving diversity and ultimately the outcomes associated with such action. Milton J. Bennett, Co-Director for the Intercultural Communication Institute, provides a developmental interpretation of how people respond to difference ranging from *denial* (or undifferentiated categories for cultural diversity), *defense* (or polarized us/them distinctions) to *minimization* (or subsuming cultural differences into familiar categories); and then developmentally from *acceptance* (or acknowledging cultural difference as a reality and interesting), *adaptation* (or cognitive frame-shifting and behavioral shifting based on the cultural context) to *integration* (or encapsulated marginality, the integrating intercultural abilities into one's identity). Collectively, these developmentally sequenced responses to cultural diversity provides a tool for helping individuals and groups (1) understand how they respond to difference, (2) recognize the strengths associated with each response, and (3) identify the development tasks and transition issues related to each stage of Bennett's Development Model of Intercultural Sensitivity (Bennett, 1993).

Organizations also address diversity with a variety of approaches each with a different focus and set of action strategies. Since the inception of the diversity movement over thirty years ago, the approaches have become more layered and complex, with this author contending that leveraging diversity is the most highly developed of these approaches. They include:

1. **Equal Employment Opportunity** and **Affirmative Action** which places emphasis on acknowledging the diversity mixtures, often motivated by an attempt to "right past inequities," it is legally driven and representation focused;
2. **Understanding Differences** places emphasis on creating awareness from multiple cultural perspectives and interpersonal relationships;
3. **Managing Diversity** places emphasis on assuring the productive utilization of a diverse workforce as an organizational resource, emphasis on behavior and strategically driven;
4. **Valuing diversity** goes beyond the utility focus and begins to address making personal connections with diversity and the degree to which diversity constitutes a valuable resource; and
5. **Leveraging Diversity** contends that the other four approaches must be in place and is the result of the collective impact of capitalizing on the emergent talent of all people (Herbst, 1997; Thomas, 1991).

Again, specific action strategies and organizational practices align with each approach. Affirmative action aligns hiring and mobility practices to ensure representation, or "opening doors." The movement from understanding differences, both physical and cultural, to valuing diversity results in "opening minds," examples include diversity focused communication and awareness training programs. Managing diversity focuses on aligning organizational systems and related behaviors, the artifacts of the culture—unseen but knowable—such as a performance

management, compensation and succession planning system, to foster the productive utilization of diverse talent, or “opening systems.” The challenge associated with conceiving, designing, and implementing effective diversity initiatives in organizations is too complex for one single approach (Winterle, 1992). A review of diversity work in pioneering companies reveals three common phases associated with the journey toward creating an environment that attracts, understands, values, and leverages diversity; these are (1) creating awareness and generating knowledge; (2) building skills and capacity; and (3) applying the learning in real work situations, which may involve the transformation of self, others, organizational systems, and structures (Maltbia, 2001). Collectively, these represent the three focal areas of workplace diversity interventions used in organizations today.

What is Meant by Breakthrough Performance?

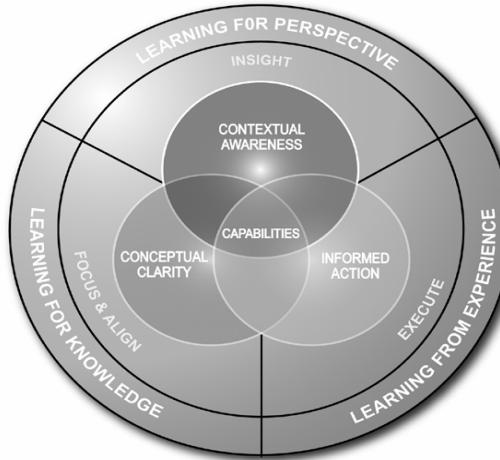
Performance is at the very core of organizational effectiveness. Simply put, “performance refers to the way in which something or someone functions...” also performance relates to “accomplishment and fulfillment, rather than potential or capability” (Swanson, 1999, p. 1). In organizations, whether at the individual, unit or system-wide level, performance is about intentionality, that is, the ability to act deliberately to achieve results and desired outcomes. Performance can be assessed using five broad categories of metrics or measures including *quantity*, *quality*, *time*, *resources* and *impact*. At a very basic level performance in organizations is about “increasing” (e.g., sales, profits, market share, customers, etc.) or “decreasing” (e.g., costs, error, customer complaints, etc.) something, in short quantity related metrics. Quality metrics reflect the overall effectiveness of performance (or level of satisfaction) and as such is more qualitative when compared to quantity metrics. Time metrics focus on the duration of performance and are often combined with quantity metrics, such as reducing cycle time or improving customer response time. Resource metrics relate to the required investment needed to generate a given level of performance in terms of people and operating costs. Lastly, impact measures focus on the collective effect of a given set of performance actions such as generating shareholder value or customer satisfaction and loyalty.

In today’s rapidly changing and unforgiving global markets, the incremental gains that result from continuous improvement are necessary but not sufficient to meet the increasing demands of customers and other key organizational stakeholders, nor respond effectively to fierce competitors. Continuous improvement is appropriate for a number of operational challenges leaders face, but adaptive challenges call for a break from the past and the generation of completely new business concepts. Gary Hamel (2000) defines the business concept innovation that results in breakthrough performance as the “capability to reconceive existing business models in ways that create new value for customers, rude surprises from competitors, and builds new wealth for investors” (p. 18). Such performance breakthroughs often require, and are the result of, organizational transformation. Transformational change in organizations involves discontinuous and radical changes in how members perceive, think and behave at work. Yet the literature on organizational change of this magnitude points to a high rate of failure in large, structured organizations (Henderson, 2002). The model for building strategic learning capabilities to leverage diversity for breakthrough performance outlined in the next section of this paper integrates important concepts drawn from organizational transformation theory, transformative learning theory and the field of workplace diversity to provide a comprehensive blueprint to help organizational leaders conquer the complexity of today’s markets and take advantage of the opportunities associated with using diversity as a source of competitive advantage.

Preliminary Findings

The model for *Building Strategic Learning Capabilities to Leverage Diversity for Breakthrough Performance* (see Figure 1) is based on the assumption that leveraging diversity is a process of strategic learning and change intended to enhance performance and facilitate organizational renewal. Organizational renewal is the ability to continuously adapt to the external environment and respond to emerging problems, challenges and opportunities. While not the only factor, winning companies are beginning to understand that leveraging diversity can contribute greatly to creating and sustaining an adaptive enterprise. The model’s basic components include (1) three strategic learning capabilities, (2) three related outcomes associated with each learning capability and (3) three different learning foci needed to generate the desired learning outcomes. First, the model positions leveraging diversity as a form of human performance. Drawing on concepts from Jackson (1991) and Sanchez & Heen (2000), the model asserts that understanding this form of human performance is a function of examining the three dimensions of *context*, *content* and *conduct*. The three strategic learning capabilities for leveraging diversity respond to the “where/when/why/,” the “what” and the “how” of leveraging diversity. They are: (1) achieving and sustaining *contextual awareness* (know “why” theoretical knowledge); (2) creating *conceptual clarity* (know “what” or strategic knowledge); and (3) Taking *informed action* (know “how” or practical knowledge). Each strategic learning capability responds to important diversity and performance related questions.

Figure 1. Building Learning Capabilities to Leverage Diversity for Breakthrough Performance



Contextual awareness involves scanning the external and internal business environments. This capability is necessary in order to clearly articulate the basic rationale for leveraging diversity in a given organization, identify the indicators for assessing progress toward diversity objectives and determining the overall success of diversity initiatives. Conceptual clarity concentrates on the knowledge areas necessary to leverage diversity for enhanced performance and competitive advantage. Conceptual clarity leads to making important strategic choices. These choices are more effective when based on the insight gained through contextual awareness. Taking informed action involves exploring a number of action imperatives and tactics needed to develop a capacity to leverage diversity for business success. There are different outcomes associated with each of the three strategic learning capabilities needed to leverage diversity and each require a different learning focus (Pietersen, 2002). The learning emphasis of contextual awareness is learning for expanded perspective and results in deep insight. The emphasis of conceptual clarity is learning for knowledge by making strategic choices and identifying the “vital few” critical success factors, that is, “what we must know and what must go well to succeed” and realize our intentions. The outcomes associated with creating conceptual clarity include focus and alignment. Focus allows for making important decisions related to how to deploy scarce resources while alignment ensures that every element of the organization (i.e., measurement and reward systems, organizational structures and processes, culture and employees skill and motivation) support the strategic priorities. Finally, emphasis of taking informed action is on learning from experience and results in planned experimentation that provides a platform for performance excellence. Taking informed action allow organizations to implement strategic choices and related plans fast, while taking advantage of the next shift in the external business environment. The reflective potential of learning during and from experience provides a capacity to repeat this cycle of learning for perspective, knowledge and informed action, over and over again, and can result in personal and organizational renewal and transformation.

The continuous cycle of learning and change reflected in the model is characterized by a dynamic process of *outside-in* work and *inside-out* work. Outside-in work centers on the achievement of business objectives and is performance focused. Outside-in work addresses both operational and adaptive challenges often triggered by the external environment. The key activities related to outside-in work include (1) environment scanning to identify issues and alternatives; (2) defining strategic choices and devising a shared vision of the future, (3) creating business plans to realize the vision and (4) identifying and closing gaps related to the alignment of organizational systems to ensure effective implementation. Many of the practices related to outside-in work are informed by the organizational transformation literature where the organization is the unit of analysis. While important work, organizational transformation interventions often lack tools for fostering the personal transformation needed to help people adapt to the intensity of change required by the process or demanded to sustain progress over time. Inside-out work focuses on the individual with an emphasis on the transformation of set limits and assumptions that often serve as barriers to organizational transformation. Inside-out work has to do with generating the self-awareness that one needs to understand one’s beliefs, values and worldview and how each influences action. Just as the outside-in work guided by the strategic learning model provides a process of renewal for companies, the inside-out work guided this same process model, provides a vehicle for personal development and growth. The key activities related to inside-out work include: (1) conducting a personal assessment to generate insight about one’s capabilities; (2) translating these insights into personal performance and development plans; (3) aligning development and performance objectives with the strategic needs and priorities of the business; and (4) implementing personal performance plans while

obtaining feedback from knowledgeable others. Many of the practices related to inside-out work are informed by transformative learning theory.

Implications for Practice

The goal of combining outside-in work with inside-out work is to align organizational transformation efforts with those of personal development and transformative learning. To become strategic business partners, senior human resources executives, organization development, training and learning and other professionals dedicated to the development of human resources, must be able to demonstrate how various HR systems and practices influence organizational performance, in short what is HRD's value proposition. The *Building Strategic Learning Capabilities to Leverage Diversity for Breakthrough Performance* model provides such leaders with a framework for making tight connections between business strategy and human capital interventions. The framework purports that plans for building each of the three strategic learning capabilities should include interventions that effectively integrate outside-in work and inside-out work.

Developing the three strategic learning capabilities (discussed in this paper) from both an outside-in and inside-out perspective results in improved communication and effectiveness in the cross-cultural situations that characterizes today's global business environment. The expanded description of the model (Maltbia, in press) provides organizational leaders responsible for, or interested in, gaining full access to the talent and potential of their collective human capital with a comprehensive approach for linking strategic learning and diversity with the strategic priorities of the business. Importantly, the approach provides guidance for helping people in organizations construct new, more inclusive responses to the conflict often associated with addressing differences, which is critical to ensure the requisite variety is present to foster the innovation needed to adapt to today business challenges.

Lastly, the framework aligns with emotional competence, a factor shown to contribute positively to effective performance (Cherniss & Goleman, 2001). The strategic learning capabilities of *contextual awareness* and *conceptual clarity* align with the emotional competencies associated with *self-awareness* (or the inside-out) and social awareness (or outside-in work). The strategic learning capability of *taking informed action* aligns with the emotional competencies associated with *self management* (or inside-out aspect of this capability) and *relationship management* (or the outside-in aspect of this capability).

References

- Argyris, Chris. (1993). *Knowledge For Action: A Guide to Overcoming Barriers to Organizational Change*. San Francisco: Jossey-Bass.
- Bennett, M. J. (1993). Towards ethnorelativism: A developmental model of intercultural sensitivity. In R. M. Paige (Ed.), *Education for the intercultural experience*. (pp.21-71.). Yarmouth, ME: Intercultural Press.
- Boud, D., Cohen, R. & Walker, D. (1993). *Using experience for learning*. Bristol, PA: Open University Press.
- Brookfield, S. D. (1991). *Developing critical thinkers: Challenging adults to explore alternative ways of thinking and action*. San Francisco: Jossey-Bass.
- Burke, W. W. (1994). *Organization development: A process of learning and change*. (2nd ed.). Reading, MA: Addison-Wesley Publishing Company
- Camp, R. C. (1989). *Benchmarking: The search for industry best practices that lead to superior performance*. Milwaukee, WI: Quality Press, The American Society for Quality Control.
- Cherniss, C., & Goleman, D. (2001). *The emotionally intelligent workplace*. San Francisco: Jossey-Bass.
- Ciampa, D. (1992). *Total quality: A user's guide for implementation*. Reading, MA: Addison-Wesley Publishing Company.
- Conner, D. R. (1993). *Managing at the speed of change: How resilient managers succeed and prosper where others fail*. New York, NY: Villard Books.
- Cox, T.H. (1993). *Cultural diversity in organizations: Theory, research, and practice*. San Francisco, CA: Berrett-Koehler Publishers.
- Cranton, P. (1994). *Transformative learning: A guide for educators and adults*. San Francisco: Jossey-Bass.
- Cross, R.L., & Israelit, S.B. (2000). *Strategic learning in a knowledge economy: Individual, collective and organizational learning process*. Boston, MA: Butterworth Heinemann.
- Fisher, B. R. (1990). *Organization transformation theorists and practitioners: Profiles and themes*. Westport, CT: Greenwood Publishing Group.
- Galbraith, J. R. & Lawler, E. E. (1993). *Organizing for the future: The new logic for managing complex change*. San Francisco: Jossey-Bass.
- Gardenswartz, L. & Rowe, A. (1993). *Managing diversity: A complete desk reference and planning guide*. Burr

- Ridge, IL: Irwin.
- Gruenfeld, D., Mannix, E., Williams, K., & Neale, M. (1996). Group composition and decision making: How member familiarity and information distribution affect process and performance. In *Organization behavior & human decision processes*, 67, 1-15.
- Hamel, G. (2000). *Leading the revolution*. Boston, MA: Harvard Business School Press.
- Hammer, M. & Champy, J. (1993). *Reengineering the corporation: A manifesto for business Revolution*. New York, NY: Harper Business.
- Hayles, R., & Mendez-Russell, A. (1997). *The diversity directive: Why some initiatives fail and what to do about it*. Chicago, IL: Irwin Professional Publishing.
- Heifetz, R. A., & Linsky, M. (2002). *Leadership on the line: Staying alive through the dangers of leading*. Boston, MA: Harvard Business School Press.
- Henderson, G. M. (2002). Transformative learning as a condition for transformative change in organizations. In E. F. Holton III (Ed.), *Human Resource Development Review*, 1(2), 187-214.
- Herbst, P. H. (1997). *The color of words: An encyclopaedic dictionary of ethnic bias in the United States*. Yarmouth, ME: Intercultural Press, Inc.
- Jackson, T. (1991). *Measuring management performance*. New York, NY: Nichols/GP Publishing.
- Jeoh, K. A. (1999). Diversity, conflict, and team performance: Summary of program of research. *Performance Improvement Quarterly*, 12(1), 6-19.
- Loden, M., & Rosener, J. B. (1991). *Workforce America: Managing employee diversity as a vital resource*. Homewood, IL: Irwin.
- Loden, M. (1996). *Implementing diversity*. Chicago, IL: Irwin.
- Maltbia, T. E. (2001). *The journey of becoming a diversity practitioner: The connection between experience, learning and competence*. Unpublished doctoral dissertation, Ann Arbor, MI: UMI Dissertation Services (UMI: 3014788; ISBN: 0-493-25674-1).
- Mezirow, J. (2000). Learning to think like an adult: Core concepts of transformation theory. In J. Mezirow, & Associates, *Learning as transformation: Critical perspectives on a theory in progress* (pp. 3-33). San Francisco: Jossey-Bass.
- Miller, F. A. & Katz, J. H. (2002). *The inclusion breakthrough: Unleashing the real power of diversity*. San Francisco, CA: Berrett-Koehler Publishers, Inc.
- Nadler, D. A., Gerstein, M. S. & Shaw, R. B. (1992). *Organizational architecture: Designs for changing organizations*. San Francisco: Jossey-Bass.
- Nadler, D. A., Shaw, R. B., & Walton, A. E. (1995). *Discontinuous change: Leading organizational transformation*. San Francisco: Jossey-Bass.
- Pietersen, W. (2002). *Reinventing strategy: Using strategic learning to create and sustain breakthrough performance*. New York, NY: John Wiley & Sons.
- Prahalad & Hamel (1990). *The core competence of the corporation*. Boston MA: Harvard Business Review, May/June, 79-91.
- Sanchez, R., & Heen, A. (2000). A competence perspective on strategic learning and knowledge management. In R. L. Cross & S. B. Israelit (Eds.), *Strategic learning in a knowledge economy: Individual, collective and organizational learning process*. Boston, MA: Butterworth Heinemann, 13.
- Senge, P.M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Double Day Currency.
- Swanson, R. A. (1999). The foundations of performance improvement and implications for practice. In R. J. Torracca (Ed), *Performance improvement theory and practices*, Baton Rouge, LA: Academy of Human Resource Development, Advances in Developing Human Resources, 1, 1-25.
- Tajfel, H. (1978). The achievement of group differentiation. In H. Tajfel (Ed.), *Differentiations between social groups*, (pp. 483-507). London, England: Academic Press.
- Thatcher, S. (1999). The contextual importance of diversity: The impact of relational demography and team diversity on individual performance and satisfaction. *Performance Improvement Quarterly*, 12(1), 97-112.
- Thomas, R. R. (1991). *Beyond race and gender: Unleashing the power of your total workforce by managing diversity*. New York, NY: AMACOM.
- Turner, J. C. (1982). Towards a cognitive redefinition of the social group. In H. Tajfel (Ed.), *Social identity and intergroup relations* (pp. 15-40). Cambridge, England: Cambridge University Press.
- Ulrich, D., Zenger, J., & Smallwood, N. (1999). *Results-based leadership*. Boston, MA: Harvard Business Press.
- Winterle, M. J. (1992). *Workforce diversity: Corporate challenges, corporate responses*. A Research Report-1013. New York, NY: The Conference Board.

Viewing Older Workers' Social and Human Capital Capacity Development to Evolve an Adaptive Future Workforce

Donald L. Venneberg

Vida D. Wilkinson

Gary D. Geroy

Colorado State University

The current worker surplus in the United States may be followed by another round of skilled worker shortages by the end of this decade. The shortage will be driven by the beginning retirement of the skilled cohort of Baby Boomers followed by the much smaller Generation X workforce cohort. This paper provides a model for a reconsideration of the use of the human and social capital capacity of older workers to fill this gap.

Keywords: Older Worker, Social Capital, Human Capital

Notwithstanding the current mode of employee downsizing by companies and institutions in reaction to the soft economy in the United States the last few years, the long term the availability of a talented pool of workers to fill future organizational needs may be limited (Challenger, 2003; Herman, Olivio & Gioia, 2003; Kaihala, 2003). Herman, et al., for example, estimate that there will be a widening gap between future organizational workforce needs and the availability of workers from today through 2015. One of the key factors influencing this disequilibrium in the system is the upcoming retirement of the *Baby Boomer* generation comprised of 76 million persons born between 1946 and 1960, which currently make up approximately 60 percent of the prime age (25-54) workforce in the U.S. (Kaihala, 2003). These workers will be largely replaced over the next decade by a much smaller workforce cohort, *Generation X* with 51 million persons born between 1961 and 1980.

The human and social capital capacity represented by older workers over 55 remain a largely untapped source for consideration for future workforce needs in the early 21st Century. In order to retain these older workers, organizations will need to consider flexible workplace schedules and other incentives for older workers to stay on the job beyond normal retirement age. From a societal perspective, the fact that the Baby Boomer cohort is expected to enjoy better health and longevity than their predecessors, encouraging people to stay in the workforce longer and thus draw less on the inter-generational transfer benefits of social security and retirement should also be a consideration by both government policy makers and organizations (Peterson, 1996; Strauss & Howe, 1997; Dychtwald, 1999).

It is not just a problem of the dearth of quantity that organizations will face, but one of stability as well. Many members of the Generation X cohort often do not have the strong organizational loyalty values held by their predecessors (Howe & Strauss, 1993; Zempke, Raines & Filipczek, 2000). This lack of loyalty results not only from this generation being the first *latchkey kids*, and therefore used to making their own way in the world, but also due to the way they were treated in the workplace in their early working years as *interchangeable parts* and the *last hired – first fired*. Their organizations have often shown them no loyalty and they, in turn, now tend to show little loyalty to their organizations.

Problem Statement

The gap of needed workers in the U.S. in the past has somewhat been made up by increased productivity due to technology innovations, outsourced work to overseas employees, and immigrated workers, particularly in the technology and service sectors. However, there are limits on this approach. Increased concern about security in the wake of the terrorist attacks on September 11, 2001 has resulted in a tightening of immigration rules. In addition, some organizations are becoming increasingly concerned about the loss of direct control over outsourced systems and processes controlled by overseas companies when it is necessary to make changes that support new business directions (Kleinhammer, Nelsen & Warner, 2003). Workers who have been particularly impacted by offshore outsourcing of jobs are beginning to organize and seek redress from both state legislatures and Congress. There is the possibility that this action might lead to more protectionist laws and regulations. If these concerns for security and flexibility and loss of jobs by U.S. workers further limit outsourcing of critical functions to overseas providers,

Copyright © 2004 Donald L. Venneberg, Vida D. Wilkinson, & Gary D. Geroy

the need for organizations to “grow their own” workforce by both attracting and retaining current workers talent and knowledge, will come to the fore sooner than later.

The growing group of older workers from the Baby Boomer generation will be able to contribute both their experience and their skills to organizations to fill the gap. In order to effectively utilize the social and human capital assets represented by this group of workers, however, organizations will need to reevaluate how they value the skills and the experiences this group offers.

Research Purpose

The purpose of this paper is to develop a theoretical model for organizations to understand the dynamics of how they value individual and organizational investment in workers human and social capital capacity. The model will provide a special focus on valuing older workers in order to effectively provide for future workforce needs.

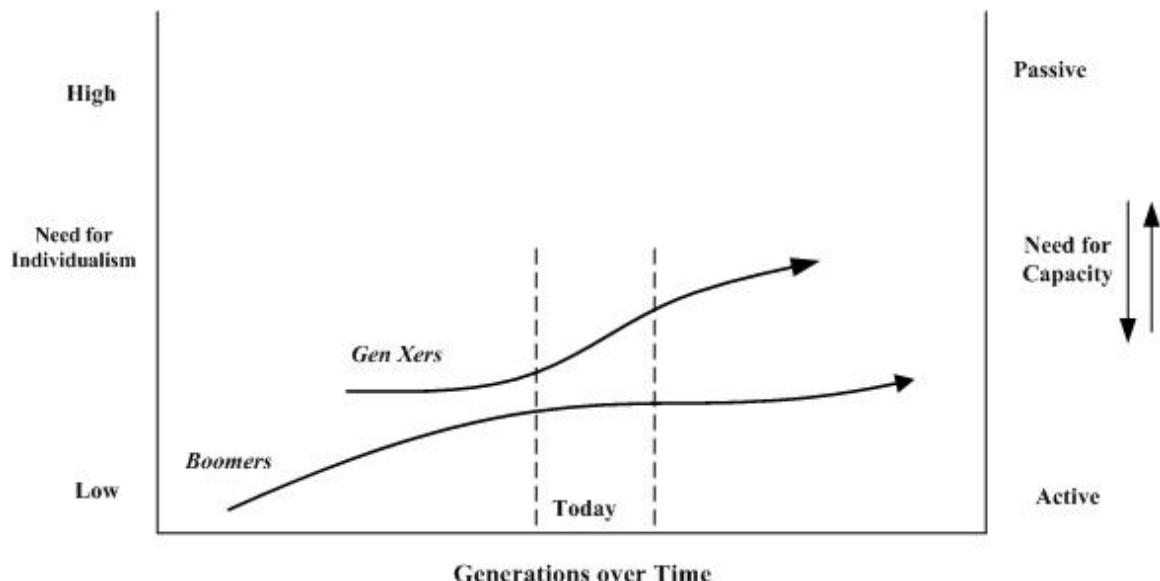
Theoretical Framework

Human Capital Capacity of Older Workers: A View to Understanding the Choice Dimension

Valuing human capital investment. Part of the problem with valuing older workers comes from the way human capital investment has traditionally been evaluated in the United States. Geroy and Venneberg (2003) described human capital *metrics* as a longer horizon view for structuring the investment in human capital than the traditional matrix approach of using a gap analysis to determine human resource needs. In their construct, they set forth two guiding principles: (1) that human capital *capacity* is composed of skills, knowledge and the influence of attitude and other intrinsic variables, and (2) that human capital capacity is both *passive* and *active*. Passive capacity is that knowledge that the individual gains and is available for potential/future use. Active capacity is knowledge that the individual gains and is available for immediate use. In economic terms, passive capacity represents the stock of knowledge available and not yet utilized, while active capacity is the explicit information currently flowing through the organizational system.

Individualism and the preference for active or passive human capital capacity. Geroy and Venneberg (2003) also noted that the value of *individualism* varied by generational cohort, which affected the strength of the preference by workers from these generational cohorts for the accumulation and use of both active and passive human capital capacity (see Figure 1).

Figure 1. Preferences of Generations for Individualism and Capacity (Geroy & Venneberg, 2003)



As illustrated in Figure 1, the soon to be older workers from the Boomer cohort are beginning to prefer more stability than individualism in their work lives. They are therefore more prone to accept the organization's desire to build active capacity for new tasks. Unlike the Generation X workers, the Baby Boomers are also less prone to push

for opportunities to develop passive capacity to use for moving to other organizations. Organizations would benefit from continuing to engage the Boomer generation of workers and extend the stability they offer to the workplace.

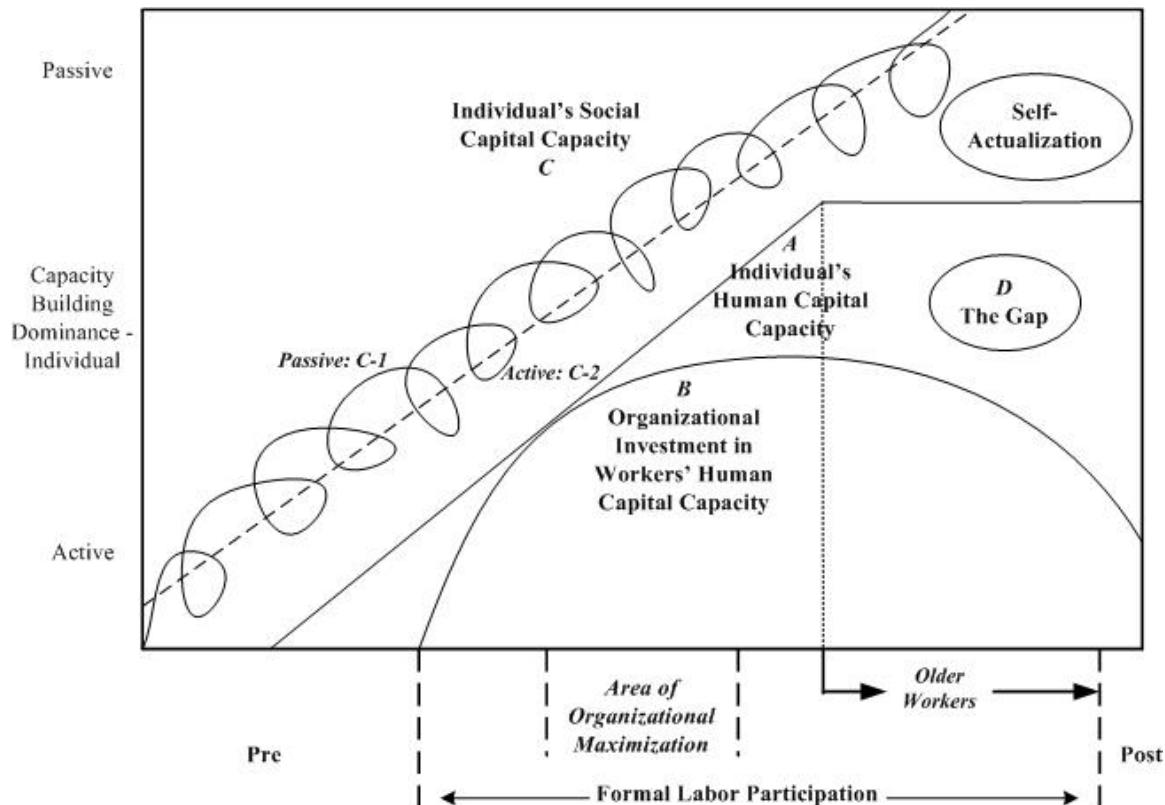
Social capital capacity, individual and organizational human capital investment preference, and the older worker. Lin (2001) offers an operational definition of social capital that includes both resources and outcomes: “*investment in social relations by individuals through which they gain access to embedded resources to enhance expected returns of instrumental or expressive actions*” (p. 6). Instrumental action is the obtaining of resources not currently possessed by the worker. Expressive action is the maintenance of resources currently possessed by the worker.

We further posit that social capital capacity is also passive and active. Passive social capital capacity is that espoused by Burt (2000) in his *structural hole* argument. Burt defines social capital in terms of the information and control advantages of being a broker in relations between people otherwise disconnected in social structure. In other words, these relationships are non-redundant sources of information, are available to the individual for future use, and are more additive than overlapping. Active social capital capacity is principled by network closure that Coleman (2000) maintains is necessary in order for organizational information to be accessible for all individuals. Depending on the desired outcome, having access to appropriate active and passive social capital capacity is an asset to individuals and/or organizations.

Social capital may be seen as a counterbalancing force with human capital. Human capital theory emphasizes education and the measurement of an asset, whereas social capital theory emphasizes the non-economic objectives of learning and social norms that motivate participation (Fine & Green, 2000). In other words, *social capital is the contextual complement to human capital* (Burt, 2000).

Older workers generally have a large store of social capital, represented by their broad networks of social relationships with both those outside the organization and those within the organization. However, these relationships which could be leveraged by organizations for the furtherance of organization ends are often undervalued or overlooked altogether. The relationship between human and social capital capacity of older workers in organizations is shown in the model in Figure 2.

Figure 2. Human and Social Capital Growth and Investment Preference Model



As indicated by line *A* in the model, an individual's preference for investment in their active human capital capacity starts at the typical beginning school age and growth occurs in a direct linear fashion through the formal schooling period and through early-to-mid career in the workforce (Becker, 1993; Geroy & Venneberg, 2003). There is disagreement over whether social capital capacity grows in a curvilinear fashion (Lin, 2001) or if it is more interactive and circular (Field, Schuller, & Baron, 2000). In either circumstance, social capital is about the diffusion of relationships. We propose to resolve this issue by viewing the growth of social capital as cyclical, alternating between passive (area *C-1*) and active (area *C-2*) capacity, with the overall growth trend as linear (line *C*).

The social capital capacity growth trend parallels the trend of human capital capacity building. However, the development of social capital capacity begins at birth with family socialization, and continues beyond the period of human capital building, as indicated by the leveling off of the human capital line. As an individual attains career goals, he or she reaches the point of "self-actualization" (Maslow, 1970) and begins to expand his or her social capacity for pursuit of other interests (e.g. community involvement, volunteerism, hobbies and recreation) beyond the end of his or her career.

We contend that organizational investment in workers human capital capacity starts tapering off when workers are between the ages of 45 and 55 (line *B*). This ever widening gap between the individual's human capital capacity investment and the organization's investment results in the leveling off of the individual's human capital capacity, as reflected in line *B* in the model. It is this gap (area *D* in the model) that creates the divergence of individual and organizational goals for continued contribution to the organization. Some theorists have viewed this disinvestment as a reflection of the carryover of early 20th Century views of employees as labor and a cost to be contained, versus the late 20th Century view of employees as assets for increasing company effectiveness (Kochan, Orkilowski & Cutcher-Gershenfeld 2002). Others see the disinvestment a result of beliefs or myths held by managers in organizations that workers become less flexible and able to learn for and adapt to change as they age (Costello, 1997; Goldberg, 2000).

The myths and beliefs about older workers carry over into workplace policies through the *false norming* phenomena, similar to that described by Perkins (2003) on college students' misperceptions of the norm for alcohol consumption on college campuses. When people misperceive the true norms of an organization or community, decisions on how to act in that organization or community are often wrong with respect to true organizational or community norms. With respect to the capacity of organizations or individuals in organizations:

A false norm is a norm to which organizations and individuals respond that is beyond their current or readily/reasonably achievable capacity (in both passive and active terms), sufficiently outside their transformation and transactional ability to be reasonably accomplishable without undue risk, or loss of sustainability. (Geroy & Venneberg, 2003, p. 93)

An Out-of-balance Mix and Distribution of Talent and Knowledge

Aside from the decline in sheer numbers, there is a concern that the mix of the workforce, in terms of experience balanced with knowledge of new technologies and processes may not be maintained in the future workforce. In addition, it is expected that organizations may be increasingly in the role of "winners" and "losers" because of the phenomena of brain drain, or the exit of employees who hold any skill, competency, or personal attribute that may be considered a highly needed and valuable organizational asset (Rosenblatt & Sheaffer, 2001). A significant element of the issue is that organizations choose to ignore the impending problem of having a smaller, less stable workforce, based on a concept of employees as replaceable parts (Herman, et. al., 2003).

The idea of a flexible workforce, or treating their people as independent contractors, further fostered the idea that a stable workforce was not of much importance. Particularly during the 1990's, most organizations took the just-in-time approach to filling their employee needs by hiring to fill vacancies as they occurred, and suffering the high turnover that was occurring. The analysis of future needs for employees has been done by the traditional method, which focused primarily on skills needed for task accomplishment. There has been little or no focus on developing and retaining a set of employees who could both react to outside forces for change and, more importantly, generate and implement ideas for change.

This lack of regard by organizations for their existing human capital is viewed as the primary determinant of productivity loss (Dess & Shaw, 2001). The authors also argue that this lack of regard for people by organizations results in a loss of social capital as well:

...existing approaches estimate the effect of the departure of a long-tenured individual on organizational performance by (1) comparing the human capital accumulations of the departing employee with the replacement and estimating the corresponding short-term productivity loss and/or (2) by estimating the short-term savings (e.g., lower pay) of the new employee versus replacement. Although valuable, the approaches neglect to consider the value of the departing individual's social capital, his or her placement in the key social networks, and the corresponding and possibly long-term disruptions in these systems. (p.450)

This ignores the value of the already existing human capital resident in the experience of older workers. It also ignores the cost of the loss of human capital from employee turnover and brain drain, and the resultant loss of social capital as well, due to the failure to retain and develop people in communities for local and regional workforce needs. However, the attraction and retention of talent in the knowledge economy will likely be more salient issues than downsizing and restructuring (Dess & Shaw, 2001).

We therefore challenge organizations to recognize the value of the social capital capacity that older workers possess, and to take active steps to retain these older workers and leverage their capacity for organizational ends. To develop a retention strategy for older workers, it is first helpful to understand some of the factors that cause older workers to disengage from active participation in, or leave, an organization.

Why Older Workers Leave, Stay or Return to Organizations or the Workplace

Exit, voice and loyalty. Hirschman (1970) developed a model of how organizations and political entities and their customers and members or citizens react to decline or disruption in the face of competition. For customers, members or citizens, the actions in response to decline or disruption are categorized as *Exit, Voice or Loyalty*. One option for members or employees of organizations who are not effectively served by the organization is to *Exit* the organization by quitting. These choices are driven partly by pay, but are mainly driven by the responsiveness of the organization to the needs of employees for recognition of the contribution they make or can make to the organization. The contribution by older workers is largely based on their social capital capacity. Of course, organizations themselves can affect the *Exit* of an employee by firing them.

For Hirschman (1970), a preferable alternative is *Voice*, or the willingness and ability of employees to object to and try to influence change in organization policy. There are, Hirschman recognizes, some limits on how much *Voice* can be tolerated in most organizations, without itself causing deterioration in effectiveness. *Exit* and *Voice* can be substitutes for each other. If the options for *Exit* are many, such as when the labor market is loose, the probability is lessened that *Voice* will be exercised before the employee simply exits the organization for another job.

The concept of *Loyalty*, in Hirschman's (1970) lexicon is the mediating element between *Voice* and *Exit*. Unlike the concept of the loyal employee a "yes man" (or woman), loyalty for Hirschman means that the employee has a sense that he or she can influence decisions directly through the exercise of *Voice* or, at least, be assured that something will happen to improve matters. Also, true loyalty only exists if the possibility of exit exists. If one is not able to exit, the concept of loyalty loses its meaning. Thus, for example, retirement systems which have a defined benefit based on age and a minimum number of years of service can impose "golden handcuffs" on older workers to stay in an organization for which they have lost a sense of loyalty, in order to reach the point where they can retire.

Factors influencing baby boomers staying in or leaving organizations. A 2002 survey by AARP of 1,500 Americans ages 45 and up (the Boomers) showed that they'll only continue to work beyond the "normal" retirement age because of economic need, such as a reduced value in stock portfolios and other assets that had been counted on for retirement (AARP, 2002). The AARP study also found several other factors, however, which might influence Boomers to stay in the workplace longer:

- Older worker-friendly workplaces that provide flexible work hours; opportunities for part-time employment or bridge employment;
- Defined-benefit retirement plans which increase the risk of retiring early, especially in uncertain economic times;
- Raising the retirement age and;
- The generational values of Boomers which reflect an interest in working beyond normal retirement.

Social-cultural bias of youth versus experience. In the US, there is an enduring built-in age bias to its youth-oriented culture (Goldberg, 2000) and, at times, outright age discrimination in hiring, promotion and layoffs or firing in organizations (Johnson & Neumark, 1997; AARP, 2002.). The impact of this youth culture is that older workers are often devalued in the workplace. When managers are considering training and development for their employees, particularly for future capacity, it is the older worker who is usually left out. This is largely because of the belief that they won't be with the organization long anyway or the belief that they have reached their level of capability, resulting in a *silver ceiling* (Dychtwald, 1999) stopping upward mobility in the organization.

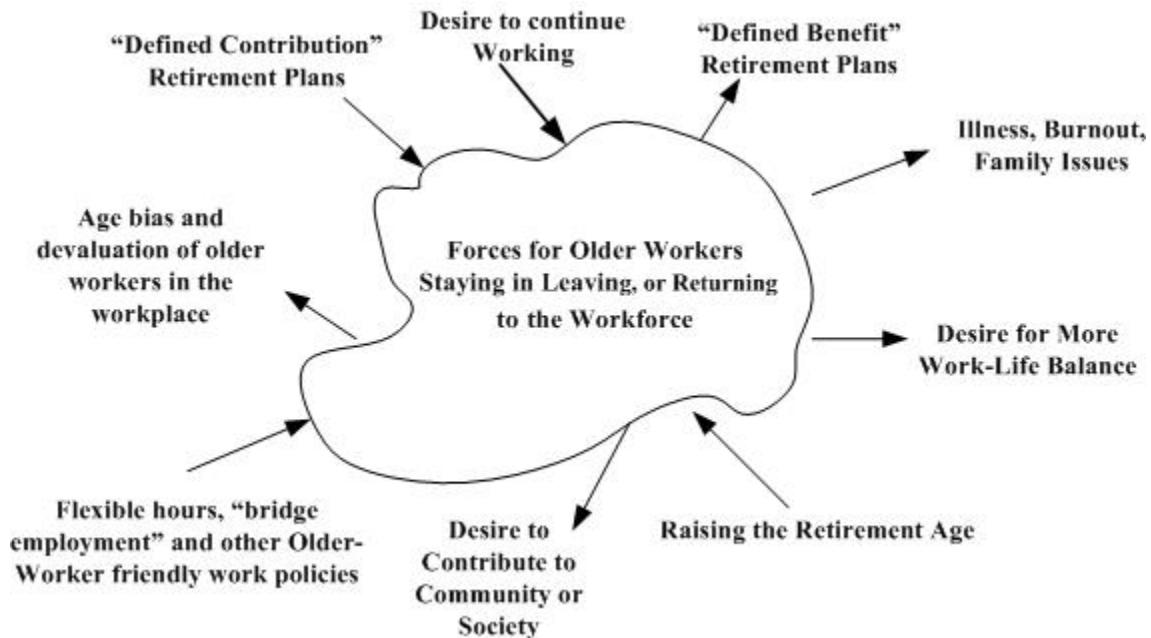
Traditionally, organizations resist the development of a strategy to retain older workers. They question the capacity of older workers to keep up with the rapid pace of change in a highly competitive global marketplace. Further there is a belief that older workers lack the capacity to effectively gain knowledge and skills from company sponsored training (Goldberg, 2000).

Older workers can learn new processes and tasks. However, they often require a different approach to learning which is more hands on and allows more time for reflection and integration than younger workers (Imel, 1991; Costello, 1997; Goldberg, 2000; Stein, 2000). Thus, training programs will need to be changed to accommodate the

different learning style of older workers. In addition, consideration will have to be given to the different personal and work values of different generational cohorts in the workplace to develop and maintain effective multigenerational work teams and avoid generational value conflict (Goldberg, 2000; Zempke, et al., 2000; Lancaster and Stillman, 2002, Smola & Sutton, 2002).

Organizational policies and values. The devaluation of older workers also plays out in the tendencies of companies, institutions and government agencies to encourage older employees to retire or accept “buy-outs” or early retirements to leave the organization. Also, the reinforcement of a workaholic style by many companies has accelerated the “burnout” rate of workers, encouraging them to leave or retire earlier than they might otherwise have done in a more work-schedule flexible environment (Goldberg, 2000). A visual depiction of the forces acting to keep older workers in the workforce and those forces that act on them to leave the workforce is shown in Figure 3.

Figure 3. Forces Acting to Cause Older Workers to Stay or Leave the Workforce



Consideration for generational values in the workplace. The need to increasingly manage and effectively leverage a multi-generational workforce, and reduce conflict within it, has been raised increasingly in the literature (Shea, 1994; Goldberg, 2000; Zempke, et al., 2000; Lancaster & Stillman, 2002). The strength of the diversity of ideas that employees from different generations bring to the table is not unlike the strength gained from multi-cultural and multi-ethnic diversity in the workforce. For example, Andreadis (2002) contends that:

One of the most valuable experiences that people especially young people, can have is to meet, live and work with people from different countries, religions and sectors. This experience generally results in a re-examination of ones' values, attitudes and biases and establishes the basis for genuine understanding and collaboration. (p.147)

Working in intergenerational teams may also help increase the understanding of the different stages of work life by helping to eliminate myths about the contributions and productivity of older workers (Rocco, Stein, & Lee, 2003). Unfortunately, the recognition of the strength of multi-generational workforce, particularly with regard to older workers, is often not considered by many organizations or communities.

Conclusions and Recommendations

The key for organizations facing the shrinking pool of skilled workers to meet their future workforce needs is to focus on retaining older workers. To do this, organizations need to focus on closing the gap in the right side of the model (area D) shown in Figure 2. Organizations thus need to continue to invest in building the human capital capacity of older workers. Also, they need to encourage older workers to stay beyond the traditional retirement age by offering benefit incentives to work longer, changing the nature of the workplace to better accommodate their

needs, and by providing a workplace climate which values age diversity. Additionally, organizations need to continue to give older workers meaningful roles, such as mentoring, where they can continue to creatively contribute to organization goals.

Another key change organizations will need to take to retain older workers is to stop disinvesting in training for them. As suggested by Goldberg (2000), older workers have equal capacity to learn new tasks and to exhibit creativity. However, organizations will need to adapt their mode of training to accommodate the learning styles of older workers. Training and development programs need to appeal to older workers on a different basis to motivate them to change than the appeal for younger workers. Value sets of workers differ, both on an individual and generational basis (Dychtwald 1999; Zempke, et al., 2000; Lancaster & Stillman 2002), which results in the need to appeal to and aim learning toward those value sets.

Implications for HRD

Managers and human resource development professionals need to review organization policies which impact human capital capacity investment in older workers. This review need to focus on both enhancing those policies which encourage investments in older workers and those that work against this investment. Older workers remain a largely untapped source for meeting future workforce needs in the early 21st Century. This viable group contributes both their experience and their skills to organizations. In turn, organizations need to value the skills and experiences this group offers.

Older workers also can provide their social capital capacity amassed over their working life to contribute to the well being and objectives of organizations. What is overlooked by organization managers is that older workers have a built-in large store of passive and active human and social capital capacity in terms of tacit knowledge and experience about "how things work". This represents untapped potential for mentoring and guiding new workers into the organization's culture. One way for organizations to think about the passive capacity inherent in the tacit knowledge of older workers is as *infrastructure* that can be used as a base for training younger workers. From a social capital perspective, older workers are most likely to have broader networks, both internal and external to organizations. In particular, older workers can serve as valuable mentors for younger employees trying to learn how to successfully work within an established organization. Learning the organization's cultural nuances and developing a network of people within and outside the organization can help younger workers succeed. We believe older workers can well fulfill the mentoring function because of the social networks they have already developed, and the rich working experiences and effective role models they could offer to a younger workforce.

References

- AARP (2002). *Beyond 50: A report to the nation on economic security*. Washington, D.C.: AARP.
- Andreadis, N.A. (2002). Leadership for civil society: Implications for global corporate leadership development. *Human Resource Development International*, 5, 143-149.
- Becker, G. S. (1993). *Human capital: A theoretical and empirical analysis with special reference to education*. Chicago: University of Chicago Press.
- Burt, R.S. (2000). The contingent value of social capital. In E.L. Lesser (Ed.), *Knowledge and social capital: Foundations and applications* (pp. 255-286). Boston: Butterworth-Heinemann.
- Challenger, J.A. (2003). The coming labor shortage. *The Futurist*, September-October, 24-28.
- Coleman, J.S. (2000). Social capital in the creation of human capital. In E.L. Lesser (Ed.), *Knowledge and social capital: Foundations and applications* (pp. 17-41). Boston: Butterworth-Heinemann.
- Costello, C. (1997). *Training older workers for the future*. Changing work in America series, Cambridge, MA: Radcliff Policy Institute, Radcliff College.
- Dess, G.G., & Shaw, J.D. (2001). Voluntary turnover, social capital, and organizational performance. *Academy of Management Review*, 26, 446-456.
- Dychtwald, K. (1999). *Age power: How 21st the century will be ruled by the new old*. New York: Tarcher/Putnam.
- Field, J., Schuller, T., & Baron, S. (2000). Social capital: Critical perspectives. In S. Baron, J. Field, & T. Schuller (Eds.), *Social capital and human capital revisited* (pp. 243-263). New York: Oxford University Press, Inc.
- Fine, B., & Green, F. (2000). Economics, social capital, and the colonization of the social sciences. In S. Baron, J. Field & T. Schuller (Eds.), *Social capital: Critical perspectives* (pp. 78-93). New York: Oxford University Press, Inc.

- Geroy, G. D., & Venneberg, D.L. (2003). A view to human capital metrics. In A. M. Gilley, J. L. Callahan, & L. L. Bierema, (Eds.), *Critical issues in HRD: An agenda for the twenty-first century*. (pp. 87-103). Cambridge, MA: Perseus Publishing.
- Goldberg, B. (2000). *Age works: What corporate America must do to survive the graying of the workforce*. New York: The Free Press.
- Imel, S. (1991). *Older worker training: An overview*. ERIC Digest 114, ED334470, ERIC Clearinghouse, Center on Education and Training for Employment, Columbus, OH.
- Herman, R. E., Olivo, T. G., & Gioia, J. L. (2003), *Impending crisis: Too many jobs too few people*, Winchester, VA: Oakhill Press.
- Hirschman, A. O. (1970), *Exit, voice and loyalty: Responses to decline in firms, organizations and states*. Cambridge, MA: Harvard University Press.
- Howe, N., & Strauss, B. (1993). *13th Gen; Abort, retry, ignore, fail*. New York: Vintage Books.
- Johnson, R.W., & Neumark, D. (1997, Autumn). Age discrimination, job separations and employment status of older workers: Evidence from self-reports. *Journal of Human Resources*, 32(4).
- Kahila, P. (2003). The coming job boom. *Business 2.0*, September, 97-105.
- Kleinhammer, R., Nelsen, T., & Warner, A.J. (2003, June 25). Balancing the risks: What do you outsource and where? Or do you outsource at all? The answers depend on how you determine your risk. *Darwin Magazine*.
- Kochan, T., Orlikowski, W., & Cutcher-Gershenfeld, J. (2002). *Beyond McGregor's theory: Human capital and knowledge-based work in the 21st century organization*. Paper presented at the Sloan School 50th anniversary session, October 11.
- Lancaster, L. C., & Stillman, D. (2002). *When generations collide: Who they are, why they clash, how to solve the generational puzzle at work*. New York: Harper Collins.
- Lin, N. (2001) *Social capital: A theory of social structure and action*. New York: Cambridge University Press.
- Maslow, A. (1970), *Motivation and personality* (2nd ed.). New York: Harper & Row.
- OECD (2001), *The well-being of nations: The role of human and social capital countries*. OECD, Paris.
- Perkins, H. W. (2003). The promise and challenge of future work on the social norms model. In H. W. Perkins (Ed.), *The social norms approach to preventing school and college age substance abuse: A Handbook for educators, counselors, and clinicians* (pp. 280-296). San Francisco: Jossey-Bass.
- Peterson, P. G. (1996). *Gray dawn: How the coming age wave will transform America – and the world*. New York: Times Books.
- Rocco, T.S., Stein, D., & Lee, C. (2003). An exploratory examination of the literature on age and HRD policy development. *Human Resource Development Review*, 2, 155-180.
- Rosenblatt, Z., & Sheaffer, Z. (2001). Brain drain in declining organizations: Toward a research agenda. *Journal of Organizational Behavior*, 22, 409-424.
- Shea. (1994). *Managing older workers: Overcoming myths and stereotypes*. Palo Alto, CA: Crisp Publications.
- Smola, K. W., & Sutton, D. (2002). Generational differences: Revisiting generational work values for the new millennium. *Journal of Organizational Behavior*, 23, 363-382.
- Stein, D. (2000). *The new meaning of retirement*, ERIC Digest 217, ED440296. Columbus, OH: ERIC Clearinghouse, Center on Education and Training for Employment.
- Strauss, W., & Howe, N. (1997). *The fourth turning: An American prophesy*. New York: Broadway Books.
- Zempke, R., Raines, C., & Filipczek, P. (2000). *Generations at work: Managing the clash of veterans, boomers, xers and nexters in your workplace*. New York: AMACOM.

The Relationship Between an Individual's Margin in Life and Readiness for Change

Susan R. Madsen

Cameron John

Duane Miller

Emily Warren

Utah Valley State College

Effectively managing change is one of the most critical challenges organizations today face. Increasing the readiness for change (RFC) of employees may be one of the most important interventions an organization can initiate. This study investigated the relationship of employee RFC and margin in life (MIL). It studied the relationship of various demographics to employees' MIL. Results suggest there is a significant correlation between MIL and RFC, age, educational level, and length of employment.

Keywords: Readiness for Change, Change, Margin in Life

Effectively managing change is one of the most critical challenges organizations today face. History shows that organizations that continually and consistently rise to meet that challenge are those that are most successful. According to McNabb and Sepic (1995), change is the process of "altering people's actions, reactions, and interactions to move the organization's existing state to some future desired state" (p. 370). Because of the constant changes confronting employees, some degree of adjustment and improvement can and should occur continuously. Often changes result, however, in dissatisfied or distressed employees. When anxiety is high, performance is lowered and job satisfaction is reduced. Staff resistance to the desired change is often excessive and immediate (McNabb & Sepic, 1995). In fact, it is often suggested that it may be easier, at times, and less costly to start a completely new organization than it is to change the culture of an existing one. McNabb and Sepic purported that a key goal of a company is to "introduce desired changes, while keeping anxiety, resistance, and subsequent stress to an absolute minimum" (p. 372). Many of these change challenges reflect complicated human dynamics between individuals, departments, and even with outside organizations and the environment (Backer, 1995).

In the human resource development (HRD) arena, change is discussed at various levels. Organizational change interventions cannot be successful unless individual change takes place. Individual change cannot effectively occur unless employees are prepared and ready. Increasing the overall readiness for change (RFC) of all employees may prove to be one of the most effective interventions an organization can initiate. Employee RFC is a challenge for any organization and is often neglected in planning and implementing (Backer, 1995). It is essential that individuals work through their fears, resistances, and anxieties about changes. This process is one that increases an individual's RFC. Identifying individual change readiness characteristics can help business professionals in prescribing and implementing more effective change interventions. One of the reasons this topic is of such importance to research is not only because of its complexity but also because of its applicability to the work of practitioners in various fields. Backer (1995) explains that

Individual readiness for change is involved with people's beliefs, attitudes, and intentions regarding the extent to which changes are needed and their perception of individual and organizational capacity to successfully make those changes. Readiness is a state of mind about the need. It is the cognitive precursor to behaviors of either resistance or support...readiness for change is not a fixed element of individuals or system. It may vary due to changing external or internal circumstance, the type of change being introduced, or the characteristics of potential adopters and change agents. Thus, interventions to enhance readiness are possible...change can occur under conditions of low readiness, of course, but behavioral science research indicates that the probability of success is reduced when low readiness leads to low motivation to change or to active resistance. (p. 22-24)

By designing and implementing research in this area, we can assist organizations with tools to increase their employees' RFC which, in turn, will benefit both the organization and the individual.

Hanpachern (1997) conducted an interesting study comparing an individual's overall margin in life (MIL), and many of its work and nonwork aspects, with an individual's RFC level. Even though the study resulted in some significant correlations between work aspects and individual RFC, it contained a number of limitations in its research methodology that prevents it from significant generalizability. We were also interested in studying the relationships between MIL and RFC and chose to utilize the general framework of Hanpachern's work while

Copyright © 2003 Susan R. Madsen, Cameron John, Duane Miller, & Emily Warren

making extensive changes to the MIL scale, sample and population, and other methodological components. Because the relationship between work and nonwork domains continues to be of great interest to researchers and employees (Kirchmeyer, 1995), we felt continuing to give attention to these domains in our study was important.

Purpose and Research Questions

The purpose of this survey questionnaire study was to investigate the concepts of McClusky's theory of margin including both the work and nonwork aspects of MIL and their relationship to readiness for change. We wanted to determine if employees who have higher MIL levels are more open and prepared for change. If we felt that supportive findings were discovered, implications for types of change interventions may surface. In addition, the cost-benefit of designing and implementing person-focused, small group, or large group interventions that can assist employees in increasing their margin in life (work and non-work aspects) may be strengthened. Another purpose of this study is for overall discovery. Armenakis, Harris, and Mossholder (1993) stated that "readiness assessments may be for the purpose of discovery as much as for the purpose of confirmation" (p. 688).

The ultimate goal of this study is to learn more about whether employees' levels of RFC are influenced by their MIL and various demographics by exploring the following research questions:

1. Is there a relationship between overall MIL and RFC scores?
2. Is there a specific relationship between MIL work and nonwork scores and readiness for change scores?
3. Are the demographic variables of gender, age, marital status, educational level, number and age of children, and length of time with company related to MIL scores?

Theoretical Framework and Literature Review

A review of the literature can assist in developing a theoretical framework for this research study. First, the results of Hanpachern's (1997) study will be discussed after which literature on the following topics will be reviewed: the importance of creating readiness and reducing resistance to change efforts; the participative method of change interventions; readiness for change characteristics and factors; the manager's role and employee empowerment; the influence of nonwork aspects on employee performance; and the applicability of the transtheoretical model for employee overall readiness for change.

MIL was developed from McClusky's theory of margin, which he first presented in a 1963 publication (Merriam & Caffarella, 1999). Merriam and Caffarella (1999) explained that it is a theory of adult potential. His theory is grounded in the "notion that adulthood is a time of growth, change and integration in which one constantly seeks balance between the amount of energy need and the amount available" (p. 279-80). Hanpachern, Morgan, & Griego (1998) defined this theory, its components, and MIL in the following passage.

The basic concepts in this theory are load, power, and margin. Load is any intangible thought feeling, physiological function, or concrete task that dissipates energy when mentally entertained or physically implemented. High load puts responsibilities or burdens on an individual. Power is any source of energy or any resource that can be used to balance the load; it is positive and creates joy, pleasure, strength, or richness for a person. MIL is determined by load and power according to the formula: [Margin = 1-Load/(Load + Power)]. If load is higher than power, margin is less than .5. In that case, a person's energy is channeled into self-maintenance. By decreasing load, increasing power, or doing both, a person acquires margin, or the ability to act. If people have a high level of MIL (greater than .5) they will have a higher level of satisfaction and feel that more options are open to them, resulting in freedom of choice. A larger MIL equips people to handle emergencies and changes in life. (p. 340)

Hanpachern et al. (1998) make fairly bold conclusions in their article reporting the results of their MIL/RFC research study. They reported significance in all of the work aspects of margin even though the readiness correlations only ranged from .20-.34 (p<.05; p<.01). They did not find significance in any of the nonwork aspects of margin but the overall MIL produced a .28 correlation (p<.01). They concluded from their statistics that the theory of margin can be extended for use in the organization development (OD) field and that MIL can help identify workers' RFC. In their study, work factors (especially management-leadership relations and job skills and knowledge) predicted readiness for change. They explained that "although the nonwork factors themselves were not predictors of readiness in this study, the factors of self, family, and health were generally rated as more important than the work factors. The nonwork factors also had more power than load, indicating positive MIL" (p. 349). Even though significance was noted in many correlations, their bold conclusions in the report were not supported in whole by the statistical findings. Their sample was also such that generalizations outside the one Rocky Mountain company

cannot be professionally made. The results, however, were very interesting and can be utilized for the purpose of discovery as Arkmenakis, Harris, and Mossholder (1993) suggested.

Much of research in the area of RFC is housed in the behavioral sciences fields which studies both organizational and individual levels of change. This literature does support the concept that RFC is significant in the business arena as well as many others. Armenakis et al. (1993) emphasized the importance of creating readiness as a precursor to organizational change. They examined the influence strategies available to help general readiness. They argued that an organization should be actively creating readiness. Backer (1995) reported that failure to analyze and deal with readiness issues can actually lead to "abortive organization development efforts" (p. 21). He explains that resistance to change is directly related to not providing an effective unfreezing process before attempting a change. He theorized that Lewin's unfreeze element of his change theory is a major element of RFC. If proper and complete *unfreezing or readiness* does not occur, long-term successful change cannot occur.

There has been discussion of the relationship between RFC and resistance to change. Armenakis et al. (1993) argued that RFC is distinguished from resistance to change. "Readiness is the cognitive precursor to the behaviors of either resistance to, or support for, a change effort" (p. 681). Trahant (1996) argued that employees' resistance to change is an important component in successful organizational change interventions. He explained that "managing change effectively requires a sophisticated appreciation and understanding of the multiple variables at play. People and processes must be in tight alignment in order to support goals" (p. 37).

Some of the survey questions used in Hanpachern's (1997) study related to the literature suggesting that the participative method of change interventions is important in order to overcome resistance to change. This means that employees participate more successfully in change if they are included in the decision-making process for the change intervention. However, Locke, Schweiger and Latham (1986) noted that, even though evidence does support participation, in decision-making there is some evidence that it is not always a precursor for successful change interventions. Of 50 employee-participation studies reviewed, 26% found that participation resulted in lower productivity. Locke et al concluded that "participation is useful only under certain circumstances, a key requirement being that the subordinate has expertise to bring to the decision-making process" (p. 65).

McNabb and Sepic (1995) introduced a model from their research that identified the relevant factors determining readiness for change for an individual and an organization. These include organizational culture, organization climate, organizational policies, and organizational performance outcomes. According to their model, these are directly linked to readiness for change. It was suggested that the "effective integration of culture, climate, and policies determines the ability of an organization to carry out its mission and to accept and integrate change" (p. 372). "Inertia, manifested as a resistance to change in the operating philosophy of an organization, has been shown to be a powerful force" limiting the adoption of change (p. 381). Backer (1995) presented elements defining efforts to enhance change readiness which include contextual factors, message characteristics, and communication approaches that can be used to deliver them; attributes of change agents; interpersonal and social dynamics of the organization in which change is to take place; and specific enhancement interventions. He presented a model for this enhancement that included three stages: assessing readiness, contextualizing readiness, and enhancing readiness. This literature does support Hanpachern's (1997) and Stevenson's (1982) decision to include a number of work aspect MIL domains, subscales, and individual survey items in their questionnaires.

Cabana, Rand, Powe, Wu, Wilson, Abboud, and Raubin (1999) identified 5,658 articles and selected 76 published studies to review regarding additional RFC characteristics. Each of these studies included at least one barrier to adherence of physicians to clinical practice guidelines, practice parameters, clinical policies, or national consensus statements in an attempt to develop an approach toward improving adherence. These barriers appeared to decrease physicians' RFC and to increase their reluctance to change at least in this specific context. These barriers included lack of awareness, lack of familiarity, lack of agreement, lack of self-efficacy, lack of outcome expectancy, inertia of previous practice, and external barriers (e.g., cumbersome, confusing). Even though their results were not generalized to other employment occupations, further research may show that reducing these barriers may be helpful for other occupations in other types of organizations. These barriers relate directly or indirectly to a number of questionnaire items as well as to the majority of the work aspects of margin Hanpachern (1997) presented.

Hanpachern (1997) showed correlation between an employee's relationship with management/leadership, job knowledge and skill, job demands, social relations, and in his/her MIL. Burke (1997) found that an employee's RFC is reduced when role and task responsibility ambiguity regarding the employer's expectations is present. The employee is more likely to experience feelings of job insecurity as well as possible reduced motivation. Another reason the readiness may not be present is that the employee is not receiving feedback. This naturally contributes to insecurity and reduced motivation. Pronk (1999) studied the hypothesis that willingness to communicate is directly associated with an individual's readiness to change behavior. The results of the study demonstrated this to be the case. Schleusener (1999) studied the RFC of individuals in organizations. "A hierarchical regression analysis of the

elements of the supported employment model on empowerment of individuals in six different departments showed that readiness for change and self-efficacy for teamwork were significant contributors to empowerment" (p. iii).

There is also literature available supporting the findings that nonwork aspects of MIL (i.e., self, family, and health) have an effect on an employee's productivity and stress. A study by Kirchmeyer (1992) provided support that participation in nonwork domains can enrich human resources available for work. The aim of another study by Kirchmeyer (1995) was to test a conceptual framework for managing the work-nonwork boundary. She surveyed men and women who faced considerable demands in both work and nonwork domains because many often report high levels of interdomain conflict. It was found that there is spillover to work from nonwork aspects. Even though the connection was implied, more research is needed to solidify a specific link of these boundaries to readiness for change. Cohen (1995) conducted research to examine the relationship between work commitment form (i.e., organization commitment, occupational commitment, job involvement, Protestant work ethic, work involvement) and nonwork domains. Even though the return rate was only 47%, it was found, with the use of correlational analysis (i.e., regression analysis), that nonwork domains affect all work commitment forms examined in this study, especially organizational commitment. Work commitment forms have been shown to predict important work outcomes such as "turnover, turnover intentions, performance, organizational citizenship behaviors, absenteeism, and tardiness" (p. 240). It was also noted that the way in which organizations react toward nonwork domains of their employees can increase or decrease work commitment. Research in each one of the nonwork aspects of the MIL survey also provides evidence of a positive relationship on an individual's *power* and *load* as defined previously.

Another perspective on RFC can be found in the transtheoretical change model that has been extensively researched during the past 20 years. It was originally developed to study the process of smoking cessation but has expanded to include many other change efforts. The model integrates two interrelated dimensions of change, stages of change and processes of change, along with the constructs of self-efficacy and decisional balance. The stages of change dimension is represented when an individual is ready to change (Barrett, 1997). The five stages of change are precontemplation, contemplation, preparation, action, and maintenance (Barrett, 1997; Block & Keller, 1998; Morena, Johnson, Freels, Parsons, Crittenden, Flay, & Warnecke, 1998). Characteristics of readiness for change are present in both the contemplation and preparation stages. Block and Keller (1998) proposed a segmentation approach (Prochaska & DeClemente's transtheoretical model and Roger's protection motivation theory) to suggest that people at different stages of readiness for change are differentially affected by levels of these predictor variables (i.e., vulnerability, severity, response efficacy, and self-efficacy) which is supported by their research. They do admit, however, that they cannot determine with the correlational statistics, the direction of the correlation. Morena et al. (1998) discussed the debate surrounding the measure of stage of readiness to change and the transtheoretical model. They concluded that their research results indicated that the measure of readiness for change showed high levels of stability and reliability in their specific setting. Further study of the literature in this area will help solidify some of the elements (e.g., health, self, social relations) discussed and designed for this study.

The reviewed literature assisted in the development of a theoretical framework for this research study. The literature does support the importance of RFC as well as a high MIL in overall human productivity. It has also supported the design choices in Hanpachern's (1997) study of the eight work and nonwork aspects of margin and also supports the items in our revised and simplified MIL scale that has yet to be presented.

Research Methods

In this section, information on five topics will be provided: participants and sample selection (size and process), measures/instrumentation, data collection procedures, data analysis procedures, and limitations. This research study involved a survey questionnaire being given to employees in corporate settings. It can be classified as a correlation relational study because two or more different kinds of data will be gathered from the same groups of subjects to test for relationship between the independent and dependent variables. It is concurrent because the independent and dependent variables occur at the same time.

Participants and Sample Selection

The population of this study was the group of individuals that conformed to specific criteria and to which we intend to generalize the results of this research study. This target population included the populations of four organizations (three for-profit and one non-profit) within the state of Utah with numbers of local employees ranging from approximately 200 to over 2,000. These organizations varied greatly in industries, products, and services. One organization distributed surveys to all employees while another distributed surveys to all employees within six predetermined departments. A third conducted a random sample of all supervisors, management, and leadership within the organization. Finally, we ran a random sample of about two-thirds of all employees for the fourth company. A total of 758 surveys were given to employees and 464 were returned for a return rate of over 61 percent.

Measures/Instrumentation

We had originally explored doing a complete replication of Hanpachern's (1997) study; but after some troubling pilot test results, we substantially changed the MIL scale for our study. For our revised study, RFC served as the dependent variable, overall, work, and nonwork MIL served as independent variables, and the intervening demographic variables included gender, age, marital status, educational level, number of children, age of children, and length of time with company.

We used two instruments for this research project. First, we used Hanpachern's original 14-item RFC scale (with slight alterations) which was based in part on McNabb and Sepic (1995) and several unpublished studies. The stem question asked "My willingness or openness to..." and some sample items include the following: 1) work more because of the change is; 4) create new ideas is; 7) change the way I work because of the change is; and 12) support change is. Participants were asked to circle one of seven numbers on a Likert scale (1=very unlikely; 7=very likely). Schleusener (1999) explained that Hanpachern identified three dimensions of readiness for change: promoting change, participating in changes, and resisting change. These dimensions serve as subscales. Promoting includes 4 items, participating includes 6, and resisting change includes the remaining 4 items used in this scale. Hanpachern pilot tested three versions of this scale and Cronbach's alphas was measured to be .82 which indicates good internal consistency (Hanpachern, 1997; Hanpachern et al., 1998; Schleusener, 1999). Our slightly adjusted instrument had a Cronbach's alpha of .81 which is very consistent.

Second, we formed the MIL scale by studying Hanpachern's MIL Revised scale which had already been modified from the original published survey by Stevenson in 1982. The MIL Revised scale consisted of 50 questions design to measure many aspects of life in relation to work and nonwork. The work aspects of margin are divided into five categories including job knowledge and skill, job demands, social relations in the workplace, management-leadership relations, and organizational culture. The nonwork aspects of margin are divided into three categories which include self, family, and health. Our simplified instrument included nine questions in total, with only one question focused on each of the work and nonwork areas discussed. Participants were asked to read each statement carefully and then circle the number (on the list provided below) that best represented their feelings and views.

- 1 = Takes *a lot* of my energy – it physically or mentally drains – a load on my shoulders
- 2 = Takes *some* of my energy – it *somewhat* drains me – somewhat of a load on my shoulders
- 3 = Neither takes energy nor provides joy, pleasure, strength, or richness for me.
- 4 = Provides or creates *some* joy, pleasure, strength, or richness for me – gives me *some* energy/power in life.
- 5 = Provides or creates *a lot* of joy, pleasure, strength, or richness for me – gives me energy/power in my life.

The participants were asked to answer the following nine questions by circling one of the numbers (1-5) provided above.

1. My job...
2. Balancing my work and family...
3. My physical and mental health...
4. My relationship with my boss...
5. My social relationship in the workplace...
6. My current job knowledge and skills...
7. The demands of my job...
8. My commitment to this organization...
9. My family...

The Cronbach's alpha for this scale was .73 which is lower than Hanpachern's version (alpha = .85) but still within an acceptable range. The new version of the MIL instrument was pilot tested (n=44) to ensure internal consistency which was found. Even though Stevenson (1982) and Hanpachern (1997) established validity, stability, and internal consistency on their instrument, because of the substantial changes in the current form, establishment will need to be re-explored.

Data Collection Procedures

A key contact at each organization was used to distribute surveys. This individual had a list of the employees to be given surveys and the survey number each should be given. We kept a list of survey numbers given to each organization, and we recorded which surveys were returned. Researchers did not have a list of employee names so confidentiality was maintained. Numbers were used to identify organizations. After about 10 days we asked the organizational contacts to provide a general reminder to all participants to return surveys. Additional copies of surveys were given to the contacts so that they could provide additional copies to employees who may have misplaced their original copy. In three of the organizations, an envelope with a pre-addressed and stamped envelope was provided so they could mail them directly to us. One organization asked participants to seal them in an envelope and drop them off in a large *drop* envelope located in each of their departments. The following week a researcher

picked up the sealed envelopes. Again, a total of 758 surveys were distributed to employees and 464 were returned for a return rate of over 61 percent. After the data collection phase, results were entered into SPSS for analysis.

Data Analysis Procedure

We used Pearson correlations and multiple regressions to explore the relationships between MIL and RFC. The Pearson correlation coefficient was used to test magnitude and direction of the relationship. Multiple regressions were used to determine the correlation between the criterion variable and a combination of demographics (Gall et al., 1996). Along with other regression tests, the unstandardized B coefficient will be reported.

Limitations

There are five primary limitations for this study:

- First, our study was limited to only specific aspects of MIL. It did not and could not address all variables that can increase an individual's power or all of the variables that can decrease an individual's load;
- Second, an individual's RFC can be influenced by variables not measured in this study. A questionnaire survey cannot accurately control many variables within an organization's culture or for an individual's situation;
- Third, participants may not have a clear understanding of *power* and *load* even though it will be briefly addressed on the questionnaire. There was not time nor finances for interviews, so the participants were limited to just a brief written description;
- Fourth, a questionnaire cannot probe deeply into respondents' opinions and feelings which would be helpful in taking a more comprehensive look at RFC and its relationship to MIL;
- Fifth, the study will be limited to 758 employees in four organizations. A larger and fully randomized sample would have improved generalizability.

Results and Discussion

Table 1 contains a table of the demographics of the participants who returned their surveys. As is shown, male and female respondents were nearly equal; and most employees were between the ages of 21 and 54 (see additional demographics below).

Table 1. *Demographic Frequencies of the Sample*

Demographic	Categories and Frequencies
Sample	n=464
Gender	Male (n=222); Female (n=229)
Age range	Less than 21 (n=10); 21-30 (n=230); 31-40 (n=97); 41-54 (n=92); 55+ (n=22)
Marital status	Single (n=96); Separated/Divorced (n=33); Widowed (n=3); Married (n=316)
Highest educational level	High School (n=135); Associate Degree (n=141); Bachelor Degree (n=152); Masters Degree (n=21); Doctorate Degree (n=2)
Age of children	None (n=180); 0-5 (n=144); 6-11 (n=98); 12-18 (n=87); Over 19 (n=51)
Length of time with company	0-6 months (n=53); 7-11 months (n=63); 1-2 years (n=95); 3-5 years (n=145); 6 or more years (n=95)
Company	1 (n=128); 2 (n=145); 3 (n=127); 4 (n=54)

The first research question asked if there was a relationship between overall MIL and RFC scores. The Pearson's correlation coefficient ($r=.298$) did show that there was a significant correlation at the .01 level between an individual's MIL and his or her RFC responses. This supports Hanpachern's (1997) findings ($r=.28$, $p<.01$) already discussed. This means that individuals who perceive they have more *power* than *load* (MIL) also believe they are more open and ready for change.

The second question focused on a specific relationship between MIL work and nonwork scores and readiness for change scores. This question is asking us to look deeper within the MIL score to see if there are correlations between the six work MIL work items and RFC as well as the three nonwork MIL items and RFC. As for the work MIL items, there is a significant correlation ($p=.01$) of .288 between work MIL and RFC. This means that employees' perceptions of work related *load* and *power* does have a relationship with their RFC. In other words, the more *power* or the higher MIL related to work (relationship with boss, commitment to company, relationship with coworkers, and such)—the more the employee is open and ready for the changes that he or she may confront or be asked to make at work. There is also a correlation (although very low) of RFC and nonwork MIL (family, work-

family balance, physical and mental health) ($r=.181$). This means that there is a relationship between the *power* employees may feel from their families/health that may be related to their RFC as well.

The final question revolves around the demographic variables of gender, age, marital status, educational level, number of children, and length of time with company and their relationship with their MIL. Unlike Hanpachern's study, which found no relationship between demographics and MIL, it appears that there is a significant relationship between MIL and age of employee ($p=.045$), education level ($p=.002$), and the length of time an employee has been working with the company ($p=.041$) (see Table 2) in our study. In general terms, the older the employee is the higher MIL level he or she perceives (more power than load). Another interesting finding was that education level was very significant and it looks like there is actually a negative relationship between the level of education and MIL. This means that employees with less education perceive themselves as having higher levels of MIL. This may be because people with more education typically have more responsibility, tend to be salaried instead of hourly (hence often work more hours), and may have more complex jobs. These individuals may feel more of a *load* than those who are not as educated. Finally, it appears that those who have been with the company the shortest periods of time have higher level MIL levels. The past literature provides no findings to explain why this would be the case. Literature does find that new employees often adapt better to change than employees who have worked longer (Hogarty, 1996). Maybe new employees also feel a lighter *load* because they are not fully entrenched into an organizational culture that may become more of a burden or *load* the longer an employee works for the same company.

Table 2. *The Relationship Between MIL and Selected Demographics*

Variables	B	Sig.	R ²	ΔR ²	F
(Constant)	29.465	.000	.251	.063	2.599**
Gender	.841	.104			
Age of employee	.791	.045*			
Marital status	.218	.316			
Educational level	-.863	.002**			
# of children	7.616E02	.839			
Length of time with company	-.422	.041*			

* $p < .05$, ** $p < .01$

Conclusions, Recommendations, and Contributions

Identification of factors that influence readiness for individual change are important to identify. Changing individual employees is a complex task, especially when they are not open or supportive of change efforts. This study found that employees who have higher MIL levels (meaning they feel more energy, strength, joy, and power from their work and nonwork lives and environments) may be more open and ready for changes the organization may require of them. Furthermore, employees who feel good and are not burdened down by various work (job in general, job demands, relationship with boss, workplace social support, job knowledge and skills, and commitment to the organization) and possibly nonwork (family, balancing work and family, physical and mental health) appear to be ready to make the changes that may be needed by the organization. This provides some support for organizations to offer assistance or help to employees so that they can have more energy to commit to change efforts. Interventions may include assisting employees with balancing work and family responsibilities (flexible schedules, childcare assistance, job-sharing, training, and more), offering wellness programs, organizing communication improvement activities with management and employees, providing continual help related to improving job knowledge and skills, adjusting job demands when appropriate, and providing programs to improve organizational commitment, increasing employee autonomy, and more.

Continued research in the area of RFC is essential. Even though the concepts have been around for many years (e.g., Kurt Lewin) and much has been done in the general area of change, little research has been done in HRD and management arenas related to readiness for change at the individual level. Research focusing on identification of RFC factors and resistance to change constructs is needed. In addition, research is needed on specific interventions that can result in increased RFC. Finally, research needs to be continued in the area of the transition from workplace readiness to the actual change movement.

What are the implications to HRD? It is probably obvious. HRD is all about change. Change is foundational to both organization development and training and development. Many focus on organizational change, but individual change can be just as important to understanding and facilitate. Practitioners who do not understand individual readiness will develop and implement change interventions that will not be as successful (short-term and long-term) as those who design interventions to prepare employee to be open and ready for change when it is needed. Overall, we (HRD professionals) can be more effective and efficient if we understand readiness for change and its antecedents, determinants, moderators, outcomes, connections, and complexity.

References

- Armenakis, A. A., Harris, S. G., & Mossholder, K. W. (1993). Creating readiness for organizational change. *Human Relations*, 46(6), 681-703.
- Armenakis, A. A., Harris, S. G., & Field, H. S. (1999). Making change permanent: A model for institutionalizing change. In W. Passmore & R. Woodman (Eds.), *Research in organization change and development* (Vol.XII, pp. 97-128). Greenwich, CT: JAI.
- Backer, T. E. (1995). Assessing and enhancing readiness for change: Implications for technology transfer. In T. E Backer, S. L. David, & G. Soucy (Eds.), *Reviewing the behavioral science knowledge base on technology transfer* (pp. 21-41). Rockville, MD: National Institute on Drug Abuse.
- Barrett, B. S. (1997). *An application of the transtheoretical model to physical activity*. Unpublished Doctoral Dissertation, University of Minnesota, St. Paul.
- Block, L. G., & Keller, P. A. (1998). Beyond protection motivation: An integrative theory of health appeals. *Journal of Applied Social Psychology*, 28(17), 1584-1608.
- Burke, W. W. (1997). The new agenda for organization development. *Organizational Dynamics*, 26(1), 6-20.
- Cabana, M. D., Rand, C. S., Powe, N. R., Wu, A. W., Wilson, M. H., Abboud, P. C., & Rubin, H. R. (1999). Why don't physicians follow clinical practice guidelines?: A framework for improvement. *The Journal of the American Medical Association*, 282(15), 1458-1465.
- Cohen, A. (1995). An examination of the relationship between work commitment and nonwork domains. *Human Relations*, 48(3), 239-263.
- Gall, M. D., Borg, W. R., & Gall, J. P. (1996). *Educational research: An introduction* (6th ed.). White Plains, NY:Longman Publishers.
- Hanpachern, C., Morgan, G. A., & Griego, O. V. (1998). An extension of the theory of margin: A framework for assessing readiness for change. *Human Resource Development Quarterly*, 9(4), 339-350.
- Hanpachern C. (1997). *The extension of the theory of margin: A framework for assessing readiness for change*.Unpublished Doctoral Dissertation, Colorado State University, Fort Collins.
- Hogarty, D. B. (1996). The young and the restless. *Working Women*, 21(7-8), 27-28.
- Kirchmeyer, C. (1995). Managing the work-nonwork boundary: An assessment of organizational responses. *Human Relations*, 48(5), 515-536.
- Kirchmeyer, C. (1992). Nonwork participation and work attitudes: A test of scarcity vs. expansion models of personal resources. *Human Relations*, 45(8), 775-791.
- Locke, E. A. Schweiger, D. M., & Latham, G. P. (1986). Participation in descition making: When should it be used? *Organizational Dynamics*, 14(3), 65-80.
- Merriam, S. B., & Caffarella, R. S. (1999). *Learning in adulthood: A comprehensive guide* (2nd ed.). San Francisco:Jossey-Bass Publishers.
- Morera, O. F., Johnson, T. P., Freels, S., Parsons, J., Crittenden, K. S., Flay, B. R., & Warnecke, R. B. (1998). The measure of stage of readiness to change: Some psychometric considerations. *Psychological Assessment*, 10(2), 182-186.
- McNabb, D. E., & Sepic, F. T. (1995). Culture, climate, and total quality management: Measuring readiness for change. *Public Productivity & Management Review*, 18(4), 369-385.
- Pronk, N. P., Tan, A. W. H., & O'Connor, P. (1999). Obesity, fitness, willingness to communicate and health care costs. *Medicine & Science in Sports & Exercise*, 31(11), 1535-1543.
- Schleusener, R. D. (1999). *Empowerment in organizations: Dimensions of the supported employment model*. Unpublished Doctoral Dissertation, Colorado State University, Fort Collins.
- Stevenson, J. S. (1982). Construction of a scale to measure load, power, and margin in life. *Nursing Research*, 31 (4), 222-225.
- Tranhant, B., & Burke, W. W. (1996). Traveling through transitions. *Training & Development*, 50(2), 37-42.

Cross-Cultural Multi-Theory Perspectives in Research: Dialogue Based on Theory and Data from the US and the Netherlands on Action Learning Programs

*Rob F. Poell
Tilburg University*

*Lyle Yorks
Victoria J. Marsick
Columbia University*

*Jean Woodall
Kingston University*

This innovative session consists of a panel discussion on different approaches to researching and understanding action-learning programs, based on collaborative empirical work. Panel members compare their use of a critical-pragmatist approach and an actor-network approach. These different but complementary approaches are compared regarding their focus on managers vs. shop floor employees, the role of the set facilitator, implementation and continuation of learning following the program, and the integration of work and (self-directed) learning.

Keywords: Action Learning, Cross-cultural Comparison, Dutch-US Collaboration

The idea for this innovative session emerged at a prior AHRD conference where several papers on action learning were presented. Talking about the differences and commonalities among the perspectives, two US researchers and a Dutch researcher decided to conduct a joint collaborative study into their respective approaches to organizing action-learning programs. For this study, the Dutch researcher re-analyzed a US-based action-learning program case for which data were collected previously by the US researchers. In turn, the US researchers re-analyzed Dutch action-learning program cases for which data were initially gathered by the Dutch researcher. While the US researchers refer to their own perspective as a critical-pragmatist one (Yorks, O'Neil, & Marsick, 1999; Yorks, 2003), the Dutch researcher operates from an actor-network perspective on action learning (Poell & Van der Krog, 2003). The researchers used their respective theoretical frameworks in this collaborative project to explore to what extent they could make sense of action-learning data gathered previously by the other party. These are elaborated upon below.

The Actor-Network Perspective on Action Learning

The actor-network perspective gives central stage to organizational actors operating in a learning network. Actors can be regarded as individuals or collectives of people who act on the basis of their views and interests, such as, employees, supervisors, managers, trainers, HRD professionals, work preparation staff, professional associations, trade unions, and so forth. Learning programs are created by interactions among actors, in the context of an existing work and learning structure. Although this context influences the actions taken by actors, they do not necessarily act completely in line with existing structures. Their actions are influenced by individual and collective views and interests of other actors, too. This line of thinking was developed by Van der Krog (1998), who translated Mintzberg's (1989) ideas about work organization to the various ways in which learning is organized.

Core activities in any learning program include orientation, learning and optimizing, and continuation. First, the orientation phase comprises mobilizing all parties concerned, analyzing the core tenets of the learning theme, placing the learning program in the context of the broader learning and work context of the organization, and drawing up a (psychological-social) learning contract. Second, the learning and optimizing phase is where the key learning activities take place, are coordinated by the various participants, and are connected to their every-day learning activities. During the execution of the program, attempts can be made to optimize the way it is running. These efforts are targeted at tuning the emerging program to the learning views as well as the work views of the participants and at ensuring it remains relevant to the developments occurring in the work of the learners. Third, in the continuation phase individual learners resume their every-day learning activities and the learning system of the organizations gets updated with the 'learning knowledge' developed in the program (Poell & Van der Krog, 2003).

Copyright © 2004 Rob F. Poell, Lyle Yorks, Victoria J. Marsick, & Jean Woodall

There are at least four ideal typical ways in which these phases can be organized. These are referred to as the liberal-contractual, vertical-regulated, horizontal-organic, and external-collegial type, respectively.

1. The individual responsibility of learners is core to a liberal-contractual learning program. This type is very much informed by the self-directed learning ability of individual group members (Brookfield, 1986). Each individual member uses the team context to facilitate and enrich their own learning process, for which they are self-responsible (Candy, 1991).

2. The vertical-regulated learning program sees educators and other experts, in consultation with line managers, play a crucial role in the preparation, execution, and evaluation of the activities of the learning group. This type is evident in the training-for-impact approach taken by Robinson and Robinson (1989) and the notions about structured on-the-job training of Jacobs and Jones (1995).

3. In the horizontal-organic learning program, learners work together as a relatively autonomous team, assisted by a process supervisor, in solving complex work-related problems to which there is no standard approach. This type has the early work on organizational learning by Argyris and Schön (1978) as a key reference point. More recently, literature on communities of practice (Wenger, 1998) seems to draw rather heavily on this type of learning.

4. The external-collegial learning program has a learning group of professionals allow themselves to be inspired by innovative insights and new methodologies developed within their own professional branch but outside their own individual organizations. This type assumes that professionals are reflective learners (Schön, 1983), in need of continual expertise development within their professional peer group (Daley, 1999).

The actual way in which the key elements of a learning program (orientation, learning and optimizing, and continuation) take shape, somewhere in between the four ideal types, depends partly on work characteristics and partly on actor characteristics. Actors can always deliberately create a learning program that deviates from the 'normal' organizational routine. Nevertheless, the actor-network perspective postulates particular relationships between the organization of work and learning programs. The comparative cross-cultural research project that is central to the current session brings this particular perspective to the work of Yorks, Marsick, and their colleagues.

The Critical-Pragmatist Perspective on Action Learning

The critical-pragmatist perspective refers to a lens for theorizing about adult learning that combines elements of both critical theory and pragmatism. The approach taken here reflects Jack Mezirow's (1991) seminal writing on the transformative dimensions of adult learning. Mezirow draws on elements of Dewey's pragmatism and its emphasis on learning from experience, and the critical social theory of Habermas, particularly the role of critical reflection in emancipatory learning. Mezirow's work was foundational for the development of an empirically based taxonomy of action learning program models (Yorks, O'Neil, and Marsick, 1999).

The Yorks, O'Neil, and Marsick taxonomy classifies action learning programs as incidental, scientific, experiential, and critically reflective based on the assumptions about learning that underlie the program and makes statements about both the kind of learning that is most likely fostered and the impact on the organization.

1. Action learning programs that fit the general description of the tacit school assume that significant learning will result if program participants are carefully selected, some team building is done at the beginning of the program, and information regarding the project or challenges the group is addressing.

2. The scientific school places a strong emphasis on problem setting as well as problem solving, is highly rational applying the scientific model to social and workplace problems. Consequently this approach involves a cautious data-driven centered on reformulating the problem. A secondary hoped for outcome is incidental learning around how to continue to learn from work and experience. Placing importance on learning from peers, a learning coach initially plays a minimalist role in helping the group learn the process.

3. The experiential school is strongly influenced by the experiential learning cycle as developed by theorists such as Kolb (1984) and Mumford (1993). An emphasis is placed on the role of reflection as an important part of the learning process, with a learning coach actively designing practices to this end. In addition to working on the presenting problem participants also work on personal developmental learning goals using the action-learning project as a vehicle for this learning.

4. The critical reflection school focuses on experiential learning, taking reflection to a deeper level by focusing on the premises that underlie the thinking and behavior of participants. Mezirow refers to this as process as critical reflection.

The taxonomy is useful to making judgments about the feasibility of a particular approach for different organizational settings and as basis for researching these kinds of programs. The basis for the taxonomy is labeled a critical-pragmatism approach because it uses critical reflective approaches to experiential learning as the lens for examining the approach and focus on informal and formal learning experiences. Recently Yorks (2003) has extended

the taxonomy to include forms of communities of practice. This comparative cross-cultural research project brings this lens to the studies carried out by Poell and his colleagues.

Session Description and Content

The session is designed as a panel discussion about the core themes that emerged from the comparison of the two perspectives. These include: focusing on action-learning programs of managers vs. shop floor employees, the role of the action-learning set facilitator, the attention paid to implementation and continuation of learning following the program, and the extent to which work and (self-directed) learning are integrated. Scholars who are interested in action learning and in applying a cross-cultural perspective are cordially invited to join in this session and debate with the panelists about the implications of this US-Dutch collaborative work.

Presenters/Panelists

The panel will consist of Lyle Yorks, Victoria Marsick, and Rob Poell, who are all researchers in the field of action learning. The discussion will be led by Jean Woodall, an expert in cross-cultural research.

Purpose

The purpose of the discussion is to find out to what extent the critical-pragmatist approach of the US researchers and the actor-network approach of the Dutch researcher are different and complementary. By doing so, the session aims to encourage critical thinking among the audience about the different perspectives one can apply to action learning.

Goals

1. Participants understand the core elements of the critical-pragmatist and actor-network approaches to action learning, their differences, and their complementarities.
2. Participants challenge their own thinking about action learning by confronting it with at least these two different perspectives.
3. Creation of an outline of a framework for conducting and assessing the value of participating in collaborative data analysis from alternative perspectives useful for researchers interested in pursuing this kind of inquiry.

Format, Style, and Timetable

The panel discussion will be interactive in nature. Depending on the number of participants in the session, the panel discussion may continue into small groups during the session. The style of the interaction will thus be open and personal. The audience will be provided with sample vignettes and short excerpts from interview transcripts to illustrate tensions or multicultural issues that could be used as a springboard for discussion. These will be handed out at the beginning of the session so attendees can read them over and scan them during the panel introduction. Examples will also be brought into the overview presentations.

The timeframe is as follows: the panelists each present their approach to action learning and some of the discussion points that emerged from the cross-cultural data comparison (15 minutes). The discussant raises some further issues from her reading of the US-Dutch collaboration, using a cross-cultural framework (10 minutes). At least four themes (mentioned under Session Description and Content) are then discussed with the audience, moderated by the discussant (or by all presenters if the session splits into small groups) (50 minutes). The final part of the discussion is devoted to the question of what merit there is in using different perspectives on action learning, both for the audience and for further development of theory and research in that area (15 minutes). Ideas that emerge from the discussion will be captured on easel sheets for distribution to those attending, providing a record of the conversation.

References

- Argyris, C., & Schön, D. A. (1978). *Organizational learning: A theory of action perspective*. Reading, MA: Addison-Wesley.
- Brookfield, S. D. (1986). *Understanding and facilitating adult learning: A comprehensive analysis of principles and effective practices*. San Francisco: Jossey-Bass.

- Candy, P. C. (1991). *Self-direction for lifelong learning: A comprehensive guide to theory and practice*. San Francisco: Jossey-Bass.
- Daley, B. J. (1999). Novice to expert: An exploration of how professionals learn. *Adult Education Quarterly*, 49(4), 133-147.
- Jacobs, R. L., & Jones, M. J. (1995). *Structured on-the-job training: Unleashing employee expertise in the workplace*. San Francisco: Berrett-Koehler.
- Kolb, D. (1984). *Experiential learning*. Englewood Cliffs, NJ: Prentice Hall.
- Mezirow, J. (1991). *Transformative dimensions of adult learning*. San Francisco: Jossey-Bass.
- Mintzberg, H. (1989). *Mintzberg on management: Inside our strange world of organizations*. New York: Free Press.
- Mumford, A. (1993). *How managers can develop managers*. Brookfield, VT: Gower.
- Poell, R. F., & Van der Krog, F. J. (2003). Learning-program creation in work organizations. *Human Resource Development Review*, 2(3), 252-272.
- Robinson, D. G., & Robinson, J. C. (1989). *Training for impact: How to link training to business needs and measure the results*. San Francisco: Jossey-Bass.
- Schön, D. A. (1983). *The reflective practitioner: How professionals think in action*. London: Temple Smith.
- Van der Krog, F. J. (1998). Learning network theory: The tension between learning systems and work systems in organizations. *Human Resource Development Quarterly*, 9(2), 157-177.
- Wenger, E. (1998). *Communities of practice: Learning, meaning, and identity*. Cambridge, MA: University Press.
- Yorks, L. (2003). Beyond the classroom: Transfer from work-based learning initiatives. In E. F. Holton III, & T. T. Baldwin (Eds.), *Improving learning transfer in organizations* (pp. 138-160). San Francisco: Jossey-Bass.
- Yorks, L., O'Neil, J., & Marsick, V. J. (1999). Action learning: Theoretical bases and varieties of practice. In L. Yorks, J. O'Neil, & V.J. Marsick (Eds.). *Action learning: Effective strategies for individual, team, and organizational development* (Advances in Developing Human Resources). San Francisco: Berrett-Koehler.

Career Development Within HRD: Foundation or Fad?

Marieke S. van Dijk
University of Minnesota

This article examines the evolving nature of Human Resource Development (HRD) as reflected in changes in one of the component parts often associated with HRD – career development (CD). Recent developments within career development such as a focus on employability, the boundaryless career, and free agent workers are discussed. New directions for career development, including the role of informal learning, integrative life planning, and the focus on systems theory as a link between both fields, lead to the conclusion that CD can and should be a foundation for HRD.

Keywords: Career Development, Foundations of HRD, New Directions in HRD

Human resource development (HRD) scholars and practitioners have frequently identified career development (CD) as one of the key components, or critical areas, underlying the field (McLagan, 1989; Swanson & Holton, 2001; Weinberger, 1998). Moreover, Ralphs and Stephan (1986) surveyed HRD departments in Fortune 500 companies and reported that the four main HRD activities in those organizations were considered to be: organization development, training and development, human resource planning, and career development. More recently, Bartlett, Kowske and Anthony (2003) examined Web sites of 247 of the Fortune 500 companies and found that over half mentioned career development, even if only briefly. This evidence seems to lead to the conclusion that career development is of interest to HRD scholars and practitioners and, thus, one of the foundational components of HRD.

However, in examining HRD research, and as mentioned by other authors, career development does not receive much attention from HRD scholars (Boudreaux, 2001; McDonald, Hite & Gilbreath, 2002; Upton, Egan & Lynham, 2003). A review of conference proceedings of the Academy of Human Resource Development of the last three years revealed only two articles related to career development in the 2003 proceedings, one in 2002, and three in the 2001 conference proceedings. Moreover, in a foundational text on HRD, Swanson & Holton (2001) acknowledged, "career development is often overlooked as a contributor to HRD" (p. 312).

An examination of curriculum content in HRD and HR programs paints an even worse picture. Kuchinke (2002) reported that career development is taught in less than half of the core or required curricula of graduate HRD programs in the USA. An analysis of content areas covered in U.S. American graduate HR programs showed that career management or development is required at only one of the 76 universities surveyed and one other program offered it as an elective course (Madsen, Musto & Hall, 2003). In conclusion, even though career development is often defined as a foundational component of HRD, it is underrepresented in the literature in the field as well as in the education of our future scholars and practitioners.

One reason for this, as reported by Upton, Egan and Lynham (2003), might be the lack of literature with a focus on the common ground between HRD and career development. Another reason could be that HRD is more focused on performance improvement and learning on the organizational and systems levels than on the individual level (Upton, Egan, & Lynham, 2003). Furthermore, macro-level forces, such as technological and economic forces, coupled with changing workforce demographics, changed the nature of work and modified the concept of career drastically over the last ten or so years (ACES, 2000; Brown, 1996, 1997, 1998a, 1998b; Feldman, 2002; Hall, 1996; Howard, 1995; Judy & D'Amico, 1997; Sullivan, 1999). As a result, the responsibility for the development of careers has shifted from an organizational centric design to an individual centric design. Individuals must now take control of their own career development (Leana, 2002; Sullivan, 1999; Swanson & Holton, Upton, Egan & Lynham, 2003). These changes in the nature of work have had a significant impact on the theory and practice of career development.

It appears that in the midst of all this change, HRD scholars and practitioners have lost sight of an important field to draw upon for their theory building and development of practice. Although individuals are ultimately responsible for their own career development in the new workplace, organizations remain the context in which this development has to take place. This author agrees with Conlon (2003) that "organizations create the climate and influence career decisions for the individual, whether by design or not" (p. 489). Therefore, I will argue that career development should be a foundation for HRD and not some fad that is insignificant to the discipline.

The purpose of this paper is to examine the evolving nature of HRD as reflected in changes in one of its components - career development. First, a short overview of career development, including definitions, history, and

the specific focus on adults, will be provided. Next, the changing nature of work and its impact on the focus and availability of career development opportunities in organizations is discussed. In addition, this article explores how these changes in the nature of work have resulted in new visions on the concept of career and the employer-employee relationship. Furthermore, foci for career development within the new employee-employer relationship are highlighted. As a final point, recommendations for future directions in research in the field of career development and its relationship with HRD are presented.

Career Development: Definitions and Focus

Definition

Upton, Egan, and Lynham (2003) examined 30 different definitions of career development that covered 48 dependent variables. These variables ranged from individual outcomes, e.g. achieved career objectives and development of a self-concept to organizational and societal outcomes, e.g. increased organizational performance and aligned organizational talent with individual career needs. One of the definitions of career development listed by Upton, Egan, and Lynham (2003) is the definition by Boudreax (2001). She described career development in terms of fit between organizational and individual goals, noting that "Career development focuses on the alignment of individual subjective career aspects and the more objective career aspects of the organization in order to achieve the best fit between individual and organizational needs as well as personal characteristics and career roles" (p. 806).

This definition of career development will be used in this article because the focus of this definition is on both the individual and the organization. Many of the definitions described by Upton, Egan, and Lynham (2003) were more geared to the self-development of an individual, but missed the organizational perspective. Since performance improvement on both the organizational and individual level is central to HRD, Boudreax's (2001) definition seemed an appropriate definition for career development within the context of HRD.

History and Focus

Historically, career development practice stems from vocational guidance. The shift from an agricultural economy to an industrial system increased the need for people to identify and access emerging jobs. Career development in that time focused on helping the individual choose their profession. It was not until the Twentieth-century that career development also started to include the effectiveness of career development interventions across a wide range of organizational settings and populations (Herr, 2001). Therefore, the term career development has come to describe two sets of theories, or conceptual domains.

The first set of theories focuses on the development of career behavior across the life span and concentrates on matching individuals to jobs and providing occupational information. This approach is also called career counseling or career planning. The second set of theories, sometimes called organizational career development or career management, explains how career behavior is changed by certain (organizational) interventions. Career management is an organizational level approach that addresses human resource needs of the organization and connects these with individual career plans and development needs (ACES, 2000; Boudreax, 2001; Gutteridge, Leibowitz & Shore, 1993; Hall, 1996; Herr, 2001).

Career development, as used in this article, will focus on organizational career development. Career planning theories focusing on choosing a first career for high school or college students are not as relevant to HRD since this target group traditionally falls outside the boundaries of HRD. On the other hand, theories with regard to adult development are especially relevant to HRD because these give scholars and practitioners insight in the different career stages through which adults progress (Swanson & Holton, 2001). Organizational career development theories should focus the interaction between individual and organization, and can also be regarded as change theories on an individual level, which make them central to HRD (Swanson & Holton, 2001).

Beyond the Individual and the Organization: Forces Influencing Career Development

According to systems theory, the forces at work in the macro environment inevitably have an effect on the individual employee within the organization (Swanson & Holton, 2001). Advancements in technology, changing workforce demographics, and expanding global markets influence the skills one needs to advance in a career, but also the way a career is developed (Covert, 1995; Feldman, 2002; Howard, 1995; Madsen, 2001; Sullivan, 1999; Van der Spiegel, 1995). For example, economic conditions and the health of particular sectors of the economy influence individual's career opportunities and constraints. Moreover, as Feldman (2002) noticed, "the effect of macro-level forces may even be greater on individual's perceptions of the desirability of various career opportunities" [...] than the influence of the immediate nuclear family on career development (p. 8). Leana (2002) also acknowledged that external markets have become the primary factor in career development decisions. From

training opportunities to the very existence of jobs, it all depends on external market forces. In this section, three important forces that influenced the field of career development over the past few years will be discussed. These are the gap in career development opportunities between professionals and nonexempt employees, the winner-take-all economy, and the potential national role for career development.

Professional vs. Nonexempt Employees.

One of the basic principles of career development should be that career development is for everyone, not just for high potentials (McLean, 2002). However, McDonald, Hite, and Gilbreath (2001) called attention to the fact that nonexempt employees are often overlooked in career development and HRD. Access to developmental activities has traditionally been limited to managerial talent, who are viewed as the most valuable human resource. There seems to be an implicit assumption that nonexempt employees do not have careers--they have jobs. Even now, the assumption prevails that nonexempt employees have no significant long-term aspirations that need to be addressed by career development staff. McDonald, Hite & Gilbreath (2001) illustrated the falsity of this assumption and identified three themes important for nonexempt employees, that deserve the attention of both career development and HRD specialists. These are: (1) the work itself (e.g. challenge, variety, accomplishment) (2) climate issues (e.g. relationship with colleagues, being appreciated, having input), and (3) security/ compensation/ benefits (e.g. job security, good pay/benefits, flexible work schedules).

Moreover, with the current mass lay-offs, the fear of finding a job in the first place has prevailed over concerns about career opportunities, but this will change in the future. Even then, when unemployment numbers drop, the problem of employee matching remains. The "right" people for the job may not be those who are seeking employment (Howard, 1995; Judy & D'Amico, 1997). Yet, it is this group of employees – usually nonexempt workers- that is often overlooked in career development and HRD efforts (Leana, 2002; McDonald, Hite & Gilbreath, 2001; McLean, 2002). In summary, future efforts of career development specialists should focus on raising awareness that career development is important for everyone, not just for high potentials and upper management.

Winner-take-all Markets

Lack of career development opportunities for certain groups of employees might also be due to the so-called winner-take-all markets, as described by Leana (2002). In these markets, those at the top receive astronomical rewards often at the expense of those slightly below the top tier. "Such markets operate like those for professional athletes where the difference between being first place or second is enormous in terms of the rewards being received, even if there are no real discernable differences between the two in actual skill and talent" (Leana, 2002, p. 279). One of the consequences for career development is that in order to compete in a winner-take-all market, only the best of the best will be considered to compete at the top in certain professions. This is an important fact to take into consideration when choosing a vocation or changing careers.

As said before by McDonald, Hite & Gilbreath (2001) career development and HRD specialists should increase their attention to release the untapped potential within the workforce in the non-managerial jobs in order to decrease this gap. If HRD and career development truly want to make a contribution on a national level – as will be discussed in the next section – they must not accept the widening of the gap between the "haves" and "have-nots".

A National Role for Career Development

Career development and HRD share a common characteristic that goes beyond their focus on matching individual and organizational needs. That is, both fields have the potential to influence the economic health and the knowledge and skills of its workforce on a national scale. As Herr (2001) states: "the importance of career development in the twenty-first [century] will grow as a world-wide, sociopolitical force designed to facilitate the economic health of nations and the purpose and productivity of individuals"(p. 209). Moreover, the Association for Counselor Education and Supervision (ACES) identified that a philosophy of career development is "preparing people for work to help nations build or keep the competitive economic edge in the global market place (p. 5). This claim reveals a close link between career development and HRD. Looking at the definition of HRD by McLean and McLean (2001), we see many similarities in the contribution and objectives of both fields that include benefits on a national level. McLean and McLean's (2001) definition of HRD is: "Human Resource Development 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, the whole of humanity" (p. 322).

Future research is needed to explore in more detail how career development and HRD are influenced by society and how both fields, in turn, can influence the development of knowledge and skills for the benefit of nations as a whole. This expansion of the definition and role of HRD and career development beyond the individual and organizations shows great promise in getting HRD and career development on the national agenda.

The Changing Nature of Careers

The review above demonstrates that macro change forces influence career development. The most significant change seems to be the shift in responsibility for career development. Organizations no longer take the responsibility to protect their employees from market fluctuations, expecting their workers to take control of their own careers (Leana, 2002; Upton, Egan & Lynham, 2003; Feldman, 2002). Concepts that try to work within the new boundaries of the employer-employee relationship— employability and the boundaryless career-- will be discussed in this section.

Employability

With the shift in responsibility for career development from the organization to the individual, the concept of employability is receiving increasing attention in the literature (Baruch, 2001; Brown, 1996, 1998; Howard, 1995; Short & Opengaart, 2001). What the term means is that the organization will give employees tools to expand their employability (i.e. make them attractive to other employers), so it will be easier to find a job in case of downsizing (Baruch, 2001). The positive consequence of employability is that it creates self-reliant workers and a career resilient workforce (Brown, 1996). Employees take charge of their own careers; they contribute skills aligned with business needs and are committed to continuous learning (Brown, 1996). The question remains, is this a voluntary movement or is it an offer one can not refuse since one's job is at stake? Fear for one's job is a very strong motivator (Baruch, 2001). Introducing employability as a new concept assumes that organizations in the past did not offer tools for their employees to remain up to date with regard to their knowledge and skills. This is not the case; organizations have always been providing training and development for their employees. Baruch (2001) warns that although employability might be beneficial for individuals – it is advantageous to be employable in turbulent markets – employability cannot be a replacement for organizational commitment. Employability is a concept that needs further research within the context of career development and HRD. It seems evident that the responsibility for career development lies with the employee now, and this will not change in the near future. The question remains, what is the role of the organization in facilitating the employability of their employees?

Boundaryless Careers

Traditional careers where people climbed the organizational ladder gaining income, power, security and status are gone (Feldman, 2002; Hall, 1996; Sullivan, 1999). Instead, “many individuals are traveling career paths that are discontinuous and go beyond the boundaries of a single firm” (Sullivan, 1999, p. 464). The idea of a ‘job for life’ has been replaced with ‘survival of the fittest’ as downsizing has forced employees to develop their own career plans (Loughlin & Barling, 2001, as cited in Conlon, 2003). Changes in the psychological contract between organizations and employees have given rise to the idea of boundaryless or protean careers (Sullivan, 1999). Since organizations cannot offer job security any longer, people need to take charge of their own careers. Consequently, careers are being viewed as boundaryless in the career development literature (Arthur and Rousseau, 1996). Boundaryless careers, as described in Sullivan (1999) have the following characteristics. They (1) transition across occupational boundaries, (2) transition across organizational boundaries, (3) transition across the boundaries between roles, (4) transition across boundaries within roles (e.g. increased responsibilities), (5) have changed meanings of employment, relationships, and (6) depend on network relationships. Even though the majority of people might still have a “traditional” career at the moment, the concept of the boundaryless career will most probably play an important part in the future of career development and HRD. More knowledge is needed on how career development specialists can assist employees in dealing with this new type of career.

Free Agent Workers

Free agent workers seem to make up the other side of the coin for boundaryless careers. Free agents are those employees “who focus on their long-term employability security within the new career model, without seeing themselves as bound to any one organization” (Short & Opengart, p.813). Thus, free agents are most likely employees who have a boundaryless careers (Imel, 2001; Short & Opengart, 2001). Much can be learned from free agents and future research will have to provide insight on what the specific needs and demands are of free agent workers with regard to career development. The development of networks has been proposed as a career development strategy for free agents, but more research is needed (Imel, 2001).

New Directions for Career Development in Organizations

Even though the responsibility for career development has shifted from the employer to the employee, this does not mean that the organizations do not have any responsibilities anymore for the development of their workforce. Organizations create a climate, one that supports learning or not, and influence career decisions of employees through several different means (e.g. pay and benefits). In short, career development should remain a shared

responsibility (Boudreaux, 2001; Brown, 1997). Economic forces may have caused training and development budgets to be cut severely, but there are other possibilities that career development and HRD can explore to achieve the best fit between individual and organizational needs as well as personal characteristics and career roles, such as informal learning and learning opportunities within the workplace.

Role of Informal Learning

Informal learning techniques are convenient and accessible. Coupled with findings that as much as 70% of employees' learning needs are fulfilled by informal learning, the concept needs further attention from scholars (Power, Hubschman, & Doran, 2001). Informal learning can take place in many different settings, even in more formal activities, such as "lessons learned" sessions, developmental assignments, and on-the-job coaching (McCauley & Hezlett, 2001; Power, Hubschman, & Doran, 2001). Power, Hubschman, & Doran (2001) have proposed a model to re-create career development via informal learning. In this model the HRD professional acts as "the filter or catalyst who assists, through the reframing process, employees in enhancing their career development skills in improved goal setting and visioning, resulting in whole person learning for the employee and enhanced performance for the organization" (p. 826). In times of economic down turn, when development budgets are small, informal learning shows great promise to continue to create a learning culture and social support for learning in a more informal setting.

Learning Opportunities and Learning Behavior

With the expanding role of informal learning, organizations need to ensure there are ample learning opportunities created for employees within the organization (McCauley & Hezlett, 2001; Power, Hubschman, & Doran, 2001). Van der Sluis & Poell (2003) examined the impact of learning opportunities and learning behavior at work and found that "career development depends both on the work environment in terms of learning opportunities and on individual characteristics in terms of learning behavior" (p. 174). Individual learning behavior has an impact on career development, which is in line with the traits of the new free agent workers, as discussed above. Van der Sluis & Poell (2003) also found a link between a supportive job environment and the career satisfaction of employees. They conclude that employees appreciate feedback on their performance and are more aware of their own responsibility for their learning and professional development. In sum, the role of learning theory in career development should be a focus of future research on the crossover between individual and organizational learning.

Integrative Life Planning

Professional organizations (ACES, 2000; NCDA, 2000) urge career development specialists to see career development as a developmental process that is lifelong and contextual in nature. Changes in the world of work result in new attitudes about work, family, and leisure. Career development professionals need to understand that these issues are often link with other parts of their lives, which blurs the line between career counseling and personal counseling, and calls for a broader definition of career development. Hansen (1997) has proposed the term "integrative life planning" to expand career development beyond trait factor theories and matching people with jobs, to include other work and life roles. This definition of career development is linked closer to the purpose and objectives of HRD with its holistic focus and the greater emphasis on work and organizations. New developments in theory building and practice in this area should be encouraged.

Systems Theory: The Missing Link Between Career Development and HRD?

Like HRD, career development is an applied field with a multi-disciplinary theory base (Boudreaux, 2001). In previous efforts to link career development and HRD, the focus was on identifying these theoretical frameworks in career development that can inform HRD theory and practice; these include: trait-factor theory, social learning theory, adult development theory, and behavioral theory (Boudreaux, 2001; Upton, Egan & Lynham, 2003). Although HRD scholars need to be informed by these theories, organizational change models and systems thinking might provide a stronger basis for arguing why career development lies at the heart of HRD (Russel, 1991, Patton & McMahon, 1998).

A systems perspective might provide a new insight in the relationship between career development and HRD. Elements of systems thinking, such as interconnectedness of parts, relatedness, and a notion that the whole is more than the sum of its parts were already present in some career development theories, such as Hansen's (1997) model of integrative life planning. Nevertheless, Patton and McMahon (1998) are the first who proposed a meta-theoretical framework using systems theory for the integration of different career theories and the development of a relationship between theory and practice with a focus on the individual. They portrayed the field of career development as a self-organizing, open system that constantly changes from within, but is also changed by the ongoing interaction with other systems.

Patton and McMahon's (1998) systems theory framework of career development focuses on the individual as a learning system, and includes elements such as: skill, world-of-work knowledge, workplace, employment market and education institutions – elements that are very much related to HRD. Although no specific comparison between HRD and career development theories is made in this framework, I would recommended this as an area for future research.

As Patton and McMahon (1998) stated "A systems theory perspective recognizes the contribution to career development theory and practice of other disciplines" (p. 167). This can also be applied in a HRD setting, where a systems career development approach can aid to our understanding of the development of a meaningful integration of systems and organizational level development with individual development in the workplace" (Upton, Egan & Lynham, 2003, p. 728)

Directions for Future Research

The purpose of this paper was to argue that career development should be a foundation for the field of HRD. In order to strengthen the ties between the fields and to create a body of literature with a focus on the commonalities between the fields, much future research is needed. In summary, future research should focus on six main areas: (1) the consequences of the changing nature of work and careers on career development, (2) effectiveness of different career development interventions, (3) a holistic approach towards career development, (4) the role of learning in the development of careers, (5) societal and national issues, and (6) systems thinking.

Consequences of the Changing Nature of Work and Careers

This includes examining external or environmental factors associated with learning, development and performance such as the impact of technology and cross-cultural implications of career development (ACES, 2000; Boudreaux, 2001; Sullivan, 1999). In addition, emerging concepts like employability, free agent workers and the effects of boundaryless careers need further attention (Boudreaux, 2001; Sullivan, 1999; Upton, Egan & Lynham, 2003).

Effectiveness

This includes examining how different employment relationships affect individual and organizational outcomes (Sullivan, 1999; Upton, Egan & Lynham, 2003). Another important research area is to examine the effectiveness of organizational programs and newer learning methods that focus on developing the skills needed for success in non-traditional career paths (Sullivan, 1999). Research on the proposed link between career development interventions and individual and organizational performance improvement needs more attention. As Boudreaux (2001) argued, future career development research and practice must be linked more closely to performance outcomes.

Holistic Approach

Future research must take a more holistic approach to career development, acknowledge its contextual nature, and the interplay between work and life issues (Hansen, 1997). Research should include the relationship between different career development interventions and activities with all corresponding facets of personal identity (Hall, 1996). This holistic approach to career development should also include examining systems dimensions of learning and performance and looking for connections between employee preferences and competencies, and HRD practices (Upton, Egan & Lynham, 2003).

Learning Theory

Future research should focus on the role of learning theory in career development. Informal learning and specific individual development practices with a focus on learning will be a very important part of future career development practice (McCauley & Hezlett, 2001; Power, Hubschman, & Doran, 2001; Upton, Egan & Lynham, 2003; Van der Sluis & Poell (2003). Learning theory shows promise to tighten the interrelationships between career development and HRD, which needs to lead to an examination of interchanges between individual career development interests and organizational needs (Upton, Egan & Lynham, 2003).

Societal and National Issues

The increasingly widening gap between the "haves" and "have nots" should be of great concern in future career development and HRD research. With expanding definitions of both HRD and career development (Herr, 2001; McLean & McLean, 2001) come greater responsibilities as well. Although this is a big aspiration, career development and HRD should focus on the whole of humanity and not forget about the people with the least skills, who often need attention the most to develop their expertise (ACES, 2000; Leana, 2002; McDonald, Hite & Gilbreath, 2002).

Systems Thinking

The focus on systems in both career development and HRD shows potential for bringing the two fields closer together. Career development can be seen as a sub-system of HRD. The nature of systems is that the sub systems

influence each other. More research is needed on how HRD influences career development and the other way around. Patton and McMahon's (1998) systems framework for career development provides a good starting point to investigate this relationship further.

Conclusion

Due to macro economic, technological and demographical changes, career development has changed dramatically over the past years. This raised the question: should career development still be considered a component of HRD, or is there a new paradigm we should be looking at? Although, career development as a field is still mostly focused on career choice, developmental stages and career counseling (ACES, 2000; Hansen, 1997; Herr, 2001; McDonald, Hite & Gilbreath, 2002) a holistic approach to career development has been proposed that shows a closer relationship with the outcomes and objectives of HRD (Hansen, 1997). Further investigation into systems theory as the missing link between both fields promises to be fruitful. Patton and McMahon's (1998) systems framework provides a good starting point to elaborate on the holistic approach as proposed by Hansen (1997) and can provide a better insight in the nature of the relationship between career development and HRD.

A major change in the nature of career development has been the shift in responsibility from the organization to the individuals. Employees are expected to become free agents, self-directed learners, who take charge of their own career (Feldman, 2002; Leana, 2002; Sullivan, 1999; Swanson & Holton, Upton, Egan & Lynham, 2003). Research shows, however, that career development depends "both on the work environment in terms of learning opportunities and on individual characteristics in terms of learning behavior" (Van der Sluis & Poell, 2003, p. 174). As a result, the future role for HRD and career development professionals should be to help organizations create meaningful learning opportunities and encourage learning behavior at all levels of the organization, for all employees, not just high potentials (McLean, 2002). Career development and HRD practitioners can assist employees with goal setting and developing a career vision, resulting in whole-person learning for the employee and improved performance on the individual, systems, and organizational level (Conlon, 2003; Hansen, 1997).

References

- Association for Counselor Education and Supervision & National Career Development Association (2000). *Preparing counselors for career development in the new millennium*. [Brochure]. Chicago: Author.
- Arthur, M. B., & Rousseau, D. M. (1996). *The boundaryless career: A new employment principle for a new organizational era*. New York: Oxford University Press.
- Bartlett, K. R., Kowske, B. J., & Anthony, K. (2003). Human resource development on the web: An examination of references to HRD on Fortune 500 websites. *Proceedings of the Academy of Human Resource Development*, USA, 34-41.
- Baruch, Y. (2001). Employability: A substitute for loyalty? *Human Resource Development International*, 4(4), 543-566.
- Boudreaux, M. A. (2001). Career development: What is its role in Human Resource Development? *Proceedings of the Academy of Human Resource Development*, USA, 805-812.
- Brown, B. L. (1996). *Career resilience*. Eric Digests No.178. . ERIC Clearinghouse on Adult, Career, and Vocational Education. (ERIC Document Reproduction Service No. ED402474).
- Brown, B. L. (1997). *The future of career development*. . ERIC Clearinghouse on Adult, Career, and Vocational Education. (ERIC Document Reproduction Service No. ED417295).
- Brown, B. L. (1998a). *Career Mobility: A choice or necessity?* Eric Digests No. 191 . . ERIC Clearinghouse on Adult, Career, and Vocational Education. (ERIC Document Reproduction Service No. ED414436).
- Brown, B. L (1998b). *Career development: A shared responsibility*. Eric Digests No. 201. . ERIC Clearinghouse on Adult, Career, and Vocational Education .(ERIC Document Reproduction Service No. ED423427).
- Covert, M. D. (1995). Technological changes in office jobs: What we know and what we can expect. In A. Howard (Ed.) *The changing nature of work*. (pp. 175-208). San Fransisco: Jossey-Bass.
- Conlon, T. J. (2003). Development of an operational definition of career development for the 21st century workplace. *Proceedings of the Academy of Human Resource Development*, USA, 489-493.
- Davis, D. D. (1995). Form, function, and strategy in boundaryless organizations. In A. Howard (Ed.) *The changing nature of work*. (pp. 112-138). San Fransisco: Jossey-Bass.
- Feldman, D. C. (Ed.). (2002). *Work careers: A developmental perspective*. San Fransisco: Jossey-Bass.
- Gutteridge, T., Leibowitz, Z. B., & Shore, J. E. (1993). *Organizational career development: Benchmarks for building a world-class workforce*. San Fransisco: Jossey-Bass.

- Hall, D.T. (1996). *The career is dead: Long live the career*. San Francisco: Jossey-Bass.
- Hansen, L. S. (1997). *Integrative life planning: Critical tasks for career development and lifechanging patterns*. San Francisco: Jossey-Bass.
- Herr, E. (2001). Career development and its practice: A historical perspective. *The Career Development Quarterly*, 49(3), 196-211.
- Howard, A. (Ed.). (1995). *The changing nature of work*. San Francisco: Jossey-Bass.
- Imel, S. (2001). *Career development of free agent workers*. Eric Digests No. 228. ERIC Clearinghouse on Adult, Career, and Vocational Education. (ERIC Document Reproduction Service No. ED452369).
- Judy, R. W., & D'Amico, C. (1997). *Workforce 2020: Work and Workers in the 21st Century*. Indianapolis: Hudson Institute.
- Kuchinke, K. P. (2002). Institutional and curricular characteristics of leading graduate HRD programs in the United States. *Human Resource Development Quarterly*, 13(2), 127-143.
- Leana, C. R. (2002). The changing organizational context of careers. In D. C. Feldman (Ed.), *Work careers: A developmental perspective* (pp. 274-293). San Francisco: Jossey-Bass.
- Madsen, S. R. (2001). The benefits, challenges, and implications of teleworking: A literature review. *Proceedings of the Academy of Human Resource Development*, USA, 25-1.
- Madsen, S. R., Musto, A. L., & Hall, T. S. (2003). What HRD curriculum is being taught within HR programs in U.S. business schools? *Proceedings of the Academy of Human Resource Development*, USA, 42-49.
- McCarthy, C. J., Moller, N., & Bear L. M. (2003). Suggestions for training students in using the internet for career counseling. *The Career Development Quarterly*, 51(4), 368-382.
- McCaully, C. D., & Hezlett, S. A. (2001). Individual development in the workplace. In N. Anderson, D. S. Ones, H. K. Sinangil, & C. Viswesvaran (Eds.) *Handbook of Industrial, Work & Organizational Psychology*. (pp. 313-335). London: Sage Publications.
- McDonald, K. S., Hite, L. M., & Gilbreath, B. (2002). A qualitative study of nonexempt employees: Careers or jobs? *Proceedings of the Academy of Human Resource Development*, USA, 492-499.
- McLagan, P. A. (1989). *The models: A volume in models for HRD practice*. Alexandria, VA: American Society for Training and Development.
- McLean, G. N. (2002, August). *A journey through career development at Boston Scientific*. Presentation to the Korean Research Institute for Vocational Education and Training, Seoul, Korea.
- McLean, G. N., & McLean, L. (2001). If we can't define HRD in one country, how can we define it in an international context? *Human Resource Development International*, 4(3), 313-326.
- National Career Development Association. (2000). Career connecting in a changing context: A summary of the key findings of the 1999 national survey of working America. Columbus, OH: Author.
- Patton, W. & McMahon, M. (1998). *Career development and systems theory: A new relationship*. Pacific Grove: Books/Cole Publishing Company.
- Powell, T., Hubschman, B., & Doran, M. (2001). Career development through informal learning: A review of the literature. *Proceedings of the Academy of Human Resource Development*, USA, 821-827.
- Ralphs, L. T., & Stephan, E. (1986). HRD in the Fortune 500. *Training and Development Journal* (40)10, 69-76.
- Russel, J. E. A. (1991). Career development interventions in organizations. *Journal of Vocational Behavior*, 38(3), 237-287.
- Short, D. & Opengart, R. (2001). Free agent learners: the new career model and its impact on HRD. *Proceedings of the Academy of Human Resource Development*, USA, 813-820.
- Sullivan, S. E. (1999). The changing nature of careers: A review and research agenda. *Journal of Management*, 25(3), 457-484.
- Swanson, R. A., & Holton, E. F. III (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Upton, M., Egan, T. M., & Lynham, S. A. (2003). Career development: Definitions, theories, and dependent variables. *Proceedings of the Academy of Human Resource Development*, USA, 728-735.
- Van der Sluis, L. E. C., & Poell, R. (2003). The impact on career development of learning opportunities and learning behavior at work. *Human Resource Development Quarterly*, 14(2), 159-179.
- Van der Spiegel, J. (1995). New information technologies and changes in work. In A. Howard (Ed.) *The changing nature of work*. (pp. 89-111). San Francisco: Jossey-Bass.
- Weinberger, L. A. (1998). Commonly held theories of human resource development. *Human Resource Development International*, 1(1), 74-94.

Career Development Challenges for the 21st Century Workplace: A Review of the Literature

Thomas J. Conlon
University of Minnesota

Career development theories have focused on the human lifespan, traits, vocational choice, assessment tools, values and self-understanding to guide adults in their career decisions. However, many of these early theories have questionable value in today's diverse workforce and where business practices have changed to reflect emerging economic competitiveness in a global economy. This paper reviews literature on career development and contemporary business trends. Career development implications and research questions for the 21st century workplace are identified.

Keywords: Career Development, Career Planning, 21st Century Workplace

The 21st Century workforce looks and feels considerably different from the past century when the first career development theories emerged (Bierema, 1998). Career development practice, like 100 years ago, will always be necessary as long as students, adults or employees are seeking careers and employers seeking labor. Beyond this commonality, however, career development's practices and theoretical relevance have changed and will look different in the 21st Century (Herr, 2001). This paper briefly identifies career development theories and theorists, with more detail on contemporary workplace issues in the literature which impact career development. While focusing primarily on a North American career development context, commonalities may impact other industrialized nations and growing economies of the world. It also highlights issues likely to evolve in the 21st Century workplace and propose questions for future research.

Methodology, Methods and Scope

The research problem is how to assist individuals and organizations in career development practices that are consistent with a 21st century workforce and workplace. The methodology is a literature review to develop a grounding in past and current career development definitions, practices and workplace issues, with the purpose of identifying likely career development issues in the 21st century workplace and proposing future research questions or conclusions for empirical or qualitative testing. No studies or tests based on these findings are within the scope of this study. A large amount of career development research also focuses on career counseling and assessment, including for children and students. The scope of this review is to focus primarily on the adult worker and workplace characteristics rather than professional career counselor practices seen in schools and job placement organizations.

The method of this study was to conduct a literature review, using both library and electronic sources of scholarly journals, books, U.S. Government data, career development-related websites and other relevant publications during 2002 and 2003. Sources were chosen based on scholarly relevance, including key journals in the career development field (*Career Development Quarterly*; *Journal of Career Development*) and related HRD or business management journals. This paper assumes the view that career development is, and will likely remain, a part of HRD. Therefore, scholarly works of HRD, including journals, recent Academy of Human Resource Development conference proceedings and books were included in the research. To identify broader business trends in both a scholarly and practitioner context, the World Wide Web's Google.com search engine was used, testing different words such as career development, workplace trends and the 21st century workplace. Electronic scholarly sources were sought using similar words under ProQuest and ERIC. Finally, manuscripts themselves often revealed additional sources for research, which were pursued using one or more of the methods noted above. A collection of sources were then categorized by themes reflected in the findings of this paper, supplemented with the author's conclusions and recommendations.

The limitations of this study may be the shortage of global literature, particularly in developing nations or in cross-cultural contexts. However, as country-specific studies (many in Asia) were found, the decision to focus more on broader career development contexts (which generally reflect a North American and, to a lesser extent, a European tradition) limits the scope of these findings. Since the findings have not been tested, they are not generalizable but do provide a grounded framework for future researchers to confirm or refute these findings.

Copyright © 2004 Thomas J. Conlon

Definitions and Theorists

Career development is a component of HRD (McLagan, 1989; Marsick & Watkins, 1994), although some scholars feel it has, at best, lost its influence, or worst, its place in HRD due to the shift of career development responsibilities from organizations to individuals, where individual choice generally falls outside the traditional bounds of HRD (Swanson & Holton, 2001). McDougall & Vaughn (1996) argue that “career development involves aligning individual subjective and more objective career aspects of an organization to find a match between individual and organizational needs, personal characteristics and career roles.” This author views career development as a mutual role, based on the needs and circumstances of both individuals and organizations.

Career development definitions have evolved over time. Once known as vocational guidance, this definition implies that someone other than the individual (e.g. vocational guidance counselor or an organization) is responsible for the career guidance function, which was largely true for this era (Herr, 2001). This began to shift as Super (1951) defined vocational guidance as “the process of helping a person to develop and accept an integrated and adequate picture of himself [sic] and of his role in the world of work, to test this concept against reality, and to convert it into a reality, with satisfaction to himself and society,” where the career choice gave way to the characteristics of the chooser, or the psychological nature of vocational choice. Super (1954) defined occupation as “the specific activity with a market value that an individual continually pursues to obtain consistent and steady income” while one’s career is “the sequence of occupations, jobs and positions in an individual’s life,” a foundation of his life-span career development theory taking workers through formal education, a career, and retirement.

Pietrofesa & Splete (1975) stated that “career development is an ongoing process that occurs over the lifespan and includes home, school and community experiences related to an individual’s self concept and its implementation in lifestyle as one lives life and makes a living.” Robbins (1993) defines career development as “a means by which an organization can sustain or increase its employees’ current productivity, while at the same time preparing them for a changing world,” thus supporting an organizational role that is consistent with HRD. Applebaum, Ayre & Shapiro (2002), while acknowledging an employee’s responsibility for career management, see the organization’s human resource professionals who “define and implement career management programs within organizations, including succession and retirement planning facing all organizations.” This view distinguishes career development from career management, which falls more into human resource management rather than HRD functions. Noe (1996), however, argues that organizations can best use their resources to train managers in skills to support employee development rather than career management programs for improved employee performance.

Parsons (1909), who first proposed people’s traits could be matched with work conditions and vocations, brought career development to the forefront during the U.S. industrial revolution. Holland (1985) viewed career development as a person-environment fit and developed many career assessment tools that are still used today. Gottfredson (1996) saw career development in an individual’s development role; Krumboltz (1996) in a social cognitive learning context. Brown (1996) focused on the broader life roles of individuals. Others have made contributions within one or more of these contexts as well. Future theorists must study current and future workers and workplaces to determine how changes have confirmed past theories, or created need for new theories reflecting today’s realities.

The Workplace Today

Osipow & Fitzgerald (1996) stated that “careers are influenced by conditions that emerge in one’s early years, especially gender and family socioeconomic status,” an implicit recognition that early career development theory was designed for a white, male, and middle-class workforce (Betz & Hackett, 1986; Perrone, Sedlacek & Alexander, 2001; Isaacson & Brown, 2000; Opengart & Bierema, 2002; Fitzgerald & Betz, 1994). Career practitioners need to understand that cultural differences in today’s more diverse workforce impact their vocational behavior (Leong & Brown, 1995).

Up through the 1960s, the employer-employee relationship was characterized as a parent-child relationship: narrowly-defined jobs; community status and job security were provided in exchange for employee hard work, loyalty and good performance. By the 1990s, a new contract had firmly taken hold and is in effect today. In this era, the employee-employer role is a partnership, where employers provide opportunities and tools for employee development, but the employee takes responsibility for career management and exercises opportunities. They must continually update their skills and be self-reliant (Collard, Epperheimer & Saigh, 1996).

In 1985, the National Vocational Guidance Association formally changed its name to the National Career Development Association, formally reflecting new theories, assessment practices and inclusiveness of additional perspectives and populations (Herr, 2001).

Eight themes emerged in reviewing comparisons between the past, present and likely the future workplace.

1. *Demographics.* Longer life expectancy, rising retirement ages, along with economic, social and psychological reasons, has increased the number of elderly in the U.S. workplace (Henretta, 2000). The traditional two-parent family with the father as sole bread-winner declined from 60% in 1955 to 11% of families in 1980 (Robey & Russell, 1984). Within the early 21st Century, the U.S. labor force will contain about 30% people of color, and, combined with women of all races, will become the new majority of U.S. workers (U.S. Department of Labor, 1995). Generation Xers, born roughly from 1961-1981 and who are the workforce's younger workers, have grown up in a time where divorce rates doubled from 1965 to 1977, single parent homes became the norm, and where over 40 percent of them come from a broken family (O'Bannon, 2001). Between 2000 and 2010, women will outpace men in U.S. labor force growth 15.1 percent to 9.3 percent; white workers share of the workforce will drop from 73.1 percent to 69.2 percent; and workers over age 55 will increase from 12.9 to 16.9 due to the aging baby boom population (U.S. Department of Labor, 2003).
2. *Old vs. new economy.* One-third of Fortune 500 companies existing in 1980 were gone by 1990, and another third of the remaining firms were targeted for hostile takeovers. U.S. exports rose from 11% in 1960 to 31% in 1990, and continue to rise (Whitman, 1999). Knowledge workers are currently 40% of the U.S. workforce, but are expected to form at least 90% of the workforce by 2010 (Drucker, 1999). Between 2000 and 2010, U.S. employment is expected to grow from 146 million to 168 million, primarily in the fastest growing services industry (3 out of every 5 new jobs, mostly in business, health and social service), as well as more modest growth in durable good manufacturing. In this same time period among occupations, professional jobs will grow the fastest (26 percent increase), followed by service (19.5 percent), transportation (15.2 percent), management, construction, and sales occupations. Non-durable goods manufacturing will continue its current decline due to increased job automation and international competition. Nearly two-thirds of projected job openings by 2010 will offer low pay and benefits, yet require on-the-job-training arising mostly from replacement needs (U.S. Department of Labor, 2003). Zemsky, Shapiro, Iannozzi, Cappelli & Bailey (1998) found 78% of U.S. companies were using lower-paid contract or contingent workers (project-based, temporary or independent contractors), with 40% of them expecting such use to grow. Today's workplace reflects the impact of globalization, where worldwide competition to once-domestic markets has created new demands for higher productivity and lower costs to remain competitive with cheap labor outside the U.S.
3. *Career patterns.* Leach & Chakiris (1988) note the traditional linear career development model of education, employment and retirement likely accounts for less than one-third of all U.S. careers, and new ways of looking at adults' developmental diversity are needed such as free-form (part-time work, entrepreneurial, consulting or volunteer) or mixed-form (transitions between linear and free-form, or unemployed/underemployed). Many job titles did not exist when current older workers made their initial career decisions (Robey & Russell, 1984). Women and minorities don't typically follow a linear or life-span career as their career development is disproportionately influenced by their differential experience of home, school and workplace. Women's lives are also more closely characterized by social interaction and personal relationships, thus affecting their career development with interruptions not reflected in traditional career development theories (Hughes & Smith, 1985; Eastmond, 1991; Sharf, 1997). As the U.S. workforce continues to diversify, people with differing individual value systems and unique needs will also enter occupations with varying expectations and rates of success (Isaacson & Brown, 2000), making career development a more customized process.
4. *Workplace justice.* Has career development been caught in the ideological debate over globalization, job access, employment discrimination and opportunity? As these characteristics dramatically increase in future decades, the impacts of globalization, discrimination, technology, workplace laws and a lack of dignity may pose new career development challenges (Herr, 2001; Santos, Ferreira & Chaves, 2001). Critics of globalization see the 21st Century as 'the new ruthless economy,' characterized by a growth in inequality, a shift in power from labor to capital, and a proliferation of low-wage employment (The New York Review of Books, 1996). The 21st century must also adapt to meet social justice needs of the new immigrants, poor youth, victims of discrimination, disability, economic status and others who face obstacles in their career development (Hartung & Blustein, 2002). Theories need updating that consider gender, age, race, social class, sexual orientation, socio-economic status and English language proficiency (Bierema, 1998) as well as in training and development opportunities (Knocke & Ishio, 1998). Career development must also take into account people with disabilities, who also have been underrepresented in traditional workforces (Szymanski & Hershenson, 1998).

5. *Lifestyle & welfare trends.* The average U.S. American today stays on the same job for fewer than four years (Kurian, 1994). Downsizing and outsourcing of the U.S. workforce has created a more stressful worker (Gowing, Kraft & Quick, 1997). And as employees experience greater career uncertainty, their focus shifts from employment security to employability security (Gould & Levin, 1998). Job seekers increasingly will emphasize the quality of work life as work-life balance issues become more important in an era of job turnover. While individual job seekers no longer think in terms of one career path or job family as they did in Parsons' or Super's day, organizations will still play a small yet different career development role by creating multiple career paths (Lock & Hogan, 2000). Career counseling will continue to become less and less about jobs and more about life themes, values, strengths, family patterns and personal identity development, requiring more skills of future career counselors (Severy, 2002). Career counselors will also need to expose students, peers or clients to non traditional jobs in non traditional places and communicate that future workers will be non-linear, non-singular, non-traditional and non-secure. Developing social skills, technological expertise and broad-based experience in counselees will also be key, be they in an organization, school, or on their own (Herr, 2001).
6. *Employer responsibilities.* Is it in the employer's best interest to provide career development, and in what form? How has it changed through the years? Organizations now focus on the advancement of a few carefully selected employees for career growth as cost-cutting, downsizing and flatter organizational structures have reduced or eliminated career development functions (Cox & Cooper, 1988). But Gutteridge (1986) argues that career development should be a broader organizational concern to "help ensure a continued supply of qualified, talented personnel" and that employees expect career advancement benefits, while Applebaum, Ayre & Shapiro (2002) note succession and retirement planning require organizations to remain involved in career development. On a more basic level, 25% of U.S. organizations of over 50 employees had to provide formal training in basic reading, writing and arithmetic skills (Bureau of Labor Statistics, 1995). Career counseling has become an integral part of human resource development programs as employers recognize the need to blend individual and organizational goals (Peterson & Gonzalez, 2000). As formal learning and career development continues to decline in organizations, we will likely see informal learning filling the gap: the rise of networking, trial-and-error, and growth from personal experience. However, HRD practitioners, in or outside of organizations, can assist employees with goal setting and developing a career vision, resulting in whole-person learning for the employee and improved organizational performance. (Powell, Hubschman & Doran, 2001). Pencil-and-paper career assessment tools are being replaced by the internet and will continue to grow, but with technological advance come new issues: privacy, ethical use of data, user readiness, methods of administration and equity of access (Sampson & Lumsden, 2000; Oliver & Whiston, 2000). The shift will go from employee-sponsored career training or actions to the creation of multiple career paths. The difference is one must generally seek it out themselves (Lock & Hogan, 2000).
7. *Employee & individual responsibilities.* Are individuals primarily responsible for their own career development? Or is it a blended responsibility? Loughlin & Barling (2001) argue that the notion of a 'job for life' has been replaced with a 'survival of the fittest' as downsizing has forced employees to develop their own personal career plans and portfolios. Koonce (1995) notes that decentralization, constant change, and new learning environments have forced employees to accept the responsibility and challenge for developing their own careers by upgrading skills, preparing a personal career plan and customizing that plan to fit the organization's plan. As a result, younger workers whose parent's careers may have ended or changed due to organizational downsizing will be more demanding and less willing to make sacrifices to their employers, not to mention a loss of employee loyalty to their organizations, especially when work-life balance issues arise. The non-union service sector has largely replaced the traditionally unionized manufacturing sector (and private sector unionism in general), making retraining and further education necessary to remain employable. Employees who actively embrace change and are tolerant of ambiguity are more likely to prosper in today's highly turbulent organizational environments (Patterson, 2001).
8. *Education & training.* The power of informal learning should not be underestimated, as up to 90% of organizational learning takes place through informal work networks (Marsick & Watkins, 1991). Will careers be shaped more by personal mentoring relationships within organizations, rather than a planned career track? Education curriculum and career development must address basic skills while matching relevance to future careers in a knowledge-based economy, especially where traditional distinctions of training, learning, educational and performance are blurring and traditional job roles are shifting to performance roles. Learning has also shifted from the classroom to the point or moment of value, and

specific job descriptions have given way to performance expectations (Harkins & Kubik, 2001). Palomba and Banta (1999) believe colleges must be accountable for career success of their students, not only academic success, and that employers are requiring additional competencies beyond basic skills, many of which are lacking in students (Newton, 2000).

Career Development in the 21st Century: A Conceptual Domain (w/diagram)

Based on the literature, this author proposes the following theoretical domain comparing career development between the 20th and 21st centuries, to create a foundation for future research on career development's role and effectiveness in the 21st century workplace:

Career Development Domain	20th Century	21st Century
Demographics	Largely White & Middle Class, but shifting towards greater workforce diversity (Harris-Bowlsbey, 2003).	Ethnically, Racially, Gender Diverse with non-traditional family structures and role.
Old vs. New Economy	Shift from Manufacturing to Service and information Economy (Blocher, Heppner & Johnson, 2001); technology emerging, Productivity and loyalty valued.	Work crosses national borders, knowledge workers in highest demand. Adding value key to return on investment
Career Patterns	Linear, generally within one career in lifespan, job security good (in exchange for employee loyalty), but economic shifts and global competition force changes	Flatter organizations, multiple careers in lifespan, non-traditional work setting (e.g. telecommuting). Growth in entrepreneurship as downsizing, restructuring forces career changes.
Workplace Justice	Unionization and increased regulatory environment largely shaped domestic reforms, but this began to disappear.	Now a decentralized, global economy; wider economic gaps between workers and upper management. (Hansen, 2003). Focus on global business ethics practices.
Lifestyle & Welfare Trends	Work and life largely separate, yet generally compatible. More stable and traditional family and career structures	Work-life balance essential to career satisfaction; careers must appeal to this need
Employer Responsibilities	Provide a career path and opportunity for all employees within the organization, for its own benefit. Supervise employees closely.	Offer development opportunities for career growth, in or out of the organization. Management serves as coach and facilitator rather than traditional supervisor (Fisher, 1993).
Employee/Individual Responsibilities	Loyalty, hard work and often times seniority led to career growth within the organization.	Seize development opportunities, continued education, change organizations for career growth.
Education & Training	Mostly completed before joining the organization; more structured training	Ongoing expectation of all employees, much of it outside the organization to stay current and maintain marketability
Career Development Role	Largely organizational role	Mutual, but primarily individual role

Conclusion, Implications and Future Research

As demographics show, the U.S. workforce is more diverse and likely to continue, reflecting population and societal trends. Many cultures view work and cultural roles quite differently, such as new immigrants coming from a collectivist or teamwork orientation to the U.S., generally viewed as more individualistic in business and cultural practices (Palladino Schultheiss, 2003; Hartung, 2002). Future research can assist career development by exploring

the role of cultural values, choice methods and outcomes in the career decision-making process. As globalization creates more cross-national and cross-cultural commerce, research will be needed that look beyond traditional North American and European career development models. Career development practice will grow worldwide as a sociopolitical force designed to facilitate the economic health of nations and the purpose and productivity of individuals. (Herr, 2001). Other questions to address or test include: Has an employer's hands-off approach to career development caused higher turnover, or reduced costs? Is career development an HRD or Human Resource Management role? In what contexts? In a global economy, can a single career development theory address career growth in multinational organizations, or will cultural and business conflict intervene? What are the experiences of workers who have worked in such organizations? Are there differences in career development roles between entrepreneurs and members of larger organizations? Is career development a social justice and ethical issue, and whose responsibility is it?

The HRD profession stands to gain when it reinforces its historical role of linking an individual's career development to organizational performance, and where organizations see career development's value in improving productivity, employee morale, and recruiting and retaining the best people.

References

- Applebaum, S., Ayre, H. & Shapiro, B. (2002). Career management in information technology: A case study. *Career Development International*, 7(3), 142.
- Betz, N. & Hackett, G. (1986). Applications of self-efficacy theory to understanding career choice behavior. *Journal of Social and Clinical Psychology* 4, 279-289.
- Bierema, L. (1998). Women's career development across the lifespan: Insights, and strategies for women, organizations and adult educators. *New Directions for Adult and Continuing Education*, No. 80. San Francisco: Jossey-Bass.
- Blocher, D., Heppner, M. & Johnson, J. (2001). The world of work: New paradigms mean new challenges. *Counseling and Human Development*, 33(7), 1.
- Brown, D. (1996). Brown's values-based, holistic mode of career and life-role choices and satisfaction. In D. Brown, L. Brooks & Associates, (Eds.), *Career choice and development* (3rd ed., pp.337-372).
- Bureau of Labor Statistics (1995). *Contingent and alternative employment arrangements*. Report 900. Washington DC: United States Department of Labor.
- Collard, B., Epperheimer, J., & Saign, D. (1996). *Career resilience in a changing workplace*. Columbus: ERIC Clearinghouse on Adult, Career and Vocational Education (ED 396 191).
- Cox, C., & Cooper, C. (1988). *High-fliers: An anatomy of managerial success*. Oxford: Basil Blackwell.
- Drucker, P. (1999). *Management challenges for the twenty-first century*. New York: Harper Business, 1999.
- Eastmond, D. (1991). Since Levinson: View of life cycle theory and adult education. *Journal of Adult Education* 19(2), 3-10.
- Fisher, Y. (1993). Leading self-directed work teams: A guide to developing new team leadership skills. New York: McGraw-Hill.
- Fitzgerald, L. & Betz, N. (1994). Career development in cultural context: The role of gender, race, class and sexual orientation. In Savickas, M. & Lent, R., (Eds.), *Convergence in career development theories*, Palo Alto, CA: CCP Books.
- Gottfredson, L. (1996). Gottfredson's theory of circumscription and compromise. In D. Brown, L. Brooks & Associates (Eds.), *Career choice and development* (3rd ed., pp. 179-228). San Francisco: Jossey-Bass.
- Gould, S., & Levin, B. (1998). Building a free agent community. *Compensation & Benefits Management*, 14(3), 24-30.
- Gowing, M., Kraft, J., & Quick, J., Eds. (1997). *The new organizational reality: Downsizing, restructuring and revitalization*. Washington DC: American Psychological Association, forward.
- Gutteridge, T. (1986). Organizational career development systems: The state of the practice. In D. Hall (Ed.), *Career development in organizations*, San Francisco: Jossey-Bass.
- Hansen, S. (2003). Career counselors as advocates and change agents for equality. *The Career Development Quarterly* 52(1), 43.
- Harkins, A. & Kubik, G. (2001). Closing the paradigm gap separating worker and student support. *On the Horizon* 9(1), 10-12.
- Harris-Bowlsbey, J. (2003). A rich past and a future vision. *The Career Development Quarterly* 52(1), 18.
- Hartung, P. (2002). Cultural context in career theory and practice: Role salience and values. *The Career Development Quarterly* 51(1), 12.

- Hartung, P., & Blustein, D. (2002). Reason, intuition and social justice: Elaborating on Parsons' career decision-making model. *Journal of Counseling & Development* 80(1), 41-47.
- Henretta, J. (2000). The future of age integration in employment. *The Gerontologist* 40(3), 286-292.
- Herr, E. (2001). Career development and its practice: A historical perspective. *The Career Development Quarterly* 49(3), 196-211.
- Holland, J. (1985). *Making vocational choices: A theory of vocational personalities and work environments*. Englewood Cliffs, NJ: Prentice Hall.
- Hughes, A. & Smith, B. (1985). Career development and the ethnic minority. In *Career Development*, Alexandria, VA: National Career Development Association.
- Isaacson, L. & Brown, D. (2000). *Career information, career counseling, and career development*. (7th ed.). Needham Heights, MA: Allyn & Bacon.
- Knoke, D., & Ishio, Y. (1998). The gender gap in company training. *Work and Occupations* 25(2), 141-167.
- Koonce, R. (1995). Becoming your own career coach. *Training & Development* 49(1), 18-43.
- Krumboltz, J. (1996). A learning theory of career counseling. In M. L. Savickas & W.B. Walsh (Eds.), *Handbook of career counseling theory and practice* (pp. 55-81). Palo Alto, CA: Davies-Black.
- Kurian, G. (1994). *Datapedia of the United States 1790-2000*. Lanham, MD: Bernan Press.
- Leach, J., & Chakiris, B. (1998). Future of jobs, work and careers. *Training and Development Journal* 42(4), 48-54.
- Leong, F.T.L., & Brown, M. (1995). Theoretical issues in cross-cultural career development: Cultural validity and cultural specificity. In W.B. Walsh & S. H. Osipow (Eds.), *Handbook of vocational psychology: Theory, research and practice* (2nd ed., pp.143-177). Hillsdale, NJ: Erlbaum.
- Lock, J., & Hogan, R. (2000). Expanding the focus of career assessment. *Journal of Career Assessment* 8, 411-417.
- Loughlin, C. & Barling, J. (2001). Young worker's work values, attitudes and behaviors. *Journal of Occupational and Organizational Psychology* 74, 543-558.
- Marsick, V., & Watkins, K. (1991). *Informal and incidental learning in the workplace*. London: Routledge.
- Marsick, V., & Watkins, K. (1994). The learning organization: An integrative vision for HRD. *Human Resource Development Quarterly* 5(4), 333-360.
- McDougall, M., & Vaughn, E. (1996). Changing expectations of career development: Implications for organizations and for... *Journal of Management Development* 15(9), 36-47.
- McLagan, P. (1989). Models for HRD practice. Alexandria, VA: American Society for Training and Development, 6.
- The New York Review of Books (1996). *The New Ruthless Economy* 43(4). February 29, 1996.
- Newton, F. (2000). *The new student, about campus*. December, 2000, pp. 8-15.
- Noe, R. (1996). "Is career management related to employee development and performance?" *Journal of Organizational Behavior* 17, 119-23.
- O'Bannon, G. (2001). Managing our future: The generation X factor. *Public Personnel Management* 30(1), 95.
- Oliver, L., & Whiston, S. (2000). Internet career assessment for the new millennium. *Journal of Career Assessment* 8, 95-103.
- Opengart, R. & Bierma, L. (2002). Emotions in women's career development. In Egan, T. & Lynham, S., (Eds.), *Academy of Human Resource Development 2002 Conference Proceedings* (1-2). Bowling Green, OH: Academy of Human Resource Development.
- Osipow, S., & Fitzgerald, L. (1996). *Theories of career development* (4th ed.). Boston: Allyn & Bacon.
- Palladino Schultheiss, D. (2003). A relational approach to counseling: Theoretical integration and practical application. *Journal of Counseling and Development* 81(3).
- Palomba, C., & Banta, T. (1999). *Assessment essentials*. San Francisco: Jossey-Bass, 211-238.
- Parsons, F. (1909). *Choosing a vocation*. Boston: Houghton Mifflin, p. 5.
- Patterson, F. (2001). Developments in work psychology: Emerging issues and future trends. *Journal of Occupational and Organizational Psychology* 74(4), 381-390.
- Perrone, K., Sedlacek, W., & Alexander, C. (2001). Gender and ethnic differences in career goal attainment. *The Career Development Quarterly* 50(2), 168-178.
- Peterson, N., & Gonzalez, R. (2000). *The role of work in people's lives: Applied career counseling with vocational psychology*. Belmont, CA: Wadsworth/Thomson Learning.
- Pietrofesa, J., & Splete, H. (1975). *Career development: Theory and research*. New York: Grune & Stratton.
- Powell, T., Hubschman, B., & Doran, M.. (2001). Career development through informal learning: A review of the literature. In O. A. Aliaga (Ed.), *Academy of Human Resource Development 2001 Conference Proceedings* (33-3). Baton Rouge, LA: Academy of Human Resource Development.
- Robey, B., & Russell, C. (1984). A portrait of the American worker. *American Demographics* 6, 17-21.

- Robbins, S. (1993). *Organizational behavior concepts, controversies, and applications*, (6th ed.). Englewood Cliffs, NJ: Prentice-Hall.
- Sampson, J. Jr., & Lumsden, J. (2000). Ethical issues in the design and use of internet-based career assessment. *Journal of Career Assessment* 8, 21-35.
- Santos, E., Ferreira, J., & Chaves, A. (2001). Implications of sociopolitical context for career services delivery. *The Career Development Quarterly* 50(1), 45-55.
- Severy, L. (2002). What's the story? Postmodern career counseling in student affairs. *Journal of College Student Development* 43(1), 84-96.
- Sharf, R. (1997). *Applying career development theory to counseling*, (2nd ed.). Pacific Grove, CA: Brooks/Cole.
- Super, D. (1951). Vocational adjustment: Implementing a self-concept. *Occupations* 30, 88-92.
- Super, D. (1954). Career patterns as a basis for vocational counseling. *Journal of Counseling Psychology* 1, 12.
- Swanson, R., & Holton, E. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler Publishers, Inc., p. 312
- Szymanski, E., & Hershenson, D. (1998). Career development for people with disabilities: An ecological model. In Parker, R. & Szymanski, E., (Eds.), *Rehabilitation counseling: Basics and beyond*. (3rd ed.) Austin, TX: Pro-Ed.
- U.S. Department of Labor (1995). *Employment and earnings*. Washington DC: US Government Printing Office.
- U.S. Department of Labor. Occupational Outlook Handbook. Retrieved Nov. 24, 2003: <http://www.bls.gov/oco/oco2003.htm>
- Whitman, M. (1999). *New world, new rules: The changing role of the American corporation*. Boston: Harvard Business School Press.
- Zemsky, R., Shapiro, D., Iannozzi, M., Cappelli, P., & Bailey, T. (1998). *The transition from initial education to working life in the United States of America* (NCPI Project Paper No. 1). Stanford, CA: National Center for Postsecondary Improvement.

Perceived Effectiveness and Application of Organizational Career Development Practices

*Carroll M. Graham
Fredrick Muyia Nafukho
University of Arkansas*

This paper discusses the results of a study involving data gathered from a heterogeneous sample of organizations within a four-states region of the Midwestern United States. The main objective of this research was to determine the frequency and prevalence of career development practices and their perceived effectiveness among human resource executives. The results of the study show the demographics, status, and selected practices of the organizational career development systems utilized by the respondents.

Keywords: Career Development Practices, Career Development, Career Development Programs

The days of the organization creating a parent-like environment to loyal employees are quickly moving into the pages of history. New strategies requiring various approaches are replacing the contented attitudes and practices to which we had grown so accustomed (Gutteridge & Otte, 1983). The business world is experiencing a metamorphosis precipitated by revolutionary changes in technology, diverse consumer demands, globalization of our economy, corporate downsizing, rightsizing, restructuring, and increased competition. Coincidentally, “psychologists, sociologists, educators, economists, and management scholars are trying to understand how a person selects, works within, and makes decisions to change the focus of his or her working life” (DeSimone, Harris, & Werner, 2002, p.452). Furthermore, practitioners of human resource development are experiencing multiple challenges in the pursuit of perfecting the working person’s career. The practitioner’s role in organizational career development is now viewed as a “strategic process in which maximizing an individual’s career potential is a way of enhancing the success of the organization as a whole” (Sherman, Bohlander, & Snell, 1998, p.258). Because career development provides orientation to human resource development practices, it is vital that we gain an understanding of its importance and find ways to enhance the growth of the careers of every employee in the workforce. “A career consists of a sequence of work-related positions occupied by a person for the course of a lifetime. Traditionally, careers were judged in terms of advancement and promotion upward in the organizational hierarchy. Today, they are defined in more holistic ways to include a person’s attitude and experiences” (Cummings & Worley, 2001, p. 413).

The quest for knowledge to facilitate the development of careers has never been greater than it is in today’s business world. Considered one of three major functions within the discipline of human resource development, career development may be defined as a “an ongoing process by which individuals progress through a series of stages, each of which is characterized by a relatively unique set of issues, themes, and tasks” (Greenhaus, 1987, p. 9). Career development may be viewed as a two-part process: career planning and career management. Career planning involves an individual’s actions to determine skills, knowledge, abilities, values, and sometimes personality traits necessary, not only for the selection of a career, but to ensure and facilitate success once the career is chosen. Career planning may be a solitary action or a counselor may assist the individual in a more formalized set of procedures. Career management, on the other hand, involves the deliberate application of steps necessary to achieve the career plan, and maintain the career, and is usually administered in conjunction with the needs of the individual and the needs and support of the organization (DeSimone, et al., 2001).

The journey towards retirement usually entails three to five career changes in one’s passage into retirement. During that period adults may progress through traditional or modified approaches of career development (Greenhaus, Callanan, & Godshalk, 2000). Leibowitz, Farren, & Kaye, (1986) stated, “The effectiveness of a career development system lies in its consideration of the interaction, interdependence, and integration of all the elements within an organization” (p. 5). For a career development system to be effective, it must “have clearly defined responsibilities to the employees, the managers, and the organization; offer them a variety of development options; and form the link between current performance and future development, which includes the notion of the best “fit” or “match””(Leibowitz, et al., 1986, p. 5). The results of this study offer important insights into developmental career practices in this region of the Midwestern United States. Conclusions are drawn from this research that inspire human resource development practitioners to link developmental planning with organizational strategies and enhance the growth of individuals and organizations alike.

Copyright © 2004 Carroll M. Graham, & Fredrick Muyia Nafukho

Problem Statement and Purpose

Career development practices and activities selected and utilized by human resource development practitioners vary from a minor few to multiple possibilities when addressing the growth of employees' careers and ultimately the growth of the organization. A principal goal of this study was to gain a greater knowledge of the *preference and frequency of use* of career developmental tools and their application by various organizations within a four-states area of the Midwestern U.S. Due to the limited knowledge available regarding the prevalence and use of career development tools and practices in the aforementioned geographical area, the study sought to answer the following research questions: 1). What were the prevalent career development practices utilized by organizations studied? 2). Which practices did the HR managers in the study perceive as effective or ineffective? 3). Which career development categories, and accompanying practices were more frequently used? 4). What were the HR managers' perceptions regarding the effectiveness of the categories and the accompanying practices?

Theoretical Implications in Career Development

As early as 1985, researchers have indicated the youthful existence of career development theory and research within the field of social sciences. Some have emphasized positive developments, claiming unity within the ranks in specific areas, while others voiced significant concern regarding the lack of cohesiveness in the many theoretical applications in the practice of organizational career development. As noted, "The field is fractionated, partly because it falls between the various academic disciplines that inform it" (Hall, 1986, p. 3). Theorists in the sociological and anthropological areas primarily focus on the organization's role in career development (Glaser, 1968; Perrucci & Gerstl, 1969; Van Maanen, 1973). In other areas, such as occupational psychology, the direction of career development has been related to assessing personality traits, values, skills, and interests of the individual. Basically, this theoretical position asserts that an accurate inventory of the aforementioned variables and subsequent use of this information to match the individual to a compatible occupation is a viable approach to successful career development (Osipow, 1983; Holland, 1973; Super, 1980).

Schein (1978) pointed out the biases that organizational psychologists exhibit towards the development of personnel in lower levels within organizations, as compared to managerial psychologists who favor career development practices targeted for managerial resources. He expressed doubts about the latter developmental theory due to his belief that organizations would soon be focusing needs on individuals with technical and functional expertise (Hall, 1986). Offering another view, Leibowitz, et al., (1986) stated, "The most successful career development programs are most often based on one or more theories grounded in those disciplines" (p. 71). Additionally, Leibowitz, et al., (1986) claim, "No one theory will work for all settings, for all purposes, or for all professions. They range on a continuum from individually based perspectives to organization conceptualizations. They represent many different viewpoints" (p. 70). Familiarities of theory, knowledge of the target group, theory acceptance within the organization, and utility or usefulness during the proposed intervention, are considerations a practitioner may want to adhere to in career development practices. Using theories as guides and adapting several theoretical approaches during career development serves as an advantage to the practitioner (Leibowitz, 1986). Several scholars believe the theoretical support for formal career development continues to be lacking or weak (Arthur, Hall & Lawrence, 1989; Gunz & Jalland, 1996). While Baruch (1999) states, "Much of the literature on career development has focused on the individual view whereas there is an acute lack of theoretical formulation of organizational practices" (p. 432). Fundamentally, most practitioners, and some theorists and scholars are continuing to use a multiple-theory approach, based primarily on the individual view of organizational career development.

In the early 1990s, the American Society for Training and Development (ASTD) undertook to sponsor a proposal to study career developmental tools in large organizations in the United States, Australia, Singapore, and throughout various European countries. The ASTD-sponsored study solicited responses from mostly large organizations due to the greater occurrence of career development systems within that population. The resulting information provided valuable knowledge on the types, effectiveness, and frequent uses of specific career development practices (Gutteridge, Leibowitz, Shore, 1993).

The ASTD fully explains the role of career development programs in organizations. The study identified the following career development practices as the most frequently used: "*Organizational Potential Assessment Processes; Internal Labor-Market Information Exchanges; Employee Self-Assessment Tools; Individual Counseling or Career Discussions; Job-Matching Systems; or Development Programs*" (Gutteridge, et al., 1993, p. 4). In the case of the organizations studied in this study, the main objective was to establish the kind of career practices used and how effective these practices were as perceived by the HR executives studied.

Method

Target Population

The target population for the study consisted of HR executives based in Midwestern United States. Organizations within this geographical area enjoy significantly greater successes than those of some other areas of the United States. In addition, moderate climatic conditions, and surpluses in labor indicate continued growth and development of commerce within this region. The participating organizations surveyed in this study were located in small to midsized communities with populations ranging from 4500 to 250,000 inhabitants. Annual sales or budgets of these organizations ranged from under \$25 million to \$1 billion or over, with employees numbering greater than 400 to over 25,000. The study was extended to include smaller organizations, which are common within the targeted four-states area. Approximately 65% of these diversified organizations employ 500 to 4,999 persons. Included were organizations from retail/wholesale trade, energy (public utilities, petroleum, chemicals), education, services, diversified/conglomerate and high tech organizations. The initial census of the human resource executives who met the criteria above resulted in 29 HR executives. The questionnaires were administered to the 29 executives however, 27 (93%) HR executives completed the questionnaires. Of the 27, one questionnaire was incomplete and could not be used. The remaining 2 (7%) did not complete the questionnaires.

Sample Size and Sampling Techniques

To ensure an appropriately diverse population from which to survey, the names of twenty-nine organizations typically characteristic of the aforementioned geographical region were selected and compiled in a contrived manner. Human resource executives were selected after examining organizations listed in the online database *Reference USA* at Pittsburg State University Library, and determining the location, size, type, number of employees, and approximate annual sales or budgets. The majority (69%) of the sample represented industrial/consumer manufacturing and health care organizations. This sample indicates a wide, but acceptable range of small, mid-size, and large organizations that were representative of the target area studied in this research.

Instrumentation

A research questionnaire entitled "Questionnaire for Human Resource Executives on Career Development Practices" was designed based on a review of the literature and a previous study conducted by ASTD. The survey questionnaire included information related to demographics, frequencies and preferences of career development categories, and practices utilized. The instrument also included Likert type items that measured the perceived effectiveness of the various career development practices of the organizations in the study. The content and face validity of the instrument was established by giving it to research experts in the field of human resource development and research methodology at Pittsburg State University for examination. Their comments were incorporated and helped in preparing the final instrument.

Data Collection Procedures

As opposed to utilizing a direct-mailing approach to gathering data, and with the goal of ensuring a high response rate, data collection involved traveling to each location, tendering questionnaires to human resource executives, and providing specific definitions for any unfamiliar terminology within the questionnaire. An aim of this research was to ensure uniform interpretation of the various human resource development practices cited within the questionnaire, and to ultimately gather accurate data from which to analyze and draw conclusions. Twenty-nine human resource executives were asked to complete surveys, with twenty-six responding immediately or returning the survey by mail after conferring with colleagues. While one respondent completed the instrument and handed it to the researcher.

Results

Data in Table 1 show that most (57.7%) of the organizations involved in this study are manufacturing and health care, while annual budgets or sales ranged from under \$25 million to over \$1 billion. Eight or 30.8% of the respondents reported their organization's budgets or sales in the \$100 million to \$499 million range, with 19.2% of the participants reporting an annual budget or sales of \$1 billion or over. Four (15.4%) respondents reported less than 500 employees, while eleven (42.3%) of the respondents reported 500 to 900 employees. Additionally, 23.1% of the organizations reported 5,000 to 9,999 employees, and four respondents (15.4%) reported 10,000 to 49,999 employees.

Table 1. *Organizational Demographics*

Type of Organization	Frequency	Percent
Manufacturing (consumer)	3	11.5
Manufacturing (industrial)	9	34.6
Retail/Wholesale trade	1	3.8
Energy (public utilities, petroleum, chemicals)	2	7.7
Education/nonprofit	1	3.8
Services (Bus. food & hosp., rec., repairs)	2	7.7
Medical/health	6	23.1
Diversified/conglomerate	1	3.8
High Tech	1	3.8
Total	26	100.0
<i>Organization's Annual Budget or Sales</i>		
Under \$25 million	3	11.5
\$25 million to \$49 million	1	3.8
\$50 million to \$99 million	2	7.7
\$100 million to \$499 million	8	30.8
\$500 million to \$999 million	1	3.8
\$1 billion or over	5	19.2
Total	20	76.9
Missing data	6	23.1
Total	26	100.0
<i>Number of employees in entire organization</i>		
Fewer than 500	4	15.4
500 to 999	11	42.3
1,000 to 4,999	6	23.1
5,000 to 9,999	1	3.8
10,000 to 24, 999	2	7.7
25,000 to 49,999	2	7.7
Total	26	100.0

The study also revealed that a majority of the respondents (96.2%) indicated an existing career development system. Data in Table 2 show career development programs provided by the organizations studied. As data in Table 2 show, twenty-one respondents (80.2%) believed the employee was primarily responsible for career development. Table 2 also shows three of the most successful career development practices employed by the executives in the study. *In-House Training and Development* programs were rated as being effective or very effective by 76.9% of the respondents. Twenty-five (96.2%) of the respondents utilized *Tuition Reimbursements*. Eleven (42.3%) reported that *Tuition Reimbursements* was a very effective career development practice in their organizations. Another 26 (100%) of the respondents, utilized employee *Orientation Programs*, with 22 (84.6%) declaring its use as effective to very effective. *Employee self-assessment: Computer Software* had only 9 (34.6%) of the respondents.

Table 2. *Status and Selected Practices of Organizational Career Development Practitioners*

Variable	Frequency	Percent
<i>Employee responsibility for career development</i>		
0	5	19.2
10	1	3.8
33	5	19.2
40	3	11.5
50	7	26.9
70	2	7.7
90	3	11.5
Total	26	100.0
<i>In-house training and development programs</i>		
Moderately effective	4	15.4
Effective	16	61.5
Very effective	4	15.4
Total	24	92.3
Missing data	2	7.7
Total	26	100.0
<i>Tuition reimbursements</i>		
Occasionally effective	1	3.8
Moderately effective	5	19.2
Effective	8	30.8
Very effective	11	42.3
Total	25	96.2
Missing data	1	3.8
Total	26	100.0
<i>Employee orientation programs</i>		
Occasionally effective	1	3.8
Moderately effective	3	11.5
Effective	11	42.3
Very effective	11	42.3
Total	26	100.0
<i>Employee self-assessment: Computer software</i>		
Moderately effective	5	19.2
Effective	3	11.5
Very effective	1	3.8
Total	9	34.6
Missing data	17	65.4
Total	26	100.0

Additional results include information from the six categories of career development practices researched in this study. The categories of *Self-Assessment Tools* and *Internal Labor-Market Information Exchanges* showed minimal to moderate use by the respondents. Practices offered in these categories included, but were not limited to some of the following: Career Workbooks, Computer Software, and Career Resource Centers. Smaller organizations tended to use these practices less frequently.

In the category of *Individual Counseling Or Career Discussions*, the practices of Supervisory or Line Manager Discussions and Personnel Staff Discussions, as career development practices, were popular with more than 75% of the respondents declaring its use. Both practices were given ratings of effectiveness exceeding 53%. The findings in the category of *Job-Matching Systems* lead these researchers to conclude that this is one of the two most popular and successful career development categories studied in this research. Significant is the frequent use of four practices, Job Posting, Skills Inventories or Skills Audit, Replacement or Succession Planning, and Internal Placement System, in which at least 15 (50%) of the respondents reported their use. The use of Job Posting as a career development practice indicates it is the most popular with 24 or 92.3% of the respondents indicating its usage, and 22 or 84.7% declaring it to be effective to very effective.

In the category of *Development Programs*, several practices were noted as being frequently used and perceived as effective to very effective. A summary of this final category shows nine distinct practices (including those previously mentioned in Table 2.). Following are selected highlights from this category: Nineteen or 73.1% of the respondents utilized the practices Job Enrichment and Job Rotation. External Seminars or Workshops, followed closely with 63% of the respondents rating this practice as effective to very effective. Also noteworthy in this category, is Mentoring Systems, where sixteen or 61.5% of the respondents confirmed its use, and thirteen rate its use as effective to very effective.

Discussion

This research was driven by the need to establish career development processes used to promote and manage strategic processes among its employees for the purposes of enhancing career and organizational development. The study examined the career development processes used by the respondents. A majority of the human resource managers studied reported that the tuition reimbursement programs were very effective in promoting career development of the employees. This was followed by provision of In-house training and development programs. Subsequent to appropriate needs assessment and analysis, organizations should link developmental planning and shared vision in a collaborative effort to ensure the maximum benefit of all employees in an organization. For example, when using the practice of *Tuition Reimbursement*, outcomes should be reviewed to determine if this practice is applied developmentally to the shifting needs of the organization and those of the employees.

Specific training should be made available to employees who may serve as coaches in career development. Emphasis should be placed on the importance of their coaching behaviors, the influence they have over the development of others, and on-the-job approaches to practices that ultimately affect organizational growth. Stressing job enrichment, and a "language" of career development with appropriate dialogue, and the identification of attractive competencies, will also serve to boost career development. Important also is highlighting diverse career development approaches, seeking feedback via needs assessments while stressing quality and employee-induced responsibility for their achievement in this area.

Additionally, organizations should determine ways to measure and evaluate in a holistic manner the impact of career development to both the employees and the organizations themselves. Human resource executives should also publicize career development practices and commend the successes of those who excel at these practices. Also, there is a need to continuously monitor the global career development practices picture. The study of the career development practices of successful local organizations is also important. While doing this, practitioners should be aware of the unlimited possibilities abroad (Gutteridge, et al., 1993; Leibman, Bruer, & Maki, 1996).

Conclusions

In conclusion, based on the results of this study, the data reveals that respondents used practices from two categories, 1) *Development Programs*, 2) *Job-Matching Systems*, more than others. The category of *Development Programs* was practiced more often than the other previously mentioned five categories and the ratings of effective-to-very effective were also reported more frequently than within other categories. Human resource executives in the study perceived four practices, job enrichment or job design, job rotation, tuition reimbursement, and employee orientation as more effective than others. Significant practices in the second-most popular category of *Job-Matching Systems* were job posting, skills inventories or skills audit and replacement or succession planning. These practices

were also rated as effective to very effective. In addition, the results of this study allow interested stakeholders and practitioners of human resource development to make meaningful generalizations about career development practices in similar populations.

Recommendations for Further Research

Based on the results of this study, recommendations for additional research would be to determine what frameworks or models are being utilized in the category of *Developmental Programs* (specifically in the noted successful practices) to achieve the higher frequency, prevalence, and effectiveness ratings reported by the respondents. Additionally, in the category of *Self-Assessment Tools*, which showed minimal to moderate use by the respondents, it is recommended that further research be conducted to assess the viability of *Computer Software* as a developmental practice, and whether or not this practice is more valuable than revealed by this study. Data should be gathered that could determine its strength or weakness as a practice and its generalizability to other populations.

It is also recommended that data be gathered in the category of *Individual Counseling or Career Discussions* on the procedures used in the practice of *Supervisor or Line Managers* as an effective career development tool. Due to the close interaction of the employee and supervisor, this practice could be developed and expanded to further assist employees in their career development. Also, the positive response of the practice of *Employee Orientation Programs*, under the category of *Developmental Programs*, should be researched further to determine the most effective means for deployment as an aid to career and developmental growth. Finally, an organization's success is the end result of the developed or underdeveloped people it employs. Career development practices should be emphasized by unreservedly offering any information to employees that encourages professional and personal growth. Career development programs must go beyond the scope of the job itself and prepare workforces to be competent and adaptable as the new economy and people experience the effects of change (French, 1998). Therefore, it is strongly recommended that organizations continue to monitor and review current literature on career development tools and practices, and tailor programs in a manner that will advance employees in an accelerated and successful process through the inevitable changes of the future (Leibman, et al., 1996).

Limitations

A potential limitation of this study concerns the generalizability of the findings given that the study involved a contrived sample of the stated population. Though every effort was made to select a heterogeneous sample characteristic of the organizations from the four-states area, one could argue that the outcome may have changed with different participants. Due to the study's travel-requirement design, time and finances were also a limiting factor in sampling a larger number of organizations and ultimately reinforcing the generalizability of the study.

Implications for Human Resource Development

Implications for practitioners of human resource development concerning the use of organizational career development practices to enhance employee career development can be derived from the reported study. Organizational leaders should encourage management to conduct needs assessments, analyze, design, implement, and evaluate career development programs in their established businesses. Based on the reported study, specific organizational career development practices were considerably more successful than others and may hold greater appeal to the employee in terms of overall effectiveness and utility. In larger organizations, with many employees, pilot programs may need to be tested prior to costly and extensive engagement or reforms of career development activities. The current trends of employee empowerment, individual responsibility for career development, and alignment of business strategies with new competency requirements, lend itself to organizational career development. In addition, current emphasis on total quality management, technological changes, organizational restructuring, and the knowledge that career development may be achieved through job enrichment, require practitioners to pay closer attention to this method of organizational growth and development. The employee will also benefit by developing transferable competencies that ensure continued employment regardless of changes within their organizations or the global marketplace. However, on the negative side, employees may resist programs they deem unnecessary. When job security is a primary issue, loyalty to the organization may decline, while fear and cynicism may escalate (Gutteridge, et al., 1993).

References

- Baruch, Y. (1999). Integrated career systems for the 2000s. *International Journal of Manpower*, 20(7), 432.
- Cummings, T., & Worley, C. (2001). *Organization development and change*. (7th ed.). South-Western College Publishing.
- DeSimone, R., Werner, J., & Harris, D. (2002). *Human resource development*. (3rd ed.). Harcourt College Publishers.
- French, W. (1998). *Human resources management*. (4th ed.). New York: Houghton Mifflin Company.
- Glaser, B. (1968). *Organizational careers*. Hawthorne, N.Y.: Aldline.
- Greenhaus, J., Callan, G., & Godshalk, V. (2000). *Career management* (3rd ed.). Fort Worth, TX: Harcourt College Publishers.
- Greenhaus, J. (1987). *Career management*. Hinsdale, IL: Dryden Press.
- Gunz, H., & Jalland, R. (1996). Managerial careers and business strategies. *Academy of Management Review*, 21(3), 718-56.
- Gutteridge, T., Leibowitz, Z., & Shore, J. (1993). *Organizational career development: Benchmarks for building a world-class workforce*. San Francisco: Jossey-Bass.
- Gutteridge, T., & Otte, F. (1983). *Organizational career development: State of the practice*. Washington, D.C.: ASTD Press.
- Hall, D. (1986). *Career development in organizations*. San Francisco: Jossey-Bass.
- Holland, J. (1973). *Making vocational choices: A theory of careers*. Englewood Cliffs, N.J.: Prentice-Hall.
- Leibman, M., Bruer, B.A., & Maki, B.R. (1996). Succession management: the next generation of succession planning. *Human Resource Planning*, 19(3), 16-29.
- Leibowitz, Z., Farren, C., & Kaye, B. (1986). *Designing career development systems*. San Francisco: Jossey-Bass.
- Osipow, S. (1983). *Theories of career development*. (3rd ed.) Englewood Cliffs, N.J.: Prentice-Hall.
- Perrucci, R., & Gerstl, J. (1969). *Profession without community: Engineers in american society*. New York: Random House.
- Schein, E. (1978). "Individuals and careers." In J. Lorsch (Ed.), *Handbook of Organizational Behavior*. Englewood Cliffs, N.J.: Prentice-Hall.
- Sherman, A., Bohlander, G., & Snell, S. (1998). *Managing human resources*. (11th ed.). South-Western College Publishing.
- Super, D. (1980). A life-span, life-space approach to career development. *Journal of Vocational Behavior*, 16, 282-298.
- Van Maanen, J. (1973). Observations on the making of policemen. *Human Organization*, 4, 407-418.

Involvement in the Investigative Phase of a Merger and Acquisition: Perceptions of HRD Professionals

*Consuelo L. Waight
University of Houston*

This qualitative study describes the involvement of human resource development (HRD) professionals in the investigative phase of merger and acquisition. Telephone interviews were completed with 38 HRD professionals in 12 organizations that had undergone merger and acquisitions (M & As) between 1996 and 1999.

Keywords: Human Resource Development, Mergers and Acquisitions

For the purpose of this study the terms mergers and acquisitions are used interchangeably because the result is the same – one company takes control of another (Halperin & Bell, 1992), thus the firms' activity is sometimes referred to as an M & A (Forbes Financial Glossary). Today, M & As are characterized by lesser hostility and more strategic orientations (Gaughan, 1996). Mergers and acquisitions are now responding to an increasingly competitive global marketplace, economies of scale, deregulation, technological change and shareholder wealth maximization (Bleeeke, Ernst, Isono & Weinberg 1993, Kudla & McInish 1999; Mergers & Acquisitions, 2000). For organizations and employees, however, M & As are the beginning of a period of uncertainty and unpredictability (Buono & Bowditch, 1989; Lee, 1997; Marks & Mirvis, 1997) as behavioral, psychological and performance issues become crystallized during the M & A process (Csoka, 1997; Ernst & Young, 1994). With HRD being rooted in systems, economic, psychology and performance theories, HRD professionals are equipped to impact human resource issues that arise from M & As. Little do we know, however, of what HRD professionals do. Larsson and Finklestein (1999) in a study on integrating strategic, organizational and human resource perspectives on M & As identified strategic management, economics, finance, organizational and human resource management as perspectives and theoretical lens from which M & As had been studied. Human resource development, however, was not mentioned. Of all the studies reviewed for this study, Slama (1991) was the only researcher that recommended that the HRD professional should have specific competencies and skills to facilitate the integration process. Jeris, Johnson and Anthony (2002) conducted four case studies on HRD involvement in merger and acquisition decisions and strategy development. Their most compelling insight was that HRD professionals were not involved in the actual decision to merge or acquire because of the secrecy and urgency surrounding the deal. This study extends the work of Jeris et.al by providing knowledge and awareness about when HRD professionals become involved in the M & A process and what they do specifically at the investigative phase.

The investigative phase is but one of four phases that are part of any M & A process. In reviewing the make-up of M & A models, it was evident that their content were highly similar, the only difference being the number of phases that are used to describe the various models (Csoka, 1997; Hewitt & Associates, 1998; Watson & Wyatt, 1999, Galpin & Herndon, 2000). Upon review of five models, the M& A model used by Watson & Wyatt in their 1998 study on assessing and managing human capital was selected to explore what HRD professionals do during these phases. The 1998 Watson & Wyatt M & A model encompassed the initial planning, investigative, negotiation and integration phases. Some of the activities that could occur at the initial planning phases include identifying business strategy, define acquisition criteria, identify target markets and companies, select target letter, issue letter of intent and develop M & A plan. At the investigative phase it is important to focus on due diligence of financial, people/cultural, legal, environment, and operations. Other activities include set preliminary integration plans and decide negotiation parameters. The negotiation phase can include setting the financial, legal and structural deal terms, securing key talent and integration teams. Lastly the integration phase can include finalizing and executing integration plans on organization, people, process and systems. While these phases highlight different activities, they are all interdependent for a successful M & A. Due to page limitations, only the investigative phase will be discussed in this study.

Purpose of the Study

The purpose of this exploratory study was to describe the involvement and contributions of HRD professionals during M & As through the perceptions of HRD professionals. This study focused on two research questions.

Copyright © 2004 Consuelo L. Waight

1. In what phase(s) (initial planning, investigative, negotiation, and integration) of the M & A process are human resource development professionals involved?
2. What do human resource development professionals do in the investigative phase?

Overview of Research Design

This basic study is based on a phenomenological design. The focus of phenomenological research is people's experience (HRD professionals and business managers) in regard to a phenomenon (merger and acquisition) and how they interpret their experiences (Patton, 2002). Semi-structured telephone interviews were conducted with 38 HRD professionals working in 12 organizations that underwent M & As between 1996 and 1999.

Population and sample. The population of this study was all HRD professionals in Fortune 500 companies that underwent M & As between 1996 and 1999. Thirty-eight HRD professionals were selected from 12 companies. The selection of HRD professionals was dependent on their experience with M & As, especially if they were involved in the most recent M & A. Human Resource Development professionals were employees responsible for the fostering a work-related learning capacity at the individual, group, and organizational level of organizations for the purpose of improving performance (Swanson, 1995; Watkins, 1989). As such, HRD professionals had titles such as strategic business partner, training and development manager, human resource manager, and workforce development consultant. The 12 companies were purposefully selected based on their completion of M & A process, especially the integration phase. During the integration phase the systems, processes and people in the organization are critical foci; thus, feedback and learning are used continually to adapt and implement the integration plan (Galpin & Herndon, 2000). These 12 companies also faced workforce issues as they merged and they all had human resource departments with active HRD functions. Thus, they provided a unique, rich, test bed to explore the HRD professional's involvement in M & As.

Data collection. Overall 38 in depth telephone interviews were conducted. Before the telephone interview was conducted the researcher asked for permission to tape the interview, if granted the researcher recorded the interview. Of the 38 HRD professionals, 35 agreed to be recorded and three opted not to be recorded. To ensure reliability among the data transcriptions, the researcher asked a work colleague to choose three HRD professionals from a master list of study participants. The researcher wrote emails to the three selected individuals asking them to review the attached interview transcriptions for accurate representation of what they had shared during their interviews. Of the transcripts that were sent to the study participants, only five minor word changes were recommended in three of the transcripts.

Instrumentation. The interview guide for the HRD professionals included two major sections that paralleled the study's research questions. A study advisory committee of four HRD educators from the University of Illinois reviewed the interview guides for validity. In addition to the advisory committee, the researcher tested the interview guides with four HRD professionals and two business managers working in organizations that underwent a M & A. The individuals included in the pilot study were included as part of the study. During the interview, the researcher paid keen attention to the responses given to the questions to ensure that the interviewees were interpreting the questions based on the intent. The pilot study with HRD professionals showed that it was necessary to change the order of some of the items on the interview guide, so that the interview could flow more smoothly. One item was deleted from the original interview guide because it was redundant.

Data analysis. Participants' descriptive content responses to the research questions were read, and categorized by research question. Each research question contained a main premise, which was used by the researcher to reduce large amounts of data into smaller number of analytic units or themes. After analyzing each participant's response for each research question' main premise (each research question was looked at across all participants), the researcher color-coded the themes. Upon identifying the recurrent themes, the researcher created descriptive tables for each theme. In this way the researcher identified data that supported each theme. The researcher then identified frequency of themes occurrence, and created a framework that detailed from the most frequent to less frequent activities. Percentages were also attached to the frequencies.

To help validate the researcher's analysis of the data, the researcher asked three doctoral candidates to analyze data sets from three random HRD professionals and two business managers. Upon completing the analysis, their findings were compared with the researcher's analysis of the same five study participants. There was unanimous agreement between the researcher and the doctoral candidates regarding themes identified in the data text.

Results

Research question number one addressed the phases where HRD professionals became involved in the M & A process. To address this question HRD professionals and business managers were asked to identify in which of the four M & A phases (initial planning, investigative, negotiation, integration) they were involved in during the M & A process.

Human resource development professionals were involved in all four phases of the M & A process (see Table 1). Thirty-eight (100%) HRD professionals indicated that they were involved at the integration phase. Nineteen (50%) professionals said they were involved at the investigative stage. Eleven (29%) said they were involved at the negotiation phase and nine (24%) were involved at the initial planning phase. Human resource development professionals identified the integration and investigation phases as the phases where they were most involved. The negotiation and initial planning phases received the lowest involvement. Due to page limitation, only the investigative phase will be discussed.

Table 1. *HRD Professionals' Perceptions of Their Involvement in the M&A Phases (n=38)*

M&A Phases	HRD (f)	%
1. Integration	38	100
2. Investigative	19	50
3. Negotiation	11	29
4. Initial planning	9	24

Note. Multiple responses were permitted.

Research question number two addressed the activities that HRD professionals performed in the investigative phase. The study participants identified 67 broad activities, which were content analyzed and categorized into 10 major investigative phase activities. Table 2 lists the 10 major activities in rank order by frequency. Due to space limitation only the first four activities will be described.

Table 2. *HRD Professionals' Activities During the Investigative Phase (n= 19)*

Investigation	f	%
1. Assisted with analyzing HR systems and processes	19	100
2. Assisted with analyzing organizational culture	10	53
3. Assessed employee issues	9	47
4. Analyzed training programs	8	42
5. Assisted with analyzing talent retention structures	5	26
6. Assisted with analyzing staffing processes	4	21
7. Analyzed leadership development programs	4	21
8. Assisted with creating an integration plan	3	16
9. Assisted with the development of a due-diligence model	2	11
10. Assisted with analyzing career development program	1	5

Note. Multiple responses were permitted.

Of the nineteen HRD professionals all (100%) of them worked within HR teams to collect, analyze and report (due diligence) on systems and processes relevant to compensation and benefits, training, leadership, staffing, hiring, and retention. All HRD professionals concurred that the end results of the analyses were chosen systems, processes, policies, and/or procedures that best fit the organizations' needs and which fostered cost-reduction opportunities. As

one HRD professional stated, "everything within HR was changing, I was responsible for training but I was involved in communicating everything - during a merger process you don't work alone, you work together to accomplish the integration as quickly as possible". HRD professionals said that the primary purpose for due diligence was to identify potential for wealth creation, thus, pin pointing what could positively and negatively affect the M & A was important. In respect to training systems and processes, HRD professionals stated that they were involved in researching job mapping models, new hire orientation programs, leadership styles, team training programs and performance appraisals processes. HRD professionals stated that in addition to reviewing systems and processes, they also had to analyze and interpret policies and procedures from both the acquiring and target organization. One HRD professional described, "we brought representatives from each of the companies and shared how we handled the different HR activities in each of the companies and more importantly we discussed common terms that may have meant different things, for example, we shared compensations, benefits, training and overall organization structures, and we looked at how they differed and if they differed then we started to talk about cost implications and the changes that we wanted to make and the things that we felt were best practices in each of the companies. Another HRD professional related, "so, in terms of the staffing and selection process, company X had a pretty sophisticated performance appraisal system that involved ranking employees every year, so every employee in company X had a ranking. About 6 months before the merger was finalized during the time frame that we knew that there was intent to merge, part of the preparation for the staffing and selection process was to apply a similar ranking system to company Y employees so as to try to create some data for the Company Y employees that was comparable to data that existed on company X employees. This was important so that when we started the staffing and selection process, the managers from both companies could have a common definition on ranking and rating categories for employees and that managers understood how competitive an employee might be. This was important for employees also so that they had a common language and understanding of the staffing and selection process". Overall, HRD professionals shared that during the M & A knowledge about all HR components is critical because you are part of teams that are looking at all components of HR and their interrelatedness.

Ten (53%) HRD professionals assisted with analyzing organizational cultures. HRD professionals worked closely with other HR professionals in analyzing and reporting similarities and difference between organizational cultures. HRD professionals reported analyzing organizational cultures by reviewing organizations' histories, missions, visions, values, and by reading and asking employees questions about organizations' structures and leaderships styles. One HRD professional shared her finding, "Company X was a huge bureaucracy with lots of institutionalized obstacles to executing strategies. Company Y, on the other hand, was an entrepreneurial culture with much less bureaucracy and a strong value to execute strategies quickly". Another HRD professional related, "we had a limited group of people to speak with, but during conversations with VPs and seniors VPs, and work colleagues we found out that company X had a stronger culture based on company stock and probably stronger leadership culture. The chairman had earned and developed a lot of respect in the organization; people didn't refer to him as 'Mr', but rather by his first name. Employees had a strong relationship with their chairman and saw him as a true leader". HRD professionals said that a crucial question during the organizational culture analysis was, "what is your company known for". This question yielded the following responses: diversity, customer-focus, learning, entrepreneurial, bureaucratic, company stock, having institutionalized obstacles to executing strategies and leadership. HRD professionals stated that analyzing organization cultures was a viable experience for them and also for the organizations, because it yielded powerful information that influenced their integration approach; especially that of communication and change management.

Nine (47%) HRD professionals indicated that they assessed employee issues such as sexual harassment complaints, and employee performance. HRD professionals said that in some cases the absence of good documentation made assessment difficult. HRD professionals said that it was critical that these salient employee issues be clarified, documented and assessed because in the case of sexual harassment complaints, this could have legal implications, which could affect the value of the M & A if not identified before the negotiation. Assessment of employee performance, on the other hand, was needed to identify talent, skills gap and performance improvement programs based on the projected organizations' needs. Performance appraisal records were mainly used to conduct performance assessments.

Eight (42%) HRD professionals analyzed the training functions in the acquiring and target organizations. HRD professionals mentioned that training during M & As was imperative as it played an essential role in consolidating policies, procedures, systems, processes and organizational cultures. One HRD professional described, "Oh yes, the training side of things –a fundamental part of the organization because we were combining two organizations – so we wanted to see where we had the best practices so as not to reinvent the wheel". Another HRD professional highlighted the importance of training by saying, " training and development is one of the most critical part of our organization development plan – everything from technical training to management training to leadership

development all come under the training group and HR. HR works with business leaders on development analysis so as to map out training requirements. Training and development helps the individual to be a successful part of the merger and acquisition. It helps them assimilate to our culture very much quickly, it takes them right into the flow". Overall, training was seen as instrumental in communicating changes and empowering employees. In analyzing training, HRD professionals looked at the effectiveness and efficiencies of the training processes by reviewing the budgets, number of people served, purposes and goals, outcomes and impact on the bottom-line. The existence of the training strategy and its alignment with other HR functions and business units was fundamental. In one organization, training was not successfully aligned with business, this misalignment resulted in 80 percent of training and development downsized during the M & A. HRD professionals said that their analysis methods entailed focus groups with employees, round table discussions with training units, reviewing of training reports and talking to training directors and business managers. HRD professionals also reported the end result of their analysis was choosing a training model and practices that would benefit the new organization and employees.

Five (26%) HRD professionals assisted in analyzing talent retention structures. Talent retention was a major goal for organizations that used M & A as a continuous business strategy. HRD professionals reported that the priority was to retain talent and knowledge rather than train new employees, thus, ensuring a viable retention structure before the deal was signed was essential. HRD professionals said that they worked closely with the selection and staffing, recruitment and compensation professionals from their organization and the target organization. As a team they assessed critical elements of retention structures such as job mapping, incentives, and compensation.

Four (21%) HRD professionals assisted the staffing professionals in analyzing staffing processes. It must be noted that one HRD professional was given leadership role in analyzing the staffing processes, though she was in a leadership position she still worked closely with staffing professionals. HRD professionals said that staffing processes were changing in their organizations and in-depth research was conducted on staffing approaches internally and external to the organizations. One model that was researched extensively by three organizations was "zero-based staffing". One HRD professional said, " My company has undergone many mergers, but this was the first time that every job in the organization became vacant- zero-based staffing was a big cultural change for this company, the trust and commitment that existed among employees was torn". HRD professionals said that there were a series of meetings where different staffing models were reviewed and discussed until a process was defined that matched with the nature and global scope of their businesses. HRD professionals said that once approval for the process was received from senior management, they along with staffing professionals educated the managers from their organizations and the target organizations about the process. Their goal in educating managers was for managers to take ownership of the staffing process and be prepared to introduce it to their employees once the deal was signed.

Four (21%) HRD professionals analyzed leadership development programs. HRD professionals mentioned that they worked closely with HRD professionals and vice presidents of HR from the target organization in reviewing each other's leadership programs. HRD professionals said that vice presidents of HR were involved in the leadership analysis because they would be the ones that would eventually work with the chosen leaders. Overall, the team looked at leadership measurements, how they benchmark leadership practices, and their overall leadership styles and development programs through brainstorming sessions. One HRD professional reported, " The leadership development analysis was a friendly process despite the fact that none of us knew if we would have a job at the end of the process".

Three (16%) HRD professionals said that they assisted in the creation of an integration plan. The integration plan was a reflection of all HR areas that would play a role in reorganization of employees. HRD professionals said that this type of integration plan avoided silo communication and performance among the HR team. Integration plans addressed areas such as organizational design, communication and training, methodology, and relationship with the managers and employees. Human resource tasks and personnel were then assigned to each of these areas. HRD professionals said that in doing timelines for the integration plans they considered state government, federal government and, labor union's regulations. These regulations either increased or decreased the pace of integration. One HRD professional worked in an organization that underwent multiple M & As per year, thus this company had an integration template, which was only customized to the needs and nature of the specific given M & A.

Two (11%) HRD professionals assisted in with the development of a due-diligence model. HRD professionals work collaboratively with HR professional as they brainstormed to identify a model that showed business units how to research the organization and how to document their findings. The models allowed business units to map the employee population, take inventory of assets, identify best practices, identify talent and choose which functions should be kept, outsourced or terminated. HRD professionals said that the models helped business units to compare

and document an array of information necessary for integration. One HRD professional said that they brought in consultants to help them implement the model throughout the entire organization.

One (5%) HRD professional reported assisting with analyzing a career development program. HRD professional said that she worked with selection and staffing professionals from both the acquiring and target organization to ensure a cost-effective career development program that provided equal opportunities for all employees. The HRD professional said that she was considered the expert in career management.

Summary & Discussion

Of the 38 HRD professionals, 19 were involved in the investigative phase of the M & A process. The HRD professionals identified 10 activities. What is most significant, however is that the activities identified by HRD professionals are all human capital related; this shows that organizations are not only involved in finance related but also human capital due-diligence during a M & A. The results also show that organizations are becoming more cognizant of the importance of organizational cultures, and are looking for help on how to integrate symbolic elements of both organizations. Given the activities that were identified in this study and given that organizations are now operating in a knowledge economy, it would certainly be a bewilderment to find that the investigation of human capital issues, the backbone of any business strategy, is still being avoided.

The results of this study also show that during the investigative phase, HRD professionals are involved in important decision making activities such as assessing organizational cultures, and HR systems and processes relevant to compensation and benefits, training, leadership, staffing, hiring, and retention. Galpin and Herndon, (2000) stated that findings of the investigative phase are used to set negotiating parameters, determine bid prices and provide the basis for integration recommendations. Schmidt (2000) related that during the pre-deal stage the challenge is to find a partner with a good strategic fit. In the due diligence the focus is ensuring the soundness of the deal and establishing the economic value proposition. All stakeholders' issues need to be explored fully during this phase. This means determining the nature and implications of differences in operating philosophies, attitudes towards social responsibility, reward programs, management practices and corporate cultures. Ashkenas, DeMonaco and Francis, (1998) further explained that cultural assessments, identifying business and cultural barriers to integration success, selecting integration manager, assessing strengths and weaknesses of business and function leaders and developing communication strategy were some activities that occurred during the investigative stage. Likewise, Daniel and Metcalf, (2001) identified getting familiar with the target company, its businesses and markets, understanding culture, employee competencies, key talent, compensation/incentive programs, employee benefits, policies and practices, and employee relations/labor issues. In addition Daniel and Metcalf mentioned understanding the acquisition strategy, knowing the timeline, minimizing disruptions by being proactive, developing acquisition questions, understanding areas of discipline overlap, prepare recommendations and reviewing the analysis with senior management as possible due-diligence activities that human resource professionals may become involved.

The results of this study also provide insight into dynamic role of HRD professionals during the investigative phase. HRD professionals worked with other HR professionals and business managers from their organization and the target organization. This finding shows that M & A activities are team-oriented and HRD professionals need to be prepared to work in different projects during a M & A, especially during the investigative phase. The notion that HRD professionals will be solely working on HRD related activities is non-existent during a M & A. Clemente and Greenspan's (1999) study on HR involvement in M & A found that 92 percent of the 83 percent of 413 HR professionals involved in the investigative phase rated their involvement with the due diligence team as very important. The findings of this study on the make-up of teams and the activities teams perform also heighten the importance of due-diligence teams.

In conclusion this study provides basic but important information about the need and importance of HRD involvement in M & As. The study shows that if HRD professionals are versatile with the overall HR/HRD practices and processes they will play a major role in the investigative phase of M & As.

Implications

The results of this study indicate that HRD professionals need a broad perspective of HR because during a merger and acquisition, HRD professionals become involved in varied human capital related activities. The results also show that knowledge and skills on assessing organizational cultures is critical. HRD programs, then, need to focus on providing some knowledge of other HR functions upon which HRD professional could build once they are in the

workplace. HRD programs must also focus on what they are teaching about organizational cultures, are they going beyond theories and providing cultural audit tools that can be customized during M & As.

Limitations and Future Directions

It must be noted that this study was exploratory and basic and more research needs to be done to advance the role of HRD professionals in the M & A process. This study was limited to the perceptions of 38 HRD professionals working in 12 organizations. In several cases HRD professionals who were part of the M & A between 1996 and 2000 were not employed in the given company. This type of situation posed limitations on the number of people that could be reached. One company, for example, downsized 50 percent of their workforce and 80 percent of training and development during their M & A. Despite this limitation, the study opens doors for more research on the involvement of HRD professionals in the M & A process.

More research needs to be done to further explore the activities that HRD professionals performed in the four phases. Specifically more research on HRD professionals' roles in assessing organizational cultures, training programs, and HR systems and processes needs to be done. Case studies, for example, on models used by HRD professionals in assessing organizational cultures during a M & A would take this study to a deeper level. More research on what hinders or assists HRD professionals' involvement in the M & A process could also help to better understand the role of the HRD professionals in the M & A process.

References

- Ashkenas, R.N., DeMonaco, L.J., Francis, S.C. (1998). Making the deal real: How GE Capital integrates acquisitions. *Harvard Business Review*, 76(1), 165-178.
- Bleeke, J., Ernst, D., Isono, J. A., & Weinberg, D. D. (1993). Succeeding at Cross-Border Mergers and Acquisitions. In Bleeke, J., & Ernst, D. (Eds.), *Collaborating to compete: Using strategic alliances and acquisitions in the global marketplace*. (pp.79-90). New York: John Wiley & Sons, Inc.
- Bollar, S. L. (1996). *The impact of organizational culture on employee work attitudes, readiness for change and organizational performance*. Unpublished dissertation, Georgia.
- Buono, A. F., & Bowditch, J. L. (1989). *The human side of mergers and acquisitions*. San Francisco: Jossey Bass Publishers.
- Cartwright, S., & Cooper, L. C. (1996). *Managing mergers, acquisitions, & strategic alliances: Integration people and cultures*. (Rev. ed.). London: Butterworth-Heinemann Ltd.
- Clemente, M.N., & Greenspan, D.S. (1999). *Empowering human resources in the merger and acquisition process*. Glen Rock, NJ: Clemente, Greenspan & Co., Inc.
- Csoka, L. S. (1997). HR challenges in mergers and acquisitions. *HR Executive Review*, 5(2), 1-17.
- Daniel, T. A., & Metcalf, G. S. (2001). *The management of people in mergers and acquisitions*. Westport, Connecticut: Quorum Books.
- Ernst & Young (1994). *Mergers & acquisitions*. New York: John Wiley & Sons, INC.
- Forbes Financial Glossary*. Retrieved March 10, 2002 from <http://www.forbes.com/tools/glossary/>
- Galpin, T. J., & Herndon, M. (2000). *The complete guide to mergers and acquisitions*. San Francisco: Jossey-Bass.
- Gaughan, P.A. (1996). *Mergers, acquisitions, and corporate restructuring*. New York: John Wiley & Sons, INC.
- Gilley, J.W., & Maycunich, A. (1998). *Strategically integrated HRD: Partnering to maximize organizational performance*. Reading, Massachusetts: Addison-Wesley.
- Halperin, M., & Bell, S.J. (1992). *Research guide to corporate acquisitions, mergers, and other restructuring*. New York: Greenwood Press.
- Kudla R. J., & McInish, T. H (1999). Figuring the odds on whether a deal will succeed. *Mergers & Acquisitions*, 34(2), 27-31.
- Larsson, R., & Finkelstein, S. (1999). Integrating strategic, organizational and human resource perspectives on mergers and acquisitions: A case survey of synergy realization. *Organization Science*, 10(1), 1-26.
- McLagan, P. A. (1996). Creating the future of HRD. *Training and Development Journal*, 50, 60-65.
- Mergers and Acquisitions: *The Dealmaker's Journal* (January, 2000), 35(1).
- Marks, M. L., & Mirvis, P. H. (1997). Revisiting the merger syndrome: Crisis management. *Mergers & Acquisitions*, 32(1), 35-40.
- Lee, G. M. (1997). *An analysis of employee responses to a health care merger: Implications for human resource planning*. Unpublished doctoral dissertation, Ann Arbor, Michigan.

- Slama, P. S. (1991). *Developing human resources during organizational transition: An inductive case study of a corporate acquisition*. Unpublished doctoral dissertation, DeKalb, Illinois.
- Torraco, R. J., & Swanson, R. A. (1997). The strategic roles of human resource development. *Human Resource Planning*, 18(4), 11-21.
- Ulrich, D. (1998). A new mandate for human resources. *Harvard Business Review*, 76(1), 124 -134.
- Walker, J. W., & Stopper, W. (2000). Developing human resource leaders. *Human Resource Planning*, 23(1), 38-44.
- Watson Wyatt Worldwide (1999). *Assessing and managing human capital: A key to maximizing the M & A deal value*. Bethesda, Md :Watson Wyatt Worldwide.

Organizational Identity and Its Implication on Organization Development

*Yueh-Ysen Lin
University of Minnesota*

Organizational identity is defined as a set of statements that organization members perceive to be central, distinctive, and enduring to their organization (Albert & Whetten, 1985). It is influential to behaviors of both leaders and members in many aspects within an organization. By reviewing current theoretical and empirical literature, this article integrates several research directions of organizational identity in order to delineate the relationship between organizational identity and organizational development and change. Implications and possible directions for future research are discussed as well.

Keywords: Organizational Identity, Planned Organizational Change, Organization Development

For the last decade, organizational identity has emerged as a new focus in organizational research. Organizational identity is defined as an enduring, distinctive, and central statement perceived by an organization's members (Albert & Whetten, 1985) to answer questions such as "Who are we?" "What are we doing?" "What do we want to be in the future?" Research of organizational identity focuses on several dimensions, such as the formation of organizational identity, and its relationship to organizational culture and image (Ashforth & Mael, 1989; Gioia, Schultz, & Corley, 2000; Hatch & Schultz, 2002), multiple identities and identity management (Albert & Whetten, 1985; Pratt & Foreman, 2000), and identity and organizational change (Brown & Starkey, 2000; Dutton & Dukerich, 1991). Organizational identity is important since it affects actions, interpretation, and decision making of organizational members and the management. Several studies also show that organizational identity has a huge impact on organizational change processes.

This paper attempts to address the following questions. What is organizational identity? How does organizational identity affect organizational change? Is it a barrier that hinders an organization's change plan? Can it be a means for organizations to facilitate planned change processes? In this paper, I focus on the influence of organizational identity on planned change process, or organization development (OD), which is referred to any kind of planned, system-wide, managed, and behavioral-scientific change effort initiated by the management or change agents in order to improve an organization's effectiveness and performance through planned interventions (Beckhard, 1969). A planned change process is different from other kinds of organizational change processes (i.e. life cycle, evolution, dialectic, see Van de Ven & Poole, 1995) by some distinctive characteristics, such as its goal orientation, adaptation through strategic choices, and single organization as the unit of change (Van de Ven & Poole, 1995).

The purpose of this paper is to delineate the relationship between organizational identity and planned organizational change. By reviewing current literature and research regarding organizational identity, this paper presents a general picture about organizational identity and its influential role within an organization. It also articulates the importance of organizational identity to organizational planned change processes. This paper contains three sections. First, the definition of organizational identity, its influence on organizations, its formation, as well as its relationship with organizational culture will be introduced. Second, the influence of organizational identity on organizational change process, both positive and negative, will be discussed. Last, a holistic framework of the relationship between organizational identity and planned organizational change is proposed. Possible directions for future research are addressed in the conclusion section, as well.

Organizational Identity

Definition of Organizational Identity

Albert and Whetten (1985) define organizational identity as a set of statements that organization members perceive to be central, distinctive, and enduring to their organization. The definition reveals three critical criteria: *centrality, distinctiveness, and durability*. *Centrality* means that the statement should include features that are important and essential to the organization. Identity as a statement of central characters defines what is important and essential to the organization. (Albert & Whetten, 1985).

The criterion of *distinctiveness* emphasizes that the identity statement should be able to distinguish the organization from others. A distinctive identity statement usually includes organizational ideology, management philosophy, and culture. It helps the organization locate itself in a specific classification. The character of *durability*

emphasizes the enduring nature of organizational identity. It implies that organizational change is difficult to start because the loss of organizational identity will have strong impact on the organization (Albert & Whetten, 1985).

Influence of Organizational Identity

According to the definition, an identity statement is collectively and cognitively held by organization members to answer questions such as "Who are we?" "What business are we in?" and "What do we want to be?" Organizational identity influences both leaders and members within an organization. For organizational leaders, organizational identity is influential on their decision making activities within an organization. Typically, identity questions surface and attract the management's attention when they cannot find easier, more specific, and more quantifiable solutions regarding specific organizational issues (Albert & Whetten, 1985). By defining the organization's identity, organizational leaders establish a fundamental base that serves as the guide for them to engage in decision making activities (Albert & Whetten, 1985).

Organizational members are affected by an organization's identity as well. Since social identity theory suggests that individuals have the natural tendency to identify with social groups and define themselves with the connection with these groups (Pfeffer & Salancik, 1978), organizational members' answers to identity questions have strong influences on their judgment of and identification with their organizations (Albert & Whetten, 1985). This identification in turn affects the establishment and maintenance of members' self-esteem (Humphrey & Brown, 2002). Organizational identity provides organizational management and members with a key lens for their interpretation and sensemaking about occurring events for their organizational life (Dutton & Dukerich, 1991; Elsbach & Kramer, 1996). The results of member interpretation and sensemaking direct members' behaviors and actions within the organization (Dutton & Dukerich, 1991).

Formation of Organizational Identity

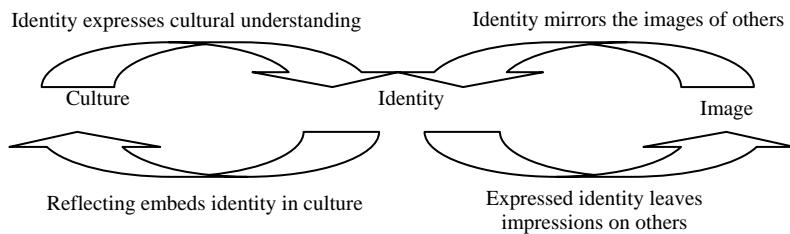
Based on the identity interaction model and individual identity theory (Cooley, 1922; Erickson, 1968; Goffman, 1959; Mead, 1934), Albert and Whetten (1985) argue that interaction and comparison with other organizations are keys to the formation of organizational identity. Similar to individual identity, the formation of organizational identity is *a process of ordered interorganizational comparisons* (Albert, 1977). During the processes, members constantly compare their own organization with target organizations and obtain evaluative information from other parties which, in turn, affect members' definition and identity of their own organization.

Identity scholars hold different opinions regarding the relationship between organizational identity and organizational culture. For example, Albert (1998) argues that a particular organizational culture may, or may not, be part of organizational identity, depending upon the relevance and importance of culture to the identity question. Yet, some researchers clearly propose a dynamic relationship between identity and culture to explain the formation of identity (Ashforth & Mael, 1989; Gioia et al., 2000; Hatch & Schultz, 2002). For instance, Ashforth and Mael (1989) argue that the important values in organizational culture are critical determinants to the psychological process of identity formation. Only when individuals identify with the central, distinctive characteristics of the culture will they be willing to attach to a social group. This psychological process of attachment, in turn, reinforces individual identity as well as the solidity of organizational identity (Ashforth & Mael, 1989).

Hatch and Schultz (2002) propose another dynamic model to illustrate the relationship between organizational identity, culture, and image (see figure 1). According to the model, members express their understandings of their organizational culture through organizational identity, which in turn, affects the perception of others outside the organization about the organization. The outsiders' perception, or organizational image, in turn, affects the organizational identity, which again is reflected in the central elements of the organizational culture.

Despite the dynamic arguments of the formation process of organizational identity challenges the criterion that durability, it is considered as a better condition for organizational change, since it provides the organization with the flexibility and adaptability to respond to the environmental demands. The influence of identity on organizational change will be detailed discussed in the following section.

Figure 1 Hatch & Schultz's (2002) Organizational Identity Dynamics Model



Organizational Identity and Resistance to Planned Organizational Change

Since organizational identity represents an ostensible set of central, enduring, and distinctive statements with which members define their organization, it provides an important psychological anchor for members in time of upheaval (Gustafson & Reger, 1995). Organizational identity, however, is also a possible source of resistance to change (Dutton & Dukerich, 1991; Gustafson & Reger, 1995). For example, from a psychodynamic perspective, Brown and Starkey (2000) examined the relationship between organizational identity and organizational learning. Analogous to individual identity theory, organizational members have the tendency to maintain their collective self-esteem and identity by not questioning their existing self-concept (Brown & Starkey, 2000). Learning and receiving new information are likely to evoke organizational members' feelings of anxiety and trigger some kind of defense mechanisms. This is particularly true when the new self-concept is inconsistent with the existing beliefs and self-image (Brown & Starkey, 2000). As a result, these defense mechanisms hinder organizational learning by influencing how members of the organization search, interpret, use, and store new information.

From a more concrete viewpoint, organizational identity influences management and members within an organization in several ways; from organizational leaders' actions and decision making regarding change initiatives, to members' interpretation of organizational events and actions. Moreover, organizational identity affects members' comparison processes and evaluation of strategies and actions as well. These influences are discussed in the following sections.

Organizational Identity as Action Guidelines

Organizational identity serves as guidelines leading managers' actions and decision making in relation to planned change process. For example, Fox-Wolfgramm, Boal, and Hunt (1998) conducted a longitudinal study to examine banks' adaptation processes to a new governmental regulation, which had a strong impact on the banks' strategies and operations. The research focused on two types of banks, one termed a *prospector* and the other a *defender* (Miles & Snow, 1978). Broadly speaking, a prospector organization is more dynamic, more decentralized, but less formalized and specialized than a defender. Prospector organizations usually have broader product lines, tend to focus on innovation and emerging market opportunities, and emphasize creativity over efficiency. On the contrary, defender organizations are characterized as less dynamic and place less emphasis on innovation. Defender organizations also tend to focus on efficiency over creativity and innovation (Miles & Snow, 1978).

Given the different characters of the two types of bank organizations, Fox-Golfgramm et al. (1998) expected different responses between the two banks to the new regulation. Since the prospector bank has features of flexibility and dynamics, and is open to environmental change, it is expected to adjust itself faster without needing much external stress and confronting much internal resistance. On the other hand, the defender bank was expected to be less effective and to encounter more resistance in responding to necessary change during the adaptation process, given its more formalized and less dynamic features.

Surprisingly, the results showed that both banks encountered resistance, though for different reasons. For the defender bank, the top management resisted in taking action because they felt the new regulation did not fit with their "hometown identity". The prospector bank felt that they had already met the requirement. This study supports Gioia and Thomas's (1996) conclusion, which argues that, under conditions of change, top management team members' perceptions of organizational identity play a critical role in their sensemaking process and issue interpretation.

Organizational Identity as an Interpretative Lens

In addition to the influence on management's decision making and sensemaking processes, the second way that organizational identity affects organization members is its provision of a lens through which members interpret events occurring within the organization. In a case study of the New York Port Authority's dealing with the homelessness problem, Dutton and Dukerich (1991) examined how organizational identity and image affects its members in making sense and interpreting their organization's responses to a nontraditional and emotional strategic issue. They found that the importance of organizational identity is shown in three dimensions: issue interpretation, emotion, and action.

In the dimension of issue interpretation, organizational identity serves as a reference point for organization members to assess the importance of an issue which, in turn, becomes predictors of members' willingness to invest in the issue. If the scope of the issue continuously expands over time, or the issue threatens the core components of the organizational identity, or the organization takes actions that seemed to members as inconsistent with their identity, organization members tend to "judge the issue as more important and the organization as more committed to it" (Dutton & Dukerich, 1991, p.545). In other words, organizational identity defines to what extent the issue is likely to threaten the organization and helps the organization to resolve the issue by transforming it into an opportunity (Jackson & Dutton, 1988). Additionally, organizational identity also affects the meanings that members

give to an issue, which in turn, leads to different solutions for the issue (Dutton & Dukerich, 1991).

Beside issue interpretation, organizational identity also provides directions for explaining members' emotional expression about an issue. That is, members are expected to have positive emotions when actions taken are congruent with their organizational identity, while negative emotions are more likely to be generated when the actions are inconsistent with their identity. Moreover, identity also affects the pattern of organizational actions through its serving as guidelines for members to find acceptable solutions, to understand how actions are shaped, and to evaluate the success of actions (Dutton & Dukerich, 1991).

Organizational Identity as Cognitive Schema

In addition to serving as guidelines for management actions and a lens for member interpretation, organizational identity serves as a cognitive schema composed of beliefs and assumptions of organizational processes (Fiol & Huff, 1992; Reger et al., 1994). This schema influences how members encode and store new information, as well as how they draw inference from events with ambiguous or missing information (Reger et al., 1994). Since organization members use the cognitive schema to integrate prior and new knowledge, they tend to focus on new information consistent with their existing schema (Fiske & Neuberg, 1990), and ignore incongruent information. The tendency of focusing on congruent information is called "cognitive inertia," referring to the "resistance to changes that deviate from existing schemas or frames" (Reger, et al., 1994, p566).

Reger et al. (1994) use the concept of cognitive inertia to explain the high failure rate of total quality management (TQM). Traditionally, a successful TQM implementation within an organization focuses on a "paradigm shift," requiring a total, radical change in members' basic philosophy in the organization (Dobyns & Crawford-Mason, 1991; Munroe-Faure & Munroe-Faure, 1992). This kind of change intervention can only be understood and interpreted by members using their existing schema; yet, it is very likely that the new concepts of such intervention are not part of members' current cognitive schema. Thus, the radical change challenges members' assumptions and the identity of the organization and, in turn, results in members' uncomfortable feelings and resistance to the intervention. This resistance makes large-scale change such as TQM difficult to achieve (Reger et al., 1994). This argument again affirms the important influence of organizational identity on organizational change interventions.

Organizational Identity as Comparison Reference

Organizational identity not only affects managerial actions, as well as member interpretations and actions, but also serves as a reference point for comparison. As mentioned in the previous section, organizational members compare their organizational identity with actions taken by the management to judge the legitimacy of the action (Dutton & Dukerich, 1991). Likewise, members also compare their current identity with the envisioned organizational identity. Envisioned organizational identity, refers to an ideal or desired identity that represents what the management want the organization to be in the future (Reger et al., 1994). This envisioned identity can be reinforced through the creation of visions by organization leaders. Fox-Golfgramm et al. (1998) argue that the congruence between the current and envisioned identity has a strong influence on the permanent success or not of a change intervention. That is, members' resistance to a change intervention is more likely to occur if inconsistency exists between the current and envisioned identity (Fox-Golfgramm et al., 1998).

In addition to the envisioned identity, organizational image is another target for members to make comparison with. As defined previously, organizational images have to do with how organizational members believe outsiders think about their organization (Dutton & Dukerich, 1991). Thus, members' perception of organizational images affects their own view of themselves as well as of the organization. On the one hand, when the perceived image and identity are consistent, members tend to accept the status quo and, thus, no change will occur. On the other hand, when incongruence exists, changes may, or may not, occur because organizational members need to make further judgment to see if the discrepancy is important and worthy their efforts on change (Gioia et al., 2000).

The external pressure for change provides organizational members yet another target to compare with their identity and image (Dutton & Dukerich, 1991; Fox-Golfgramm et al., 1998). More specifically, when the pressure for change is in opposition to members' organizational identity and image, either current or envisioned, the resistance for change is likely to be higher than it is when the pressure and identity are congruent (Dutton & Dukerich, 1991).

In summary, organizational members make comparisons continuously, but the influence on organizational change varies across types of comparison. For example, the inconstancy between envisioned and current identity is likely to generate resistance; however, the consistency between the two leads to inertia, which possibly reduces the likelihood of successful change (Reger et al., 1994). Therefore, it is important to understand the influence of organizational members' comparing organizational identity with other targets, such as vision or envision identity, image, and external force for change. As long as the relationship is understood, the organization is more capable to achieve expected goals by appropriate managerial manipulation.

Identity and Success of Organizational Change

Notwithstanding organizational identity affects members' willingness to and acceptance of change interventions, it still can be a key steppingstone to achieve successful organizational change when well utilized. Several main themes have been created to explore the positive influence on and application to organizational change processes. Some argue that identity is not enduring; rather, organizational identity is characterized by instability (Gioia et al., 2000), plasticity (Fox-Golfgramm et al., 1998), or even multiplicity (Albert & Whetten, 1985; Pratt & Foreman, 2000). Some propose that ongoing identity change is a means for organizations to successfully change (Brown & Starkey, 2000; Gioia et al., 2000). Others consider identity as a multi-layer construct with both core and peripheral parts, so that organizational change can happen without changing core identity (Gustafson & Reger, 1995). Still others propose to take advantage of the discrepancy between either current and envisioned identity, or current identity and image, to create the impetus for change (Reger et al., 1994). Even though most of these views are proposed on theoretical bases, rather than empirical studies, they still provide rich and insightful implications for future researchers and practitioners in the field of organizational change. These four themes are discussed in the following sections.

Instability and Plasticity of Organizational Identity

By definition, one of the essential features of organizational identity is its temporal continuity. Change, discontinuity, or loss of identity is very likely to create a painful situation and threaten the organizational health (Albert & Whetten, 1985). Later researchers, however, challenge the notion and propose that identity might be less than enduring and more instable and flexible (Gioia & Thomas, 1996).

With the case of defender and prospector banks, Fox-Wolfgramm et al. (1998) propose that organizational identity in fact has a feature of plasticity. The plasticity of identity has two survival functions. First, it allows the organization to easily adjust its niche width, by quickly expanding business scopes in turbulent environments, but effectively refocusing when the environment is stable. Second, the plasticity of organizational identity makes it more flexible to easily handle and satisfy the needs and expectations of diverse stakeholders. Further, Fox-Wolfgramm et al. (1998) argue that, within limits, the flexibility and plasticity of organizational identity allow organizational adaptation and change without fundamentally changing members' organizational identity. This particularly illustrates the adaptation process of prospector bank to the new regulation by simply incorporating new elements with their existing ones. The defender bank, however, seemed to have less plasticity than the prospector (Fox-Golfgramm et al., 1998). This difference stresses the diverse influence of organizational identity on organizations with different strategy orientations.

On the other hand, Gioia et al. (2000) have a different interpretation of the instability and adaptability of organizational identity. Through the examination of relationship between identity and image, they argue that "the seeming durability of identity is actually contained in the stability of the *labels* used by organizational members to express who or what they believe the organization to be, but that the meaning associated with these labels changes so that identity is actually mutable (p.64)." Gioia et al. (2000) further use Hewlett-Packard (HP) as an example to illustrate the mutability of organizational identity. They cite Collins and Porras's (1994) article which states that the "H-P way" has been used as an expression of core values of HP's identity for decades, yet the underlying meaning of the specific values and actions has changed several times (Gioia et al., 2000, cf. Collins & Porras, 1994). Hence, Gioia et al. (2000) propose that the instability and mutability of identity is primary a result of its ongoing interrelationships with the more fluid organizational image. Moreover, they suggest that the instable and adaptive feature actually help organizations increase their flexibility in response to the changing environmental demands (Gioia et al., 2000).

Multi-layered Organizational Identity

Gustafson and Reger (1995) adopt a different perspective, seeing organizational identity as a construct with the inner and outer layers. The inner layer refers to the core, intangible, abstract attributes of identity that addresses questions such as how things are done. This core layer of identity focuses on specific organizational contexts and reflects in organizational culture and values that directly influence the production processes, the firm, and the environment. On the other hand, the outer layer of organizational identity refers to the tangible, substantive, and concrete attributes that answer questions such as what is done. Different from the core attributes, the substantive attributes focus on particular time and environmental conditions.

According to Gustafson and Reger (1995), the best way to promote organizational change is to renew the organizational identity but still maintain a stable sense of "who we are". Therefore, under turbulent circumstances, organizations with a stable core identity coupled with a changeable substantive identity are more likely to successfully respond and adapt to the changing environment. In that ideal case, the stable core identity helps organizational members ensure a clear and solid sense of stability, while the changeable substantive identity

provides them with flexibility to accept necessary changes. Nevertheless, holding a set of changeable identity does not necessarily mean that change is easy, rather, it is just relatively easier when compared to the change of the core identity (Gustafson & Reger, 1995).

Multiplicity of Organizational Identity

A stream of identity research focuses on the multiplicity of organizational identity, suggesting that an organization might have multiple sets of identities that are either compatible, neutral, or conflict with each other (Albert & Whetten, 1985). Since it is argued that organizations with multiple identities are considered more adaptive to environmental change (Albert & Whetten, 1985; Pratt & Foreman, 2000), an organization is likely to consider shifting from mono identity to dual identity over time, in particular when environmental complexity is increasing with mix of opportunities and constraints (Albert & Whetten, 1985).

Multi-identity organizations exist in two forms. Within *holographic* organizations, different sets of identities are shared by across all the units within the organization. The advantage of a holographic organization is that congruence and agreement among units is easy to reach with few conflicts. This kind of organization, however, has a significant deficiency. Its lack of diversity is very likely to debase the accuracy of its decision making and actions (Albert & Whetten, 1985).

On the contrary, each unit within an *ideographic* organization tends to hold different identity respectively and, thus, the multiple identity of the organization is a totality of the identities of each unit (Albert & Whetten, 1985). Generally, an ideographic organization benefits from its diversity of opinions and perspectives, which helps the organization and its members better monitor the changing environment and formulate appropriate actions and strategies for organizational adaptation. This diversity, however, leads to more conflicts and more difficulties in obtaining commitment and consensus to an action (Albert & Whetten, 1985).

Since organizations can either benefit from or be harmed by possessing multiple identities, it is important for organizations to find a way that can maximize the advantages and minimize the disadvantages at the same time. According to Pratt and Foreman (2000), organizations with an optimal numbers of identities will have the best adaptability and competitive advantage. They present the notion of “identity management” and suggest that, according to the current identity plurality and identity synergy of an organization, organizational leadership can manage their organizational identity in four ways: compartmentalization (preserving all identities without seeking integration and synergy), deletion, integration (fusing multiple identities into a distinct new one), and aggregation (retaining all identities and forging links among them). With the of identity management practices, organizations can attain the optimal condition and maintain the best effectiveness of multiple identities.

Changeability of Organizational Identity

Brown and Starkey (2000) examined the relationship between organizational learning and identity from a psychodynamic standpoint. In addition to their discussion that existing organizational identities are likely to hinder the learning process, Brow and Starkey (2000) also suggest that organizational learning can be promoted by fostering the changeability of the organizational identity in three ways. First, to better adapt to the changing environment, organizations should frequently conduct critical self-reflectivity. This frequent self-reflectivity can continuously force the organization to question its current identity and to cultivate alternative perspectives in order to attain the necessary change and evolution to a more adaptive identity. Second, dialogue about future identity should be integrated into an organization’s strategic management so that the leaders can reexamine the current identity constantly (Brown & Starkey, 2000). Last, organizations should foster and attain an attitude with which organizational members can be more willing to face threats to their organizational identity and accept the necessary change for a more mature identity (Brown & Starkey, 2000).

Identity Gap and Organizational Change

Reger et al. (1994) name the discrepancy between current and envisioned organizational identity as “identity gap”, referring to the “cognitive distance between the perception of the current and the ideal identity (p.574).” In the previous section, it was argued that the inconsistencies between current and envisioned identities increase member’ resistance to change. Yet, other researchers consider the discrepancy as way to provide motivation to change current identity (Cantor & Kihlstrom, 1987; Higgins, 1989). For example, Huff, Huff, and Thomas (1992) suggest that the widened gap between current and ideal identity creates “organizational stress” (p.58), which triggers members’ dissatisfaction and perceived imperfection about organization-environment fit. In order to reducing the uncomfortable feeling evoked by the inconsistence, organizational members tend to seek ways to diminish the perceived gap. This tendency further becomes an impetus for the organization to change (Higgins, 1987).

According to Reger et al. (1994), the influence of identity gap on the likelihood of organizations’ acceptance of change depends upon the width of the gap. Specifically, if identity gap is too narrow, organizational members tend to perceive change as unnecessary. In that case, members’ belief of a sufficient alignment between current and ideal states results in high inertia hindering organizational change (Reger et al., 1994; Higgins, 1989). Conversely, if the

identity gap is too wide, organizational members tend to perceive change as unattainable. As a result, the over-widened identity gap leads to high stress, which in turn, increases members' resistance to change (Higgins, 1987). Given that both overly-narrow and overly-wide identity gaps result in members' low acceptance of change, a notion of "change acceptance zone" is proposed to articulate those situations when a moderate identity gap creates the optimal driving force for organizational members to perceive and proceed with the necessary change (Huff et al., 1992; Reger et al., 1994).

Expanding on the notion of a change acceptance zone and the ideas of core/substantive identity attributes, Reger and colleagues suggest a new tectonic change mode that allows organizations to proceed to change by creating moderate identity gap (Gustafson & Reger, 1996; Reger et al., 1994). Different from incremental change which focuses on small but continuously modifying a specific component of identity, and revolutionary change which tends to create a huge identity gap and radical change process, tectonic change refers to change with a moderate scope, pace, and duration. The main strength of this tectonic change model is that, by creating moderate identity gap step by step, it allows an organization to destruct its undesired or outdated substantive identity without radically affecting its core identity.

Conclusion

In this paper, the concept of organizational identity and its influence on organizational process as well as organizational change were introduced and discussed. This is a relatively new but rich field for organizational researchers, and that is why this topic leads in such diverse directions. Most of the literature and concepts of organizational identity are developed and established more on a theoretical base, rather than empirical studies. Thus, it is of the most importance to fuel more researchers' interests in focusing on empirical studies on this topic. In so doing, the idea of organizational identity and its values can be more applicable to practitioners and future researchers.

A Framework of Organizational Identity and OD Interventions

According to the discussion in previous sections, the influence of organizational identity on planned change process is twofold. On the one hand, organizational identity serves as a frame of reference for organization management and members to interpret organizational events. Resistance to change arises at either the level of management or individual members when there is inconsistency between identity and the interpretation of events. On the other hand, organizational identity can be a means of manipulation to facilitate the success of planned change. This function is particularly significant during the stage of goal setting and envisioning.

Here I propose a holistic framework (see figure 2) by integrating previous research findings of organizational identity into a planned change model in order to explain how organizational identity affects the change process in different stages at different organizational levels. I use a teleological model proposed by Van de Ven and Poole (1995), which suggests that a planned organizational change is a circulate process composed of *dissatisfaction, searching/interaction, goal setting/envisioning, and plan implementation*. Two assumptions should be addressed. First, I assume that an organization's identity statement consists of both core and peripheral portions. The core part of the identity statement is more enduring and hard to change, while the peripheral part is more plastic and flexible. Second, given that organizational identity is a perceived construct with core and peripheral elements, I assume that the management and members of an organization might hold different identity statements based on from which level or angles they see the organization.

Based on this framework, resistance to a planned change effort can occur at either the management level or the organizational member level. At the management level, the management uses organizational identity as a frame of reference to search the meanings and interpretations when encountering a dissatisfactory situation. Resistances to take any actions are likely to arise from two aspects. First, when there is perceived consistency between the situation and the management's organizational identity, they are likely to stay unchanged since the management feel that there is no need to change. On the other hand, if there exists a discrepancy between the situation and current identity, the cognitive inertia results in the management's being unwilling to change, in particular when they are satisfied with the organization's status quo. The mechanism to push the management to cope the resistance in order to take further action is the strength of the crisis.

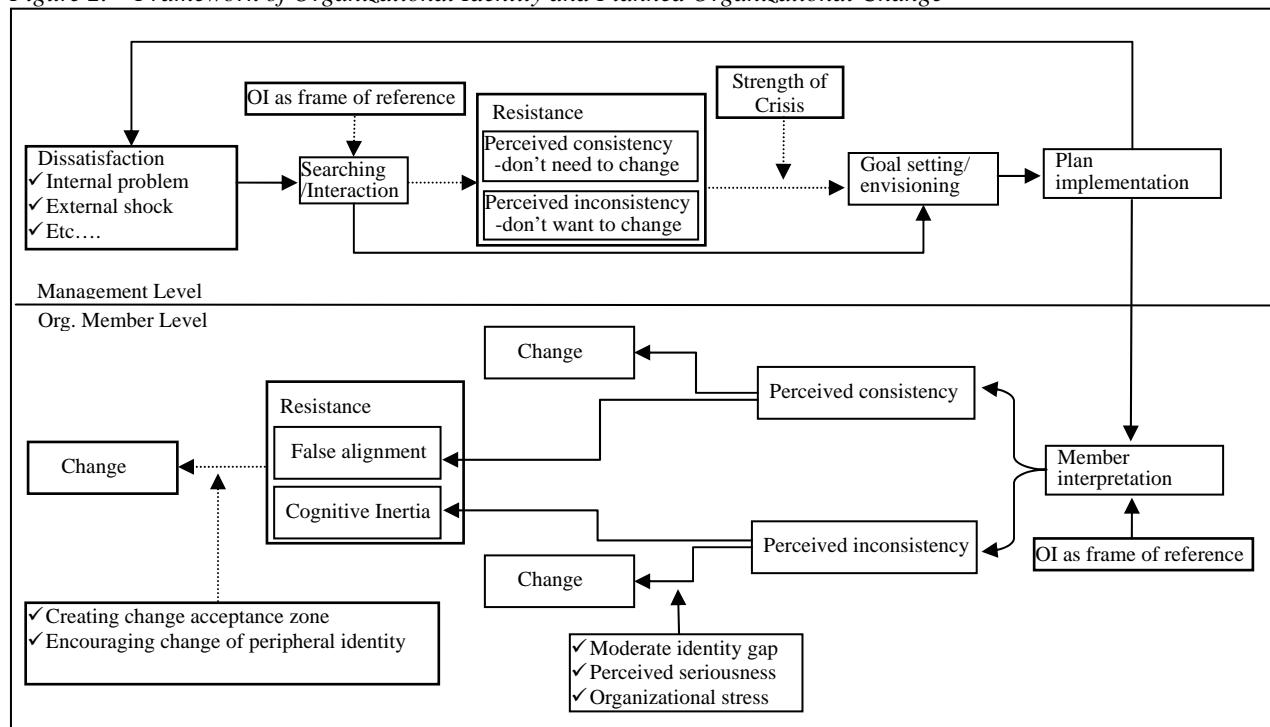
At the organizational member level, the explanations for the resistance of change are similar to the ones at the management level. Nonetheless, the ways that these resistances are managed are different. According to the framework, organizational identity also serves as a frame of reference for organizational members to make sense of the implementation of a change intervention. Both perceived consistency and discrepancy between identity and the intervention are likely to lead to either acceptance of change or resistance to change. More specifically, when organizational members perceive inconsistency, there are three possible mechanisms to force members to accept the

change intervention. First, the inconsistency creates a reasonable and moderate identity gap which reduces members' sense of possible negative impact and difficulty of the change. Second, even though the gap between their organizational identity and the management's action is huge, organizational members are still willing to change as long as they interpret the huge gap as the extent of seriousness of the issue. The last mechanism has to do with the organizational stress and cognitive dissonance. When organizational members experience an identity gap, which lead to their uncomfortable and dissonant feelings; they will try to take action to change in order to reduce the experienced dissonance.

When resistance to change appears at the organizational member level, no matter from false alignment or cognitive inertia, the management needs to find out solutions in order to diminish the resistance. Three ways are proposed to help resolve the issue. First, the management can create a change acceptance zone and moderate identity gap by proposing a not-too-far envisioned identity or vision. By using this means, it sometimes might be necessary to break a goal of change into a set of subgoals, so that the implementation of a change intervention can be advanced on an incremental base. In addition, the management can cultivate the plasticity and flexibility of organizational identity by enriching its peripheral attributes. In so doing, organizational members can have more adaptability to respond to change activities inconsistent with their core identity.

This is a holistic model to illustrate the relationship between organizational identity and planned organizational change. There are still many issues that are worth of further research and examination. For example, what are the contingent factors that determine which mechanism are appropriate to be adopted under a specific circumstance? What is the threshold for a crisis to trigger management's response to their resistance and action for further plan implementation? These are empirical questions and need further attention in order to strengthen this framework.

Figure 2. Framework of Organizational Identity and Planned Organizational Change



Reference

- Ashforth, B. E. & Mael, F. (1989). Social identity theory and the organization. *Academy of Management Review*, 14(1), 20-39.
- Albert, S. (1977). Temporal comparison theory. *Psychological Review*, 84(6), 485-503.
- Albert, S. (1998). The definition and metadefinition of identity. In D. A. Whetten & P. C. Godfrey (Eds.), *Identity in organization* (pp.1-13). Thousand Oaks: Sage Publication.

Contact Author for Complete List of References.

Change and Higher Education: A Multidisciplinary Approach

Julia Storberg-Walker

Richard Torraco

University of Nebraska

Higher education now finds itself in a new era and environment in which it is confronted with an array of challenges and forces for change. This paper identifies the key forces for change in higher education, assesses these forces using an established change model (the action research model), and illustrates how change literature from management, human resource development, and economics have the potential to contribute to successful change management in higher education environments.

Keywords: Higher Education, Change, Action Research

Given a long history of relative stability and steady growth, higher education now finds itself in a new era and environment in which it is confronted with an array of challenges and forces for change. Significant change at this point in the evolution of higher education appears eminent due to powerful environmental forces related to technology, competition, and the workplace/workforce (see Kezar and Eckel, 2003; Welsh and Metcalf, 2003; Kemelgor, Johnson and Srinivasan, 2000). These new forces are causing significant shifts directly impacting higher education goals, processes, and decision-making.

Despite the likelihood of substantial change that has swept through most other sectors of the economy in recent years, some doubt the ability of higher education to deal with this magnitude of change. Arthur Levine (2003) laments that providers of higher education “will ignore or move glacially as higher education decision making is prone to do, into the digital era” or that “traditional higher education will rush into, or worse yet, will be pushed headlong into the new digital economy and abandon what is sacred about higher education, those things that no other social institution is capable of providing” (p. 26).

This paper examines change in higher education at a critical point in its evolution. To organize the inquiry, we use an established change model (the action research model) that is widely used for planned change processes. Action research has been theoretically and empirically validated in traditional organizational forms. We use the model to identify where (at what points in the change process) and why (what are the substantive differences between higher education and traditional firms) planned change in higher education may be more challenging than in traditional firms. From that basis, we then use the model to illuminate the differences and gaps between traditional change management and the nature of change management in higher education environments.

The Action Research Model of Planned Change

Since the 1940s, studies have found that “research needed to be closely linked to action if organization members were to use it to manage change” (Cummings & Worley, 1993, p. 8). These findings laid the foundation for contemporary organization development and have guided the theory and practice of planned change for the past 60 years. Action research applies behavioral science knowledge to organizational problems, seeks involvement of organizational members at each stage of the process, and provides feedback throughout the process in order to adapt and recalibrate the action plan. The specific steps in action research have been described differently (see, for example, Shepard (1960), Cummings & Worley (1993), French & Bell (1999), and Rothwell, Sullivan & McLean (1995)); for this paper, Shepard’s recursive four-phased model is selected because it is the most generic model of planned change. This model can incorporate the more detailed elements from the other action research models and it provides the minimal requirements for planned change through action research.

Shepard’s (1960) model “highlights the relations among goals (objectives), planning, and action” (French & Bell, 1999, p. 132). The central focus is research with the purpose of informing current and future action.

The steps are 1) identify the objective; 2) plan the change process; 3) take action; 4) evaluate; and then repeat. The outcome of evaluation may lead to new planning (step 2 in the sequence) or lead to new objectives (step 1 in the sequence). The process is continual, iterative, and is grounded by organizational objectives. We use Shepard’s (1960) four steps to illuminate the unique challenges for planned change initiatives in the higher education environment.

Copyright © 2004 Julia Storberg-Walker & Richard Torraco

The paper is organized in three sections. The first section provides the background of the contemporary higher education environment. Two broad categories are discussed: 1) the key factors shaping the environment of higher education, and 2) the forces and catalysts for change. Within each category, we illustrate how these factors and forces can shape and influence Shepard's (1960) planned change process. The *key factors* effecting higher education include 1) governance structures; 2) diverse stakeholders and constituents; and 3) culture. These factors serve as important conduits and mediators of how any planned change process would occur in institutions of higher education. The *forces and catalysts for change* include 1) fiscal and budgetary constraints; 2) rapid growth in the use of information technology; and 3) market forces including the increasing competition for students.

The second part of the paper offers select theories and concepts found within change literature from a variety of disciplines. Scholarship on change from management, HRD, and economics were selected to illustrate the potential contributions of these disciplines. The review is not meant to be comprehensive; rather, the authors provide examples from these disciplines that directly relate to the key factors of the higher education environment.

The third and final component of this paper seeks to reconcile the higher education-specific change models reported in the literature with the examples presented in part two. Specifically, we seek a better understanding of the dimensions of change in higher education that are reflected in the following research questions: 1) how do the factors of and forces on higher education impact the planned change process?; 2) what do other disciplines offer that may inform the planned change process for higher education?; and 3) how can HRD effectively advise higher education institutions on change? Through this analysis we hope to gain a better understanding of the ways in which institutions of higher education experience change and, using the lens of change theory from management, HRD, and economics, how higher education might more effectively manage change in today's environment of turbulent, more market-driven culture.

Change—A Higher Education Perspective

Key Factors in Higher Education

Several unique factors permeate the higher education environment which are integral to the nature and purpose of higher education. These factors include organizational leadership and governance structures, diverse stakeholders and constituents of higher education, and institutional culture (Duderstadt & Womack, 2003; Welsh and Metcalf, (2003); Kezar and Eckel, 2002). Organizational leadership, diversity, and culture substantially impact all four steps of Shepard's (1960) model of planned change.

Institutional leadership and governance. Duderstadt and Womack (2003) discuss institutional governance in higher education in terms of a process that is shared among key constituencies—a governing board of lay trustees or regents as both stewards for the institution and protectors of the broader public interest, the faculty as those most knowledgeable about teaching and scholarship, and the university administration as leaders and managers of the institution. In short, the shared governance in higher education allocates the tasks of leading and managing the institution to the administration, academic matters to the faculty, and public accountability and stewardship to the governing board.

From this perspective, it is clear that the leadership and governance structure of higher education will substantially shape any change process that begins with identifying and building consensus on objectives. The governance structure of higher education, combined with numerous institutional leaders, managers, and academics, resembles more like the governance and leadership of democratic country than the governance and leadership of a typical business organization. Organizational politics, coalition building, and the differential power of both leaders and constituents play a much greater role in higher education organizations than in the traditional view of the firm.

By applying Shepard's (1960) model of planned change to this reality, we find that the first step of the process—creating and agreeing on objectives—can be seen as difficult, if not problematic, for higher education providers. In addition, the subsequent steps in Shepard's (1960) model (e.g., planning, taking action, and fact-finding) all take on a different flavor when one suggests that higher education institutions are more similar to a democratic country than to a business organization. Planned change on a national scale in democratic countries has been labeled as inefficient, shortsighted, lead by special interests, etc. etc. etc. Shepard's model illuminates the gap between planned change in business organizations from planned change in a higher education institution.

Diverse stakeholders and constituents. The dynamics of change in higher education are inevitably influenced by its diverse array of internal and external constituencies. Internal constituencies of higher education institutions include students, faculty, staff, administrators and governing boards. External stakeholders include parents, the public and their elected leaders in government, business, labor, the press and other media, foundations, and other public and private institutions in the community. A key challenge for leaders responsible for change in higher

education is managing the complex roles and relationships between the university and its diverse constituencies, particularly when these relationships are changing rapidly.

Shepard's (1960) model provides a way to identify the potential consequences of diverse stakeholders and constituents on a planned change process. Like the governance structure impact described above, the diverse stakeholders and constituents described by Welsh and Metcalf (2003) are *less* likely to come to an easy agreement about objectives. On a positive note, however, their study found that the planning and action taking steps will be *more* likely to succeed when faculty perceive they are embedded in the planned change process. In most situations, because of the diverse stakeholders and constituents, planned change in higher education institutions will generate coalition building, organizational politics, and the exercising of power in order for the process to continue.

Institutional culture. Recent studies have examined the effects of institutional culture on change in higher education. Smart, Kuh and Tierney (1997) examined the influence of institutional culture, mission, preferred decision-making approaches, and collective bargaining status on institutional effectiveness in two-year colleges. Kezar and Eckel (2002) examined the effect of institutional culture on change strategies by assessing the degree to which change processes are enhanced by following culturally sensitive change strategies and/or thwarted by violating cultural norms. They found that change strategies seemed to be successful if they were culturally coherent or aligned with the institution's culture. Institutions that violated their institutional culture during the change process experienced difficulty. The authors recommend that campuses conduct audits of their institutional cultures before engaging in the change process.

It is widely accepted, in both scholarly and practitioner journals, that culture represents a significant force in any planned change process. Shepard's (1960) model should be congruent with an organization's culture in order to increase the probability of successful change. Each step of the planned change process seeks to be aligned with the culture in order to be successful. In higher education environments, however, studies have found distinct subcultures generated from the loose coupling of institutional sub-units (Weick, 1976). The consequence of these subcultures is problematic for one overarching planned change process, and it means that each step should be culturally sensitive to a number of sub-units in order to impact system-wide changes. Imagine how difficult it would be to *identify*, let alone *align*, a process with multiple cultures within one organization. Again, Shepard's (1960) model illuminates the potential problems associated with planned change in higher education environments.

Forces Influencing Change in Higher Education

This section examines three major *forces for change* currently impacting the higher education environment. These forces are 1) fiscal and budgetary constraints; 2) the growth of information technology; and 3) market forces with the resulting increased competition for students. Each of these forces directly impacts the first step of Shepard's (1960) model of planned change. In other words, identifying objectives in the higher education environment is shaped simultaneously by each of these forces—and any one of these forces alone has been demonstrated to cause substantial changes in the operation and management of traditional business firms. Following is a brief description of these forces for change currently facing higher education providers.

Fiscal and budgetary constraints. The rising cost of higher education during a period of stagnant economic growth and declining public support has raised concern about both the access to and quality of higher education. During the past twenty years state appropriations as a proportion of the total revenue of public colleges and universities declined by nearly 25%, despite continued growth in college enrollments. During the same period the net tuition per full-time student increased by over 60 percent. Efforts to balance rising costs with the availability of educational services by increasing tuition continue to meet with public resistance. While higher education is exploring ways to reduce its dependence on government appropriations and to diversify its resource base through new, entrepreneurial and market-driven strategies, change on college and university campuses across the nation continues to be driven by fiscal constraints.

The growth of information technology in higher education. Among the most compelling forces for change in higher education today is information technology and the rapid growth in its use to transform learning. Several noted higher education leaders and observers recently have proclaimed the importance of recognizing the significant impact that information technology is having on basic processes of teaching and learning that are so fundamental to higher education (Brown & Duguid, 1995; Duderstadt, Atkins & Van Houweling, 2002; Katz and Associates, 1999; Pittinsky, 2003). These authors discuss the nature of information technology, its relevance and applications to higher education, and most important to change initiatives in higher education, they lay out the compelling opportunities and challenges presented by information technology. These works communicate a coherent and consistent message to leaders and change agents that higher education must take full advantage of the emerging technological possibilities afforded by these advancements.

Market forces and increased competition for students. Reflecting a more market-driven environment in higher education, students are exercising more discretion in selecting educational programs and there is increased

competition for students among higher education institutions. The monopolies over advanced education that universities once enjoyed due to geographical location and credentialing through the awarding of degrees are now being challenged by greater dependence on market forces and less on regulation. Technology is allowing new competitors to bypass the traditional barriers to entering the higher education marketplace such as large capital costs and accreditation. As a result, higher education is evolving from a loosely federated system of colleges and universities serving traditional students from local communities to, a global knowledge and learning industry driven by strong market forces.

Summary of first section. This section has illustrated how a planned change process (Shepard's, 1960) is influenced by the unique factors of and forces on higher education. The four-step model has illuminated how these unique features of higher education can pose challenges to any planned change process. The authors believe that in order to deal with these challenges, we need to look at change from multiple perspectives. The next section describes planned change from three different perspectives: management, HRD, and economics. Shepard's (1960) model is again used to identify the specific contributions and/or thinking from each perspective.

Change: Management Perspective

Management scholars have contributed greatly to our understanding of organizational change. Some management scholars view change as incremental and continuous; others view it as episodic and discontinuous. Regardless of the researcher's perspective of change, most scholars and practitioners agree that *human systems are characterized by some type of continuous change*. In this perspective, Shepard's (1960) model of planned change is continuously iterative. In other words, organizations and even sub-units within organizations are continually involved in some ongoing change process.

However, and it is a big however, current management thinking argues that *change that is determinant and predictable is the exception in organizations, since much of what organizations confront on a regular basis cannot be anticipated in advance*. Management scholars assert that planned change has an important albeit limited role in organizational life, even though it is a role that is often constrained and altered by the unpredictability of events. This perspective argues that events unfold in ways that cannot always be shaped by human deliberation and intervention. Based on this view of the unpredictability of change, management scholars agree that change is more complicated in today's knowledge economy. The increasing pace and complexity of all types of organizational change lead Garud and Van de Ven (2000) to observe that it is more productive to view change as "nested sequences of events that unfold over time in the development of individuals, organizations, and industries" (p. 4). Change is appropriately characterized by a duality wherein organizations are shaped by a continual flow of events that they, in turn, help to shape.

Thinking of change as 'unpredictable' and as 'nested sequences of events' suggests that Shepard's (1960) model may have limited application in today's knowledge economy. Management scholars and practitioners are searching for new theories of change that can inform the chaotic reality of organizational life. Is the notion of planned change itself an artifact of another era? Or, what utility can a model like Shepard's (1960) have in today's knowledge economy?

Van de Ven and Poole (1995) identified four ideal theories of change—teleological change, dialectic change, life cycle change, and evolutionary change. These theories represent fundamentally different bases for change. Each theory focuses on a different set of generating mechanisms and causal cycles to explain the change processes that unfold. These four ideal theories of change can be used to understand how change is "driven" by underlying motors or generating mechanisms. Each theory involves a change process based on a different cycle of change events that is governed by a different "motor" that drives change. These motors determine the scope and nature of change and can be inferred from a systematic analysis of the sequence of events underlying the development of phenomena. An explication of these motors provides a way to systematically explore change processes. In doing so, we can generalize insights between institutional settings in which change is driven by similar motors. Moreover, we can generate additional insights by combining motors to explore more complex processes.

From this perspective, Shepard's (1960) model could be applied on top of each of the four 'motors' of change and could be used to manage the *process* of change after it was generated by a particular motor. That is to say, the motors are deeply embedded in the socio-technical processes of organizations, and once the motors have been identified, a planned change model could guide the decision-making and management of the change process itself. It is assumed that Shepard's (1960) model would be congruent with any motor of change.

Change: HRD Perspective

Like the contributions of management described above, HRD provides its own unique contributions to the change agenda. Human resource development (HRD) claims a long and rich history in theorizing and researching about how organizations develop, grow, and change (see French and Bell, 1999; Rothwell, Sullivan and McLean, 1995, Cummings and Worley, 1993). The components of HRD are usually understood to include training and development, organization development, and career development (McLagan, 1989). For this research project, the focus is on the role of organization development (OD) and its relationship to organizational change.

In modern times, the term ‘organization development’ is broadly understood to focus on ten key dependent variables (Egan, 2000) that enhance organizational effectiveness. Variables that are most relevant for this research project include 1) initiating and managing change; 2) supporting adaptation to change; and 3) engaging organization culture change. Each of these variables is critical for successful planned change.

Shepard's (1960) model of planned change is a foundational model that represents the values, beliefs, and assumptions of HRD. The HRD profession places a high value on collaborative, reeducative interventions; likewise, Shepard (1960) advocates for collaboration for each step of the process. OD professionals are understood to be guided by a normative-reeducative philosophy when working to facilitate change and focus on creating collaborative decision making environments during times of change. These values, combined with HRD's foundational reliance on learning theories, provide a different and complementary perspective of change not always found in the management perspective. Shepard's (1960) model can therefore be used as a framework for planned change from the HRD perspective. The diverse contributions to planned change from HRD, including multiple methods to create change, outcome-based interventions for change, individual change as a prerequisite for organizational change, and cultural change as a primary goal for organization development (OD) interventions, all fit nicely into Shepard's (1960) four step process.

For example, the multiple methods OD professionals use to facilitate change can include action research (e.g., Shepard's (1960) model), appreciative inquiry, or critical research, among others. Each method is supported to a greater or lesser degree by a research history supporting to the efficacy of the method, and each method could use Shepard's (1960) model to inform and manage the process of change. Another example of how Shepard's (1960) model could be used to manage the process of change is for transformative change processes on the individual and organizational level. Henderson (2002) offered a comprehensive literature review on the major change research and theorizing for HRD. The article compared “prominent theories of change that have been proposed in the four arenas (including) organizational development, organizational learning, adult learning, and psychological development” (p. 187). From this article, it is apparent that learning and psychological development hold a more prominent role in understanding organizational change in HRD than other disciplines, including management and economics.

Shepard's (1960) model is easily adapted to individual and organizational change processes. Individuals embedded within organizations could be guided by the model in order to grow and develop; likewise, organizations could build upon individual change and manage the process using Shepard's (1960) model at the organization/strategic level. The main contribution of Henderson's work to the HRD field, and to planned change in general, is that he illustrates the connection between transformative learning at the individual level with transformative change at the organization level. In this perspective, effective change begins at the individual level: individual transformative learning is required for organizational change. If an organization does not place a high priority (with appropriate resources) on individual transformation, then organizational change interventions may fail.

Change: Economic Perspective

In today's environment, economic theory and concepts are increasingly impacting educational providers. For example, the New York Supreme Court drew heavily on economic-based research to decide on public school funding (Belfield & Levin, 2001); stock market analysts use traditional economic forecast models to sell stock in publicly-held degree-granting providers (Ortmann, 2001); and European higher education used the economic construct of the ‘market’ in order to “generate serious initiatives in deregulating higher education, in developing performance-based models of resource allocation, in fostering...competition and efficient management structures, and even in considering the ‘privatization’ of higher education” (Weiler, 2001, p. 1).

In light of the prevailing influence of economics on the policy, management, and strategy of higher education, not all scholars think this is appropriate. For example, Winston (1999) found that there are several *significant* economic differences between firms and degree-granting institutions. These differences were identified by economic theory and include: 1) market differences (for-profit vs. non-profit) with resulting information differences

(perfect information vs. asymmetric information); 2) the huge impact of ‘customer-input technology,’ (e.g., students are an input, a component of the quality process, and an output) (Winston, 1999); and 3) wealth differences impact higher education providers differently than the wealth differences of for-profit enterprises. “Schools that get a lot of donated resources from endowments and legislatures and gifts and their capital stocks can and do sell their educational services, in their commercial role, at a lower price for higher production cost and quality” (p. 18).

According to Winston, this means that “the key economic characteristics of higher education...paints a picture of a real world of higher education in which very different educational quality is produced in very different schools at very different cost and sold at very different prices—gross and net—to students with very different input characteristics who get very different subsidies and are often selected from very long queues of applicants, leaving a lot of unsatisfied demand. All of this exists in a world of massive ignorance about what is being bought and sold” (Winston, p. 22-23). These economic characteristics are very different than the economic characteristics of firms and are key to understanding the possible and potential changes in higher education providers. Since this study is focused on understanding change in higher education, the implications of these differences need to be accounted for in any new theory of change.

Change, from the economic perspective, is understood as responses to market conditions. Shepard’s (1960) model *could* be used to guide and manage the change process that emerges out of market changes; however, scholars like Winston question whether or not traditional economic concepts that are appropriate for firms mean the same thing in the world of higher education. The economic literature suggests that change is not really the focal area of greatest interest; rather, the *meaning* and *application* of economic concepts and analyses is under debate. These concepts and analyses continue to be applied to higher education providers despite increasing agreement that higher education providers face unique economic situations.

Comparative Analysis and Implications for Future Research

The changes facing higher education providers are transformational in scope and impact every level of the organization. Higher education providers themselves, of course, work towards implementing and managing change. Change in higher education is typically characterized by collegiality, extended dialogue, consensus, an emphasis on educative excellence, and respect for academic tradition. Change is evolutionary, deliberate, and incremental rather than revolutionary and quantum in nature. The complex governance structure, diverse constituencies, and cultures of higher education contribute to a pace of change that is considerably slower than what is typical in the private sector.

Given the above description of how change typically happens in higher education, Shepard’s (1960) model can easily explain the reality described above. The model suggests, because it is centered on the relationship between objectives and action, that organizations with complex structures and diverse opinions would change differently than organizations with simple structures with heterogeneous opinions. The reason for this is because identifying objectives is quicker and easier for the latter, and slower and challenging for the former.

But we want to do more than explain the current ways that higher education providers implement change processes. We want to identify areas that are particularly challenging to higher education and see how management, HRD, or economics can contribute towards neutralizing the challenges. Following is a chart that recaps the theoretical, methodological, or conceptual contributions of each discipline. These contributions can be viewed as strengths unique to each discipline; for example, the scholarship on the tempo of change is a strength of management, and the scholarship on diversity is a strength of HRD, etc.

When we connect the concepts and strengths from the three disciplines above with the explicit needs of higher education, it becomes clearer how the wide scope of needs is benefited by a multidisciplinary approach. Further, Shepard’s (1960) model has been shown to effectively partner with many of the management and HRD contributions; in other words, Shepard’s model can incorporate many, of the concepts, practices, or theories from these two perspectives. However, the emerging understanding that change is unpredictable and chaotic places great limitations on any model of planned change. Further research on identifying the relationship between planned change and chaos may contribute towards this problem. And finally, from the economics perspective, the issue is not of which change process is best; rather, the issue is to decide what economic information is appropriate for the unique environment of higher education. The misapplication of economic concepts and theories to understand and direct change in higher education is something to be concerned with.

Table 1. *Contributions to Change from Multiple Disciplines*

Management	HRD	Economics
Tempo of change	Outcome based OD interventions	Non-profit economic model
Unpredictability of change	Multiple methods	Information asymmetry
Complicated change (nested sequences)	Degree of change	Customer input technology
Typology of change (generative mechanisms)	Learning/Psychological Development	Unbalanced competition
Process research methodology	Individual transformation for organizational change	
Loose Coupling	Collaborative, reeducative philosophy	
Role of individual ideology	Diversity Research	

Conclusion

This paper has provided an analysis of the tumultuous environment currently facing higher education. Organizations of higher learning are unique in many ways, and Shepard's (1960) model of planned change has illustrated the deep differences between providers of higher education and traditional for-profit firms. In order to contribute to the change agenda of higher education, this research presented select research from three disciplines: management, HRD, and economics. The research was selected based upon its potential to directly contribute to the needs of higher education. The research is not meant to be a comprehensive review of all research that may be applicable to higher education; rather the authors believe that this 'slice' offers the potential for future multidisciplinary research.

References

- Bergquist, W. (1992). *The four cultures of the academy*. San Francisco: Jossey Bass.
- Birnbaum, R. (1988). *How college works*. San Francisco: Jossey Bass.
- Birnbaum, R. (2000). The life cycle of academic management fads. *Journal of Higher Education*, 71(1), 1-16.
- Briggs, C. L., Stark, J. S., & Rowland-Poplawska, J. (2003). How do we know a "continuous planning" academic program when we see one? *Journal of Higher Education*, 74(4), 361-385.
- Brown, J. S., & Duguid, P. (1995). *Universities in the digital age*. Available:
<http://www.parc.xerox.com/ops/members/brown/papers/university>.
- Bunderson, J.S., Lofstrom, S. M., & Van de Ven, A. (2000). Conceptualizing and measuring professional and administrative models of organizing. *Organization Research Methods*, 3(4), 366-391.
- Duderstadt, J. J., Atkins, D. E., & Van Houweling, D. (2002). *Higher education in the digital age*. Westport, CT: Praeger.
- Duderstadt, J. J., & Womack, F. W. (2003). *The future of the public university in America: Beyond the crossroads*. Baltimore: Johns Hopkins University Press.
- Egan, T. M. (2000). Organization development: An examination of definitions and dependent variables. *Organization Development Journal*, 20(2), 59-70.
- Frost, S. H., & Jean, P. M. (2003). Bridging the disciplines: Interdisciplinary discourse and faculty scholarship. *Journal of Higher Education*, 74(2), 119-149.
- Garud, R., & Van de Ven, A. H. (2000). Strategic change processes. In A. Pettigrew, H. Thomas, & R. Whittington (Eds.), *Handbook of strategy and management*. Thousand Oaks, CA: Sage.
- Henderson, G. (2002). Transformative learning as a condition for transformational change in organizations. *Human Resource Development Review*, 1(2), 186-214.
- Jelinek, M., & Litterer, J. (1988). Why OD must become strategic. In W. Pasmore & R. Woodman (Eds.), *Organization change and development*, (Vol. 2, pp.135-162). Greenwich,CT: JAI Press.
- Katz, R. N., & Associates, (1999). *Dancing with the devil: Information technology and the new competition in higher education*. San Francisco: Jossey-Bass.
- Kemelgor, B. H., Johnson, S. D., & Srinivasan, S. (2000). Forces driving organizational change: A business school perspective. *Journal of Education for Business*, (Jan-Feb), 133-137.

- Kezar, A., & Eckel, P.D. (2003). The effect of institutional culture on change strategies in higher education: Universal principles or culturally responsive concepts? *The Journal of Higher Education*, 73(4), 435-460.
- Levine, A. (2003). Higher education: A revolution externally, evolution internally. In M. S. Pittinsky (Ed.), *The wired tower: Perspectives on the impact of the internet on higher education*. (pp.13-39). Upper Saddle River, NY: Financial Times-Prentice Hall.
- Orton, J. D., & Weick, K., (1990). Loosely coupled systems: A reconceptualization. *Academy of Management Review*, 15(2), 203-223.
- Pittinsky, M. S. (2003). *The wired tower: Perspectives on the impact of the internet on higher education*. Upper Saddle River, N.J.: Prentice-Hall.
- Poole, M.S., Van de Ven, A., Dooley, K., & Holmes, M.E. (2000). *Organizational change and innovation processes: Theory and methods for research*. New York: Oxford University Press.
- Rothschild, M., & White, L. J. (1995). The analytics of the pricing of higher education and other services in which customers are inputs. *Journal of Political Economy*, 103(3), 573-586.
- Smart, J. C., Kuh, G. D., & Tierney, W. G. (1997). The role of institutional cultures and decision approaches in promoting organizational effectiveness in two-year colleges. *Journal of Higher Education*, 68(3), 256-271.
- Stark, J. S., Lowther, M. A., Sharp, S., & Arnold, G. (1997). Program-level curriculum planning: An exploration of faculty perspectives on two different campuses. *Research in Higher Education*, 38(3), 99-130.
- Tierney, W. (1991). Organizational culture in higher education: Defining the essentials. In M. Peterson (Ed.), *ASHE Reader on Organization and Governance* (pp.126-139), Needham Heights, MA: Ginn Press.
- Van de Ven, A. H., & Poole, M. S. (1995). Explaining development and change in organizations. *Academy of Management Review*, 20(3), 510-540.
- Weick, K. (1976). Educational organizations as loosely coupled systems. *Administrative Science Quarterly*, 21, 1-19.
- Weiler, H.N. (2000). States, markets and university funding: New paradigms for the reform of higher education in Europe. *Compare*, 30(3), 333-339.
- Welsh, J. F., & Metcalf, J. (2003). Faculty and administrative support for institutional effectiveness activities. *Journal of Higher Education*, 74(4), 445-468.
- Winston, G. C. (1999a). For-profit higher education: Godzilla or chicken little? *Change*, (Jan-Feb), 13-19.
- Winston, G. C. (1999b). Subsidies, hierarchy and peers: The awkward economics of higher education. *Journal of Economic Perspectives*, 13(1), 13-36.
- Wong, M. P. A., & Tierney, W. G. (2001). Reforming faculty work: Culture, structure, and the dilemma of organizational change. *Teachers College Record*, 103(6), 1081-1101.

Conceptualizing a Theory of Scenario Planning

Thomas J. Chermack
University of Minnesota

Scenario planning literature reveals a gap regarding its theory and theory development. This research addresses the theory gap by developing a conceptualization of a theory of scenario planning. To do so, this research uses recent techniques for theory building in applied disciplines. Specifically, this research identifies the units, laws of interaction, boundaries, and system states of a potential theory of scenario planning. While research is preliminary in nature, its intent is to work toward a theoretical understanding and validation of scenario planning practices.

Keywords: Scenario Planning, Theory, Theory Building

In constant pursuit of methods for increasing organizational effectiveness and profitability, organizational leaders have sought to understand the environments in which they operate. Several methods, including strategic planning, open systems planning, integrated strategic change and transorganizational development have surfaced to help organizational leaders achieve such alignment (Mintzberg, 1994). Scenario planning is an additional tool that has gained increased attention during the last 20 years as an effective method for identifying critical future uncertainties and investigating "blind spots" in organizations (Schwartz, 1991).

Problem Statement

Scenario planning appears to have utility in planning for the future (Schwartz, 1991; Ringland, 1995; van der Heijden, 1997). In a world that changes far too rapidly for prediction to be accurate, scenarios are gaining credibility as effective tools to prepare for an uncertain future, alter mental models, test decisions, and improve performance in a dynamic environment (Chermack, Lynham, & Ruona, 2001). The popular application of scenarios has resulted in a variety of approaches and methods for conducting the scenario building process. However, a critical piece is missing -- the theory base on which scenario planning methods stand. While it is logical that the same outcome can be achieved using different methods, guiding or underlying theory would point the professional toward that outcome.

The problem is that there is presently no theory of scenario planning and, thus, scenario planning practices are neither fully understood nor fully validated.

Methodology

Given this problem, theory building research will be a valuable contribution to the scenario planning literature, as well as its practice. This study uses Lynham's (2002a) General Method of Applied Theory Building Research as its overall methodology (see Figure 1). Lynham's general theory building research method will be supplemented by the use of Dubin's (1978) specific eight-step theory building research method (Figure 2).

Dubin's Eight step theory building methodology (1978) consists of (1) developing the units of the theory, (2) specifying the laws of interaction describing the relationships among the units, (3) determining the boundaries within which the theory is expected to function, (4) identifying the system states in which the theory is expected to function, (5) specifying the propositions, or truth statements about how the theory is expected to operate, (6) identifying the empirical indicators used to make the propositions testable, (7) constructing hypotheses used to predict values and relationships among the units, and (8) conducting research to test the predicted values and relationships. Dubin's (1978) method can also be divided into two components (1) the development of the theoretical model and (2) the theory research. The completion of steps one through four results in a theoretical model -- the "conceptualization". Once the theorist begins specifying propositions and empirical indicators (Step 5 and six) the model becomes a theory and thus the remaining steps deal with the theory research.

Because of the preliminary nature of this research, the intent of this article is to present a conceptualization of a theory of scenario planning. That is, steps one thru four of Dubin's (1978) methodology will be used to fill the "conceptualization" phase of Lynahm's (2001) General Method.

Copyright ©2004 Thomas J. Chermack

The development of the units of the theory refers to the building blocks of the theory. The units of the theory are the things that constitute the subject matter under examination. Specifying the laws of interaction among the units of the theory requires that relationships among the units be made clear. A change in one variable may result in changes in other variables and these changes are to be made explicit in Dubin's step two. Step three defines the domain in which the theory is expected to operate. The identification of the boundaries of the theory is important in clarifying the aspects of the real world that the theory is attempting to model. Specification of system states is completed in step four of Dubin's method. System states represent the conditions under which the theory is expected to operate. There can be numerous varying system states for the theory, or there can be few, but each system state is distinctive. Step five requires the specification of propositions. Propositions introduce the idea of prediction into the theory building equation (Dubin, 1978). An important consideration in this context is that the proposition must conform only to the logic designated by the theory builder for distinguishing truth and false statements.

Figure 1. Lynham's General Method of Applied Theory Building Research

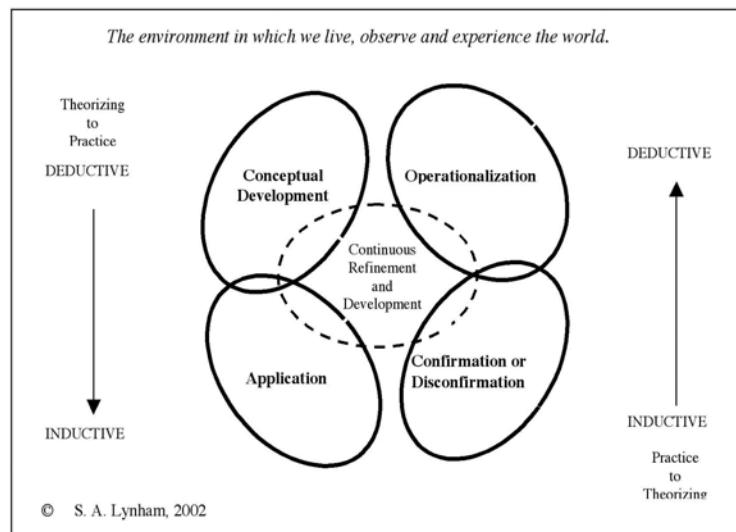
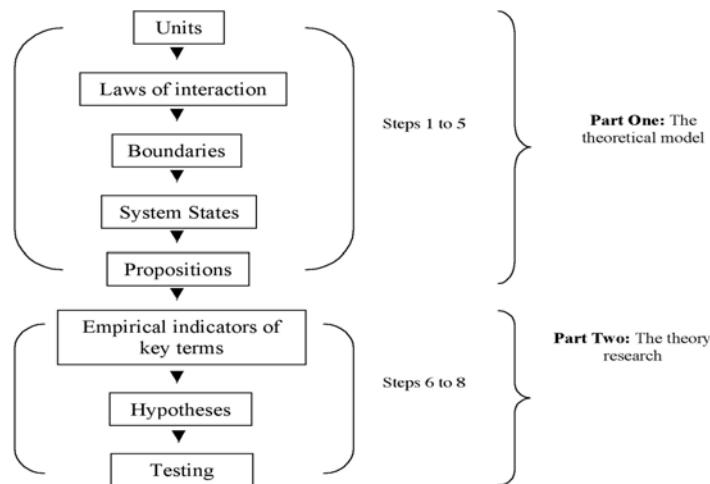


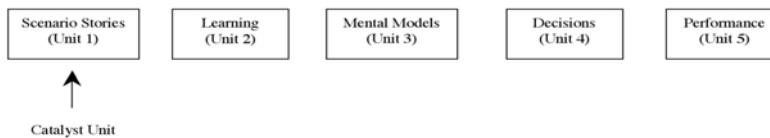
Figure 2. Dubin's (1978) Eight-Step Theory Building Research Methodology



Units of a Theoretical Model of Scenario Planning

Dubin (1978) stated that “in principle there are no limitations on the selection of units to be employed in a theoretical model. The theorist has unlimited opportunities to employ units of his [or her] choice” (p. 78). The units of a theoretical model of scenario planning are selected based on the scenario planning literature. The units of a theoretical model of scenario planning are thus, 1) scenario stories, 2) learning, 3) mental models, 4) decisions and 5) performance (see Figure 3). Each unit warrants further discussion.

Figure 3. The Units of a Theoretical Model of Scenario Planning



Unit 1 -- Scenarios

Scenarios have been defined as: “tools for ordering one’s perceptions about alternative future environments in which one’s decisions might be played out. Alternatively: a set of organized ways for use to dream effectively about our own future” (Schwartz, 1991, p. 4). Scenarios carry the characteristics of narratives or stories. Van der Heijden (1997) identified the following characteristics of scenarios: (1) the scenario is a narrative that links historical and present events with hypothetical events in the future, (2) each scenario should carry an integrated structure or storyline as a whole that can be expressed in a simple diagram, (3) each scenario is internally consistent, that is, the succession of events do not contradict each other and they are plausible, (4) scenarios reflect predetermined elements, or “those events that have already occurred (or which almost certainly will occur) but whose consequences have not yet unfolded” (Wack, 1985a p. 4), and (5) variables are clearly expressed along with leading indicators or signposts are identified.

Unit 2 -- Learning

Learning is selected as a unit of the theory of scenario planning based on supporting evidence in the scenario planning literature (Schwartz, 1991; van der Heijden, 1997; de Geus, 1988) and the logic that learning is a driver of performance (Swanson & Holton, 2001). The usefulness of learning in a system of scenario planning is embedded in the assumption that a core goal of any planning system is to re-perceive (Wack, 1985c) the organization and its environment, and the ability to re-perceive requires that individuals and groups learn something new about the organization and its environment as well as to raise up the present and past perceptions of the organization (Wilson, 2000; Godet, 2000).

Unit 3 -- Mental Models

Mental models are selected as a unit of the theory of scenario planning because of their prevalence in the scenario planning literature and their reported significance (Senge, 1990; Weick, 1979, 1990; Wack, 1985c; Morecroft, 1992). The learning that takes place in scenario planning is often a result of changing the assumptions that are taken for granted regarding many aspects of the organization and its environment (Senge, 1990). Mental models encompass those assumptions, and thus re-perceiving the organization and its environment is thought to occur through learning that forces participants to reexamine their assumptions and alter their mental models (Wack, 1985a). Senge (1990) defined mental models as “deeply ingrained assumptions, generalizations, or even pictures or images that influence how we understand the world and how we take action. Very often, we are not consciously aware of our mental models or the effects they have on our behavior” (p. 8).

Unit 4 -- Decisions

A decision is an act or process of arriving at a single determination after considering multiple options. To decide, then, as an action, is to select as a course of action or to come to a choice -- to choose one among many. Plainly, a decision is “an act or process of reaching a conclusion or making up one’s mind” (Oxford English Dictionary, 2001). In the business context, decisions must have considerable forethought, however, one of the pitfalls of strategic planning has been in its inflexibility, causing planned decisions that do not account for changes within the environment (Morecroft, 1983; Mintzberg, 1995). The challenge in this situation becomes providing the decision-maker with an adequate amount of the right information at the right time. Scenarios are advocated as one

means of providing this kind of information in this way. A key assumption with regard to decisions in this context is that decision-making is conceived of as a process requiring multiple decisions rather than a single decision (Brehmer, 1990; 1992).

Unit 5 -- Performance

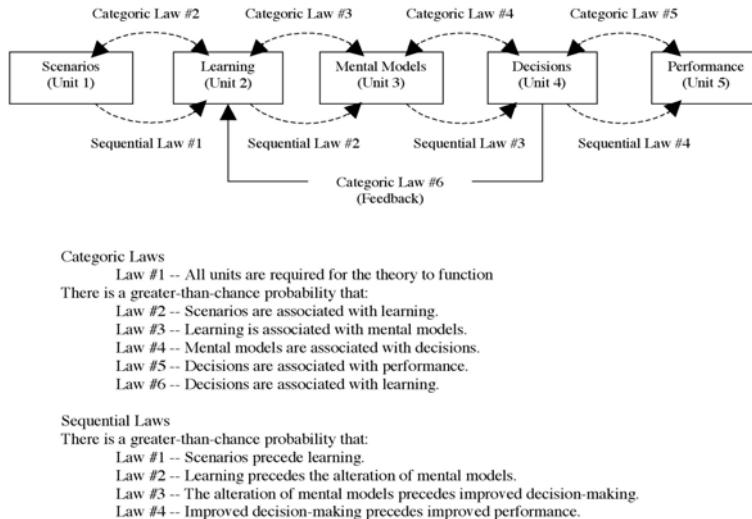
Performance has been defined as: "the valued productive output of a system in the form of goods or services" (Swanson, 1999, p. 5). Performance improvement is seen as the primary outcome of the planning system in this research. The other units of a theory of scenario planning are seen as performance drivers (Swanson, 1999). To clarify, scenarios, learning, mental models, and decisions are things that affect performance, but do not embody performance themselves. Performance in the context of planning can be focused or general. For example, such performance outcomes might include a focused outcome such as increased shareholder value, or a more general outcome such as better or ongoing fit with and assessment of the business environment (Ansoff, 1965; Mintzberg, 1980, 1994).

Laws of Interaction

The laws of interaction among the units of a theoretical model of scenario planning include five categoric laws and four sequential laws (where "A categoric law of interaction is one that states that values of a unit are associated with values of another unit" (Dubin, 1978, p. 98), and a sequential law of interaction is defined as a law that is "always employing a time dimension. The time dimension is used to order the relationship among two or more units" (Dubin, 1978, p. 101).

All units are linked with categoric laws, as a change in any unit will provoke a change in at least one other unit. All units are also linked with sequential laws to denote the importance of the time element in scenario planning. The model does not include any determinant laws and designates scenario stories as catalyst units. Catalyst units are independent units whose presence is required for other interaction in the theoretical model. A graphic depiction of the laws of interaction is displayed in Figure 4.

Figure 4. The Laws of Interaction in the Theoretical Model of Scenario Planning

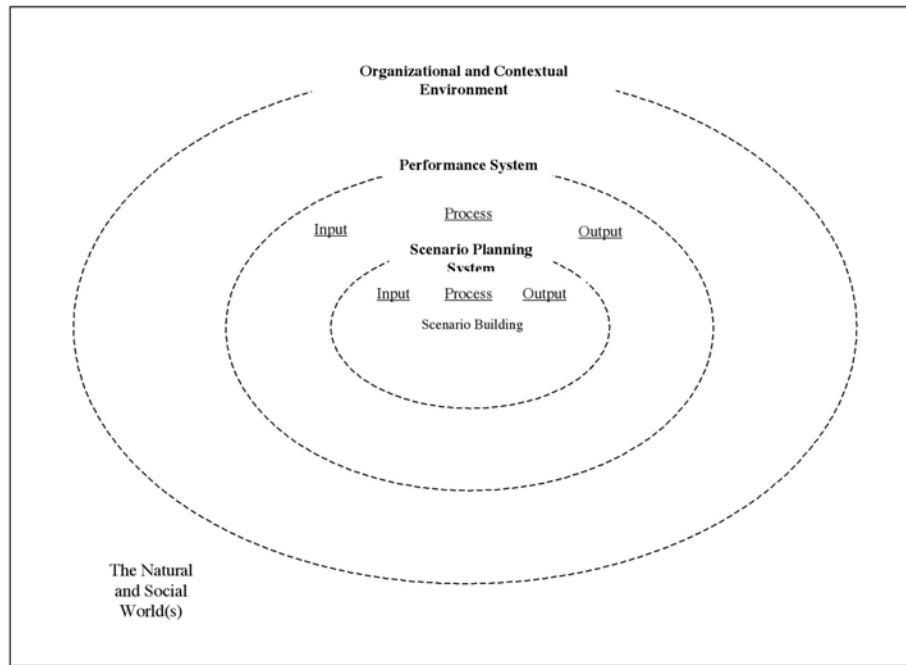


Boundaries

The determination of the boundaries of a theoretical model of scenario planning requires that the theorist identify the domain or multiple domains in which the theory is expected to operate (Dubin, 1978). The boundaries locate the theoretical model in the environment that it concerns. In identifying the boundaries, the theorist must also make the

logic used to determine those boundaries explicit. There are 4 boundaries for the theoretical model of scenario planning: 1) a process boundary, 2) a planning system boundary, 3) and performance system boundary, and 4) an organizational and contextual environment boundary. The boundaries of a theoretical model of scenario planning are identified and depicted graphically in Figure 5.

Figure 5. The Boundaries of a Theoretical Model of Scenario Planning



All boundaries in the theoretical model are open boundaries (as denoted by the dashed lines in Figure 5.) indicating that the system constantly exchanges information and resources with each exterior domain. Planning in the organizational context will generally be thought of as a system (Mintzberg, 1994). This means that organizations consist of the general components that constitute a system, namely, inputs, processes and outputs. Following the logic of general system theory and earlier work on scenarios as part of a larger planning system, scenario *building* is positioned as a process within the planning system (Swanson, Lynham, Ruona & Provo, 1998).

System States

Dubin (1978) stated “a state of a system may be defined by three features: 1) all units of the system have characteristic values, 2) the characteristic values of all units are determinant, and 3) this constellation of unit values persists through time” (p. 144). In order to determine the system state, it is necessary for the values of all units to be known.

Scenario planning is conceptualized as a system itself. Naturally then, the scenario planning system will vary and transition among several states. In order to illustrate the differing states of the system, the theory proposed will adopt (0,1) coding. By this, it is intended that 0 indicates none of the thing or characteristic under examination (for example, if the unit “scenarios” were coded 0, this would be taken to indicate that the scenarios have not been developed). The laws of interaction have indicated that a theory of scenario planning occurs along a time sequence. That is, actions with regard to specific units precede actions with regard to others. As the system transitions from state to state, the unit values shift from 0 to 1. According to Dubin (1978) the states in which the values are undefined are the transition states of the theory.

As the theoretical model of scenario planning moves through its sequence of states, the unit values shift from 0 to 1. This demonstrates that as each unit value shifts, the model transitions from one state to the next. There are six system states in the theoretical model of scenario planning: 1) System State One -- Non-operation, 2) System State

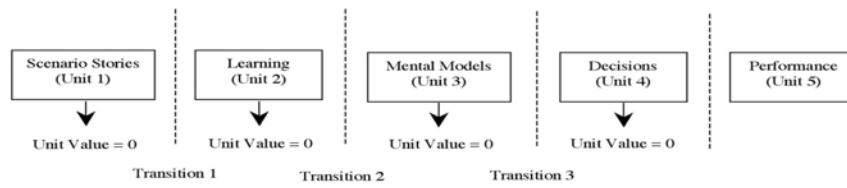
Two -- Scenario generation, 3) System State Three -- Reflection and learning, 4) System State Four -- Revealing and altering mental models, 5) System State Five -- Improving decision-making, and 6) System State Six -- Assessing implications and performance

Figure 7 shows the theoretical model of scenario planning in a state of non-operation, or prior to the development of scenarios. This is system state one. In it, the values of each unit are known to be zero. System state one is also defined by the fact that its values persist over some course of time. This course of time, also known as its state life (Dubin, 1978) is undefined as the time allotted to generate scenarios varies, as does the approach and preparation for scenario planning.

System state one can be defined using Dubin's (1978) logic by the following statement:

If all unit values in a theoretical model of scenario planning are equal to zero, then the model is in a state of non-operation under the conditions that no scenarios have been developed.

Figure 7. System State One in a Theoretical Model of Scenario Planning -- Non-operation



Scenarios constitute the catalyst unit (Dubin, 1978) that sets the theory of scenario planning into operation. When the scenarios are developed, the theory proposed is operating. That is, the theory proposed attempts to explain what the phenomenon of scenario planning is, and how it works from the point of engagement in scenario planning (Torraco, 1997).

The theoretical model of scenario planning is set in motion through the generation of scenarios with relevance to a particular situation or issue (Schwartz, 1991). Here the importance of distinguishing between scenario *building* and scenario *planning* becomes clear: Scenario *building* is a process used to generate plausible options and expand thinking about the possibilities of the situation or issue under consideration. Scenario *planning* is the entire system that generates scenarios, and in addition, uses them to provoke learning, alter mental models, examine potential decisions, and “windtunnel” (van der Heijden, 1997) the organization and its resources.

As each unit is incorporated and affected, the theoretical model transitions through six system states as depicted in Figures 8, 9, 10 and 11.

System State Two -- Scenario Generation

System state two denotes that scenarios have been created and incorporated into the next state of the planning system. In this state the unit value for scenarios is 1 and all remaining units are zero (referring to Figure 7, the unit value for “scenarios” becomes 1 and the others remain 0). This state is characterized by the use of scenarios to provoke learning in the organization context.

System state two can be defined using Dubin's (1978) logic by the following statement:

If scenarios are used in the planning system then, the value of the unit (scenarios) transitions from 0 to 1 under the conditions that a process of scenario building has been completed by the planning team.

System State Three -- Learning and Reflection

System State 3 indicates that the scenarios have been used to trigger learning among the participants in the planning system (referring to Figure 7, the unit value for “scenarios” and “learning” are 1 and the others remain 0). System state three can be defined using Dubin's (1978) logic by the following statement:

If learning occurs in the scenario planning system, then, the value of the unit (learning) transitions from 0 to 1 under the conditions that the scenarios are used to provoke dialogue, interaction and thoughtful reflection by the planning team.

System State Four -- Revealing and Altering Mental Models

The unit value shift in mental models indicates that scenarios have triggered learning among the planning participants, and that learning has altered the experiences, learning, assumptions, biases and beliefs of the participants (referring to Figure 7, the unit value for “scenarios”, “learning” and “mental models” are 1 and the others remain 0).

System state four can be defined using Dubin's (1978) logic by the following statement:

If mental models are altered in the scenario planning system, then the value of the unit (mental models) transitions from 0 to 1 under the conditions that learning has provoked new insight, revealed assumptions, and allowed participants to re-view their thinking about the organization and its positioning.

System State Five -- Improving Decision-Making

System state five presents the theoretical model of scenario planning in a state characterized by decision-making. In this state, scenarios have been used to provoke learning, mental models have been altered, and the decisions have been pushed against multiple hypothetical situations (referring to Figure 7, the unit value for "scenarios", "learning", "mental models" and "decisions" are 1 and the others remain 0).

System state five can be defined using Dubin's (1978) logic by the following statement:

If decision-making is improved in the scenario planning system, then the value of the unit (decisions) transitions from 0 to 1 under the conditions that changed mental models have provided increased, more diverse, more robust and more challenging decision options.

System State Six -- Examining Implications and Performance

At the state in which the value of the decision unit transitions from 0 to 1, there are two potential paths of feedback that may result from the next transition. In the first, the decisions directly impact organization performance. This state occurs when the focal issue that prompted engagement in scenario planning is one of explicitly improving organization performance. In this case, engagement in scenario planning has been focused on a specific issue of uncertainty and assessments of increased performance and preparation around that focal issue can be made. This state is characterized using Dubin's (1978) logic in the following way:

If firm performance is improved in the scenario planning system, then the value of the unit (performance) transitions from 0 to 1, under the conditions that improved decision-making has resulted in better organizational fit with the environment, and has exposed organizational decision-makers to hypothetical but plausible future states that have fostered the development of signposts and anticipatory memory.

The second state is characterized by outcomes from the decisions unit being fed back into the learning unit. In this sense, the original reasoning for engaging in scenario planning may simply be one of ongoing monitoring or assessment of plausibilities. In this case, scenario planning is not targeted specifically at improving performance; rather, it is targeted at continuous learning about strategic options. However, it is inherent that firm performance is affected by such learning. When the theoretical model has reached a state in which all units have moved from 0 to 1, feedback from decisions becomes an input to the learning or scenario units and begins the process again from either point.

Conclusions

This article has proposed a conceptualization of a theory of scenario planning according to the first stage of the General Method of Theory-Building Research in Applied Disciplines set forth by Lynham (2002). Additionally, this manuscript has provided a detailed outline of the theory construction process advocated by Dubin (1978) and applied it to scenario planning phenomenon. While Dubin's (1978) quantitative theory building method has been used in this case, the phenomenon of scenario planning lends itself to any and all of the methods detailed by Lynham et al (2002).

Logically, the next steps would be to complete the application of Dubin's (1978) theory building methodology, namely, identifying empirical indicators, specifying hypotheses, and then testing the hypotheses. These steps would result in the confirmation or disconfirmation of the theoretical model. Ultimately, the confirmation of scenario planning practices through research is sought. While Dubin's methodology is highly quantitative in its approach to theory building, it also provides the specification of multiple research hypotheses at its conclusion -- something currently missing in the scenario planning literature. This research is acknowledged as *one* approach to theory construction, and it does not attempt to hold other methods as invalid. This manuscript aims to take a first step in developing theory that underpins scenario planning -- and in some ways, of equal importance -- to provoke discussions about scenario planning theory in general.

References

- Ansoff, I. (1965). *Corporate strategy*. New York: McGraw-Hill.
- Brehmer B. (1990). Strategies in real-time, dynamic decision making. In R. Hogarth (Ed.), *Insights in decision making* (pp. 262-291). Chicago, IL: University of Chicago Press.

- Brehmer, B. (1992). Dynamic decision making: Human control of complex systems. *Acta Psychological*, 81, 211-241.
- Chermack, T. J., Lynham, S. A., & Ruona, W. E. A. (2001). A Review of Scenario Planning Literature. *Futures Research Quarterly*, 17(2), 7-31.
- De Geus, A. (1988). 'Planning as learning', *Harvard Business Review*, 66 (2), 70-74.
- Dubin, R. (1978). *Theory building (Rev ed.)*. New York: The Free Press, MacMillan.
- Godet, M. (2000). The art of scenarios and strategic planning: Tools and pitfalls. *Technological Forecasting and Social Change*, 65, 3-22.
- Lynham, S. A. (2002). The general method of theory-building research in applied disciplines. *Advances in Developing Human Resources*, 4(3), 221-241.
- Mintzberg, H. (1994). *The rise and fall of strategic planning*. London: Prentice-Hall.
- Morecroft, J. D. W. (1992). Executive knowledge, models and learning. *European Journal of Operational Research*, 59(1), 102-122.
- Oxford English Dictionary
- Ringland, G. (1998). *Scenario planning: Managing for the future*. New York: John Wiley.
- Schwartz, P. (1991). *The art of the long view*. New York: Doubleday.
- Senge, P. (1990). *The fifth discipline*. New York: Doubleday.
- Swanson, R. A. (1999). The foundations of performance improvement and implications for practice. In R. J. Torraco, (Ed.), Performance improvement theory and practice (pp. 1-25). *Advances in Developing Human Resources*, 1. San Francisco: Berrett-Koehler.
- Swanson, R. A., & Holton, E. F., III (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Swanson, R. A., Lynham, S. A., Ruona, W., & Provo, J. (1998). Human resource development's role in supporting and shaping strategic organizational planning. In P. K. Kuchinke (Ed.), *Proceedings of the Academy of Human Resource Development Conference* (pp. 589-594). Baton Rouge, LA: Academy of Human Resource Development.
- van der Heijden, K. (1997). *Scenarios: The art of strategic conversation*. New York: John Wiley.
- Wack, P. (1985a). Scenarios: Shooting the rapids. *Harvard Business Review*, 63 (6): 139-150.
- Weick, K. E. (1979). *The social psychology of organizing*. Reading, MA: Addison.
- Weick, K. E. (1990). Introduction: Cartographic myths in organizations. In A. Sigismund Huff (Ed.), *Mapping strategic thought* (pp. 1-10). New York, NY: John Wiley & Sons.
- Wesley, & Morecroft, J. D. W. (1990). Strategy support models. In R. G. Dyson (Ed.), *Strategic planning: Models and analytical techniques*, Chichester, UK: Wiley.
- Wilson, I. (1992). Teaching decision makers to learn from scenarios: A blueprint for implementation. *Planning Review*, 20(3), 18-22.

Agency Theory: Implications for Human Resource Development

*Mesut Akdere
Ross E. Azevedo
University of Minnesota*

The purpose of this paper is to review and examine the development of agency theory and explore its implications for HRD. Understanding its foundations and implications for HRD is important both for HRD scholars and practitioners as they are striving to motive productivity of employees in today's complex and dynamic workplace environment in which the ways business is conducted are changing. This paper contributes to our understanding of how organizational principals and agents interact.

Keywords: Agency Theory, HRD, T&D

Agency theory is framed as the ubiquitous agency relationship, in which one party (the principal) delegates work to another (the agent), who performs that work. Agency theory attempts to describe this relationship using the metaphor of a contract (Jensen & Meckling, 1976). Narrowly defined, an agency relationship is a contract in which employers (principals) engage employees (agents) to perform a service on their behalf that involves delegating some decision-making authority to the agents (Joyce, 2000). There has been an increasing scholarly interest in the applications of agency theory to everyday business and management situations (Dalton, Daily, Ellstrand & Johnson, 1998; Eisenhardt, 1989; Lane, Cannella, & Lubatkin, 1998). With the assumption that people act as economically rational, self-interested, and opportunistic utility maximizers, agency theory allows us to predict both how organizational contracts will influence management behavior and how the choice of contract will be affected by different exogenous variables (Hendry, 2002).

This paper focuses on the agency theory literature encompassing a spectrum of academic disciplines and professional fields. Agency theory has been used by scholars in accounting (Demski & Feltham, 1978), economics (Spence & Zeckhauser, 1971), finance (Fama, 1980), marketing (Basu, Lal, Srinivasan, & Staelin, 1985), political science (Mitnick, 1986), organizational behavior (Eisenhardt, 1985, 1988; Kosnik, 1987), and sociology (Eccles, 1985; White, 1985). However, despite its widely applications and practice in other disciplines, agency theory has not been significantly studied in the field of HRD. In fact, there is little reference of agency theory (Swanson & Holton, 2001; Fogarty & Dirsmith, 2001; Kuchinke, 2000; Reio & Wiswell, 2000) in the existing HRD literature. As a field that posits itself strategically with the organization, the scholars and practitioners in the field of HRD need to study this phenomenon that has been applied to work domains where tasks are highly unstructured, outcomes are difficult to evaluate, and agents enjoy a great deal of discretion regarding to their activities (Eisenhardt, 1989; Tosi & Gomes-Mejia, 1989; Gomes-Mejia & Balkan, 1992a).

Agency theory prescribes the use of performance incentives for agents (a firm's employees) when their principal (its owner) cannot observe their actions (Eisenhardt, 1989; Jensen & Meckling, 1976). In agency theory, agents' behaviors and the outcomes of their performance are distinguished typically by designating the latter as the financial consequences of agents' behaviors. Given efficiency as a criterion, the distribution of information about agent behavior and its costs determine the viability of both hierarchical and incentive forms of control (Baiman, 1982). In economics, finance, and strategic management literatures, agency theory represents a dominant theoretical frame of reference for the study of relationship between ownership and performance (Shleifer & Vishny, 1997). Therefore, this paper suggests that agency theory, largely drawn from economics literature, can greatly contribute to the field of HRD as well as its sub-fields, Personnel Training and Development (T&D) and Organization Development (OD) when synthesized and reframed with existing theories and perspectives in these fields. The paper attempts to achieve the following: to provide an in-depth review of agency theory from a multi-dimensional perspective; to understand the working relationship between the principal and the agent; and using the existing body of knowledge present the implications of the theory for the field of HRD. Agency theory provides an appropriate structure for increasing organizational effectiveness and performance.

Agency Theory

Initially introduced in the information economics literature to provide a model for the relationship between one party (principal) who delegates work to another (agent), agency theory received attention in the organizational control

Copyright © 2004 Mesut Akdere & Ross E. Azevedo

literature (Ouchi, 1979; Pennings & Woiceshyn, 1986; Thompson, 1967), presenting implications for compensation, risk, and information systems (Eisenhardt, 1985, 1989). Agency theory has further been applied, through mathematical modeling, to compensation, in particular executive and CEO compensation (Basu, Lal, Srinivasan, & Staelin, 1985). Agency theory seeks to explain organizational behavior by focusing on the relationship between managers as agents of the firms and the stockholders as principals. Scholars from economics (Coase 1984; Williamson, 1985), finance (Jensen & Meckling, 1976), accounting (Baiman, 1990, 1982), and law (Gilson & Roe, 1992), as well as organizational (Abrahamson & Park, 1994; Eisenhardt, 1989; Nilakant & Rao, 1994) and strategic management (Gomez-Mejia, Tosi, & Hinkin, 1987; Hill & Snell, 1989; Hoskisson, Johnson, & Moesel, 1984) have increasingly utilized this theoretical perspective in analyzing executive behavior in large public firms.

Agency theory attempts to define organizational economics by providing a major revolution in organizational theory, expanding and redefining our understanding of the nature and purpose of organizations (Hesterly, Liebeskind, & Zenger, 1990). Barney and Ouchi (1986) have argued that agency theory represents one of the more influential theories on organizations that have arisen from economics. The growing importance of agency theory management research has not been without criticism (Donaldson, 1990, 1995). The proponents of agency theory argue that a revolution is at hand and that "the foundation for a powerful theory of organizations is being put into place" (Jensen, 1983, p. 324). Its opponents call it trivial, dehumanizing, and even "dangerous" (Perrow, 1986, p. 235). Nevertheless, the use of agency theory to gain insight into the nature and purpose of organizations and managerial behavior continues to grow.

Agency theory structures provide applicability in a variety of settings, ranging from macro level organizational issues such as compensation policy to micro level dyad issues related to the expressions of self-interest. In organizations, agency theory has largely been applied to compensation (Conlon & Parks, 1988; Eisenhardt, 1985), acquisition and diversification strategies (Amihud & Lev, 1981), board relationships (Fama & Jensen, 1983; Kosnik, 1987), vertical integration (Anderson, 1985; Eccles, 1985), and innovation (Bolton, 1988; Zenger, 1988). Overall, the domain of agency theory focuses on relationships that are the basic agency structure of a principal and an agent who interact in the workplace with different goals and different attitudes toward organizational risk. In the simplest sense, an agency relationship exists between two or more parties when:

"one, designated as the agent, acts for, on behalf of, or as representative for the other, designated the principal, in a particular domain of decision problems. ... Essentially all contractual agreements, as between employer and employee or the state and the governed, for example, contain important elements of agency." (Ross, 1973, p.134).

Agency theory offers that participants of an organization such as owners, employees, managers, and other suppliers of capital, interact through a nexus of implicit and explicit contracts (Jensen & Meckling, 1976; Fama & Jensen, 1983) as they contribute to the organization and in return receive compensation for it (Stinchcombe, 1965; Eisenhardt, 1985, 1989; White, 1985; Mitnick, 1986). Employers are seen as principals who contract with and depend on the actions of the managers as the agents. The term "contract" is used to mean the agreement between the principal and the agent that specifies the rights of the parties, ways of judging performance, and the payoffs for them (Fama & Jensen, 1983).

One of the assumptions in agency theory is that contracting occurs atomistically between employees and the organization. The amount and nature of incentives and consequently compensation are largely determined by job characteristics and individual risk preferences of employees. Monitoring work effort of employees is one of the significant job characteristics associated with different pay methods. Thus, agency theory from this perspective, views the organization as an agent negotiating contracts atomistically with every individual employee with assumably equal bargaining power.

Agency theory has been important for understanding the organizational performance and design of compensation strategy. From an agency theory perspective, social relationships are composed of interactions between a principal and an agent. In essence, the principal delegates work to the agent (Eisenhardt, 1989; Fama & Jensen, 1983). However, like any other organizational interaction, there are problems associated with agency theory. In the case of agency theory, a problem in this relationship arises from incongruence between the goals of principal and agent as a result of the difficulty in monitoring or verifying agent behaviors and organizational decisions (Eisenhardt, 1989; Nilakant & Rao, 1994; Zajac & Westphal, 1994). Goal incongruence is based on the assumption that principals and agents are both utility maximizers. Thus, agents will pursue their own interests, which may diverge from the interests of principal (Jensen & Meckling, 1976). Agent may shirk or engage in self-serving behaviors, such as using work time and organizational resources for personal gains. The more autonomy and independence the agent enjoys and the greater the specialized knowledge required performing the task, the more significant this "moral hazard" becomes (Holmstrom, 1979). Eisenhardt (1989) suggested that this assumed

incongruence, or goal conflict, may be reduced in situations in which there is a high level of socialization, such as a “clan-oriented” firm or where behavior is not self-directed (Ouchi, 1979).

Agency theory is an outgrowth of research on risk sharing conducted by economists (Boyd, 1994; Eisenhardt, 1988; Gomes-Mejia & Balkin, 1992b; Lambert, Larcker, & Weigelt, 1993). Agency theorists propose that the fundamental goal of organizations is to minimize costs and maximize efficiency. The assumptions of agency theory are that agents are: motivated by self-interest, rational actors, and risk-averse. Therefore, it is proposed that principals can motivate agents by controlling their monetary incentives (Amernic, 1984; Eisenhardt, 1989; Gomes-Mejia & Balkin, 1992a, 1992b). An agency problem occurs, however, when a principal is unable to adequately monitor or assess an agent’s behavior (Amernic, 1984; Lambert et al., 1993). This situation results when the agent’s task is less programmable (Eisenhardt, 1989), when accomplishing the task entails risks, or when the goals of the principal and agent are in conflict.

Implications of Agency Theory for the Field of Human Resource Development

Agency theory provides a concise way to address the topic of organizational control as it might be directed to the HRD function (Eisenhardt, 1989; Jensen & Meckling, 1976). Agency theory’s basic model is framed as two parties engaged in a hierarchical relationship (Arrington & Francis, 1989). One party, principal, gives the other party, agent, authority to act on her or his behalf (Fox, 1984). In most cases, HRD practitioners, be they OD professionals or trainers, are given the responsibility to act on behalf of the organization by the Vice President of Human Resources, the principal. From this perspective, they, engage in a principal (the Vice President of Human Resources) and agent (themselves) relationship.

Agency theory offers a set of analytical tools and concepts, including information asymmetries, task programmability, divergence of interest, and contrasting process and outcome measures. Such tools are important for HRD in performance, knowledge management, and systems assessment practices, and financial measurement. HRD has been traditionally criticized for not providing some tangible measures for its activities. Less than five percent of the HRD programs that are carried out in organizations are financially assessed, which constitutes a fundamental problem for the HRD profession (Swanson, 2001). Utilizing agency theory through HRD processes and practices will be one way of addressing this fallback. Agency theory highlights the idea that principals and agents often have divergent goals and divergent capacities to influence corporate behavior and outcomes (Milgrom & Roberts, 1992). OD agents and top management divergences are commonplace in many OD interventions, which, in fact, are very critical to the success of the entire process. Agency theory may contribute to enhancing such programs by facilitating a structured approach to the analysis of economic motivations and incentives of managers and employees (Eisenhardt, 1989), equally important components of HRD.

Examples of applications of the principal-agent paradigm exist almost between any given levels of an organization. In a workplace setting, the employer serves the role of a principal, while an employee acts as an agent. A military commander, acting as principal, may strive to influence the performance of the soldiers under her command. Alternatively, a teacher may structure his/her grading criteria to increase student participation and achieve student learning. In the classic example of the principal-agent relationship, a landlord oversees the activities of a tenant farmer. Similarly, in a training setting, organizations may structure their training strategies as such to ensure the objectives of the training programs are accomplished. T&D literature emphasize the importance of incentives in motivation of the trainees and success of the programs (Shalo, 2003; Hilton, 1992; Tharenou, 2001; Seyler, Holton, Bates, Burnett, & Carvalho, 1998; Monk, 1996; Tannenbaum, Mathieu, Salas, & Cannon-Bowers, 1991). Such structuring may include knowledge assessment on the topic that has been studied during the training and offering various monetary and social incentives to those who achieves certain level of learning and performance as a result of a training program (Johnson & Cheatwood, 1992). In a different T&D setting, the Vice President of Human Resources is the principal directing their agents, the agent Human Resource managers, to operate training programs for the betterment of the organization. In turn, the managers act as principals in giving their trainers—the agents—the charge to carry out the front-line effort. Last in the chain, the employees are the ultimate agents as they move to use their training provided by the trainers/principals on the job. In another example, the top management of a firm may try to influence an OD practitioner by offering him/her some additional incentives to ensure organizational change takes places within their respective frameworks (Rothwell, Sullivan, & McLean, 1995; French & Bell, 1999).

Although various organizational theories focus in career ladders and the structure of compensation (Doeringer & Piore, 1971; Williamson, 1985), agency theory explicitly addresses the optimal form of rewards to motivate productivity for managers and other employees (Alchian & Demsetz, 1972; Eisenhardt, 1989). As improving performance is an important component of all HRD processes (Swanson, 1995; Holton, 2002), agency theory (as

proved in other established disciplines) may function as a means to contribute to performance improvement at individual, group, and organizational levels. Agency theory explains the employment relationship as a contract in which agent or employee supplies labor to the employer or principal in exchange for income and other rewards. Consequently, economic rationality, information asymmetries, and differences in the risk attitudes of workers and firm are among the main assumptions of this model. The values and principles of economics constitute the basic foundations of the organizations in which HRD professionals function and HRD processes take place.

Agency theory also presents areas of interest for HRD researchers. Researchers in other disciplines have argued that agency theory can be used to examine all aspects of organizational behavior including the relationship between employees and their organizations (Jensen, 1989). As a field striving to advance through research HRD can further empirically study agency theory, which is considered to be "a major advance beyond the usual sociological methods of organizational analysis Jensen (1983, p. 324).

Agency theory reestablishes the importance of incentives and self-interest in organizational thinking (Perrow, 1986) and it reminds us that much of organizational life, whether we like it or not, is based on self-interest (Eisenhardt, 1989, p. 63). Thus, agency theory addresses to the core of the organizational life, which is greatly impacted by the concept of self- interest (Rosanas & Velilla, 2003; Irvin, 2002; Calabrese & Roberts, 2001; Clohesy, 2000; Powell & Mainiero, 1999; Frey, 1998; Hausken, 1996a, 1996b). HRD practices and implications are unavoidably a part of the organizational life in the workplace. What distinguishes agency theory differs from most other organizational theories is its primary unit of analysis, the individual. Performance in HRD is also directed toward determining employee effectiveness at the individual level and contributing to efficiency of other levels (group and organization) (Rummel & Brache, 1995; Swanson & Holton, 2001). As Eisenhardt (1989, p.63) points out, the central focus of the theory is "the goal conflict inherent when individuals with differing preferences engage in cooperative effort..." From this perspective, agency theory implies a varied of applications to different organizational contexts and relationships. The increasing interest and application of agency theory is a direct result of its utility to transform almost any aspect of an organization's activities into a contractual relationship between different parties and groups.

The agency theory challenge for HRD is to revise the way we think about the HRD functions and practices in organizations and how they relate to the other aspects of organizational life. The ideas of contract, incentive, and self- interest may initially seem foreign to those of us in HRD who look at organizational relationships with a more traditional fashion. Implicitly, however, these have always been present whether we chose to recognize them or not. As an interdisciplinary field, HRD can reap significant benefits from agency theory, as has been the case for many other applied disciplines (Demski & Feltham, 1978; Spence & Zeckhauser, 1971; Fama, 1980; Basu, Lal, Srinivasan, & Staelin, 1985; Mitnick, 1986; Eisenhardt, 1985, 1988; Kosnik, 1987; Eccles, 1985; White, 1985). As a young discipline, HRD needs to be in constant progress. Agency theory, on the other hand, like any other organizational theory, raises the possibility of great benefits, significant challenges, and potential risks. The only way to determine these is to implement, practice, and study the phenomenon under question within the framework of agency theory and assess the answers it provides.

References

- Abrahamson, E., & Park, C. (1994). Concealment of negative organizational outcomes: An agency theory perspective. *Academy of Management Journal*, 37, 1302-1334.
- Alchian, A. A., & Demsetz, H. (1972). Production, information cost, and economic organization. *American Economic Review*, 62, 777-795.
- Amernic, J. H. (1984). A look at agency theory for the novice: Part I. *CAmagazine*, November: 90-97.
- Amihud, Y., & Lev, B. (1981). Risk reduction as a managerial motive for conglomerate mergers. *Bell Journal of Economics*, 12, 605-616.
- Anderson, E. (1985). The salesperson as outside agent of employee: A transaction cost analysis. *Marketing Science*, 4, 234-254.
- Arrington, E., & Francis, G. (1989). Letting the chat out of the bag: Deconstruction, privilege, and accounting research. *Accounting, Organization & Society*, 14, 1-28.
- Baiman, S. (1982). Agency research in managerial accounting: A survey. *Journal of Accounting Literature*, 1, 154-213.
- Baiman, S. (1990). Agency research in managerial accounting: A second look. *Accounting, Organizations and Society*, 15, 341-371.
- Barnard, C. (1938). *The functions of executive*. Cambridge, MA: Harvard University Press.
- Barney, J. B., & Ouchi, W. G. (eds) (1986). *Organizational economics*. San Francisco: Jossey-Bass.

- Basu, A., Lal, R., Srinivasan, V., & Staelin, R. (1985). Sales force compensation plans: An agency theoretic perspective. *Marketing Science*, 4, 267-291.
- Bolton, M. (1988). Organizational miming: When do late adopters of organizational innovations outperform pioneers? Paper presented at the meeting of Academy of Management, Anaheim, CA.
- Boyd, G. K. (1994). Board control and CEO compensation. *Strategic Management Journal*, 15, 335-344.
- Calabrese, R. L., & Roberts, B. (2001). The promise forsaken: Neglecting the ethical implications of leadership. *The International Journal of Educational Management*, 15(6), 267-275.
- Clohesy, W. W. (2000). Altruism and the endurance of the good. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 11(3), 237-253.
- Coase, R. (1937). The nature of the firm. *Economica*, 386-405 (Nov.).
- Coase, R. H. (1984). The new institutional economics. *Journal of Institutional and Theoretical Economics*, 140, 229-231.
- Conlon, E., & Parks, J. (1988). The effects of monitoring and tradition on compensation arrangements: An experiment on principal/agent dyads. In F. Hoy (Ed.), *Best papers proceedings* (pp. 191-195). Anaheim, CA: Academy of Management.
- Dalton, D.R., Daily, C. M., Ellstrand, A. E., & Johnson, J. L. (1998). Meta-analytic reviews of board composition, leadership structure, and financial performance. *Strategic Management Journal*, 19, 269-290.
- Demski, J., & Feltham, G. (1978). Economic incentives in budgetary control systems. *Accounting Review*, 53, 336-359.
- Doeringer, P. B., & Piore, M. J. (1971). *Internal labor markets and manpower analysis*. Lexington, KY: Heath Lexington Books.
- Donaldson, L. (1990). The ethereal hand: Organizational economics and management theory. *Academy of Management Review*, 15, 369-381.
- Donaldson, L. (1995). *American anti-management theories of organization*. Cambridge, UK: University Press.
- Eccles, R. (1985). Transfer pricing as a problem of agency. In J. Pratt & R. Zeckhauser (Eds.), *Principals and agents: The structure of business* (pp. 151-186). Boston: Harvard Business School Press.
- Eisenhardt, K. M. (1985). Control: Organizational and economic approaches. *Management Science*, 31, 134-149.
- Eisenhardt, K. M. (1988). Agency and institutional explanations of compensation in retail sales. *Academy of Management Journal*, 31, 488-511.
- Eisenhardt, K. M. (1989). Agency theory: An assessment and review. *Academy of Management Review*, 14, 57-74.
- Fama, E. (1980). Agency problems and the theory of the firm. *Journal of Political Economy*, 88, 288-307.
- Fama, E., & Jensen, M. (1983). Separation of ownership and control. *Journal of Law and Economics*, 26, 301-325.
- Frey, D. E. (1998). Individualist economic values and self-interest: The problem in the Puritan ethic. *Journal of Business Ethics*, 17(14), 1573-1580.
- Fogarty, T. J., & Dirsmith, M.W. (2001). Organizational socialization as instrument and symbol: An extended institutional theory perspective. *Human Resource Development Quarterly*, 12(3), 247-266.
- Fox, R. (1984). Agency theory: A new perspective. *Management Accounting*, 62, 36-38.
- French, W. L., & Bell, C. H. (1999). *Organization development: Behavioral science interventions for organization improvement*. Upper Saddle River, NJ: Prentice Hall.
- Gilson, R., & Roe, M. (1992). *Understanding the Japanese Keiretsu: Overlaps between corporate governance and industrial competition*. Working Paper No. 97. Stanford Law School.
- Gomes-Mejia, L. R., & Balkin, D. B. (1992a). *Compensation, organizational strategy, and firm performance*. Cincinnati: South-Western.
- Gomes-Mejia, L. R., & Balkin, D. B. (1992b). Determinants of faculty pay: An agency theory perspective. *Academy of Management Journal*, 35, 921-955.
- Gomez-Mejia, L. R., Tosi, H., & Hinkin, T. (1987). Managerial control, performance, and executive compensation. *Academy of Management Journal*, 30, 51-70.
- Hausken, K. (1996a). Self-interest and sympathy in economic behaviour. *International Journal of Social Economics*, 23(7), 4-24.
- Hausken, K. (1996b). Ethics and efficiency in organizations. *International Journal of Social Economics*, 23(9), 15-40.
- Hendry, J. (2002). The principal's other problems: Honest incompetence and the specification of objectives. *Academy of Management Review*, 27, 98-113.
- Hesterly, W., Liebeskind, J., & Zenger, T. (1990). Organizational Economics: An impending revolution in organization theory? *Academy of Management Review*, 15, 402-420.

- Hill, C., & Snell, S. (1989). Effects of ownership structure and control on corporate productivity. *Academy of Management Journal*, 32, 25-46.
- Hilton, P. (1992). Using incentives to reward and motivate employees. *Personnel Management*. 24(9), 49-60.
- Holmstrom, B. (1979). Moral hazard and observability. *Bell Journal of Economics*, 10, 74-91.
- Holton, III E. F. (2002). Theoretical assumptions underlying the performance paradigm of human resource development. *Human Resource Development International*, 5(2), 199-215.
- Hoskinson, R., Johnson, R., & Moesel, D. (1984). Corporate divestiture intensity in restructuring firms: Effects of governance, strategy, and performance. *Academy of Management Journal*, 37, 1207-1251.
- Irvin, L. (2002). Ethics in organizations: A chaos perspective. *Journal of Organizational Change Management*, 15(4), 359-381.
- Jensen, M. C. (1989). Eclipse of the public corporation. *Harvard Business Review*, (Sept-Oct): 61-74.
- Jensen, M. C. (1983). Organization theory and methodology. *Accounting Review*, 56(2), 319-338.
- Jensen, M. C., & Meckling, W. (1976). Theory of the firm: Managerial behavior, agency costs, and ownership structure. *Journal of Financial Economics*, 11, 5-50.
- Johnson, R. A., & Cheatwood, D. (1992). Do monetary incentives in a field training program build morale? *The Police Chief*, 59(11), 35-47.
- Joyce, W. B. (2000). Aligning stockholders and manager interests. *Journal of Compensation and Benefits*, 16, 37-40.
- Kosnik, R. (1987). Greenmail: A study in board performance in corporate governance. *Administrative Science Quarterly*, 32, 163-185.
- Kuchinke, K. P. (2000). The role of feedback in management training settings. *Human Resource Development Quarterly*, 11(4), 381-401.
- Lambert, R. A., Larcker, D. F., & Weigelt, K. (1993). The structure of organization incentives. *Administrative Science Quarterly*, 38, 438-461.
- Lane, P. J., Cannella, A. A., Jr., & Lubatkin, M. H. (1998). Agency problems as antecedents to unrelated mergers and diversification: Amihud & Lev reconsidered. *Strategic Management Journal*, 19, 555-578.
- March, J. G., & Simon, H. A. (1958). *Organizations*. New York: Wiley.
- Milgrom, P., & Roberts, J. (1992). *Economics, organization and management*, Englewood Cliffs, NJ: Prentice Hall.
- Mitnick, B. (1986). The theory of agency and organizational analysis. Unpublished working paper, University of Pittsburgh.
- Monk, R. (1996). The motivation of managers for training. *Management Development Review* 9(3), 26-32.
- Nalbantian, H. R. (1987). Incentive compensation in perspective. In H.R. Nalbantian (Ed.), *Incentives, cooperation, and risk sharing: Economic and psychological perspectives on employment contracts*. Totowa, NJ: Rowman & Littlefield.
- Nilakant, V., & Rao, H. (1994). Agency theory and uncertainty in organizations: An evaluation. *Organization Studies*, 15(4), 649-672.
- Ouchi, W. (1979). A conceptional framework for the design of organizational control mechanisms. *Management Science*, 25(4), 833-848.
- Pennings, J. M., & Woiceshyn, J. (1987). A typology of organizational control and its metaphors. In S. Bacharach & N. DiTomaso (Eds.) *Research in the sociology of organizations*, pp. 73-104. Greenwich, Conn.: JAI Press.
- Perrow, C. (1986). *Complex organizations*. New York: Random House.
- Powell, G. N., & Mainiero, L. A. (1999). Managerial decision making regarding alternative work arrangements. *Journal of Occupational and Organizational Psychology*, 72, (1), 41-56.
- Pratt, J. W., & Zeckhauser, R. J. (1985). *Principals and agents: The structure of business*. Cambridge, MA: Harvard Business School Press.
- Reio, T. G. Jr., & Wiswell A. (2000). Field investigation of the relationship among adult curiosity, workplace learning and job performance. *Human Resource Development Quarterly*, 11(1), 5-30.
- Rosanas, J. M., & Velilla M. (2003). Loyalty and trust as the ethical bases of organizations. *Journal of Business Ethics*, 44(1), 49-59.
- Ross, S. (1973). The economic theory of agency: The principal's problem. *American Economic Review*, 63(1), 134-139.
- Rothwell, W. J., Sullivan, R., & & McLean, G. N. (1995). *Practicing organization development: A guide for consultants*. San Francisco: Jossey-Bass Pfeiffer.
- Rummel, G. A., & Brache, A. P. (1995). *Improving Performance: How to manage the White space on the organization chart* (2nd ed.). San Francisco: Jossey-Bass.

- Seyler, D. L., Holton III, E. F., Bates, R. A., Burnett, M. F., & Carvalho, M. A. (1998). Factors Affecting Motivation to Transfer Training. *International Journal of Training and Development* 2(1), 2-16.
- Shalo, S. (2003). Introduction - When the going gets tough, the tough get incentives—training performance incentives, and the right tools give pharma's sales forces a fighting chance in today's hostile marketplace. *Pharmaceutical Executive*. 26, 4-8.
- Shleifer, A., & Vishny, R. W. (1997). A survey of corporate governance. *Journal of Finance*, 52(4), 737-783.
- Spence, A. M., & Zeckhauser, R. (1971). Insurance, information, and individual action. *American Economic Review*, 61(3), 380-387.
- Stinchcombe, A. L. (1965). Social structure and organizations. In J. G. March (Ed.), *Handbook of organization*, pp. 142-193. Chicago: Rand McNally.
- Swanson, R. A. (195). Human resource development: Performance is the key. *Human Resource Development Quarterly*, 62(2), 207-213.
- Swanson, R. A. (2001). *Assessing the financial benefits of human resource development*. Cambridge, MA: Perseus.
- Swanson, R. A., & Holton III, E. F. (2001). *Foundations of Human Resource Development*. San Francisco: Berrett-Koehler.
- Tannenbaum, S. I., Mathieu, J. E., Salas, E., & Cannon-Bowers, J. A. (1991). Meeting trainees' expectations: The influence of training fulfillment on the development of commitment, self-efficacy, and motivation. *Journal of Applied Psychology*. 76 (6), 750-768.
- Tharenou, P. (2001). The relationship of training motivation to participation in training and development. *Journal of Occupational and Organizational Psychology*, 74 (5), 599-621.
- Thompson, J. D. (1967). *Organizations in action*. New York: McGraw-Hill Book Co.
- Tosi, H. L., & Gomez-Mejia, L. R. (1989). The decoupling of CEO pay and performance: An agency theory perspective. *Administrative Science Quarterly*, 34, (1), 169-189.
- White, H. (1985). Agency as control. In J. Pratt & R. Zeckhauser (Eds.), *Principals and agents: The structure of business* (pp. 187-214). Boston: Harvard Business School Press.
- Williamson, O. E. (1985). *The economic institutions of capitalism*. New York: Free Press.
- Williamson, O. (1985). *Markets and hierarchies: Analysis and antitrust implications*. New York: Free Press.
- Zajac, E. J., & Westphal, J. D. (1994). The costs and benefits of managerial incentives and monitoring in large US corporations: When is more not better? *Strategic Management Journal*, 15(1), 121-142.
- Zenger, T. (1988). Agency sorting, agent solutions and diseconomies of scale: An empirical investigation of employment contracts in high technology R&D. Paper presented at the meeting of Academy of Management, Anaheim, CA.

Neoclassical and Institutional Economics as Foundations for HRD Theory

*Greg G. Wang
James Madison University*

*Elwood F. Holton III
Louisiana State University*

In an effort to properly understand economics as a foundation of HRD, this article reviews economic theories and models pertinent to HRD theory building and practices. By examining neoclassical and institutional schools of contemporary economics, especially the internal labor market theory, we argue that economic theories not only provide a foundation, but also have important implications to research and analytical approaches to the field of HRD. Broadening our research directions may be fruitful and provocative in expanding HRD's theoretical base as well as practical applications in organizations.

Key words: Neoclassical Economics, Institutional Economics, Internal Labor Market

Economics, together with system theory and psychology, is considered one of the core foundations for the field of human resource development (HRD) (Rothwell & Sredl, 1992; Swanson & Holton, 2001). Yet, our understanding of economics as an HRD foundation has been narrowly confined in scarce recourse, human capital theory, and sustainable resource theory (Swanson and Holton, 2001). A wealth of economic theories has not received much attention in the HRD literature. Perhaps, this is because traditionally, HRD theory has drawn less theoretical results from economics than the fields of education, psychology, sociology and other behavioral sciences (Odiorne, 1970). To better understand the foundations of HRD and further advance HRD theory building and practice, it is imperative to explore and examine foundational theories developed by economists over the many decades. The purpose of this article is to review economic theories as pertaining to HRD foundation and introduce some of the less known economic theories and research to the HRD field. Specifically, it is to answer the following questions: What are the major theories in economics that may represent a foundation for HRD? And what are the implications of the economic theories and approaches to HRD researchers and practitioners?

Strictly speaking, economic theory that constitutes a foundation for HRD is regarded as one of its sub-fields, labor economics. Labor economics, as defined by Ehrenberg and Smith (1994), is the study of the workings and outcomes of the market for labor. Specifically, it is primarily concerned with the behavior of employers and employees in response to the general incentives of wages, prices, profits, and nonpecuniary aspects of the employment relationship, such as working conditions. There are two major rivalry paradigms or schools of thoughts in this area: neoclassical economics and neoinstitutional economics. Together, they should be considered as general economic foundation of HRD.

The Neoclassical Economic Theory

The term *neoclassical economics* is referred to the fact that the theory was derived from or an extension of the classical economics established by Adam Smith (1723-1790), David Ricardo (1772-1823), and other early 1900s economists. The principal founder of the neoclassical economics was Alfred Marshall (1842-1924), who rigorously developed and popularized the diagram of demand and supply, also known as the Marshallian cross.

A commonly held belief in HRD field regarding the economic foundation is human capital theory proposed by Becker (1962) and Mincer (1962). To clarify and identify the economic foundation of HRD, this section reviews two major hypotheses in labor economics literature: human capital hypothesis and screening/filtering hypothesis.

Human Capital Hypothesis

In the neoclassical economic paradigm, HRD and training is examined under a competitive labor market assumption. As such, individuals acquire human capital in a variety of ways, including education, training, migration, and job-search activities (Ehrenberg & Smith, 1994; Kaufman, 1994). The important feature of this acquisition, however, is that it is an investment, in the sense that the individual foregoes current income for increased earnings potential in the future (Becker, 1962). Assuming that individuals wish to maximize the present value of their lifetime earnings, they will accumulate human capital up to the point where the marginal benefits--the discounted expected incremental income that arises from the investment -- equals the marginal cost of acquiring it. Labor market outcomes are determined by the interaction of supply and demand. The supply side is explained according to the human capital hypothesis while marginal productivity theory underlies the demand side. In its most extreme form,

Copyright © 2004 Greg G. Wang & Elwood F. Holton III

human capital hypothesis proposes that all productivity differences between individuals reflect differences in the amount of human capital they possess.

On the demand side, profit-maximizing organizations will employ individuals up to the point where the wage equals the value of the marginal product, with technology and capital taken as exogenous parameters. Competition will then ensure that wage differentials reflect the value of the extra output made possible by the higher level of HRD activities, such as training or education (Ben-Porath, 1967). In essence, the human capital hypothesis, at least during its inception period, is a theory of occupational choice. Individuals choose between jobs that offer different amount of training opportunities. Those who choose jobs with training receive lower current earnings but higher future earnings than those who enter jobs with less training.

Within the standard human capital model, HRD and training activities are assumed to take place primarily on the job and simply an extension of the schooling decision. This is only valid if the training involved is general, in the sense that the individual's productivity gain can be applied in any job and not just in a specific firm. Such an assumption is, of course, highly restrictive and has been relaxed by Becker's model (1964) of general versus specific training. The notion that some skills can increase productivity only in the firm or on the job where the training is received provides a theoretical framework in understanding training behavior and is widely accepted by HRD professionals (e.g., Rothwell & Sredl, 1992). In practice, however, most skills contain both general and specific elements. The distinction is only useful as a convenient analytical tool. It does, however, raise the question of what determines the mix between general and specific training that organizations provide.

Human capital model, as discussed above, was first proposed in labor economics to analyze individual education and training decision-making process. Economic studies in the earlier years were almost exclusively focused on economics of education, measuring wage/earning profiles of education and training (e.g., Mincer, 1974 and Lynch, 1989). In recent years, economists have shifted to measure the social returns, or macroeconomic impact created by human capital investment, including economic performance and competitiveness at national level (Sturm, 1993).

The human capital model, however, has been questioned by many economists. Critics point out that this model will only generate an efficient amount of HRD and training activities under very restrictive assumptions. In particular, a competitive labor market, comprised of maximizing individuals and firms, will be efficient only if the following conditions are true: all individuals have access to capital at the social rate of interest, job changing is costless, and there are a large number of firms demanding the particular skills concerned. As a result, doubts have been expressed that a model based on such restrictive assumptions can have any value in explaining what happens in the real world (Osterman, 1984). Imperfect capital markets and uncertainty about future incomes can give rise to significant underinvestment in learning by individuals (Kaufman 1994). Limited labor mobility may encourage firms to bear part of the costs of general training, or reduce the premium paid to employees with specific skills to reduce turnover (Osterman, 1984). Collective bargaining can affect pay structures in favor of unskilled workers, reducing the return to training or pushing up the pay of trainees, thus reducing the amount of training or the skill intensity of training (Freeman & Medoff, 1984). These are just a few examples of how market imperfections can distort the efficient provision of HRD and training that would result under the conditions assumed by human capital theorists.

Screening/Filtering hypothesis. Compared to human capital hypothesis, the screening/filtering hypothesis is much less known in the field of HRD. This hypothesis challenges human capital model. It argues that most job skills are not acquired before individuals enter the labor market. Rather, they are obtained through on-the-job training and learning by doing (Thurow, 1975). Therefore, it is questionable that education and training, as an investment, will provide individuals with cognitive and technical skills that directly enhance productivity (Arrow, 1973), especially under the restrictive assumptions by the human capital hypothesis. The alternative model considers hiring employees is an uncertain investment. This uncertainty arises because employees' productivity is unobservable at the time of hiring, and can only be gauged after they have been employed on a specific job for a period of time.

The screening/filtering model assumes that education and training contributes no way to increased performance and productivity, neither cognition nor socialization. Instead, education and training only serves as a screening or filtering device to sort out individuals with different abilities (Arrow, 1973). Such screening information is actually what is needed by organizations for identifying employees, regarded as signaling (Spence, 1973). Under screening/filtering hypothesis, the labor market is not primarily an auction market where individuals of different educational levels sell their skills, but is instead a training market, where firms have training slots to be filled at the bottom of the job ladder and individuals compete to be hired (Thurow, 1975). To employers, the decision of which person to hire is not based on a consideration of who has the highest productivity because it is unknown at the time of hiring, but on who is most trainable. Organizations must screen or sort the applicants into a queue based on their signal and indices (Spence, 1973, 1974). To potential employees, the competition is to obtain access to the firm's job ladder, setting off a race among individuals to acquire the signals, such as the background characteristics and credentials that employers value the most. The signals may include, among other things, level of education attainment and willingness to undertake on-the-job training.

The screening or filtering model, although different from the human capital model, is not entirely in contradiction to it. From the organizations point of view, an employee screened to be more valuable will be paid more. Thus, the screening function of education and training does play a value added role. Extra earnings from additional years of education, however, are not the returns from the individuals' human capital investment, but a payment to their pre-existing ability and intelligence that education and training signal. Therefore, this theory predicts an investment in education may yield a high private rate of return if it moves the individual up in the queue for higher paying job.

Through mathematical derivations, Arrow (1973) shows the competitive equilibrium condition and signaling mechanism for the screening model. Some empirical studies also seem to support the screening hypothesis. Miller and Volker (1984) hypothesize that if returns are strictly related to productivity, then economics majors who took jobs that utilized their academic training should be paid more than those who took jobs unrelated to their field of study. Their study, however, finds no difference in the starting salaries of the two groups studied, leading the conclusion that employers were using a college degree as a screening device. A number of other empirical studies (e.g., Hungerford and Solon, 1987; Weiss, 1989) also argue that education has "sheepskin effects", which result in "paper chase" by potential employees (Berg, 1970).

In neoclassical theory, very little attention has been directed to the question of why some employees have access to HRD and training activities while others do not? Why do some organizations offer more training than others? And what determines the type of training they offer? To understand how labor markets function, it is therefore deemed necessary to understand how institutions and market imperfections develop and change through time, and how they affect and are affected by employees and organizations.

The Institutional Economic Theory

The main rival to the neoclassical economic theory with regard to HRD and training in labor economics is the institutional school. As early as the emergence of human capital theory, a group of economists has taken up the topic of institutional labor market (e.g., Kerr, 1954; Dunlop, 1966). Institutional economists reject neoclassical theory as sterile exercises in deductive logic and scholarly apologetics for laissez faire. They sought to develop a "new economics" with a more psychologically informed, humanistic representation of the human agent, models of markets that recognized the growth of trusts, and a view of the economic process that made it possible for institutions to promote social welfare (Fine, 1956; Lutz and Lux, 1988).

Principles of institutional economics. Institutionalists oppose the notion of economic man by their rival. They deny that people maximize in pursuit of their economic goals. Instead, they believe a theory of motivation known as *satisficing* (Kaufman, 1994), meaning that individuals pursue a goal only until they reach a minimum satisfactory level, regarded as good enough, even if it is not the best they could do. They also argue that people's decisions are less rational than economic man model. The reason is that human brain is too limited to effectively process all the data and to make all the complex calculations that are required to arrive at optimal and consistent decisions.

Institutionalists accept the maximum efficiency proposition by neoclassical theory, but added two more: economic outcomes must satisfy minimum standards of equity or justice, and must contribute toward human development and self-realization (Commons, 1934). They believe that economic theory should be modeled as purposive and self-interested with the following conditions. 1. Human rationality is limited by "stupidity, ignorance, and passion" (Commons, 1934) or "bounded rationality" (Simon, 1982). Decision-making thus may not maximize utility (Kaufman, 1994), and 2. Many human emotions arise from interactions or comparisons with others, thus making behavior interdependent (Tversky and Kahneman, 1991).

In addition, institutional theory realistically believes that labor markets contain significant imperfections, such as limited and asymmetric information, significant costs of mobility, and limited numbers of buyers (firms). These factors give employers market power over wages and working conditions and non-competitive outcomes for employees. Thus firms often do not bear the full cost of production, leading to a misallocation of resources and shifting of costs to workers and communities (Stabile, 1993).

Furthermore, wage rates often are unable to equilibrate demand and supply, thus clear labor markets. An important reason is that the wage rate performs a dual role in labor markets—it allocates labor, as in neoclassical theory, but also is used by firms to motivate employees (Palley, 1995). The wage rate that meets one objective often does not meet the other, leading to nonmarket-clearing outcomes.

Apparently, institutionalists take an interdisciplinary approach to labor market analysis. As pointed out by Dunlop (1988), "an understanding of labor markets and compensation requires a recognition that the work place is a social organization, at least informally, and that labor markets take on significant social characteristics that do not characterize commodity and financial markets and that are not readily encapsulated in ordinary demand and supply analysis (p. 50)." Under such humanistic economics, it should not be a surprise to see the development of the internal labor market model, which will be discussed subsequently.

Internal Labor Market

Internal labor markets are concerned with the allocation of labor within an organization among different job positions, including the availability and nature of training. According to the institutional economists, internal labor market is defined as "an administrative unit...within which the pricing and allocation of labor is governed by a set of administrative rules and procedures (Doeringer & Piore, 1971, p. 1)". This is to be distinguished from the external labor market in the neoclassical world, where pricing, allocating, and training decisions are controlled directly by economic variables. On the other hand, these two markets are interconnected, and movement between the two occurs at certain job classifications that represent ports of entry and exit to and from the internal labor market. The remainder of the jobs within the internal market is filled by the promotion or transfer of workers who have already gained entry. Consequently, these jobs are shielded from the competitive forces in the external market. It is important to point out that the internal labor market is indeed the subject of HRD research and object of HRD practice.

Training in an institutional world reflects three economic structures: 1. The internal labor market structure that simultaneously forms and rations employees' skills, 2. The firm's organizational structure, including training and HRD process, which shape the demand for and use of employees as labor, and, 3. The macroeconomic structure, especially the institutions shaping unemployment and investment that governs the economy (Brown, 1994). The first two structures are interrelated, and they function within the context of the third.

Within the internal labor market, there are no market supply and demand curves for given positions (Doeringer & Piore, 1971). An employee's productivity is related to the job he or she does and is not the result of human capital decision-making process (Brown, 1994). In other words, for a given level of skill and effort, an employee's productivity depends on his or her job, since the job determines the worker's access to resources and training. The system of job ladders and internal promotion permits the development of skills through on-the-job training. Job placement thus determines the worker's long-run productivity, bargaining power, and earnings. Within this framework, the labor market can be seen as comprising favorable jobs in structured internal labor markets, and disadvantaged jobs in unstructured internal labor markets, such as part-time employees. Access to favorable employment opportunities is not based on the productivity-related characteristics that individuals possess, but on social acceptability and custom (Doeringer & Piore, 1971). This is reinforced by the fact that training is an integral part of the job and requires the cooperation of coworkers and the acceptance of group norms and organizational culture.

In the institutional economic world, the internal labor market is generated by several factors that are familiar to all HRD researchers and practitioners, which are not envisioned in neoclassical world. They are, skill and job specificity, on-the-job training, and culture and customary laws (Doeringer and Piore, 1971).

Skill and job specificity. The specificity of a job, according to the institutionalists, is defined by its skill content. Jobs and associated technology require a set of skills, and each of the skills may be more or less specific. Even the simplest tasks are facilitated by familiarity with the physical environment specific to the workplace in which they are performed. Moreover, performance in some production and most managerial jobs involves a team element, and a critical skill is the ability to operate effectively with the given members of the team. The skills of team interaction are specific in the sense that skills necessary to work on one team may not be quite the same as those required by another.

*On-the-job-training (OJT)*¹. Since formal education is often used as a screening device for selecting people with certain aptitudes and social backgrounds. OJT then provides either the larger proportion of skills actually utilized in the job performance or is a prerequisite for the successful utilization of formal education.

The institutional economists believe that the informality of OJT makes it difficult to identify the precise nature of the process (Doeringer and Piore, 1971), but the following elements appear to be involved. First, training typically occurs in the process of production, partly through trial and error. It is the production process that disciplines the learning process and provides indications of success or failure. Both monetary and psychological rewards and penalties stimulate the mastering of the skills. Second, when instruction of one kind or another is required, it is usually provided by a supervisor, by the incumbent worker, or by workers on neighboring jobs. The participants in the training process therefore assume dual roles: one in the production process, as supervisors or subordinates, the other in the learning process, as instructors or students. Third, the very process of OJT tends to blur the distinction between jobs. Each job in the progression line develops skills requisite for the succeeding job and draws upon the skills required in the job below it.

Organization culture and custom. Organizational culture and custom is one of the major factors important to understand internal labor markets. Institutional economists argue that organizational culture and custom at the workplace is an unwritten set of rules based largely upon past practice or precedent. These rules can govern any aspect of the work relationship from discipline to compensation. When employment is stable, the same employees come into regular and repeated contact with one another. The result is the formation of social groups or communities within the

¹ Different from the concept of OJT familiar to HRD professionals, OJT here, and in other related economic literature, refers to any training sponsored by employers, including classroom learning, structured and/or unstructured OJT, or even learning-by-doing work experience, so long as it takes place while one is employed with a firm. For a detailed discussion on the terminology differences in the two fields, see Wang (1997).

internal labor market. Communities of this type tend to generate a set of unwritten rules governing the actions of their members and the relationship between members and outsiders. Eventually, these rules assume an ethical or quasi-ethical environment. Adherence to these rules tends to be viewed as a matter of right and wrong and the community acts to retaliate against behavior that is at variance with them.

The tendency of individuals to form the types of social groups that generate these customary laws is rooted in certain basic principles of group and individual psychology. What described as group custom may appear to be the aggregate of habits common to the individuals comprising the group. In a group situation imitation clearly facilitates the development of modes of behavior common to the members of the group.

In short, internal labor market determines the existence of an internal training market, especially OJT and organizational culture. The system of job ladders and internal promotion permits the development of skills through either formal or informal employer sponsored training and HRD interventions, while the rules that allocate labor within the organization ensure the willingness of incumbent experienced workers to train their juniors by removing the threat the latter might pose to their job security and earnings.

Comparison of Neoclassical and Institutional Paradigms

The relevant economic theories discussed above are based on different assumptions. This section compare the contrasting assumptions made by the two different schools as relevant to the field of HRD.

In the institutional model, imperfect competition or non-market clearing outcomes are assumed, implying that underemployment is a basic characteristic of labor market. All training and HRD related activities take place under this assumption. On the other hand, neoclassical model assumes a full employment paradigm produced by the competitive market forces, which determines the subsequent training activities.

Under the institutional paradigm, job allocations and training opportunities are determined by a set of institutional rules and customs, whereas they are dictated by price (or wages) in neoclassical world. Employees' productivity is associated with the jobs they occupy, which result in the access to resources, including training and HRD opportunities and not necessarily associated with their skill levels under the institutional umbrella. But for neoclassics, employees' productivity is a result of individual human capital decisions, which is the result of past investment decisions and current on-the-job training.

Regarding the process of training, institutionalists' assumption is that on-the-job training increases the value of employees to the firm, and the training is embedded in the work process as well as taught by supervisors or coworkers. In opposition, the neoclassical economists assume training is differentiated by type of skills, i.e., specific versus general, which determines who, the firm or employees, pays for the investment and receives the return.

As for the result of training, institutionalists assumes training produces job-related skills as well as networks and socialization that form the correct behavior and value system in an institution. Although neoclassical theorist agrees that training produces job-related skills, they deem that the formation of behavior and value systems are exogenous to the skills acquisition process and are not essential conditions for making the training decision.

To summarize the differences, Table 1 lists the contrasting assumptions by the two schools.

Table 1. Comparison of Assumptions by Institutional and Neoclassical Theories

	Institutional Model	Neoclassical Model
Labor market	Imperfect labor market with underemployment as an outcome.	Labor market function as a competitive market and reaches full employment in the long-run.
Jobs	Institutional rules and customs allocate employees' jobs within unequal job and training structures.	Job allocation is by market clearing price or wages.
Productivity	Employees' productivity is dictated by their access to resources including OJT, which may not reflect the skill levels.	Employees' productivity is a result of individual human capital decisions, which is shaped by education and OJT.
Training	OJT increases the value of employee to the organization, and the training is embedded in the work process as well as taught by coworkers.	Training is differentiated by types of skills, i.e., specific vs. general, which determines who pays for the investment and who receives the return.
Result of training	Training not only produces job-related skills, but also builds institutional networks, correct behavior, and value system.	Training produces job related skills. Behavior and value systems are exogenous to the skill formation process, but are initial conditions for making the training decisions.

Implications to HRD Practice Theory Building

With over a century-long theory building and empirical development process, economic literature has brought to the field different schools of economic theories and a rich array of analytical tools. Undoubtedly, HRD researchers and practitioners can learn from economic theories and the theory building experience to further advance HRD theories and practices. Specifically, understanding the neoclassical vs. institutional paradigms and the distinction between human capital model and screening model may create new impetus for HRD theory building.

The implications of the economic theories to HRD can be examined from at least two aspects. That is, HRD foundations and research and analytical approaches.

Implications to the Foundations of HRD

Human capital theory as a foundation of HRD has been so well accepted by HRD professionals that any further discussion of its importance to HRD may appear to be redundant. To the same degree, we argue that institutional economic theory, especially internal labor market model, also constitute a significant portion of the economic foundation for the field of HRD.

It is difficult to dispute the organizational realities that institutional economics highlight. From the economic perspective, there is little question that labor markets are imperfect, that there is an internal labor market that is equally potent, and that education and training also operate as a screening mechanism. In addition, there is also little question that organizational culture plays a vital role in shaping HRD practices and strategies in an organization.

The institutionalist perspective is reinforced by Holton & Naquin's (2003) analysis of HRD evaluation practices from a decision making perspective. In that paper, they review the decision making literature which has clearly showed that rational-economic decision making processes are not utilized in practice and are too limited to capture the complexity of organizational decisions, particularly under conditions of risk and uncertainty such as is present with HRD interventions. Decision making researchers have clearly moved beyond the somewhat simplistic rational-economic theories to more complex bounded rationality and subjective expected utility models. Naturalistic decision researchers have proposed even more divergent models as well. Holton and Naquin's (2003) conclusion was that evaluation models built solely on ROI (rational-economic) may be too limited or widespread application and that new theory building is needed to build more integrated models.

It is striking that two independent analyses using two different theory bases not usually incorporate in HRD theory reach the same basic conclusion. Namely, that HRD theory grounded solely in neo-classical economics or rational-economic decision making are likely too limited. Both analyses suggest broad directions that are likely to be fruitful and provocative expanding HRD's theoretical base as well as practical application in organizations. These discussions, however, should not be read as disputing the value of human capital (neoclassical) economics as a foundation for HRD, or suggesting that institutional economics replace it. Rather, we suggest that HRD theory grounded only in neoclassical economics may be too limited for universal application. More comprehensive theory is needed to integrate both neoclassical and institutional economics into HRD foundational theories.

Further, the internal labor market perspective covers all major components of HRD. These components, as defined and identified in HRD literature, include training and development, organization development, and career development (e.g., McLagan, 1989; Watkins, 1989; Marsick & Watkins, 1994; Swanson, 1994). Although economists study these components with different purposes, their analyses of organizations as internal labor markets can certainly strengthen HRD professionals' understanding of the nature of the workplace.

From the discussions in previous sections, it is not difficult to associate the factors identified by internal labor market model with the major HRD components. Training and development and career development relates more or less to the skills and job specificity and OJT concept as defined by economists, although their definitions are somewhat different from those in HRD. The in-depth analysis of skills and job specificity by institutional economists some thirty years ago can be extended to all training and development arenas in HRD domain, even though the specific OJT activities and environment discussed by the economists may have been changed due to the technological development over the past thirty years. Osipow & Fitzgerald (1996) noted that career development is "the evolving sequence of a person's work experiences over time." The major component of career development indeed involves advancement in specific skills and competencies with regard to particular job requirements. More recent development in HRD practice in employee competency management may also be considered as an intuitive response of organizations to the demand of internal labor market.

In the mean time, organization development (OD) or change management can be easily linked to the factor of culture and custom specified in the internal labor market model. Indeed, one of the key focuses of OD interventions is on organizational culture (Swanson & Holton, 2001). In fact, economists' conclusion that training not only produces job related skills, but also builds institutional networks, behavior, and value system has been practiced in HRD through various interventions for many years.

Implications to HRD Research and Analytical Approach

An equally important implication of economic theories to HRD lies in its research and analytical approaches. The most striking feature of any economic system is its overall complexity. Thousands of organizations engage in producing millions of different goods. Millions of individuals work in different professions and purchase a wide variety of products and services. Neoclassical economists are able to abstract from the vast complexities of real-world economies and develop rather simple models that capture the "essentials" of the economic process. Even though some of the assumptions may not be realistic, such as perfect information and free entry to market, the resulting theories does not distract our understanding of how market economies operate. In contrast, institutional economists adopted different but salient analytical approaches. They emphasize on fact-gathering, focus on the importance of realism of assumptions,

rely on the virtues of a “go and see” participant/observer method of investigation, and value the necessity for an interdisciplinary approach to theory-construction (Boyer & Smith, 2001). The similar contrasting approaches may also be developed by HRD researchers and practitioners to increase our understanding in organization and performance dynamics.

In addition, some existing economic analytical approaches used by economists may be readily available for HRD professionals in conducting HRD research inquiries. Considering the HRD measurement inquiry, an urgent challenge faced by existing ROI measurement approach is to separate the true HRD program impact from other intervening variables (Wang, Dou, and Li, 2002; Wang and Li, 2003). It may be necessary for HRD researcher and practitioners to look into economic approaches in order to advance the measurement methods and address the business requirement in ROI measurement. One of the strengths of the neoclassic economics is that it allows one to separate intervening variables (Wachter and Wright, 1990) so that researcher can identify individual factor's contribution to a specific economic outcome. However, few efforts have been made to apply the economic approach to addressing the measurement challenge. We may expect the final breakthrough on HRD evaluation and measurement coming from the integrated research in both HRD and economics.

On the other hand, the distinction between human capital and screening/filtering models may in fact present an alternative to HRD and the program evaluation and ROI measurement. Unless HRD researchers and practitioners develop valid and reliable methodologies to measure the effectiveness and economic returns of an intervention, HRD programs may well be considered as screening devices, instead of human capital investment. For instance, if no sufficient evidence to show economic return from a management and leadership development program, one may conclude that the program serves as a screening device to filter the future leaders. After all, a one-month leadership development course or a two-week executive coaching program may in fact be screening-based, targeted program, and the return in dollar term may be negligible.

Lastly, the importance of contributing roles by rivalry theories and their prolong debate during a theory building process is critical for a field to become mature. The previous discussions demonstrate that the development of economics to date is the outcome of a century-long debate and disagreement between (neo)classical and institutional theories, among other schools. The experience from economists provides an excellent example for HRD researchers to further advance the theories and practice.

Conclusions

To expand HRD professionals' understanding in economics foundation of HRD, we reviewed critical economic theories and models that pertinent to HRD theories and practice that are often overlooked by HRD researchers. The review of neoclassical and institutional theories and human capital and screening models has suggested that economics not only constitute a general theoretical foundation of HRD, but also can be used to support HRD research and theory building process. HRD theory grounded solely in neoclassical economics or rational-economic decision making are likely too limited. Broadening our research directions may be fruitful and provocative in expanding HRD's theoretical base as well as practical applications in organizations.

References

- Arrow, K. J. (1973). Higher education as a filter, *Journal of Public Economics*, 2(3), 193-216.
- Becker, G. (1962). Investment in human capital: A theoretical analysis. *Journal of Political Economy*, Supplement, 70(5), Part 2: S9-S49.
- Becker, G. S. (1964). *Human capital: A theoretical and empirical analysis, with special reference to education*. New York: Columbia University Press.
- Ben-Porath, Y. (1967). The production of human capital and the life cycle of earnings, *Journal of Political Economy*, 75(2), 352-365.
- Berg, I. (1970). *Education and jobs: The great training robbery*. New York: Praeger Publishers.
- Boyer, G., & Smith, R. (2001). The development of the neoclassical tradition in modern labor economics. *Industrial and Labor Relations Review*, 53(2), 199-223.
- Brown, C. (1994). Training, productivity and underemployment in institutional labor markets. In R. McNabb, & K. Whitfield, (Eds), *The market for training: International perspectives on theory, methodology and policy*, (pp. 107-123). Brookfield, VT: Avebury.
- Commons, J. (1934). *Institutional economics: Its place in political economy*. New York: MacMillan.
- Doeringer, P., & Piore, M. (1971). *Internal labor markets and manpower analysis*, Lexington, MA: Heath Lexington Books.
- Dunlop, J. (1966). Job vacancy measures and economic analysis, In *The Measurement and Interpretation of Job Vacancies*. New York: Columbia University Press.

- Ehrenberg, R., & Smith, R. (1994). *Modern labor economics: Theory and public policy* (5th ed.), New York, NY: Harper Collins College Publishers.
- Fine, S. (1956). *Laissez-faire and the general welfare state: A study of conflict in american thought, 1865-1901*. Ann Arbor: University of Michigan.
- Freeman, R., & Medoff, J. (1984). *What do unions do?* New York: Basic Books.
- Holton, E. F. III., & Naquin, S. S. (2003). A critical analysis of HRD evaluation models from a decision making perspective. *Manuscript submitted for publication*.
- Hungerford, T., & Solon, G. (1987). Sheepskin effects in the return to education. *Review of Economic and Statistics*, 22(2), 175-177.
- Kaufman, B. E. (1994). *The economics of labor markets* (4th ed.), Fort Worth, TX: The Dryden Press.
- Kerr, C. (1954). The Balkanization of labor markets. In E. Bakke, (Ed.), *Labor mobility and economic opportunity*. (pp. 92-110). Cambridge: The Technology Press of MIT.
- Lutz, M., & Lux, K. (1988). *Humanistic economics: The new challenge*. New York: The Bootstrap Press.
- Lynch, L. (1992). Private sector training and the earnings of young workers. *American Economic Review*, 82(9), 553-564.
- Miller, P., & Volker, P. (1984). The screening hypothesis: An application of the Wiles Test. *Economic Inquiry*, 22(1), 121-127.
- Mincer, J. (1962). On-the-job training: Costs, returns, and some implications. *Journal of Political Economy*, 70(5), Part 2: S50-S79.
- Mincer, J. (1974). *Schooling, experience and earnings*. New York: Columbia University Press.
- Odiorne, G. (1970). *Training by objectives*. New York: Macmillan.
- Olsen, R. (1996). Gender difference in the returns to and the acquisition of on-the-job training. *Industrial Relations*, 35(1), 59-57.
- Osterman, P. (1984). The nature and importance of internal labor markets. In P. Osterman (Ed.), *Internal labor market*, Cambridge: The MIT Press.
- Palley, T. (1995). Labor markets, unemployment, and minimum wages: A new view. *Eastern Economic Journal*, 21(3), 319-326.
- Piore, M.J. (1979b). *Unemployment and inflation*. White Plains, NY: M. E. Sharpe.
- Rothwell, W., & Sredl, H. (1992). *The ASTD reference guide to professional human resource development roles and competencies*. (2nd ed.). Amherst, MA: HRD Press.
- Simmon, H. (1982). *Models of bounded rationality*, Vol. 2. Cambridge: MIT Press.
- Spence, M. A. (1973). Job market signaling, *Quarterly Journal of Economics*, 87(3), 355-374.
- Spence, M. A. (1974). *Market signaling: information transfer in hiring and related screening processes*, Cambridge, MA: Harvard University Press.
- Stabile, D. (1993). *Activist unionism: The institutional economics of Solomon Barkin*. Armonk: M. E. Sharpe.
- Swanson, R., & Holton, E. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler.
- Thurow, L.C. (1975). *Generating inequality*. New York: Basic Books.
- Tversky, A., & Kahneman, D. (1991). Loss aversion in riskless choice: A reference-dependence model. *Quarterly Journal of Economics*, 106, 1038-1061.
- Wachter, M., & Wright, R. (1990). *The economics of internal labor markets*. Working Papers in Economics E-90-3. Stanford University: The Hoover Institution.
- Wang, G., & Li, J. (2003). Measuring HPT interventions: Dilemma, challenge, and solutions. *Performance Improvement Journal* (Forthcoming).
- Wang, G., Dou, Z., & Li, N. (2002). A systems approach to measuring return on investment for HRD programs. *Human Resource Development Quarterly*, 13(2), 203-224.
- Wang, G. (2001). People development strategies in the new economy. In J. Woods, (Ed) *The 2001 ASTD training and performance yearbook*. New York: McGraw-Hill.
- Wang, G. (1997). *Private sector training in the United States: Behaviors and characteristics*. Unpublished doctoral dissertation, State College: The Pennsylvania State University.
- Weiss, A. (1989). High school graduation, performance, and wages. *Journal of Political Economy*, 96(4), 785-820.

A Critical Evaluation of Adult Learning Theories and Implication for Human Resource Development

Baiyin Yang
University of Minnesota

Based on a newly developed holistic theory of knowledge and learning, this paper critically evaluates several contemporary theories of adult learning. Most of existing adult learning theories tend to narrowly define knowledge and learning and fail to offer adequate explanation for adult learning. Implications for HRD theory, research, and practice are discussed.

Keywords: Adult Learning, Holistic Theory, Theory Building

Problem Statement

In the field of human resource development (HRD), a new conception extends the previous dual perspective of performance or learning and it posits that the field includes three key areas: learning, performance, and change (Gilley & Maycunich, 2000). Because HRD as a professional field works with all kinds of adults in various organizations for the purpose of facilitating their learning, performance, and change, the question of how adults learn and its subsequent relation with their behavioural performance and change tends to be a critical theme for HRD scholars and practitioners as well. Although there tend to be various definitions of learning and HRD, recent HRD texts all recognize the unique role of adult learning theory (DeSimone, Werner, & Harris, 2002; Gilley & Maycunich, 2000; Swanson & Holton, 2001). One may be able to argue that adult learning theory should be recognized as one of the key foundations of HRD.

However, the contribution of adult learning theory to HRD theory and practice has never been fully explored. Conventional HRD literature regards three major disciplines as foundations of the field (i.e., psychology, economics, and systems theory) and does not identify adult learning theory as one of the foundations (Swanson & Holton, 2001). In addition, although there have been an increasing body of literature on adult learning theories in the field of adult education, no systematic effort has been offered to critically evaluate the existing theories under a synthesis perspective (Merriam, 1993; Merriam & Caffarella, 1999). The purpose of this paper is to critically examine major contemporary adult learning theories from a newly developed holistic perspective.

Research Questions

The purpose of paper is two fold. First, the paper is to critically examine major contemporary theories of adult learning in terms of assumptions of knowledge and learning. Second, this paper is to demonstrate the utility and application of a newly developed holistic theory toward an integrative perspective of learning theory. Specifically, the following research questions were used to guide the study:

1. What are the key propositions of major contemporary theories of adult learning?
2. What are the merits and limitations of major contemporary theories of adult learning form the perspective of a holistic learning theory?

Methods

Two major research methods were used in this study, literature review and conceptual analysis. First of all, the researcher identified major contemporary theories of adult learning and then critically examined their key assumptions and propositions. Major texts and journals were searched in the fields of adult education and HRD. Sources of this literature review included major texts in the fields (DeSimone, Werner & Harris, 2002; Gilley & Maycunich, 2000; Knowles, Holton & Swanson, 1998; Merriam, 1993; Merriam & Caffarella, 1999) and preeminent journals (*Adult Education Quarterly*, *Human Resource Development Quarterly*, *International Journal of Lifelong Education*, and *Human Resource Development Review*).

Once major contemporary theories were identified, the researcher engaged an intensive conceptual analysis. A framework of theory as explicit knowledge proposed by Yang (2003) was used to guide the analysis. Yang (2003)

Copyright © 2004 Baiyin Yang

suggested that explicit knowledge is reflected by those theories, models, and conceptual frameworks and that all of them have three layers—foundation, manifestation, and orientation. The first layer is a stratum of foundation or premise, which serves as the basis for our knowing and determines the boundary of a theory. It also indicates a theorist's epistemological belief system. The second layer is manifestation that represents the outcomes of our knowing, i.e., major propositions of a theory. The third layer is the orientation of our knowing which defines the direction and tendency of knowing action. This layer indicates the driving forces of our knowing process and thus reflects the advocacy of the theory.

Theoretical Foundation

The theoretical foundation of this paper is a newly developed holistic theory of knowledge and learning (Yang, 2003). The holistic theory defines knowledge as a social construct with three distinctive and interrelated facets—explicit, implicit, and emancipatory knowledge. Knowledge is viewed as human beings' understanding about the reality through mental correspondence, personal experience, and emotional affection with outside objects and situations. The explicit facet consists of the cognitive component of knowledge that represents one's understandings of the reality. *Explicit knowledge refers to clear and certain mental apprehension that is transmittable in formal and systematic format.* It is the codified knowledge that identifies true from false.

The implicit facet is the behavioral component of knowledge that denotes the learning that is not openly expressed or stated. In most cases we know more than we think we know (Polanyi, 1967). *Implicit knowledge is personal and context-specific familiarity.* It is either something hard to formalize and communicate, or the familiarity that has yet to be articulated.

The emancipatory facet is the affective component of knowledge and is reflected in affective reactions to the outside world. *Emancipatory knowledge is one's understanding based on emotional affection and thus it is value-laden.* It is indicated by feelings and emotions people have toward the objects and situations around them. Emancipatory knowledge defines one's view of what the world ought to be, and it is the product of seeking freedom from natural and social restraints. It reflects one's internal affective and motivational states.

A Dialectic Perspective of Three Knowledge Facets

Yang (2003) posits that all of the three facets are present in all learning processes, even though not all of them need to experience a change. Furthermore, the holistic theory calls for a dialectical perspective of the three knowledge facets. On one hand, we need to acknowledge some intrinsically different characteristics of the three knowledge facets. If we examine each of the three knowledge facets at a time, they tend to be different and contradictory. The results will be like observing different faces of a coin. On the other hand, we should understand the complementary nature of these three knowledge facets. They are interacting with each other and indivisible when we take a holistic perspective. They occur by default whether we recognize them or not. All of the three facets are necessary components of the whole.

The holistic learning theory asserts that the construct of knowledge consists not only of the three facets but also of three knowledge layers (Yang, 2003). The knowledge layers include: foundation, manifestation, and orientation. The first layer is a stratum of foundation or premise, which serves as the basis for our knowing and determines the boundary of explicit knowledge. Foundation includes those tacit assumptions that have been taken for granted as valid and are not normally requiring proof. We have to accept certain assumptions in order to know and act. This layer indicates our epistemological beliefs. The second layer is manifestation that represents the outcomes of our knowing. The third layer is the orientation of our knowing which defines the direction and tendency of knowing action. So the third layer indicates the driving forces of our learning process.

Learning as Dynamic Interactions among Knowledge Facets

The holistic learning theory not only identifies characteristics of the three knowledge facets and layers, but also points out that it is learning that unifies different facets. Each of the three facets of knowledge provides a support needed for the other facets to exist. Explicit knowledge will exist only as meaningless facts, figures or bytes of information without the support of other facets (i.e., when two other facets are disconnected). We normally use "body of knowledge" to denote theories, models, and empirical findings but fail to realize that these things only represent explicit facet of knowledge. By the same token, learning is also influenced by emancipatory knowledge that defines the objectives and missions that guide our actions. Implicit knowledge also connects with the two other facets. It will appear as random, idiosyncratic, and isolated practical experiences without the support from the two other facets. Similarly, emancipatory knowledge will be simply emotion or affection when the explicit and implicit facets are removed in learning process. In sum, the holistic theory contends that knowledge exists in dynamic dialectic interactions among all three facets.

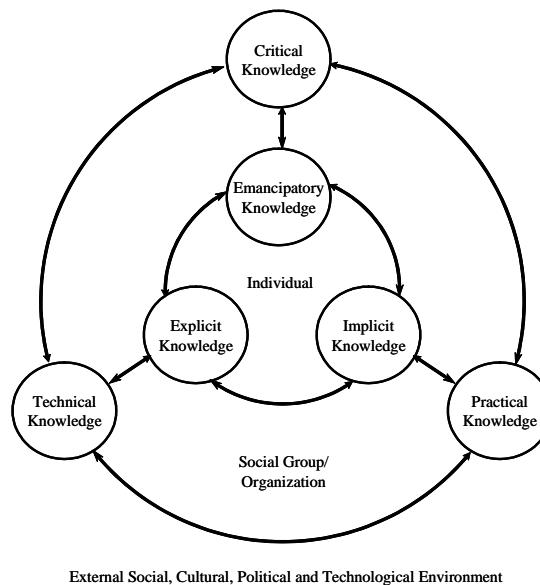
The holistic theory suggests that knowledge is created and transformed through the interactions among three knowledge facets (Yang, 2003). These relations are indicated by nine modes of learning: *participation*, *conceptualization*, *contextualization*, *systematization*, *validation*, *legitimization*, *transformation*, *interpretation*, and *materialization*. *Participation* is a process of learning from practice and thereby creating implicit knowledge from experiences. *Conceptualization* is a process of articulating implicit knowledge into explicit concepts. It converts familiarities into tangible explanations by proposing new concepts or theories. *Contextualization* is a process of embodying explicit knowledge into implicit knowledge. *Systematization* is a process of systematizing explicit conceptions into a system with logic and reasoning. This learning mode generally involves combining different bodies of explicit knowledge in a consistent format. *Validation* is a process of examining and possibly modifying underlying values, desires, judgments, perceived importance and worth, and other kinds of fundamental learning based on explicit knowledge. *Legitimization* is a process of justifying explicit knowledge based upon emancipatory knowledge. *Transformation* is a process of converting an old meaning scheme (i.e., values, feelings, ethics, etc.) into another form. *Materialization* is a process of transferring emancipatory knowledge into tacit knowledge. Those who utilize what has been learned from participatory action research to improve the quality of their daily life are in the process of materialization. *Interpretation* is process of making a meaning scheme explicit from tacit learning and direct experiences.

Learning as Individual and Social Activity

The holistic theory further suggests that learning is not only an individual activity but also a social phenomenon as well (Yang, 2003). An individual learner has to interact with his or her immediate social group or organization within certain social/cultural contexts. The holistic theory posits that a group or organization has to have three major components—critical knowledge, technical knowledge, and practical knowledge. Critical knowledge is the dominated emancipatory knowledge in an organization or a group of people. The sum of implicit knowledge of organizational members makes up practical knowledge. Practical knowledge exists in organizational processes and practices. Similarly, any organization has certain technical knowledge that represents those believed to be true explicit knowledge by its members and has been incorporated into its system. Technical knowledge normally exists in systems and structures.

Further more, the holistic theory defines group/organizational learning as a process of change in the dimensions of collective beliefs (i.e., shared technical knowledge), social norms (i.e., prevalent practical knowledge), and shared values (i.e., dominant critical knowledge) among group members. In other words, organizational knowledge is viewed as collective understandings among members through their technical, practical, and emancipatory facets of knowledge. Organizational learning involves changes of technical, social, and political dimensions of the organization. Figure 1 depicts the dynamic interactions among the three knowledge facets at individual and group/organizational levels.

Figure 1. Dynamic Interactions Among Three Knowledge Facets at Individual and Social Levels (©Yang, 2003)



Contemporary Adult Learning Theories

The literature of adult education provides a number of concepts and theories of adult learning (Merriam & Caffarella, 1999). Though no unifying theory of learning has emerged because of the complexity and diversity of adult learning experiences, the holistic theory provides an integrative framework to examine some of the contemporary adult learning theories. The holistic theory of knowledge and learning suggests three distinct and related knowledge facets and dynamic interactions among the facets. Most of the contemporary learning theories have established their learning models based on part of knowledge facets and related interactions.

Andragogy

Knowles (1968, 1980) proposed a concept of andragogy to distinguish adult learning from pre-adult schooling. The concept has been defined as “the art and science of helping adults learn” (1980, p. 43). The concept of andragogy has been based on six core assumptions or principles of the adult learning: (1) adult learners need to know why, what, and how to learn; (2) adult learners are self-directing regarding self-concept; (3) adult learners enter into educational activity with both great volume and quality of prior experiences; (4) adult learners are ready to learn in relation to their developmental tasks and social roles; (5) adult learners are motivated to learn regarding to orientation of application; and (6) adult learners are motivated to learn by internal factors rather than external ones (Knowles, 1969, 1980; Knowles, Holton & Swanson, 1998, p. 4). In addition to the core adult learning principles, andragogy has been extended to include two factors that influence adult learning—goals and purpose for learning, and individual and situational differences (Knowles, Holton III, & Swanson, 1998).

Central to the concept of andragogy are its major propositions or assumptions about adult learner. In the light of the holistic theory of knowledge, these assumptions have focused on certain facets of knowledge. The concept of andragogy places emphasis on the characteristics of adult learners and posits that their life experiences can be valid source of learning. Consequently, this concept calls for active involvement of learner in educational activity. Discussions and small group activities are normally used to help adult learners. From the perspective of the holistic theory, andragogy emphasizes the role of the implicit facets of knowledge (learners’ experience as resource for learning, social roles and developmental tasks, and immediacy of application) and thus views adult learning as action or behavior oriented. However, it fails to recognize the important role of other facets. The actual role of the instructor is not well defined in andragogy. Some instructors call themselves facilitators, yet others assume the role of experts. The role of facilitator may be appropriate when learners have rich experience and need to articulate implicit knowledge to explicit or emancipatory knowledge. On the other hand, an expert role may be adequate when there is a consensus that explicit or technical knowledge needs to be delivered in an efficient way such as health and safety training.

Andragogy recognizes the role of learners’ need, self-concept, and internal motivation in adult learning. These three assumptions are within affect domain and thus related to emancipatory knowledge. However, andragogy fails to acknowledge the ultimate role of emancipatory facet of knowledge in adult learning. Because pre-adult learners have no legal rights to determine right from wrong, their learning in the domain of emancipatory knowledge tends to be passive. That is to say, pre-adult learners and some adult learners in special settings such as correctional education have to accept values and ethics normally determined by others. In most adult learning settings, learners are legitimate citizens and thus have the right of self-direction. It is vital for educators to recognize the role of self-concept and thus help adult learners to fully reach their developmental potentials. In HRD practice, goals and objectives are normally negotiated between individuals and organization, employees and employer.

One recently added factor in andragogy, goals and purposes for learning, clearly recognizes the role of emancipatory facet knowledge in adult learning (Knowles, Holton & Swanson, 1998). However, it also implies that it is merely a technical process to determine learning needs and objectives. In fact, educational and training is not simply a mechanical process starting from needs assessment, to design and deliver of content, to evaluation. In many cases, HRD activities have to be involved with organizational politics (Cervero & Wilson, 1994). The holistic theory suggests that an individual’s emancipatory knowledge (indicated as perceived needs and motivation) interacts with the critical knowledge at the group and organizational level. Consequently, educators and HRD professionals need to pay attention to organizational politics and particularly the impacts of organizational critical knowledge.

Another newly added factor in the concept of andragogy is individual and situational differences. This factor recognizes the social and cultural impacts on learning and learners’ differences. Because andragogy does not recognize the nature of the three knowledge facets and that learning is a dynamic interaction among the facets, it fails to distinguish the roles of the three knowledge facets and their interface with situational factors. In sum, the extended andragogy model resembles the holistic theory depicted in Figure 1 in recognition of learning as interaction between individual and situation.

Self-Directed Learning

Self-directed learning is another popular concept of adult learning. Self-directed learning is “a process of learning in which people take the primary initiative for planning, carrying out, and evaluating their own learning experiences” (Merriam & Caffarella, 1999, p. 293). There are rich empirical studies and theoretical frameworks in this area. Merriam and Caffarella (1999) conclude that “the goals of self-directed learning can be grouped into three major aims: (1) to enhance the ability of adult learners to be self-directed in their learning, (2) to foster transformational learning as central to self-directed learning, and (3) to promote emancipatory learning and social action as an integral part of self-directed learning” (p. 290). Most self-directed learning models promote learner-centered and controlled learning activities, which will ultimately result in change of learners’ emancipatory knowledge, but few of them recognize the vital role this knowledge facet plays in adult learning. Such approach to learning has been established on an individualist value system and assumes that human beings will find freedom as long as they find out right self-directions. The holistic theory of knowledge and learning challenges such assumption and posits that individual direction and action are normally determined by one’s value and belief system. Merriam and Caffarella (1999) conclude that the majority of self-directed learning models reflect only the first goal. Thus self-directed learning tends to promote individual freedom based on an established value system (shared critical knowledge). However, it fails to recognize that learning can be viewed as a social and political process where learners do change their emancipatory knowledge.

The second and third goals of self-directed learning tend to promote transformational and emancipatory learning, but fail to fully recognize the dynamic relationships among different facets of knowledge. The holistic theory allows us to better understand the relations among key constructs of self-directed learning concept. In his attempt to build a comprehensive model of self-directed learning, Garrison (1997) suggests that three dimensions (self-management or contextual control, self-monitoring or cognitive responsibility, and motivation or entering/task) are central to a meaningful and worthwhile self-directed learning. Contextual control dimension indicates learners’ taking control of and shaping the contextual conditions. Self-monitoring describes learners’ ability to monitor their cognitive and metacognitive processes, to use a repertoire of learning strategies, and to think about their thinking process. Motivation determines learners’ decision to enter or exit a self-directed learning activity. Three dimensions in fact reflect three domains of the knowledge facets respectively under the view of the holistic theory. The contextual control dimension represents learner’s implicit knowledge in a particular learning context, the self-monitoring or cognitive responsibility dimension seems to indicate explicit knowledge, and the motivation dimension corresponds to the emancipatory facet of knowledge. Therefore, the holistic theory of knowledge and learning covers major dimensions of self-directed learning. Further more, the holistic theory provides reciprocal relations among the three dimensions and clearly spells out how each of these dimensions interacts with others. For example, Garrison’s (1997) model specifies the influences of motivation on self-monitoring and contextual control, but fails to acknowledge the mutual impacts of the latter two dimensions on the first one. In reality, learners’ motivation for a self-directed learning activity may change as a result of enhanced self-monitoring ability or frustration of out-controlled contextual condition.

Reflective Practice

The concept of reflective practice proposed by Schön (1983, 1987, 1991) challenges the positivist epistemology of professionals’ practice. It posits that knowledge inherent from practice is artful doing. In order to overcome the limit of technical-rationality which separates the theory from practice, Schön proposes the concepts of reflection-in-action, theories-in-use and knowing-in-action. Theories-in-use is tacit patterns of spontaneous behavior. Reflection-in-action refers to learning by doing and developing the ability to continuous learning and problem solving skills. Knowing-in-action refers to the know-how revealed and constructed in intelligent action. Schön posited that learning is an iterative process that moves through stages of: (1) initial assessment of a situation of action with spontaneous and routinized responses; (2) routine responses produces a surprise (i.e., unexpected outcome) that does not fit prior knowledge; (3) surprise leads to reflection within an action-present; (4) reflection-in-action causes critical questioning the assumption of knowledge-in-action; and (5) reflection gives rise to on-the-top experiment. Schön maintained that reflection-in-action can generate knowledge to new situations but not in a way by giving rise to general principles. Reflection-in-practice adds new knowledge “by contributing to the practitioner’s repertoire of exemplary themes from which, in the subsequent cases of his practices, he may compose new variations” (1983, p. 140).

Closely related to the concept of reflection-in-action is so called reflection-on-action. While reflection-in-action determines what we are doing while we are doing during a particular situation, reflection-on-action involves thinking through the situation after we have done. This mode of reflection tends to be analytic and explicit. It is a process in which “we consciously return to the experiences we have had, reevaluate these experiences, decide to do

differently" (Merriam & Caffarella, 1999, p. 235). This process resembles conceptualization and contextualization in the holistic theory.

From the perspective of the holistic theory, the reflective process between theory and practice exemplifies the dynamic relationship between explicit and implicit knowledge. Reflection-in-action tends to learn from professional practice and thus construct implicit knowledge. Schön uses terms such as "theories-in-use," "knowledge-in-action" and "knowing-in-action" to describe the implicit facet of knowledge. They all represent "a process we can deliver without being able to say what we are doing" (Schön, 1987, p. 31). The holistic theory acknowledges that implicit knowledge is embedded in practice or learners' experiences; it further points out the difference between experience and implicit knowledge. One study has confirmed such distinction and shown that the amount of experience a person possessed did not have correlation with using reflective practice (Ferry & Ross-Gordon, 1998). Reflection-in-action thus can be viewed as only one of the viable ways of learning implicit knowledge for professionals.

Although reflection-in-action offers a viable explanation of effective professional practice and challenges technical rational perspective of professional education, several limitations are evident from the holistic perspective. First, the role of emancipatory knowledge in learning is not well recognized by many authors in this area. What are the influences of emotion and emancipatory knowledge such as learning need and motivation on reflective process? How can practitioners gain effective reflective skills? Are reflective processes (reflection-in-action and reflection-on-action) sufficient to educate proficient professionals?

Second, theory of reflective practice fails to acknowledge the essential role of explicit knowledge and a closely related learning mode, systematization. While it is necessary to recognize the tremendous values of implicit knowledge gained from professional practice and to acknowledge the fact that existing technical knowledge originally comes from implicit and practical knowledge, theory of reflective practice tends to devalue the role of theory and basic science. Professionals such as medical doctors could learn medical knowledge and gain their expertise directly through practice via apprenticeship several hundred years back. However, it is almost impossible to educate medical professionals in this traditional way due to the exponential exploration of knowledge base. Further more, technical knowledge such as theories and basic science have inherent merit as they provide learners with systematic and fundamental explicit knowledge that otherwise will not be able to develop by themselves or take more time to develop. Therefore, it is necessary to recognize values of both explicit and implicit knowledge gained from basic science and practice respectively.

Third, the reflective theory implies that most (if not all) professionals need to and are capable to engage in reflection-in-action. This is based on an assumption that most professional situations are not clear and well defined as described in basic scientific texts, contexts are ever changing, and thus there is a mismatch between explicit theory and real practice. Nevertheless, there are also many situations where problems are clear and well defined. In such situations, simply transmitting basic technical knowledge and skills can be effective. Even if a new issue occurs that challenges the existing technical knowledge and calls for new approach, simple learning from practice via reflection-in-action does not necessarily provide an adequate solution. We should not artificially create a division between basic science and implicit knowledge gained from professional practice because each of them has its own role for the development of a profession.

Professional education concerns both rigorous theory and relevant practical knowledge. The holistic theory of knowledge suggests that these two domains reflect technical and practical knowledge respectively. In other words, theory and practice are only parts of the broad knowledge base. Therefore, the holistic theory provides a framework that can be used to resolve the dilemma of rigor and relevance currently confronting the field of professional education. More importantly, we should set aside the dualistic view of theory and practice and focus on investigating valid forms of learning that generate different facets of knowledge.

Similar to the theory of reflective practice, Kolb (1984) proposed an experiential learning model that describes a process of learning from experience. This model views learning as a cyclical process that consists of four phases: (1) concrete experience, (2) reflective observation, (3) abstract conceptualization, and (4) active experimentation. From the perspective of the holistic theory, these four phases represent the learning modes in the interactions between explicit and implicit knowledge facets. This model delineates learning only at individual level and thus excludes the social and cultural factors that determine individual learning. In addition, this model fails to recognize the distinct role and value of emancipatory knowledge.

More recent notion of critically reflective practice extends the previous concepts and touches on the domain of emancipatory knowledge (Brookfield, 1995; Mezirow, 1998). This notion does not clearly distinguish three knowledge facets and layers and their respective roles in critical reflection. The holistic theory of knowledge and learning shows the relationships among different facets of knowledge and suggests that reflection is no more than the interactions within and among three knowledge facets. Critical reflection involves changes in the foundation

layer of knowledge facets. It is more important to go beyond the notion of reflection and discover how knowledge is created in three different facets and the impacts of knowledge creation and conversion in one facet on others.

Transformational Learning

Transformational learning occupies the center in the adult learning literature (Merriam & Caffarella, 1999) and it is “vitally important to HRD” (Swanson & Holton III, 2001, p. 171). Mezirow (1991) is the primary architect and leading advocate for a theory of transformational learning. This theory describes how adult learners interpret their life experiences and make meaning. Transformational learning is defined as “the process of becoming critically aware of how and why our assumptions have come to constrain the way we perceive, understand, and feel about our world; changing these structures of habitual expectation to make possible a more inclusive, discriminating, and integrative perspective; and finally, making choices or otherwise acting upon these new understandings” (Mezirow, 1991, p. 167). Central to this theory are the concepts of meaning schemes and meaning perspectives. Meaning schemes are “specific beliefs, feelings, attitudes, and value judgments,” whereas meaning perspectives are “broad, generalized, orienting perspectives” (p. 163). Learning involves a change of either a meaning scheme or entire meaning perspective. Perspective transformation is a process of personally emancipating through which learners are freed from previously held beliefs, attitudes, values, and feelings that have constricted and distorted their lives.

Under the view of the holistic theory, meaning schemes fall into the manifest layer of three knowledge facets and meaning perspective included two other layers, foundation and orientation. Here the foundation layer of explicit knowledge corresponds to epistemic assumptions, foundation layer of implicit knowledge represents social and cultural assumptions, and the emancipatory layer characterizes psychic assumptions. Therefore, perspective transformation is a process where learners’ knowledge basis and tendency change under the view of original theory. The holistic theory differentiates three facets of knowledge and thus adds to new understanding of transformational learning. The holistic theory posits that transformational learning appears only if learners’ emancipatory knowledge changes. Consequently, some learning activities can be reflective and involve changes of meaning perspective within the domains of explicit and implicit knowledge, but they may not be regarded as transformational learning because emancipatory knowledge has not gone through any profound change.

Therefore, the transformational learning should involve deep changes in the domain of emancipatory knowledge. Simply changing or adding explicit and implicit knowledge in the existing meaning perspective with little or no change in the emancipatory domain may be identified as instrumental or additive learning. Even if the foundations of explicit and implicit knowledge (i.e., framework of reference for these two knowledge facets) have been changed, transformational learning do not necessarily occur. Thus, failure to define the concept of transformational learning is one of the major limitations in the existing literature. Another limitation of the current conceptualization of transformational theory comes from unclear definitions of instrumental and transformational learning. Because three knowledge facets have not been differentiated clearly in the existing literature, the relationship between instrumental and transformational learning has not been adequately explored. The third limitation of Mezirow’s (1991) original propositions of the transformational theory is its dependency on rational and cognitive process (Merriam & Caffarella, 1999). The original theory posits that rationality and critical-reflection is the key to leading the transformation. Under the view of the holistic theory, reflection involves mutual dialogue and change among different knowledge facets and layers. Therefore, if we define reflection as a process of interacting among knowledge facets and layers and critical-reflection as the process of examining foundation and orientation layers, then critical reflection may not necessarily lead to transformational learning. More importantly, the holistic theory suggests that transformation can take place through not only cognitive reflection (i.e., via the explicit facets) but also other factors such as simply taking action or remaining silence, which are in the behavioral domain.

Implications for HRD Research and Practice

The above examination of major contemporary theories of adult learning has implications for HRD research and practice. The holistic theory of knowledge and adult learning has several implications for research and theory-building in HRD. First, the holistic theory provides an effective framework to examine the existing learning theories. It suggests that learning occur as dynamic interactions among cognition, motivation, and social contexts. While each of the existing major theories of adult learning tends to narrowly focus their constructs in limited facets or layers of knowledge, the holistic theory calls for an integrative approach to workplace learning. While it is possible that most educators and scholars understand the value of a holistic approach, they are constrained by the lack of an integrative framework. The holistic theory challenges the prevailing works within each of three knowledge facets and also provides a strong analytic tool to examine or re-examine common concepts and theories in adult learning and HRD fields. For example, andragogy has been a widely used approach in training but little research has been conducted to examine whether the core principles of adult learner can be held or not. The holistic theory suggests three layers of

knowledge facets (i.e., foundations, manifestation, and orientation) that thus it provides an effective tool to evaluate these assumptions. From the perspective of the holistic learning theory, some core learning principles in andragogy are merely assumptions that need further investigation. For instance, assumptions of learners' intrinsic motivation and prior knowledge may not be held and depend on the characteristics of learners and the situation.

Second, the holistic learning theory not only provides an integrative framework to examine the existing theories but also suggests directions for future research and theory building. The holistic theory maintains that it is the dynamic interactions among knowledge facets and layers at both individual and social levels that determine learning. Therefore, future studies should be conducted to further reveal the mechanisms of the interactions between individual and social factors. Again using andragogy as an example, this concept mainly focuses on learner's individual characteristics and fails to recognize the impacts of social and organizational factors. Another adult learning concept, self-directed learning, also treats individual learner as the key focus. Under the perspective of the holistic theory, it can be reasoned that the more congruence between individual learners' emancipatory knowledge (e.g., perceived learning needs and motivation) and an organization's critical knowledge, the more effective learning will occur. Therefore, the above examination of the major theories of adult learning from a holistic perspective implies a number of valuable research hypotheses that worth exploring in future research.

Third, the holistic theory of knowledge and adult learning has implications not only for individual learning but also for organizational learning, change and development. Henderson (2002) compared several prominent change theories in the disciplines of organizational development, organizational learning, adult learning, and psychological development. It was revealed that change theories at individual level and organizational level are disconnected. Theories on organizational transformation and change tend to be descriptive and often fail to address the process for individual change. Many theories assume that individuals in the organization will adapt to the environment and system change. Therefore, these theories do not concern the internal change at the individual level. While theories on individual learning and change provide rich and detailed descriptions of individual transformative process, evidences also demonstrated a linkage between individual transformative learning and organizational change. Such evidences tend to support an integrative and holistic view of individual and organizational transformation. However, future studies needed to examine the role knowledge and its different facets and layers in transformational change. Studies in organization development area need to examine the dynamic interactions between individual and organizational knowledge, and their influences on individual and organizational transformation.

The above analyses also have implications for HRD practice. By examining both merits and shortcomings for each of the major contemporary theories of adult learning, this paper provides valuable information for HRD practitioners. While most practitioners tend to appreciate the holistic approach to learning, the above analyses of existing theories provide integrative perspective that can serve as a new model for HRD practice. For example, the above examination of andragogy revealed that core principles of this concept are mixed with both assumptions and propositions. HRD practitioners should be aware of limitations of some principles because they are assumptions that may not be held in all situations. In situations such as training for safety and firefighter where learners lack prior knowledge and the existing technical is valid, the training contents and procedures can not and should not be negotiated when consensus goals are set. Then andragogy implied principles of mutually setting up learning objectives and helping them assess the outcomes tend to be limited in such situations.

Conclusions

Based on a newly developed holistic theory of knowledge and learning, this paper critically evaluates several contemporary theories of adult learning. Most of the existing adult learning theories tend to narrowly define knowledge and learning and fail to offer adequate explanation for adult learning. Implications for HRD theory, research, and practice are discussed. Research is needed to examine the dynamic interactions among knowledge facets and layers at both individual and organizational levels. Further more, HRD practitioners should be aware of both merits and limitations of existing learning theories.

References

- Yang, B. (2003). Toward a holistic theory of knowledge and adult learning. *Human Resource Development Review*, 2(2), 106-129.
 (A list of references will be available upon request)

Training and Development: An Examination of Definitions and Dependent Variables

Usha Valli Somasundaram

Toby Marshall Egan

Texas A & M University.

We explore training and development through the lenses of scholars and practitioners who have provided definitions and frameworks for exploring this area which is essential to human resource development (HRD). Thirty-five definitions of training and development are identified and analyzed. Themes from the analysis are explored, conclusions discussed, and recommendations for future exploration forwarded. The intent of this exploration is to add to the ongoing discussions regarding definitions, theory-building and ongoing development of the HRD field.

Keywords: Training and Development, Knowledge, Skills

Employee training and development has emerged as a major educational enterprise over the past three decades. This increase is associated with a demand in the workplace for employee at all levels to improve performance in their present jobs to acquire skills and knowledge to do new jobs, and to continue their career progress in a changing world of work (Armstrong, 2001; Craig, 1987). Numerous organizational adages suggest that people are the key to any successful business operation. This emphasis is not empty as it is becoming increasingly clear that no human enterprise can succeed without properly skilled and knowledgeable human resource development professionals (Goldstein & Ford, 2002). Ongoing employee development is critical to the short and long term success of every business profit or non-profit (Becker, 1962; Pittam, 1987).

Although definitions frequently include learning experiences provided to employees to bring about changes in behavior that promote the attainment of the goals and objectives of the organization, the definitions in the literature range from quite narrow to broad and all-encompassing. More often, the definitions use the term human resource development (HRD), rather than training and development, to identify the function (Tracey, 1992). "What should training be called?" This question has larger implication than may be immediately apparent. The issue amounts to much more than a question about semantics or definitions. Confusion over the name of the training field perpetuates a perception that, in general, training lacks focus (Rothwell, 1996). This call for focus is one of the reasons we chose to explore more closely the definitions of training.

We believe the exploration of training and development definitions is a natural question given the ongoing dialogue regarding definitions of HRD. Although some are describing the definitional explorations going on in the HRD field to be representative of confusion, we view this ongoing clarification as a natural part of any human endeavor. Those who seek definition and redefinition are not, in our opinion, adrift or confused but rather are interested in thoughtful comparisons between the past, present, and future. The logic in focusing on training definitions in the midst of this environment of definitional exploration is associated with a definition of HRD forwarded by McLagan (1989) in which she suggests that training and development is a significant portion of HRD along with career development (CD) and organization development (OD). Earlier discussions regarding definitions of OD (Egan, 2002) and CD (Upton, Egan, & Lynham, 2003) have added to our understanding of these two elements associated with HRD. Given prior explorations, we felt that training and/or training and development should also be explored.

Purpose of the Paper

The purpose of this article is to explore the various definitions available in the literature on Training and Development and Training to examine the area of focus, dependent variable and the core elements of the definition. The article is based on the following questions:

1. What are the available definitions of training and development?
2. What are the dependent variables, area of focus and core elements of the definitions?

A Brief History of Training and Development

Training and development in public and private enterprise is a vital department to the organization. Organizational challenges today appear unparalleled in history (Tracey, 1974). According to Tracey (1974), the oldest form of training in industry in Western society is the apprenticeship system which was developed in the middle Ages by the trade guilds and during the Elizabethan period apprenticeship began to decline. The industrial revolution speeded the decline of the apprenticeship tradition. However, apprentice training likely remains as an important source for the development of skilled workers in United States (US) as the number of apprentice in training in all trades at the end of fiscal 1947 was 192,954 but by the end of fiscal 1970 the number had grown to 279,693, an increase of 44.9 percent (Manpower report from the President, 1972). More recent data, located by researchers, indicated the trend is still an important component for the development of workers in the Twenty-first Century. The US Department of Labor Office of Apprenticeship Training, Employer and Labor Services reported 482,823 individuals involved in apprenticeships in 2002.

The popularity of the training laboratory and other forms of sensitivity training increased tremendously in the 1960s and the need for management training was recognized more than ever (Miller, 1987). In the 1970s organization development became more popular and most talked about training technique or practice. Introduction to competency based learning came into popular use in the last half of the 1970s (Miller, 1987).

Training became more popular by the 1980s through behavior modeling which was used in the early 1970s and its greatest use was for management training, and skills training. There was renewed emphasis on career development in the first half of the 1980s (Miller, 1987). It was noted that employers spend \$30 billion on formal training and approximately \$180 Billion on informal On-the-job training each year (Carnevale, Gainer & Villet, 1990)

Now the demands of industry and commerce are continually changing and are reflected in the activities of the training department and the training and development programs. New approaches, skills, competencies, operations and procedures require either new training term or modifications of existing ones as the term “training” is very complex (Rae, 1997). These changes indicate the importance of renewing and/or clarifying the focus not only of specific training efforts, but of training and development overall. One way to reinvigorate dialogue regarding HRD-related area such as training and development is to explore related definitions (Swanson, 2001).

Three Perspectives as Context for Exploring HRD-related Definitions

There have been many articles exploring definitions of HRD and related topics such as CD and OD. The following section explores three recent discussions regarding the relevance of HRD-related definitions to the development of the field.

Exploring Definitions as Part of the Theory-building Journey

Swanson (2001) emphasized the importance of theory building as essential to the growth and ongoing viability of HRD and related enterprises. “Seemingly elementary investigations into definitions and documentation of a range of ideas within a single realm of HRD are fundamental to theory-building stepping-stones. Recent examples in the literature (articles focusing on HRD-related definitions)...add to our understanding of the HRD phenomenon” (Swanson, 2001, p. 301). Swanson emphasized the increasing demand for HRD-related theory that can expand the current horizons of scholarship and practice, and that can prevent practitioners and scholars from wallowing in a theoretical explanations and practice. From this point of view, refinement and exploration of HRD-related definitions, like training and development, can make important contributions to the field (Swanson, 2001).

Exploring Definitions as Culturally Unique Phenomena

McLean and McLean (2001) support the concept of HRD and related definitions while, at the same time, emphasizing that the increasingly global and complex nature of HRD does not support a single definition, but multiple perspectives. From this point of view, influences such as government and legislation, national contexts, religious belief systems, and other cultural factors play an active and varied role in the framing of HRD and related definitions around the world. McLean and McLean (2001) and McLean (2000) support the notion of ambiguity in HRD and related definitions as well as the notion forwarded by Mankin (2001) that “practitioners and academics should embrace HRD as an ambiguous concept as it is this ambiguity that provides HRD with its distinctiveness” (p. 80). McLean and McLean’s (2001) introduction of their own definition of HRD affirm the importance of HRD definitions while, at the same time, emphasizing the notion that attempts to remove ambiguity from definitions is “futile and cannot happen” (p. 323)

Table 1. *Training and Development Definitions, Areas Focus, Core Element and Dependent Variable*

YEAR	AUTHOR	DEFINITIONS	AREAS OF FOCUS	CORE ELEMENT	DEPENDENT VARIABLE
1961	Black.	Training is defined as imparting job knowledge to employees so that they can carry out orders smoothly, efficiently and cooperatively.	Knowledge	Imparting job knowledge	Carry out orders smoothly
1962	Becker	Training is defined as a human capital investment that raises the worker's productivity.	Economic	Human capital investment	raises the worker's productivity
1964	King	Training is a process that provides conditions in which individuals gain knowledge, skills or ability.	Knowledge& Skills	Process	gain knowledge, skills/ability
1966	Bass & Vaughan	Training is a process of organizational improvement that attempts to make beneficial changes through modifying employee's skills and attitudes which refers to activities ranging from the acquisition of simpler motor skills to the development and change of complex socio emotional attitudes.	Skills & Attitudes	Process of organizational improvements	Acquisition of simpler motor skills, development and change of complex socio emotional attitudes.
1967	Lynton & Pareek	Training is a well organized opportunity for participants to acquire the necessary understanding and skills.	Knowledge &Skills	Organized opportunity	acquire necessary understanding and skills
1969	Bienvenu	Training is teaching a skill or task or increasing a job proficiency which involves a means of developing and enlarging traits which will be increasingly pertinent to satisfactory job performance.	Skills & Performance	Teaching a skill or task	developing and enlarging traits, pertinent to satisfactory job performance
1969	Pigors, Myers & Malm	Training is a planned continuous process with a need for periodic review combining evaluation of past results and analysis of future needs.	Evaluation	Planned continuous process	-----
1970	Campbell Dunnette, Lawler, & Weick	Training is defined as a planned learning experience designed to bring about permanent changes in an individual's knowledge, attitudes or skills.	Learning, Knowledge, Skills & Attitudes	Planned learning experience	permanent changes in knowledge, attitudes & skills
1977, 1988	Armstrong	Training is the systematic development of knowledge, skills and attitudes required by an individual to perform adequately a given task or job.	Knowledge, Skills & Attitude, Performance.	Systematic development of knowledge	To perform adequately
1978	Katz & Kahn	Training and development is described as a maintenance subsystem, intended to improve organizational efficiency by increasing routinization and predictability of behavior.	Performance	Maintenance subsystem	Improve organizational efficiency
1978	Laird	Training may be defined as an experience, a discipline, or a regimen which causes people to acquire new, predetermined behaviors.	Skills, Performance	Experience, a Discipline or a regimen	Acquire predetermined behaviors

1983	Ribler	Training is defined as the process of preparation for a specific job or set of tasks and activities relating to work.	Skills	Process of preparation	Process of preparation
1984	Nadler	Training is defined as learning related to the present job.	Learning	Learning related to present job	Learning related to present job.
1985	Laird	Training is defined as the acquisition of technology that permits employees to perform to standard. It is an experience, a discipline or a regimen that causes employees to acquire new, pre-determined behaviors.	Performance	Acquisition of technology	Employees to perform to standard
1985	Klatt, Murdick & Schuster	Training is a systematic way of altering behavior to prepare an employee for a job or to improve the employee's performance on the present job, and development is preparing an employee for improving the conceptual, decision-making, and interpersonal skills in complex, in structured situation	Performance, Skills	Systematic way of altering behavior	Improve employees performance, improving the conceptual, decision making & interpersonal skills
1985	Holden	Training is defined as a process of learning to improve job performance immediately and is directly related to the job.	Learning, Performance	Process of learning	Improve job performance
1986	Abella	Training is a scheduled meeting of people under the guidance of an instructor or facilitator for the purpose of acquiring or renewing skills or knowledge.	Knowledge, Skills	Scheduled meeting of people	Acquiring or renewing skills or knowledge
1989	Lussier	Training is a process of acquiring the skills necessary to perform a job and development is the ability to perform both present and future jobs.	Skills, Performance	Process of acquiring skills	Acquiring Skills necessary to perform a job
1989	McLagan	Training and development focuses on identifying, assuring and helping develop, through planned learning, the key competencies that enable individuals to perform current or future jobs.	Learning, Performance	Planned learning	Develop key competencies
1989	Nadler & Nadler	Training is learning provided by employers to employees related to their present jobs.	Learning	learning	Learning related to present jobs
1989	Ragins & Sundstrom	Training develops knowledge, skills, credentials, and credibility and thus expertise to aid promotion.	Knowledge, Skills & Performance	Develops knowledge, skills, credentials & credibility	Expertise to aid promotion
1991	Goldstein Braverman & Goldstein	The training process is defined as the systematic acquisition of skills, rules, concepts or attitude that will improve performance.	Skills& Attitudes Performance	Process of Systematic acquisition of skills, rules, concepts, or attitude	Improve performance
1993	Wilson & Cole	Training is defined as an instruction which emphasizes job-specific, near-transfer learning objectives, traditionally skills-based instruction, as opposed to education.	Learning, Skills,	Instruction	Job-specific, near transfer of learning objectives

1993	Sugar	Training is defined as an instruction geared towards developing a specific group of skills or tasks.	Skills	Instruction	Developing a specific group of skills
1993	Kirkpatrick	Training refers to the teaching of specific knowledge and skills required on the individual's present job. The term development refers to the growth of the individual and preparations for higher-level jobs.	Knowledge & Skills	Teaching of specific knowledge and skills	
1996	Smith	Training is a planned process to modify attitude knowledge or skill behavior through learning experience to achieve effective performance in an activity or a range of activities	Knowledge Skills, Learning Performance	Planned process	Effective performance in an activity or range of activities
1998	Davis & Davis	Training is a process through which skills are developed, information is provided and attributes are nurtured in order to help individuals who work in organizations to become more effective	Skills	Process	Help Individuals to become more effective.
1998	Potts	Training is the gaining of skills with short term output measurements and Development is the extension of skills and in synonymous with long term growth of individuals.	Skills	Gaining of skills	Gaining of skills
1999	Fuller & Farrington	Training is designed to increase the skills and knowledge of people.	Skills & Knowledge	Design	Increase the skills and knowledge of people
2000	Kleiman	Training and development are planned learning experiences that teach workers how to perform their current or future jobs effectively.	Learning & Performance	Planned learning experience	Perform current or future jobs effectively
2001	Armstrong	Training is the formal and systematic modification of behavior through learning which occurs as a result of education, instruction, development and planned experience. Development is improving individual performance in their present Roles and preparing them for greater responsibilities in the future.	Learning, & Performance	Formal & Systematic modification of behavior	Modification of behavior, Improving individual Improved performance.
2001	Gomez-Mejia Balkin & Cardy	Training is the process of providing employees with specific skills or helping them correct deficiencies in their performance and development is an effort to provide employees with the abilities the organization will need in future.	Skills & Performance	Process of providing	Providing employees with specific skills or correct deficiencies in performance, Abilities the organization will need in future
2001	Krempel & Pace	Training and development is defined as managing knowledge to develop the organization's culture, to enhance individual performance and to strengthen the organization's capability	Knowledge Performance	Managing knowledge	Develop organization's culture, enhance individual performance, Strengthen the organization's capability
2001	Swanson & Holton	Training and development is defined as a process of systematically developing work-related knowledge and expertise in people for the purpose of improving performance.	Knowledge, Performance	Process	Improved performance.
2002	Goldstein & Ford	Training is defined as the systematic acquisition of skills, rules, concepts or attitudes that results in improved performance in another environment.	Skills, performance	Systematic acquisition of skills	Improved performance.

Refusing to Engage in the Exercise

Although many have engaged in the practice of exploring HRD-related definitions, (Chermak & Lynham, 2002; Egan, 2002; Holton, 1998; McLean, 1999; McLean & McLean, 2001; Upton, Egan & Lynham, 2003; Watkins & Marsick, 1995; Weinberger, 1998), not all are in agreement that this practice or “approach does a particular disservice to the development of those who wish to become HRD professionals, as the notion of HRD practice is dynamic, ambiguous and ill determined” (Lee, 2001). From this point of view, definitions are viewed as “scientism”—a conviction to the notion that reductive rationalistic scientific thinking has supremacy over other paradigms or ways of thinking. In refusing to define HRD and related areas, Lee (2001) seeks to be absent from the reinforcement of a particular, limited worldview. Lee’s narrative emphasized the importance of individuals coming to experience HRD and related areas without control or influence from a dictatorial professor or a power structure which could limit the manner in which those participating in the phenomena from providing language and description to their own experiences.

Method

A review of literature, analysis and synthesis was used to answer the research questions for this study. Keyword searches for “Training and Development” and “Training” were conducted using internal search engines at a library of a major university in the central United States. Books were considered for use when written by Training & Development scholars and a majority of a book’s references were from refereed journals and scholarly works. Electronic data bases including ERIC, ABI Inform, and electronic journal databases like JSTOR were searched to identify maximum number of definitions for training and training and development. Searches yielded 147 resources and the vast majority of the sources were from U.S. sources which may be a limitation of the study. Articles and books were closely examined for definitions on “training and development” or “training”, “development” and thirty five distinct definitions from the year 1961 to 2002 were utilized for this study. All definitions explored for the purpose of this article were from the academic literature, and definitions developed by organizations have not been included.

Examining definitions of Training and Development:

The definitions were examined for areas of focus, core element and a dependent variable or outcome. All of the definitions had at least one area of focus, core element and dependent variable and some definitions had more than one area of focus and dependent variable. The major categories developed form the area of focus and dependent variable are:

- Develop or gain knowledge
- Develop or gain skills
- Improve performance
- Improve organizational efficiency.

The dependent variables listed above overlapped with the area of focus and core elements in the definitions. About twenty four definitions focused on skills, twenty-one focused on performance, thirteen on knowledge, ten on learning, five on attitudes, one evaluation and one on productivity. Of the thirty-five definitions six definitions focused on all the three major categories – Knowledge, skills, and performance. From the list of definitions it was evident that the term “training” is defined most of the time and the “development” part was left out. Only nine definitions were for the term “training and development” and the rest 26 were focused “training”. To understand the three major areas of focus, and dependent variable - knowledge skills and performance and their contribution to training and development has been discussed below.

Knowledge

According to Swanson and Holton (2001) knowledge is defined as the intellective mental components acquired and retained through study and experience. The definition of knowledge is complex and can be interpreted in many different ways. Knowledge is the cognitive capacity of the organization (Wang, Hielmervik, & Brendel, 2001). Knowledge is the understanding of relations, and is therefore essential in making operations effective, building business process or predicting the outcomes (performance) of business. Finally, Goldstein’s (1986) definition of knowledge refers to “an organized body...factual or procedural nature, which, if applied makes adequate job performance possible” (p. 22)

Skills

Sims (1998) classified Skills into three types' technical skills which is an understanding of and proficiency in a specific kind of activity, particularly one involving methods, process, procedures or technique. It is occupation related, concrete and functional. The second type is Human skills which is the ability to work effectively as a group member and to build cooperative effort within the team/group. And the third type is conceptual skills which involve the ability to see the enterprise as a whole; it involves recognizing how the various functions of the organization depend on one another and how changes in any one part affect all the others and it extends to visualizing the relationship. Goldstein (1986) refers to skills as "the capability to perform job operations with ease and precision" It usually refers to the psychomotor types of activity. Like all fields, Training and development is affected by demographic, political, economic and social trends. So training needs to focus on the development of skills and human relations (Sims, 1998).

Performance

Although many training and development departments have been activity oriented, focus on enhancing human performance is important as it is implicitly result-oriented. "Out of work place upheaval emerged the high performance work organization – a catchall phrase for companies in a perennial search for better results" (Galagan, 1994). For trainers that should signal an important message: shift focus from training activities (input) to the performance of individuals and organizations (output) (Galagan, 1994). Goldstein (1986) refers *ability* as cognitive capabilities necessary to perform a job function. Ability cannot function alone but require the application of some knowledge base.

Conclusion

A number of HRD scholars have explored HRD-related definitions (Upton, Egan & Lynham, 2003; Chermak & Lynham, 2002; Egan, 2002; Holton, 1998; Mclean, 1999; Watkins & Marsick, 1995; Weinberger, 1998). The intent of this paper was to explore training and development through the lenses of scholars and practitioners who have provided definitions and frame works for exploring this area which is essential to human resource development (HRD) and to add to the ongoing discussions regarding definitions, theory-building and ongoing development of the HRD field. . The thirty-five definitions of training and development were analyzed for dependent variables, core-elements and areas of focus. It is very clear from the analysis that the definitions do have a focus in them from the above discussions. Training is viewed, by leaders in business and industry has changed dramatically in recent years. Training is now recognized as not just a major contributor to company productivity and profitability but also as critical for the survival of an organization in the global market place. In the quest of a sustainable competitive advantage companies have finally come to realize that, what sustains is the knowledge that is in people in the organization which can be processed as skills and experienced as performance.

REFERENCES

- Albela, K. T.,(1986). *Building successful training program*. Reading MA: Addison-Wesley Publishing. Inc.
- Armstrong, M., (1977). *A handbook on personnel management Practice*. New York NY:AMCOM
- Armstrong, M. (1988). *Handbook of human resource management*. New York NY: Nicholas Publishing.Co.
- Armstrong, M. (2001). *A hand book of human resources Practice*. UK: Kogan Page.
- Bass, B.M., & Vaughan, J.A. (1966). *Training in industry: The management of learning*. Belmont CA: Wadsworth.
- Bienvenu, B.J. (1969). *New priorities in training: A guide for industry*. Connecticut CT: American Management Association Inc.
- Black, J.M., (1961). *Developing competent subordinates*. New York NY: American Management Association Inc.
- Campbell J.P., Dunnette, M.D., Lawler, E. E., & Weick K. R. (1970) Personnel Training and Development. *Annual Review of Psychology*, 2, 5565-602.
- Carnevale, A.P., Gainer, L.J., & Villet, J. (1990) *Training in America*. San Francisco CA: Jossey Bass.
- Chermack, T.J., & Lynham, S.A (2002). Definitions and outcome variables of scenario planning. *Human Resource Development Review*, 1(3), 366-383
- Davis, J. R., & Davis, A.B. (1998) *Effective training strategies: A comprehensive guide to maximizing learning in organizations*. San Francisco: Berrett Koehler.
- Egan T.M.. (2002). Organization development: An examination of definitions and dependent variables. *Organizational Development Journal*, 20(2), 59-71
- Fuller J., & Farrington J., (1999). *From training to performance improvement*. San Francisco : Jossey-Bass.
- Galagan P. (1994). Reinventing the profession. *Training and development*, 22.
- Goldstein, I. (1986). *Training in organizations: Needs assessment,development & evaluation*. CA: Brooks Cole.
- Goldstein, I. (1991). *Training in organizations*. Pacific Grove, CA: Wadsworth.

- Goldstein, I., & Ford J.K. (2002). *Training in organization: needs assessment, development and evaluation*. CA: Wadsworth.
- Gomez-Mejia L.R., Balkin D.B., & Cardy R.L. (2001). Upper saddle river, NJ: Prentice Hall.
- Holden, S.J. (1985). *ASTD handbook for technical skills training, 1*. ASTD
- Holton, E.F. III. (1998). What is Performance? Levels of performance revisited. In R. Torraco (Ed.), *The research agenda for improving performance*. Washington, DC: ISPI
- Katz, D., & Khan, R.L. (1978). *The social psychology of organizations*. New York NY: John Wiley & Sons.
- King, D. (1964). *Training within organizations*. UK: Travistock Publications.
- Kirkpatrick D.L. (1993). *How to train and develop supervisors*. NY: AMACOM.
- Klatt A.L, Murdick G.R., & Schuster F.E., (1985). *Human resource management*. Columbus, Ohio: Charles E. Merrill Publishing Co.
- Kleiman L.S. (2000). *Human resource management: A managerial tool for competitive advantage*. NY: Southwestern College publishing.
- Kreml S.F., & Pace W.R., (2001). *Training across multiple locations: Developing a system that works*. San Francisco: Berret Koehler Publishers Inc.
- Laird D., (1985). *Approaches to training and development*. Reading: Addison Wesley Publishing Co. Inc.
- Lee, M. (2001). A refusal to define HRD. *Human Resource Development International*, 4(3), 327-341.
- Lussier R.N. (1989). *Supervision: A skill building approach*. Home wood, IL: IRWIN.
- Lynton, R.P., & Pareek, U. (1967). *Human resource management & personnel*. Home Wood IL: Irwin Inc.
- Manpower Service Commission (1981). *A new training initiative agenda for action*. Sheffield, MPSC.
- McLagan, P.A. (1989). *Models for HRD practice*. Alexandria VA: ASTD.
- McLean, G.N. (2000). *Indigenizing knowledge transfer*. Unpublished manuscript.
- Miller, V.A. (1987) The history of training. In R.L. Craig (Ed.) *Training and development hand book*. New York NY: Mc.Grawhill, Inc.
- Nadler, L., (1984). *The handbook of HRD*. NY: Johnwiley & Sons.
- Nadler, L., & Nadler Z. (1989). *Developing human resources*. San Francisco: Jossey-Bass.
- Pigors, P., Myers C.A., Malm, F.T. (1969). *Management of human resources*. NY: McGraw-Hill Book Co.
- Pots, M., (1998). *An A-Z of training and development*. UK: Kogan Page.
- Rae, L., (1997). *Planning and designing training programs*. Hampshire: Gower Pub. Ltd.
- Ribbler, I. R. (1983). *Training and development guide*. VA: Reston Publishing Co. Inc.
- Rothwell W.J. (1996) *Beyond Training and Development:State of the art strategies for enhancing human performance* NY: AMCOM
- Sims R. A. (1998). *Reinventing training and development*. Westport, CT:Qoram Books.
- Smith A. (1996). *Training and development in Australia*. Sydney: Butterworths.
- Sugar, S. (1993). *Customizing a board game with your classroom material*. ASTD.
- Swanson, R. A. (2001). Human resource development and its underlying theory. *Human resource Development International*, 4(3), 299-312.
- Swanson R.A., & Holton E.F.III. (2001). *Foundations of human resource development*. San Francisco: Berrett-Koehler
- Tracey, W.R. (1974). *Designing training and development*. New York NY: AMCOM
- Tracey W.R. (1992). *Designing training and development system*. NY: AMCOM
- Upton M.G, Egan T.M., & Lynham S.A (2003). Career Development: Definitions, Theories, and Dependent variables. In S.A. Lynham & T.M. Egan (Eds.) *Proceedings of the Academy of Human Resource Development*. Bowling Green, OH: AHRD.
- Wang, K., Hielmervik, R.O, Brendel, B. (2001) *Priniciples of knowledge management*. Norway:Tarin Academic Press.
- Watkins, K.E. & Marsick, V. J. (1995). The Case of learning. In E.F. Holton III (Ed.), *Proceedings of the Academy of Human Resource Development*. Baton Rouge, LA: AHRD.
- Weinberger, L.A. (1998). Commonly held theories of human resource development. *Human Resource Development International*, 1(1), 74-94.
- Wilson, B., Jonassen, D., Cole, P. *Cognitive approaches to instructional Training*. Westport, CT: Ouram Books.

The Realities of Clarifying and Redefining the Trainer Role

*Geri McArdle
Barry University*

*Nancy Edwards
Florida Gulf Coast University*

The role of the HRD practitioner has shifted over the past ten years. This qualitative study proposes a redefinition of the trainer role. The study findings are based on the experiences and perceptions of six internationally recognized trainers in the field of HRD.

Keywords: Trainer Roles, Trainer Competencies, HRD Practitioner

With technological changes, global expansion, economic and financial shifts, the rapidly changing workplace, and the need for greater accountability in the marketplace, the training practitioner has experienced shifts resulting in roles that are different from the training industry's trainer role and trainer competencies delineated in the *McLagan Models of Excellence Study* (1989). According to Dare and Leach (1999), the competencies identified in this research study were adopted as a definitive competency model by the American Society for Training and Development (ASTD) and continue to provide the basis for preparation of Human Resource Development (HRD) professionals.

Fourteen years have passed since this landmark research study was conducted and much has changed in the industry and marketplace. Trainers are now referred to as performance analysts; instead of working full-time in large corporations, they join consulting organizations that outsource their expertise. Instead of working in their traditional roles of instructors, mentors or coaches, they assist managers to become instructors, mentors, or coaches with their employees (Powell, Hubschman and Doran 2000). However, there is little research available that explores the evolution into more strategic positioning within organizations. The purpose of this study was to investigate this role shift from the perspective of six internationally known HRD practitioners.

Theoretical Framework

During the 1980s two definitive research studies defined the trainer role and the role's impact on organizational development. The first study conducted by Pettigrew, Jones, and Reason (1982) examined the trainer roles from the perspective of the type of role the trainer played in the organization. This study established a five-role typology describing the roles of the training specialist. According to this research, the five roles performed by the training specialists were: 1) the passive provider; 2) the provider serving in a range of roles from course administrator to management development; 3) the provider managing the training function with several reporting specialist trainers; 4) the provider in transition acting as change agent; and 5) the recognized change agent. While agreeing with these roles, other practitioners eventually added an additional role, that of "internal consultant" (Solman, 1994).

It was in the other definitive study, conducted by Coopers & Lybrand (1985), that the "change agent" role was defined by management. This study was conducted to record managerial attitudes towards employee training. It suggested that trainers faced difficulty in practicing their craft during the 1980s when trying to progress from HRD practitioner or trainer to the change agent role. The findings indicated that the managers' perceptions about the change agent role hindered the practitioners' ability to assert themselves in this role. In fact, the trainer skill portfolio of the 1980s never did progress beyond the initial role categories defined by the Pettigrew et al study (Steward, 1996).

Today, the literature abounds with interest in the area of Pettigrew et al.'s (1982) "role transition" category. According to Steward and Hall (1999), the role of training has increasingly become the "mainstay" of many organizational change interventions. Nijhof and deRik (1997), after conducting a survey of trainers in the United Kingdom, asserted in their study on trainer roles that the role of change agent is the most important role. A recent study conducted by Hallier and Butts (1999) suggested that a large number of employers accept the importance of training for organizational success, and that most trainers have successfully transformed themselves into change agent.

Copyright © 2004 Geri McArdle & Nancy Edwards

The Human Resource Management versus Human Resource Development Debate

The Society of Human Resource Management (SHRM) does not identify training as a “stand alone” function in an organization but rather as one of five functional areas performed by the human resource department. Much of the debate about the role of the trainer and trainer competencies revolves around the definition of the role “trainer” and whether this personnel function should assume a more strategic role (Proctor and Currier, 1999; Ulrich, 1997). A study conducted by Torrington, (1998) suggested that since the late 1980’s the personnel role took on a new urgency as HRD practitioners had opportunities to extend their strategic influences. Yet, a role stigma still persists as to the unanswered question of whether or not a personnel function is, or should be, making “decisions which have a major and long-term effect on the behavior of the firm as opposed to day-to-day operating decisions” (Purcell, 1989, p. 67).

That both practitioners and academics share this ongoing debate over role definition is illustrated in research conducted by Storey (1992). The study classified trainers into four categories: *handmaiden*, *regulator*, *advisor*, and *change maker*. There are distinct parallels to be made between Storey’s roles and Pettigrew et al.’s training typology. The parallel exists, according to Haillier and Butts, (2000), as to how the roles are defined. The “handmaiden” role, according to Storey’s research, was identified as a non-interventionary role of influence, and the “regulator” role was seen as interventionary and looked upon as a role of influence. Correspondingly, a distinction exists between non-intervention and intervention at the strategic level between the role of advisor and changemaker. These roles and functions, like Pettigrew et al.’s training framework, were viewed as relatively independent roles that reflected considerable variation. The importance and influence of these roles are defined by the organization’s management with respect to how they view personnel issues.

Changing Role Today

During the 1990s, HRD practitioners attracted considerable attention to themselves in their roles as “change maker” or “strategic interventionists.” Yet the role of change maker had been called into question. Writers such as Wilkenson and Marchington (1994) and Ulrich (1997) suggested that the limited personnel function actually evolved into multiple roles that represented a blend of operational and strategic organizational priorities. A study conducted by Proctor and Currie (1999) discussed research in health services and how the personnel function could possess a host of possible roles that reflected a combination of innovative and regulative priorities.

If one considers the research conducted by Pettigrew et al. (1982), the role typology presents independent roles and lumps the issue of influence or role into one role function, namely, the “role in transition.” In doing this, it is assumed that attempts by trainers to expand their role or increase their influence will only be salient when the organization is ready to accept training’s change agent role.

Role perception and role reality is a critical issue that limits the usefulness of the Storey’s existing typology. Pettigrew et al. (1982) highlighted the general problem of legitimizing the trainer role and noted that trainers cannot act independently of the managerial climate. Proctor and Currie (1999) presented evidence that while personnel specialists can often find considerable ways to maneuver into roles, trainers have fewer possibilities. One must conclude here that although Pettigrew et al.’s role descriptions represented a useful foundation for defining trainer roles, like Storey’s model, they fail to capture the variation in experience of trainers attempting to advance their function’s role from different positions, redefining of responsibilities, and varying organizational and role contexts.

Today, organizations are faced with fierce competition, shortages of resources and change. Managers, once seen as “implementers” and now seen as “change agents,” are expected to assume the role of developing the organization and people. Given this “new” agenda, there has been a change in perception concerning management trainers, their required competences, and the range of relevant knowledge and skill that they should possess (Analoui, 1994). Another significant shift in the role of the trainer is the focus on improving *performance*, involving both employees and the organization as a whole. Berge, deVerneil, Berge, Davis, and Smith (2002) argue that the HRD professional plays a pivotal role in assisting the organization to link performance with business outcomes.

Research Questions

The purpose of this study was to investigate whether the HRD trainer role had been redefined. We used a descriptive, qualitative approach to explore the following questions with the six master trainers:

1. How do you define your trainer role?
2. How has your role changed since 1999?
3. To what extent do you have influence in organizational decisions?

Methodology

In this study, we relied on a qualitative, exploratory approach. The three primary research questions were used to focus attention on the complexity and contextuality of the role of the trainer, and the shift in role as perceived by six experts identified in *Training & Development Magazine*, October 1999. This group of six master trainers was identified by the magazine editor as individuals who had made significant contributions to the HRD practice.

As already noted, Pettigrew et al's typology (1982) is mainly a framework of observable role content, therefore this typology of training was used to guide the collection and analysis of the data. The objective of the study was to explore whether a shift in the definition and role of the trainer did occur ,based on perceptions of experiences as practitioners during the last five years. While the basic aim of the research was to sketch out the trainer role and perceived changes in the trainer role, the study was an exploratory investigation that inductively allowed for ideas to emerge.

Semi-structured interviews were used evolving around the three research questions. The interviews were conducted during August and September, 2003. Each of the six master practitioners was individually interviewed during a one-on-one telephone conversation. These interviews were conducted using a standard protocol framed by a number of core question areas (e.g., definition of their current role, skills and competencies, observed role changes during the past five years, and their perceived influence and status), while also encouraging the masters to discuss issues critical as to how they experienced attempts to advance their role and influence. An informal consent form was developed for each participant to sign, and was sent with a letter of invitation to participate in the study. Before sending the consent form and the letter, each master was contacted by email to determine their interest in participating in the research. Five of the six masters responded, and indicated their willingness to participate. During this initial contact email, the participants were provided a brief overview of the research project and the questions, and were asked for their permission to send the invitational letter and the consent form. Once the consent form was returned, the participant was contacted by email to determine a mutual date and time for the interview. Each of the participants was interviewed individual by telephone; the average conversation was approximately 30-40 minutes. During the interview, each participant was asked the following three questions in sequence: (1) How do you define your trainer role? (2) To what extent has your role changed? (3) To what extent do/did the changes affect you and your practice? Three additional questions were added as a result of the first initial interview; they were: (4) To what extent has your practice changed? (5) How are you doing things differently since the article was first written about you and your practice? (3) What advice would you give others?

All five of the taped interviews were transcribed verbatim to systematically analyze the data. The interview transcripts were emailed to the participants and the participants were asked to review the information to check for internal consistency. Once all the transcripts were returned, the researchers organized and constructed the interview data in a matrix format. This matrix was design as a two-column, six-cell construct. Each interview question appeared on the left and the corresponding interviewee responses matching up. This matrix was then translated into a narrative presenting a convincing explanation of the trainer role shift on based on these qualitative data and antidotes. After organizing the responses to each of the questions for each participant in a table format, the researchers obtained inter-subjective agreement (Lincoln and Guba, 1985) by asking two independent reviewers to code most of the data, thereby reducing bias, and confirming results and validating the themes.

Findings

The aim of this research study was to establish whether six master HRD practitioners experienced a shift in the training role and trainer competencies, organizational influence; if a shift occurred, what initiated the change. The interview data presented the researchers with rich portrayals of the participants' practice of their craft, including anecdotal remarks that described how they continued to influence change in organizations. The researchers were surprised that the themes that emerged from the interviews mirrored the same trainer roles as defined by Pettigrew's (1982) typology.

Two distinct issues emerged from these data. First, how closely the participants' role behavior sets matched the typology. And second, it is interesting to note that each of the study participants are external consultants to various organizations, yet they can influence organizational change. In examining the transcripts of the five interviews, the researchers identified five themes that were corresponded to the five role typology developed by Pettigrew et al, (1982). These are:

1. the passive provider
2. the provider having a range of roles from course administrator to management development
3. the provider managing the training function with several reporting specialist trainers

4. the provider in transition acting as change agent
5. the recognized change agent.

Originally, Pettigrew et al. (1982) constructed the above typology based on the functions of an internal trainer or consultant in mind. Based on the findings of this study, the training role can be filled by an internal or external consultant, or can be "outsourced."

Analysis of the Data

Role Shift

All five of the master HRD practitioners experienced a role shift. Master "A" shifted his role from training presentations to "one-on-one" coaching. Master "B" never had defined her role as a 'traditional trainer;" she is a change agent, and her role has evolved to into growing her own business, and becoming a strategic business partner with her clients. Master "C" has always been a trainer-coach, working primarily with individuals. He continues in this role, but now focuses on individual change. Master "D" has been trainer for over 30 years, and has always been ahead of his time as a strategic thinker and initiative. As a trainer, he is recognized as a change agent, providing clients with the ability to manage their own future. Master "E" 's role of presenter has evolved slowly over time until 9/11. Today she is concerned with helping individuals and organizations to think in the present.

Change in Craft

The themes that emerged suggested that the majority of the masters continually look for alternative ways of training and working with people to prompt change. Master "A" saw that he changed from a "passive provider" to a "change agent", working with individuals. Master "B"'s focus is to engage in strategic discussions with executives at the highest ranks of her client organizations. Master "C" focuses on promoting individual and collective "vertical alignment." Master "D" has evolved personally and professionally, moving from the traditional training role to strategic planner and coach, promoting "solutions" and not "fixes." Master "A" stated that although her role of presenter is "pretty much the same, after 9/11, I concentrate more in the present, and coach others to do the same."

Advice for Trainers

Role shifts are a phenomena that occur because of the market shifts. The most significant theme that has emerged is that of understanding how the business works and how organizations remain profitable. Training and education in corporate America is all about achieving business objectives, and recognizing that employees belong on the balance sheet as human capital.

Conclusions and Recommendations

The findings addressed the purpose of the study which was to explore the perceptions and realities held by the five master practitioners, and to provide an understanding around the concept of "trainer role shift" or "role transition." There were several differences that emerged that the researchers did not expect. One point was the term "trainer." Each of the interviewees established a different job context. Their job context is very different from the traditional trainer definition, that of an instructor. The second point that emerged during the analysis is the degree to which the interviewees could exert influence within their client organizations. A final point is positional: all were external consultants. Although all were very different with respect to practice, philosophy, skill and competence, they were all identified as "trainers."

This study adds dimension and greater meaning to the various roles that trainers play. However, it is important to extend and compare these findings to a larger population of internal and external trainers. Further a comparison of the "new guard of trainers" and the "master trainer," would be helpful to determine if the role has evolved and shifted into a new role definition.

Contributions to the Field

Our analysis of the findings suggested that the HRD trainer role is evolving. The role of the trainer is defined by marketplace demand, and the way in which the practitioner responds to those needs. This particular study poses the question of whether the traditional framework that defines the role of trainer is accurate in today's marketplace. While we have suggested some directions that might be pursued in the analysis of the role of the trainer, the development of future conceptualizations that help to illuminate the trainer role and trainer influence in organizations is needed.

References

- Analoui, F. (1993). *A study of the management development training needs of senior officials within the Indian Railways. Research Report, DPPC*. Bradford, England: University of Bradford.
- Ashton, D., & Felstead, A. (1995). Training and development. In J. Storey (Ed.), *Human resource management: A critical text* (pp. 234-253). London: Routledge.
- Berge, Z., deVerneil, M., Berge, N., Davis, L., & Smith, D. (2002) The increasing scope of training and development competency. *Benchmarking*, 9(1), 43-61.
- Coopers & Lybrand Associates. (1985). *Challenge to complacency: Changing attitudes to training*. London: HMSO.
- Hallier, J., & Butts, S. (1999). Employers' discovery of training: Self-development employability and the rhetoric of partnership. *Employee Relations*, 21(1 & 2), 80-94.
- Lincoln, Y., & Guba, E. (1981). *Naturalistic inquiry*. Beverly Hills: Sage.
- McLagan, P. A. (Ed.). (1989). Models for excellent study: The conclusions and recommendations of the ASTD training and development competency study. *Training and Development Journal*, 43(9), 49-59.
- Nijhof, W., & deRik, R. (1997). Roles, competencies, and outputs of HRD practice: A comparative study in four European countries. *Journal of European Industrial Training*, 21(6/7), 247-255.
- Pettigrew, A. M., Jones, E. R., & Reason, P. W. (1982). *Training and development roles in their organizational setting*. Sheffield, England: Training Division, Manpower Services Commission.
- Powell, T., Hubschman, B., & Doran, M. (2000). Career development through informal learning: A review of the literature. In O. Aliaga (Ed.), *Proceedings, AHRD 2000 Conference* (Vol. 1, pp. 821-827). Baton Rouge: Academy of Human Resource Development.
- Proctor, S., & Currier, G. (1999). The role of the personnel function: Roles, perceptions, and processes in an NHS trust. *International Journal of Human Resource Management*, 10(6), 1077-1091.
- Purcell, J. (1989). The impact of corporate strategy on human resource management. In J. Storey (Ed.), *New perspectives on human resource management* (pp. 67-91). London: Routledge.
- Solman, M. (1994). Coming in from the cold: A new role for trainers. *Personnel Management*, 26(1), 24-27.
- Steward, J., & Hall, R. (1999). Employee training and development. In J. Leopold, L. Harris, & T. Watson (Eds.), *Strategic human resourcing: Principles, perspectives, and practices* (pp. 217-238). London: FT Pitman Publishing.
- Strauss, A & Corbin, J. (1998). *Basics of qualitative research*. Thousand Oaks, CA, Sage.
- Storey, J. (1992). *Managing change through training and development*. London: Kogan Page.
- Torrington, J. (1998). Crisis is an opportunity in HRM: The challenge for the personnel function. In P. R. Sparrow & M. Marchington (Eds.), *Human resource management: The new agenda* (pp. 23-36). London: Financial Times-Pitman Publishing.
- Ulrich, D. (1998). *Human resource champions*. Boston: Harvard Business School Press.
- Wilkenson, A., & Marchington, M. (1994). TQM: Instant pudding for the personnel function? *Human Resource Management Journal*, 5, 33-49.

Cross Cultural Differences in Online Learning Motivation

*Doo H. Lim
University of Tennessee*

Globalization and technology are two of the many drivers that impact today's education locally and internationally. The purpose of the research study was to identify how online learners in Korea and the U.S. perceived online learning motivation differently and what learner characteristics and cultural orientation affected the online learners' learning motivation. Major findings revealed there was a significant difference in learning motivation between the U.S. and Korean online learners. The study also discusses how cultural orientation affects the learning motivation of online learners for each country.

Keywords: Online Learning, Learning Motivation, Cross-cultural Study

For higher education, twenty first century has started with the burgeoning of online education everywhere. As the usage of Internet increases, the application of online technologies to improve educational efficiency and effectiveness has been growing rapidly. For many researchers studying issues in traditional classroom environment, identifying different types of learning motivation and their impacts on students' learning have been a major field of study. As found from previous research studies, learner motivation tends to increase individual's energy and activity level during learning (Goslin, 2003; Maehr, 1984), lead individuals to certain learning goals (Dweck & Elliot, 1983; McCombs & Whisler, 1997), and promote and persist certain learning activities throughout a course (Franken, 2002; Stipek, 1988). Several researchers have reported learning motivation as the single most important factor that predicts students' learning achievement (Goslin, 2003; Vallerand & Senecal, 1993; Wlodkowski, 1985).

Parallel to the high interest in learning motivation in traditional classroom environment, identifying certain learning motivation types that are effective for online learning environment has been an important research issue for online learning researchers. Even though many studies have sought to assess online learners' motivation for successful online learning experience, little have been found to compare online learner's learning motivation across countries and different cultures. Identifying cross cultural and individual differences in online learning motivation is believed to a valuable research study topic since instructional designer and trainers in global learning environment need such findings to develop effective online instructions that transfer well between countries. This study seeks to assess how online learners' motivation in Korea and the U. S. differ and what cultural and learner characteristics affect the online learners' learning motivation.

Theoretical Framework of Online and Cross Cultural Learning Motivation

Motivation Variables

Numerous researchers have studied the effect of learning motivation on instructor-led classroom and other types of instruction such as computer-based and online instruction. The concept of motivation is defined as the organized pattern of a person's goals, beliefs, and emotions that the person is striving for (Ford, 1992). Motivation is a force to arouse, give direction to, continue, and choose a particular behavior (Wlodkowski, 1985). In an effort to specify motivation types valid for online learning, a thorough investigation of learning motivation theories and instruments was conducted. From the review, the researcher has identified six motivation types that meet the purpose of this study. They are reinforcement, course relevance, interest, self-efficacy, affect, and learner control. First, *reinforcement* is one type of the learning motivation that maintains and increases the probability of the response it follows (Vargas, 1977). According to social learning theorists, an individual's belief about the contingency of reinforcement influences learner behavior and learners will attain a high degree of learning achievement through instructional rewards such as grades and instructional feedbacks (Rotter, 1990; Lepper & Malone, 1987). Vroom (1964) adopts a similar motivation construct through Expectancy Theory, claiming that certain behaviors are followed by desirable outcomes or incentive awards. Pajares and Miller (1994) explain learner's behavior through the concepts known as stimulus-outcome relations and behavior-outcome relations. Common examples of reinforcement motivators in online instruction are grades, instructor feedback, peer support, and technical support. Other theorists also have noted reinforcement as an important learning motivation (Graham, 1994; Lepper & Malone, 1987; Weiner, 1994). *Relevance*, the second type of learning motivation in this study, refers to the value

residing in learning content toward learner's needs. Atkinson's expectancy-value theory (1964) explains an individual's achievement motivation as a combined force of the motive to achieve success, the probability of success, and the incentive value of success. Other motivation theorists such as Deci (1977), Herzberg, Mausner, and Snyderman (1959) indicate a similar motivation construct with the Expectancy Theory, expressed as "Motivation forces = Expectancy x Instrumentality x Valence." *Interest* is another type of motivation promoting learner involvement. When a learning task is challengeable and utilizes fantasy to present learning content, learners will be motivated (Malone, 1981). Keller (1987) adopts attention and relevance as such motivational components to sustain interest during learning process in the ARCS model of instructional design. Perception of *self-efficacy* refers to students' beliefs and feelings of self-worth in how well they can perform and be responsible in a learning task (Bandura, 1994; Foster, 2001). Students with high self-efficacy will engage in more meta-cognitive strategies and be more likely to persist at a task than students with low self-efficacy (Pintrich & De Groot, 1990). Students who are confident and motivated to learn will spent more time and effort and had better performance than those who are not (Salili, Chiu, & Lai, 2001). Self-efficacy is internal to learners and can positively or negatively affect learner motivation (Dweck, 1998). *Affect*, an intrinsic motivator, is a state of emotional feelings, concerns, and passions of individual learner while learning (Wlodkowski, 1985). In many cases, an individual's affect is influenced by organizational culture and climate, opinions of co-workers and supervisors, attitude towards change, degrees of frustration, and degree of determination and gratification in utilizing newly acquired knowledge and skills (Wlodkowski, 1999). *Learner control* is another motivation factor influencing learner's behavior. Learner control has been an important study subject in the field of instructional technology (Heinich, 1973; Hoban, 1965; Reigeluth, 1989). Chung and Davis (1995) categorize learner control behaviors into four types: learner control of content, learner control of sequence, learner control of learning pace (time management), and learner control of instructional display. Chung (1991) strongly advocates that instructors should facilitate and empower learners to take control of their learning. Each learner's control of instruction is inherently appealing to learners since it is verified that learners are more motivated if they are allowed some control over their own learning. The critical variables that influence learner control decision are the experience of individual learner and the importance of learning task (Chung & Davis, 1995).

Cross Cultural Issues on Learning and Learning Motivation

With increasing modernization, the differences in learning orientation and behavior between Western and Asian culture seem getting closer especially for the new generations (Yu & Yang, 1987). Many evidences, however, have proved that various differences still exist in learning and behavioral orientation between the two cultures. First of all, collectivistic values, such as more influence of family and social groups on achievement behavior, influence of Confucian teaching tradition on student learning, beliefs about financial and social advancement through more education, were found to affect the learning and behavioral orientation of Asian students (Sue & Okazaki, 1990). Authoritarian and examination oriented learning context of Asian cultures was another distinctive feature making the differences evident (Chen, Stevenson, Hayward, & Burgess, 1995). Some researchers have tried to explain the cross-cultural differences in motivation through the concept of meaning system. According to Grant and Dweck (2001), each culture has its own achievement-relevant beliefs, goals, and values. These researchers found that Asian students were oriented more toward effort attributions and performance goals, characterized by pressing immediate high performance than mastery of learning over time compared to American students. Li (2000) claims the Asian culture views learning as a process of self-perfection by seeking lifelong commitment, diligence, endurance of hardship, persistence, and concentration whereas the Western culture emphasizes thinking processes and learner's psychological characteristics such as learning style and intelligence. Even though the findings from these research studies may not prove all different faces of the learning behavior and orientation between the Asian and Western cultures, they are considered worthwhile to provide initial clues to assess certain cultural factors that influence the learning motivation of online learners in different cultures.

Purpose and Methodology

The purpose of the research study was to identify how online learners in Korea and the U. S. perceived online learning motivation differently and what cultural differences and learner characteristics affected the online learners' learning motivation.

The subjects for this study included 236 graduate and undergraduate students (34 undergraduate and 61 graduate students from Korean universities and 78 undergraduate and 63 graduate students from a U.S. university respectively) who took online courses in 2001 and 2002. Survey data for Korean students were collected from four universities in Seoul, Korea whereas the data for the U. S. students were collected from a southeastern university. All students were majoring education related studies such as higher education, human resource development,

instructional technology, teacher education, and instructional systems design. Gender distribution of the respondents was composed of 62 male and 174 female students (17 male and 78 female students from Korean population and 45 male and 96 female students from the U. S. population respectively).

In order to develop a survey instrument for this study, several learning motivation instruments used by educators and researchers were investigated. Those were Educational Participation Scale (Boshier, 1976), Instructional Material Motivation Survey (Keller, 1987), Motivated Skills Card Sort (Knowdell, 1981), Motivated Strategies for Learning Questionnaire (Pintrich, Smith, Garcia, & McKeachie, 1993), and Productivity Environmental Preference Survey (Price, Dunn, & Dunn, 1979). Of these six learning motivation instruments currently in use, two were selected for possible use in this study: the Instructional Material Motivation Survey and the Motivated Strategies for Learning Questionnaire. Each of these instruments was thoroughly reviewed for its applicability and statistical reliability. From the review of the item reliability and the content validity of each item of these instruments, 20 items that were related to the six motivation types and having a minimum item reliability alpha of .79 were selected to address the purpose of this study. In addition to the 20 items, 4 question items were newly developed to assess learner control in online learning environment. As a result, an online questionnaire composed of 24 question items was developed to measure online learner's motivation in the six sub categories (course relevancy, course interest, affect/emotion, reinforcement, self-efficacy, and learner control). Some examples of the 24 items include questions like asking "It is important for me to choose subjects that relate to my studies and/or my job." "I prefer course material that arouses my curiosity." "It is important for me to voice my opinions during class without fear of embarrassment." "When compared to other students, I am certain that I will do well on the lesson assignments." "It is important for me to have control over when and where I study." The instrument used a five point Likert type scale to measure the level of learning motivation (1 for "strongly disagree" to 5 for "strongly agree") and the data collection was completed via online. Regarding the reliability of the instrument used for data collection, a reliability alpha was .92 for the overall motivation scale.

Basic descriptive statistics was used to analyze the level of online learning motivation perceived by all students. T-test was utilized to measure gender difference in the learning motivation. One-way analysis of variance was carried out to verify the effect of student characteristics on the learning motivation. Multi-way analysis of variance was conducted to assess the effect of cultural differences on the six motivation types.

Findings

Overall, a significant difference in average motivation score was observed between the groups of the two countries ($p<.001$). Online students in the U.S. showed a significantly higher motivation mean score than those in Korea. The mean scores of the six motivation types are summarized in Table 1. Regarding the importance of each motivation type, course relevancy marked the highest mean score followed by learner control, reinforcement, course interest, self-efficacy, and affect/emotion. When students' motivation mean scores of the six sub categories were compared, Korean students indicated learner control as the second highest motivation type followed by course interest, affect/emotion, reinforcement, and self-efficacy while American students indicated self-efficacy as the second highest motivation type followed by reinforcement, course interest, learner control, and affect/emotion. To verify the difference in each motivation type between the two countries one-way analysis of variance (ANOVA) was conducted. Among the six motivation types, all motivation types except affect/emotion were found to show significant mean differences between the two countries. For the five motivation types with significant differences, Korean students scored significantly higher only for learner control while American students scored significantly higher for the other four motivation types (course relevancy, course interest, reinforcement, self-efficacy). To detect gender differences t-test was performed. As shown in Table 2, female students were found to have a significantly higher motivation mean score for learner control than male students. No differences were found between different academic status groups (graduate and undergraduate students).

Table 1. Differences in Motivation Types between Countries

Motivation Type	Mean (<i>SD</i>)	Country	N	Means for Each Country (<i>SD</i>)	One-way ANOVA <i>p</i> -value
Course Relevancy	4.61 (.67)	KR US	95 141	4.47 (.91) 4.71 (.43)	.006
Course Interest	4.07 (.70)	KR US	95 141	3.84 (.80) 4.23 (.57)	<.001
Affect/ Emotion	3.85 (.73)	KR US	95 141	3.83 (.78) 3.87 (.69)	.659
Reinforcement	4.13 (.73)	KR US	95 141	3.75 (.77) 4.38 (.57)	<.001
Self-efficacy	4.07 (.83)	KR US	95 141	3.46 (.78) 4.47 (.58)	<.001
Learner Control	4.25 (.81)	KR US	95 63	4.37 (.88) 4.06 (.67)	.017

Table 2. Gender Differences in Motivation Types

Motivation Type	Mean (<i>SD</i>)	N	Means male/female (<i>SD</i>)	T-test <i>p</i> -value
Learner Control	4.61 (.67)	Male - 38 Female - 120	3.99 (.96) 4.33 (.75)	.023

To assess the influence of employment status (full time, part time, not employed) and web learning experience on learning motivation, one-way ANOVA was carried out. In asking the web learning experience, the research asked if the subjects have taken classes through blended mode (web based, computer based, or classroom instruction) or web based instruction only. The mean scores, their standard errors, and the *p* values from the one-way ANOVA are listed in Table 3 and 4. From this analysis it was identified the mean scores of self-efficacy were significantly different among the student groups with different employment status (fulltime, part time, and not employed). Regarding the influence of web learning experience on motivation, those students with web learning experience had significantly higher mean scores for reinforcement and self-efficacy than those students with mixed learning experience through online instruction, classroom, and CD-ROM.

Table 3. Effect of Employment Status on Online Learning Motivation

Motivation Type	Employment Status	N	Means for Each Status (<i>SD</i>)	One-way ANOVA <i>p</i> -value
Self-efficacy	Fulltime	76	4.14 (.77)	
	Part time	114	3.88 (.86)	.001
	Not Employed	45	4.39 (.72)	

Table 4. Effect of Web Learning Experience on Online Learning Motivation

Motivation Type	Web Learning Experience	N	Means for Each Category (SD)	One-way ANOVA p-value
Reinforcement	Web only	134	4.26 (.06)	.002
	Mixed mode	102	3.96 (.07)	
Self-efficacy	Web only	134	4.26 (.07)	<.001
	Mixed mode	102	3.80 (.08)	

In order to assess what motivation types are affected by the students' characteristics and cultural orientation, multi-way ANOVA was performed. From this analysis only two motivation types were found to exist as they were affected by the students' academic status across countries. First, American undergraduate students' mean score for affect and emotion was found to be significantly higher than that of Korean undergraduate students. Second, graduate students' perception about the importance of affect and emotion did not significantly differ between the two countries. Third, for self-efficacy, American undergraduate and graduate students' mean scores were significantly higher than those of Korean students. Table 5 shows the results of the multi-way ANOVA.

Table 5. Differences in Motivation by Country and Academic Status

Motivation Type	Academic Status	Country	N	Means for Each Category (SD)	Multi-way ANOVA p-value
Affect/ Emotion	Undergraduate	KR	34	3.58 (.74)	.025
		US	78	3.92 (.73)	
	Graduate	KR	61	3.97 (.77)	.216
		US	63	3.81 (.65)	
Self-efficacy	Undergraduate	KR	34	3.21 (.66)	<.001
		US	78	4.47 (.62)	
	Graduate	KR	61	3.61 (.81)	<.001
		US	63	4.47 (.52)	

Discussion

National Differences in Learning Motivation

This study has sought to investigate the differences in motivation types between online learners in Korea and the U.S. and what learner characteristics affected the online learners' learning motivation. One major finding from this study was that American students indicated significant higher motivation scores for the four motivation types (course relevancy, course interest, reinforcement, and self-efficacy) than Korean students. Korean students scored significantly higher only for learner control. This result leads to a meaningful discussion of the influence of different cultural orientation on learner motivation. As Grant and Dweck (2001) assert, Asian students are oriented more toward effort attributions and performance goals while American students are emphasizing mastery of learning over time and enjoying the learning process itself. The four motivation types that American students scored significantly higher than Korean students can be explained in this regard since the content of the survey questions of the four motivation types were asking the importance of learning content, learning process, and learner's ability to learn. Similarly, the Korean students' significant higher mean score for learner control can be explained in this respect in that Korean students' orientation toward more effort attributions and performance goals might have affected the tendency toward more favor of the control of their own learning processes. Regarding gender difference in computer use, this study found that female students scored significantly higher for their control of learning process using

computers and Internet than male students. Compared to the general notion that male students have a more positive attitude and higher literacy when using computers than female students (Bannert & Arbinger, 1996; Brosnan, 1998; Shashaani, 1994), this study revealed a unique finding regarding the gender difference in online learning environment. If female students prefer more control of their learning than male students, different learning options should be allowed for female students to study online learning programs to result in better learner satisfaction and learning outcomes.

It was interesting to know that undergraduate students of the U.S. scored significantly higher for affect/emotion variable than Korean students. This means American students feel more accomplishment when completing online lessons, prefer voicing personal opinions during class, enjoy learning, and enroll in classes to obtain a sense of belonging as indicated from the related question items of the survey instrument. The collectivistic value of Asian cultures is another source to interpret this finding. As Chen et al. (1995) states, Asian students tend to avoid voicing their opinions and keep passive and quiet during class as they are influenced by the authoritarian learning context of Asian culture. Likewise, similar explanation can be used to the finding that American graduate and undergraduate students' significant higher mean scores on self-efficacy than Korean students. American students' tendency toward focusing more on mastering and understanding course content and materials might have increased their beliefs in self-efficacy (Salili et al., 2001). From these findings, it is advisable to explain the cross-cultural differences in online learning motivation through the concept of meaning system. As Grant and Dweck (2001) claim, culture has its own achievement-relevant beliefs, goals, and values and this meaning system tends to influence online learners' learning motivation.

Implications for Cross Cultural Online Learning

The remaining question is then how to fully utilize the study findings to improve current practices in online learning and to develop online programs that transfer and travel well across different cultures. Considering the exponential growth and needs of online learning programs and degree programs offered internationally, identifying effective instructional principles and strategies promoting higher learning motivation in cross cultural settings would be one of the key priorities that instructional designers of global learning environment should address. From the study findings, several recommendations could be drawn for this purpose. First of all, one major finding of the study is that all students, regardless the differences in national orientation, gender, academic and work background, and online learning experience, considered course relevancy as the most important motivational factor for their online learning. As several research studies suggested, values residing in learning content and material decide the level of motivation (Atkinson, 1964; Deci, 1977; Herzberg et al., 1959). To enhance the values of learning and elicit meaningful learning for application, one primary recommendation is that online content developers and instructors should make online instruction in such ways providing ample opportunities to apply learners' own learning experiences during learning processes. One strategy might be customizing assignments and class projects to incorporate learners' cultural examples and experiences, which will expand the application opportunities into their own cultural contexts. Stressing relevance in learning content to cultural and personal occasions will be another strategy to promote learner motivation and result in better learning outcomes and learner satisfaction. More specifically, some motivational strategies also deem viable to accommodate diverse cultural differences for meaningful learning. Among the studied motivation types, course relevancy, reinforcement, affect/emotion are controllable variables while others are not. To promote learning motivation for online learning occurred across cultures, facilitating these controllable motivation variables is considered an effective instructional strategy. For reinforcement, providing timely and frequent feedback and support is one possible way to engage students in the learning processes while keeping their learning motivation at a higher level. The weakest aspect of online instruction has been said the lack of instructor-student relationship through "eye to eye" communication that creates emotional involvement of online learners in the learning process. To resolve this kind of problem, facilitating direct communication experience among students and with instructors through alternative communication channels such as chat, threaded discussion, and audio/video conferencing would be a good strategy. To increase online learners' learning motivation through reinforcement some rewarding mechanisms other than grades should be utilized in managing online instruction. For instance, checking students' learning progresses and sending frequent emails for feedback and encouragement are good ways to increase students' awareness level in taking online instructions. Sharing good examples of students' assignments or accomplishments might be another way to support reinforcement motivation.

Implications for HRD

For researchers in education, learning motivation has been an ongoing research agenda to verify the diverse faces when applied in different learning situations and contexts. Online learning in cross cultural learning environment is

one new addition that makes the faces of learning motivation more diverse. This study revealed several meaningful findings in cross cultural online learning motivation. Some findings were common to the two different cultures while others were unique to each one's own cultural context. One implication for HRD from this study is that a good e-learning design addressing diverse motivational issues will work for people in many cultures while different motivation variables may exist as they affect online learners of those cultures with different degree. The importance of transfer factors in instructional design is another implication that has been arising from the study findings. Either in online or traditional classroom, designing instructional programs meeting the transfer needs at organizational as well as cross cultural learning environment must be one of the top priorities any instructional designers should seek for.

References

- Atkinson, J. (1964). *An introduction to motivation*. Princeton, NJ: Van Nostrand.
- Bandura, A. (1994). *Self-efficacy: The exercise of control*. New York: Freeman.
- Bannert, M., & Arbinger, R. S. (1996). Gender-related differences in exposure to and use of computers: Results of a survey of secondary school students. *European Journal of Psychology of Education*, 11(3), 269-282.
- Boshier, R.W. (1976). Factor Analysts at Large: A Critical Review of the Motivational Orientation Literature. *Adult Education*, 27(1), 24-27.
- Brosnan, M. J. (1998). The role of psychological gender in the computer-related attitudes and attainments of primary school children (aged 6-11). *Computers and Education*, 30 (3-4), 203-208.
- Chen, C., Stevenson, H. W., Hayward, C., & Burgess, S. (1995). Culture and academic achievement. In M. L. Maehr & P. R. Pintrich (Eds.) *Advances in Motivation and achievement: Culture, motivation and achievement* (pp. 73-118). Greenwich, CT: JAI
- Chung, J. (1991). Collaborative learning strategies: The design of instructional environment for the emerging new school. *Educational Technology*, 31(12), 15-22.
- Chung, J., & Davis, I. K. (1995). An instructional theory for learner control: Revisited. *Proceedings of the 1995 Annual National Convention of the Association for Educational Communications and Technology* (AECT) (pp. 72-86), Anaheim, CA.
- Deci, E. L. (1977). Intrinsic motivation, extrinsic reinforcement and inequality. *Journal of Personality and Social Psychology*, 37(22), 113-120.
- Dweck, C. S. (1998). The development of early self-conceptions: Their relevance for motivational processes. In J. Heckhausen & C.S. Dweck (Eds.), *Motivation and self-regulation across the life span*. Cambridge: Cambridge University Press.
- Dweck, C. S., & Elliot, E. S. (1983). Achievement motivation. In P.H. Mussen & E.M. Hetherington (Eds.), *Handbook of child psychology (Vol. IV: Social and personality development)* (pp. 643-691). New York: Wiley.
- Graham, S. (1994). Classroom motivation from an attrition perspective. In M. Drillings (Ed.), *Motivational: Theory and research* (pp. 31-48). Hillsdale, NJ: Lawrence Erlbaum Associates.
- Grant, H., & Dweck, C. S. (2001). Cross-cultural response to failure: Considering outcome attributions with different goals. In F. Salili, G. Ghieu, & Y. Hong (Eds.), *Student motivation: The Culture and context of learning* (pp. 203-219). New York: Kluwer Academic/Plenum Publishers.
- Ford, M. (1992). *Motivating humans: Goals, emotions, and personal agency beliefs*, Newbury Park: Sage Publications, Inc.
- Foster, J. J. (2001). Why technology is being integrated into the classroom at such a slow rate: A discussion of self-efficacy, motivation, and utility. *Proceedings of the 2001 Society for Information Technology and Teacher Education* (pp. 2178-2179), Orlando.
- Franken, R. E. (2002). *Human motivation*. Belmont, CA: Wadsworth/Thomson Learning.
- Goslin, D. A. (2003). *Engaging minds: Motivation and learning in America's schools*. Lanham, MD: Scarecrow Press.
- Heinich, R. (1973). Management models and instructional productivity. In R. G. Scalon & J. Wenberger (Eds.), *Improving productivity for school systems through educational technology* (pp. 203-219). Philadelphia, PA: Research for Better Schools.
- Herzberg, F., Mausner, B., & Snyderman, B. (1959). *The motivation to work*. New York: John Wiley.
- Hoban, C. F. (1965). From theory to policy decisions. *AV Communications Review*, 13, 121-139.
- Keller, J. M. (1987). The systematic process of motivational design. *Performance & Instruction*, 26(9-10), 1-8.
- Knowdell, R.L. (1981). Motivated skills card sort. In O.K. Buros (Ed.). *In Mental measurements yearbook* (pp. 677-679). Highland Park, NJ: Gryphon Press.

- Lepper, M. R., & Malone, T. (1987). Intrinsic motivation and instructional effectiveness in computer-based education. In R. Snow & M. Fars (Eds.), *In aptitude, learning and instruction: Cognitive and affective process analysis* (pp. 255-286). Hillsdale, NJ: Erlbaum.
- Li, J. (2000). *What do U.S. and Chinese college students think "learning" is? Comparing cultural models of learning of Americans and Chinese*. Unpublished manuscript.
- Maehr, M. L. (1984). Meaning and motivation: Toward a theory of personal investment. In R. Ames & C. Ames (Eds.), *Research on motivation in education (Vol. I: Student Motivation)* (pp. 115-144). New York: Academic Press.
- Malone, T. (1981). Towards a theory of intrinsically motivating instruction. *Cognitive Science*, 4, 333-369.
- McCombs, B. L., & Whisler, J. S. (1997). *The learner-centered classroom and school: Strategies for increasing student motivation and achievement*. San Francisco : Jossey-Bass.
- Pajares, F., & Miller, M. D. (1994). Role of self-efficacy and self-concept beliefs in mathematical problem solving: A path analysis. *Journal of Education Psychology*, 86, 193-203.
- Pintrich, P. R., & De Groot, E. V. (1990). Motivational and self-regulated learning components of classroom academic performance. *Journal of Educational Psychology*, 1, 33-40.
- Pintrich, P.R., Smith, D.A.F., Garcia, T., & McKeachie, W.J. (1993). Reliability and predictive validity of the motivated strategies for learning questionnaire. *Educational and Psychological Measurement*, 53, 801-813.
- Price, G.E., Dunn, R., & Dunn, K. (1979). Productivity Environmental Preference Survey. O.K. Buros (Ed.). *In Mental Measurements Yearbook* (pp. 786-790). Highland Park, NJ: Gryphon Press
- Reigeluth, C. M. (1989). Educational technology at the crossroads: New mindsets and new directions. *Educational Technology Research and Development*, 37(1), 67-80.
- Rotter, J. (1990). Internal versus external control of reinforcement: A case history of a variable. *American Psychologist*, 45, 489-493.
- Salili, F., Chiu, C., & Lai, S. (2001). The influence of culture and context on students' motivational orientation and performance. . In F. Salili, G. Ghieu, & Y. Hong (Eds.), *Student motivation: The Culture and context of learning* (pp. 221-247). New York: Kluwer Academic/Plenumm Publishers.
- Shashaani, L. (1994). Gender-differences in computer experience and its influence on computer attitudes. *Journal of Educational Computing Research*, 11(4), 347-367.
- Stipek, D. (1988). *Motivation to learn: From theory to practice*. (2nd ed.). Boston: Allyn and Bacon.
- Sue, S., & Okazaki, S. (1990). Asian American educational achievement: A phenomenon in search of an explanation. *American Psychologist*, 45(8), 913-920.
- Vallerand, R. J. & Senecal, C. B. (1993). Une analyse motivationnelle de l'abandon des études. *Apprentissage & Socialisation*, 15(1): 49-62.
- Vargas, J. S. (1977). *Behavioral psychology for teachers*. New York: Harper & Row.
- Vroom, V. H. (1964). *Work and motivation*. New York: Wiley.
- Weiner, B. (1994). Integrating social and personal theories of achievement striving. *Review of Educational Research*, 64, 557-573.
- Wlodkowski, R. J. (1985). *Enhancing adult motivation to learn*. San Francisco: Jossey-Bass Inc..
- Wlodkowski, R. J. (1999). *Enhancing adult motivation to learn*. (2nd ed.). San Francisco: Jossey Bass Inc.
- Yu, A. B., & Yang, K. S. (1987). Social and individual-oriented achievement motivation: A conceptual and empirical analysis. *Bulletin of the Institute of Ethnology, Academica Sinica (Taipei, Taiwan)*, 64, 51-98 (in Chinese).

The Relationship Between National Culture and the Usability of an E-Learning System

Steve Downey

Rose Mary Wentling

Tim Wentling

Andrew Wadsworth

University of Illinois at Urbana-Champaign

This study sought to measure the relationship between national culture and the usability of an e-Learning system by using Hofstede's cultural dimensions and Nielson's usability attributes. The study revealed that high uncertainty avoidance cultures found the system more frustrating to use. The study also revealed that individuals from cultures with low power distance indicators (e.g., people more accepting of uneven power distribution) rated the system's usability higher than individuals from high power distance cultures.

Keywords: E-Learning, National Culture, Usability

Social, technological, and economic drivers are transforming education around the world. As globalization encompasses local economies like never before, the development of a skilled workforce becomes a genuinely international concern. Human capital is becoming the chief source of economic value and education and training are becoming lifelong endeavors for millions of workers (Stokes, 2003; Urdan & Weggen, 2000). This is because business success depends more and more on high-quality employee performance, which in turn requires high-quality training. Corporate executives are beginning to understand that enhancing employee skills is key to creating a sustainable competitive advantage. In the quest to remain competitive in today's labor-tight market, companies are exploiting advances in technology to train employees more rapidly, more effectively, and at less expense than in the past (Berg, 1998; Urdan & Weggen, 2000).

Advances in information technology and falling trade barriers facilitate business around the globe. As borders become less meaningful, global competition intensifies. International expansion and accelerating mergers and acquisition activity have led to larger and more complex corporations. Today's businesses have more locations in different time zones and employ larger numbers of workers with diverse cultural backgrounds and educational levels than ever. Thus, more information has to be delivered in increasingly larger organizations, challenging internal planning, logistics, and distribution. Corporations worldwide are now seeking more innovative and efficient ways to deliver training to their geographically-dispersed workforce (Hill, 1997; Hites, 1996; Urdan & Weggen, 2000). A growing technology-based training solution that addresses the global training needs of corporations is e-Learning.

Today's workforce has to process more information in a shorter amount of time. New products and services are emerging with accelerating speed. As production cycles and life spans of products continue to shorten, information and training quickly become obsolete. There is an urgency for trainers to deliver knowledge and skills more rapidly and efficiently whenever and wherever needed. In the age of just-in-time production, just-in-time training becomes a critical element to organizational success (Rosenberg, 2001; Urdan & Weggen, 2000). E-learning solutions facilitate the delivery of the right information and skills to the right people at the right time (Ruttenbur, Spickler, & Lurie, 2000). However, without an effective interface an e-Learning system can not be efficient. A properly designed interface is able to draw the learners' attention, motivate them toward interaction with the system, and help them achieve their goals without confusion and fatigue (Faiola, 1989; Galitz, 1989; Jacques, Preece, & Carey, 1995). This also contributes to the quality and usability of the system (Tufte, 1992).

The term usability generally refers to the ease of use and operational suitability of the interactive displays and controls that serve as the user interface to a computing system (Murphy, Norman, & Moshinsky, 1999). Usability is the measure of the quality of the user experience with interacting with something whether a website, a traditional software application, or any device the user can operate in some way or another (Nielsen, 1997). According to Nielsen (1997), usability is one of the most important aspects of web design, but often the most neglected. Many web usability problems may arise due to variations in behaviors and cultural differences. Such variations may be found in color, graphics, phrases, icons, character sets, pictures, symbols, date and time format, and so forth (Onibere, Morgan, Busang, & Mpoeleng, 2000). Users from different cultures may understand the same websites in totally different ways. Some metaphors, navigation, interaction, or the web-site appearance might be misunderstood and confuse, or even offend the users (Evers & Day, 1997; Marcus & Gould, 2000; Mahemoff & Johnston, 1998).

Copyright © 2004 Steve Downey, Rose Mary Wentling, Tim Wentling, & Andrew Wadsworth

According to Reeves (1997) not enough is known about the ramifications of cultural inclusivity of cognitive design of on-line learning systems and that further research is needed. Collis, Parisi, and Ligorio (1996) similarly concluded that there is little existing research on instructional design for cross-cultural on-line learning programs. Wild and Henderson (1997) called for investigative research on cultural appropriateness of web-based instructional delivery. When coupling the growth of e-Learning with globalization, it becomes imperative to gain a better understanding of the relationship between the user's cultural differences and usability of e-Learning systems. This study therefore, focuses on the relationship between national culture and the usability of an E-Learning System.

For the sake of eliminating possible confusion, it should be pointed out that usability studies are *not* contingent upon the content within the e-Learning system (e.g., the lessons). They are, in fact, measures of the system's design and ease of use, not the quality of the instructional materials therein. Bearing that in mind, it is time to focus on the overall purpose of this study.

Purpose of Study

The purpose of this study was to explore the relationship between national culture and the usability of an e-Learning system. The following research questions guided the study:

1. What is the relationship between power distance and the usability (learnability, error rate, and user's satisfaction) of an e-Learning system?
2. What is the relationship between individualism and collectivism and usability (learnability, error rate, and user's satisfaction) of an e-Learning system?
3. What is the relationship between femininity/masculinity and the usability (learnability, error rate, and user's satisfaction) of an e-Learning system?
4. What is the relationship between uncertainty avoidance and the usability (learnability, error rate, and user's satisfaction) of an e-Learning system?

Methodology

This section describes the methodology aspect of the study. Included in these descriptions are discussions on the study's variables, population and sample, instrumentation, data collection and data analysis procedures.

Study Variables

The theoretical frameworks that were used to guide this study are Hofstede's cultural dimensions, and Nielson's usability attributes. Hofstede (1980, 1997) identified cultural dimensions that the researchers thought may influence user interface and web design. These national dimensions are: power distance, individualism versus collectivism, masculinity versus femininity, and uncertainty avoidance. Hofstede's cultural dimensions have been used and tested by several researchers to explore influence on user-interface and systems design (Bernard, 2000; Dunbar, 1991; Ever and Day, 1997; Marcus & Gould, 2000). Nielson (1993) defines the usability of a computer system in terms of the following attributes: learnability, errors, and satisfaction. Nielsen's usability attributes are used by many researchers to guide usability studies (Borges, Morales, & Rodriguez, 1995; Instone, 1997; Kurosu & Kashimura, 1995; Rajani & Rosenberg, 1999). This particular study required the examination of usability and cultural variables in order to determine potential relationships between national culture and the usability of an e-Learning system.

Usability Variables

Learnability (ease of learning), error (types and rate of errors), and satisfaction (user satisfaction) were the three usability attributes that were used to guide the usability aspect of this study (Nielson, 1993). The three relevant attributes for this study are further explained below.

Learnability. This is measured the time users took to reach a specified level of proficiency. In this study it was used to measure the time it took to perform various tasks and also measured their rates of error in performing the tasks. The rates of error were measured by comparing the number of users clicks with the expected number of clicks required to accomplish a particular task (Calculation of expected number of clicks is explained under Data Analysis Procedure section. Thus learnability had two parts: learnability time (LT) and learnability clicks (LC).

Error. This variable measured the number of errors that occur while users were engaged in a task. An error rate was not used in this study as a separate variable. Rather, error was incorporated into the learnability attribute and was measured by comparing users actual clicks to expected clicks required to perform a particular task.

Satisfaction. This final usability variable measured how pleasing the system was to users. It represented the degree to which a user's perceived personal needs and the need to perform specific tasks are adequately met by a

system (Goodhue & Straub, 1991). Data regarding user satisfaction was collected using a post-task questionnaire to determine the participant's level of satisfaction with the system. Means and standard deviations were calculated for satisfaction. Each participant had one score for satisfaction.

Cultural Variables

The country index scores for the four cultural variables (power distance, individualism/collectivism, masculinity/femininity, and uncertainty avoidance) in this study were based on Hofstede's (1980, 1984, 1997) work on cross-cultural values. The four dimensions on which country cultures differ were revealed through theoretical reasoning and statistical analysis. The following cultural variables: power distance (PD), individualism/collectivism (INDCOL), masculinity/femininity (MASFEM), and uncertainty avoidance (UA) were used to guide the cultural aspect of this study (Hofstede, 1980). Each cultural variable is described below. Please note, the scores associated with each of these variables represent relative, not absolute, positions of individual members of each country.

Power distance. PDI is defined "as the extent to which the less powerful members of institutions and organizations accept and expect that power is distributed unequally" (Hofstede & Bond, 1984. p. 419). The Power Distance Indicator typically has a value between 0 (Low) and 100 (High), but values below 0 and above 100 are technically possible. Thus scores near 0 reflect less acceptance of the unequal distribution of power while scores near 100 reflect greater acceptance of unequal distribution of power within one's culture. In accordance with Hofstede's work, a value less than 50 represented Low PDI and a value of 50 or more represented High PDI.

Individualism and collectivism. INDCOL focuses on the relationship between the individual and groups. Highly individualistic cultures believe that the individual is the most important unit while highly collectivistic cultures believe that the group is the most important unit (Hofstede, 1997). Scores typically are between 0 (Strong Collectivist) and 100 (Strong Individualist), but values below 0 and above 100 are technically possible. A value less than 50 represented COLL and a value of 50 or more represented IND.

Masculinity and femininity. MASFEM represents one of the dimensions of national culture. "Femininity stands for a society in which social roles overlap; both men and women are supposed to be modest, tender, and concerned with the quality of life" (Hofstede, 1997, p. 261). While masculinity culture have very distinct expectation of male and female roles in society. The variables values typically are between 0 (Strongly Feminine) and 100 (Strongly Masculine), but values below 0 and above 100 are technically possible. A value less than 50 indicated FEM and a value of 50 or more indicated MAS cultures.

Uncertainty avoidance. UA focuses on the extent to which a culture feels threatened or anxious about ambiguity and how hard individuals will work to avoid it. These variables focus on how cultures adapt to change and cope with uncertainty. The variables values typically are between 0 (Low Uncertainty Avoidance) and 100 (High Uncertainty Avoidance), but values below 0 and above 100 are technically possible. A value less than 50 represented Low UA and a value of 50 or more represented High UA.

Population And Sample

The population for this study was composed of the 30 attendees in an international workshop on training improvement held in Penang, Malaysia. This population was selected for this study because of the attendee's diverse cultural backgrounds and their underlying interest in all forms training and instructional delivery. The sample of this study consisted of the 24 attendees who volunteered to participate in the study. Those who did not volunteer to participate in the study were unavailable to complete all stages of the study and therefore could not produce useable data sets for analysis. Of the 24 attendees who did participate, they represented 14 different countries from Africa, Asia, Europe, and North America. These countries included: Canada, China, Denmark, Ethiopia, France, India, Indonesia, Italy, Libya, Malaysia, Singapore, Thailand, United States, and Zimbabwe. Table 1 shows the distribution of study participants among the cultural variables by nationality. Nationality was determined by greatest length of time a given participant lived in single national; it is not necessarily the country in which s/he was born.

Of the 24 participants in this study, 10 (42%) were female and 14 (58%) were male. They represented 14 different countries from Africa, Asia, Europe, and North America. All study participants with the exception of three had spent the first 15 years of their lives in the country that they were currently living in. Two (8%) participants were in their late 20s, nine (38%) were in their 30s, 11 (46%) were between 40-49 years of age, and two (8%) were over 50. Of the 24 study participants, 6 (25%) had a Bachelors Degree, 10 (42%) had a Masters Degree, and 8 (33%) had a Doctorate Degree. Their major areas of study varied from Economic, Computer Science, Curriculum and Instruction, Physics, Educational Administration, and so forth. All but two of the participants were academic professional in the educational arena. The two who were not were a full time student studying education and an office administrator for a large university in Southeast Asia. Fifteen (63%) of the participants had 18 or more years

of experience in education; six (25%) had between 16 and 17 years, and three (13%) had between 10 and 15 years of experience. All of the 24 study participants had basic computer skills (e.g., regular use email and a web browser).

Table 1. Distribution of Participants Based on Their Cultural Dimensions (n=24)

Cultural Variables	Countries Represented in the Study and Number of Participants Representing Each Cultural Variable	Participants Representing Each Cultural Variable
LPD	Canada(1), Denmark(1), USA(1), Zimbabwe(1)	4
HPD	China(1), Ethiopia(1), France(1), India(2), Indonesia(2), Italy(2), Libya(1), Malaysia(7), Pakistan(1), Singapore(1), Thailand(1)	20
IND	Canada(1), Denmark(1), France(1), Italy(2), USA(1), Zimbabwe(1)	7
COLL	China(1), Ethiopia(1), India(2), Indonesia(2), Libya(1) Malaysia(7), Pakistan(1), Singapore(1), Thailand(1)	17
MAS	Canada(1), China(1), India(2), Italy(2), Libya(1), Malaysia(7), Pakistan(1), USA(1), Zimbabwe(1)	17
FEM	Denmark(1), Ethiopia(1), France(1), Indonesia(2), Singapore(1), Thailand(1)	7
LUA	Canada(1), China(1), Denmark(1), India(2), Indonesia(2), Malaysia(7), Singapore(1), USA(1), Zimbabwe(1)	17
HUA	Ethiopia(1), France(1), Italy(2), Libya(1), Pakistan(1), Thailand(1)	7

Instrumentation

Three instruments were used in this study with each instrument collecting information regarding unique aspects of the study. Separate descriptions are provided for each of the instruments which include: User Background Form, User Tasks & Observation Guide, and the Post-Tasks Questionnaire.

The User Background Form captured demographic information regarding each user's nationality, educational level, major area of study, and computer experience. This questionnaire was piloted and used in previous research, including a study on e-Learning and national culture.

The User Tasks & Observation Guide consisted of ten tasks commonly performed by users of the e-Learning system utilized in the study. They included such tasks as logging into the system, locating specific instructional modules within the system, locating the course syllabus, and electronically submitting a class assignment. The 10 tasks purposefully were ordered so that processes learned during one task would not directly impact the performance of later tasks. Clarity of language used in the task statements was established through a multistage review process utilizing international students representing of many of the 14 national cultures encountered in this study.

The Post-Tasks Questionnaire consisted of a 21 item, Likert-scale based, survey that was completed by the study participants immediately upon completion of the 10 aforementioned tasks. The questionnaire targeted the study participants' opinions regarding issues such as satisfaction with navigation schemes, color selections, information presentation, page layout and overall usability. Essentially, this instrument measured the usability attribute of satisfaction. The instrument, itself, was generated through a multiple expert review process to ensure validity, clarity of language, and usability of data captured.

Data Collection Procedures

Each study participant spent approximately one hour completing the data collection process for this study. To begin the process, participants sat at a workstation equipped with the necessary software and hardware to complete each of the 10 tasks required of the users. At the workstation along with the participant was an observer who instructed the participants on their task and monitored their performances using the User Tasks & Observation Guide described above. The observer handed each participant a printout stating task to be completed. Together, the participant and observer read the printout to ensure proper understanding of the task statement. Once the participant understood what was being asked of him/her, the observer would say "begin" and start monitoring the participants' performance. Upon completion of the task, the observer recorded the results for that task in the observation guide.

Upon completion of the 10 tasks, the study participants moved to another table at which time they completed the Post-tasks Questionnaire and the User Background Information Form.

Data Analysis

Data gathered via the above instrumentation were analyzed using several techniques. Demographic information collected using the User Background Information Form was reviewed and categorized using simple frequency counts and statistical means. The remaining data from the User Tasks & Observation Guide and Post-tasks Questionnaire were utilized in a series of correlational calculations necessary to measure the relationships between participants' usability performances and their cultural dimensions.

Findings

The following section describes the key findings emerging from this study. This section presents the findings or results of the study by organizing them around the four research questions of the study.

There were four cultural variables and two usability variables (Error Rate is a Learnability measure) utilized in this study. The relationships between the cultural variables and the usability variables were measured through the use of correlational calculations involving each of the cultural factors and multiple measures for both system learnability and user satisfaction. In addition, supplementary calculations were conducted in order to investigate underlying factors that may influence each of the above variables.

Question 1: What is the Relationship Between Power Distance and the Usability of an E-Learning System?

Question one was answered by computing the correlation between participants country scores for PDI and the learnability and satisfaction usability scores. The learnability variable was comprised of two measures: total time taken to complete the tasks and number of clicks made (an indication of error). Table 2 presents descriptive statistics for the six variables. Table 3 presents correlational results that are associated with research question one.

Table 2. Descriptive Statistics

Variable	Mean	Range	sd
<i>Culture Variables</i>			
Power Distance	73.0	18 – 104	25.0
Individualism/Collectivism	40.3	14 – 91	25.2
Masculinity/femininity	50.4	16 – 70	11.6
Uncertainty Avoidance	46.1	8 – 86	17.8
<i>Usability Variables</i>			
Learnability- Time	456.0	224 – 764	146.5
Learnability- Clicks/Error	35.6	20 – 62	10.0
Satisfaction	77.4	57 - 101	11.6

Table 3. Correlation of Power Distance and Usability Variables

	r	Z-Value	Probability	n
Power Distance and learnability Time	.248	1.16	.246	24
Power Distance and Learnability Clicks	.420	2.051	.040*	24
Power Distance and Satisfaction	.191	.884	.376	24

* = statistical significance at p<.05

Table 3 reveals that a positive correlation exists between power distance and all three usability variables. However, only one of the relationships are statistically significant. Of the two learnability sub-variables, time on task had a correlation of r=.248 and clicks made had a correlation of r=.42 with PDI. The second one, clicks, was significant at the .05 level. This means that the higher the power distance score for an individual's culture (e.g., greatest acceptance of unequal distribution of power), the higher their time and clicks in the e-Learning tasks. The correlation between satisfaction and power distance (r=.19) was also positive but not statistically significant. Table

3 also reveals that individuals from cultures with low power distance indicators (e.g., people who are more accepting of uneven power distribution) rated the overall usability higher than individuals from high PDI cultures.

Question 2: What is the Relationship Between Individualism and Collectivism and Usability of an E-Learning System?

Question two was answered by computing the correlation between the Individualism/Collectivism variable and the two usability variables; learnability and satisfaction. Table 4 reveals that the only statistically significant relationship was with the individualism/collectivism scores and Satisfaction. Individuals from collectivist societies found the system more satisfying to use versus those from individualistic societies, $r = -0.420$.

Table 4. Correlation of Power Distance and Usability Variables

	r	Z-Value	Probability	n
Individualism and learnability Time	-.016	0.73	.942	24
Individualism and Learnability Clicks	-.236	1.104	.270	24
Individualism and Satisfaction	-.420	-2.049	.041*	24

* = statistical significance at $p < .05$

Question 3: What is the Relationship Between Femininity/Masculinity and the Usability of an E-Learning System?

With regard to the femininity/masculinity factor, there was no significant relationship with any of the three usability variables. For all three variables the relationship was negative but very small.

Table 5. Correlation of Masculinity/Femininity and Usability Variables

	r	Z-Value	Probability	n
Masculinity and learnability Time	-.037	0.169	.866	24
Masculinity and Learnability Clicks	-.083	0.381	.703	24
Masculinity and Satisfaction	-.113	-0.520	.603	24

Question 4: What is the Relationship Between Uncertainty Avoidance and the Usability of an E-Learning System?

The cultural factor of Uncertainty Avoidance did not produce statistically significant relationship with any of the three usability variables. However, there was a strong correlation between UA and Learnability Clicks ($p = .08$). Given that UAI measures how willing individuals are to accept risk or change, it is not surprising to find that participants who were from cultures that were least likely to accept risk were also the ones who made the most errors in navigating the e-Learning system.

Table 6. Correlation of Uncertainty Avoidance and Usability Variables

	r	Z-Value	Probability	n
Uncertainty Avoidance and Learnability Time	-.324	-1.542	.123	24
Uncertainty Avoidance and Learnability Clicks	-.361	-1.734	.0829	24
Uncertainty Avoidance and Satisfaction	-.030	-0.138	.890	24

Discussion and Implications

Three strong correlations were found among the findings; two of these correlations were statistically significant and the third approached the .05 threshold but fell slightly short. In the first, individuals from cultures with high Power Distance Indicator scores tended to make more errant mouse clicks while using the system. Cultures with

high Power Distance Indicators, as represented the study's participants, include those from China, India, Indonesia, Malaysia, and Singapore, among others. These are cultures in which individuals tend to be more accepting of uneven power distributions. These same five countries appear again on the list of cultures with low IND/COL scores. That is to say, individuals from these cultures tend to have more collectivist tendencies versus individualistic. Participants from these collectivist cultures showed strong, statistically significant, levels of satisfaction with the system they used. Last, the same five countries showed strong correlations between their low uncertainty avoidance score (e.g., they were less averse to change and taking risks) and their higher errant click rates.

When viewed in a purely statistical light and given the relatively small sample size, these three findings appear to provide little enlightenment with regard to conducting cross-cultural training and e-Learning activities. However, when one considers the nature of the cultures represented by the participants in this study, one gains a greater understanding of how the findings can truly impact an organization's international operations. In each case, participants represented countries and cultures where there are historic precedents and general tendencies for strong centralized authority figures, whether in the form of teachers, office leaders, or governmental regimes. These cultures also were witness to relatively recently (e.g., the last 50 years) and radical changes in their lifestyles due to the influence of these strong authority figures. For example, compared to their immediate neighbors, Singapore, Malaysia, and Indonesia represent the most technology forward countries in Southeast Asia. In fact, Singapore is one of the most technologically connected nations in the world (ITU, 2003). This is due in large part to their government's determined efforts to put Singapore at the forefront of the technology movement. Last, these cultures tend to be very group/social oriented, often doing what is best for the group regardless of how it might impact them as individuals.

Bearing this mind, organizations conducting training or e-Learning operations in cultures where power-centric, collectivist, and change accepting societies exist must give consideration to a few logistics. First, trainers need to consider the level of leadership expected by the learners. Learners from cultures where strong authority figures are common (e.g., those from high power indicator cultures) will expect greater leadership and guidance from their instructors. As a result, training might take on a more traditional teacher-centered approach, whereas individuals from other cultures may desire a more student-centered approach. Another factor to consider is the level of group interaction and support offered to students. Training conducted in strong collectivist cultures might employ strategies where group work, collaboration, and socially oriented approaches are more prevalent. Conversely, training and e-Learning activities in more individualistic societies might give the learners greater freedom in terms of creativity and expression of knowledge gained (e.g., alternative assessments) or possibly employ more competitive learning environments (i.e., normative testing and grading practices).

In today's increasingly global market, many e-Learning systems designers are faced with the task of insuring that their systems are equally as usable in foreign countries as in the United States. Given the impact that culture has on people's behavior, truly functional global e-Learning systems should reflect the cultural orientation of its users and not just be a translation of an American interface.

References

- Berge, Z. L. (1998). Conceptual frameworks in distance training and education. In D. A. Schneider, & Z. L. Berge, *Distance training: How innovative organizations are using technology to maximize learning and meet business objectives* (pp. 19–36). San Francisco: Josey-Bass.
- Bernard, M. (2000). Constructing user-centered websites: The early design phases of small to medium sites. Usability news 2.1. [Online]. Available: <http://psychology.wichita.edu/surl/usabilitynews/2W/webdesign.htm>
- Borges, J., Morales, I., & Rodríguez, N. (1995). Guidelines for designing usable World Wide Web pages [On-line]. Available: http://www1.acm.org/sigs/sigchi/chi96/proceedings/shortpap/Rodriguez/rn_txt.htm
- Collis, B., Parisi, D., & Ligorio, M. (1996). Adaptation of courses for trans-European tele-learning. *Journal of Computer Assisted Learning*, 12 (1), 47-62.
- Dunbar, R. (1991). Adapting distance education for Indonesians: Problems with learner heteronomy and a strong oral tradition. *Distance Education*, 12(2), 163–174.
- Evers, V., & Day, D. (1997). The role of culture in interface acceptance. In S. Howard, J. Hammond, & G. Lindegaard (Eds.), *Human computer interaction INTERACT'97*. London: Chapman and Hall.
- Faiola, T. (1989). Principles and guidelines for screen display interface. *The Videodisc Monitor*, 8(2), 27–29.
- Galitz, W. O. (1989). *Handbook of screen format design* (3rd ed.). Wellesley, MA: QED Information Science.
- Goodhue, D., & Straub, D. (1991). Security concerns of system users. *Information &*

- Management* 20(1), 13–27.
- Hill, J. R. (1997). Distance learning environments via World Wide Web. In B. H. Kan. (Ed.), *Web-based instruction*. Englewood Cliffs, NJ: Educational Technology Publication.
- Hites, J. M. (1996). Design and delivery of training for international trainees: A case study. *Performance Improvement Quarterly*, 9(2), 57–74.
- Hofstede, G. (1997). *Cultures and organizations: Software of the mind*. New York: McGraw-Hill.
- Hofstede, G. (1980). *Culture's consequences: International differences in work-related values*. Beverly Hills: Sage.
- Hofstede, G., & Bond, M. (1984). Confucius & economic growth: New trends in culture's consequences. *Organizational Dynamics*, 16(4), 4–21.
- Instone, K. (1997). Users test your web site: An introduction to usability testing [On-line]. Available: <http://webreview.com/wr/pub/97/04/25/usability/index.html>.
- Jacques, R., Preece, J., & Carey, T. (1995). Engagement as a design concept for multimedia. *Canadian Journal of Educational Communication*, 24(1), 49–59.
- Kurosu, M., & Kashimura, K. (1995). Apparent usability vs. inherent usability: Experimental analysis on the determinants of the apparent usability. In *Proceedings of CHI* (pp. 292–293). Denver, Colorado.
- Mahemoff, M. J., & Johnston, I. J. (1998) Software internationalization: Implications for requirements engineering. In *Proceedings of the 3rd Australian Workshop on Requirements Engineering*. Geelong, Australia [On-line]. Available: <http://www.cs.mu.oz.au/~moke/papers/reksi18n>
- Marcus, A., & Gould, E. (2000). Cultural dimensions and global Web user-interface design: What? So what? Now what? *Proceedings of the 6th Conference on Human Factors and the Web* (pp. 1–15). Austin, Texas.
- Murphy, E., Norman, K., & Moshinsky, D. (1999). VisAGE usability study.
- (NASA/Goddard Space Flight Center Report HCIL-TR-99-04, February, 1999) [On-line]. Available: <http://www.lap.umd.edu/LAPFolder/papers/LAP1999TR01/LAP1999TR01.html>
- Nielsen, J. (1993). *Usability engineering*. New York: Academic Press.
- Nielsen, J. (1997). Usability testing. In G. Salvendy (Ed.), *Handbook of human factors and ergonomics* (pp. 1543–1568). New York: John Wiley.
- Onibere, E. A., Morgan, S., Busang, E. M., & Mpoeleng, D. (2000). Human computer interface design issues for a multicultural multilingual English speaking country- Botswana. *The Interdisciplinary Journal of Human-Computer Interaction*, 4(13), 497–512.
- Rajani, R., & Rosenberg, D. (1999). Usable? or not?...Factors affecting the usability of web sites [On-line]. Available: <http://www.december.com/cmc/mag/1999/jan/rakros.html>.
- Reeves, T. (1997). An evaluator looks at cultural diversity. *Educational Technology*, 37 (2), 27-31.
- Rosenberg, M. J. (2001). *E-Learning: Strategies for delivery knowledge in the digital age*. New York: McGraw-Hill.
- Ruttenbur, B. W., Spickler, G. C., & Lurie, S. (2000). E-learning: The engine of the knowledge economy [On-line]. Available: <http://www.masie.com/reports/elearning0700nate2.pdf>.
- Stokes, P. (2003, September). Following Phoenix. *The Greentree Gazette*, 34-35.
- Tufte, E. R. (1992). *The visual display of quantitative information*. Cheshire, CT: Graphics Press.
- Urdan, T. A., & Weggen, C. C. (2000). *Corporate e-learning: Exploring a new frontier*.
- WR Hambrecht + Co. [On-line]. Available: http://www.wrhambrecht.com/research/coverage/elearning/ir_ir_explore.pdf.
- Wild, M., & Henderson, L. (1997). Contextualising learning in the World Wide Web: Accounting for the impact of culture. *Education and Information Technologies*, 2, 179-192.

Expatriate Practices in Taiwan's Multinational Companies

Chi-jung Fu

Hui-chin Chu

Shu-Te University

The study was to investigate expatriate practices in Taiwan's multinational firms. By quantitative survey via E-mail, 83 HR managers participated to the present study. Issues such as HR manager's perceptions and personal characteristics, expatriate job functions, expatriate selection criteria, and expatriate training were discussed. The results indicated that selection criteria, and expatriate training were affected by the expatriate job functions. The perceptions and characteristics of the HR managers played a significant role in expatriate practices.

Keywords: Expatriate Selection Criteria, Expatriate Training, Perceptions and Characteristics of HR Managers

Two decades ago, Brislin(1981) has already seen a future trend that many workers will have to leave their homes and work in another country, and the opportunities of being exposed in a multi-cultural working environment would be increased dramatically. Now the prediction has become a fact. Globalization, increased foreign investment, and organizational reengineering drastically changed the business structures and the workforce nowadays (Zakaria, 2000). Organizations need to adopt new standards and a new approach on selecting, training, and motivating their employees. For promoting organizational effectiveness, multinational businesses make great efforts on training and developing their employees the ability of multi-cultural adaptability (Pucik, 1998).

Taiwan has already become one of the biggest foreign investment countries (Han, Koa, & Wu, 2002). Young (1996) stated that Taiwan has started foreign investment since 1988. In recent years, Taiwanese businesses started doing investment in Mainland China because of its low labor cost and the same culture and language (Tzoa, 1998). Though the total amount of foreign investment has dropped; according to the figures released by Taiwan's Industrial Development & Investment Center (2002), the investment to Mainland China is still increasing. This shows that Taiwan's multinational businesses still have long-term needs of expatriates to work in Mainland China.

The cost of expatriates is three times more than the personnel cost in parent company, but the outcomes were mostly not cost effective (Wederspahn, 1992). Many expatriates failed to carry out their missions overseas because they encountered problems that they were not able to overcome. Mendenhall & Oddou (1985) found that the failure rate of expatriate program was 40%. Some even reported that the failure rate was more than 50% (Arvey, Bhagat, & Salas, 1991). In order to help those expatriates to successfully accomplish their missions, training is a must thing to do (Selmer, 2000). Ashamalla and Crocitto (1997) also believed that the expatriate training prior to sending expatriates overseas could reduce the failure rate. They then stated that appropriate selection strategy and training is crucial for expatriate management. However, Selmer (2000) found that not many business leaders considered taking it seriously. Moreover, not all the researchers supported that expatriate selection and training were effective. Gaugler and Thornton (1989), Goffin, Rothstein, and Johnston (1996), and Kealey and Protheroe (1996) also stated that they were skeptical about the effectiveness of expatriate selection and training.

Lacking of sufficient understanding of the culture, expatriates were not able to effectively manage the subsidiaries and even caused conflicts between management and workers. That is why there were many failed cases of expatriate management (Han, et al., 2002). Most of the research studies focused on expatriate individuals such as the problems they have encountered, and their characteristics and so forth. For providing knowledge on practical aspect of expatriate management, therefore, this present study focused on the relationships among HR manager demographics, expatriate assignments, expatriate selection, and expatriate training.

Copyright © 2004 Chi-jung Fu & Hui-chin Chu

Research Framework and Hypotheses

Among expatriate cases, there were more than 30% expatriates did not accomplish their missions. The reasons were directed into two areas: poor expatriate selection, and insufficient expatriate training (Hogan & Goodson, 1990; Mendenhall & Oddou, 1985). Besides that, Fu (1998) found that HR manager' perceptions and their personal characteristics did play a crucial role in expatriate management. Therefore, the purpose of this present study is to examine the relationships among the expatriate assignments and the demographics of human resource managers on expatriate selection and training.

Expatriate selection. Ku (1993) believed that personality is one of the most important criteria of selecting expatriates. He found out that the more positive the personalities the expatriates have, the better they adjust to cross-cultural settings. Therefore, for promoting the success rate of expatriate management, the very first important task is expatriate selection. Hogan, Hogan, & Roberts (1996) agreed that expatriate performance is significantly related to expatriate selection strategy, and professional competencies are the main criteria of expatriate selection (Kats & Seifer, 1996).

Will & Barham (1994) believed that expatriates should have the ability to deal with complicated situations and emotional problems, so having an appropriate level of maturity is crucial for working abroad. Family's attitudes and willingness to go with the expatriates, leadership ability, professional knowledge and skills, interpersonal skills, communication skills, cultural sensibility, ability of maintaining organizational culture, and data collection ability are crucial criteria for selecting expatriates. Chen (1998) stated the language ability, knowledge, learning ability, personality, and interpersonal skills are essential to an expatriate.

Previous experience of working overseas helps the adjustability to another country (Black, 1992). Black (1992) pointed out that only 11% of the expatriates have the experience worked overseas, which means that most of the expatriates' cultural adjustability (89%) is not verified. However, past experience might have some effect on adjustability, but in other areas, the difference is not obvious. Besides that, the duration of expatriate assignment also factor for expatriate's adjustability (Tung, 1987; Brewster, 1991). Heller (1980) believed that personal maturity affects cross-cultural adjustability. Therefore, many organizations take age as one of the expatriate selection criteria.

Although effective expatriate selection can promote the success rate of expatriate assignments (Lievens, De Fruyt, & Van Dam, 2001), the appropriateness of expatriate selection has frequently questioned by researchers (Gaugler & Thornton, 1989). Goffin, et al. (1996) pointed out that the selection is not significantly related to actual performance. The argument indicated that there is no consensus conclusion about expatriate selection, and the HR managers' perceptions toward expatriate selection are not clear. Therefore, it leads to the following two hypotheses:

H1: The demographics of HR managers have no significant effect on expatriate selection criteria.

H2: There is no relationship between expatriate selection and the characteristics of expatriate assignments.

Expatriate training. Lee (1995) believed that training is the most effective way to improve organizational performance, but it is frequently overlooked by the management because of its delay-outcomes. The benefits of expatriate training can be reflected to both organizations and the employees (Hodgetts & Luthans, 1991). To organizations, training can enhance the communication between and control from a parent company to the host company; to expatriates, training can improve their competencies, cultural adjustability, and promote commitment.

Baliga & Baker (1985) found that only 25% of the multinational companies provide training for expatriates. Tung (1987) pointed out that 30% of the multinational companies provide expatriate training. Expatriate training is more popular in Europe (69%) and Japan (57%) (Torbiorn, 1982). Even though many researches proved that training can promote the success rate of expatriate management, Dowling, et al. (1999) found that, from the failure cases, there were still many companies not willing to provide the training. Their reasons are:

1. The management did not believe the effectiveness of training;
2. The time frame between selection and actually working in a host country is too short to offer training;
3. Organizations failed to provide training for urgent assignment; and

4. Many organizations perceived that professional competencies are the only important requirements of expatriates, and the rest will take care it itself as time goes (Hogan & Goodson, 1990; Mendenhall & Oddou, 1985).

Zakaria (2000) classified training programs into six main topics: professional skill training, data collection skills, certain fields learning, culture, cross-cultural training, and interpersonal skill training. Ashamalla & Crocito (1997) believed that the orientation to expatriates should be training in cross-cultural adjustability, professional competency, language, and management skills.

Landis & Brislin (1983) found that the training of cross-cultural adaptability becomes much more important nowadays because many companies have the multi-cultural workforce. Chen & Starosta (1996) stated that in the global society, the opportunities of dealing with other people with different cultural backgrounds increase, one should develop his/her multi-cultural communication skills. Under this notion, cross-cultural training should not be neglected by any organizations. In fact, even in two countries with similar cultures, expatriates would possibly still have adjustment problems due to the space and geographical differences (Brewster, 1991).

In early years, studies showed that 30% of the failed cases were because expatriates failed to adjust the culture shocks (Henry, 1965). In recent years, similar studies also showed the same results. Without receiving cross-cultural training, many expatriate managers failed on their missions (Black, 1992; Selmer, 1995). Black & Mendenhall (1990) stated that only 30% of the multinational companies provided cross-cultural training to short-term expatriates. Hogan & Goodson (1990) pointed out, in their study to the Japanese multinational companies, that 86% of them provided such training programs to their expatriates, so the failure rate was reduced to only 10%.

In a survey to 200 companies, the researcher found out that the need of cross-cultural training is much more than the need of language training (Lubin, 1992), though language training should be also included in expatriate training package (Zakaria, 2000).

The importance of expatriate's family attitudes has been studied in early years (Robinson, 1978). Recent researchers (Tung, 1987) found that family attitudes were still an important factor for expatriate success. Huang (1995) states that many Taiwan's multinational companies adopted a strategy of "learning by doing," and Tzoa (1995) found in such a way, it is not helpful for expatriates to develop cross-cultural adjustability at all. However, though many researchers agreed that training is the best way of improving cross-cultural adjustability, not all of the researchers agreed that training is the only means for improving such ability (Kealey & Protheroe, 1996). In Taiwan, there are few studies focusing on expatriates, but the relationship between HR manager's perceptions toward job assignments and expatriate training are not clear. Therefore, it leads to the next two hypotheses as follow:

H3: There is no relationship between HR manager's perceptions and the importance of expatriate training programs.

H4: There is no difference among HR manager's perceptions toward the importance of expatriate training programs.

Methodology

Research instrument. The research instrument of the present study "Expatriate Selection Criteria and Training Survey for Taiwan's Multinational Companies" was developed based on the related literature and consulted with professionals in the field. For promoting the consistency of the survey, the close-ended questions were adopted. There were totally five different sections consisting 45 questions, which included demographic data of the HR managers, expatriate job functions, expatriate selection criteria, and expatriate training programs. Pilot test was conducted to enhance the reliability and validity of the survey instrument. The survey questionnaire was modified accordingly. The reliability test indicated that the minimum *Cronbach's Alpha* for the scaled items was 0.85.

Factor analyses were conducted to the scaled items to determine factors in both Selection-criteria and Training-program sections (see Table 1). Four factors were created which are: Work-intention (loyalty and competence), Learning-adjustability (the ability of learning and social adjustment), Gender-maturity (sex and age) and Other (willingness and health condition). Two factors, Employee-training (training about performing the job)

and Family-training (training about expatriate's family or companions) were formed. Reliability tests were also conducted. A minimum Coefficient Alpha of .75 indicated that scaled items in all factors were considered reliable.

Table 1. Factor Analysis of Selection-criteria and Training-program

Category	Factor	items	Eigenvalue	Variances	n	Mean	S.D.
Selection-criteria	Work-intention	7	7.40	49.30%	83	0	1
	Learning-adjustment	7	1.49	9.93%	83	0	1
	Gender-maturity	2	1.45	9.66%	83	0	1
	Other	3	1.15	7.67%	83	0	1
Training-program	Employee-training	8	5.61	56.11%	83	0	1
	Family-training	3	1.69	16.87%	83	0	1

Population, sample, and data analysis. Lui (2002) suggests that it is more likely for larger companies to have foreign investment than smaller companies. From the regulations of "Criteria of Listed Companies" released by the Securities and Futures Commission, Ministry of Finance, ROC (2003), all the listed companies are classified as big corporations. The population of the present study was 640 listed companies released by Taiwan Stock Exchange Corporation (2002).

To ensure the responding sample was large enough (78 participants as required) (Creative Research Systems, 2002), the survey questionnaires were mailed via e-mail system to all the population. In which, 98 were returned because of incorrect e-mail address; 286 had never been returned; 173 respondents declared unwilling to participate due to their organizational policies. Therefore, the valid sample was 83 HR managers from 83 companies. In which, 66.3% (54) of them were male. The majority age group (54 participants) ranged from 30 to 40 of age. About three quarters of them (75.5%) received at least a college degree. Most of the managers were married (72.3%), while only 23 managers were single. The majority (42.2%) of the participants had management experience around 2 to 5 years.

Finding and Results

Expatriate selection criteria, and training programs. There were fifteen variables in expatriate selection criteria. In which, the variables Age and Gender were not considered as important by the participants. The other 13 variables (mean scores greater than 3.0 at $p < 0.03$ level) were treated as important selection factors. Among 10 variables of training programs, four items (communication training, conflict management training, fundamental management training, and technical training) were treated as important training subjects for the expatriates (minimum mean score of 3.30 at $p < 0.02$ level).

Test of hypotheses 1 and 3. The t-test results in Table 2 indicated that gender and marital status of the HR managers caused differences on expatriate selection criteria. Generally, female HR manager emphasized more on issues related to position levels, locations, length of the duration of the expatriate assignments, and work intentions of selected expatriates than their counterparts with a minimum t of 2.29 ($p < 0.02$). Married HR managers treated work intentions of the selected expatriates as the more important factor than unmarried HR managers ($t = 2.78$, $p < 0.01$). The results of ANOVA on Table 3 indicated that age of the HR managers caused significant perceptual differences toward the importance of expatriate position levels ($F = 3.10$, $p < 0.03$); managerial experience of the HR managers caused significant differences on all the factors in expatriate selection criteria (minimum $F = 2.87$, $p < 0.03$). According to the test results, the hypothesis 1 was rejected. The characteristics of HR managers have significant effect on expatriate selection criteria.

Table 2 also indicated that there were significant differences between male and female HR managers on their perceptions toward the importance of the expatriate training programs. Female HR manager considered positions, length of the duration of expatriate assignments, locations, and functions of the expatriate assignments more important than their counterparts (a maximum t of -2.31, $p < 0.02$). Married HR managers treated expatriate training as a more important factor than unmarried HR managers ($t = 2.39$, $p < 0.02$). The results of ANOVA on Table 3 also indicated that the HR manager's age and education background caused different perceptions toward the importance

of expatriate training (a minimum $F = 2.90$, $p < 0.04$); the managerial experience of the HR managers caused significant different perceptions toward all the factors in expatriate training (minimum $F = 2.47$, $p < 0.05$). Therefore, the hypothesis 3 was rejected. There are differences among HR manager's perceptions toward the importance of expatriate training programs.

Table 2. *t-test of Expatriate Selection Criteria and training based on HR Manager's Characteristic*

Category	Variables		Male or Married			Female or Single			<i>d.f.</i>	<i>t</i>
	Independent	Dependent	<i>n</i>	Mean	S.D.	<i>n</i>	Mean	S.D.		
Selection	Gender	Assignment-position levels	54	3.46	1.08	29	4.03	0.78	81	-2.52**
		Assignment-length of duration	54	3.54	0.79	29	3.93	0.65	81	-2.29*
		Assignment-locations	54	3.54	0.93	29	4.10	0.41	81	-3.13**
		Work-intentions	54	-0.18	1.14	29	0.34	0.51	81	-2.35*
	Marital status	Work-intentions	60	0.18	0.88	23	-0.47	1.15	81	2.78**
Training	Gender	Assignment-positions	54	3.26	1.03	29	3.83	0.80	81	-2.57**
		Assignment-characteristic	54	3.61	1.11	29	4.03	0.57	81	-2.31*
		Assignment-length of duration	54	3.20	1.05	29	3.86	0.69	81	-3.03**
		Assignment-locations	54	3.26	0.96	29	4.10	0.56	81	-4.37**
	Marital status	Expatriate training	60	0.16	1.00	23	-0.41	0.88	81	2.39*

* $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Data was presented only when p-values were less than or equal to 0.05.

Table 3. *ANOVA test of Expatriate Selection Criteria and Training based on HR Manager's Characteristic*

Category	Variable		Between		Within		<i>F</i>
	Independent	Dependent	SSR	<i>d.f.</i>	SSR	<i>d.f.</i>	
Selection	Age	Assignment-length of the duration	5.08	3	43.13	79	3.10*
		Work-intentions	17.13	4	64.87	78	5.15***
		Learning-adjustability	10.51	4	71.49	78	2.87*
		Age-maturity	22.61	4	59.39	78	7.43***
		Other	16.81	4	65.19	78	5.03**
		Assignment-positions	17.54	4	67.01	78	5.10***
		Assignment-length of the duration	12.04	4	36.18	78	6.49***
		Assignment-functions	9.37	4	49.52	78	3.69*
	Managerial Experience	Assignment-locations	12.17	4	44.00	78	5.39***
Training	Age	Training for expatriates	8.14	3	73.86	79	2.90*
		Education	11.41	2	70.59	80	6.47***
		Managerial Experience	14.49	4	67.51	78	4.18***
		Training for related people	12.97	4	69.03	78	3.66**
		Assignment-positions	21.29	4	59.31	78	7.00***
		Assignment-functions	15.47	4	61.71	78	4.89***
		Assignment-length of duration	9.05	4	71.34	78	2.47*
		Assignment-locations	10.87	4	59.64	78	3.55**

* $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Data was presented only when p-values were less than or equal to 0.05.

Test of hypothesis 2. According to Table 4, technical-related assignments were significantly related to Work-intention ($r = 0.41$, $p < 0.01$) and Gender-maturity ($r = 0.29$, $p < 0.05$); negotiation-related assignments were related to Learning-adjustability ($r = 0.27$, $p < 0.05$); and managerial-related assignments were also related to

Work-intension ($r = 0.39$, $p < 0.01$). Accordingly, the hypothesis was rejected. There is significant relationship between expatriate selection criteria and assignment characteristics.

Table 4. Pearson Correlation test of Assignment Characteristics and Expatriate Selection Criteria

Variable	Work-intensions	Learning-adjustment	Gender-maturity
Technical-related	0.41**		0.29*
Negotiation-related		0.27*	
Managerial-related	0.39**		

* $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Data was presented only when p-values were less than or equal to 0.05.

Test of hypothesis 4. Expatriate job functions were classified into three functions: technical-related, negotiation-related, and managerial related. According to Pearson Correlation test results in Table 5, HR managers emphasized more on training for expatriate programs if the expatriate assignments need more negotiation or managerial knowledge and skills (with minimum $r = 0.38$, $p < 0.01$); however, technical-related assignments were negatively related to training for related people programs ($r = -0.33$, $p < 0.01$). Therefore, the research hypothesis was rejected. There is significant relationship between HR manager's perceptions toward the importance of expatriate training programs and expatriate assignments.

Table 5. Pearson Correlation about Expatriate Job Assignment and Training Program

Variable	Training for expatriates	Training for related people
Technical-related		-0.33**
Negotiation-related	0.38**	
Managerial-related	0.47***	

* $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Data was presented only when p-values were less than or equal to 0.05.

Conclusions and Discussions

The purpose of the study was to investigate the expatriate HR management in Taiwan's multinational companies on employee selection and training, and the factors affecting these practices. The study results indicated that expatriate selection was affected by the HR manager's characteristics and the functions of the expatriate assignments.

Female HR managers believed that employee's work intentions were very important factor affecting their performance, so did married HR managers. HR managers cared more about employee's adjustability and learning ability. Expatriate assignment contents were significantly affecting employee selection. If the job was highly related to technical skills, candidates' work intention, gender, and age were important factors, while if the job was negotiation-related, adjustability and learning ability were crucial for selecting expatriates. Candidate's work intentions were the most important factor if the job was managerial-related.

This study found, among all the participating organizations, none of them provided family adjustment program to the selected employees, though it was one of the criteria of selecting expatriates. They treated family adjustment as one of the important criteria to select expatriates, but they did not want to provide such training. In another words, selected employees who were going to work abroad were supposed to take care of this issue themselves. It was possibly one of the attributes of increased expatriate failure rate.

This study also found that technical-related assignments had no impact on training program selection. Employees who were selected to work abroad should be competent in this area. Negotiation-related and managerial-related assignments required more training, so they were factors affecting training program selection.

Limitations of the Study

There are two limitations about the present study. Because of the sensitive political issues between Taiwan and Mainland China, respondents might have had concerns to give true answers. The survey questionnaires were sent via e-mail to the HR managers or asked to forward the mail to the HR managers; however, it might be possible that some of the participants were not HR managers.

Contributions to new knowledge in HR field

This study found that the importance of family adjustment was neglected by most of the multinational companies in Taiwan since none of the participating organizations provide family adjustment programs. Family support is one of the key factors for expatriate success; insufficient family support and adjustment caused problems for expatriates that led to their failure of accomplishing their missions abroad (Tung, 1987). The researchers suggested that organizations should take this matter more seriously if they are to promote the expatriate success rate.

From the results, it was found that HR managers did not have sufficient awareness of the importance of cross-cultural adjustability. The training programs mostly focused on professional and managerial competencies, it was possibly because most of the expatriates were sent to work in Mainland China, where the people and the language are the same with Taiwan. It was assumed that employees should not have problems to adjust. The assumption might not be correct since the two countries were under different political and living environments for a long time. Therefore, it is suggested that multinational companies in Taiwan should provide more training program on cross-cultural adjustment.

References

- Arvey, R. D., Bhagat, R. S., & Salas, E. (1991). Cross-cultural and cross-national issues in personnel and human resources management: where do we go from here? *Personnel and Human Resource Management*, 9, 367-407.
- Ashamalla, M. H., & Crocitto, M. (1997). Easing entry and beyond: Preparing expatriates and expatriates for foreign assignment success. *International Journal of Commerce & Management*, 7(2), 106-114.
- Black, J. S. (1992). Evaluating the performance of global managers. *Journal of International Compensation and Benefits*, 1, 35-40.
- Black, J. S., & Mendenhall, M. E. (1990). Cross-cultural training effectiveness: A review and a theoretical framework for future research. *Academy of Management Review*, January, 113-136.
- Black, J. S., Mendenhall, M. E., & Oddou, G. (1991). Toward a comprehensive model of international adjustment: An integration of multiple theoretical perspectives. *Academy of Management Review*, 16(2), 291-317.
- Brewster, C. (1991). *The management of expatriates*. London: Kogan Page.
- Brislin, R. W. (1981). *Cross-cultural encounters: Face-to-face interaction*. New York, NY: Pergamon..
- Chen, G. M., & Starosta, W. J. (1996). Intercultural communication competence: A synthesis. In B.R. Burleson & A.W. Kunkel (Eds.), *Communication Yearbook*, (pp. 353-383). Thousand Oaks, CA: Sage.
- Creative Research System. (2002). *Survey software that makes you look good*. Internet document, 2002/11/25, <<http://www.surveysystem.com/>>.
- Dowling, P. J., Welch, D. E., & Schuler, R. S. (1999). *International human resource management: Managing people in a multinational context*. South-Western College Publishing.
- Fu, C. J. (1998). *The relationship between employer's managerial attitudes and human resource development practices in small manufacturing companies in Arkansas*. Unpublished doctoral dissertation, University of Arkansas, Fayetteville.
- Gaugler, B. B., & Thornton, G. C. (1989). Number of assessment center dimensions as a determinant of assessor accuracy. *Journal of Applied Psychology*, 74, 611-618.

- Goffin, R. D., Rothstein, M. G., & Johnston, N. G. (1996). Personality testing and the assessment center: Incremental validity for managerial selection. *Journal of Applied Psychology, 81*, 746-756.
- Han, C., Koa, G., & Wu, Y. (2002). The Effect of Expatriate Strategy on Adjustability and Performance. *Human Resource Management Journal in Taiwan, 2*(1), 37-55.
- Heller, J. E. (1980). Criteria for selecting an international manager. *Personnel*, May-June, 47-55.
- Henry, E. R. (1965). What business can learn from Peace Corps selection and training? *Personnel, 42*, 17-25.
- Hodgetts, R. M., & Luthans, F. (1991). *International management*. McGraw-Hill.
- Hogan, G. W., & Goodson, J. R. (1990). The key to expatriate success. *Training and Development Journal, 8*, 50-52.
- Hogan, R., Hogan, J., & Roberts, B. W. (1996). Personality measurement and employment decisions. *American Psychologist, May*, 467-477.
- Industrial Development & Investment Center. (2002). *A comparison between Taiwan and Eastern Asia countries*. <<http://www.idic.gov.tw/summer.html>>
- Kats, F. E., & Seifer, D. M. (1996). It's a different world out there: Planning for expatriate success through selection, pre-departure training and on-site socialization. *Human Resource Planning, 19*(2), 32-47.
- Kealey, D. J., & Protheroe, D. R. (1996). The effectiveness of cross-cultural training for expatriates: An assessment of the literature on the issue. *International Journal of Intercultural Relations, 20*(2), 141-65.
- Ku, F. T. (1993). *A study of overseas adjustability of expatriate managers*. Unpublished Master's thesis, National Chengchi University.
- Lievens, F., De Fruyt, F., & Van Dam, K. (2001). Assessors' use of personality traits in descriptions of assessment center candidates: A five-factor model perspective. *Journal of Occupational and Organizational Psychology, 74*, 623-636.
- Lui, F. (2002). Are You Able to Work Abroad? *Cheers Magazine*, July, 2-15
- Mendenhall, M., & Oddou, G. (1985). The dimensions of expatriate acculturation: a review. *Academy of Management Review, 10*(1), 39-47.
- Pucik, V. (1998). Selection and developing the global versus expatriate manager: A review of the state-of-the-art. *Human Resource Management, 21*(4), 40-54.
- Robinson, R. D. (1978). *International business management*. Illinois: Dryden Press.
- Securities and Future Commission, Ministry of Finance, ROC (2002). 2002/11/25 http://www.sfc.gov.tw/intro_index.htm
- Selmer, J. (1995). Expatriate executive succession. In J. Selmer (Ed.), *Expatriate management: New ideas for international business*, 73-94. Westport, CT: Quorum/Greenwood.
- Selmer, J. (2000). A quantitative needs assessment technique for cross-cultural work adjustment training. *Human Resource Development Quarterly San Francisco, 11*(3), 269-281.
- Taiwan Stock Exchange Corporation (2002). 2002/11/25, <http://www.tse.com.tw/market/company/code.htm>.
- Tung, R. L. (1987). Expatriate assignments: enhancing success and minimizing failure. *Academy of Management Executive, 1*(2), 117-126.
- Tzao, B. (1998). Expatriate Selection Criteria (2), *Banking Quarterly, 21*(3), 121-132
- Wenderspahn, G. M. (1992). Costing failures in expatriate human resources management. *Human Resource Planning, 15*, 27-35.
- Will, S., & Barham, K. (1994). Being an international manager. *European Management Journal, London, 12*(1), 49-58.
- Young, C. (1996). The Relationship between Internationalizing Process and Human Resource Strategy. *Shih-hsin Journal at Shih-hsin University, 6*, 115-137
- Zakaria, N. (2000). The effects of cross-cultural training on the acculturation process of the global workforce. *International Journal of Manpower, 21*(6), 492-510.

Training Evaluation: A Case Study of Taiwanese Benchmark Companies

*Bella Ya-Hui Lien
National Chung University*

*Richard Yu-Yuan Hung
Toko University*

This paper presents the finding of training evaluation strategies in Taiwanese benchmark companies. The purposes of this study were: (1) to explore and understand Taiwanese benchmark companies' training evaluation methods, (2) to compare and contrast among Kirkpatrick's Evaluation Model, Swanson's Performance Learning Satisfaction (PLS) Evaluation Model, and Taiwanese companies situation, then construct an evaluation model to represent benchmark companies in Taiwan.

Key words: Training Evaluation, Benchmark, Taiwan

Today, the importance of evaluating training ranks high among training consultant and top management as a means of justifying training investment (Hashim, 2001). In addition, training evaluation is the most appropriate method of demonstrating the HRD value to their organizations (Preskill, 1997). While HRD professionals have frequently been advised to determine the return on training investments, little is known about actual training evaluation practices in Taiwanese organizations. More studies of training evaluation are needed.

According to Garvin (1995), the way to measure the effect of learning can be traced from the following three stages: (a) cognitive: focus on attitudes and depth of understanding, (b) behavior: supplement by direct observation, survey and questionnaires can be used to assess behavioral changes, and (c) performance improvement: by measuring performance to provide the rationale for investing in learning and organization's ends. From a performance improvement perspective, Swanson (1994) proposed a training evaluation model, in which raised the attention of HR professionals. Swanson's model was one of pioneer to mention about the importance of performance-based evaluation in training program. On the other hand, Kirkpatrick's work (Kirkpatrick, 1998) has always received a great deal of attention and well known within the field of training evaluation. Therefore, these two perspectives were chosen to explicit the Taiwanese benchmark companies in training evaluation.

However, in Taiwan, few study using the Kirkpatrick's model to evaluate the training program (Chang & Tin, 1994; Hwang & Wen, 1995; Lin & Chu, 1997). Most of time, in Taiwan, the evaluation of a training program is based on the trainers' subjectively evaluation or participants' satisfaction survey of the program. In other words, due to the difficulty of the training evaluation, in many organizations, evaluation of training either is ignored or is approached in an unconvincing or unprofessional manner.

According to Common Wealth (1999), several benchmark companies as "best practices" leaders not only perform well financially but also win the great fame in society by providing remarkable employee training programs. Some of them attribute their good performance to good training programs and evaluation system. Since benchmarking was described as the practice of learning of leading business ("Harvard Management Update," 1999), this study intend to provide the experiences of Taiwanese benchmark companies in evaluating training programs. In sum, the objective of this study is through case studies to understand what the benchmark companies really do for evaluating training programs. Further, by comparing and contrasting with Kirkpatrick's and Swanson's model, this study proposed a model, which better describe these successful organizations' training evaluation systems. This paper concludes with a discussion of the implication of the findings for evaluation methodologies. In sum, the purpose of this study included:

1. Explore and understand the Taiwanese benchmark companies' training evaluation methods.
2. Compare and contrast among Kirkpatrick's, Swanson's models and Taiwanese organizations situation, in order to construct a useful model from cross-cultural perspective.
3. Attempt to develop the domain of a evaluation model.

Research Questions

This study addresses the following questions:

1. What are major perspectives of evaluating training programs on which HRD Practitioners of benchmarking companies are based on?
2. What evaluation methods are they used?

Theoretical Framework

Training Evaluation

Evaluation “is the process of appraising something carefully to determine its value” (Ruthwell & Sredl, 1992, p. 411). Training evaluation is often defined as the systematic process of collecting data to determine if training effective (Goldstein & Ford, 2002; Noe, 2000). In addition, the evaluation of training must be studied as a part of an organization subsystem and understood within an organization context.

Most instructional design models for training program evaluation distinguish summative and formative evaluation (Dick & Carey, 1996; White & Branch, 2001). Summative evaluation describes efforts that assess the effectiveness of completed interventions in order to provide suggestions about their use. Formative evaluation is to improve the quality of the program being developed so it will be as likely as possible to achieve the objectives for which it was designed (Beyers, 1995). Despite the summative or formative evaluation form, there are many models have been suggested to help managers and trainers measure and evaluate the efficiency and effectiveness of training programs (Baldwin & Ford, 1989; Holton, 1996; Kaufman, & Keller, 1994; Swanson, & Holton, 1999), however, these models still seldom used wisely due to lack of the practical support by using limited numbers of design and methods (Preskill, 1997).

Performance Improvement Perspective

In HR field, training evaluation must demonstrate improved performance and financial results. It has been a difficult task for HRD to defined what performance is in the workplace. Performance may be measured in terms of individual, process, and organizational perspectives (Rummel and Brache, 1992), or in relation to quantity, time, and quality (Swanson, 1999). However, more and more study pointed out the importance of performance-based evaluation in training program (Swanson, 1994; Greirer, 1996; Weiss, 1998; Wholey, 1999).

From organization performance perspective, Phillips’ (1996) training evaluation model suggested the Return on Investment (ROI) as the fifth level of evaluation to reflect the performance. Kaufman and Keller (1997) also suggested the fifth and sixth level of evaluation, which included the effectiveness of expected outcome after implement training program.

Kirkpatrick's and Swanson's Ttraining Evaluation Models

Kirkpatrick’s four level model not only was examed from the theoretical perspective (Miller, 1990) but also examed by positive researchers (Alliger and Janak, 1989). Kirkpatrick’s (1994) four levels include: (a) Level I – Reaction: measures how learners feel about learning/training, (b) Level II – Learning: evaluates what was learned and retained from the learning experience, (c) Level III – Behavior /Application: evaluates the degree to which learners apply what was learned on the job, and (d) Level IV – Results: evaluates the impact that transfer of learning has on the business. Swanson (1994) suggested an evaluation system called Performance-Learning-Satisfaction (PLS) model. The domain of the evaluation can be divided into: (a) performance, including evaluate the business result and financial result, (b) learning, including evaluate knowledge and expertise of participants, and (c) satisfaction, including evaluate participants’ and sponsors’ perception of satisfaction. Although The Results Assessment System (Swanson & Holton, 1999) is revised from PLS model to Performance-Learning-Perception (PLP) models, the PLS model still represented the performance-based evaluation. It seems Kirkpatrick’s and Swanson’s training evaluation models (original PLS model) do have the similarity (Table 1):

Table 1. Comparison Between Kirkpatrick's and Swanson's Model

Kirkpatrick's model	Swanson's PLS model
Reaction	Satisfaction: ● Participants' ● Sponsors'
Learning	Learning: ● Knowledge ● Expertise
Behavior	Performance: ● Business Result ● Financial Result
Result	

Research Method

This is an exploring study, the methods included: in-depth interview, documentation, and observation of seven training center in Taiwanese benchmark organizations. A qualitative case study is an appropriate methodology to study what benchmark organization conduct a training evaluation is and how they apply the evaluation system (Balog, 1995; Stake, 1994; Yin, 1989).

Participants

On three consecutive years, the well-known Taiwanese Commonwealth Magazine (1998, 1999, 2000) list the benchmark companies among 500 companies by using expert nominate methods. After reviewing the ranking of the training benchmark companies on the three consecutive years, twelve companies are qualifying for this benchmark study. After the first contact, seven of them were agree to participant this study. The study last for a year in which included interview and on-site observation. The interviews were conducted during the summer of year 2001. Each company, at least two HR practitioners were involved for the study. Each personal interview lasted for appropriately two hours in length. Open-ended semi-structure questions and probes were used to elicit each participant's view of training evaluation model in their companies. The interview guide includes the questions like: (a) who conducts training evaluation? (b) What role does top manager play in training evaluation in the respondent' organizations? (c) For what job categories is training evaluation most often conduct? (d) What training evaluation methods are most frequently used? (e) What training evaluation methods are perceived to be most effective?

Data Collection and Analysis

After the in-depth interview of HR people or training practitioners in the seven benchmark companies, the interviews were verbatim transcribed and coded. Along with companies' documents, the text was analyzed by the following categories: (a) training content, (b) training evaluation methods and forms, and (c) training evaluation and performance. Through continued to read broadly to gain insights into the data, some patterns were found. And we repeatedly compared the training evaluation patterns of the firms and then further compare to the Swanson's and Kirkpatrick's models. This study based on various sources of data, use at least two perspectives to interpret data, and justified by members of a research team, therefore the results were triangulated (Patton, 1990).

Findings

Summary of the seven firms studies had illustrated in Table 2 as follow. The seven benchmark companies in Taiwan all make efforts on their training program. In addition, they all point out the importance of performance improvement perspective on training evaluation. But some of HR professionals argue that measuring ROI for training is not possible; others quietly and deliberately develop ROI measures.

Table 2. Summary of the Seven Firms Studied

Company Name	Company Profile	Training Evaluation
ACER	Established in 1976, Acer is among the world's top ten branded PC vendors. In the 26 years since its inception, Acer has evolved from a manufacturing powerhouse to a globally recognized computer brand, marketing	Acer's training evaluation strategies are focus on creating a learning roadmap or training roadmap by using system concept to assure the quality of training. First, they build up the road map for training, and then

	world-class IT products and services. In Acer, over 6267 employees around the world.	follow the process and procedure of training. Second, among the training activities, their evaluators included employees, line managers, and HR people.
ASUS	Founded in 1989, ASUS has grown into a multi-national corporation and successfully become a major player in the international IT scene. With over 19,360 employees worldwide, ASUS has come a long way from being simply a tiny motherboard designer to being recognized as one of the top providers of total technology solutions. In Taiwan, the average age of employees is 29.5 years old. Over 59% of all employees are college-educated.	Training focuses on new employees orientation program. Due to most of employees are technicians, their training strategy are deploy to the department. Their top management believe the value of training, therefore, their training evaluation are embedded in the whole training program. Their HR professionals believe that measuring ROI for training is not possible.
CMC	CMC founded in 1973. Current capital funds have accumulated to NT\$9.7 billion with around 3,000 employees. With the philosophy of "Harmony, Innovation, Top" in management, each member in CMC reflects the belief of " Meet Requirement, Mental Insistence, and Nil Defect" in the quality of products.	First of all, base on the employees' competency assessment to conduct a training program. After implementation of the training, the satisfaction survey (seven constructs) was delivering to the employees. Secondly, an action plan was develop to check the employees' behavior change after the training.
IBM	IBM is the world's largest information technology company, as well as the world's largest business and technology services consultancy (\$35 billion); the world's largest hardware company (\$33 billion) and I/T rental and financing company (\$3.4 billion). IBM strives to lead in the creation, development and manufacture of the industry's most advanced information technologies, including computer systems, software, networking systems, storage devices and microelectronics. However, IBM in Taiwan employ the parent company's policy.	The training strategies of IBM are worldwide; they are focused on "high performance culture". They form a "skilled council" (formed by senior employees who are nominated) in charge in evaluating employees' needs and provide some suggested activities to decision committee in order to develop suitable training program. There are three levels of training evaluation. Level one: immediately satisfaction evaluation after the training. Level two: employees' line managers evaluate employees' performance. Level three: an overall satisfaction survey for training. By using an action plan form, HR department of IBM can facilitate and check the effects of the training result.
TSMC	In 1987, TSMC launched the Taiwan Semiconductor Manufacturing Company (TSMC) with just 258 employees. Today, they are proud of the fact that they have over 14,000 people in four countries worldwide. From 1997 to 2003, TSMC was voted as Taiwan's number one company for Employee Training and Development by "Commonwealth" Magazine.	The mechanism of training evaluation is based on the model of PDCA. According to the needs of department, individuals, and organizational strategy to plan the training program. By using Performance Management Development (PMD) program to link to the needs among individuals, group, and organization.
UMC	UMC is a world-leading semiconductor foundry, specializing in the contract manufacturing of customer designed ICs for high performance semiconductor applications. Founded in 1980 as Taiwan's first IC company, UMC is the foundry technology leader, receiving more semiconductor patents than any other Taiwanese company in both Taiwan and the U.S.	The training evaluation strategies of UMC are followed by the Kirkpatrick's model. The most important aim is to look at the behavior change. The following methods indicated the possible evaluation format: a) skills & knowledge tests, b) interview, c) group meeting or presentation: problem-solving, management case sharing, d) interview with line manager, e) survey, and f) feedback or email command to senior managers.
WINBOND	Winbond Electronics Corporation was established in 1987 in the Hsinchu Science-based Industrial Park, Taiwan. After fourteen years of growth and accumulation of bountiful assets in products and technologies, they become a prestige company in the area. There are over 4400 employees and over 48 % of all employees are college-educated.	The training evaluation strategies are based on the Kirkpatrick's model and modified it five steps: (a) programs satisfaction survey, (b) result evaluation by using test or simulation methods, (c) behavior evaluation on the direct employees, (d) around 10% will evaluate the changing behavior, (e) little courses would measure the ROI.

Overall Comparison of Training Evaluation Strategies

After the text analysis, researchers summarize main evaluation strategies of seven companies and compare with both Kirkpatrick's and Swanson's Model on Table 3 below.

Table 3. *Comparison among Benchmark Companies in Evaluation Methods, Kirkpatrick's and Swanson's Model*

	Main evaluation strategies	Kirkpatrick Model	Swanson's PLS Model
ACER	(a) Focus on from E-learning to KM (b) Focus on creating training roadmap (c) Focus on the evaluating the training process	● Reaction ● Behavior	● Satisfaction ● Learning ● Performance
ASUS	(a) Satisfaction survey (b) Action plan	● Reaction ● Behavior	● Satisfaction ● Learning
CMC	(a) Satisfaction survey (b) Action plan	● Reaction ● Behavior	● Satisfaction ● Learning
IBM	(a) Evaluation of the program and instructors' satisfaction (b) Line managers check employees' performance (c) Overall satisfaction	● Reaction ● Performance	● Satisfaction ● Learning ● Performance
TSMC	(a) PDCA (b) Performance Management Development (PMD) (c) Action plan	● Reaction ● Learning ● Behavior	● Satisfaction ● Learning ● Performance
UMC	(a) Skills & knowledge test (b) Interview (c) Group meeting and presentation, management case sharing (d) Interview with line managers (e) Satisfaction survey	● Reaction ● Learning ● Behavior ● Performance	● Satisfaction ● Learning ● Performance
WINBOND	(a) Satisfaction (b) Simulation to check the result (c) Evaluate the changing behavior (10% of all the training program) (d) Measure ROI (little)	● Reaction ● Learning	● Satisfaction ● Learning

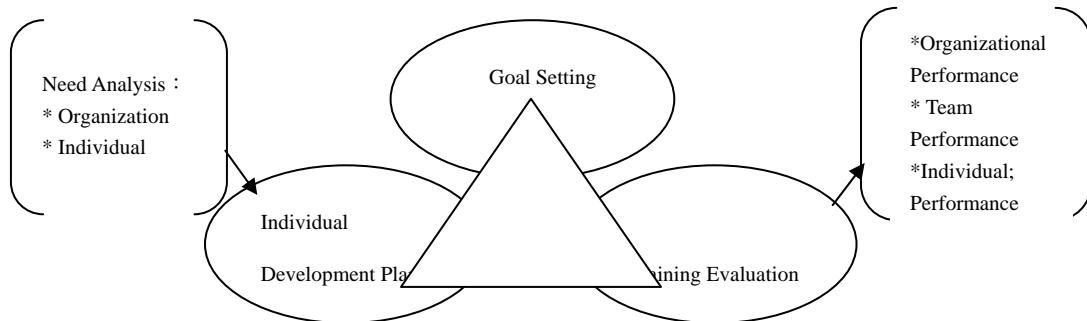
The training evaluation strategies of seven firms are all focus at least on both satisfaction and learning level. Due to the organizational culture, these companies all believe the importance of the training, and assume if they follow the appropriate training program design, therefore, the training should be effective. Therefore, their training evaluation strategies are informal and aim to check the satisfaction of the trainees and what skills and knowledge they acquired.

According to the interview and the researchers analysis, these seven benchmarking firms all more toward modified the Kirkpatrick's model. In addition, since these seven firms are all relative big companies in Taiwan, the HR professional do have a great idea of how important of the training evaluation. Although these HR professionals attempt to develop a suitable evaluation system to help evaluate the training effectiveness, sometimes, all they can do is checking the satisfaction and learning. Since HR professionals of these companies are coordinate with other line managers, the need to track more carefully to make sure the training result.

Proposed Training Evaluation Model

Summarized the above description and through compare and contrast the evaluation methods of the seven benchmark companies, the researchers found the commonality of using goal setting as their training evaluation guide. An objective-orientation training evaluation model (Figure 1) was proposed as follow.

Figure 1. Goal-Setting Oriented Evaluation Model



Contribution to HRD Practice and Research

Evaluation can add value to the training itself. Through the process of evaluation, learning can be activated and transferred to the workplace (Bartram & Gibson, 1999). This study contributes to the body of knowledge in training evaluation from a performance perspective. It also provides useful information to Taiwanese corporation and has insight about how to use training evaluation to improve performance.

References

- Alliger, G. M., & Janak, E. A. (1989). Kirkpatrick's levels of training criteria: Thirty years later. *Personnel Psychology*, 42, 331-342.
- Baldwin, T. T., & Ford, J. K. (1989). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41, 331-340.
- Bartram, S., & Gibson, B. (1999). *Evaluating training: A resource for measuring the results and impact of training on people, departments and organizations*. Amherst, MA: HRD Press.
- Chang, H., & Tin, Z. (1994). Training transfer related factors. *Journal of Human Resources*, 4, 63-80. (in Chinese)
- Common Wealth (1999). <http://www.cw.com.tw>.
- Dick, W., & Carey, L. (1996). *The systematic design of instruction* (4th ed.). Reading, MA: Addison-Wesley.
- Denzin N.K., & Lincoln, Y. S. (1994). *Handbook of qualitative research*. Newbury Park, CA: Sage Publishing.
- DeSimone, R. L., & Harris, D. M. (1998). *Human resource development*. Fort Worth: The Dryden Press.
- Garvin, D. A. (1995). Building a learning organization. In D. A. Kolb, J. Osland, & I. M. Rubin (Eds.), *The organizational behavior reader* (pp. 96-109). Englewood Cliffs, NJ: Prentice Hall.
- Harvard Management Update. (1999). *Copy Editor*, 4(4), 1-3.
- Hashim, J. (2001). Training evaluation: Client's roles. *Journal of European Industrial Training*, 25(7), 374-380.
- Holton, E. F. (1996). The flawed four-level evaluation model. *Human Resource Development Quarterly*, 7(1), 5-21.
- Holton, E. F., & Naquin, S. S. (Eds.) (2000). *Developing high-performance leadership competency*. San Francisco: Berrett-Koehler.
- Hwang, E., & Wen, C. (1995). The relationship among external environment, training implementation, and organizational performance. *Journal of Human Resources*, 5, 39-59. (in Chinese)
- Kaufman, R., & Keller, J. M. (1994). Levels of evaluation: Beyond Kirkpatrick. *Human Resource Development Quarterly*, 5(4), 371-380.
- Kirkpatrick, D. L. (1996). Invited reaction: Reaction to Holton research. *Human Resources Development Quarterly*, 7, 5-15.
- Kirkpatrick, D. L. (1998). *Evaluating training programs: The four levels*. San Francisco: Berrett-Koehler.
- Lin, Y., & Chu, H. (1997). A study of employee training evaluation. *Journal of Human Resources*, 7, 67-82. (in Chinese).

- Lynham, S. A., & Swanson, R. A. (1997). The development and evaluation of a model of responsible leadership for performance: Beginning the journey. In *Academy of Human Resource Development 1997 Conference Proceedings* (p. 570-577). Baton Rouge, LA: Academy of Human Resource Development.
- Miller, S. G. (1990). Effects of municipal training programme on employee behavior and attitude, *Public Personnel Management*, 19, 429-441.
- Noe, R. (2000). Invited reaction: Development of generalized learning transfer system inventory, *Human Resource Development Quarterly*, 11(4), 361-366.
- Phillips, J. J. (1997). *Handbook of training evaluation and measurement methods*. Houston, TX: Gulf Publishing.
- Phillips, J. J. (1996). ROI: The search for the best practices. *Training & Development*, 50(2), 43-47.
- Preskill, H. (1997). HRD evaluation as the catalyst for organizational learning. *Academy of Human Resource Development 1997 Conference Proceedings*.
- Rothwell, W. (1996). A survey about training evaluation practices in selected organizations: Summary of results. In *Academy of Human Resource Development 1996 Conference Proceedings* (pp. 80-87). Minneapolis, MN: Academy of Human Resource Development.
- Ruthwell, W. J., & Sredl, H. J. (1992). *The American society of training and development reference guide to professional human resource development roles and competencies*. Amherst, MA: HRD Press.
- Swanson, R. A. (1994). *Analysis for improving performance: Tools for diagnosing organizations and documenting workplace expertise*. San Francisco: Berrett: Koehler.
- Swanson, R. A. (1999). Foundations of performance improvement and implications for practice. In R. J. Torracca (Ed.), *Performance improvement: Theory and practice* (pp. 1-25). San Francisco: Berrett-Koehler.
- Swanson, R. A., & Holton, E. F. (1999). *Results: How to assess performance, learning, and perceptions in organizations*. San Francisco: Berrett-Koehler.
- White, B. S. & Branch, R. M. (2001). Systematic pilot testing as a step in the instructional design process of corporate training and development, *Performance Improvement Quarterly*, 14, 75-94.

Devolving HRM and HRD to line managers: The Case of Hilton International's UK Hotels

*Gillian Maxwell
Glasgow Caledonian University*

*Sandra Watson
Napier University*

This paper explores line manager responsibility for human resource management (HRM) and human resource development (HRD) in an international hotel organisation. The results identify a strong support system for line managers in relation to training and good relations with HR specialists. However, less evident is senior management support coupled with barriers in relation to philosophical understanding, time and work pressures, which are acting as inhibitors to line management's commitment to HRM and HRD.

Keywords: HRM & HRD, Line Managers, Devolvement

In 2001 Hilton introduced, from a UK launch, a global quality initiative linking HRM and HRD to their strategic business objectives. The service quality initiative seeks to establish a service brand (Equilibrium) and service culture (Esprit/Hilton moments), with support from an HRM package of employment terms and conditions (Esprit). Esprit is portrayed as being a concept of directing the way employees work. It is defined within Hilton as '*a promise on how our colleagues are treated within the Company*' (UK HR vice-president). It consists of a range of HR activities that are designed to ensure that employees are able to support the service quality initiative of Equilibrium '*a promise on how our guests are treated*' (UK HR vice-president).

Esprit has been designed to embrace the key principles of employee recognition, respect and reward. It '*starts with recruitment but relies more on appropriate [employee] development.... Esprit training aims to change behaviours to deliver Hilton moments*' (UK HR vice-president). Upon successful completion of training, employees become members of Esprit entitling them to access rewards and incentives. Extra rewards can be given to employees who demonstrate excellent customer service. Hotels are provided with annual targets for Esprit membership numbers and these are measured as part of the hotel's performance indicators. Although initiated by Hilton's corporate Human Resource department in the UK, Hilton perceive this initiative as being concerned with instilling a service culture throughout the organisation, believing this to be owned by all Hilton employees. Managers' response to Esprit generally is perceived to be very positive. The UK HR vice-president indicates that '*There has always been good acceptance of the theory around people however when a name and description is given managers like this and are given clarity.*' However, one of the key challenges concerns embedding Esprit into the organisation. It is '*about "walking the talk" - managers have to live this concept day in and day out e.g. in the way they speak/behave/interact*'. The UK HR vice president reports that '*very few challenges were experienced around acceptance however there are still some around ownership - Who owns Esprit? Esprit should live in the hotels and they should determine recognition rather than being seen as a Head Office initiative*'. In attempting to ensure that Esprit is operationalised effectively, all line managers in hotels are expected to assume responsibility for it through a range of human resource management (HRM) and human resource development (HRD) activities, with support from specialist HR staff. These include selection, training and development, employee motivation and recognition, and performance management.

This paper explores the extent to which the Esprit HR initiative has been embedded into the Hilton organization by examining line managers' understanding of their role, including their involvement and commitment to HRM and HRD activities. Within the organisation there is no differentiation between the functions of HRM and HRD. These are seen as being integrated activities within the umbrella title of Human Resources. As a result of this approach, it is necessary to review literature that addresses the role of line managers from both HRM and HRD perspectives.

Theoretical Framework

Relationships between line managers, HRM and HRD are arguably changing (Gibb, 2003) and becoming more fused, despite continuing debate about the focus of HRM (Budhwar, 2000) and scope of HRD (Garavan et al., 1999). Such is the challenge in defining the connections between HRM and HRD, the relationship has been dubbed 'ambiguous and elusive' (Mankin, 2003). Perhaps reflecting this challenge, the literature on these two

Copyright © 2004 Gillian Maxwell, & Sandra Watson

areas largely treats HRM and HRD separately though they share some characteristics. In building a theoretical underpinning for the empirical work, this paper explores line manager responsibility for HRM and HRD in turn.

Inherent in the concept of human resource management (HRM) is a 'centre-stage' role for line managers (Renwick, 2003:262). Since the advent of human resource management (HRM) in the UK in the 1980s there has been some debate about devolving aspects of HRM to line managers (Gennard and Kelly, 1997). This debate intensified in the 1990s as conscious moves were made to attribute HR activities to line managers (Hall and Torrington, 1998). Several researchers assert that line managers assuming some HRM responsibility can positively influence employee commitment and, ultimately, business performance. For example Cunningham and Hyman (1997:9) highlight the role of line managers in promoting an 'integrative culture of employee management through line management.' Thornhill and Saunders (1998) signal the role of line managers in securing employee commitment to quality, while increased productivity has also been asserted as a basis for devolution of HRM (IRS Employment Review, 1995).

However, lining up line manager responsibility for HRM has also been noted as being 'problematic' (McGovern *et al.*, 1997), not least in the relationship between line managers and HRM specialists (Cunningham and Hyman, 1997) and 'the ability and willingness of line managers to carry out HR tasks properly' (Renwick and MacNeil, 2002:407). Some commentators were more positive in seeing the HR role becoming 'less pigeon-holed' (Goodhart, 1993). Hall and Torrington's (1998) research on the progress of devolution of operational HRM activities and its consequences, points to organisations making sustained and deliberate efforts to vest HRM responsibility with line managers. However, 'the absence of a designated human resource specialist role' (Thornhill and Saunders, 1998:474) may have negative effects on strategic integration and, consequently, organisational commitment, flexibility and quality.

Similarly, the involvement of line managers in HRD has been the subject of some academic debate and organisational challenges. For example Gibb (2003) asserts that concerns over increased line manager involvement in HRD are valid in that it may limit the use of specialist resources in HRD. Another issue is that while line managers have been identified as 'one of the key stakeholders with the HRD process' (Heraty and Morley, 1995:31), difficulties in securing line manager acceptance of HRD responsibilities have been evident (Ashton, 1983). In clarifying the role of line managers in HRD Heraty and Morley (1995) present that activities surrounding identification of training needs, deciding who should be trained and undertaking direct training either fall within the domain of line managers or in partnership with HR specialists. Whereas aspects of HRD concerned with policy formulation, training plans and advising on strategy are more likely to be undertaken by HRD specialists. However, research has identified factors that may enable and inhibit the take-up of line manager responsibility for HRD.

Arguably the most significant enabler of line manager responsibility for HRD is the 'growing body of literature on the emergence and growth of HRD and in particular HRD with a strategic focus' (Garavan *et al.*, 1995:4). HRD may be seen as providing the key connection between HRM and business strategy (Garavan *et al.*, 2001). Business-led approaches to HRD can indeed be evidenced (Sparrow and Pettigrew, 1988; Harrison, 1993), lending weight to the theory on HRD. For Torracca and Swanson (1995), HRD is not only supportive of, but central to, business strategy. It is also, as Keep (1989) maintains, central to HRM. Therefore it can be seen that there are important lines to be drawn between HRM, HRD, line managers and business strategy. McCracken and Wallace's (2000) authoritative model of the characteristics of strategic HRD indicates that all four of these factors can be lined up. In this model they are expressed as: integration with organisational missions and goals; HRD plans and policies; line manager commitment and involvement; and complementary HRM activities.

In terms of enabling HRD at an operational level, de Jong *et al.*'s (1999:183) research suggests that this is 'a feasible option' providing specific conditions are met in organisations. One significant condition may be the credibility of HRD as an organisational activity in general. For despite the relatively recent interest in, and expansion of, HRD in UK organisations, there seems to be a residual issue of credibility of the training and development function in organisations generally (Chartered Institute of Personnel and Development, 2001). Organisational support for line managers in their HRD responsibility is important too in the facilitation of the devolution of HRD responsibility (Heraty and Morley, 1995), as is senior managers' understanding of training and development issues (de Jong *et al.*, 1999). Trust between line managers and HRD specialists, is another important enabler (Garavan *et al.*, 1993). Lastly, as emphasised by de Jong *et al.* (1999), line managers acting as role models in demonstrating commitment to HRD in their operational tasks, may be a powerful enabler of HRD.

On the other hand, a number of barriers to the effective delegation of HRD responsibility have been recognised. One potential issue that is conceivably acute in the hotel sector is the pressure of short-term imperatives (Tsui, 1987) that may squeeze out HRD activities for line managers. This factor, in combination with a lack of training in HRD, may minimise the priority of HRD for line managers (Aston, 1984; Brewster and Soderstrom, 1994; de Jong *et al.* 1999). Untrained line managers may avoid a coaching role due to their

discomfort with it (de Jong et al., 1999). Further, where managers do not reflect a belief in HRD in their operational role the impact of HRD is likely to be reduced (de Jong, 1999), the direct converse of reflecting a belief in HRD being an enabler of HRD, as pointed out earlier.

Research Questions and Methodology

The research questions that underpin this paper are:

1. Do line managers feel commitment to HR activities?
2. What are the key mechanisms that help support line managers with their HR responsibilities?
3. What barriers are present that hinder managers involvement in HR activities?

In order to explore the research questions, a deductive approach was taken in developing the questionnaire, with the content being informed by a literature review and semi-structured interviews with the UK HR Vice-president. The questionnaire was designed to include Hilton-specific questions as a form of action research and theory-derived questions. The questionnaire format encompassed nominal, ordinal, ranking and Likert rating scales, and several open-ended questions. It was piloted in early 2003, on consultation with a regional HR director, a hotel HR manager and an external survey organisation. The population comprises some 760 managers in Hilton hotels throughout the UK: 10 questionnaires were distributed to each hotel for self-selected and anonymous completion in summer 2003. The response rate is 328 questionnaires, 43%. Descriptive statistics are used to analyse the quantitative results. Open-ended question responses have been coded into themes to enable these to be presented using percentage response rates. Quantitative responses are supplemented with qualitative statements where appropriate. The findings are discussed below in terms of line managers' understanding and views on Esprit, and line managers' perceived role in relation to HR, including enablers and inhibitors influencing their effectiveness in delivering HR activities. Reference is made to the UK HR VP's views on key current issues concerning the Esprit tool in order to frame the Hilton perspective on line managers' issues in HR.

Results and Findings

Respondent Profiles

All 76 hotels are represented in the sample, with 34% of respondents located in Central & North England, 22% from Scotland and Ireland, 29% South of England and 16% in London. The majority of the respondents are female (56%). Unusually, females form the majority of all levels of managers represented in the sample. Thirty percent of the sample comprises senior managers, consisting of general managers and deputy managers, 53% are departmental managers, 9% supervisors and 7% other. Included in other category are assistant managers and deputy departmental managers. Two percent of the respondents did not indicate their position in the organisation. The age profile of the respondents indicates that 52% of the sample is between 26-45 years of age, with 18% in the 18- 25 years category and 6% over 45 years of age. Fifty six percent of the respondents have been in their current position for 1-5years, 15% over 5years and 27 % less than one year. Of those who have been in their current position for less than one year, 39% have been with the organisation for less than one year, representing 10% of the total returns. Forty eight percent of the respondents indicated that they had been with Hilton hotels for 1-5years and a further 38% over 5 years.

Esprit: Line Managers' Role and Issues

Prior to examining line managers' views on their human resource role, it is important to ascertain whether their views on Esprit align with the corporate intention. It is evident, from the questionnaire results, that the managers in this sample do not universally share the corporate understanding of Esprit. The majority of line managers (87%) perceive Esprit as a club for employees. This majority view is represented across all levels of management, and is not dependent on length of service, age or gender. Only 26% of the respondents indicate that Esprit is a concept directing the way employees work, with a further 14% indicating that it is a way of working practices. Ten percent of the respondents indicate that it is both a club and a concept, with a further 8% viewing it as a concept directing the way employees work, a club for employees and a way of working practices. Other views expressed, by 7% of the respondents, focused on Esprit being a reward / benefit package and an incentive or motivational scheme. For example Esprit is '*an incentive for employees to achieve a company standard resulting in membership of Esprit*'. Only four respondents indicated understanding of the beliefs and values underpinning Esprit, as expressed in these responses '*a belief/ culture system*' and '*positive enforcement of Hilton as a group in the minds of our employees*'.

There also appears to be discrepancies regarding ownership of Esprit. The general view expressed is that there is multiple-ownership. Nearly all respondents provided three responses each, generating a total of 865 responses evidence this. However in analysing these based on number of respondents it can be seen that 69% of managers consider Esprit to be owned by Hilton, whilst 54% indicated that it is owned by employees. Almost two thirds of the respondents consider it to be owned by Human Resources (30% Head office HR and 31%

Hotel based human resources). Twenty three percent perceive it to be owned by senior management, whilst 30% expressed the view that it is owned by departmental managers and 22% owned by the individual hotels. Of the 4% who chose other response, all of them expressed the view that everyone in the organisation owns Esprit, reflecting the corporate view of ownership.

Line Managers' Role in HR

In order to obtain an overview of the range of HR activities undertaken by line managers, they were asked to indicate the human resource activities in which they were actively involved, the perceived level of importance in relation to importance to business effectiveness and then to rank the top 5 of these. Table 1 provides a breakdown of the results.

Table 1. *Human Resource Activity, Level of Importance and Ranking*

Human Resource Activity	Percentage of managers actively involved	(1=most important; 5=least important) mean score	Ranking of importance to business effectiveness
Selection of employees	85%	2.24	3
Motivation & morale of employees	91%	2.36	1
Induction of new employees	66%	2.58	8
Team briefings & communication	89%	2.77	2
Employee budgeting & forecasting	58%	2.81	11
Health & Safety	86%	3.00	5
Performance appraisal	84%	3.21	4
Identification of training needs	85%	3.26	6
Esprit membership	75%	3.27	12
Ensuring employees are available to participate in training & development activities	80%	3.32	9=
Retention	65%	3.32	9=
Rewards & benefits	70%	3.35	7
Disciplinary & grievance procedures	75%	3.39	15
Evaluating training	71%	3.57	13
Ensuring HR processes are maintained	67%	3.63	14
Other (please specify.) All of the above are important, Social events, salary reviews	3%		

Twenty nine percent of the respondents took the opportunity to provide additional comments on their role in relation to HR activities. Thirty eight percent of the comments relate to training, encompassing analysing training needs, encouraging employees to participate in training, delivery and evaluation. Communications was mentioned by 14% of the respondents predominantly with HR specialists, communicating HR issues to staff and attending HR meetings. Other activities mentioned by respondents include coaching; sickness interviews, teambuilding and payroll management. Complaints regarding workloads and staffing levels were voiced by 10% of the respondents who answered this question, with 5% complaining about HR support within their hotel and head office. Two managers mentioned lack of autonomy and control over recruitment and selection. In contrast 9% of the managers were extremely positive about their role in HR activities, as indicated by the following quotes from two of the managers '*I feel I have a better/greater opportunity to be more involved within HR because of the hotels and staff itself. It is fantastic not only to be supported by our own team, but the whole 'hotel team' as well.*' and '*I get support and encouragement continuously. I run my department as if I was HR-but with the bonus of all the help I need available-works fantastic'*/sic].

Enabling HR Activities

One of the key influences on line managers' attitude to HR activities is the extent to which they perceive it to be considered important by the organisation. In addition to level of importance given to HR at the hotel level, line managers were asked to assess the importance of HR as a general business activity by rating the level of importance attached to HR by the organisation, with 5 being essential and 1 unimportant. Line managers consider that great importance is attached to training and development by unit managers ($M=4.20$) and the hotel HR manager's role in supporting you in carrying out HR activities ($M=4.13$), with less importance being given to head office support ($M=3.91$) and training & development expenditure compared with capital expenditure ($M=3.73$). However, 98% of general and deputy managers felt that senior managers and directors at regional and head office put importance on training and development. These results indicate that line managers other than general/ deputy managers consider that HRD is not viewed as being of strategic importance in Hilton (McCracken and Wallace, 2000), but is considered to be important at unit level. The target driven nature of Esprit could influence this view.

In order to gain an understanding of managers' views on the value of HR, they were asked to rate HR aspects, with 5 being excellent and 1 being poor. The highest mean score was found in relation to the working relationship with the HR manager ($M=3.91$). Senior managers were more inclined than departmental managers to rate this as excellent. Individual contribution to training and development was rated as excellent by 13% of the managers, 47% indicated that this was very good and 31% that it was good ($M=3.65$). Twenty five percent of the respondents rated the HR function in the hotel as excellent, 35% very good, 21% good, with 6% indicating this was poor ($M=3.63$). The scope and benefits available through Esprit were considered to be excellent by 15% of the managers, with only 4 % rating these as poor ($M=3.45$). Seventy four percent rated the managerial team effectiveness as very good or good, with only 10% rating this as excellent and 2 % as poor($M=3.41$). Almost three quarters (74%) of the respondents indicated that senior managements understanding of training and development issues was good/very good, a further 11% considered this to be excellent with 3% rating this as poor ($M=3.40$).

The literature highlighted concerns around line managers' relationship with HR, managers lack of willingness to undertake training and development and perceived senior managers perceptions of HR. The results in this survey indicate that none of these issues are of concern to line managers. However it is interesting to note that tactical/ personal activities were rated higher than team and holistic aspects.

In relation to organisational support for line managers identified by Heraty and Morley (1995) and McGovern *et al* (1997) as facilitating the devolvement of HR, the most popular responses were personal development (61% of respondents) and the provision of appropriate support material (61%). The maintenance of the profile of Esprit, through conferences and newsletter was considered to have been helpful by 45% of the respondents. Senior management support was considered to have assisted line managers by 42% of the managers. Techniques and ideas, for example, best practice was cited by 35% of the managers and administrative support by 31% of the respondents. This analysis reveals that there is strong evidence of support in the form of training and development and supporting materials, however less evident throughout the organisation is senior management support, seen as being a facilitator by Heraty and Morley (1995).

In an attempt to gauge line managers commitment and involvement in HR, respondents were asked to agree or disagree with statements on values surrounding HR, (5 being strongly agree and 1 strongly disagree). Table 2 provides a breakdown of the mean scores for each of these statements.

Table 2. Views on Value Statements

	Mean scores
I feel personal responsibility for my team members.	4.51
I feel that I support the employees in my team.	4.40
I have responsibility for HR in my team.	4.04
Esprit is fundamental to the success of Hilton.	3.86
My employees value Esprit	3.80
Training and development is an explicit part of Hilton moments/ Equilibrium.	3.79
I trust the HR specialists in my unit	3.77
There is a strategic approach to training and development in my unit.	3.67
I value HR activities in the achievement of business objectives in my unit.	3.65
I reflect the values of Esprit in my day-to day role	3.55
My employees value Hilton HR initiatives	3.40
The team atmosphere in my hotel reflects the value of Hilton moments/ Equilibrium.	3.34
Departmental managers work as a team to support Hilton moments/ Equilibrium.	3.27

What is particularly interesting is the strong sense of personal responsibility for staff within teams, with managers indicating that they support and feel a strong sense of responsibility for their employees and HR. This is an area that was highlighted in the interviews with the UK vice-president of HR: '*The challenge is for all managers, supervisors and operations managers to understand that they are responsible for their people, in the same way they also own Esprit.*' However, the lower rating of 'I reflect the values of Esprit in my day-day role' may indicate that managers understand this responsibility but are not able to actually practice this on a daily basis (12% of senior managers and 7% of departmental managers felt that they did not reflect the value of Esprit). This reflects one of the key challenges identified by Hilton. This is likely to impinge on the extent to which they act as a role model, which de Jong *et al* (1999) highlight as an enabler for line managers to undertake HR activities. This may also influence the lower responses given in relation to values and support in teams or across departments for the service initiative of Equilibrium. Although responsibility for HR has the

third highest mean, the perceived value of HR activities in achieving business objectives is less obvious, with 16% of managers strongly agreeing and 45% agreeing. Senior managers rated this higher. The importance of the HR initiative of Esprit is rated higher by supervisors and departmental managers than hotel managers. The level of trust in HR is apparent across all levels of line managers, although 12% of the departmental managers indicated that there is a lack of trust in HR. Garavan *et al* (1993). Identify this as an important enabler. In relation to a strategic approach to training and development, which McCracken and Wallace (2000) contend will influence line managers' commitment and involvement, 62% of senior managers 64% of departmental managers, 54% of supervisors, and 61% of others agreed or strongly agreed with this statement.

Although there is evidence that support mechanisms for line managers to undertake HRD and HRM roles, are in place in Hilton, it is important to discuss the views of line managers regarding the extent to which barriers are present and their impact on undertaking HR activities.

Barriers to HR Activities

Table 3. *Barriers to Support HR Activities*

	Always	Often	Never
Heavy workloads	17%	69%	14%
Short term job pressures	8%	70%	22%
Role conflict in acting as both an assessor and coach	4%	25%	71%
Discomfort with coaching role	1%	7%	92%
Lack of skills to support learning	1%	13%	86%
Lack of skills in:			
a) time management	2%	39%	60%
b) communication	1%	16%	83%
c) delegation	1%	26%	72%
d) other (please specify) These included time; understanding the message; pressure to enrol members within 3 months; non-availability of incentives; lack of support from HR and the recruitment cycle.	4%	13%	83%

As can be seen from Table 3 the two main barriers to supporting the HR initiative of Esprit are heavy workloads and short-term job pressures. Heavy workloads are seen as a barrier particularly by departmental managers (89%) and supervisors (90%), whilst general/ deputy managers and supervisors perceive short-term job pressures as barriers. This has been identified in the literature as being a key barrier to devolving HR activities to line managers, by Tsui (1987). Role conflict is identified as being a barrier often or always by 29% of the sample. Discomfort with a coaching role is seen as a barrier by less than 10% of the sample. The importance of training of line managers to enable them to undertake HR activities has been highlighted by a number of authors including Aston (1984), Brewster and Soderstrom (1994) and de Jong *et al*, (1999). Lack of skills to support learning was not seen as a particularly strong barrier with only 14% of the sample highlighting this as an inhibitor, although 32% of supervisors cited this as a barrier. Of the other skills shortages seen as barriers, time management was seen as a barrier, which supports the issues of heavy workloads and short-time pressures. Although lack of delegation and communication skills, were not seen as barriers by the majority of respondents, a perceived lack delegation ability was reported by 39% of the supervisors and 21% of the departmental managers.

These results concur with further views on training that were explored in the questionnaire. The majority of respondents felt that training would help them to some extent (36%) and to a great extent (38%). A mean score of 3.47 was reported for the total sample, although managers aged between 18-25 years, those in supervisory positions, males and those who have been with the organisation for less than one year, all rated this higher than the average score. In contrast the level of confidence to support training and development is seen to be high across all the managers with 38% indicating that they feel very competent and 57% competent. The mean score for the sample on a 5-point Likert scale is 4.31. Senior managers have the highest mean score at 4.46, whilst supervisors the lowest at 4.18. Male managers are slightly more confident in their ability to support training and development than female managers and managers aged between 26-35 years of age had the highest mean rating of 4.30 when analysed on the basis. More confidence in their ability to support training and development is portrayed by managers who have been in their current position for more than one, but less than ten years.

Additional Support

Suggestions from line managers for additional support in their HR role, generated from 65% of the respondents, has been classified into five themes of training (36%), communications (21%), incentives (21%), efficiency (17%), and roles (10%). Concerns surrounding the amount of time available for training and the pressures to complete training within time periods are prominent. For example '*Set aside time to complete Esprit. It is hard to train staff whilst working in the department as well.*' Suggestions concerning training

resources include updating materials and videos, making training fun, holding workshops and providing shorter training guides, as well as providing a dedicated training room and training scripts. Specific management training surrounding equilibrium and other HR activities are also forwarded as suggestions. Improvements to communication relate to more and pertinent information to Esprit members; suggestions include monthly newsletter, posters and Internet email communications.

Within the theme of roles, concerns are expressed regarding the target driven nature of Esprit ('reduce target pressure and workloads of management so they can 'live Esprit and pass on to others without compulsory compliance'). The lack of understanding regarding the philosophy of Esprit is emphasised by the following quotes: '*Each manager you speak to has a different idea of what Esprit is about. Only knowledge=staff benefit[sic]*' and '*Emphasise more that it is about how we treat our guests*'. The two themes of efficiency (17%) and incentives (21%) relate to improvements in the incentive and membership packages. The main concerns emerging with regard to incentives relate to the breadth, range and availability of incentives. Suggestions include reviewing and enhancing the range of incentives. In addition to these themes, 6% of the managers expressed complete satisfaction with current levels of support to carry out HR activities.

Conclusions and Recommendations

The above analysis has revealed some issues that warrant further commentary. Most importantly, although HR activities are generally seen to be aligned to the business objective of improving customer service, there appears to be a particular need to align managers' understanding of the philosophy/concept of Esprit. That there appears to be a lack of shared understanding on the concept of Esprit is a signal finding of the primary research. For Hilton, a number of learning points emerge from the questionnaires, as noted below.

It appears that the rewards/incentive aspects of Esprit are taking a higher priority than the philosophical underpinning of the initiative, which is intended by Hilton to be the driving force of the initiative. The target driven nature of Esprit, where a component of business performance evaluations measure Esprit membership numbers at each hotel, further fuels this.

In addition, the lack of ownership of Esprit by line managers that is evident from this survey, probably linked to lack of understanding, could be acting as an inhibitor to HR activities being seen as a fundamental component of their role. Although there is evidence that line managers do see HR as their responsibility, Esprit values are not being seen across departments within hotels.

The questionnaire responses provide evidence that line managers accept and understand their HR role, but the lack of a shared understanding of the conceptual base of Esprit is resulting in a misdirection of activities.

There are some extremely positive support mechanisms in place to support line managers' involvement in and commitment to HR, evidenced by the training and support, level of trust in HR and the perceived line manager responsibility for HR activities. However, time and short-term work pressures are hindering line managers' ability to undertake HR activities.

Line managers are willing to propose many suggestions to improve HR activities across a range of themes, representing a distinct opportunity for Hilton.

Although this research is focused on one organisation, learning points for other organisations can be highlighted from this case study. In developing the service quality initiative, Hilton has seen this as an integrated concept and has emphasised the importance of HR support to improve service quality. Managerial commitment to Esprit has been gained through ensuring that membership numbers are measured as part of business performance. This has helped focus line management attention on HR as a central business activity. Employee involvement in Esprit has been driven by incentives and rewards. This has resulted in Esprit membership numbers being above target across the organisation. However, the extent to which line managers and employees have embraced the philosophical values of Esprit is evidently questionable. The evidence from this survey suggests that there now needs to be attention given to the meaning of Esprit, with a realignment of the focus to ensure that there is a shared conceptual understanding of Esprit. The indications are that line managers would be receptive to this attention as the survey reveals a positive attitude to HR activities and support for Esprit.

Contribution to HRD

This paper makes a contribution to HRD in two distinct areas. Firstly, there is a lack of empirical work addressing understanding of issues around devolvement of HRM &HRD activities to line managers. This paper enhances understanding, by providing line managers' views on enablers and inhibitors in this case organisation. A further contribution to HRD can be found in relation to identification of the difficulty of balancing business driven involvement with philosophical commitment to HRM and HRD activities.

Acknowledgements. This research project has been sponsored by the University Forum for HRD. Thanks to S. Quail and Dr. L. Farquharson for their contribution to the empirical data collection.

References

- Ashton D. (1984). Current issues in line/ staff relationships. *Management Education and Development*, 10, 105-118, in Heraty and Morley (1995) below.
- Budhwar P.S. (1998). Evaluating levels of strategic integration and devolvement of human resource management in the UK. *Personnel Review*, 29(2), 141-161.
- Brewster C., & Soderstrom M. (1994). Human resources and line management. In C.Brewster & A.Hegewisch *Policy and practice in European human resource management*, London: Routledge in Heraty and Morley (1995) below.
- Chartered Institute of Personnel and Development (CIPD). (2001). *Training and development 2001: Survey Report*, April.
- Cunningham I., & Hyman J. (1997). Devolving human resource responsibilities to the line: beginning of the end or new beginning for personnel? *Personnel Review*, 28(1/2), 9-27.
- de Jong J.A., Leenders F.J., & Thijssen J.G.L.(1999). HRD tasks of first level managers. *Journal of Workplace Learning*, 11(5), 176-183.
- Garavan T., Barnicle B., & Heraty N. (1993). The training and development function: its search for power and influence in organisations. *Journal of European Industrial Training*, 7(7), 22-32.
- Garavan T.N., Costine P., & Heraty N. (1995). The emergence of strategic human resource development. *Journal of European Industrial Training*, 19(10), 4-10.
- Garavan T.N., Heraty N., & Barnicle B. (1999). Human resource development literature: current issues, priorities and dilemmas. *Journal of European Industrial Training*, 23(4/5), 169-179.
- Garavan T. N., Morley M., Gunnigle P., & Collins E. (2001). Human resource capital accumulation: the role of human resource development. *Journal of European Industrial Training*, 25(2/3/4), 48-68.
- Gennard J., & Kelly J. (1997). The unimportance of labels: the diffusion of the personnel/ HRM function *Industrial Relations Journal*, 28(1), 27-42.
- Gibb S. (2003). Line manager involvement in learning and development: Small beer or big deal? *Employee Relations*, 25(3), 281-293.
- Goodhart D.(1993). Personnel crisis? What crisis? *Financial Times*, 27/10/93.
- Hall L., & Torrington D. (1998). Letting go or holding on – the devolution of operational personnel activities. *Human Resource Management Journal*, 8(1), 41-55.
- Heraty N., & Morley M. (1995). Line managers and human resource development. *Journal of European Industrial Training*, 19(10), 31-37.
- Harrison R. (1993). Developing people – for whose bottom line? *Human Resource Management Issues and Strategies*, Addison-Wesley: Wokingham, UK, in Garavan et al. (1995), op. cit.
- Industrial Relations Survey (IRS) Employment Review. (1995). Changes in personnel , December, 4-9.
- Keep, E. (1989). Corporate Training Strategies: the vital component? In J. Storey (Ed.), *New perspectives on human resource management*, (pp109-125). Routledge: London.
- Mankin D.P. (2003). *Ambiguity and elusiveness: the principal characteristics of the relationship between HRM and HRD*. Conference paper presented to the International HRM Conference, Nov., Enschede, The Netherlands.
- McCracken, M., & Wallace,M. (2000) M. Exploring strategic maturity in HRD- rhetoric, aspiration or reality? *Journal of European Industrial Training*, 24(5), 281-290.
- McGovern P., Gratton L., & Hope-Hailey V. (1997). Human resource management on the line? *Human Resource Management Journal*, 79(4), 12-29.
- Renwick D. (2003). Line manager involvement in HRM: an inside view? *Employee Relations*, 25(3), 262-280.
- Renwick D. and MacNeil C.M. (2002) Line manager involvement in careers. *Career Development International*, 7(7), 407-414.
- Stake R. E. (1995). *The art of case study research*. London: Sage.
- Storey J. (1992). HRM in action: The truth out at last. *Personnel Management*, April.
- Sparrow P., & Pettigrew A. (1988). How Halfords put it's HRM into top gear. *Personnel Management*, 20(6), 30-34 in Garavan et al. (1995) op. cit.
- Thornhill A., & Saunders M.N.K. (1998). What if line managers don't realize they're responsible for HR? Lessons from an organisation experiencing rapid change. *Personnel Review*, 27(6), 460-476.
- Torraco, R.J., & Swanson, R.A. (1995). The strategic roles of human resource development. *Human Resource Planning*, 18(4), 10-22.
- Tsui A. (1987). Defining the activities and effectiveness of the human resource department: a multiple constituency approach. *Human Resource Management*, 26(1), 5-69 in Heraty and Morley (1995) op cit.

Seeking Symmetry between Supervisory Ratings and Self-Ratings of Employee Problem-Solving Skill

*Margaret C. Lohman
Penn State University*

A problem-solving instrument was administered to 20 employees and their supervisors to examine the congruence between supervisory ratings and self-ratings of employee problem-solving skill. Analysis of the data found that supervisors rated their employees significantly lower than employees rated themselves on 3 of 7 problem-solving stages, 11 of 20 employee/supervisor pairs differed significantly on their ratings in 1 or more of the stages, and supervisor ratings were more consistent over time than were employee self-ratings.

Keywords: Problem-solving Skill, Self-assessment, Rater-based Assessment

The assessment of an employee's skill in solving challenging work problems is an increasingly important task for human resource developers. In large part, this is because the ill-structured nature of work in today's organizations requires more advanced problem-solving skills than ever before (Bereiter & Scardamalia, 1993). Ill-structured work problems are those in which the nature of the problem is not clearly defined or fully known, where multiple and often conflicting opinions exist, and where there is no single, correct solution that can be obtained by following one best path or procedure (Lohman, 2002). Unquestionably, the ability to solve ill-structured problems is a critical competency for the workforce of the 21st Century (Jonassen, 2000).

Given the recognized need to cultivate more advanced problem-solving skills among employees, tools and techniques for assessing this type of problem-solving skill have also become more important. For example, assessments of participants' problem-solving skills before and after programs that aim to help employees solve work problems more effectively provide valuable information for program evaluation and improvement efforts. While it is clear that such assessments are useful, it is surprising how little attention has been directed toward the construction of these types of assessment instruments (Wasik & Bryant, 1994).

Problem-solving assessment instruments do exist. However, important concerns about their validity and reliability limit their usefulness for assessing the problem-solving skills of employees in organizational settings (Atkins & Wood, 2002; Heppner & Petersen, 1982; O'Neil & Schacter, 1997; Wasik & Bryant, 1994). For example, many existing instruments focus on solving well-defined problems and were designed for use in school and counseling situations. As a consequence, HRD practitioners and researchers have few instruments to choose from when the need arises to assess an employee's ability to solve problems in the workplace.

Because employees rely on their problem-solving skills to handle increasingly complex and ambiguous work situations, human resource developers must have a means of assessing this higher-level cognitive skill. Such assessments could provide useful information when designing, developing, and implementing a wide range of training, career development, and performance improvement initiatives.

Theoretical Framework for Assessing Employee Problem-Solving Skill

A challenging aspect of work in today's organizations is dealing with complex and ill-structured problems (Bereiter & Scardamalia, 1993). These types of work problems are poorly defined, lack clear procedures for deriving solutions, and lack one right solution (Lohman, 2002). According to Mayer and Wittrock (1996), solving these types of problems involves a "cognitive process directed at achieving a goal when a solution method is not obvious to the problem solver" (p. 47). This cognitive process requires one to gather and analyze information about a problem situation, induce hypotheses about problem causes and solutions, and test and evaluate solution alternatives to ultimately derive an appropriate solution for the problem (Barrows, 1996).

A number of instruments have been constructed to assess problem-solving skill. However, there are two key issues related to the validity of these instruments that limit their usefulness for assessing the problem-solving skills of adult workers. First, many of the instruments involve solving well-defined problems (Jonassen, 1997). As Heppner and Petersen (1982) report, well-defined problems "may be different or less complex than how people solve real-life, applied" problems (p. 67). It is logical to assume that an assessment of one's skill in solving well-

Copyright © 2004 Margaret C. Lohman

defined problems may not accurately reflect a person's skill in solving the more ill-defined, complex types of problems that people typically encounter in their work.

A second validity issue is that most problem-solving instruments have been designed for use with people other than adult workers and in contexts other than the workplace (Blissett & McGrath, 1996). For example, the Wasik Problem-Solving Rating Scale and the Parent Means-End Problem-Solving Instrument were designed for use in school and counseling situations with adolescents and parents (Wasik & Bryant, 1994) and the Personal Problem-Solving Inventory was validated in a university setting with undergraduate students (Heppner & Petersen, 1982). The validity of instruments such as these for assessing the problem-solving skills of adults in the workplace remains unknown.

A reliability concern associated with many problem-solving instruments is that they use self-report as the sole data gathering method. Self-report has been the predominant method of assessing problem-solving skill because it is easy and inexpensive to administer (Wasik & Bryant, 1994). However, previous studies have found self-ratings to be negatively and non-linearly related to performance (Atkins & Wood, 2002) and to have low correlations with the ratings of supervisors, subordinates, and peers (Bass & Yammarino, 1991; Carless, Mann, & Wearing, 1998).

Instruments that are not self-report typically rely on raters other than oneself to assess a person's problem-solving skill. This method is generally referred to as rater-based. Rater-based assessments of problem-solving skill tend to garner more confidence with respect to validity and reliability than self-report. In large part, this is because trained raters use established scoring systems to evaluate the quality of problem-solving activities and outcomes (Wasik & Bryant, 1994). However, an integral feature of rater-based assessments is that they involve solving a pre-specified problem in a specific area of expertise. It is widely believed that one's effectiveness in solving a problem is dependent on whether the problem is situated in the person's technical or professional area (Mayer & Wittrock, 1996). Therefore, a limitation of rater-based instruments which use pre-specified problems is that they cannot be used as standardized means of assessing problem-solving skill across technical or professional areas. This limitation results in the need to design a new instrument each time the problem-solving skill of a different employee group or technical area is assessed. As a consequence, the extensive amount of time and cost associated with developing problems and scoring systems, training raters, and evaluating responses with rater-based instruments tends to deter their wide-spread use in organizational settings (O'Neil & Schacter, 1997).

While traditional rater-based assessments may not be a feasible approach for assessing problem-solving skill in organizational settings, an alternative may be to consider a multi-rater feedback approach. Increasingly, organizations are using multi-rater feedback approaches, which involve the collection and analysis of data from multiple sources, as the basis for employee development and performance evaluation programs (Church, 2000). Extensive research of multi-rater feedback systems, such as 360 Degree Feedback, has shown that employees' perspectives of their own behaviors and performance tend to differ from the perspectives of others who have knowledge of their work (Atkins & Wood, 2002; Carless et al., 1998). A fundamental assumption of a multi-rater feedback approach, is that "data about one's specific workplace behaviors, when compared with internal (self) perceptions, can be used as a catalyst for enhancing self-awareness and subsequent behavioral change" (Church, 2000, p. 99). It is possible that a multi-rater feedback approach could be used to assess the problem-solving skills of employees and provide a basis for subsequent employee reflection and development. However, no previous studies have specifically examined the strengths and limitations of a multi-rater feedback approach for assessing employee problem-solving skill.

Therefore, the purpose of this study was to modify an existing multi-rater problem-solving instrument and examine its effectiveness in assessing the problem-solving skills of employees. Wasik's (1994) Problem-Solving Rating Scale was selected for use in the current study because it uses a multi-feedback approach to assess a parent's skill in engaging in 28 activities within 7 problem-solving stages. These problem-solving activities and stages are widely recognized as those involved with solving complex, poorly defined problems—just the types of problems that employees deal with in the workplace. The Problem-Solving Rating Scale has two parallel forms. One form involves a parent rating his/her own problem-solving skill and the second form involves a service provider rating that same parent's problem-solving skill. In the current study, the language of these forms was modified to focus on employee problem solving. The resulting two forms involved a self-assessment in which employees rated the degree to which they engaged in 28 activities within 7 problem-solving stages and a supervisory assessment of the degree to which their subordinates engaged in the same 28 activities. The study addressed three research questions:

Q1: What is the internal consistency of each of the two forms of the problem-solving instrument?

Q2: How consistently does each form of the instrument perform over time (test-retest reliability)?

Q3: Is there a significant difference between ratings of employees and their supervisors with respect to the employees' problem-solving skill?

Methodology

Sample

The study was conducted with the Midwest regional staff of an educational consulting firm that develops instructional curriculum and materials for public school districts. The sample consisted of 20 employees and 5 supervisors who comprised this regional staff.

Thirteen of the 20 employees were educational consultants, 4 were systems engineers, and 3 were sales representatives. The vast majority of the employees ($n = 18$) had worked for the firm for less than five years. However, only 2 employees had less than 5 years of professional experience, while 5 employees had between 6 to 10 years of professional experience, and 13 employees had more than 10 years of professional experience. Gender was fairly balanced, with 9 male employees and 11 female employees. Their mean age was 36.5 years ($SD = 8.62$). An equal number of employees ($n = 9$) had bachelor's and master's degrees. Two employees, both systems engineers, had only high school degrees.

Three of the five supervisors were professional development supervisors, one was a systems engineer supervisor, and one was a sales supervisor. Four of the 5 supervisors had 16 to 20 years of professional experience and more than 10 years of experience with the participating firm. The remaining supervisor had less than 10 years of professional experience and less than 5 years of experience with the participating company. The supervisory group was comprised of 2 males and 3 females with a mean age of 43.6 years ($SD = 11.01$). Three of the supervisors had master's degrees, one had a bachelor's degree, and one had a high school degree. The number of employees reporting to each supervisor varied. Two of the professional development supervisors each supervised one educational consultant. The third professional development supervisor supervised 11 consultants. The sales supervisor supervised three sales representatives and the systems engineer supervisor supervised four systems engineers.

Problem-Solving Instruments

Two forms of a problem-solving instrument were modified and examined in this study. The two forms were originally designed to assess the problem-solving skills of parents (Wasik & Bryant, 1994). In the first form, the Problem-Solving Rating Scale, parents rated their own skill in solving child-rearing problems. In the second form, the Client Problem-Solving Rating Scale, service providers rated parents' skill in solving the same types of problems.

In the current study, the language of the two forms of the instrument was modified to focus on employee problem solving. For example, item #1 in the original instrument, "I figure out which problems in my life are the most important to work on" was modified to "I readily focus on important problems at work." The two revised forms of the problem-solving instrument were renamed the Problem-Solving Rating Scale for Employees (PSRS-E) and Problem-Solving Rating Scale for Supervisors (PSRS-S), respectively.

As shown in Table 1, the PSRS-E contains 28 items grouped within 7 problem-solving stages. The items assess employees' perceptions of the frequency with which they engage in 28 activities within 7 stages of problem solving when dealing with challenging work situations. These seven problem-solving stages are commonly associated with effective problem solving and include: (a) problem identification, (b) goal selection, (c) generation of alternative solutions, (d) consideration of consequences associated with alternative solutions, (e) approach to decision making, (f) implementation of solutions, and (g) evaluation of solutions (O'Neil & Schacter, 1997). In the second form of the instrument, the PSRS-S, supervisors rate their employees on the same 28 problem-solving activities.

Five-point Likert scales, ranging from 1 to 5, were used for all 28 items on both forms of the instrument. Each of the seven problem-solving stages contained four items. Therefore, possible scores for each of the 7 stages ranged from 4 to 20 points. A total problem-solving score was obtained by summing the scores for all 28 items and ranged from 28 to 140 points.

Two educational researchers in a Mid-Atlantic university who possessed extensive knowledge of the problem-solving process reviewed and confirmed the validity of the 28 items and 7 problem-solving stages in the instrument. Field tests were conducted with 20 HRD professionals and public school teachers as well as 6 supervisors in business and higher education to ensure that the content, language, and instructions contained in both forms of the instrument were clear and appropriate for the target audience.

Data Collection Activities

At a professional development conference for the participating firm in January 2003, the principal investigator informed the staff of their company's participation in the research project. The study's purpose and activities were described and employees were invited to participate in the study. All staff members agreed to participate.

Table 1. *Items in the Problem-Solving Rating Scale for Employees*

Problem-Solving Items
A. Identification of Problem
1. I readily focus on important problems at work.
2. I consider relevant factors when analyzing problems at work.
3. <i>I have difficulty setting priorities about which work problems I should address.</i>
4. I am able to accurately describe work problems to others.
B. Selection of Goals
5. I obtain information from others to help set goals for resolving challenging work problems.
6. I establish appropriate goals for resolving work problems.
7. I prioritize the goals that I have set for resolving work problems.
8. <i>I do not consider how others will be affected if the goals that I set are achieved.</i>
C. Generation of Alternative Solutions
9. I generate two or more possible solutions when dealing with a work problem.
10. The possible solutions that I identify address the real causes of work problems.
11. The possible solutions that I identify reflect an understanding of underlying concepts and issues related to work problems.
12. <i>I tend to generate idealistic rather than realistic solutions to work problems.</i>
D. Consideration of Consequences
13. I recognize positive consequences associated with possible solutions to work problems.
14. <i>I tend to overlook negative consequences associated with possible solutions to work problems.</i>
15. <i>I am not concerned about the short-term consequences associated with implementing possible solutions.</i>
16. I consider the long-term consequences associated with implementing possible solutions.
E. Approach to Decision Making
17. I select a solution only after considering all possible consequences associated with possible solutions.
18. <i>I procrastinate when making decisions regarding the selection and implementation of solutions.</i>
19. I take responsibility for the decisions that I make.
20. The decisions that I make are in the best interests of those I serve and work with.
F. Implementation of Solutions
21. <i>I tend to misjudge the resources that are required to implement solutions.</i>
22. I implement solutions in a timely manner.
23. I implement solutions in an effective manner.
24. <i>I overlook unanticipated situations that arise during the implementation of my solutions.</i>
G. Evaluation of Problem-Solving Activities
25. <i>I seldom follow up after solutions have been implemented to determine their effectiveness.</i>
26. If goals were not achieved, I reflect on whether the problems were identified correctly.
27. I accept responsibility for my contributions to successfully solving work problems.
28. <i>Someone else is generally responsible when solutions to problems are not successful.</i>

Note: Reverse items are noted in italics.

Instructions were provided to the staff for completing the assessment activity. Employees and supervisors then completed their assessments in different conference rooms to diminish any discomfort that the employees might have experienced by their supervisors evaluating them in their presence. Employees completed the self-report activity in approximately 7 minutes, while supervisors completed the assessment of each subordinate in approximately 5 minutes.

Two supervisors and their subordinates agreed to participate in a retest activity. The retest was conducted three weeks after the first administration of the problem-solving instrument with 16 participants (2 supervisors, 11 educational consultants, and 3 sales representatives). The short three-week period minimized the possibility that any differences in scores that were found between the test and retest activity were due to actual changes in employee problem-solving skill and, as a consequence, increased the likelihood that such differences were attributable to the level of consistency of participant's responses. The assessment activity was sent to the 16 participants via electronic mail. Participants completed their assessments and returned them through the same medium.

Results

Three research questions addressed the internal consistency and stability of the scores over time for each form of the problem-solving instrument as well as the congruence of the supervisory ratings and self-ratings on the assessments of employee problem-solving skill.

Q1: Internal Consistency

Internal consistency provides a measure of the homogeneity of the four items grouped within each problem-solving stage and of all 28 items in both forms of the problem-solving instrument. The internal consistency of each problem-solving stage was substantial to very high on both forms, with correlation coefficients ranging from .63 to

.74 for employees and from .68 to .90 for supervisors. The internal consistency of all 28 items for both forms of the problem-solving instrument was also very high, with correlation coefficients of .93 for employees and .97 for supervisors.

Q2: Stability of Scores

The test-retest activity found that the stability of employee ratings over time was dramatically lower than those of the supervisors. Test-retest scores for employees on four of the seven problem-solving stages had coefficients of stability under .50, a minimum level for establishing reliability in educational research (Nunnally, 1967). Specifically, the coefficient of stability for employee scores was negligible ($r = -.03$) for Section G (Evaluate Solution), was low ($r = .27$ and $r = .18$) for Section B (Select Goal) and Section D (Consider Consequences), and was moderate ($r = .41$) for Section C (Generate Solutions). In addition, the coefficient of stability for employee scores on all 28 items was only moderate at .47.

In contrast, the coefficients of stability for supervisors' test-retest scores on the seven problem-solving stages were substantial to very high, with correlation coefficients ranging from .61 to .94. The coefficient of stability for supervisor scores on all 28 items was very high at .91.

Q3: Congruence of Supervisory Ratings and Self-Ratings

Two sets of t-tests statistically examined differences between the supervisory ratings and self-ratings of employee problem-solving skill. The first set of t-tests compared the mean scores of all 20 employees to those of the 5 supervisors on each of the seven problem-solving stages and on the total problem-solving score. As shown in Table 2, the t-tests revealed that the supervisory ratings were significantly lower than the self-ratings on three of the seven problem-solving stages. Specifically, in Section A (Identify Problem), the mean score for supervisors was 14.7 ($SD = 0.67$) as compared to a mean score for employees of 16.6 ($SD = 0.42$), yielding a $t = 2.342$, $p < .05$. In Section B (Select Goal), the mean score for supervisors was 13.8 ($SD = 0.52$) as compared to a mean score for employees of 15.7 ($SD = 0.53$), yielding a $t = 2.560$, $p < .05$. And in Section D (Consider Consequences), the mean score for supervisors was 12.9 ($SD = 0.70$) as compared to a mean score for employees of 15.7 ($SD = 0.46$), yielding a $t = 3.285$, $p < .05$.

Table 2. *Comparison of Employee and Supervisor Scores on the Problem-Solving Rating Scale*

Problem-Solving Rating Scale	Employees ^a		Supervisors ^b		t
	M	SD	M	SD	
A Identify Problem	16.6	0.42	14.7	0.67	2.342*
B Select Goal	15.7	0.53	13.8	0.52	2.560*
C Generate Solutions	14.9	0.47	13.9	0.73	1.149
D Consider Consequences	15.7	0.46	12.9	0.70	3.285*
E Select Solution	16.3	0.43	16.1	0.69	0.247
F Implement Solution	15.2	0.47	14.8	0.70	0.537
G Evaluate Solution	15.4	0.54	14.0	0.71	1.577
Total Score	109.6	2.69	100.1	4.13	1.939

* $p < .05$

^a $n = 20$

^b $n = 5$

In the second set of t-tests, the ratings of each employee were statistically compared to those of his/her supervisor. Because there were 20 employees in the study, the comparison involved the testing of 20 pairs of scores. As shown in the right-hand column of Table 3, significant differences were found between the scores of 6 employee/supervisor pairs in Stage C (Generate Solution), 5 pairs in Stage G (Evaluate Solution), 4 pairs in Stage A (Identify Problem), 4 pairs in Stage D (Consider Consequences), 3 pairs in Stage F (Implement Solution), and 1 pair in Stage B (Select Goal).

Furthermore, as shown in the second to last row of Table 3, 11 of the 20 employee/supervisor pairs differed significantly in their ratings of the employee's skill in at least one of the seven problem-solving stages. Specifically, the ratings of 8 of these 11 pairs differed significantly in 1 to 2 problem-solving stages, while the ratings of 3 of the 11 pairs differed significantly in at least 4 of the 7 problem-solving stages. Significant differences were also found for 12 of the 20 employee/supervisor pairs on total problem-solving scores.

Discussion

Analysis of the data in this study found that both forms of the problem-solving instrument had high levels of internal consistency. However, a test-retest activity found that the ratings of supervisors were more stable over time than

Table 3. Comparison of Ratings on the Problem-Solving Rating Scale for Each Employee and Corresponding Supervisor

Problem-Solving Rating Scale	Employee -- Supervisor Pairs																				# of Pairs w/ Sig. Dif.	Scores for Each Stage
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20		
A Identify Problem				X	X										X						X	4
B Select Goal																					X	1
C Generate Solutions			X	X	X						X	X									X	6
D Consider Consequences					X					X				X		X						4
E Select Solution																						0
F Implement Solution				X	X																X	3
G Evaluate Solution		X		X	X									X		X						5
# of Stages with Sig. Differences for Each Pair	0	1	1	4	5	0	0	0	0	1	1	1	0	2	1	2	0	0	0	0	4	
Pairs whose Total Scores Differed Significantly				X	X			X	X	X	X			X	X	X	X	X	X		X	

Note: A significant difference between the ratings of an employee and his/her supervisor is indicated with an "X"

those of the employees. Further comparison of supervisory and employee ratings revealed that supervisors rated their employees significantly lower than employees rated themselves on three of seven problem-solving stages. A more detailed examination of the 20 employee/supervisor pairs found significant differences in the ratings of 11 of the pairs on one or more of the 7 problem-solving stages and significant differences for 12 of the pairs on their total problem-solving scores. Possible explanations for these findings, their implications for assessing problem-solving skill in the workplace, and areas for future research are presented in this section.

Theoretical Perspectives on Assessing Problem-Solving Skill

The low level of stability that was found for the self-ratings of problem-solving skill corroborates past studies in which self-ratings were found to be highly unreliable (Atkins & Wood, 2002; Carless et al., 1998). While employees' self-ratings were found to be inconsistent over time, supervisory ratings of employee problem-solving skill were quite consistent. A possible explanation for these findings is that while employees' perceptions of their own problem-solving skill depended on specific work situations, their supervisors' perceptions of their problem-solving skill were fairly fixed and rigid. Supervisors typically base their perceptions of their subordinates' skills on their observations and evaluations of the subordinates' behaviors and performance over an extended period of time. These perceptions become fairly fixed, altering only when a remarkable situation or number of situations occur that are in such contrast to a supervisor's prevailing perceptions that they trigger their reconsideration and revision. This explanation is supported by previous studies, such as Greguras and Robie (1998) and Conway and Huffcutt (1997), in which the supervisors' ratings of employee behaviors and performance were found to be substantially more reliable than the self-ratings of employees or the ratings of employees' subordinates or peers.

Another interesting finding in the current study was that supervisors rated their employees significantly lower than the employees rated themselves on three of the seven problem-solving stages (problem identification, goal selection, and consideration of consequences). The concept of attribution error may help to explain this finding. Attribution theory, developed by Fritz Heider, contends that people commonly make three attributional errors when trying to explain the behaviors of others as well as themselves: (1) fundamental attribution error, defined as attributing behavior to internal rather than external causes, even when the cause is situational in nature; (2) actor-observer error, which is attributing behavior of others to internal causes and attributing our own behavior to external causes; and (3) self-serving error, defined as taking credit for successes and blaming failures on others, fate, or factors beyond our control (Griffin, 1994; van Heerden, 1999).

Consideration of these attribution errors gives rise to two rival explanations as to why supervisors judged their employees more critically than the employees judged themselves. One explanation is that supervisors committed the fundamental attribution error and attributed causes of their employee's poor problem-solving performance to internal rather than external causes, such as an employee's laziness or closed-mindedness. A second explanation is

that employees committed the self-serving error and attributed their successes in problem solving to personal attributes, such as their initiative or open-mindedness, and their difficulties to situational factors beyond their control, such as unreasonable project deadlines or technology problems. Findings from previous research indicating that supervisor ratings are the most reliable (Carless et al., 1998) and that employees tend to over-inflate their own ratings (Atkins & Wood, 2002) provide compelling evidence to suggest that the second explanation—that employees committed the self-serving error—is the more plausible explanation.

Furthermore, the finding regarding significant differences in the scores of many employee/supervisor pairs is consistent with previous reports that a supervisor and employee often differ in their evaluations of the employee's strengths and need areas (Bass & Yammarino, 1991; Carless et al., 1998). An important contribution of the current study is that it demonstrates how the problem-solving assessment activity can pinpoint specific stages of the problem-solving process where an employee and a supervisor differ in their perceptions of the employee's strengths and need areas. Examination of such differences in perceptions can enhance an employee's self-awareness and thereby provide a stimulus for reconsidering current strategies and techniques for solving work problems (Church, 2000; London & Smither, 1995).

Implications for Assessing Problem-Solving Skill in the Workplace

The study's findings have three important implications for assessing the problem-solving skills of employees. Both forms of the modified problem-solving assessment instrument were found to possess high levels of internal consistency. However, because of the low levels of test-retest reliability found with the self-ratings, a recommendation is that information concerning an employee's problem-solving skill should be gathered from supervisors and others who are highly knowledgeable of the employee's work. Problem-solving assessments should continue to include self-ratings because employees' beliefs and opinions about their skills and abilities influence the ways in which they make sense of and respond to situations (Machin & Fogarty, 1997). However, to assure the reliability of a problem-solving assessment, the self-ratings should be triangulated with the ratings of others whose opinions are valued (Atkins & Wood, 2002; Carless et al., 1998; Miles & Huberman, 1994). Obtaining information from several sources provides multiple perspectives about an employee's skill in solving work problems and thereby enhances the credibility of the information gathered and an employee's motivation to act on the feedback and change his or her behaviors (Barr & Raju, 2003).

A second recommendation is to use the problem-solving assessment presented in this study as a means of identifying training needs that pertain to specific stages of the problem-solving process. After the instrument is administered to a group of employees and their supervisors, the mean scores of each employee and his/her supervisor for each problem-solving stage can be examined to determine whether significant differences exist between their perceptions. Those stages in which a majority of the employee/supervisor pairs have significantly different scores represent needs upon which to focus in future training activities.

A related, third recommendation is to use the data from the problem-solving assessment for performance coaching. Employees and their supervisors could use the problem-solving assessment to examine their perceptions of the employee's skill in each of the seven problem-solving stages. Those stages in which significant differences between their perceptions were found provide clear direction for discussing an employee's strengths, need areas, and plan of action for becoming a more effective problem solver.

Future Research of Problem-Solving Skill Assessments

The degree to which the findings of the current study apply to other employee groups and professional areas needs to be examined. Therefore, an appropriate next step would be to replicate this study with a larger cross-section of employees and in other organizational contexts. A second area for future research is to examine the strength and direction of the relationship between the stability of employees' perceptions of their problem-solving skill and changes in the levels of challenge in their work. Examination of this relationship may provide useful information that could be used to reconsider the content and activities of training programs and performance improvement initiatives that endeavor to promote problem-solving skill. Lastly, an investigation of the usefulness of the two modified forms of the instrument created in this study for evaluating HRD programs that aim to enhance problem-solving skill is warranted. Examination of the administration of the problem-solving instrument before and after such programs would lead to ways of evaluating and improving HRD initiatives that aspire to help employees effectively handle complex and ambiguous problems in the workplace.

Contributions to New Knowledge in HRD

An important contribution of the present study to new knowledge in HRD is the construction of an instrument that provides a means of generating diagnostic information concerning employee needs related to effective problem solving. A second contribution of the current study to new knowledge in HRD is greater understanding of the

importance of using a multi-rater feedback approach for assessing problem-solving skill. The current study's findings demonstrated that a multi-feedback approach provides a richer, more informative assessment of an employee's problem-solving skill than is found with a traditional self-assessment approach. A third contribution of the current study is that, because the items in the problem-solving assessment focus on the key steps of the problem-solving process rather than on specific work problems, the instrument can be used in a variety of technical or professional areas. These three contributions are important to evolving HRD knowledge because human resource developers must have a valid and reliable means of assessing an employee's ability to solve complex and ambiguous work problems.

References

- Atkins, P. W., & Wood, R. E. (2002). Self- versus others' ratings as predictors of assessment center ratings: Validation evidence for 360-degree feedback programs. *Personnel Psychology*, 55, 871-904.
- Barr, M. A., & Raju, N. S. (2003). IRT-based assessments of rater effects in multiple-source feedback instruments. *Organizational Research Methods*, 6(1), 15-43.
- Barrows, H. S. (1996). Problem-based learning in medicine and beyond: A brief overview. *New Directions for Teaching and Learning*, 68(1), 3-12.
- Bass, B., & Yammarino, F. (1991). Congruence of self and others' leadership ratings of naval officers for understanding successful performance. *Applied Psychology: An International Review*, 40, 437-454.
- Bereiter, C., & Scardamalia, M. (1993). *Surpassing ourselves: an inquiry into the nature and implications of expertise*. Chicago: Open Court.
- Blissett, S. E., & McGrath, R. E. (1996). The relationship between creativity and interpersonal problem-solving skills in adults. *Journal of Creative Behavior*, 30(3), 173-182.
- Carless, S. A., Mann, L., & Wearing, A. J. (1998). Leadership, managerial performance, and 360-degree feedback. *Applied Psychology: An International Review*, 47, 481-496.
- Church, A. H. (2000). Do higher performing managers actually receive better ratings? A validation of multirater assessment methodology. *Consulting Psychology Journal: Practice and Research*, 52(2), 99-116.
- Conway, J. M., & Huffcutt, A. I. (1997). Psychometric properties of multisource performance ratings: A meta-analysis of subordinate, supervisor, peer, and self-ratings. *Human Performance*, 10, 331-360.
- Greguras, G., & Robie, C. (1998). A new look at within-source interrater reliability of 360-degree feedback ratings. *Journal of Applied Psychology*, 83, 960-968.
- Griffin, E. (1994). Attribution theory of Fritz Heider, *A first look at communication theory* (2nd ed., pp. 136-146). Columbus, OH: McGraw-Hill.
- Heppner, P. P., & Petersen, C. H. (1982). The development and implications of a personal problem-solving inventory. *Journal of Counseling Psychology*, 29(1), 66-75.
- Jonassen, D. H. (1997). Instructional design models for well-structured and ill-structured problem-solving learning outcomes. *Educational Technology Research and Development*, 45(1), 65-94.
- Jonassen, D. H. (2000). Toward a design theory of problem solving. *Educational Technology Research and Development*, 48(4), 63-85.
- Lohman, M. C. (2002). Cultivating problem-solving skills through problem-based approaches to professional development. *Human Resource Development Quarterly*, 13(3), 243-261.
- London, M., & Smith, J. W. (1995). Can multi-source feedback change perceptions of goal accomplishment, self-evaluations, and performance-related outcomes? Theory-based applications and directions for research. *Personnel Psychology*, 48, 803-839.
- Machin, M. A., & Fogarty, G. J. (1997). The effects of self-efficacy, motivation to transfer, and situational constraints on transfer intentions and transfer of training. *Performance Improvement Quarterly*, 10(2), 98-115.
- Mayer, R. E., & Wittrock, M. C. (1996). Problem-solving transfer. In D. C. Berliner & R. C. Calfee (Eds.), *Handbook of Educational Psychology* (pp. 47-62). New York: MacMillan.
- Miles, M. B., & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage.
- Nunnally, J. C. (1967). *Psychometric theory*. New York: McGraw Hill.
- O'Neil, H. F., & Schacter, J. (1997). *Test specifications for problem-solving assessment* (CSE Technical Report 463). Los Angeles: University of California.
- van Heerden, J. (1999). Explaining misattribution. *New Ideas in Psychology*, 17, 67-70.
- Wasik, B. H., & Bryant, D. M. (1994). *Three parent and adult problem-solving instruments*. University of North Carolina at Chapel Hill.

Preferences of Training Performance Measurement: A Comparative Study of Training Professionals and Non-training Managers

*Diane D. Chapman
North Carolina State University*

This survey-based study addressed a perceived gap between training performance evaluation practice between training professionals and non-training managers in the manufacturing industry sector. Non-training managers preferred to act on predominantly organizational-level measurements while training professionals favored predominantly job/individual-level measures. While the groups reacted to different training performance measures, both groups relied on on-the-job tests and customer service reports. However, a low response suggests a potential lack of interest for the strategic position of the training function.

Keywords: Evaluation, ROI, Measurement

Training professionals are increasingly being asked to prove the value they add to the organization (Brauchle, 1995; Phillips, 1995; Phillips & Phillips, 2002; Swanson, 1998). Many managers still see training as a non-strategic function, with the perception that it costs more than it returns (Smith, 1996; Swanson, 1998). In order to quell the perception, training evaluation must provide organizational decision-makers with the information they need to decide whether training is providing value (Bowsher, 1998; Groner, 1978).

The majority of research into evaluation practices has focused on the preferences of the training professional (Caudron, 2001; Gutek, 1988; Twitchell, 1997). But, in many organizations, training professionals only provide the evaluation data, whereas, the upper-level manager interprets the results. Upper management receives evaluation reports and data in formats not conducive to their normal decision-making processes (Groner, 1978). Training professionals are then left to assume they are using valuable performance evaluation measurements. Training professionals must supply decision-makers with proper measurements or be eternally viewed as an expense (Bowsher, 1998).

Statement of the Problem and Purpose

Previous research has not thoroughly investigated training evaluation from a non-training managerial perspective. This study investigates the training performance evaluation perceptions and preferences of non-training manufacturing managers and training professionals. The responses of both groups are compared in order to identify the differences and similarities in their perception of the importance of training performance measurement. This investigation is needed in order to find out if the perspective of the non-training managers differs from the accepted perspectives pervasive within the training profession. If a gap exists between the measures important to training professionals and the measures important to other functional managers, training is likely to suffer. Decreased budgeting, diminished organizational influence, and a perceived lack of strategic value might only be a few of the consequences of such a gap.

Research Questions

The research in this study was guided by the following questions:

1. What are the training performance measurements perceived as valuable by managers leading non-training functions and training professionals?
2. Is there a difference in the preferred training performance measurements between managers leading non-training functions and training professionals?

Implications for HRD

Training support, credibility, and budgetary decisions rely on other managerial perceptions in addition to those of training professionals. Little research has been done to find out the perceptions of management about training performance measurement. Training professionals have historically evaluated training based on the information they assumed was valuable to the organization. This study investigated the performance measurement perceptions of both training

*Copyright © 2004 Diane D. Chapman
professionals and non-training managers. The results allow training professionals to find out what training evaluation*

methods are preferable in eliciting the support of other managerial staff for their training operations.

Assumptions and Limitations of the Study

The population for the non-training managers part of this study has been limited to manufacturing organizations in the state of North Carolina. This study assumes that the continuation and funding of training projects in business and industry is at least in part dependent upon the management perceptions of effectiveness of that training. Several techniques were employed in this study to guard against the problem of a low response rate. However, they did not increase the response rate to a desirable level and thus there is a limitation to generalizing the findings of this study.

Research Design and Instrumentation

A cross-sectional design was used to conduct this research. The data for this study were collected by use of a survey. Survey items were specifically developed to directly reflect performance measurement practices found in the business literature. Because of the lack of published research of this nature, no standard instruments were found that would allow for the required analysis.

To expand on the evaluation measures found in the training literature, most of which identify procedures specific to training, a master list of relevant business performance measurements found in the literature was developed. The resulting list included over forty measures (Table 1). Items similar in nature were grouped together in order to arrive at a final listing that was less ambiguous, repetitive and overwhelming. This grouping resulted in fifteen types of measurements based on the type of performance information.

The survey instrument consisted of three parts. In part one, respondents were asked to respond to the likelihood of each measure prompting a managerial action using a 5-point Likert scale anchored with extremely unlikely and extremely likely. The second part of the survey instrument identified the value the respondent places on each measure. The same fifteen measures from part one were again posed to the respondents through a series of three rankings. These rankings were gathered to examine the magnitude of value placed on the measures by the respondent, in relation to other measures in the same performance level. In the third part of the instrument was demographic data including professional background, educational experience, age and gender. These were all found to influence the decision-making process (Bronner, 1993; Smith, 1999).

Content validity was established through relevant literature reviews and pre-testing of the survey. An expert panel, consisting of local training professionals not in the sample, was established to provide additional content and face validity for the instrument. This panel was asked to review all aspects of the survey prior to pre-testing. The survey was revised as a result. The survey was pre-tested by randomly selecting a sample of thirty managers from the North Carolina Manufacturer's Directory sampling frame. This established face validity. The final list of measures were: opinions of trainees, opinions of supervisors, exam scores, on-the-job tests, progress/work performance reports, peer ratings, human resources calculations, productivity reports, organizational climate, cost increases, product quality, financial calculations, turn rates, customer service reports, and investor calculations. The measures, groupings, and levels are shown in Table 1

Population, Sample and Data Collection

In this study there are two populations. The first is managers, without training responsibilities, employed by manufacturing firms in North Carolina from all functional and operational areas of business. The second population consists of professionals with primary training responsibilities employed by manufacturing firms in North Carolina. These training professionals occupy positions in the operation or supervision of a company's internal training activities. External consultants were excluded from the group.

Two follow-up mailings were used in this study for the group of non-training managers. A confidence level of 95 percent and an accuracy level of .05 were used. The required sample size for the sampling frame of non-training managers was 368 responses and 144 for training professionals. The data collection process began with the selection of 982 managers from the non-training manager sampling frame. Selection was done using a random number table. A website was created to host the survey as an option for responding. The response rates were 15.5% for non-training managers and 28.5% for training professionals. Strategies used to increase responses included postcard reminders, telephone calls and mailed hard copies of the survey. This improved the response rate approximately 10%.

Table 1. *Performance Measure Master List and Groupings*

Performance Measures	Grouped Measures	Measurement Level
trainee perception of training value & applicability of skills; trainee confidence in ability to perform; trainee perception of usefulness and relevance of training; self-ratings; assessments	Opinions from trainees about the value of training	Individual/Job Measures
reactions of supervisors; supervisor reports of how training changed employee performance; instructor perception of training effectiveness	Opinions from the trainee's supervisor about the value of training	
end of course examination; pre and post tests; test grades; benchmarks or to the trainee entering	Results of end-of-training exam scores	
observer ratings; direct observation of the trainee; skills practice sessions; group simulations	Results of on-the-job practical tests	
review of performance or efficiency records; case studies	Progress or work performance reports from trainee's supervisor	
peer evaluation of the transfer of training; 360-degree feedback process; peer reactions	Peer ratings about trainee's skill and knowledge mastery	
absenteeism and tardiness; turnover; reduced safety/housekeeping	Human resources calculations	
Output; reduced time per unit of output (productivity); reduced maintenance, scrap, cycle time	Productivity reports	
morale or attitude; reduced grievances; self-confidence & self-efficacy	Organizational climate	
reduction of cost; reduced training cost/time	Cost related to trainees	
changes in quality/accuracy of output; reliability	Quality of output	Organizational Measures
return on investment (ROI); payback, cost-benefit analysis; IRR	Financial calculations	
inventory turn rates; work in process	Turn rates	
decreased customer complaints; customers reactions	Customer service reports	
stock price; contribution margin; market return	Investor calculations	

Data Analysis

Descriptive statistics were used to report frequencies, distributions, and means. T-tests were used for answering research questions one and two by comparing the two groups. T-tests were used to determine if there was a significant difference in the mean responses to each of the measurement questions between the training professionals and non-training managers. Because of the low response rates for the survey, t-tests were run at significance levels of $p=0.01$ and at $p=0.05$ for each of the performance measures in survey questions 1 through 15. Survey questions 16 through 18 were analyzed using t-tests in a similar fashion, only these tests help to detect significant differences between the two groups within the three measurement categories of individual, job and organizational described by Rummler and Brache (1995).

Findings

Ages for the group of non-training managers: mean 46.2. Training professionals: mean 42.3. Gender: non-training managers (76.3% male), training professionals (35.4% male). Education: Non-training managers (47.4%) had bachelor's degrees and training professionals (52.4%) had master's degrees. 77.7% of non-training managers and 87.7% of training professionals had at least a bachelor's degree. Over half of training professionals (60%) had been at their current position from 1 to 5 years. Non-training managers (42.7%), and training professionals (20%), had been at their current job more than 6 years.

Respondent Employment Information

Both Training professionals (87.7%) and training managers (88.8%) rated themselves at least partially responsible for managing training. Only 11.2% of the non-training managers reported that none of his or her job included training management. The mean of the responses for the non-training manager group was 26.6 percent of their job and the mean for the training professionals was 53.8 percent of their job.

Most respondents in both groups (96% of non-training managers and 86.1% of training professionals) have had either limited or frequent involvement in the design and delivery of training. Almost 14% of the training professionals had no involvement. Almost half of all non-training manager respondents (48%) were top-level managers. Non-training

managers represented Plant/operations (25.3%) human resources management (14.4%) and marketing/sales management (9.2%). Training professionals represented human resources management (65.1%), general management (2%) and marketing/sales management (2%).

Research Question 1 R₁: What are the Training Performance Measurements Perceived as Valuable by Managers Leading Non-training Functions and Training Professionals?

Few training professionals were unlikely to act on either opinions of the supervisor and exam scores. None of the training professionals gave opinions of the trainee's supervisor (survey question 2) or end-of-training exam scores (survey question 3) an extremely unlikely rating. Whereas, 3.9% of the non-training managers said they were extremely unlikely to react to each of these measures. Conversely, 36.2% of non-training managers were extremely likely to react to supervisor opinions, compared to 53.8% of training professionals. And, 42.1% of non-training managers were likely to react to end-of-training exam scores, compared to 63.1% of the training professionals.

Views on the importance of productivity reports varied between the groups. A larger percentage of training professionals (23.1%) were unlikely to react to productivity reports as non-training managers (11.2%). Non-training managers were much more likely to react to productivity reports (80.2%) than training professionals (58.5%).

Non-training managers were more likely to react to results of organizational climate (65.1%) than were training professionals (49.2%). Nearly twice the percentage of training professionals (32.3%) said it was unlikely they would react to this measure, as compared to non-training managers (17.1%). Non-training managers were more likely to react to cost increases than training professionals. Nearly sixty percent of non-training managers would likely react, compared to only 35.9% of training professionals. More non-training managers (81.6%) than training professionals (61.6%) were likely to react to measures concerning product quality. Training professionals are more likely to react to progress/work performance reports.

Ranking and Differences in the Means

Another way of looking at differences between non-training managers and training professionals is by comparing the means of their ratings on each performance measure. A listing of the means of the ranking of each performance measure is located in Table 2.

Table 2. *Ranking of the Means by Performance Measure*

Performance Measure	Non-training Managers X(ranking)	Training Professionals X(ranking)
On-the-job practical tests	4.36(1)	4.46(2)
Customer service reports	4.29(2)	4.11(5)
Quality of output	4.19(3)	3.78(7)
Productivity reports	4.11(4)	3.48(9)
End-of-training exam scores	4.09(5)	4.49(1)
Progress or work performance reports	4.04(6)	4.06(6)
Opinions from the trainee's supervisor	4.01(7)	4.35(3)
Human resources calculations	3.89(8)	3.30(11)
Opinions from the trainee	3.80(9)	4.13(4)
Organizational climate	3.76(10)	3.26(12)
Peer ratings about trainee's mastery	3.75(11)	3.56(8)
Cost increases connected to trainees	3.61(12)	3.11(14)
Lower turn rates	3.53(13)	3.22(13)
Financial calculations	3.52(14)	3.45(10)
Investor calculations	3.10(15)	2.78(15)

When the means scores were ranked for each group, the non-training managers rated on-the-job tests highest, with a mean of 4.36, while training professionals rated end-of-training exam scores as the highest with a mean of 4.49. Customer service was rated second highest by non-training managers while training professionals rated the same measure fifth.

Training professionals rated opinions from the trainee's supervisor more likely to provoke a response (third highest) than non-training managers who rated it as seventh highest. Training professionals also rated trainee opinions about the value of training higher (4th) than non-training managers (9th). Another discrepancy between the performance measure ratings of the two groups was in the productivity reports measure. Non-training managers rated this measure as fourth highest, compared to training professionals who ranked it ninth.

Frequencies were also run on survey questions 16 through 18, where the respondents ranked the measures within their performance levels. Performance levels are based on Rummler and Brauche's (1995) three levels of job/individual, process, and organizational. The findings here were similar to the individual ratings of the performance measures. In the job/individual level, both training professionals and non-training managers most frequently gave the highest ranking to end-of-training exam scores. In the process level, both groups most often ranked on-the-job tests with the highest ranking. The greatest variation in the frequency of number one rankings, comes in the organizational level where non-training managers ranked product quality highest and training professionals ranked customer service reports highest.

Research Question 2 R₂: Is There a Difference in the Preferred Measurements of Performance Evaluation Between Managers Leading Non-training Functions and Training Professionals?

T-tests were performed on the ratings of each of the fifteen performance measures to test for significant differences between non-training managers and training professionals. Research and null hypotheses were developed for each of the measures and were accepted or rejected based upon a significance level of $p=0.05$. Due to the small sample size and because some measures may be near significance at $p=0.05$, t-tests were also performed at significance levels of $p=0.01$, and $p=0.10$. Table 3 summarizes the t-test results for significant performance measures.

Table 3. Significant t-Tests Comparing Non-Training Managers and Training Professionals in Performance Measure Importance

Performance Measure	Non-Training Managers X (sd)	Training Professionals X (sd)	t
Opinions of Supervisor	4.03 (1.05)	4.35 (.84)	-2.222*
Exam scores	4.11 (1.01)	4.49 (.77)	-2.707**
Human resources calculations	3.87 (1.19)	3.30 (1.35)	3.085**
Productivity reports	4.09 (1.06)	3.48 (1.20)	3.754**
Organizational climate	3.75 (1.16)	3.26 (1.30)	2.722**
Cost increases	3.61 (1.02)	3.11 (1.13)	3.195**
Product quality	4.20 (.99)	3.78 (1.11)	2.723**

* significant at .05 ** significant at .01

T-tests were also performed on the mean scores of the rankings in questions 16 through 18, where respondents ranked the performance measures within performance levels (Table 4). Only three measures were found to be significantly different between the two groups of respondents. Those measures were peer ratings, productivity reports, and quality of output.

Table 4. Significant Comparisons of Non-Training Managers and Training Professionals in Performance Measure Importance Through Rankings

Performance Measure	Non-Training Managers X (sd)	Training Professionals X (sd)	t
Peer ratings	3.76 (1.17)	3.32 (1.22)	2.510*
Productivity reports	2.74 (3.38)	3.38 (1.33)	-3.251**
Product quality	2.13 (1.27)	2.52 (1.43)	-1.970*

* significant at .05 ** significant at .01

Conclusions

The study's findings cannot be generalized to the larger population due to the small response rate.

Training Professionals and Non-training Managers React to Different Types of Training Performance Measures

A gap between training professionals and non-training managers extends to at least eleven of the fifteen performance measures tested in this study. Non-training managers want to understand the impact of training in their own terms (Jedrziewski, 1995; Shelton & Alliger, 1993).

Training Professionals Are More Likely Than Non-training Managers to React to Job/Individual-Level Performance Measures

Training has historically been assessed by such non-performance measures as head counts, time spent training, and reactions to the training from the participants (Marshall & Schriver, 1994). As the profession has matured, training professionals began looking beyond these measures and began using methods more related to performance such as end-

of-training exam scores and on-the-job tests.

Non-training Managers Are More Likely Than Training Professionals to Rely on Organizational-Level Measures

While training managers are measuring how trainees scored on their end-of-training exams, non-training managers are looking at measures more directed at the organization-level. Those outside the training function may not understand traditional training evaluation measures or know how to use them (Groner, 1978). A number of top managers are demanding evaluation aimed at the organizational level (Rothwell, 1996).

Non-training Management Is Not Primarily Concerned With Converting Training Benefits to Dollar Figures

This study shows that the highest rated performance measure for training managers was end-of-training exam scores.

The highest rated measure for non-training managers was on-the-job tests. Training literature regularly heralds the advantages and necessity of converting training benefits into monetary figures (Brauchle, 1995; Phillips, 1996). But, out of the top four measures rated by non-training managers in this study, none concerned any type of dollar cost. The measures of on-the-job tests, customer service reports, quality of output, and productivity reports are all indications of cost effectiveness, but do not require an actual translation into dollars. This is an indication that unlike the claims of the popular training literature, ROI and cost-benefit analysis are not top priorities for managers when it comes to assessing the value of training. Non-training managers reacted more to non-financial measurements than financial ones. In fact, out of the fifteen measures, financial evidence ranked fourteenth on the list.

On-the-job Tests and Customer Service Reports Are Measures That Are Valued By Both the Training Profession and Business and Industry

On-the-job tests were ranked first by the non-training managers and second highest by the training professionals. This shows that both groups value this measure highly. This is further evidenced by the failure of the t-tests to show any significant difference between the ratings of the groups.

The Low Response Suggests a Potential Lack of Interest for the Strategic Position of the Training Function

The response rates for this study were far less than desirable for both samples. Surveys were not returned at the expected rate, so the possible reasons for this phenomenon must be examined. After reviewing the methodology employed, one notion emerges --the subject of training is not deemed as important to this manufacturing population. The manufacturing sector in this country has had to adapt to increased competition. In order to become more competitive, businesses have had to get "leaner and meaner". Training shows them no direct value; therefore, they see no reason to give training issues their attention. Obvious strategic issues such as customer service and production are much higher on the priority list. Training is still seen as a nice thing to have or as a reward, not as strategic to making the organization more competitive or furthering managerial careers.

Recommendations for the Training Profession

Training Professionals Need to Take the Lead in Establishing and Using Measures Valued by Non-training Managers

The training profession cannot afford to wait for the rest of the organization to come to them to bridge the gap in measuring performance. The lack of interest in this study by non-training management may indicate an unfavorable perception of the credibility in the training profession. In order to increase prestige and organizational influence, training management must lead the way. This means using the measures of business and industry to gauge performance and not expecting the rest of the organization to meet the training function half way, but taking the expectations of non-training management and embracing them as their own. If training does not bridge the gap in performance measurement, no one will. Only the training profession has the knowledge, incentive and the understanding of training performance to build the measures that reflect training success or failure.

Training Professionals Should Concentrate on Explaining Training's Contribution to Non-financial Performance Measures Rather Than on Converting Training Benefits to Dollars

The results of this study show that non-training management does not place a priority on financial measures when it comes to assessing training performance. Whether this is a result of a perception that training benefits are intangible, or of a historically low expectation for the profession, is irrelevant. Trainers need to evaluate training based on measures that other decision-makers deem important now. This study suggests that those measures are of a non-monetary nature. Non-training managers placed more value on measures such as productivity, quality of output, and customer service. Although these measures are frequently converted to dollars, non-training management does not seem to require those calculations in order to value the measures. The time spent trying to convert benefits to dollars could better be spent explaining training's contribution to these measures.

Training Professionals Need to Bridge the Gap With Non-training Managers by Developing Measures Aimed at the Process and Organizational Levels

This study found that while non-training managers react more to organizational measures of training performance,

training managers react more to individual or job level measures. This finding exemplifies one of the major reasons that training is still seen as a non-strategic function. If trainers continue to focus on lower-level evaluations, they will not be perceived as having higher-level impacts. It is unlikely that non-training managers can make the connection between a trainee's performance on an end-of-training exam and the level of customer service that employee exhibits. It is not the responsibility of non-training management to make that connection. Therefore, rather than assuming or expecting non-trainers to see the relationship, training professionals must make the relationship obvious. This can be accomplished by reporting trainee performance in terms of higher-level measures.

Training Professionals Should Incorporate Measures of Customer Service and On-the-job Training Into Their Training Evaluation Reports to Non-training Management

Both training and non-training professionals were shown to value the measures of on-the-job training and customer service reports. Therefore, this seems like a great place to begin to bridge the gap in the use of performance measures. By using measures that non-trainers already consider important, the training profession can increase its visibility and impact within the organization. It is much easier to incorporate non-training measures into training than to make non-training people value training-specific measures. It is important to remember that not all organizations place the same weight on the same measures. Therefore, training professionals should investigate what measures are important in their specific organization and make use of them. The results of this study suggest that the aforementioned measures may be a good starting point.

The Training Profession Needs to Understand the Use and Utility of Performance Measures Commonly Used in Business and Industry

Training professionals seem to be sticking to traditionally training-specific performance measures despite their perceived lack of use in the organization. Measures such as trainee opinions (reaction) and end-of-training exam scores may have a lot of meaning to the training function, but they have little value to the rest of the organization. Lack of understanding the calculations used in other measures has been a frequently cited reason for the disuse of organizational level performance measures (Davidove, 1993). This is not a suitable excuse. This sort of "inside the box" thinking may be much of what is holding the training profession back. Training managers need to think "outside the training box" and investigate other measures of performance. They need to find out what the valued measures are in their organization and learn to use them.

Recommendations for the Non-training Managers

Non-training managers can also assist in bridging the gap in training performance measurement. They can take the time to learn about common training measurements, such as trainee reactions and examinations. By understanding these individual-level measures, they can begin to see the connections between individual performance and organizational performance. While organizational and process level measurements may be more desirable to this group, it is useless developing measures at these more macro levels, if the training cannot be found effective based on the individual trainee.

References

- Bowsher, J. (1998). Evaluate or else. *Training*, 35, 88.
- Brauchle, P. E. (1995). Interpreting a compact cost/benefit analysis that assesses the performance value of training. *Proceedings of the Academy of Human Resource Development Conference*: St. Louis. MO. (ERIC Document Reproduction Service No. ED 398 370)
- Bronner, R. (1993). Decision-making in complex situations. *Management International Review*, 33, 7-17.
- Caudron, S. (2001). Training's hot: Well very, very, warm. *Training and Development*, 55, ,30-35.
- Davidove, E.A. (1993). Evaluating the return on investment of training. *Performance and Instruction*, 32, 1-8.
- Groner, D. M. (1978). A management perspective to evaluating management training and development. In Richard O. Peterson (Ed.) *Determining the payoff of management training*. Madison, WI: American Society for Training and Development.
- Gutek, S. P. (1988). Training program evaluation: An investigation of perceptions and practices in nonmanufacturing business organizations (Doctoral dissertation, Western Michigan University, 1988). *Dissertation Abstracts International*, 49-05A, AAI8811388.
- Jedrziewski, D.R. (1995). Putting methods to the madness of evaluating training effectiveness. *Performance and Instruction*, 34, 23-31.
- Marshall, V., & Schriver, R. (1994). Using evaluation to improve performance. *Technical Skills and Training*, 5, 6-9.

- Phillips, J.J., & Phillips, P. P. (2002). Reasons why training & development fails... and what you can do about it. *Training*, 39, 78-85.
- Phillips, J.J. (1996). How much is the training worth? *Training and Development*, 50, 20-24.
- Phillips, J.J. (1995). Return on investment - Beyond the four levels! *Proceedings of the Academy of Human Resource Development Conference*: St. Louis, MO. (ERIC Document Reproduction Service No. ED 398 370)
- Rothwell, W.J. (1996). *A survey about training evaluation practices in selected organizations: Summary of results*. University Park, PA: The Pennsylvania State University. (ERIC Document Reproduction Service No. ED 403 465)
- Rummel, G. A., & Brache, A. P. (1995). *Improving performance: How to manage the white space on the organization chart*. San Francisco: Jossey-Bass Publishers.
- Shelton, S., & Alliger, G. (1993). Who's afraid of level 4 evaluation?: A practical approach. *Training and Development*, 47, 43-46.
- Smith, B. (1996). Oh where, oh where is HR heading? *HRFocus*, 73, 74.
- Smith, M. (1999). Gender, cognitive style, personality and management decision-making. *Management Accounting*, 77, 18-22.
- Swanson, R.A. (1998). Demonstrating the financial benefit of human resource development: Status and update on theory and practice. *Human Resource Development Quarterly*, 9, 285-295.
- Twitchell, S. (1997). Technical training program evaluation: Present practices in United States Business and Industry (Doctoral Dissertation, Louisiana State University). *Dissertation Abstracts International*, 58-09A, AAI9810840.

Using Behaviorally Anchored Self-Assessment Instruments for Performance Appraisal

*James R. Lindner
Texas A&M University*

*James A. Buford, Jr.
Auburn University & Troy State University*

*Kim E. Dooley
Texas A&M University*

*Gary Jedynak
Summerhill Associate, LLC*

*Elaine Pattison
Quality Assured Label, Inc*

*Larry M. Dooley
Texas A&M University*

The purpose of this study was to describe how behaviorally anchored self-assessments have been used to appraise the performance of press operators at a print facility in the Midwest. The study documents employee growth in 30 competency areas over a two-year period. The study identifies congruence between self-assessment and supervisory assessment on 36 job tasks at the end of the two-year period. The study uses content analysis techniques in data collection and analysis. The results showed that over time employees develop and supervisors authenticated competency development. Congruence between self-appraisal and supervisor appraisal was high.

Keywords: Performance Appraisal, Behavioral Anchors, Self-Assessment

Researchers, writers, consultants, HR professionals and practicing managers see performance appraisal as an important tool in managing resources (Buford & Lindner, 2002). It should, theoretically, provide a number of positive benefits. It should improve the quality of administrative decisions in such areas as merit pay, promotion, and termination. For employees the feedback reinforces good performance and suggests areas needing improvement. Performance ratings can be used to identify training needs and validate selection tests. In practice, however, most performance appraisal systems fail to achieve these benefits. Studies have indicated that up to 90% of appraisal systems are ineffective and 40% of employees say that their performance is not appraised at all (Nelson, 2000). Disappointing results from performance appraisal can be attributed to a number of factors (Grote, 1996). Often performance appraisal systems are not aligned with the organization's mission and strategic plan. At the supervisor level appraising technical performance, especially in manufacturing is often compounded with other performance factors such as initiative and people skills. As a result writing reviews can become highly subjective and time consuming.

When this is the case, performance appraisal contributes little to the accomplishment of objectives. Lack of support by top management is one of the most important causes of poor implementation. When raters are not held accountable they are unlikely to invest the necessary time and effort in setting expectations, counseling employees, providing feedback, and accurately rating performance. Many supervisors find confronting performance issues to be very difficult, particularly when they have to criticize an employee. Performance appraisal is often threatening to employees, especially if they do not understand the rating criteria or if they view the process as unfair. Administrative and developmental purposes may conflict with each other. For example, if an employee knows the ratings will be used to set merit pay in the upcoming budget, he or she will be less concerned with goal setting, skill building, and performance improvement, which do not have immediate implications. Finally, performance ratings used for administrative purposes can result in legal liability under fair employment laws and regulations.

Copyright © 2004 James R. Lindner, James A. Buford, Jr., Kim E. Dooley, Gary Jedynak, Elaine Pattison, & Larry M. Dooley

However, these and other problems are attributable mainly to shortcomings in how performance appraisal systems are designed and administered, not because of inherent deficiencies in either the concept itself or in the techniques described in the professional literature, some now over 50 years old. One writer suggested that for many organizations, using these techniques would amount to a significant improvement over what they are doing now (Grote, 1996). Moreover the new focus on strategic HRM has resulted in the development of improved methods and approaches. Interestingly, most successful examples of these “best practices” are found in the public sector (Grote, 2000). It should also be pointed out that legal compliance focuses on job-related performance measures and fair administration, conditions that are necessary to gain the benefits mentioned above even if legal liability were not a consideration.

Theoretical Framework

Determining, measuring and verifying competencies needed for a given profession are difficult but necessary tasks. HRD professionals are continuously seeking appropriate techniques to document professional growth and performance over time. One method for addressing this problem is to develop and use competency-based and behaviorally anchored rating scales to measure growth. When describing the use of the term competency, Boon and van der Klink (2002) noted that because the term competency is ambiguous, it should be operationally defined. Buford and Lindner (2002) defined competencies as a group of related knowledge, skills, and abilities that affect a major part of an activity. Knowledge is a body of information applied directly to the performance of a given activity. Skill is a present, observable competence to perform a learned psychomotor act. Ability is a present competence to perform an observable behavior or a behavior that results in an observable product. Competencies establish the behavior requirements needed to be successful in a given profession or task.

In this study, behavioral anchors are defined as characteristics of core competencies associated with the mastery of content. Competency-based behavioral anchors are defined as performance capabilities needed to demonstrate knowledge, skill, and ability (competency) acquisition. Nitardy and McLean (2002) stated that “achieving competency is not an end to be achieved, rather it is a road to be traveled. To be effective, one needs to develop continually new competencies...” (p. 962). Competency-based behavioral anchors require considerable time and effort to develop, however, they provide more accurate judgments than item-based scales (Buford & Lindner, 2002). Further, such anchors provide supervisors and other expert raters with behavioral information useful in providing assessments and feedback to learners. Such information can help learners understand their unique bundles of competencies and increase satisfaction, motivation, learning, and ultimately success on the job (Drawbaugh, 1972). Competency-based feedback based on behaviors can provide a foundation for individual learning plans. Behavioral anchors can also be used to describe minimally acceptable knowledge, skills, and abilities on identified core competencies, thus, giving managers tools and information needed to improve curricula, training materials, evaluation processes, and instructional delivery methods.

Performance appraisal instruments based on behaviors are more difficult to develop. Perhaps the major shortcoming of behavioral criteria is that carrying out all the expected behaviors does not necessarily lead to success on the job. For example, an employee may do all the “right things” and still not complete projects on time or within budget.

Behavioral scales are an extension of both the traditionally used item-based graphic rating scale and the critical incident technique and are designed to assess the various behaviors that can be observed when an employee is performing a job (Buford & Lindner, 2002). Such formats reduce the amount of judgment required by the rater in item-based scales. They also quantify the level of performance represented by observed behaviors, an aspect missing from the critical incident approach. The formats used most frequently are behaviorally anchored rating scales (BARS) and behavioral observation scales (BOS).

BARS is the most complex and sophisticated format as well as the most expensive to develop. The construction of BARS generally follows procedures developed by Smith and Kendall (1963). The first step is to collect critical incidents that describe a wide range of behaviors. The critical incidents are then placed in broad categories that serve as performance dimensions. A group of supervisors and possibly experienced job incumbents known as subject matter experts (SMEs) are given the set of critical incidents and categories and asked to match each incident to the category that they believe the incident illustrates (known as retranslation). Incidents that are not assigned to the same category by a high percentage of the SMEs and those that fall frequently into two or more categories are discarded. Another group of SMEs is given the retranslated list and asked to rate each incident on a 5- to 9-point scale, representing a continuum of job performance from outstanding to poor. The only items retained are those on which the ratings are closely “clustered” (do not vary excessively around the group mean). These incidents are used as anchors on the rating scale; hence the term behaviorally anchored.

While BARS is highly job related, there are several disadvantages (Grote, 1996). The most obvious problem is that raters may have difficulty in matching actual observed behaviors with the examples used as scale anchors. There are many more critical incidents that describe performance under the dimension of resolving employee problems than the seven items provided on the scale. As with the critical incident technique, the process requires the rater to keep extensive behavioral records, and few managers have the discipline to do this. Another problem is that scale anchors may overlap such that the same behavior can be rated high in one category and low in another. The rater might observe both good and bad performance on the same dimension. For example, a supervisor who calms down frustrated employees might also cover up drinking on the job. Finally, there is no research that shows that BARS is more accurate and valid than a well-designed graphic rating scale.

A procedure that overcomes these limitations of BARS is called behavioral observation scales (BOS), as set forth by Latham and Wexley (1977). The primary difference is that BOS is developed by attaching a 5-point behavioral frequency scale to each behavioral item. The major advantage of BOS is that raters are forced to make a more complete appraisal of the individual's performance, rather than emphasize only those items they can recall at the time of the rating and are able to match with one of the scale anchors. A major disadvantage of the BOS format is that behavioral frequencies are not always true measures of performance.

A competency-based behavioral scale contains features of both BARS and BOS. Like BARS, an absolute rating scale is used to define various levels of performance in behavioral terms; however, more complete coverage is provided, similar to the BOS format. This type of instrument is constructed by considering groups of related tasks associated with a particular competency (made up of various knowledges, skills, and abilities). Written statements or critical incidents are used to describe levels of performance in that competency ranging from ineffective to exceptional. SMEs may assist with scaling the behavioral examples, which are not usually "anchored" as in BARS. The number of levels of performance depends on the number of scale points. The rater selects the behavioral statement that "best fits."

A recent approach to the use of behavioral anchors for appraising employee performance includes self-assessment by the employee (Halbert, 2000). Behavioral anchored self-assessments (BASA) focus on tracking an employee's competency development over time. A potential benefit of BASA over BARS and BOS is the self-assessment by the employee coupled with the authentication of the SME. Self-appraisals are useful in development because they emphasize personal growth, intrinsic motivation, and goal setting (Buford & Lindner, 2002). They also communicate to the SME or supervisor how the employee perceives her performance. A major problem with self-assessment is that the employee may use standards different from what the organization expects and they lack objectivity in assessing their own performance. Recent research by Yarrish and Kolb (2002), however, found that little to no differences existed between self and supervisor appraisals. To address this potential problem, BASA includes a SME or supervisor authentication as a part of the process. SME assessments are appropriate for several reasons, namely it is the SME who normally assigns and observes and is responsible for the work of the employee. A major problem with SME assessment is rater errors. BASA is an attempt to emphasize the positive aspect of self and SME assessment while minimizing the associated inherent problems.

All behaviorally based scales have several general advantages over other methods. Superiors and subordinates usually are involved in their development. The feedback provided is highly job related, and performance appraisal sessions focus on behaviors that contribute to successful job performance. Lee, Yarrish, and Miller (2002) noted that effective feedback on employee performance is positively related to performance improvements. However, these formats require considerable time and effort to develop. The development procedures must be repeated for each job, which may not be cost-effective for jobs with few incumbents.

Purpose

This study addressed Nelson's (2000) concern that up to 90% performance appraisal systems fail. Failure of performance appraisal systems is mainly attributed to poor design and poor administration. Behavioral scales used to appraise employee performance may overcome these problems (Lindner & Buford, 2002). The purpose of this pilot study was to describe how BASA have been used to appraise the performance of press operators at a print facility in the Midwest. The study further sought to authentically document the competencies of press operators over time as they progressed from novice to experts. The research questions were: 1) How much growth occurred over a one year period? 2) What is the congruence between employee and supervisory assessments over a one-year time? 3) What are the strengths and weaknesses of the BASA approach as perceived by the organization?

Methods

Content analysis techniques were used to analyze BASA assessment appraisals from five press operators at a print facility in the Midwest (Fraenkel & Wallen, 1996). Caution is warranted against generalizing the findings of this study beyond those participating in the study. Based on a review of literature, the researchers developed an instrument to collect data related to the research questions (Dooley & Lindner, 2002; Jedynak, 2003; Halbert, 2000). The following three coding categories were developed. Competency development was coded as percentage of novice/advanced beginner, competent, proficient, or expert competencies achieved over time. Novice/advanced beginner consisted of four competency items: 1) may be familiar with similar skills or techniques from a related field, 2) can sometimes do simple tasks, 3) becoming familiar with procedures and techniques, and 4) requires close supervision. Competence consisted of six competency items: 1) can run specific jobs confidently, 2) knows how to run a specific press, 3) skills becoming automatic, 4) terminology beginning to fall into place, 5) beginning to understand some methods, and 6) requires some supervision. Proficient consisted of nine competency items: 1) works independently from job start to job finish when all materials are supplied, 2) able to set and run any repeat job with consistent color and registration, 3) run any similar press efficiently, 4) executes many procedures and techniques with automaticity, 5) can describe how work is done and how decisions are made, 6) fluent in job terminology and may assist in writing procedures, 7) knows press well enough to recognize mechanical problems, 8) can trouble shoot and solve problems in general press areas, and 9) tutors novices and beginners effectively. Expert consisted of eleven competency items: 1) highly productive on any press running and job due to experience and automaticity, 2) adapts any QAL press quickly and easily, 3) reliable application of skills and knowledge, 4) knows what to do and what not to do, 5) excellent understanding of methodology, 6) may coach others, 7) lay out job for product fit for press, 8) mechanically maintain and fix press for routine production, 9) exceptional troubleshooting skills, 10) able to suggest improvements to equipment and procedures, and 11) excellent estimating and predictive abilities.

Congruence between self-assessment and supervisory assessment was coded as perfect, high (+ or -), medium (+ or -), low (+ or -), or negligible (+ or -). The direction of congruence (+ or -) indicates whether the employee rated their performance higher (-) or lower (+) than the supervisor. The level of congruence is an indicator of whether the employee has more confidence than competence or visa versa. Strengths and weaknesses of the BASA approach were based on a qualitative analysis of supervisor's, SME's, and executive's comments on how the BASA process was working. A panel of experts at Texas A&M University established content validity. Each employee assessment instrument was read and analyzed independently by two of the researchers. Researcher-generated data were entered onto the data collection instrument. Results generated by the two researchers were compared to determine discrepancies between researchers. Less than one discrepancy per issue existed. When discrepancies existed the two researchers, working together, reanalyzed the data and agreed on the correct code.

Results and Findings

The results of this study were reported in three areas: Competency growth, congruence between self-assessment and supervisory assessment, and strengths and weaknesses of the model. Competency growth over time for each of the five press operators is shown in Table 1. For example, at the end of the first appraisal period, Employee One had reported (and authenticated by her supervisor) that she was proficient on 50% of the novice/advanced beginner competencies, 67% of the competent competencies, 0% of the proficient competencies, and 0% of the expert competencies. By the end of the fourth appraisal period, she reported (and authenticated by her supervisor) that she was proficient on 100% of the novice/advanced beginner competencies, 100% of the competent competencies, 78% of the proficient competencies, and 9% of the expert competencies.

Table 1. *Press Operator Competency Growth Over Time*

Competency Development	Rating Period	Employee One			
		<i>1st</i>	<i>2nd</i>	<i>3rd</i>	<i>4th</i>
Novice/Advanced Beginner ^a		50%	100%	100%	100%
Competent ^b		67%	100%	100%	100%
Proficient ^c		0%	0%	0%	78%
Expert ^d		0%	0%	0%	9%
Competency Development	Rating Period	Employee Two			
		<i>1st</i>	<i>2nd</i>	<i>3rd</i>	<i>4th</i>
Novice/Advanced Beginner		100%	100%	100%	100%
Competent		100%	100%	100%	100%
Proficient		78%	100%	100%	100%
Expert		36%	55%	73%	100%
Competency Development	Rating Period	Employee Three			
		<i>1st</i>	<i>2nd</i>	<i>3rd</i>	<i>4th</i>
Novice/Advanced Beginner		100%	100%	100%	100%
Competent		100%	100%	100%	100%
Proficient		78%	89%	100%	100%
Expert		27%	36%	64%	91%
Competency Development	Rating Period	Employee Four			
		<i>1st</i>	<i>2nd</i>	<i>3rd</i>	<i>4th</i>
Novice/Advanced Beginner		25%	100%	100%	100%
Competent		67%	100%	100%	100%
Proficient		0%	0%	11%	67%
Expert		0%	0%	0%	0%
Competency Development	Rating Period	Employee Five			
		<i>1st</i>	<i>2nd</i>	<i>3rd</i>	<i>4th</i>
Novice/Advanced Beginner		100%	100%	100%	100%
Competent		100%	100%	100%	100%
Proficient		44%	67%	67%	89%
Expert		0%	18%	18%	36%

Note. Appraisals were conducted four times over a one year period; ^aFour competency items; ^bSix competency items; ^cNine competency items; ^dEleven competency items

Congruence between self-assessment and supervisory assessment for the five press operators is shown in Table 2. For example, at the end of the final appraisal period, Employee One reported she was an expert at performing tasks associated with ink unit. The supervisor reported she was proficient at performing tasks associated with ink unit. The employee's confidence in their own ability does not match the supervisor's competence rating. The congruence, however, between the self-assessment and supervisors assessment is high, the employee rated their competence one step higher than the supervisor. Tasks associated with ink unit included: SLI key/stroke, SLI replacing rubber, SLI setting from rollers, SLI operation, SLI squaring, flexo doctor blade, flexo anilox roll, flexo metering roll, flexo height, flexo durometer, flexo squeegee, screen impression and screen squeegee. Employee One reported that she was proficient at performing tasks associated with die stations as did the supervisor. Perfect congruence between self-assessment and supervisory assessment existed.

Table 2. Congruence Between Self-Assessment and Supervisory Assessment

Employee One			
Job Responsibilities	<i>Self-Assessment</i>	<i>Supervisory Assessment</i>	<i>Congruence</i>
Ink Units ^a	Expert	Proficient	High -
Die Stations ^b	Expert	Proficient	High -
Press Operation ^c	Proficient	Proficient	Perfect
Job Set Up ^d	Expert	Proficient	High -
Documentation and Quality ^e	Proficient	Proficient	Perfect
Printing ^f	Expert	Proficient	High -
Employee Two			
Job Responsibilities	<i>Self-Assessment</i>	<i>Supervisory Assessment</i>	<i>Congruence</i>
Ink Units	Proficient	Expert	High +
Die Stations	Proficient	Expert	High +
Press Operation	Proficient	Expert	High +
Job Set Up	Proficient	Expert	High +
Documentation and Quality	Proficient	Expert	High +
Printing	Proficient	Expert	High +
Employee Three			
Job Responsibilities	<i>Self-Assessment</i>	<i>Supervisory Assessment</i>	<i>Congruence</i>
Ink Units	Proficient	Proficient	Perfect
Die Stations	Proficient	Proficient	Perfect
Press Operation	Proficient	Proficient	Perfect
Job Set Up	Proficient	Proficient	Perfect
Documentation and Quality	Proficient	Proficient	Perfect
Printing	Proficient	Proficient	Perfect
Employee Four			
Job Responsibilities	<i>Self-Assessment</i>	<i>Supervisory Assessment</i>	<i>Congruence</i>
Ink Units	Proficient	Proficient	Perfect
Die Stations	Proficient	Proficient	Perfect
Press Operation	Proficient	Proficient	Perfect
Job Set Up	Proficient	Proficient	Perfect
Documentation and Quality	Proficient	Proficient	Perfect
Printing	Proficient	Proficient	Perfect
Employee Five			
Job Responsibilities	<i>Self-Assessment</i>	<i>Supervisory Assessment</i>	<i>Congruence</i>
Ink Units	Expert	Proficient	High -
Die Stations	Proficient	Proficient	Perfect
Press Operation	Proficient	Proficient	Perfect
Job Set Up	Expert	Proficient	High -
Documentation and Quality	Proficient	Proficient	Perfect
Printing	Proficient	Proficient	Perfect

Note. Reviews were conducted at the completion of the appraisal period; ^aThirteen task statement; ^bFive task statements; ^cFive task statements; ^dEight task statements; ^eFive task statements; ^fFive task statements

Supervisor's, SME's, and executive's of the print facility in the Midwest noted that the BASA process was stable during both the introduction and routine use. The press operators had no difficulty understanding the tool and doing their own assessment. Supervisors, likewise, found the tool easy to use. When there were questions, minor changes to the tool improved the readability and/or content. The minor changes did not make prior assessments any less valid. The use of BASA improved employee relations in the company. It gave employees ownership in their own development in a pragmatic, non-judgmental way. BASA made it clear what employees could do at a given point in time and what they needed to learn. Each developmental stage was linked to a pay grade and salary range so arguments about money were reduced. A visible system linking pay, performance, and employee development also made the supervisor's job easier. The supervisor had more information and could better schedule the work, as well as training, based on the individual's skill and knowledge level.

Performance problems were also easier to address since both the employee and supervisor put their assessment in writing and have a performance review discussion. If performance did not match the documented skills, it is easy to have a discussion about the issues. Often, just showing employees their self-assessment resulted in improved performance, i.e. if you claim to be an expert, why are you not performing at that level? The use of BASA was so successful with press operators it was also developed for other production jobs, i.e. finishing operators, production assistants, etc. The same BASAs were also translated into Spanish for use in their Argentina plant.

Conclusions, Recommendations, and Contributions to HRD

Nelson (2000) noted that up to 90 percent of appraisal systems are ineffective. Ineffective performance appraisal systems contribute little to organizational objectives and often have detrimental affects on employee satisfaction, motivation, and productivity. Nonetheless, determining, measuring, and verifying competencies needed by an employee for a given job is critical to organizational effectiveness and efficiency. This study attempted to use an innovative process to appraising employee performance that tracks an employee's competency development over time and minimizes the detrimental affects listed above. The behavioral anchored self-assessment (BASA) instrument used in the study, demonstrated its effectiveness in overcoming some of ineffectiveness of other types of assessment instruments.

The results of this study, like those reported by Yarrish and Kolb (2002) found little to no differences between self and supervisor appraisals. This process combines the benefits of BARS and BOS (highly job related and based on direct observation) with the benefits of self and supervisor appraisals (emphasizing personal growth, intrinsic motivation, goal setting, and authentication). Congruence between employee appraisals and supervisor appraisals was high to perfect. An implication exists that when self-assessments are coupled with supervisory assessments, employees are more likely to use standards that are in line with what the organization expects and they have objectivity in assessing their own performance.

The BASA process was effective in meeting Nitardy and McLean's (2002) goal of employees continuing to develop new competencies over time. A limitation of this study was that it only looked at a limited number of employees over two years. Further research should be conducted with larger samples over an extended period of time. An implication exists that the authentication of the self-assessment by the supervisor was an effective form of feedback on employee performance that had a positive impact on employees' performance and growth over time. This implication is supported by Lee, Yarrish, and Millers (2002) contention that effective feedback on employee performance results in improved employee performance. This study may help HRD scholars and practitioners better understand factors associated with appraising employee performance.

References

- Boon, J., & van der Klink, M. (2002). Competencies: The triumph of a fuzzy concept. In T. Egan, & S. Lynham (Eds.), *Academy of Human Resource Development: 2002 Conference Proceedings* (pp. 327-334). Honolulu, HA.
- Buford, J. A., Jr., & Lindner, J. R. (2002). *Human resource management in local government: Concepts and applications for HRM students and practitioners*. Cincinnati: SouthWestern.
- Dooley, K. E., & Lindner, J. R. (2002). Competency-based behavioral anchors as authentication tools to document distance education competencies. *Journal of Agricultural Education*, 43(1), 24-35.
- Drawbaugh, C. C. (1972). A framework for career education. *Journal of the American Association of Teacher Educators in Agriculture*, 13(2), 16-23.
- Fraenkel, J. R., & Wallen, N. E. (1996). *How to design and evaluate research in education*. New York: McGraw-Hill.
- Grote, D. (2000, January). Performance appraisal reappraised. *Harvard Business Review*, 78, 21-23.
- Grote, D. (1996). *The complete guide to performance appraisal*. New York: American Management Association.
- Halbert, T. A. (2000). Reference check gridlock: A proposal for escape. *Employee Rights Quarterly*, 1(1), 34-46.
- Jedynak, G. (2003). *Developmental staging in the learning process*. Retrieved September 22, 2003, from the Object Technology User Group Web site: <http://www.otug.org/meeting/200304/assessmentV2.31.pdf>
- Latham, G. P., & Wexley, K. N. (1977, Summer). Behavioral observation scales for performance appraisal purposes. *Personnel Psychology*, 30, 255-268.
- Lee, S., Yarrish, K. K., Miller, P. B. (2002). The effects of performance feedback upon small businesses: A review of literature. In T. Egan, & S. Lynham (Eds.), *Academy of Human Resource Development: 2002 Conference Proceedings* (pp. 781-787). Honolulu, HA.

- Nelson, B. (2000, May/June). Are performance appraisals obsolete? *Compensation and Benefits Review*, 39-42.
- Nitardy, C. M., McLean, G. N. (2002). Project management competencies needed by HRD professionals: A literature review. In T. Egan, & S. Lynham (Eds.), *Academy of Human Resource Development: 2002 Conference Proceedings* (pp. 956-963). Honolulu, HA.
- Smith, P. C., & Kendall, L. N. (1963, April). Retranslation of expectations: An approach to the construction of unambiguous anchors for rating scales. *Journal of Applied Psychology* 47, 149-155.
- Yarrish, K. K., & Kolb, J. A. (2002). Multi-source feedback appraisal in two types of organizational structures: How self, supervisor and other ratings differ. In T. Egan, & S. Lynham (Eds.), *Academy of Human Resource Development: 2002 Conference Proceedings* (pp. 940-947). Honolulu, HA.

Playing with Perspectives: Emotions in Organizations

*Jamie L. Callahan
Texas A&M University*

*Aubrie Horrocks
Texas A&M University*

*Carrie Machala
Texas A&M University*

*Rose Opengart
University of Georgia*

*Darren Short
Perspectives*

*Sharon Turnbull
The Leadership Trust Foundation*

This session presents a series of practical exercises and research resources associated with each quadrant of the Conceptualizations of Research on Emotion (CORE) framework. The underlying theory and rationale for the framework will be presented briefly, including handouts of resources for more in-depth understanding of each component of the framework. The primary focus of the session will be on four interactive exercises specifically designed to represent the emotion perspectives associated with the CORE framework.

Keywords: Emotion, Research to Practice

This session presents a framework of four different perspectives that researchers might take when exploring emotion in the context of various organizational phenomena. Management and HRD scholars have approached the study of emotion in the organizational context from a variety of viewpoints. Associated with each viewpoint, however, are particular sets of theoretical biases. It is our contention that the ways in which researchers in practice and academe conceptualize the nature of emotion, and its role in individual and organizational functioning, can have profound effects. Researchers ask questions and intervene in practice based on how they conceptualize the nature and role of emotion in organizations. Thus, different conceptual frameworks can take us in very different directions.

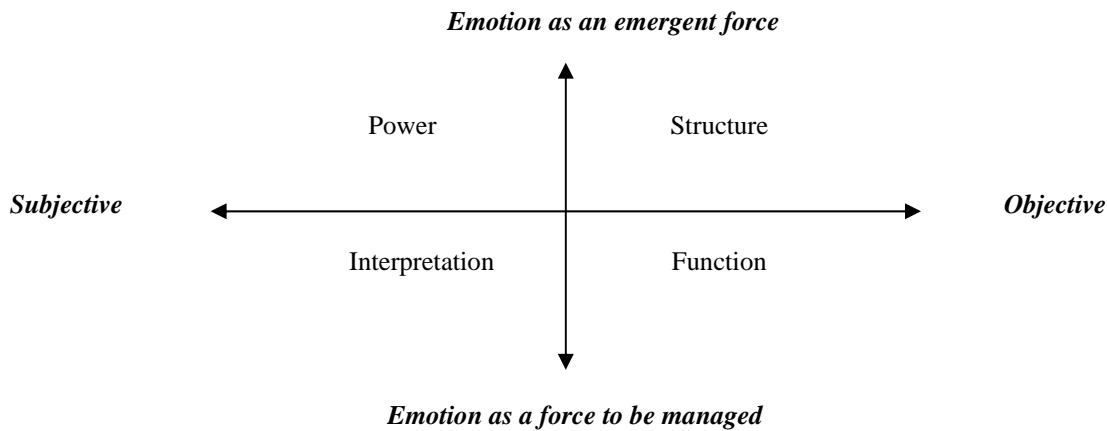
Earlier work within the AHRD community has described how the framework that serves as the starting point for this session can be used to understand research paradigms (Callahan & McCollum, 2002). The present session extends that dialogue by providing interactive examples of how this framework can be seen in practical application. The purpose of this session is to offer a hands-on approach to understanding the practical implications of various paradigmatic views of emotions as they relate to organizational life. Instead of simply sharing verbal narratives of theory and research, we intend to engage the audience in a series of action/reflection exercises that are designed to provide insight into the existence and implication of differing perspectives of emotions. The outcome of the session is for participants to have a better understanding of how emotion research can be translated to practice in organizational contexts. We begin with a *brief* refresher of the theoretical framework that will guide the activities of the session.

One axis of the framework describes the relative emphasis on the subjective, or insider's, experience of emotion versus the objective, or outsider's, observation of it. The other axis is used to locate the view of emotion in the organizational context as either being something to be controlled and managed, or something that should be helped to emerge to promote optimal organizational functioning. For heuristic purposes, we have chosen to describe "pure" or polar representations of each of the quadrants. We caveat that most approaches to dealing with emotion in an organization will fall nearer the mid-point of the two axes of our framework and, in fact, may share aspects of each of the four quadrants.

Each of the four perspectives offered in the framework can incorporate multiple disciplinary approaches to the study of emotion, including psychology, sociology, anthropology, and more. The Conceptualizations of Research of Emotion (CORE) framework is presented in Figure 1 below:

Copyright © 2004 Callahan, Horrocks, Machala, Opengart, Short, & Turnbull

Figure 1. Conceptualizations of Research on Emotion (CORE)



Following an introductory exercise that highlights the first quadrant of the CORE approach, we will ask participants to rotate between the remaining three application exercises. Each application exercise will be set up in different areas of the session room and facilitated by one or more of the presenters. This will maximize interaction and reflection time for the applications and still provide discussion time at the end of the innovative session.

Function

This perspective emanates from the fundamental question of "What is the function of emotion in this organization?" The more traditional, 'functional' approach to emotional issues in organizations is grounded in the biological or organismic (Gallois, 1993; Hochschild, 1983) conceptualization of emotion. This paradigm looks at emotions from a more objective, or "outsider," perspective and perceives emotion as a force that must be managed in order to achieve greater effectiveness. The objective orientation associated with this perspective *tends* to view emotion as a non-rational, and therefore potentially disruptive, force. Because the biological or organismic focus of this paradigm is more explicit, it may be perceived as a psychological paradigm.

"You are what you...feel"

We open the application of the CORE model by engaging the entire group in an introductory icebreaker that highlights the functional nature of emotion in social contexts. We will ask the session participants to select a type of work experience that elicits either positive or negative emotions for them. They will then proceed to spend approximately five minutes introducing themselves to others in the session. For example, I may say, "Hi, my name is ... and computer glitches really frustrate me." While my colleague might say, "Hi, I'm ... and I feel really proud when my boss tells me I did a good job." We will then debrief the introductions by describing how this highlights the basic existence and role of emotion in the workplace. The essence of this exercise is that emotions are a regular part of our organizational lives that can subtly define us as employees and influence the ways in which we function within the organization.

Interpretation

This perspective focuses on how and why organizational members interpret emotional behaviors and their subsequent responses as a result of that interpretation. The 'interpretive' approach to emotional behavior is more closely aligned to the social constructionist (Gallois, 1993; Hochschild, 1983) conceptualization of emotion. This is a more subjective, or 'insider,' position; it looks at emotional states as social performances rather than basic states of the individual. This paradigm seeks to understand the nature of emotion in social contexts while still perceiving emotion as a force in the organization that is, or needs to be, managed. From the relational perspective of this paradigm, emotions are created or constructed as part of a common sensemaking process in social structures. In order to maintain or appropriately recreate the common meaning, these emotions must be managed. Much of the early work in the sociology of emotion emanated from this interpretive perspective of the management of emotions in social contexts.

"Blackjack, Baby"

This role-play exercise takes approximately 15-20 minutes. Participants will be given particular emotional expression roles to play as they participate in a mock blackjack game. For example, one participant may be asked to

be particularly demanding of the dealer, another may be asked to be especially warm and friendly in sharing winnings, and so on. After a few rounds of the game, participants will be asked to describe the interactions and their interpretations of the expressed emotions. The outbriefing will include a discussion of how this exercise further highlights the way people interpret and make sense of emotions in social contexts.

Power

The power approach often takes a social constructionist perspective, but views emotion as an emergent force that facilitates organizational change as opposed to a force that needs to be managed away in order to achieve organizational change. Very often, this approach is marked by the belief that those in positions of power may abuse their ability to manipulate the emotions of others. However, equally true of this position is the idea that individuals can make powerful choices for personal change when they tap into their emotions.

"Calgon, take me away"

This 15-20 minute exercise emphasizes how individuals can create their own sources of emotional power in order to facilitate the vision for change. This exercise will be based on a brief case study in which participants have the opportunity to make choices about how they will apply power to facilitate, or hinder, not only their own interests but the interests of others in the organization. Participants will be asked to close their eyes, relax, and imagine the implications of their choices. Who is there? How are they interacting? What emotions are they feeling? Did participants feel powerful or powerless as a result of the choices? The visualization process will then continue by asking participants to think about, and record, their strategies to gain or share or relinquish power. The facilitator will conclude the session by synthesizing participant power strategies for application in other settings.

Structure

This perspective emerges from a desire to understand both the concrete and abstract organizational structures that influence and are influenced by emotional behavior. Those that follow this approach could be considered 'structural determinists.' This approach looks at emotion from an outsider's more 'objective' perspective while continuing to see emotion as a positive force for change. The essence of understanding emotions from a structure perspective is that emotions can be seen as interdependent with structural positions of the organization. Unlike the power perspective, which views emotion as a source of personal or positional power, the structure perspective view emotion as it manifests in different social and organizational structures and systems.

"Whose Job Is It Anyway?"

This 15-20 minutes exercise highlights the ways in which our organizational position influences the way we treat others and the way others treat us. Our emotions are tied up into the structures of social contexts. In this exercise, participants will wear labels that can only be seen by those with whom they interact. These labels include positions such as the CEO, VP, janitor, check out clerk, and so on. Each label will also include a 'counter' position for that individual; for example, the CEO may also have a label that identifies her as a single mom, the janitor may have a label that marks him as a Fulbright Scholar, and so on. Participants will be given a task to accomplish and, at the end of the exercise, will be asked to guess what role they had been assigned and to describe how they felt they were treated as a result of that role and, in turn, how they began to treat others.

Conclusion

The session will conclude with a wrap up discussion that solicits insights, perspectives, and learnings from participants. The facilitators will synthesize group experiences to show how the CORE framework can help us more fully understand and work with emotions in organizations. Participants will be given handouts that highlight specific research and other resources associated with each of the four presented perspectives of emotion.

Session Overview

Introduction (Function):	15 minutes (icebreaker and theory overview)
Exercise #1 (Interpretation):	20 minutes
Exercise #2 (Power):	20 minutes
Exercise #3 (Structure):	20 minutes
Wrap Up and Synthesis:	15 minutes

References

- Callahan, J. L., & McCollum, E. E. (2002). Conceptions of emotion research in organizational contexts. *Advances in Human Resource Development*, 4(1), 4-21.
- Gallois, C. (1993). The language and communication of emotion: Universal, interpersonal, or intergroup? *American Behavioral Scientist*, 36(3), 309-338.
- Hochschild, A. R. (1983). *The managed heart: Commercialization of human feeling*. Los Angeles: University of California Press.

Distance Learning Roles and Competencies: Exploring Similarities and Differences between Professional and Student Perspectives

*Toby Marshall Egan
Texas A & M University*

*Mesut Akdere
University of Minnesota*

We utilized a Delphi technique to explore roles and competencies as identified and ranked by 106 upper level graduate students specializing in distance education. Student responses were compared to two previous studies utilizing distance education practitioner/scholar respondents. Although the roles identified were similar to previous studies, the highest rated competencies identified by graduate students emphasized technical expertise to a greater degree than did the previous practitioner/scholar studies. Implications for current training and future research and practice are discussed.

Keywords: Distance Education, Competencies, HRD

As the demand for implementation of distance education increases concurrently with increasing interest in academic credentials in distance learning, questions regarding the appropriate preparation focus for distance learning practitioners and scholars persist. Recent studies (Thach, 1994; Williams, 2003) have identified competencies for distance education practitioners utilizing a Delphi technique. These findings indicated the importance of communication and interpersonal skills as key competencies for distance educators. This study explores whether graduate students in programs providing specialized distance learning education would perceive roles and competencies for distance education similarly to professional and scholar perspectives which were recently reported.

Background

Including the early emergence of the correspondence course, distance education has an over 100-year history and, according to Moore and Kearsley (1996), had four distinct historical phases: 1) correspondence study; 2) open universities in the 1970s; 3) broadcast and teleconferencing; and 4) computer conferencing and multimedia. At present, the distance education literature focuses primarily on computer conferencing and multimedia approaches. Use of distance education has increased dramatically over the past decade to the point where well over one third of US universities are utilizing distance instruction (including a significant number of fully online degree offerings) and usage in for-profit and non-profit organizations is increasing at a similar rate (Lewis, Alexander, & Farris, 1997). Many have identified the new “technology-mediated interactive learning” environment as continually enhancing the learning experiences of participants through improvements in technology and delivery strategies (Dede, 1990). Such enhancements include the Internet supported information sharing and retrieval systems such as World Wide Web databases, chat groupware, electronic mail, and threaded discussions. Courses may engage in real-time, or synchronous formats, or asynchronous approaches. Such approaches support human resource development (HRD) efforts in a variety of ways from formal employee education to information sharing and training modules.

Purpose of Study and Research Questions

The evolution of distance learning technology and the limited number of studies examining approaches to distance learning from the perspective of professional roles and competencies limit our understanding of distance learning (Thach, 1994; Williams, 2003). As distance learning education continues to emerge as an important means of teaching and learning to public and private sector organizations and institutions of higher education, training needs for a variety of positions associated with distance learning continue to emerge relatively. Similarly, formal education programs at the graduate level offering specialized training and degree programs in distance learning and related areas have increased.

As the field of distance learning continues to evolve, questions persist regarding the parallel evolution of related roles, competencies, and curricula supporting those developing professional skills in distance learning, in training,

Copyright © 2004 Toby Marshall Egan & Mesut Akdere

and in formal degree programs. Although the aforementioned studies conducted by Thach and Williams provide us with better insight regarding competencies associated with distance learning as identified by expert professional respondents, a question remains as to whether those currently studying distance learning are being influenced by the perspectives of long-term professionals in the field. This question is important to our understanding both of the perspectives of emerging and new professionals in the field, as well as providing implicit signals as to the ways in which advanced students of distance learning may be trained. The purpose of this study is to develop an understanding of advance graduate students' perspectives regarding the roles and competencies associated with distance learning. The research questions for this study are:

- 1) What are advanced distance education graduate student perspectives regarding the roles and competencies of distance educators?
- 2) How are advanced graduate student responses compared to those of expert scholars/practitioners?
- 3) What explanations are there for the differences and/or similarities in responses from the current and previous studies?
- 4) What implications are presented by this study for the field of distance education?

Review of Related Literature

This study focuses on competencies of distance educators. In order to develop and promote an effective learning environment in distance education, the competencies of those who are in charge are critically important for all aspects and processes of such highly complex teaching and learning medium. Regardless of the infrastructure, successes of students, or other factors, the competencies of distance educators are the center of all interactions. In today's rapidly changing technology, distance educators are constantly challenged to design assignments, projects, and tests that would teach and assess students' "critical thinking and doing" skills. Other challenges for distance educators are that not all learners are willing to execute the tasks and activities that lead to successful distance learning and the learners often need support and structured learning experiences (Laurillard, 2002; Collins, 1998). Research on distance education indicates that the way learning environments are designed, structured, conceptualized, and developed has profound influences on student learning (Inglis, Ling, & Joosten, 1999; Jarvela, 1995; Roschelle & Teasley, 1995). Therefore, a profile of competencies associated with distance education must balance the demanding objectives of the curriculum and rapidly changing nature of technology.

Similarly, the issue of competency has been studied, examined, and addressed by both the researchers and professionals in the field of HRD (Knowles, 1962; Nadler, 1968; Pinto & Walker, 1978; McLagan & McCullough, 1983; Lindeman, 1991; Swanson, 1994; Rothwell, Sullivan, & McLean, 1995; Rothwell & Cookson, 1997). The competency literature in HRD, however, indicates variations in terms of the conceptualization HRD and its purpose. According to Swanson and Holton (2001), competence suggests that an employee has an ability to do something satisfactory, not necessarily outstandingly or even well (p. 229). Competency in HRD has also been associated with expertise. Expertise is defined as "the optimal level at which a person is able to or expected to perform within a specialized realm of human activity (Swanson, 1994, p. 94). On the other hand, competency is related with credibility of the performer (Rothwell, Sullivan, & McLean, 1995). Similarly, Knowles, Holton, and Swanson, (1998) present self-diagnostic rating scale competencies for the role of adult educator and trainer (p. 217). HRD strategy, training, and professional development considers competencies to be the foundation of all activities which are essential to an organizations' market value as organizations rely increasingly on the knowledge and skills of their employees (McLagan, 1997). HRD considers competencies to be part of an employee's *human capital*, which refers to the knowledge, expertise, and skills one accumulates through education and training.

The studies by Thach (1994) and Williams (2003) were similar in that they explored distance education roles and competencies from the perspectives of expert practitioners and scholars. Williams (2003) argued that ongoing changes associated with technology advancement and the newness of the field required ongoing investigation and further research. The ongoing development of understanding regarding distance education roles and competencies is important to the development of related training and educational programs. Organizations such as the American Society for Training and Development (ASTD) recognized the importance of ongoing clarification regarding roles and competencies associated with general training and development. Two studies, Pinto and Walker (1978) and McLagan and McCullough (1983) were commissioned by ASTD and focused on knowledge skills and attitudes needed for developing the talented training professional capable of high performance. Although often not discrete, but overlapping, competencies are commonly identified as the specific units that clarify professional roles and outputs.

Thach's (1994) competency study appears to be the first to identify the roles, outputs, and competencies most important for distance education professionals. Respondents were thirty-six distance learning professionals in the

United States and Canada. Similar to the McLagan and McCullough study, roles, outputs, and competencies were explored. The top ten competencies identified in the study conducted by Thach were interpersonal communication, planning, collaboration/teamwork, English language proficiency, writing, organizational, feedback, knowledge of distance learning field, basic technology knowledge, and technology access knowledge. Study respondents identified four distance education roles to be the most important: administrator, instructor/facilitator, instructional designer, and technology expert.

Williams (2003) extended the exploration of roles and competencies in his study utilizing fifteen expert professional respondents averaging over eleven years of experience. Similar to Thach, the results included a menu of roles and related competencies that were determined to be most important by expert respondents (see Tables 1 and 2 below for full list).

Methodology

Similar to previous competency studies, our approach utilized distance education experts to determine roles and competencies. However, unlike other studies, the experts identified were advanced distance learning graduate students. The assumption about “expert” perspectives is altered in this study as compared to others from expert practitioner/scholar to students who have expertise assumed to be influenced from their formal and advanced involvement in distance learning education. The aims of previous studies were to inform the field of distance education regarding core roles, outputs, and competencies needed in the development of distance educators. Although the focus of this research is similar, the exploration is not only focused on the identification of distance education competencies perceived to be important by advanced graduate students focusing on distance education, the study also focuses on a comparison between competencies identified by graduate students and expert practitioners. A Delphi technique was selected to structure the group process in this study.

Historically, several features have characterized the Delphi technique as a relatively small group of participants with anonymity of participants through multiple rounds of surveys and the reporting of group results to individual participants (Turoff & Hiltz, 1996). Participants usually do not meet face-to-face during Delphi process. In some cases the research goals may require participants to be identified, but this is generally atypical (1996). Although typically described as a group decision making process aimed at consensus, the Delphi technique does not encourage false or rapid movement toward agreement by participants. Minority or additional perspectives are typically encouraged, as was the case in this study. By avoiding face-to-face interaction, the Delphi technique may avoid groupthink problems where members may coerce or unduly influence individual participation or group decision-making. The four criteria for experts in this study were that they:

- must be an advanced graduate student in a program featuring an emphasis in distance learning;
- must have related distance learning field experience;
- must have published or be actively writing about distance education with the intent to disseminate related knowledge or information;
- must be willing to participate.

One hundred and thirty-three graduate students from twelve programs in the central US featuring a specialization, minor, or degree program in distance education were identified using the information available on university websites. The final expert panel was comprised of one hundred and six individuals from eleven universities in the central U.S. who participated in all four rounds (79.7%). The time required to collect the data was four months. The expert panel reported an undergraduate grade point average of 3.63 and a graduate grade point average of 3.85. Most had experience in the development and delivery of distance learning contents beyond the scope of their coursework. 47 (44.3%) of the panelists were men and 59 (55.7%) were women.

Modeling the studies by Thach (1994) and Williams (2003), the round one survey asked graduate student experts to accept or reject twelve roles presented with descriptions or make modifications to the role descriptions provided. Respondents were asked to add any additional roles, if needed. After the completion of round one each respondent was provided with a summary of the responses as part of the round two questionnaires. A menu of fifty-seven competencies identified in the distance education literature was provided to experts with a request that they select those most relevant. Respondents were also asked to write additional competencies as they saw fit. In round three, respondents were asked to rate the summarized competency list in terms of their criticality and frequency. Round four involved respondent review of their individual ratings in comparison to the group mean.

It is important to note that the number of participants used in this study is large for a traditional Delphi. It was felt by the researchers that given the population used in the study, gathering broader perspectives were important as the goal of the study was to ascertain both a breadth and depth of perspectives from student experts in several academic programs. Because of larger numbers the study utilized descriptive measures and used mean scores as the

measure of central tendency. The means were compared to the median scores to determine their similarity as median scores are often utilized in Delphi-based studies with smaller groups. The medians and means tended to be similar.

Assumptions and Limitations

This study was limited to advanced graduate students in higher education settings in the central US whose educational focus included distance learning. Participants were required to have access to a computer. The study was limited to student experts who were able to read and respond in typewritten English. The results of this study, therefore, may not be generalizable settings or populations outside of the scope of this study.

Results

Three research questions were addressed in this study (above) are similar to the studies by Thach (1994) and Williams (2003).

Research Question 1: What Are the Roles and Competencies Necessary in Distance Education in Higher Education?

This question was addressed by questionnaires in rounds one and two. Experts were instructed to review a preliminary list of twelve roles from the literature and a role description and related outputs. Respondents were asked to support or reject each role, to make any adjustments in whole or part to each, and to suggest additional roles. Respondent decisions and modifications regarding the roles identified led to adjustments in the numbers, names, descriptions, and outputs of the roles associated with distance learning. Adjustments were made, and the resulting modifications were put before the group for approval in the subsequent round. The total number of roles increased to fourteen. Similar to the Williams (2003) study, the role of administrator was split into two distinct roles: administrative manager and leader/change agent. Also similar to the Williams study (2003), respondents suggested that the role of Web publisher be expanded to encompass all media. The name of the role was altered to media publisher/editor. The fourteenth role added by the panel was systems expert/consultant. This role referred to individuals who serve as external experts to a distance learning project or organization providing expertise on a contract basis. The following fourteen roles resulted:

- administrative manager
- instructor/facilitator
- instructional designer
- technology expert
- site facilitator/proctor
- support staff
- librarian
- technician
- evaluation specialist
- graphic design
- trainer
- media publisher/editor
- leader/change agent
- systems expert/consultant.

In round two, the panel of experts identified more than fifty competencies for each role ($M = 53.2$ per role). Because of the desire for comparison with previous studies, the panel was asked to attempt to identify the top thirty competencies shared by all roles in rank order with one being the most important (this procedure was similar to the two previous studies under comparison). Similar to Williams, these competencies were identified as general or generic competencies and compared to the competencies identified in the Thach (1994) and Williams (2003) studies (see Table 1). Creating a similar organization scheme to Williams' study, the competencies were categorized across all three studies using a notation system (see Table 1 below):

- communication and interaction (coded C)
- management and administration (coded M)
- technology (coded T)
- learning and instruction (coded I)

Table 1 reports the general competencies along with the respective rank based on the average number of ranked responses from each respondent.

Research Question 2: How Do Distance Education Experts Rate the Importance of the Competencies?

When observing the results from the current study in combination with the Thach and Williams studies, it is interesting to note that 21 of the top 30 competencies identified can be found in all three studies (see Table 2 below). Our study of experienced graduate students' perceptions of competencies has 21 of 30 competencies in common with the Thach study and 28 of 30 competencies in common with the more recent Williams study. These results would appear to provide some affirmation that a general set of distance education competencies that have emerged from the three studies explored here.

Table 1. Comparison of Three Distance Education Competency Study Results: Identified Competencies in Participant Rank Order by Importance/Criticality

(1) Current Study	(2) Williams Study	(3) Thach Study
1. Basic Technology T	1. Collaboration/Teamwork Skills C	1. Interpersonal Communication C
2. Technology Access Knowledge T	2. Basic Technology Knowledge T	2. Planning Skills M
3. Computer Networking T	3. Interpersonal Communication Skills C	3. Collaboration/Teamwork Skills C
4. Knowledge of Distance Learning Field I	4. English Proficiency C	4. English Proficiency C
5. Multimedia Knowledge T	5. Knowledge Of Distance Learning Field I	5. Writing Skills C
6. Software Skills T	6. Writing Skills C	6. Organizational Skills M
7. Adult Learning Theory I	7. Questioning Skills C	7. Feedback Skills I
8. Organizational Skills M	8. Skills In Development Of Collaborative, Student-Focused Learning Environment I	8. Knowledge of Distance Learning Field I
9. Collaborative/Teamwork Skills C	9. Adult Learning Theory I	9. Basic Technology Knowledge T
10. Data Analysis Skills T	10. Knowledge Of Support Services M	10. Technology Access Knowledge T
11. Project Management Skills M	11. Feedback Skills I	11. Computer Networking T
12. Interpersonal Communication Skills C	12. Organizational Skills M	12. Questioning Skills I
13. Writing Skills C	13. Technology Access Knowledge T	13. Facilitation (Discussion) Skills I
14. Planning Skills M	14. Planning Skills M	14. Group Process Skills C
15. Knowledge of Support Services M	15. Software Skills T	15. Technology Assess Knowledge T
16. Skills in Development of Student Focused Learning Environment I	16. Knowledge Of Intellectual Property, Fair Use, And Copyright Regulations M	16. Public Relations Skills C
17. Facilitation (Discussion) Skills I	17. Facilitation (Discussion) Skills I	17. Negotiation Skills C
18. Presentation Skills I	18. Public Relations Skills M	18. Evaluation Skills I
19. Consulting Skills M	19. Multimedia Knowledge T	19. Media Attributes Knowledge T
20. Editing Skills C	20. Presentation Skills I	20. Project Management Skills M
21. Evaluation Skills I	21. Consulting Skills M	21. Modeling of Behavior I
22. Feedback Skills I	22. Evaluation Skills I	22. Adult Learning Theory I
23. English Proficiency C	23. Group Process Skills C	23. Change Agent Skills M
24. Questioning Skills C	24. Editing Skills C	24. Knowledge of Interactive Technologies T
25. Personal Organization Skills M	25. Project Management Skills M	25. Multi-media Knowledge T
26. Public Relations C	26. Change Agent Skills M	26. Content Knowledge I
27. Negotiation Skills C	27. Negotiation Skills C	27. Presentation Skills I
28. Knowledge of Intellectual Property, Fair Use, and Copyright Regulations M	28. Needs Assessment Skills I	28. Strategic Planning Skill s M
29. Change Agent Skills M	29. Data Analysis Skills T	29. Teaching Strategies/Models I
30. Group Processing Skills C	30. Personal Organization Skills M	30. General Education Theory I

Table 2. *Cumulative and Individual Rankings of Competencies Common Across the Three Studies*

Cumulative Rank	Competencies Common Across Distance Education Studies	Competency Rank by Individual Study			
		(1)	(2)	(3)	Total
1.	Basic Technology	1	2	9	12
2.	Collaborative Teamwork Skills	9	1	3	13
3.	Interpersonal Communication Skills	12	3	1	16
4.	Knowledge of Distance Learning Field	4	5	8	17
5.	Writing Skills	13	6	5	24
6.	Technology Access Knowledge	2	13	10	25
7.	Organizational Skills	8	12	6	26
8.	Planning Skills	14	14	2	30
9.	English Proficiency	23	4	4	31
10.	Adult Learning Theory	7	9	22	38
11.	Feedback Skills	22	11	7	40
12.	Questioning Skills	24	7	12	43
13.	Facilitation (Discussion Skills)	17	17	13	47
14.	Multimedia Knowledge	5	19	25	49
15.	Project Management Skills	11	25	20	56
16.	Public Relations Skills	26	18	16	60
17.	Evaluation Skills	21	22	18	61
18.	Presentation Skills	18	20	27	65
19.	Group Processing Skills	30	23	14	67
20.	Negotiation Skills	27	27	17	71
21.	Change Agent Skills	29	26	23	78

Research Question 3: What are the Similarities and Differences between the Current Study and Those Identified by Thach (1994) and Williams (2003)?

Although there appears to be much agreement between experts regarding many distance education competencies, it is clear that there is much less agreement between the three studies regarding the prioritization of the competencies.

Table 2. *Comparison of Top Ten Ranked Competency Categories Between These Three Distance Education Studies*

Top Ten Rank by Category and Study				
Competency Rank by Study	Study			Total
	(1)	(2)	(3)	
Communication and Interaction (C)	1	5	4	10
Learning and Instruction (I)	2	3	2	7
Management and Administration (M)	1	1	2	4
Technology (T)	6	1	2	9

We compared the top ten competencies identified in each study and found the Thach and Williams study to emphasize communication competencies to be most important, while the current study focused on technology. This strong similarity in priorities set forth by the Thach and Williams studies is not shared by the advanced graduate students. As part of the study, the graduate students were asked possible reasons for the differences described in Table 3. Over 70% of respondents identified the top ten list in the current study to be similar to the emphases forwarded in their respective course curricula. Although not discussed at length in the other two studies, it would appear that the professional respondents may have emphasized communication related competencies because of their proximity to the realities of the day-to-day work. Many of the graduate students may have been left to make interpretations based on their experiences and the foci of their respective courses and programs.

Conclusions and Recommendations

This study sought additional clarification regarding perceptions of distance education competencies through an examination of advanced graduate student perceptions in comparison with the perceptions of professionals from two previous studies with very similar foci and research protocols. Participants in the study were asked to identify and rank roles and competencies associated with distance education. The study found respondents' perceptions to be similar to the perceptions of professionals in two previous studies (Thach, 1994; Williams, 2003). Most of the roles identified were found to be similar with the addition, in this study, of a role called systems expert/consultant. Additionally, the competencies identified were found to be similar across all three studies. However, the emphasis in prioritization of the competencies was found to be different in the study we conducted from the previous two studies. Although the previous two studies by Thach and Williams emphasized communication competencies, the advanced graduate students group identified technology related competencies to be the most important.

The results of this study offer additional confirmation regarding roles and competencies associated with distance education. The data collected for this study in comparison with two previous studies move the distance education field closer to clearly delineating roles and competencies important to distance education. At the same time, the differences in prioritization between advanced graduate student and professionals should be examined more closely. The differences in prioritization between the two previous studies and student identification that their prioritization was influenced by course curricula begs the question "are the competencies needed for high performance being appropriately emphasized in university distance education courses or degree program curricula?" Further exploration into this issue is needed.

References

- Collins, B. (1998). New didactics for university instruction: Why and how. *Computers and Education*, 31(4), 373-395.
- Dede, C. (1990). The evolution of distance learning: Technology-mediated interactive learning. *Journal of Research on Computing in Education*, 22(3), 247-264.
- Inglis, A., Ling, P., & Joosten, V. (1999). *Delivering digitally: Managing the transition to the knowledge media*. London: Kogan Page.
- Knowles, J. (1962). A general theory of the doctorate in education. *Adult Education Quarterly*, 12 (3), 136-141.
- Knowles, M., S., Holton III. E. F., & Swanson, R. A. (1998). *The adult learner: The definitive classic in adult education and human resource development* (5th ed.). Houston: Gulf.
- Laurillard, D. (2002). *Rethinking university teaching* (2nd ed.). London: Kogan Page.
- Lewis, L., Alexander, D., & Farris, E. (1997). Distance Education in Higher Education Institutions. National Center for Education Statistics (NCES 98062). Available online resource at:
<http://nces.ed.gov/pubs98/distance>.
- Lindeman, E. [1938] (1991). Preparing leaders in adult education. In N. Dixon & J. Henkelman Alexandria (Eds.) *Models for HRD practice: The academic guide*. VA: American Society for Training and Development.
- McLagan, P. (1997). Competencies: The next generation. *Training & Development*, 51(5), 40-47.
- McLagan, P., & McCullough, R. (1983). *Models for excellence: The conclusions and recommendations of the ASTD training and development competency study*. Alexandria, VA: American Society for Training and Development.
- Moore, M. G., & Kearsley, G. (1996). *Distance education: A systems view*. Belmont, MA: Wadsworth Pub. Co.
- Nadler, L. (1968). A study of the needs of selected training directors in Pennsylvania, which might be met by professional education institutions. Ph.D. diss., Columbia University, New York, 1962. *Dissertation Abstracts International*, 24(2), 601.

- Pinto, P., & Walker, J. (1978). *A study of professional training and development roles and competencies*. Alexandria, VA: American Society for Training and Development.
- Piskurich, G., & E. Sanders. (1998). *ASTD models for learning technologies: Roles, competencies, and outputs*.
- Romiszowski, A. (1997). Web-based distance learning and teaching: Revolutionary invention or reaction or necessity? In B. Khan (Ed.), *Web-based instruction* (pp.25–37). Englewood Cliffs, NJ: Educational Technology Publications.
- Roschelle, J., & Teasley, S. D. (1995). The construction of shared knowledge in collaborative problem solving. In C. O’Malley (Ed.), *Computer supported collaborative learning* (pp. 69-1000). Berlin: Springer.
- Rothwell, W. J., Sullivan, R., & McLean, G. N. (1995). *Practicing organization development: A guide for consultants*. San Francisco: Jossey-Bass.
- Rothwell, W., & Cookson, P. (1997). *Beyond instruction: Comprehensive program planning for business and education*. San Francisco: Jossey-Bass.
- Swanson, R. A. (1994). *Analysis for improving performance: Tools for diagnosing organizations and documenting workplace expertise*. San Francisco: Berrett-Koehler.
- Swanson, R. A., & Holton III, E. F. (2001). *Foundations of HRD*. San Francisco: Berrett-Koehler.
- Thach, E. (1994). *Perceptions of distance education experts regarding the roles, outputs, and competencies needed in the field of distance education*. Ph.D. diss., Texas A & M University, College Station.
- Turoff, M., & Hiltz, S. (1996). Computer based Delphi processes. In *Gazing into the oracle: The Delphi method and its application to social policy and public health*, ed. M. Adler and E. Ziglio, 56–88. London: Kingsley.
- technique. *Journal of Technology Education* 5 (1), 10 October. Available online source at:
<http://scholar.lib.vt.edu/ejournals/JTE/v5n1/wicklein.jte-v5n1.html>
- Williams, P. E. (2003). Roles and competencies for distance education programs in higher education institutions. *The American Journal of Distance Education*, 17(1), 45-57.

The Competitive Advantage of Online versus Traditional Education

*Jillian A. Peat
Katherine R. Helland
University of Tennessee*

This paper examined attitudes concerning the effectiveness of distance learning, and determined the impact these perceptions had on selection decisions. Results partially supported the hypotheses, demonstrating that individuals believed distance education was of lower quality than traditional classes, and this perception impacted their hiring decisions.

Keywords: Distance Education, Employee Selection

The past decade was witness to the revitalization of distance education as the world of academia met the World Wide Web. More specifically, a recent study by the National Center for Education Statistics (NCES) showed that between the time periods of 1994 to 1998, the number of distance education programs increased by 72% (U.S. Department of Education, 1999). The study also found that an additional 20% of the institutions surveyed by the NCES planned to establish distance learning programs and on-line degrees within the next three years, and that an estimated 1.6 million students were enrolled in distance education courses in 1997-98. Furthermore, on-line universities (i.e., University of Phoenix; Western Governors University) are growing in popularity with adults looking to further their education. Despite the attrition often found in distance learning settings, enrollment in the University of Phoenix's online-MBA program grew 51% in 2001 (Mangan, 2001). The willingness of educators and students to embrace e-learning means it is easier to obtain a degree without setting foot on campus (Caudron, 2001).

Distance education, typically defined as structured learning in which the instructor and student are separated by time and space, uses the latest technology to bridge the gap between participants in education. (Ham, 1995; McIsaac & Gunawardena, 1996). Despite the rapid growth in technology-mediated learning to meet increased student demand, the quality of higher learning via distance education has been called into question. Specifically, there is a common perception among the public that distance learning is not as effective as traditional face-to-face education (Dede, 1996; Harrison, 2001). However, according to empirical evidence, there is no significant difference between traditional and technology-mediated learning (Arbaugh, 2000; Verduin & Clark, 1991). For instance, Russell (2002a) listed 365 distance education studies that found little difference in the quality of education received through distance learning versus classroom learning. That is, students taking distance learning courses performed as well as students taking courses via traditional methods (e.g., Gagne & Shepherd, 2001). Thus, Russell (2002b) argued that negative perceptions concerning distance learning are unfounded.

Nevertheless, researchers and practitioners agree that the successful implementation of any technology depends on factors related to the users' attitudes and opinions (Webster & Hackley, 1997). Accordingly, several researchers (O'Malley & McCraw, 1999; Shea, Motiwalla, & Lewis, 2001) have examined perceptions of distance learning and the various behaviors related to these perceptions such as not enrolling in distance education courses or verbally objecting to the implementation of such programs. For example, Anakwe and Kessler (2001) found that students who held favorable perceptions of Internet-based courses were more likely to enroll in distance education programs than students who held unfavorable perceptions. Dooley and Murphrey (2000) also showed that the rate of adoption of distance education technologies was influenced by administrators' beliefs about the advantages of distance education, the degree to which the programs were perceived as compatible with the students' needs, and perceptions about the difficulty of the technology.

While several studies have examined college students' perceptions (e.g., O'Malley & McCraw, 1999), few have assessed employers' perceptions regarding distance learning. Gray (2001) surveyed 247 employers from different companies about their hiring practices and all but a handful said they had not considered hiring an MBA with an on-line degree. However, Gray (2001) argued that there is a major difference between "had not considered" and "would not consider." Furthermore, of the handful of employers that considered hiring MBA's with on-line degrees, several stated that they preferred students with degrees earned by distance learning because it shows that these students are self-starters. Because this study only assessed whether employers considered hiring students with on-line degrees, the relationship between perceptions of on-line degrees and actual selection decisions was

Copyright © 2004 Jillian A. Peat & Katherine R. Helland

unknown. This examination is also important in that, to the researchers' knowledge, no previous research attempt has been made to examine both employers' and students' perceptions of on-line learning and to assess whether these perceptions bear any weight when evaluating candidates and making selection decisions for a specific job.

Therefore, the main purpose of this study is to add to the current stream of distance learning literature by examining perceptions of distance learning and to assess whether these perceptions bear any weight when making selection decisions. Without the support of employers, the value of degrees earned online (i.e., obtaining a job or promotion) is limited. We believe that employers' perceptions impact the practical utility of the degree. In particular, despite some evidence that distance education may be equivalent to or more effective than classroom instruction, leading to improved satisfaction with courses, greater learning, and increased transfer of materials learned (Russell, 2002b), these factors will not adequately impact hiring decisions if individuals in the workplace have not adopted this as "reality". Thus, it is essential to assess perceptions of distance learning and willingness to hire individuals with online degrees.

Perceptions of Distance Education

Since the beginning of distance education, every form of mass communication technology (e.g., film, radio, television, and the Internet) has been used to transmit instruction and education from afar (Clark, 1994). Clark (2001) maintained that "each of these 'new' media have experienced similar problems providing credible evidence of solid educational success" (p.1). Furthermore, as technology changes, advocates of the latest and greatest teaching medium have a tendency to assume that their "new" technology is unique (Clark, 1995). Regrettably, advocates of on-line learning have failed to learn from past mistakes and have fallen into the same trap as earlier advocates of "new" technology. Like their predecessors, supporters of Internet-based learning are having difficulties in persuading the public that distance learning via the Internet is equivalent to face-to-face learning. As previously noted, Dede (1996) and Harrison (2001) found evidence that the public's general perceptions of distance education are unfavorable and related to negative perceptions about technology.

Recent studies have shown that interest in technology (Massoud, 1991), computer-related confidence (Rosin & Weil, 1995), and computer-related self-efficacy (Zhang, 1998) influence an individual's attitudes, perceptions, and beliefs about technology. For instance, Zhang (1998) demonstrated that computer self-efficacy (i.e., students' perceptions of their computer skills) was related to attitudes toward computer usefulness. Also, Davis (1989) found that perceived technology usefulness was positively associated with use and intention to use technology. Similarly, Anakwe and Kessler (2001) found that the perception of technology usefulness was related to intention to enroll in on-line courses. Consequently, they argued that, "the distance learner must believe that distance technologies are useful if they are to positively evaluate the potential of distance learning to them" (p.4). Thus, it is hypothesized (H1) that perceived technology usefulness will be related to perceptions of distance learning and on-line degrees.

Anakwe and Kessler (2001) also found a student's intention to enroll in distance learning courses to be related to technology familiarity. The authors assessed familiarity by asking participants to report the average number of hours they spend on various media during a typical workday (e.g., World Wide Web, e-mail, and chat rooms). Additionally, Jackson, Chow, and Leitch (1997) found that prior use of technology was an important determinant of intentions to use technology. Therefore, it is hypothesized (H2) that the number of hours spent using technology in a week will be related to perceptions of distance learning and on-line degrees.

Perceptions of Academic Qualifications and Selection Decisions

Cognitive researchers are quick to point out that individuals' perceptions are reality. Thus, if an individual perceives that an on-line degree is not comparable to traditional face-to-face learning, then for that individual his or her perception is "truth". According to Fishbein and Ajzen (1975, p.5), "human beings are usually quite rational and make systematic use of the information available to them". As noted by Ashford and Cummings (1993), individuals selectively attend to information that supports their hypotheses. In addition, the most immediate cause of behavior is an individual's intention to engage in or refrain from the behavior (Ajzen & Fishbein, 1980), and intentions are partially determined by an individual's attitude toward the behavior. Therefore, individuals who perceive distance learning as ineffective may attend only to information that supports their beliefs, and a negative perception toward a phenomenon such as distance education may predispose a person to act negatively toward that phenomenon (Pinder, 1998).

According to a meta-analysis conducted by Olian, Schwab, and Haberfeld (1988), academic qualifications account for 35% of the variance in selection decisions. Furthermore, Singer and Bruhns (1991) found that both work experience and academic qualifications impacted hiring decisions. Although their results indicated that the effect of academic qualifications was relatively larger than that of work experiences for students, the manager sample showed work experience had a greater effect than academic qualifications.

For decision makers, biographical data (e.g., academic qualifications, work experience) in the form of resumes and application blanks are the most commonly used information in personnel selection (Ash, Johnson, Levine, &

McDaniel, 1989). Research has shown that recruiters make distinctions regarding the importance of items among biographical data, and differences in the data can influence judgments of employment suitability (Brown & Campion, 1994). For an employer who has unfavorable perceptions of online degrees, academic qualifications should be a salient factor influencing hiring decisions. Therefore, it is hypothesized (H3) that individuals who hold negative perceptions regarding on-line degrees will be more likely to reject a candidate who earned his or her degree from an on-line university.

Method

Participants and Procedure

Two hundred one students (56 % males and 44% females) attending a large southeastern university and 26 recruiters (60% males and 40% females) attending a university career fair participated in this study. The average student age was 21 years ranging from 18 to 25 years of age. The average employer age was 32 years ranging from 20 to 59 years of age. The student sample consisted of individuals currently pursuing a major in Business with many concentrating in human resources or general business (24%) and currently working in various entry-level managerial positions. Some HRD literature suggests that managers make more accurate selection decisions than other individuals lacking experience in hiring individuals (Gaugler, Rosenthal, Thornton, and Benton, 1987). However, Weiner and Schneiderman (1974) and Mullins (1982) found that few differences exist between experienced samples and inexperienced samples with respect to interview ratings and hiring decisions. Consequently, both samples were examined.

Participants reviewed two job descriptions, two resumes, and two cover letters that were created by the authors. The job descriptions described an entry-level financial analyst opening for an undergraduate applicant and an upper-level Director of Talent Development opening for an MBA candidate. Participants were asked to review both the qualifications of an undergraduate and MBA candidate for two reasons: 1) participants were traditional undergraduates, thus they may hold more negative perceptions about students who pursue their bachelor's degree in a manner that differs from their own experience and 2) the majority of students who enroll in distance education programs pursue advanced degrees rather than a bachelor's degree (Daniel, 1995; Shea, Motowill, & Lewis, 1998). All participants received both job descriptions that included a job announcement, candidate requirements, and job responsibilities. Two resumes and cover letters were also constructed for each job including reference to either a traditional or distance institution; however, each individual reviewed only one resume and cover letter per job description. The sole difference between the two resumes and cover letters was the current educational institution (i.e., Bridgewater State College or Bridgewater College of Distance Education; Campbell University or Campbell School of Distance Education). Schools were chosen that would likely be unfamiliar to the participants, so that biases about actual schools would not affect the results, and gender-neutral names (i.e., Chris; Pat) were chosen for the applicants to avoid gender-related effects.

For the student sample, all relevant survey variables were collected in an introductory management class. Each student read both job descriptions (Financial Analyst and director of Talent Development) and was randomly assigned two resumes and cover letters (one for each job description). For the employer sample, all relevant survey variables were collected at the beginning of a job fair. Like the student sample, employers were also given both job descriptions and randomly assigned two resumes and cover letters. A manipulation check ensured that participants recognized the type of institution attended. After reading both sets of job descriptions, respondents completed all measures.

Measures

Demographic measures. Students and employers completed demographic items concerning gender, student status, education level, age, job title, major, etc.).

Hiring decisions. Respondents' intent to hire the applicant was assessed by a single question (e.g., "Would you hire Chris Michaels for the financial Assistant Job?"). The instructions requested that they circle either "yes" or "no" and then provide rationale for their decision. Participants also specified their perceptions of the quality of education and work experience for each candidate on a Likert scale ranging from 1 (poor) to 5 (excellent).

Perceived technology usefulness. Respondents completed the perceived technology usefulness measure developed by Davis (1989). Each participant was asked to rate the usefulness of 10 technologies in everyday life (e.g., Internet, World Wide Web, e-mail, videoconferencing, chat rooms, etc.) from 1 (not at all useful) to 5 (very useful). The items were factor analyzed with a DIRECT OBLIMIN rotation that revealed one underlying factor with a reliability of .74.

Technological familiarity. Respondents were asked to indicate the number of hours spent during an average work week engaging in four online activities (e.g., e-mailing, conversing in chat rooms, surfing the Internet,

researching information on the Internet) using responses of "0-5 hours", "6-10 hours", "11-15 hours", "16-20 hours", or "21+ hours". The reliability measure for this scale was .73.

Perceptions of distance learning. Perceptions of distance learning were measured by asking each participant to rate the effectiveness in education of 10 technologies (e.g., Internet, World Wide Web, e-mail, videoconferencing, chat rooms, etc.) from 1 (not at all effective) to 5 (very effective). The items were subject to a factor analysis using a VARIMAX rotation that revealed three factors (Table 1). The first factor (Fundamental Technology Effectiveness; $\alpha=.57$) measured the effectiveness of technologies commonly used in the classroom that have been available for many years (i.e., telephone). The second factor (Basic Computer Technology Effectiveness; $\alpha=.71$) measured computer technologies frequently used in everyday life (i.e., e-mail). Finally, the third factor (Advanced Computer Technology Effectiveness; $\alpha=.71$) measured less popular computer technologies (i.e., videoconferencing).

Table 1. *Factor Analysis for Perceptions of Distance Learning*

Items	Factor Loadings		
	F1	F2	F3
Fundamental Technology Effectiveness			
1. Telephone	.748		
2. Mail Delivery	.772		
3. Videotape	.536		
4. Audiotape	.411		
Basic Computer Technology Effectiveness			
1. E-mail		.737	
2. Internet		.725	
Advanced Computer Technology Effectiveness			
1. Internet Conferencing			.811
2. Videoconferencing			.773
3. News/Discussion Groups			.593
4. Chat rooms			.570

Additionally, a one-item scale measured perceptions of degrees by asking participants to indicate if a degree earned from an on-line university is equivalent to a degree from a traditional university by selecting: 1 (no, on-line is better), 2 (yes), or 3 (no, traditional is better).

Results

In partial support of the first hypothesis, perceived technology usefulness was associated with students' perceptions of distance learning. Specifically, perceived technology usefulness was positively correlated with a student's perception of Fundamental Technology Effectiveness ($r = .41, p < .01$), Basic Computer Technology Effectiveness ($r = .30, p < .01$), and Advanced Computer Technology Effectiveness ($r = .41, p < .01$; See Table 2). Furthermore, perceived technology usefulness was positively correlated with an employer's perception of Advanced Computer Technology Effectiveness ($r = .53, p < .01$; See Table 3). However, perceived technology effectiveness was not significantly associated with a student's perception of on-line degrees and an employer's perceptions of Fundamental Technology Effectiveness, Basic Computer Technology Effectiveness, and on-line degrees (See Table 2 and Table 3). Thus, the first hypothesis was partially supported.

Results also partially supported the second hypothesis that time spent on-line would be related to perceptions of distance learning. For the student sample, the total amount of time spent on-line during a typical week was positively correlated with the Basic Computer Technology Effectiveness subscale ($r = .16, p < .05$; See Table 2) and negatively correlated with perceptions of on-line degrees ($r = -.18, p < .05$). That is, students who spend more time e-mailing, conducting research on the Internet, talking in chat rooms, and surfing the web are also likely to hold positive views of on-line degrees. Time spent on-line was not significantly related to student's perceptions of basic technology and basic computer technology effectiveness, nor was it significantly related to employers' perceptions of Fundamental Technology Effectiveness, Basic Computer Technology Effectiveness, Advanced Computer Technology Effectiveness and on-line degrees (See Table 2 and Table 3).

Table 2. Correlations, Means, and Standard Deviations Among Study Variables for Student Sample

Variable	<i>Mean</i>	<i>SD</i>	1	2	3	4	5	6	7	8
1. Perceived Technological Usefulness	22.68	4.31	----							
2. Time Spent on Computer	5.69	1.92	.29**	----						
3. Perceptions of On-line Degree	2.89	.35	-.02	-.14*	----					
4. Fundamental Technology Effectiveness	14.94	3.21	.41**	.03	.07	----				
5. Basic Computer Technology Effectiveness	9.03	1.36	.30**	.15*	-.13*	.28**	----			
6. Advanced Computer Technology Effectiveness	10.69	3.50	.40**	.31*	-.05	.22**	.11	----		
7. Hire Undergraduate Student	1.25	.43	-.06	-.13*	-.08	-.14*	.03	-.22**	----	
8. Hire Graduate Student	1.13	.34	-.00	-.10	.04	-.05	.00	-.05	.02	----

Note: * $p < .05$. ** $p < .01$. $N = 201$.

Table 3. Correlations, Means, and Standard Deviations Among Study Variables for Employer Sample

Variable	<i>Mean</i>	<i>SD</i>	1	2	3	4	5	6	7	8
1. Perceived Technological Usefulness	33.76	6.31	----							
2. Time Spent on Computer	7.91	2.97	.32	----						
3. Perceptions of On-line Degree	2.54	.86	.16	.37	----					
4. Fundamental Technology Effectiveness	15.75	2.63	.21	.11	.11	----				
5. Basic Computer Technology Effectiveness	6.54	2.02	.37	.17	-.17	.26	----			
6. Advanced Computer Technology Effectiveness	13.76	4.29	.53**	-.28	-.27	.49*	.11	----		
7. Hire Undergraduate Student	1.54	.51	.18	.03	.04	.10	.25	.31	----	
8. Hire Graduate Student	1.54	.51	.33	.09	.23	-.03	.06	.27	.38	----

Note: * $p < .05$. ** $p < .01$. $N = 26$.

Finally, the third hypothesis was partially supported by the results. Specifically, employers who reported that on-line degrees were equivalent to degrees earned from a traditional university were more likely to hire a candidate who earned a bachelor degree on-line (hire on-line degree candidate; $M = 1.80$; do not hire on-line candidate; $M = 3.00$; $t = -3.19$; $p < .01$). However, there were no significant differences between employers' who reported that on-line degrees were equivalent to degrees earned from a traditional university and employers' who reported traditional

degrees were better than on-line degrees and the likelihood of hiring a candidate who earned a M.B.A on-line (hire on-line degree candidate; $M = 2.25$; do not hire on-line candidate; $M = 3.00$; $t = -1.59$; $p = .14$). Furthermore, there were no significant differences between employers' perceptions of technology effectiveness and their decisions to hire both the candidate who earned a bachelor degree on-line and the candidate who earned a M.B.A on-line. There were no significant findings for the student sample.

Qualitative analyses of the question asking respondents to indicate reasons for their hiring decisions were conducted to gather additional information about participants' hiring decisions. They showed that 37% of respondents indicated work experience as the primary reason for their decision, whereas only 5% indicated their decision was based on education. The remaining 58% based their decisions on either a combination of education and work experience, resume presentation, or person-job fit. Furthermore, post hoc linear regression analyses using a STEPWISE selection procedure showed that the best predictor of selection decisions was the participants' perception of the candidate's quality of work experience. Specifically, quality of work experience accounted for 35% of the variance ($p < .01$) in a student's decision to hire a candidate with an on-line bachelor degree and 31% of the variance ($p < .01$) in a student's decision to hire a candidate with an on-line M.B.A.

Additional exploratory analyses demonstrated that students were equally as willing to hire a student with an online MBA as a student with a traditional degree, $F(1,191) = 1.82$, $p = .18$. However, they were less likely to hire a person with an online undergraduate degree than the same student with a traditional degree, $F(1,198) = 10.29$, $p < .002$. There were no significant results for the recruiter sample.

Discussion

The main focus of this study was to add to the current stream of distance learning literature by examining recruiters' and students' perceptions of distance learning and to assess whether these perceptions affect selection decisions for a specific job. The results of the correlation analyses showed at least partial support for all hypotheses. Specifically, the more useful a student views technology in everyday life the more favorable he or she will perceive the effectiveness of basic technology (e.g., telephones, videotapes, and audiotapes), basic computer technology (e.g., Internet and e-mail) and advanced computer technology (e.g., videoconferencing and Internet conferencing) for educational purposes. Furthermore, the more familiar individuals are with everyday technology the more favorable he or she will perceive the effectiveness of technology in education. Finally, participants with higher perception of an on-line degree are more likely to hire individuals with a distance degree.

Based on the results of this study, Fishbein and Ajzen's (1975) model was partially supported. That is, attitudes about distance learning generally impacted individuals' intentions to hire an applicant. Specifically, those with higher perceptions of on-line degrees were more likely to hire both graduate and undergraduate students with a distance learning degree. However, perceptions of an on-line undergraduate degree were more negative than perceptions of an on-line graduate degree. One possible explanation for this finding is that more individuals are pursuing advanced degrees from programs that include on-line learning methods, but there are still a few who pursue their bachelor degrees from an entirely on-line university.

The results of this study, replicated Singer and Bruhns (1991) findings that individuals consider more than a candidate's educational background when making hiring decisions. Post hoc analyses indicated that hiring decisions might be based on the evaluation of both work experience and quality of education. As such, academic qualifications represent only a portion of the variance in selection. Students may have relied on work experience for making hiring decisions since on-line programs are a relatively unknown commodity. That is, the effectiveness of on-line programs, although empirically demonstrated, has not been accepted in the Human Resources community. Thus, students likely consider work experience and education when making hiring decisions. Also, lack of familiarity with the institutions in this study may have led the participants to rely more on work experience and other information beyond education.

Limitations to this study include the reliability of the perceived technology effectiveness subscales and the time spent on-line scale. Additional research should be conducted on these measures. Future research should also include conducting studies using samples of recruiters from a variety of occupations and positions. Researchers should also vary the job types and work experience of the constructed candidates. More specifically, these participants read job descriptions for a Director of Talent Management and a Financial Assistant position. Different results may be found for jobs of varying technical involvement and for individuals with a diversity of work experiences and educational backgrounds. Since participants seemed less likely to discount the on-line graduate degree than the on-line undergraduate degree, additional research should investigate differing perceptions between distance degrees.

Although it has been established that "perception is reality", the impact on hiring decisions has never before been examined. In this study, the type of education obtained, on-line versus traditional, seems to have some impact

on hiring decisions. Partial support was found for the three hypotheses, demonstrating that perceptions of distance education may influence decisions to hire or reject candidates. Consequently, this study has contributed to the human resource development literature, because it is the first study to examine the relationship between perceptions of distance learning and selection decisions. The usefulness of this research will ultimately be based on the extent to which the phenomena are researched further, thereby developing more parsimonious explanations of the relationship between on-line learning and selection decisions. In summary, this study provides some useful findings to add to the small body of distance education research. The results showed that students who graduate from on-line universities might be perceived differently in terms of their quality of education. Consequently, they may face more job market obstacles than the traditional student.

References

- Anakwe, U.P., & Kessler, E.H. (2001). Receptivity to distance learning: The effect of technology, constraints, and learning preferences. *Journal of Research on Computing in Education*, 33, 263-279.
- Arbaugh, J. B. (2000). Virtual classroom vs. physical classroom: An exploratory study of class discussion patterns and student learning in an asynchronous Internet-based MBA course. *Journal of Management Education*, 24, 213-233.
- Ash, R. A. Johnson, J. C., Levine, E. L., & McDaniel, M. A. (1989). Job applicant training and work experience evaluation in personnel selection. *Research in Personnel and Human Resources Management*, 7, 183-226.
- Ashford, S. J., & Cummings, L. L. (1983). Feedback as an individual resource. Personal strategies of creating information. *Organizational Behavior and Human Performance*, 32, 370-398.
- Brown, B. K., & Campion, M. A. (1994). Biodata phenomenology: Recruiters' perceptions and use of biographical information in resume screening. *Journal of Applied Psychology*, 79, 897-908.
- Caudron, S. (2001). Evaluating e-degrees. *Workforce*, 80, 44-48.
- Clark, R. E. (2001). *Enhancing distance education: Strategies and Cautions*. Retrieved March 15, 2002, from <http://www.ncrel.org/tandt/disted.htm>.
- Clark, R. E. (1995). Media and learning, In T. Heusen, & T. N. Postelwait (Eds.), *The international Encyclopedia of Education*, Oxford: Pergamon.
- Clark, R. E. (1994). Media will never influence learning. *Educational Technology Research and Development*, 42, 21-29.
- Davis, E.D. (1989). Perceived usefulness, perceived ease of use, and user acceptance of information technology. *MIS Quarterly*, 13, 319-339.
- Dede, C. (1996). Emerging technologies in distance education for business. *Journal of Education for Business*, 71, 197-204.
- Dooley, K. E., & Murphrey, T. P. (2000). How the perspectives of administrators, faculty, and support units impact the rate of distance education adoption. *Online Journal of Distance Learning Administration*, 3.
- Fishbein, M., & Ajzen, I. (1975). *Beliefs, attitude, intention, and behavior: An introduction to theory and research*. Reading, MA: Addison-Wesley.
- Gagne, M., & Shepherd, M. Distance learning in accounting: A comparison between a distance and traditional graduate accounting class. *T.H.E. Journal*, 28(9), 58- 65.
- Gaugler, B. B., Rosenthal, D. B., Thornton, G. C. III., & Bentson, C. (1987). Meta-analysis of assessment center validity. *Journal of Applied Psychology*, 72, 493-511.
- Gray, W. B. (2001). *Good times lift all MBAs*. Retrieved March 15, 2002, from http://www.myprimetime.com/work/jobs_hiring/content/.
- Ham, R. (1995). Distance education: Teaching tools for the 21st Century. *The Technology Teacher*, 45, 43.
- Harrison, N. (2001). Is distance learning the poor cousin of 'proper' training and education? *Intermedia*, 29, 10-17.
- Jackson, C., Chow, S., & Leitch, R.A. (1997). Toward an understanding of the behavioral intention to use an information system. *Decision Sciences*, 28, 357-389.
- McIsaac, M.S., & Gunawardena, C.N. (1996). Distance education. In D.H. Jonassen (Ed.), *Handbook of Research for Educational Communications and Technology*. New York, NY:Macmillan.
- Mangan, K. S. (2001). Expectations evaporate for online MBA programs. *The Chronicle of Higher Education*, 48, a31-a32.
- Massoud, S. L. (1991). Computer attitudes and computer knowledge of adult students. *Journal of Educational Computing Research*, 7(3), 269-291.
- Mullins, T. W. (1982). Interviewer decisions as a function of applicant race, applicant quality and interviewer prejudice. *Personnel Psychology*, 35, 163-174.

- O'Malley, J. & McCraw, H. (1999, Winter). Students perception of distance learning: On-line learning and the traditional classroom. *On-line Journal of Distance Learning Administration*, 2.
- Olian, J. D., Schwab, D. P., & Haberfeld, Y. (1988). The impact of applicant gender compared to qualifications on hiring recommendations: A meta-analysis of experimental studies. *Organizational Behavior and Human Decision Processes*, 41, 180-195.
- Pinder, C. C. (1998). *Work motivation in organizational behavior*. Upper Saddle River, New Jersey: Prentice-Hall, Inc.
- Rosin, L. D., & Weil, M. M. (1995). Computer availability, computer experience and technophobia among public school teachers. *Computers in Human Behavior*, 11(1), 9-31.
- Russell, T.L. (2002a). *The "No Significant Difference" Phenomenon*. Retrieved March 15, 2002, from <http://nova.teleeducation.nb.ca/nosignificantdifference/>.
- Russell, T.L. (2002b). *The "Significant Difference" Phenomenon*. Retrieved March 15, 2002, from <http://nova.teleeducation.nb.ca/nosignificantdifference/>.
- Shea, T., Motiwalla, L, & Lewis, D. (2001). Internet-based distance education: The administrator's perspective. *Journal of Education for Business*, 77, 112-117.
- Singer, M. S., & Bruhns, C (1991). Relative effect of applicant work experience and academic qualifications on selection interview decisions: A study of between sample generalizability. *Journal of Applied Psychology*, 76, 550-559.
- U.S. Department of Education National Center for Education Statistics (1999). *Department of Education Report*. Retrieved June 17, 2001, from <http://nces.ed.gov>.
- Verduin, J. R., & Clark, T. (1991). *Distance education: The foundations of effective practice*. San Francisco: Jossey-Bass.
- Webster, J., & Hackley, P. (1997). Teaching effectiveness in technology-mediated distance education. *Academy of Management Journal*, 40, 1282-1309.
- Zhang, Y (1998). Relationships among computer self-efficacy, attitudes toward computers and desirability of learning computing skills. *Journal of Research on Computing Education*, 30, 420-432.

Adult Students' Perceptions of Web and Interactive Video Classes

Dale E. Thompson
 Cecelia Thompson
 Buddy Lyle
 Betsy Orr
 University of Arkansas

The purpose of this study was to determine students' perceptions of the delivery system for web and ITV classes at the University of Arkansas, and the students' perceived level of learning as a result of participation in these classes. Overall, students had positive perceptions about their experiences in distance education at the University of Arkansas. Undergraduate students in this study preferred ITV courses, while graduate students were more positive about courses by web format.

Keywords: Adult Learners, Distance Education, Web Classes

Distance education is described as instructional delivery in which learners and teachers are separated during the learning process by time and/or space (Motamedi, 2001; Epstein, 1999). Distance learning began with correspondence work and has progressed through home study, independent study, computer-assisted learning, online learning and interactive video (ITV) (Berg, 2002).

Distance education in higher education often targets working students who cannot easily travel to campus to participate in traditional programs. In a study by Christensen, Anakwe and Kessler (2001), university students viewed distance education as a "tool to help them fulfill their needs (e.g. graduate on time) and less of a substitute to traditional studies" (p. 270).

The way university classes are delivered to students has changed dramatically and rapidly over the past few years. In the early 1990's all classes at the University of Arkansas in vocational and adult education were traditional classes presented on campus. Now, many classes are presented by web or interactive video (ITV). The number of students served by the program has significantly increased as the delivery system changed. It is important to know how these students perceive instruction by web and ITV.

The Department of Rehabilitation, Human Resources and Communications Disorders at the University of Arkansas has designed programs with distance education to meet the needs of two groups of adults. One program is a master's degree in vocational or adult education (VAED), and the other is a Bachelors of Science in Education with a concentration in human resource development (HRD) for employed adults who have completed part of a bachelor's degree. Courses in both programs are offered by ITV and web.

Undergraduate courses offered only by ITV are *Theory and Principles of Adult Education, Introduction to HRD, Skills and Strategies in HRD, Communications in HRD, Leadership in HRD, Group Dynamics, Professional Development, and Needs Assessment and Evaluation*. Undergraduate courses offered by web are *Employment Law, Training and Curriculum Development, and Applied Adult Theory and Principles*.

Graduate courses offered only by ITV are *Advanced Methods in VAED, The Change Process, Program Planning and Evaluation, and Training in the Workplace*. Graduate courses offered only by web are *Foundations of Vocational Education, Foundations of Adult Education, Instructional Materials in VAED, Learning in the Workplace, Curriculum Development, School-to-Work, and The Adult Learner*.

Six faculty members offer graduate courses. Two faculty members, one adjunct faculty member and four instructors teach undergraduate courses. Minimal support was provided for learning methods of ITV instruction. A high level of support for development and management of web classes was provided by the Division of Continuing Education.

"Distance education is not for everyone. It often involves more learner dedication and initiative than traditional courses, since students may feel isolated" (Epstein, 1999). This isolation as well as balancing family, work and school obligations can affect students' perceptions of their experience in distance education courses.

Studies have looked at the difference between traditional classroom-based courses and distance education. In distance education class, students can be in more than one setting. Interaction between students is more structured. In a traditional classroom there is more spontaneous sharing. Instructors must be more structured (concrete sequential) in distance settings. It is more difficult for distance students to have one-on-one communication with the instructor. Distance conversations are never private.

Copyright © 2004 Dale E. Thompson, Cecelia Thompson, Buddy Lyle & Betsy Orr

Motamedi (2001) stated that distance education offers opportunities for students that are different and sometimes superior to traditional classroom-based instruction. Parke and Tracey-Mumford (2000) found with a survey from thirty-one states that distance learning for adult learners is as effective as traditional instruction when appropriate methods are used for instruction and interaction among students and the teacher are built into the program. In a study by Spooner, Jordon, and Algozzine (1999), students' overall perceptions and ratings of instruction were similar for classes offered on-campus and offered by ITV. Students who took on-line web classes at Tidewater Community College (Office of Institutional Effectiveness, 2001) indicated that they were more likely to use critical thinking in their on-line courses as compared to traditional. They also indicated that there was no difference in their motivation to learn in on-line courses.

Effectiveness of teaching seems to be rated differently by distance education students. In one study, the effectiveness of professors' teaching was rated higher for traditional classes than for distance education classes by ITV (Anderson & Kent, 2002). In a study by Paulsen, Higgins and Miller (1998), students in ITV classes were satisfied with instruction; however, they preferred traditional classes with the instructor present.

Students seem to have difference experiences when sitting in a class with a professor or participating at a remote ITV site. Bower, Kamata and Ritchie (2001) found that ITV host-site students rated the instructor and course experience higher than remote-site students. Anderson, Banks & Leary (2002) also found that students at ITV remote sites were less satisfied with their instruction than students at the host site. Students at the host site in a study by Carter (2001) rated the class interaction higher than students at the remote sites.

Several other factors seem to affect students' perceptions. Imman and Kerwin (1999) found that students in ITV classes judged the success of the class based on the availability of helpful materials for interacting in the class, the use of an on-campus orientation session at the beginning of the class, and the availability of the instructor when help was needed. Motamedia (2001) stated that the number of sites, number of students at sites, instructor's teaching style, interactivity, motivation of students, course organization, attitude of participants and instructor preparation influence the success of ITV. Parke and Tracy-Mumford (2000) found that adult distance learners are highly motivated and self-disciplined, seek assistance when needed and are committed to learning.

Purposes of the Study

The primary purpose of this study was to determine the difference in students' perceptions of the delivery system for web and ITV classes at the University of Arkansas. In addition, the researchers determined students' perceived level of learning as a result of participation in these classes, students' engagement in class activities, students' perceptions of teacher and student interaction during distance education classes, and students' perceptions of the physical learning environment.

Many students enrolled in Vocational and Adult education at the University of Arkansas take most or all of their classes by web and multiple-site interactive video. With the present emphasis on distance education at the University of Arkansas, there was a need to determine our students' perceptions of the courses offered by distance education.

Graduate students majoring in adult or vocational education can take all of their coursework by distance education because of a statewide outreach program offered by the University of Arkansas. In this program, there are ten distance education sites located throughout the state. Students located on the main campus must take at least five courses by distance education and have the option of taking some courses in a traditional classroom. However, students located at remote sites complete their entire degree through web and ITV courses. Graduate classes are offered on a rotation basis. However, the students are not in a cohort group.

Undergraduate students in vocational education with a concentration in human resource development participate in a two-year rotation of ITV courses. During this rotation, they complete eight courses, which are only accessible through ITV. The undergraduate students are members of a cohort group. These undergraduate students also complete two or more courses by web.

Methodology

Instrumentation

A questionnaire for this study was developed based on a review of the literature examining factors that influenced students' perceptions of distance education. The survey included items about the benefits of distance education, such as convenience of class location and scheduling; negative aspects, such as difficulty of interaction with other students and instructors or anxiety created by use of technology; presentation of class materials such as amount of material covered, organization of content, or variety of class activities; the learning environment required

for both types of learning, such as dealing with distractions during class or study time; level of self-direction required by learners; expectations for classes; and level of learning.

Participants were asked to indicate their level of agreement or disagreement (strongly agree, agree, neither agree or disagree, disagree, strongly disagree) with 33 statements. The first nine statements were for all participants and focused on their overall perceptions of distance education. The next 10 statements were for participants who had taken courses by ITV (interactive audio-video). The next 14 statements were for those who have taken courses by web. The survey also contained demographic factors including gender, age, college major, site location, number of ITV classes taken, and number of web classes taken. They also indicated their preference of ITV or web and made open-ended comments regarding their experience with distance education. (See appendix A)

The instrument was field tested for content, format, and clarity by a group of faculty and vocational and adult education students.

Sample

The survey was administered during the spring 2003 semester to 122 graduate and undergraduate students representing adult and vocational education majors. Web and ITV graduate students at distance sites completed the survey by e-mail. Students in local ITV sites completed a written questionnaire that was distributed by class instructors. Undergraduate students completed questionnaires distributed by an HRD faculty member at a cohort meeting.

Data Analysis

Basic descriptive statistics were computed for all items. SPSS was used to compute t-tests, analysis of variance and factor analysis.

Findings

Most (94, 77.0%) of the students were female and 28 (23%) were male. Nine (7.4%) were under 25 years of age while 45 (37.2%) were 25 to 34 years old. Forty-one (33.6%) were 35 to 44 years of age and 26 (21.5%) were in the 45 to 54-age range. One student was 55 years old or older.

Just over half of the students (63, 51.6%) were undergraduate students in human resource development, while 59 (48.4%) were graduate students in vocational or adult education. Students were located throughout the state of Arkansas. Thirty-seven (30.3%) students were located in Fayetteville at the main campus of the University of Arkansas, and 85 students were participating in the programs at distance sites throughout the state.

Some participants were enrolled in their first distance education class, while others had experienced both presentation formats. The number of ITV classes completed by the participants ranged from 1 to 18. The majority (44, 36.4%) had taken four ITV classes. Twenty-two (18.2%) students had completed eight ITV classes. Only 10 (8.3%) students had finished one ITV class and six students (4.9%) had completed no ITV classes.

Students involved in web classes took from 1 to 9 classes. Thirty-two students (26%) completed one web class, while 22 (18.2%) had taken two. Twenty-eight (23%) took more than two classes. Forty (32.8%) of the participants had never enrolled in a web class.

Seventy-six (62.3%) of the students had taken both ITV and web classes. When these students were asked if they would prefer to take ITV or web classes, approximately half indicated a preference for each with 47.7% choosing ITV and 52.3% choosing web. Undergraduate students indicated a preference for ITV courses, while graduate students preferred web.

Overall, the means for all items indicated satisfaction with web and ITV courses. Students felt their learning was adequate in ITV courses with a mean of 4.60. They indicated that instructors used class time effectively in meeting course objectives ($m=4.52$). Students felt free to express their ideas and were not deterred by cameras and microphones ($m=4.45$). They also felt classes were paced properly ($m=4.43$).

Students indicated that web classes allowed them to think over their responses to class assignments ($m=4.46$). They felt learning in web classes was adequate with a mean of 4.35. Students indicated that web classes improved their computer skills ($m=4.20$). Students also felt comfortable posting their thoughts and ideas on the discussion board with a mean of 4.18.

In general, when describing their perceptions of distance education, both ITV and web classes, student indicated that instructors encouraged participation ($m=4.80$). They would recommend that other students take similar courses with a mean of 4.72. Students indicated that they were required to take control and be responsible for some aspects of the classes ($m=4.70$). They found that distance instructors were available and felt a sense of accomplishment, both items with means of 4.68.

One-way analysis of variance was computed to compare students' scores on perceptions of distance education (overall, ITV and web) and age of students. There was no significant difference in perceptions at the .05 level.

Students' perceptions of distance education (overall, ITV and web) and gender as well as academic standing were compared with t-tests. There were no significant difference between scores on perceptions and gender. A significant difference ($p<.01$) was found between students' perceptions of web classes and academic status. Graduate students rated their perceptions of web classes ($m=4.06$, $s.d.=.60$) higher than undergraduate students ($m=3.67$, $s.d.=.51$). There was a significant difference ($p<.05$) between students overall perceptions of distance education and academic status. Undergraduate students had a more positive attitude about distance education ($m=4.67$, $s.d.=.38$) than graduate students ($m=4.46$, $s.d.=.43$). There was no significant difference between perceptions of ITV and academic status.

The items in the questionnaire that focused on overall perceptions of distance education, ITV classes and web classes were factor analyzed by section to examine the relationship between the statements and describe any underlying thematic structure. The factor analysis of the section on overall perceptions of distance education revealed that eight of the nine items accounted for 60.13% of the variance. The two factors reflected the two purposes of the study. The first factor, which accounted for 45.4% of the variance, reflected four items related to the delivery system of ITV and web classes. The factor loading ranged from 0.83 to 0.60. The second factor that accounted for 14.7% of the variance reflected four items related to perceived level of learning. The factor loading for the second factor ranged from 0.80 to 0.56.

Three factors emerged from the factor analysis of the ten items related to ITV. Nine of the items accounted for 72.6% of the variance. The researchers labeled the three factors as classroom environment, student interaction via ITV and level of learning. The six items in factor one (classroom environment) and three (student interaction via ITV) were related to the delivery system and accounted for 57.2% of the variance. Three items in factor two were related to perceived level of learning as a result of participation in ITV classes and accounted for 15.4% of the variance.

Five factors emerged from the 14 items focused on web courses that accounted for 77.06% of the variance. The factors were named sharing information, thinking, independent study, expressing ideas, and computer skills. Four of the five factors were related to students perceived level of learning and accounted for 69.74% of the variance. The fifth factor, computer skills, accounted for 7.3% of the variance and was related to the delivery system for web classes.

In comments from students, their responses indicated that they felt both ITV and web were worthwhile ways to offer classes. Many students commented that they would be unable to obtain and complete their studies without the distance education program. Students indicated that they spent more time reading and studying for web courses than ITV classes but enjoyed the social contacts in ITV classes. The web classes allowed students to work at their own pace and at convenient times. The web class also allowed everyone to express their own opinions.

Some specific student comments were: "Distance education is not my choice." "Distance education is the only way I could obtain my degree." "Having been in both ITV and web classes, I feel that both are worthwhile and have their place in higher education." "I agree with distance education because it gives up more opportunities, but I still prefer a traditional classroom." "I believe that distance education courses are a tremendous resource, especially for students who don't live in close proximity to the main campus." "I enjoy ITV more than web. I am a people person and get easily distracted on the computer." "I enjoy the ITV classes, but I need the relative freedom of the web classes. I found that I do more work for the web classes. I spend more time on assignments for web classes than class time and assignment times put together for ITV classes." "I feel web-based classes allow more flexibility for the learner who has job and family responsibilities." "I felt the opportunity to interact with students from a variety of locations more than compensated for any difficulty presented by the technology of ITV." "With ITV, there needs to be some form of control over excessive individual response time." "I have enjoyed both settings. I like the web class because I can work at my own pace and at convenient times. I prefer ITV class because I get to see the instructor and my classmates." "I love the freedom that web courses allow. I do a lot more reading and studying for my web course." "In ITV classes, the students spend too much time talking among themselves and not listening to the instructor." "The web classes better prepare a student for real-life work experiences through research methods required, interaction through discussion board (writing concisely and detailed), and becoming proactive on class work."

Summary and Conclusions

Although this study compared undergraduate and graduate students in two different programs, the students were all nontraditional students. Most were part-time students taking evening and weekend classes. Almost all were employed in full-time jobs.

Overall, students had positive perceptions about their experiences in distance education at the University of Arkansas. These programs allowed students to continue and complete their education regardless of their location in the state as well as job and family obligations. All of these students were enrolled in a program specifically designed to meet their needs as non-traditional students. Distance education was an integral part of the degree program. Their efforts were supported with an on-campus staff. Undergraduate students had a significantly higher perception of distance education than graduate students.

Undergraduate students in this study preferred ITV courses. These students were enrolled in cohort groups and took eight ITV classes with the same classmates throughout a two-year course rotation. The students in each cohort group developed close friendships and working relationships despite being separated by great distances.

The graduate students were more positive about courses by web format. These courses allowed graduate students to work at their own pace and at convenient times. The web classes allow them to devote more time and effort to the assignments. The challenge of web classes seemed to appeal to graduate students.

This study shows that distance education by ITV or web is clearly meeting the needs and expectations of adult students. Students feel positive about their learning experiences regardless of the mode of instruction.

Based on the results of the factor analysis of questionnaire items, it appears that classes presented by web place more emphasis on learning and less emphasis on the delivery system. The responsibility for studying, researching and learning falls completely on the student when they participate in web classes. They must also assume accountability for time management and scheduling. It is not possible to be a nonparticipant in a web class, because it is an individualized endeavor even when group activities are part of the class format.

Students in this study have taken ITV and web classes from a number of instructors in vocational and adult education. Approximately 80% of the students had taken four or more ITV classes with at least four different instructors. Forty percent of the students had taken at least two web classes from different instructors.

From the results of the factor analysis, it appears that the delivery system and the instructor make a greater difference in ITV classes than in web classes. The structure, format, and requirements of web classes vary little from instructor to instructor because of the course delivery by computer. However, there is great variation in the way ITV classes are presented and perceived by the students. The instructor's teaching style, class structure, organization of content, utilization of time and resources, and encouragement of student interaction can differ greatly in ITV classes. The technology of the delivery system can inhibit students from expressing their ideas and thought.

The experience of participating in an ITV classes is guided more by the instructor than in web classes. The learning is the result of teacher-student and student-student interaction. The experience of taking web classes is equal for all participants since the student is responsible for their own learning and involvement.

References

- Anderson, L.P., Banks, S. P. & Leary, P. A. (2002). The effect of interactive television courses on student satisfaction. *Journal of Education for Business*, 77(2), 164-68.
- Anderson, L. P., & Kent, C. A. (2002). Interactive televised courses: student perceptions of teaching effectiveness, with recommendations. *College Teaching* 50(2), 67-74.
- Berg, G. A. (2002). *Why distance learning? Higher education administrative practices*. Westport, CT: Praeger Publishers.
- Bower, B. L., Kamata, A., & Ritchie, W. (2001). An analysis of student satisfaction with interactive televised courses and ITV faculty. (ERIC Document Reproduction Service no. ED462118)
- Carter, A. (2001). Interactive distance education: Implications for the adult learner. *International Journal of Instructional Media*, 28, 249-61.
- Christensen, E. W., Anakwe, U. P., & Kessler, E. H. (2001). Receptivity to distance learning: the effect of technology, reputation, constraints, and learning preferences. *Journal of Research on Computing in Education*, 33, 263-80.
- Epstein, M. (1999). *Distance education; when distance is an issue*. (ERIC Document Reproduction Service no. ED428292)
- Inman, E., & Kerwin, M. (1999). Instructor and student attitudes toward distance learning. *Community College Journal of Research and Practice* 23, 581-92.
- Motamedi, V. (2001). A critical look at the use of videoconferencing in United States distance education. *Education*, 122, 286-395.
- Office of Institutional Effectiveness. (2001). *Distance learning report*. Norfolk, VA: Tidewater Community College.

- Parke, M., & Tracy-Mumford, F. (2000). *State policy update: How states are implementing distance education for adult learners*. (ERIC Document Reproduction Service no. ED438398)
- Paulsen, K. J., Higgins, K., & Miller, S. P. (1998). Delivering instruction via interactive television and videotape: student achievement and satisfaction. *Journal of Special Education Technology*. 13(4), 59-77.
- Spooner, F., Jordan, L., & Algozzine, R. (1999). Student ratings of instruction in distance learning and off-campus classes. *The Journal of Educational Research*, 92(3), 132-40.

Appendix A

Distance Education Survey

This survey examines your perception of distance education courses offered in the Department of Rehabilitation, Human Resources and Communication Disorders. Please answer the following items from your point of view. There are no right or wrong answers. Participation in this study is voluntary and confidential. If you do not wish to participate, do not answer the items. Do not put your name on the survey.

The objectives for this study are to:

Examine students' perceptions of the different delivery systems of Interactive Television (ITV) and web. The ITV classes are offered once a week at multiple sites.

Determine students' perceived level of learning and engagement in class activities.

Determine students' perceptions of teacher and student interaction during distance education classes.

Evaluate the physical learning environment of the distance education labs.

Evaluate students' course preference.

Demographics:

1. Gender _____ Female _____ Male

2. Age _____ 25-34
 _____ 35-44
 _____ 45-54
 _____ 55 or over

3. Area _____ Adult Education
 _____ Human Resource Development-Undergraduate
 _____ Vocational Education
 _____ Other _____

4. Site/your location _____

5. How many ITV classes have you taken? _____

6. How many web classes have you taken? _____

Please Respond to the Following Statements by Circling the Number that Reflects Your Opinion.

5 = Strongly Agree

4 = Agree

3 = Neither Agree nor Disagree

2 = Disagree

1 = Strongly Disagree

- | | | | | | |
|---|---|---|---|---|---|
| 1. Distance education classes increase my self-directedness. | 5 | 4 | 3 | 2 | 1 |
| 2. My distance education instructors are available and helpful. | 5 | 4 | 3 | 2 | 1 |

3.	The quality of my education has not been compromised by distance education.	5	4	3	2	1
4.	My distance education instructors encourage student participation.	5	4	3	2	1
5.	I enjoyed getting to know fellow class members through distance education.	5	4	3	2	1
6.	I had a sense of accomplishment after completing distance education courses.	5	4	3	2	1
7.	The method of course presentation kept my interest high throughout the entire course.	5	4	3	2	1
8.	I would recommend that other students take similar courses.	5	4	3	2	1
9.	ITV and web classes require students to take control and be responsible for some aspects of the class.	5	4	3	2	1

Respond to the Following Statements if you Have Taken an ITV Course.

10.	The length of class periods is appropriate.	5	4	3	2	1
11.	The ITV classrooms are physically comfortable for students.	5	4	3	2	1
12.	The ITV classes provide a comfortable environment for learning.	5	4	3	2	1
13.	I feel free to express my ideas and opinions in ITV classes.	5	4	3	2	1
14.	ITV classes are paced appropriately.	5	4	3	2	1
15.	Being in a classroom with cameras and microphones does <u>not</u> deter my learning.	5	4	3	2	1
16.	Being on camera and speaking on a microphone does <u>not</u> make me nervous.	5	4	3	2	1
17.	Students located at the site with the instructor do <u>not</u> monopolize the discussion.	5	4	3	2	1
18.	My instructors have used classtime effectively in meeting the course objectives.	5	4	3	2	1
19.	I feel my learning has been adequate in ITV classes.	5	4	3	2	1

Respond to the Following Statements if you Have Taken a Web Class.

20.	Web classes improve my computer skills.	5	4	3	2	1
21.	I spend more time working on assignments for my web class than other classes.	5	4	3	2	1
22.	I feel comfortable posting my ideas and thoughts on the discussion board.	5	4	3	2	1
23.	I take time to think over my responses for my web class.	5	4	3	2	1
24.	I feel that my learning has been adequate in web classes.	5	4	3	2	1
25.	I don't miss the additional information that might be shared by the instructor in a more traditional class setting.	5	4	3	2	1
26.	I don't miss seeing my classmates and instructors.	5	4	3	2	1
27.	I enjoy reading other students' assignments on the discussion board.	5	4	3	2	1

28.	The discussion board fulfills my need to discuss and share course content with others.	5	4	3	2	1
29.	I find it easier to write my thoughts rather than verbalize them.	5	4	3	2	1
30.	Web class assignments require more research.	5	4	3	2	1
31.	Working independently requires me to find additional resources.	5	4	3	2	1
32.	Web classes allow me to be free for my own thoughts and expressions.	5	4	3	2	1
33.	Posting assignments to the discussion board allows me to express how I feel about issues.	5	4	3	2	1

Respond to the Following Statement if you Have Taken both ITV and Web Classes

34. If you had a choice, would you prefer ITV or web classes? ITV classes Web classes
35. Feel free to make any additional comments about your experiences with distance education.

Reconceptualizing the Learning Transfer Conceptual Framework: Empirical Validation of a New Systemic Model

*Constantine Kontogiorges
Cyprus International Institute of Management*

The main purpose of this study was to examine the validity of a new systemic model of learning transfer and thus determine if a more holistic approach to training transfer could better explain the phenomenon. In all, this study confirmed the validity of the new systemic model and suggested that a high performance work system could indeed serve as a catalyst to successful learning transfer.

Keywords: Motivation to Learn, Motivation to Transfer, Learning Transfer

In recent years the topic of learning transfer has become very popular among HRD researchers. Aside from being a relatively new topic that provides numerous research opportunities, its popularity can also be attributed to its importance in terms of HRD practice, as well as the failure rates many ascribe to it. As it has been widely reported in the literature, training investments often fail to deliver the desired and expected outcome. It has been reported that despite the vast amounts of money organizations spend on employee training, only about 10 % to 15% of it is actually transferred back to the workplace (Baldwin & Ford, 1988; Broad & Newstrom, 1992; Burke & Baldwin, 1999; Facteau, Dobbins, Russell, Ladd, & Kudisch, 1995). Hence, through different approaches researchers have attempted to offer better explanations of the learning transfer phenomenon and thus provide answers with regard to what factors can facilitate or impede the learning transfer process.

In general, the majority of training transfer research relies on mostly two conceptual models when explaining the learning transfer process. These two conceptual models are based on Vroom's (1964) expectancy theory and the Baldwin and Ford (1988) transfer of training model. Expectancy theory, as applied to training transfer, suggests that employees will be motivated to attend HRD programs and try to learn from them if they believe: a) their efforts will result in learning the new skills or information presented in the program; b) attending the program and learning new skills will increase their job performance; and, c) doing so will help them obtain desired outcomes or prevent unwanted outcomes (DeSimone, Werner, & Harris, 2002).

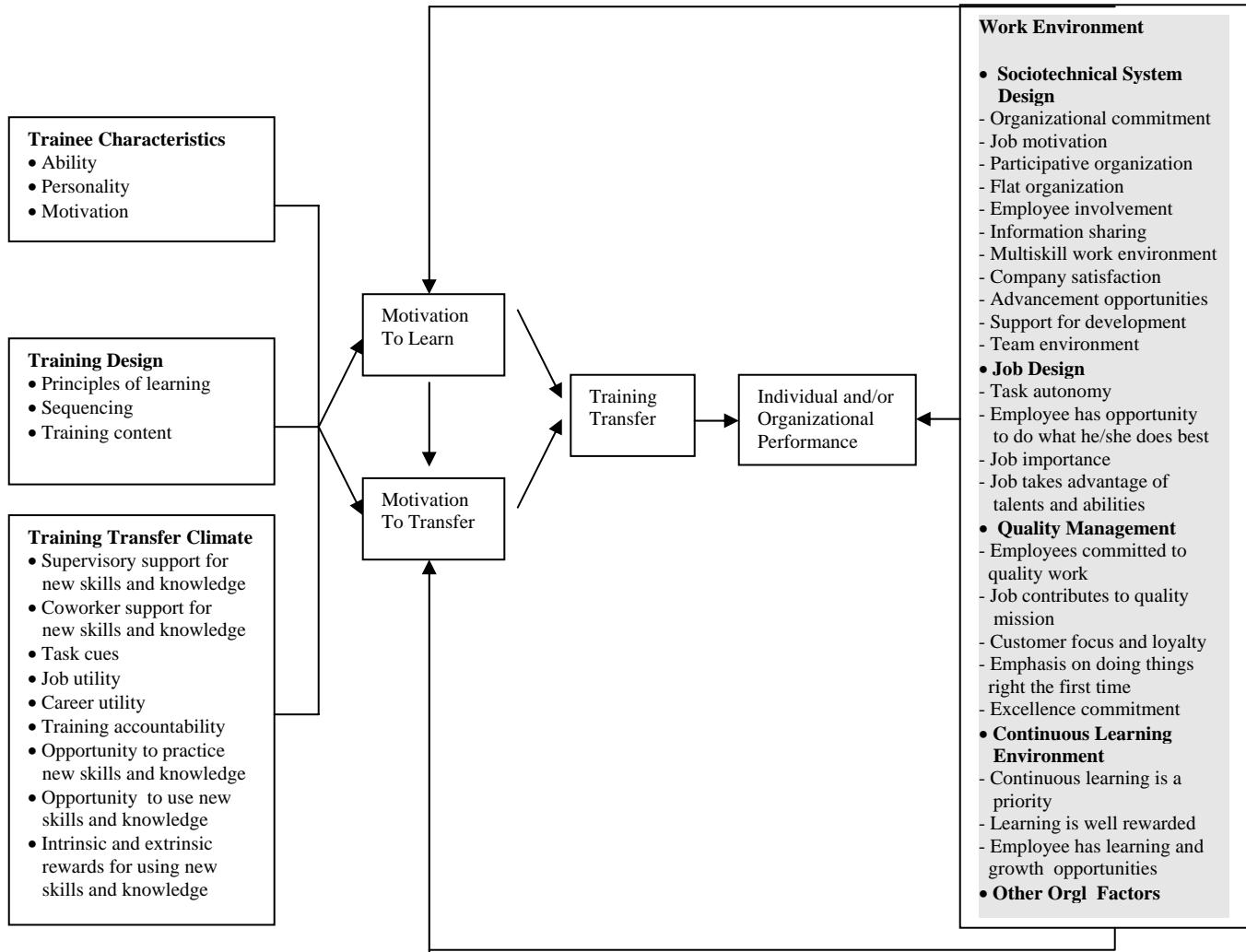
Baldwin and Ford's model asserts that the effectiveness of a training intervention is contingent upon many variables. Training design, trainee characteristics, and work-environment characteristics are considered to be the most important sets of variables. Under the training design dimension one is concerned with principles of learning, sequencing of training content, and training content. Trainee characteristics refer to such personal traits as ability, personality, and motivation. The work environment under the Baldwin and Ford model is viewed in terms of the level of support the trainee receives from his or her supervisor and coworkers when acquiring and using new skills, knowledge, and behaviors. Further, under the work environment dimension one is concerned with the extent to which the trainee has the opportunity to use and practice what he or she has learned in training.

In terms of research, the following factors have been found by researchers to facilitate the learning transfer process: self-efficacy (Ford, Quinones, Sego, & Sorra, 1992; Tannenbaum, Mathieu, Salas, & Cannon-Bowers, 1991); principles of learning used (Decker, 1982); ability (Robertson & Downs, 1979); supervisory and coworker support for training (Clark, Dobbins, & Ladd, 1993; Facteau, Dobbins, Russell, Ladd, & Kudisch, 1995; Kontogiorges, 2001a; Tharenou, 2001); the similarity of training content with actual task performed (Axtell, Maitlis, & Yearta, 1997; Kontogiorges, 2002; Rouiller & Goldstein, 1993); intrinsic and extrinsic rewards for using the newly learned skills and knowledge (Rouiller & Goldstein, 1993; Kontogiorges, 2001a; Tracey, Tannenbaum, & Kavanagh, 1995); training accountability (Kontogiorges, 2002); job utility—the perceived usefulness of training for attainment of career goals (Clark et al, 1993); career utility—the perceived usefulness of training in facilitating the attainment of job goals (Clark et al., 1993); job involvement (Mathieu, Tannenbaum, Salas, 1992; Noe & Schmitt, 1986); organizational commitment (Facteau et al., 1995; Kontogiorges, 2002); motivation to learn (Holton, Bates, & Ruona, 2000; Kontogiorges, 2002; Mathieu & Martineau, 1997; Tracey, Hinkin, Tannenbaum, & Mathieu, 2001); and, motivation to transfer (Facteau et al., 1995; Kontogiorges, 2002; Ruona, Leimbach, Holton, Bates, 2002; Tannenbaum et al., 1991; Warr, Allan, & Birdi, 1999).

Schematically, the conceptual framework that has traditionally governed learning transfer research is displayed in the non-shaded area of Figure 1 (Kontogiorges, 2002). A close look at the diagram will reveal most factors studied under the traditional conceptual framework pertain mostly to trainee characteristics, and attributes that are directly related to the training context or training related outcomes. Furthermore, the work environment is defined

in terms of characteristics that mainly describe the training transfer climate. Hence, one can argue that the conceptual framework of traditional training transfer thinking treats training as a non-systemic phenomenon, independent of the variables that affect performance. Thus, important non-training related organizational factors that directly or indirectly influence performance, and hence the trainee's belief that training can actually result in enhanced performance, are excluded from current training transfer research designs.

Figure 1. Traditional Vs Systemic Model of Training Transfer



A recent study that attempted to investigate the learning transfer phenomenon in more holistic terms was that conducted by Kontoghiorghe (2002). What differentiated this study from the previous ones is that it took a more systemic approach toward learning transfer and incorporated in its design sociotechnical (STS) and quality management (QM) dimensions that were perceived to affect employee and organizational performance as well. In all, this study incorporated in its design variables from the following learning and organizational dimensions: training transfer climate; learning climate; management practices; employee involvement; organizational structure; communication systems; reward systems; job design; job motivation; organizational commitment; job satisfaction; innovation practices; technology management; teamwork climate; ethical work culture; quality management; and process improvement climate. Given that the ultimate goal of training is to improve performance, the underlying assumption of this study was that motivation to learn and motivation to transfer learning back to the job not only would be influenced by the immediate learning environment but by organizational variables that are perceived to also influence employee and organizational performance. In short, organizational commitment, task cues, and coworker commitment to quality work were found to be the strongest predictors of motivation to learn. Motivation

to learn, a motivating job, and being expected to use the newly learned skills and knowledge on the job were found to be the most important predictors of motivation to transfer. Other STS and QM variables that were found to significantly predict motivation to learn and/or transfer were task autonomy, participative organization, customer loyalty, excellence commitment, opportunities for advancement, and rewards for teamwork.

In summary, the Kontoghiorghes (2002) study suggested that the work environment as it relates to performance, and not necessarily to training transfer climate, could be another critical dimension for training effectiveness. The significance of the work environment can be highlighted by the fact that nine of the eleven predictors of the motivation to learn regression model, as well as five out of six for the motivation to transfer model pertained to organizational environment variables and not the training transfer or learning climate. This finding exemplified the systemic nature of training effectiveness and demonstrated the importance of the organizational climate when addressing the learning transfer issue.

The expanded conceptual framework of training transfer as derived from the results of the Kontoghiorghes (2002) study is depicted in Figure 1 via the shaded component representing the work environment. As shown, the expanded model provides a more holistic interpretation of the learning transfer process and identifies individual and organizational performance as the common link between learning transfer and work environment characteristics. In other words, this new conceptual model for learning transfer provides the answers to the questions of how and why the work environment is an important component of learning transfer. Given that the ultimate desired outcome of training interventions is to improve individual and organizational performance, the more the work environment is conducive to high performance, the more the trainee will believe that his or her learning efforts will result in an attainable and desirable outcome. This in turn will translate into higher levels of motivation to learn during training and motivation to transfer learning back to the job. A limitation of the Kontoghiorghes (2002) study was the fact that the data was collected from a single source with a predominantly salaried female population. Thus, replication of the study in different organizational settings and industries in order to determine the validity of the results and proposed model was recommended.

Purpose of the Study

The main purpose of this study was to replicate the Kontoghiorghes (2002) study in another organization and industry and thus determine the extent to which the previous findings and proposed conceptual model of learning transfer could be validated in a different setting. Furthermore, this study attempted to expand on the earlier study by also identifying the main learning transfer climate and work environment predictors of training transfer, in addition to those pertaining to motivation to learn and motivation to transfer learning back to the job.

Research Questions

This study attempted to answer the following research questions:

1. Which of the organizational and learning climate variables incorporated in the study can serve as key predictors of motivation to learn during training?
2. Which of the organizational and learning climate variables incorporated in the study can serve as key predictors of motivation to transfer learning back to the workplace?
3. Which of the organizational and learning climate variables incorporated in the study can serve as key predictors of training transfer?
4. What is the relationship between motivation to learn, motivation to transfer, and training transfer?
5. To what extent are the results of this study are in agreement with those of the Kontoghiorghes (2002) study?

Methodology

Instrument

The instrument of this study consisted of a 109 Likert item questionnaire, which was designed to assess the organization in terms of the earlier described dimensions. Many of the dimensions were assessed with scales that were described in previous literature or research (Buckingham & Curt; 1999; Hackman & Oldham, 1980; Kontoghiorghes, 2003; Kontoghiorghes, 2002; Kontoghiorghes, 2001a; Kontoghiorghes, 2001b; Kontoghiorghes & Dembeck, 2001; Lindsay & Petrick, 1997; Macy & Izumi, 1993; Pasmore, 1988; Rouiller & Goldstein, 1993; Tracey, Tannenbaum, & Kavanagh, 1995; Whitney & Pavett, 1998), while several were designed specifically for this study. The instrument utilized a six-point scale that ranged from “strongly disagree” to “strongly agree”. The first version of the questionnaire, which consisted of 99 Likert items, was originally pilot-tested on a group of 15

participants for clarity. Furthermore, a group of seven experts reviewed the instrument for content validity. Upon revision, the instrument was then administered to a group of 129 members of four different organizations. Reliability tests were conducted and the instrument was further refined and expanded to 108 items. The instrument was next administered to 505 employees of three different organizations. Upon further refinement and expansion the instrument was then used for the purposes of this study. As stated earlier, in its final format the instrument consisted of 109 Likert items.

Subjects

The sampling frame of this study consisted of 300 employees of the information technology division of a large automaker in the United States. Given that 198 of the prospective participants returned the survey, the response rate was calculated at 66%. In all, 75.1% of the respondents were males and 24.9% females. In terms of education, 21.2% had a high school degree, 20.7% an associates degree, 43% a bachelors degree, and 14.5% a masters degree. One respondent did not indicate an educational level. In terms of position held in the organization, the frequency distribution identified 2.0% of the respondents as senior management personnel, 7.7% as middle managers, 13.3% as supervisors, 41.3% as salaried professionals, 1.5% as administrative personnel, and 34.2% as contract employees.

Data Analysis

With regard to data analysis, the instrument was construct validated through a principal components analysis, which utilized a varimax rotation. The generated factors were in turn used to build stepwise regression models for motivation to learn, motivation to transfer, and training transfer. Thus, through stepwise regression analysis the most important training transfer, sociotechnical, and quality management dimensions for motivation to learn, motivation to transfer, and training transfer were identified, prioritized and described. It should be noted that only factors that had an eigenvalue of 1 or greater were retained for this study.

Results and Findings

Principal Component Analysis

The principal component analysis that utilized a varimax rotation produced a 13-factor solution that accounted for 68.9% of the total variance. The sample size utilized for the principal components analysis was 178 for which the critical value for significant loadings was calculated at |0.38|. Each rotated component had loadings above the critical value, with 0.383 being the lowest factor loading. In all, the factorial solution was able to differentiate between the assessed dimensions and thus construct validated the scales used. The reliabilities of the produced factors as well as the number of items comprising each factor are shown in Table 1. As shown, the majority of the factors had a coefficient alpha in the 0.73 to 0.89 range. The only exception was the Knowledge Management factor (Factor 13; coefficient alpha = .57), which was found to exhibit a relatively low reliability and was thus excluded from further analysis.

Table 1. *Reliability Coefficients of Produced Factors*

Factor	Number of Items	Coefficient Alpha
1. Job motivation and satisfaction	10	0.81
2. Open communications between departments	10	0.89
3. Rewards and recognition for new ideas and performance	9	0.88
4. Positive learning transfer climate	7	0.82
5. High performance team environment	5	0.83
6. Technology management	4	0.86
7. Risk taking and innovation driven culture	5	0.85
8. Supervisory support for personal development	3	0.77
9. Quality driven culture	6	0.80
10. Information Sharing	2	0.76
11. Internal Customer focus	4	0.75
12. Job to quality awareness	3	0.73
13. Knowledge management	2	0.57

Motivation to Learn Regression Model

As it is shown in Table 2, the stepwise regression model incorporated in its design four of the possible 12 factors as well as the organizational commitment variable. In all, the independent variables accounted for 37.4% of that total variance. At 4.8% shrinkage is considered very small thus reflecting a cross-validated regression model. Accounting 26% of the total variance the positive learning transfer factor proved to be the strongest predictor of the

dependent variable. The other independent variables selected by the regression model were awareness of how one's job contributes to the organization's quality mission, rewards and recognition for new ideas and good performance, the extent to which the employee functions in a system that promotes risk taking and innovation, and the extent to which the employee is committed to the organization.

Table 2. *Stepwise Regression Model of Motivation to Learn^{a,b,c}*

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1 Positive learning transfer climate	.510	.260	.256	.946
2 Job to quality awareness	.561	.315	.307	.913
3 Rewards and recognition for new ideas & performance	.581	.338	.327	.900
4 Risk taking and innovation driven culture	.596	.355	.340	.891
5 Organizational commitment	.611	.374	.356	.881

^a. Dependent Variable: Motivation to learn; N = 177

^b. Method: Stepwise (Criteria: Probability-of-F-to-enter <= .050, Probability-of-F-to-remove >= .100).

^c. F = 20.5, p < 0.001

Motivation to Transfer Regression Model

As shown in Table 3, the four independent variables selected by the motivation to transfer learning back to the job regression model accounted for 46.9% of the total variance. Again, as in the case of motivation to learn, a positive learning transfer climate was found to be the strongest predictor. The remaining three variables in the model reflected the extent to which the employee found his or her job motivating and satisfying, was committed to the organization, and was motivated to learn during training. At 2.5% shrinkage is very small and indicative of a cross-validated model.

Table 3. *Stepwise Regression Model of Motivation to Transfer Learning Back to the Job^{a,b,c}*

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1 Positive learning transfer climate	.520	.271	.267	.818
2 Job motivation and satisfaction	.632	.399	.393	.744
3 Organizational commitment	.666	.443	.433	.719
4 Motivation to learn	.685	.469	.457	.703

^a. Dependent Variable: Motivation to transfer learning back to the job; N = 177

^b. Method: Stepwise (Criteria: Probability-of-F-to-enter <= .050, Probability-of-F-to-remove >= .100).

^c. F = 38.27, p < 0.001

Training Transfer Regression Model

Table 4 depicts the stepwise regression model for the training transfer variable. As shown, the eight independent variables in the model accounted for 49% of the total variance. Once again, a positive learning transfer climate was found to be the strongest predictor in the model and accounted half of the total variance explained. The remaining independent variables in the model pertained to the various work environment dimensions assessed by the instrument. The only exception was the motivation to transfer variable, which accounted for 1.3% of the total variance. It is worth noting that although motivation to learn was included in the selection process it failed to load onto the model. In terms of shrinkage, at 4.9% it is again found to be very small thus providing cross-validation evidence for the regression model.

Table 4. Stepwise Regression Model of Training Transfer^{a,b,c}

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1 Positive learning transfer climate	.495	.245	.240	.955
2 Organizational commitment	.610	.373	.365	.873
3 High performance team environment	.627	.393	.383	.861
4 Job motivation and satisfaction	.645	.416	.403	.847
5 Job to quality awareness	.663	.440	.424	.832
6 Risk taking and innovation driven culture	.680	.462	.443	.818
7 Quality driven culture	.690	.477	.455	.809
8 Motivation to transfer	.700	.490	.466	.801

^a. Dependent Variable: Training transfer; $N = 177$

^b. Method: Stepwise (Criteria: Probability-of-F-to-enter <= .050, Probability-of-F-to-remove >= .100).

^c. $F = 20.87$, $p < 0.001$

Conclusions and Recommendations

Taking a close look at the generated regression models of the motivation to learn, motivation to transfer, and training transfer variables will reveal that the strongest predictor of each one of the dependent variables was the factor that pertained to a positive learning transfer climate. This was an expected finding, which in turn validated the importance of a positive training transfer climate when training effectiveness is desired. It is worth noticing that the training transfer factor accounted no less than 50% of the explained variance in each of the respective regression model. However, what is also worth noticing is the critical importance of the work environment, and the organizational culture in particular, when explaining the training transfer phenomenon. In all, the results of this study confirmed those of the Kontoghiorghe (2002) study and demonstrated the systemic nature of training transfer.

In terms of the individual dependent variables, aside from a positive learning transfer climate, motivation to learn was also found to be significantly related to such factors as awareness of how one's job contributes to the organization's quality mission, rewards for recognition for new ideas and performance, risk taking and innovation driven culture, as well as organizational commitment. Given that these factors have been often found by research to influence employee and organizational performance, it is safe to conclude that an employee's motivation to learn during training will not only be affected by the extent to which the work environment is conducive to learning transfer, but to high performance and commitment as well. As far as motivation to transfer learning back to the job is concerned, the results of this study confirmed once again its close association to a positive learning transfer climate and validated the findings of the Kontoghiorghe (2002) study which found it to be highly associated with job motivation and satisfaction as well as organizational commitment. Thus, it is once again safe to conclude that motivation to transfer is closely related to work environment variables that are not usually covered by typical learning transfer research.

The close association of successful training transfer with a high performance organizational culture is exemplified further by the results pertaining to the training transfer regression model. As shown in Table 4, in addition to a positive learning transfer climate and motivation to transfer, successful training transfer was found to be significantly predicted by such factors as organizational commitment, a high performance team environment, job motivation and satisfaction, awareness of how one's job contributes to the organization's quality mission, a risk taking and innovation driven culture, as well as a quality driven culture. Collectively these factors characterize a high performance work system and demonstrate that training transfer cannot be studied in isolation. Since the ultimate desired outcome of any training intervention is to improve performance, it can be expected that organizational factors that impact individual or organizational performance to also have a moderating effect on successful training transfer. Thus, exclusion of such organizational factors from training transfer research designs may lead to limited understanding of the training transfer phenomenon.

Contribution to New Knowledge in HRD

As it was stated earlier, one of the main purposes of this study was to examine the validity of a new systemic model for learning transfer. In all, the results of this study suggest that a more systemic training transfer conceptual

framework that incorporates in its design work environment dimensions, which in turn influence individual and/or organizational performance, could indeed better explain the training transfer phenomenon and training effectiveness in general. Moreover, the findings of this study support the argument made by Kontoghiorghe with regard to expectancy theory as applied to training transfer. In particular, it was argued that expectancy theory can be better utilized in the training transfer literature if it is applied at two different but nested levels: the training context level; and, the individual and/or organizational performance level. At the first level, or the training context level, one is concerned with the degree to which the trainee believes that a) his or her efforts will result in actual learning; b) learning can indeed be transferred back to job, given the realities of the training transfer climate; and c) application of new skills and knowledge is directly linked to intrinsic and extrinsic rewards. At the second level, or the employee/organizational performance level, one is concerned with the degree to which the employee believes that a) application of new skills and knowledge can indeed lead to enhanced individual and/or organizational performance, given the realities of the work environment and organizational culture; and b) enhanced individual and/or organizational performance can lead to desired and valued outcomes. In sum, this study contributes new knowledge to the field of HRD by presenting to scholars an expanded and more holistic conceptual framework of the training transfer phenomenon and providing practitioners an additional set of variables to consider when evaluating training program effectiveness.

Limitations and Future Research

The main limitation of this study is that the data was gathered from a single source. Thus, gathering more data from multiple sources in different industries will further assist in the validation of this and the previously conducted study. Moreover, the results of this study once again ascertained the close relationship between the work environment and successful learning transfer. However, not all possible organizational factors that could directly or indirectly influence motivation to learn, motivation to transfer, and learning transfer have been incorporated in this study. Hence, further research that identifies and describes additional organizational factors that could influence the learning transfer process can assist in better explaining of the learning transfer phenomenon.

References

- Axtell, C., Maitlis, S., & Yearta, S. (1997). Predicting immediate and longer-term transfer of training. *Personnel Review*, 26(3), 201-212.
- Baldwin, T.T., & Ford, J.K. (1988). Transfer of training: A review and future directions for future research. *Personnel Psychology*, 41(1), 63-105.
- Broad, M., & Newstrom, J. (1992). *Transfer of training – Action packed strategies to ensure high payoff from training investments*. Reading, MA: Addison-Wesley.
- Buckingham, M., & Coffman, C. (1999). *First break all the rules: what the world's greatest managers do differently*. New York: Simon & Schuster.
- Burke, L. & Baldwin, T. (1999). Workforce training transfer: A study of the effect of relapse prevention training and transfer climate. *Human resource Management*, 38(3), 227-241.
- Clark, S.C., Dobbins, H.G., & Ladd, T.R. (1993). Exploratory field study of training motivation. *Group & Organization Management*, 18(3), 292-307.
- Decker, J. (1982). The enhancement of behavior modeling training of supervisory skills by the inclusion of retention processes. *Personnel Psychology*, 32, 323-332.
- DeSimone, R.L., Werner, J.M., & Harris, D.M. (2002). *Human resource development* (3rd ed.). Orlando, FL: Harcourt, Inc.
- Facteau, J., Dobbins, G., Russell, J., Ladd, R., & Kudisch, J. (1995). The influence of general perceptions of the training environment on pretraining motivation and perceived training transfer. *Journal of Management*, 21(1), 1-25.
- Ford, J., Quinones, M., Sego, D., & Sorra, J. (1992). Factors affecting the opportunity to perform trained tasks on the job. *Personnel Psychology*, 45, 511-527.
- Hackman, J.R., & Oldham, G.R. (1980). *Work redesign*. Reading, MA: Addison-Wesley.
- Holton, E., Bates, R., & Ruona, W. (2000). Development of a generalized learning transfer system inventory. *Human Resource Development Quarterly*, 11(4), 333-360.
- Kontoghiorghe, C. (2003). Examining the association between quality and productivity performance in a service organization. *Quality Management Journal*, 10(1), 32-42.

- Kontoghiorghes, C. (2002). Predicting motivation to learn and motivation to transfer learning back to the job in a service organization: a new systemic model for training effectiveness. *Performance Improvement Quarterly, 15*(3), 114-129.
- Kontoghiorghes, C. (2001a). Factors affecting training effectiveness in the context of the introduction of new technology—a US case study. *International Journal of Training and Development, 5*(4), 248-260.
- Kontoghiorghes, C. (2001b). A holistic approach toward motivation to learn in the workplace. *Performance Improvement Quarterly, 14*(4), 3-17.
- Kontoghiorghes, C., & Dembeck, D. (2001). Prioritizing quality management and socio-technical variables in terms of quality performance. *Quality Management Journal, 8*(3), 36-48.
- Lindsay, W.M., & Petrick, J.A. (1997). *Total quality and organization Development*. Boca Raton, FL: St. Lucie Press.
- Macy, B.A., & Izumi, H. (1993). Organizational change, design, and work innovation: A meta-analysis of 131 North American field studies ---- 1961-1991. *Research in organizational change and development, 7*, 235-313.
- Mathieu, J., & Martineau, J. (1997). Individual and situational influences on training motivation. In J.K. Ford, S. Kozlowski, K. Kraiger, E. Salas, & M. Teachout (Eds.), *Improving training effectiveness in work organizations* (pp. 193-221). Mahwah, NJ: Lawrence Erlbaum Associates, Publishers.
- Mathieu, J., Tannenbaum, S., & Salas, E. (1992). Influences of individual and situational characteristics on measures of training effectiveness. *Academy of management Journal, 35*, 828-847.
- Noe, R. & Schmitt, N. (1986). The influence of trainee attitudes on training effectiveness. *Personnel Psychology, 39*, 497-523.
- Pasmore, A.W. (1988). *Designing effective organizations: The sociotechnical systems perspective*. New York: Wiley & Sons.
- Rouiller, J.Z., & Goldstein, L.I. (1993). The relationship between organizational transfer climate and positive transfer of training, *Human Resource Development Quarterly, 4*(4), 377-390.
- Ruona, W., Leimbach, M., Holton, E., & bates, R. (2002). The relationship between learner utility reactions and predicted learning transfer among trainees. *International Journal of Training and Development, 6*(4), 218-228.
- Tannenbaum, S., Mathieu, J., Salas, E., & Cannon-Bowers, J. (1991). Meeting trainees' expectations: the influence of training fulfillment on the development of commitment, self efficacy and motivation. *Journal of Applied Psychology, 76*, 759-769.
- Tharenou, P. (2001). The relationship of training motivation to participation in training and development. *Journal of Occupational and Organizational Psychology, 74*, 599-621.
- Tracey, J.B., Hinkin, R.T., Tannenbaum, S., & Mathieu, E.J. (2001). The influence of individual characteristics and the work environment on varying levels of training outcomes. *Human Resource Development Quarterly, 12*(1), 5-23.
- Tracey, J.B., Tannenbaum, I.S., & Kavanagh, J.M. (1995). Applying trained skills on the job: The importance of the work environment, *Journal of Applied Psychology, 80*(2), 239-252.
- Robertson, I. & Downs, S. (1979). Learning and the prediction of performance: development of trainability testing in the United Kingdom. *Journal of Applied Psychology, 64*, 42-55.
- Vroom, V.H. (1964). *Work and motivation* (New York: Wiley).
- Warr, P., Allan, C., & Birdi, K. (1999). Predicting three levels of training outcome. *Journal of Occupational and Organizational Psychology, 72*(3), 351.
- Whitney, G., & Pavett, C. (1998). Total quality management as an organizational change: Predictors of successful implementation. *Quality Management Journal, 5*(4), 9-22.

A Theoretical Framework for Addressing Training Needs Associated with Sexual Harassment Prevention Programs

Mary Lynn Berry

Michael Lane Morris

The University of Tennessee

There has been little research on evaluating sexual harassment prevention programs. Furthermore, no study has examined the learning transfer system with regards to sexual harassment prevention programs. This paper sought to provide a framework for researchers and practitioners alike to organize and understand this particular learning transfer system in an effort to improve prevention programs to more successfully decrease the occurrences of sexual harassment in the work place.

Keywords: Sexual Harassment, Learning Transfer System, Training Transfer

Despite laws prohibiting sexual harassment and millions of corporate dollars spent training workers about the ramifications of sexual harassment, the problem of sexual harassment has continued to persist (Slobodzian, 2000). This is not surprising since training (in general) has been said to transfer to the work environment only 10-15% of the time. There is a paucity of information in the sexual harassment and transfer training literature examining the transfer system as it relates to sexual harassment. Because of this gap, a theoretical framework is needed.

Theoretical Framework

Major theories explaining sexual harassment and the learning transfer system serve as a foundation on which to build a description of areas within the learning transfer system that can potentially encourage or inhibit transfer of training of sexual harassment prevention programs. A useful approach to developing a theoretical framework should weave the elements pertaining to sexual harassment within the pre-existing general framework of the transfer system. The theoretical framework of the learning transfer system as it relates to sexual harassment would be useful in better understanding how sexual harassment prevention programs should be conducted and improved.

Major Theories Explaining Sexual Harassment

Tangri and Hayes (1997) suggested that no one theory could fully explain the phenomenon of sexual harassment due to the complexity of defining sexual harassment, especially since the topic is so personal. However, a multi-model explanation organized "like the layers of an onion" (p. 113) may be a useful way of analyzing the occurrences of sexual harassment. Natural/Biological Model explains the occurrence of sexual harassment as resulting from a satisfaction of the basic human drives of sex and aggression. Two models are presented under the Natural/Biological Model: The Hormonal Model and The Evolutionary Model. The Hormonal Model suggests that sexual harassment is a result of man's stronger sex drive. The Evolutionary Adaptation Model suggests that men have evolved and adapted to sexually harass women in their pursuit of reproduction without long-term commitments. The Organizational Models suggest that certain conditions present in an organization make it easier for sexual harassment to occur. Sex-Role Spillover Theory and Organizational Power are presented as components of the Organizational Model. Sex-Role Spillover Theory explains sexual harassment as a result of gender-based expectations that spill over into the workplace. Organizational Power explains sexual harassment as a result of an abuse of organizational power. The Sociocultural Model suggests that male dominance in the work environment is a carryover from the larger society where men are socialized to dominate, lead, and initiate sexual advances and women are socialized to submit, nurture, and be the sexual gatekeeper. Individual Differences explains sexual harassment as a result of individual differences including personal attitudes toward individuals of the opposite sex, hormonal levels, and interpretations of sexual behaviors.

Learning Transfer System

Holton and Baldwin (2000) proposed a framework that includes the learner, the learning event, and the organizational context in the system design of a learning transfer system. This framework describes the individual entering the organization with certain individual characteristics and under certain pre-conditions of the organization. The individual prepares for the learning event prior to participation in the learning event (or training program). After

the learning event has occurred, the learner may review notes, activities, policies, etc. Also at this time, certain organizational supports and sanctions are communicated that influence the individual's performance. Each of the major sections of this framework is dissected below with conditions that should be taken into consideration when implementing a sexual harassment prevention program within an organization.

The Learning Transfer System With Regards to Sexual Harassment Prevention Programs

Terpstra and Baker (in Tangri & Hayes, 1997) organized factors associated with sexual harassment into three main categories: environmental-level variables, organizational-level variables, and individual-level variables. Holton and Bates model of the learning transfer system includes some of these same categories (i.e., organizational interventions including both preconditions and supports, individual characteristics). Hence, some of the same factors or areas that encourage or inhibit the occurrences of sexual harassment also tend to encourage or inhibit learning concerning sexual harassment. The discussion that follows takes into account the major areas proposed by Holton and Bates but incorporates the levels and sublevels that Terpstra and Baker used as a classification scheme.

Individual characteristics. The individual characteristics section of the learning transfer system framework examines the characteristics that an individual (i.e., the employee or the learner) brings to the learning event. While most trainers are interested in knowledge, skills, and abilities including baseline competencies of the employee, trainers for sexual harassment prevention programs should be concerned with much more. When looking at the individual characteristics, both the Natural/Biological and Individual Differences Models of explaining sexual harassment are useful in understanding the individual characteristics of the employee as they move through the learning event.

One of the first characteristics of the individual that should be taken into consideration is gender, especially due to the fact that most (but not all) victims of sexual harassment are women and most (but not all) perpetrators of sexual harassment are men. This in turn affects how the training may be perceived and what messages should be sent. Gender is also related to hormone levels, which under the natural/biological model is one explanation of why sexual harassment occurs.

Personal power (or control) and position in the company is also an important individual characteristic to consider. Some employees may be forced into a position where they are powerless against sexual harassment. Actual power and perceived power may differ. Perceived power is discussed later.

The knowledge, skills, and ability of the individual are an important factor in transfer. While a capacity to understand the information is a desired characteristic of an individual, many may not have this characteristic. Further, Fitzgerald, Swan & Magley (1997) reported that many individuals lack the ability to label behaviors as sexual harassment. Societal, organizational (both direct and indirect), and individual explanations were given to explain this phenomenon. Also included under knowledge, skills, and ability is the communication skills (both verbal and nonverbal) that the individual possesses. This is particularly apparent in individuals who have such poor communication skills that additional help may be necessary in order for them to understand what types of communications are and are not acceptable in the work environment as well as how to correctly interpret others' communications to them without miscommunication taking place.

Learner Readiness (Holton & Bates, n.d.) is a very important variable to consider. Knowledge, skills, and ability of the individual as well as the history of the individual may mediate learner readiness. Some victims may be ready to learn because they want to know what they can do to stop it. Some other employees may not be ready to learn due to the fact they don't see sexual harassment as a problem for them or others.

The history of the individual (Fitzgerald et al., 1997) is a critical element to a trainer of a sexual harassment prevention program. The history of the individual includes their upbringing (or moral development), prior experiences with sexual harassment including that as a victim, perpetrator, or bystander including the type of behavior, the frequency of the behavior (Fitzgerald et al., 1997), the prevalence of the sexual harassing behaviors, the intensity or severity of the behaviors (Fitzgerald et al., 1997), and the duration of the sexual harassing episodes (Fitzgerald et al., 1997). Furthermore, the interpretations of the type, frequency, prevalence, and intensity of prior sexual harassing experiences should be considered. Finally, prior experiences with sexual harassment prevention programs should be considered as it may affect one's enthusiasm over a repeat experience, particularly if the individual perceives the training as poorly designed or not needed.

Perceptions and myths or attitudes (Fitzgerald et al., 1997) that a person holds may be critical in their transfer of knowledge presented during the learning event. Perceptions and attitudes vary widely from individual to individual across several different topics. First, a person's attitude about power possessed by him or herself as well as that of management, supervisors, and co-workers should be considered. Many times employees feel powerless going into training that could potentially reduce learning transfer. Related to power is the concept of vulnerability. Vulnerability may be defined as a lack of power coupled with personal situations (including financial situations) making sexual harassment an option although unwanted. Employees also have individual perceptions of the

sanctions against sexual harassment. For example, some employees may believe that there's no "teeth" to the sanctions and so they will continue to harass or fail to report the harassment. Other employees might believe that the sanctions are enforced and may be more careful about sexual harassing other employees or believe that they are protected and can't be the victim of sexual harassment. Another concept related to perception and attitudes is that of ethics. While upbringing or moral development was covered earlier, what is meant by ethics here is the individual's perception of what society believes about men and women as well as whether certain behaviors are acceptable or unacceptable particularly in the work environment. Finally, individual perceptions of whether or not he or she can get away with sexual harassment should be considered. These attitudes hinge on what the individual believes as right or wrong and what the individual perceives that society believes concerning right and wrong behaviors. These attitudes of "can I get away with it?" do go a step further than general beliefs in right and wrong as many individuals commit acts of disrespect to others even though they know it is wrong.

Resources (Fitzgerald et. al, 1997) available to an individual also need to be considered. Resources may include personal strengths, friends and family that listen and offer counsel, and policies and procedures in effect in an organization. Individuals differ in their perceptions of resources available to them. Some may see resources as unavailable when they are actually available. Training can certainly help to correct this problem, at least in part, if it effectively spells out the company's policies and procedures regarding sexual harassment.

Individuals also differ in their level of motivation. Individuals may differ in their motivation to attend training sessions as well as to transfer the learning (Holton & Bates, n.d.) whether it includes the cessation of sexually harassing behaviors or the initiation of complaints when appropriate.

Finally, performance self-efficacy (Holton & Bates, n.d.) is an important factor that differs between individuals. Performance self-efficacy may be defined as "the individuals' general belief that they are able to change their performance when they want" (Holton, 2000, p. 14). Performance is likely highly related to motivation and learner readiness as well as perceptions of personal power.

Organizational interventions. There are two main areas that incorporate organizational interventions: preconditions and supports. Preconditions are those conditions that exist prior to the onset of the learning event. Supports are those behaviors that occur in the work environment after and in response to the learning event. Both of these areas can be better explained using the Organizational Model and Sociocultural Model.

There are many preconditions that exist in any work environment. Every company has its own history and characteristics that make it unique. One such precondition is the sociocultural environment in which the work place is situated. Often, this sociocultural environment will dictate socialization patterns between men and women that can include rules covering almost anything from what is appropriate to wear to marriage rituals. These dictated socialization patterns permeate the work environment's daily activities and set up a particular culture for the work place.

Another precondition that exists in the work environment is the manifestation of power within the company. While one may consider upper management's support and control of policy, procedures, and training, of particular interest here is the leadership and power exerted by individuals other than management. For example, non-supervisory employees may usurp control over certain supplies or processes. Controlled processes may also include communication patterns that exist among employees whereby some employees are intentionally left out of the loop.

Organizational climate (Fitzgerald et. al, 1997) is also a precondition that may affect learning transfer in an employee. Organizational climates can differ widely from one organization to another and may range from hostile to friendly, willing to learn to unwilling to learn, flexible to inflexible, etc. Regardless of an employee's beliefs concerning sexual harassment and his or her willingness to participate in the learning event, the organizational climate that is hostile, unwilling to learn, and inflexible is likely to prevent the employee from moving through the learning event successfully. According to Schein (1992), in newer organizations, the organizational climate is a reflection of the assumptions held by its leaders. Later in the life of the organization, the climate will be a reflection of cultural assumptions. The assumptions of leaders affect the climate via 6 primary embedding mechanisms including:

- What leaders pay attention to, measure, and control on a regular basis.
- How leaders react to critical incidents and organizational crises.
- Observed criteria by which leaders allocate scarce resources.
- Deliberate role modeling, teaching, and coaching.
- Observed criteria by which leaders allocate rewards and status.
- Observed criteria by which leaders recruit, select, promote, retire, and excommunicate organizational members (p. 231)

Secondary mechanisms that reinforce culture include the following:

- Organization design and structure.
- Organizational systems and procedures.
- Organizational rites and rituals.
- Design of physical space, facades, and buildings.
- Stories, legends and myths about people and events.
- Formal statements of organizational philosophy, values, and creed (p. 231)

There are several issues pertaining to gender that affect preconditions in a work environment: gender ratio, sex-role spillover, and the company's view on women and pay. Gender ratio (Fitzgerald et. al, 1997) is a precondition that exists in the work environment that may directly have a bearing on the sexually harassing behaviors that have been committed in the organization's history. As women have entered the workforce, the gender ratio has changed. However, there still are companies and businesses that are predominately male. Such companies where men far outnumber women may create an environment where women feel particularly vulnerable. Sex-role spillover is another issue that pertains to gender and that sets up certain preconditions in an organization. Sex-role spillover refers to how typical male and females roles are transferred into the workplace. For example, some companies may intentionally or unintentionally move women into jobs that are congruent with their stereotypical gender-based roles such as housekeeping, secretarial, or assistant positions. Likewise, some companies may intentionally or unintentionally ask women to perform tasks (such as cleaning, making copies, making coffee) that are congruent with their stereotypical role. Sex-role spillover in a company can be limiting to those women employed by the organization. Related to both gender ratio and sex-role spillover is the company's view on women including women's pay (Petrocelli & Repa, 1998). While the company may not have any evidence of sex-role spillover, their view on women in the workforce may be poor. As in the case of sex-role spillover, a poor view on women can be severely limiting to women in the workplace especially when it involves their pay.

There are three closely linked preconditions that may exist in the work environment that can potentially seriously affect the employee's success concerning training transfer. First, the presence of a sexually-poisoned work environment (Petrocelli & Repa, 1998) can be particularly debilitating, especially when employees go into the learning event thinking "Things are so bad, this will never work!" or "Why is sexual harassment wrong when the boss always tells dirty jokes during committee meetings even when women are present?" Second is whether the organization is tolerant of sexual harassment (based on work of Hulin and colleagues, in Fitzgerald et. al, 1997). Tolerance can be assessed with such questions as: (a) Are complaints taken seriously? (b) Is there risk to the victim for reporting? (c) Is there lack of meaningful sanctions for perpetrators? and (d) Does the organization state that sexual harassment is an actionable, illegal offense? Third is whether there is any other harassment present in the work environment (Fitzgerald et. al, 1997). Oftentimes, when one type of harassment is present, others types of harassment are present as well.

Management norms and the degree to which they are either strict or lenient can also affect the work environment (Fitzgerald et. al, 1997). These norms may include day-to-day operations as well as those pertaining to program sponsorship and endorsement including whether attendance is mandatory or optional.

The policies and procedures that are implemented in a work environment may be either weak and ineffective or strong and effective (Fitzgerald et. al, 1997). This may be a separate issue than the strength of management for the organization. Some policies may be so poorly written that employees know how to get around the gaping loopholes. Some policies may be enforced so poorly that employees know that it might not really be worth the efforts to try to follow the procedures presented to them in company policy statements and during training.

Finally, bystander stress (Fitzgerald et. al, 1997) may contribute to the overall preconditions of a work environment. Bystanders include all those who have been witnesses to sexually harassing behaviors. Bystanders may feel certain vulnerabilities concerning their own situation. This feeling of vulnerability may be exacerbated when the bystanders are asked to provide information concerning the sexual harassment situation. Bystander stress (especially on a wide-scale) is preserved in the memory of the organization's history and may contribute to the overall work environment.

Supports are also an important part of the organization's intervention on the learner and learning event. Supports may be defined as those actions at the organizational level that serves to reinforce the learning. Supports come in a variety of ways and from a variety of people. Supports may come from management, supervisor, or peers (Holton & Bates, n.d.) or from sources outside the organization including a counselor or legal counsel and even family and friends. Supports from within the organization may also include feedback or performance coaching (Holton & Bates, n.d.) or reminders via Email, bulletin boards, memos, etc and are likely to include positive personal outcomes (Holton & Bates, n.d.) with statements such as "If you treat your co-workers with respect, you can continue in your job". Supports may also come in the form of sanctions (especially from management or direct

supervisor) such as "If you don't apply this learning and follow these guidelines, you'll be fired!" Sanctions include negative personal outcomes (Holton & Bates, n.d.) such as loss of job, pay, benefits, position, etc. if knowledge from the training is not applied on the job (i.e., if sexual harassment continues, especially after training has prohibited it). The success of supports and sanctions that influence positive transfer may be influenced to a degree by openness to change (Holton & Bates, n.d.). A failure to adequately support the training or to offer the appropriate sanctions for not applying the learning by following policies and procedures adopted by the organization may be due, at least in part, to a resistance to change (Holton & Bates, n.d.)

Learning event. While the learning event is usually highlighted and typically plays the leading role in the learner's progress toward positive transfer, research seems to indicate that the learning event actually plays a much less significant role as compared to other factors within an organization (i.e., supervisor and peer support). Nevertheless, the learning event should be planned with appropriate content and good transfer design (Holton & Bates, n.d.) so that learning is maximized during this time. The content should be crafted with purpose, objectives, and topics that are appropriate to the needs of the organization so that they have good perceived content validity (Holton & Bates, n.d.). Common topics for sexual harassment programs include definitions, scope of the problem, effects of sexual harassment on victims, reasons why sexual harassment occurs, and company policy and procedures in place that help prevent the occurrence of sexual harassment. The design of the learning event has more areas of variability but may be critical to setting up a learning environment that is conducive to learning. Design elements include whether the training program is conducted in house or out, characteristics of the group including size and makeup (i.e., co-ed or separate sessions for men and women), format of the training program (i.e., lecture, web-based, activities, etc.), and finally, trainer characteristics. Because the training is important, the use of videos (unless there is some interactive quality to them) is not suggested. Any activities designed for the training should be sensitive to the feelings of the trainees but should involve everyone. Trainers should also be carefully chosen to present the material in a dignified manner.

Learner interventions. A learner intervenes into the learning transfer system with some direct participation from his or her part. This participation can come in two phases. First, before and in preparation for the training, the learner may read or study on the topic. This can include the study or reading of brochures, information packets, books, websites, or other sources initiated by the employee or suggested by the organization as interesting sources of information for preparation for the training. Second, after the training and for the purposes of maintaining knowledge, employees can review notes and policies presented during the learning event. Efforts to prepare and maintain learning may be due to two different expectations that learners have:

- Transfer effort—performance expectations is "[t]he expectation that effort devoted to transferring learning will lead to changes in job performance" (Holton, et al, 2000, p. 345).
- Performance—outcomes expectations is "[t]he expectations that changes in job performance will lead to valued outcomes" (Holton, et al, 2000, p. 345).

In other words, some employees may work hard to prepare or maintain learning so that they can apply the learning to their job in order to improve their current performance and then, as a result of the improvement in performance, they will obtain some value outcome (i.e., job security, raise, benefits, or other intangible outcome). Concerning sexual harassment training, this may mean that some individuals will work to prepare for the training and maintain learning because they see sexual harassment as a very real problem either for themselves or someone they know.

Performance. Concerning performance related to training, there are several areas that need to be examined. First, is there opportunity to use the learning (Holton & Bates, n.d.)? Some work environments may experience sexual harassing behaviors only sporadically and trainees who have undergone training on how best to respond to the situation have long since forgotten that which was taught during the training, especially if training and updates occur infrequently. Second, is there a personal capacity for transfer (Holton & Bates, n.d.)? Or, do trainees really understand what's classified as sexual harassing behavior so that they can refrain from committing the behavior or respond to the behavior effectively. Third, is there near transfer such that trainees understand the content within the training program and can correctly respond to activities or tasks testing them of this knowledge. Fourth, is there far transfer such that trainees either refrain from committing a sexually harassing behavior or correctly respond to sexual harassing behaviors in the work environment weeks and months after the training has completed.

Potential Research Questions Resulting from Framework

When sexual harassment is viewed through the lens of the learning transfer system, a myriad of questions arise that warrant further investigation. Such questions include the following:

- What does the learning transfer system actually look like for particular organizations with regards to sexual harassment training? What are the areas of strength? What are the areas of weakness? (Or, which areas may

be hindering the training efforts and thus leading to an increase or steady rate of occurrences of sexual harassment?)

- Which of the individual characteristics most impacts the receptivity level of an individual concerning sexual harassment training?
- What are the desired topics, objectives, types of activities, group size, group make-up, and trainer characteristics for sexual harassment training? How frequently should training for sexual harassment prevention be offered?
- What is the best way to get everyone “on board” with the sexual harassment prevention program and also to take it seriously?
- What organizational factors most impact the success of a sexual harassment prevention program and how can these factors be improved?
- How do we really measure the success of a sexual harassment training program?

Conclusions and Recommendations

Sexual harassment is a plague to American businesses and other businesses worldwide as well. The costs of sexual harassment to both the individual and the company are staggering and include emotional, physical, social, and financial costs. In spite of much research on sexual harassment, there has been little study on how to best conduct sexual harassment prevention programs within an organization. Furthermore, there has been no work to examine the learning transfer system with regards to sexual harassment prevention programs. This paper has sought to provide a framework for organizing and understanding the learning transfer system with regards to sexual harassment prevention programs in an effort to improve the prevention programs such that they more successfully decrease the occurrences of sexual harassment in the work place.

Contributions to New Knowledge in HRD

To date there is no record of any research examining sexual harassment prevention programs through the lens of the learning transfer system. Therefore, this paper is unique in that it provides an initial framework for studying this phenomenon. Further research conducted examining the proposed theoretical framework describing the learning transfer system as it relates to sexual harassment is needed due to the paucity of information linking the two concepts. Such research can be beneficial to Human Resource Development as it provides some direction on how to conduct and improve sexual harassment prevention programs by working with the entire learning transfer system. Additional benefits include (but not limited to) decreased sexual harassment in the work place including a decrease in claims and costly lawsuits, increased morale and productivity, and increased Return on Investment with regards to the sexual harassment prevention programs.

References

- Fitzgerald, L. F., Swan, S., & Magley, V. J. (1997). Chapter 2: But was it really sexual harassment? Legal behavioral, and psychological definitions of the workplace victimization of women. In O'Donohue (Ed.), *Sexual harassment: Theory, research, and treatment* (pp 5-28). Boston, Massachusetts: Allyn and Bacon.
- Holton, E. F. III. (2000). What's really wrong: Diagnosis for learning transfer system change. *Advances in Developing Human Resources*, 8, 7-22.
- Holton, E. F. III, & Baldwin, T. T. (2000). Making transfer happen: An action perspective on learning transfer systems. *Advances in Developing Human Resources*, 8, 1-6.
- Holton, E. F. III., & Bates, R. A. (n.d.). *Learning transfer system inventory: Administrators guide*. Baton Rouge: LA.
- Petrocelli, W., & Repa, B. K. (1999). *Sexual harassment on the job: What it is & how to stop it*. (4th ed). Berkeley, CA: Nolo.
- Schein, E. H. (1992). *Organizational culture and leadership*. (2nd ed.). San Francisco, CA: Jossey-Bass.
- Slobodzian, J. A. (2000). Sex harassment cases mushroom. *Corporate Counsel*, 7(8), 22.
- Tangri, S. S., & Hayes, S. M. (1997). Chapter 7: Theories of sexual harassment. In W. O'Donohue (Ed.), *Sexual harassment: Theory, research, and treatment* (pp 112-128). Boston, Massachusetts: Allyn and Bacon.

Strengthening a Comprehensive Model for Explaining HRD Effectiveness

A.A.M. (Ida) Wognum

Bernard P. Veldkamp

University of Twente

Item response theory (IRT) was used to investigate whether this method could be applied to measure HRD effectiveness. Attention was given to handling missing data, interpretation of IRT-scores, and comparison with a comprehensive model for explaining HRD effectiveness. An acceptable fit was shown. The IRT method provided much information about the performance of HRD programs with respect to components of the comprehensive model. It was concluded that the measurement of HRD effects should consist of more specific information, and should depend less on participant's perception on HRD effects.

Keywords: HRD Effectiveness, Performance Improvement, Transfer

Problem Statement

Some years ago a comprehensive, multi-level model of HRD effectiveness was developed based on research into the quality or effectiveness of HRD programs and other learning interventions, and into factors that will enhance the effectiveness level of these programs (Wognum, 2001). In 2001 and 2002 two studies were performed to confirm and further fill this model. By means of these two studies, some of the variables of the HRD effectiveness model were confirmed or added to the model. Both studies, however, have some shortcomings.

One study was done in a large Dutch banking company. In this study the effects of a learning program about communication and co-operation on workplace behavior stood central as well as some effectiveness enhancing factors (Wognum, Veldkamp, Ankersmit & Van de Lagemaat, 2002b). Results, however, were based on a small number of respondents, which has consequences for the analysis techniques used. Also caution is called for when drawing conclusions. A large number of respondents would have underpinned the conclusions more.

The second study was concerned with the analysis of a large set of data on the effects of training programs and on effectiveness-enhancing characteristics (Wognum, Veldkamp, Ankersmit & Van de Lagemaat, 2002a). The study was based on a large sample size, i.e. 4,100 respondents, but the effectiveness measure in this study showed some disadvantages. A first problem has to do with this effectiveness measure. This measure, the Aggregated Impact Indicator (AII-score) is a weighted sum score of several components; i.e. the total satisfaction about the HRD intervention, the realization of expectations, the adjusted effect score calculated from the extent to which the objectives of the HRD assignment have been realized, the making of agreements and the extent to which these are adhered to, and satisfaction with the implementation of the program. The weights of the different components were calculated in a pilot study for a group of 400 respondents. The question remains, if these weights would have been the same when they were calculated for this new sample of 4,100 respondents. A second problem deals with missing data. In HRD research, missing data often occurs due to the practical setting of this kind of research. The AII-score, however, can only be calculated for complete cases, so either missing data have to be imputed or respondents who partly filled in the questionnaire cannot be taken into account in the analyses. A third problem is the amount of information provided by the AII-score. The AII-score expresses effectiveness in a single number. How should it be interpreted? Rankings of HRD programs are often based on these kinds of scores. They have been used for comparing the quality of these programs and the company of the suppliers of these programs, but these rankings have to be handled with care (Mulder, 1998).

To overcome these problems a valid effectiveness measure is needed to effectively determine HRD outcomes and investigate the appropriateness of the formerly mentioned comprehensive, multi-level model of HRD effectiveness. Developing such measure is important because work organizations are still making considerable investments in training and other HRD interventions (Van Buren, 2001), and managers will only be willing to opt for HRD programs that are expected to be effective and produce positive effects on the achievements not only of individual employees but also of separate departments and the entire organization. Research into HRD effectiveness has, as a result, been given significant impetus. Such research, however, has to be based on the use of valid effectiveness measures.

The problem statement thus runs as follows: Does the comprehensive HRD model for explaining the effectiveness of HRD programs fits when using an alternative effectiveness measure in order to investigate the

Copyright © 2004 A.A.M. (Ida) Wognum, & Bernard P. Veldkamp

appropriateness of the model and to study the impact of effectiveness influencing factors on HRD effectiveness?

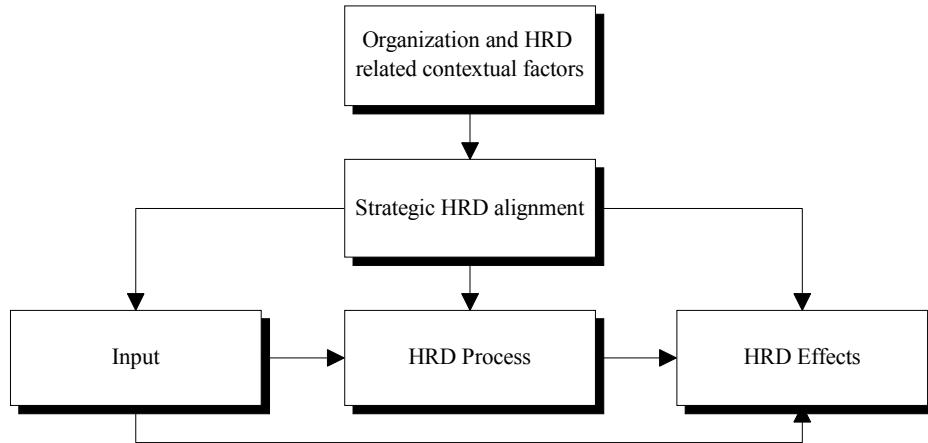
Some Theoretical Backgrounds

Comprehensive Model for Explaining HRD Effects

Based on research into the area of HRD effectiveness and effectiveness enhancing factors, Wognum has built a model of HRD effectiveness that was presented at the 2001 AHRD conference in Tulsa, Oklahoma (Wognum, 2001). The model of HRD effectiveness, which was adjusted to a certain extent during the presentation at the conference, was made to explain the *effects of HRD initiatives, at learning, behavior and results level*, from several categories of *influencing factors* (see Figure 1).

The model fits into the performance paradigm and the theory of HRD effectiveness. According to the performance paradigm, performance improvement is the ultimate outcome of HRD programs and other learning interventions: HRD efforts have to improve the capabilities of individual working in the organization and enhance the organizational systems in which they perform their work. The primary outcome of HRD is, therefore, not just learning, but performance at various levels (Holton, 2000). Employees must put what they have learned into practice in their working situation. In other words, there must be some transfer (Gielen, 1995; Holton, Bates, Ruona & Leimbach, 1998). Improved behavior leads, in principle, to better individual, departmental or company results. Several authors have expressed their concern over the actual accomplished degree of transfer, which have led to various research on factors influencing transfer of HRD interventions and to a number of models attempting to clarify relationships between these factors and transfer (Baldwin & Ford, 1988; Holton, 1996). More research, however, was suggested into the operationalization and impact of transfer enhancing factors (Holton, 1996).

Figure 1. A Comprehensive HRD Effectiveness Model



The HRD effectiveness model, which basically is comparable with the formerly mentioned transfer models, thus has a means-goals ordaining between ultimate effect criteria or outcomes, and supportive, effectiveness enhancing criteria, or drivers (Kaplan & Norton, 1996; Scheerens & Bosker, 1997). It here concerns a systems model of an organizationally and contextually embedded HRD or learning process, with antecedent conditions classified in terms of inputs, processes and contexts of HRD.

Based on this, Wognum distinguished various categories of effectiveness influencing factors. One category concerns *Organization and HRD related contextual factors* such as the problem situation that serves as starting point for HRD, the company HRD climate, position of the HRD department, and the form the HRD program takes. *Strategic HRD alignment*, as part of another category of organization processes, leads to decisions on strategic choices concerning on, among others, the intended goals of HRD interventions. *Input* characteristics include specifications of the target population, and characteristics of individual participants in the learning program. The *HRD process* itself has to do with learning materials, the trainer, and specifications of the learning program. The model has also a multi-level structure, where the HRD function is embedded in organizations, and individual employees who want to develop themselves are embedded in the HRD function.

By means of the formerly mentioned two studies (Wognum c.s. 2002a; 2002b), some of the variables of the HRD effectiveness model were confirmed or added to the model. For instance, based on Wognum et al. (2002a) the *setting or non setting of objectives*, which is an outcome of the strategic HRD alignment process, impacted the effectiveness scores. The setting of specific objectives leads to higher scores than the setting of general objectives. Also the *function of those who are involved* in the studied HRD program, somehow or other, showed a difference in effectiveness scores. Those who are more directly involved in the programs, such as HRD officers, heads of HRD departments and HRD coordinators within HRD departments are more positive about HRD effectiveness than are respondents who are not directly involved in programs, such as directors/works managers, line/departmental/divisional managers, heads of personnel, personnel officers and respondents from the category 'others'. It was confirmed that the *content field of HRD programs* (i.e. language versus others) impacted the effectiveness scores, which is probably due to the fact that the content of language programs is more concrete and directly applicable than the content of programs such as management, communication, commerce, and marketing. The second study (Wognum c.s. 2002b) mainly showed the importance of the *decision-making or HRD alignment process* prior to the learning program. In the studied process in a large Dutch banking company each participant in the program and his or her supervisor selected three competencies to which more attention should be paid during the learning process. Progress in performance on the selected competencies was found to be significantly higher than for competencies that were not selected for specific attention. In this study the importance of *management support*, which is a contextual factor, was also found as important for encouraging transfer and with that, HRD effectiveness. This supports Xiao's finding that it is particularly the supervisor's behavior that is of major importance for transfer (Xiao, 1996). Also the *learning program* was found to be an important factor contributing to a better performance by participants of the program. The latter study also revealed that participants in the HRD program were motivated to take part in the learning program and that motivation increased further during the program. However, more research is needed to find important factors influencing HRD effectiveness. Besides, both studies had some shortcomings that will be explained below.

Item Response Theory and the Effectiveness Level of an HRD Program

In educational measurement the Item Response Theory (IRT) has proved to be a useful statistical model for estimating abilities of students (Hambleton & Swaminathan, 1985). An IRT model supposes that an overall score on a test can be predicted (or explained) in terms of one characteristic, denoted by θ . In HRD measurement, this characteristic is *effectiveness of the HRD program or learning event*. Several components could provide information about HRD effectiveness. Information on these components could be obtained by means of, for instance, items in a questionnaire. Formally stated, an IRT model specifies a relationship between the observable answers of the respondent on the item, the properties of the item, and the effectiveness of the HRD program. Based on all the information on these items the effectiveness score can be estimated.

When the One-Parameter Logistic Model (OPLM) is applied, the relationship can be described as:

$$P_i(\theta) = \frac{\exp(a_i\theta + b_i)}{1 + \exp(a_i\theta + b_i)}$$

where $P_i(\theta)$ is the probability that the respondent who participated in an HRD program with effectiveness level θ gives a positive judgment to item i of the questionnaire. The parameters a_i and b_i are the item discrimination, and difficulty parameter respectively. The discrimination parameter denotes how well the item discriminates between high effectiveness level and low effectiveness level of HRD involvements. The difficulty parameter denotes how high the effectiveness level of the HRD involvement should be before a respondent will answer positively to the question. Based on the answers of the respondents the effectiveness level θ is estimated. This estimate is reported as the effectiveness level of an HRD program.

Research Question

The main research question in the here presented study is, whether the Item Response Theory procedure for data analysis is applicable in an HRD context and could be used to estimate HRD effectiveness. More specifically the question is whether the comprehensive model for explaining the effectiveness of HRD efforts fits to the data when the IRT procedure is used. Attention is paid to comparison of AII-scores used in former research, and the newly developed IRT-scores. Attention is also paid to the handling of missing data in the IRT procedure, and to the interpretation of IRT-scores.

Method

Sample. To investigate the appropriateness of the model in an applied context, an existing data file was used. This file contains data from 4,100 questionnaires that were completed in the period from 1993 up to and including 2000 in the context of an evaluation commissioned by the Association of Training and Educational Organizations in the Netherlands (Vetron). Vetron is an association of about 40 training companies that satisfy a number of requirements relating to professional competence, continuity, quality and method of working. They offer all kinds of management training, social skills programs, language courses, HRM and other programs to various profit and non-profit organizations in the Netherlands. The data in the existing data file came from clients of the companies that are affiliated to the Vetron. The number of these companies fluctuates, but in the period from 1993 up to and including 2000 an average of forty companies is included in the evaluation. The data were gathered by means of a questionnaire sent to a random sample from the client base of the Vetron companies, on average about 6 months after the HRD activity had been completed. This is because effects of HRD programs on working behavior and results level only become visible after some period. Respondents were informed about the investigation and could fill in the form anonymously. On average, the response percentage was 35%. The main reason for non-response was the fact that respondents were no longer in the employ of the organization involved, due to high turnover rates in the companies.

Data collection. The data of the existing data file were collected by means of a questionnaire, which had been specially developed at that time for the evaluation project (Mulder, 2000). This questionnaire was used to determine the quality of HRD assignments by commercial Vetron companies. The questionnaire contains questions about the respondent, about characteristics of the HRD assignment, about the setting of objectives, about the division of responsibilities, about the attribution of the results to the training company and, finally, questions about making agreements and adhering to these (Mulder, 2000). In accordance with the HRD effectiveness model, the questionnaire measures both characteristics that have a direct impact on HRD effectiveness and characteristics that could possibly be used as explanatory variables. At the level of strategic alignment the setting of general and specific goals were asked. At input level, the target population, learning priorities, and design of the HRD involvements were investigated. It was checked whether agreements were made about these topics, and whether the agreements were satisfied. At the level of the HRD process, the learning materials, the trainer, the length of the training, and the transfer of the training were topic. At rounding off level, evaluation procedures and transfer were evaluated. Finally, three levels of perceived HRD effects were evaluated, i.e. at learning level, working behavior, and results level, and the overall perceptions of the respondents about HRD effectiveness were checked. Based on these questions HRD effectiveness was measured. To validate the instrument, internal consistency, test-retest reliability, and inter-rater reliability were taken into account. For details about validity and reliability of the instrument, see Mulder, Van Ginkel and Nijhof (1994).

Missing data. Although 4,100 respondents returned the questionnaire, only few of them filled in all the questions. For example, one of the characteristics by which HRD effectiveness is calculated is the realization of expectations. Approximately a third of the respondents had not completed this question. A different topic was the effect of the HRD program in the working environment. Only one quarter of the respondents answered this question. The length of the questionnaire and the period between the training and the evaluation is a possible reason for these low response percentages. There are different ways of dealing with missing values. Firstly, the decision can be made to use only complete cases, which means that the data from incomplete cases are not taken into consideration. Implementing this decision would result in 200 complete cases. When the missing data were investigated, no pattern of missingness was found. Therefore it was decided to include cases where at most four out of sixteen questions that measured HRD effectiveness were missing.

Preparation of the data. Before the analyses were conducted, the data file was adjusted on a number of points in order to be able to answer the research question. In the questionnaire, most questions were answered on a 5-point Likert scale, or scored on a scale ranging from 1 to 10. However, when the data were examined it turned out that the categories 1 till 3 hardly contained any respondents. Also for the ten-point scale, the respondents were not evenly distributed. Because of this the responses were dichotomized. For the 5-point scales, the recoded scores were 0 in case the initial score was 1-4 and 1 in case the initial score was 5. The respondent now either scored unsatisfied or totally satisfied. For the ten-point scale the scores were dichotomized by recoding the scores 1-7 in 0 and 8-10 in 1.

Data analysis. First, the parameters of the IRT model were estimated in order to make sure that one latent variable, the effectiveness level, could account for all the answers of the respondents. A statistical software package for estimating IRT models, WOPIN (Citogroup, 2000), was applied. Then, the resulting IRT scores were compared with the AII scores. Rank order statistics indicate the different orderings for the effectiveness of the Vetron companies based on both methods. SPSS was applied for conducting these analyses. Finally, the resulting IRT

estimates were analyzed to find which components provide most information about the effectiveness of the programs, and which components provide fewest.

Results

Fitting the IRT model. In this research, the focus was on questions that had direct impact on HRD effectiveness. Therefore questions about the respondent, about setting of objectives, and about division of responsibilities were not taken into account. Items from the remaining questions are shown in Table 1. Five overall items; overall perception of HRD effectiveness, realization of expectations, and questions about the three output levels of Kirkpatrick, and eight more specific items about input level, HRD process, rounding off, and administration level were used. The more specific questions dealt with parts of the programs. For example, at input level, questions were posed about definition of target population, definition of learning priorities, and design of HRD program.

Table 1. Item Parameters for Different Items.

Item	Discriminatio		Difficult
	n	y	
Perception of HRD effectiveness	3	0.8	
Realization of expectations	3	1.6	
Learning results	2	0.3	
Changes in working behavior	n.a.	n.a.	
Organization program	2	0.3	
Organization at input level	4	1.0	
Performance perception at input level	6	0.9	
Organization of HRD process	7	1.1	
Performance perception during HRD process	6	1.0	
Organization at rounding off level	5	1.2	
Performance perception at rounding off level	4	1.2	
Organization of program administration	5	1.4	
Performance perception of program administration	4	1.2	

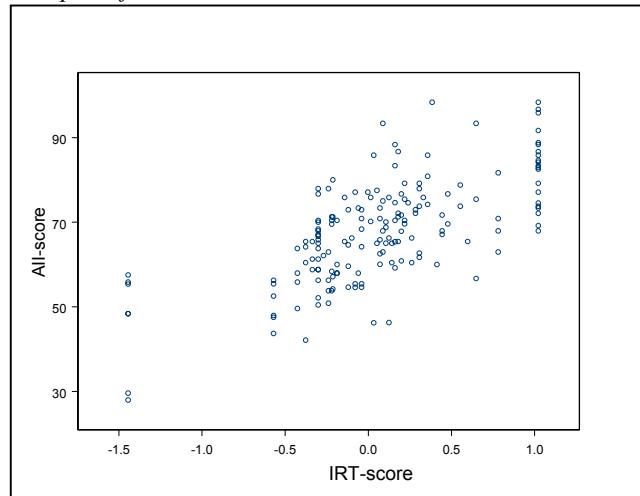
These questions were grouped in two questions at input level: one about the organization and one about the perceived performance of these parts. Besides, the question of performance perception at output level is composed from perceived results on the one hand, and on enhancing these results on the other hand. It here concerns so-called transfer enhancing measures. The computer program WOPIN (Citogroup, 2000) was used to estimate the parameters of the individual questions. The OPLM model was applied. The best values for these parameters should be found interactively. The initial attempts of fitting the model did not succeed. One general item about change in working behavior had to be removed, because it did not show acceptable fit. But after that, the remaining items showed an acceptable fit. The effectiveness level can account for the scores that were obtained in the survey. The item parameters for the questions are also shown in Table 1. The estimation of IRT parameters was only based on the cases without missing data. In this way, it was guaranteed that imputation of missing data did not influence the estimation of the model.

Interpreting the IRT parameters. From Table 1 it can be deduced that, for instance, questions concerning the organization of the HRD process highly discriminate between HRD programs with a high and lower effectiveness score (discrimination parameter = 7). Questions concerning learning results are more problematic. Because the discrimination parameter is low (2), it can be said that these kinds of questions hardly discriminate between good and bad programs. The same is the case for questions on the perceived HRD effectiveness or marks of HRD programs (discrimination parameter = 3) and the organization of HRD programs (discrimination parameter = 2). From the analysis of the discrimination parameters, it can also be concluded that the eight specific questions have higher discriminating power. That is, these questions are more able to distinguish the programs with low effectiveness scores from programs with high effectiveness scores. In other words, overall scores about effectiveness are less precise than scores that are based on specific levels of the programs.

From analysis of the difficulty parameters, it can be concluded that realization of expectations is very hard (difficulty = 1.6). In this study, it was the most difficult question to obtain a positive evaluation. On the other hand, the difficulty parameter of the 'Learning results' (difficulty = 0.3) was very low. Even poor programs had high scores for learning results. Based on analysis of these questions, it can be concluded that all Votron companies

provide programs with high learning results, but the respondents expect more. Further analysis at item level reveals that differences between difficulty parameters at specific levels are only small.

Figure 2. Scatterplot of IRT Score and AII Score.

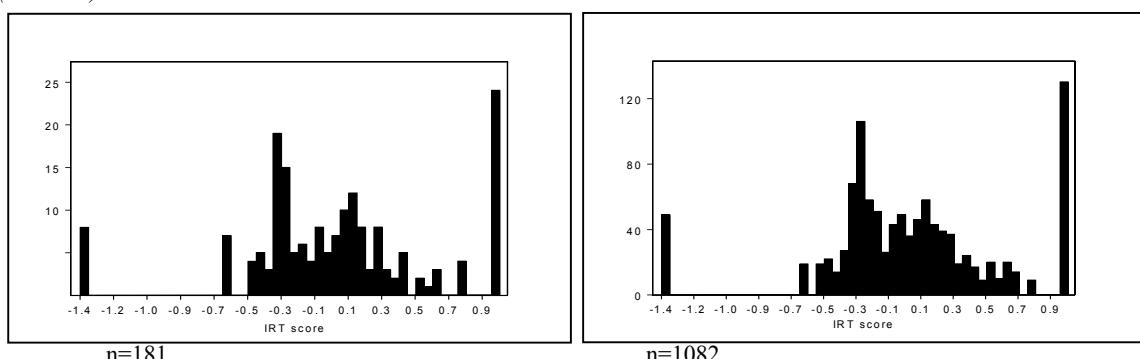


Comparison of IRT and AII-scores. In the theoretical framework, some disadvantages of the AII-scores were discussed. The IRT model is proposed, in order to overcome these problems. The question remains, whether the new method results in different effect scores. Does, for instance, the order in effectiveness level of the Votron companies change, or does the order remain the same? A scatter plot shows the relationship between both scores for individual participants (Figure 2). The correlation between the IRT-scores and the AII-scores was significant ($\rho = 0.71$, $p = .000$). However, this correlation also indicates a far from identical ordering for both methods. Therefore, the remarks in Mulder (1998) about weaknesses of rankings based on effectiveness scores, can also be made in this study.

An explanation for these differences can be found in the way the components of the Comprehensive model of HRD effectiveness (see Figure 1) are implemented in the measurement model. For the AII-score, a weighted sum of the scores on the different components was calculated, where the IRT model applied a summation logistic function to model the relationships.

IRT and missing data. One of the theoretical advantages of IRT is the possibility to handle missing data. When missing is random, an IRT model can be used to calculate the effectiveness levels, that is the IRT-score, based only on items the respondent answered to, without imputing the missing data. This property of IRT models is also being applied in the context of the Votron data. In Figure 3, the distributions of the scores based on cases without missings ($n=181$) and cases with less than 5 missings ($n=1082$) are shown. Although the scales of both histograms differ due to different numbers of cases, it can be seen that the distributions of the scores are more or the less the same. In other words, calculation of scores based on at least 9 out of 13 questions hardly influences de score distributions. As a result, the number of cases that can be used without additional data imputations increases from 181 to 1082 cases. This implies that more accurate conclusions can be drawn about effectiveness when IRT models are applied.

Figure 3. IRT Score Distributions Based on Complete Cases ($n=181$) and Cases with Less Then Five Missings ($n=1082$).



Conclusion and Discussion

In this paper a comprehensive model for explaining HRD effectiveness was described (see Figure 1), and a statistical advanced method for measuring HRD effectiveness was introduced (IRT). Both the model and the effectiveness measure were applied in the context of evaluating the HRD programs of Votron associated training institutes. The data that were collected in several surveys and were based on the several categories of the comprehensive HRD effectiveness model, showed an acceptable fit to the IRT model. Because of this, it can be concluded that IRT is applicable in an HRD context, moreover, that it is applicable in combination with the comprehensive model for explaining HRD effectiveness. Application of the IRT method resulted in more specific information about the different components of the comprehensive HRD effectiveness model. Moreover, questionnaires that are not completely filled in can also be used in the analysis without further imputation of missing data. These findings imply that measurement of HRD effectiveness should consist of more specific information on all components of the comprehensive model.

When the new effectiveness measure was applied, it was shown that overall questions about HRD effectiveness, i.e. questions on a total effect score, or mark, of an HRD program or on output levels of Kirkpatrick, are less informative than questions about specific components such as the organization of the HRD process, and the performance perception during the HRD process. Most evaluation studies into the effects of HRD programs, however, ask for respondents' perception on the overall effect of the programs in which they participated, and a mark or overall score has been asked to rate the quality of the program. Based on the results, a recommendation for evaluating the effects of HRD programs can be, that questions should ask for so-called hard evidence of the gained effects, for instance on increased figures, or performance results, in stead of depending on participant perception on HRD effects and effectiveness.

Another conclusion that could be made concerns the learning results of the respondents. In Table 1, the difficulty of this item is reported to be very small. Even Votron companies with a low effectiveness score, could obtain high scores on learning results. Because of this, Votron companies can be encouraged not only to focus on the learning results, but also to focus on other parts/components of the training. Focusing on issues at input level, like definition of learning of priorities, issues during the HRD process, or at rounding off level can further improve the effectiveness.

In this project, a dataset was used that has been collected in several surveys between 1993 and 2000. The instrument has not been altered in this period of time. In the past decade, new ideas and insights have been gained in the area of HRD effectiveness research. For example, the importance of transfer enhancing measures and factors influencing HRD effectiveness, and the need for hard measurement of effect levels, instead of perception measures. A next step in the development of a comprehensive model for explaining HRD effectiveness is to develop new measurement instruments, based on these new insights, which can be used for the collection of new datasets.

References

- Baldwin, T.T. & Ford, J.K. (1988). Transfer of training: A review and directions for future research. *Personnel psychology*, 41, 63-105.
- Citogroup (2000). *WOPIN: computer programma*. Arnhem, The Netherlands: Citogroup.
- Gielen, E.W.M. (1995). *Transfer of training in a corporate setting*. PhD Thesis, University of Twente, The Netherlands.
- Hambleton., & Swaminathan (1985). *Item response theory: Principles and applications*. Boston, MA: Kluwer Nijhoff Publishing.
- Holton, E.F. III (1996). The flawed four-level evaluation model. *Human Resource Development Quarterly*, 7(1), 5-23.
- Holton, E.F. (2000). Clarifying and defining the performance paradigm of human resource development. In K.P. Kutchinke, 2000 Conference Proceedings, March 8-12, Raleigh-Durham, North Carolina. 2-3.
- Holton, E.F. III, Bates, R.A., & Leimbach, M. (1997). Development and validation of a generalized learning transfer climate questionnaire: A preliminary report. In R.J. Torraco, (Ed.) *Academy of Human Resource Development 1997 Conference Proceedings* (pp. 353-359). Baton Rouge: AHRD.
- Kaplan, R.S., & Norton, D.P. (1996). *The balanced scorecard*. Boston: Harvard Business School Press.
- Mulder, M., Van Ginkel, K., & W.J. Nijhof (1994). Customer satisfaction research as a component of quality assurance within in-company training. In *Tijdschrift voor Onderwijswetenschappen. [Journal of Education Sciences]*, 24(2/3), pp. 59-76.
- Mulder, M. (1998). Comparing quality profiles of training organizations – A multi-level approach. In R..J. Torraco, (Ed.). *AHRD 1998 Conference Proceedings* (pp. 634-641). March 4-8, Oak Brook, IL.

- Mulder, M. (2000). *Competentieontwikkeling in bedrijf en onderwijs*. [Competence development in companies and schools.]. <http://www.wau.nl/pers/00/mulder00.doc>.
- Scheerens, J., & Bosker, R. (1997). *The foundations of educational effectiveness*. Oxford: Pergamom.
- Van Buren, M.E. (2001). *State of the industry report 2001*. Alexandria (Va): ASTD:
- Wognum, A.A.M. (2001) Improving performance through HRD: towards a multi level model. In O.A. Aliega, (Ed.) *AHRD 2001 Conference Proceedings*. (pp. 727-734). February 28 – March, 4, 2001. Tulsa, Oklahoma.
- Wognum,A.A.M., Veldkamp, B.P., Ankersmit, W.E., & Lagemaat, J.A. (2002a). Characteristics explaining HRD effectiveness. In T.M. Egan, (Ed.). *AHRD 2002 Conference Proceedings*, (pp. 418-425). February 27-March, 3, 2002, Honolulu, Hawaii,
- Wognum,A.A.M., Veldkamp, B.P., Ankersmit, W.E., & Lagemaat, J.A. (2002b). Improving workplace behaviour using a social skills learning programme: measuring effects and the impact of contextual factors. In *Proceedings Third Conference on HRD research and practice across Europe*. Edinburgh Scotland (CD Rom).
- Xiao, J. (1996). The relationship between organizational factors and the transfer of training in the electronics industry in Shezhen, China. *Human Resource Development Quarterly*, 7(1), 55-73.

Defining Human Resource Development Technical Knowledge and Job Skills at the Undergraduate and Graduate Levels: Where's the Beef?

Tomas R. Giberson

Monica W. Tracey

Oakland University

This quantitative study seeks to identify the specific technical knowledge and capabilities organizations expect of HRD undergraduate and graduate-level students. Universities offering graduate, and particularly undergraduate, degrees in HRD have little to guide their definition of technical knowledge and job skills undergraduates and graduates must possess to be marketable, and more importantly, effective in the workplace or while pursuing advanced educational degrees. Much of the research and writing to date has focused on "competencies", attending to the "soft skills" or characteristics of graduates, rather than the actual HR capabilities they can bring to organizations.

Keywords: Human Resource Development, Competencies, Curriculum

Problem Statement

Human Resource Management (HRM) programs at the undergraduate and graduate levels are common in business schools around the globe. An internet search reveals multiple HRM programs, developing generalists with capabilities across the broad areas of HR. Several studies have been conducted and books written that define the broad field of HRM notably that by Nadler (1989), in which HRM is described as activities intended to improve organizational productivity through finding, placing, tracking and holding accountable an organization's Human Resources. Thus, an organization's human resources are viewed in a similar fashion to other organizational assets and are "managed" accordingly, matching individual technical knowledge and job skills and competencies with the requirements of a job. Human Resource Development (HRD) is typically identified as a subspecialty of HRM (e.g., Desimone, Werner & Harris, 2002; Nadler, 1989). As a subspecialty of HRM, HRD provides unique opportunities and challenges to universities that desire to offer curricula at the undergraduate and graduate levels.

To summarize the problem, we seek to enhance the education of HRD students by clarifying the technical knowledge and job skills employers expect of graduates of undergraduate and graduate HRD programs. This requires understanding of three distinct stakeholder needs and perspectives: a) that of HRD scholars, educators and professional organizations ("academics" throughout), who define "the field" of HRD; b) that of organizations and employers of HRD undergraduate and graduate matriculates who define "job expectations and what *should* be learned"; and c) that of HRD undergraduate and graduate students, whose career expectations and experience levels bring them to the field of study, and capacity for learning define "what *can* be learned." Evaluating each of these components can lead to a curriculum that integrates the expectations of these three stakeholder groups (see Figure 1.). While each of these perspectives are critical to the development of HRD curricula, primary attention in this study is given to employer expectations of undergraduate and graduate level matriculates, framed by the academic definition of the field.

Theoretical Framework

The growth of HRD as a discipline within HR (Desimone, Werner & Harris, 2002) has spawned several graduate level programs and fewer undergraduate programs. These programs must determine the specific areas of HRD to deliver to undergraduate and graduate students, along with the specific technical knowledge and job skills that must be mastered within these areas upon graduation. This "level setting" is critical for the success of any HRD program, not to mention the success of its graduates. Thus a key challenge in the design of HRD programs includes understanding what is expected among organizations from HRD graduates at the undergraduate and graduate levels in terms of the technical knowledge and job skills (tasks and behaviors within HRD content areas that can be demonstrated by graduates) (Green, 2000), as well as expected competencies (skills that facilitate an individual's ability to effectively deploy knowledge and skills in specific areas of HRD) (Green, 1999).

Copyright © 2004 Tomas R. Giberson & Monica W. Tracey

Throughout this paper, “technical knowledge and job skills” is used in reference to the tasks and behaviors individuals would be expected to perform in an organizational setting *specific to HRD content areas*. We have chosen this term to separate conceptually and practically from “competencies” as often applied in other attempts to define requirements of HR professionals (e.g., McLagan, 1989; Rothwell & Kazanas, 1994; McCoy, 1993) and undergraduate curriculum requirements (e.g., Mackey & Thomas, 2002;;). “Competencies” as typically used in such studies often inter-mix such important but distinctly “soft skills” as, “respect diverse backgrounds, develop trusting relationships, adapt to change, teamwork”, etc. with content-area expertise, such as “training needs analysis, evaluate pay systems, provide career counseling”, etc. (e.g., Mackey & Thomas, 2002). Pedagogically, we believe that such competencies should not be the direct target of undergraduate or graduate programs; rather, these important competencies can and should be developed in conjunction with the development of true technical knowledge and job skills through class projects, activities, team assignments, internships, etc.

Academics may be thought of as responsible for “defining and protecting the field” of study, in part by ensuring the long-term philosophical, theoretical and empirical development of the field. Through these means, the field of HRD continues to refine the specific technical knowledge, job skills, and competencies expected within the three core areas of HRD. The field of HRD is typically described by academics as consisting of training and development, organization development, and career development (e.g., McLagan, 1989). With roots primarily in training and development, the technical knowledge and job skills are understandably more clearly identified and refined (e.g., Keller, 2001, IBSTPI, 2003). HRD textbooks typically address the three primary areas of study (e.g., Desimone, Werner & Harris, 2002) and describe the basic technical knowledge and job skills within these areas. Similarly, professional organizations, such as the International Board of Standards for Training, Performance and Instruction (IBSTPI, 2003) provide guidance regarding the technical knowledge and job skills defining the field, and begin to bridge the gap between academics and employer needs. However, while the technical knowledge and job skills may be known, with some suggestion regarding “basic and advanced” levels of skills (particularly within training and development (International Board of Standards for Training, Performance, and Instruction (ISBTI), 2003)), what is expected of undergraduate and graduate students upon graduation is less clear. For example, an HRD professional may be expected to conduct a long-term strategic organization development intervention, creating change in an organization’s structure, infrastructure, processes and culture. Is it realistic to expect an HRD undergraduate matriculate to carry this out? This leads to the more general question of, “What roles are an undergraduate or graduate student expected to fill within training and development, career development and organization development”? Thus a key input into the design and development of an HRD curriculum must include a review of this stakeholder group’s work, and frame the input of the next stakeholder group, employer organizations and their expectations of HRD program graduates (see Figure 1.).

To date, there have been few, if any studies that specifically set out to identify the technical knowledge and job skills expected of undergraduate and graduate HRD students from the perspective of potential employers. This stakeholder group is critical to ensure the viability of the field generally and an HRD program specifically. Viewed as the “products” of our programs, HRD graduates must be regarded by employers as having the technical knowledge, job skills and competencies required to assist organizations in improving individual and organizational performance. As discussed earlier, there are examples of competency-based studies; however, these do not provide clear guidance regarding the actual “beef” or technical knowledge and job skills graduates should have, and at what level of proficiency. Without recognition by organizations of the value HRD professionals at various levels provide, the field would be relegated to “academics for academic’s” sake, potentially destined for obsolescence.

In addition to clarification of the field and the technical knowledge and job skills desired by potential employers, an HRD program must clearly understand what is realistic to expect of undergraduates who typically do not have much experience in organizations, without watering down the program to attract students lacking interest or desire in other areas. Thus we seek in part to meet the challenge suggested by Kerr (1994), by defining and developing a program that attracts qualified students with an interest in the field of HRD, and providing these students with the technical knowledge, job skills and competencies required to be effective in organizations upon graduation.

The challenge is clear, as research by McLagan (1989) suggests that one of the core areas of HRD, organization development, requires the most general knowledge (and arguably experience) of all the HR functions. To do the academic field and employer organizations justice, undergraduates must develop technical knowledge and job skills in the area of organization development, training and development and career development; however, which technical knowledge and job skills at what level of proficiency?

Research Questions

The purpose for this study is to identify the specific technical knowledge and job skills organizations expect of undergraduate and graduate matriculates. The following research questions will be addressed to fulfill the purpose of this study:

1. What do organizations expect of HRD undergraduates in terms of specific technical knowledge and job skills?
2. What technical knowledge and job skills do organizations expect of Master's level HRD graduates?

Method

In this quantitative survey study, a modified task inventory (Gael, 1983) has been developed. The development of the task inventory began with academic input regarding the specialty areas of HRD. This was accomplished through examination of undergraduate and graduate level syllabi and textbooks, obtaining input from HRD department faculty, a review of relevant professional organizations' descriptions of technical knowledge and job skills (e.g., IBSTPI, ASTD) and a review of previous studies regarding the topic of HRD competencies. This academic perspective provided the initial framework for the technical knowledge and job skills populating the inventory. The list was further refined by examining job descriptions typically associated with HRD through O*Net (REF). O*Net search terms included: Training and Development Managers; Training and Development Specialists; Instructional Coordinators; Human Resources, Training, and Labor Relations Specialists, All Other; and Human Resources Managers. O*Net arguably provides a description of the "average" job tasks and skills by job title within the United States, and provides a link between the academic perspective of the field and employer organization perspectives regarding what is expected on the job. The task inventory has been modified to include not only job skill descriptions (tasks) but also technical knowledge areas, and some competencies ("soft skills").

Sample and inventory distribution method. Participants include HR professionals in over 120 employer organizations in the Midwest, as well as members of local chapters of HRD-oriented organizations (e.g., ISPI, ASTD). These individuals and organizations were selected based upon HR knowledge, organization size, relationship with the university, and through professional contacts of faculty members. Many of these individuals have been prepared to receive the inventory.

Participants have the choice of completing the inventory electronically through a secure website, or by completing via paper and pencil and returning the inventory to the principal investigators. The inventory has been sent via US post with self addressed return envelopes. Within each participant package is a letter of invitation, the survey itself, as well as two additional self-addressed envelopes containing similar invitation letters and inventories (thus a 'snowball' method to increase the sample size). The letter of invitation includes the rationale for the study with benefit statements, and the university's human investigation committee's required information regarding informed consent to participate, basic instructions for completing the inventory, a request to send the additional envelopes to colleagues who may be interested in participating, and instructions regarding how to go to the web-based survey should they prefer that method. Other than being in electronic form, the online version of the inventory is identical in content to the paper and pencil version.

Survey content. The resulting inventory contains 69 job skills (task descriptions) within the core areas of HRD, as well as in human resource planning, staffing and performance management. Finally, 30 technical job skills within the areas of supervision, communication, general business, math, diversity, and legal / ethical (note: the inventory is not included herein owing to space requirements).

Participants will rate each job skill on a one to six scale developed specifically for this study. Participants will read each job skill statement and indicate the combination of education and experience expected before an individual would realistically be able to perform the job skill, and reads as follows: 1. Less than a bachelor's degree (BA), 2. Less than a BA + experience, 3. BA, 4. BA + Experience, 5. Advanced degree, 6. Advanced degree + experience.

Participants will rate each technical knowledge or competency on a five-point importance scale. Participants will read each job skill statement and indicate how important each knowledge or competency is for a newly graduated HRD professional to possess (1 = not at all important, 5 = critical).

Additionally, the task inventory requests (but does not require) demographic information regarding the participants' contact information, highest degree received, years of experience, number of employees in the organization, number of employees in the HR Department (if one exists), the job titles within HR that exist in the organization, as well as information regarding the organization's HRIS system (if exists).

Data management and analysis. Data will be downloaded electronically from the website into SPSS, and hand-entered from mailed submissions. The data will be cleaned to eliminate duplicate submissions. First, the scales for job skills and technical knowledge / competencies will be analyzed for internal consistency using coefficient alpha. Next, job skills will be analyzed by investigating means and standard deviations of each job skill to identify which job skills tend to fall within which education and experience range. The results will be further analyzed through exploratory factor analysis to identify statistical groupings of job skills within and across the core HRD specialty areas. These results will be analyzed to ensure meaningful groupings of job skills. Additionally, multiple analysis of covariance (MANCOVA) and appropriate post-hoc tests will be used to investigate any significant differences in job skill ratings (and factor scores as appropriate) based upon organization size and number of employees in the HR department. The nature of this analysis will be determined based upon the final sample collected (e.g., assuming adequate sample, organizations could be split into “small, medium, and large” organizations for these analyses, similarly HR department size could be split into “large and small”). Finally, technical knowledge and competencies will be analyzed in a similar fashion, investigating means and standard deviations of individual technical knowledge and competencies, explored through factor analysis, and further analyzed through MANCOVA to identify main effects and interactions based upon participant and organization demographics. Such analyses will enable identification of essential expectations of undergraduate and graduate-level matriculates including *and* removing the effect of organization variables.

Results and Findings

The study is currently in the data collection phase, and by the time of the conference the data will be gathered and analyzed, and will be the focus of our conference presentation.

Conclusions and Recommendations

The results of this study will support procedural decisions as well as initiate several conceptual conversations with regard to core issues within HRD. Procedurally, the results will align undergraduate curricula, producing HRD graduates with the knowledge and skills required for success. Conceptually, the results could initiate conversations among HRD theorists and practitioners regarding the positioning of HRD within the realm of HR, its contribution to business performance, its relationship to emerging fields, such as performance technology, and most importantly its ability to distinguish itself as a coherent field, rather than a collection of already established disciplines.

How this Research Contributes to New Knowledge in HRD

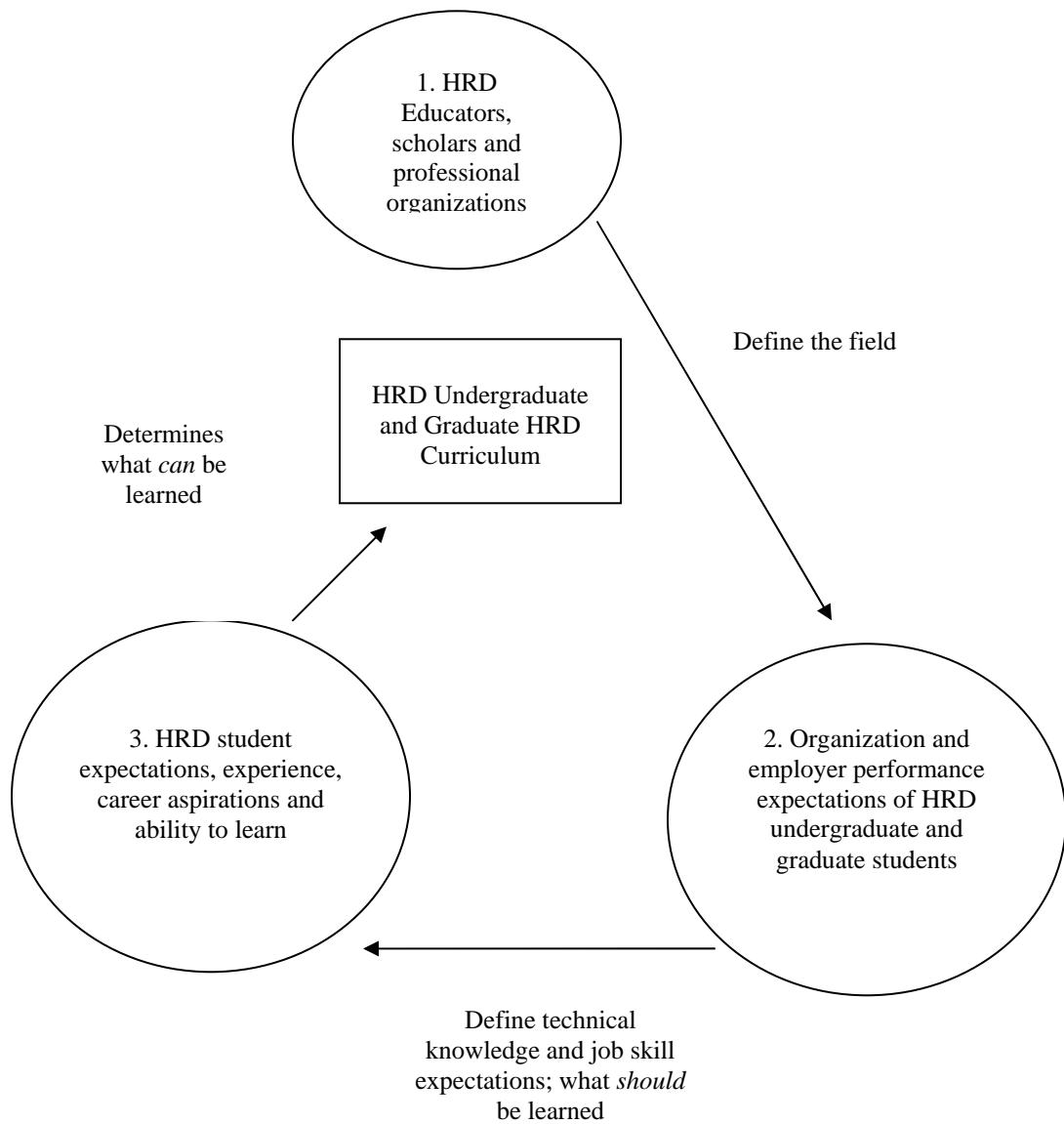
This research contributes to the field of HRD by clarifying the specific technical knowledge and job skills expected of individuals with varying levels of education and experience. This knowledge can and should help guide the development of HRD curricula at the undergraduate and graduate levels, thus improving our ability to develop the future leaders and professionals of the field.

References

- Anonymous. (2003). Five key HR competencies-and a toolkit to build them. *HR Focus*, 80(8), 8.
- Desimone, R. L., Werner, J. M., & Harris, D. M., (2002). *Human resource development*, (3rd ed.). Mason, OH: Thomson South Western.
- Filipczak, B. (1994). The training manager in the '90s. *Training*, 31(6), 31-35.
- Green, P.C. (2000). *Building robust competencies: Linking human resource systems to organizational strategies*. San Francisco, Jossey-Bass Inc.
- International Board of Standards for Training, Performance, and Instruction. (2003). *Competencies*. Available: www.ibstpi.org.
- Keller, J. M. (2001). Instructional design competencies: The standards in educational technology. *Research and development*, 47, 107-109.
- Kerr, C. (1994). *Higher education cannot escape history: Issues for the twenty-first century*. Frontiers in Education. New York: State University of New York Press.
- Mackey, D.L., & Thomas, C. (2002). Human resource managers' perceptions of competencies to be included in an undergraduate program. *Proceedings of the 2002 Academy of HRD Conference*, 1, 27-33.
- McCoy, C. P. (1993). *Managing a small HRD department*. San Francisco: Jossey-Bass.

- McLagan, P. (1989). Models for HRD practice, *Training and Development Journal*, 41(9), 49-59.
- Nadler, L. (1989). *Developing human resources*. (3rd ed.). New York, Van Nostrand Reinhold.
- O*NET, (2003). *O*Net online*. Available: www.onetcenter.org.
- Rothwell, W. J., & Kazanas, H. C. (1994). *Human resource development: A strategic approach* (2nd ed.). Amherst, MA: HRD Press.

Figure 1. Integrating Multiple Perspectives into an HRD Curriculum



Identifying Benefits of an Internship Program through Appreciative Inquiry Interviews

*Debbie L. Mackey
Connie Thomas
University of Tennessee*

The internship experience is an important part of a student's curriculum in the undergraduate program. Bridging the gap between the classroom and the real world is crucial for career success. Graduates of the human resource program were interviewed during the intern process through appreciative inquiry. This qualitative study looked at the benefits of the internship program and how the student perceived the experience as related to the human resource program and their transition into the corporate world.

Keywords: Internship, Appreciative Inquiry, Human Resources

Over the past decade the human resource field has changed dramatically, offering challenges to the human resource professional as well as the graduate coming into this field. Indeed, it is one of the tasks of educators to examine and verify that the curriculum as well as related teaching procedures and practices are strongly tied to this evolving discipline. While changes are rapidly taking place in corporations and students are trying to transition into this changing arena, it is imperative that strategies be developed to identify and articulate all the dimensions of a university program. As a student completes coursework and begins to think about becoming a human resource professional, how should they be prepared for the move? Researchers approached this study as teachers of students who will assume leading roles in business and industry in the new millennium. Of course, it was understood that an internship must be an integral part of a smooth transition from school to work. Students must be able to use skills and knowledge they have acquired. Moreover, internships serve the dual purpose of establishing genuine collaboration with business and industry while assisting educators to provide the foundation for planning the curriculum. This scenario presents a unique opportunity for educators to assess and validate the contents of a university-based Human Resource Development (HRD) program.

Why is the internship so vital to the student's success? How does the HRD department measure this success? Does the curriculum provide the appropriate balance of theory and practice? Should students be involved in identifying components of the curriculum that contributed to the learning process as well as those factors that did not? These questions are pertinent to both the academic and corporate world. Internships can vary in structure and design but research indicates the benefits are great to both the student and company (Brooks & Greene 1998; Gold.). According to the Society of Human Resource Management (SHRM), a well-run internship program is truly a win-win situation for all participants (SHRM, 2003). SHRM has developed a guidebook for internship programs to provide assistance to the student and provide post-secondary opportunities. Students can explore the various areas of a particular aspect of the field and discover a particular interest during the internship. This qualitative study was designed to show the benefits of the internship program in HRD using appreciative inquiry (AI). This assessment approach has continued to gain recognition both in scholarly and practitioner circles (Bushe, 1999). It has been successfully used in a wide range of settings for a variety of reasons to include career development (Knowles, 1999), corporate planning (Zemke, 1999), workplace learning (Baskett, 1993), and shaping communities (Bowling & Brahm, 2001).

Statement of the Problem

Due to the apparent lack of empirical evidence to support the benefits of internships in the human resource development field, the researchers proposed rigorously studying individual learning through on-going analyses and verification of student outcomes using appreciative inquiry. After many years of visiting corporations, designing courses, teaching, planning activities and reviewing literature the researchers' professional observations led them to construct this qualitative study to determine factors that were key elements in successful experiential learning events. Although an internship is perceived to be a time of learning, mentoring and adding skills for the student, few studies have sought to determine the most important elements to be included in the experience. The National Association of College and Employers surveyed 561 employer/members in 2001 to evaluate internships and cooperative programs. Through this research, internships were found to be the most prevalent experience of the

Copyright © 2004 Debbie L. Mackey & Connie Thomas

responding companies. Three-fourths of responding employers sponsored internships and 93% offered internship opportunities.(NACE, 2001); however, the research did not explore elements of the internship that contributed to the perceived success of the exercise. It is essential that researchers formulate questions regarding the shared positive future of students and academicians.

Organization and structure of the internship contribute to making the experience successful according to a study done of 300 organizations associated with Career Services at the University of Chapel Hill-North Carolina (UNC-CH). These organizations have established internship programs of at least two years. Recruiting interns, internship structure and salary were reviewed. Networking through the university and previous interns accounted for over half of the internships. Almost 26 percent of the internships were in human resources and 55 percent of those interns were hired after completing the internship.(Brooks and Greene, 1998). Although the program is obviously successful, students and graduates were not asked to explore the reasons for the positive aura.

Many companies treat the intern as a "real employee" says Marie Artim of Enterprise.(Gold, 2002). NACE identified many companies such as Disney, Enterprise, and International Business Machines (IBM), that offer outstanding internship programs and consider the internship an investment in the future. The internship seemed to answer many career questions for these students; however, they were not asked to elaborate on the energized environment that led to the perceived success of the program.

Certainly, internships are felt to help individuals secure a job, partner with employers in shared visions, improve on existing organizational practices, and manage a particular career; however, an organized attempt to document relevant internship experiences in a formal format has not been attempted. Interviewing students using an issues-focused approach that would allow them to elaborate, evaluate and identify their contributions to organizations was felt to be a vital ingredient in articulating the learning connections between theory and practice. For many years, the dominant theory among human resource theoreticians, educators, and practitioners has been a negative one. The traditional model to initiate program improvement was based on seeking out problems and providing interventions. Appreciative Inquiry, on the other hand, is the opposite of this negative philosophy. Appreciative inquiry can be defined as the study and exploration of what gives life to human systems when they function at their best (Whitney and Bloom, 2003).

Purpose of the Study

The purpose of the study was to explore and describe how students perceive, organize, adapt, and benefit from the experiences encountered in a focused internship within the context of the human resource program. Students were asked to examine issues and experiences of the internship as they related to fulfilling their educational goals. The transition between the classroom and the corporate world becomes smooth when the student completes a successful internship. This study was conducted to ascertain what was working well with the program and to make recommendations for future program improvement, using this participatory approach to empower all the parties involved. It was designed to highlight the importance of the special relationship that evolves among the students, faculty, and the corporate world. Since this is a preliminary investigation that is expected to become an ongoing research project, the potential for using appreciative inquiry is an exploratory research vehicle. The study seeks to advance the AI theory that human systems tend to move in the direction of a more positive reality and that students are energized by participating in efforts that tend to positively reinforce learning.

Theoretical Framework

This study was framed within the learning and humanistic theory from Gilley and England and the appreciative inquiry process by Cooperrider and Srivastva. Gilley and England (1989, p. 120-121) posited that within organizations, learning can be defined as "knowledge obtained by study and/or experience the art of acquiring knowledge, skills, competencies, attitudes, and ideals that are retained and used, and a change of behavior through experience (Gilley and England, 2000). The humanistic theory is based on the idea that every individual has potential to learn and each individual should be encouraged to develop to his/her potential (Gilley and England, 2000).

Appreciative inquiry (AI) involves the systematic, cooperative identification of effective components in an organization that focus on positive outcomes. It was developed primarily by David Cooperrider and Suresh Srivastva (1987), professors at Case Western University's Weatherhead School of Management. More than a decade later, Cooperrider and Whitney (1999), described the process as a "cooperative search for the best in people, their organizations, and the world around them". This theory is firmly rooted in a variety of fields including chaos theory, organizational development, and action-oriented research. AI is the study and exploration of what gives life

to human systems when they function at their best (Whitney and Trosten-Bloom, 2002). The principles underlying AI are :

- Constructionism - Creating reality through patterns of storytelling and self-disclosure
- Simultaneity – Learning and change happen simultaneously
- Poetics – Human systems are stories that are open to interpretation
- Anticipation – Looking forward to a pleasant experience
- Positive – Transformation into what should be

The word appreciation means to value, recognize or appreciate. The appreciative inquiry interview is designed to assist in showing the interviewee his/her value in the organization and how success can be achieved through positive change. The inquiry, begins with the framing of what Cooperrider, Sorenson, Whitney, and Yaeger (2000) call the “unconditional positive question”. The process continues through the 4-D Cycle to accelerate the power of appreciative inquiry (Whitney and Trosten-Bloom, 2002). The four parts to the cycle are: discovery, dream, design, and destiny.

- **Discovery** is reviewing events that have taken place, the best of what is, and the identification of exceptional (peak) moments.
- **Dream** is a time for the student participant and/or employee to envision what may be if the “peak” moments were the norm, not the exception; to reflect on hopes and dreams for their work, relationships, organization and the world.
- **Design** can be completed through reviewing statements of what “should be” including elements from discovery and dream; developing ideas to achieve the vision and strategies to implement the plans.
- **Destiny** is the process of actually implementing the plans, establishing new and better conditions while mobilizing resources to accomplish goals. This may be identified as **delivery** in some references. Barret and Fry, in their introduction to the book, **Appreciative Inquiry and Organizational Transformation**, describe AI “as a type of study that selectively seeks to locate, highlight, and illuminate what are referred to as the life-giving properties of any organization or human system” (2002, p. 6). It is this possibility of using that knowledge to envision and create a better future that drives this research effort. Questions for the present study were developed based on the four phase construct.

Research Questions

This study addressed several questions:

1. What are the perceived benefits of an internship program as identified by students who are presently enrolled in a human resource program?
 - Peak performances/highlights
 - Discovery of personal traits
 - Becoming part of an organization
 - Identification of leadership traits in others
 - Key factors in successful internships
 - Lessons learned/reinforced
2. To what extent does an internship contribute to the overall success of an HRD program?
3. What are the factors that facilitate and/or encourage student learning within the internship program?
4. What are the overall benefits of appreciative inquiry interviews?

Methodology

The appreciative inquiry interview process was used to obtain observational, reflective comments from each student in the internship program during that particular semester. Specifically, narrative interviewing techniques were used to elicit student comments. The students were placed in a human resource department of a corporation that seemed to match their interest during the internship. Each student was visited and interviewed at the intern site. Appreciative inquiry interviews were structured to permit instructors to inquire about personal experiences during the internship, allow students to elaborate on topics, and to comment on the potential for transformation in the organization they visited (Whitney and Trosten-Bloom, 2003). The questions created for the interview were designed to bring out the positive experiences of the exercise; however, negative comments were not dismissed but explored. Students were asked to provide remedies/solutions for perceived weaknesses in the internships or the HRD program. The results of the study were reviewed and categorized into tables for the purpose of brevity.

Demographics of Interns

Identical interview techniques were used with each intern during the final week of the internship Fall semester. Each intern was visited at his/her intern site and a private office setting or conference room was selected for each interview to avoid any distractions. The students were asked the same questions and in the same order each time. Responses were transcribed. The interview was confidential and students were advised that their comments would never be attributed to an individual student. Each respondent had his/her own unique personal history which must be considered with the findings. Reflections and perceptions were communicated with varying degrees of sophistication. One notable difference in the response rate was in the degree of philosophical analysis contributed by the students. Most of the respondents appeared to have previously considered many of the issues raised by the researcher and readily offered observations while a few had not and simply provided short answers. Attempts have been made to faithfully represent individual perceptions even though the final analysis seemed to dictate a synthesis of the collective findings. There were 17 interns, 13 undergraduate and 4 graduate students enrolled in the HRD internship program. Two of the graduate students were working toward a masters degree and two toward a doctorate. The students were placed in a variety of companies. Ages of the students range from 21 to 35 years. There were 14 females and 3 males. These students were placed in a company or organization in the human resource and/or training department. Each student spent at least one semester at the intern site. Table 1 indicates the different types of intern sites and how many students were at that particular type of internship.

Table 1. *Types of Human Resource Internships*

Intern Site description	Undergraduate	Graduate	Total Number of Interns
State and federal government human resource department	1	2	3
Staffing agencies		1	1
University training and development	4		4
Corporate training and development	1		1
Restaurant training and safety	1		1
Consulting	1	1	2
Compensation and Benefits	1		1
Government agency	1		1
Human resource generalist	3		3
Grand totals	13	4	17

Findings

The findings of the study provided answers to the research questions. By creating this type of approach to survey subjects, not surprisingly, many positive outcomes of the internship each experienced were identified. Their viewpoints during the inquiries focused on program strengths, their personal achievements during the internship, and the identification of purposeful strategies to improve the program. Generally, students identified the best elements of the program and seemed highly energized to discover that their observations would be used to create positive programmatic changes.

The interview process generated a variety of comments from the students. Each particular student placed in an internship experienced various functions of human resources. Many positive reflections were given by the student. The following is a list of questions that were asked of each student:

- Tell me about an exceptional (peak) experience during your internship that made you feel proud of yourself and your performance as an intern. Who was involved? What did they do to make this a remarkable experience? What did you do to make this a remarkable experience?

- Without being humble, what have you discovered about yourself during the internship and how could you use these traits to improve the organization?
- Can you think of a time when your presence was acknowledged by allowing you to participate in the implementation of corporate strategies? Were you impressed by the leadership? Did you feel as if you were a part of a “solution” rather than a “problem”?
- What are some experiences or lessons you would like to add to the internship? How would the program be different if you were in charge?
- How has the internship heightened your knowledge of human resources?

As researchers conducted the interviews, it became increasingly clear that the current HR program, specifically the internship component, was meeting student needs and expectations. Although students were positive in the majority of their responses, they candidly revealed concerns and offered solutions to problems. Students contributed new ideas regarding the integration of new methods/ideas that are being used in the workplace. They also recognized the transferability of their accumulated knowledge and skills as well as how “marketable” they had become. Students expressed an appreciation for the opportunity to work in the “real world” and overwhelmingly agreed that the overall experience had contributed to their education immensely.

The essence of the interviews has been captured by key phrases and clustered into themes in Tables 2-6. Since students were encouraged to give examples, they frequently elaborated on many points. One of the shortcomings of the study is demonstrated by attempts to break down the complex responses into concise statements.

Table 2. *Peak Experiences During the Internship*

Peak Experiences During the Internship
Received praise from supervisor for personal work habits and motivation.
Asked to hold new hire orientation by supervisor.
Learned OSHA requirements quickly.
Conducted salary surveys and learned new terminology.
Prepared affirmative action files and application tracking.
Created and delivered a new hire orientation presentation and video as requested by supervisor.
Hired as a full-time employee.
Created the policy handbook.
Created a revised policy handbook.
Revamped and completed all training presentations using Power Point.
Created and enhanced special activities for all employees.
Sat in on FMLA board once a week and understand how it works.
Praised for work and motivation with executive level administration.
Taught actual training classes offered to corporate employees.
Assisted with consulting work in manufacturing.
Conducted new hire orientation.
Recruited new customers for consulting jobs.

Table 3. *Identification of Personal Traits of the Intern*

Identification of Personal Traits of the Intern
Self-motivation and determination.
Did not have to relearn tasks.
New ideas.
Knowledge of what it takes to succeed.
Touch of several hr functions, broad range.
Independent, work well with others, and work hard.
Excellent communication skills, problem-solver.
Work independently.
Work well with others.
Ability to take on a challenge.
Soft skills and a people person.
Ability to do what is requested; compensation and benefits area.
Handle responsibility well.
Work in various environments equally well.
Energetic and enthusiastic ideas.
New ideas for the company.
Work with motivation and independence.

Table 4. *Exhibited Leadership to the Intern*

Exhibited Leadership to the Intern
Union president assisted the intern with policies manual.
HR staff always available for questions.
Mentored by a staff member.
Answered student questions and hr questions always.
Shown many hr functions by many people.
Busy mentors but always take time for the intern.
Shows how to deal with customers.
Took time to mentor.
Exhibited leadership to the intern.
Assist in organizing salary data.
Assisted in all hr questions and school research.
Spent quality time with the student and answered many questions.
Offered quality consulting experiences.
Mentored by valuable hr professionals.
Sincere interest for the student to learn.
Union president helped with the manual.
Tour of the company.

Table 5. *Additions to the Internship*

Additions to the Internship
Observe interview/recruiting process.
Learn more about tax deferred and benefits.
Rotate through other hr departments.
Intern policies.
More hours for the internship.
Benefits information. (Outsourced).
Pre-internship.
More structured time with other functions of hr.
More time in benefits.
HIPPA training.
Interact with other interns.
Recruitment.
Learn more about tax deferred and benefits.
More training before being in front of the classroom.
Other functions besides training.
Compensation and benefits information.
Legal issues.

Table 6. *Increased Knowledge Through the Internship*

Increased Knowledge through the Internship
Hands on experience of how hr works with other departments.
Career exploration.
Specific information on benefits.
Affirmative action and layoff procedures.
Safety audits, more than firing and hiring.
Increased interest in HR.
Creating training for an outside company.
Policy development.
Benefits exposure and research for website.
Salary information and other hr functions.
FMLA training and the beginning of HIPPA.
More about presentations and training.
Consultants cover many areas.
How hr works with many areas and departments.
HR is strategic.
HR affects all areas.
Compensation and benefits are a whole new area.

Conclusions

This study provided a wealth of information through the appreciative interview process. In general, researchers discovered that students valued the proactive retrieval of their perceptions by the faculty. The participatory interaction seemed to create a bond or partnership as students and teachers exchanged ideas and explored outcomes. Students willingly shared stories of success and failure. They provided key insights into elements of the internships through their unique perspectives. Students used the path to discovery, dreaming, and designing to find their own version of destiny. In the end, the project was deemed to be a huge success. Researchers concluded that research through appreciative inquiry should be done on a regular basis at the completion of an internship to stay abreast of activities in the corporate working world as well as to understand the experience through the eyes of the student. Additionally, by using the appreciative inquiry methodology, focusing on positive, extraordinary moments, the

overall evaluation of the internship component of the program was equally positive. Not only were the students able to delineate the "best" practices, they were able to offer suggestions for program improvement based on their experiences. As students shared the broad variety of experiences they were exposed to, many related that they were able to make informed career decisions as a result. Since several students were offered positions within the organization, the internship surely identifies those marketable qualities they have attained. Although the population for the present study was small, it is felt that ongoing assessments should be conducted to strengthen and/or modify the results. Findings from the study have considerable implications for the future refinement and development of the human resource program. As Liebler (1997) commented, "The process of doing the appreciative interviews is as important as the data collected, for it is through the doing that the internal conversations within organizations are changed." The process itself revealed that HRD instructors and students shared common ground; indeed, the process required a form of collaboration that transcended the normal teacher/student relationship into a search for unique possibilities for program enhancement.

The use of these findings to generalize beyond the present population would be inappropriate; however, investigation into similar internships may be warranted using appreciative inquiry. In fact, replication with similar interns in a postsecondary HRD program would lend credence to the present study and is encouraged.

Recommendations

Based on the results and limitations of this study, several recommendations for curriculum modification and future research are offered:

1. While the curriculum delineating the events in the internship should remain flexible and responsive to student needs, a clear vision and mission for the course should be constant.
2. Replication of the study should be done on a regular basis. Perceptions of students enrolled in an HRD internship should be gathered each semester to accumulate more data. Considerations should be given to developing a longitudinal study to follow the current students as they expand their careers.
3. Future research efforts should be expanded to include taped interviews of student responses. Comments should be captured and recorded in their entirety. The present study fails to demonstrate the obvious development of communication and higher-order thinking skills the interns gained, which is essential in today's workplace.

References

- Barret, F., & Peterson R., (2000). Appreciative learning cultures: Developing competencies for global learning. *Organization Development Journal*, 18.
- Brooks, J.E., & Greene, J.C. (1998). *Benchmarking internship practices: Employers report on objectives and outcomes of experiential programs*. National Association of Colleges and Employers, (NACE). PA: NACE.
- Bushe, G.R. (1999). Advances in appreciative inquiry as an organization development intervention. *Organization Development Journal*, 17(2), 61-68.
- Cooperrider, D.L., & Srivastva, S. (1987). Appreciative inquiry in organizational life. In R. Woodman & Pasmore (Eds.), *Research in organizational change and development* (Vol 1, pp. 129-169). Greenwich, CT: JAI Press.
- Cooperrider, D. (2002). Case western's application of appreciative inquiry. *LRP Publications*, 5, 12.
- Gilley, J., & Maycunich A. (2000). *Organizational learning performance and change*. New York: Perseus Publishing.
- Gold, M. (2001). *Colleges, employers report on experiential education*. PA: NACE.
- Liebler, C.J. (1997). Getting comfortable with appreciative inquiry: Questions and answers. *Global Social Innovations, Journal of the GEM Initiative*. Case Western Reserve University, 1(2), 30-40. Retrieved October, 2003 from <http://connection.cwru.edu/AI/gem/getting.html>
- Norum, K.E. (2001). Appreciative design. *Systems Research and Behavioral Science*, 18, 323. John Wiley & Sons, Inc.
- Society of Human Resource Management. (2003). *Organizing an internship program*. Alexandria, VA.
- Whitney, D., & Trosten-Bloom, A. (2002). *The power of appreciative inquiry*. San Francisco: Berrett-Koehler Publishers, Inc.
- Zemke, R. (1999). Don't fix that company! *Training* 36(6), 26-33.

Academic Service-Learning in the HRD Curriculum

*Ovilla Turnbull
Susan R. Madsen
Utah Valley State College*

Service-learning is a relatively new pedagogy which uses service activities to support traditional teaching methods, giving students a better understanding and ability to remember and carry out functions/skills taught in class. Although its use in an HRD course has rarely been reported in the literature, the teaching methods appear to be ideal for instilling in students the skills and/or traits necessary to be successful in HRD (e.g., intellectual versatility, adult learning insight, and industry understanding).

Keywords: Service-Learning, HRD Competencies, Adult Learning

In the early 1900's philosopher John Dewey began writing about experiential learning. He firmly believed in the practice and, as Knowles, Holton, and Swanson (1998) explained, "In Dewey's system, experience is always the starting point of an educational process; it is never the result" (p. 94). Dewey recognized the need to combine experience with traditional teaching methods to more fully prepare students for the *real-world* workforce. He saw experience as superior to traditional teaching methods because, as Carver (1997) explained, Dewey believed

The educational value of an experience is derived from the way the experience contributes to the students' development (principle of continuity) as well as the immediate nature of students' relationships with their environment (principle of interaction). It takes into consideration not only the explicit curriculum but also the lessons people acquire by participating in activities..." (p. 145)

Despite Dewey's vision for the future of formal education and his many writings on the subject, the pedagogy has not taken hold to the extent he had envisioned, especially in the higher educational systems. One way it has been implemented, however, is through the academic service-learning (SL) movement that has grown across the U.S. throughout the 1990's and into the twenty-first century. Initially, the pedagogy was implemented in a very small number of fields (e.g., nursing), but gradually educators have begun to recognize the value of combining service assignments with the course content to improve student learning, understanding, and knowledge retention in a large variety of disciplines. Much research has been done to examine the efficacy of using academic SL in other types of courses and disciplines, but this article is among the first to report how the pedagogy might be used to improve student learning in HRD courses. It is our argument that educators should consider integrating academic SL projects into human resource development (HRD) courses and throughout the HRD curriculum.

Theoretical Framework

Even though service-learning is said to be a relatively new pedagogy, some claim it has been used on a limited and informal basis for years. Academic SL is a form of experiential learning. It adds reflection to a learning experience to prepare students to enter the workforce after graduation. It provides participants with a hands-on, course-based, credit bearing opportunity to learn course content and other valuable and practical skills in a variety of disciplines. The addition of the word *academic* to the term *service-learning* appears to be an important way to dispel myths about the practice. When educators first began using the term SL it was in reference to class projects such as picking up garbage along a highway. SL has evolved, however, into an actual pedagogy that must reinforce course content. Institutions, faculty, students and communities that still foster the former notion about SL may be more inclined to implement a pedagogy known as academic SL.

Educators are sometimes confused between SL and other forms of experiential learning (e.g., internships, co-ops). Even though the definitions of academic SL vary throughout the literature, understanding what it is can help in distinguishing it from other forms. One often cited definition by Rice (as cited in Bush-Bacelis, 1998) is that

Academic service-learning is a method by which students learn and develop through active participation in thoughtfully organized experiences that meet actual community needs and are coordinated with the academic and local communities (Perkins, 1994)...[academic SL] requires the infusion of the classroom content into the community service experience. The students and professor work together to connect content with the students' active involvement in the community. Effective learning modules include three main criteria: meaningful service, connection to course content, and active reflection on the service-related learning (p. 20).

Copyright © Ovilla Turnbull & Susan R. Madsen

This is a useful explanation of service learning in three ways. First, it elucidates that, although students can direct their own projects, the educator's role is to help students make appropriate connections (theory and knowledge to practice) through reflective activities. Second, it stresses the fact that the projects are designed around a specific community need. Third, it also illustrates the idea that the service should be meaningful, and the projects should be infused into classroom content. In other words, service-learning projects should be *academically* combined with traditional teaching methods to heighten learning. The term *traditional teaching methods* refers to the long-established practice of educating via textbook, secondary research assignments, and lecture, yet this form gives little attention to the students' need to experience the systems and processes that are discussed. Academic SL combines these methods with hands-on experience to cement the learning.

In understanding academic SL, it is also important to understand the term *community partners*. This term refers to the hosting organization for service projects. These organizations are often (but not always) non-profit, small, and understaffed and therefore have great need for the service provided by the students. This creates a mutually beneficial relationship between the students and the community partners. Bush-Bacelis (1998) explained that the community partner "becomes the context in which students apply [course] principles. Their thinking goes beyond the textbook and classroom as soon as they become involved with the organization. They think more globally and they apply principles" (p. 25).

Much of the theoretical framework for this article comes from the works of David Kolb (1984) who is recognized by a majority of SL researchers (e.g., Carver, 1997; McGoldrick, Battle, & Gallagher, 2000) as a leading theorist in the dialogue. Kolb (1984) defined learning, as "the process whereby knowledge is created through transformation of experience" (p. 38). He also noted that, because learning is a continuous process that is grounded in experience, all learning can be seen as relearning. His theory started with a model for experiential learning, of which service-learning is a part. The model has four steps which, according to Swanson and Holton (2001), include (1) concrete experience—being fully involved in here-and-now experiences; (2) observations and reflection—reflecting on and observing their experiences from many perspectives; (3) formation of abstract concepts and generalization—creating concepts that integrate their observations into logically sound theories; (4) testing implications of new concepts in new situations—using these theories to make decisions and solve problems (pp. 167-168). The model has had widespread use and has also provided the general framework for a large number of studies. However, Swanson and Holton explained that the reason few have tested this theory is because of innate problems with Kolb's instrument.

Gagne also provided a framework that is practical to use in guiding the implementation of an academic SL component into the classroom (Knowles, Holton, & Swanson, 1998, pp. 15-16). He identified five *domains of the learning process*, which we have used to illustrate the different components of effective academic SL design.

1. *Motor skills*: developed through practice (using the academic SL pedagogy, the actual project fosters these skills in the learners).
2. *Verbal skills*: the major requirement for learning being its presentation within an organized, meaningful context (these skills are still learned during the in-class lecture portion, they are also developed through practice with the academic SL project).
3. *Intellectual skills*: the learning of which seems to require the prior learning of prerequisite skills (these skills must come from prior learning, as the domain suggests, but the SL experience also increases these skills, which the students take and use in future experiences, e.g. Dewey's principle of continuity).
4. *Cognitive strategy*: the learning of which requires repeated occasions in which challenges to thinking are presented (this is the portion missing from Kolb's model; it is, however, present in service-learning through reflection).
5. *Attitudes*: which are learned most effectively through human models and vicarious reinforcement (in general, attitudes are established by the time students reach upper education levels, although research (e.g., Rama, Ravenscroft, Walcott, & Zlotkowski, 2000) has suggested that attitudes toward learning can change when a student understands how the subjects are relevant.)

Although Gagne did not envision experiential learning per se when he developed his theory, it fits nicely with the elements practiced in properly designed academic SL. And, when used in conjunction with the Kolb model, Gagne's framework illuminates the fundamentals of academic SL.

Purpose and Research Questions

The purpose of this study was to investigate the need and applicability of using academic SL within HRD courses. It examined how this pedagogy could help students at all levels of higher education learn and retain HRD-related knowledge and skills. The study explicitly examined the following questions in relation to HRD and academic SL:

1. What learning and benefits do students experience or gain from participating in SL projects and programs?
2. What initial framework can describe the connection between academic SL and HRD education?
3. What are some ideas and guidelines to assist faculty in adding academic SL projects to their course curriculum?

Research Methods

This study was primarily based on an analysis of the literature previously published on academic SL. However, limited data gathered for a larger study will be reported in this article as well.

First, academic SL scholarly articles in the business and educational arenas were located by searching a variety of indexes including ABI/INFORM Global, Academic Search Elite, Business Source Premier, Digital Dissertations, ERIC, ERIC (EBSCOhost), and PsychInfo. Approximately 70 of the most relevant articles were selected for initial review and use. In addition, ten related books were reviewed. Each piece of literature was read thoroughly, underlined, and annotated by both authors. Then all of the highlighted text and notes were typed word-for-word into a word processing document. Next, each author re-read the keyed portions of the articles and categorized or *nodded* all of the text into carefully selected service-learning themes (e.g., definition, pedagogical differences, reflection, citizenship, examples, theoretical frameworks, student learning, and need). The information was transferred and entered into the computer program *NVivo*, which allows for easy coding and recalling of themes.

Second, researchers interviewed students who had completed an academic SL project in a human resource undergraduate course during the spring of 2003. As previously stated, a full report of this study is the basis for another article currently being drafted. However, we felt a few selected statements from these interviews would assist readers in understanding student perspectives of academic SL projects in a related field. One or both of us interviewed each student who participated in the course. Importantly, the interviews took place about two weeks after the semester had ended and after the grades were posted. This was done for two reasons: 1) to allow students to be as open and honest as possible, and 2) to allow them time to step back from the stress of the project's completion. Each interview lasted about one hour and included approximately 16 questions. Relevant questions to this paper included the following: What were your initial perceptions of the project? How did those perceptions change throughout the semester? What did you learn while performing this service-learning project? How did the learning in this class differ from that of other courses? Would you take another service-learning course? Why or why not? Each of the interviews were transcribed and then reviewed by both authors. The key points were pulled out and nodded into common themes that were selected after the interviews. At that point, the names and identifying information of each participating student were concealed and the nodded interviews were entered into *NVivo*.

Results and Discussion

This section will focus on reporting findings based on the first two research questions. First, the benefits to students who participate in academic SL in HRD curricula will be discussed. Second, a theoretical framework will be presented that takes an initial look at the possible interaction between academic SL and HRD education.

Literature – Learning and Benefits

In our literature review, we discovered a vast number of findings related to topics such as pedagogical differences, self-confidence, motivation, teamwork, challenges, benefits, and more. In the following section, we will discuss the pedagogical differences between academic SL and traditional teaching methods, the motivations for teaching or learning in advanced education, and the collateral and course content student learning that is expected to take place in each well designed academic SL project.

First, an empirical study conducted by Rama et. al. (2000) compared two sections of the same course taught during the same semester, one using service learning, and the other applying traditional teaching methods. According to their findings, "S-L students self-reported an enhanced ability to apply course principles to new situations and an increased ability to solve real problems in the course area [...and an] increase in their interest in the subject matter" (p. 670). Even though this study found "no statistically significant difference in final course grades between SL and control students," findings did show that SL students "scored significantly better on the essay portion of the final exam, and attended class more regularly" (p. 667). The results of the essay portion of the test seem to indicate that the academic SL students gained a deeper understanding of core concepts than students in the control group. The control students could regurgitate facts and figures for the exam, but the academic SL students could formulate coherent answers to questions that required thought and understanding. According to Kenworthy-U'ren (2000), even tests, case studies and research papers did not match the learning of an academic SL experience:

Service-learning provides students with a nontraditional, service-oriented social context for management education. It challenges them to confront, sort through, and excel in the dynamic, chaotic, nonlinear environment of a community-based organization. Real-world learning takes place as they simultaneously assume the role of professional consultants producing “goods” that will, in fact, be used. (p. 58)

This statement has important implications to HRD. Because through academic SL participation the students gain experience in a variety of industries and organizations, they increase their knowledge of traditional HRD competencies (e.g. technical, business and interpersonal) as discussed by McLagan (1989). For example, they obtain a diversified understanding of the types of companies in which they will be working, gain general understanding of business culture, and come to realize their prospective roles as an HRD professional in implementing interventions.

The literature on academic SL discussed student learning in two primary categories: *course content*—technical knowledge and skills, and *collateral learning*—other skills and competencies important for successful employment. First, academic SL projects should not be designed and offered unless they substantiate learning related to actual course objectives. Second, academic SL researchers (e.g. Arnold, 2003; Brown, 2000; Rama et al., 2000) agreed that collateral competencies gained in any well organized, student directed academic SL project could include: conflict resolution, ability to function in a diverse labor force, effective communication, interpersonal skills, leadership, teamwork, problem solving and reasoning, ethics, ability to define problems and establish project mission and objectives, resource allocation, client relations, budgeting, and industry/sector perspective. Though, to our knowledge, few have reported the attempt to implement academic SL into HRD coursework, the research on collateral learning suggests that students would gain useful periphery skills (collateral learning), as well as an ability to employ the models processes (course content) taught in the course. More directly, competencies expected from HRD are those related to course content, and those gained from experience in carrying out the functions of HRD. Interestingly, Zlotkowski (1996) wrote, referring to the types of competencies mentioned above, “such skills, all components of effective critical thinking, cannot be acquired in an abstract fashion. Content and process cannot be separated” (pp. 7-8).

Current Study – Learning and Benefits

The interviewees in our study were HR students who had recently completed a compensation and benefits project. Although the following student statements may reflect competencies needed for these functions, they provide insight into the learning benefits an academic SL can have in HR as well as HRD courses. In addition, we found that the students perceived other non-learning-based benefits for having participated in the academic SL experience. In our interviews, one student explained: “I can sit in a class and learn but if I’m not doing something it is not going to stick and benefit me long term... like at work people can tell me what to do and I’m just dumbfounded. And then they show me once and I think, oh, ok. Now I can actually do it.” Interestingly, at least three of the students stated that, although the class was an elective in a subject about which they previously had no interest, they were now interested in working in the human resources field. One student interviewed explained, “I learn a lot better hands-on than going to class and through reading the chapters” while another said that he would take another service-learning class if he *actually* cared about learning the course material. It appears that many students who have experienced both academic SL and traditionally taught courses recognized that they learned and remembered more with the academic SL pedagogy.

Other students explained:

- “I learned a great deal about the difficult nature of an organization or business to balance the value of their employees and what they could afford to pay.”
- “I learned how to figure out how to compensate people – when I need to know that for a job I’ll be able to use these skills”
- “I understand compensation because of this project and have more competence in the concepts.”
- “I just got an internship and I told him how I did write job descriptions and task inventories in this experience and he wants me to do it for them”
- “I learned the value of job descriptions and how that is important for training”
- “I learned a lot about the role of HR and how it fits into an organization. I had no idea before the class”
- “I learned that HR is a lot more than just compensation, benefits, and monthly statements”
- “I learned how to do a job analysis and would feel comfortable going about doing it again”
- “It helps you to be able to understand what it takes to work in HR.”
- “You can actually see how it really works – actually do the things – it really enhanced the learning experience”
- “Just talking to people at the site was a learning experience – I’ve never done that and tried to act professional and be confident and organized” (helpful especially for consultants).

- “I learned to deal with people, different personalities and how to relate them or something”
- “The best part is actually now – I would honestly feel comfortable going into an organization and doing something like that”
- “I felt like we were able to put together a quality report, based on the learning we had in class and actually being able to practice it – that’s how I learn better”
- “I feel a lot more confident in my knowledge of compensation and benefits (and the other service learning classes) when compared to my other coursework”
- “The best part was the application of the course content – I think that is pretty much the point”
- “I definitely felt like the project helped me understand the application of course material better than any other”
- “When you are actually doing it, involved with it – it is different because you understand it”
- “When I can remember the information I can use it even after school is over”
- “I can’t believe that I learned as much as I did – Yeah I liked it”
- “Sometimes I sit in a classroom and think I could learn the same thing from a book – I didn’t get that from this”
- “It was learning – it actually surprised me – I ended up learning more than I actually thought I would”

It is interesting to note that behaviorists balk at the idea that learners can have an accurate perception of their own learning. As Knowles, Holton, and Swanson (1998) explained: “The behaviorists have differed among themselves as to what may be inferred in addition to what is measured, but they all exclude self-observation” (p.26). However, much of the basis of this work comes from the student’s own opinions about improvement and learning, as above. On the other hand, one of the elements of humanistic psychology is “evaluation by the learner” which contradicts the behaviorist’s view. According to Knowles et al., this element holds that “the learner knows whether the learning meets personal need, whether it leads toward what the individual wants to know, whether it illuminates the dark area of ignorance the individual is experiencing. The locus of evaluation, we might say, resides definitely in the learner” (p. 14). Nevertheless, these self-reports of student learning and benefits are supported by much of the literature. In addition, one of us (Madsen) taught the academic SL course of the students interviewed; hence, instructor perceptions also confirm findings and statements by the students.

Competencies: Academic SL-HRD Course and Successful HRD Work

The course content and learning for an academic SL HRD course is projected based on course content in a traditionally taught HRD course. According to primary and secondary research for this study, a student’s understanding of concepts and processes taught in a given course are enhanced by the academic SL experience. Well-designed academic SL projects have been found to facilitate student learning in both the technical skills areas (course/textbook) and in the collateral learning area (see left side of Figure 1). This term comes from Dewey who taught that teachers should be involved in developing the “whole” person. In HRD, those skills or traits may not be specifically addressed in a textbook but are still essential for successful HRD job performance. Academic SL has been shown to provide learning for students in both of these areas (see Figure 1).

Specifically, academic SL allows students an opportunity to develop (to some degree) and practice—among other things—teamwork, time management, computer competence, written and oral communication, industry understanding, problem diagnostic capability, and research skills—all of which may be helpful to new graduates beginning a career in HRD. (Actual skills and levels of development may vary depending on the project design and level of student autonomy involved.)

Recommendations and Contributions

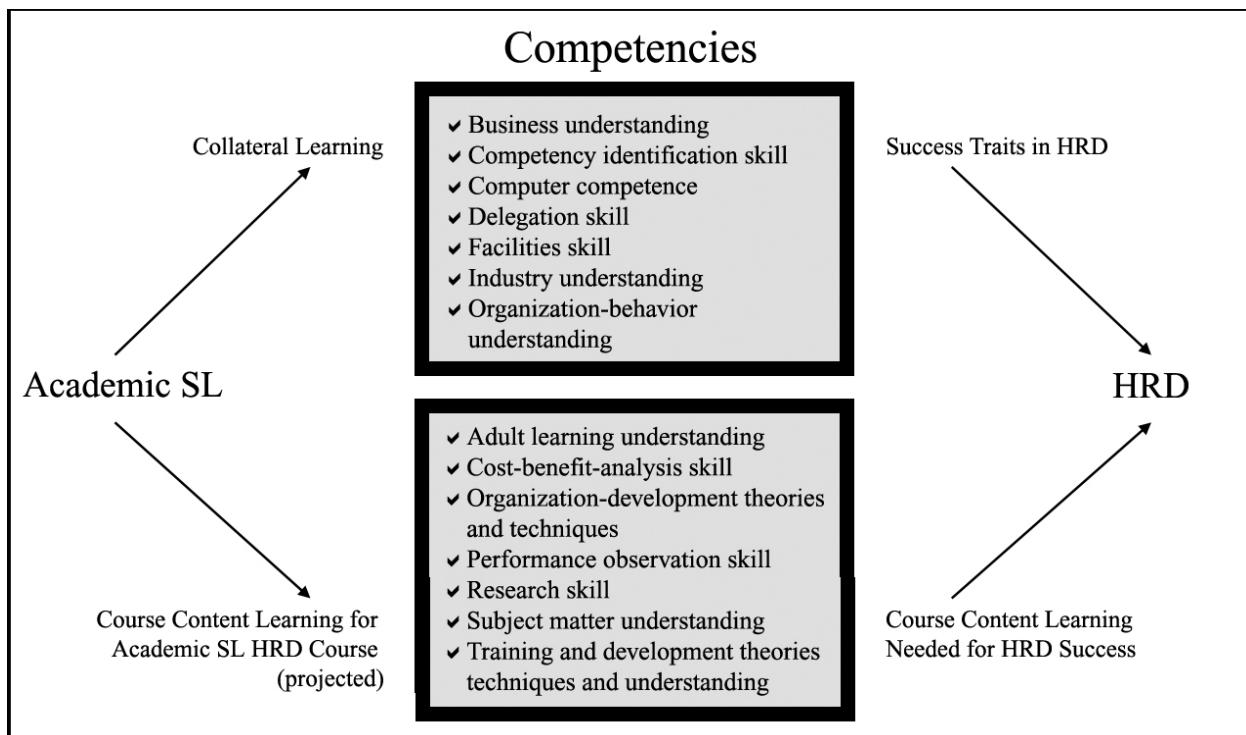
To assist HRD faculty in adding effective and sustained academic SL projects to course curriculum there are a number of principles or guidelines that have been recommended (Godfrey, 1999). SL needs to be designed to

1. engage people in responsible and challenging actions for the common good;
2. provide structured opportunities for people to reflect on their service experience;
3. articulate clear service and learning goals for everyone involved;
4. allow for those with needs to define those needs;
5. clarify the responsibilities of each person and organization involved;
6. match service providers and service needs through a process that recognizes changing circumstances;
7. [expect] genuine, active, and sustained organizational commitment;
8. [include] training, supervision, monitoring, support, recognition, and evaluation to meet service and learning goals;

9. ensure that the time commitment for service and learning is flexible, appropriate, and in the best interest of all involved; and
10. be committed to program participation by and with diverse populations. (*The Wingspread Principles*, p. 366)

Generally speaking, Godfrey (1999) stated that “the theme running throughout is that service-learning pedagogies do not merely append community service onto the curriculum but that they integrate community service within the curriculum.” (p. 365)

Figure 1. Academic SL-HRD Course and Traits/Characteristics for Successful HRD Work



*Note: The competencies listed in the chart come from McLagan (1989).

A lot of literature has been written on the subject of developing good academic SL courses. Some of the most useful literature on the subject includes many authors listed in the references. Additionally, those wishing to learn more about S-L can turn to Campus Compact, a nationwide organization devoted to helping institutions implement this pedagogy into their curriculum. They have meetings and literature to support new and existing SL infrastructures within institutions.

For those who choose to apply the principles of academic SL, it is important to be aware that if the course is designed correctly, the students will initially resist. It is different from anything they have experienced, and requires more self-directed activity than most of the students' desire. But, Bush-Bacelis (1998) said: “The best advantage for students is that in spite of initial resistance, they are able to connect the readings, class discussions, and other assignments with the real world, full of real people, with real problems that the students try to help solve” (p. 27).

McCarthy and Tucker (2002) believe that the need for academic SL has developed because of increasing focus at institutions of higher learning on extrinsic, reward-based outcomes of education (e.g. for students to leave college with a degree in-hand). This, McCarthy and Tucker say, ignores the intrinsic need to further academic understanding and ability to carry out the functions of a job. In other words, McCarthy says: “Increasingly, the campus is being viewed as a place where students get credentialed and faculty get tenured, while the overall work of the academy does not seem particularly relevant to the nation’s most pressing civic, social, economic and moral problems” (p. 629). Academic SL has evolved since the early 1990’s to address each of these problems and has been adapted to a variety of subjects, which makes it more effective. For this study, we have focused primarily on literature related to business courses and academic SL. Easterling (1997) for example, takes a broad view of how the pedagogy has been implemented into a variety of business curricula at various institutions across the country. He explained:

Service-learning may be successfully pursued in a variety of business courses. For example, at Bentley College, a) accounting students have redesigned billing procedures for a large multiservice city hospital, b) business communications students have created outreach materials for an agency...c) finance students have designed and presented workshops on establishing credit and managing personal finances to clients in a transitional homeless program, and d) operations management students have developed an effective clothing distribution system for clients at the largest women's shelter in the Boston area"(p. 60).

Specifically, there are many types of academic SL projects that could be designed for HRD courses. For example, Clark (2000) lists seven project ideas that could be used in various HR related courses including one particularly relevant to training and development: "Developing a training program (including demonstration video and illustrated handbook) for new student employees in the university media center (which has very high, unpreventable turnover and must bring new employees up to speed quickly)" (p. 137). Kenworthy (1996), gives an example that is more oriented toward organizational behavior. She explains "Students in an organizational behavior course were responsible for funding, recruiting, developing, promoting and leading a project of interest at an area human services agency. The criteria of the project were, 1) that the students create and take ownership for the project, and 2) that the agency receive substantial assistance from the project" (p. 130). SL projects for an organization development course could include assisting firms and agencies in analysis, design, development, implementation, and/or evaluation of any type of change need and intervention.

Generally, we recommend that business practitioners (profit and non-profit) be aware of academic SL and provide opportunities for students to do course-related SL projects. Also, as more business professionals understand SL, they will begin to value (e.g., in the hiring process) the experiences and preparedness of the students who have completed such rigorous projects. We also recommend that more faculty members in colleges and universities throughout the world design and implement academic SL for a number of reasons. First, it has been shown to be an effective method of teaching a wide range of skills and concepts. Second, more research is needed (both qualitative and quantitative) on this pedagogy specifically in HRD-related courses. We have found only a few literature pieces that address academic SL in any course remotely related to HRD. Finally, a faculty member can utilize academic SL in tenure and promotion and post-tenure documentation. It is well known for being a pedagogy that involved innovative and engaging teaching and learning techniques. A faculty member can conduct and publish research findings on a variety of related research questions and hypotheses. Lastly, because the faculty member spends time interacting with community partners and facilitating community service from students, it also becomes a "service" activity for the faculty members. Academic SL is one of the few teaching methods that incorporate all three primary responsibilities and duties (teaching, scholarship, service) of faculty members into one.

Conclusion

Clark, Croddy, Hayes, and Philips (2001) employed an analogy of a coach who uses traditional classroom teaching methods to teach a student to swim. "[The student]," they explained, "will drown the first time he jumps into the water if his coach never takes him out of the lecture hall, gets him wet, and gives him feedback on his performance" (p. 60). The same is figuratively true for an HRD student who enters the workforce with no real experience or understanding of how the systems and processes work in the real world.

Academic SL is a valid and useful pedagogy in a variety of disciplines, and deserves more consideration in human resource related fields, including HRD. It is a way of improving the whole person through course content learning as well as collateral learning. Beltram (1999) explained that "teaching such basic concepts as appropriate time management and pride in a finished product is more easily accomplished when the students know their work is actually being utilized rather than graded and filed away"(p. 19). Clark (1997) clarified the importance of employing these methods in the classroom when he explained that students come to see the relevance of education and the practicality of committing to learning the lessons of the classroom when they experience the link through experience in the "real-world laboratory of the community" (p. 166). Through academic SL, HRD students can gain a deeper understanding of the core concepts taught and a greater appreciation for the realities of work in the field than they can in a strictly classroom setting. The technical competencies that are basic to HRD, according to McLagan (1989), include (among others): *adult learning and understanding*, which relates to knowing how adults acquire and use knowledge skills and attitudes; *career-development theories and techniques understanding*, which relates to knowing the techniques and methods used in career development and understanding their appropriate uses; and *facilities skill*, which is planning and coordinating logistics in an efficient and cost effective manner. Through the experience, the students also gain business competencies such as industry understanding and organization-behavior understanding, and interpersonal competencies like negotiation skills, and group-process skill, and questioning skills that prepare them to succeed in the field (p. 56).

Because book learning and lecture do not translate well to understanding of day-to-day functions and broad responsibilities of an HRD professional, it has become important to look at other methods of education. Although generalization at this early stage would be inappropriate, preliminary findings seem to indicate that students who have service-learning experiences are more confident in their own abilities, as are the educators who work with them. It also appears that other advanced level courses, including HRD, could benefit from the hands-on style of training that occurs in academic SL. For example, because of the broad nature of HRD, and the difficulty of preparing students for specific experiences or challenges they may encounter in their careers, the authors argue that by allowing students to actually perform the required duties for real organizations, the students would concretely learn and be able to use professional development skills vital to success in HRD. It seems ideal for HRD, not only because it instills in students a real perspective of course content, but also because "as a form of experiential education, service-learning develops student' abilities as change agents, gives them a sense of belonging, and fosters the development of competence" (Carver, 1997, p. 149). More research is needed on the subject, however, before making any definitive conclusions.

References

- Arnold, K., & Kiosoglou, C. (June, 2003). *Technology and assessing the workplace competencies*. Symposium conducted at the 2003 Assessment Conference: A Richer and More Coherent Set of Assessment Practices, Seattle, Washington.
- Beltram, P. K., Green, D., Harvey, M. M., & Harris, C. R. (1999). Business student organizations: Bridging the gap. *Business Education Forum*, 54(2), 49-51.
- Brown, K. A. (2000). Developing project management skills: A service learning approach. *Project Management Journal*, 31(4), 53-59.
- Bush-Bacelis, J. L. (1998). Innovative pedagogy: Academic service-learning for business communication. *Business Communication Quarterly*, 61(3), 20-34.
- Carver, R. L. (1997). Theoretical underpinnings of service learning. *Theory Into Practice*, 36(3), 143-149.
- Clark, S.C. (2000). The more we serve, the more we learn: Service learning in a human resource management course. In P. C. Godfrey & E. T. Grasso (Eds.), *Working for the common good: Concepts and models for service-learning in management* (pp. 133-147). Washington, DC: American Association for Higher Education.
- Clark, T., Croddy, M., Hays, W., & Philips, S. (1997). Service learning as civic participation. *Theory Into Practice*, 36(3), 164-170.
- Easterling, D., & Rudell, F. (1997). Rational benefits and methods of service-learning in marketing education. *Journal of Education for Business*, 73(1), 58-61.
- Gagne, R. M. (1962). Military training and principles of learning. *American Psychologist*, 17(2), 83-91.
- Kenworthy, A. L. (1996). Linking business education, campus culture and community: The Bentley service-learning project. *Journal of Business Ethics*, 15(1), 121-132.
- Kenworthy-U-Ren, A. L. (2000). Management students as consultants: A strategy for service-learning in management education. In P. C. Godfrey & E. T. Grasso (Eds.), *Working for the common good: Concepts and models for service-learning in management* (pp. 55-67). Washington, DC: American Association for Higher Education.
- Knowles, M. S., Holton III, E. F., & Swanson, R. A. (1998). *The adult Learner: The definitive classic in adult education and human resource development*. Gulf Publishing Company Houston, Texas.
- Kolb, D.A. (1984) *Experiential Learning: experience as the Source of Learning and development*. Englewood-Cliffs, NJ: Prentice-Hall.
- McCarthy, A. M., & Tucker, M. L. (2002). Encouraging community service through service learning. *Journal of Management Education*, 26(6), 629.
- McGoldrick, K., Battle, A., & Gallagher, S. (2000). Service-learning and the economics course: Theory and practice. *American Economist*, 44(1), 43-53.
- McLagan, P. A. (1989). Models for HRD practice. *Training and Development*, 43(9), 49-59.
- Rama, D. V., Ravenscroft, S. P., Walcott, S. K., & Zlotkowski, E. (2000). Service-learning outcomes: Guidelines for educators and researchers. *Issues in Accounting Education*, 15(4), 657-693.
- Swanson, R. A., & Holton, E. F. (2001). *Foundations of human resource development*. San Francisco, CA Berrett-Koehler Publisher, Inc.
- Zlotkowski, E. (1996). Opportunity for all: Linking service-learning and business education. *Journal of Business Ethics*, 15(1), 5-20.

Conceptualizing and Measuring Employee Response to Imposed Technological Change

Robert Reardon
University of Georgia

This paper presents preliminary findings from a study to characterize the way that skilled industrial workers respond to technological changes imposed on their workplace. A framework is developed which includes the central construct of employee response, and three predictors; characteristics of the organization, characteristics of the change, and characteristics of the employee. A survey instrument was developed to measure employee response and these predictors. The instrument was then tested in a pilot study.

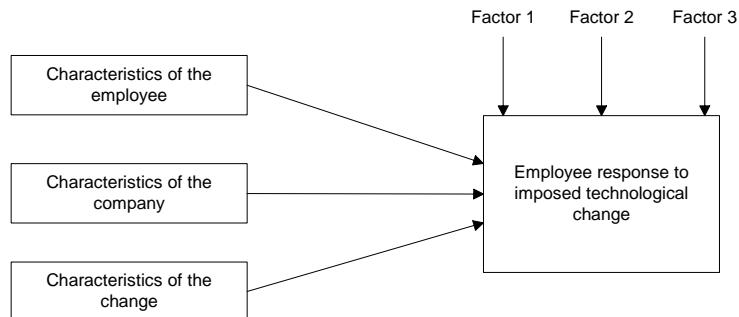
Keywords: Innovation, Employee Training, Informal Learning

The rate of technological change has increased dramatically over the last twenty years. Workers would often find themselves in the same work environment for much of their work life. Today, computerization and other new technologies create a dynamic environment. Research and literature has focused on voluntary adoption of innovation. Very little work has looked at skilled industrial workers and their response to imposed technological change. An understanding of their responses might help in the design and implementation of technological change in the workplace. This paper describes the process of developing a survey instrument to measure and characterize employee responses to imposed technological change. This process includes survey development and testing through a pilot study.

Problem Statement

Many authors have touched upon responses that may be expected when a skilled industrial worker is faced with an imposed technological change. These include affective responses such as concern (Hall & Hord, 1987). They also report on cognitive responses such as informal learning (Boud & Garrick, 1999; Marsick & Volpe, 1999). Other authors describe social activities such as social networking and opinion leadership (Rogers, 1995; Senge, 1990; Watkins & Marsick, 1994). In the literature there is no comprehensive look at employee response to imposed technological change. Employers would benefit from knowing what sort of responses can be expected when their skilled industrial workers are forced to start using new technology. Building on this, employers would benefit from knowing what inputs affect these responses. These predictors could include characteristics of the change, characteristics of the organization, and characteristics of the individual. These predictors are shown in Figure 1.

Figure 1. Logical Framework for the Study.



Research Objective

The objective of this study is to develop a survey instrument which measures the central construct and the three predictors shown in Figure 1. This instrument will eventually be used in a larger study to investigate the relationships among the input predictors and the factors of employee response.

Copyright © 2004 Robert F. Reardon

Theoretical Background

A great deal of research has looked at the adoption of innovations by individuals and organizations. Other researchers have studied how imposed change in educational settings creates a climate of concern among educators.

Diffusion

In his seminal text, *Diffusion of Innovation* (1995), Rogers describes factors that affect the rate of adoption of new innovations. This work assumes that there is a choice to adopt or not adopt. A huge amount of research has validated and supported the ideas put forth by Rogers. The concepts of diffusion do not apply to an industrial setting, where the adoption decision is made by management for the individual.

However, this study presumes that the factors that affect the rate of adoption may affect the response of workers when innovation is forced on them. Rogers (1995) describes five attributes of the innovation that affect the rate of adoption. These are relative advantage, compatibility, complexity, trialability, and observability. Rogers states that innovations that are perceived to have a high relative advantage are more quickly adopted than other innovations. For example, it follows that workers that perceive that an innovation with many advantages may respond differently than they would if the innovation was perceived as a waste of time. This study assumes that employee response to imposed technological change may be related to these five attributes.

Responses

Other researchers have studied the affective responses of employees when faced with change. Zuboff (1988) has reported on the effects of technology in the workplace. She predicts large changes in organizational structures, with authority and decision-making residing in lower regions of the organization. She reports that these changes create fears in workers, including fear of being replaced by automation and not being qualified for the new workplace. Hall and Hord (1987) have written about change in schools, and how educators proceed through several Stages of Concern. They have developed a questionnaire which assesses how the change is affecting the educators. Hall and Hord assert that each educators progresses through these stages as they adopt and learn a change.

Others have looked at the affective and cognitive responses of information technology (IT) users. Davis (1986) developed a technology acceptance model which was designed to predict the acceptance of new technologies. Other researchers (Dillon & Morris, 1996; Morris & Venkatesh, 2000; Venkatesh & Morris, 2000) have applied this work to look at relations between characteristics of the individual and the acceptance of new technology.

Learning

Several different types of learning are available to industrial workers being exposed to new technology. Formal training is often provided to workers when the change is significant. In some cases, formal training is mandated by regulatory agencies, such as the Occupational Safety and Health Administration or the Food and Drug Administration. However, skilled industrial workers can learn about new technologies through informal learning. Some sources assert that 70 to 90% of all workplace learning takes place informally (Stolovitch & Keeps, 1999). Marsick and Watkins (1990) have defined informal learning as unstructured, experiential, and non-institutional. Context is seen as critical to informal learning (Cseh, 1998; Marsick & Volpe, 1999). A highly structured environment will tend to limit informal learning to lessons in "how things are done here" (Marsick, Volpe, & Watkins, 1999).

On the other hand, an organization that is designed to encourage collaboration and learning through social networking is called a learning organization (Watkins & Marsick, 1994). Authors writing of learning organizations describe disciplines needed by employees (Senge, 1990), social networks that are key (V. J. Marsick & K. E. Watkins, 1999), or forms of communications that must be nurtured (Argyris & Schön, 1996). Watkins and Marsick (Watkins & Marsick, 1994) developed a questionnaire, the Dimensions of the Learning Organization Questionnaire (© 1994 Watkins and Marsick) to measure the extent to which organizations were learning organization. The questionnaire's validity and reliability has been established through further research (Yang, Watkins, & Marsick, 1999).

Method

The goal was to have a survey that would take about fifteen minutes to fill out. Most of the items on the survey are 4-level Likert-type items. Each item is a statement and the respondent is asked to strongly disagree, disagree, agree, or strongly agree with the statement.

The items for the predictors were drawn from the literature, but the items for the central construct, employee response, were drawn from numerous sources in an attempt to develop a comprehensive list of employee responses. A panel of content experts reviewed these items to eliminate redundancies and validate the remaining items. Finally, the survey was tested in a pilot study.

Development of the Predictors

Items to measure the three predictors were drawn from the literature. In order to constrain the length of the survey, these predictors are measured with a few items. The items are then summed to give a single measure representing the characteristics of the organization or characteristics of the change. The survey contains seven demographic questions at the end to gather information about characteristics of the individual.

Characteristics of the organization. Watkins and Marsick (1994) developed the Dimensions of the Learning Organization Questionnaire (DLOQ) to measure the seven dimensions within an organization. This survey instrument is reliable and has been validated in the literature (Yang, Watkins, & Marsick, 1998). However, the entire DLOQ would greatly add to the length of this survey instrument.

Yang (Yang et al., 1999) had proposed a selection of seven items drawn from the DLOQ. These seven items could be administered and the results summed to provide a unitary measure of the extent that an organization was a learning organization. These seven items were selected and used without modification to measure the characteristics of the organization.

Characteristics of the change. The literature did not provide a short instrument for measuring the characteristics of the change. However, Rogers (1995), does provide a list of attributes of the change that have an impact on the rate of adoption. Five items for the survey were drawn from Rogers list of attributes and one item was added which stated "The company did a great job preparing for this change."

Development of the Central Construct

Items for the central construct came from three sources; review of the literature, a brainstorming session with skilled industrial workers, and two qualitative studies by the author. A panel of subject matter experts reviewed the list for validity and redundancy.

Review of the literature. The author scanned many books and journal articles looking for descriptions of things that may be considered employee response to imposed technological change. This review included literature from employee training, organizational development, adult education, educational change, organizational psychology, This included the traditional change literature (Hall & Hord, 1987; Havelock & Havelock, 1973; Levine, 1980; Rogers, 1995; Tornatzky & Fleischner, 1990; Zaltman, Duncan, & Holbek, 1973). Recent work that took a new approach was included (Davis, 1986; Dillon & Morris, 1996; Venkatesh & Morris, 2000). Other articles and texts scanned for responses include the literature related to learning organizations (Argyris & Schön, 1996; Victoria J. Marsick & Karen E. Watkins, 1999; V. J. Marsick & K. E. Watkins, 1999; Senge, 1990; Watkins & Marsick, 1994) and informal learning(Boud & Garrick, 1999; Boud & Middleton, 2002; Dewey, 1998; Knowles, 1990; Marsick & Volpe, 1999; Marsick & Watkins, 1990; Volpe, 1999). Some of the items were drawn from writing with a critical perspective (Boud & Garrick, 1999; Drygulski, 1990). Finally, some of the items were drawn from scholars of situation cognition (Choi & Hannifin, 1995; Lave & Wenger, 1991; Wenger, 1998) and organizational psychology (Schein, 1994). This review of the literature produced seventy-three responses.

Brainstorming session. A brainstorming session was held to solicit responses to imposed technological change. The participants were a convenient selection of four workers from a polymer production facility. Two of the participants were experienced plant operators, one white and one African-American. One participant was a white operator with just two years experience. The final participant was a white mechanic with ten years experience. The participants were asked to describe how they react to new technology when it is forced on them in their workplace. The session was supposed to last sixty minutes, but it lasted ninety minutes. The participants talked about how they learned to use new technology and they discussed how they felt about the process, the planners, their coworkers, management and the changes that had been made. The brainstorming session was tape recorded and transcribed. Eight-four items were drawn from the transcript of this meeting.

Qualitative studies. The first study investigated how engineers learn in the face of organizational change (Reardon, 2002). One of the interview questions in the study specifically asked the engineers to describe how they learned about an imposed technological change. The second study (in progress) examined how radio disk jockeys learned to use new technology. The transcripts from these studies were closely examined to identify specific responses to imposed technological change. These two studies yielded 50 items.

Reflection. Finally, the researcher recorded items that occurred as he discussed or thought about this research. These items were from personal observations of specific responses in the workplace. This list had 13 items. When this collection of responses was complete it had 220 items.

At this point in the process it was becoming difficult to generate new items. Many of the last items were repeats of items found in others sources. This was an indication that the item pool was saturated and further efforts would not generate unique items.

Survey Development

The list of items was refined and reviewed. The intention of the review process was to end up with a comprehensive list of items with no redundancies. Once the item refinement was complete a prototype survey was written and reviewed.

Item refinement. The initial list of 220 items was reviewed, reduced and validated in two steps. In the first step, the researcher grouped the items and assigned crude, temporary categories to aid the review of the item pool. The categories were "Feelings," "Avoidance behaviors," "Learning," "Compound," "Trust," "Teaching," and "Burnout". These categories were not meant to serve any function other than convenience for the items reviews. The purpose of the exploratory factor analysis is to discover the actual categories or factors.

The review process had three goals. First, numerous items were "compound" since they contained more than one response. An example is "I disliked the technological change because I felt that it might eliminate my job." Compound items were split into appropriate items. Second, redundant items were eliminated. Finally, items that did not match the construct of employee response to imposed technological change were eliminated. After the review process, seventy-two items remained.

Next, a group of four graduate students in adult education was assembled to review the list. This review took place during two sessions two weeks apart. Because of a schedule conflict, one of these students was replaced for the second session. These students were given a definition of an employee response to imposed technological change; "a change in behavior, knowledge, emotional state, or social interactions that is directly linked to the imposed technological change. It can be internal or observable." These students were asked to review the list in terms of four criteria. First, did the item match the definition? Second, which items are redundant? Third, was the item worded correctly? Finally, were there items that were not included? Of the seventy-two items in the second pool, eighteen items were eliminated. Among the remaining fifty-four items, the group modified several items to improve clarity or eliminate ambiguity. The group did not suggest any new items for the list. This supports the assertion that the list of fifty-four items is saturated.

Crafting of the survey instrument. Once the list of items was developed, a prototype survey was written. The survey is intended to be given to skilled industrial workers. In the experience of the author, most of these workers have high school educations and there is a significant fraction that read at or below the fifth grade level. Therefore the language and structure of the survey instrument is straightforward and short. The instrument consisted of four sections. The first section contained the seven items pulled from the DLOQ and was designed to determine the learning "character" of the organization. The second section contained the six items designed to provide a measure of the perceived characteristics of the change. The third section measured the central construct of employee response and consisted of fifty-four items. The final section included seven demographic questions about age, race, gender, education and experience. These questions were written following the guidelines of the Institutional Review Board of the University of Georgia. The survey instrument was five pages long and consisted of seventy-four items.

Pre-pilot testing. The prototype survey instrument was given to seven individuals. Five individuals were a convenient selection of skilled industrial workers and two were graduate students in adult education. These participants were asked to look for errors or anything that would cause confusion or offense. They were asked to record how long it took to take the survey. This process found one typographic error, but did not reveal any other problems with the instrument. The participants reported that it took ten to twenty minutes to take the survey.

Pilot Study

The survey instrument was tested in a pilot study at a chemical plant with plant operators and instrument technicians. The purpose of the pilot study was to test the survey administration and check the reliability of two of the input constructs: characteristics of the organization and characteristics of the change.

Pilot study setting and population. The survey instrument was administered to a group of forty-four employees at a chemical plant in the southeastern United States. The participants were plant operators and instrument technicians who had been forced to learn a new computer system used to control the chemical operations inside the plant. The participants in the study were 93% male and 87% white. Most of the participants (58%) had stopped their formal education at high school. Eight-four percent of the participants were over forty and the median age was forty-seven. According to the human resource team leader, this plant has a low turnover rate. The plant was built in 1984.

Pilot study administration. One week prior to the start of the survey, each participant received an email describing the purpose and nature of the survey. This email also announced that one of the respondents would receive a \$50 gift certificate. The winner would be chosen by random from among the employees that returned surveys.

Each participant received a survey instrument through the plant mail. The surveys were serially numbered and the researcher maintained a cross reference of names and numbers. This cross-reference identified who received

reminders and replacement surveys and was used to determine who was eligible for the drawing. The cross reference was destroyed after the prize drawing.

Each of the survey instruments had a cover letter explaining the survey procedure and the drawing for the gift certificate. This letter also assured the participant that the survey was voluntary and confidential. The survey also included a letter that explained implied consent and provided information about the rights of the participants. Finally, the survey instrument included an addressed and stamped envelope to return the completed survey.

Two weeks after distribution of the initial survey, the researcher sent an email to each participant who had not responded. The email reminded the participant of the survey and its purpose. The email also reminded the participant of the drawing for the \$50 gift certificate.

Finally, four weeks after the initial survey distribution, replacement surveys were mailed to all the participants who had not responded. This package was identical to the initial package, except the cover letter was slightly modified to reflect that this was a replacement package.

Results and Findings

The administration of the survey went well. Each mailing resulted in a significant number of responses. In all, 59% of the participants responded. For the most part, the surveys were completely filled out. One respondent omitted one item. Another respondent declined to fill out the demographic items. Other than these omissions, all items were completed on all of the returned survey instruments. There was no evidence that respondents just ran down the page checking all the same responses.

Item Response Variability

In the central construct of employee response all fifty-four items had three or four of the possible four responses. None of the distributions seemed highly skewed. The variance of responses for the central construct appeared sensible, so none of those items will be modified in future studies.

Construct Validity

The validity of each section was established by different means. The DLOQ was the basis for the first section of the survey instrument. This section was intended to measure the characteristics of the organization. Yang, et al, (1998) reviews a study that validated the DLOQ by comparing the answers of 469 respondents to a set of business outcomes. An additional study by Ellinger, et al, (2002) validated the instrument by comparing the results of the DLOQ against other established measures of business success. The second section of the survey instrument was the characteristics of the change section. The items in this section were drawn from Rogers' research on innovation. Rogers first proposed five attributes that predict the adoptability of an innovation in 1970. Since then, literally hundreds of studies have validated his work. Thirty years later, research is using these concepts when looking at the diffusion of innovations in health care and education. The robust nature of these concepts supports their validity.

The construct validity of the items in the section measuring responses is established in three ways. First, the items were drawn from three sources: the literature, a brainstorming session and two prior research studies. Second, the items were reviewed by a team of graduate students in adult education. Finally, the prototype survey was given to seven participants prior to the pilot study. During the debriefing, none of the participants had trouble with any of the items, and stated that they clearly understood that the central construct was employee response to imposed technological change.

Reliability

It was necessary to determine the reliability of the first two sections. The reliability of the short form of the DLOQ was not discussed in any existing literature. The coefficient alpha of this section drawn from the DLOQ was 0.90. This is an acceptably high value and indicates that the section has internal reliability.

The second section, related to the characteristics of the change, was written for this study. There was no short instrument for measuring the characteristics of the change. So, although these items were drawn from Rogers, there reliability as a tool needed to be established. The coefficient alpha for this section was 0.88.

The deletion of any one item did not substantially raise the coefficient alpha in either of these two sections. This study did not look at coefficient alpha of the central construct. Future research will focus on dividing these fifty-four items into factors. The coefficient alpha for these factors will be an important measure during that research.

Inter-item Correlation (Redundancy)

The inter-correlation of each possible item pair was calculated for all input and output items. Items with inter-correlations greater than 0.75 were examined to make sure that the survey did not include items that were semantic duplicates of each other. None were found.

Conclusions

This pilot study provided valuable information regarding the survey instrument. The sample size was sufficient to draw certain conclusions from the research. This research objective was accomplished since a survey instrument was developed that measures the constructs shown in Figure 1.

The sections of the survey instrument seem to be valid and reliable. Participants completed the survey instrument, apparently with few problems. The administrative procedures described for the pilot study worked well, and the response rate was acceptable.

Limitations

The administrative procedures described here will not work in all places. Some industrial environments still do not use email, so the notices will need to be mailed to the participants. Some industrial environments do not mail things to employees inside the plant, but mail them to their homes. It will be harder to communicate to these types of employees while maintaining a sense of confidentiality.

Not all skilled industrial workers are literate. This survey was written in a simple straightforward way, but it still requires reading skills at or about the eighth grade reading level (the mandated language of the informed consent form was even higher – twelfth grade).

There were not enough responses to do a factor analysis of the central construct. That will be one of the goals of the main research study. During that study, the items of the central construct will be grouped into factors. There may be some reduction in the number of items at that time.

Application to HRD

This paper reports on a new survey instrument that will measure employee responses and three input predictors; characteristics of the organization, characteristics of the change, and characteristics of the employee. This instrument has potential use in theoretical research and practical applications.

Theoretical Implications

Researchers have studied learning organizations and innovations for years as separate research areas. This instrument considers characteristics of the organization, characteristics of the change, and characteristics of the employee as input predictors to employee response. Currently this study is being used in a research study at several manufacturing facilities. The objective of this study is to explore the concept of a model of employee response. This model would link these predictors to employee response and provide a clearer vision of what leads to successful innovation in manufacturing.

Practical Implications

Technological change is a key to success in manufacturing. Companies work hard to reduce costs of manufacture by implementing new technology. The cost of new technology is offset by increases in productivity and the reduction of cost. In order to realize these benefits companies must rely on employees' effective use of the new technology. Therefore, new technology is closely related to two key functions of HRD - employee training and organizational learning. This survey attempts to measure and characterize the relationship among characteristics of the individual, characteristics of the organization, characteristics of the change, and employee response to imposed technological change. Understanding this will help employers design and implement change in a way that is most beneficial to the company and the employee. This relationship will not be established until after the main study is complete.

References

- Argyris, C., & Schön, D. A. (1996). *Organizational learning II: Theory, method, and practice*. Reading, MA: Addison-Wesley.
- Boud, D., & Garrick, J. (1999). *Understanding learning at work*. London: Routledge.
- Boud, D., & Middleton, H. (2002). *Who do we learn from at work? Interlinked communities of practice and informal learning*. Paper presented at the Adult Education Research Conference, Raleigh, NC.
- Choi, J.-I., & Hannifin, M. (1995). Situated cognition and learning environments: Roles, structures, and implications for design. *Educational Technology Research and Development*, 42(2).
- Cseh, M. (1998). *Managerial learning in the transition to a free market economy in Romanian private companies*. Unpublished Dissertation, University of Georgia, Athens, GA.
- Davis, F. D. (1986). *A technology acceptance model for empirically testing new end-user information systems: Theory and results*. Unpublished Ph.D. Dissertation, Massachusetts Institute of Technology, Cambridge, MA.

- Dewey, J. (1998). *Experience and education: The 60th anniversary edition*. West Lafayette, IN: Kappa Delta Pi.
- Dillon, A., & Morris, M. G. (1996). User acceptance of information technology: Theories and models. *Annual Review of Information Science and Technology*, 31, 3-32.
- Drygulski, B. (Ed.). (1990). *Women, work, and technology; Transformations*. Ann Arbor, Michigan: The University of Michigan Press.
- Ellinger, A. D., Ellinger, A. E., Yang, B., & Howton, S. W. (2002). The Relationship between the Learning Organization Concept and Firms' Financial Performance: An Empirical Assessment. [and] Invited Reaction: Linking Learning with Financial Performance. *Human Resource Quarterly*, 13(1), 5-21, 23-29.
- Hall, G. E., & Hord, S. M. (1987). *Change in schools: Facilitating the process*. Albany, NY: State University of New York Press.
- Havelock, R. G., & Havelock, M. C. (1973). *Training for change agents: A guide to the design of training programs in education and other fields*. Ann Arbor, MI: The University of Michigan.
- Knowles, M. (1990). *The adult learner: A neglected species* (4th ed.). Houston: Gulf Publishing Company.
- Lave, J., & Wenger, E. (1991). *Situated learning: Legitimate peripheral participation*. Cambridge, UK: Cambridge University Press.
- Levine, A. (1980). *Why innovations fail*. Albany, NY: State University of New York.
- Marsick, V. J., & Volpe, M. (Eds.). (1999). *Informal learning on the job* (Number 3, 1999 ed.). Baton Rouge, LA: The Academy of Human Resource Development.
- Marsick, V. J., Volpe, M., & Watkins, K. E. (1999). Theory and practice of informal learning in the knowledge era. In V. J. Marsick & M. Volpe (Eds.), *Informal learning on the job* (pp. 80-95). Baton Rouge, LA: The Academy of Human Resource Development.
- Marsick, V. J., & Watkins, K. E. (1990). *Informal and incidental learning in the workplace*. London: Routledge.
- Marsick, V. J., & Watkins, K. E. (1999). Envisioning new organisations for learning. In D. Boud & J. Garrick (Eds.), *Understanding learning at work*. London: Routledge.
- Marsick, V. J., & Watkins, K. E. (1999). *Facilitating learning organizations*. Hampshire, England: Gower.
- Morris, M. G., & Venkatesh, V. (2000). Age differences in technology adoption decisions: Implications for a changing workforce. *Personnel Psychology*, 53(2), 375-403.
- Reardon, R. (2002). *How engineers learn in the face of organizational change*. Paper presented at the AHRD 2002 Conference, Honolulu, HI.
- Rogers, E. M. (1995). *Diffusion of innovations* (4th ed.). New York: The Free Press.
- Schein, E. H. (1994). *Organizational psychology* (3rd ed.). Upper Saddle River, NJ: Prentice-Hall.
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday Currency.
- Stolovitch, H. D., & Keeps, E. J. (1999). *Handbook of human performance technology: Improving individual and organizational performance worldwide* (2nd ed.). San Francisco: Jossey-Bass Pfeiffer.
- Tornatzky, L. G., & Fleischer, M. (1990). *The processes of technological innovation*. Lexington, MA: Lexington Books.
- Venkatesh, V., & Morris, M. G. (2000). Why don't men ever stop to ask for directions? Gender, social influence, and their role in technology acceptance and usage behavior. *MIS Quarterly*, 24(1), 115-139.
- Volpe, M. (1999). Learning informally in the aftermath of downsizing. In V. J. Marsick & M. Volpe (Eds.), *Informal learning on the job* (pp. 10-21). Baton Rouge, LA: AHRD.
- Watkins, K. E., & Marsick, V. J. (1994). *Sculpting the learning organization: Lessons in the art and science of systematic change*. San Francisco: Jossey-Bass.
- Wenger, E. (1998). *Communities of practice: Learning, meaning, and identity*. Cambridge, UK: Cambridge University Press.
- Yang, B., Watkins, K. E., & Marsick, V. (1999). *The construct of learning organization: dimensions, measurement, and validation*. Manuscript submitted for publication.
- Yang, B., Watkins, K. E., & Marsick, V. J. (1998). *Examining construct validity of the Dimensions of the Learning Organization Questionnaire*. Paper presented at the Annual Academy of Human Resource Development Conference, Chicago, IL.
- Zaltman, G., Duncan, R., & Holbek, J. (1973). *Innovations and organizations*. New York: John Wiley & Sons.
- Zuboff, S. (1988). *In the age of the smart machine: The future of work and power*. New York: Basic Books.

Effective Management Communication: A Study of Employees' Perceptions of Online and Face-to-face Communications

Sharon Jeffcoat Bartley

Virginia W. Kupritz

The University of Tennessee

Jennifer L. Mills

The benefits of effective face-to-face communication between managers and staff are widely appreciated; however, the costs associated this mode of communication require organizations to make decisions about when scarce resources should be allocated for face-to-face communication and when electronic communication could be utilized. HRD professionals should be sensitive to different modes of communication in order to communicate effectively with employees. This study examines employees' perceptions of appropriate times that management can effectively use electronic communication.

Keywords: Online Communication, Face-to-face Communication, Electronic Communication

The ability to work and communicate in a virtual world allows companies to eliminate the restrictive boundaries of time, space and geography and mobilize a virtual workforce. Innovative technologies provide information on demand, hold reservoirs of shared knowledge, and enable real-time communication to occur globally (McAteer, 1994). As technology challenges businesses to keep up with innovations, employers must address the issue of how their employees are impacted by the way information is provided to them. Managers must know how the communication mode affects the message and must act to ensure all communication is effective no matter the mode utilized. However, few studies have addressed the impact of technology on communication between management and employees.

The purpose of this study was to determine employees' perception about the types of information management could use to effectively communicate with them through electronic communication to augment face-to-face contact with employees. The study addresses these research questions:

1. What type of information can management effectively communicate with employees through electronic communication rather than with face-to-face contact?
2. What type of information is face-to-face contact critical for management to communicate with employees?
3. What type of information is electronic communication critical for management to effectively communicate with employees?

Review of Literature

Alfred G. Smith (1966) defined effective communication as "the success with which the meaning conveyed to the receiver leads to the desired conduct of his part" (p. 16). Effective communication of various types of information relies on contextual cues to provide information at the conscious and unconscious level and facilitate meaning so that the uses of language can be understood (both verbal and nonverbal) along with the particular situation and circumstances (Gundling, 1999; Hall, 1983). The role of context to communicate meaning is a powerful yet subtle tool. A review of the literature reveals that the full implications of context in communicating meaning of various types of information in the workplace are not yet understood. Words, control over format, voice tone, immediate feedback, nonverbal cues (facial expressions and gestures), environmental cues (both social and physical), direct physical exchange (e.g., a handshake), and informal contact (e.g., incidental meeting in the hallway) comprise some of the many contextual cues employees use to communicate and interpret meaning (Gundling, 1999).

Face-to-face communication provides the most contextual cues to communicate meaning of information and is the most personal and immediate of all forms of communication (O'Mara, 1999). The need for face-to-face contact in the workplace depends upon how much personal contact is required by the work process and depends upon the particular situation and circumstances. While face-to-face contact provides the most personal and immediate way of transacting business, costs associated with face-to-face communication necessitate the need for organizations to

Copyright © 2004 Sharon Jeffcoat Bartley, Virginia W. Kupritz, & Jennifer L. Mills

determine when to use this resource and when the alternative, less costly resource of electronic communication can be substituted (O'Mara, 1999). Current literature suggests face-to-face communication holds the most potential for playing a powerful and influential role in organizations as it relates to leadership, organizational climate, culture and organizational transformation (Gamble & Kelliher, 1999). Face-to-face contact is especially important when communicating types of information across disciplines or across cultures where differences in *context* play a critical role in understanding the meaning of a situation (Gundling, 1999; O'Mara, 1999; Kikoski, 1999). Face-to-face interaction allows for interruption and feedback while it fosters learning, and is found to be most valuable with information that is difficult to verbalize, complex in nature, or uncertain and ambiguous. Meetings conducted face-to-face with managers and employees enable social context cues to be present, which have shown to build trust among employees and managers in various studies (Scott, 2000). This trust is a critical area in organizational management with a recent study indicating that 47 percent of interviewed employees viewed employee trust as a major problem in the work force (Wright, 1996).

The need for face-to-face communication may be questioned, however, regardless of its benefit or usefulness when effective organizational communications systems are available, because of resources necessary to maintain face-to-face communication. When effective organizational communication systems are available for transmitting various types of information, communication networks have the ability to stretch from office to office, building to building, state to state and ultimately, across the globe. Organizations must constantly evaluate the effectiveness of the communication modes utilized for various types of information as they deal with the realization that while certain modes can provide real time responses, the sense of distance with technology-mediated communication is ever present and presents a handicap in terms of practice, learning, and knowledge sharing (Brown & Duguid, 2000). The use of technological innovations tends to simplify and isolate information that removes much of the context and meaning. Gundling (1999) describes context as the "core intercultural issues when using communication technologies" (p. 30). When context and meaning are removed from a message, the richness of the communication is removed, and only a very basic form of communication occurs (Brown & Duguid, 2000).

Within the virtual work environment, interpretation of messages can suffer because important contextual cues needed to communicate meaning of information are missing (Brown & Duguid, 2000; Kupritz & McDaniel, 1999; Gundling, 1999). If face-to-face contact provides important contextual cues for interpreting and prioritizing information to communicate meaning, then it stands to reason that the greater the uncertainty there is about the meaning and importance of information, the greater the need for contextual cues provided by face-to-face contact.

The medium used for transmission of the message may affect the content of the message as well as its form. Face-to-face interaction can be used as a prototype to evaluate the forms of communication that are growing in popularity today. Three features apparent in face- to-face communications are facial expressions, meaningful non-verbal acts such as gestures and touches, and instantaneous collaboration (Bavelas & Hutchinson, 1997). Today the major modes utilized in technology-mediated communication of information range from email, voicemail, video conferencing, newsletters, bulletin boards, and on-line chats. Each of these modes sends out cues from the sender to the receiver within the message.

In our rapidly evolving world, the increasing demand for innovative technology calls on development of its power, affordability, and usability. Organizations become increasingly more modular and virtual, with joint ventures, strategic partnerships and outsourcing made more prevalent by technology. The overall results of these changes are increased resources, greater efficiency, and faster time to market (Scott, 2000). Electronic communication innovations for transmitting types of information such as email, video-conferencing, instant messaging and mobile phones affect the way daily tasks are carried out in the highly competitive world of business today with email one of the most common computer-based communication tools used. As technologies become more and more a part of our lives, assumptions about how to use technology to transmit information need to be challenged so that technology is value adding (McAteer, 1994).

The ability to develop, integrate and use an effective organizational communication system is at the core of effective organizations (Ulrich, 1997). Organizations have a variety of systems in place to move information from one location to another—media management, meeting management, public relation departments, and Human Resource systems—with technology providing new methods to remove barriers of space, distance, and time; however, employees asked about the adequacy of communication within their organization responded that communication is inadequate, with too little information provided (Ulrich, 1997).

An effective organization communication system also requires accommodation for *privacy* needs (Kupritz, 2000). Research over the past 30 years indicates that privacy is an important concern for employees that should not be overlooked when addressing the needs of an organization. Uses of the term "privacy" in work environments typically reflect the regulation of interaction by which employees utilize information controls to gain temporary limited exchange with others (Sundstrom, 1986).

Methodology

This section describes the study participants, sample size, trustworthiness of data, data collection procedures, and data analysis.

Participants

This study utilized purposeful sampling to identify twenty-four employees whose communication with higher management was through face-to-face interaction as well as through email. Such a sample size in qualitative research supports information richness (Lincoln and Guba, 1985) and the saturation of data or redundancy (Patton, 1990). Redundancy occurs when subsequent responses to questions do not provide additional insights (Kupritz, 2002).

A structured interview was conducted with each of the twenty-four workers who maintain similar job functions within the company, a major U.S. bank with over 600 branches spread over seven states. The organization relies heavily on electronic communication due to the vast physical space between branches and headquarters and the immediate need for information to be forwarded to those locations.

Using a “typical sampling” strategy which highlights what is normal or average (Merriam, 1998; Miles and Huberman, 1994), participants were sought who held professional positions, reported to higher management located within the same office facility as the participants, and had been in their current positions for at least six months. The general work responsibilities of these employees entailed facilitating branch sales activities and providing exceptional customer service, and recognizing and meeting customer needs by proactively selling and cross-selling bank products and services. Work responsibilities also included handling daily operational issues, meeting consumer lending needs, being aware of and taking security precautions at all times, and generating new consumer and business customer business. One of the investigators for the study worked at the same office facility as did the participants and was thoroughly familiar with the various work roles and responsibilities of these employees.

Trustworthiness of Data

The structured interviews emphasized personal constructs of respondents to establish authenticity and trustworthiness through the nature and format of the questions asked, followed by content analysis techniques (see Denzin, 1978; Denzin and Lincoln, 1994; LeCompte and Schensul, 1999). Interview questions were designed to exhaust the range of respondent perceptions about the variables being examined to decrease the likelihood of overlooking significant chunks of a domain (LeCompte and Schensul, 1999; Spradley, 1979, 1980). The questions asked avoided “referential meaning” by asking for “use through contrast, similarity, uniqueness, and the ideal in an effort to exhaust a domain” (LeCompte and Schensul, 1999; Spradley, 1979, 1980).

A pilot study was conducted with office workers from the same target population as the participants in the study to determine content validity and appropriateness of the interview questions. Refinements were made to some of the questions for better clarity and to strengthen the interview process. As part of the pilot study, the office workers also shared with the investigators their personal constructs for the word “productive” which was a crucial word used in the interview questions. Workers defined “productive” as “producing”; “completing a job or task in a productive manner”; “to move forward”; “doing your job in a competent, efficient and accurate manner”; “to effectively use time and resources that are available to complete a desired task in the shortest time possible”; “to do quality work in a timely manner”; “generating work in a successful and timely way”; “completing a task in an efficient amount of time”. Prior to the official interview, each participant reviewed these constructs for accuracy to ensure a shared meaning of language. Respondents agreed that the descriptions accurately conveyed the meaning of “productive.”

After content analysis, cumulative frequencies for similar types of items and attributes were calculated to determine how often similar types were elicited. This allowed the investigators to determine included terms elicited most frequently and to gain a better understanding about the distribution of beliefs across domain categories. Linking qualitative and quantitative data enables confirmation and corroboration of both through triangulation (Rossman and Wilson, 1991), and helps investigators “see the general drift of the data more easily and rapidly by looking at distributions” (Miles and Huberman, 1994, p. 253).

The investigators independently analyzed the data with each item and attribute represented in some domain category. No discrepancies were noted between the two analyses when they were compared. Participants reviewed domain categories and tentative assertions for accuracy with positive feedback. Peers examined the tentative interpretations as well and gave constructive comments. Conducting member checks and peer examination in this manner helps to strengthen authenticity and trustworthiness of findings (Creswell, 1994; Merriam, 1998).

Data Collection Procedures

Structured interviews were conducted with each office worker over a thirty to sixty minute interval. The interviews were conducted in a private conference room with only the participant and interviewer present. Responses were recorded verbatim so that the language and conceptualizations of those involved were preserved

(Spradley, 1979, 1980). Interview questions covered a range of topics about work information (addressing situations and circumstances) that management can effectively communicate through email to augment face-to-face interaction with workers. Three of the major questions are presented here to illustrate the nature and format of the questions used in this study: What type of information is as productive to receive by email as face-to-face contact with management? What type of information is not as productive to receive by email as face-to-face contact with management? What type of information is absolutely critical to receive through face-to-face contact from management rather than email?

Data Analysis

The investigators conducted domain analyses employing content analysis procedures (see Spradley, 1979). These analyses involved sorting through interview responses and identifying patterns, categories, or themes. A tabular worksheet was developed that displayed semantic relationships. A domain is a set of categories organized on the basis of a single semantic relationship (for example, X is a kind of Y; X is a way to do Y). Possible cover terms and included terms (that is, items and attributes) that appropriately fit the semantic relationships were searched for in the data. Making systematic use of this kind of worksheet helps to uncover domains embedded in the interview responses (Spradley, 1979). For example, included terms dealing with sensitive, confidential matters were grouped under the same cover term: "type of information that is absolutely critical to receive from management through face-to-face contact." Each item and attribute included under this cover term fit the semantic relationship X (for example, personal issues) is a type of Y (information that is absolutely critical to receive from management through face-to-face contact). A system of cultural meanings was uncovered that these office workers use to denote and connote work information that management can effectively communicate through email to augment face-to-face interaction with workers.

Results

Email in Lieu of Face-to-Face Contact

One-hundred percent of the responses indicated that all the information communicated from management was as productive to receive by email as through face-to-face contact. It is important to note that the information workers received from management through email dealt with operational issues, project updates, security (safety) concerns, and sales information. No responses were elicited about confidential or sensitive information being communicated by email from management. The following verbatim responses reflect common descriptions given by workers for information that is as productive to receive by email as through face-to-face contact with management: "Definitely meeting information." "Update information (scorecard)." "All of it – absolutely." "All of it." "All of it is productive through email."

Critical Face-to-Face Contact

Elicited responses indicated that the bank employees receive a vast amount of information from managers. Critical work situations require face-to-face communication in the opinions of the 24 respondents. Table 1 reports the cumulative frequencies computed for critical work situations that require face-to-face communication.

Table 1. Frequency Count for Critical Work Situations Requiring Face-to-Face Communication

Domain category	Item and attribute grouping	Frequency
Critical work situations requiring face-to-face contact from management	Human Resource confidential issues (reviews, promotions, discipline, legal concerns)	42
	Problems too complicated or need to see in order to handle	2
	Interaction with management	5
	Branch information (Scorecard/sales)	5
	Complaints problems	4
	Customer information	2
	Robbery	1

Human Resource confidential issues including annual reviews, discipline, and promotions elicited the most frequent response from participants when asked to identify critical work situations requiring face-to-face communication. The following verbatim responses reflect common descriptions given by workers for critical work situations requiring face-to-face communication: "I want face-to-face when it comes to Human Resources issues." "I never want confidential information on email about me personally or customers." "That is easy, definitely discipline concerns or actions I want face-to-face." "I want to actually talk to someone about personnel issues." "I want my review done in person." "If I am getting fired." "Really the only thing that sticks out is performance issues – good or

bad." "If there were legal concerns." "I don't want to get sensitive information through email." "I don't ever want to discuss my performance through email." "Highly personal stuff."

Critical Email Contact

Certain critical work situations require email communication for employees such as occasions when management must get information to employees and face-to-face communication is not possible or needed. Security (safety) information from headquarters needs to get to every branch and would take days for someone to personally deliver the message. Corporate headquarters houses large sums of information that must be communicated to employees in order for them to perform their jobs. The responses revealed that information not perceived as confidential—meeting times, training times, policy changes, system problems, and things with numerous details—were just as productive and even critical to receive quickly. Table 2 reports the cumulative frequencies computed for critical work situations requiring email from managers.

Workers identified two main situations where it is critical for workers to receive electronic mail from managers: security (safety) issues, and policy and product changes. The following verbatim responses reflect common descriptions given by workers for critical work situations requiring email communication: "Branch alerts." "Early morning system hits are important to get to ASAP." "System issues have to be through email because we can't wait for someone to tell us stuff in person – it would be too late." "Product changes are critical." "Special product promotions and product updates." "Changes that are immediate." "Alerts are critical. We (sic) received ASAP." "Alerts and updates are critical."

Table 2. Frequency Count for Critical Work Situations Requiring Email

Domain category	Item and attribute grouping	Frequency
Critical work situations requiring email from management	Security (safety) issues	21
	Branch information	4
	Personnel issues	1
	Questions and things that need immediate attention	3
	System problems/issues	2
	Policy and product changes	8
	Agendas/meeting/training/contest information	6
	Things that need to be documented	1
	Information when there are lots of details	2

Implications and Discussion

The findings indicate that HRD professionals should be sensitive to the effectiveness of different modes of communication that management may deem necessary for communication with employees. Through training and development efforts, HRD professionals can help to maximize organizational performance through informed decisions about the appropriateness of communication modes.

The findings indicate that the employees in this study perceive work situations in which information from management to employee is best transferred through face-to-face communication and situations in which information from managers to employee is best transferred through electronic mail. Results indicate employees preferred to receive private information that is personal, sensitive or confidential in a face-to-face format. Employees perceive that concrete information (such as meeting times or training dates) or time-sensitive information (such as security information) is productively transmitted through email.

Interviews with the respondents indicate the organization in this study utilizes the use of email and face-to-face communication appropriately. When asked about the types of email received from managers, respondents reported they did not receive any confidential information in an electronic mail format.

The study indicated employees were very clear that face-to-face communication was critical when issues dealt with confidential matters considered private. The study supports the need for privacy as it relates to human resource issues, personal or confidential information and performance reviews, and is consistent with the importance of privacy needs for the organization and its employees (Kupritz, 2000).

With regard to communication, research indicates face-to-face contact allows for questions, feedback and interpreting contextual cues that enable employees to find meaning in the message. It is not surprising employees want to find meaning in a message being sent from their manager, especially at times when feedback on performance or other sensitive information is being shared. Organizations must be careful to evaluate when face-to-face communication is desired and when other modes of communication are equally effective.

Participants in the study indicate email communication is not only acceptable but also imperative where immediate communication is critical, such as security alerts that must be provided as soon as possible for all employees. Email messages provide virtually instantaneous access to information. Email messages are also acceptable when no contextual meaning is to be gathered from a message such as, "The staff meeting is on Tuesday at 2 pm." Such a message will not enhance trust or credibility nor is it personal or confidential.

The organization appears to have synthesized the use of both modes of communication effectively noting the needs and use for both forms. Employees responded that very specific times exist when face-to-face communication is the only mode of communication that will be productive. Managers do not send confidential information through email, but rather handle such matters with face-to-face communication. Employees responded there are equally as many times that email is the only mode of communication that will be productive.

In today's workforce where technology innovations are perceived as the way to stay in the lead in most industries, the effective use of face-to-face communication and the knowledge management that goes with the use of this mode may actually be the key to success. Employees in this study were spread out over several states and were able to maintain acceptable standards from location to location through use of technological innovations. O'Mara (1999) argues that electronic communication, transmitted in seconds, should be used effectively to augment face-to-face contact which will be treated as a precious resource in the near future.

As a case study, the findings in this investigation cannot be generalized to all HRD situations, organizations or office settings. This study provides a beginning knowledge base for future research. The details gained from this initial study warrants future studies that examine the critical need for both face-to-face and email communication with managers in similar and different settings. Future studies should examine privacy issues related to human resource issues and their relationship with the need for face-to-face communications. It may be that organizations similar in size and disbursement may value face-to-face communication as productive in similar situations but it may reveal different needs for face-to-face communication with managers. Finally, action-oriented research is needed that investigates when face-to-face communication within an organization will enhance knowledge as well as the effective use of information as it is transferred from management to workers.

References

- Bavelas, J. B., Hutchinson, S. & Kenwood, C. (1997). Using face to face dialogue as a standard for other communication systems. *Canadian Journal of Communications*, 22(1).
- Brown, J. S., & Duguid, P. (2000). *The social life of information*. Boston: Harvard Business School Press.
- Creswell, J. W. (1994). *Research design: Qualitative and quantitative approaches*. Thousand Oaks, CA: Sage.
- Denzin, N. K., (1978). *The research act: A theoretical introduction to sociological methods*. New York: McGraw-Hill.
- Denzin, N. K., & Lincoln, Y. S. (1994). *Handbook of qualitative research*. Thousand Oaks, CA: Sage.
- Gamble, P. R., & Kelliher, C. E. (1999). Imparting information and influencing behavior: An examination of staff briefing sessions. *Journal of Business Communications*, 36, 261-272.
- Gundling, E. (1999, June). How to communicate globally. *Training and Development*, 28-31.
- Hall, E. T. (1983). *The dance of life: The other dimension of time*. New York, NY: Doubleday.
- Kikoski, J. E. (1999). Effective communication in the performance appraisal interview: Face to face communication for public managers in the culturally diverse workforce. *Public Personnel Management*, 28(2), 301-322.
- Kupritz, V.W. (2002). The relative impact of workplace design on training transfer. *Human Resource Development Quarterly*, 13(4), 427-447.
- Kupritz, V. W. (2000). The dynamics of privacy regulation: A conceptual model for HRD and organization. *Journal of Industrial Teacher Education*, 38(1), 29-59.
- Kupritz, V.W., & McDaniel, S.K. (1999). Pedagogical reflections from an instructional technology workshop. *Educational Technology & Society*, 2(4), 119-121.
- LeCompe, M. D., & Schensul, J. J. (1999). *Designing and conducting ethnographic research*. Walnut Creek, CA: AltaMira Press.
- Lincoln, Y., & Guba, E. (1985). *Naturalistic inquiry*. Thousand Oaks: Sage.
- McAteer, P. F. (1994, August). Harnessing the power of technology. *Training and Development*, 64-71.
- Merriam, S. B. (1998). *Qualitative research and case study applications in education*. San Francisco: Jossey-Bass.
- Miles, M. B., & Huberman, A. M. (1984). *Qualitative data analysis: A sourcebook of new methods*. Beverly Hills: Sage.
- O'Mara, M. A. (1999). *Strategy and place*. New York: Free Press.
- Patton, M. Q. (1990). *Qualitative evaluation and research methods*. Thousand Oaks, CA: Sage.

- Rosman, G. B., Wilson, B. L. (1991). Numbers and words: Combining quantitative and qualitative methods in a large-scale evaluation study. *Evaluations Review*, 9(5), 627-643.
- Scott, J. E. (2000). Facilitating interorganizational learning with information technology. *Journal of Management Information Systems*, 17(2), 81-113.
- Smith, A. G. (1966). *Communication and culture*. New York: Holt, Rinehart and Winston.
- Spradley, J. P. (1979). *The ethnographic interview*. New York: Holt, Reinhart, and Winston.
- Spradley, J. P. (1980). *Participant observation*. New York: Holt, Reinhart, and Wilson.
- Sundstrom, E. (1986). *Work places. The psychology of the physical environment in offices and factories*. Cambridge, MA: Cambridge University Press.
- Ulrich, D. (1997). *Human resource champions*. Boston: Harvard Business School Press.
- Wright, D. K. (1996). *New directions for employee communication*. Prepared for the Institute for Public Relations Research and Education Professional Development Seminar.

Technology as a Critical Issue in HRD: Effects on the Organization

*Meera Alagaraja
Jamie L. Callahan
Larry M Dooley
Texas A&M University*

Organizations today are moving towards adoption of technology in all realms of functioning. This paper examines technology as a strategically implemented HRD function and utilizes Parson's framework of the organization as a social system. This paper proposes to begin organizing current HRD outcomes of technology within Parson's framework and to think differently about how technology impacts and relates HRD knowledge and experience at all levels of the organization.

Keywords: Technology, HRD, I-A model of Human Resource Development

Organizations today compete globally for information, people, products, services and technology. Increasingly business organizations are employing technology to improve performance in the workplace. Technology connects people within organizations and the outside world. Within the organization, technology drives organizational communications, standard human resource processes and OD efforts (Church, et al, 2002). Technology has unleashed a way of re-defining HRD initiatives thereby providing opportunities for advancement and growth both for the organization and the people (Tippins, 2002). At the same time it has also presented the field of HRD with challenges that need to be addressed (Kuhnert & McCauley, 1996; McDonagh, 2001). HRD professionals today are faced with the challenges of supporting, implementing and ensuring that the promised gains of technology are realized (Church, et al, 2002).

When we think of the word technology, the first things that come to mind are the more apparent aspects - hardware and software. Technology means something more than 'hardware' and 'software'. The two terms - hardware and software are components that define technology in terms of its physical aspects. Examples of hardware are the hard disk, the monitor, keyboard etc. Software is the interface that allows the end user to communicate its requirements with the hardware. But as we shall see in this paper, this is not the only interface that impacts the use of technology for the purpose of attaining organizations' goals. Using Parson's (1956) framework in understanding organizations as social systems, this paper looks at technology as a critical issue affecting HRD as a system supporting organizations.

The paper seeks to address the following questions.

Why technology is a critical issue for HRD in today's organization?

Can Parson's framework serve as an organizing framework to capture the criticality of technology in HRD efforts and the consequent impact to the organization as a whole?

Related Literature

The broad nature of this analysis prompts the authors to include practitioner-based information drawn from practitioner publications and literature, in addition to research literature from the Academy of Human Resource Development publications.

Gates (1995) in his acclaimed book, "The Road Ahead", talks of technology as a revolution just begun. Information that was once difficult to retrieve is now much easier to find. Today, technology helps us find information at our convenience. Good examples for these types of technology answer queries if transportation is running on time or if there are any accidents on the route. Technology also helps us in innumerable other ways such as trading tickets, subscribing to journals, locating good recipes and so forth. Some of the examples provided so far reflect fundamental changes technology has made in our lives – both personal and professional.

Technology is constantly changing. What was considered cutting edge technology a year ago now sets a higher baseline for future innovations. Technology has created new industries and spawned the growth of an entirely new field of engineering. The computer industry is perhaps the best example of how technology is in a constantly in a state of change. Organizations in the computer industry that have been unable to adapt to the changes in technology have been forced to adapt to these changes as the only choice for survival. A classic case much discussed in the business world, is how IBM adapted in order to meet the challenge of Microsoft Corporation.

Copyright © 2004 Meera Alagaraja, Jamie L. Callahan, & Larry M Dooley

Technology has also set the pace for change and innovation in other aspects of our lives. Many of these also have major implications for organizations today.

An important issue for organizations of today is the ability to adapt to growing technology. This is a huge challenge for organizations to tackle the challenges of technology change that is constant. New forms of flexible work arrangements, complex and fluid organizational structures have emerged in the past decade as a result of rapid advancements in technology (Nadler & Gerstein, 1992; Coovert, 1995; Howard, 1995; &Church, 2002). Today technology is driving organizations to focus more on electronic means of communication. Technology is at the forefront of a fundamental revolution in getting things done that are seen as worth doing by the organization (Church, et al, 2002). Organizations are striving hard to adapt themselves to these changes that are taking place in a rapid pace. Their capacities to adapt define their path of survival in the global environment. Therefore technology is one of the most critical issues facing HRD related actions today.

Very few articles however dwell on the applications of technology for HRD. There is a gap in the literature on supporting HRD professionals and leaders in an increasingly technological based economy. Since, no such organizing scheme was found during the literature search for pooling technological applications relevant to HRD, the paper proposes an organizing scheme based on Parson's model of the organization. The paper provides a snapshot of technological applications for HRD for different functions / processes of the organization. HRD professionals need technological tools and resources to use for effective practice. The authors also acknowledge this organizing framework may suggest applications or tools, that may have very short shelf life and be outdated quickly or over time. Thus the resources listed in this paper are to be seen as only a start to provide a scheme for organizing technological applications for effective HRD practice. Because of this reason, the authors have chosen to review recent literature on applications of technology for HRD practice. Much of the literature on HRD and technology has been reviewed from the journals of the Academy of Human Resource Development.

Theoretical Framework

This paper utilizes a framework developed by Parson (1956, 1961) where he describes organizations as social systems. According to him all organizations are essentially subsystems of a larger social system. Changes in the larger social system profoundly impact the internal structure of the organization. As a social system, the organization has four primary goals or functions for system survival: Adaptation, Goal attainment, Integration and Latent Pattern maintenance. These functions are interconnected and are critical processes that can be found in any organization. According to Parson, these four functions can be found at any level of a system – individual, group, organizational, societal etc. Parson's framework is helpful in understanding technology as a critical HRD issue; its impact on the organization and the external environment has been described in the initial sections of the paper.

The paper proposes to identify technology as a critical HRD issue for the four functions in Parson's framework. Bolstorff (2002) suggests that in the past HRD has been conspicuously present only in the traditional training role, missing out opportunities for performance improvement at different levels of the organization for implementing technology. If HRD is to realize the technological opportunities for contributing meaningfully to the business as a whole, HRD professionals need to understand their theoretical roots, expand their current understanding of the working of the organization at different levels and help in improved decision-making for performance-based interventions (Bolstorff, 2002). The effective use of technology is critical for the improvement of overall organizational development. Constant innovations in the technological tools make IT necessary for organizational success and survival. Parson's framework may help in creating awareness and understanding of the criticality of technology as an issue for HRD related efforts and the organization as a whole.

Definitions for four functions of Parson's framework

Callahan (1999) in her study on Emotion work as Instrumental Action in an organizational context has defined the four functions that represent Parsons' framework. The four functions represent the purpose of action taken to accomplish organizational goals. Two of the functions represent actions orienting the organization to its internal environment namely – pattern-maintenance and integration. Two other functions – Adaptation and Goal attainment or Achievement represent actions orienting the organization to the external environment. For the purpose of this paper, definitions from her study on the four functions are adopted. Adaptation 'refers to obtaining resources for the organization or the interface with those considered to be either external to the organization or customers of the organization.' Goal Attainment: 'refers to working towards overall goals of the system', here it means the organization as a system. Integration: 'refers to coordinating resources into the organization in order to create collective means of operating.' And finally Pattern-maintenance is referred to as "culture" as it contains actions associated with maintenance of organizational culture.

A brief analysis of technology, identified as critical for HRD actions is described at different levels i.e. individuals, groups, the organization, and the external environment. Parson's framework is used to categorize and make explicit the impact of technology in driving HRD actions and the resulting impact these actions have on the organization at different levels as a whole. An organizing framework for technology is examined using the I-A model of Human Resource Development (Callahan & Dunne de Davila, 2002).

Figure 1. Technology As a Critical Issue for HRD Using I-A Model of Human Resource Development (Adapted from Callahan & Dunne de Davila, 2002)

	Means	Ends
External (At individual and group level)	<p>Adaptation Technology contributes to HRD interactions with the external environment</p> <p>LEARNING MEDIATED TECHNOLOGY</p> <p>Learning mediated technology and change that helps HRD efforts to adapt to the external environment in recruitment and retention of a skilled workforce.</p> <ul style="list-style-type: none"> • Competencies of employees and trainers • Non-linear learning • Informal learning, Self directed learning, lifelong learning • Geographical information systems <p style="text-align: center;">A p t a t i o n</p>	<p>Goal Attainment Technology contributes in use of resources for HRD efforts to accomplish organizational goals</p> <p>KNOWLEDGE MANAGEMENT</p> <p>According to Christie (2002) technology empowers HR customers by automating HR processes so that end users own their information and outcomes and reducing the need for intervention by HR staff. Technology also enables HR professionals to explore new roles as consultant to focus more on people related issues</p> <ul style="list-style-type: none"> • Web enabled Human Resources Information systems • Reference as a technology tool where: Information can be accessed at any moment to enable performance • Collaboration as a technological means for interaction with others to gain information, coach, problem-solve
	<p>Pattern Maintenance Technology contributes to HRD efforts in maintenance of a unique culture and identity within the organization</p> <p>TECHNOLOGY MANAGEMENT (Lawson & Sleezer, 2002)</p> <ul style="list-style-type: none"> • Technology driven changes in work structure and management • Technology driven changes in levels of empowerment • Viewing technology applications from the structural level 	<p>Integration Technology contributes to HRD efforts in creating a common sense of identity within the organization</p> <p>ORGANIZATION DEVELOPMENT & PERFORMANCE ENHANCEMENT SYSTEMS (Gery, 2002)</p> <ul style="list-style-type: none"> • Performance support tools that aid job performance. • Large system change and improvement within the organization • Quantitative based applications that drive organizational diagnosis, development and change
Internal (At individual and group level)		

The HRD outcomes have been placed within the four functions of the social system, here the organization. The more the authors tried to locate a particular outcome with a function, and within a subcategory, the more the outcomes

blended and blurred. So thinking that the outcomes are discretely classifiable is not tenable. For example, learning mediated technology could as well be included in the goal attainment function of the organization, in that it can help improve employees' performance in order to achieve organizational goals. A degree of arbitrariness therefore characterizes the organizing scheme. At the very best the framework provides a structure as we try to understand and think differently about how these applications relate to each other, and at different levels of the organization

An Analysis of the Framework

Adaptation

The 'primacy of orientation to the attainment of a specific goal' as defined by Parsons (1956) is a characteristic specific to an organization. Obtaining organization's resources for the attainment of its primary goal involves recruitment, training and retaining a skilled workforce. Technology is redefining the way in which HRD professionals seek to select and choose people based on skills for the maximizing their pool of talent. Talent management is taking precedence over financial and other traditional resources of capital as a tool of power.

Meeder & Cude (2002) suggest the need for developing a sustainable model for building a competitive workforce. According to them, organizations need to help employees gain knowledge and skills to remain employable. Competency based learning whether it is self-directed or informal is the need of the hour. Learning mediated technology is important for contributing to successful HRD efforts in building a competitive workforce that has depth and a range of skills. Geographical information systems (GIS) help in providing land information systems, automated mapping and facilities management systems. GIS also supports managerial decision making for operational, tactical and strategic purposes and therefore also fit in other functions of the organization viz., goal attainment, integration and pattern-maintenance (Grimshaw, 2000).

Goal Attainment

Technology is helping HRD shift from being procedural and administrative function to supporting strategic management initiatives. In terms of implication, knowledge management becomes a core organizational activity. According to Rosenberg (2001), knowledge management (KM) is a means to support, create, archive, reference and share information and expertise across the organization. Technological advances are facilitating knowledge to be stored centrally and accessible to employees regardless of their physical location. Knowledge management is helping organizations achieve their goals by enabling employees to link electronically and solve problems. At the organizational level, knowledge management serves to maintain the stability of institutionalized patterns and beliefs. KM serves as a resource for the organization to maintain its ability to meet the expectations of its stakeholders.

Integration

Technology is a critical issue for integration of the organization. In Parson's terminology it has the capacity "to get things done" for those terms of values seen as "worth doing". As an institutional structure, technology integrates –

1. The different functions of the organization
2. The individual, group within the organization and the organization as a whole
3. The organization with the other organizations, groups and individuals

HRD professionals need to learn the entirety of business processes given the fact that technology affects all processes within the organization. To do so, a complete understanding of the organizational structure, processes at all levels and factors that affect performance improvement and development at these levels is required. By doing so, HRD professional will then help improve the organization in meeting its goals and help improve business performance. Technological tools allow employees to communicate at any time and geographical boundaries no longer form a barrier for communication (Schrum & Benson, 2002). Gery (2002) states however that technology needs to drive HRD professionals in organizational system development efforts, which have a greater leverage on performance development in the future. HRD professionals need to focus their strategies and initiatives in crafting performance development strategies that takes advantage of the potential that the technology has. Quantitative tools help drive organization development diagnosis and steps needed to make the change (Church & Waclawski, 2001; Kunhert & McCauley, 1996; Macet, 1996; Summers, 2001; Tippins, 2002). This is an area of opportunity because the technology community in the past has focused more on the tools and data than people

Pattern-Maintenance

Lawson and Sleezer (2002) state that the networked world no longer presumes face to face interactions among employees. With newer technologies and tools, employees can keep in touch with each other continuously and more easily. This helps HRD efforts in shared communication. Creating and implementing technological systems can be successful only if the organization has a culture of shared communication. Those organizations that do not have such a culture need to transform their existing ones, in order to fully utilize the power of technology. Management practices need to support sharing of information across the organization. Technology is therefore driving changes in culture, structure and levels of empowerment within the organization. The organization can now provide employees and customers with policies and information, and communicate its shared vision with customers and employees. Technology is also affecting the social structure within the organization. Roles and assignments are being redesigned and flatter organizational structures are the norm. In all, technology is creating the imperative need to have a culture where open sharing of information and communication facilitates maintenance of a unique culture and identity within the organization. In sharing information with all members of the organization, technology helps in maintaining a unique culture and identity within the organization.

Effects on the organization

Communication is the single most important factor that has contributed to changes in the concept of the organization. The impact of technology on communication has spun off a host of other changes, internal and external being felt round the globe. Internal structures have changed within the organization. Organizations driven by technology allow for employee empowerment thereby reducing rigid structures and hierarchies among employees. The kind of input and output exchange, important for the organization to carry out its function with society or the larger system termed as the 'boundary of exchange' by Parson (1956) is now possible at the push of a button. The impact of technology on this defining characteristic of the organization is instrumental in fundamentally changing the way organizations carry out their functions. HRD is not the exception. New strategies need to be designed and researched for building communities, ensuring that employees are more valued than technology and striving hard to provide a personal touch in a world that is increasingly becoming impersonal (Taulbert, 2002).

Final Discussions and Conclusions

Technology is employed by the organization at all levels and functions. It affects all four functions, as they interact with each other (Cherns & Wacker, 1978, pp.838). Each of the four functions utilizes various forms of technology. These forms of technology vary from different organizations and the type of management function being studied. In this paper the authors examined the criticality of technology for the HRD function. But in other management functions, technological applications would be different. Say for example in manufacturing, production technology would lie in the domain of achievement function; product design in the adaptation domain, communication technologies in the integration domain and programmed instruction equipment in the pattern-maintenance domain. It is beyond the scope of this paper however to dwell further into these aspects. It is important however to acknowledge that technological systems and social systems are engaged in mutual cause-effect relationship in most organizations.

Implications for Future research & Practical applications

Parson's framework helps in capturing different elements of the organization as a social system at the individual, group and organizational level. Technology as a critical issue when viewed through this framework advances a different perspective of HRD from the past understanding of the concept of an organization at individual, group and organization levels. Today, the forces of change are fundamentally transforming the way work is done in organizations. It is imperative for those involved with HRD efforts to prepare for these organizational changes. The role of technology at the workplace has thrown in challenges that HRD professionals face in supporting individual, group and organizational learning and performance improvement. Further studies in these areas will begin to help HRD stake its rightful claim for organizational resources in aspects of time, money etc.

The paper provides a mechanism that would be useful for helping both HRD practitioners and researchers on decisions concerning technology. An organizing framework is useful to make sense and make decisions about things within their field. A review of relevant literature revealed a number of conversations about impacts of technology and its applications. This paper serves to initiate a conversation about how technology impacts HRD and about how

we can begin organizing the current concepts and tools of technology. Because this paper presents ideas not previously organized in this way, it raises more questions than answers.

- Is the Parsonian framework an appropriate model for the understanding macro level functions of the organization or would another process or model be better?
- Which of the classification mechanisms would be most appropriate for technology in HRD?
- What is the dividing line between each of the four functions of the framework?
- How do we classify technology applications that apparently fit in many or all of the functions of the organization?

The next step in continuing research on this topic would be to examine other research methods to more stringently examine the definitions and propose relationships between the four functions to create a true taxonomy.

References

- Bolstorff, P.A. (2002). Supply chain: A framework for expanding the human resource development professional's role in technology implementations. *Advances in Developing Human Resources*, 4(4), 533-549.
- Callahan, J.L & Davila, T. (2002). Beyond learning and performance: An impressionistic framework for human resource development. In S.A.Lynham (Ed.), *Proceedings of the 2003 Academy of Human Resource Development Annual Conference* (pp.273-278). Bowling Green:AHRD.
- Cherns, A. B. & Wacker, G. J. (1978). Analyzing social systems: An application of Parsons' macro system model to the organizational level and the socio-technical perspective. *Human Relations*, 31(10), 823-841.
- Christie, M. (2002). HR to the power of e. In Sleezer, C.M., Wentling, T.L., & Cude, R.L. (Eds). *Human Resource Development and Information Technology: Making global connections* (pp 43-64). Kluwer Academic Publishers: Boston
- Church, A.H., Gilbert, M., Oliver, D.H., Paquet, K., & Surface, C. (2002). The role of technology in organization Development and change. *Advances in Developing Human Resources*, 4(4), 493-511.
- Gates, Bill (1995). *The road ahead*. Great Britain: Penguin Books, UK limited.
- Gery, G.(2002). Achieving Performance and Learning through Performance entered systems. *Advances in Developing Human Resources*, 4(4), 464-478.
- Grimshaw, D.J. (2000). *Bringing geographical information systems into business*. Wiley & Sons, NY.
- Meeder, H., & Cude, R.L. (2002). Building a competitive workforce for the new economy. In Sleezer, C.M., Wentling, T.L., & Cude, R.L. (Eds), *Human Resource Development and Information Technology: Making global connections* (pp 21-42).Kluwer Academic Publishers: Boston
- Richard T. C., Gerald A. S., & Judith W.T. (1998). Overcoming barriers to training utilizing technology: the influence of self-efficacy factors on multimedia based training receptiveness. *Human Resource Development Quarterly*, 9(4), 25-38.
- Daft, R.L. & Weick, Karl E. (1984). Toward a model of organizations as interpretation systems, *Academy of Management Review*, 9(2), 284-295.
- Drucker, P.F. (1997). Introduction: Toward the new organization. In Hesselbein, F., Goldsmith, M., & Beckhard, R. (Eds.), *The Organization of the Future* (pp. 331) California, SF: Jossey-Bass.
- Fabian, C.J. (1999). *Emotion work as instrumental action: The pursuit of goals in an organizational context*. (Doctoral dissertation, The George Washington University, Washington, DC).
- Katz, D., & Kahn, R.L. (1978). *The social psychology of organizations* (2nd ed.). New York: John Wiley.
- Krackhardt, D., & Porter, L.W. (1986). The snowball effect: Turnover embedded in communication networks. *Journal of Applied Psychology*, 71, 50-55
- Lawson, L.K., & Sleezer, C.M. (2002). Managing information technology change in the workplace. In Sleezer, C.M., Wentling, T.L., & Cude, R.L. (Eds). *Human Resource Development and Information Technology: Making global connections* (pp 65-88).Kluwer Academic Publishers: Boston
- Miles, R.E.; Snow, C.C.; Meyer, A. D. (1978).Organizational strategy, structure, and process. *Academy of Management Review*, 3(3), 546-563.
- Parsons, T. (June, 1956). A sociological approach to the theory of organizations- I. *Administrative Science Quarterly*, 1, 63-85.
- Parsons, T. (September, 1956). A sociological approach to the theory of Organizations – II. *Administrative Science Quarterly*, 2, 225-239.
- Richard T. C., Gerald A. S., & Judith W.T. (1998). Overcoming barriers to training utilizing technology: the influence of self-efficacy factors on multimedia based training receptiveness. *Human Resource Development Quarterly*, 9(4), 25-38.

- Rosenberg, M.J. (2001). *E-Learning: Strategies for delivering knowledge in the digital age*. New York: McGraw Hill.
- Toffler, A. (1991). *Powershift: Knowledge, wealth, and violence at the edge of the 21st Century*. New York, NY: Bantam Books
- Van der Krog. (1998). Learning network theory: The tension between learning systems and work systems in organizations. *Human Resource Development Quarterly*, 9(2), 157-177.

Team Development of Virtual Teams

*Sooyoung Kim
University of Illinois*

Advanced technologies, globalization, the competitiveness of business, flexible working practices, and other rapid changes in the nature of work have all led to the booming of “virtual teams.” This paper will provide an overview of virtual teams, including a description of their emergence, a definition and typology of the term “virtual team,” an examination of their benefits and pitfalls, and suggestions both for overcoming the challenges and for incorporating business strategies in virtual team building.

Keywords: Virtual Teams, Team Development, Virtual Team Building Strategies

Traditionally, teamwork was conducted by specific people who worked in the same office for the same organization. Today, rapid changes in the nature of work and advanced technologies make it possible for people to work at home. Furthermore, increasing globalization, competitiveness in the business world, flexible working practices, and the need to respond quickly to changing customer demands have all led to the emergence and booming of “virtual teams” (Eom, 1999; Bell & Kozlowsky, 2002). Information technology has played a major role in facilitating the proliferation of virtual teams and has enabled multinational organizations to connect employees from all over the world (Merrick, 1996). Virtual teams have come to suit today’s more flexible and adaptive organizational systems, structures, and processes, conforming well to those changes (Bell et al., 2002). Virtual teams will no doubt play a key role in shaping organizational design and change in the future. However, the distances separating virtual team members and the sophisticated technology often utilized to connect them have both proven to be barriers to their success. Due to time constraints and the rush to implement virtual teams, companies have faced some problems. Previous research has demonstrated that the implementation of virtual teams in the absence of sound planning and design can lead to large problems (George, 1996).

This paper aims to provide an overview of virtual teams, including a description of their emergence, a definition and typology of the term “virtual team,” an examination of their benefits and pitfalls, and suggestions for overcoming the challenges that they present and for incorporating business strategies in virtual team building. The paper will give suggestions on how to enhance effective development of virtual teams to meet business purposes.

Emergence of “Virtual Teams”

According to Townsend (1998), the increasing predominance of flat organizational structures, inter-organizational cooperation as well as competition in market places, changes in employees’ expectations for organizational participation, shifts towards service/knowledge work environments, and increasing globalization have precipitated the creation and growth of virtual teams. New generations of information and telecommunication technology have also functioned as prime facilitators. As a result, more flexible virtual teams have adapted to the current trends in marketplaces by providing the impressive productivity of team-based designs in new environments where teamwork once would have been impossible. Now ubiquitous, virtual teams have been shown to possess their own, unique problems, as well problems similar to those faced by conventional teams; these will be discussed in the “challenges” section below.

Definition and Typology of Virtual teams

Virtual versus Conventional Teams

Virtual teams have unique characteristics that make it possible to differentiate them both from conventional teams and from one another. Virtual teams are defined as the latest form of teams whose members share a common purpose and who use technology to cross time zones, distance, and the boundaries of organizations and/or cultures (Lipnack, 1999b; Noe, 2002). Almost all rely upon digital technology (e-mail, Internet, video conferencing) to interact and complete their projects (Noe, 2002).

Virtual teams and conventional teams are similar in that both groups have tasks, goals, or missions to accomplish (Bell et al., 2002). However, virtual teams differ because of the spatial distance separating their

members and because of the nature of their communication (information, data, and personal). First of all, virtual teams are made up of team members who are from different geographical locations, different organizations or parts of the organization, and who identify as a team for different lengths of time (Bell et al., 2002; Cantu, 1997; George, 1996; Lipnack, 1997). Next, the ability of members to transcend their spatial separation is effected by various communication technologies, ranging from common and simple ones such as email to more advanced, complex and interactive ones such as videoconferencing, groupware, and project management programs (Bell et al., 2002; Geber, 1995). These two different features enhance work effectiveness since virtual teams are able to access unique information and highly specialized expertise through varied and diverse sources as well as through synchronous communication media adopted for a specific task. According to Lipnack (1999b), virtual teams have three primary components: purpose, people, and links. Autonomous, self-reliant but still interdependent people work together under common purpose through links (i.e., connections); this is the case not only for virtual teams but also for "real" or conventional teams. The most useful and appropriate connections, that is, communication technologies, should be employed according to the specific purposes and people involved.

Benefits and Challenges

Benefits

Geographically dispersed virtual teams allow organizations to access and retain the most qualified individuals for a particular project regardless of their location, since they have complementary skills, work under a common purpose, have interdependent performance goals, and share an approach to work for which they hold themselves mutually accountable (Gould, 1999). They enable organizations to respond faster to increased competition and to provide greater flexibility to individuals working from home, those on the road, and those across organizations (Bell & Kozlowski, 2002; Stohr & Peterwson-Qwest, 2002). Using a combination of technology and virtual teams, many companies are increasing technology and knowledge transfer, increasing the speed of solutions, and decreasing delays between customers and suppliers or between geographically dispersed employees (George, 1996).

Virtual teams can also link separate organizations to achieve common goals (Jennings, 1997; Lipnack, 1999a). A practical example from the publishing world demonstrates the potential of virtual teams. *Esquire*, *Men's Health*, and *Rolling Stone* are three of the four largest men's magazines, with a combined circulation of about 3 million. Together they equal the circulation of the fourth magazine in this category, *Sports Illustrated*. They learned to put their competitive instincts aside and cooperate for their mutual benefit. They used virtual teams to cross their physical and corporate boundaries to put together a highly lucrative deal. Another example is the strategic collaboration, partnering, or outsourcing of computer hardware and software developers such as in the case of Intel and Microsoft.

Challenges

Communication technology serves to connect us to information and people around the world, but it also inhibits genuine human or personal interaction, which could be one of the potential pitfalls of virtual teams (Emelo & Francis, 2002). This can create problems, especially for those projects that depend upon interdependent processes between virtual team members. Due to their lack of face-to-face interaction, members of virtual teams must learn to bridge their psychological gap in order to bring about the mutual trust ultimately necessary for effective work.

Other communication problems of virtual teams are as follows: (1) lack of project visibility—i.e., situations in which team members understand their individual tasks, but fail to see how their tasks fit into the whole project; (2) lack of visibility of teammates' schedules; (3) absence or delay of immediate response; (4) equivocality of message due to constraints of the technology (Gould, 1999).

Software designed just for virtual teams, called "groupware," such as Lotus Notes and Exchange, is growing increasingly sophisticated. Videoconferencing programs are also available, but so far they have proven to be both expensive and difficult to manage, requiring too much bandwidth to be practical (Gould, 1999). Team members' different levels of access to team resources may exclude some from fully participating in the group; therefore, the availability of acceptable bandwidth should be established first, and then the most appropriate communication and collaborative technologies should be selected. Time and cultural differences should be taken into account when selecting communication technologies (Robb, 2002).

Due to time constraints and the rush to implement virtual teams, companies may underestimate the need to plan and design around the differences inherent in these teams. Previous research has demonstrated that the implementation of virtual teams in the absence of sound planning and design can lead to large problems (George, 1996).

Creating virtual teams is not as easy as pulling together a cross-functional team to solve a problem. Because the makeup and locations of the team can be quite heterogeneous, unprepared team members experience mistrust,

unrealistic or unequal expectations, cultural differences, poorly coordinated work logistics, problematic group dynamics and difficulties with leadership (George, 1996).

Guidelines When Implementing Virtual Teams

How should virtual teams be implemented? Research suggests that companies start with a few easy projects before gradually expanding these tools into enterprise-wide activities, that is, that they pilot-test the implementation of virtual teams (Gould, 1999).

To implement virtual teams, several challenges must be overcome. They can be divided into two big categories: (1) problems in practical business practices and (2) those in communication technologies.

Guidelines in Practical Business Practices of Virtual Teams

Guidelines for the successful development of virtual teams in practical business practices are as follows.

First, clear goals and objectives, clear guidelines for expectations, and standards of excellence should be set to improve people's virtual-collaboration skills and efficient virtual team interaction (Larson & LaFasto as cited in Thomsett, n.d.; Lipnack, 1997; Emelo & Francis, 2002).

Second, planning and design are keys to virtual team success (Cantu, 1997). The design of the organization, the team, and the job are the bases for building a successful virtual team. How should virtual teams be built to avoid collision? Organizational, job, and team designs, coordination of work through technology, interaction with stakeholders, and members' re-entry into the host organization should be considered: (1) When it comes to organizational design for virtual teams, the team's business goals should be defined, team values should be established, an infrastructure for involvement should be developed, and the configuration and boundaries of the team should be designed to enhance productivity; (2) for job design, a realistic job preview (George, 1996) and job accountability (Lipnack, 1997) should be defined, decision-making authority should be given to the team (Mohrman, 1995), compensation issues should be discussed with team members (George, 1996), and feedback for employee development and should be provided; (3) for team design, the team members should be identified first, and identity should be created as a mental model. Purpose, goals, and objectives should be stated and connections between people should be established (Lipnack, 1997).

Third, specialist climate/leadership by expertise on the subject matter should be respected rather than hierarchy or ranks in order for all team members to participate with their creativity any time.

Fourth, it is desirable that all team members participate in all business processes, including the establishment of a project overview and project objectives, the detailed analysis of the project's expected benefits and the articulation of a plan for realization of the benefits, the creation of a statement concerning the required quality of the product (i.e., a quality agreement), the evaluation of project costs, the establishment of project development strategies, of project risk assessment/risk management plans, of relevant legislation and policies, of project staffing agreements, assumptions and constraints, and of a project execution plan (Thomsett, n.d.). All members of the project should be completely involved in building the project business case. This set of information is built during the planning process and is the "contract of service" between the project manager, the sponsor, the virtual team members and the project stakeholders. It is essential that all virtual team members understand and share totally the commitment to both managing and achieving the project's business case.

Fifth, personal relationships between team members should be developed to assure mutual trust and to enhance interaction, effectiveness, and productivity (Cantu, 1997; Lipnack, 1997). Virtual teams should be grounded in mutual trust since they are made up of team members from different cultures, locations, and technical backgrounds. Virtual teams need guidelines that enable the team to set personal as well as team expectations for what they are and are not allowed to do. Cultural differences should be taken into account. Response and collaboration are important to achieving superior speed-to-market or complex business problem solutions.

Sixth, team members' accomplishments should be duly recognized through praise, particularly since they don't meet face-to-face. Praise should be made public through appropriate communication technologies in order to increase members' morale. Depending on the characteristics of individual team members, personal recognition should be carried out either through e-mail, a telephone call, or a voice conference call to make praise public and to ensure that everyone hears it at once (Gould, 1999).

When it comes to the procedure of creating and developing virtual teams, Robb (2002) proposed that the first step be to determine which collaborative process best suits the given project. Next, the most appropriate information communication technology should be provided in order to meet the missions, goals, and objectives of the process. The importance of planning and designing the whole process of a project with collaboration of IT and HR before implementing virtual teams should not be overlooked. Consider various cultural and technological factors as well as corporate differences.

In addition to these factors, the work must be coordinated through technology and the stakeholders in the project must interact and keep each other updated. Lastly, when the employees finish a project and must re-enter the host organization or another virtual team, planning by both the team members and the host organization is essential (Cantu, 1997).

Guideline to Communication Technology of Virtual Teams

Virtual teams need advanced information communication technology to share databases, spreadsheets, proposals, and presentations. Electronic communication through video conferencing, groupware software, newsgroups, bulletin boards, electronic mail, and intranets may be employed by virtual teams. They need a practical and convenient way to discuss options and prioritize alternatives without having to spend their most productive time in expensive face-to-face meetings. Because virtual teams often operate over the telephone or computer, they have less face-time in which to build rapport. Thus, group dynamics are more difficult to manage.

First, virtual teams need training, experience and organizational support in order to communicate virtually with effectiveness (Noe, 2002).

Second, effective and skillful use of information and communication technologies depends on the goals of the project and on the complexity of the task; the most advanced technology is not necessarily the best choice.

Third, collaborative technology is needed for HR practices. The visual dimension adds a very powerful means for team members to establish and maintain trust through team activities (Grundy, 1998). Efficient coordination of work through communication technology is needed for effective team activities: (1) to reduce equivocality of message, if at all possible include face-to-face time to create an effective working environment, especially for interdependent team projects; (2) to enhance visibility of a project or a teammate's schedule, give team members a sense of how the overall project is progressing by sending copies of the updated project schedule or an electronic view of the project schedule and do not let team members disappear by using the Internet or workgroup calendaring software or by providing electronic mail with a distribution list; (3) to avoid delay, establish a code of conduct; (4) complement text-only communication with the use of the Internet to store charts, pictures, or diagrams; (5) develop trust. Virtual teams require trust to succeed. Leadership on virtual teams will likely be determined by expertise on the matter at hand, not by corporate hierarchy (Gould, 1999); (6) develop a back-up plan (Plan B); (7) to solve time-difference problems, focus more on asynchronous collaboration tools (Robb, 2002). Establish local tech support for team members operating in remote locations so that they may participate fully in group activities.

Finally, virtual teams benefit enormously from face-to-face meetings. Few virtual teams are 100% virtual. If tasks are based mainly on interdependent interaction, face-to-face meetings are worth being held periodically to overcome psychological distance.

Team Building of Virtual Teams and Business Strategies

The ways of building and maintaining productive virtual teams need to be explored. The benefits, challenges, and the ways to overcome challenges have been explored. How do we take advantage of virtual teams for business strategies?

A task force team (TFT) is one of the powerful organizational tools for coping with complex, interdependent, and short-term tasks in rapidly changing uncertain business environments and is used to deal with temporary problems and opportunities that cannot be handled as effectively or efficiently by the existing organizational structure. It is a form of horizontal contact designed to solve problems across multiple departments, made up of representatives from each of the affected departments (Cleland, 1996; Galbraith, 1971). A TFT is usually dismissed once its assigned task is completed. It is well known that traditional TFTs have several limitations and problems due to organizational and technical causes. Virtual teams are formed based on cost-effectiveness and product uniqueness without regard for organizational sizes, geographic locations, computing environments, technologies deployed, or process implemented (Eom, 1999). Virtual teams are able to overcome the limitations of tradition teams. Thanks to computer-mediated communication technologies such as e-mail, computer conferencing systems, telewriting systems, multi-media e-mail, and group support systems, virtual teams can communicate and accomplish goals regardless of their members' physical locations (Eom, 1999), ultimately profiting their host organizations immensely.

Conclusion and Implications

Virtual teams are the product of the nature of modern business and advanced technology. Virtual teams will not replace all conventional teams. Rather, they supplement them and add new capabilities. Marketplaces in the 21st century will reward companies who employ virtual teams as these groups' benefits are increasingly strengthened and

the challenges they pose are overcome. To develop successful virtual teams, solutions both to practical business-practice problems and to communication technology problems should be presented. That is, if team members possess a thorough understanding of the project processes (e.g., clear missions, goals, objectives, and so on) from beginning to end, and if they make efficient and appropriate use of communication technologies that are well-suited to the nature and complexity of the task, then they will meet with success (Kozlowski et al., 1999; Lipnack, 1999a, 1999b).

The increasing predominance of flat organizational structures, inter-organizational cooperation as well as competition in market places, changes in employees' expectations for organizational participation, and increasing globalization, new generations of information and telecommunication technology all have foreseen the growth of virtual teams. As a result, more flexible virtual teams have adapted to the current trends in marketplaces by providing the impressive productivity of team-based designs in new environments. Interrelationship between team members and communication skills in virtual team setting must be developed. The importance of work force development for virtual teams has emerged accordingly, which can be a focus of HRD in the 21st century.

Reference

- Bell, B. S., & Kozlowski, S. W. J. (2002). A typology of virtual teams: Implication for effective leadership. *Group & Organization Management*, 27(1), 14-36.
- Cantu, C. (1997). *Virtual teams*. Center for the Study of Work Teams, University of North Texas. Retrieved December 4, 2002, from <http://www.workteams.unt.edu/reports/Cantu.html>
- Emelo, R., & Francis, L. M. (2002). Virtual team interaction. *T + D*, 56(10), 17-19.
- Eom, S. B., & Lee, C. (1999). Virtual teams: An information age opportunity for mobilizing hidden manpower. *Advanced Management Journal*, 64(2), 12-15.
- Geber, B. (1995). Virtual teams. *Training*, 32, 36-40.
- George, J. A. (November, 1996). Virtual best practice. *Teams Magazine*, 38-45.
- Gould, D. (1999). *Leading virtual teams*. Retrieved December 5, 2002, from <http://www.seanet.com/~daveg/1v.htm>
- Grundy, J. (1998). Trust in virtual teams. *Harvard Business Review*, 76(6), 180.
- Jennings, L. (1997). Virtual teams transcend time and space. *Futurist*, 31(5), 59-60.
- Lake, A. (1997). Flexibility: The interactive forum on new ways of working. Retrieved December 8, 2002, from <http://www.flexibility.co.uk>
- Lipnack, J., & Stamps, J. (1997). *Virtual teams: Reaching across space, time, and organizations with technology*. New York, NY: John Wiley and Sons.
- Lipnack, J., & Stamps, J. (1999a). Virtual teams: The new way to work. *Strategy and Leadership*, 27(1), 14-16.
- Lipnack, J., & Stamps, J. (1999b). Virtual teams. *Executive Excellence*, 16(5), 14-15.
- Merrick, N. (1996). Remote control. *People Management*, 2(19), 40-41.
- Mohrman, S., Cohen, S., & Mohrman, A., Jr. (1995). *Designing team-based organizations: New forms for knowledge work*. San Francisco, CA: Jossey-Bass Publishers.
- Noe, R. A. (2002). *Employee Training & Development* (2nd ed.). New York: McGraw-Hill.
- Robb, D. (2002). Virtual workplace. *HR Magazine*, 47(6), 105-109.
- Stohr, V., & Peterson-Qwest, S. (2002). *Virtual teams: They're here to stay*. Retrieved December 4, 2002 from http://wcww.mnodn.org/members/speakers/spk11_00.htm
- The Thomsett company p/l project management. (n.d.). *Long live the virtual team*. Retrieved December 4, 2002, from (http://members.ozemail.com.au/~thomsett/main/articles/virtual_team_toc.htm)
- Townsend, A. M., & DeMarie, S. M. (1998). Virtual teams: Technology and the workplace of the future. *Academy of Management Executive*, 12(3), 17-29.

Leading Virtual Teams: Three Cases

*James R. Johnson
Purdue University Calumet*

*Laurel Jeris
Northern Illinois University*

This study investigated virtual team members' and leaders' perceptions of the role of the leader, and hindering and helping forces within virtual teams and their host organizations for developing leaders of such teams. It addresses the expressed need of virtual team leaders for the field of HRD to guide leadership development for this emerging organizational form. In response this study situates leadership requirements, identified by the participants, within an overall developmental context.

Keywords: Virtual Teams, Leadership, Multi-site Case Study Research

More than twenty years ago, the term ‘virtual teams’ began to appear in the literature as the result of the intersection of two important trends: globalization and information technology development (Joy-Matthews and Gladstone, 2000). Specifically, virtual teams were found to be the answer to the mounting worldwide economic pressures of the 1980s, while the technology was increasingly available to support virtual teams, even across continents. Synchronous and asynchronous chats, audio and video conferencing, voicemail, corporate email-based intranets, and the worldwide web enabled virtual team communication. Initially the cost pressures of travel, especially air travel, increased the appeal of virtual teams. As organizational experience deepens, team members and leaders have expressed with some frustration, that, “We are making this [how to function effectively] up as we go along” (Johnson & Jeris, 2003, p. 959). This study focuses specifically on what kind of leadership is required for this organizational phenomenon. Is it the same as, or different from that required in face-to-face teams. If it is different, how are virtual teams leaders developmental needs presently met and how do the primary stakeholders describe the ideal development process for future virtual team leaders?

Research Questions

The purpose of this research project was to examine the leadership required in virtual teams. Our central research question was: what specific leadership behaviors, competencies, skills, and attributes contribute to virtual team effectiveness? Our two supporting research questions were:

1. From the perspectives of the leader, and the team members, what are the effective and ineffective leadership behaviors, competencies, skills, and attributes found in virtual teams?
2. What helping and hindering forces to effective leadership exist in virtual teams, and their organizations, and what is currently being done or can be done in the future to enhance strengths and overcome barriers?

Literature Review

This research project targeted virtual team leaders and team members' perceptions of the leadership required for improving team performance. For this research project, we operationally defined the virtual team as: *Two or more people who must interact in order to reach a common goal, and are primarily dependant upon electronic communication because they are not geographically co-located.*

Effective Performance of Virtual Teams

Current research findings can be arranged along a continuum of thought regarding the effective performance of virtual teams. At one end there is evidence to suggest that virtual teams are no different from teams working together, face-to-face, every day. For example, Chase's (1999) study revealed that a “virtual team is just like any other team, only more so” (p.76). Moving slightly along the continuum in the direction of difference is the work of Leury and Raisingharn (2000), who found that at least some aspects fostering effectiveness in virtual teams remain unchanged for non-virtual teams and posited that, “Organizations choosing to implement virtual teams should focus much of their efforts in the same direction they would if they were implementing traditional, co-located teams” (p. 532).

A third view moves dramatically toward the opposite perspective and findings indicate that virtual teams are vastly different from face-to-face teams. Joy-Matthews and Gladstone (2000) suggested that practitioners pay attention to the following four discussion points: selection of members, essentiality of proximate contact, employee responses to the virtual structure, and changes in the corporate intranet. Others (Montoya-Weiss, Massey, and Song, 2001) argued that a temporal coordination mechanism is essential to managing conflict in a virtual team. Solomon (2001) asserted that managers of virtual teams need proper communication technology, a clear understanding of the needs of the team, a sense of shared space, and offered nine tips for success. Lipnack and Stamps (1999) proposed that virtual teams have three facets that must be considered: purpose, people, and links. Kelley (2001) cited a study by Maznevski and Chudoba that suggested two pivotal themes in virtual team performance and effectiveness. First, their research indicated that virtual team dynamics were comprised of a series of critical incidents. And second, these incidents had a repeating pattern over time.

In summary, Colky's recent research (2002) seemed to capture the essence of the work to date on the effectiveness of virtual teams. She found that three factors contributed to virtual team performance: communication, trust, and collaborative learning. At first blush, these elements may strike the reader as restating the obvious. We make that proposition because we experienced that same pessimism. Interestingly, when our interview subjects talked about trust, communication, and collaborative learning, they brought them into the conversation with various exclamations indicating that these ideas have been around a long time. We found that these dimensions served as a starting point for a theoretical framework; we subsequently employed them as conceptual map in our case descriptions. In this way we hope to build on Colky's themes and use them as the framework to help us understand the ways in which leadership must deliver these variables to the virtual team.

Communication

The first factor that Colky (2002) described as a key determinant of effective virtual team performance was communication. Potter, Cooke, and Balthazard (2000) wrote that communication is critical to effective teamwork, while being inherently difficult. In virtual teams these non-verbal aspects of communication may be absent and team members must often rely on words alone. Van der Smagt (2000, p.149) indicated that this lack of face-to-face contact places "new and divergent demands" on communication in virtual teams, and that teams must manage the communication processes in new and different ways. To accomplish this, Larouche and Bing (2001) suggested a list of guidelines that virtual teams should follow to help in this: Sending meeting agenda and documents prior to team meetings, member introductions at meetings, and continuous clarification are but a few of his recommendations.

Trust

Colky (2002) identified trust as the second factor in effective, high-performance virtual teams. According to Jarvenpaa, Knoll, and Leidner (1998), "trust is critical in new organizational arrangements where the traditional social controls do not exist, and lies at the heart of success. Once again, virtual teams encounter new processes and are challenged by their very structure and nature to find new ways of operating" (p. 29). Platt (1999) wrote that "trust takes time to build, but no time at all to destroy" (p. 41), and asserted that competence and integrity underlie trust on virtual teams.

Collaborative Learning

The final factor that emerged from Colky's (2002) research was collaborative learning, also described in the literature as cooperative learning and team learning. A recent issue of *Advances in Developing Human Resources*, 5 (1), focused on cross-cultural aspects of team learning. Since two of the cases presented here were international in scope, we found this examination very helpful. However, much the same way that Hofstede's (1980) work was criticized by Jaeger (1986) for limiting his study to a single organization creating the potential for confusing organizational and national cultures, we bring the same concern to the study of virtual teams. Although face-to-face teams and virtual teams confront similar issues in terms of meeting performance objectives, understanding the unique learning context of virtual teams is so undeveloped at this point that to assume what we know about team learning applies equally to face-to-face and virtual teams is clearly premature.

Leadership

How does leadership foster these three factors in virtual teams? What exactly is leadership? Heilbrun (1994) pointed out that rigorous study of the leadership phenomenon began with the work of sociologist Max Weber in the early part of this century and that the study of leadership can be divided into three stages. The earliest stage attempted was to identify traits of leaders, the next stage focused on the behavior of leaders, and the third and current stage centers on the interactions between leaders and those they lead. Heilbrun (1994) went on to say that the future of leadership studies might lie in the understanding that the most significant aspects of leadership lie far beyond the ability to study them.

Many hundreds or even thousands of definitions of leadership exist, ranging from the abstract to the simple. Locke, Kirkpatrick, Wheeler, Schneider, Niles, Goldstein, Welsh, & Chah, 1991) offered one definition: "We define

leadership as the process of inducing others to take action toward a common goal" (p. 2). Bethel (1990) proposed a more precise definition of leadership as simply "influencing others" (p. 6), and Loeb (1994) stated that "leaders ask the what and why questions, not the how question" (p. 242).

While there is no one generally accepted definition of leadership, for purposes of this research project, we adopted the following operational definition of leadership: *Leadership in the process of influencing others toward the achievement of a common goal or common set of goals.*

Leadership and Virtual Teams

Precious little has been written about leading virtual teams. Switzer (2000) summarized this very well when she wrote that there "is a tremendous amount of literature on leadership, and some literature on virtual teams. Yet, there is very little research on leadership in virtual teams" (p. 3). The following brief summary reveals that research to date has primarily described current issues and problems but has not engaged participants in visioning a future for leadership development. First, Gould (1997), while indicating that "virtual teams are here to stay" (p. 163), made ten research-based recommendations for virtual team leaders. These include: make face-to face time, keep things visible, minimize communication delays, supplement text-only communication, establish group rules and norms, provide self-assessment time, recognize people, use the available technology, and learn from experience.

Second, Kayworth and Leidner (2001) reported that "effective leaders in our study were attentive to both the relational as well as the task-related features of their jobs" (p. 26).

Third, Bell and Kozlowski (2002) pointed out the multiple benefits of virtual teams, and reminded us that "they also create several leadership challenges" (p. 15). They categorized these challenges into two broad areas: performance management and team development.

Fourth, while referring to leadership as the most fundamental of virtual team dynamics, Pauleen (2002) found in his research that effective virtual team leaders exhibit the capacity to deal with paradox and contradiction. He wrote that they do this by "performing multiple leadership roles simultaneously" (p. 3). In addition, he found that effective virtual team leaders provide "regular, detailed, and prompt communication with their team members and peers" (p. 3).

And finally, Cascio and Sturyiala (2003) reported that the following leadership challenges emerged form their research: the paradox of loose and tight controls, promoting close cooperation, encouraging and recognizing emerging leaders within the team, establishing norms and procedures early, establishing clear work and home boundaries. Further, they noted that "there is one fundamental issue that in many ways supercedes all others, namely, the impact on culture on E-leaders. In a broad sense, culture refers to shared norms about expected behaviors" (p. 374).

Research Design and Limitations

Stake (1995) indicated that a case is "specific, a complex, functioning thing" (p. 2). In this study, in an attempt to understand this complex functioning, several selection criteria were used to solicit participation from the research sites. First, the subjects had to be current members of a virtual team. Second, at least three individuals were to be interviewed for each case: a team leader, and two team members. Third, the virtual team's organization had to agree to be identified, although team charters and member identity remain confidential. In keeping with the virtual context, all communication with the research subjects, from recruitment to obtaining consent, to conducting the interviews was electronically mediated. Email, phone, and fax served us well; the only exception was having to resort to regular mail as a follow-up to faxed copies of the consent forms to obtain original signatures.

Data Collection and Analysis

We collected data through semi-structured, tape-recorded interviews and held closely to the interview schedule (Merriam, 1988). Interviews were audiotaped, verbatim transcriptions were made, and interview transcripts were independently coded and analyzed using constant comparison. Once the open and axial coding was complete and categories and properties were identified, we pooled the codes, again using constant comparison to derive the findings reported here. In order to minimize the effects of researcher bias, a trusted peer researcher provided feedback on the data analysis.

Site Descriptions

Three virtual teams were investigated: one each from NiSource Inc., Automatic Data Processing, Inc. (ADP), and the Academy of Human Resource Development (AHRD). NiSource Inc. is a Fortune 500 public utility holding company headquartered in Merrillville, IN. Its various operating companies engage in natural gas transmission, storage and distribution, as well as electric generation, transmission and distribution. Its operating companies deliver natural gas and electricity to nearly 3.7 million customers located within the high-demand energy corridor that runs from the Gulf Coast to New England

ADP is one of the world's largest providers of computerized transaction processing, data communications, and information-based business solutions. Headquartered in Roseland, NJ, ADP employs 40,000 people and maintains relationships with over 500,000 clients. Its annual revenues in 2002 exceeded \$7 billion. ADP's primary business lines are employer services, claims management solutions, auto and truck dealership systems, and securities processing. The digital nature of their businesses has driven them to adopt virtual teams naturally.

The Academy of Human Resource Development is a world-wide, research-focused organization whose mission is as follows: *The Academy of Human Resource Development was formed to encourage systematic study of human resource development 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 <www.ahrd.org>*. The AHRD, in fact, operates virtually, having members and volunteer associates across the globe.

Virtual Contexts

Although we have considerable experience in case study research, the lack of face-to-face interaction and observation of the subjects' work settings placed us in uncharted territory. We found no compass in the literature on case study methods to orient us to the virtual context – not unlike the experience of virtual team members. The boundary-less nature of virtual teams is nearly antithetical to the very boundaries implied by "a case." As a result of these paradoxes, we tried to be particularly attentive to design and protocol issues. In all cases, the phone interview was the first time the researchers actually spoke to the subjects. Still, it was important to spend some time at the beginning and end of the interviews exchanging personal anecdotes and experiences with virtual teams in a rapport-building process and, not surprisingly, we found our subjects to be very skilled in this arena.

Transferability

We surmise that there might be a virtual context, but how do we describe it, and is it transferable? Erlandson, Harris, Skipper and Allen (1993, pp. 31-33) addressed the issue of transferability and noted that the detailed description of the case, providing rich contextual cues, enables the reader of the study to consider hypotheses for application in another context. The richness of the case description provides the means through which the reader can make this determination. We submit that describing a virtual context in sufficient detail and making decisions about relevant contextual cues is difficult. In this sense we believe the transferability of our findings and conclusions (until case study research on virtual contexts becomes commonplace) to be limited.

Research Findings

Findings of this research are grouped into categories and their properties, and reported by the research question. Categories are defined for purposes of this paper as the broad, overarching terms that respondents used to organize the reports of their experiences. Properties, in this paper, are defined as more finite descriptors of behavior, competency, skill, and attributes that were uncovered. We deliberately cast a wide net with the research questions because we did not want to get into definitional quagmires over how participants described leadership. Experience tells us that people are quite able to first describe actions and, upon further cues, convey the meaning they ascribe to those actions. Consequently, the actual interview questions and cues were overwhelmingly behavioral and focused on requesting examples of incidences/actions that were representative of effective and ineffective leadership. We also grappled with responses that indicated a desire to "sound current" with the literature. In other words, we had to get past themes that have been identified in the literature such as communication, trust, and collaboration (Colky et al., 2002). While we completely respect this work (it has formed our theoretical framework), we believed our respondents experiences could further illuminate these themes.

Research question one asked '*From the perspectives of the leader, and the team members, what are the effective and ineffective leadership behaviors, competencies, skills, and attributes found in virtual teams?*' The category we derived was *responsiveness*, which was descriptive of major elements of communication. In other words, the participants' descriptions of communication were labeled effective if they met the mental schema of responsiveness described by the following properties: availability, support, proper use of technology, and style management. One of our respondents summarized availability when he said (referring to a virtual team leader), "I knew that when I e-mailed [her] that I would get a response no later than 12 hours away but it's usually more like within an hour or two", he said. And went on to clarify by saying, 'I don't think she left her computer for two months. She took a couple of little vacations I guess you could call it and both times she stayed connected. I think she went to Europe. Yeah, she went to Europe one time. She was still connected.' When the respondents reported ineffective leadership, it was generally framed in terms of some lack of one of the properties.

Support was identified as another important attribute. One respondent said, "I think everybody really enjoys having her for a supervisor because we know, we're comfortable in knowing that she's going to back us, 99 times

out of 100." A leader said, "I guess I would also want them to know that they're comfortable to call or make an appointment or whatever to discuss any issues they might have or recommendations that they find, improvements or, cuz I'm not sure that is, um, you know, communicated real well to them."

The appropriate use of technology was also deemed important. As one respondent put it, "The other piece of that is that she's also very good about using technology to keep us informed." Another leaders said, "I hear that the communication, the electronic communication was very effective."

Style-management, or adapting leadership to the personality or work style of the follower was the final behavior under this property. One respondent summarized this idea when she indicated that, "she certainly knows how to deliver that in a way that is meaningful, meaningful for me." Another said, "you run across all different kinds of people with different personalities. And she seems to be real good coping with, you know, people that are in the middle or on the extremes."

In reviewing the category of responsiveness, which adds considerable description to the broad theme of communication, our participants reported that communication is only truly effective when it meets individual requirements for timeliness, evidence of support, skilled use of technology, and attention to the personal needs/style of the team member. In addition, it was clear from the interviews with team members that these mental schema for effective communication vary from person to person, placing a substantial burden on the leaders to enrich their knowledge of team members beyond daily electronically-meditated exchanges.

Empowerment emerged as another mediator of effective communication. Properties defining empowerment included: anticipating the team needs, role clarification, setting performance expectations, mentoring and coaching, and providing feedback. One respondent characterized anticipation of team needs by responding that she, "I think the constant with the people who were far away, keeping, building, and maintaining the rapport, and making them feel as if they were part of the team and always connected, so that there was, I, so I sort of confronted the isolation before it really happened." Another said, "The only major difference, from my perspective, is that you cannot afford to be serendipitous. You have to be very, um, disciplined and kind of premeditated."

Several respondents addressed the notion of role clarification. One said, "I didn't have to get a pick and shovel to find out what I was supposed to do or who was doing what, who was responsible for it. That was all pretty well laid out." Another said, "They need to understand when they get up in the morning exactly how their roles and responsibilities impact and affect the deliverables."

Setting performance expectations was also cited as an important property. One respondent said, "You need to be very, very clear up front about what the vision and mission and goals and objectives and success criteria are for the team and for individual." Supporting that thought another participant offered, "I mean it's glaringly apparent that vision and missions objectives and measurements and metrics and processes have to be very, very clear."

Several respondents addressed mentoring and coaching. "If we, if I, make a wrong decision, than I want her to educate me as to what should have been done." In addition, another view was that, "perhaps working with somebody who has, who has done this role before in terms of being able to see how he's done that and what was done to establish a more effective way of doing it."

If *responsiveness* is the "how," *empowerment* is the "what." Our respondents let us know that communication from leaders was only effective if received according to the properties described above. Specifically, if that communication did not result in further development of team members' understanding of their role, contribution to the team, vision and mission of the organization, specific suggestions for improvement provided in a positive developmental manner (mentoring, coaching, and feedback), then communication was not effective.

Team members also described concerns beyond those encompassed by the absence of properties described above. First was the notion that virtual teams leaders tend to take on more work than necessary. One of our respondents said, while referring to her leader, "I would just like to know more of what some of her needs and challenges are. I think she takes a lot on her shoulders that, at times, we could probably assist with."

Second is the idea that implicit in the data from research question one is the concept that giving autonomy can be highly motivational for many people. The data indicated that excess autonomy may be perceived as a negative for some virtual team members. One leader said that, "there were a couple of comments, or, or areas that looked like they weren't getting ... enough of my time." Another said of his leaders, "I would say probably, if anything, she may, she may be too autonomous. What I mean by that is we don't often get feedback from her." While autonomy may be highly motivational, it appears to have its dark side in virtual teams.

Research question two asked, *What helping and hindering forces to effective leadership exist in virtual teams and what is currently being done or can be done in the future to enhance strengths and overcome barriers?* Team and organizational helpful forces emerged from the data. Under the broad category of *motivation*, we identified properties of fit with personal style, satisfaction with work/life balance, and alignment of personal and organizational goals. The first helpful team force that many people gain satisfaction from working on a virtual team

since it meets certain personal needs for work/life balance. As one of the respondents phrased it, "I'm an introvert, so that works for me." Another said that they had a company-wide job satisfaction initiative ongoing and that "part of that initiative is work/life balance, which for me is what working from home is all about." Although many team members acknowledged that working virtually had its challenges, the flexibility and /or autonomy more than made up for it.

At the organizational level, was the idea that successful virtual teams exist in a culturally-sensitive environment. In all three cases, respondents noted that their organizations had developed the capacity to appreciate cultural differences regardless of the manner in which these characteristics appeared. One of our respondents put it best when she said, "in a virtual team, what we need to be aware of more so is time zones, cultural differences, perspectival [sic] and perceptual differences, linguistic differences that can lead to misunderstandings." Although conflicts arose as a result of cultural differences, participants alluded to a *learning culture* that superceded a particular organizational culture.

At the team level, we derived the category of *face validity*, which encompassed the properties of face-to-face contact, accountability, and dependability. One of our respondents said that virtual team members need to understand that team performance "is going to happen differently than it would face-to-face." Another leader reported that she would "do a little more face-to-face than we currently do" to improve the teams performance. One of our respondents summarized the things that are being done in his team in this regard by stating that "those connections probably helped because we've already had some face-to-face [contact]." Second is accountability. One of our respondents indicated that team members who "did not follow through with what they were supposed to do" were an issue in her team. Another gave an illustration when she said that, "one person who lives abroad was trying to establish his own consultancy practice, and so things were very unpredictable in his own schedule and that was reflected in his ability to respond to the needs of this team."

Organizational *readiness* emerged as the single most important category containing a host of potentially hindering forces to the successful implementation of virtual teams. Although highly interconnected to the team level hindering forces, this category holds properties that were much more difficult to specify. Respondents were vague when asked for examples but they were certain that there were some larger forces at play occasionally that made them aware of their vulnerability as virtual team members. As one of our respondents said, "many folks out there are not ready to accept this whole concept" of virtual teams. One of our leaders reported that she has responded to this challenge by implementing a training intervention for virtual teams leaders and members. "We have developed and are just releasing remote management; a remote management course for managers, and a remote management course for people who are being remotely managed because there's pain, you know, out there."

Visioning Leadership Development

In reviewing the categories and properties that emerged from the data, we were hard pressed to find content that would not be part of conventional leadership development programs with the exception of enhanced technical skills. However, the virtual team leaders who participated in this study noted that this particular leadership role does not lend itself well to a *program*. Formal instruction (conducted face-to-face) simply does not convey the nuances of the virtual context. These leaders envisioned successful virtual team leadership development on a continuum that begins with becoming a successful leader first in-house by establishing credibility in the face-to-face context and gaining access to sources of power. Second, they asserted that an important developmental requirement was to be a member or a virtual team prior to leading one. Finally, they noted that they saw themselves as change agents for the organization as a whole, constantly advocating for their in-house leader colleagues to understand the subtleties of remote management/leadership because it is so very easy to lapse into a "out of sight, out of mind" frame. One of our respondents summarized the leadership development implications by stating,

The virtual team leader needs to be expert, I think, at written communication and electronic communication. You can have this skill, but you have to be willing to be connected to the computer, so that you can be available to respond in a timely way when other people around the globe are accessible and available. So communication and interpersonal relationships and diplomacy are key. And then of course, all of that leads to keeping people thinking and believing and feeling as if they truly are connected and integral to the overall team project and to the organization.

Conclusions, Recommendations, and Contribution to HRD

This research began with the central research question was: what specific leadership behaviors, competencies, skills, and attributes contribute to virtual team effectiveness? In answer to that question, much important information has emerged from this research project. First, as Colky et al. (2002) uncovered, communication is critical in leading virtual teams. However, this multi-site case study further illuminated communication as having two narrower

categories, responsiveness and empowerment. The second factor, identified by Colky et al. was trust. While we acknowledge that our participants operationalized this in some respects (accountability and dependability), our participants operated out of an overall motivational frame noting that their desire to be members or leaders of virtual teams fit their personal life style and needs for work/life balance. It was within that context that they sought to be accountable and dependable. Collaborative learning was the third construct named in Colky et al., and it is tempting to align our finding of a *learning culture* with it. But, where the learning is taking place and needs to take place pose some challenges. Clearly, these participants were aware of both strengths and weaknesses in the capacity of their host organizations' culture to learn from and support virtual teams. Collaborative learning within the team came up only as a function of the members' interdependence, which varied across the three cases.

Second, several factors emerged, that are not different from face-to-face team leadership. These include anticipating team needs, clarifying needs, setting performance expectations, mentoring and coaching, and providing feedback. These factors appear to support Chase's (1999) contention that virtual teams are just like face-to-face teams, 'only more so' (p. 76).

Finally, this research uncovered some important implications for HRD. First, HRD practitioners may now understand more specifically the meaning of effective leadership in virtual teams. For example, this research uncovered that communication in virtual teams means, among other things, being personally responsive and empowering followers. This alone has widespread implications for hiring and recruiting practices in organizations considering virtual teams.

Second, the major implication of this research to HRD theoreticians is that we now may be able to construct leadership development processes that will be meaningful to our client organization. We are just beginning to understand the notion of leadership in virtual teams.

While this research has important implication to the HRD community, it is just the starting point. In order to be fruitful, much is yet to be done to bore more deeply into this elusive topic.

References

- Academy of Human Resource Development (AHRD) <<http://www.ahrd.org>> Information accessed on September 27, 2003.
- Automated Data Processing Inc. (ADP) <<http://www.adp.com>> Information accessed on October 5, 2002.
- Bell, B., & Kozlowski, S. (2002). A typology of virtual teams: Implications for effective leadership. *Group and Organizational Management*, 27, 14-49.
- Bennis, W. (1994). *On becoming a leader*. Wesley Publishing, Reading, MA.
- Bennis, W. (1984). The four competencies of leadership. *Training and Development Journal*, 38, 14-19.
- Bennis, W., & Nanus, B. (1985). Organizational learning: The management of the collective self. *New Management*, 3, 6-13.
- Bethel, S. M. (1990). *Making the difference: Twelve qualities that make you a leader*, P. G. Putnam & Sons, New York.
- Cascio, W., & Sturyaila, S. (2003). E-leadership and virtual teams. *Organizational Dynamics*, 31, 362-376.
- Chase, N. (1999). Learning to lead a virtual team. *Quality* 38(9), 76.
- Colky, D. (2002). *A critical examination of the virtual organization and the mutual interdependencies of trust, communication, and collaborative learning*. Unpublished doctoral dissertation, Northern Illinois University, DeKalb, Illinois.
- Colky, D. L., Colky, M. T., & Young, W. H., III (2002). *Managing and developing people in the virtual organization*. Malabar, FL: Krieger Publishing
- Erlandson, D., Edward, L., Skipper, B., & Allen, S. (1993). *Doing naturalistic inquiry*. London: Sage.
- Gould, D. (1997). *Leadership in virtual teams*. Unpublished doctoral dissertation. Seattle University.
- Heilbrun, J. (1994) Can leaders be studied? *The Wilson Quarterly*, 18, 65-72.
- Hofstede, G. (1980). *Culture's consequences*. Thousand Oaks, CA: Sage.
- Jarvenpaa, S., Knoll, K., & Leidner, D. (1998). Is anybody out there? Antecedents of trust in global virtual teams. *Journal of Management Information Systems*, 14(4), 29-64.
- Jaeger, A. M. (1986). Organization development and cultures: Where's the fit? *Academy of Management Review*, 11(1), 178-182.
- Johnson, J. R., & Jeris L. (2003). Team effectiveness: Is HRD 'Virtually' clueless? In S.A. Lynham & T.M. Egan (Eds.) *Proceedings of the Academy of Human Resource Development Annual Research Conference*, (pp.952-959), Minneapolis, MN.

- Joy-Matthews, J., & Gladstone, B. (1999). Extending the group: A strategy for virtual team formation. *Industrial and Commercial Training* 39(1), 24-29.
- Kayworth, T., & Leidner, D. (2001). Leadership effectiveness in virtual teams. *Journal of Management Information Systems*, 18, 7-40.
- Kelly, E. (2001). Keys to effective virtual global teams. *Academy of Management Executive*, 15 (2), 132-133.
- Kotter, J. P. (1996). *A force for change: How leadership differs from management*, The Free Press.
- Larouche, L., & Bing, C. (2001). Technology, protocol keep global teams going without face-to-face meetings. *Canadian HR Reporter*, 17 (18) 17 &19.
- Lipnack, J., & Stamps, J. (1999). Virtual teams. *Executive Excellence*, 16(5), 14-15.
- Locke, E. A., Kirkpatrick, S., Wheeler, J. K., Schneider, J., Niles, K., Goldstein, H., Welsh, K., & Chah, D. (1991). *The essence of leadership: The four keys to leading successfully*. Lexington Books, New York, NY.
- Loeb, M. (1994). Where leaders come from. *Fortune* 130(6), 241-242.
- Lurey, J., & Raisingham, M. (2000). An empirical study of the best practices in virtual teams. *Information & Management*, 38, 523-544.
- Merriam, S. (1988), *Qualitative research and case study applications in education*. Jossey-Bass, San Francisco, CA.
- Montoya-Weiss, M., Masse, A., & Song, M. (2001). Getting it together: Temporal coordination and conflict management in global virtual teams. *Academy of Management Journal* 44(6), 1251-1262.
- NiSource Inc. (NiSource) <<http://www.nisource.com>> Information accessed on October 15, 2003.
- Pauleen, D. (2002). Leadership in a global virtual team: An action learning approach. *Leadership and Organizational Development Journal*, 24, 153-162.
- Platt, L. (1999). Virtual teaming: Where is everyone? *Journal for Quality and Participation*, 22(5), 41-43.
- Potter, R., Cooke, R. and Balthazard, P. (2000). Virtual team interaction: Assessment, consequences and management. *Team Performance Management* 6(7/8), 131-137.
- Senge, P. M. (1996). Leading learning organizations. *Training and Development*, 50, 36-37.
- Schon, D. (1983). *The reflective practitioner*. New York: Basic Books.
- Solomon, C. (2001). Managing virtual teams. *Workforce* 80(6), 60-65.
- Stake, R. (1995). *The art of case study research*. Thousand Oaks, CA: Sage Publications
- Switzer, J. (2000). *Virtual teams: Profiles of successful leaders*. Unpublished doctoral dissertation, Pepperdine University.
- Van der Smagt, T. (2000). Enhancing virtual teams: Social relations v. communication technology. *Industrial Management + Data Systems* 100(4), 148-156.
- Zigars, I. (2003). Leadership in virtual teams: Oxymoron or opportunity? *Organizational Dynamics*, 31, 339-351.

Two Group Development Patterns of Virtual Teams: Linear Progress and Adaptive Progression

*Seung-won Yoon
Western Illinois University*

Examining the group processes of seven virtual learning teams and the distribution of observed behaviors from each team found two emerged group development patterns, Linear Progression and Adaptive Progression. Linear progression teams followed the linear sequence of orientation, scheduling, exploration, work and decision, progress check and evaluation, refinement and formatting, and termination. Adaptive progression teams found the evaluation of work progress or the outcome of group work was not satisfactory and made an adaptation to the team progress by revisiting one or more of the previous phases based upon needs identified to finish the project.

Key words: Virtual Teams, Group Development, Computer-Mediated-Communication (CMC)

Advancement in information and communication technologies has triggered growing interest in virtual collaboration and knowledge networks. Types of virtual teams, such as global work teams and special project groups via wireless or teleconferencing tools, are promising because not only are communication technologies becoming more cost efficient, but also becoming more convergent, especially on the Internet to enable group collaboration through multiple communication channels (Penzias, 1995). The digital promise has led companies and higher education to implement virtual teams in their training or instructional practices, believing that proven benefits of traditional group work, such as learning from more knowledgeable members and developing social relationships (Cohen, 1986; Jaques, 1984; Johnson & Johnson, 1987), will be immediately applicable to the virtual team settings. Lowered cost and advances in information and communication technologies will extend the use of virtual teams.

Problem statement

Most research on group development of virtual learning teams has been studied without the guidance of theory. One very widely used model in HRD to explain group development is Tuckman's stage model: forming, storming, norming, and performing (Tuckman, 1965). According to this view, in order to become an effective team, a team must progress each group development phase: forming; storming; norming; and performing in a linear fashion and build upon the previous step without skipping any phase. Since the mid 1980's, alternative models that questioned the linear development of a group emerged, mostly from the field of psychology and management, to emphasize the dynamics and self-managing-capacity of small groups (McGrath, 1984, 1991). Mid-transition model (Gersick, 1988, 1989) believes that team members interact actively at the beginning to establish work protocols, the interaction then tapers off until members realize the need to improve their work practices and go through the mid transition to modify the initial work process. The interactions then slack off again until team interactions explode at the final stage to complete the group task. Unlike the previous two models, recurrent model (McGrath, 1984, 1991) claims that groups do not perform one single task for one discrete purpose. According to this view, groups may perform multiple sets of activities to address both the social and the production-related tasks. Therefore, the group development process is recurrent. More recent views on small groups see them through the lens of a complex adaptive system (McGrath, Arrow, & Berdahl, 2000). Unlike the previous group development perspectives, this view maintains that group development is an adaptation process where group level dynamics, such as norms and member roles, are continually shaped and constrained by individual members and contextual factors such as organizational support, member changes, and task demands. According to this framework, group development is bi-directional and nonlinear because group dynamics such as norms and member roles also influence individuals and contextual factors, whose dynamics are repeated until the group termination (McGrath, Arrow, & Berdhal, 2000).

Each model or view commonly attempts to describe the development patterns of small groups and explain how group members work together to accomplish group tasks. However, each view differs from each other in viewing how the team addresses group developmental needs in a linear, mid-transitioning, recurring, or adaptive manner. In addition, the group development focus slightly differs in each view in spite of using the same term, group

Copyright © 2004 Seung-won Yoon

development. For instance, group development in the Mid-transition model is specific to the phases in the accomplishment of a given task (Seers & Woodruff, 1997), whereas, Tuckman's model includes socio-emotional aspects in addition to groups' work protocols. This leads to the lack of generalizability between different group development studies.

Theoretical Framework

A systems perspective that views small groups as a complex, adaptive, and self-organizing system (McGrath, Arrow, & Berdahl, 2000) served as the conceptual framework and the methodological guideline for this study. Complexity theory has been adopted as a theoretical framework to understand a system in complex situations (Axerlod & Cohen, 1999; Simon, 1999). Complexity does not mean perceived cognitive difficulty, but rather signifies that new properties emerge from the system when individual parts within the system interact. Individual parts do not inherently have those properties. This description closely matches how virtual team members operate within a virtual team. The central theme related to the process of group development behind this view is that groups develop as a function of changing conditions over time. The lack of verbal clues and technological barriers require diverse management skills, such as the ability to determine the best technology to facilitate communication, and the ability to engender trust and productivity even when there is no direct supervision (Solomon, 2001). When knowledge networks abound in online settings, virtual teams can explore various problem-solving paths that face-to-face teams cannot take. However, these increased network nodes make it difficult to predict paths or patterns for problem solving (Clippinger, 1999).

This view allows one to see the group as a dynamic and adaptive entity that interacts with its members embedded within the team, and also with the larger systems such as organizations within which the team is embedded. As for the aspect of group development, this framework maintains that all groups need to address two generic functions (i.e., completing group tasks and fulfilling member needs) in order to accomplish the group goal. This view is aligned with small group studies that consider group development as bifocal: group development as related to task and socio-emotional dimensions (O'Conner, 1985; Tuckman, 1965; Wheelan, 1994, 1996). This view also reflects the common needs of virtual learning team members to address both needs to complete a group task and develop group affinity over time.

Perceiving the virtual teams as capable of self-managing and adapting to changing environments implies a significant challenge for research paradigms in group development studies. Groups in the past also used communication technologies to deliver and share information, but the role was rather supplemental to face-to-face interactions. However, current online communications greatly differ from those of the past because the Internet provides a cost effective way to network people and manage work processes crossing the time and space boundaries. Before the Internet, there were communication technologies such as fax, telephone, and satellite systems that allowed people to communicate at different times and locations, but the cost and adoption of the previous technologies were not at a par with face-to-face interactions. In modern work teams, employees utilize information technologies to improve coordination, flexibility, dynamics, and responsiveness without being restricted by physical proximity (Lucas, 1996). This networked and flattened form of organization is radically different from the previous hierarchical forms of organizations because responsiveness to rapidly changing environments is preferred over the stability of the hierarchical decisions. Each individual in those networked work teams can initiate actions, thus distinct group behaviors appear in complex systems. Clippinger (1999) maintains that the way complex systems operate is neither deterministic nor linear. Within virtual teams, group development will be embodied by how the group members have interacted with and adapted to their changing circumstances. Rather than identifying definitive group development patterns, group development in network-path-rich virtual teams will be more interested in finding regularities and a repertoire of actions that enable the system to stay within a reasonably stable structure and to evolve to more effective actions for reusable responses toward an environment.

Research Questions

Without preemptive knowledge about what virtual team members do, and based upon understanding from the literature that virtual team members utilize synchronous and asynchronous communication technologies, the researcher originally formulated research questions to examine the group development of virtual teams by asking what they do synchronously and asynchronously in order to address the need for accomplishing work and supporting the team members. However, examining the group communication logs, students' email messages, and posted messages indicated that virtual learning teams in this study heavily utilized synchronous communication, whereas asynchronous tools were merely used to post draft works and exchange documents. In addition, the coding system

development processes led to the identification of a third domain that was crucial for group development in virtual learning teams. Observed behaviors for the third domain were not performed to accomplish work or develop member relations, which were two major group development functions identified from the group development literature. The researcher named the third domain as *Management*, which captured members' behaviors related to managing the group meeting, scheduling, and addressing technology issues. Based on these adjustments, research questions were modified as below:

1. What are the major behaviors that virtual team members perform?
 - a. What behaviors do virtual team members perform for work needs?
 - b. What behaviors do virtual team members perform for social needs?
 - c. What behaviors do virtual team members perform for management needs?
2. How are the major behaviors for different group functions distributed over time?
 - a. How are the major work-related behaviors distributed over time?
 - b. How are the major social-related behaviors distributed over time?
 - c. How are the major management-related behaviors distributed over time?
3. What are the major group development/patterns of virtual learning teams?
 - a. Which forces shape and constrain the emergence of group development patterns?

Research Design

This study was naturalistic and explorative in that the participants were observed through a typical online distance course environment without any arrangements manipulated for this research. Group development patterns were explored by using the comparable multiple-case study design with simulated virtual work groups (McGrath, Arrow, & Berdhal, 2000). Participants of this study were seven newly formed virtual learning teams working on a final group project in a twelve-week online graduate-level course. All of the thirty-three participants were full time Human Resource Development (HRD) professionals.

The explorative nature of this study required accuracy in interpreting communication behaviors and group development processes. In view of that, this study used the combined method, specifically the phase design model suggested by Creswell (1994) to corroborate findings from different data sources. First, interaction analysis was conducted from archived communication logs to answer the question, "what kinds of messages are exchanged in these small groups *between whom*" (italics added, Sykes, 1990, p. 208). In so doing, reliability on coding schemes was ensured by comparing the results with another coder. At the second phase, summary statistics were used to examine distributions of member behaviors over time. The summary data were used as a leading point to the next phase of identifying major group development patterns of virtual learning teams. Lastly, the researcher investigated which forces were influential on the emergence of group development patterns in virtual learning teams using the forced field analysis (Udinsky, Osterlind, & Lynch, 1981). The analytical framework of force field analysis nicely fit the purpose of identifying influential forces for groups to move from the status quo (i.e., formulation of teams) to the desired status (i.e., successful group development in terms of work completion, member relations, and effective group/meeting management). This study also collected members' background information through a pre-course survey to explore how member backgrounds impacted group development.

Results and Findings

Research Question 1: What Are the Major Behaviors that Virtual Team Members Perform?

Team members exchanged the largest amount of messages for work (59.3%), followed by social (26.3%), and management purposes (14.4%). Wheelan's (1992) definition of work statements, "those that represent purposeful, goal-directed activity and task-oriented efforts" (p. 363), was immensely helpful to distinguish work-related behaviors from other domain-related behaviors, particularly from management-related behaviors. The *Social* domain was defined as members' efforts to build relationships with other team members. The *Management* domain was defined as efforts directed to manage the overall group processes and group meetings, which were distinguishable from explicit task-oriented efforts.

Performed behaviors for work needs. Ten behavioral dimensions were identified under the *Work* domain. The most frequently observed behavioral dimension was sharing (21.3%), which included behaviors such as sharing facts/resources (i.e., sharing objective information) and sharing opinions/ideas (i.e., sharing subjective information). Perhaps the most interesting finding was that the proportion of responding behaviors (10.7%) was lower than that of requesting behaviors (14.4%). Responding behavior was defined as an immediate and direct response to a request

made. This indicates a poor management of the group synchronous chat. Having worked for four years as a teaching assistant and a technical support staff member in online classes, the researcher frequently observed that the message flow of a group synchronous chat was messy, particularly when team members were addressing multiple issues rapidly. Typing a complete sentence takes a lot longer than delivering the same message verbally, and in an online group chat, people tend to read the last threaded messages while typing. Therefore, responses are often distanced from what was originally asked, and read more like an independent thought. This pattern contributes to blurring the beginning and the ending point of a topic, and when a new topic is introduced, the environment gives an impression as if everyone is talking about his or her own thoughts. Consenting behaviors such as agreeing or disagreeing on processes, format, and opinion, etc. were the third most frequently performed behaviors (14.2%). Virtual learning team members also frequently discussed how the team would go about working on the project (14.1%). Classification efforts regarding task, project requirements, and the format of the team's outcome were also commonly observed (11.5%). The Agenda dimension identified statements related to starting, shifting, and closing a topic during the meeting, and the proportion of those statements was comparatively low at 3.4 percent of the entire work-related statements. The Impediment dimension was unique and important in that even though the proportion was not high (3.2%), it was the only negative behavioral dimension that interfered with the team's work accomplishment. The fact that the proportion of impeding behaviors was similar to that of agenda-related statements indicates that these behaviors were not uncommon during the group meetings. Lastly, time-pacing statements were not frequently observed in this study (1.0%). This may be due to the fact that all team members had direct access to the due date information from the course website. Another possibility is that the participants in this study were purposively sampled individuals in an advanced degree program who were sensitive about what was due.

Performed behaviors for social needs. Analyzing the chat records showed that the social domain did not include any other behavioral dimension other than building a relationship. In other words, the conceptual level of the social domain and the dimension of relationship building were identical. All performed behaviors for the social domain were directed at building relationships and included: *Greetings* (27.6%), *Sharing personal life* (18.7%), *Sharing work and professional interests* (18.2%), *Discussing the course* (15.4%), *Pairing and member support* (11.4%), and *Sharing fun and jokes* (8.7%).

Performed behaviors for management needs. As previously stated, the *Work* and the *Social* domain did not capture a large amount of behaviors virtual learning team members performed for group development purposes. Group development implies that there is a point for a group to start its life until the termination. In this regard, group development is a maturation process to complete the goal of the group. Most work groups, including the learning teams, not only accomplish a group task and foster member relations, but also deal with the maturation processes to move forward. The *Management* domain was identified by behavioral efforts made to make such an advancement (i.e., facilitating the overall group development processes and the group meetings). Among the observed behaviors (see Table 8), scheduling was the most frequently performed (35.7%), followed by facilitation (29.2%), reinforcement (17.5%), technology (15.6%), and conformity (2.0%). The high proportion of scheduling showed that virtual learning teams spent a significant portion of the group meeting time on scheduling purposes. Also, the proportion of technology-related behaviors such as reporting and resolving a problem indicated that virtual learning teams needed to resolve technology-related problems and issues during the group development processes.

Research Question 2: How Are the Major Behaviors for Different Group Functions Distributed over Time?

At the beginning, the social domain explained the largest proportion of observed behaviors (42.6% during the first four weeks), followed by work (34.1%) and management (23.1%). The high proportion of the social domain during the early stage of group development might indicate that virtual learning team members try hard to enhance the social presence in an on-line environment before focusing their interactions on work. However, as team members started gathering necessary information for the project and sharing individuals' work progress during the regular group meetings, the work domain became the dominant focus of performed behaviors (65.5% at time 2 and 68.7% at time 3). The management domain remained the lowest at all three times and its proportion showed a decreasing pattern over time.

Examining the distribution of observed behaviors within each domain showed that the proportion of work, social, and management-related behaviors also changed over time. Within the work domain, the proportion of work process-related behaviors continuously decreased over time (20.4%, 16.4%, and 12.5% at time 1, 2, and 3, respectively). This implied that once work patterns are in place, team members started talking less about them. Sharing, requesting, responding, and clarifying behaviors continuously increased over time to show that virtual team members became more engaged in idea collaboration.

Interesting findings were also found in the members' relationship building behaviors. Sharing personal life and hobby was the most frequently performed at time 1 (29.0%), but it became less frequent in time 2 and 3 (10.3% and 8.6%, respectively). Discussing the course and sharing work and professional interests were commonly found at

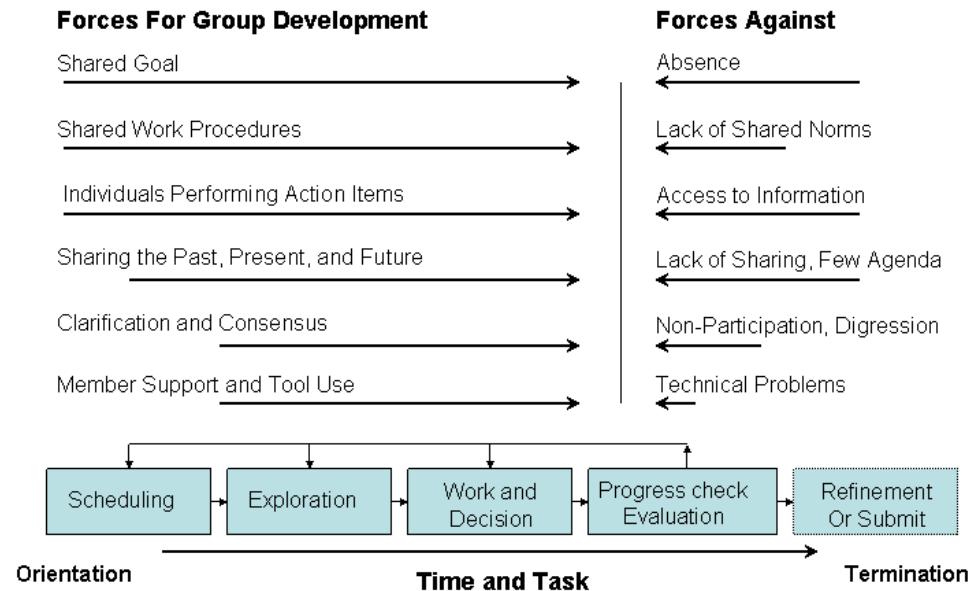
time 1, but those behaviors reduced greatly over time. On the other hand, sharing fun and jokes (5.2%, 13.1%, and 19.2% at time 1, 2, and 3) and pairing and supporting members (13.1%, 19.5%, and 24.6% at each time) showed a considerable increase over time. This indicates that members' relationship development patterns gradually changed from formal to informal over time. Analyzing the distribution of management-related behaviors showed that virtual learning teams in this study recurrently coordinated contingent meetings in order to accommodate traveling team members during group work. Scheduling was expected to decrease over time, but it remained the most frequently addressed management issue (35.2%, 34.9%, and 36.9%). One interpretation about this is that most participants in this study were full time working professionals and most teams had one or two members traveling on business during the group work. With one exceptional case in team G, most contingent scheduling efforts turned out to be extremely difficult and frustrating to team members. The one who reported about his or her absence tended to give only limited information about the absence, and often did not include what alternative times would work or not. As a result, contingent scheduling efforts were followed by repetitive notification of scheduling conflicts. Technology issues were frequently addressed at the beginning (22.9%), and the proportion decreased over time (11.2% and 8.9% at time 2 and 3).

Research Question 3: What Are the Major Group Development/Patterns of Virtual Learning Teams?

Examining the chat logs and the distribution of observed behaviors found two emerged group development patterns in virtual learning teams, *Linear Progression* and *Adaptive Progression*. Two teams (team D and G) developed in linear progression and both teams followed the linear sequence of orientation, scheduling, exploration, work and decision, progress check and evaluation, refinement and formatting, and termination. Five teams developed in adaptive progression (team A, B, C, E, and F) and the initial group development of adaptive progression was the same until the progress check and evaluation phase. However, adaptive progression teams found the evaluation of work progress or the outcome of group work was not satisfactory for team members. Those teams made an adaptation to the team progress by revisiting one or more of the previous phases based upon needs identified to finish the project. Team E made an adaptation by merely adding two more group meetings (revisiting to the scheduling phase) and did not go through any further exploration of work processes or change work/decision making patterns. In team B, adaptation involved setting up additional group meetings, establishing a new work procedure to manage the meeting by agenda, and shifting the interaction focus to work (revisiting to the scheduling and the exploration phase). Team B made a similar adaptation, but the timing and the intensity greatly differed. The change took place during time 3 right before the project due date. As a result, frustration by team members was intense. The degree of adaptation was the greatest in team C, which revisited all three previous phases. When the team switched to a new organization and found that the work progress should be expedited, the team set up additional group meetings and came up with new work procedures (i.e., splitting the reading and mandating to read before the group meeting). This change resulted in the team's work pattern to observe enhanced sharing and increased group consensus. Team F also needed to switch to a new organization due to difficulties in obtaining necessary information. Without such a change, the group development of team F would have been described as linear because the team's progression was sequential. However, switching the project organization enforced the team to explore new solutions to complete the project in time. The team selected phone interviews and a group phone conference and complete the work. Since the team already established clearly shared work and sharing procedures, team members did not set up additional group meetings.

Forces that shaped or constrained the emergence of group development patterns. A combination of forces (i.e., member characteristics, member presence and commitment, emergent group norms, and access to necessary information) influenced a virtual learning team to develop either in linear progression or adaptive progression (see figure 1). Through the force field analysis, the researcher found that member-related characteristics were the primary underlying cause to the successful development of groups, but without being transformed into group norms, the impact on group development was minimal. To illustrate, team A, B, D, E, and G recognized one member's knowledge and experiences related to the project, but only team D and G utilized the expertise from the beginning throughout the course for the purpose of setting up the work procedure, initiating idea solutions, and synthesizing shared perspectives. When members encountered the postponement of project work, other members' topic digression, and differing but never-compromising views regarding the goal of the project, members' expertise did not transform into a shared work procedure to push the project progress.

Figure 1. Influential Forces Impacting the Group Development of Virtual Learning Teams.



Analyzing the pre-course survey result showed that members' work experiences or personality could not predict the emergence of the group development pattern. Members who had relevant work experience or had a personality preference to structure tasks tended to lead the meeting and set up a work pattern for the team, but there were also teams whose most experienced person worked only as a contact person or team members rotated in managing the group meeting. More important was the transformation of member characteristics to the group level so that sharing work procedures, sharing goals, sharing individual members' work, discussing members' views and drawing group consensus, identifying further actions to advance the work, exchanging member support, and utilizing technologies for effective sharing could push team members to address the needs for work, member relations, and management. Second, this study found that virtual learning teams planned and established work procedures based upon project timelines, managed meeting agenda, and performed asynchronous work around provided tasks. As a self-managing team, virtual learning teams identified subtasks and set up due dates for sub-tasks to complete the project. When team members did not perform any action items, that slowed down the work progress of the team. Virtual learning teams' moving ahead of schedule resulted in greater opportunities for sharing, clarifying, and identifying future action items to advance the project. In summary, time and task on this study played the role of a benchmark, pressure, and goal for the purpose of virtual learning team's group development.

The results of force field analysis also identified forces that negatively impacted the group development of virtual learning teams. Similar to positive forces, member-related characteristics were the primary cause of these: member absence, inactive participation, topic digression, little contribution to the group work, etc. When the presence of these negative forces was stronger, the pressure on the team to adapt the team's progression was greater. Obtaining access to necessary information turned out to be one major influential force in this study. Team F observed a strong presence of positive forces and saw few negative forces throughout the course, but experiencing difficulties in obtaining information from the lack of cooperation from the project organization affected the team to develop in adaptive progression. However, it did not impact the quality of group development of the team because even after the change, the team continued to demonstrate high level of work collaboration, member support, and meeting management. Switching to another organization only resulted in a change in the manifestation of group development pattern.

Conclusions

Three functions: *Work*, *Social*, and *Management* are important for successful group development. From the beginning of team formation until the termination of the team, team members' exchanged messages indicated that performed behaviors were targeted to accomplish work (i.e., work), build up member relations (i.e., social needs), and manage the group meeting or the overall group processes (i.e., management). Examining the frequency of all

observed behaviors showed that completing task was the most frequently performed (59.3%), followed by building relationships among the team members (26.3%) and managing the team (14.4%). This shows that virtual learning team members consider the primary purpose of group work as completing the group task. At the beginning, the social domain explained the largest proportion of observed behaviors (42.6% during the first four weeks), followed by work (34.1%) and management (23.1%). The high proportion of the social domain during the early stage of group development might indicate that virtual learning team members try hard to enhance the social presence in an on-line environment before focusing their interactions on work. However, as team members started gathering necessary information for the project and sharing individuals' work progress during the regular group meetings, the work domain became the dominant focus of performed behaviors (65.5% at time 2 and 68.7% at time 3). The management domain remained the lowest at all three times and its proportion showed a decreasing pattern over time indicating that the efficiency of management gradually improved over time.

In addition to three conceptual domains related to group development, this study identified two group development patterns, linear progression and adaptive progression. Each group development pattern could be distinguishable based upon how a virtual learning team progressed through several developmental phases: orientation, scheduling, exploration, work and decision, evaluation, formatting for submission, and termination. Linear progression teams moved along those phases in a step-by-step manner, whereas adaptive progression teams needed to make a backward movement in moving along those phases to adapt to a contingent situation, which was typically detected during the evaluation phase. Which development pattern a virtual learning team's group development displayed was not as important as how clear the shared goal and work procedures were, how much sharing team members had to draw group consensuses, how much member support and assistance the team maintained, and how effectively and efficiently the team addressed those over time. Although one team in this study developed in adaptive progression due to the need for switching the project organization, group development of this team was highly successful and demonstrated high effectiveness and efficiency in managing all three functions. Importantly enough, effectiveness and efficiency in work, member relations, and group management (including the group meetings) characterized the group development of linear progression teams. This is likely since those two linear progression teams could develop in linear progression owing to the team's successful management of positive forces. Virtual learning teams that poorly addressed establishing a shared goal and work procedures, did not share agenda and lacked agenda during the meeting, had little sharing of ideas and opinions, had slow work progress by individual members, and did not actively utilize technologies did not make a smooth transition between each phase. These teams observed unsatisfactory evaluation on the team's work progress and outcomes. Evaluation results were also unsatisfactory when teams observed frequent member absences and had no procedures to address member absence, inactive participation, or topic digression by members. Technologies did not seem to be the most influential toward the development of virtual learning teams. Teams resolved most technical problems through the course.

Contribution to Research and Field of HRD

Findings and interpretations between different group development studies are difficult to compare, largely due to the lack of details about (1) examined groups, tasks, time, and contexts of the research setting and (2) the validation of used coding scheme. To better understand the group development of virtual learning teams, development of a comparison framework for these issues is crucial. This study provided a comparison framework on those issues. For member characteristics, this study selected newly formed virtual learning teams whose members never worked together, were geographically dispersed, and were expected to maintain relationships after their project work was done. Types of groups and member composition are important variables in need of clarifications in conducting research. Task characteristics within this study were a real-world project that included a planning and a brainstorming task (McGrath, 1984). This study examined the group development of virtual learning teams in a semester-long advanced degree course. Future studies should clarify the scope and types of these issues to enhance the generalizability between group development studies. As stated previously, most research on group development of virtual learning teams has been studied without the guidance of theory. To better understand the relationship between group development and other variables, guidance from a theoretical framework is most important. This study examined the group development of virtual learning teams from the complex adaptive systems (CAS) perspective and confirmed that virtual learning teams showed the characteristics of self-managing teams from the CAS perspective in that they adapted to the complex online environment in linear or adaptive progression.

Developing a valid coding system and refining an existing coding system is a venue in needs of further exploration to better understand the group development of virtual learning teams. As Weingart (1997) stated, self-reports on group processes are useful to understand the perspective of informants, but answers may differ from what people actually do. So much can be learned about group development by examining what team members as a group

do. Given the nascent knowledge of virtual learning teams, improvement of existing coding systems are in high demand. Constructing a valid and reliable coding system is an on-going process, and replication efforts are necessary to enhance the validity, reliability, and generalizability of a coding system. The validity and reliability of the developed coding system will never be finalized. Instead, it will be continuously refined with enhanced power to accurately capture the group development processes and reduce the complexity to understand the phenomenon. Findings about group development from one source can be compared with those from another source to enhance the accuracy in interpretation.

Virtual teams are growing phenomena of interests for the field of HRD. As facilitators of work groups that include virtual teams, when contingent issues abound in virtual environments, we cannot rely on a predictive stage model to guide the group development of virtual work groups. Instead of finding a unitary one-way causal model, more important and realistic task will be to find regularities and a repertoire of actions that enable the virtual team members to stay within a reasonably stable structure and to evolve to refine effective actions to successfully complete a group task and enhance the member relationship. As virtual learning teams are being widely implemented for the improvement of learning in educational and training contexts, renewed interests in small group studies, whose results and research design are comparable among similar studies, are expected.

References

- Axelrod, R., & Cohen, M. (1999). Introduction. In R. Axelrod & M. D. Cohen, *Harnessing complexity: Organizational implications of a scientific frontier* (pp. 1-31). New York: Free Press.
- Clippinger, J. H. III (1999). Order from the bottom up: Complex adaptive systems and their management. In John. H. Clippinger (Ed.), *The Biology of business: Decoding the natural laws of enterprise* (pp. 1-30). San Francisco: Jossey Bass.
- Cohen, E. G. (1994). *Designing group work: Strategies for the heterogeneous classroom* (2nd ed.). New York: Teachers College Press.
- Creswell, J. W. (1994). *Research design: Qualitative and quantitative approaches*. Thousand Oaks, CA: Sage.
- Gersick, C. J. (1988). Time and transition in work teams: Toward a new model of group development. *Academy of Management Journal*, 31, 9-41.
- Gersick, C. J. (1989). Marking time: Predictable transitions in task groups. *Academy of Management Journal*, 32, 274-309.
- Jaques, D. (1984). *Learning in groups*. (2nd ed.). London: Croom Helm.
- Johnson, D. W., & Johnson, R. T. (1987). *Learning together and alone* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.
- Lucas, H. C. (1996). *The T-form organization: Using technology to design organizations for the 21st century*. San Francisco, CA: Jossey Bass.
- McGrath, J.E. (1984). *Groups: Interaction and performance*. Englewood Cliffs, NJ: Prentice-Hall.
- McGrath, J. E. (1991). Time, interaction, and performance (TIP): A theory of groups. *Small Group Research*, 22(2), 147-174.
- McGrath, J. E., Arrow, H., & Berdahl, L. J. (2000). The study of groups: Past, present, and future. *Personality and Social Psychology Review*, 4(1), 95-105.
- O'Connor, G., G. (1980). Small groups: A general systems model. *Small Group Behavior*, 11(2), 145-174.
- Penzias, A. (1995). *Harmony: Business, technology, & life after paperwork*. New York: Harper Business.
- Seers, A., & Woodruff, S. (1997). Temporal pacing in task forces: Group development or deadline pressure. *Journal of Management*, 23(2), 169-187.
- Simon, H. (1996). The architecture of complexity: Hierarchic systems. In H. Simon, (Ed.), *The Sciences of the artificial* (pp. 183-216). Cambridge, MA: MIT Press.
- Sykes, R. E. (1990). Imagining what we might study if we really studied small groups from a speech perspective. *Communication Studies*, 41(3), 200-211.
- Tuckman, B. W. (1965). Development sequence in small groups. *Psychological Bulletin*, 63, 348-399.
- Udinsky, B.F., Osterlind, S.J., & Lynch, S.W. (1981). *Evaluation resource handbook: Gathering, analyzing, reporting data*. San Diego, CA: EdITS.
- Weingart, L. R. (1997). How did they do that? The ways and means of studying group process. *Research in Organizational Behavior*, 19, 189-239.
- Wheelan, S. (1994). *Group processes: A developmental perspective*. Boston, MA: Allyn and Bacon.
- Wheelan, S., & Hochberger, M. J. (1996). Validation of the group development questionnaire. *Small Group Research*, 27(1), 143-170.

Graduate Business Students Perceptions of the Qualities and Behaviors of Ethical Leaders: An Approach to Ethical Leadership Development

*Catherine Marsh
North Park University*

Professors in graduate business schools continue to struggle with how to most effectively prepare students to take on the mantle of ethical leadership. In light of recent events in which business school graduates have become involved in high profile ethical scandals, asking the same people to debate this topic may not be appropriate. This study asks business students from a small midwestern Christian university to wrestle with the topic.

Keywords: Leadership Development, Ethics, Social Responsibility

As the daily news carries allegations of corrupt behavior in all arenas of life, the world's attention is focused on the behavior of leaders in government, business, social and even religious institutions. The Catholic Church continues to settle multi-million dollar claims against its priests for sex abuse (*The Chicago Tribune*, 10/3/2003). A recent scandal surrounds the administration of George W. Bush which is accused of knowingly leaking the cover of a CIA agent's identity as revenge against her husband who questioned the intelligence of going to war with Iraq. In the business world, executives are resigning over increasing alarm and public outcry over their multi-million dollar salaries – the latest fatality being the head of NASDAQ, Dick Grasso, who was forced to step down in September after his \$139.5 million retirement package was revealed (*The Wall Street Journal*, 9/18/2003).

So where do we stand as academics? The question although not new (Bowie, 2001), warrants continued consideration. Is there a way in which the field of Human Resource Development can influence the current moral milieu? With human and organizational values (Paine, 2003) as the common denominator of ethical dilemmas, and with recent studies confirming the relationship between CEO values and ethical practices in organizations (Hood, 2003) professionals in the field of HRD should step up to the challenge. Consider the implications of the recent Aspen Institute study of about 2000 graduates of the top 13 business schools:

The study found that B-school education not only fails to improve the moral character of the students, it actually weakens it. The study examined student attitudes three times while they were working toward their MBA's: on entering, at the end of the first year, and on graduating. Those who believed that maximizing shareholder value was the prime responsibility of the corporation increased from 68% upon entrance to 82% by the end of the first year (Gioia, 2002).

Due to the failure of the Business School approach to ethics (*The Economist*, 9/6/2003), HRD's foundation on principles of Adult Education, rather than its affiliation with Business Education may be the basis from which to develop curricula in Business Ethics. Some educators would have us believe that Business Ethics is an oxymoron, and arguments abound that ethics cannot be taught (Thurrow, 1987 and Bunke, 1988 as cited by Murphy & Boatright, 1994). Still others insist that a person's moral fiber is cast in stone from childhood (McCabe, Dukerich, & Dutton, 1991 as cited by Monson & Bock, 2003). There are also those who stress that ethics and social responsibility are about emotions, not facts and cannot be studied or measured scientifically to which Tom Donaldson counters, "Some of the most important work in economics and philosophy to emerge over the past three decades is rigorous, logical, and theoretically elegant, but not at all dependent on observation or experiment (Donaldson, 2003)." One such theoretically elegant scheme is seen in the emerging body of literature on conscientization –the process of developing consciousness that has the power to transform reality - originally associated with the work of Paulo Friere (1972).

Kenneth Goodpaster discussed conscientization in his keynote address at the 2003 AHRD Conference. The type of leadership behavior seen in recent scandals is what Goodpaster refers to, as "TELEOPATHY -- the unbalanced pursuit of purpose in either individuals or organizations." Conscience, Goodpaster believes, is the best response to teleopathy. Further, the implication for business leaders is to develop two new roles: a conscience building role on internally and a citizenship role externally (Goodpaster, 2003). If Goodpaster is correct in his assessment, perhaps insight on the development of ethical leadership can be gained by exploring models of consciousness. While Goodpaster suggests a two-dimensional model based on the internal and external world, Ken Wilber expands the same concept to include four domains. Wilber's transcendental view indicates that development

Copyright © 2004 Catherine Marsh

can occur at the individual and community level of the internal and external world (Wilber, 1997). Due to Wilber's extensive research into the area of consciousness, this study will conclude by suggesting "The Four Faces of Truth" (Wilber, 1997) as a possible framework for further HRD research.

The following study is a foray into discovering new approaches to conscientization (developing ethical leadership competence) of adult business school students. Assumptions of the study are based upon principles of Adult Education which clarify learning: it a life-long adventure; it can be self directed (Knowles, Houle, Tough in Merriam, Caffarella, 1999); it is motivated by internal as well as external factors (Knowles in Merriam, Caffarella, 1999); it is grounded in experience (Kolb, Jarvis, Barnett, Boud, Keogh, Walker in Merriam, Caffarella, 1999); it can be brought about by developing practices of critical reflection (Brookfield, Mezirow, Friere in Merriam, Caffarella, 1999); and it can allow for spiritual and mystical dimensions to emerge as it crosses cultural differences in values and perceptions (Wilber in Merriam, Caffarella, 1999).

Problem Statement and Research Questions

The main problem addressed in this paper is: How can we expand our understanding of alternative approaches for teaching business ethics? The framework for the study is based on David Solomon's central goals of a virtue ethic (Solomon, 1988). Unlike other theories such as Kantian deontology, which is based on the assessment of action, or utilitarianism and consequentialism, which are based on the value of the consequences of action, virtue ethics examines the virtues and vices by which character is formed. According to Solomon, virtue ethics has three tasks: to develop and defend a) some conception of the ideal person, b) some list of the virtues necessary to become a person of that type, and c) some view of how persons can come to possess the relevant virtues. Therefore this study poses the following research questions: 1) How is the ethical leader described? 2) What distinguishes an ethical leader from a person that is not an ethical leader? 3) How can we utilize the insights garnered from these questions in a business school curriculum?

Method

The study was designed to solicit input from graduate business students. While we are aware that current ethics instruction is not equipping students to face the challenges they encounter in the business world, it is not possible to fully understand why their needs are not being met without turning to the students themselves. During two sessions of the graduate class in *Organizational Behavior and Ethics*, taught at North Park University in Chicago, Illinois, students were asked to respond to a survey that contained the following open-ended questions.

1. When you think of an ethical leader, what qualities do they possess that has identified them as ethical?
2. How does this leader behave?
How does this behavior set them apart from someone you would not identify as an ethical leader?
3. What is this person's background?
What experiences would you consider to have added to their ethical practices?
4. What suggestions do you have for how ethics can be developed or taught in a business school curriculum?

It was made clear that the answers would in no way affect the students' grades. The students were given one hour of class time to complete the questionnaire. The forty-five students surveyed represent a diverse population in regards to age, nationality, ethnicity, and gender, as well as a number of degree programs including the Master of Business Administration, the Master of Management, the Master of Nonprofit Management, Master of Community Development and a number of seminary degrees including the Master of Divinity and the Master of Christian Ministry.

Table 1. *Demographics of Survey Participants*

DEMOGRAPHICS		
Gender: 21 males/24 females	Ages: 23-64, Median 39	Degree Sought: MM or MBA - 35 MM or MBA with MDIV or MCM – 7 MM or MBA with MACD - 3
International Student Countries of Origin:	Vietnam 1, Turkey 1, China 1, Kenya 1, India 1, Venezuela 1, Peru 1, Greece 2, Korea 2, Pakistan 2, Philippines 2, Poland 3	
Ethnicity of American Students:	European Americans 15, African Americans 7, Hispanics 4, Asian Americans 2	

The answers were analyzed, categorized in alignment with Solomon's three tasks of virtue ethics, and finally, implications for future research were determined. In the analysis and categorization stages of the study, an attempt was made to assess whether the students were operating from a consequential/teleological, conconsequential/utilitarian or virtue perspective. There were instances where similar behaviors were associated with several qualities, which forces a decision regarding which quality to link the behavior.

Findings

Questions 1 and 2 - First Task of Virtue Ethics: Some conception of the ideal person. When you think of an ethical leader, what qualities do they possess that has identified them as ethical? How does this leader behave? How does this behavior set them apart from someone you would not identify as an ethical leader? *Answers:* The answers to questions one and two were coded by quality observed and associated behavior that identified the leader as ethical. In certain instances qualities with overlapping associated behaviors were combined, such as *Honesty and Integrity*. There was a consensus surrounding a number of critical qualities, although the associated behaviors were varied. The asterisked qualities were included frequently, but were not present in all responses. Occasional answers that did not represent consensus or appeared infrequently are not listed on the following chart.

Table 2. *Perceived Qualities and Behaviors of Ethical Leaders*

QUALITIES	ASSOCIATED BEHAVIORS
Honesty and Integrity	<ul style="list-style-type: none"> • Communicates Truthfully • Does Not Misrepresent Facts • Does Not Withhold Information • Utilizes Open Book Management • Actions are Congruent with Articulated Values • Is Fair in Dealings with Vendors, Customers and Employees • Complies with Laws and Regulations • Lobbies Against Unjust Legislation
Multicultural Orientation	<ul style="list-style-type: none"> • Respects and Values Diversity • Goes out of the Way to Find Diverse Perspectives and Opinions • Challenges Opinions of Others and Expects to Be Challenged in Return • Champions the Rights of Others
Global Perspective	<ul style="list-style-type: none"> • Thinks Globally while Acting Locally • Understands Business Impact on the Global Economy
Values Driven	<ul style="list-style-type: none"> • Teaches through Modeling the Values • Serves as a role model and mentor • Operates according to own high standards • Establishes Code of Ethics • Rewards ethical conduct
Courageous	<ul style="list-style-type: none"> • Will Admit When He/She is Wrong • Is Willing to Take Risks • Takes Responsibility • Does Not Blame Others • Encourages Others to Experiment With New Ways of Solving Problems • Promotes long-term, over short-term profit
Just	<ul style="list-style-type: none"> • Does Not Tolerate Sexual Harassment • Ensures Thorough Investigation of Incidents • Implements fair wage and price strategies • Does the "right thing"
Self Aware/Other Aware	<ul style="list-style-type: none"> • Understands Own Values and Beliefs • Is Aware of Strengths and Weaknesses • Is Open to Feedback • Sees Patterns that Relate Personal Actions to Broader Consequences

Table 2. *Perceived Qualities and Behaviors of Ethical Leaders* (continued)

Integrates Rational and Intuitive Processes*	<ul style="list-style-type: none"> • Makes decisions based on intuitive understanding as well as rational thought • Does not rely exclusively upon reason when making business decisions
Does Not Put Self Above Others*	<ul style="list-style-type: none"> • Does not demand a high salary at the expense of jobs • Takes delight in seeing his/her employees win • Encourages Career Growth and Development • Invests in Human Assets • Is Not Threatened by the Success of Others • Represents Shareholder Needs
Socially Responsible	<ul style="list-style-type: none"> • Demonstrates Concern for the Environment • Hires locally • Expands the Concept of Shareholder beyond Investor to Include the Greater Society • Encourages employees to be involved in community projects
Spiritual*	<ul style="list-style-type: none"> • Is concerned with the emotional and spiritual well-being of employees • Nurtures a sense of community at work • Exemplifies servant leadership
Work/Life Balance	<ul style="list-style-type: none"> • Supports Flexible Work Scheduling • Establishes Family Friendly Work Practices
Collaborative	<ul style="list-style-type: none"> • Encourages Collaborative Efforts • Works Toward Win/Win Resolution of Disputes • Encourages Dialogue • Aligns compensation and rewards to support teamwork • Creates an environment of trust cooperation

The answers to the first two questions on the questionnaire project an image of ethics that progresses beyond the utilitarian perspective traditionally associated with the business world (Rachels, 2003). Although a utilitarian perspective is represented through behaviors aimed at legal compliance or attaining specific results, such as creating codes of ethics and aligning compensation plans, a less consequentially based, and either a more value centered or strongly deontological image clearly emerged. The students describe an ethical leader as one who is value driven - *value centered*, with sense of responsibility and a desire for justice, fair play and equity (Rawls as acknowledged by Ciulla, 1998) - *deontological*. The ethical leader has a global, holistic perspective that honors and respects differences in culture, in thought and in life style (Rawls as acknowledged by Ciulla, 1998) - *deontological*. The leader is a role model whose actions reflect the company's values (Hopen, 2002) and influences the integration of ethics into organizational life (Petrick, Quinn, (2001)). The leader is courageous and takes responsibility, regardless of the consequences - *value centered*. The ability to take this leap appears to come from perspective that includes promoting long-term over short-term profit. Clearly, the leader is not tyrannized by the timing of the Quarterly Earnings Reports (Goodpaster, 2003). An ethics architecture is incorporated, and the code of ethics, while important, is not the prominent vehicle for the creation of a strong ethical culture (Hatcher, 2003) (Sims, Brinkman, 2003). The success of the business comes not from catering to the whim of the shareholders but from attending to the needs of the workforce, through such mechanisms as flexible work scheduling, and establishing family friendly work practices. Further, by actively promoting retention and ongoing employee development an organization can gain competitive advantage, as was done by Southwest Airlines when it was the only airline to retain its employee and the only airline to remain profitable following 9/11 (Hatcher, 2003). As business leaders become clear on the results of sound ethical practices, what may have been considered a deontological approach will become a utilitarian one, as it will be done in anticipation of the business outcome/consequences.

Question 3 – Second Task of Virtue Ethics: Virtues necessary to become a person of the type described by questions 1 and 2. What is this person's background? What experiences would you consider to have added to their ethical practices? *Answers:* There was much less overall information given in answer to question three and no clear pattern of consensus, yet while some answers were fairly predictable – such as experience serving on boards - many answers encourage an expanded understanding on the making of a leader. Answers included:

Table 3. Possible Background and Experiences of Ethical Leaders that Differentiate Them from Other Leaders

BACKGROUND and EXPERIENCES	
<ul style="list-style-type: none"> • Has Worked on Many Different Levels within the Organization or Industry • Has Held Leadership Positions in School, Church or Community Organizations • Has Put Time into Formal Education • Has Studied Beyond the Field of Business • Has Spent Extensive Time Developing Some Form of Spiritual Practice such as Yoga or Meditation • Regularly Worships According to His/Her Religion • Has Served on Boards of Charitable Organizations 	<ul style="list-style-type: none"> • Is Involved on a Personal Level with His/Her Local Community • Has Demonstrated an Interest and Commitment to Life-long Learning • Has the Ability to Speak More Than One Language • Has Traveled Extensively • Has Lived Outside His/Her Home Country for at least one year • Understands the Value Differences Across Cultures • Has Learned From Failure as Well as Success • Has Hobbies and Interests Outside of Business

Some of the answers were startling in that they pushed traditional boundaries. While church participation was mentioned, development of spiritual practices was included as an additional item. Formal education merited mention, but included in the formal learning were courses beyond the field of business. Extensive travel was a part of the experience, but more than that, living in another culture and speaking more than one language were seen as important. These experiences underscore the relevance of a global perspective, cross cultural awareness and spiritual development as emergent virtues.

Question 4 – Third Task of Virtue Ethics: Some view of how persons can come to possess the relevant virtues. What suggestions do you have for how ethics can be developed or taught in a business school curriculum? *Answers:* The following chart lists the students' suggestions regarding new requirements for Leadership Programs in Graduate Business Schools. This question received the fewest responses, and quite a few students commented on the increased levels of difficulty they had experienced as they progressed through the questionnaire.

Table 4. Suggestions Regarding the Conscientization of Leadership

METHODS BY WHICH THE ETHICAL LEADERS MAY BE DEVELOPED
<ul style="list-style-type: none"> • Require an internship with a company in a country other than that of the national origin of the student <ul style="list-style-type: none"> ▪ The student should live with a local family, rather than housing with students who share the same national origin. ▪ The internship should be no less than one year in length
<ul style="list-style-type: none"> • Graduate business students should be required to study, or pass out of, one language other than their national language.
<ul style="list-style-type: none"> • Require business students to take at least one community development course with a service component.
<ul style="list-style-type: none"> • Require Credit Hours in non-business courses such as philosophy, theology, or sociology.
<ul style="list-style-type: none"> • Provide credit hours for independent studies designed by students for the development of spiritual disciplines. <ul style="list-style-type: none"> ▪ The practices could come from any religious tradition ▪ At least 100 real time hours would be required to satisfy this requirement
<ul style="list-style-type: none"> • Offer personal development retreats, conducted by the University, over breaks and holidays.
<ul style="list-style-type: none"> • Offer combined travel and learning opportunities that include visiting corporations in the country visited

As with the answers to Question 3, a strong emphasis on personal internal growth through spiritual development is mentioned, and living and working in another culture is heavily weighted. Learning through experience is a definite recommendation of the students who participated in this study and a link between the development of ethical behavior and the process of conscientization has been suggested.

Limitations

A major limitation of this study is that the student participants were surveyed by a professor with whom they were currently studying. The outcomes may reflect the responses they believed she would want to receive, rather than accurate accountings of their true thoughts. The sample also reflects the bias of students who chose to attend a small

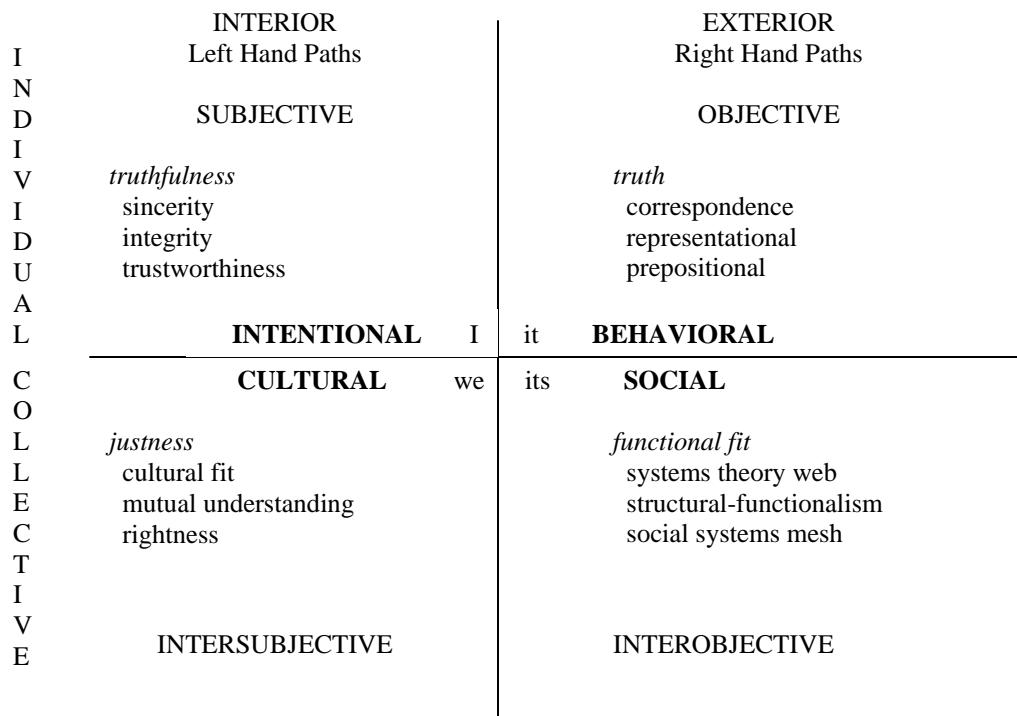
Christian University of the Evangelical tradition. Additionally, one of the world's most celebrated Bonhoeffer scholars, Burton Nelson, is a member of the university's seminary faculty, and the tendency of this study to reflect a Kantian deontological approach to ethics may have been influenced by Nelson's teaching. Further, one hour may not have allowed for sufficient time to generate responses to the final question. Group interviews may also provide a more inductive atmosphere for creative thinking.

Conclusions and Implications for Future HRD Research

This research study is a small beginning to looking at new ways to teach ethics to individuals who will be placed in positions where they are frequently confronted by ethical dilemmas. Much of what has been reported here points to the necessity of learning through experience and the commitment of the learner to developing an inner discipline/spiritual practice. The ideas that have been presented reflect the thinking of a highly diverse group of respondents that have rich and quite unique cultural and professional backgrounds.

Finally, Ken Wilber's Model on The Four Faces of Truth (Wilber, 1997) provides a possible conceptual framework for further research on ethical leadership development as conscientization.

Figure 1. Ken Wilber's Model - The Four Faces of Truth: An Integral Approach



This model forces balance and integration as the exploration into the issue of conscientization continues. Keeping sights focused on the internal and external life of the individual and the organization may allow HRD practitioners to develop new insights not previously considered. While we have been adequate at developing the *external path* (*behaviorally* by gaining awareness through feedback surveys and inventories for leadership and to a lesser degree *socially* through creating the organizational architecture that embraces organizational learning), we have barely begun to explore the *internal path*. The students' responses to the questionnaire used in this study begin to get at how to develop leadership along the *internal path*. On *Intentional/Subjective Quadrant*, answers that point to developing internal awareness and spiritual depth may point us in the appropriate direction, whereas suggestions involving living and working internationally may provide some answers to the question of conscientization in the *Cultural/Intersubjective Quadrant*.

References

- Bowie, N. (2001). The role of business ethics: where next? Is there a role for academics? *Business Ethics, A European Review*, 10(4), 288-294.
- Ciokajlo, M. (2003). Fifteen cases of priest abuse settled. *The Chicago Tribune*, 10/03/2003.
- Ciulla, J. B (1998). *Ethics: The heart of leadership*. Westport Connecticut, Praeger, p.31.
- Donaldson, T. (2003). Editor's comments: Taking ethics seriously – A mission now more possible, *Academy of Management Review*, 28(3), 363-366.
- Dow Jones News Wires (September 18, 2003). Recap of stories related to Grasso's resignation from NYSE, *The Wall Street Journal, online*.
- The Economist* (9/6/2003). Volume368 Issue 8340, p. 58.
- Gioia, D.A. (2002). Business education's role in the crisis of corporate confidence, *Academy of Management Executive*, 16(3).
- Goodpaster, K. (2003). *Keynote speech*, AHRD 2003 Conference. Minneapolis, MN.
- Hatcher, T. (2002). *Ethics and Hrd: A new approach to leading responsible organizations*, Boulder, CO: Perseus Publishing.
- Hatcher, T. (2003). New world ethics, *TD*, 57(8), 42-47.
- Hood, J. N (2003).The relationship of leadership style and CEO values to ethical practices in organizations. *Journal of Business Ethic*, 43(4), 263-273.
- Hopen, D. (2002). Guiding corporate behavior: A leadership obligation, not a choice, *Journal for Quality & Participation*, 25(4), 15-19.
- Kelly, G. B., & Weborg, J. C. (1999). *Reflections on Bonhoeffer: Essays in honor of F. Burton Nelson*, Chicago, IL: Covenant Publications.
- Merriam, S. B., & Caffarella, R. S (1999). *Learning in adulthood: A comprehensive guide*, (2nd ed). San Francisco: Jossey-Bass: pp. 150, 223-227, 272-273, 288-330.
- Monson, V.E., & Bock, T.S. (2003). Educating for ethical action: MBA student perceptions of peer needs, *Journal of College and Character*, 2, 4.
- Murphy, P. R., & Boatright, J. R. (1994). Assessing the effectiveness of instruction in business ethics: A longitudinal analysis. *Journal of Education for Business*, 326-332.
- Paine, L.S. (2003). *Value shift: Why companies must merge social and financial imperatives to achieve superior performance*. New York: McGraw Hill.
- Petrick, J.A., & Quinn, J.F. (2001). The challenge of leadership accountability for integrity capacity as a strategic asset, *Journal of Business Ethics*, 34, (3/4), 331-343.
- Rachels, J. (2003). *The elements of moral philosophy*. (4th ed). New York: McGraw Hill, p 102.
- Sims, R.R., & Brinkmann, J. (2003). Enron ethics (or: Culture matters more than codes), *Journal of Business Ethics*, 45(3), 243-256.
- Solomon, D. (1988). Internal objections to virtue ethics in ethical theory: Character and virtue. *Midwest Studies in Philosophy*, 13, 428-441. ND Press.
- Whetstone, J.T. (2003). The language of managerial excellence: Virtues as understood and applied. *Journal of Business Ethics* 44(4), 343-356.
- Wilber, K. (1997). *The eye of spirit, An integral vision for a world gone slightly mad*. Boston, MA: Shambhala: 9-20.

The Relationship Between Ethical Climate and Job Satisfaction in Small Businesses

*Clyde T. Conine, Jr.
Macon State College*

*Robert W. Rowden
Mercer University*

While considerable research has focused on ethics in large firms, little is known about the impact of ethical climate in the small firm. Small businesses are essential to the economic growth of the U.S. economy. Numerous factors have been associated with job satisfaction. This study examines ethical climate and job satisfaction in small firms, and establishes a framework for an empirical investigation of the relationship between these two variables in small businesses.

Keywords: Ethical Climate, Job Satisfaction, Small Businesses

The bankruptcies of Enron and WorldCom and the news of other scandals have created a heightened cynicism about corporate America. The public's trust in the markets has been undermined by the obvious greed and insensitivity of industry executives, politicians, and Wall Street employees. Along with the renewed cynicism comes a rekindling of interest in the topic of ethics, especially business ethics. This study examines how ethics, or specifically ethical climate, might influence the way employees feel about their jobs and different aspects of their jobs. Victor and Cullen (1988) developed the Ethical Climate Questionnaire (ECQ) to examine the ethical climate in organizations.

A cursory review of any of the HRD-related literature over the past few years clearly shows an interest in research on business ethics and job satisfaction, although not necessarily coinciding. As recently as Spring 2003, Darlene Russ-Eft (2003), Editor of *Human Resource Development Quarterly*, stated:

Research might be taken to determine the scope of ethical dilemmas and problem situations arising in different types of organizations, the circumstances leading to such problems, and the individual and organizational characteristics related to such problems. The identification of such descriptive analyses could provide the basis for some HRD interventions. ...It may also be necessary for organizations and HRD practitioners within those organizations to consider providing learning and performance interventions focused on ethical issues. ...As HRD researchers and practitioners, we might examine the impacts of ethical and unethical decision making. (p. 2)

Job satisfaction is a subjective perception and numerous factors have been associated with it. In simple terms, job satisfaction is how people feel about their jobs and different aspects of their jobs. There are important reasons why organizations should be concerned with job satisfaction. First, the humanitarian perspective is that people deserve to be treated fairly and with respect. Job satisfaction is to some extent a reflection of good treatment. It also can be considered an indicator of emotional well-being or psychological health (Haccoun & Jeanrie, 1995). Second, the utilitarian perspective is that job satisfaction can lead to behavior that affects organizational functioning. Differences among organizational units in job satisfaction can be diagnostic of potential trouble spots (Beatty, 1996). Each reason is sufficient to justify concern with job satisfaction. Combined they explain the attention that is paid to this important variable. The Spector Job Satisfaction Survey (Spector, 1997) uses a multidimensional approach to measure the level of job satisfaction in organizations, and it has been utilized in research involving large and small businesses.

Small businesses are critical to the economic well being of the United States. Small businesses (employing 100 people or less) are responsible for about 80% of the jobs created in the United States and those small ventures generate more than 51% of the U.S. Gross Domestic Product (Nelson, 2002). Most people tend to get their initial job training from small businesses, and the 1997 Inc./Gallup survey found that workers in small businesses have higher levels of job satisfaction than those in larger firms (Hopkins & Seglin, 1997).

Problem Statement

The purpose of this study was to review the literature on the relationship between ethical climate and job satisfaction, and to establish a framework for an empirical study on the relationship between these two variables in small businesses. Some studies have examined job satisfaction in small businesses and other studies have examined

Copyright © 2004 Clyde T. Conine, Jr. & Robert W. Rowden

ethics in small businesses. The focus of this study is the relationship between job satisfaction and ethical climate (defined later) in small business settings. Corporations, large companies, and selected professions have been the focal point for examining the relationship between the two variables, job satisfaction and ethical climate. Several studies discussed later in this paper show a link between job satisfaction and ethical climate in various corporations, professions, and locations. There is a noticeable absence of similar research in the small firm. Thus, it would be very interesting and informative to see if this relationship is evident in small firms. Given the importance of job satisfaction to organizational functioning and the importance of small business to our economy, there should be considerable interest in any variable that might impact the level of job satisfaction in these small firms. Recent events and the renewed interest in business ethics make this study a timely topic for Human Resource Development (HRD) practitioners and scholars.

Theoretical Framework

The theoretical constructs for this study are ethical climate, job satisfaction, and small businesses.

Ethical Climate

Victor and Cullen (as cited in Peterson, 2002) defined ethical climate as the shared perceptions of what is ethically correct behavior and how ethical issues should be handled in the organization. Pulling from Kohlberg's (as cited in Victor & Cullen, 1988) research on moral atmosphere and Schneider's (as cited in Victor & Cullen, 1988) on work climate, Victor and Cullen (1987) developed the Ethical Climate Questionnaire (ECQ). Their typology of ethical climate used ethical criteria and locus of control as the two primary dimensions. The ethical criteria dimension was based on Kohlberg's three major ethical standards: self-interest, caring, and principle. Kohlberg believed that people develop morally through three sequential stages that reflect the major ethical systems (egoism, utilitarianism, and deontology). Thus, an assumption of the ECQ is that ethical climates in organizations also reflect these ethical standards. To indicate Kolberg's ethical standards and corresponding ethical systems, Victor and Cullen used egoism, benevolence, and principle as the three ethical criteria.

Kohlberg also proposed three different levels of ethical concern: a person's own ethical beliefs, concern for a social system and, finally, concern for something larger than the individual or the organization (e.g., humanity). These represent the sources that one uses to determine appropriate ethical behavior. Victor and Cullen (1988) labeled these levels of analysis as individual, local, and cosmopolitan. In other words, the referent for one's definition of appropriate ethical behavior could come from his or her own personal ethical beliefs, some organization (e.g., policies & procedures), or something larger and outside the organization (e.g., legal or economic system).

The hypothesized ethical climate, therefore, became a 3 x 3 matrix. The three ethical criteria (egoism-E, benevolence-B, principle-P) are on the vertical axis, and the three loci of analysis (individual-I, local-L, cosmopolitan-C) are on the horizontal axis. The nine hypothesized ethical climates were labeled self-interest-EI, friendship-BI, personal morality-PI, company profit-EL, team interest-BL, rules and standard operating procedures-PL, efficiency-EC, social responsibility-BC, laws and professional codes-PC. Initially the ECQ included 26 items. A more recent version (Cullen, Victor, & Bronson, 1993) included 36 items, four for each of the nine possible ethical climates.

Victor and Cullen (1990) subjected the theoretical ethical climate types to factor analysis and identified six interpretable ethical climates: professionalism, caring, rules, instrumental, efficiency, and independence. In the 1990 study, Victor and Cullen labeled the benevolence ethical criteria as "utilitarian." The ECQ is the most widely recognized instrument for examining ethical climate. Numerous studies have investigated the instrument for examining the ethical climate of various organizations. Some of these studies are reviewed later in this summary of literature.

Job Satisfaction

Job satisfaction is an area of inquiry concerned with both sorts of influence: the influence of the work organizations on people, and the influence of people on work organizations. As early as 1918, Thorndike explored the relationship between work and satisfaction (Berry, 1997). The study of affect (emotional response) emerged as an area of study in the 1930s, principally in the United States. The Western Electric Hawthorne plant studies conducted by Roethlisberger and Dickson (1939) also concluded that the workplace's social organization and the individual's interaction with that organization determined worker adjustment. Later studies began looking at job satisfaction factors such as emotional tendencies, attitudes, and the work environment. By the 1970s, Locke (1976) advanced what came to be a highly influential definition of job satisfaction. He defined it as "a pleasurable or positive emotional state resulting from the appraisal of one's job or job experiences" (p. 1300).

Other definitions, models, and theories followed. Lawler (as cited in Berry, 1997), for example, developed the motivational framework that deals with how a person measures job satisfaction based on what they got versus what they feel they deserve. Therefore, dissatisfaction occurs when a person receives less or more of what was expected. He defines job satisfaction as a unidimensional construct; that is, workers are generally satisfied or dissatisfied with their job. Bandura (as cited in Berry, 1997) developed a theory known as the social influence hypothesis. His hypothesis describes a social effect where individuals want what they perceive others around them want. Another influential theory to explain job satisfaction was proposed by Landy (as cited in Berry, 1997) and is known as the opponent process theory. He suggests that the primary reaction (the immediate emotional response) combined with the secondary reaction (the later emotional response) creates a stabilized equilibrium. More recently, Brief (1998) has defined job satisfaction as "a psychological tendency that is expressed by evaluating a particular entity—whether overt or covert, cognitive, affective, or behavioral—with some degree of favor or disfavor" (p.1). And, Weiss (2002) defined it as "a positive (or negative) evaluative judgment one makes about one's job or job situation" (p. 6). He argues that job satisfaction is multidimensional; that is, a worker may be more or less satisfied with his or her job, supervisor, pay, workplace, and so forth.

Until the 1997 Inc./Gallup survey (Hopkins & Seglin, 1997), little attention has been paid to worker job satisfaction in small businesses. This survey found that workers in small businesses were generally more satisfied with their work than were workers in larger businesses. Rowden (2002) conducted the first known empirical study to establish the extent of workplace learning in small business, and to delineate the relationship between workplace learning and job satisfaction. A large part of the job satisfaction was attributed to the availability of learning opportunities on the job. Rowden and Conine (2003) found similar results in a study on the relationship between workplace learning and job satisfaction in U. S. small commercial banks.

Job Satisfaction and Ethical Climate

Some studies have examined the ethics of small business owners and managers (Hornsby, Kuratko, Naffziger, LaFollette, & Hodgetts, 1994; Smith & Oakley, 1994; Vyakarnam, Bailey, Myers, & Burnett, 1997). However, the study of ethical climate and the relationship between ethical climate and job satisfaction in small businesses remains an uncharted area. The literature discussed below provides related research that examines this relationship in select groups, locations, or corporations (e.g., IT managers, Nurses, Indian managers, managers in Singapore). These studies were selected because they provide a theoretical basis for this study, and they offer a study framework that should be easily adapted to the small business environment. Further, several of these studies have utilized the widely recognized ECQ and the six ethical climates identified by Victor and Cullen (1990).

Okpara (2002) gathered data from 320 IT managers in various businesses located in Nigeria. Using the ECQ as a measure of ethical climate and the Job Descriptive Index to measure job satisfaction, Okpara reported, "climate significantly influenced satisfaction with promotions, supervisors, and work. It also significantly influenced overall job satisfaction" (p.1). Similarly, Joseph and Deshpande's (1997) study of 226 nurses employed by a large nonprofit hospital indicated that a caring climate had a significant influence on overall job satisfaction, and a rules climate led to nurses who were more satisfied with pay, promotion, and supervision. This study also used the ECQ. Another study by Deshpande (1996) used the ECQ and a measure of job satisfaction with 252 middle level managers in a large non-profit corporation. Deshpande reported that "one implication of this study was that managers can influence overall job satisfaction and satisfaction with promotions, supervisors, and work by ensuring that the organization has a professional climate" (p. 658). This study also indicated that pay satisfaction appears to be independent of ethical climate. Two other studies by Deshpande (Viswesvaran, Deshpande, & Joesph, 1998; Viswesvaran & Deshpand, 1996) indicated similar relationships between job satisfaction and ethics among middle level managers in India.

Koh and Boo (2001) surveyed 237 managers from a random sample of 400 students enrolled in an MBA program. Again, using an adaptation of the ECQ and the Managerial Job Satisfaction Questionnaire, the authors found "a significant and positive link between all three measures of organizational ethics and job satisfaction" (p. 320). Using the same jobs satisfaction questionnaire and an ethical optimism scale, Vitell and Davis (1990) found there is a likely relationship between job satisfaction and ethical behavior. Similarly, Schwepker (2001) found that even salespeople, who are often separated from the organization, associated a positive ethical climate with increased job satisfaction. Other studies have found similar relationships using comparable measures like ethical climate and the quality of working life (Armstrong, Kusuma, and Sweeny, 1999), ethical conflict and organizational commitment (Schwepker, 1999), and ethical fit and turnover (Sims, & Galen, 1994). Finally, a questionnaire survey in 1999 by the Hudson Institute and Walker Information, involving 2,293 employees from business, non-profit, and government entities, concluded that "over half (55%) of those rating their organization highly ethical are also truly loyal—this compares with just 24% of those neutral about the ethics at work, and just 9% of those who flat do not believe their organization is ethical" (p.4).

Small Businesses

By any measure, small businesses are critical to the economic well being of the United States. They create new companies (and the new jobs that go with them); bring new and innovative services and products to the marketplace; and provide business ownership opportunities to diverse (and traditionally underrepresented) groups. Not only do these small businesses create a wide variety of jobs for the employment sector, they also keep the U.S. economy churning (Headd, 2000).

Small businesses are playing an increasingly important role in the world economy as well. Small businesses (those employing 100 people or less) are responsible for about 80 % of the jobs created in the United States and those small ventures generate more than 51 % of the U.S. gross domestic product (Nelson, 2002). Not only do small businesses play a critical role by efficiently reallocating resources and injecting new ideas into the economy with business starts and stops, but their diversity and composition provide the work force many opportunities (Kickul, 2001). Yet, of the more than 600,000 small businesses started each year in the U.S., 80 to 85 % fail in the first five years (Small Business Handbook, 2000). The economic well-being of some regions of the United States is dependent upon small businesses where the majority of businesses (88 %) employ fewer than 200 people (U.S. Department of Commerce, 2000-01).

Even so, it seems that defining what constitutes a small business is not without difficulty. The U. S. Small Business Administration defines a small business as one having fewer than 500 employees in the manufacturing and mining sector, and 100 employees for all wholesale trade industries (Headd, 2000). Storey (1994) reports that the European Commission breaks the definition into three components based on number of employees: *micro-enterprise* between 0 and 9 employees; *small enterprise* with 10 to 99 employees; and *medium enterprise* with 100 to 499 employees. A later report by the European Commission redefined its original categories as: *micro-enterprise* between 0 and 9 employees; *small enterprise* with 10 to 49 employees; and *medium enterprise* with 50 to 249 employees (Curran, Blackburn, Kitching & North, 1996). The U. S. Department of Commerce (2000-01) discusses small businesses in terms of businesses with fewer than 200 workers. Others, for example Megginson, Scott, Trueblood, and Megginson (1995), define small businesses as those with 100 or fewer workers. Despite the varied definitions and regional differences, the most consistent definition of a small business seems to be a business with fewer than 200 employees.

Regardless of how small to mid-sized businesses are defined, they are a dynamic force in the economy, bringing new ideas, processes, and vigor to the marketplace. They fill niche markets and locations not served by larger businesses. Small firms are often younger than large firms, more likely to be outside major urban areas, and more apt to be in industries with lower economies of scale such as service. Small firms can represent a life stage before economies of scale are reached (or hoped-for future growth is attained), or they can be stable anchors in the marketplace. These age, location, and industry effects constitute the basic differences between small and large businesses and can lead to different workforce needs and different resources to attract workers of various education levels and occupations (Anderson & Skinner, 2000).

Research Questions

The purpose of this study was to review the literature on the relationship between ethical climate and job satisfaction, and to establish a framework for an empirical study on the relationship between these two variables in small businesses. The specific research questions that should guide this study are:

1. What is the ethical climate in small businesses?
2. To what extent does the ethical climate relate to job satisfaction?

Methodology

A quantitative study is deemed to be an appropriate way to address the research questions. Since a survey provides a means to capture large amounts of data over a wide range of possibilities, two survey instruments will be used to gather data for this study. The Spector Job Satisfaction Survey (Spector, 1997) was selected because it uses a multidimensional approach, has been validated in numerous studies, and permission for use is granted for research purposes. The 27 items on the Spector Survey will measure nine separate aspects of job satisfaction. The Spector Job Satisfaction Survey will be combined with the Ethical Climate Questionnaire (ECQ) developed by Victor and Cullen (1990). Using a Likert scale, the 26 items on the ECQ will measure six separate ethical climates. As mentioned previously, the ECQ has been used extensively in research on ethical climate and has been validated in several studies. In order to establish a high degree of reliability, the instruments will be pre-tested on a select sample of small business employees.

The study sample will be small businesses with fewer than 200 employees. A cross-section of various types of small businesses (e.g., service, retail) will be located through a variety of methods including personal contacts, colleagues and friends, and "cold calling." The surveys will be distributed to all employees in the companies, and workers will place their completed surveys in sealed drop-boxes that will be provided by the researchers and collected by the same, with the organization never having possession. The target will be to collect 300+ surveys from 10 to 15 small firms. All employees in each company will be asked to complete a survey. The unit of measure will be the 300+ surveys completed by employees from the companies. In a similar study on job satisfaction and workplace learning, we collected 372 surveys from 10 small firms, with a return rate of 76%. Thus, this goal seems to be reasonable and should provide an extremely adequate sample size for an exploratory correlational study.

The data will be analyzed using SPSS for desktops. First, simple descriptive statistics (means, measures of variation) will be employed for the surveys from each company to determine the dimensions of ethical climate and the facets of job satisfaction. In order to assess the relationship between ethical climate types and job satisfaction, the Pearson Product Moment Correlation will be utilized.

Implications for HRD

This study will have some important implications for HRD scholars and practitioners. A study of 330,000 employees in 72 companies by International Survey Research suggested that "employee values and opinions must be continually monitored against certain thresholds to pinpoint departmental or company-wide beliefs that may lead to questionable behaviors, thus enabling companies to intervene before those behaviors are rewarded and replicated throughout the organization" (PR Newswire, 2002, p. 1). HRD practitioners might serve a vital role in this monitoring process. HRD interventions might help managers communicate the ethical values of the company and reinforce the necessity for ethical behavior in all business transactions. This study might support the idea that HRD practitioners and business managers may be able to affect job satisfaction by influencing the ethical climate in small businesses. It may indicate that a code of ethics or company policies might help ensure an ethical climate and increase job satisfaction. Organizational Development (OD) interventions might lead to changes in a firm's ethical climate to create a more satisfying and effective work environment. OD relies heavily on training to communicate the knowledge necessary for the change process. Regardless of the exact implications arising from this study and similar ones in the future, it should make a valuable contribution to the field of HRD.

References

- Anderson, V., & Skinner, D., (1999). Organizational learning in practice: How do small businesses learn to operate internationally? *Human Resource Development International*, 2, 235-258.
- Armstrong, A., Kusuma, H., & Sweeney, M. (1999, July). *The relationship between ethical climates and the quality of working life*. Paper presented at the meeting of the Australian Institute of Computer Ethics, Lildale, Australia.
- Beatty, C. (1996). The stress of managerial and professional women: Is the price too high? *Journal of Organizational Behavior*, 17, 233-251.
- Berry, L. (1997). *Psychology at work*. San Francisco: McGraw-Hill.
- Brief, A. (1998). *Attitudes in and around organizations*. Thousand Oaks, CA: Sage.
- Cullen, J. B., Victor, B., & Bronson, J. W. (1993). The ethical climate questionnaire: An assessment of its development and validity. *Psychological Reports*, 73, 667-674.
- Curran, J., Blackburn, R., Kitching, J., & North, J. (1996). Small firms and workforce training. In *19th National Small Firms Policy and Research Conference Proceedings* (pp. 499-522). University of Central England.
- Deshpande, S. P. (1996). The impact of ethical climate types on facets of job satisfaction: An empirical investigation. *Journal of Business Ethics*, 15, 655-660.
- Haccoun, R., & Jeanrie, C. (1995). Self reports of work absence as a function of personal attitudes toward absence, and perceptions of the organization. *Applied Psychology: An International Review*, 44, 155-170.
- Headd, B. (2000, April). The characteristics of small business employees. *Monthly Labor Review*, 13-18.
- Hopkins, M.. & Seglin, J.L. (1997, May 20). Americans at work. *Inc.*, 77-85.
- Hudson Institute. (1999, September 28). *Integrity in the workplace The 1999 business ethic*. Retrieved September 12, 2003 from http://www.hudson.org/index.cfm?fuseaction=publication_details&id=387.
- Joseph, J., & Deshpande, S. P. (1997). The impact of ethical climate on job satisfaction of nurses. *Health Care Management Review*, 22(1), 76-81.

- Kickul, J. (2001). Promises made, promises broken: An exploration of employee attraction and retention practices in small businesses. *Journal of Small Business Management*, 39, 320-335.
- Koh, H. C., & Boo, E. H. Y. (2001). The link between organizational ethics and job satisfaction: A study of managers in Singapore. *Journal of Business Ethics*, 29, 309-324.
- Locke, E. (1976). The nature and causes of job satisfaction. In M. Dunnette (Ed.), *Handbook of industrial and organizational psychology* (pp. 1297-1349). Chicago: Rand McNally.
- Megginson, L., Scott, C., Trueblood, I., & Megginson, W. (1995). *Successful small business management*. Homewood, IL: Business Publications.
- Nelson, D. (2002, May 5). America owes much to small businesses. *The Athens Banner Hearld*, p. F1.
- Okpara, J. O. (2002, July). *The influence of ethical climate types on job satisfaction of IT managers: Implications for management practice and development in a developing economy*. Paper presented at the meeting of the Academy of Business & Adminstrative Sciences, San Jose, Costa Rica.
- Peterson, D. K. (2002). The relationship between unethical behavior and the dimensions of the ethical climate questionnaire. *Journal of Business Ethics*, 41, 313-326.
- PR Newswire. (2002, September 4). *Corporate culture can prevent ethical crises and boost profits, study says; Analysis by international survey research provides roadmap for monitoring ethics*. Retrieved September 26, 2003 from http://www.findarticles.com/cf_0/m4PRN/2002_Sept_4/91043877/print.jhtml.
- Roethlisberger, F., & Dickson, W. (1939). *Management and the workplace*. Cambridge, MA: Harvard University Press.
- Rowden, R. (2002). The relationship between workplace learning and job satisfaction in small to mid-sized businesses. *Human Resource Development Quarterly*, 13, 407-426.
- Rowden, R., & Conine, C. T., Jr. (2003). The relationship between workplace learning and job satisfaction in U. S. small commercial banks. In Susan A. Lynham & Toby M. Egan (Eds.), *Academy of Human Resource Development 2003 Conference Proceedings* (pp. 459-466). Minneapolis, MN: AHRD.
- Russ-Eft, D. F. (2003). Corporate ethics: A learning and performance problem for leaders? *Human Resource Development Quarterly*, 14, 1-3.
- Schlepker, C. H., Jr. (1999). The relationship between ethical conflict, organizational commitment and turnover intentions in the salesforce. *The Journal of Personal Selling & Sales Management*, 19, 43-49.
- Schlepker, C. H., Jr. (2001). Ethical climate's relationship to job satisfaction, organizational commitment, and turnover intention in the salesforce [Abstract]. *Journal of Business Research*, 54, 39.
- Sims, R. L., & Kroeck, K. G. (1994). The influence of ethical fit on employee satisfaction, commitment and turnover. *Journal of Business Ethics*, 13, 939-948.
- Small Business Handbook. (2000). *U. S. establishment and longitudinal microdata film of the small business database*. Washington, D C: U. S. Government Printing Office.
- Smith, P. L., & Oakley, E. F., III. (1994). A study of the ethical values of metropolitan and nonmetropolitan small business owners. *Journal of Small Business Management*, 32(4), 17-27.
- Spector, P. (1997). *Job satisfaction: Application, assessment, causes and consequences*. Thousand Oaks, CA: Sage.
- Storey, D. (1994). *Understanding the small business sector*. London: Thompson Business Press.
- U. S. Department of Commerce, Department of Industry and Trade. (2000-2001). *U. S. Manufacturing Directory*. Washington, D C: U. S. Government Printing Office.
- Victor, B., & Cullen, J. B. (1988). The organizational bases of ethical work climates. *Administrative Science Quarterly*, 33, 101-125.
- Victor, B., & Cullen, J. B. (1990). A theory and measure of ethical climate in organizations. In W. C. Frederick & L. E. Preston (Eds.), *Business ethics: Research issues and empirical studies* (pp. 77-97). Greenwich, CT: JAI Press Inc.
- Viswesvaran, C., & Deshpande, S. P. (1996). Ethics, success, and job satisfaction: A test of dissonance theory in India. *Journal of Business Ethics*, 15, 1065-1069.
- Viswesvaran, C., Deshpande, S. P., & Joseph, J. (1998). Job satisfaction as a function of top management support for ethical behavior: A study of Indian managers. *Journal of Business Ethics*, 17, 365-371.
- Vitell, S. J., & Davis, D. L. (1990). The relationship between ethics and job satisfaction: An empirical investigation. *Journal of Business Ethics*, 9, 489-494.
- Vyakarnam, S., Bailey, A., Meyers, A., & Burnett, D. (1997). Towards an understanding of ethical behavior in small firms. *Journal of Business Ethics*, 16, 1625-1637.
- Weiss, H. (2002). Deconstructing job satisfaction: Separating evaluation, beliefs, and affective experiences. *Human Resource Management Review*, 12, 173-195.

Ethics Teaching and Training Practices in the Workplace: A Review of Approaches Used in Academic and Corporate Institutions and the Special Challenge of Multiculturalism

Judith A. Kolb

Dee Frisque

Hong Lin

Pennsylvania State University

This paper investigates the diverse body of literature devoted to ethics teaching and the training practices used to address ethical issues in the workplace. It includes a special focus on multicultural environments and provides recommendations for future research.

Keywords: Ethics, Ethics Training, Multiculturalism

Discussions on ethics are commonplace today and guide a whole new generation of professionals on ethical behavior in the workplace (Palmer & Zakhem, 2001). The proliferation of ethics books, courses, scholarly research studies, and training programs provide evidence that interest in this area is growing (Joseph, 2001; May & Pauli, 2002; Palmer & Zakhem, 2001). Human resource professionals play a critical role in promoting ethical conduct for the well being of individuals and the organization (Hatcher & Aragon, 2000) and are crucial to the creation of “ethical and responsible organizations” (Hatcher, 2002, p. 9). As more Human Resource Development (HRD) professionals are asked to extend themselves beyond their daily responsibilities and wear a number of different hats in the workplace, chances are they will encounter ethical challenges in these roles (McLean, 2001). These new roles and responsibilities will generate discussions on “what to do” or “how to manage” a laundry list of ethical challenges.

Problem Statement

A number of ethics-related research articles have appeared in the HRD/Workplace Learning and Performance (WLP) literature. McLean (2001) suggests that ethics research helps to show human resource professionals how it affects practice, as well as to “encourage ethical behavior in the field” (p. 221). However, lacking are comprehensive ethics literature reviews for the training and development field. The main purpose of this paper is to review the current literature on ethics teaching and training, discuss the issues and concerns that have surfaced and what corporations and universities are doing to address these concerns, some of which are particular to a multicultural environment, and posit some new directions and areas for future research. Multiple viewpoints are cited whenever appropriate.

Theoretical Framework

Ethical theories developed centuries ago by philosophers have been used as methods to approach ethical problems. Two classic and widely recognized ethical theories, developed in the 18th and 19th centuries, are utilitarianism and deontology. According to Fredrick and Atkinson (1997) “our ethical intuitions have been shaped or influenced by these two dominant theories, and that it is worthwhile to look at these positions in order to understand their vast appeal, examine the presuppositions behind them, and to consider their limits insofar as they attempt to systematize ethical decision making” (p. 2). Utilitarianism was proposed by David Hume (1711-1776), but developed by philosophers Jeremy Bentham (1748-1832) and John Stuart Mill (1806-1873) (Rachels, 1993). Utilitarianism, also known as consequentialist theory, is often referred to as “outcome-based” (Macrina, 2000, p. 21). It encompasses three principles: (a) to make the world a better place, (b) to produce good consequences, and (c) to do what is best for everyone (Rachels, 1993). Bentham and Mills argue that people should set aside personal interests and make decisions that benefit the whole. Therefore, an individual confronted with a moral decision would choose an action that generated the greatest amount of happiness for everyone involved. Consequential theorists suggest that we focus on the consequences of our actions.

The second major ethical theory, Deontology, is known best from the work of German philosopher Immanuel Kant (1724-1804) (Rachels, 1993). The hallmark of Deontological theory, sometimes called Kantian ethics, is the

Copyright © 2004 Judith Kolb, Dee Frisque, & Hong Lin

concept of good will. For Kant, good will refers to duty, and it is only when we act out of duty that our actions have moral worth (Tsalikis & Fritzsche, 1989). Kantian ethics has three main principles: (a) duty, (b) fairness for all, and (c) respect (Rachels, 1993). Kant emphasized what he termed “categorical imperative” which translates into applying universal laws that hold true in all circumstances for everyone to guide moral decisions. It is from reason alone, not consequences that we arrive at making moral and ethical decisions. For Kantians, it is simply their duty to do what is right. Doing one’s duty gives an action its moral worth (Rachels, 1993).

Brogan et al. (1931) provided individual summaries regarding course content that should be included when teaching ethics. One predominant theme in these summaries was that background material in moral philosophy theories helped individuals make ethical decisions and develop critical thinking skills. Trevino and Nelson (1999) also recommended using moral philosophy theories as a guide to teach ethics. Macrina (2000, p. 18) admits that traditionally, people in the “hard” sciences are often skeptical about the value of discussing philosophy, a “soft” science discipline. However, Macrina (2000) argues that this attitude is changing, and that many scientists now agree that moral philosophy serves as a compass to provide directions to individuals when faced with ethical issues in their disciplines.

There is no agreement in the literature on a preferred approach. The challenge facing academic and corporate institutions is how to best provide ethics teaching and training that embraces multiculturalism in the workplace. The work environment is no longer homogenous and increasingly, due to technology, our marketplace is the world. Hence, the demand to embrace multiculturalism with some degree of universality is needed to prepare professionals to understand a broad range of ethical behaviors necessary to compete in a global economy. In practice, however, implementation of universalistic values that emphasize broad cultural or moral norms is not without criticism. Some argue that ethics teaching and training should focus on relativistic values, an approach in which ethical issues are viewed from specific examples and cultural context (Cowton & Dunfee , 1995).

Definitions

Ethics has been defined a number of ways in the literature. Macrina (2000) defines ethics as “a branch of philosophy that is concerned with morality and seeks to provide guidance as to how we ought to live” (p. 18). Davis (1994) defines ethics as “any set of morally permissible standards of conduct each member of some particular group wants every other member of the group to follow even if everyone else’s following them would mean having to follow them too” (p. 5). Trevino and Nelson (1999) define ethics as “principles, norms, and standards of conduct governing an individual or group” (p. 12). This collection of definitions reflects the multitude of different theories, methods, and approaches found throughout scholarly and non-scholarly ethics literature. In this paper we selected the Trevino and Nelson (1999) definition as a basis for ethics teaching and training in corporations and universities in which individual responsibility is central to ethical behavior in the workplace.

Why the Resurgence in Ethics?

When the January 2001 Gallup Organization survey asked the public to name the most important problems facing the country, unethical and immoral behavior, lack of integrity, and dishonesty were at the top of the list (Newport, 2001). These same problem areas have been identified in the ethics literature as serious concerns by scholars (Butterfield, Trevino, & Weaver, 2001; Grover, 1993). The 2001 Gallup survey also asked the public to rate the honesty and ethical standards of people in various professions (Newport, 2001). Only 2 percent of respondents classified professionals such as business executives, journalists, and government officials in the very high rating category. The negative public view and mistrust of these professionals is disconcerting (Hagmann, 1999).

Ethics has become a topic of wide discussion in the corporate world and institutions of higher education (Palmer & Zakhem, 2001). Universities and corporations use a host of teaching and training methods to influence ethical decision making (Mathison, 1988; Sanyal, 2000; Trevino, 1992). Several federal agencies have established initiatives that focus on the importance of providing ethics training programs. For example, some researchers argue that the 1991 United States Federal Sentencing Commission Guidelines are what is needed to spur corporations and universities to invest in ethics training in the workplace (Dalton, Metzger, & Hill, 1994). The passage of the Federal Sentencing Commission Guidelines encouraged corporations and universities to implement formal ethics training programs (Guelcher & Cahalane, 1999). The guidelines were established to outline the penalties that employers might face if their organization were found guilty of misconduct activities (Guelcher & Cahalane, 1999; Weaver, 1999). A key component is that an institution that has an ethics training program in place prior to a cited offense may have sentencing fines for a misconduct violation reduced up to 60 percent (Guelcher & Cahalane, 1999). The Sentencing Commission did not make the development of ethics programs mandatory; however, it was readily apparent to corporations and higher education institutions that it was in their best interests to develop programs and thus reduce the extent of punishment imposed in the event of violations (Dalton, Metzger, & Hill, 1994). In the 2001 Ethics Resource Center Survey on Integrating Ethics and Compliance Programs, ethics officers reported that crises such as public scandals, government sanctions, or legal actions helped decision makers realize the need to provide

ethics training. Guelcher and Cahalane (1999) argue that most ethics programs are set up either as compliance based to "police people" or as value based by which employees "self-police" (p. 328). Many institutions have not yet developed ethics programs, claiming that the guidelines are ambiguous and unclear. Dalton et al. (1994) agree that portions of the guidelines are not defined clearly, but that the "spirit" of the guidelines is clear: to encourage the development of ethics programs (p. 10).

Emerging demands for ethics teaching and training presents opportunities and challenges. In general, academic and corporate environments rely on a variety of approaches, tools, and practices when providing ethics teaching and training.

Methodology

The Pennsylvania State University Library Access System (LIAS), which contains 350 databases, was used to conduct a comprehensive literature search on our topic. A search was performed on multiple online databases such as Business ABI/Inform Global, Proquest newspapers and magazines, Proquest Psychology Journals, dissertation abstracts, and Social Science Abstracts. These databases were searched using a number of terms (i.e., ethics, business ethics, multiculturalism, ethics training, global ethics, moral philosophy) typed in the "keywords: field.. Other resources included the online Ethics Resource Center newsletter and various internet search engines (Jeeves, Google, Lycos). As articles from refereed journals and scholarly books were collected, the references cited in these sources were also examined and added if appropriate. Additionally, we used several studies from recent proceedings of professional meetings. The literature review for this paper is organized around three research questions. Resources not viewed as pertinent or a proper fit for this paper were eliminated. A total of 56 resources are included in this article. The review is intended to be comprehensive, but not exhaustive.

Research Questions

1. What is happening with ethics training in corporations?
2. What is happening with ethics teaching and training in higher education?
3. How does multiculturalism affect ethics teaching and training in corporate and academic environments?

RQ1: What is happening with ethics training in corporations?

In the annual 2001 Industry Report, 1652 companies were surveyed and provided the frequency in which ethics training was offered in their organizations (Galvin, 2001). The data revealed that 24 percent provided ethics training on a regular basis, 17 percent provided ethics training on an as needed basis, and 38 percent did not provide ethics training at all (Galvin, 2001). However, as a rule, ethics training programs continue to be developed for professionals in most corporations (Harrington, 1991; King & Mayhew, 2002). Corporations have established ethics training programs, ethics offices, and departments, and may rely upon lawyers, consultants, compliance officers, and internal or external trainers to teach and train employees on ethics. For example, proactive corporations such as McDonnell Douglas, Boeing, and Bell Atlantic provide corporate-wide ethics training programs for all employees (Harrington, 1991; Seidenberg, 1999).

Leadership commitment plays an important role in the success of ethics programs. Weaver (1999) investigated the relationship of compliance and value orientations in ethics programs by examining employee perceptions, attitudes, and behaviors associated with a diverse set of outcomes. He found that value-orientation ethics programs made a greater contribution to the measured outcomes than compliance-orientation ethics programs. The value-orientation programs had top management commitment and emphasized support and trust for employees. The compliance orientation programs were influenced by management control and enforcement of rules and monitoring of employee behavior.

Typically, corporations depend on management to communicate company values to employees. In the 2003 Ethics Resource Center's National Business Ethics Survey, workers indicated that top management keeps promises and commitments. Furthermore, Jacqueline Gates, Vice President of the Office of Ethics, Compliance, Diversity, and Organization Development at Bell Atlantic, underlined the importance of leadership commitment in ethics training. Jackson (1997) advocates a similar approach with international ethics training. He contends that such training should be a supported, integrated program and not just a token workshop. Further, this is consistent with the advice given by training and development professionals that training should be integrated with organizational goals (Rothwell & Sredl, 2000).

Among the ethics training efforts that organizations make, there exists a underlying concern that employees become ethically sensitive across cultures. The diversity of the American workforce (Odenwald, 1993; Rothwell & Sredl, 2000) and the expanding global market (Barker & Cobb, 1999) contribute to such training needs. In general,

multinational corporations attempt to balance support of global integrity issues and compliance with their corporate codes of ethics (GMAC Global Relocation Services, National Foreign Trade Council & SHRM Global Forum, 2003).

RQ2: What is happening with ethics teaching and training in higher education?

Universities have responded to the ethics problem on many fronts and use teaching and training as a common denominator for educating professionals about unethical conduct. A highly visible response is the development and integration of ethics into the curriculum. Despite the widespread development of ethics courses for students, higher education has not given similar attention to professionals in the academy such as faculty, staff, and administrators (Baumgarten, 1982; Guelcher & Cahalane, 1999). Additionally, based on a review of the literature, few studies were uncovered with research findings on ethics training for professions in higher education. Most studies in higher education focus on teaching ethics to students in various disciplines (Gawthrop & Uhlemann, 1992, Wynd & Mager, 1989).

Whereas higher education has been slow to implement ethics training programs, it has not been immune to unethical practices and wrongdoings (Guelcher & Cahalane, 1999). We read reports about faculty members admitting to falsification of research data that results in a trail of retracted papers (Malakoff, 2000). A university staff employee is prosecuted for embezzling funds over an extended period of time (Kerstetter, 2001). As ethical violations become more commonplace in higher education, the risk of unfavorable public reputation may spur institutions to consider preventive maintenance to avoid future pitfalls. Guelcher and Cahalane (1999) suggest that professionals in high level administrative positions have a responsibility to protect the reputation of the institution. These researchers argue that one way to do this is to provide ethics training programs.

A variety of strategies are being examined in higher education institutions to address workplace ethics training for professionals. One strategy is providing clear, concise, and strong statements from the president of the institution that support and value ethical behavior in the workplace. Research suggests that when ethics training is supported by leaders of the organization, employees are more likely to make ethical decisions in the work place (Gunsalus, 1993; Guelecher & Cahalane, 1999; Trevino, 1998). Another strategy that is becoming more prevalent is the development of ethics and compliance offices. These offices provide legal and regulatory requirements established by the federal government.

Universities also have responded to the need for ethics programs by creating institutes and centers. Examples include the Illinois Institute of Technology Center for the Study of Ethics in the Professions, the Harvard University Center for Ethics and Professions, the Bentley College Center for Business Ethics located in Massachusetts, and The Pennsylvania State University Rock Ethics Institute. The focus, goals, and missions for Institutes and Centers are highly diverse. At the Illinois Institute of Technology Center for Study of Ethics in the Professions, the focus is to provide professional ethics teaching and training to engineers, scientists, architects, and other professionals. In 1990, the Center received a grant from the National Science Foundation to develop professional ethics workshops and to teach faculty at 4-year institutions how to introduce professional ethics into technical courses (Davis, 1993). The Center is also a clearinghouse for professional codes and lists over 850 codes of ethics on its internet website. In contrast, the mission of the recently established Rock Ethics Institute, located at The Pennsylvania State University, is to promote ethical awareness in the university community and public and professional sectors through teaching, research, and outreach ("Rock Ethics Institute," 2003.). The Institute offers conferences, seminars, and workshops.

RQ3: How does multiculturalism affect ethics teaching and training in corporate and academic environments?

Like corporate America, colleges and universities have steadily become more and more diverse, populated with students from different cultures, races, and ethnic backgrounds. Hong (1998) reported that major institutions such as UCLA, Harvard, and Northwestern have large Asian American undergraduate student populations. Meanwhile, international students are enrolled in greater proportions at the higher academic levels; they comprise 2.7 percent of all bachelor's degree students, 11.4 percent of graduate students, and 33 percent of all doctoral students (The Princeton Review, 2003). Approximately one-fifth of all the doctoral degrees awarded by U.S. institutions and one-third of doctorates in engineering, mathematics, and the physical and biological sciences are earned by international students (The Princeton Review, 2003). In response to the demographic changes of their student bodies, institutions of higher learning are beginning to look at comprehensive ethics programs that integrate the shared beliefs and value systems of students on their campuses (Guelcher & Cahalane, 1999). Similarly, as faculty incorporate discussions about ethics in their curriculum, they consider the diversity of the student body when making choices about how to approach this subject. Kolb (2003) used the analysis of hypothetical ethical situations or vignettes in classroom training with U.S. and international graduate students. She chose an issues and options approach for discussion because this approach "allows for cultural differences in appropriate norms of behavior and encourages students to consider and discuss ethical issues and possible ramifications of behavioral choices" (p. 70). The use of hypothetical

situations in ethics teaching and/or research has also been reported by others (Moon & Woolliams, 2000; Sanyal, 2000; Wilson, 2003).

As university campuses and classrooms become multicultural, faculty find teaching ethics in a culturally-mixed class difficult (Cowton & Dunfee, 1995). In a telephone survey with more than 40 faculty from the United Kingdom, Asia, and North America, Cowton and Dunfee (1995) found that over half the faculty surveyed indicated that less than 10 percent of their ethics teaching focused on global issues. Many teachers found their students "to be insufficiently attuned to the international diversity of cultures and values" (p. 334). On the contrary, however, some teachers found their students "relativistic and tended to deny any objective approaches to business ethics" (p. 334).

The American workforce has encountered similar effects with the increased attention to diversity efforts (Odenwald, 1993; Rothwell & Sredl, 2000; Thomas, 1991). A 2002 study of senior human resources and relocation executives from more than 180 multinational companies indicated that their companies are more carefully selecting people for international assignments. These companies expect their expatriates to be supportive of global integrity issues as well as to comply with their corporate Code of Ethics. To achieve this end, forty-seven percent of the participants surveyed said their companies have been conducting briefings about integrity in the workplace. Forty-six percent said their companies have updated the corporate code of ethics in response to concerns about accounting and integrity issues (GMAC Global Relocation Services, National Foreign Trade Council & SHRM Global Forum, 2003). Indeed, most Western companies' codes of ethics are never tied to cross-cultural challenges, and managers do not know how to "successfully maneuver the disturbing gray zones that lie at the intersections of different cultures." (Donaldson & Dunfee, 1999, p. 44). Similar findings were found by Weaver, Trevino, & Cochran (1999) in the study of Fortune 500 industrials and 500 service corporations that revealed ethics education and training for most employees occurs occasionally. The study found that on average that ethics training was delegated to human resource staff who had received relatively no training on ethical issues.

To help navigate cross-cultural differences in managing business ethics in a global environment, Barker and Cobb (1999) discuss the need for multinational corporations to recognize the differences between the cultures in which they do business, and the need for the multinational corporations to include in their management and staff training segments on dealing effectively with people from cultures other than one's own. Hodel and Widmer (1998), in addressing the differences between Asian and Western culture, stress the importance of employees' understanding the ethics of others and discuss the need for a global ethics understanding. It is more imperative to train management employees to have a better understanding of cultural values of foreign countries (Gopalan and Thomson, 2003) and to practice culturally appropriate ethics management (Weaver, 2001). Such training can facilitate managers' decision-making process when dealing with various conflicts and misunderstandings from different cultural backgrounds (Gopalan & Thomson, 2003).

Conclusions and Recommendations

Clearly ethical preparedness is seen as having a high priority in corporations and academic institutions as evidenced by the proliferation of ethics programs, seminars, workshops, and formal and informal ethics courses. While the contents of these programs may vary, research suggests that program success requires strong support from institutional leaders. If we rise to the challenge raised by Hatcher (2002), HRD/WLP professionals will not only be involved in administering and executing ethics training programs, but will take a leadership role in creating an ethical and sustainable workplace. In this paper, we discuss ethics teaching and training approaches used by academic and corporate institutions to bridge the gap between theory and practice for addressing ethical issues in the workplace. This literature review raises a number of interesting questions for future research. One way to advance the leadership agenda is to collect data relevant to these and related questions.

1. What are the outcomes of corporate values-based and compliance-based programs that have been in place for several years? What measures have been used to judge success? What measures are desired?
2. On the university side, what programs for faculty and staff currently exist and what programs are desired? What is the university's desired outcome for such programs? What is the participant's desired outcome? Have actual outcomes been measured? If so, how and to what result?
3. In what specific ways have leaders demonstrated commitment to ethics programs? What is the effect of leadership on employee commitment and other outcome markers? What is being done to help leaders provide leadership on this issue?

4. What percentage of employees are able to articulate the values of the corporation? What happens when organizational values clash with individual values? To what extent are interpretations of ethical issues dependent upon the cultural background of the employee involved in the situation? What are companies doing to help employees manage difficulties that arise from cultural differences in ethical decision-making?
5. What is the background and training of the instructors who provide ethics training? What is their comfort level with the topic? What help do they need? What measures are they using to measure outcomes of their training?
6. How do outcomes differ between organizations in which all employees are exposed to ethics training and those in which only select groups, such as professional staff, receive training?
7. How do multinational corporations infuse international values and beliefs into their codes of ethics when such codes are primarily based on Western standards? What best practices can corporations adopt?

Implications

If ethics training is not to become another requirement to be checked off, HRD/WLP professionals need to be involved at the policy level, ensuring that values and ethics awareness becomes part of a company's overall strategic plan. This means questioning the value of piecemeal training programs that might spring up in response to the latest headline or legal ruling. To achieve lasting results, institutions ideally will embrace ethics teaching and training practices as a continuous growing, learning, and changing process and not a finished product. As the workplace becomes increasingly diverse, ethics teaching and training must include new ways to reach these audiences. In this regard, individual accountability and multicultural perspectives may be the glue for ethical preparedness in academic and corporate institutions.

References

- Barker, T. S., & Cobb, S. L. (1999). A survey of ethics and cultural dimensions of MNCS. *Competitiveness Review*, 9(2), 11-18. Retrieved December 1, 2002 from ABI/INFORM Global (Proquest) database.
- Baumgarten, E. (1982). Ethics in the academic profession: A socratic view. *Journal of Higher Education*, 53, 282-295.
- Brogan, A. P., Barrett, C., Givler, R. C., Mahan, W. B., Boas, G., Blumberg, A. E., & Johnson, P. E. (1931). The aim and content of an introductory ethics course: A symposium by seven American professors. *International Journal of Ethics*, 42, 1-14.
- Butterfield, K. D., Trevino, L. K., & Weaver, G. P. (2001). Moral awareness in business organizations: Influences of issue-related and social context factors. *Human Relations*, 53, 981-1018.
- Cowton, C. J., & Dunfee, T. W. (1995). Internationalizing the business ethics curriculum: A survey. *Journal of Business Ethics*, 14, 331-338.
- Dalton, D. R., Metzger, M. B., & Hill, J. W. (1994). The new U.S. sentencing commission guidelines: A wake-up call for corporate America. *Academy of Management Executive*, 8, 7-13.
- Davis, M. (1993). Ethics across the curriculum: Teaching professional responsibility in technical courses. *Teaching Philosophy*, 16, 205-235.
- Davis, M. (1994). *Ethics across the curriculum*. Unpublished manuscript.
- Donaldson, T., & Dunfee, T. (1999). When ethics travel: The promise and perils of global business ethics. *California Management Review*, 41(4), 44-63.
- Frederick, C., & Atkinson, C. E. (1997). *Women, ethics and the workplace*. Westport, CT: Praeger Publishers.
- Galvin, T. (2001, October). Industry 2001 report. *Training*, 38, 40-75.
- Gawthrop, J. C., & Uhlemann, M. R. (1992). Effects of the problem-solving approach in ethics training. *Professional Psychology: Research and Practice*, 23, 38-42.
- Gilligan, C. (1982). *In a different voice. Psychological theory and women's development*. Cambridge, MA: Harvard University Press.
- Gilligan, C. (1977). In a different voice: Women's conceptions of self and of morality. *Harvard Educational Review*, 47(4), 481-517.
- GMAC Global Relocation Services National Foreign Trade Council & SHRM Global Forum (2003). *Global Relocation Trends 2003 Survey Report*. Retrieved July 20, 2003 from <http://www.gmacglobalrelocation.com/WhitePaper/GTS%202002%20ONLINE.pdf>

- Gopalan, S., & Thomson, N. (2003). National cultures, information search behaviors and the attribution process of cross-national managers: A conceptual framework [Electronic version]. *Teaching Business Ethics*, 7, 313-328.
- Grover, S. L. (1993). Lying, deceit, and subterfuge: A model of dishonesty in the workplace. *Organization Science*, 4, 478-495.
- Guelcher, S. J., & Cahalane, J. (1999). The challenge of developing ethics programs in institutions of higher learning. *Business and Society Review*, 104, 325-346.
- Gunsalus, J. D. (1993). Institutional structure to ensure research integrity. *Academic Medicine*, 68, 33-38.
- Hagmann, M. (1999, December 17). Europe stresses prevention rather than cure. *Science*, 286, 2258-2259.
- Harrington, S. J. (1991). What corporate America is teaching about ethics. *The Executive*, 5, 1-12. Retrieved July 22, 2003 from <http://proquest.umi.com/pqdweb>
- Hatcher, T. (2002). *Ethics and HRD: A new approach to leading responsible organizations*. Cambridge, MA: Perseus.
- Hatcher, T., & Aragon, S. R. (2000). A code of ethics and integrity for HRD research and practice. *Human Resource Development Quarterly*, 11, 179-185.
- Hodel, T. B., & Widmer, M. (1998). Cultural differences and global ethics: the first world congress of business, economics and ethics in Tokyo [Electronic version]. *The Journal of Value Inquiry*, 32, 111-118.
- Hong, P. Y. (1998, July 14). The changing face of higher education trends: Asian American numbers and Influence now mark all segments of college life. *Los Angeles Times*, pp. A1.
- Jackson, K. T. (1997). Globalizing corporate ethics programs: Perils and prospects. *Journal of Business Ethics*, 16, 1227-1235.
- Joseph, L. (2001). *Integrating ethics and compliance programs: Next steps for successful implementation and change*. Retrieved January 26, 2003, from <http://www.ethics.org>
- Kerstetter, R. (2001). Former PSU employee pleads guilty to stealing. *Centre Daily Times*, pp. A1.
- King, P. M., & Mayhew, M. J. (2002). Moral judgment development in higher education: Insights from the defining issues test. *Journal of Moral Education*, 31, 247-270.
- Kolb, J. A. (2003). Communicating about ethics: An issues and options approach. In G. Poncini, F. Frandsen & W. Joansen (Eds.), *Proceedings of the 5th Association for Business Communication European Conference*, (p. 70), Lugano, Switzerland: The Association for Business Communication.
- Lu, L. C., Rose, M., & Blodgett, J. G. (1999). The effects of cultural dimensions on ethical decision making in marketing: An exploratory study. *Journal of Business Ethics*, 18, 91-105.
- Macrina, F. L. (2000). *Scientific integrity: An introductory text with cases* (2nd ed.). Washington, DC: ASM Press.
- Malakoff, D. (2000, October 13). Texas scientist admits falsifying results. *Science*, 290, 245-246.
- Mathison, D. L. (1988). Business ethics cases and decision models: A call for relevancy in the classroom. *Journal of Business Ethics*, 11, 445-459.
- May, D. R., & Pauli, K. P. (2002). The role of moral intensity in ethical decision making. A review and investigation of moral recognition, evaluation, and intention. *Business & Society*, 41, 84-117.
- McLean, G. N. (2001). Ethical dilemmas and the many hats of HRD. *Human Resource Development Quarterly*, 12, 219-221, 2001.
- Moon, C. J., & Woolliams, P. (2000). Managing cross cultural business ethics [Electronic version]. *Journal of Business Ethics*, 27, 105-115.
- Newport, F. (2001, February 5). *Morality, education, crime, dissatisfaction with government head list of most important problems facing country today*. Retrieved October 31, 2001, from <http://www.gallup.com/poll/releases/pro10205.asp>
- Odenwald, S. B. (1993). *Global training: How to design a program for the multinational corporation*. Alexandria, VA: The American Society for Training and Development.
- Palmer, D. E., & Zakhem, A. (2001). Bridging the gap between theory and practice: Using the 1991 federal sentencing guidelines as a paradigm for ethics training. *Journal of Business Ethics*, 29, 1-7. Retrieved October 9, 2002, from <http://proquest.umi.com/pqdweb>
- Rachels, J. (1993). *The elements of moral philosophy* (2nd ed.). New York: McGraw-Hill.
- Rock Ethics Institute. (2003). Retrieved December 2, 2003, from <http://philosophy.la.psu.edu/ethics/index.htm>
- Rothwell, W. J., & Sredl, H. J. (2000). *The ASTD reference guide to workplace learning and performance: Present and future roles and competencies* (3rd ed., Vol. 1). Amherst, MA: HRD Press.
- Sanyal, R. N. (2000). An experiential approach to teaching ethics in international business [Electronic version]. *Teaching Business Ethics*, 4, 137-149.
- Seidenberg, I. (1999). Ethics as a competitive edge. *Business and Society Review*, 99, 291-303.

- The Princeton Review. Retrieved June 30, 2003 from <http://www.princetonreview.com/college/research/articles/international/intstudents.asp>
- Thomas, R. R. (1991). *Beyond race and gender: Unleashing the power of your total workforce by managing diversity*. New York: American Management Association.
- Trevino, L. K. (1992). Moral reasoning and business ethics: Implications for research, education, and management. *Journal of Business Ethics, 11*, 445-459.
- Trevino, L. K. (1998). The ethical context in organizations: Influence on employee attitudes and behaviors. *Business Ethics Quarterly, 8*, 447-476.
- Trevino, L. K., & Nelson, K. A. (1999). *Managing business ethics: Straight talk about how to do it right*. New York: John Wiley & Sons.
- Tsalikis, J., & Fritzsche, D. J. (1989). Business ethics: A literature review with a focus on marketing ethics. *Journal of Business Ethics, 8*, 695-743.
- Weaver, G. R. (1999). Compliance and values oriented ethics programs: Influences on employees' attitudes and behavior. *Business Ethics Quarterly, 9*, 315-335.
- Weaver, G. R., Trevino, L. K., & Cochran, P.L. (1999). Corporate ethics practices in the mid-1990's: An empirical study of the Fortune 1000. *Journal of Business Ethics, 18*, 283-294.
- Weaver, G. R. (2001). Ethics programs in global business: culture's role in managing ethics [Electronic version]. *Journal of Business Ethics, 30*, 3-15.
- Wilson, B. A. (2003). Predicting intended unethical behavior. In G. Poncini, F. Frandsen & W. Joansen (Eds.), *2003 Proceedings of the Association for Business Communication European Conference*, (pp. 99), Lugano, Switzerland: The Association for Business Communication.
- Wynd, W. R., & Mager, J. (1989). The business and society course: Does it change student attitudes? *Journal of Business Ethics, 8*, 481-491.

The Effect of Flexible Learning Schedule on Online Learners' Learning, Application, and Instructional Perception

Doo H. Lim
University of Tennessee

Learning style has been an important area of study to improve learner satisfaction and learning outcomes. This study examined the effect of flexible learning schedule on learning and application of learning made by a group of undergraduate students. Results revealed flexible learning schedule influenced students' learning. Various reasons why respondents in the study attained high or low degree of perceived learning and application of learning are provided. Discussions about instructional conditions and strategies to enhance learning and application of learning were included.

Keywords: Online learning, Learning Preferences, Learning Application

Identifying different types of learning styles and their impacts on student learning has been a major field of study in distance education (Ehrman, 1990; Riding & Cheema, 1991; Smith, 1997). From numerous research studies, satisfying online learner's learning style and preference was considered a critical success factor for online instruction (Blickle, 1996; De Raad, 1996; Goff & Ackerman, 1992; Vermunt, 1998; Wolfe & Johnson, 1995). Among many studies focusing on cognitive style and learning preferences, learner's control of learning process was a frequently studied topic in distance education because the online delivery medium has transferred control of learning from instructor to each individual learner (El-Tigi & Branch, 1997). While traditional classroom instruction requires learner to follow certain sequence bounded by time, content, and place, online instruction allows flexible learning modes so students can control their learning path, pace, and contingencies of instruction (Hannafin, 1984). The more the learners can control individual learning environment, the greater chances the learners will motivate their own learning (Steinberg, 1989).

As more adult learners seek for college education delivered through distance education methods, satisfying the learning needs and preferences of this learner population has become a major issue in online instruction. Higher education institutions such as colleges and universities, however, have not been fully meeting the adult learners learning needs to have more accessible, flexible, and convenient ways to take classes. According to MacDonald, Stodel, Farres, Breithaupt, and Gabriel (2001), the characteristics of adult learners who will be best served by the benefits of online instruction are: a) working adults, b) adults who cannot afford long leaves of absence, c) single parents or economically disadvantaged adults, and d) those who need an alternative way to study degree programs for economic, social, personal, or practical reasons. Online instruction, in this regard, has been considered a viable option to satisfy such unique learning needs of adult learners.

Among various conditions for adult learners to control their own learning, learner's self control of the time, sequence, and pace of learning were identified as the major learning preferences needed to be addressed in higher education (Lin & Hsieh, 2001). Even though many studies have verified the effect of self-control over the learning sequence and path during online learning, very few empirical research studies have conducted to identify the effect of self-control of learning schedule on the learning, application of learning, and instructional experience of online learners. Here, the term 'application of learning' refers to the degree to which learners use and apply learned knowledge and skills during instruction or to current and future jobs.

Questions for Investigation

The purpose of this study was to examine if online learner's learning, application of learning, and instructional quality perceived by a group of undergraduate students who took an online course with flexible learning schedule differ from those perceived by the other group of students who took the same course with fixed learning schedule. Several research questions were developed to investigate the purpose of this study.

1. Do learning and application of learning differ between the flexible and the fixed learning schedule group?
2. What instructional factors and conditions promote or hinder learning and learning application of the different schedule groups?

Copyright © 2004 Doo H. Lim

Methodology

This study utilized quantitative research methods. To assess learning and learning application differences between the different schedule option groups of the online course, a group of undergraduate students were asked to participate in this study. The subjects for the study included 102 students (34 male and 68 female) who took an online course at a southeastern university. Among the 102 students, 55 students chose the fixed learning schedule and 47 students chose the flexible learning schedule. Regarding employment status, 16 students were fulltime students, 38 students had part-time jobs, and 48 students had fulltime jobs.

A questionnaire was developed to obtain the students' perceived degree of learning, learning application, and instructional quality of the online course. The questionnaire included question items composed of the eighteen learning objectives of the course. The students were asked to participate the pre and post survey conducted online at the beginning and at the end of each semester. The data sets were collected for all terms including Spring, Fall, and Summer terms between year 2000 and 2002. The online questionnaire used a five point Likert-type scale to measure the degree of learning (1 for "do not understand" to 5 for "completely understand") and application of learning (1 for "none" to 5 for "frequently use").

Regarding the validity of the instrument used for the data collection, it was tested from a previous study that used the same construct that verified the construct validity (author 2000). Overall, a reliability alpha was .95 for the learning and .96 for the learning application scale respectively. Basic descriptive statistics was used to analyze the degree of learning, application of learning, and instructional quality perceived by the students. Paired t-test was used to compare population mean scores for the learning increase before and after the course between groups. Qualitative analysis was conducted to categorize the reasons that promote or hinder learning and application of learning responded by all students.

Context of the Online Course

The online course was developed to teach curriculum content in program evaluation for undergraduate students. The online course included thirteen learning modules and the workload of one module was equivalent to that of one week's classroom instruction. Four sub learning sections comprised one learning module. All students were asked to attend the first and last class meeting for course orientation and group project presentation respectively. At the first meeting each student was allowed to choose a learning schedule option among the two: weekly fixed schedule and self-paced flexible schedule. The self-paced flexible schedule provided four to five learning modules for a longer period of time (4 to 5 weeks) so students could manage his or her learning schedule accommodating individual work, other studies, and family duties. After selecting a schedule option, students in each schedule option were divided into peer groups composed of three to five students. Each peer student group was involved in a group project and various online discussion activities for group engagement and learning.

Results

Degree of Learning and Application

It was identified that the students attained a significant increase in learning overall. For all students, the mean score of the perceived learning was 3.15 before the instruction. The population post mean score measured after the instruction was 4.01. Mean difference between the pre and post assessment was found to be significant at .05 level using paired t-tests.

Table 1. *Difference in Perceived Learning by Schedule Option*

Variable	N	Mean (SD)		Paired Sample T-Test		
		Pre	Post	Diff (SD)	t-stats	Sig.(2-tailed)
Fixed schedule	55	3.21 (.54)	3.99 (.74)	.79 (.80)	-7.260	.000*
Flexible schedule	47	3.09 (.89)	4.03 (.63)	.94 (.99)	-6.559	.000*
All	102	3.15 (.72)	4.01 (.69)	.86 (.89)	-10.00	.000*

* Significant at <.05 level.

When the students' perceived application of the eighteen learning objectives during the semester was calculated, the population mean score identified was 3.83, which implies that the students could use and apply their

learning to a fairly high degree. Further analysis was conducted to compare the learning increase between the different schedule option groups. From this analysis, the p-value for the mean difference between the comparison groups, as a whole, was not found to be significant. When the mean differences were calculated for the regular spring/fall semesters, however, the p-value of learning differences between the different schedule option groups was found to be significant. The difference in learning application mean scores was not a significant one between the comparison groups.

Table 2. Mean Differences in Learning and Application by the Different Types of Semester

Terms	Category	N	Learning Diff. (SD)	p value*	Application (SD)	p value*
Fall/ Spring	Fixed	46	.72 (.70)	.021	3.88 (.71)	.353
	Flexible	31	1.15 (.89)		3.72 (.73)	
Summer	Fixed	9	1.10 (1.22)	.245	3.87 (.94)	.998
	Flexible	16	.54 (1.07)		3.87 (.61)	

* Exact significant value (2-tailed significance).

It was identified the most frequently replied comments about the likeness of the flexible learning schedule were the convenience of the flexible schedule to take the online course followed by the students' control of time and learning processes. Psychological reasons such as less stressful and rushed were another benefits indicated by the students. One example of the negative effect of the flexible schedule was procrastination during taking the online course.

Table 3. Comments Made by the Students in Flexible Learning Schedule

	Comments	Frequency (%)
It fitted my schedule.		16 (29)
- <i>With my work schedule</i>		8
- <i>With my other class schedule</i>		6
- <i>With other personal schedule (family care, doctoral appointment)</i>		2
I could manage my time for study and assignment completion.		12 (21)
I could learn at my own pace and control my learning.		12 (21)
The flexible schedule helped my learning psychologically.		7 (13)
- <i>My stress to study and complete assignments was decreased.</i>		5
- <i>I didn't feel rushed.</i>		2
It provided more time to focus on learning.		4 (7)
It didn't help. I prefer weekly schedule option.		4 (7)
Procrastination negatively affected my learning.		1 (2)

Reasons for High or Low Perceived Learning and Application

From the students' responses of the reasons for high or low learning and application experienced during the online course, various reason categories could be analyzed. In answering the survey questions, the students were allowed to provide the three most influencing reasons supporting or hindering their learning and application. As collectively, the reasons in instructional ineffectiveness were identified as the most influential factor (70%) negatively affecting the students' learning for the online course. From the various reasons under instructional ineffectiveness category, "lack of instructional clarity to explain the learning content" and "difficult learning content" were found to be the most influential reasons accounted for 60% of the responses in instructional ineffectiveness.

Table 4. Reasons for Low Perceived Learning by Schedule Option

Reason category	Fixed (%)	Flexible (%)	All (%)
Instructional ineffectiveness	29 (66)	30 (75)	59 (70)
- Not explained clearly	6	8	14
- Learning content was too difficult	4	7	11
- Some content was confusing and unclear	6	4	10
- Too much content for a given time	5	2	7
- Not enough feedback on individual assignment	2	2	4
- Format of reading material was not clear	0	4	4
- Lack of immediate feedback or support	2	1	3
- Little interaction with other students and instructor	2	1	3
- Too much class assignment	1	1	2
- Technical difficulty to view multimedia content	1	0	1
Lack of personal effort	3 (7)	3 (8)	6 (7)
Lack of interest in the learning content	3 (7)	3 (8)	6 (7)
Lack of opportunity to use learning	4 (9)	1 (3)	5 (6)
Not related to my work	3 (7)	1 (3)	4 (5)
Personal dislike of online instruction method	2 (5)	1 (3)	3 (4)
Procrastination of learning	0 (0)	1 (3)	1 (1)
All	44	40	84

Some reasons seemed to influence the students' learning positively. Similar to the reason categories found for low learning, those reasons in instructional effectiveness were most frequently answered by the respondents as they influence learning (46%). Among them, some reasons were more frequently replied than others as they positively affected students' learning. They were "clear and concise learning content," "usefulness of class assignment and projects," and "review and repetition of learning." From these findings, the clarity of learning content was identified as the most influential factor for the students' learning in this study. As one contrasting pattern of students' responses, the students with flexible learning schedule perceived personal motivation as a more important factor for their high learning (12 responses) than the students with fixed learning schedule (1 response) did. Personal learning effectiveness, on the contrary, was found to be more important factor positively affecting learning for the students with fixed learning schedule.

Table 5. Reasons for High Perceived Learning by Schedule Option

Reason category	Fixed (%)	Flexible (%)	All (%)
Instructional effectiveness	40 (45)	39 (46)	79 (46)
- Clear and concise learning content	18	10	28
- Usefulness of class assignment and projects	6	13	19
- Review and repetition of learning	4	9	13
- General instructional effectiveness	7	2	9
- Technology support for learning	1	1	2
- Quality reading material	1	1	2
- Unique teaching method	1	1	2
- Quality communication and interaction	1	1	2
- Appropriate chunking of learning content	0	1	1
- Good instructional sequence	1	0	1
Related to my current or future jobs	10 (11)	7 (8)	17 (10)
High interests in the learning content	8 (9)	9 (11)	17 (10)
Previous learning	9 (10)	8 (9)	17 (10)
Opportunity to practice learning	10 (11)	5 (6)	15 (9)
Personal motivation for learning	1 (1)	12 (14)	13 (7)
Personal learning effectiveness	10 (11)	3 (4)	13 (7)
Other reasons	1 (1)	1 (1)	2 (1)
All	89	84	173

Various reasons were found to positively or negatively influence students' application of learning during online learning. Some reasons seemed to affect students' learning application positively as well as negatively. Those are "opportunity to use learning," "because of high or low learning," and "relatedness to students' jobs and tasks." These reasons accounted for 74% and 88% of all responses for the reasons of low and high learning application respectively. Two reasons were found to more negatively affect the learning application of the students with fixed learning schedule than that of the students with flexible learning schedule. Those are "not enough opportunity to use during class" and "lack of motivation to apply learning." "Opportunity to review learning through quizzes," "applicable learning content to my work," and "personal interest" were found to more positively affect the application of learning for the students with fixed learning schedule while "personal motivation to apply" was found to more positively affect the application of learning for the students with flexible learning schedule.

Table 6. Reasons for Low Perceived Learning Application by Schedule Option

Reason category	Fixed (%)	Flexible (%)	All (%)
Lack of understanding of learning content	8 (30)	9 (43)	17 (35)
Not related or applicable to my job	6 (22)	8 (38)	14 (29)
Not enough opportunity to use during class	5 (18)	0 (0)	5 (10)
Lack of motivation to apply	4 (15)	1 (5)	5 (10)
Too much content to apply for a given time	1 (4)	2 (9)	3 (6)
Learning activities were not related	2 (7)	0 (0)	2 (4)
Lack of opportunity to use learning in my job	1 (4)	0 (0)	1 (2)
Not stressed to apply	0 (0)	1 (5)	1 (2)
All	27	21	48

Table 7. Reasons for High Perceived Learning Application by Schedule Option

Reason category	Fixed (%)	Flexible (%)	All (%)
Opportunity to use learning	42 (62)	39 (64)	81 (63)
- Opportunity to use in class assignments/projects	23	21	44
- Opportunity to use in my job	13	13	26
- Opportunity to review learning through quizzes	5	0	5
- Opportunity to use in personal situation	1	3	4
Because of high learning	10 (15)	7 (11)	17 (13)
Applicable learning content to my work	10 (15)	5 (8)	15 (12)
Personal motivation to apply	0 (0)	7 (11)	7 (5)
Personal interest	5 (7)	2 (3)	7 (5)
Because of repetition of information	1 (1)	1 (1)	2 (1)
All	68	61	12

Discussion

Effect of Flexible Learning Schedule on Students' Learning and Application

From the data analysis, it was identified that allowing the flexible learning schedule in online instruction seemed to significantly affect students' learning for regular semester terms, but not for the short terms during the summer. The 'no significant learning difference' finding for the summer term students may be due to the indistinguishable scheduling condition during the summer, which provided 2 or 3 learning modules weekly for the fixed learning schedule group students while 4 learning modules were allowed for the flexible learning schedule group students. Among many reasons, convenience of flexible learning schedule (to work, other studies, and personal matters) and the freedom to control students' learning time and learning processes according to their personal learning preferences were found as the influential factors affecting students' learning for the flexible learning schedule group. This finding supports many previous research studies (Bickle, 1996; De Raad, 1996; Goff & Ackerman, 1992; Vermunt, 1998; Wolfe & Johnson, 1995) claiming satisfying student's learning style and preference is a critical success factor for online instruction.

Instructional Factors and Conditions Affecting Learning and Application

This study identified the most influential variable for students' learning as instructional effectiveness that accounted for 70% of the reasons for low learning and 46% of the reasons for high learning replied by all students.

When further analysis was conducted to classify the diverse responses constituting the reasons in instructional effectiveness, several sub categories of instructional factors and conditions were emerged. Those were: a) clarity of instructional content and appropriate instructional level (66% and 35% of the reasons in instructional effectiveness for low and high learning respectively), b) usefulness of instructional activities (46% of the reasons in instructional effectiveness for high learning), c) instructional feedback and interaction (17% of the reasons in instructional effectiveness for low learning), and d) appropriate amount of learning content and workload (15% of the reasons in instructional effectiveness for low learning). For learning application, opportunity to apply learning during or outside the instruction was the most influential factor answered by all students. These findings elicit some meaningful discussions to design and deliver quality online instruction for college students. The first issue is the instructional clarity in delivering online instruction. Compared to traditional instruction, online instruction lacks immediacy to correct or clarify unclear instructional contents and communications. The problem of instructional uncleanness is also influenced by each individual student's different level of instructional readiness or subject knowledge in taking online courses. To solve this kind of instructional problem, instructors of online courses are strongly advised to adjust the difficulty level of each segment of instructional content and apply instructional variation to meet students' learning level as collectively. This task can be done in actual instructional settings or through a peer review composed of other instructors and a sample of students.

Selecting good instructional activities satisfying the students' learning needs is another task to enhance online instruction. Several instructional strategies are deemed effective for this purpose. First, to make students' learning experience meaningful, the learning content must be "applicable." As Baldwin and Ford (1988) recommend, this kind of learning condition can be achieved by making learning content identical or at least similar to the actual application settings where students would be involved. Second, to address the issue of making applicable learning, online instructors need to promote reflective activities that assist learners to apply their learning to personal situations during instruction, which will eventually result in far transfer (Clark & Taylor, 1992). Some recommended learning activities promoting applicable learning are: a) a step-by-step guided practice after a segment of instruction, b) follow-up individual practice to reinforce the guided practice, and c) independent practice through class assignments that have similar construct with different application content to result in far learning transfer.

Promoting quality interaction during student learning has been another instructional design issue in online instruction (Jones & Jo, 1998) and was not an exception in this study. Among many practices recommended by other researchers addressing this issue, some are passive while others are proactive. Typical examples of the passive interactions would be providing immediate feedbacks on students' questions and timely technical support when they encounter computer or network problems during learning. It is generally recommended that instructors should provide these kinds of feedback and support within 24-hour time frame to satisfy learners or no later than 48 hours to avoid students' complaints. Some effective proactive interactions that the researcher has applied to online instruction were: a) asking short questions checking the understanding of major learning content at frequent intervals during instruction, b) sending students' learning progress report on a regular base to promote students' motivation for learning achievement, and c) asking students to take a learning review quiz at the beginning of each learning module to promote longer retain of the previously learned content.

Conclusion

This study has identified learning and application made by a group of undergraduate students who took an online course in program evaluation. Several meaningful findings were revealed for the effect of the fixed or flexible learning schedule on learning and application of learning in an online learning environment. While many research studies in HRD have addressed organizational and performance issues, this study focused on instructional issues in online learning environment to solve learning and application of learning issues. Values of the study results to new HRD knowledge are empirically verifying how flexible learning affects online learners learning and application of learning in general. Some instructional design issues to increase students' learning and application were identified and discussed. Even though this study revealed how the flexible learning schedule affected students' learning and application of learning in online learning context, the study findings are limited to online learning environment occurred in college settings. For the generalization of this finding, another set of studies using a broader population are strongly recommended.

References

- Baldwin, T. T., & Ford, J. K. (1988). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41(1), 63-105.

- Blickle, G. (1996). Personality traits, learning strategies, and performance. *European Journal of Personality, 10*, 337-352.
- Clark, R., & Taylor, D. (1992). Training problem solving skills using cognitive strategies: Novice versus expert problem solvers. *Performance and Instruction, 31*(3), 32-37.
- De Raad, B. (1996). Personality traits in learning and education. *European Journal of Personality, 10*, 185-200.
- El-Tigi, M., & Branch, R. B. (1997). Designing for interaction, learner control, and feedback during online learning. *Educational Technology, 37*(3), 23-39.
- Ethrman, M. (1990). Psychological factors and distance education. *The American Journal of Distance Education, 4*, 10-24.
- Goff, M., & Ackerman, P. L. (1992). Personality-intelligence relations: assessment of typical intellectual engagement. *Journal of Educational Psychology, 84*(4), 537-552.
- Hannafin, M. J. (1984). Guidelines for using locus of instructional control in the design of computer-assisted instruction. *Journal of Instructional Development, 7*(3), 6-10.
- Jones, V., & Jo. J. H. (1998). Interactive multimedia based on learning theories to enhance tertiary education, Paper presented at the *International Conference on Computational Intelligence and Multimedia Applications*, February, Churchill, Australia.
- Lin, B., & Hsieh, C. (2001). Online teaching and learner control: a research review. *Computers & Education, 37*, 377-386.
- MacDonald, C. J., Stodel, E. J., Farres, L. G., Breithaupt, K., & Gabriel, M. A. (2001). The demand-driven learning model: a framework for web-based learning. *The Internet and Higher Education, 4*, 9-30.
- Riding, R., & Cheema, I. (1991). Cognitive styles: an overview and integration. *Educational Psychology, 11*(3/4), 193-215.
- Smith, S.M. (1997). Preparing faculty for instructional technology: from education to development to creative independence. *Cause/Effect, 20*, 36-44.
- Steinberg, E. R. 1(989). Cognition and learner control: a literature review, 1977-1988. *Journal of Computer-Based Instruction, 6*(4), 117-121.
- Vermunt, J. D. (1998). The regulation of constructive learning processes. *British Journal of Educational Psychology, 68*, 149-171.
- Wolfe, R. N., & Johnson, S. D. (1995). Personality as a predictor of college performance. *Educational and Psychological Measurement, 55*, 177-185.

The Development of a Research Instrument to Analyze the Application of Adult Learning Principles to Online Learning

*Sharon Colton
Monterey Peninsula College*

*Tim Hatcher
North Carolina State University*

This study used the Delphi research method to develop the Online Adult Learning Inventory, an instrument to apply the principles of adult learning to Web-based instruction. Twelve experts in the fields of adult learning and online course development working with the researchers constructed the instrument and validated its content.

Keywords: Andragogy, Online Learning, Delphi Method

Method: Qualitative Delphi method

Distance learning is now an important venue where significant adult learning occurs (Brookfield, 1995). "Depending on the type of Internet technology a distance course employs, adults will tend to learn differently" and "...the use of the Web may require a new commitment to andragogical principles" (Cahoon, 1998, p.29, 34). As a research area for consideration, Bates, Holton and Seyler (1996) put forth the challenge to establish normative criteria based on adult learning principles (p.18). Course developers need to focus on learning theory in the design of instruction so that they can create lessons that they are meaningful and focus on their requirements as an adult (Fidishun, 2000).

Numerous citations (Cahoon, 1998; Brookfield, 1995; Bates, et al. 1996; Simonson, 1997; Ryan, Carlton, & Ali, 1999) reflected the need for further research in computer-mediated instruction for adults and suggested that computer design principles for adults may be different (Bates, et al. 1996). Reeves strongly argued that, "...it is imperative that criteria for evaluating various forms of CBE (computer-based education) be developed that will result in more valid and useful evaluations" (Reeves, 1995. p. 2). He also recommended that any evaluation instrument be subject to "rigorous expert review" (p. 11). This challenge and the difficulty in designing a valid instrument was met by employing "rigorous expert review" by utilizing experts in the fields of andragogy, instructional design, and Web course development to construct the content and structure of the instrument.

There are some rating systems for Web page style (Jackson, 1998; Waters, 1996; Cyberhound, 1996) and rating systems for various applications of adult learning principles (Conti, 1979), measures of self-directed learning readiness (Guglielmino, 1992), and Competencies for the Role of Adult Educator/Trainer (Knowles, Holton, & Swanson, 1998, p. 140). In addition Wentling and Johnson (1999) developed the Illinois Online Evaluation System to judge online instructional efforts in general. Thus, this study's central problem was that no evaluation instrument that specifically deals with the application of adult learning principles (ALP) to Web-based courses and training had been identified. Until now, course developers faced a problem because there was no validated list to aid in applying adult learning principles to course development or its formative or summative evaluation. The Online Adult Learning Inventory (OALI) was developed by the authors and a panel of twelve experts in order to fill that gap.

The problems and research questions addressed in this study provided the structure, content, and purpose in creating an instrument to apply adult learning principles to Web-based instruction and training and included:

- (a) What are examples of specific instructional methods and techniques that demonstrate the application of adult learning principles to fully-mediated World Wide Web-based distance education courses or training as reported in the literature?
- (b) To what extent can an instrument be developed by a Delphi expert panel to measure the application of adult learning principles to fully-mediated World Wide Web-based distance education courses or training, either as an *ex-post facto* evaluation (summative) or as an in-process formative evaluation?
- (c) To what extent is there consensus among Delphi panel experts in the fields of adult education and Web-based course development to validate specific instructional methods and techniques that demonstrate the application of adult learning principles to fully-mediated World Wide Web-based distance education courses or training?

Copyright © 2004 Sharon B. Colton & Tim Hatcher

The purpose of this study was to develop a validated instrument to help educators, trainers, researchers, and instructional designers evaluate and apply the use of adult learning principles to fully-mediated World Wide Web-based distance education courses. The theoretical framework of this study was based on a synthesis of andragogy, instructional design theory, and adult development theory. The instrument constructed in this study provides an additional formative and/or summative evaluative tool to assess Web courses or to apply adult learning principles to course or training design. The instrument can be printed or downloaded from the following website: http://www.mpc.edu/sharon_colton.

Method

This study was exploratory in that it relied on qualitative and quantitative consensus-building by a Delphi panel of experts to construct and validate content. The content in question was adult learning principles applied to fully-mediated World Wide Web-based distance education courses. Research methods for validity included (a) a thorough review of the literature to construct an item pool of instructional methods and (b) Delphi expert panel consensus. The mean, mode, standard deviation, interquartile range, and skewness of the data were calculated from the voting procedures for determination of consensus. Evidence of reliability was indicated by the interrater reliability coefficient from a field test. In addition, a review of readability was conducted to improve the readability of the instrument and the Gunning Fog Index (1983) for readability was calculated.

There is a great deal of discussion in the literature concerning the principles of adult learning, particularly those principles described by Malcolm Knowles. The literature is rich in evidence of instructional methods for web-based courses but far fewer methods that applied principles of adult learning to Web-based instruction. Of those methods, some were supported by research and others were developed in the conceptual literature. However, in the literature there was no validated list of instructional methods that apply specific adult learning principles to fully-mediated World Wide Web courses or training. There was a gap to where the instrument could not be fully constructed just from the information in the literature.

Participants

The Delphi panel members were rigorously chosen in accordance with established criteria and represented excellence in the fields of adult and distance learning as well as instructional design. Each panel member had prior working knowledge of adult learning principles and had experience with developing and/or teaching a Web-based course or training program, or involvement in distance education programs. Potential panel members were selected from the literature based on the number and quality of their publications or experience in the field, particularly during the past nine years, a time when Web-based distance learning became feasible. Each potential panel member was rated as to their perceived usefulness to the study based on their specific area of expertise. Fifteen potential panel members were invited to participate with twelve agreeing to participate. Turoff and Hiltz (1995) suggested ten participants to be the minimum. They were asked to sign a consent form prior to participation and give consent for their names to be published in the completed research.

After completion of the Delphi process and an agreed-upon instrument was drafted, a field test was conducted to give an indication of the reliability of the instrument. An invitation was sent to all online course developers or course evaluators at a West Coast community college to participate in a field test and tutorial on the principles of adult learning. Fourteen of the faculty members agreed to participate and signed letters of informed consent. They were recruited to use the draft instrument to evaluate a specified instructional Web site. Results of the field test were computed to indicate reliability.

Apparatus

Computer-based, primarily mainframe-based, Delphi procedures have been used since the 1970s (Turoff & Hiltz, 1995). Today, however, the technology is available to conduct an anonymous asynchronous threaded discussion easily on the Web "...where the merger of the Delphi process and the computer presents a unique opportunity for dealing with situations of unusual complexity" (Turoff & Hiltz, 1995 p.9). Research indicates this combination opens the possibility for greater performance from the Delphi panel of experts than could be achieved from any individual, something that rarely happens in face-to-face groups (Turoff & Hiltz, 1995, p.8, p.11).

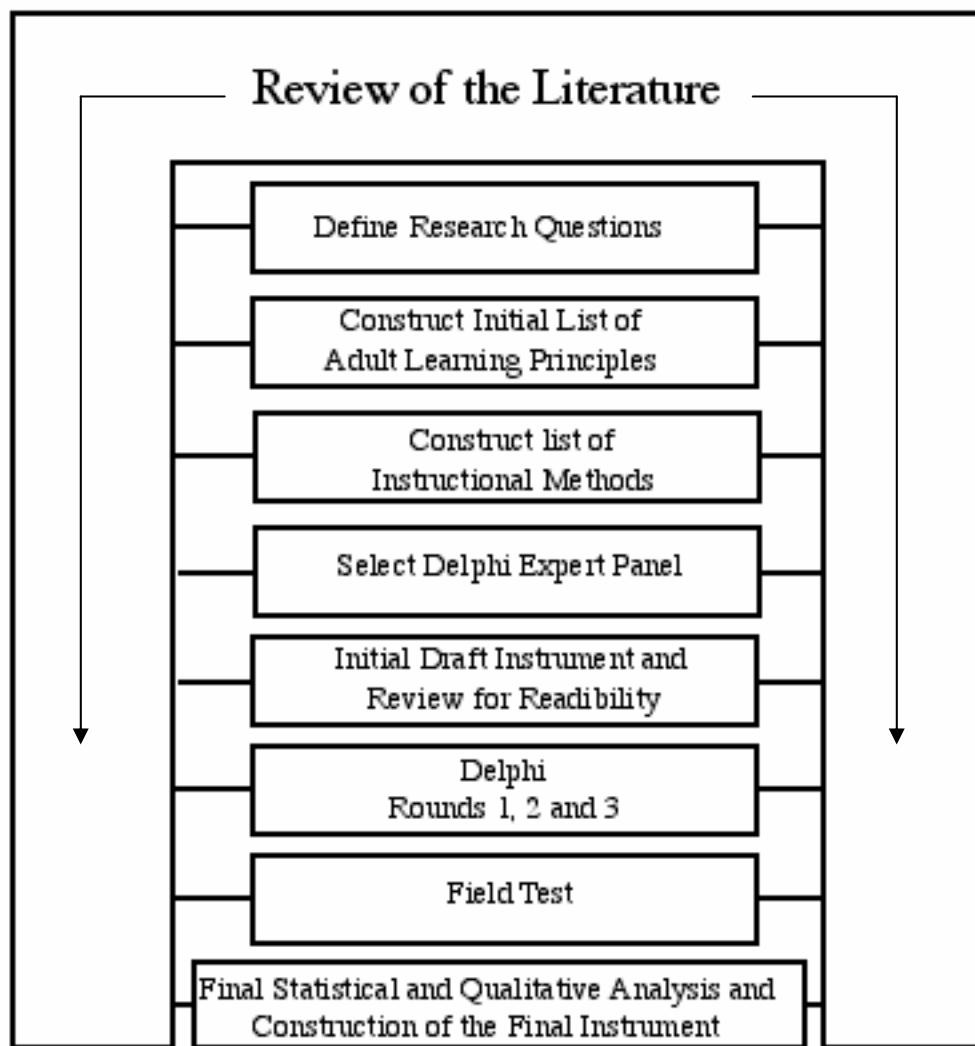
A website was constructed that consisted of a homepage that was referred to as the "Welcome" page, assignments, calendar, and threaded discussion forum with attached documents. In addition, the researcher had access to a user analysis of the discussion on the Web site. Documents were attached to the discussion forum that included draft instruments, text of previous discussions, and voting forms. The welcome page included the following internal links: the topic, a short explanation of the Delphi method, and short biographies of the

researchers. The voting form when completed by a Delphi expert panel member was automatically e-mailed to the researcher. The penname of the expert was included in the voting form.

Procedure

The following figure (Figure 1:Diagram of the methods) gives a display of the overall methods used in this study (Miles & Huberman, 1994). The review of literature, as shown below, provides the structure for, and was key to, the remaining research methods.

Figure 1. Diagram of the Methods.



The overall research process commenced with a review of the literature. Preliminary content was collected for the instrument using established quality filters, criteria for selecting the expert panel were established, and appropriate and established research methods were selected. The principles of adult learning were reviewed, as were web-based instructional methods with. Selection criteria for panel members were based on a review of the literature, potential panel members were selected based on the criteria.

Members of a mid-western university and college staff were asked to review the preliminary draft instrument for appropriate wording and ease of understanding. Revision was made to the wording based on their suggestions.

Set-up of the discussion forum: The discussion forum was set up on a Web site with the latest revision of the instrument and other data attached to the site. Pen names for anonymity and passwords were selected for the participants.

Round one of the Delphi procedure was the establishment of adult learning principles by discussion and vote for possible consensus. The experts were given a draft instrument with adult learning principles, as derived from the literature, and were asked if the principles and structure of the instrument were relevant to online learning or needed to be revised. They were asked to keep in mind that this list of principles in its final form will serve as the structure of the instrument. Prior to voting, the list of adult learning principles was revised based on suggestions by the expert panel. Voting ended the round. Results of round one were displayed on the discussion forum. Mean, median, mode, standard deviation, and interquartile range were calculated. Based on the suggestions and a statistical analysis of the vote, the instrument and its structure and sequence of adult learning principles were again revised.

Round two of the Delphi was the establishing and sorting of an item pool completed by a vote. Expert panel members were asked to list one or more instructional methods that apply to an agreed-upon adult learning principle to Web instruction or training for adults. Results of the listing of instructional methods were displayed on the discussion forum. Discussion followed and a vote was conducted on the large item pool or list of instructional methods, which apply the various adult learning principles to Web courses, using a Likert scale of 1 to 4. (1 - does not apply, 2 - moderately applies but not strongly enough to use in the instrument, 3 - applies enough to be included in the instrument, and 4 - outstanding application and definitely to include in the instrument). Descriptive statistics were calculated, e.g., mean, median, mode, standard deviation, skewness index, interquartile range, and rank to indicate consensus. Edits were made by the researcher to the list of instructional methods based on the results of the vote, comments on the voting ballot, correspondence, and references from the literature where necessary.

Round three of the Delphi was a follow up discussion and a second vote on the revised list of instructional items either to include in the instrument or consider for elimination. Statistics were calculated as before. Items not having reached consensus to be included in the instrument were eliminated from the final instrument. Additional edits were made to the list of instructional methods based on the comments of the expert panel.

A field test was conducted using fourteen community college faculty who had knowledge of Web course development and/or evaluation. Comments by the participants related to the draft instrument were recorded. Results were analyzed for an indication of inter-rater reliability using standard correlation procedures for estimating agreement corrected for chance. The inter-rater reliability statistic gave an indication of the reliability and consistency of the instrument. Participant comments and results of the analysis were used for the final revisions of the instrument. The Gunning FOG Index (1983) was then computed for an indication of the reading level.

Results

Quantitative data were obtained from the voting process of the Delphi expert panel and from the field test of the instrument. Qualitative data consisted of theory and excerpts from the literature and over 100 pages of discussion by the expert panel members along with additional personal correspondence from individual panel members.

Table 1 is a summary of the content validity results for the instructional items in each section of the instrument. "Mean" is the range of the means calculated for each item in the section. "St Dev" is the range of the standard deviations in the section. "IQR" is the interquartile range of each item in the section. A Likert scale of 1 to 4 was used (1 - does not apply, 2 - moderately applies but not strongly enough to use in the instrument, 3 - applies enough to be included in the instrument, and 4 - outstanding application and definitely to include in the instrument). All final content items on the instrument were validated by the expert panel.

Table 1. Content Validity

Section	Mean (range)	St Dev (range)	IQR (range)	Final Status
Section A	3.11-3.67	0.71-1.05	0-1	Consensus
Section B	3.11-3.78	0.53-1.05	0-1	Consensus
Section C	3.11-3.56	0.73-1.13	0-1	Consensus
Section D	3.22-3.78	0.76-1.13	0-1	Consensus
Section E	3.38-3.50	0.52-0.74	1	Consensus
Section F	3.11-3.67	1.00-1.30	0-1	Consensus
Section G	3.11-3.89	0.44-1.13	0-1	Consensus

After the Delphi was complete, a field test was completed with 14 faculty participants who evaluated an online (WebCT) college course using the instrument. The average measure intraclass correlation that is essentially the same as the Cronbach alpha internal consistency reliability coefficient was computed. The expected range is from zero to

1.0. The correlation figures of from .8018 to .9360 indicated moderate to high reliability. The results are summarized in the following table (Table 2. Indication of reliability):

Table 2. *Indication of Reliability*

Section	Average measure intraclass correlation (r_{II})
Section A	.9360
Section B	.8018
Section C	.9112
Section D	.9112
Section E	.9360
Section F	.9112
Section G	.9360

To determine the reading level of the instrument, the Gunning FOG Index for each section was calculated as follows in Table 3:

Table 3. *Gunning FOG Index*

Section	Gunning FOG Index (Grade Level)
Section A	11.2
Section B	11.6
Section C	12.2
Section D	16.8
Section E	12.7
Section F	18
Section G	11.3

The reading level or grade levels of items range from high school to graduate school.

The list of adult learning principles edited for applicability to Web-based courses or training was approved by the expert panel. All 43 instructional items in the final instrument received a mean score of 3.11 to 3.89, all with an interquartile range of 0 or 1. The criterion for consensus to include an item in the instrument was a mean of 3.0 or higher and an interquartile range no greater than 1. All 43 final items met the criteria for consensus. See Table 4 for a summary of the results of instructional methods by each ALP.

The Online Adult Learning Inventory is content valid based on the Delphi techniques summarized here. The average measure intraclass correlation results gave moderate to high positive values that communicated that the raters were seeing the same thing when they applied the instrument to the distance education course they evaluated, an indication of a moderate to high level of reliability. The final instrument as validated by the expert panel is available on the following Website in PDF format: http://www.mpc.edu/sharon_colton.

Table 4. Tabulation of Instructional Methods by APL

Adult principle	Number of methods found in literature	Select examples
Learner's need to know	24	Orientation session; self-evaluation; record-keeping to track progress
Readiness to learn	7	Models; counseling; tasks related to developmental stages;
Self-concept of the learner	17	Computer conferences; self-directed learning; no competition; share in evaluation; mutual inquiry
Prior experience of the learner	35	Group discussion; case method; projects; meaningful problems; context of everyday life; simulations; peer helping; debates; role playing
Orientation to learning	5	Problem-solving exercises; threaded discussions; class calendar
Motivation to learning	14	Activities that promote development of positive self-concept; deal with time constraints; respectful climate; stimulating tasks; enthusiastic atmosphere
Goals and purposes of learning	1	Develop goals during orientation
Unassigned Web methods	54	Create learning community; shared process of constructing meaning; telementoring; teleapprenticeships; peer tutoring; Delphi process for planning and assessment; writing as it demand greater reflection than speaking; Immediate feedback on quizzes and being allowed to take them over again; Advanced organizer with a review of the previous lesson and a description of the current lesson

Discussion

This exploratory study added a validated tool, the Online Adult Learning Inventory, for the evaluation of Web courses or training in the workplace to promote excellence in adult learning. Dubois (1997) describes the impact of the Information Age on education where “the majority of higher education students will be at least 25 years old and where lifelong learning will be ubiquitous” (p. 2). Businesses can also apply this tool to adult training and educational courses delivered at a distance by the World Wide Web, a mode that is becoming increasingly common (Brown, 1999). To date, no other instruments have been developed specifically for fully-mediated World Wide Web courses or training to apply adult learning principles to the instruction.

Strengths of the Research

The final design of the instrument, the Online Adult Learning Inventory (http://www.mpc.edu/sharon_colton), has both edited principles of adult learning appropriate to online courses and training and practical lists of instructional methods that apply the adult learning principles to the development or evaluation of online courses. The completed OALI has only seven subscales and 43 instructional items. The following is an example item from the OALI:

D. *Because of their prior experiences, adults tend to develop mental habits and biases and may need to reassess their beliefs in order to adopt alternate ways of thinking.*

1. *Orientation activities are provided at the beginning of the course that allow learners to develop the skills necessary to complete the course (e.g., “introduce yourself to the discussion forum,” “send me an e-mail saying you were able to log on”).*

The merging of these two constructs offers an innovative and practical tool to address the critical need for online learning to adhere to sound adult learning principles. The two parts of the instrument serve secondarily as an

educational tool for students, trainers, and educators, as a review of how adults learn differently from traditional college age youth.

Also, the Web-based method was a rigorous and highly innovative approach to instrument development and validity that included a threaded discussion forum, and yielded rich data that may not have been garnered through a traditional paper-based Delphi process. This may have resulted in a stronger degree of validation by the expert panel. In addition, the Delphi technique was deemed the most appropriate method due to the developmental, exploratory and contemporary nature of the research.

Limitations of the Research

The principle barrier to designing an instrument for measuring adult learning principles in web-based environments is the high level of difficulty in establishing its validity and reliability. To overcome this barrier, this study utilized experts in andragogy and Web course development to develop the instrument. However, the Delphi panel, although recognized experts in andragogy and Web course design, did not include all experts in these fields. Also, the field test was conducted on a relatively small sample of the potential audience, thus only an indication of reliability could be estimated.

Implications for HRD Research and Practice

The Online Adult Learning Inventory, as developed in this study, is new to the field of training, adult learning, distance education, and instructional design. Future Web course or training developers can use the instrument to construct online learning that is more appropriate to the needs of adult learners and to evaluate and improve the online learning environment for their adult learners. It answers the need expressed by Cahoon (1998) in *Adult Learning and the Internet* to develop a checklist for guidelines for web-based course development and evaluation. Bates, et al. (1996) put forth the challenge to establish normative criteria based on adult learning principles. Prior to this study, no evaluation instrument that specifically dealt with the application of adult learning principles to Web-based courses had been identified. The instrument will enable course developers and trainers to apply principles of andragogy, or adult learning principles, to the instructional design of a Web-based course. Human resources training designers and adult educators can use the instrument to apply the principles of adult learning or andragogy to their work in developing instruction or training that meet the learning needs of their adult audiences. For students of instructional design or adult education, the instrument also serves as a tutorial in describing the principles of adult learning and in selecting instructional methods that apply these principles to Web-based course development.

The Web-based Delphi process used for this study is also new to the field of research design. This study demonstrated the power of technology in enhancing a classic Delphi research process, in facilitating discussion among participants separated by time and place, and providing a venue for voting, all while preserving the anonymity of the participants. It yielded rich qualitative and rigorous quantitative data resulting in a content validated instrument, possibly resulting in a more in-depth content validation, applicable to educational, business, industrial, and government research as well as bringing the tenets of andragogy into the 21st century.

References

- Bates, R. A., Holton III, E. F., & Seyler, D. L. (1996). Principles of CBI design and the adult learner: The need for further research. *Performance Improvement Quarterly*, 9(2), 3-24.
- Brookfield, S. D. (1995). Adult learning: An overview. In A. Tuinman (Ed.), *International Encyclopedia of Education*. Oxford: Pergamon Press.
- Brown, K. G. (1999). *Individual differences in choice during learning: The influence of learner goals and attitudes in Web-based training*. Unpublished Dissertation, Michigan State University, Lansing, MI.
- Cahoon, B. (1998). *Adult learning and the Internet*. (78). San Francisco: Jossey-Bass.
- Conti, G. J. (1979). *Principles of adult learning scale*. Paper presented at the Adult Education Research Conference, Ann Arbor, University of Michigan.
- Cyberhound. (1996). *Cyberhound rating system*. Available: <http://www.cyberhound.com>.
- Dubois, J. H. (1997). Going the distance: Beyond conventional course delivery and curriculum innovations. *The Agenda*. PBS Adult Learning Service (Fall/Winter). Available: <http://www.pbs.org/als/agenda>.
- Fidishun, D. (2000, February). *Andragogy and technology: Integrating adult learning theory as we teach with technology*. Paper presented at the Instructional Technology Conference, Pennsylvania.
- Guglielmino, L. M. (1981). *Development of the self-directed learning readiness scale*. Doctoral dissertation, University of Georgia. Dissertation Abstracts International, 38, 6467A.
- Gunning Fog Index. (1983). Indiana State University, Available: <http://isu.indstate.edu/nelsons/asbe336/fog-index.htm>.

- Jackson, L. S. (1998). *Developing and validating an instrument to analyze the legibility of a web page based upon style and color combinations*. Unpublished Dissertation, George Washington University, Washington, DC.
- Knowles, M. S., Holton III, E. F., & Swanson, R. A. (1998). *The adult learner, Fifth edition*. Houston, TX: Gulf Publishing Company.
- Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis*. (2nd ed.). Thousand Oaks: Sage Publications.
- Reeves, T. (1995). *Evaluating what really matters in computer-based education*. [April/11/00]. Available: <http://www.educationau.edu.au/archives/cp/reeves.htm>
- Ryan, M., Carlton, K. H., & Ali, N. A. (1999). Evaluation of traditional classroom teaching methods versus course delivery via the World Wide Web. *Journal of Nursing Education*, 38(6), 272-277.
- Simonson, M. (1997). Distance education: Does anyone really want to learn at a distance? *Contemporary Education*, 68, 104-107.
- Turoff, M. & Hiltz, S. R. (1995). Computer based Delphi processes, in M. Adler & E. Ziglio (Ed.), *Gazing into the Oracle: The Delphi method and its application to social policy and public health*. (pp.56-88). London: Jessica Kingsley Publishers.
- Waters, C. (1996). *Web concept and design: A comprehensive guide for creating effective Web sites*. Indianapolis, IN: New Riders Publishing.
- Wentling, T. L., & Johnson, S. D. (2000). The design and development of an evaluation system for online instruction. Conference proceeding: *Academy of Human Resource Development*, Tulsa, OK.

A Path Analytic Study of the Determinants of College Students' Motivation to Use Online Learning Technologies

*Reid Bates
Samer Khasawneh
Louisiana State University*

The objective of the present study was to model and test the extent to which previous success, online learning technology anxiety, and instructor-provided training influenced online learning technology efficacy beliefs, and subsequent motivation to use online learning technologies in the college classroom. The results, based on a sample of 280 students supported the hypothesized causal model. Implications and suggestions for future research are discussed.

Keywords: Online Learning Technology, Motivation, Self-Efficacy

Online learning technologies such as BlackBoard, Semester Book, or Web Board have become increasingly popular in a variety of instructional environments because they make available a range of components that are seen as capable of enhancing learning. These components can include authoring and assembly tools (e.g., multimedia, HTML, XML) that can be used to create learning content; storage and distribution components such as test and resource banks; synchronous and asynchronous interactive components (e.g., email, chat rooms, discussion boards) that allow learners and instructors to build 'real-time' collaborative learning environments; and learning management elements that can be used to direct and administer the learning process (Robson, 2002).

The incorporation of these technological elements into online learning systems is believed to provide a number of significant instructional advantages. For example, these systems are seen as having the ability to overcome the time and place constraints on instruction found in traditional classrooms (Harasim, 1989); make available to students a greater breadth of information about course topics; provide a means to more closely monitor and facilitate student progress; encourage more 'chair-time' and 'time-on-task'; encourage more active participation and interaction; and provide instructors with an increased range of instructional techniques and options.

The introduction of these technologies has also meant that the acquisition of skills using online learning technologies is becoming increasingly important to the success of college and university students. For example, nearly 30% of instructors in colleges and universities utilize some form of instructional technology for course delivery (Goggin, Finkenberg, & Morrow, 1997). Many campuses have computer literacy requirements for their students, and recruiting and retaining technology-competent students is often seen as a key for advancing the reputation of faculty, students, and institution as a whole (Chisholm, Carey, & Hernandez, 2002).

However, there are also questions about how students react to these technologies. For example, some suggest that as many as one-third of college students suffer from technophobia (DeLoughery, 1993), or a fear of computer and information technology. Such fear may be compounded by the instructional demands of online learning technology (OLT) that requires students to use a range of technologies such as e-mail, internet search engines, chat rooms, databases and so on (Kinzie & Delcourt, 1991). Multiple demands of this kind can leave students feeling shocked, confused, at a loss for personal control, angry and withdrawn (Sproull, Zubrow, & Keisler, 1986). These kinds of reaction can easily impair students' belief in their capacity to use and learn from the technology, and undermine their willingness to use them in the future.

Indeed, much of previous research related to computer-based instruction and information technology has tended to focus solely on user attitudes and anxiety and how these constructs are associated with individual difference variables (e.g., gender). However, many of these studies were criticized because they lacked adequate theoretical grounding that would allow for the development of more concrete insights into the causes of individual reactions (Henry & Stone, 1994). On the other hand, one promising area of research, grounded in social learning theory (Bandura, 1982), has focused on self-efficacy as an antecedent to students' motivation to use online learning systems. Using this theoretical foundation, the present study seeks to develop and test a path model describing a number of antecedent variables that influence the efficacy beliefs of college students about using OLT and their subsequent motivation to do so.

Copyright © 2004 Reid Bates & Samer Khasawneh

Background

Bandura (1986) defined self-efficacy as a person's confidence in his or her abilities to use and execute personal skills for the purpose of reaching a goal or performing effectively in a given domain of activity. Efficacy beliefs are self-regulatory mechanisms that can influence the motivation (e.g., effort and persistence in using educational information technologies) (Bandura, 1991). Self-efficacy has been related to students' motivation to work harder (Linnenbrink & Pintrich, 2002), and is predictive of people's tendency and motivation to engage in a task (Bandura, 1986; Schunk, 1989).

Individual efficacy appraisals occur most often when people encounter novel, unpredictable or demanding tasks (Bandura, 1982). Thus, students encountering OLT for the first time or applying these technologies to new learning tasks will likely generate and process efficacy information relative to these systems. The resulting efficacy beliefs act as regulatory mechanisms that can influence their "choices about what technologies to adopt, how much to use them, and how much to persist in the face of obstacles to successful use of such technologies" (Compeau & Higgins, 1999, p. 155). In general, research examining self-efficacy's role in individual perceptions and use of computer technology confirms these expectations and has shown that individuals continually make decisions about accepting and using computer technology, and that efficacy beliefs play an important role in these decisions (Venkatesh & Davis, 1996).

A good deal of research over the past two decades has demonstrated that efficacy beliefs influence behavior and performance through effects on direction, intensity, and persistence of effort, three core elements of motivation (Pajares, 1997). Because motivation is primarily concerned with how behavior is activated and maintained, the motivation to use online learning and other information technologies is clearly essential to student learning and success in technology supported courses (Geiger & Cooper, 1996; Graham & Weiner, 1996; Linnenbrink & Pintrich, 2002; Liaw, 2002; Pintrich & Schunk, 2002). From a self efficacy perspective, this suggests that the optimally effective use of OLT will occur in classrooms in which students come with or build positive beliefs about what they are able to do with that technology, set goals for themselves, and plan courses of action for using the technology. In short, they must approach online learning technology as their "problem solving tool of choice" for carrying out course-related learning activities (Holzinger, 1992).

The information on which efficacy beliefs are built can come from a variety of sources. One of the most important is that related to prior mastery experiences (Agarwal & Stair, 2000; Bandura, 1982; Compeau & Higgins, 1995a). Social cognitive theory suggests that previous performance successes, particularly in novel, challenging or difficult situations, help build and reinforce positive efficacy beliefs. Ineffective performance or failures, on the other hand, tend to create doubt and undermine self-beliefs of capabilities (Wood & Bandura, 1989). Thus it is reasonable to expect that college students approach course-related online learning situations with various prior experiences related to the technology being used. Their earlier success in those experiences will be attended to and closely evaluated. The resulting information will be used make judgments about present capabilities, judgments that will likely affect their motivation to use the technology.

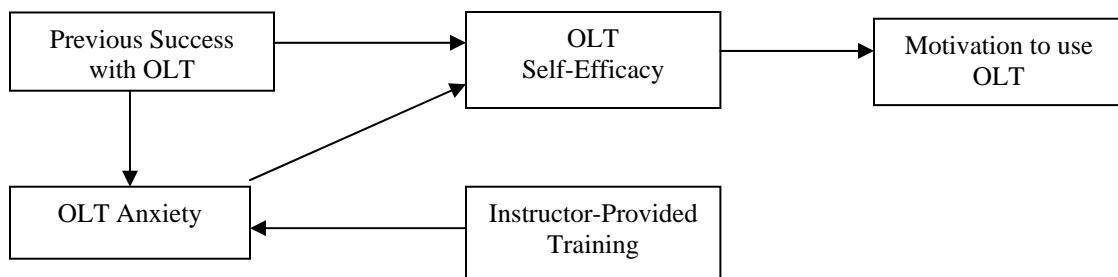
Along these same lines, the successful use of OLT often requires that students understand and apply highly sequenced strategies to complete assignments and meet learning demands. Training can help students learn these strategies and provide opportunities for early successes. Both of these outcomes can lead to the development of positive efficacy beliefs (Torkzadeh & Dwyer, 1994). It is therefore likely that students who receive early on in a course some type of training from their instructor about how to use relevant dimensions of OLT may develop and report more positive efficacy beliefs than students who do not receive such training.

Individual psychological states represent another potentially important source of efficacy information. Strong emotional reactions to a task such as that associated with computer use are believed to provide cues about the level of success or failure that can be anticipated in completing that task (Pajares, 1997). For example, Rohner and Simonson (1981) have defined computer anxiety as the "mixture of fear, apprehension, and hope that people feel when planning to interact or when actually interacting with a computer" (p. 551). Thus when task demands associated with OLT use produce such reactions, students may interpret these to indicate they do not have adequate skills or capabilities to complete the required learning tasks successfully. On the other hand, when anxiety reactions are no longer present (e.g., after the student develops some expertise) the recognition that he or she is no longer reacting negatively could lead to heightened efficacy beliefs.

The Model

The objective of the present study was to model and test the extent to which previous success, OLT anxiety, and instructor-provided training influenced online learning technology efficacy beliefs, and subsequent motivation to use OLT in the college classroom. The research model hypothesized a positive link from previous success to self-efficacy and a positive link from training to self-efficacy. Anxiety is hypothesized to be a function of two constructs: previous success with OLT and instructor-provided training, both of which will presumably reduce anxiety reactions. Anxiety is likely to be negatively associated with online learning efficacy beliefs. Figure 1 presents the hypothesized relationships.

Figure 1. A model of College Students' Motivation to use Online Learning Technology



Methodology

Design

To assess the adequacy of the model and fit to the data, path analysis using LISREL 8.51 (Joreskog & Sorbom, 1993) was used in this study. The application of path analysis provides a way to a) model and estimate multiple and interrelated causal relationships, b) represent unobserved variables or concepts in these relationships and account for measurement error in the estimation process; and c) test a set of relationships concurrently (as a unit) instead of only focusing on bivariate relationships (Hair, Anderson, Tatham, & Black, 1998). One advantage of LISREL is that it provides tests of relationships between constructs that are not attenuated by measurement error (Loehlin, 1987). In addition, statistics representing the goodness of fit between the model and the data can, given supporting theory, provide guidance to model modification and improvement.

Subjects

Subjects in this study were 288 students enrolled in a variety of courses at a large public university in the Southern US. In terms of student status, the sample was diverse, composed of approximately 9% freshman, 8% sophomores, 16% juniors, 33% seniors, 30% Masters students, 3% Ph. D. students, and 2% non-matriculating students. Twenty-seven percent of the students were under 21 years of age, 57% were 21 to 29, and 16% were 30 or older. Eighty-two percent were full-time students. The sample was largely female (72%).

Procedure

Data reported here were collected from students during the last two weeks of the 2001 spring semester. Data were collected from 19 courses that were using a popular educational information technology (Blackboard) as a part of instruction. The graduate and undergraduate courses represented various fields of study including English, Speech and Communications, Business Administration, Social Work, Library Science, and Human Resource Development. Permission to include a particular class in the study was first obtained from the course instructor who was contacted in person or by telephone. Once permission was obtained, one of the authors visited the class, explained the nature and goal of the study, and asked for volunteers to participate in the study. Surveys were distributed and collected in the class at that time.

Instrumentation

A 29-item survey was used in this study. The instrument was developed from several sources. The first part of the instrument, the OLT self-efficacy measure, was adapted from a computer self-efficacy measure developed and tested by Compeau and Higgins (1995; Compeau, Higgins, & Huff, 1999). The Compeau and Higgins scale was modified in the present study to more specifically reflect efficacy beliefs related to the use of online learning technologies. These modifications were important in our effort to infer causal relationships because self-efficacy judgements have the greatest explanatory power when matched to specific tasks and situations. Items in this measure consisted of a stem ("I could complete the online learning requirements of a college course using online

learning technology . . .") and a series of eight phrases that completed the stem (e.g., ". . . if I had never used technology like it before"). Respondents were asked to rate each completing phrase along a ten-point scale that used three anchors (1 = not at all confident; 5 = moderately confident; 10 = totally confident).

The authors developed the other scales used in the study with the assistance of several content judges who had expertise in the use of educational information technology. Scale items were drafted by the authors and submitted to the content judges for review. Based on their feedback, items were added, dropped or reworded where necessary. A preliminary questionnaire was pilot tested with a group of 38 students and instructors. Feedback from this pilot test led to minor modifications in the wording of several items.

Exploratory factor analysis was conducted to provide some evidence of construct validity for the measures. Factor analysis has been recognized as a "powerful and indispensable method of construct validation" (Kerlinger, 198, p. 247) that "is at the heart of the measurement of psychological constructs" (Nunally & Bernstein, 1994, p. 111). Factor analysis is a data reduction technique that examines the intercorrelations among variables to identify underlying (latent) variables, or factors, that explain the pattern of correlations within a set of observed variables. In short, it is used to identify a small number of factors that explain most of the variance observed in a much larger number of variables. A central question when using factor analysis for construct validation concerns which method to use, exploratory factor analysis (EFA) (also called common factor analysis and principle axis factoring) or confirmatory factor analysis (CFA). Although there are no generally accepted decision rules, most researchers agree that the use of CFA requires the presence of a strong theoretical framework underlying the hypothesized latent variables and indicators. EFA, on the other hand, has no such requirement even though the latent variables may be drawn from a theoretical framework, as were the variables examined in this study. In addition, EFA makes no assumptions about the number of factors (hence its exploratory nature), but can be used in a confirmatory manner when testing for a loosely constructed model believed to underlie data. Some researchers believe the two methods should be used as progressively more rigorous tests suggesting that the measurement models tested in CFA should be based on prior EFA (Bentler and Chou 1987). In the present study, exploratory common factor analysis was used to identify the underlying latent structure of the data. Statistically, EFA is considered more appropriate for scale development in general (Hurley *et al.* 1997) and, in particular, more useful in early stages of scale development because it shows the extent to which items cross-load across different factors, and it represents only the common variance of each item (i.e., it excludes error variance). CFA, on the other hand, does not show cross-loadings and does not exclude error variance (Kelloway 1995).

The results of the factor analysis closely paralleled the hypothesized variables and the following scales and items emerged: OLT self-efficacy (8 items), motivation to use OLT (4 items), previous success with OLT (8 items), OLT anxiety (5 items), and instructor-led training (4 items). All of these scales used a five-point Likert-type scale with values ranging from 1 (strongly disagree) to 5 (strongly agree). Estimates of reliability using Cronbach's alpha were acceptable for all scales (see Table 1).

Data Analysis

The Pearson product moment correlation coefficient was the statistical measure used to determine the strength of the associations among the hypothesized variables (Table 1). An alpha level of .05 was used to determine the significance of relationships. The maximum likelihood method was used to estimate parameters in the path model. To assess the overall fit of the hypothesized model to the data, six fit indices were examined. These fit indices provided insight into the degree to which the overall path model predicted the observed covariance matrix accurately while minimizing error. Perhaps the most essential measure of overall fit is the chi-square statistic (Joreskog & Sorbom, 1984). Because the chi-square fit indicator index is sensitive to sample size and violations of the assumption of multivariate normality alternative fit indexes were used to complement the chi-square index (Tabachnick & Fidell, 1996). These indexes were the goodness of fit index (GFI) (Bentler, 1980), the adjusted goodness of fit index (AGFI) (Bentler, 1983), the comparative fit index (CFI) (Bentler, 1990), the nonnormed fit index (Byrne, 1998), and the root mean square error of approximation (RMSEA) (Byrne, 1998).

In general, obtaining a non-significant chi-square value suggests model adequacy and fitness to the data. Large chi-square values indicate a poor fit while small chi-square values indicate a good fit. A value of .90 or above for the GFI and AGFI is usually recommended for an acceptable level of fit (Hair *et al.*, 1998). Finally, RMSEA values below .05 indicate very good fit while an RMSEA values between .05 and .08 indicate a moderate fit. Any values above .08 indicate poor fit (Joreskog & Sorbom, 1993). The last two fit indices (CFI and NNFI) are considered incremental fit indices because they measure the proportionate improvement in fit of the proposed model relative to a baseline represented by the null model. These measures have the advantage of being less influenced by sample size when compared to other indices such as GFI. Generally values above .90 are considered sufficient (Byrne, 1998).

Results

Correlations

The correlation matrix shown in table 1 indicated that previous success was associated with OLT self-efficacy ($r = .54$, $p < .01$); anxiety was negatively associated with training ($r = -.52$, $p < .01$), previous success ($r = -.62$, $p < .01$), and OLT self-efficacy ($r = -.57$, $p < .01$); and OLT self-efficacy was positively associated with motivation to use OLT ($r = .36$, $p < .01$). Training and self-efficacy showed no meaningful correlation.

Table 1. Cronbach's Alpha, Means, Standard Deviations, and Correlation Coefficients for the Latent Variables

	All	Mean	SD	1	2	3	4	5
1. OLT self-efficacy	.95	7.28	1.82	--				
2. Previous Success with OLT	.91	3.63	.78	.54**	--			
3. OLT Anxiety	.93	2.19	.97	-.57**	-.62**	--		
4. Motivation to use OLT	.88	3.33	.85	.36**	.68**	-.52**	--	
5. Instructor-led training	.71	3.11	.84	-.01	.18**	-.02	.18**	--

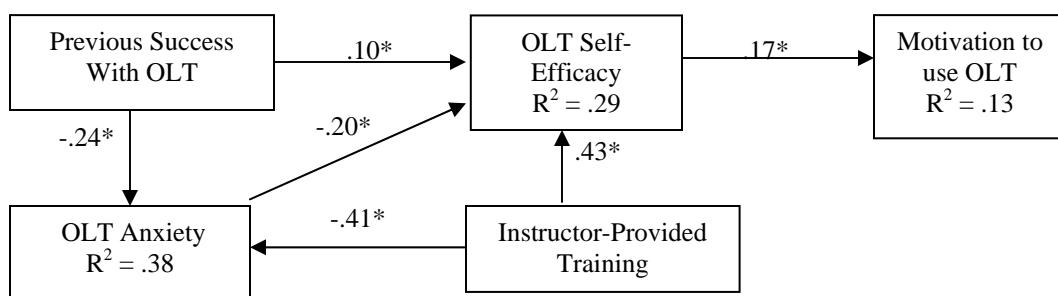
* $p < .05$ ** $p < .01$

Path Analysis

The initial model was moderately consistent with the data ($\chi^2(3) = 8.78$, $p = .03$). In this model, the chi-square value was significant. A significant chi-square value indicates that the proposed path model does not completely fit the observed covariances and correlations (Hair et al., 1998). However, the chi-square by itself should not be used as the sole indicator of model fit due to its sensitivity to sample size and violations of multivariate normality. Therefore consideration of other fit indices is considered essential. For example, the values for GFI (.99), AGFI (.94), CFI (.99), and NNFI (.97) indicated that the model fit the data sufficiently (Byrne, 1998). The RMSEA (.08) value indicated that there was a minimal amount of error associated with the tested path model (Byrne, 1998). The standard errors of all the estimates were small enough to say that the estimates are relatively precise. The t-values for the paths were above the absolute value of 1.96 indicating that paths were significant at the .05 level (Joreskog & Sorbom, 1989). Finally, the modification indices provided by LISREL did not suggest any significant changes to improve the model, implying that this model fits the data relatively well. The intercorrelations of the measures presented in Table 1 indicated none exceeded .80, a level commonly regarded as indicative of problems in these kinds of analyses (Hair et al., 1998).

Six separate paths were tested in this model. The results of the path analysis are summarized in Figure 2 which displays the standardized path coefficients (beta weights), as well as the explained variance (R^2) for the dependent variables. As can be seen, all six of the hypothesized paths were supported ($p < .05$).

Figure 2. A model of College Students' Motivation to use Online Learning Technology/Tested



$p < .05$ Note: The path from OLT anxiety to OLT self-efficacy had an R^2 value of .33.

The results of the path analysis are summarized in Figure 2 that displays the standardized path coefficients (beta weights), as well as the explained variance (R^2) for the dependent variables (OLT anxiety, OLT self-efficacy, and motivation to use OLT). The model shows that previous success was related to self-efficacy (beta = .10) and anxiety (beta = -.23). Training was related to anxiety (beta = -.41) and self-efficacy (beta = .43). Anxiety was related to self-efficacy (beta = -.20). Finally, self-efficacy was related to motivation (beta = .17) (see Figure 2). Overall, this model had an adequate predictive power as shown by the R^2 statistic. From this model, 13% of the variance in

motivation was explained by self-efficacy. Furthermore, 29% of the variance in self-efficacy was explained by previous success. Previous success explained 38% of the variance in anxiety, while 33% of the variance in self-efficacy was explained by anxiety.

Discussion

This study represents one of the few efforts to more precisely evaluate the antecedents and causal role of self-efficacy in college students' motivation to use OLT to complete course-related learning activities. According to social cognitive theory, antecedent variables such as students' previous success with OLT, instructor feedback, anxiety, and pre-course training are important because they provide cues used in making self-efficacy judgements that, in turn, can influence student motivation levels. The results are consistent with the conceptualization of self-efficacy as a mediator between previous success with OLT, OLT anxiety, and instructor provided training and motivation to use OLT. Specifically, previous success with OLT was associated with higher levels of self-efficacy and lower levels of OLT anxiety; instructor provided training contributed positively to efficacy beliefs and negatively to OLT anxiety; and OLT anxiety was negatively associated with efficacy beliefs. OLT self-efficacy, in turn, was positively associated with motivation to use OLT. These findings are congruent with a social learning perspective on the development and role of self-efficacy as contributor to the direction, intensity, and persistence of effort related to the use of OLT in the college classroom.

How this Research Contributes New Knowledge in HRD

A major criticism in the design and implementation of online learning systems is that such efforts are often done with little reference to theories of behavior or the principles of learning. For example, Salas and Cannon-Bowers (2001) have suggested that a science of e-learning has yet to evolve and that, until it does, many issues about how to best support and use these systems to enhance learning will remain unanswered. In short, we are only beginning to understand how these systems can best be designed and what factors influence the ability of learners to use these technologies as learning tools. This study represents a theory-based effort to evaluate several fundamental antecedents to the development of OLT self-efficacy beliefs among college students, to examine the role that those beliefs play in student motivation to use online learning systems. The results are consistent with the notion that one of the strongest sources of self-efficacy beliefs is an individual's direct experience with the same or a similar phenomenon. They suggest that, for both trainers in organizational classrooms as well as instructors in higher education settings, attention must be paid early on to setting conditions that enhance the development of positive efficacy beliefs. This includes both efforts to reduce OLT-related anxiety and the development of OLT-related expertise through positive prior experiences or training.

Unfortunately, it is tempting for instructors, when developing instruction with these technologies, to focus on the instructional 'bells and whistles' the technology provides and, as a consequence, to overlook the need to develop students' confidence and capacity to effectively use the technology for learning. This research suggests at least two ways in which this could represent a fatal flaw in the use of online learning technology. First, the value of facilitating student success with OLT is seen in the causal linkage from previous success with OLT to self-efficacy and subsequent motivation, and in the ability of previous success to minimize anxiety reactions to OLT. Secondly, pre-course training was examined in this study to more directly test the role of instructor support activities in fostering self-efficacy beliefs and subsequent motivation to use online learning systems. Pre-course training showed a significant relationship with online learning self-efficacy and a negative relationship with anxiety. Thus students who reported receiving some type of instructor-provided training in the application of OLT to learning activities at the beginning of their courses reported more positive efficacy beliefs about their capacity to use OLT to meet learning demands and significantly less anxiety about doing so than did students who did not receive such training. Although little research has addressed instructor support activities in online learning contexts, these findings suggest that even minimal activities aimed at preparing students to use OLT to meet course learning demands may pay substantial dividends in terms of reducing anxiety, a potential block to the development of positive efficacy beliefs. Thus, preparatory activities such as familiarizing students with the technology, discussing how it will be used to meet learning objectives, and providing opportunities to experience some early successes with the technology appear to be important strategies contributing to the formation of positive attitudes, building strong efficacy beliefs, and motivating students to use OLT.

The findings of this study extend previous research by demonstrating the importance of self-efficacy in enhancing learning-related motivation in environments characterized by the use of online learning technologies.

Findings suggest that instructors and trainers should consider the importance of students' anxiety, confidence and motivation when designing classes employing some form of online technology in the teaching and learning process. Moreover, instructors and trainers should consider how to prepare students to use instruction-related technologies prior to class, and how preparatory activities can best be designed to enhance efficacy beliefs and reduce anxiety.

References

- Agarwal, R. S., & Stair, R. M. (2000). The evolving relationship between general and specific computer self-efficacy—an empirical assessment. *Information Systems Research, 11*(4), 1-17.
- Bandura, A. (1977). Self-efficacy: Toward a unifying theory of behavior change. *Psychological Review, 84*, 51-67.
- Bandura, A. (1982). Self-efficacy mechanism in human agency. *American Psychologist, 37*(2), 122-147.
- Bandura, A. (1986). *Social foundations of thought and action*. Englewood Cliffs, NJ: Prentice-Hall.
- Bandura, A. (1991). Social cognitive theory of self-regulation. *Organizational Behavior and Human Decision Processes, 50*, 248-287.
- Bentler, P. M. (1980). Multivariate analysis with latent variables: Casual modeling. *Annual Review of Psychology, 31*, 419-456.
- Bentler, P. M. (1983). Some contributions to efficient statistics in structural models: specifications and estimation of moment structures. *Psychometrika, 48*, 493-517.
- Bentler, P. M. (1990). Comparative fit indexes in structural models. *Psychological Bulletin, 107*, 238-246.
- Byrne, B. M. (1998). *Structural equation modeling with LISREL, PRELIS, and SIMPLIS: Basic concepts, applications, and programming*. Mahwah. New Jersey: Lawrence Erlbaum Associates, Inc.
- Compeau, D. R., & Higgins, C. A. (1991). A social cognitive theory perspective on individual reactions to computing technology. In J. I. De Gross, I. Benbasat, G. DeSantis, & C. M. Beath (Eds.), *Proceedings of the Twelfth International Conference on Information Systems*, New York, New York.
- Compeau, D. R., & Higgins, C. A. (1995). Computer self-efficacy: Development of a measure and initial test. *MIS Quarterly, 19*, 189-211.
- Compeau, D. R., Higgins, C. A., & Huff, S. (1999). Social cognitive theory and individual reactions to computing technology: A longitudinal study. *MIS Quarterly, 23*(2), 145-158.
- DeLoughery, T. J. (1993, April 28). Two researchers say "technophobia" may afflict millions of students. *Chronicle of Higher Education*, A25-A26.
- Geiger, M. A., & Cooper, E. A. (1996). Using expectancy theory to assess student motivation. *Issues in Accounting Education, 11*(1), 1-5.
- Goggin, N. L., Finkenberg, M. E., & Morrow, J. R. (1997). Instructional technology in higher education teaching. *Quest, 49*(3), 280-290.
- Graham, S., & Weiner, B. (1996). Theories and principles of motivation. In D. C. Berliner & R. Calfee (Eds.), *Handbook of educational psychology* (pp. 63-84). New York: Macmillan.
- Chisholm, M. I., Carey, J., & Hernandez, A. (2002). Information technology skills for a pluralistic society: Is the playing field level? *Journal of Research on Technology in Education, 35*(1), 58-79.
- Hair, J. E., Anderson, R. E., Tatham, R. L., & Black, W. C. (1998). *Multivariate data analysis* (5th ed.). Upper Saddle River, NJ: Prentice-Hall.
- Henry, J. W., & Stone, R. W. (1994). A structural equation model of end-user satisfaction with a computer-based medical information system. *Information Resources Management Journal, 7*(3), 21-33.
- Holzinger, S. K. (1992). A model for hospitality computer anxiety. *Journal of Educational Technology Systems, 18*, 53-57.
- Joreskog, K. G., & Sorbom, D. (1989). *LISREL 8: User's Reference Guide*. Chicago: scientific Software, Inc.
- Joreskog, K. G., & Sorbom, D. (1993). *LISREL8: Structural equation modeling with the SIMPLIS command language*. Hillsdale, NJ: Lawrence Erlbaum Associates.
- Liaw, S. S. (2002). Understanding user perceptions of world-wide web environments. *Journal of Computer Assisted Learning, 18*, 137-148.
- Linnenbrink, E. A., & Pintrich, P. R. (2002). Motivation as an enabler for academic success. *School Psychology Review, 31*(3), 1-15.
- Pajares, F. (1997). Current directions in self-efficacy research. In M. Maehr & P. R. Pintrich (Eds.), *Advances in motivation and achievement, vol. 10*. Greenwich, CT: JAI Press.
- Pedhazur, E. J. (1982). *Multiple regression in behavioral research*. New York: Holt, Rinehart, and Winston.
- Pintrich, P. R., & Schunk, D. (2002). *Motivation in education: Theory, research, and applications* (2nd ed.). Upper Saddle, NJ: Prentice-Hall, Inc.

- Rohner, D. J., & Simonson, M. R. (1981). *Development of an index of computer anxiety*. Paper presented at the annual convention of the Association of Educational Communications and Technology, Philadelphia, PA.
- Schunk, D. H. (1989). Self-efficacy and cognitive skill learning. *Research on Motivation in Education*, 3, 13-43.
- Sein, M. K., Bostrom, R. P., & Olfman, L. (1987). Training end users to compute: cognitive, motivational, social issues. *INFOR*, 25, 236-255.
- Sproull, L., Zubrow, D., & Keisler, S. (1986). Cultural socialization to computing in college. *Computers in Human Behavior*, 2, 257-275.
- Tabachnick, B. G., & Fidell, L. S. (1996). *Using multivariate statistics* (3rd ed.). New York: Harper Collins College Publishers, Inc.
- Torkzadeh, G., & Dwyer, D. J. (1994). A path analytic study of determinants of information system usage. *Omega*, 22, 339-348.
- Ullman, J. B. (1996). Structural equation modeling. In B. G. Tabachnick & L. S. Fidell (Eds.), *Using multivariate statistics* (3rd ed.), pp. 709-811. New York: Harper Collins.
- Venkatesh, V., & Davis, F. D. (1996). A model of the antecedents of perceived ease of use: Development and test. *Decision Sciences*, 27(3), 451-481.
- Vroom, V. H. (1964). *Work and motivation*. New York: John Wiley & Sons.
- Wood, R., & Bandura, A. (1989b). Impacts of conception of ability on self-regulatory mechanisms and complex decision making. *Journal of Personality and Social Psychology*, 56, 407-415.

Using Appreciative Inquiry to Build and Enhance a Learning Culture

Rachelle Lehner

Wendy Ruona

University of Georgia

Appreciative Inquiry (AI) has emerged as a powerful organization development philosophy that builds on past successes to impel positive change. AI is a highly participative, holistic approach to change that values the wisdom of members of the organization and amplifies positive forces. This session will introduce AI as a tool to enhance participant experience and learning culture in adult educational settings. Participants will learn introductory concepts of AI by experiencing a “mini-inquiry” and group conversation.

Keywords: Appreciative Inquiry, Appreciative Pedagogy, Teaching Method

This innovative session will introduce some core concepts of Appreciative Inquiry (AI). It will include an overview of AI's development during the past 20 years, its under girding principles, and the presentation of a process for AI. We will then explore the use of AI in educational settings—by reviewing evidence of how it has begun to be used in educational settings as well as group conversation about its potential. Each of these topics is briefly discussed below.

Introduction to Appreciative Inquiry

David Cooperrider and his mentor Suresh Srivastva of Case Western Reserve University developed Appreciative Inquiry in the early 1980s. While conducting a traditional OD assessment of the Cleveland Clinic seeking what was wrong with the organization, Cooperrider was surprised at how much was “right” and the enthusiasm organization members had in telling these positive stories. This prompted Cooperrider to further consider the merits of investigating positive forces in organizations through his dissertation (Cooperider, 1986) and AI was born (Watkins & Mohr, 2001; Zemke, 1999).

AI is an OD (organizational development) methodology that “is a collaborative and highly participative, system-wide approach to seeking, identifying, and enhancing the ‘life-giving forces’ that are present when a system is performing optimally in human, economic, and organizational terms” (Watkins & Mohr, 2001, p. 14). In contrast with traditional OD methods which seek out problems in the organization and work to fix them, AI

involves systematic discovery of what gives ‘life’ to a living system when it is most alive, most effective, and most constructively comparable....(it) involves, in a central way, the art and practice of asking questions that strengthen a system’s capacity to apprehend, anticipate, and heighten positive potential. (Cooperider & Whitney, 2000)

AI fundamentally seeks out what has worked well in the past and guides participants through a process to build on these successes

AI is a fundamental shift in thinking so it must be viewed as more than a “tool, technique, or intervention” (Watkins & Mohr, 2001, p. 21). AI is a philosophy with a supporting methodology. It revolves around five key principles:

- (a) The constructionist principle: This principle recognizes and accepts the social constructionist stance toward reality and social knowledge. That is, that what we believe to be real in the world is created through our social discourse.
- (b) The simultaneity principle: This principle states that the “first question is fateful” in that the organization will turn its energy in the direction of that first question of an inquiry. As a result, the seeds of change are embedded in that question.
- (c) The poetic principle: This principle emphasizes the value of story telling as a way to gather more holistic information that includes not only facts, but also feelings that affect a person’s experiences.
- (d) The anticipatory principle: This principle emphasizes that behavior and decisions about actions are based not only on what we were born with or learned from in our environment, but also on what we anticipate. That is to say that what we think or imagine *will* happen in the future.

Copyright © 2004 Rachelle Lehner, & Wendy E.A. Ruona

- (e) The positive principle. Finally, this principle is a foundational belief that a positive approach to any issue is a valid basis for learning and just as contagious as a negative approach can be. This makes the positive stance an antidote to cynicism.

Phases of Appreciative Inquiry

The practice of AI typically occurs in five phases: define, discover, dream, design, and destiny (Watkins & Mohr, 2002). Each of these phases is described below.

Define. AI is a marked departure from traditional OD, which focuses on identifying and solving problems. Therefore, it is very important that the organization make an educated decision to proceed. It is vital that the organization understand the focus of the inquiry will be on the positive. Without this agreement, a consultant will be in a constant battle with the organization – which may expect problems to be identified and solved as opposed to the holistic approach to improving/changing the organization that AI offers. Once that agreement has been made, an AI practitioner will work very hard with the client to effectively define the focus of the inquiry given the needs and context of the organization.

Discovery. The discovery phase is about “appreciating and valuing the best of what is” (Hammond, 1998, p. 24). This phase has two parts. First, interviews provide opportunity to gather stories of the organization’s life giving forces. Life giving forces are those things that spur it in a positive direction; without these forces, the organization would cease to succeed. The construction of the interview protocol is critical. How the questions are framed guide the nature of the stories received. Watkins and Mohr (2001) provide a generic interview protocol that models the “spirit of AI... [and is] easily modified to fit whatever topic the organization has chosen to focus on” (p. 83). Using the interview protocol, members of the organization can interview each other in pairs or select representatives can conduct the interviews. Data from the interviews should be collected in a manner that can be shared with others in the organization. One effective way of doing this is to have each interview pair/group combine with other pairs/groups to share what they have learned from each other.

The second part of discovery involves participants of the intervention actively engaging in identifying common themes from the interviews/stories. These themes should reflect the life-giving forces heard in the shared stories, and are the basis for the next phase of the AI process.

Dream. This phase involves the creation of a shared vision of the future. It “encourages the participants to think about ‘what could be’ by challenging them to think outside the traditional boundaries of what has been done in the past” (Johnson and Leavitt, 2001, p. 131). During this stage participants are asked to write provocative propositions about “what might be” (Hammond, 1998, p. 24). Provocative propositions are metaphorical images of the new organization based on the themes identified. This is an opportunity for participants to be extremely creative in making their point. Provocative propositions should speak to the soul and ignite energy—they can be represented in words, art, drama, etc.

Design. Once the organization has dreamt together about what could be, it is time for participants to operationalize those dreams and begin to “speculate on how the organization will look and agree upon driving concepts and principles” (Zemke, 1999, p. 31). This phase examines the provocative propositions and identifies organizational supports needed to work towards that ideal. Participants “speculate on how their organization will look and act once they have articulated the organizational visions [provocative propositions]” (Hagevik, 2000, p. 39). Hammond (1998) calls this “dialoguing what should be” (p. 24).

Destiny. Commonly understood as delivery or implementation, the Destiny phase is about sustainability and “innovating what will be” (Hammond, 1998, p. 24). During this phase action plans are implemented to bring the design to life. This is the enactment of the Dream, and involves continuous monitoring, feedback processes, and adapting as the process unfolds.

Appreciative Inquiry in Practice

AI has found practical application in many areas. A sampling of the literature reveals its use in both corporate and personal areas. Some examples are highlighted here:

- Dr. Sandra Hagevik, a career consultant, describes how AI can be used to guide someone’s career path. She asks individuals to focus on what works for them in their career/life rather than the problems with their current career. Dr. Hagevik describes four phases of AI (Discovery, Dreaming, Design, and Destiny) and relates them to the individual (Hagevik, 2000).
- In *Meet the Freight Fairy*, Gordon (2003) describes how Roadway Express uses AI as a tool to involve employees in finding ways for the organization to become more efficient.

- Dr. Courtney Pullen describes his awakening to AI in both his career as a psychotherapist and as a financial planner. He realized that by changing the focus of his questions he could help his clients reach their goals more effectively (Pullen, 2001).
- AI has been used in program evaluation. Faculty and students of the University of South Dakota's Technology for Education and Training Program embarked on an appreciative evaluation of the master's and specialist's degree programs. They took an appreciative approach, conducted web-based interviews and follow-up calls to collect data, identified themes, and made numerous changes to the two programs based on the feedback (Norum, Wells, Hoadley, & Geary, 2002).

Appreciative Inquiry in the Classroom

HRD and adult education professionals will likely find great potential in AI as a tool to enhance learning cultures in educational settings. By viewing the classroom (or other non-traditional learning settings) as its own bound system, you can compare it to an organization with inputs and outputs. Many facets of the classroom are flexible and can be designed to meet the needs/desires of students. Among the aspects that can be modified are the seating, the method of content delivery, the types of interaction, etc. Engaging learners in an AI process to design their ideal learning experience will likely lead to more involved students and result in a higher degree of learning transfer.

Guiding students through an AI process, as described in previous sections, will result in themes and provocative propositions that can then be used to structure the rest of the learning experience (i.e. the course, etc...). The instructor using the input from the AI process can do this, or it may involve representative learners working with the instructor. The goal is to implement the destiny phase by creating a learning experience that extends the best experiences learners have had in the past to create and maintain ways to ensure the best possible learning community and optimal learning in the current setting.

A review of the literature revealed very limited evidence related to using AI in educational settings. Two sources were identified that directly addressed using AI in the classroom. Each took a different approach to how they incorporated it.

In the first article, *Appreciative Pedagogy: Constructing Positive Models for Learning*, the authors use the term Appreciative Pedagogy to describe their adaptation of AI in the classroom. Yballe & O'Connor (2000) state, "appreciative pedagogy enacts in the learning endeavor AI's basic beliefs, values, and social inquiry process" (p. 476). Believing that students come to the classroom with a wide range of experiences on which they can reflect, "appreciative pedagogy trusts in, celebrates, and deliberately seeks out students' experiences of success and moments of high energy and great pride" (p. 476). As in AI, Appreciative Pedagogy "seeks to discover and celebrate" (Yballe & O'Connor, 2000, p. 477) past successes, using them to generate positive visions for the current class. The authors agreed with Cooperrider (2000) that positive visions lead to positive, energizing actions.

The authors do not equate Appreciative Pedagogy with AI. Rather, it is a necessary adaptation due to the nature of the classroom. Different from a large organization, the classroom is "temporary and is relatively closed to its environment" (Yballe & O'Connor, 2000, p. 477). The focus is short-term and pertains more to an individual or small group level than when dealing with a large organization; that is, the impact is not as wide spread. Appreciative Pedagogy can occur in a shorter time frame and be adapted to meet the time frame available. Yballe and O'Connor provide examples of applying Appreciative Pedagogy to envision best teams, presentations, managers, and organizations.

Yballe & O'Connor (2000) report that the outcomes of using Appreciative Pedagogy were similar to those promised from AI. They found that students were more energized and felt safe to speak up in the created environment. Content seemed more meaningful because it was presented in a way that was personally meaningful. Additionally, students had a more hopeful view of the future and demonstrated more trust and confidence in their abilities and experiences, as well as those of others in the class. Finally, students began to see AI (or Appreciative Pedagogy) as a creative and meaningful way to analyze situations (Yballe & O'Connor 2000).

The second article that reports a direct application of AI in the classroom relates to a 5-day executive training program. In *Using Appreciative Learning in Executive Education*, Preziosi and Gooden (2002) define Appreciative Learning as "a positive instructional method that is based upon AI" (p. 10). Appreciative Learning, like Appreciative Inquiry and Appreciative Pedagogy, asks the learner to identify and celebrate the positive experiences that have helped them to succeed. Their 5-day program was facilitator-driven and questions posed to participants were appreciative in nature, encouraging a focus on the successful moments of their career. As in the previously cited case, the researchers reported positive results. There was a heightened energy level and a reduced anxiety level. There was also an increased willingness to speak up and share with the group, and the statements that were made

had “high emotional impact” (Preziosi & Gooden, 2002, p. 14). The authors contend that part of the success of this program lay in the fact that the participants came with experience from which they can tap to build something new. Those experiences create a powerful momentum towards the future!

Future Implications

AI is an engaging approach, involving the participants in a collaborative manner in creating positive change. This is congruent with the learner-centered principles of adult education, which call for building on participants’ experience, starting where the participant is, and engaging the participant in the learning. Carrying these principles into HRD, will result in more committed, engaged employees.

The scholarly research on AI is still emerging, and there is even less on AI in the educational settings such as those in which HRD professionals conduct their work. However, the results and outcomes thus far are quite promising and there is a great need for more application and study of AI. Several approaches seem quite promising from the research perspective. For instance, a case study could be conducted with a traditional course that incorporates AI by taking learners through the process of designing a vibrant learning community and then modifying the course design accordingly. Another avenue for future research could be a comparative study of two learning events – one that maintains a traditional format and one that actively incorporates an AI approach. In both cases, it would be interesting to solicit general reactions to the learning event, estimates of whether the amount of work (for the learners and instructors) differed, opinions about the development of community within the learning setting, and a rating of the likelihood of learners and instructors to utilize an AI approach in the future based on this experience. Of course, it would also be valuable to know whether the use of AI actually enhances what people learned and what they do with that learning.

References

- Cooperider, D. L., (1986). *Appreciative inquiry: Toward a methodology for understanding and enhancing organizational innovation*. Unpublished doctoral dissertation, Case Western Reserve University, Cleveland.
- Cooperrider, D. L. (2000). Positive image, positive action: The affirmative basis of organizing. In D. L. Cooperrider, P. F. Sorenson, D. Whitney, & T. F. Yaeger (Eds.), *Appreciative inquiry: Rethinking human organization toward a positive theory of change* (pp. 28-53).Champaign, IL: Stipes.
- Cooperrider, D. L., & Whitney, D. (2000). A positive revolution of change: Appreciative inquiry. In D. L. Cooperrider, P. F. Sorenson, D. Whitney, & T. F. Yaeger (Eds.), *Appreciative inquiry: Rethinking human organization toward a positive theory of change* (pp. 3-27).Champaign, IL: Stipes.
- Hammond, S. A. (1996). *The thin book of appreciative inquiry*. Plano, TX: Thin Book Publishing Company.
- Hagevik, S. (2000). Appreciative inquiry and your career. *Environmental Health*, 63(1), 39-44.
- Gordon, J. (2003). Meet the freight fairy. *Forbes*, 171(2), 64-65.
- Johnson, G. & Leavitt. W. (2001). Building on success: Transforming organizations through appreciative inquiry. *Public Personnel Management*, 30(1), 129-136.
- Norum, K. E., Wells. M., Hoadley, M. R., & Geary, C. A. (2002). *Appreciative program evaluation: A qualitative action research project*. Annual Meeting of the American Educational Research Association: New Orleans, LA. (ERIC Document Reproduction Service No. ED467731)
- Preziosi, R. C. & Gooden, D. J. (2002). Using appreciative learning in executive education. *New Horizons in Adult Education*, 16(1), 10-16.
- Pullen, C. (2001). Appreciative inquiry in financial planning and life. *Journal of Financial*.
- Watkins, J., & Mohr, B.(2001). *Appreciative inquiry: Change at the speed of imagination*. CA: Jossey Bass.
- Yballe, L. & O'Connor, D. (2000). Appreciative pedagogy: Constructing positive models for learning. *Journal of Management Education*, 24(4), 474-483.
- Zemke, R. (1999). Don’t fix that company. *Training*, 36(6), 26-33.

Emotion in Organizational Learning -Implications for HRD

Sharon Turnbull

The Leadership Trust Foundation and Lancaster University Management School

In this article I draw attention to the under-researched domain of emotion in the study of organizational learning and its implications for HRD..The paper identifies four aspects of organization learning in which an emotional dimension is evident. These are: Emotion as a learned response, Emotion as codified meaning, Emotion as affective component of learning, Emotion as display rules. The paper concludes by proposing that further research into each of these four domains will potentially enrich both HRD scholarship and practice through an enhanced understanding of organizational learning and emotion.

Keywords: HRD, Emotion, Organizational Learning

A growing interest in organizational learning amongst HRD scholars has led to a desire for a deeper understanding of the theoretical frameworks that underpin this field, with a view to considering the practical implications for organizations. Despite this burgeoning interest and growing number of empirically-based studies of both emotion and organization learning from a socio-cultural perspective, few scholars have asked how an understanding of emotion might inform interpretive studies of what is deemed *learning* inside so-called *communities of practice* or organizational *cultures*, and what the implications of this might be for our understanding of HRD. It is this gap that the paper sets out to address.

Theoretical Framework

Cultural and Situated Approaches to Organizational Learning

The contribution of both Lave and Wenger's (1991) book, *Situated learning – legitimate peripheral participation*" and Cook and Yanow's (1993) paper, "Culture and Organizational Learning" have been widely acknowledged as being seminal in the field of Organization Learning, opening up new debates about the conceptualisation and purpose of its study (Nicolini and Meznar, 1995; Gherardi et. al, 1998; Vince, 1999; Fox, 2000,) as well as being implicated in the "scattering" of "its community of scholars among several streams of thought and internal controversies" (Gherardi, 2000, p. 1059).

These perspectives, often labelled, respectively, the Community of Practice perspective (Brown and Duguid, 1991; Fox, 2000) and the Cultural – Interpretive approach (Yanow, 2000) have added to "the languages of Babel" (Gherardi, 1999) which coexist, sometimes uncomfortably, within the embrace of Organizational Learning. At the time of their publication, they offered a radical challenge to the dominant cognitive conception of learning in organizations, which, rooted in cognitive psychology, held that learning should always be perceived as an intentional act (Huber, 1991) performed in the interest of organizational improvement. Researchers began to ask how meaning becomes shared within social groups, and how the knowing required to operate successfully within a social grouping is transmitted and becomes understood by newcomers to that group. Other lines of inquiry from this perspective have followed, asking, for example, how the situated metaphors adopted by work groups can both facilitate and reveal learning (Gherardi, 2000); how communities of practice enact and learn practices of safety (Gherardi and Nicolini, 2000); and how national cultural differences affect the nature and processes of organizational learning (Taylor and Easterby Smith, 1999).

Whilst the Community of Practice perspective initially developed independently from the "cultural" perspective, there is clearly a conceptual overlap in studying the work group as a culture or as a community of practice (Yanow, 1999).

Both are generative metaphors for the study of the social dimensions of learning, and are ontologically and methodologically compatible (Yanow, 2000), although "culture" comes from the discipline of anthropology, whereas "community" is the language of sociology, community organization and urban planning (Yanow, 1999).

Copyright © 2004 Sharon Turnbull

Socio-Cultural Approaches to the Theory of Emotion

In parallel with this marked shift in the organizational learning field away from the problem solving approach towards socio-cultural understanding, or as Gherardi (1999) has put it: "learning in the face of mystery", a shift has simultaneously been taking place amongst scholars of emotion (Domagalski, 1999).

Like learning, the study of emotions also has its roots in psychology, which conceptualised emotions as being located inside the individual body, spilling over involuntarily in response to certain events. Emotions were considered to be the same universally, and an emphasis on positivist research in this field remained relatively unchallenged until the publication of Harré's "The Social Construction of Emotions" (1986). The fundamental challenge made by Harré and his colleagues to traditional emotion theory was that emotions are socially constructed, contextually situated, and therefore that anthropological studies of different cultures reveal quite distinct variations in the language, display, description and experience of emotion. Harré's (1986; 1996) edited collections make convincing arguments for emotions being socially constructed within a cultural context and *learned* within cultures. The implications of this for the cultural interpretive approach to organization learning and therefore for HRD are clearly far-reaching.

Heelas's (1986) anthropological research into emotion found a clear connection between "emotion talk" and the moral domain. He found evidence of considerable variation in attitudes towards the *management* of emotions across cultures, suggesting that this occurs through a complex interaction between the moral order, the powers which are ascribed to emotions, and the loci, generation and dynamics of emotion. Drawing on Hochschild (1983) to reinforce the suggestion that emotions are ideological, Heelas suggests that the study of "emotion talk" can function as "a kind of spotlight".

It is this anthropological approach to the social construction of emotion, as illustrated by Harré and Heelas's work, that has informed and framed the analysis and discussion contained in this paper.

It is only very recently that a social constructionist understanding of emotion has been incorporated into the organization studies agenda, initially tending to focus on the "dark side" (Fineman, 2000) of emotions, the subordination of workers in organizations through covert forms of control, and pressures to conform and display emotions appropriate for the organization's performance (e.g. Hochschild, 1983; Ashforth and Humphrey, 1993; Turnbull, 1999; Martin et.al, 2000). Arguably, it was not until the publication of Fineman's (1993) "Emotion in Organizations" (in the same year as Cook and Yanow published their article on culture and organizational learning) that interest in the social construction of emotion as an interpretive approach to studying meaning and relations inside organizations started to become legitimised as part of the research agenda.

The crux of many of the key debates in the field of emotion study, like that of organizational learning has focussed on the constitution of the *self*. Post-structuralists have rejected the modernist view of the self as "the centre of consciousness" implied by psychodynamic theory (Gherardi, 1995), inquiring instead into the way power relations and the subject are constituted through emotion discourse. Swan's (1994) study of the gendered nature of emotion, as demonstrated through the accounts of women managers, is a useful example of this perspective.

The difficulty of defining emotion, and the ontological and epistemological debates around the topic have contributed to it being seen as complex, hidden and difficult to uncover, one reason, suggests Fineman (1993; 2000), why scholars have avoided researching this area for so long. He has argued, however, that studying organization without attention to the affective domain is to ignore a fundamental aspect of the lived experience in organizations, an argument that I will now apply to the study of organizational learning.

Emotion in Cultural Approaches to Organizational Learning

Not only are emotions an integral part of learning to belong, suggest Putman and Mumby (1993), they are also a crucial component of building a "community". Much research into group life supports the view that emotion is embedded into the norms, beliefs, and values of social groups. Swogger's (1993) study, for example, found that group members were constantly talking about their "feelings of satisfaction and fulfilment and the personal meaning the group had for them" (1993, p.100). Setting this argument in its broader context, Hosking and Fineman (1990) argue that there are four interdependent processes of organizing: cognitive, social, political and emotional. Implicit in this statement is the notion that newcomers or apprentices to a Community of Practice will need to understand all aspects of these processes in order to become fully functional, and to lose their peripheral status.

In his situated learning study of newcomers in "coercive" settings, Fuhrer (1993) identifies *social embarrassment* and *social anxiety* as crucial catalysts in the learning process. He concludes by arguing for an approach to interpreting situated learning that includes the emotional dimension. Fineman (1997) has also raised the issue of emotion in *learning* in an article in which he introduces the concept of "cogmotion" to suggest that cognition and emotion in organizational learning are often falsely separated. The emotional dimension of the relationship between *power* and learning is made explicit by Coopey (1998), who argues that workplace learning may be suppressed by anxiety and other emotions associated with revelation and exposure. More recently Vince

(1999; 2000) has also made a similar connection, arguing that an attention to the relationship between power and emotion offers new opportunities for understanding the systemic and strategic aspects of organizational learning.

Despite these persuasive arguments for an emotional dimension to be included in the study of organization learning, however, the subject of emotion is entirely missing from the early book on Communities of Practice, with Lave (1991). Lave and Wenger (1991) portray those at the periphery as emotionless seekers after the knowledge of the old-timers. Rivalries and envy are erased from these commentaries on Communities of Practice, and the rhetoric becomes one of truth-seeking (Obholzer, 1994).

Wenger does acknowledge in his later book (1998) that participation in social communities "is a complex process that combines doing, talking, feeling, and belonging. It involves our whole person, including our bodies, minds, emotions, and social relations"(1998, p. 56). This brief allusion to the affective component of participation is touched upon once more later in the book. However, the importance of emotion is not developed further by Wenger, and as has been shown, has received little attention from subsequent organizational learning scholars. Marsick and Watkins (1997) note this omission in their own research into informal and incidental learning. It is this omission that this paper will now seek to address.

Methodology- A Social, Cultural and Emotional Reading of Wenger's (1998) Alinsu vignettes

In the following discussion, I will illustrate the way that a spotlight on emotion can illuminate understanding of some of the main premises of the cultural-interpretive approach to organizational learning, by drawing on data from Wenger's (1998) ethnographic account of claims processors in Alinsu. Wenger uses two *vignettes* (pp. 18-38) to illustrate how situated learning takes place within social groups. Throughout these vignettes his accounts are laden with emotional language, but in his analysis this is entirely disregarded.

My analysis focuses on the story of Ariel who has recently joined a team of claims processors in an insurance company. Their work, to calculate and process customer claims, follows formal procedures as laid down by the company, but much of the knowledge required to become efficient is tacitly held by the community of practice. As a newcomer, Ariel is keen to learn from her colleagues how to calculate these claims accurately and efficiently, how to fit in with the group she has joined, and to deal appropriately with the customer telephone calls which constantly interrupt her computerised routines. Each claims processor is monitored by a department which randomly checks her work, rejecting mistakes and rewarding accuracy.

The methodology for this research involved a textual analysis of Wenger's vignettes. Highlighting throughout the text each observable manifestation of emotion, by type, function, context, apparent impact on learning and to whom it was attributed, I sought responses to the following questions:

- What types of emotion were present in the vignettes?
- What function did these emotions appear to be playing?
- What did the emotions appear to mean to those feeling or displaying them?
- What types of events were generating emotional responses, behaviours or displays?
- How did these appear to be impacting on both individual and collective learning?

Conscious that I was interpreting Wenger's account second hand, and therefore that the data had already been filtered by Wenger's ways of seeing, my purpose was not to throw light on the Alinsu case specifically, but to discover how the study of emotion in a community of practice might illuminate our understanding of organizational learning. To make these connections more clearly, I then returned to some of the key concepts contained in the cultural-interpretive approach to Organizational Learning, to ask how the emotional experiences and displays demonstrated in these vignettes might be re-interpreted through this lens, and thus how they may add insight to the domain of organizational learning and HRD.

Findings

The findings of this analysis revealed four aspects of emotion in organizational learning. The data suggested that Ariel and her colleagues in the community of practice were continuously learning to:

1. *deal with the impact* of their emotional responses on their learning.
2. *feel and experience* emotions.
3. *asccribe meaning* to the experience of these emotions.
4. *display* emotions for the purpose of becoming accepted members of the community.

I have summarised these aspects of emotion in organization learning as:

1. Emotion as affective component of the learning process.
2. Emotion as a socially learned response.
3. Emotion as codified meaning.
4. Emotion as display rules.

Each of these will be illustrated below.

Emotion as Affective Component of the Learning Process

In the vignette, there are many examples of Ariel and her colleagues having to deal with the impact of their emotional responses on their learning. The first expectation that Ariel places upon herself is that she should quickly become competent. Gherardi (1999) has pointed to the concept of learning-in-practice and the shared focus on newcomers becoming "competent" in the practice. This competence includes responding with the appropriate behaviours and emotions to events, as well as mastering the technologies associated with the practice.

In the vignette, Ariel's initial lack of competence in the practice of the community leads her to experience *shame* and *humiliation*. Finding that she has made mistakes the previous day, which have now appeared in her in-tray as "voids", Ariel exclaims to herself:

" "Shit! Two more voids with only two days left this week" ...She hates voids; they are frustrating and humiliating" (p. 20)

Emotions here play a regulatory role in Ariel's learning, as she anticipates the possible reactions of others on hearing of her mistakes. Her emotions are mixed. She appears to be both angry with herself, irritated by the system, and surprised at having made the mistakes. Fear of failure is a recurring emotion for Ariel. Indeed, this emotion might arguably be seen by her managers as constructive, to the extent that it encourages her to check her work, but counter-productive where it encourages her to apply procedures even to the detriment of her organization as illustrated below:

"She uses a calculation sheet to figure out what the deduction is...choosing the larger amount of the two. It has occurred to her that it would be more advantageous for Alinsu to take the smaller one, but the procedure says to take the larger one." (p. 23)

In the vignette, it is evident that the claims processors are learning to experience a range of emotions within this community of practice, that each emotion is deemed appropriate for a given context, and that this contributes to the learning process. For example, Ariel's *anxiety* not to make mistakes becomes *embarrassment and frustration* when she discovers that some of her processed claims have been returned by the inspectors as "void". However, this embarrassment turns to *relief*, when she shares her feelings firstly with Maureen, the back-up trainer and an old-timer from whom she "gets some comforting grumbling about people in the quality review unit" (p. 21) and then with her supervisor, another old-timer who "shakes her head in solidarity"(p. 21).

As Ariel starts to feel the blame attached to her mistakes dissipating as a result of clear signals from her colleagues, her emotions of *humiliation* become those of *comfort* and *relief* as she experiences the solidarity of her colleagues, thus enabling her once again to concentrate on the work she has ahead of her. Shared learning appears to have taken place, and henceforth Ariel might more accurately anticipate when it is appropriate to feel embarrassment, or when an alternative emotion is more fitting, enabling her to empathize with others experiencing similar feelings of rejection in the future.

Emotion as a Socially Learned Response

Gherardi (1998) has noted that despite the desire to socialise newcomers into a community, experienced members are often reluctant to give away the power associated with their experience and knowledge. The scenario described below provides an example of how collective emotional responses are learned in the Alinsu case, the essential connection between emotion and power relations in organizational learning (Vince, 2001) and the influence of 'emotion talk' (Heelas, 1986) on the shared experience of emotion in the group.

The motivation and loyalty of the claims processors is being put to the test one day when the supervisor warns them that henceforth, long telephone calls will be monitored, since the management suspect that some of them may be giving the "toll-free 800 number to their acquaintances". On receiving this warning, the group start to respond, and a shared feeling of 'hurt' as a result of what is considered by her staff as a breach of trust emerges in the room:

"Harriet senses the tension that her remark has brought to the meeting...there is some grumbling and a few defensive remarks". (p. 25)

By lunch-time this hurt has turned into shared *indignation*:

"And now they are going to monitor long calls! Everyone knows that there are business calls that are long. Beliza reminds everyone of that 45-minute phone call that drove her crazy. Surely "they" will recognise that this is unfair." (p. 29)

As a result of a single statement of managerial intent we now see a major change in the shared emotions felt in the room. The focus is now on the unfairness of the management's attitude. Emotions run high as the group shares its *indignation* and starts to question the nature of their relationship with their managers.

As a newcomer, Ariel and her colleagues are quickly learning that when a lack of trust is displayed, emotions of hurt are deemed appropriate. However, as the group shares this emotion, it strengthens and turns quickly to indignation. This indignation has the potential to be replaced in the longer term by cynicism or resignation.

Emotion as Codified Meaning

In the first example, Ariel's feelings of embarrassment dissipate when she sees that her colleagues are not displaying shock, disappointment or anger but on the contrary are supportive and warm. Her emotions of relief and comfort as she interprets the displays of solidarity and empathy shown by others, prompt her to ascribe new meaning to the situation, and in this case to learn about the membership and collective identity that binds the group as they engage in collective learning (Gherardi,1999). This is an example of Heelas's (1986) "emotion talk" suggesting how people should or should not feel in particular circumstances.

In the second example, the anger mobilised through "emotion talk" by the group members appears to be important in constructing an implicit moral understanding within the community about what is considered right and wrong, and what behaviours are considered acceptable in response. The claims processors' emotional responses of hurt and indignation imply a shared moral code associated with expectations of trust relationships in their workplace. The processors' emotions as a result of the breach of trust subsequently become noticeably stronger, shifting from hurt to indignation. As they share these emotions, they become overlaid with moral justification and meaning, again illustrating Heelas's claim that emotion talk and the moral domain are closely interconnected.

Yanow (1993) suggests that part of organizational learning is about learning the "logic" of the practice. In the vignette, Wenger describes the *embarrassment* experienced by the claims processors in dealing with customers whose claims have been denied, particularly as the claims processors are not privy to the logic behind the decision-making process on which claims calculations were based. Not only are customers often upset at receiving benefits in a seemingly random fashion, but the processors feel ill-equipped to explain how benefits are calculated:

"It's embarrassing when you call and you say, 'Well, I don't know how, but that's how much money you got. Sorry.' I mean it's *embarrassing* not to have the information". (p. 37)

In this extract, the *embarrassment* of the claims processors is laden with meaning. It is about the inequities of the system, their lack of power as a result of lack of knowledge, and the fact that they must handle the customers' claims with insufficient knowledge to give them a satisfactory response. At the same time, the processors must not only learn how to diffuse the emotions of their customers, as well as how to deal with their own embarrassment.

Emotion as Display Rules

Both Gherardi (1999) and Yanow (1993) have echoed Heelas (1986) in suggesting that learning the rules of a professional language game are important within cultures or communities of practice. This includes knowing when emotion display must be controlled, as when Ariel is dealing with a difficult customer. On the morning described in the vignette, Ariel has one such encounter as a direct result of following the correct procedures of her job that require her to withhold some information from a customer in order to protect the privacy of this customer's ex-husband:

"After a long struggle, Ariel put the person on hold, just to take a breath. She was so angry, her body was shaking". (P. 21)

Here Wenger describes some of the physiological symptoms often metaphorically associated with anger. Ariel knows that she is expected to control this anger in her work, hence the need for distancing herself from the customer and giving herself time to achieve composure. It is likely that in observing the behaviours of old-timers she sees that their ability to control emotions of anger are much more developed than hers, and in taking breath she is seeking to

develop this control herself. In order to achieve competency in this practice Ariel must learn the accepted emotion display and language. A public display of anger with the supervisor when she was seen to breach the trust of the clerks was shared and accepted as appropriate behaviour within the community. Ariel's privately experienced anger with the difficult customer was also seen as acceptable, but the norms of the group disallowed these feelings from being showed publicly. These tacit yet crucial feeling rules can be seen here to be serving a number of moral and social functions for the community of practice.

In the vignette, Ariel illustrates her wish to blend into her new work group by dressing appropriately: "She makes up, but discreetly, and dresses cleanly but not aggressively" (p.18) Even in the process of making this decision it is clear that the anticipation of emotions (Rosenberg, 1990) have played a part in her choice, as she imagines the feelings of humiliation or embarrassment that would follow being inappropriately dressed.

Another common theme in the work of the cultural interpretive organizational learning theorists is the idea of gaining membership. Gherardi (1998) stresses that every practice is built upon social processes, and illustrates the tacit nature of the 'situated' curriculum. She describes the process of gaining membership as potentially including rivalry, conflict, jealousy and competition - all situations with the potential to generate emotions. As Ariel's performance improves she begins to experience a sense of pleasure and achievement as she starts to feel part of the group. When she achieves her target, she feels the need to share this sense of pride with her colleagues: "I already made production," Ariel says triumphantly". The sharing of *pride* as a learned positive display of emotion in response to this situation indicates that Ariel feels that she is starting to gain membership.

The presence of both emotion *display* and *talk* in the community of practice of the claims processors has been demonstrated as being important in the construction of these shared meanings and membership. The analysis of the Wenger vignettes has served to illustrate the value that studies of the micro-social using an anthropological lens to explore emotion can bring to the study of organizational learning. However, it is clear that the significance of these emotions for situated learning and for HRD is still under-researched and needs to be explored further through new empirical research.

Conclusions and Implications for HRD

In the previous section I drew out a range of conflicting emotions shared by Ariel and her colleagues, to illustrate how these emotions appear to be contributing to the learning and creation of meaning within the community. Some of these emotions (fear of failure, embarrassment at receiving "voids" etc., pride, comfort) are acting as controls to compel the members to work towards the company's productivity goals. Others, such as anger, frustration, hurt, and boredom may be counterproductive in terms of productivity, yet are seen to be contributing equally strongly to learning about feeling rules, behavioural norms, acceptable emotional displays, and issues of power control, identity and meaning. Both sets of emotions are equally important for newcomers learning how to become competent in this constantly evolving set of networks which constitute the community of practice. These contribute to learning the logic of the practice, gaining membership, generating collective identity, developing a relationship between the human and non human actors, and generating a common language through conversation.

Given that the Alinsu case takes place in a snapshot in time, however, we are left with a number of important questions for scholars and practitioners of HRD arising from studying the emotions presented in the case. For example, how might the hurt and indignation experienced by Ariel and her colleagues when faced with a challenge to their integrity evolve over time and affect the power relations in this "community"? How might the embarrassment experienced by newcomer Ariel as a result of her lack of competence in the task contribute to the social dynamics of the group, for example by creating a wave of sympathetic feelings or solidarity amongst her colleagues? How might we understand the emotion generated by the power of the computer system in the work lives of the processors, and their preference not to look beyond their experience of the system to discover the managers, programmers, accountants, technologies etc. all of which have contributed to developing the behaviours of the system which drives their work? How might future changes to the structure, technology, group membership, or task affect the group emotionally, and consequently the learning in the community? How might unexpected events generate emotional responses that change what is considered by the group to constitute competence and full membership?

I have contended in this paper that emotion talk and emotion display are both essential components of organizational learning, and that the ways that organizational members construct and communicate emotion will influence not only their understanding of the activities in which they are engaged, but also the practices they adopt, the goals they set, and the identities that give meaning to their work. Emotion research in organizational learning to inform the scholarship and practice of HRD will therefore, following Harré's (1986) anthropological studies into the social construction of emotion, need to refocus on the language games and narrative forms available in a culture or

community of practice; the moral order which controls the meaning and use of emotional terminologies; the social functions that emotion displays and talk perform in the dramaturgical episodes of that culture or COP; the rules which determine how emotion and action take place, and the role played by emotion in organizational power relations and identity shaping.

The interpretive-cultural approach to studying organizational learning has greatly altered and illuminated the conceptualisation of organizational learning. At the same time, the study of emotion in organizations has been greatly enriched by the social constructionist ideas of anthropologists following Harré. A fuller understanding of how emotion talk affects the moral order and power relations inside organizations and consequently the social elements of learning is now needed by the HRD community in order to inform the design of effective organizational interventions.

References

- Armon-Jones, C. (1986). The thesis of constructionism. In R. Harré (Ed.), *The social construction of emotions*, Oxford, Basil Blackwell
- Ashforth., & Humphrey. (1993). Emotional labour in service roles: The influence of identity. *Academy of Management Review*, 18(1), 88-115.
- Brown, J.S., & Duguid, P. (1991). Organizational learning and communities- of- practice: Toward a unified view of working, learning and innovation, *Organization Science*, 2, 40-57.
- Chaiklin, S., & Lave, J. (1996). *Understanding practice. Perspectives on activity and context*, Cambridge, Cambridge University Press.
- Cohen. M., & Sproull, L. (1996). *Organizational learning*, London, Sage.
- Cook, S., & Yanow, D. (1993). Culture and organizational learning. In M. Cohen & L. Sproull (Eds), *Organizational learning*. London, Sage.
- Coopey, J. (1998). Learning to trust and trusting to learn. A role for radical theatre. *Management Learning*, 29, 3.
- Domagalski, T. (1999). Emotion in organizations: main currents. *Human relations*, 52(6), 833-852.
- Coulter, J. (1986). Affect and social context: Emotion definition as a social task. In R. Harré (Ed) *The social construction of emotions*. Oxford, Basil Blackwell.
- Easterby-Smith, M., & Lyles, M. (in press). *Organizational learning and knowledge management: The Research Handbook*. Oxford: Blackwell.
- Fineman, S. (1993). *Emotion in organizations*, London, Sage.
- Fineman, S. (1995). Stress, emotion and intervention. In T. Newton (Ed.), *Managing stress-emotion and power at work*, (pp. 120-135). London: Sage
- Fineman, S. (1997). Emotion and management learning., *Management Learning*, 28, 1.
- Fineman, S. (2000). *Emotion in organizations*. London, Sage.
- Fineman, S. (in press). Emotionalizing organizational learning. In M. Easterby-Smith & M Lyles (Eds), *Organizational learning and knowledge management: The Research Handbook*. Oxford: Blackwell, Chapter 28.
- Fox, S. (1997). From management education and development to the study of management learning. In J. Burgoyne & M. Reynolds (Eds.), *Management learning*, (pp. 21-37). London, Sage.
- Fox, S. (2000). Communities of practice, foucault, and actor network theory. *Journal of Management Studies*, 37.
- Führer, U. (1993). Behavior setting analysis of situated learning: the case of newcomers. In S. Chaiklin & J. Lave (Eds.), *Understanding practice*. Cambridge, Cambridge University Press.
- Gherardi, S. (1995). *Gender, symbolism and organizational cultures*. London , Sage.
- Gherardi, S., Nicolini, D., & Odella, F. (1998). Toward a social understanding of how people learn in organizations, *Management Learning*, Sept.
- Gherardi, S.(1999). Learning as problem-driven or learning in the face of mystery? *Organization Studies*, 20(1), 101-123.
- Gherardi, S. (2000). Where learning is: metaphors and situated learning in a planning group, *Human Relations*, 53(8), 1057-1080.
- Gherardi, S., & Nicolini, D. (2000). The organizational learning of safety in communities of practice, *Journal of Management Inquiry*, 9(1), 7-18.
- Harré, R. (1984). *Personal being*. Cambridge, MA, Harvard University Press.
- Harré, R. (1986). *The social construction of emotions*. Oxford, Basil Blackwell
- Harré, R., & Parrott, W.G. (1996). *The emotions, social, cultural, and biological dimensions*. London, Sage.
- Heelas, P. (1986). Emotion talk across Cultures. In R. Harré, R. (Ed.), *The social construction of emotions*. Oxford, Basil Blackwell

- Hochschild, A. (1983). *The managed heart - Commercialization of human feeling*. Berkeley, University of California Press.
- Hosking, D. & Fineman, S. (1990). Organising processes. *Journal of Management Studies*, 27(6), 583-605
- Huber, G. (1991). Organizational learning. The contributing processes and the literatures. In M. Cohen & L. Sproull (Eds), *Organizational learning*. London, Sage.
- Lave, J., & Wenger, E. (1991). *Situated learning - legitimate peripheral participation*. Cambridge, Cambridge University Press.
- Marsick, V., & Watkins, K.(1997). Lessons from informal and incidental learning. In J. Burgoyne & M. Reynolds (1997) *Management learning*, (pp.295-311). London, Sage..
- Martin, J., Knopoff, K., & Beckham, C. (2000). Bounded emotionality at the body shop. In S. Fineman. (Ed) *Emotion in organizations*. London, Sage.
- Newton, T. (1995). *Managing stress-emotion and power at work*. London: Sage
- Nicolini, D. & Meznar, M. (1995). The social construction of organizational learning: conceptual and practical issues in the field, *Human Relations*, 48(7), 727.
- Obholzer, A. (1994). Authority, power and leadership: contributions from group relations training. In A. Obholzer & V. Roberts (Eds.), *The unconscious at work*. London, Routledge.
- Obholzer, A., & Roberts, V. (1994). *The unconscious at work*. London, Routledge
- Putnam, L., & Mumby, D.(1993). Organizations, emotion, and the myth of rationality. In S. Fineman (Ed.), *Emotion in organizations*, London, Sage.
- Rosenberg, M. (1990). Reflexivity and emotions. *Social Psychology Quarterly*, 53(1), 3-12
- Swan, E. (1994). In M. Tanton (Ed.), *Women in management*. London, Routledge.
- Swogger (1993). Group self- esteem and group performance. In L. Hirschhorn & C. Barnett. (Eds.), *The psychodynamics of organizations*. Philadelphia, Temple Universtiy Press.
- Taylor, S., & Easterby Smith, M. (1999). Culture and organizational learning: toward pluralism, In M. Easterby Smith, L. Araujo, & J. Burgoyne (Eds.), *Organizational learning*, 3rd International Conference, Lancaster University.
- Turnbull, S. (1999). Emotional labour in corporate change programmes- The effects of organizational feeling rules on middle managers. *Human Resource Development International*, 2(2), 125-146
- Vince, R. (1999) Uncomfortable knowledge managment: the impact of emotion on organizational learning. In M. Easterby Smith, L. Araujo, & J. Burgoyne (Eds.), *Organizational Learning*, 3rd International Conference, Lancaster University
- Vince, R. (2001). Power and emotion in organizational learning, *Human Relations*, 54(10), 1325-1351
- Wenger, E. (1998). *Communities of practice - learning, meaning and identity*. Cambridge, Cambridge University Press.
- Wenger, E. (2000). Communities of practice and social learning systems, *Organization*, 7(2), 225-246
- Yanow, D. (1999). The languages of organizational learning: A palimpsest of terms, In M. Easterby Smith, L. Araujo, & J. Burgoyne (Eds.), *Organizational learning*, (pp 1075-1086). 3rd International Conference, Lancaster University.
- Yanow, D. (2000). Seeing organizational learning: A cultural view, *Organization*, 7(2), 247-268.

Women Managers: Learning about Emotional Expression in the Workplace

*Rose Opengart
The University of Georgia*

This qualitative study addressed the content and process of learning about emotional expression in the workplace. Analysis revealed: 1) the necessity of maintaining a "poker face;" 2) the use of emotions as a power tool; 3) the double-bind for women; 4) the need for authenticity; and 5) the importance of the situation for determining appropriate emotional expression. Women learned 1) through others 2) informally and incidentally; and 3) as part of upbringing.

Keywords: Emotions, Emotional Intelligence, Employee Development

Traditional learning theories assume a universality of learning experiences, creating a lack of information and understanding about women's learning (Hayes et al., 2000). Organizational learning is embedded within organizational culture, a culture which still values and rewards masculine traits (Gatenby & Humphries, 1999; Oakley, 2000). Thus women are expected to learn behaviors within male-defined parameters. One such behavior is the appropriate expression of emotions, that is, expressions and responses. If women's emotional expressions are evaluated within a male culture, such as manufacturing, the appropriateness of emotional expression will be evaluated within a male framework. Emotional intelligence; ability with emotion, and emotion work; ability to control or change emotions, may be perceived as inadequate because of the incompatibility between how they were taught to act as women and how they are expected to behave in the workplace. This negative perception could affect women's career development and success.

Ability with emotions is crucial to career success (Cherniss, 2000; Goleman, 1998). Given the importance of emotional skill to one's career it is beneficial to identify the content and process by which women learn about emotional expression in the workplace. This knowledge provides a foundation for managers to evaluate and support employee development. The purpose of this study was to identify what women managers learn about emotional expression in the workplace and how this knowledge is acquired. The research questions included:

1. What do women managers learn about expressing emotions in the workplace?
2. How do women learn what emotions are appropriate to express at work?

Relevant Literature

The areas of literature reviewed include feminist theory, women in management, women's and organizational learning, emotion work, emotional intelligence, and interpersonal psychodynamics. These areas were selected because each was relevant to this study of women learning and behaving within an organizational context.

Feminist Theory

Feminist theory served as a framework for this research, particularly the liberal, radical, psychoanalytical, and existentialist philosophies. Feminist theory examines society as male-centered and addresses how power is reproduced. Women's unique experiences are distinct from men's and acknowledged as gender-related (socially constructed) rather than specifically female. This perspective reframes stereotypical feminine weaknesses into strengths and provides an opportunity to hear voices other than those currently available (Bem, 1993).

Women in Management

Women are still strongly encouraged, if not pushed, into careers traditionally associated with and defined as belonging to women (Bierema, 1998; Hayes, 2000). Gender based stereotypes have been shown to serve as barriers to women in management (Oakley, 2000). Subsequently, successful women leaders choose to conform to traits associated with males (Bierema, 2003; Caffarella & Olson, 1993). This expectation to act both like a woman and like a man puts women in a double-bind, "a situation where a person cannot win no matter what she does" (Oakley, 2000, p. 324).

Women's Learning/Organizational Learning

The assumption in traditional learning theories, such as Kohlberg (1973), Maslow (1970), and Erickson (1982) is that development is universal and progresses through stages. These theories were developed using only male subjects (Caffarella & Olson, 1993), resulting in a tendency to discount women's learning experiences (Merriam, 1998). Gendered patterns of learning and development include connected knowing and learning, necessity for

voice, and the influences of social context (Belenky, et al., 1986; Bierema, 1994; Caffarella & Olson, 1993; Hayes & Flannery, 2000). Giving voice to, developing voice, and reclaiming a voice enable women to develop, learn, and obtain more power (Belenky, et al., 1986; Hayes & Flannery, 2000). Women's learning literature discusses culture, a social context that dictates norms, gender roles, and behaviors (Bierema, 2001; Hayes & Flannery, 2000), and a relationship between women's self-identity, self-esteem, and learning.

Organizational learning is a cognitive and social activity, illustrating the importance of relationships for women's learning and career success (Bierema, 1998; Gherardi, 1998). Much organizational learning occurs informally and incidentally through a process that is not highly conscious, is unintentional, predominantly experiential, reflective, and linked to the learning of others (Marsick, Volpe, & Watkins, 1999). Previous research in informal learning in organizations indicates that employees learn from contextual triggers, critical incidents, from others, and from their experiences (Cseh, 1998; Ellinger, 1997).

Emotion Work

Emotion work examines emotion from a sociological and cultural perspective. Hochschild (1979) described it as the effort to change or control emotions in oneself or in others in order to meet social guidelines. Emotion is exchanged for a wage, for example, positive emotional display is required for influencing customers. Hochschild's definition refers to organizational expectations and boundaries for employees' acceptable emotional expression (Hochschild, 1979). The use of emotions in less exploitative ways may have positive effects and may be used as a tool of social influence by individuals for their own benefit (Fabian, 1999; Rafaeli & Sutton, 1991).

The gendered nature of emotion work is evident in the frequency with which women are placed into emotionally expressive positions and the expectancy for women to perform more emotion work than men (Callahan & Schwandt, 2000; Hochschild, 1983; Parkin, 1996). Evidence exists for an interaction between a leader's gender, expressed emotion, and perception of effectiveness (Lewis, 2000).

Emotional Intelligence

The term emotional intelligence, coined by Salovey and Mayer (1990), refers to "the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and actions" (Salovey & Mayer, 1990, p. 189). Goleman (1995, 1998) popularized the concept and applied it to the workplace, discussing its importance for career success and leadership abilities.

Whereas Goleman's (1995) and Bar-On's (1988) models address traits and non-cognitive abilities, competencies, and skills, Mayer & Salovey's (1997) developmental model includes cognitive abilities including emotional perception, identification, expression, integration and management of emotions. Many researchers maintain that aspects of emotional intelligence, rather than traditional IQ, make the biggest difference for success in life (Bar-On, 1997; Cherniss, 2000; Goleman, 1995, 1998). Thus being effective with emotions, or having high emotional intelligence, will presumably advance women's careers.

Interpersonal Psychodynamics

Psychodynamic theory examines motivational forces that consciously and unconsciously affect one's behavior (Hirschhorn, 1999). An important aspect of interpersonal psychodynamics in the workplace is emotions and their effect on behavior and interpersonal relations. Anxiety causes people to create social defenses and defensive routines to protect themselves from experiencing feelings (Argyris, 1993; Hirschhorn, 1999).

Men and women are socialized to express emotions based on gender. Unconscious forces maintaining this socialization affects perceptions of effectiveness in the workplace. The psychodynamics and defenses research demonstrates how emotions can manifest themselves in harmful ways. It supports the emotional intelligence literature regarding the idea that the recognition and processing of emotions is critical (Goleman, 1995; Hirschhorn, 1999; Salovey & Mayer, 1990) and that the social and cultural dimensions of emotion are important considerations.

Methodology

A qualitative, exploratory study was undertaken in order to answer the following research questions:

1. What do women managers learn about expressing emotions in the workplace?
2. How do women learn what emotions are appropriate to express during their work?

The four elements of research, a researcher's epistemology, theoretical perspective, methodology, and methods, should inform each other. The epistemology, the "way of understanding and explaining how we know what we know" (Crotty, 1998, p.3), should inform the theoretical perspective, which should inform the methodology, which should inform the methods (Crotty, 1998).

Epistemology

The epistemology of constructivism holds that all knowledge is constructed out of interactions between human beings and their world, and developed and transmitted within a social context (Crotty, 1998). In this research,

culture and interactions with others produced knowledge and meaning around emotions.

Conceptual Framework

The epistemology of constructivism informed the conceptual framework, that of feminist theory. A conceptual framework specifies who and what will be studied (Miles & Huberman, 1984). A feminist theoretical perspective presumes the importance of gender in relationships and societal processes (Patton, 2002).

Methodology

This research was a qualitative, interpretive study of the process and content of women's emotional learning. Qualitative inquiry is effective for finding explanations of processes (Miles and Huberman, 1984) and assumes that individuals construct their own reality by interacting with their social worlds (Merriam, 1998). The qualitative researcher strives for depth of understanding of a participant's unique situation, context, and social interaction. In this study it was critical to obtain the participants' perspectives of emotional expression learning.

Methods

The data collection and analysis methods included the critical incident interview and constant comparative method of analysis. These are discussed along with sample selection, participant descriptions, reliability and validity.

Data collection. In order to ensure the rich, thick description that qualitative research seeks, the sample selection for this study was purposeful and used snowball sampling in order to obtain participants. Purposeful selection begins with establishing criteria essential for selecting participants in order to locate participants who have experienced the phenomena. The snowball strategy of locating participants involves asking referral sources for other individuals who meet the study's eligibility criteria (Merriam, 1998). Criteria that guided selection included:

1. Workplace and position: Women who were at a management level position in a manufacturing setting. Approximately half were in human resources for comparison purposes.
2. Ability to recall events: Women who were able to recall with detail two incidents that were significant to their learning about emotional expression at work.
3. Diversity: Geographic and racial diversity were sought in the participants.

Participants working within a manufacturing setting were selected because this is a traditionally male setting. Therefore, emotional expression was expected to be more problematic for women and requiring an increased level of learning. Management level employees were selected because it was assumed that at that level of success they had learned a great deal. Diversity in respect to race and geographic background was sought in order to consider culturally influenced perspectives and acquire more rich information. Semi-structured interviews were the primary method of data collection. Interviews allowed for in-depth information and exploration of the participant's world and provided a framework for flexibility and further probing as needed (Merriam, 1998; Patton, 1990).

Participant descriptions. Participants included ten women managers, each in different companies. Industries represented included automotive, cereal, health care products, oil, packaging machinery, poultry, and pharmaceutical. Five were human resources managers and five were managers in other areas such as operations. There was also diversity in age, education level, and geographic background. The age range spanned from twenty-seven through fifty-three. Education levels ranged from Bachelor's, Masters, to one with work toward a Ph.D. The span of experience in management ranged from two to twenty-six years. Geographic backgrounds of the participants covered four distinct areas including Northeast, Southeast, South, and Midwest.

Although the number of managers in this research study was ten, the unit of analysis in this study was the critical incident. Each manager was asked to describe in depth at least two critical incidents, however, many provided more than two. The total number of critical incidents was forty-two (42). Each example involved a man.

Critical incidents. Data were collected in the form of critical incidents, a technique developed by Flanagan (1954) for use during World War II to gather specific incidents of effective or ineffective behavior among fighter pilots. Whereas Flanagan's (1954) version approached research from a positivist framework, emphasizing objectivity, the critical incident technique can also be successfully used from a constructivist framework (Ellinger & Watkins, 1998). The constructivist approach understands experiences from the participant's point of view and takes context into account. Ellinger and Watkins (1998) proposed the use of the critical incident technique as a method which not only allows for the counting of incidents, but also enables the researcher "to develop rich narratives of critical incidents that capture both context and meaning from the perspective of the respondents" (p. 288).

The interviews were guided by the following question: Recall two or three critical incidents that occurred at work which were critical to your learning about emotional expression in the workplace. These incidents should be ones that you believe were instrumental in shaping your understanding of what is and is not appropriate emotional expression in the workplace. The participants were asked to describe in detail the context, behavior, effect of behavior, and learning that resulted from this incident. They were then asked to describe the following for each incident: What happened? What or who triggered your reaction? How did you actually feel and what did you

express? What did you learn from this experience about emotions and work? Why did you select these incidents to discuss? Can you give me an example of an incident where you applied your learning? Interviews averaged fifty minutes, were tape recorded and transcribed. Ten interviews were completed, at which point saturation was reached. All of the interviews took place in Georgia in varying locations from urban to rural. All interviews were conducted face to face for a more personal atmosphere.

Data analysis. The constant comparative method of data analysis was used. Analysis of the interviews occurred continually throughout the data collection process in order to examine, compare, reflect, and sort the critical incidents into patterns, followed by categories and subcategories (Flanagan, 1954; Lincoln & Guba, 1985). Analysis included identifying and reflecting on themes and examining details of the hidden agendas around emotional expression and practices that reproduce gender roles.

Reliability and validity. In order to increase the strength of this research, the researcher's orientations were presented along with participants' profiles and the basis for selecting them. In addition, there was triangulation for multiple methods of data collection and analysis. Member checking was achieved by presenting participants with themes for feedback as well as maintaining an audit trail throughout the data collection in which to detail research methods (Lincoln & Guba, 1985). These methods helped to ensure the accurate representation of participants' reality.

Findings

The findings are presented in two sections, with each section addressing a separate research question. Table 1 delineates overall themes representing research question one and table 2 summarizes research question two. The tables provide a brief explanation and example for each theme.

Table 1. *Research Question 1: What Women have Learned about Emotional Expression in the Workplace.*

Themes	Explanation and Examples
Necessity of "poker face"	<ul style="list-style-type: none"> Emotions must not be evident on one's face Human resource employees require more "poker face" (neutral expression) than non-HR
Emotion as strategy of influence	<ul style="list-style-type: none"> To control emotions maintains credibility/authority, while to display emotions causes one to lose authority In some cases, the loudest yeller wins
Double-bind	<ul style="list-style-type: none"> Women need to be aggressive like a man, but not too aggressive If perceived as too aggressive they receive the label "bitch"
Importance of authenticity	<ul style="list-style-type: none"> To express emotions different from their true emotion feels inauthentic; some insist on remaining authentic
Situational dependence	<ul style="list-style-type: none"> The appropriateness of emotional expression depends on the particular situation as well as the person involved.

The Necessity of a "Poker Face"

A stoic expression is the appropriate one at work and suggests a more professional appearance. This theme of "poker face" was particularly important for those working in human resources for purposes of liability.

The Use of Emotions as a Strategy of Influence.

Expression of emotions, or lack thereof, can affect the level of influence one has over another. Men use emotions to increase their power while women's expression of emotions results in loss of power, particularly from crying.

The Double-bind

Women's behavior is measured against male standards and interpreted differently than men's because of gender. They are expected to act like men, but at the same time are evaluated more negatively because they are female.

Importance of Authenticity

Authenticity in emotional expression is so critical for some that they must express true felt emotion. Yet others described being distinctly aware of differences between displayed and felt emotions and perceived it as unavoidable.

Situational Dependence

Participants indicated that emotional expression is dependent upon the situation, including person and event. This illustrates the need to evaluate the situation prior to deciding on appropriate emotional expression.

Table 2. Research Question 2: How Women have Learned about Emotional Expression.

Themes	Explanation and Examples
Learning from others	<ul style="list-style-type: none"> • Observing others • Mentoring and receiving feedback from others • All critical incidents were with men
Learning informally and incidentally including through age, experience, and job role	<ul style="list-style-type: none"> • Gaining knowledge about emotions with age and experience • Learning informally and incidentally on a day-to-day basis, by trial and error • Learning as part of job role, especially those in HR
Learn from upbringing/socialization	<ul style="list-style-type: none"> • Growing up with boys makes women feel comfortable with male behavior roles

Learning from Others

The participants described learning about emotional expression at work from others by observation, feedback, or mentoring, from supervisors or co-workers. Women are often emulating the norms as displayed by men.

Informal and Incidental Learning

Participants discussed learning about emotional expression informally and incidentally with age, experience, or through their job role, experientially through trial and error or as a byproduct of another activity. Their learning was often influenced by chance and as an aspect of working.

Learning from Upbringing/Socialization

Emotional learning was integrally tied to learning about gender rules; emotional expression rules applied specifically to women. Those comfortable with these rules had grown up with boys and felt comfortable with men.

Discussion

This study indicated five main conclusions:

1. *The rules and acceptability of emotional expression in these manufacturing workplaces were influenced by the employee's gender and particular situation.*

Display of emotions is dictated by position, context, and gender. Shields (2002) suggested that “beliefs about emotion ... inscribe and reinscribe gender boundaries” (p. 170) or that “to do emotion is to do gender” (p. 170). This study confirmed that women express emotions in conformity with gender roles and that gendered emotional expression maintains gender boundaries.

Not only does this study confirm that women express emotions in accordance with gender roles, it also supports the literature that women perform more emotion work and that women's jobs may demand more emotion work than do men's (Callahan & Schwandt, 2000; Parkin, 1996). The gendered nature of emotion affects how emotional expression is perceived. Emotional expression is evaluated from a gendered framework, so that a particular emotion may be evaluated and perceived differently based on whether it is a woman expressing the emotion or a man. Men's emotions are acceptable but women's are not, as one participant asked: “What's worse about crying out of anger than putting a fist through a wall?”

In addition to gender, the significance of the person with whom one was interacting was a crucial factor in the determination of emotions. Issues also arose regarding the importance of impartiality in human resources in order to increase the perception of professionalism. As one HR manager stated, “You have to be the Rock of Gibraltar.”

2. *Any male dominated system, such as the manufacturing environment, may create a need for women to perform more emotion work than men by having to emulate male behavior.*

This study confirms previous research that emulating the successful is effective for obtaining success. These women did indicate an awareness of themselves as gendered beings (Caffarella & Olson, 1993), yet lacked action to influence cultural change, indicating the continued acceptance of the ‘hidden curriculum’ (Bierema, 2003).

As long as an environment is male dominated, male standards and gendered behavior will be the norm. Women will be perceived as lower in emotional intelligence and will feel compelled to do emotion work – to change their emotional expression in order to conform to workplace expectations. One participant described “the expectation that women behave forcefully and assertively is out there . . . you have to show up that way in the right place at the right time.”

3. *Emotions are used as a strategy of influence at both the organizational and individual levels.*

This study advanced knowledge beyond Hochschild's (1979, 1983) conceptualization of organizational control of emotions. Emotional expression requirements reinforce the societal power structure (Hayes and Flannery, 2000) that created polarized gender roles. The belief that expression of emotions is unprofessional and irrational allows men the opportunity to use emotion to gain power by causing women to cry. When two people are in a conflict, the one who ends up crying "loses" to the one who stays non-emotional. One participant described a situation like this where she thought to herself, "I will not let you see me cry. I will not allow that because that would be like giving you a victory that I don't feel like giving you right now."

On the contrary, men gain power with emotional expression. Research indicates the acceptability and benefit of male managerial anger displays (Lewis, 2000; Sharkin, 1993). The participants described men's anger as effective in gaining influence and power but women's emotional expressions as harmful. This phenomenon was summed up by one participant as, "Don't ever let them see you sweat."

4. Women learn about emotional expression primarily through informal and incidental learning, therefore, HRD professionals must help employees learn through methods other than formal classroom training in order to develop employees' emotional intelligence.

Formal classroom training in emotions was not mentioned, rather, participants learned along with, during, and as a function of living and working. It happened as a byproduct of another activity. These informal and incidental methods of learning (Marsick, Volpe, & Watkins, 1999; Merriam, 1998) support previous research indicating that managers learn informally from others and from experience (Cseh, 1998; Ellinger, 1998).

The participants also engaged in reflective informal learning in many ways utilizing reflection on action (Schon, 1987), trial and error, and reflection with age and experience. Situated learning and attention to context was evident with the importance in identifying, assessing, and determining the most effective emotional expression based on a particular situation. Connected learning (Belenky, et al., 1986; Bierema, 1994; Caffarella & Olson, 1993; Gilligan, 1982; Hayes & Flannery, 2000) was evident in that they learned through other people, women or men, by observing their actions, from feedback, and from knowledge gained through them. Many participants described learning through imitating others, in other words, "You don't show a lot of emotion in the workplace. Men don't, therefore you don't."

5. Psychodynamics exist in the workplace that continually reproduce the pathology of emotional expression.

Unconscious motivational forces affect emotional expression and perceptions. Emotions are controlled by those in power who define what is appropriate, imposing a pathology on those that do not fit criteria (Parkin, 1996). Two existing forces that motivate participants to muffle their emotional expression include: 1) The belief that rationality is more effective than emotionality in avoiding anxiety, thus the organizational requirement for rationality is a social defense against anxiety. 2) Gender socialization is reinforced in the workplace in order to maintain societal gender roles and subordination of women. As a result, emotional expression in the workplace continues to be pathologized and emotional expression rules remain undiscussable and unchallenged.

Limitations of the study

The use of critical incidents created an informal context, thus emphasizing informal learning by the participants. The qualitative methodology carries its limitations of bounded generalizability and the potential for research bias.

Contribution to HRD/Implications for Practice and Research

This study has implications for organizations, women, and human resources professionals.

Women

Women need to be aware of gender roles and their impact on behavioral expectations, career development and success. They need to be conscious of decisions and behaviors and their potential implications. They need to advocate for structural change that allows women and men to work free from constraints such as gender roles and double-binds.

Organizations and Human Resource Professionals

Organizations must critically examine practices, policies, and structures to ensure that they do not reproduce gendered power relations. Organizations need to support women in their careers in respect to learning and development, including emotional expression. Organizations can create cultures which would encourage the development of learning opportunities.

To develop employees' emotional intelligence, informal learning opportunities may be as effective as formal training programs. Professionals in human resources can help their organizations create continuous learning opportunities, encourage dialogue and collaboration, and establish systems to promote and share learning. In addition, mentoring and action learning programs can be developed targeting women's emotional expression. A mentoring program could involve experienced women managers guiding less experienced women in effective

emotional expression within a particular context and situation. Action learning would provide a simulated emotional situation and experience through which the employees can learn without jeopardizing their performance or career success.

Women and men need to be critical of their own behavior and understand why they behave and talk the way they do. Managers and human resource professionals can take the initiative to educate both genders for a pervasive impact on organizational culture and life.

Future Research

This study raised issues for further research as well as provided support for its methodology in studying emotions. Emotions research needs to continue in order to acknowledge the existence of emotions and emotional expression in the workplace and examine their importance to managerial effectiveness, career development, and success. Establishing a mentoring program, developing a learning organization, and implementing action learning were all suggested under implications for practice. Studying the effects of each of these programs on emotional intelligence and women's emotional expression would provide needed data for the emotions literature.

Another study would be one that examines the relationship between emotional expression and performance ratings. This is necessary because if data indicates that managers are rating women lower due to emotions, it is important to determine if it is emotional expression, gender role conformity, or actual performance on which they are rated. It is necessary to examine whether gendered expectations of emotional expression affect women's careers.

Research on the potential for informal learning to enhance emotional intelligence is critical. The literature has provided an increasing number of examples in the last decade of formal classroom emotional intelligence training programs (Cherniss, 2000; Cherniss & Goleman, 2001). The women in this study indicated successful learning occurred from informal and incidental learning. This is an area of research that would greatly benefit the emotions literature as well as support the existing informal learning literature.

A noteworthy phenomena in this study is that all the participants' critical incidents involved men. Future research could examine women's emotional experiences with other women. A comparison of the types of emotions elicited with other women as compared to with other men could provide interesting information on gender roles, gender consciousness, and employee interaction.

Lastly, a recommendation for future research can be made regarding methodology. The use of critical incidents in this research allowed for participants to provide emotional data that may have been difficult using another research method. If they had been asked directly about how emotional expression affected them, there likely would have been two major problems. The first problem is that they may not remember or be conscious of what and how they learned about emotional expression. Second, it could have proved too emotionally difficult for them. Thus critical incidents permitted them to tell a story, keeping the situation safe and comfortable for them.

References

- Argyris, C. (1993). *Knowledge for action*. San Francisco, CA: Jossey-Bass.
- Bar-On, R. (1997). *BarOn Emotional Quotient Inventory (EQ-i): A test of emotional intelligence*. Toronto, Canada: Multi-Health Systems.
- Belenky, M. F., Clinchy, B., Goldberg, N. R., & Tarule, J. M. (1986). *Women's ways of knowing: The development of self, voice and mind*. New York, NY: Basic Books, Inc.
- Bem, S. L. (1993). *The lenses of gender*. New Haven, MA: Yale University Press.
- Bierema, L. (1994). *How executive businesswomen develop and function in male-dominated organizational culture*. Unpublished doctoral dissertation, The University of Georgia, Athens, GA.
- Bierema, L. (1998). A synthesis of women's career development issues. In L. Bierema (Ed.), *Women's career development across the lifespan: Insights and strategies for women, organizations, and adult educators* (pp. 95-104). New Directions in Adult and Continuing Education, No. 80. San Francisco, CA: Jossey-Bass, Inc.
- Bierema, L. (2001). Practice of Organizational Learning. In Gilley, J., Dean, P. & Bierema, L., *Philosophy and practice of organizational learning, performance, and change* (pp. 41-66). Cambridge, MA: Perseus Publishing.
- Bierema, L. (2003). The role of gender consciousness in challenging patriarchy. *International Journal of Lifelong Learning*, 22(1), 3-12.
- Caffarella, R. S., & Olson, S. K. (1993). Psychosocial development of women - A critical review of the literature. *Adult Education Quarterly*, 43(3), 125-151.
- Callahan, J.L. & Schwandt, D. (2000). Emotion work and perceptions of affective culture in a military nonprofit organization. In P. Kuchinke, (Ed.), *The Academy of Human Resource Development* (pp. 488-496). Baton Rouge: LA, The Academy of Human Resource Development.
- Cherniss, C. (Ed.). (2000). *Social and emotional competence in the workplace*. San Francisco, CA: Jossey-Bass.

- Cherniss, C., & Goleman, D. (Eds.). (2001). *Training for emotional intelligence*. San Francisco, CA: Jossey-Bass.
- Crotty, M. (1998). *The foundations of social research*. Thousand Oaks, CA: SAGE Publications, Inc.
- Cseh, M. (1998). *Managerial learning in the transition to a free market economy in Romanian private companies*. Unpublished doctoral dissertation. University of Georgia, Athens, GA.
- Ellinger, A. (1998). *Managers as facilitators of learning in learning organizations*. Unpublished doctoral dissertation, University of Georgia, Athens, GA.
- Ellinger, A. & Watkins, K.E. (1998). Updating the critical incident technique after forty-four years. In R. Torracca (Ed.), *Academy of Human Resource Development* (pp. 285-291). New Orleans, LA: Academy of Human Resource Development.
- Erickson, E.H. (1982). *The Lifecycle completed: A review*. New York: Norton.
- Fabian, J. (1999). *Emotion work as instrumental action: The pursuit of goals in an organizational context*. Unpublished doctoral dissertation, George Washington University, Washington, D.C.
- Flanagan, J.C. (1954). The critical incident technique. *Psychological Bulletin*, 51(4), 327-358.
- Flannery, D., & Hayes, E. (2000). *Women's leaning: A kaleidoscope*. In E. Hayes & D. Flannery (Eds.), *Women as learners. The significance of gender in adult learning*. (pp. 1-23.). San Francisco, CA: Jossey-Bass.
- Fletcher, J. (2002). *The paradox of post heroic leadership: Gender, power and the "new" organization*. Paper presented at the Academy of Management meeting, Denver, CO.
- Gatenby, B. & Humphries, M. (1999). Exploring Gender, Management Education and Careers: speaking in the silences. *Gender & Education*, 11(3), 281-295.
- Gherardi, S. (1998). Toward a social understanding of how people learn in organizations. *Management Learning*, 29 (3), 273-297.
- Gilligan, C. (1982). *In a different voice..* Cambridge, MA: Harvard, University Press.
- Goleman, D. (1995). *Emotional intelligence*. . New York, NY: Bantam Doubleday Dell Publishers.
- Goleman, D. (1998). *Working with emotional intelligence*. New York, NY: Bantam Doubleday Dell Publishers.
- Hayes, E., Flannery, D., Brooks, A., Tisdell, E., & Hugo, J. (2000). *Women as learners. The significance of gender in adult learning*. San Francisco: Jossey-Bass.
- Hirschhorn, L. (1999). *The workplace within. Psychodynamics of organizational life*. Cambridge, MA: MITPress.
- Hochschild, A. R. (1979). Emotion work, feeling rules, and social structure. *American Journal of Sociology*, 85(3), 551-575.
- Hochschild, A. R. (1983). *The managed heart: Commercialization of human feeling*. Los Angeles, CA: University of California Press.
- Kohlberg, L. Continuities in childhood and adult moral development. In P. Baltes and Kn. Schaie (Eds.), *Life-Span developmental psychology: Personality and socialization*. Orlando, FL: Academic Press.
- Lewis, K. (2000). When leaders display emotion: how followers respond to negative emotional expression of male and female leaders. *Journal of Organizational Behavior*, 21 221-234.
- Lincoln, Y.S., & Guba, E.G. (1985). *Naturalistic inquiry*. Newbury Park, CA: Sage.
- Marsick, V.J., Volpe, M., & Watkins, K.E. (1999). *Theory and practice of informal learning in the knowledge era*. In V. Marsick & M. Volpe, (Eds.), *Informal learning on the job*. (pp. 80-96). *Advances in developing human resources*. Baton Rouge, LA: Academy of Human Resources Development.
- Maslow, A. H. (1970). *Motivation and personality* (2nd ed.). New York, NY: Harper-Collins.
- Merriam, S. (1998). *Qualitative research and case study applications in education*. San Francisco, CA: Jossey-Bass Publishers, Inc.
- Miles, M. & Huberman, A. (1994). *Qualitative data analysis: A sourcebook of new methods* (2nd ed.). Thousand Oaks, CA: Sage.
- Oakley, J. (2000). Gender-based barriers to senior management positions: understanding the scarcity of female CEO's. *Journal of Business Ethics*, 27, 321-334.
- Parkin, W. (Ed.). (1993). *The public and the private: Gender, sexuality, and emotion*. London: Sage Publications.
- Patton, M. Q. (2002). *Qualitative research and evaluation methods* (3rd ed.). Thousand Oaks, CA: SAGE Publications.
- Salovey, P., & Mayer, J. D. (1989-1990). Emotional intelligence. *Imagination, Cognition, and Personality*, 9, 185-211.
- Schon, D. (1987). *The reflective practitioner*. New York, NY: Basic Books.
- Shields, S. (2002). *Speaking from the heart. Gender and the social meaning of emotion*. New York, NY: Cambridge University Press.

Speaking of *Competence*: Toward a Cross-translation for Human Resource Development (HRD) and Continuing Professional Education (CPE)

Laurel Jeris
Northern Illinois University

Kathleen Johnson
Accreditation Council for Continuing Medical Education

This paper compares and contrasts literature on competence that resides in the disciplines of HRD and CPE. Definitions, Purposes, Assessments and Achievements related to the competence conceptual framework are examined for contextual cues and connections between theory and practice in an effort to contribute to greater dialog and interdisciplinary collaboration.

Keywords: Competence, Interdisciplinary, Theory to Practice

Problem and Context

Although researchers and practitioners often lament the dearth of sound theory-to-practice connections in workplace-based HRD and CPE, many of the words used to signify concepts, constructs, and principles become embedded in the language of practice with remarkable agility. *Competence* is such a term, found in both HRD and CPE literatures, generally indicating a desirable state, but the various forms of the word (competent, competencies, competently) and their meanings do not translate well across disciplinary boundaries. Further, the once distinct purposes, goals, and contexts of CPE and HRD have blurred. As Cervero (2000) noted, more CPE is provided in the workplace than through any other venue and at least 25% of the American workforce claims membership in the professions (p. 3). There is a pressing need for HRD professionals and CPE program planners to speak the same language because, in many settings, their roles are now combined. Accordingly, this paper seeks to begin a cross-translation of the term *competence*. We borrow the phrase, cross-translation, from researchers who develop instruments for cross-cultural applications; it means more than matching forward and back translations and encompasses processes leading to meaning making, such as historical analyses of literatures in their originally situated contexts, e.g., HRD and CPE (Brislin, Lonner, and Thorndike, 1993). Moreover, Norris (1991) noted, “As tacit understandings of the word [*competence*] have been overtaken by the need to define precisely and operationalise concepts, the practical has become shrouded in theoretical confusion and the apparently simple has become profoundly complicated” (p. 332).

Theoretical Framework

There is a move afoot in both the CPE and the HRD research communities, and interest on the part of frustrated professionals in both domains, to develop a more interdisciplinary perspective. This project contributes to an emerging dialog, which began at the AHRD Preconference on CPE in 2001. This paper builds on the work of Daley and Bierma (2002) that explored connections and intersections of CPE and HRD. In their extensive literature review they found no “theoretical analyses of the concepts, principles, and theories that underlie and support each of these two specialties within adult education [in an integrated fashion]” (p. 1). Further, they noted that although adult learning theory underlies programmatic responses, “distinct differences [were found] in the purposes of the educational offerings, the view of the participant as a professional or employee, the outcomes achieved, and in the emphasis on revenue generation and cost benefit” (p.1). In this sense, our inquiry is lacking a readily identifiable theoretical framework in that it is asking epistemological questions regarding the relationship between the realities of evolving practice in two fields, which appear to be merging, and existing theoretical descriptions.

If we think about the situated nature of various terms in these two literatures as philosophical problems for applied fields, then we can begin to think about their aims in relationship to their context, the accompanying teaching-learning dilemmas, and program development issues and problems – all highly relevant issues for practitioners, stemming from theory that has not kept pace with changes in practice.

A perplexing problem, particularly in practice, is the varied cultural connotations of the term, *competence*.

Copyright © 2004 Laurel Jeris & Kathleen Johnson

Drawing on the work of Trompenaars and Hampden-Turner (1998), Cseh (2003) recently discussed the dilemma of “achievement versus ascription” (p.30). That is: To what degree is competence defined by cultural literacy including various group identities such as race, gender, age, class (ascription), and to what degree is it defined by demonstrable behaviors in the field (achievement)? This dilemma is confounded by the extent to which ascription provides access to education and career opportunities that enable achievement. As much as the behavioral and skill based performance assessments portend to be “neutral and objective,” the ascriptive elements remain present and troubling for today’s increasingly diverse workplaces.

At first glance, a recent article by Stoof, Martens, Van Merriënboer, and Bastiaens (2002) nearly rendered our project as superfluous. It offered a constructivist approach for defining and using the concept of *competence* by the subjects within a given context. However, Fenwick’s (2000) critique of the constructivist view in which she stated, “... constructivism falsely presumes a cut universe in which subjects are divided from the environment and from their own experiences, and reflection is posited as the great integrator, bridging separations that it creates instead of reorienting us to the whole” (p. 249), focused us once again on our intention to create a starting point for cross-translation. The theoretical framework developed by Stoof et al. acknowledged and explored the same boundary issues that concern us. The results of our literature review provide an accessible database of concepts associated with term *competence* and a practical tool for cautiously experimenting with the constructivist approach to defining and developing HRD and CPE notions and practice related to *competence*. In this sense, we see our work as complementary.

Still, we continue to be troubled by the issues raised in Fenwick’s critique regarding the positioning of context in the constructivist view. Recent work calling for renewed attention to the centrality of context and the power relations that reside within it (Hansman & Wilson, 2002), support Fenwick’s (2000) concerns that, . . . “in the constructivist view, the learner is still viewed as fundamentally autonomous from his or her surroundings. The learner moves through context, is in it and affected by it, but the learner’s meanings still exist in the learner’s head and move with the learner from one context to the next” (p. 250). Given the current tenuous nature of employment in any organization and the rapidly increasing regulation of professional practice through standards, certification, and mandatory CPE, a framework that does not theorize power relations as part of knowledge construction is problematic. Resituating existing language and concepts related to the term *competence* in their original contexts of HRD and CPE highlights each field’s cultural practices including the use of power. Many of our decisions related to article selection and data display were informed by these concerns and our desire to stay as close to the two practice contexts as possible.

Research Questions

In an iterative fashion, we found direction and support from the “logistic” approach to philosophical inquiry, which as McKeon (1965) noted, “seeks to trace knowledge back to the elements of which it is composed, the processes by which they are related and the contexts in which they emerge” (p. 94). Subsequently we developed the following research question: In the literature from the fields of HRD and CPE, what are the definitions, purposes, assessments, achievements, applicability, and concerns of the term competence (broadened to include the variations of the term noted earlier)?

Methodology and Limitations

Hermeneutical Analysis

Although the particular manner in which we parsed the literature on *competence* was guided by categories noted in the research question, other factors informed our selections as well. Our practice contexts in higher education, HRD consulting, and accreditation of continuing medical education provided filters (some might say biases) for our selection of perspectives. Accordingly, seeking authoritative sources was mediated by our exposure to them largely through teaching and practice. Clearly, for a starting point, we wanted to focus our review on sources that guide practice. Ease of access was another criterion that we selected as a barometer of utilization, as was frequency of citation in practitioner literature. Not surprisingly, these selection criteria favored broad overviews over single-issue papers. Limiting our search along these lines fit our purpose of staying as close as possible to the cultural, social, and political realities of *practice*, which allows us to take on the hermeneutical task of selecting from and examining contexts that shape interpretations of texts and their application (Rossman & Ralllis, 1998). As Gadotti noted (1994), the identification of themes that are relevant and meaningful to a group is preparatory work that assists in understanding and revealing a group’s social reality. Further, as Madison (1990) reminded us, striving for hermeneutical understanding depends upon the active engagement of the contexts, texts, ideological frameworks, and especially the positionality of the interpreters. These insights guided our data collection and categorical analysis

far beyond more conventional methods such as content analysis. Since our overarching purpose is to open a conversation, we have approached this topic from a problem-posing and invitational stance.

In keeping with the technical aspects of cross-translation, what is included in our results section constitutes the first phase (essentially a pilot) of this project. Our data display, sorted by the first five subjects of the central research question, permits readers to examine how various concepts related to the term *competence* are discussed in HRD and CPE, enabling a dialog across these two domains. While we might have chosen to circulate our findings among a panel of peer reviewers of our choosing, we decided against that option because it might have confounded the effects of our filters. Our preference is to cast a wider net through research and practice conference presentations to get feedback, not only on the validity of our findings but on the research design itself as a learning tool for interdisciplinary collaboration.

Results of the Literature Review

The tables included here display our findings according to three criteria: the context (HRD or CPE or both), the focus of the research question on definition, purpose, assessment and achievement. The research question related to concerns is addressed in the **Discussion** section following the tables.

Table 1. *Definitions of Competency from an HRD and CPE Perspective*

HRD Concepts/Author	CPE Concepts/Author
“[Competence] rests on a description of behavior (sometimes referred to as range statements) in a form that is capable of demonstration and observation” (Norris, 1991, p. 2).	“What a person knows and can do under ideal circumstances. There is a distinction between competence and performance by defining performance as what is actually done under existing circumstances,” (Messick, 1984 p. 216).
“Competence is usually treated as something a person is or should be able to do. It is a description of action, behaviour [sic] or outcome in a form that is capable of demonstration, observation and assessment” (Norris, 1991, p. 2).	“Competence is about potential whereas performance is about situated behavior” (Norris, 1991, p. 3).
[Competence is] simply to describe any piece of knowledge and/or skill that might be considered relevant” (Eraut, 1994, p. 179).	Wood and Powers (1987) define competence from a developmental perspective as resting on “an integrated deep structure (understanding) on the general ability to co-ordinate appropriate internal cognitive, affective, and other resources necessary for successful adaptation” (p. 414).
“Competencies may be thought of as the core elements in a periodic table of human behavior” (Russ-Eft, 1995, p. 329).	“So the everyday use of the term ‘competent’ carries some performance-referencing, although it may be neither extensive or specific. It tends to be treated as a characteristic of the person rather than a statement about the range of their competence” (Eraut, 1994, p. 164).
“Even the word ‘competency’ can be used either in a direct performance-related sense: a competency...is an element of vocational competence [or]...a performance capability needed by workers in a specified area.” (Herman and Kenyon, 1987 p. 1)	“The generic competency approach favours [sic] empirical investigation to establish the competencies, which discriminate between average and expert performers as opposed to the theoretical or logical requirements of a particular function” (Norris, 1991, p. 3).
[Competence is] simply to describe any piece of knowledge and/or skill that might be considered relevant” (Eraut, 1994, p. 179).	
“A competency can also be considered a group of related knowledge, skills, and attitudes that that influence performance” (Nitardy and McLean, 2002, p. 2).	
“The essence of the competency approach is the fact that employees have to be assessed on performance and output” (Boon and van der Klink, 2002, p. 2).	
“Competence is a conceptual tool to describe the interdependency between professional skills and metacognitive skills” (Boon and van der Klink, 2002, p. 3).	
“Competence refers to innate abilities, emotions, attitudes, skills and knowledge, and the motivation and ability to apply in certain context” (Boon and van der Klink, 2002, p. 4).	

Table 2. *Purposes of Using Competencies from an HRD and CPE Perspective*

<i>HRD Concepts/Author</i>	<i>CPE Concepts/Author</i>
“Associated with a statement of competence is usually a performance criterion and it is this emphasis on “treating achievements in performance as qualities of persons which Short (1984, p. 166) and others have criticised [sic] as unwarranted” (Norris, 1991, pp. 2-3).	“Conceptualization of competence would show “how specific competencies are integrated at a higher level and would also accommodate changing patterns of salience among these skills and abilities at different ages and in different contexts” (Norris, 1991, p. 4).
CBT and generic competences sought to validate competence in terms of performance, CBT at a highly specific level and generic competence at a more abstract level. However, research in cognitive psychology has frequently sought to distinguish competence from performance” (Eraut, 1994, p. 177).	“We emphasise [sic] the importance of developing an approach to competence that is not fixated by operational definitions such that what we can measure is to be taken to be what develops” (Wood and Powers, 1987, p. 415).
“The generic competency approach favours[sic] the elicitation through behavioural [sic] events or critical incident interviewing of those general abilities associated with expert performers” (Norris, 1991, p. 3).	“Like the objective model, competency-based approaches to professional education and training attempt to improve educational practice by increasing clarity about ends” (Norris, 1991, p. 4).
“Assessment of competence should be grounded in performance in the workplace” (Norris, 1991, p. 4).	“Assessment of competence is that assessment criteria should be transparent for all to see” (Norris, 1991, p. 4).
“Greater reliance should, therefore, be placed on testing competencies rather than intelligence” (Russ-Eft, 1995, p. 329).	“Much of learning that takes place in one’s profession comes about in response to the problems of practice itself” (Mott, 2000, p. 28)”
“A competence is specific to an occupation it is, by definition, related to the technical aspects of performance” (Stewart and Hamlin, 1994, p. 4).	“Competence embraces the structure of knowledge and abilities, whereas performance subsumes as well the processes of accessing and utilising [sic] those structures and a host of affective, motivational, attentional, and stylistics factors that might influence the ultimate response” (Eraut, 1994, p. 178).
The concept of competence would be most often applied in sectors that are facing turbulent developments” (Boon and van der Klink, 2002, p. 4).	“[The general competency approach] eschews the specification of competencies in terms of the endless reduction of the job into its composite knowledge, procedures, skills and tasks that are characteristic of many training manual (Norris, 1991, p. 3).
“When the enterprise is in good shape, there is no obvious need for the development of a competency approach” (Boon and van der Klink, 2002, p. 4).	“Competency Based Training is designed to ensure that all workers are sufficiently competent to do what is required of them, generic competences are concerns with what enables them to do it; and this includes what are sometimes called personal qualities” (Eraut, 1994, p. 172).
“Various developments within and outside of organizations in a direct and indirect way to the attention of competencies” (Boon and van der Klink, 2002, p. 2).	
“One needs to develop continually new competencies in an environment that is continually changing” (Nitardy and McLean, 2002, p. 3).	

Table 3. Assessments Used in Competencies from an HRD and CPE Perspective

<i>HRD Concepts/Author</i>	<i>CPE Concepts/Author</i>
“There is a need to determine the existing level of competency of HRD practitioners” (Nitardy and McLean, 2002, p. 8).	“Is whether knowledge relevant to an occupation needs to be assessed separately or whether it can be inferred from appropriate and effective action?” (Norris, 1991, p. 6).
“Measurement of very different characteristics of employees is often seen as a solution... to keep record of a large amount of characteristics that in need of development” (Boon and van der Klink, 2002, p. 3).	“It appeals to those who see professional judgment as resting as much on tacit understanding as it does on prepositional knowledge” (Norris, 1991, p. 7).
“What range of activities, settings or circumstances does a person have to act appropriately and effectively to be deemed competent?” (Norris, 1991, p. 7).	“Standards of criticism and principles of professional judgment are needed that can inform action in the context of uncertainty and change” (Norris, 1991, p. 7).
“It is clear that assessment is a major problem in this respect [assessing knowledge instead of competencies], demanding the design of valid types of assessment that covers all aspects of competencies in an integrated manner” (Boon and van der Klink, 2002, p. 5).	“Fielding’s (1988) analysis locates the definition of competence firmly within the interaction between values and situational decision-making. In large measure this is a descriptive account of competence grounded in working practices” (Norris, 1991, p. 8).
	“If the assessment of competence presents difficulties of standards settings this is in part because the relationship between standards and good practice or best practice is not at all straightforward” (Norris, 1991, p. 6).

Table 4. Achievements by Using Competencies from an HRD and CPE Perspective

<i>HRD Concepts/Author</i>	<i>CPE Concepts/Author</i>
“Often competence is seen as evidenced in the performance or as supplementary evidence to performance demonstration that is required to support generalization [sic]” (Norris, 1991, p. 6).	“People will also be continuously developing the quality of their work in a number of areas, beyond the level of competence to one of proficiency or expertise” (Eraut, 1994, p. 167).
“Achieving a competency is not an end to be achieved, rather it is a road to be traveled” (Nitardy and McLean, 2002, p. 7).	“Where a person is judged to be either competent or not competent, or on a graduated scale where ‘competent’ is a position on a continuum from ‘novice’ to ‘expert’” (Eraut, 1994, p. 167).
“The concept of competence is functioning as a vague but useful term, bridging the gap between education and job requirements” (Boon and van der Klink, 2002, p. 6).	“[competencies} can be interpreted not as an attempt to create different grades of competence, but rather a meaning at what level of tasks does he/she remain or cease to be competent” (Eraut, 1994, p. 167).

Placement in the Tables – Selection Decisions

Norris (1991) and Eraut (1994) compared and contrasted views of *competence* from both HRD and CPE perspectives. They tended to associate cognitive and behavioral orientations with overall development of skills for the improvement of job performance, and development of expertise (often embodied in an individual striving to become an expert) was often linked to stage-based models of professional development. Our decisions to place a certain comment or view in either the HRD or CPE perspective arose out of the particular context to which they referred. Publication venues and introductory remarks addressing certain audiences provided contextual cues for the remaining sources.

Concerns Related to Definitions and Purposes

With the exception of Eraut (1994) and Boon and van der Klink (2002) authors made little attempt to situate notions of *competence* either historically or in terms of socio-cultural practices. However, philosophical orientations, such as a behaviorist or a performance orientation, were easy to find and provided the few cues to context beyond the author's identity and publication venue. The absence of socio-cultural nuances is disturbing in light of the strong bonds between identifying *competencies* and tying them to practice standards. These standards, once developed, find their way into practice through certification of people and processes, through accrediting agencies (public and private) for all sorts of educational programs, and through qualification examinations and licensure requirements. With all this gate keeping going on, who are the *competent* people passing through? As we look around us in our conferences, workplaces, classrooms, they appear to be mostly white and from the middle-class. The commodification of *competence* into certifiable *competencies* privileges the KSA (knowledge, skills and attitudes) worldview, and turns what Boon and vander Klink (2002) found to be a somewhat flexible concept into a rigid sorting mechanism that may have grave consequences for marginalized groups.

Concerns Related to Assessments and Achievements

A glance at the Table 3, displaying the comments from various sources in relation to the assessment of *competence*, reveals more questions and concerns than assertions regarding the viability of measuring *competence*. Similarly, a brief look at Table 4 (Achievements) reveals few statements related to what is accomplished through the application of a *competence*-based approach to individual development in the workplace from either the HRD or CPE perspective. Although definitions and intended purposes abound, we found few sources that included theorizing the concept in a way that made sound connections between theory and practice, making it difficult to operationalize and test (Patterson, 1983). Whetton (1989) might say that the "So What" is missing for the use of competence-based theories and models in either HRD or CPE.

Returning to our earlier proposition (p. 2), that capturing situated notions of *competence* and then comparing them across contexts (HRD and CPE) would assist in thinking about their aims in relationship to their context, the accompanying teaching-learning dilemmas, and program development issues and problems, fell short of our expectations. Undoubtedly, one reason for this is the literature we reviewed. However, when we examined applications-based literature in academic and practitioner journals we found it to be instrumental, prescriptive, and lacking either a formative or summative evaluative focus that might have taken the needs of stakeholders and the influence of context into consideration. This conundrum presents striking evidence of Eraut's (1994) assertion that contexts of use are distinct and that the contextual boundaries not only exist across disciplines but within them, creating language and experience barriers that are difficult to cross and serve to maintain isolation of academicians, managers, and front-line practitioners from one another (p. 32).

Conclusions and Implications for Theory and Practice

Does the Cross-Translation Stand up to Scrutiny?

Capturing "sound bites" from the literature as we have done here barely scratches the surface of the task, but we offer it to stimulate dialog and reflection in both HRD and CPE as researchers and practitioners continue to grapple with the concept of *competence*. Just as cross-translations are refined through expert review and rounds of focus groups, expanding understanding of *competence* will be a continuing project. Daley and Bierema (2002) proposed several areas where joint exploration might benefit both CPE and HRD. They asserted that, "In addition to [the need to become] more critically reflective as a field, HRD needs to expand its focus to include non-profit, service, government, and higher education settings [traditional domains of CPE]" (p. 10). Alternatively, "HRD offers a wider range of strategies for development than CPE . . ." (p. 10), where the classroom-based update model, mandated continuing education, and government regulated accountability to "standards" have become the Holy Grail of professional development.

Although we are guardedly optimistic about greater collaboration between HRD and CPE (tempered by the reality of the current organization of graduate curricula in the two domains), we are less confident of bridging the theory and practice contexts so aptly described by Eraut (1994). We see ourselves standing in one of two rooms connected by a door. One side of the door is labeled “Theory Enabled Practice” and the other side of the door is labeled “Practice Enabled Theory,” but the door is locked. Once a tool (*competence*) is unleashed, instrumentalism appears to guide application stripping the framework from its origins. Researchers and practitioners in both CPE and HRD would do well to problematize the tool itself and ask, not how well is it working in a given context, but should it be used given its definitions and purposes and what are the effects, both intended and unintended?

References

- Boon, J., & van der Klink, M. (2002). Competencies: The triumph of a fuzzy concept. In T. Egan & S. Lynham (Eds.), *Academy of Human Resource Development Conference Proceedings*, (pp. 327-334). Honolulu, Hawaii.
- Brislin, R.W., Lonner, E., & Thorndike, R.M. (1973). *Cross cultural research methods*. New York: Wiley.
- Cevero, R.M. (2000). Trends and issues in continuing professional education. In V. Mott & B. Daley (Ed.), Charting a course for continuing professional education: Reframing professional practice. *New Directions for Adult and Continuing Education*, 86, (pp. 3-12). San Francisco: Jossey-Bass.
- Cseh, M. (2003). Facilitating learning multicultural teams. In L. Yorks (Ed.). Cross-cultural dimensions of team learning. *Advances in Developing Human Resources* 5(1), 26-40
- Daley, B.J., & Bierema, L.L. (2002). Visible connections and subtle intersections of continuing professional education and human resource development. Paper presented at the *AHRD Preconference on Continuing Professional Education*, Honolulu, Hawaii, 1-11.
- Eraut, M. (1994). *Developing professional knowledge and competence*. London: The Falmer Press.
- Fenwick, T. (2000). Expanding conceptions of experiential learning: A review of the five contemporary perspectives of cognition. *Adult Education Quarterly*, 50(4), 243-72.
- Fenwick, T.J., & Parson, J. (1998). Boldly solving the world: a critical analysis of problem-based learning as a method of professional education. *Studies in Education of Adults*, 30(1), 53-66.
- Gadotti, M. (1994). *Reading paulo freire*. Albany, NY: State University of New York.
- Hansman, C., & Wilson, A. (2002). Situating cognition: Knowledge and power in context. In J. Pettitt (Ed.). *AERC 2002, Proceedings of the 43rd Annual Adult Education Research Conference* (pp. 141-146). Raleigh, NC: North Carolina State University.
- Hermann, G. D., & Kenyon, R. J. (1987). *Competency-based vocational education*. London: Further Education Unit, University of Sussex.
- Madison, G. B. (1990). *The hermeneutics of postmodernity*. Bloomington, IN: Indiana University.
- McKeon, R. (1965). Philosophy and method. In H.W. Johnstone (Ed.), *What is philosophy?* (pp. 95-97). New York: MacMillan.
- Messick, S. (1984). The psychology of educational measurement. *Journal of Educational Measurement*, 21, 215-238.
- Mott, V. (2000). The development of professional expertise in the workplace. In V. Mott & B. Daley (Eds.). In V.W. Mott & B. J. Daley (Eds.), Charting a course for continuing professional education: Reframing professional practice. *New Directions for Adult and Continuing Education*, 86, (pp. 23-31). San Francisco: Jossey-Bass.
- Naquin, S.S., & Holton, III, E.F., (2002). The development of a competency model and assessment instrument for public sector leadership and management development. In T. Egan & S. Lynham (Eds.), *Academy of Human Resource Development Conference Proceedings*, (pp. 139-146).Honolulu, Hawaii.
- Nitardy, C.N., & McLean, G.L. (2002). Project management competencies needed by HRD professionals: A literature review. In T. Egan & S. Lynham (Eds.), *Academy of Human Resource Development Conference Proceedings*, (pp. 956-963).Honolulu, Hawaii.
- Norris, N. (1991). The trouble with competence: *Cambridge Journal of Education*, 21(3), 1-11.
- Patterson, C. H. (1986). *Theories of counseling and psychotherapy* (4th ed.), pp. xiii-xxvii, New York: Harper & Row.
- Rossman, G., & Rallis, S. (1998). *Learning in the field: An introduction to qualitative research*. Thousand Oaks, CA: Sage.
- Russ-Eft, D. (Winter 1995). Defining competencies: A critique. *Human Resource Development Quarterly, Editorial*, 6(4), 329-335.
- Stewart, J., & Hamlin, B. (1994). Competence-based qualifications – A reply to Bob Mansfield. *Journal of European Industrial Training*, 18(1), 27-30.

- Stoof, A., Martens, R.L., Van Merriënboer, J., & Bastiaens, T. (2002). The boundary approach of competence: A constructivist aid for understanding and using the concept of competence. *Human Resource Development Review* 1(3), 345-365.
- Trompenaars, R., & Hampden-Turner, C. (1998). *Riding the waves of culture: Understanding diversity in global business* (2nd ed.). New York: McGraw-Hill.
- Whetton, D. A. (1989). What constitutes a theoretical contribution? *Academy of Management Review*, 14(2), 490.
- Wood, R., & Power, C. (1987). Aspects of the competence-performance distinction: Educational, psychological and measurement issues. *Journal of Curriculum Studies*, 19(3), 409-424.

Competency-Based Human Resource Development Strategy

Noordeen T. Gangani

Gary N. McLean

University of Minnesota

Richard A. Braden

West Group

This paper explores issues in developing and implementing a competency-based human resource development strategy. The paper summarizes a literature review on how competency models can improve HR performance. A case study is presented of American Medical Systems (AMS), a mid-sized health-care and medical device company, where the model is being used to improve employee performance and gain a competitive advantage. While there are numerous benefits from using behavior-based competency models, there are also some challenges.

Keywords: Competency Models, Performance Improvement, Organization Development

Competency-based practices are popular among large and mid-sized employers as an integral tool for talent selection, retention, and development. Competencies describe the skills, knowledge, behaviors, personal characteristics, and motivations associated with success in a job. Competency-based practices utilize a competency framework to align the strategic objectives of an organization with its key HR business processes. By applying a systematic approach of measuring individual competencies, it may be possible for an organization to build ongoing snapshots of the overall knowledge capital and skills portfolio of its workforce. Further, organizations may be able to utilize this information to perform individual and organizational analysis, reduce education costs, improve hiring practices, improve retention, improve human resources performance and developmental planning processes, and deploy its human capital more effectively.

Although competencies could be used in various HR functions, the focus of this paper is on staffing and selection, education and training, career development, and performance management.

Purpose Statement

The use of a competency method as the basis for human resource management has become widespread in the United States and is gaining a foothold in international HR practice (Athey & Orth, 1999). In today's competitive and constantly changing business environment, competency models may be able to help human resource professionals improve the skills set and efficiency level of their workforce to match changing market trends, in order to face competitive business challenges.

This paper highlights some of the major issues of competency-based strategy, with a particular focus on the development and implementation of competency models. The intended outcome of this literature review and case study is to build a conceptual framework for further research regarding the extent to which competencies could be applicable in various HR and HRD functions.

Theoretical Framework

Competencies have many definitions (see the Review of the Literature). A frequently used definition is, "A descriptive tool that identifies the skills, knowledge, personal characteristics, and behaviors needed to effectively perform a role in the organization and help the business meet its strategic objectives" (Lucia & Lespinger, 1999, p. 5). Ranging from selection, retention, and development to organizational strategic planning, competencies are used today in a wide range of functions within human resources (Rodriguez et al., 2002). However, the decision to introduce a competency model into an organization should not be made without due consideration. Organizations will need to devote a significant amount of time for planning and communication, data collection, change planning, and resistance management. This paper highlights some of the issues that HR and HRD professionals may come across while developing and implementing competency-based HRD strategy.

Copyright © 2004 Noordeen T. Gangani, Gary N. McLean, & Richard A. Braden

Research Questions

The literature review and case study sought to highlight development and implementation issues of competency-based human resource development processes. Specifically, the study was guided by the following questions:

- What role do competencies play in the field of HRD?
- What should be the scope of application of competency models across many different HR functions?
- What are the challenges HR professionals may face while implementing competency-based HRD strategy?

Methods

Both computer-based and manual searches of published research articles were conducted. HR, HRD, IO psychology, and business literature were reviewed. The computer databases on ABI Inform, Business Source Premier, American Psychological Association, and the American Management Association were used to identify articles, dissertations, and book chapters that included analysis or discussions of the concept of competencies. The review also included examining various companies' reports, presentations, and material on competency implementation.

The case study evolved out of the involvement of the authors in working with managers in the target corporation (AMS) to create, implement, and evaluate a competency model. The organization has granted permission to include the information contained in this article.

Results

The literature review focused on the research questions posed. The review is organized according to the following categories: definitions of competencies; impetus for introducing competencies; and application of a competency-based HRD strategy—an American Medical Systems (AMS) case example. The AMS case study is further organized in three broad categories: development of competency models for various positions; implementation of competency-based strategy; and challenges that HR professionals might encounter while developing and implementing competency models.

Definitions

Some of the more frequently cited definitions of competencies, in addition to that offered in the Theoretical Framework section, include:

- “Competencies are underlying characteristics of people and indicate ways of behaving or thinking, generalizing across situations, and enduring for a reasonably long period of time.” (Guion, 1991, p. 335).
- “Competencies can be motives, traits, self-concepts, attitudes or values, content knowledge, or cognitive or behavioral skills - any individual characteristic that can be measured or counted reliably and that can be shown to differentiate significantly between superior and average performers, or between effective and ineffective performers” (Spencer & Spencer, 1993, p. 4).
- “A mixture of knowledge, skills, abilities, motivation, beliefs, values, and interests” (Fleishman, Wetrogen, Uhlman, & Marshall-Mies, 1995, p.10.1).
- “A knowledge, skill, ability, or characteristic associated with high performance on a job” (Mirabile, 1997, p. 21).
- “A written description of measurable work habits and personal skills used to achieve work objectives” (Green, 1999, p. 5).
- “A descriptive tool that identifies the skills, knowledge, personal characteristics, and behavior needed to effectively perform a role in the organization and help the business meet its strategic objectives” (Lucia & Lespinger, 1999, p. 5).

Impetus for Introducing Competencies

William M. Mercer Inc. (2001) identified the following as the most common drivers for introducing the use of competencies in an organization:

Strengthening HR process. Improve talent management process through integration of common practices. This could include using competencies to create more powerful recruiting and selection tools and/or training and career development grounded in the specific skills and competencies needed for success in a given organization.

Achieving cultural integration and organizational alignment. Maintain cohesion and alignment following a disruptive organizational change such as merger/acquisition activity, divestiture or downsizing. This typically involves using an organization-wide “core” competency model to give employees a clear, explicit picture of

behaviors that the future organization will require for success and will expect in organizational members and leaders.

Improving operational effectiveness. Build a competitive advantage by strengthening core competitive advantage by strengthening core operations. This entails using function-specific or job-specific competency models to “raise the bar” by identifying and reinforcing the behaviors that lead to top performance rather than simply evaluating behaviors required for average performance.

Driving organizational change. Fundamentally change the way an organization operates in a new business, new markets, new technologies, etc. This involves creating competency models for selection and development that define the future. It also involves identifying the skills and competencies needed in the new venture area that are not present in abundance in the current employees, traditional business, market or technology (Daniels, Erickson, & Dalik, 2001 pp. 70-77).

Implementing Competency Models

A synthesis from the literature and key opinion leaders in the target organization (including incumbents, supervisors, cross-functional teams, customers, and visionaries/thought leaders) points to the following suggestions for developing competency models:

- The need to implement the competency model strategy should be derived from a business need.
- Get the support and participation of top management for the development and implementation of the process.
- Educate and communicate to each member of the organization about the objectives, process, impact, and implications of the competency initiative.
- Leverage ownership of and commitment to the process by assuring employees that the competency-based strategy is relevant to and important for their jobs and for their career development.
- Include work content experts from different EEO groups to make the final model a true representation of the entire workforce population.

Challenges

The challenges facing the field of competency practice are both daunting and exciting; the opportunities for HRD practitioners to reinvent competency methods to meet the challenges of the future are significant (Athey et al., 1999). Organizations have many ways to build competency models and have several options regarding the application and measurement of those models. Based on the literature review, in order to utilize competency-based human development strategy efficiently, business leaders and HR practitioners need to make a number of fundamental decisions and may face several challenges. These challenges may include gaining leadership support for the new initiative; articulating organizational mission to the competency-based HRD approach; building a conceptual framework for the competency models; adopting appropriate methodology for competency model development; communicating the new initiative to the employees; and evaluating the results of competency based strategy on human resources quality improvement.

Application of a Competency Model—A Case Example

American Medical Systems, Inc. (AMS) is one of the world's premier urology companies, developing, manufacturing, and marketing advanced medical technologies. The company's core products set the standard for quality implantable devices and are regarded as effective therapy for patients suffering from erectile dysfunction, urinary and fecal incontinence, and urinary obstruction.

With the focus on business need, competitive challenges, and growing talent selection and development needs, AMS chose a competency-based strategy for human capital performance improvement. Competency models were developed by utilizing the Development Dimension International (DDI®) software, *Identifying Criteria for Success (ICS®)*, for various U.S. and international positions.

Development

Before implementing the competency-based initiative, AMS did a thorough needs analysis by having brainstorming sessions with HR and various other business functions, including global sales and marketing, engineering, manufacturing, customer service, and so on, and built the conceptual model to navigate on the way to the organization development goal, which was to improve the work performance and skills set of its human capital. Emerging from this process were the intended areas for implementing this strategic attempt:

- Competency-based leadership development process
- Behavioral-based interview practice
- Strategic succession management
- Career path and career development system
- Performance improvement and management

Once the purpose of the competency-based application had been identified, the logical place to begin the analysis was to look at the information AMS already had. That information included the type of business, product

mix, organizational structure, number of employees, mission and values, existing job descriptions, training materials, and performance management system. After reviewing background information and research, work content experts were identified. Work content experts were incumbents who were effective in their job, not necessarily superstars; supervisors; cross-functional team members; and visionaries and thought leaders.

The methodology selected to build models for various positions was driven by the ultimate purpose of competency application. The data collection methods included job analysis interviews, focus groups, and current job descriptions of the incumbents. The target population for critical incident interviews included job incumbents, cross-functional teams, supervisors and internal thought-leaders and visionaries.

Based on critical incident interviews, a questionnaire survey was conducted to ensure the validity and reliability of data. DDI software was used to prepare a detailed analysis questionnaire (DAQ). The DAQ was distributed to a random sample of 20% of the incumbents for a sample size of 430. The response rate was 60%. In order to ensure content validity, both importance and frequency of each job task and behavior were confirmed by the DAQ.

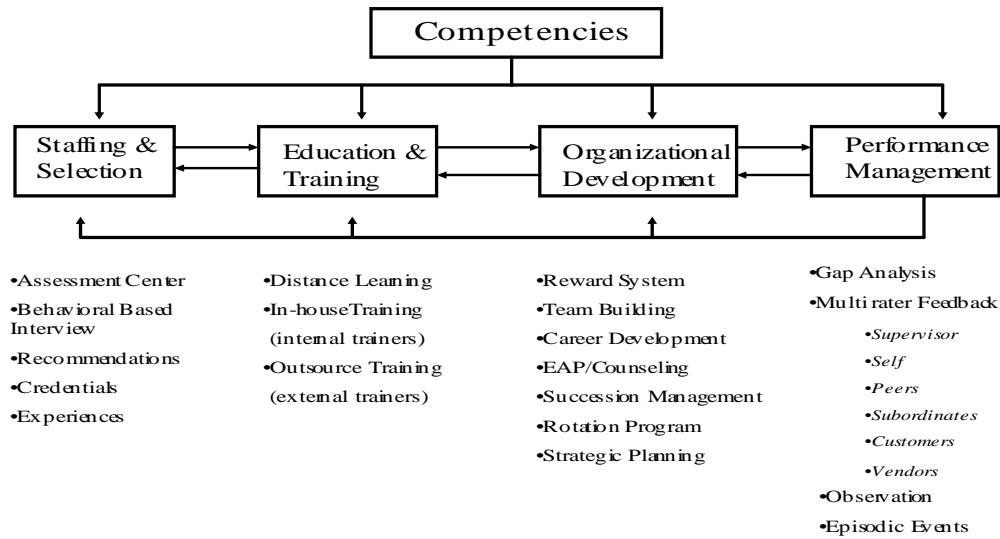
To validate the results further and to identify the importance rankings of competencies, a dimension (competency) confirmation questionnaire (DCQ) was distributed to supervisors and visionaries. DDI software was used to prepare the DCQ. The final competency model was a reflection of research data on a particular role gathered from current job descriptions, critical incident meetings, focus groups, and survey responses.

Statistical procedures were used to determine final dimension models for various jobs. The mean, or mathematical average, was used to determine the typical rating for a dimension or activity. For example, in the Dimension Analysis module, work content experts rated the importance of individual dimensions. A mean score was computed for importance of each individual dimension. Computing the mean score for each individual dimension in a dimension analysis answers the question, "On average, how important is this particular dimension to the job being analyzed?" Standard deviation calculations were used in the Dimension Confirmation phase of dimension analysis. These calculations showed how ratings given by different raters for the same dimension were similar to each other. Work content experts were also asked to provide ranking data in the Dimension Confirmation phase of a dimension analysis to help determine whether a particular dimension should be included in the final list of dimensions. Before any mathematical calculations were performed on the ranking data, they were converted to C scores—standard scores that have quasi-equal adjacent points on a scale. Converting ranking data to C scores not only placed the rankings on a linear scale, but also made comparisons of rankings between two different jobs reliable. Finally, in order to assess the content validity, before finalizing the dimension model, the comprehensiveness ratings were also determined by having work content experts (WCE) indicate the percent of job covered by the activities and/or dimensions covered in analysis (DAQ and DCQ). If WCEs selected "high" comprehensiveness rating that means they believed a person who performs acceptably in the dimensions and/or activities will be successful in the job being analyzed. If WCEs selected a "low" comprehensiveness rating, that means they believed a number of dimensions and/or activities important to job performance have not been included in the analysis or that there may be irrelevant dimensions and/or activities in the analysis. (ICS® reference manual, 2000, pp. 2-18)

Implementation

Today, HR executives and practitioners are faced with many new opportunities to utilize competency methods to improve individual, team, and organizational performance (Athey & Orth, 1999). The key concern is to leverage existing competency practices to have a significant and measurable impact on business results (Athey et al., 1999). At AMS, the implementation of competencies is still in its beginning stage. Early results indicate that the process is valuable and insightful. Figure 1 summarizes the competencies for human resource development.

Figure 1. AMS Competency Model.



The major issue that may occur while implementing the competency strategy is the scope of application of competency models across various HR systems. AMS adopted an incremental change strategy. Figure 2 summarizes the initial areas where competency-based applications are to be exercised.

Figure 2. Initial Areas of Competency-Based Application at AMS.

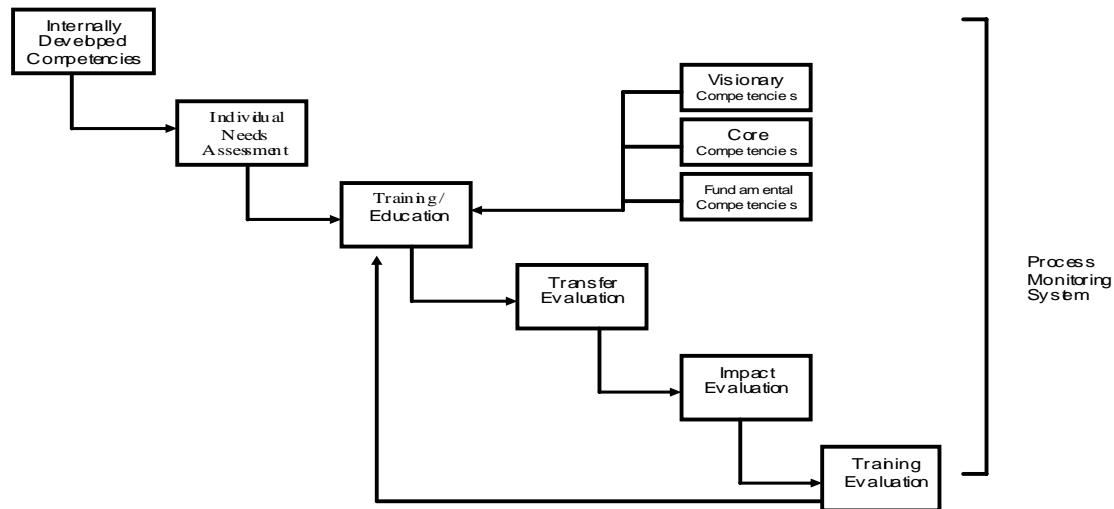


Staffing and selection. Many agencies are using competencies as the foundation for recruitment and selection (Rodriguez et al., 2002). AMS considered staffing and selection as the first step for implementation by putting a behavioral-based interview guide in place for the selection function. Interview guides were prepared based on competency models, using the benefits of DDI software. The competencies were divided into two broad categories: competencies that are relatively easy and those that are relatively difficult to coach. During the interview, more focus and higher weights were assigned to those competencies that are most critical for success in the position and to

those competencies that are difficult to coach. Using competencies as the basis for staffing provided the flexibility and assurance needed to select and place individuals where they can best serve the organization (Rodriguez et al., 2002).

Education and training. The education and training function was another area in which to leverage competency-based strategy. The implementation process began with an analysis to identify competency gaps. The result of the gap-analysis exercise was to identify competencies that current incumbents needed to improve. For training and education purposes, competencies were divided into three broad categories: fundamental competencies (essential competencies that all employees share across the board), core competencies (functional competencies that help perform the current job effectively), and visionary competencies (competencies that prepare an individual for the next level or future job). Various sets of online and in-house competency-based programs were designed. Specific emphasis was placed on training evaluation by developing training transfer and performance impact assessment systems. Figure 3 summarizes the competency-based education and training systems.

Figure 3. AMS's Competency-Based Training & Education System



Career development. The third application area was career development. Here, the competencies were used to identify the long-range potential of employees. AMS believes that high-caliber and high-potential employees who consistently exhibit effective leadership competencies will progress in satisfying career paths. This process will be validated and closely monitored against business results and performance evaluations, while competency-based training and education functions allow employees to enhance their leadership competencies. Formal competency-based training programs will be designed and conducted via classroom-based learning, computer and interactive video-assisted training, to e-learning. The aim of this initiative is to provide creative, convenient, and technologically advanced learning opportunities to employees to support them in their career development.

Performance management. The success of any company depends on how well it is able to align the goals and objectives of individual employees with the goals and objectives of the organization. A company can strengthen the connection between its strategic plan and the work the employees perform with a competency-based performance management system. The next step for competency implementation at AMS is performance management. Competencies provide the basis to identify performance gaps. Taking the lead from there, competency benchmarks will be used to anchor the rating scale for the multi-rater performance review process. These competency ratings will be combined with ratings on the achievement of other business results and goals.

Challenges Faced by AMS

Following are some of the major issues that AMS encountered while developing and implementing competency models.

1. What are the pressing strategic business needs that are driving the competency-based strategy?
2. Should AMS use generic competency models or develop its own?
3. How should key stakeholders and internal opinion leaders be involved in the process of developing and implementing a competency-based strategy?
4. How broad and extensive should the data collection be?
5. How much evidence is sufficient to justify inclusion of competencies in the model?
6. What should be the scope of application of competency models across many different HR functions?
7. How could a behavioral descriptors format best suit the implementation?
8. Who will drive the implementation?
9. What will it take to implement strategy successfully in terms of dollars?
10. What system will be used to evaluate and measure the impact of the competency-based initiative?

Contributions to HRD Knowledge

This literature review and case study contribute to HRD knowledge by examining the importance and applicability of a critical OD and performance improvement strategy. This study provides deeper understanding that, despite the impressive benefits; the decision to introduce competency models into the organization should not be taken without due consideration. Instead, organizations will need to be prepared to devote a significant amount of time for planning and communication, data collection, change planning, and resistance management. This paper opens new avenues for research, particularly in identifying numerous areas of competency-based strategy implementations.

References

- Allbredge, M. E., & Nilan, K. J. (2000). 3M's leadership competency model: An internally developed solution. *Human Resource Management*, 39(2), 133-145.
- Ashkenas, R., Ulrich, D., Jick, T., & Kerr, S. (1995). *The boundaryless organization*. San Francisco, CA: Jossey-Bass.
- Athey, T. R., & Orth, M. S. (1999). Emerging competency methods for the future. *Human Resource Management*, 38(3), 215-226.
- Development Dimensions International, Inc. (DDI®). (2000). *Identifying Criteria for Success (ICS®) reference manual* (pp. 2-18). Pittsburgh, PA: Author.
- D'Aveni, R. (1994). *Hypercompetition*. New York, NY: Free Press.
- Daniels, D. R., Erickson, M. L., & Dalik, A. (2001). Here to stay-taking competencies to the next level. *WorkatWork Journal*, 10(1), 70-77.
- Fleishman, E. A., Wetrogan, L. I., Uhlman, C. E., & Marshall-Mies, J. C. (1995). In N. G. Peterson, M. D. Mumford, W. C. Borman, P. R. Jeanneret, & E. A. Fleishman (Eds.), *Development of prototype occupational information network content model* (Vol. 1, pp. 10.1-10.39). Salt Lake City, UT: Utah Department of Employment Security (Contract Number 94-542).
- Foxan, M. J. (1998). Closing the global leadership competency gap: The Motorola GOLD Process. *Organization Development Journal*, 16, 5-12.
- Green, P. C. (1999). *Building robust competencies*. San Francisco, CA: Jossey-Bass.
- Guion, R. M. (1991). *Personnel assessment, selection and placement*. Palo Alto, CA: Consulting Psychological Press.
- Hamel, G., & Prahalad, C. K. (1994). Competing for the future. *Harvard Business School Review*, 72(4), 122-128.
- Harvey, M. G., Novicovic, M. M., & Speier, C. (2000). An innovative global management staffing system: a competency-based perspective. *Human Resource Management*, 49(4), 381-394.
- Keidel, R. W. (1994). Rethinking organizational design. *The Academy of Management Executive*, 8, 12-30.
- Lepsinger, R. (1995). Use competency models to support organizational change. *Human Resource Professional*, 8(4), 7-10.
- Lucia, A. D., & Lesinger, R. (2002). *The art and science of competency models: Pinpointing critical success factors in an organization*. San Francisco, CA: Jossey-Bass/Pfeiffer.

- Mirabile, R. J. (1999). The new workplace. *Human Resource Professionals*, 12(6), 19-22.
- Mirabile, R. J. (1997). Implementation planning: Key to successful competency strategies. *Human Resource Professional*, 10(4), 19-23.
- Rodgriguez, D., Patel, R., Bright, A., Gregory, D., & Gowing, M. K. (2002). Developing competency model to promote integrated human resource practices. *Human Resource Management*, 41, 309-324.
- Spencer, L. M., Jr., & Spencer, S. M. (1993). *Competencies at work: Models for superior performance*. New York, NY: John Wiley & Sons.
- Sunoo, B. P. (1999). Creating worker competency roadmaps. *Workforce*, 78(3), 72-75.

A Mediated Hierarchical Regression Analysis Of Factors Related To Career Research Productivity Of Human Resource Education And Development Postsecondary Faculty

*Heather A. Williams
The University of Southern Mississippi*

*Joe W. Kotrlík
Louisiana State University*

This study sought to determine factors that drive an HRED postsecondary faculty member to be a high producer of research. A HRED faculty career research productivity mediated model was designed and evaluated based on theory and previous literature. The model consisted of environmental variables (control variables), perceived organizational priorities (independent variables), personal interests/abilities (mediator), and research productivity (dependent variable measured by a weighted career research productivity score).

Keywords: Research Productivity; Postsecondary Faculty; Hierarchical Regression

Publications in postsecondary education have existed for some time as a standard by which individual faculty member's tenure is granted (along with teaching and service), a measure against which institutional programs are judged and rated, grant funding is obtained, and a method by which a discipline's progress is tracked (Campbell, Gaertner, & Vecchio, 1983; Cargile & Bublitz, 1986; Hasselback & Reinstein, 1995; Ingram & Petersen, 1991; Schultz, Mead, & Khurana, 1989; Vasil, 1996). Within higher education, it has been stated that faculty members with a successful publishing record and expertise in research are often admired by other faculty and students as on the cutting edge of their field and are regarded as knowledgeable about most issues in their field (Levine, 1997). In addition, these highly productive faculty members are seen as more powerful educators and often serve as a frame of reference for junior faculty members and others who are developing their own research agenda. In addition, research within a discipline is important as a conduit of thought and progress toward an understanding of phenomena within the discipline.

Problem Statement

Due to the value postsecondary institutions have and currently place on research productivity in the granting of promotion and tenure to faculty, as well as the basis of the recognition/rating of departments and/or universities for their research productivity; the ongoing growth of the HRD discipline; and the paucity of research on factors explaining research productivity specifically of HRED faculty members, a need existed to investigate what drives an HRED postsecondary faculty member to be a high producer of research. In this study HRED is composed of HRD, adult education (AE), organizational behavior (OB) disciplines.

Theoretical Base

Motivation theory, specifically drawing from cognitive motivation theory works by Thierry and Bandura, was utilized as the theoretical framework for this research. This allowed the investigation of both individual and institutional factors to be considered as potential drivers or motivational antecedents to the research productivity of HRED faculty.

Works by Thierry and Bandura discuss the fact that educational institutions are more individualistic and have potentially different outcomes with the application of motivational theory. These authors address the individual aspect of cognitive motivation and take into account environmental factors. Thierry's (1998) focus on cognitive theory posits that when a person is actively processing information, that person will perceive signals, interpret signals, store the information in memory and retrieve the information when needed; therefore influencing some behavior. Cognitive motivation involves an individual's cognitive processing of multiple factors - including self (interests, skills, abilities, desires, and needs) and environment (verbal and nonverbal rewards and punishments).

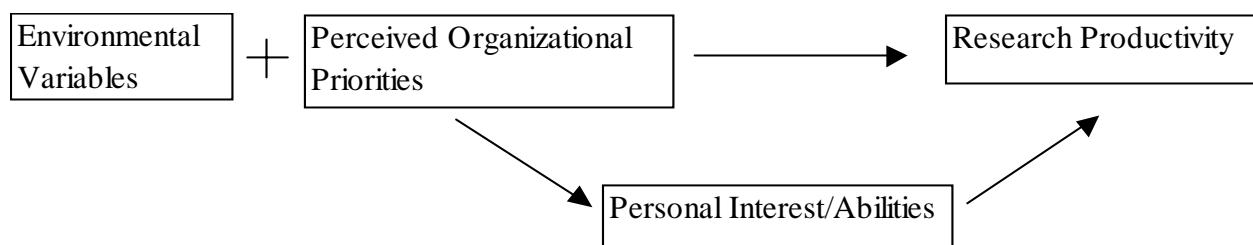
Copyright © 2004 Heather Williams & Joe Kotrlík

Bandura (1977) states that cognitive theories explain behavior in terms of "central processing of direct,

vicarious and symbolic sources of information" (p. 192). People engage in behaviors when they judge their coping skills are sufficient, as well as determine the level of effort to expend and level of persistence. Therefore, it is efficacy that serves as a base of motivation, but is not the sole determinant of behavior. Component capabilities (i.e., incentives) must be present. Efficacy expectations are a major determinant of people's choice of activities, effort expended, and persistence when appropriate skills and adequate incentives are present.

Considering this theoretical background, a HRED Faculty Research Productivity Model was developed in an attempt to determine factors that drive HRED faculty members to demonstrate high research productivity. This mediated model takes into consideration information provided by cognitive motivation theorists, accounts for the altruistic environment of a university, and the uniqueness of a postsecondary faculty member. Within this model, environmental variables are controlled, perceptions of organizational priorities are considered motivational antecedents, and personal interest/abilities are assumed to mediate the relationship between the motivational antecedents and the research productivity of HRED faculty members. The model is presented in Figure 1 and variable descriptions follow the model.

Figure 1. HRED Faculty Career Research Productivity Model



HRED Faculty Career Research Productivity Model

Environmental variables were controlled for in this model. The variables considered environmental were Carnegie rank, age, and time spent teaching. These variables were selected as environmental because they are part of the environment that the person once in the job has the least amount of control over. They represent the priorities of the institution that do not have to be assumed, e.g., a particular Carnegie rank has a particular research focus. Time spent teaching is generally controlled by the administrators of the institution, and there is no need for a faculty member to attempt to perceive what their teaching load will be because it is assigned to him or her. These two variables are part of what Campbell (1990) discusses as job specific variables. Age is present in the model as a controlled variable due to previous research stating that age has an effect on research productivity.

Perceived organizational priorities variables were the motivational antecedents in this model. The variables included presence of institutional funding for research, opinion of research resources provided by the institution, and agreement with the statements "Research/publications should be the primary criterion for promotion of college teachers at this institution," and "At this institution, research is rewarded more than teaching." These variables are surrogates of motivation because no direct measures of motivation were available in this data set. These variables served to address Bandura's (1977) references to vicarious experience, verbal persuasion, and psychological states. For example, what is rewarded in an institution can be observed through modeling and/or observation, as well as verbally reported. Also, the more or less satisfaction/agreement one possesses due to the promotion of certain activities within his or her work environment, the more or less emotional arousal that individual will exhibit which may then affect his or her performance, behavior or actions. These variables are present also due to discussion by Thierry (1998) of an individual's perception of and interpretation of signals. Additionally, the discussion by Bandura (1977) and Staw (1984) pertaining to rewards influencing behavior or outcomes is demonstrated by the variables selected.

Personal abilities/interests was represented by preferred time spent in research. This variable served as a mediator in the model and acted as a surrogate to one's personal abilities/interests. This variable was selected because it represents both Staw's (1984) discussion of the altruistic environment, and advancement of self-goals, and of Bandura's (1977) performance accomplishments. It is the personal aspect of research productivity. Whereas the organizational priority variables serve as the person's processing of the environment, this is the person's processing of preference and skill level within him/herself. This variable is presented as a mediator due to discussion by Bandura (1977) stating that of the four factors potentially influencing personal efficacy (performance

accomplishments, vicarious experiences, verbal persuasion, and emotional arousal), the factor of performance accomplishments provides the greatest influence.

Research productivity was selected as the dependent variable for this study and was represented as career research productivity score. This variable was selected to represent a person's outcome, action or behavior - i.e., the demonstration of the end result of the individual taking in and processing environmental and personal variables and then reacting.

Purpose And Objectives

It was the purpose of this research effort to investigate what drives an HRED postsecondary faculty member to be a high producer of research. The objectives of the study were 1) describe HRED faculty members on selected demographic/professional variables, 2) describe the career research productivity of HRED faculty members in various outlets, and 3) determine if selected variables explain a significant proportion of the variance in the career research productivity of HRED faculty members.

Faculty research productivity was defined in this research effort as any scholarly research produced by a faculty member that contributes to the knowledge base of a discipline. For the purposes of this study, research productivity included articles/creative works in refereed/juried media; articles/creative works in nonrefereed/nonjuried media; reviews of books, articles, or creative works; books, textbooks, monographs, and reports; and presentations and exhibitions.

Methodology

The National Center for Education Statistics (NCES) conducted three national studies of post-secondary faculty in the years 1988-89, 1992-93, and 1998-99. The database from the 1988-89 study was not used in this study because the instrumentation and data collection procedures were modified significantly after the 1988-89 study; therefore, only the data from the 1992-93 and 1998-99 databases were utilized. Since no significant difference existed between the career research productivity scores of the faculty in the two datasets ($t=-1.21$, $df=279$, $p=.23$), the procedures presented below will be based on the combined data set (i.e., both the 1992-93 and 1998-99).

Population and Sample

The target population and frame for this study was all HRED full-time and part-time instructional and research faculty in colleges and universities across the United States who possessed academic and/or research responsibilities during the 1992-93 and 1998-99 school years. The sample consisted of 155 HRED faculty members (49 HRD, 59 AE, and 47 OB faculty members) for the 1992-93 survey, and 136 HRED faculty members (31 HRD, 53 AE, and 52 OB faculty members) for the 1998-99 survey for a total sample size of 291. It should be noted that of the 291 total sample size, duplication of respondents might have occurred from the 1992-93 and 1998-99 surveys. This information was not available from NCES to determine the extent of potential duplication. However, due to the randomness of the sample selection procedure and the large pool in the HRED target population and frame, it was assumed that duplication of respondents was not a substantial concern.

Representativeness of Population

To determine if this sample was representative of the population and to control for non-response error, research productivity scores were compared by sample response mode (mail versus phone follow-up) as recommended by Borg (1987) and Miller and Smith (1983) utilizing *t*-test procedures with an *alpha* level set *a priori* at 0.05. The results of the *t*-test ($t=.41$, $df=251$, $p=.68$) revealed that no significant difference existed in the career research productivity score between the mail and phone respondents, and it was concluded that the sample was representative of the population.

Instrumentation

Face and content validity of the instrument were evaluated by NCES in the design of their study. NCES claimed that the instrument possessed face and content validity. To verify the face and content validity of the instrument, a panel of experts consisting of 40 HRED faculty members from across the nation was asked to review the questions and instructions. These individuals were selected on the basis that they had participated in research efforts utilizing survey research and would therefore possess an understanding of the concepts of validity as it applies to HRED faculty research productivity. The panel determined that the instrument possessed face and content validity, which supported the validity claimed by NCES.

To investigate reliability of the instrument, an internal consistency coefficient was calculated for the faculty opinion of institutional research resources scale, which is the only scale used in this study. A Cronbach's *alpha* of .72 was calculated for this scale as recommended by Carmines and Zeller (1979). According to Robinson, Shaver & Wrightman's Standards of Reliability (1991), this scale possessed extensive reliability, which supported the

reliability findings by NCES in which it was reported that all variables had acceptable reliability based on test-retest procedures.

Data Analyses

Descriptive statistics were used to describe the demographic and professional variables, and the career research productivity data. A mediated hierarchical regression analysis was used to determine if selected variables explained a significant proportion of the variance in the career research productivity of HRED faculty member. Mediated regression was selected because it was determined by review of previous research that perception of personal interest/abilities may account for all or some of the relationship between the independent and dependent variables. In addition, this procedure allowed full and partial mediation to be tested for this model.

The two categorical variables (presence of institutional funding, Carnegie rank) to be utilized in the regression were dummy coded. This procedure was performed due to the inability of SPSS to properly handle nominal variables as independent variables in regression equations. Institutional funding categories included presence of (coded as 1) or absence of research funding (coded as 0). The variable Carnegie rank was collapsed from 9 categories (public research, private research, public Ph.D./medical, private Ph.D./medical, public comprehensive, private comprehensive, private liberal arts, public two-year and other) to 2 categories (high research rank and low research rank). The collapsing of the categories was based on the mean career research productivity scores and mean time spent in research value. Those categories with individual mean values above those of the overall mean career research productivity and time spent in research values were included in the high research rank group, while those with below average individual mean values were placed in the low research rank group. Therefore, the high research rank institutions included public research, private research, public Ph.D./medical, private Ph.D./medical, public comprehensive, and private comprehensive; while low research rank institutions included private liberal arts, public two-year and other.

Regression assumptions and influential observations were evaluated. Assumptions and tests conducted were based on research by Hair et al. (1994) and Bates, Holton, and Burnett (1999). First, an initial regression was run, followed by tests for violation of regression assumptions, multicollinearity, and individual and multiple influential observations. Cases appearing to contribute to the violation of assumptions or acting as influential observations were removed (10 cases). Removing these cases reduced the CRPS overall data set to 281 cases or respondents. Once these cases were removed, regression assumptions were again evaluated, and no violation of assumptions was present and the condition of multicollinearity did not exist.

To perform mediated hierarchical regression, the *alpha* level was set a' priori at 0.05 with an entry level of 0.05. The recommended ratio of observations per variable of 10:1 was adhered to (Hair et al., 1994). R^2 was presented to represent effect size and was interpreted using the descriptors by Cohen (1988). The four steps to determine if mediation existed and if mediation was partial or full were based on the hierarchical regression procedures reported by Hair et al. (1994), Bates and Khasawneh (2002), and Baron and Kenny (1986). The steps were: Step 1: entered control variables as block one, entered independent variables (X) as block two and regressed variables on the dependent variable (Y); Step 2: entered control variables as block one, entered mediator variable (Z) as block two, and regressed variables on the dependent variable (Y); Step 3: entered control variables as block one, entered independent variables (X) as block two, and regressed on the mediator variable (Z); and Step 4 was conducted if steps 1 - 3 produced significant models: entered control variables as block one, entered mediator variable (Z) as block two, entered independent variables (X) as block three, and regressed on the dependent variable (Y). The results of step 4 determine the type of mediation - if a significant model resulted, partial mediation existed; however, if a nonsignificant model resulted, full mediation existed.

Findings

Objective 1: HRED faculty members selected demographic and professional characteristics. Less than one-fourth (14.4%) of the respondents received funding for research of some type (mainly from their institution). The total current research funding average was \$6739. Tenure was possessed by 25.4% of respondents, while 14.4% were on tenure track. The average number of years tenured was 9.25 years. The most common principal activity reported was teaching (79%), followed by research (5.2%). Approximately half (48.8%) of the respondents were engaged in research, writing, and/or creative works, mainly applied research.

Objective 2: Career research productivity of HRED faculty members. Five research productivity items (presentations/exhibitions, refereed and nonrefereed articles/media, books/textbooks/monographs/reports, and published reviews) were identified in the review of literature and used as the basis for the career research productivity score (presented in Table 1). Respondents reported having a greater number of presentations than any other form of research output, followed by refereed articles/juried media, and nonrefereed articles/juried media.

Table 1. Items Composing Career Research Productivity Scores of HRED Respondents

Item	Minimum	Maximum	M	SD
Career presentations, exhibitions	0	258	20.56	39.64
Career refereed articles/juried media	0	100	5.46	12.16
Career nonrefereed articles/nonjuried media	0	70	3.75	8.68
Career books, textbooks, monographs, reports	0	30	1.58	4.20
Career published reviews	0	75	1.19	5.25

Note. N=281.

The formula used to calculate the career research productivity (CP) was CP = (.123*career presentations/exhibitions) + (.483*career refereed articles/juried media) + (.127*career nonrefereed articles/nonjuried media) + (.15*career books, textbooks, monographs, reports) + (.117*career published reviews). The weights were determined by a validation panel that weighted each of the 5 items used to calculate the score. The CP value was then processed one step further to obtain the career research productivity score (CRPS), i.e., CRPS = CP/years since received highest degree. The values used to compute research productivity scores were those reported by respondents in reference to the type and quantity of research each had produced over their career. The mean career research productivity score was .50.

Objective 3: Explaining the variance in the career research productivity of HRED faculty. The descriptive statistics for the variables utilized in the model are presented in Tables 2 and 3. The items "Research is rewarded more than teaching at this institution," and "Research should be promotion criteria at this institution" were individual Likert type items with 4-point scales (1=very dissatisfied, 2=somewhat dissatisfied, 3=somewhat satisfied, 4=very satisfied). The institutional research support scale ($\alpha=.72$) was composed of the following Likert type items - library holdings, secretarial support, availability of research assistants and office space - with the same 4 point rating as the independent items list in the previous statement.

Table 2. Descriptive Statistics for Interval Model Variables from CRPS Overall Data Set

Variable	Minimum	Maximum	M	SD
Career research productivity score	0	4.67	50	.72
Percent of time spent teaching	0	100	53.51	32.71
Age	25	77	48.63	10.35
Research is rewarded more than teaching	1	4	2.31	1.06
Research should be promotion criteria	1	4	2.04	.83
Institutional research support scale	1	5	2.99	.87
Percent of time preferred to be spent in research	0	70	14.79	17.34

Note. N=281.

Table 3. Descriptive Statistics for Categorical Model Variables from CRPS Overall Data Set

Variable	N	%
Carnegie rank ^a	High rank	158
	Low rank	123
	Total	281
Institutional funding:	Funding present	25
	Funding not present	256
	Total	281

^aCarnegie rank was divided as described in the data analyses section of this manuscript.

The evaluation of the HRED Faculty Research Productivity Model utilizing CRPS as the dependent variable is broken down into the four steps of testing a mediated model. The results of each step are presented with "C" representing the control variable, "X" representing the independent variables, "Z" representing the mediating variable, and "Y" representing the dependent variable. Steps 1 – 3 in the hierarchical regression produced statistically significant models (Step 1 (C+X=Y) - $p<.001$, $R^2=.309$; Step 2 (C+Z=Y) - $p<.001$, $R^2=.383$; Step 3 (C+X=Z) - $p<.001$, $R^2=.258$). Due to the significance of the models in Steps 1 through 3, Step 4 was conducted which also produced a statistically significant model (Step 4 (C+Z+X=Y) - $p=.029$, $R^2=.412$).

A partially mediated model exists due to the significant result ($p=.029$) of Step 4, and the R^2 value demonstrates a large effect size (Cohen, 1988) denoting the model's strength and practical significance. Therefore, personal interest/abilities (measured by preferred time spent in research) alters the relationship between perceived organizational priorities and career research productivity score. The regression model summaries are presented in

Table 4, standardized betas are presented in Table 5, and correlation matrix for Step 4 is presented in Table 6.

Table 4. *Career Research Productivity Score Model Summary*

Model	R ²	SE	df	p	Effect Size ^a
Step 1: C+X=Y	.309	61	261	<.001	Large
Step 2: C+Z=Y	.383	57	276	<.001	Large
Step 3: C+X=Z	.258	15.26	261	<.001	Moderate
Step 4: C+Z+X=Y	.412	57	260	.029	Large

Note. See Table 5 for variables that entered the equation in each step.

^aEffect sizes interpreted accords to the standards proposed by Cohen (1988).

Table 5. *Standardized Betas for CRPS Steps 1, 2, 3, and 4*

Variables	Standardized betas			
	Step 1 (C+X=Y)	Step 2 (C+Z=Y)	Step 3 (C+X=Z)	Step 4 (C+Z+X=Y)
Controlled Variables (C)				
Percent of time spent teaching	-.15*	-.12*	-.05	-.13*
Age of respondent	-.08	-.09	-.04	-.07
Carnegie rank of institution	-.32*	-.24*	-.25*	-.23*
Independent Variables (X)				
Presence of funding	-.01	NA	-.11	-.04
Research should be primary promotion criteria	.22*	NA	.22*	.14*
Research is rewarded more than teaching	.12*	NA	.13*	.07
Opinion of institutional research resources scale	-.07	NA	-.13*	-.02
Mediating Variable (Z)				
Preferred amount of time spent in research	NA	.43*	NA	.37*

Note. "NA" represents not applicable, i.e., that variable was not entered into that step. *p<.05.

Table 6. *Career Research Productivity Step 4 Mediated Model Correlation Matrix*

Variable	1	2	3	4	5	6	7	8	9
1 - CRPS	—	—	—	—	—	—	—	—	—
2 - Percent of time in teaching	-.262*	—	—	—	—	—	—	—	—
3 - Age	-.139*	.024	—	—	—	—	—	—	—
4 - Carnegie rank of institution	-.449*	.237*	.060	—	—	—	—	—	—
5 - Preferred amount of time spent in research	.544*	-.155*	-.094	-.386*	—	—	—	—	—
6 - Research should be promotion criteria	.321*	-.074	-.151*	-.161*	.295*	—	—	—	—
7 - Research is rewarded more than teaching	.307*	-.103*	.052	-.397*	.303*	.235*	—	—	—
8 - Institutional research support	-.087	.019	.063	.084	-.157*	.072	.026	—	—
9 - Presence of funding	-.119*	.081	.005	.201*	-.215*	-.015	-.193*	.171*	—

*p<.05.

Conclusions

The blocks of variables - environmental, perceived organizational priorities, and personal interest/abilities - are significant predictors of the dependent variable (career research productivity score) suggesting the existence of a partially mediated relationship. These results indicated that, after controlling for personal interests/abilities, the significant relationship between the independent variables (perception of organizational priorities) and dependent variable was reduced, but not to nonsignificance.

The HRED Faculty Research Productivity Model was proposed as a mediated model based on cognitive theory. This model is supported by the analyses conducted in this study. HRED faculty members process multiple factors including their environment, organizational priorities and self (interests/abilities), storing this information and producing some outcome, action or behavior, i.e., the quantity of career research output. Research by Thierry (1998) and Bandura (1977) is supported by this model. Organizational priorities may represent incentives or component capabilities as stated by Bandura (1977) that are encouraging individuals to produce more research over their careers, i.e., HRED faculty may be evaluating organizational priorities in a long range sense to achieve benefit over their careers. HRED faculty with higher personal interests/abilities in research produced a higher quantity of

research over their careers. This variable may represent performance accomplishments (Bandura, 1977) or internal focus on an individual (Staw, 1984), again contributing to increased career research output.

Overall, an HRED faculty member's perception of their abilities/interests is driving their research productivity, and their perception of organizational priorities is contributing to the determination of the amount research output. These factors, therefore, influence the choice of effort to expend, choice of level of effort to expend, and choice to persist in the expenditure of that level of effort (i.e., motivation - to spend time in research, produce and continue to produce research).

By examining the beta weights of the predictor variables, their relative importance in a study is evaluated. Carnegie rank, "Research should be the primary criterion for promotion of college teachers at their institution," time spent teaching, and the mediating variable "preferred time spent in research" possessed significant beta values for this model. Negative moderate correlations existed between low Carnegie rank (private liberal arts and public two-year, and other) and career research productivity score, demonstrating that HRED faculty members of lower ranked Carnegie institutions produced less research than did those HRED faculty from higher ranked Carnegie institutions; therefore, it is appropriate to consider Carnegie rank as a control variable in this model, as well as to recognize its potential influence on the career research productivity of the members of institutions within certain ranks.

"Research should be the primary criterion for promotion of college teachers at their institution" possessed a positive a significant moderate correlation with career research productivity. As the opinion that research should be the primary criterion for promotion at that institution increased, research productivity increased. It is logical that the individuals agreeing with this statement would have higher career research productivity scores.

Time spent teaching possessed low negative correlations with career research productivity score and is therefore of significance for career research productivity because, as expected, as time spent teaching increased, the career research productivity decreased. Time spent teaching may vary over one's career, which may demonstrate a long term relationship between increased time spent teaching and decreased career research productivity.

The significance of preferred percent of time spent in research as a mediating variable is highlighted by the substantial correlation between this variable and career research productivity. Preferred time spent in research is a surrogate variable to represent the individual's perception of his or her research interests, skills and abilities. Therefore, a HRED faculty member's perception of their personal interests/abilities in research is a crucial factor to their success in career research productivity.

Variables possessing non-significant beta values can also contribute to the value of a research effort and deserve to be discussed. For this effort, these variables include age, research was rewarded more than teaching at their institution, presence of institutional funding, and opinion of institutional research resources. These variables have been found by previous research to significantly contribute to research productivity. Age possessed a negative negligible association with the career research productivity that supports research by Williamson and Cable (2003) who stated that age was not a significant predictor in early career research productivity. "Research was rewarded more than teaching at their institution," possessed a moderate positive correlation with career research productivity demonstrating this variable may not have been a salient variable to HRED faculty members. "Presence of institutional funding" possessed a low association with career research productivity; however, this variable's significance in this model may have been increased if more institutions would have provided funding. Lastly, the variable "satisfaction with institutional resources" was not correlated with career research productivity.

Recommendations/Implications and Contribution To New Knowledge In HRD

Institutions housing HRED faculty and desiring to increase faculty members' research output, should utilize research as the primary promotion criteria. These institutions should ensure that this is communicated to their faculty. If these institutions are lower Carnegie rank universities (e.g., private liberal arts or public two-year), their desire for faculty to produce research should be clearly communicated to override the general assumption that their institution is one of a Carnegie rank that would not expect research production. These institutions should also strive to reduce teaching loads if increased research productivity is desired, or possibly create combined research/teaching classes where students and professors work together to throughout the course with the end product of publishable research created as a joint effort between the professor and students.

Further, to assist in the development of current HRED faculty's personal interests/abilities in research and therefore to increase research productivity, these institutions should also set up programs to increase current faculty members' personal interests/abilities in research. For example, a mentoring program could be developed to assist faculty in increasing their research abilities. Institutions could also encourage participation in research conferences by provision of funding.

Institutions establishing hiring structures to select individuals who will be high producers of research should evaluate the personal interest/abilities in research of their applicants. This can be accomplished through the evaluation of previous research produced by the applicants - both publications and presentations, or if the applicant is a recent graduate, previous research publications and presentations, advisor's research productivity, and the scholarly output of the graduate's degree granting department can be evaluated (Williamson & Cable, 2003).

This study contributes to new knowledge in HRD through the presentation of and evaluation of a new model combining previous theory and research from education, psychology and organizational behavior. Also, this model serves as a building block for future HRD research to consider prevalent factors affecting productivity in a university setting, which as Staw (1984) states differs from a traditional business/industry setting. This study provides a preliminary set of guidelines for colleges and universities to utilize when striving to build a research productive environment. It also serves as a part of a puzzle to build stronger research programs in HRD departments across postsecondary institutions noting that further research is needed through the study of leading researchers in HRD as well as leading research institutions. Lastly, through the increase of research productivity of HRD faculty, new and uncharted areas may be addressed increasing the value of HRD in both academic and practical worlds.

References

- Bandura, A. (1977). Toward a unifying theory of behavioral change. *Psychological Review*, 84, 191-215.
- Bates, R., Holton, E., & Burnett, M. (1999). Assessing the impact of influential observations on multiple regression analysis in human resource research. *Human Resource Development Quarterly*, 10(4), 343-363.
- Bates, R., & Khasawneh, S. (2002). *Self-efficacy as a mediator in college students' perceptions and use of online learning systems: An empirical investigation*. Manuscript submitted for publication.
- Baron, R., & Kenny, D. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of Personality and Social Psychology*, 51, 1173-1182.
- Borg, W. (1987). *Applying educational research* (2nd ed.). New York: Longman, Inc.
- Campbell, J. (1990). Modeling the performance prediction problem in industrial and organizational psychology. In L. Triandis, M. Dunnette, L. Hough (Eds.), *Handbook of industrial and organizational psychology* (pp. 687-732).
- Campbell, D., Gaertner, J., & Vecchio, R. (1983). Perceptions of promotion and tenure criteria: A survey of accounting educators. *Journal of Accounting Education*, Spring, 83-92.
- Cargile, B., & Bublitz, B. (1986). Factors contributing to published research by accounting faculties. *The Accounting Review*, 1, 158-178.
- Carmines, E., & Zeller, R. (1979). *Reliability and validity assessment*. California: Sage Publications, Inc.
- Cohen, J. (1988). *Statistical power analysis for the behavioral sciences* (2nd ed.). Hillsdale, NJ: Lawrence Erlbaum Associates.
- Hair, J., Anderson, R., Tatham, R., & Black, W. (1994). *Multivariate data analysis* (4th ed.). Upper Saddle River, NJ: Prentice Hall.
- Ingram, R., & Petersen, R. (1991). The accounting profession and the market for accounting teachers. *Accounting Educators' Journal*, 4, 1-8.
- Levine, J. (1997). Research and the practitioner. *Proceeding of the Annual Midwest Research to Practice Conference in Adult, Continuing and Community Education, East Lansing, MI* 16, 127-132 (ERIC Document Reproduction Service No. ED 412 370).
- Miller, L., & Smith, K. (1983). Handling nonresponse issues. *Journal of Extension*, 21, 45.
- Robinson, J., Shaver, P., & Wrightman, L. (1991). Criteria for scale selection and evaluation. In J.P. Robinson, P.R. Shaver, & L.S. Wrightsman (Eds.). *Measures of personality and social psychological attitudes*. New York: Academic Press.
- Schultz, J., Mead, J., & Humana, I. (1989). The changing roles of teaching, research, and service in the promotion and tenure decisions for accounting faculty. *Issues in Accounting Education*, Spring, 109-119.
- Staw, B. (1984). Motivation research versus the art of faculty management. In J. Bess (Ed.), *College and university organization: Insights from the behavioral sciences* (pp. 63-83). New York: New York University Press.
- Thierry, H. (1998). Motivation and satisfaction. In P. Drenth, H. Thierry, & C. Wolff, (Eds.), *Handbook of work and organizational psychology*: (Vol. 4., pp. 253-289). East Sussex, UK: Psychology Press.
- Vasil, L. (1996). Social process skills and career achievement among male and female academics, *Journal of Higher Education*, 67(1), 103-14.
- Williamson, I., & Cable, D. (2003). Predicting early career research productivity: The case of management faculty. *Journal of Organizational Behavior*, 24, 25-44.

Variables Influencing Time Spent in Research of Human Resource Education and Development Faculty Members

*Heather A. Williams
The University of Southern Mississippi*

*Joe W. Kotrlík
Louisiana State University*

This study sought to determine variables that influence HRED postsecondary faculty to spend more time in research than fellow HRED postsecondary faculty. Reviewing theory and literature led to the design and evaluation of a mediated model investigating the influence of environmental variables (control variables), perceived organizational priorities (independent variables), and personal interest/abilities (mediating variable) on the amount of time spent in research.

Keywords: Time Spent in Research, HRED Postsecondary Faculty, Mediated Model

Numerous institutions' promotion and tenure systems as well as reward systems are based on research, teaching and service (Kotrlík et al., 2002; & Read, Rae, & Raghunandan, 1998). In the past, the type of institution was the determining factor as to how weights per factor were distributed; however, a trend toward greater emphasis on research across all types of institutions has arisen and increased over time (Seldin, 1984). Evidence of this trend is supported by research from Perry, Clifton, Menec, Struthers, and Menges (2000) who stated that Liberal arts colleges are pushing faculty members to produce more to ensure promotion and tenure. Additionally, Henthorne, LaTour, and Loraas (1998) reported many "teaching oriented" schools are requiring publications in refereed journals for tenure and promotion; while McNurlen and West (2000) reported findings from several studies that research productivity was valued over the quality of teaching and service.

Aside from the duties of establishing promotion, tenure and reward structures, institutions are also faced with the challenge of upholding their ranking, establishing their prestige, and improving their economic status (Blackburn et al., 1991; Ohio State Legislative Office of Education Oversight, 1993). Blackburn et al. (1991) stated that it is hoped that the increase in significance placed upon research productivity will enhance an institution's reputation and economic status. Perry et al. (2000) reported findings from a study by Boyer (1990) that research activity is increasingly viewed "as a key element in status attainment of postsecondary institutions" (p. 167).

Creamer (1998) addressed these issues in stating, "faculty publishing and productivity are often used as an index of departmental and institutional prestige" (p. 1). While Henthorne et al. (1998) also discussed institutional rank and performance stating that bench marking of an institution's research productivity allows demonstration of that institution's ranking and performance. DeMeuse (1987) reported program quality is commonly judged by the productivity of its faculty members. And Olsen (1994) reported that increases in productivity lead to high prestige for the university and the student alike.

Porter and Umbach (2000) reported that institutions are concerned with increasing teaching loads due to a potential loss in grant revenue. Grant revenue is an important source of an institution's budget; therefore, research derived from funding is an important factor for an institution to consider. The Ohio State Legislative Offices of Education Oversight (1993) report stated that public institutions receive state funding based on enrollment and in order to maintain enrollment, institutions must attract and retain students. An institution's prestige, that is, the presence of known faculty members (for their research), higher quality graduate programs, and exceptional departments are more likely to attract quality students, and therefore maintain adequate state funding.

Just as an individuals and institutions are assessed based on their research output, so is a discipline (Henthorne et al., 1998). Disciplines build and disseminate knowledge through productivity of research (Dundar & Lewis, 1998). Faculty members may stay current in their discipline through conducting research (Ohio State Legislative Office of Education Oversight, 1993). Progress of newly formed disciplines is also judged through evaluation of a discipline's research productivity (Williams, 2000). This calls attention to the faculty members within that discipline who are not only participating in its development, but also instructing those who will further develop the discipline in years to come. Research also serves to provide progress toward an understanding of phenomena within the discipline.

Copyright © 2004 Heather Williams & Joe Kotrlík

Problem Statement

Research productivity has been viewed as a valuable entity reaching as far back in postsecondary history as the early 1910's (Cattell, 1910). Due to the value postsecondary institutions place on research productivity, the ongoing growth of the HRD discipline, and the paucity of research on factors explaining time spent in research by HRED faculty members, a need exists to investigate what drives an HRED postsecondary faculty member to spend time in research (Bailey, 1992; & Liddle, Westergreen, & Duke, 1997). This study will complete this investigation through the use of past research on faculty members' research productivity and two National Center for Educational Statistics (NCES) data sets (National Study of Postsecondary Faculty Studies, 1992-93 and 1998-99).

Background

Numerous research efforts have been conducted in related disciplines addressing faculty research productivity. Resulting from these studies is a key set of variables that have been shown to be related to research productivity including institutional support, funding, teaching load and level, time spent, faculty opinion of the environment, interest in research and characteristics of the research environment.

"Institutions play a significant role in determining both individual and departmental productivity" (Dundar & Lewis, 1998, p. 613). Institutional support has been measured as the number of teaching/research assistants assigned to a faculty member, the hours of assignment, the ratio of such hours allocated per faculty member, institutional and departmental support for research, administrative support, quality of computing facilities, size of libraries, and funding. The variable funding was found to be of major importance in a study by Snyder, McLaughlin, & Montgomery (1990). They stated that in order to have successful research faculty members, research activities must be properly funded. Teodorescu (2000) found the amount of research funds received in the past three years to be an important correlate in the majority of countries in his study. Dundar & Lewis (1998) also found that financial support was highly correlated to productivity.

The type of institution has been reported to be correlated to research productivity (Bailey, 1992). Radhakrishna et al. (1994) reported previous research determined that faculty members in major research institutions published more than faculty members at four-year colleges. Bailey (1992) found an increase in research productivity from Liberal Arts II Colleges through Research I Universities. Related to type of institution, Bland and Ruffin (1992) found several characteristics of one's environment to be associated with research productivity including clear goals, research emphasis, culture, positive group climate, assertive participative governance, decentralized organization, frequent communication, accessible resources, sufficient size, age and diversity of the research groups, appropriate rewards, concentration on recruitment and selection, leadership with research expertise, and skill in initiating appropriate organizational structure and participatory management practices.

Noser et al., (1996) investigated teaching loads and teaching level. Teaching load and teaching level were found to be significantly related to research output. Faculty members with lower teaching loads and those who taught primarily at the graduate level demonstrated the highest mean research scores. Butler & Cantrell (1989) found that the valance of a reduced teaching load was positively related to research production.

Choices faculty members make about how they spend their time may affect productivity (Cohen & Gutek, 1991). Faculty members' time can be spent or allocated for numerous duties: teaching, research, service, committee work, editing, advising, and administration. A report conducted by Oklahoma State Regents for Higher Education (1993) stated faculty members felt they spent too much time in administrative roles and not enough time in personal development activities.

Williams et al. (2001) found teaching, research, service and administrative time percentages explained a significant proportion of the variance found in research productivity. Bailey (1992) found an increase in research productivity was supported by amount of time spent on research activities. Liddle et al. (1997) studied operationalization of time spent in relation to publication productivity, and their study found time spent in research activities, time spent advising, and total hours worked significantly correlated with increased production of research, with the majority (78%) indicating they would prefer to spend more time in research. Teodorescu (2000) found time spent on research significantly affected productivity in four countries including the United States. Conversely, Kotlik et al. (2001) and Bartlett et al. (2001) found that time allocated to research did not significantly explain research productivity.

Faculty opinion may influence productivity whether it is an opinion of job satisfaction, research/training environment, funding adequacy, or freedom to collaborate. DeMeuse (1987) found a strong relation between subjective opinions of program quality and the number of articles that a university published using Journal of Applied Psychology articles. Blackburn et al. (1991) reported characteristics of employing institution were not

related to research productivity. Additionally, Williams et al. (2001) found organizational culture/support for research did not explain a significant proportion of the variance in research productivity.

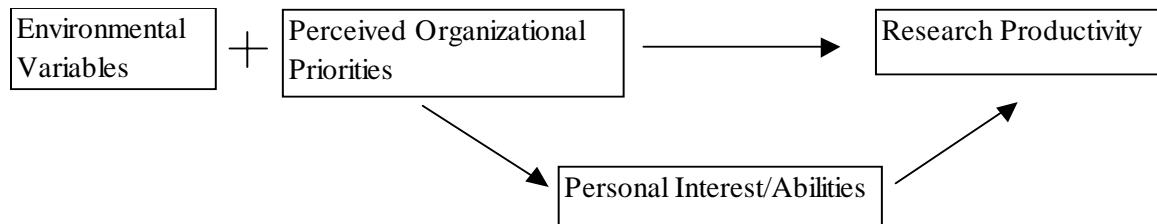
Lastly, interest in research has also been investigated. Blackburn et al. (1991) found this variable did not predict productivity. However, Behymer (1974) found research interest to be the best predictor of research productivity and Gottlieb et al. (1994) found personal preferences predicted productivity. Ramsden (1994) found early interest in research to be correlated with research performance. Noser et al. (1996) found attitude toward research to be related to research productivity.

Theoretical Framework

Cognitive motivation theory was utilized as the theoretical framework for this research effort which allowed the investigation of both individual and institutional factors to be considered as potential drivers or motivational antecedents to the time spent in research by faculty members. Campbell's (1990) discussion workplace performance, Staw's (1984) discussion of work motivation theory, and Thierry's (1998) and Bandura's (1977) discussions of the individualist nature of educational environments were referenced and utilized to develop a HRED Faculty Research Productivity Model - where research productivity is operationalized as time spent in research.

The HRED Faculty Research Productivity Model is a mediated model constructed for the purpose of identifying factors driving HRED faculty to spend time in research in which environmental variables are controlled, perceptions of organizational priorities are considered motivational antecedents, and personal interest/abilities are assumed to mediate the relationship between the motivational antecedents and the time spent in research by HRED faculty members. The model is presented in Figure 1.

Figure 1. HRED Faculty Research Productivity Model



Purpose and Objectives

The purpose of this research effort is to investigate what drives an HRED postsecondary faculty member to spend more time in research than other HRED faculty members. The objectives of this research effort are to 1) describe HRED faculty members on selected demographic/professional variables; 2) describe differences in faculty members' actual time spent versus their preferred time spent teaching, at research, on professional growth, at administration, on service activity, and on consulting; and 3) determine if selected variables explain a significant proportion of the variance in the amount of time spent in research of HRED faculty members.

Methodology

The National Center for Education Statistics (NCES) conducted three national studies of post-secondary faculty in the years 1988-89, 1992-93, and 1998-99. The database from the 1988-89 study was not used in this study because the instrumentation and data collection procedures were modified significantly after the 1988-89 study; therefore, only the data from the 1992-93 and 1998-99 databases were utilized. Since no significant difference existed between the time spent in research by the faculty in the two datasets ($t=1.01$, $df=289$, $p=.32$), the procedures presented below will be based on the combined data set (i.e., both the 1992-93 and 1998-99).

Population and Sample

The target population and frame for this study was all HRED full-time and part-time instructional and research faculty in colleges and universities across the United States who possessed academic and/or research responsibilities during the 1992-93 and 1998-99 school years. The sample consisted of 155 HRED faculty members (49 HRD, 59 Adult Education (AE), and 47 Organizational Behavior (OB) faculty members) for the 1992-93 survey, and 136 HRED faculty members (31 HRD, 53 AE, and 52 OB faculty members) for the 1998-99 survey for a total sample

size of 291. It should be noted that of the 291 total sample size, duplication of respondents might have occurred from the 1992-93 and 1998-99 surveys. This information was not available from NCES to determine the possibility of duplication. However, due to the randomness of the sample selection procedure and the large pool in the HRED target population and frame, it was assumed duplication of respondents was not a substantial concern.

Representativeness of Population

To determine if this sample was representative of the population and to control for non-response error, research productivity scores were compared by sample response mode (mail versus phone follow-up) as recommended by Borg (1987) and Miller and Smith (1983) utilizing *t*-test procedures with an *alpha* level set *a' priori* at 0.05. The results of the *t*-test ($t=1.35$, $df=251$, $p=.16$) revealed that no significant difference existed in the time spent in research between the mail and phone respondents, and it was concluded that the sample was representative of the population.

Instrumentation

Face and content validity of the instrument were evaluated by NCES in the design of their study. NCES claimed that the instrument possessed face and content validity. To verify the face and content validity of the instrument, a panel of experts consisting of 40 HRED faculty members from across the nation were asked to review the questions and instructions. These individuals were selected on the basis that they had participated in research efforts utilizing survey research and would therefore possess an understanding of the concepts of validity as it applies to HRED faculty research productivity. The panel determined that the instrument possessed face and content validity, which supported the validity claimed by NCES.

To investigate reliability of the instrument, an internal consistency coefficient was calculated for the faculty opinion of institutional research resources scale (the only scale used in this study). Cronbach's *alpha* of .72 was calculated as recommended by Carmines and Zeller (1979). According to Robinson, Shaver & Wrightman's Standards of Reliability (1991), this scale possessed extensive reliability, which supported the reliability findings by NCES in which it was reported that all variables had acceptable reliability based on test-retest procedures.

Data Analysis

Descriptive statistics were used to describe the demographic and professional variables, and time spent data. A mediated hierachal regression analysis was used to determine if selected variables explained a significant proportion of the variance in the time spent in research of HRED postsecondary faculty members. Regression assumptions and influential observations were evaluated. Assumptions and tests conducted were based on research by Hair et al. (1994) and Bates, Holton, and Burnett (1999).

To perform mediated hierarchical regression, the *alpha* level was set *a' priori* at 0.05 with an entry level of 0.05. The recommended ratio of observations per variable (10:1) was adhered to (Hair et al., 1994). R^2 was presented to represent effect size and was interpreted using the descriptors by Cohen (1988). Four steps were conducted to determine if mediation existed and if mediation was partial or full based on hierachal regression procedures reported by Hair et al. (1994), Bates and Khasawneh (2002), and Baron and Kenny (1986).

Findings

Objective 1: Describe HRED faculty members on selected demographic/professional variables. Gender was divided approximately evenly among males (49.8%) and females (50.2%). The number of teaching assistants ranged from 0 to 9. Less than one-fourth (14.4%) of the respondents received research funding of some type (mainly from their institution). Tenure was possessed by 25.4% of respondents, while 14.4% were on tenure track. The most common principal activity reported was teaching (79%), followed by research (5.2%). Approximately half (48.8%) of the respondents were engaged in research, writing, and/or creative works, mainly applied research.

Objective 2: Describe differences in faculty members' actual time spent verses their preferred time spent teaching, at research, on professional growth, at administration, on service activity, and on consulting. HRED respondents reported preferring to spend less time teaching and in administrative duties, and more time in research and professional growth; however, time spent teaching demonstrates only statistical significance and not practical significance as seen by the negligible Cohen's *d* value (.12), while other differences between preference and actual time spent in administration, research and professional growth demonstrate practical significance (Table 1).

Table 1. Time Spent Descriptive Statistics and Comparisons of HRED Respondents

Time spent	Actual		Preferred		<i>t</i>	df	<i>p</i>	Cohen's <i>d</i> ^a
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>				
Teaching	53.49	32.79	51.36	29.90	2.01	290	.046	.12
Administration	14.97	25.70	10.15	20.28	6.35	290	<.001	.37
Research	10.88	15.88	15.53	18.53	-7.88	290	<.001	.46
Consulting	8.87	21.02	8.78	18.56	.17	290	.865	NA
Service activity	5.87	12.26	5.96	12.36	-.15	290	.883	NA
Professional growth	5.24	8.44	7.55	8.43	-4.72	290	<.001	.28

^aCohen's *d* descriptors: large effect size=.80, medium effect size=.50, small effect size=.20.

Objective 3: Determine if selected variables explain a significant proportion of the variance in the amount of time spent in research of HRED faculty members. Following the evaluation of the regression assumptions and influential observations, 13 cases were removed due to the presence of outliers. Removing these cases reduced the TSR data set to 278 cases or respondents. Once these cases were removed, regression assumptions were again evaluated and no violation of assumptions was present. Also, the condition of multicollinearity was not present. Once the TSR overall data set was corrected, descriptive statistics of model variables were calculated. Tables 2 and 3 present the descriptive statistics for the TRS overall data set.

Table 2. Descriptive Statistics for Interval Model Variables

Variable	Minimum	Maximum	<i>M</i>	<i>SD</i>
Percent of time spent in research	0	59	9.78	13.56
Percent of time spent teaching	0	100	53.82	32.73
Age	25	77	48.74	10.31
Research is rewarded more than teaching at this institution	1	4	2.30	1.06
Research should be promotion criteria at this institution	1	4	2.03	.83
Institutional research support scale	1	5	2.99	.86
Percent of time preferred to be spent in research	0	70	13.94	16.54

Note. *N*=278.

Table 3. Descriptive Statistics for Categorical Model Variables

Variable	Frequency	Percent
Carnegie rank^a		
High rank	158	56.8
Low rank	120	43.2
Total	278	100.0
Presence of institutional funding		
Funding present	25	9.0
Funding not present	253	91.0
Total	278	100.0

The evaluation of the HRED Faculty Research Productivity Model utilizing TSR as the dependent variable is broken down into the four steps of testing a mediated model. The results of each step follow with "C" representing the control variable, "X" representing the independent variables, "Z" representing the mediating variable, and "Y" representing the dependent variable. Step 1 (C+X=Y) produced a statistically significant model (*p*=.000), *R*²=.330; Step 2 (C+Z=Y) produced a statistically significant model (*p*<.000), *R*²=.786; and Step 3 (C+X=Z) produced a statistically significant model (*p*<.000), *R*²=.289. Due to the significance of the models in Steps 1 through 3, Step 4 (C+Z+X=Y) was conducted and produced a statistically significant model (*p*=.009), *R*²=.794. See Table 4 for the Model Summary, Table 5 for variables that entered into each step of the equation, and Table 6 for Step 4's correlation matrix.

Table 4. Time Spent in Research Model Summary

Model	<i>R</i> ²	SE	df	<i>p</i>	Effect Size ^a
Step 1: C+X=Y	.330	11.38	258	<.001	Large
Step 2: C+Z=Y	.786	6.32	273	<.001	Large
Step 3: C+X=Z	.289	15.26	258	<.001	Large
Step 4: C+Z+X=Y	.794	6.33	257	.009	Large

^aEffect sizes interpreted accords to the standards proposed by Cohen (1988).

Table 5. *Time Spent in Research Steps 1, 2, 3, and 4 Standardized Betas*

Variables	Standardized betas			
	Step 1 (C+X=Y)	Step 2 (C+Z=Y)	Step 3 (C+X=Z)	Step 4 C+Z+X=Y)
Percent of time spent teaching	-.10	-.08*	-.03	-.08*
Age of respondent	-.05	-.01	-.05	-.01
Low rank	-.20*	-.03	-.24*	-.01
Funding not present	-.17*	NA	-.14*	-.06
Research should be primary promotion	.28*	NA	.26*	.07*
Research is rewarded more than teaching	.17*	NA	.14*	.05
Opinion of institutional research resources	-.14*	NA	-.13*	-.04
Preferred amount of time spent in research	NA	.86*	NA	.81*

Note. "NA" represents not applicable, i.e., that variable was not entered into that step.

* $p < .05$.

Table 6. *Time Spent in Research Step 4 Mediated Model Correlation Matrix*

Variable	1	2	3	4	6	7	8	9	10
1 - Percent of time in research	—	—	—	—	—	—	—	—	—
2 - Percent of time in teaching	-.212*	—	—	—	—	—	—	—	—
3 - Age	-.103*	.036	—	—	—	—	—	—	—
4 - Low rank	-.383*	.236*	.061	—	—	—	—	—	—
6 - Percent preferred in research	.880*	-.145*	-.102*	-.389*	—	—	—	—	—
7 - Research should be promotion criteria	.357*	-.091	-.144*	-.161*	.334*	—	—	—	—
8 - Research rewarded more than teaching	.345*	-.112*	.059	-.395*	.320*	.223*	—	—	—
9 - Institutional research support	-.165*	.024	.063	.077	-.149*	.078	.032	—	—
10 - Funding not present	-.279*	.085	.008	.199*	-.244*	-.020	-.201*	.175*	—

* $p < .05$.

Conclusions

HRED faculty members' preferences concerning how their time is spent differed from how they actually spent their time in teaching, research, professional growth and administration. Throughout the sample, HRED faculty members preferred to spend more time in research and professional growth, and less time in administration.

The blocks of variables - environmental, perceived organizational priorities, and personal interest/abilities - are significant predictors of time spent in research suggesting the existence of a mediated relationship. A partially mediated relationship exists, indicating that after controlling for personal interests/abilities, the significant relationship between the independent variables (perception of organizational priorities) and the dependent variable, time spent in research, was not reduced to nonsignificance.

The HRED Faculty Research Productivity Model was proposed as a mediated model based on cognitive theory. This model received support by the analyses conducted in this study. HRED faculty members processed multiple factors including their environment and organizational priorities and their self (interests/abilities), storing this information and producing some outcome, action or behavior, i.e., the amount of time spent in research. Research by Thierry (1998) and Bandura (1977) is supported by this model. In this HRED Faculty Research Productivity Model, the faculty member's perception of organizational priorities and personal interest/abilities significantly affect the amount of time spent in research. Organizational priorities may represent incentives or component capabilities as stated by Bandura (1977) that are encouraging individuals to spend more time in research. Staw (1984) states that for variables to influence productivity in a postsecondary educational environment, they must be of value to the faculty members and governed by the norms of self rather than controlled by the system.

HRED faculty with higher personal interests/abilities in research spends more time in research. This variable may represent performance accomplishments (Bandura, 1977) or internal focus on an individual (Staw, 1984). The moderate to very strong positive correlations between this variable and the dependent variables highlights the significance of preferred percent of time spent in research as a mediating variable across all dependent variables. Preferred time spent in research is a surrogate variable to represent the individual's perception of his or her research interests, skills and abilities. Therefore, a HRED faculty member's perception of their personal interests/abilities in research is a crucial factor to their success in research productivity.

Additionally, significant beta weights demonstrate the relative importance of percent of time spent teaching, research should be the primary promotional criteria, research is rewarded more than teaching, and preferred amount of time spent in research. The most influential variable in the model was preferred time spent in research, which again supports the value of personal interests and abilities in research driving time spent in research. The remaining three variables with significant betas demonstrate the value of an organization's priorities on research and how the faculty perceives these; e.g., as time spent teaching increases, time spent in research decreases; and as research is rewarded more than teaching and used as a primary promotional criterion, time spent in research increases.

Recommendations and Contribution To New Knowledge In HRD

If it is the goal of an institution to increase the time its HRED faculty spends in research, it is recommended that the institution should review its time allocation policies, clarify and communicate their perspective on research, and recruit or build individuals with interests in research. Institutions can reduce time spent in administrative duties and teaching, while increasing time spent in research and professional growth. Professional growth programs can include mentorship, workshops, or conferences specifically designed to build research capabilities and interests. These programs can also assist faculty in furthering their capabilities to carry out research in areas of interest by providing funding and placing research as a priority in promotion and tenure. Additionally, evaluation of and recognition of the preferences of faculty's time spent in various activities by administrators could allow for more appropriate allocation of duties possibly creating a faculty that is more productive in all areas of faculty responsibility.

Further, institutions with this goal can design hiring structures to select individuals who have personal interests and abilities in research. This may be accomplished by combining advertisement of research as primary promotional criteria and as the primary factor of the reward structure, and selection based on past publication and presentation records. If the applicant is a recent graduate, his or her previous research productivity (publications and presentations), advisor's research productivity and the department's scholarly output of their academic origin can be evaluated (Williamson and Cable, 2003).

Lastly, this model presents a starting point for institutions housing HRED faculty who desire to increase their faculty member's time spent in research. Also, this is the first model of its kind in HRD addressing HRED faculty productivity and therefore, it serves as a bridge between traditional management productivity literature and postsecondary productivity literature.

References

- Bailey, T. (1992). Faculty research productivity. Association for the Study of Higher Education Meeting Paper. Minneapolis, MN.
- Bandura, A. (1977). Toward a unifying theory of behavioral change. *Psychological Review*, 84, 191-215.
- Bartlett, J., Kotrlik, J., Higgins, C., & Williams, H. (2001). Exploring factors associated with research productivity of business faculty at National Association of Business Teacher Education. *Published Report*.
- Bates, R., Holton, E., & Burnett, M. (1999). Assessing the impact of influential observations on multiple regression analysis in human resource research. *Human Resource Development Quarterly*, 10(4), 343-363.
- Bates, R., & Khasawneh, S. (2002). *Self-efficacy as a mediator in college students' perceptions and use of online learning systems: An empirical investigation*. Manuscript submitted for publication.
- Baron, R., & Kenny, D. (1986). The moderator-mediator variable distinction in social psychological research: Conceptual, strategic, and statistical considerations. *Journal of Personality and Social Psychology*, 51, 1173-1182.
- Blackburn, R., Bieber, J., Lawrence, J., & Trautvetter, L. (1991). Faculty at work: Focus on research, scholarship, and service. *Research In Higher Education*, 32(4), 385.
- Bland, D. & Ruffin, M. (1992.) Characteristics of a productive research environment: Literature review. *Academic Medicine*, 67(6), 385-97.
- Borg, W. (1987). *Applying educational research* (2nd ed.). New York: Longman, Inc.
- Boyer, E. (1990). *Scholarship reconsidered*. Princeton, New Jersey: The Carnegie Foundation for the Advancement of Teaching.
- Butler, J., & Cantrell, R. (1989). Extrinsic reward valences and productivity of business faculty: A within and between subjects decision modeling experiment. *Psychological Reports*, 64, 343-353.
- Campbell, J. (1990). Modeling the performance prediction problem in industrial and organizational psychology. In Triandis, M.Dunnette, & L.Hough, (Eds.), *Handbook of industrial and organizational psychology* (pp.687-732).

- Carmines, E., & Zeller, R. (1979). *Reliability and validity assessment*. California: Sage Publications, Inc.
- Cattell, J. (1910). A further statistical study of American men of science. *Science*, 32, 672-688.
- Cohen, A., & Gutek, B. (1991). Sex differences in the career experiences of members of two APA divisions. *American Psychologist*, 46, 1292-1298.
- Creamer, E. (1998). *Assessing faculty publication productivity: Issues of equity*. Eric Document No. ED420242.
- DeMeuse, K. (1987). The relationship between research productivity and perceptions of doctoral program quality. *Professional Psychology: Research and Practice*, 18(1), 81-83.
- Dundar, H., & Lewis, D., (1998). Determinants of research productivity in higher education. *Research in Higher Education*, 39(6), 607.
- Gottlieb, E., & others. (1994). *The ambivalence of the Israeli Academic profession: Research vs. teaching. The academic profession approaches the 21st Century*. ERIC Document No. 375693.
- Hair, J., Anderson, R., Tatham, R., & Black, W. (1994). *Multivariate data analysis* (4th ed.). Upper Saddle River, NJ: Prentice Hall.
- Henthorne, T., LaTour, M., & Loraas, T. (1998). Publication productivity in three leading US advertising journals. *Journal of Advertising Provo*, 27(2), 53-63.
- Kotrlik, J., Bartlett, J., Higgins, C. & Williams, H. (2002). Factors associated with research productivity of agricultural education faculty. *Journal of Agricultural Education*, 43(3), 1-10.
- McNurlen, B., & West, C. (2000). *Research productivity and tenure*. Paper presented at the Annual Meeting of the American Educational Research Association (New Orleans, LA, April 24-28, 2000).
- Miller, L., & Smith, K. (1983, September-October). Handling nonresponse issues. *Journal of Extension*, 21, 45.
- Noser, T., Manakyan, H., & Tanner, J. (1996). Research productivity and perceived teaching effectiveness: A survey of Economics faculty. *Research in Higher Education*, 37(3), 299-321.
- Ohio Legislative Office of Education Oversight. (1993). *The faculty reward system in public universities*. Report to the Legislative Committee in Education Oversight, Columbus, Ohio.
- Oklahoma State Regents for Higher Education. (1993). *Faculty productivity. Report and recommendations to the Oklahoma State Regents for Higher Education*. Oklahoma: Oklahoma State Regents for Higher Education. Eric Document Reproduction Service No. ED365248.
- Olsen, J. (1994). Institutional and technical constraints on faculty gross productivity in American doctoral universities. *Research in Higher Education*, 35(5), 549- 567.
- Perry, R., Clifton, R., Menec, V., Struthers, C., & Menges, R. (2000). Faculty in transition. *Research in Higher Education*, 41(2), 165-194.
- Porter, S., & Umbach, P. (2000). *Analyzing faculty workload data using multivariate modeling*. Paper presented at the Annual Forum of the Association for Institutional Research (40th, Cincinnati, Ohio, May 21-24).
- Radhakrishna, R.; Yoder, E., & Scanlon, D. (1994). *Determinants of faculty productivity: perspectives of agricultural and extension education faculty*. Dallas, TX: National Agricultural Education Research Meeting. ERIC Document Reproduction Service No. ED 380 549.
- Ramsden, P. (1994). Describing and explaining research productivity. *Higher Education*, 28, 207-226.
- Read, W., Rama, D., & Raghunandan, K. (1998). Are publication requirements for accounting faculty promotions still increasing? *Issues in Accounting Education*, 13(2), 327-339.
- Seldin, P. (1984). Faculty evaluation: Surveying policy and practices. *Change*, 16, 28-33.
- Snyder, J., McLaughlin, G., & Montgomery, J. (1990). *Factors contributing to research excellence*. Eric Document No. ED321672.
- Staw, B. (1984). Motivation research versus the art of faculty management. In J. Bess (Ed.), *College and university organization: Insights from the behavioral sciences* (pp.63-83). New York: New York University Press.
- Teodorescu, D. (2000). Correlates of faculty publication productivity: A cross-national analysis. *Higher Education*, 39, 201-222.
- Thierry, H. (1998). Motivation and satisfaction. Drenth, P., Thierry, H., & Wolff, C. (Eds.), *Handbook of work and organizational psychology: Vol. 4. Organizational Psychology* (253-289). East Sussex, UK: Psychology Press.
- Williams, H. (2000). A critical review of research and statistical methodologies within *Human Resource Development Quarterly*, *Academy of Management Journal*, and *Personnel Psychology*, 1995-1999. In O. Aliaga (Ed.), *Proceedings of the Academy of Resource Development*, (pp.841-847). Baton Rouge: AHRD.
- Williams, H., Bartlett, J., Kotrlik, J., & Higgins, C. (2001). An analysis of factors associated with research productivity of HRD faculty. *Proceedings of the Academy of Resource Development*, USA.
- Williamson, I., & Cable, D. (2003). Predicting early career research productivity: The case of management faculty. *Journal of Organizational Behavior*, 24, 25-44.

Learning and Context: Connections in Teacher Professional Development

*Barbara J. Daley
University of Wisconsin, Milwaukee*

This qualitative interpretivist study analyzes the interrelationships between, the knowledge gained in teacher professional development programs and the context of employment. Findings indicate that teachers construct a knowledge base by moving back and forth between continuing education programs and their professional practice. This process of knowledge construction is affected the structural, human resources, and political frames of the contexts in which teachers are employed. Implications for research and practice are drawn.

Keywords: Learning, Context, Teacher Professional Development

Professional development for teachers has increasingly become an important issue as the standards movement (Thompson, C. & Zeuli, J., 1999) gains momentum across the United States. With an increased emphasis on assessing teacher performance based on professional standards, professional development programs are experiencing greater scrutiny. The implied expectation is that professional development programs should assist teachers in meeting the national performance standards. However, numerous authors have indicated that the present teacher professional development programs are not meeting the goals of facilitating teacher learning and application of new content in their classrooms. Darling-Hammond (2000) indicates that the "issue is having professional development that is sustained, content-rich and curriculum-embedded instead of what we call the sort of 'drive-by-workshop' or 'spray-and-pray' approach to professional development" (p. 8). Numerous authors have called for a new approach to professional development for teachers, including Alvarado (1999) who states, "The new professional development must be different and much more powerful, and it will involve solving problems and collaborating at levels that we have never even contemplated" (p. 36).

However, before we can begin designing new professional development programs and systems for teachers, we must first understand how teachers learn in the context of their practice. We need to be able to answer these questions: How do teachers develop their practice? What are the relationships between information presented in teacher professional development programs and the use of that information in the school or employment context? What impact does the context of teaching practice have on the development of knowledge?

The use of knowledge in professional practice is an important issue within the field of human resource development (HRD) and teacher professional development for a variety of reasons. First, schools, employers, and professionals in the United States spend billions of dollars annually on professional development programs. According to Rowden (1996) "Employers spend over \$50 billion per year on formal employee training and education. Approximately \$180 billion per year is spent on informal, on-the-job training" (p. 3). Despite this huge investment of capital in professional development programs, few assurances exist that the knowledge learned in these programs is linked to the context of practice.

Second, researchers in the field of HRD and continuing education have long been active in the study and analysis of professional learning (Cervero, 1992; Houle, 1980), continuing professional education (Cervero, 1988), transfer of training (Broad & Newstrom, 1992), and evaluation of continuing education programs (Ottoson, 1997). Yet, very little of the knowledge base within the field of HRD and continuing education or the research in professional and organizational learning has been incorporated into the analysis and development of teacher professional development programs. The fields of HRD and teacher professional development may well have a great deal that they can learn from each other. Each field may benefit from the development of a cross-disciplinary approach to enhancing the practice of teaching in a school context.

Conceptual Framework and the Purpose of the Study

Explored in this study were the interrelationships of two major concepts: knowledge and context. Knowledge, for the purpose of this study, was viewed as a social construction of information that occurred through a process of constructivist learning and perspective transformation. Constructivists (Brunner, 1990; Novak, 1998) believe that individuals create knowledge by linking new information with past experiences. Within a constructivist framework,

Copyright © 2004 Barbara J. Daley

the learner progressively differentiates concepts into more and more complex understandings and also reconciles abstract understanding with concepts garnered from previous experience. New knowledge is made meaningful by the ways in which the learner establishes connections among knowledge learned, previous experiences, and the context in which the learner finds himself. Thus, constructivists believe that learning is a process of probing deeply the meaning of experiences in our lives and developing an understanding of how these experiences shape understanding. Within a constructivist framework, learning activities are designed to foster an integration of thinking, feeling, and acting while helping participants learn how to learn (Novak & Gowin, 1984).

Learning in the context of professional practice is also informed by the growing body of work in the area of situated cognition (Brown, Collins, & Duguid, 1989; Lave & Wenger, 1991), which can be conceptualized as having four interrelated learning aspects: (1) learning that is situated in the context of authentic practice, (2) transfer limited to similar situations, (3) learning as a social phenomenon, and (4) learning that relies on use of prior knowledge (Black & Schell, 1995). In this view, Brown, Collins and Duguid tell us, the authentic "activity in which knowledge is developed and deployed, is not separable from, or ancillary to, learning and cognition. Nor is it neutral. Rather, it is an integral part of what is learned" (1989, p. 32).

To examine the context of professional teaching practice, Bolman and Deal's (1997) framework was selected. Bolman and Deal (1997) demonstrated that schools and organizations can be viewed through four different lenses or frames, including the structural, human resources, political, and symbolic frame. The structural frame draws on concepts from sociology and emphasizes formal roles, defined relationships, and structures that fit the organizational environment and technology. Within the human resources frame, it is believed that organizations have individuals with needs and feelings that must be taken into account so that individuals can learn, grow, and change. The political frame analyzes the organization as comprised of groups competing for power and resources. The tools of this frame are bargaining, negotiation, coercion, and compromise. Finally, the symbolic frame (similar to organizational culture) abandons rationality and sees organizations as tribes with cultures propelled by ceremonies, stories, heroes, and myths. Bolman and Deal (1997) believe that organizations can be understood, analyzed, and changed by using different lenses and/or frames as ways to approach organizational issues. This framework was selected for the research reported here because it provides different lenses by which the researcher can examine and analyze the context in which teachers conduct their practice. The framework also provides a manageable way for the researcher to analyze the context of teachers practice.

The development of professional teaching practice has been looked at from three perspectives in the literature: program development and effectiveness, individual teacher development, and new ways to foster teacher learning. Research on program development and effectiveness indicates that the process is complex, ever changing, and involves multiple strategies and various components at various times (Loucks-Horsley, Hewson, Love & Stiles, 1998). For example, Castetter (1976) found that six factors lead to successful programs, including the development of program requirements, development need, performance targets, development plans, unit-development programs, and evaluation. Additionally, research indicates that while 85 percent of teachers report receiving less than eight hours a year of professional development in specific areas, professional development programs of longer duration are more effective (NCES, 1993-94). The impact of professional development programs on promoting individual teacher development has also been examined. Ashton, Buhr & Crocker (1984) found that high efficacy teachers had high academic standards, focused on academic instruction, articulated well-developed student expectations, developed on-task behavior, and created a supportive classroom environment. Finally, new ways to foster teacher learning have been proposed. Proposals include aligning professional development programs with national teaching standards, creating professional development programs that are continuous, rather than single offerings, and increasing both variety in subject matter and pedagogical expertise.

The literature cited here indicates that understanding teacher professional development requires an understanding of the interrelationships of knowledge and context. And yet, as Porter, et al indicate, "despite the amount of literature, relatively little systematic research has been conducted on the effects of professional development on improving teaching or on improving student outcomes" (Porter, Garet, Desimone, Yoon, & Birman, 2000, p. 6).

Specific Questions the Study was Designed to Address

This study used an interpretivist framework to search out the relationships and meanings that knowledge and context have for each other. This study was not testing a hypothesis or looking for a linear cause and effect relationship. Rather, this study provides an analysis of complex interrelationships for the purpose of understanding multiple causality. The following research questions were advanced to guide this inquiry. (1) What makes knowledge

meaningful in the context of teaching practice? (2) How is the construction of knowledge affected by the different frames (structural, political, human relations, symbolic) of the context in which teachers practice?

Data Collection and Analysis

To analyze the above research questions, teachers working in an urban school system were interviewed 9-12 months following their attendance at a university of sponsored teacher development program. A “purposive sample” (Lincoln & Guba, 1985) of 18 teachers was recruited, including eight elementary teachers, seven middle school teachers and three high school teachers ranging in age from 25-45. Additionally, 11 teachers were Caucasian and seven were African American, of which eight were men and 10 were women. Data in this study were collected through semi-structured interviews and document analysis. Following human subjects’ approval, data were collected from participants who had attended a continuing professional education (CPE) program or class on topics that were pertinent to their teaching role. Participants were then questioned to determine what they had learned or not learned, how they incorporated or did not incorporate that information into their practice, and what aspects of their practice they determined to be significant in fostering their learning. Participants were also questioned about the context of their practice including the organizational structure, human resources, politics, and culture. The interview guide used in this study was designed around the two aspects of the conceptual framework.

Verbatim transcripts were created from the tape-recorded interviews. Subsequently, two data analysis strategies were employed. First, the researcher created a concept map (Novak, 1998) that depicted the connections the study participant described among learning, context, and professional practice. Novak and Gowin (1984) define a concept map as, “a schematic device for representing a set of concept meanings embedded in a framework of propositions” (p. 15). Concept maps are created with the broader, more inclusive concepts at the top of the hierarchy, connecting through linking words with other concepts than can be subsumed. This tool helped the researcher understand the conceptual relationships expressed by study participants and provided an indication of the structure of knowledge developed by each individual. The maps were used to assist the researcher in tracing the interrelationships between the concepts under study. Concept maps were also returned to teachers for their review of the accuracy of the representation of their interview.

Second, a category system was created and all data were coded within categories. The categories were used to identify thematic areas articulated by participants. The category system was developed following a review of all concept maps in the study along with the data generated in the individual verbatim transcripts. An iterative review process was used and the category system was refined three times during the process of data coding. The interview transcripts were then coded into a computerized data analysis software program.

Two quality control mechanisms were employed in this study. First, member checks were employed during the interview process to determine accuracy of information. Second, all study participants reviewed the concept map created from their interview for accuracy and completeness. Concept maps were mailed to study participants and after they reviewed the map for accuracy, they returned the maps with any changes to the researcher.

Findings

Study results indicate that teachers who attend professional development programs use this new information to continually construct and reconstruct their knowledge base. Teachers described how their knowledge base was constantly changing and that experiences, attendance at professional development programs, and dialogue with colleagues all contributed to the continual growth of their knowledge base. For example one teacher indicated:

As a teacher, one gets kind of caught up in their own little world of doing what they do. You teach —you don't look at the big picture. Continuing education classes that I've taken have allowed me to see that big picture more. So it gives you a better sense of what the whole educational system is about - it expands what you know and what it means.

Teachers in this study described how their knowledge base is reconstructed and changed each time they learn something new. The new information learned in professional development programs was added to a teacher’s knowledge base through a complex process of thinking about the new information, acting on the new information, and identifying their feelings about the information. Teachers indicated that the new information had to connect to other concepts before it was meaningful to them, and part of the process of making knowledge meaningful was to use it in practice in some way. Thus, transferring information to practice was essential to the process of knowledge construction because often in this process of using information, teachers again changed what the information meant to them based on the results they observed.

How Knowledge Becomes Meaningful in Professional Practice

For knowledge to become meaningful in professional teaching, practicing teachers actively engaged in a process of thinking about the information learned, identifying feelings about the information and taking some action with the new information. These findings support the constructivist theories of learning discussed earlier.

Thinking. Teachers actively described how professional development programs helped them learn content that they used in their teaching practice. For example, teachers interviewed in this study had learned content related to math, science literacy, family school communication, teaching strategies, teaching with technology, and curriculum development. Teachers were not only able to describe what they learned but also indicated how they use the information they learned. For example teachers indicated that they learned the following:

I really learned that it takes a family to initiate and continue the child's development and education. I really feel that it's a huge component, whether it is a single-parent home, a two-family home, or even adopted/foster. I mean, we learned about all different types of family situations. And it was a real eye-opener.

Well, I learned that it's a lot easier to connect my academic areas with drama than I thought it was going to be. That's for sure. And I learned some specific techniques and strategies that I could use to incorporate drama in my classroom-using drama as an introductory activity to allow students to activate their background knowledge and participate in something in a different way. For example, I was doing a unit on energy and had the students play different roles as if they were designing roller coasters. And we got together a roller coaster development team and acted out what that would be like if they were on that team and we were trying to pitch an idea for a roller coaster that they had. So that required them to get into a character—and develop some ideas and ways that they could go about pitching their roller coaster.

What we see in these statements is that teachers were constantly thinking about the information they learned. They thought about it, discussed it with peers and administrators, and often tried out an activity before the knowledge became meaningful to them in their practice.

Feeling. Teachers in this study also explained that for the knowledge they learned in professional development programs to become meaningful, it had to be linked to some feelings they had about the information. Teachers described how continuing education programs were often a review, and they felt good about the review as it refreshed their memory:

. . . for me the class was a lot of review. I attended [name] college and that program focused a lot on balanced literacy and whole language, so a lot of the stuff in the professional development class reinforced that information and refreshed my memory on a lot of stuff I had forgotten about. Helped me remember to do more journaling and why it's important.

Teachers discussed how they felt refreshed following continuing education programs, as if they had gained new insight. They indicated that professional development programs facilitated an open-minded approach and helped prevent negative attitudes. For example, consider the teachers who indicated:

. . . The programs helped me understand where other people's views are coming from and also helped me take a closer look at myself, you know, a self-reflection of looking at it and saying, you can't just decide that just because a certain district is using a certain curriculum that that's the best curriculum there is. There are so many options out there in the world that you have to really think about the curriculum that you're using. It made me really think about that and be more open to new ideas.

Teachers also indicated that professional development increased their confidence and enhanced their creativity:

I think a lot of professional development programs have helped me to think outside of the box. They helped me be willing to try things and to try different things. A lot of the continuing education classes that I have taken have been the different ones with the nature centers and the zoo, and it helped me create field trips to be an educational thing rather than only an outing for the day.

Teachers indicated in this study that a major role of professional development programs was not only to keep them up to date, but to help support teachers in being willing to try new ideas and to foster a creative approach to teaching. These findings support the work of McDaniel and McCarthy (1989) who suggest that professional development programs that "stimulate, motivate, inspire and challenge can assist teachers in renewing their confidence in the potential of teaching and thus, raise their teaching efficacy (cited in Whitworth, 1999, p. 2).

Acting. In addition to thinking and feeling, the third element that fosters knowledge becoming meaningful in a teacher's practice, is action. Action may be implementing something they learned in their classroom as these teachers indicate:

I started doing some of that writer's workshop with my little one. And what I want to start soon with my kids is sort of a reader's workshop for kindergarten and getting my parents involved and sending home books in small groups and then having the kids come in and talk about them in class.

We had a math night and a reading night where we invited the parents to come in, and we had dinner. And then we had a "make it take it" night to help them make learning projects that they could do with their own children.

These teachers took specific ideas they had been exposed to in a professional development program and used them in their classroom. Often the use of these ideas was similar to what had been presented in the professional development program, but teachers were also very clear that they took the “seed of the idea” and then modified it to fit their own situation.

Teachers acted on the information in another way. Often this involved sharing knowledge or getting involved in planning for changes at the school. Teachers would find that they could use the knowledge gained in professional development programs to influence a planning process or a decision-making process. For example:

... we just got DI'ed (direct instruction) in our school, which was a major curriculum issue. We've mostly been talking a lot about the mathematics investigation curriculum, so I actually got engaged in a lot of different conversations about what we're doing in the class and what's being discussed in class. So I'd say that there was a lot of cross-reference there to the program I attended. I felt the need to say something about the curriculum.

For the teachers in this study, knowledge from professional development programs became meaningful as they engaged in a process that involved thinking, feeling and acting on new information. Teachers did not take something they learned in a program and simply apply it in their classroom. Rather, they analyzed the information and then were motivated or inspired to try a particular action with the information. At this point, then, the knowledge was more meaningful and more integrated into professional teaching practice.

Context

The complex process of knowledge construction and learning within teaching practice described in the previous section of this paper occurred in a particular practice context as well. The structural, human resources, political and symbolic frames described by Bolman and Deal (1997) offer a way to analyze the impact of the context on teachers’ knowledge construction.

Structural frame. Teachers in this study described two types of organizational structures in their schools. Some described a decentralized structure, where they were assigned to grade level teams and given the authority and autonomy to control their teaching practices through the team. In this situation, teachers felt that they could use a great deal of information from professional development programs because in conversation with other team members, they would decide how to use, modify and/or adapt the information to their school and grade level.

In contrast, some teachers described a more traditional bureaucratic system. In these systems, it was most often the principal and assistant principal who were in charge, and teachers felt that any changes they wanted to make had to be approved at that level. Additionally, teachers described how, in these organizations, they were often cut out of decision-making processes and this impacted their ability to use new information in their practice. For example, one teacher indicated that:

The staff is beautiful in itself, but really the administration and the staff have to work together, and it's just not happening. The staff are being told a lot of things they must do, and they're not being included in the decisions, which really needs to be done. Because, the teachers are the school. And they know what's going on best in their classrooms and it's hard for the administration to know exactly what's going on every single moment of the day within how many classrooms.

An additional structural factor that teachers described as impeding their use of information from professional development programs was the school’s curriculum and the process used for student assessments. The structure of the curriculum and the volume of assessments seemed to prevent teachers from attempting to incorporate too many new ideas into their teaching. Teachers indicated:

Some of what got in the way of using the information is the pressure to get through-especially at the middle school level-performance assessments. You know, a lot of the drama activities would be really cool to do and to incorporate into project-based learning, which would be any teacher's dream to do. But the fact of the matter is I need to push my kids through six assessments before the end of the year. So a lot of it [the professional development program] I felt like, "Ok, how would I ever get to this?"

Human resources frame. Within the human resources frame, teachers describe two predominant factors that seem to impede their use of new information from professional development programs: the role of orientation and the role of other teachers.

In this study, teachers described that the way they were welcomed and oriented to their school had a large impact on their willingness to use new ideas in practice. Some teachers described orientation and mentor programs that assisted them in making the transition from being a new graduate to becoming a teaching professional. In these settings, teachers described feeling nurtured and assisted with the process of implementing new ideas. However, the overwhelming majority of teachers recalled that they received little or no orientation to their school. Many teachers explained that they were hired at the last minute, given a quick presentation on benefits and salary, and then assigned to a classroom and “turned loose.” One teacher described how he spent the week before classes began putting together desks in his classroom, and then on the first day of class realized he had nothing prepared for the students but, he stated, “they did have a place to sit.” The lack of orientation programs or programs that socialized teachers to the profession left teachers feeling devalued, as if their role was one of “discipline and classroom management” rather than teaching. These teachers indicated that they were hesitant to suggest new ideas because the environment was “just about getting the work done.”

The second factor that teachers described in the human resources frame as impacting their use of new information in practice was the role of other teachers, specifically veteran or experienced teachers. Teachers often indicated a hesitancy to talk with other teachers about new ideas or new ways of doing things, not because they felt colleagues would actively block them from implementing something new, but because of a feeling that others were not interested. Consider the words of this teacher in the study:

I would say the thing that mostly gets in the way is other teachers because a lot of times they don't want to hear—well, if the teacher's a new teacher, then they want to soak up everything. But if it's an older teacher—in the building I'm in right now there are a lot of seasoned teachers—they'd rather do things the way they've been doing them. Teachers themselves, they would be the ones that would stop me from sharing. I think that people that have been doing this longer than 10 years are comfortable in the way they're doing things, and they are just real hesitant for change.

Political frame and symbolic frame. Bolman and Deal (1997) make a clear distinction between the political frame of the organization and the symbolic frame. And yet, in this study that distinction is not quite clear. Often it seemed in teachers descriptions that the culture or symbolic frame of the organization arose from the political frame. As such, the findings presented here are related directly to the political frame.

In describing organizational politics, teachers clearly described the impact of both internal politics and external politics on their use of knowledge from professional development programs. In terms of internal political issues, teachers described coalitions between some administrators and teachers saying, “Well, it is the favorites that get to do things.” Teachers also described the allocation of resources as an issue impacting what they did in their classrooms. Teachers indicated that at times they did not even suggest something they had learned because they knew their school or district just “did not have the money for that.” Finally, teachers described that the power vested in administration impacted not only what they did in their classrooms, but how they used new information in teaching.

I was surprised at how the reality of the politics of teaching work. I didn't really realize that there was, you know, so much power in administration. Although there are many different situations and I'm looking forward to moving to one where things are equal in making decisions in the school. But I didn't know that there was so much politics going on in the schools. It makes a difference in what I can and cannot do.

In addition, teachers described how the external politics of school reform, standards, and state mandates impact their use of knowledge from continuing education programs. What teachers described was a feeling of being overwhelmed with the changes, mandates and reforms. They also described a frustration with not being included in the development of the reforms, standards, and mandates. Teachers clearly felt that the things that were being imposed on them were out of their control and that their input into these changes was not welcomed. Teachers described how they would “go through the motions” of attending mandated educational programs, and then return to their classrooms and “do what I know would work.” Teachers’ feelings about mandated reforms seems to have created a vicious cycle of passive resistance to knowledge in education programs. Consider this teacher’s statement:

We've started doing some of the reforms at my school. Now that they have this balanced literacy in the district, a lot of the teachers, even in my school, are getting like, "You know what? I'll wait this out. This will be a thing for three to five years until the next big thing comes along, so I'll do as little as I can to appear like I'm following the rules until this burns itself out." So they'll go to the meetings and not really pay attention. They'll meet with the balanced literacy coordinator, but they won't really know where this fits. There's no real "buy-in" to this reform or to this new program that they're doing because they just feel like, "eh, it'll be gone in a few years."

The above statement is a very common description of how external political issues impact teachers’ use of new knowledge. As this teacher indicates, there is suspicion about the change, uncertainty about the value of the new

information, and distrust in a new program that may not be around long enough to invest time and energy in learning about it. When the external politics came along, one teacher explained, "I would just keep my head down and do what I know works in my classroom."

Implications for Future Research and Connecting HRD with Teacher Professional Development

This exploratory study initiated an examination of the connections between teacher professional development and the context of teaching practice. More research in this area is needed, specifically, research that includes a larger sample of teachers and a more longitudinal focus. Additional research is also needed on how teachers develop their practice. In this study there were many references to teachers with numerous years of experience being unwilling to change their practice. What factors contribute to this? What differences exist between teachers who spend time and effort developing their expertise and those who do not? What impact does the context of the school have on this process? A greater understanding of the processes involved in teacher development has the potential to improve not only the delivery of programs to teachers, but also the impact of those programs on student outcomes.

Current teacher professional development programs are often based on an "update model" that relies on a one-way transmission of information. It is clear from this study that teacher professional development programs need to be based on a constructivist and transformative model that will foster the integration of knowledge, context, and teaching practice. To create these types of programs, a number of changes are needed. First, those who are planning teacher professional development can benefit from understanding alternative approaches to program design. HRD can offer alternative ways to look at teacher professional development. In this framework, an inquiry approach to professional practice development is advocated.

Second, professional development programs where teachers use an action learning (Marsick & Watkins, 1999; Marquardt, 1999) approach to analyze cases in their practice and determine not only the action to be taken but the learning that coincides with the action have great potential in teacher professional development. Even though action learning was not the focus of this study, it is clear that these types of programs can assist teachers in developing their critical reflection skills so that they can more clearly understand their own assumptions, beliefs, and philosophy of teaching and thus more fully integrate new knowledge in their practice. Additionally, an action learning approach may help teachers clarify the issues that arise in urban teaching contexts and how they can more effectively incorporate the urban context in the classroom.

Third, action learning approaches have the potential to more closely align the professional development for teachers with the current changes, mandates, and reforms within the school context. Action learning focuses on the identification of problems in context, group questioning related to the problems and alternative approaches, a commitment to taking action to solve the problem, and a commitment to learning through a reflective process (Marquardt, 1999). The intent here is to take action to implement programs and/or solve problems while at the same time learning and developing professionals in the process.

Fourth, HRD researchers and practitioners have a great deal to offer schools in the areas of training, development, organizational learning, organizational change, and performance improvement. As this study indicates, few teachers have participated in training programs that were designed with the organization or school in mind. A partnership program between schools and businesses with an HRD focus may well benefit both organizations.

Finally, these implications support the recommendations of the Wisconsin Center for Education Research: "One dilemma professional development programs face is whether to focus on philosophical issues, such as changing teachers' view of learning, or to focus on more pragmatic issues, such as the use of specific instructional approaches and curriculum materials. . . It's important, therefore, to maintain a balance between a practical and philosophical perspective, with the understanding that at different times the process of professional development might focus more on one or the other, but that neither is sufficient alone" (p. 2). Action learning offers a methodology to focus on both the practical and philosophical.

References

- Alvareado, A. (1999). *Professional development is the job. Shaping the profession that shapes the future.* Speeches from the AFT/NEA Conference on Teacher Quality, Washington DC: September 25-27, 1999. (ERIC Document Reproduction Service No. ED431756).
- Ashton, P., Bhur, D., & Crocker, L. (1984). Teachers' sense of efficacy: A self or norm-referenced construct? *Florida Journal of Educational Research*, 26(1), 29-41.

- Black, R., & Schell, J. (1995). *Learning within a situated cognition framework: Implications for adult learning*. Paper presented at the American Vocational Association Convention, Denver, CO. (ERIC Document Reproduction Service No. ED389939)
- Bolman, L., & Deal, T. (1997). *Reframing organizations: Artistry, choice and leadership*. San Francisco: Jossey-Bass.
- Broad, M.. L., & Newstrom, J. W. (1992). *Transfer of training*. Reading, MA: Addison-Wesley.
- Brown, J. S., Collins, A., & Duguid, P. (1989, January-February). Situated cognition and the culture of learning. *Educational Researcher*, 32-43.
- Brunner, J. (1990). *Acts of meaning*. Cambridge, MA: Harvard University Press.
- Castetter, W. (1978). *Educational administration and the ineffective performer*. Pennsylvania University, Philadelphia Center for Field Studies. (ERIC Document Reproduction Service No.163641)
- Cervero, R. (1988). *Effective continuing education for professionals*. San Francisco: Jossey-Bass, Inc.
- Cervero, R. M. (1992). Professional practice, learning, and continuing education: An integrated perspective. *International Journal of Lifelong Education*, 11(2), 91-101.
- Darling-Hammond, L. (2000). *Two paths to quality teaching: Implications for policy makers*. (Eric Document Reproduction Service No. ED445396).
- Houle, C. O. (1980). *Continuing learning in the professions*. San Francisco: Jossey-Bass.
- Lave, J., & Wenger, E. (1991). *Situated learning: Legitimate peripheral participation*. Cambridge, MA: Cambridge University Press.
- Lincoln, Y., & Guba, E. (1985). *Naturalistic inquiry*. Newbury Park: Sage Publications.
- Loucks-Horsley, S. Hewson, P.W., Love, N. and Stiles, K. (1998). *Designing professional development for teachers of science and mathematics*. Thousand Oaks, CA: Corwin Press.
- Marsick, V.J. & Watkins, K. E. (1999). *Facilitating the learning organization*. San Francisco: Jossey Bass, Inc.
- Marquardt, M. (1999). *Action learning in action: Transforming problems and people for world-class organizational learning*. Davies-Black Publishing.
- McDaniel, E.A. & McCarthy, H. (1989). Enhancing teacher efficacy in special education. *Teaching Exceptional Children*, 21(4), 34-38.
- National Center for Education Statistics, U.S. Department of Education. (1997). *America's Teachers: Profile of a Profession, 1993-94*. Washington, DC.
- National Center for Education Statistics, U.S. Department of Education. *1993-94 Schools and Staffing Survey*.
- Novak, J. (1998). *Learning, creating and using knowledge: Concept MapsTM as facilitative tools in schools and corporations*. Mahwah, NJ: Lawrence Erlbaum Associates.
- Novak, J., & Gowin, B. (1984). *Learning how to learn*. Cambridge, MA: Cambridge University Press.
- Ottoson, J. (1997). After the applause: Exploring multiple influences on application following an adult education program. *Adult Education Quarterly*, 47(2), 92-107.
- Porter, A., Garet, M. Desimone, L., Yoon, K., Birman B. (2000). *Does professional development change teaching practice? Results from a three-year study*. Washington, DC: American Institutes for Research in the Behavioral Sciences, Department of Education. (ERIC Document Reproduction Service No. ED455227)
- Rowden, R. (1996). Current realities and culture challenges. In workplace learning: Debating five critical questions of theory and practice. *New Directions for Adult and Continuing Education*, 72, 3-9.
- Thompson, C. & Zueli, J. (1999). The frame and the tapestry: Standards-based reform and professional development. In Darling-Hammond, L. & Sykes, G. (Ed.) *Teaching as the learning profession: Handbook of policy and practice*. San Francisco, CA: Jossey-Bass, Inc.
- Whitworth, J. (1999). *Professional development and classroom teaching: Turning theory into practice*. (ERIC Document Reproduction Service No. ED436490)
- Wisconsin Center for Education Research. (1999). *WCER Highlights*, 11(1) 1-8. Retrieved February 20, 2003, from: http://www.wcer.wisc.edu/publications/WCER_Highlights/

Professional Training Programs as Tools for Effective Staff Development: A Case Study

Khalil Dirani

University of Illinois at Urbana Champaign

This study focuses on the influence of professional training programs on trainees' development. A training program was evaluated through exploring trainees' perceptions of its influence on their skill development. The findings suggest that while professional training programs may be relevant to trainees' needs for career development and life-long learning, such programs fail to tackle problems specific to a trainee's organization. In particular, it is often hard to integrate generic training ideas into specific workplace settings.

Keywords: Professional Training Programs, Trainees, Training Environment.

There is general recognition among human resource scholars that investments in training and development are associated with a range of individual and organizational benefits. The literature shows that this interest has been well documented. A substantial body of Human Resource Development (HRD) literature posits training as a vital and comprehensive component in individual and organizational development (Keep, 1989; Prais, 1995; Swanson, 1995). The goal usually is set by the organization to enhance the individual productivity and competitiveness (Swanson, 1995; Lang & Wittig-Berman, 2000). The literature also indicates that many factors were identified to have influence on training and training transfer (Holton & Baldwin, 2000). In contrast to the normative HRD training interventions, Prais (1995) suggests that work environment affects employees' decisions to apply what they learned at training interventions. Measuring the effectiveness of training is very complex. HRD literature had devoted little empirical attention to the effect of on-the-job training on employees' performance and development. In particular, there is a gap in the literature on studying the employees' perceptions of the impact of generic, formal training on individuals' skills and performance in their workplace. Such is the focus of the present study. This study is one component of an evaluation of a professional training program aimed at staff development and professional improvement.

Research Questions

This study explores three issues:

- (a) Trainees' attitudes toward the training activities they were involved in
- (b) Trainees' perceptions of the impact of the training activities on their career development.
- (c) Challenges related to the training program environment brought about by trainees' goals, interests, and learning styles.

Literature Review

The ability to learn and to convert learning into practice creates extraordinary value for individuals, teams and organizations (Ashton & Green, 1996). This interest in training and learning is associated with two different purposes. The first is the organizational development and growth through contribution to production, effectiveness, and innovation (Swanson & Arnold, 1996; Lang & Wittig-Berman, 2000); the second is the development of individuals through contribution to their knowledge, skills, and capacity to further their own learning both as employees and citizens (Barrie & Pace, 1998; Dirkx, 1997). The scope of this paper is more directed towards individual learning and development. Kolb (1984) defines learning as "the process whereby knowledge is created through transformation of experience" (p.38). Argyris and Schon (1978) explain that learning embraces cognition; thought, insight or detection, and action behavior or correction. Dirkx (1997) argued that learning occurs when the learner creates or re-organizes concepts, frameworks, and capabilities as a result of linking new and existing knowledge. Knowles' andragogy (Knowles, 1970) suggests that adult learners are concerned with the learning process within the context of the learning purpose and situation (see also Knowles, Holton, & Swanson, 1998). Learning, thus involves the acquisition of skills, knowledge, habits and attitudes in such a way that behavior is modified (Kolb, 1984).

Copyright © 2004 Khalil Dirani

Training Systems

In wanting workers to perform new tasks and become more effective and replace outdated work habits (Cogner, 1992; Ricks, 1997), organizational leaders often require their employees to participate in training. Professional training programs are primary training tools for achieving organizational goals. Following the principles systems theory (Rummel & Brache, 1995), a professional training program would act as independent system, with a primary role of supporting its own existence. However, the same program would be considered a subsystem with regard to the different organizations it is serving. This subsystem has a role of supporting the goals of the overall system (Kuchinke, 1998).

Simple Exposure versus Deliberate Practice

While workplace activities may form part of the context within which individual learning takes place, the process of learning never formally starts or stops (Watkins & Marsick, 1993). Some learning may make very little difference to the perspective of the individual whereas more significant learning may lead to a re-conceptualization of the individual's assumptions and values. These kinds of learning could be categorized as single-loop and double-loop learning (Argyris & Schon, 1978; Senge, 1990). This sense-making process is strongly influenced by practice (Watkins & Marsick, 1993). What is more, the HRD literature makes an important distinction between exposure and deliberate practice (Ericsson & Smith, 1991). VanLehn (1989) argues that individuals need exposure to a large enough set of case experiences to begin developing a reliable repertoire of principles and a valid conceptual understanding of what they are experiencing. Similarly, some scholars advocate the notion that simple exposure to an area does not suffice. Rather individuals need to undergo extended periods of active learning to reach exceptional levels of performance (Ericsson & Charness, 1994). On the other hand, Pratt (1988) suggests that education in the form of training workshops can heighten individuals' appreciation for guidance, strengthen motivation to develop different capabilities and facilitate the development of skills needed to build these capabilities.

Trainees Background

Work settings nowadays demand flexibility, communication skills, and teamwork. However, helping trainees to achieve these goals is complicated by the fact that trainees come from many different background environments, and bring their individual experiences to bear, share, reflect and learn while simultaneously working together on a challenging yet unfamiliar task (Cogner, 1992). This suggests that the emphasis in knowledge-creating organizations should be on finding new ways to encourage people to think creatively and feed their thoughts back into the organization (Cohen, 1990; Montesino, 2002).

Learning Styles

Adult learning theory suggests that individuals differ in their learning styles. There are numerous ways by which we learn (Watkins & Marsick, 1993). Multiple instructional techniques increase the likelihood that at least one, if not several, methods will be compatible with an individual's style (Bryson, 1936; Merriam & Brockett, 1997). Multiple learning methods are essential to a well-designed program (Cogner, 1992) because they can contribute to helping learners seek out developmental experiences after the workshop has ended (Holton, 1996; Russ-Eft, 2002). Nowadays, being able to benefit from formal training experiences is essential for the success of the professional development of employees more than ever. An ability to maximize learning in such contexts is not limited to accruing benefits for the development of short-term individual competencies but for the growth of such competencies over the long haul as well (Holton, 1996).

Effective Workshops

Contrary to the practitioners myth of engaging learners with interesting activities, research shows that participants most satisfied with a program are not necessarily those who learned the most (Alliger & Janak, 1989; Dixon, 1999). Training outcomes are more likely to have a positive effect on employee attitudes where employers develop formal, structured approaches to training (Heyes & Stuart, 1996). In addition, because participants gain knowledge and expertise at training workshops does not mean that they will use it in the workplace (Gielen, 1995). Heyes (1998) suggests that the impact of training provision on performance outcomes is dependent on how and in whose interest skills are deployed at the workplace.

Transfer of learning

Keep (1989) argues that training investment constitutes a powerful signaling device to reassure employees that they are valued by their employers, which in turn enhances employee motivation and commitment to the organization. In addition, Keep suggests that social and political processes at the level of the workplace shape the distinction between skill acquisition and skill development, a distinction conventionally referred to as the problem of transfer of training (see also Russ-Eft, 2002). A wide variety of trainee characteristics are likely to impact the effectiveness of training. Noe (1986) identifies personality and motivational factors and develops an expectancy model that hypothesizes the process by which trainees' attitudes concerning their jobs and careers and their perception of the work environment influence training outcomes. The effectiveness of a training program can also be

influenced by events prior to training (Baldwin & Magjuka, 1991), post-training activities (Baldwin & Ford, 1988; Orpen, 1999), and transfer motivation (Holton, 1996). This latter transfer motivation could be explained on the basis of theories of human behavior including expectancy theory, equity theory, and goal-setting theory (Yamnill & McClean, 2001).

Methodology

This research adopted a single case study design. It was conducted between September and December 2002 in the context of a training services program offered by an HRD department in a large Midwestern state university. The training is referred to as Foundations program. The foundations program provides a training and development opportunity for professionals aimed at improving productivity, increasing effectiveness, polishing performance and fulfilling personal goals. Some of the workshops offered in the program contribute toward the completion of a non-degree certificate in professional development. A key component of this program is its emphasis on training and development activities in the form of one-day off-the job workshops that aim to impact on-the-job performance. Thus, the program provides an ideal case for examining the issue of training effectiveness and transfer.

The research utilized a multi-method approach combining qualitative and quantitative methods. Qualitative procedures included attending and observing four different workshops. Observations were focused by the use of a set of guidelines to maintain focus on the issues at hand. To avoid imposing the researcher's interpretations of these observations on what participants could have attributed to their experiences, there was a need to validate the researcher's interpretations. Such validation was ensured by conducting five interviews with a randomly selected group of participants. Five lengthy semi structured interviews were conducted with the program director, one trainer, and three participants. The first interview was with the program director to investigate the formal structures, processes and general background of the program in general, and the Foundations training workshops in particular. The second interview was with a trainer and aimed to investigate the background, preparation and perception of the program, and attitudes towards the trainees and opinion about some factors that affect the training process. Finally, three participants, one male and two females, were interviewed to get their perceptions of the Foundations training workshops in terms of helping them develop new skills.

Quantitative procedures were used to assess the immediate training outcomes in terms of the adoption of new and different attitudes and practices (i.e., transfer). To this end, a questionnaire was designed to gather data on three broad issues: Trainees' experiences of training and training instructors at the workshops, and trainees' perceptions regarding training outcomes and work environment factors that trainees think they affect training transfer. To get a better understanding of the participants' responses, the questionnaire included some background and contact information, a number of Likert type items and some free response items. The questionnaire was administered to all 120 participants attending workshops in the Foundations program. The questionnaire was distributed directly to all participants at the end of each workshop and it was made clear that participation was voluntarily and confidentiality guaranteed. A total number of 101 questionnaires were completed (82.5% response rate). Analysis of the quantitative questionnaire was through descriptive statistics.

Two major limitations should be noticed in this study. First, the findings of this study could be subject to other interpretations due to the environment surrounding the research as well as the observer's subjectivity. We cannot rid ourselves of this subjectivity, nor should we wish to; but we ought, perhaps, to pay it more attention (Cheater, 1987). Most significantly, though, analysis of the perceptions and experiences of employees towards training activities will help develop our understanding of the range of factors that mediate and impact on the effectiveness of training. Further research is clearly needed on the complex question of training transfer and effectiveness, particularly in terms of the influence of the wider HRD environment and the dynamics by which training programs help translate training into positive outcomes for productivity in the workplace. Such research would need to examine the financial and productivity benefits (Green, 1997), as well as the long-term benefits for the company and the workforce in terms of cultural and behavioral change. In terms of the second limitation, while the depth of investigation gives a thorough understanding of one single study, it is likely that it is only specific to the case at hand and thus limited to generalization.

Results

This study yielded a broad perspective on issues related to training programs. The issues explored related to trainees' experiences with, and attitudes towards, the training activities they were exposed to and how such training interventions affected trainees' career development. The findings showed that the training workshops were well structured, convenient for the trainees and consistent with their needs for career development and life-long learning.

Background and Experience of Participants

To have a better understanding of the trainees' purposes for attending the workshops, we asked them in the survey to provide information regarding their background and their experiences with the Foundations training program. The trainees reported a median of 10 years of work experience. To our question about "the number of workshops already completed," 101 respondents reported a median of four workshops. When asked whether they were seeking a certificate through attending the workshops, 78% of respondents answered in the positive and 23% in the negative.

Trainees' Attitudes toward the Training Program

Qualitative data collected aimed at understanding trainees' purposes from training, effectiveness of the Foundations program, and applicability of information back at work. In-depth investigations showed that the premise and main motive of a trainee to getting a certificate was to get promoted. The majority of the trainees belonged to this category according to the program administrator: "Supervisors encourage employees to take certain classes because they think these classes would help the employees when they have their employee annual review and are also critical to get the employees promoted." In addition, the following comments from different trainees eloquently represented this category: "I am here because my boss wanted me to take these workshops, these [workshops] are critical for my promotion. I will be reporting on this when I go back" (W3, C3), and "Going to training is associated with both my (work) performance review and salary increase" (W2, P15).

The Training and Development component of HRD has had a long tradition of utilizing instructional and information technology in doing its work. The Foundations program was no exception. Foundations workshops made greater use of a wide array of media, and utilized new tailored, experience-based learning methods. Many media were used, including audiotapes, filmstrips, slides, opaque and transparency projections, and videotapes. Still some trainees had difficulty with taking notes while engaged with one of the media used: "I want a printout of the chalkboard in the video."

Trainees' Perceptions of the Impact of the Program

Questions #3 through #6 of the survey were Likert scale questions. Respondents were asked to rate the degree of their satisfaction with regard to four topics. On a continuum from "Highly Dissatisfied" to "Highly Satisfied," we asked respondents to rate their degree of satisfaction with regard to the relevance of the workshops to their personal development and with regard to the applicability of these workshops back at the job. We also asked trainees to rate their degree of satisfaction with regard to the topics' appropriateness and with regard to quality of information provided by trainers. Table 1 presents trainees' responses to these questions. The table gives a basic picture of the trainees' satisfaction regarding information offered and regarding interaction with trainers.

Table 1. Responses to Items #3 Through #6

Item	Omit	HU ¹	U	N	S	HS
3. Importance of this workshop for you personally	0%	0%	6%	19%	28%	47%
4. Importance of this workshop for you professionally	0%	0%	3%	6%	28%	64%
5. Quality of information provided by the instructor	0%	0%	3%	8%	18%	72%
6. Understanding content and applying it to your own work	3%	2%	1%	7%	37%	51%

¹HU = Highly Unsatisfied; U = Unsatisfied; N = Neutral; S = Satisfied; HS = High Satisfied

The trainees surveyed in all four workshops reported high satisfaction with the relationship of the training workshops and their personal learning experience. In response to question #3 "degree of personal satisfaction (relevance or applicability) of the workshop to the trainee," 75% of respondents indicated that they were "highly satisfied" or "satisfied" with the content and relevance of the workshops to their personal development. Twenty percent of the respondents were "Neutral" and only six percent were not satisfied with such relevance. With regard to professional development, the literature suggested that the contents of generic workshops would not count towards the professional development of the trainees. The data collected in this research showed something different. The trainees indicated high satisfaction with respect to the applicability of the subjects discussed (such as flexibility, communication skills, and teamwork) professionally.

In response to question #4 “degree of relevance or applicability of the workshop to the trainee’s professions,” 85% of the respondents indicated they were “highly satisfied” or “satisfied” with the relevance of the workshops to their professional development. Ten percent of the respondents were “Neutral” and only five percent were not satisfied with the content of the workshops as being relevant to their personal development. These views are evident in quotes, such as “It was very informative and I now see things in a different perspective” (W4, C17) and “Very nice and thorough, pleasant and effective. Content was excellent, I would not drop anything” (W3, V12).

Question #5 asked about the “quality of the information provided by the instructor.” While the majority of respondents showed satisfaction or high satisfaction with the quality of information provided by the trainers (92%), some respondents were neutral (8%). Only three respondents demonstrated dissatisfaction with quality of information and problems addressed by instructors. Respondents included such comments as, “We were applying diversity while learning about it. The instructor was able to make us think creatively and helped us to relate the activities we did to our work” (W1, D2), and “This was an excellent workshop. The trainer really knows his stuff” (W2, P5).

Question #6 inquired about “The extent you attempted to involve yourself in seeking in-depth understanding of this material and to consider its application to your own needs and objectives.” Again participants responded positively to this subject. We noticed that the main marked answers were “Satisfaction” or “High Satisfaction” (88%). Few trainees marked “Neutral” (7%) and not many (6%) were dissatisfied.

Challenges in Addressing Participants’ Needs in Professional Training Environment

The study also tried to understand how the different environments surrounding the learning experience of the trainees shaped the effectiveness of the Foundations program by analyzing data from interviews, surveys, and observations of workshops. Results from the interviews showed that the more a learning environment is responsive to the needs of trainees, the higher is the probability of the trainees’ success in implementing their new acquired knowledge. The following quotes from different workshops provide good evidence in this regard: “It would be great for all departments and businesses to present and share this (knowledge) with their employees” (W4, C13) and “I learned a lot; Management in all departments should be required to attend this workshop” (W3, V3).

Some trainees went on to link what they learned, not only to their organization, but also to society in general. The following comments illustrate this category: The information shared in this workshop can be used outside the workplace as well” (W4, C2) and “Very good information, very good presenter, among the top presenters so far. I think the topic is important to our society.” (W3, V11).

The results also revealed two meandering conclusions. First, and in accordance with Keep (1989) investments in Foundations training workshops constituted a powerful signaling device to reassure employees that they were valued by their employers. This in turn enhanced employee motivation and commitment to the organization. Second, it was understandable that the Foundations program was recognized as a system by itself. At the same time the program served as a training division or subsystem for diverse organizations. Different organizations made use of the Foundations program resources to develop their employees, personally and professionally. There are numerous reasons in any system why things happen and do not happen. Figuring these out requires more than superficial analysis or metaphoric analogy (Swanson & Holton, 1998)

Not all trainees had a positive experience with the training workshops. First, some trainees were not satisfied with the topics discussed, “I felt the information only scratched the surface of the topic. Course should have been designed to force more participation” (W2, V2). Second, contrary to the established view that training interventions should begin with a pre-training assessment; only one of four trainers observed administered a pre-training informal assessment. She e-mailed the trainees attending her workshop one week prior to the scheduled training intervention and asked them to give her some feedback regarding their expectations about the workshop. She added, “Think about what you want to learn from this workshop. What is most important to you In general”? In general, trainers were more interested in delivering their workshops more than in assessing the specific needs of the participants and their organizations. This might be due to the fact that trainees come from different organizations and had different backgrounds.

A third challenge common to the training workshops was the fact that they were nonspecific in nature. When asked about this “one-size-fits-all” issue, the program administrator commented: “We do not target our content to a certain area but to a broad base. Anyone could get a lot from what we give” (I1, Oct. 03). Thus, these workshops were tailored to the needs of the individual, and not to specific management needs, and most notably, not to the specific demands of the different organizations. The Foundations training program failed to tackle specific problems that concern individuals back at their office and the activities discussed in these workshops did not lend themselves to be easily integrated to the workplace setting. This idea was illustrated in the following comment: “I needed more time to digest/practice applying these concepts. Much of the information was geared to workplaces that can more easily measure productivity (products produced, no. of contacts made, etc.). I guess the service that my unit provides

can best be measured in terms of customer satisfaction (survey results) or errors made. I do not feel that I have the time to collect this information and still do my job though" (W2, P15).

A forth challenge that emerged was the different learning styles of the trainees. Conventional wisdom says that you can keep some trainees satisfied all the time but you can't keep all trainees satisfied all the time. The following comments illustrate this category: More strategies and conversation about actually solving some problems" (W4, C10), "Instructor needed to keep the workshop interesting; it became very boring in the afternoon" (W4, C21), and "Part of material presented was repetitive" (W4, C25).

Finally, the trainees learning experiences in this program were based on a one-time experience, a single workshop. To truly develop a skill or behavior, learners require repeated or multiple exposures. The Foundations program workshops attempted to cover a range of skills within just a few days. In the course of four workshops, as many as six to eight categories, such as empowerment, diversity and communication skills were covered. As a result, participants received only a single opportunity to practice a particular skill and receive feedback. With so little exposure, the different experiences simply build awareness rather than true understanding and skill development.

Conclusions and Recommendations

The research evidence discussed in this study suggested that determining training purposes and training effectiveness on performance outcomes are complex processes. This raises questions about what factors are likely to influence the effectiveness of training. Finding answers to such questions will be important if we are to understand how, and whether, performance improvements will result from training interventions.

Results also showed that trainees' satisfaction at a training workshop did not mean that the workshops were necessarily perceived to be effective. Nor this meant that participants perceived that they had learned and would change when they go back to their jobs. Moreover, managers might have different opinions than employees regarding training workshops. For example, managers might want training workshops to be more strategic in focus and better integrated with the ongoing objectives of the firm, and not focus on the personal and career development of the employees. For that reason, investigating the interests of employees and managers regarding the purpose of training is further needed. Researchers as well need to investigate work environment factors influencing the transfer and effectiveness of training, such as management and peer support (Russ-Eft, 2002).

Implications for HRD

HRD professionals need the expertise and credibility to play the leading role in building and sustaining knowledge producing environments where the creation, sharing and application of knowledge are a dominant concern throughout the organization. To arrive at such objectives, HRD professionals should find ways to improve employee expertise based upon a continual search for better insights, strategies and procedures related to the mission of the organization. They should be more involved in guiding and directing the trainees towards the workshops that best serve their needs. Thus, short-term training interventions would gain a part to play in building future organizational capacity, but only a part. The greater need is for HRD strategies that are well integrated with current business and HR strategies and are focused on developing and embedding a fast responsive culture. These strategies should include pre-training discussions with the trainees and proper feedback and follow-up after training.

Additionally, comments from the trainees emphasized the importance of management support for the professional training interventions. Without visible involvement by managers, learners do not perceive the behavioral change as strategically important to their organization. In that HRD professionals should act as constructive and positive agents (Cohen, 1990). They must be prepared to work with both the supervisors and trainees to transfer the new acquired experiences at training into shared knowledge and performance at work. They should no longer operate in a silo (Sloman, 2002).

References

- Alliger, G. M., & Janak, E. A. (1989). Kirkpatrick's levels of training criteria: Thirty years later. *Personnel Psychology*, 42(2), 331-342.
- Argyris, C., & Schon, D. (1978). *Organizational learning: A theory of action perspective*. Reading, MA: Addison-Wesley.
- Ashton, D., & Green, F. (1996). *Education, training and the global economy*. Cheltenham: Edward Elgar.

- Baldwin, T., & Ford, J. (1988). Transfer of training: A review and directions for future research. *Personnel Psychology*, 41, 63-105.
- Baldwin, T.T., & Magjuka, R.J. (1991). Organizational training and signals of importance: Linking pre-training perceptions to intentions to transfer. *Human Resource Development quarterly*, 2, 25-36.
- Barrie, J., & Pace, R. W. (1998). Learning for organizational effectiveness: Philosophy of education and human resource development. *Human Resource Development Quarterly*, 9(39), 39-54.
- Bryson, L. (1936). *Adult education*. New York: American Book.
- Cheater, A. P. (1987). The anthropologist as citizen: The diffracted self. In A. Jackson (Ed.), *Anthropologist at home*, (pp.164-179). London: Tavistock.
- Cogner, J.A. (1992). The brave new world of leadership training. *Organizational Dynamics*, 21(3), 19-30.
- Cohen, D.J. (1990). What motivates trainees? *Training and Development Journal*, 44(11), 91-93.
- Dirkx, J. M. (1997). Human resource development as adult education: Fostering the educative workplace. In R. Rowden (Ed.), *Workplace Learning: Debating Five Critical Questions of Theory and Practice* (pp. 41-47). San Francisco: Jossey-Bass.
- Gielen, E.W. (1996). Transfer of training in a corporate setting: Testing a mode. In E.F. Holton (Ed.), *Proceedings of Academy of Human Resource Development* (pp. 434-441). Baton Rouge, LA: AHRD.
- Green, F. (1997). *Review of information on the benefits of training for employees*, Research Report No. 7. Sheffield: DfEE.
- Heyes, J. (1998). Training and development at an agrochemicals plant. *Personnel Review*, 23(5), 34-47.
- Heyes, J., & Stuart, M. (1996). Does training matter? Employee experiences and attitudes. *Human Resource Management Journal*, 6(3), 7-21.
- Holton, E.F III. (1996). The flawed four level evaluation model. *Human Resource Development Quarterly*, 7, 5-21.
- Holton, E. & Baldwin, T. (2000) Making transfer happen: An action perspective on learning transfer systems. *Advances in Developing Human resources*, 8, 1-6.
- Keep, E. (1989). Corporate training: The vital component. *Human Resource Management*, 6(2), 5-21.
- Knowles, M. S. (1970). *The Modern practice of adult education: Andragogy versus pedagogy*. Chicago: Follett.
- Knowles, M. S., Holton, E. F., & Swanson, R. A. (1998). *The adult learner: The definitive classic in adult education and Human Resource Development*. (5th ed.) Houston: Gulf.
- Kolb, D. A. (1984). *Experiential learning: Experience as the source of learning and development*. Englewood Cliffs, NJ: Prentice Hall.
- Kuchinke, K. P. (1998). Moving beyond the dualism of performance and learning: A response to Barrie and Pace. *Human Resource Development Quarterly*, 9, 377-384.
- Lang, D., & Wittig-Berman, U. (2000). Managing work-related learning for employee and organizational growth. *S.A.M. Advanced Management Journal*, 65(4). Retrieved April 15, 2003, from Business Index database.
- Merriam, S. B., & Brockett, R. G. (1997). *The profession and practice of adult education: An introduction*. San Francisco: Jossey-Bass.
- Montesino, M. U. (2002). Strategic Alignment of training, transfer-enhancing behaviors, and training usage: A post training study. *Human Resource Development Quarterly*, 13(1),89-108.
- Noe, R.A., (1986). Trainees attribute and attitudes: Neglected influences on training effectiveness. *Academy of Management Review*, 11, 736-749.
- Open, C. (1999). The influence of the trainee environment on trainee motivation and perceived training quality. *International Journal of Training and Development*, 3(1), 34-43.
- Prais, S.J. (1995). *Productivity, education and training: An international perspective*, Cambridge: Cambridge University Press.
- Pratt, D. D. (1988). Andragogy as a relational construct. *Adult Education Quarterly*, 38, 160-180.
- Ricks, D.M. (1997). How are your experiential components working? *Training*, 34, 138. Retrieved March 13, 2003, from Business Index database
- Rummel, G. A., & Brache, A. P. (1995). *Improving performance: How to manage the white space on the organization chart*. (2nd ed.). San Francisco: Jossey-Bass.
- Russ-Eft, D. (2002). A typology of training design and work environment factors affecting workplace learning and transfer. *Human Resource Development Quarterly*, 1(1), 45-64.
- Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York. Doubleday/Currency.
- Swanson, R. A. (1995). Human resource development: Performance is the key. *Human Resource Development Quarterly*, 62(2), 207-213.

- Swanson, R. A., & Arnold, D. E (1997). The purpose of HRD is to improve performance. In R. Rowden (Ed.), *Workplace learning: Debating five critical questions of theory and practice* (pp. 13-19). San Francisco: Jossey-Bass.
- Swanson, R. A., & Holton, E.F III (1998). Process-referenced expertise: Developing and maintaining core expertise in the midst of change. *National Productivity Review*, 17(2), 29-38.
- VanLehn, K. (1989). Problem solving and cognitive skill acquisition. In M. Posner (Ed.), *Foundations of cognitive science* (pp. 560-569). Cambridge, MA: MIT Press
- Watkins, K. E., & Marsick, V. J. (1993). *Sculpting the learning organization: Lessons in the art and science of systematic change*. San Francisco: Jossey-Bass.
- Yamnill, S. & McClean, G. (2001). Theories supporting training transfer. *Human Resource Development Quarterly*, 12(2), 195-208.

An Examination of the Relationship Between Emotional Intelligence and Leadership Style

*Lisa A. Weinberger
University of Minnesota*

The intention of this study is to broaden the knowledge base of HRD through the investigation of the relationships between emotional intelligence, and leadership style. This study was conducted using a correlational research design. Two surveys were administered: The MSCEIT (Mayer, Salovey, & Caruso, 2002) and the MLQ5x (Bass & Avolio, 2000) to the 151 managers of CSW and their subordinates. No relationship was found between the various dimensions of emotional intelligence and leadership style.

Keywords: Emotional Intelligence, Leadership Style

Organizations today continually need to undergo rapid change to maintain their competitive edge. That rapid change requires an organization that has employees and leaders who are adaptive, work effectively, constantly improve systems and processes, are customer focused, and who share the need to make a profit. The continuous environment of turmoil and change has been coined the “permanent white waters” of modern life (Vaill, 1996). A key element in driving and managing these “white waters” in an organization is believed by many to be leadership. “Great leaders move us. They ignite our passion and inspire the best in us. When we try to explain why they are so effective, we speak of strategy, vision, or powerful ideas. But the reality is much more primal: Great leadership works through the emotions” (Goleman, Boyatzis, McKee, 2002, p. 3).

Emotional Intelligence has been identified, through the popular press and some researchers as that critical element needed for effective leadership. Goleman (1998, p. 94) has said that, “the most effective leaders are alike in one crucial way; they all have a high degree of what has come to be known as emotional intelligence.” Others have said, “By now, most executives have accepted that emotional intelligence is as critical as IQ to an individual’s effectiveness” (Druskat & Wolff, 2001, p.81). The challenge with these statements is twofold, (1) the study of leadership and what makes leaders effective has been found to be much more complicated than a single dimension like emotional intelligence; and (2) organizations have incorporated many of these emotional intelligence beliefs into their work systems and performance expectations without it being shown that it truly can accomplish what some authors are claiming. The study of leadership, its effectiveness and its impact on organizational performance is a key interest to Human Resource Development (HRD) scholars (Hamlin, 2003; Holton & Lynham, 2000; Kuchinke, 2000; Zehner & Holton III, 2003).

The intention of this study is to broaden the knowledge base of HRD through the investigation of emotional intelligence, and leadership style. The problem is the recognition that while a significant amount of research on leadership exists (see Yukl, 1998; Yukl & VanFleet, 1992), the emotional intelligence research is comparatively thin and the relationship between the two is smaller yet. What is most troubling is the notion that it is critically important for leaders to be emotionally intelligent for organizational success without the scholarly support behind it.

Theoretical Framework

“One of the most universal cravings of our time is a hunger for compelling and creative leadership” (Burns, 1978, p.1). Beginning in the 1980’s, many of the conceptions of leadership recognized the importance of emotions as a basis of influence (Yukl, 1998). It is those emotional, value-based aspects of leadership that are believed to influence the achievements of groups and organizations. Much of this leadership research, with its recognition on the importance of emotion, concentrated on the characteristics and effects of charismatic and transformational leadership (Bass, 1985; Kanungo, 1998; Tichy & Devanna, 1990).

The development of effective leaders is recognized as a high priority for business organizations. One only needs to look at some of the more popular recent publications in the areas of leadership and organizational success such as *Good to Great* (Collins, J., 2001) which speaks to those critical components for an organization to be “great”, as defined in cumulative stock return as compared to the general market and *Results Based Leadership* (Ulrich, Zenger & Smallwood, 1999), which speaks to the importance of connecting leadership skills with real business results. These business books use “unconventional wisdom” as their foundation. They are challenging the status quo, and reinforce the notion that “leadership ranks among the most researched and debated topics in the organizational sciences” (George, 2000, p. 1028).

Recently, there have been a number of articles in the popular press espousing the benefits of emotional intelligence to organizations, leaders and individual contributors. This has contributed to a significant influx of popular books and seminars on the topic and consultants 'training' individuals to become more emotionally intelligent. Though there exists large amounts of research on leadership (see Stogdill, 1974; Yukl, 1998; Yukl & Van Fleet, 1992 for examples), there is comparatively little for emotional intelligence. And though the popular press speaks to the importance of emotional intelligence and leadership, there is little researched support for their premise.

Primarily two perspectives of emotional intelligence have emerged over the past decade: one that is based more on a mixed perspective, which defines emotional intelligence largely through personality characteristics; the second perspective is an ability perspective, which defines emotional intelligence as a set of distinct abilities. Since there has been more research in the area of personality characteristics and leadership, this study evaluated the relationships between emotional intelligence from an ability perspective and leadership style. The ability model of emotional intelligence is framed as a type of intelligence, hence it is intended to co-exist with, supplement, and clarify existing models of leadership – not replace them (Caruso, Mayer, & Salovey, 2002). Though the model is too new to have extensive data in support of its predictive validity, it is believed that it will make significant contributions to our understanding of leadership (Caruso, Mayer, & Salovey). "Leadership, which embraces the emotional side of directing organizations, pumps life and meaning into management structures, bringing them to full life" (Barach & Eckhardt, 1996, p.4).

"Leadership theory and research have not adequately considered how leader's moods and emotions influence their effectiveness" (George, 2000, p.1028). This study aims to get at part of that question. A wide diversity of approaches to leadership has been proposed, from analyzing what leaders are like, what they do, how they motivate their followers, how their styles interact with situational conditions and how they can make major changes in their organizations are only a few examples (Yukl, 1998; Yukl & Van Fleet, 1992). A great deal of research has been conducted surrounding these many theories and has led to a better understanding of leadership. But understanding how and why leaders have (or fail to have) positive influences on their followers is still a compelling question for researchers (George, 2000). Feelings and moods have been shown to influence the judgments people make, attributions for success and failure and inductive and deductive reasoning. It is likely then, that feelings play an important role in leadership. Other components of leadership, such as charisma, includes the leader regulating the emotions of its team members (Freidman, Riggio & Casella, 1988; Wasielewski, 1985), appears to require the ability to enhance pleasant emotions and de-emphasize unpleasant emotions in others. Charismatic leadership, a form of transformational leadership (Bass, 1985, 1997) may also have its roots in managing emotions (Ashkanasy & Tsee, 1998). These emotion/mood capabilities have been addressed by emotional intelligence. Emotional intelligence describes that ability to join emotions and reasoning, using emotions to facilitate reasoning and reasoning intelligently about them (Mayer & Salovey, 1997). Several researchers have begun to evaluate this role of emotional intelligence and leadership.

Since the publication of *Emotional Intelligence* (Goleman, 1995), the business writings in this area have exploded. The scholarly support of the claims made in these books however is behind the business leaders perceptions of the impact of high emotional intelligence on their effectiveness and success. This issue of leadership and its effectiveness is core to the field of HRD.

A better understanding of emotional intelligence and its relationship to leadership style can begin to address the gaps currently existing in the literature today and provide a more informed link between theory and practice. This understanding can also better inform the practitioner, and hence their leadership development programs, and staffing within their organizations.

Research Questions

The major research questions are briefly stated as follows:

What is the relationship between the emotional intelligence of leaders and their leadership style?

1. *What is the relationship between the emotional intelligence of leaders and their transformational leadership style?*
2. *What is the relationship between the emotional intelligence of leaders and their transactional leadership style?*
3. *What is the relationship between the emotional intelligence of leaders and their laissez-faire leadership style?*

Research Design

This study was conducted using a correlational research design. Two commercially available survey instruments were administered. One survey, the MSCEIT (Mayer, Salovey, & Caruso, 2002) was administered to all the top managers ($N = 151$) of a single US based manufacturing organization referred to as CSW. The MSCEIT measured the variable of emotional intelligence. This instrument reported five scores in the areas of: (a) perceiving emotions, (b) facilitating emotions, (c) understanding emotions, (d) managing emotions, and (e) overall emotional intelligence. The second survey, the MLQ5x (Bass & Avolio, 2000) was administered to the subordinates of those 151 managers. This instrument measured the variables of transformational leadership style, transactional leadership style and laissez-faire leadership style. Transformational leadership consists of four factors as measured by the MLQ5x (Bass & Avolio, 2000): (a) intellectual stimulation, (b) individualized consideration, (c) charisma (idealized attributes and idealized behaviors), and (e) inspirational motivation. Transactional leadership consists of two factors as measured by the MLQ5x (Bass & Avolio, 2000): (a) contingent reward, and (b) management-by-exception (which includes management by exception – passive and management by exception – active). Laissez-faire leadership is the negation of or a no leadership factor (Bass & Avolio, 1993). The surveys were collected and then sent to the respective publishers for scoring. The results were entered and analyzed using correlational statistics.

The target population for this study consisted of the managers of CSW; a Midwestern based manufacturing organization that employs 2300 people worldwide. Of that 2300, approximately 2000 were located within the United States. Starting at the top of the organization and working down within the hierarchy, managers (defined as those who have more than three direct reports), located within North America were identified. The total population of 151 managers participated in the study. These managers included executives and directors of CSW, managers across all functions of the organization and supervisors in customer service and manufacturing. This represented about 90% of the companies' personnel having the title of manager. From CSW human resource records, the 151 managers were made up of 27 females and 124 males.

Limitations

A wide variety of definitions of emotional intelligence exist ranging from a very broad perspective inclusive of many personality characteristics, to a very narrow restrictive perspective. This area of research is relatively new (since the early 1990's), with most of the work to date, definitional in nature. Only very recently has the research moved into how the construct of emotional intelligence impacts an individual and their relative performance. Within the area of emotional intelligence research, there exist few instruments to study it.

The Mayer Salovey Caruso Emotional Intelligence Test v2 (MSCEIT) is a limitation of this study. This newly published instrument (2002) has not had wide testing in the research community. Consequently, its reported validities and reliabilities must be heeded with caution. It is however, the only emotional intelligence instrument that is performance driven. All other emotional intelligence tests are self-inventories. Although this instrument is not widely researched, it is a starting point for research into the area of emotional intelligence and will add to the body of knowledge in this area.

To measure managers' leadership style, the Multifactor Leadership Questionnaire, MLQ5x (Bass & Avolio, 1995; 2000) was chosen. The MLQ5x (Bass & Avolio, 1995; 2000) is a widely used instrument in the area of leadership styles. And this instrument has wide face validity within the organization studied, which provided critical support for this research to occur.

An additional limitation to this study was the use of a convenience sample. Though there are advantages to using a single organization due to its homogeneity and minimizing the impact of external validity concerns, there are disadvantages in that the results are limited in their generalizability.

Results

The MLQ5x (Bass & Avolio, 2000) was sent out to the subordinates to gain their perceptions of their manager's leadership style. A total of 1165 subordinates were asked to participate. 791 completed surveys were returned. In addition, 17 surveys were sent back as undeliverable or a refusal to participate. The total response rate was 68.9%. The 151 managers were sent the MSCEIT (Mayer, Salovey and Caruso, 2002), to evaluate their emotional intelligence. 138 completed surveys were received, 3 managers refused to participate and 10 managers did not respond. A response rate of 93.3% occurred with the management group.

The MSCEIT (Mayer, Salovey & Caruso, 2002) was a performance-based emotional intelligence survey instrument. Each answer was scored against a general consensus score. All scores are reported as normed standard

scores with a mean= 100, and a standard deviation of 15. Scores are obtained on the four emotional intelligence branches and an overall emotional intelligence score. The results of the data analysis found a range including acceptable reliabilities at the overall emotional intelligence level and Branch 1 and relatively low reliabilities for the balance of the dimensions. The overall emotional intelligence factor returned a reliability of .86 (Split ½) compared to the reported reliability of .91 in the test manual. The branch reliabilities ranged from an acceptable (split ½) reliability of .91 (Perceiving Emotions) to low reliabilities of .63 (Facilitating Thought), .56 (Understanding Emotions) and .61 (Managing Emotions). These reliabilities differed somewhat from that reported by Mayer, Salovey & Caruso (2002), which ranged from an overall emotional intelligence reliability (split ½) = .93 to a low reliability at the facilitating emotions (branch 2) of .79. These low reliabilities present a significant limitation to this study. Though the test authors report relatively high reliabilities, the results here bring that into question. To investigate these relationships further, the researcher looked at the intercorrelations of the respective emotional intelligence dimensions. The intercorrelations obtained ranged from a high $r = .395$ for facilitating thought (as compared to a reported $r = .50$) to a very low $r = .185$ for understanding emotions as compared to a reported $r = .51$. All of the intercorrelations obtained were significantly lower than those reported by the test authors again bringing into question the reliability of the instrumentation.

The nine leadership styles and composite transformational leadership score showed sufficient internal consistency ranging from $\alpha = .74$ (Management by Exception- Passive) to $\alpha = .87$ (Inspirational Motivation) and $\alpha = .94$ for Transformational Leadership. All of these results were within the range reported by Bass and Avolio (2000). The MLQ5x (Bass & Avolio, 2000) did not have the same reliability issues as that of the MSCEIT (Mayer, Salovey & Caruso, 2002). Additionally, the reported intercorrelations of the various components of leadership were well within the range reported by the authors (Bass & Avolio, 2000). In fact, many of the intercorrelations were greater than that reported by the authors, and all were within the expected direction.

Research question 1: What is the relationship between the emotional intelligence of leaders and their transformational leadership style? Research hypothesis 1 (H1) through hypothesis 4 (H4) stated a significant and positive correlation ($p<.05$) between the four branches of emotional intelligence and transformational leadership as perceived by subordinates. There were no significant results for the entire comparison of the various dimensions of emotional intelligence with transformational leadership. This is completely contrary to what the prevailing literature would have suggested.

Table 1. Correlation of Emotional Intelligence and Transformational Leadership Dimensions

None at $p < .05$	TL	IS	IA	IB	IM	IC
B1: Perceiving Emotions	-.030	.018	-.088	-.026	-.078	.001
B2: Facilitating Thought	.118	.110	.075	.157	.099	.112
B3: Understanding Emotions	.043	.049	.061	.111	-.009	.012
B4: Managing Emotions	.101	.119	.069	.038	.128	.134

TL: Transformational leadership, IS: Intellectual Stimulation, IA: Idealized Attributes, IB: Idealized Behaviors, IM: Inspirational Motivation, IC: Individualized Consideration, B1: Branch 1, B2: Branch 2, B3: Branch 3, B4: Branch 4.

The relationship between emotional intelligence and transactional leadership style was explored through the next research question: *What is the relationship between the emotional intelligence of leaders and their transactional leadership style?* Transactional leadership had not been identified as having a base in emotions, hence the Hypotheses H5-H8 were expected to show no significance in the level of relationship. Those hypotheses were supported.

Table 2. Correlations of Emotional Intelligence and Transactional Leadership Dimensions

None at $p < .05$	Contingent Reward	MBE- Active	MBE- Passive
B1: Perceiving Emotions	-.079	.020	-.099
B2: Facilitating Thought	.143	.040	-.005
B3: Understanding Emotions	-.024	-.092	.004
B4: Managing Emotions	.085	-.135	-.085

B1: Branch 1, B2: Branch 2, B3: Branch 3, B4: Branch 4, MBE-Active: Management by Exception – Active, MBE – Passive: Management by Exception – Passive.

The third research question was: *What is the relationship between the emotional intelligence of leaders and their laissez-faire leadership style?* The correlation between laissez-faire leadership, which is the negation of

leadership was also expected to show no significant relationship between it and the various component of emotional intelligence. These hypotheses were supported in that no relationship was found.

Table 3. Correlations of Emotional Intelligence and Laissez-faire Leadership Dimensions

Dimensions of Emotional Intelligence	Laissez-faire leadership
B1: Perceiving Emotions	-.035
B2: Facilitating Thought	-.051
B3: Understanding Emotions	.029
B4: Managing Emotions	-.087
none at p<.05	B1: Branch 1, B2: Branch 2, B3: Branch 3, B4: Branch 4

Conclusions and Recommendations

The purpose of this study was to investigate the relationship between emotional intelligence, leadership style and leadership effectiveness. The general research question asked was: *What is the relationship between the emotional intelligence of leaders and their leadership style?*

Transformational Leadership and Emotional Intelligence

When comparing the dimensions of emotional intelligence and components of transformational leadership (research question 1), no significant relationships were found, which led to a finding of no support for the first set of hypotheses (H1-H4). The results of this study differed from those of Sosik and Megerian (1999) who evaluated the relationships of emotional intelligence, transformational leadership and leadership effectiveness, and found that managers who were rated more effective leaders by their subordinates possessed more aspects of emotional intelligence. Sosik and Megerian used a trait-based perspective of emotional intelligence, whereas in this study, the author limited the view of emotional intelligence to an ability based perspective. Buford (2001), also using a trait based perspective of emotional intelligence found a relationship between emotional intelligence and transformational leadership. Little relationship, however, has been found between the self-reported leadership practices of nurses and their emotional intelligence (Vitello-Cicci, 2001) as reported by the MSCEIT (Mayer, Salovey & Caruso, 2002) and no support was found for the effect of emotional intelligence as a predictor of leadership success of top executives (Collins, V.J., 2001)

The findings of this study suggest that the ability-based perspective of emotional intelligence does not have any relationship to perceptions of leadership style. This finding is contrary to what one would expect from reviewing the test manual for the MSCEIT v2.0 (Mayer, Salovey, Caruso, 2002) and the associated citations. A further explanation for these findings could be that the MSCEIT, still in its infancy is not effectively capturing the significant differences in emotional intelligence from one individual to the next.

Transactional Leadership and Emotional Intelligence

A comparison of the perceived transactional leadership styles of the CSW managers and their emotional intelligence (research question 2) showed no significant relationships, as was hypothesized (H5-H8). The primary purpose for the hypotheses of no relationships was due to the lack of research support in this area. This study contributes to that literature void. Similar to the findings for the transformational leadership dimensions, none of the transactional leadership dimensions (contingent reward, management by exception- active and management by exception- passive) had any significant relationships to any of the components of emotional intelligence. One could conclude that indeed no relationships exist and therefore, the importance of emotional intelligence in day-to-day leadership is grossly exaggerated.

Laissez-faire Leadership and Emotional Intelligence

Hypotheses H9-H12 suggested no relationship between Laissez-faire leadership and the various dimensions of emotional intelligence, answering research question 3. Again, the lack of research in this area required the hypotheses to posit no relationship. In this study, the hypotheses were not rejected, as no relationship between these various dimensions was found. This suggests that the emotional intelligence of a leader has no relationship to their lack of leadership tendencies (laissez-faire leadership).

Implications for Practice

The results of the study, relate to the employees who participated in this study. This presents a limitation as to the generalizability of the implications for the study; therefore, it is inappropriate to draw general implications for

practice based on the results of this single study. However, the sample was a homogenous one, and should be considered in light of the limitations that this is a single study. Further replication of this type of study and empirical verification would determine the significance of the recommendations beyond the boundaries of CSW.

CSW has identified emotional intelligence as a key competency for evaluating its leadership and professional employees. The results of this study would suggest that CSW might want to further evaluate that practice and determine whether or not it would still be appropriate to attempt to measure their leaders against this competency. This study limited the view of emotional intelligence to an ability based perspective, one that can be measured using a performance based instrument, the MSCEIT (Mayer, Salovey & Caruso, 2002). Within that restrictive perspective, the lack of significant relationships between the various components of leadership style and emotional intelligence can be significant to this organization. Organizational efforts may be expended in the wrong areas (that of improving emotional intelligence) and could be used in other areas to provide more significant contributions to the organization's management team. CSW may want to explore the variable of emotional intelligence more closely in light of these results, and determine whether or not this is a critical competency that they can measure and hold their managers accountable to. These results would suggest that that practice is not based on sound data. And those types of practices tend to label organizations as chasing a new corporate 'fad', with negative connotations to the employees and managers of CSW.

CSW however, has defined their emotional intelligence concept more broadly than that measured in this study. Their definition is more inclusive of some of the personality characteristics. Hence, another suggestion for this organization is to redefine their emotional intelligence dimension as personality components or be aware of the limitations of their definition and what it really is. It also may be possible that an ability based definition of emotional intelligence has little utility from an organizational perspective, and the broader, personality based definitions may be closer aligned to what many organizations are really seeking. For specifics in language however, understanding exactly what the HRD practitioners and managers are defining and looking for, is and will continue to be critically important.

Though this study's results cannot be broadly generalized, the results are still important to consider for today's practitioners. It appears that many of the benefits espoused regarding emotional intelligence to an individual's leadership success still need to be empirically confirmed. This study showed in this sample, that those relationships do not exist. Hence, further research is needed in the areas of this construct and associated measurement tools before this author would support its use in practice.

Implications for Theory

According to this study, there is no relationship between emotional intelligence of managers and their leadership style as perceived by subordinates. This study was intended to address a gap existing in the literature today in providing a more informed link between the theory of the relationship between leadership style and emotional intelligence to the practice. The results of this study would indicate that they are not related. This is one study however, and others would need to be completed to see if this premise holds true.

Researchers in the field of HRD have started looking at the role of emotions and emotional intelligence. It's been suggested that emotional intelligence might be an aide to leadership development, and leadership effectiveness (Dodge & Murphy, 2002). This study has found that the various dimensions of emotional intelligence of a leader have no relationship to how that leader is perceived to be leading. And although its results are contrary to what has been suggested by some researchers in HRD and other disciplines, it is another piece of information to this body of knowledge. In addition to contributing to the knowledge base in HRD, these results add to the knowledge within the emotional intelligence body of work.

The MSCEIT (Mayer, Salovey & Caruso, 2002) was designed to measure emotional intelligence. This instrument, still in its infancy, but commercially available, appears to have some limitations. The reliabilities and intercorrelations found in this study were substantially lower than that reported in the test manual and hence bring into question the reliability of the instrumentation. The results obtained were marginally acceptable. These low reliabilities bring into question the entire MSCEIT and the results obtained here. Based on this data, additional research and work is needed in the development of the MSCEIT to ensure that repeatable reliabilities can be obtained.

Several conclusions can be drawn from this study to the implications for the theory base. This body of work in emotional intelligence is growing; there have been however, few empirical studies to date. Several recent studies have been completed using the MSCEIT (Mayer, Salovey & Caruso, 2002) with mixed results as to the relative contribution of emotional intelligence to predictions of general personality, life criteria, and leadership. One could conclude from this study that due to reliability results obtained, further work is needed on the MSCEIT, and hence

the relationship results found are not significant to the knowledge base, or this brings into question the importance of emotional intelligence and its relationship to leadership style. Interestingly, though the reliability data found for the MSCEIT was substantially lower than that reported in the test manual, primarily the opposite was found on the MLQ5x (Bass & Avolio, 2000) leadership assessment. Within the population assessed and the results obtained on the MLQ5x (Bass & Avolio, 2000), the reliabilities and intercorrelations of the various leadership dimensions was fairly consistent with that reported in the test manual in most cases.

Future Research Needs

This study investigated the relationships between the emotional intelligence of managers and their leadership style as perceived by their subordinates. This study was intended to contribute further to the theory base surrounding emotional intelligence and its application to practice. Due to the incorporation of emotional intelligence concepts into practice, and as yet, limited amount of empirical research in the area of emotional intelligence, the following paragraphs outline some future research needs.

Several areas of potential research for emotional intelligence and its role in the field of HRD have been previously outlined (Weinberger, 2002b). This study was intended to evaluate one of those research agenda's. Questions on how to measure emotional intelligence have resulted in a lot of dialogue in the literature. Most measurement tools however are self-report in nature. The MSCEIT (Mayer, Salovey & Caruso, 2002) was one of the first attempts at a performance-based instrument. These results would indicate however, that more work is needed in this area. Reliable instrumentation is critical to identifying core relationships between variables and to further explore research agenda's in regard to emotional intelligence, leadership and management.

The construct of emotional intelligence itself also needs to be investigated further. This construct is viewed very broadly in some bodies of work and very narrowly in others. Part of the challenge lies in the term emotional intelligence, which has many definitions. For clarity purposes, and in order to assist future researchers and practitioners, a closer aligned definition of emotional intelligence would be helpful. These broad arrays of definitions, which are almost on opposite sides of a spectrum approach this construct very differently, with differing assumptions and different methods to measure it. Careful reading is required of the associated research domains in emotional intelligence to determine what perspective the author is coming from.

In addition to clarity around the definition of emotional intelligence, the uniqueness of this construct needs to be investigated further. As has been articulated in other areas, the question of whether or not emotional intelligence is contributing anything unique is an important one to answer. It may be, that these concepts of emotion perception, understanding and managing emotion are captured in other constructs already in use.

Another recommendation for future research is to explore the concept of emotional intelligence from a qualitative perspective. It may be that this construct is difficult to measure in the positivistic perspective and a better understanding may be acquired through looking at this construct differently. The nuances around individuals' behavior and approach to others could be explored through this perspective and would contribute additional knowledge in this body of work.

The topic of emotional intelligence has generated a great deal of interest in the practitioner community and a divergence of perspectives in the research community. A better understanding of this construct from a multitude of perspectives, along with tools to effectively measure it, will contribute significantly to this phenomenon of emotional intelligence and further clarify whether it provides a unique contribution to our understanding of individuals and to the field of HRD.

References

- Ashkanasy, N., & Tse, B. (1998). Transformational leadership as management of emotion: A conceptual review. *The First Conference on Emotions and Organizational Life*. San Diego, CA.
- Bass, B.M. (1985). *Leadership and performance beyond expectations*. New York, New York: Free Press.
- Barach, J., & Eckhardt, D. (1996). *Leadership and the job of the executive*. Westport, CT: Quorum Books.
- Bass, B.M., & Avolio, B.J. (1993). Transformational leadership: A response to critiques. In M.M. Chemmers & R. Ayman (Eds.), *Leadership theory and research: Perspectives and directions* (pp. 49-88). San Diego, CA: Academic.
- Bass, B., & Avolio, B. (2000). *MLQ: Multifactor leadership questionnaire*, (2nd ed.). *Technical report*. Redwood City, CA: Mind Garden.

- Buford, B. A. (2001). *Management effectiveness, personality, leadership, and emotional intelligence: A study of the validity evidence of the emotional quotient inventory (EQ-i)*. [Diss], Iowa City, IA: The University of Iowa. UMI: 303482.
- Burns, J.M. (1978). *Leadership*. New York, NY: Harper & Row.
- Collins, J. (2001). *Good to Great: Why some companies make the leap...and others don't*. New York: HarperCollins Publishers, Inc.
- Collins, V.L. (2001). *Emotional intelligence and leadership success*. [Diss], Lincoln, Nebraska: University of Nebraska. UMI: 3034371.
- Drodge, E. N., & Murphy, S. A. (2002, December). Interrogating Emotions in Police Leadership. *Human Resource Development Review*, 1(4), 420-438.
- Druskat, V.U., & Wolff, S.B. (2001). Building the emotional intelligence of groups. *Harvard Business Review*, 79(3), 80-90.
- Friedman, H., & Riggio, R., & Casella. (1988). Nonverbal skill, personal charisma, and initial attraction. *Personality and Social Psychology Bulletin*, 14, 203-211.
- George, J. M. (2000, August). Emotions and Leadership: The role of emotional intelligence. *Human Relations*, 53(8), 1027- 1054.
- Goleman, D. (1995). *Emotional Intelligence*. New York: Bantam.
- Goleman, D. (1998). *Working with Emotional Intelligence*. New York: Bantam.
- Goleman, D., Boyatzis, R. E., & McKee, A. (2002). *Primal leadership: Realizing the power of emotional intelligence*. Boston: Harvard Business School Publishing.
- Hamlin, R. (2003, March). Towards a generic theory of managerial and leadership effectiveness: A meta-level analysis from organisations within the U.K. Public sector. In S. Lynham & T. Egan (Eds.), *Proceedings of the Academy of Human Resource Development* (pp. 944-951). Academy of Human Resource Development, Minneapolis, MN: Academy of Human Resource Development.
- Holton, E.F., & Lynham, S. (2000). Performance-driven leadership development. In E.F. Holton & S.S. Naquin (Eds.), *Advances in Developing Human Resources: Developing High-Performance Leadership Competency*, (pp. 1-17). San Francisco, CA: Berrett-Koehler.
- Kanungo, R. N. (1998). Leadership in Organizations: Looking ahead to the 21st century. *Canadian Psychology*, 39(1-2), 71-82.
- Kuchinke, K.P. (2000). The role of feedback in management development training. In K.P. Kuchinke (Ed.), *Proceedings of the Academy of Human Resource Development* (pp. 707-714). Baton Rouge, LA: Academy of Human Resource Development.
- Mayer, J.D., Salovey, P., & Caruso, D.R. (2002). *Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT): Users Manual*. Toronto, ON: Multi Health Systems, Inc.
- Sosik, J.J. & Megerian, L.E (1999). Understanding leader emotional intelligence and performance: The role of self-other agreement on transformation leadership perceptions. *Group and Organization Management*, 24(3), 367-390.
- Tichy, N., & Devanna, M. (1990). *The transformational leader*, (2nd ed.). New York: Wiley.
- Ulrich, D., Zenger, J., & Smallwood, N. (1999). *Results-based leadership: How leaders build business and improve the bottom line*. Boston: Harvard Business School Press.
- Vaill, P.B. (1996). *Learning as a way of being: Strategies for survival in a world of permanent white water*. San Francisco: Jossey-Bass.
- Vitello-Cicciu, J. (2001). *Leadership practices and emotional intelligence of nursing leaders*. [Diss] The Fielding Institute, Santa Barbara, CA. UMI: 3032096.
- Wasielewski, P. (1985). The emotional basis of charisma. *Symbolic Interaction*, 8, 207-222.
- Weinberger, L. A. (2002b). Emotional intelligence: Its connection to HRD theory and practice. *Human Resource Development Review*, 1(2), 215-243.
- Yukl, G. (1998). Leadership in organizations, (4th ed.). Upper Saddle River, NJ: Prentice Hall.
- Yukl, G., & VanFleet, D.D. (1992). Theory and research on leadership in organizations. In M.D. Dunnette & I.M. Hough (Eds), *Handbook of industrial and organizational psychology* (2nd ed., Vol 3. pp. 14-197). Palo Alto, CA: Consulting Psychologists.
- Zehner, R., & Holton III, E. (2003, March). Development and validation of an instrument for early assessment of management potential. In S. Lynham & T. Egan (Eds.), *Proceedings of the Academy of Human Resource Development* (pp. 936-943). Academy of Human Resource Development, Minneapolis, MN: Academy of Human Resource Development.

Safety Leadership Development in the Oilfield: Operationalizing Lynham's Theory of Responsible Leadership for Performance

James H. Rushing
Baker Hughes

Susan A. Lynham
Texas A&M University

The oil and gas industry's number of serious injury accidents have plateaued. Human Resource Development's focus and expertise can credibly contribute to improving performance applying the general theory, "A Theory of Responsible Leadership for Performance" (Lynham, 2000). The theoretical framework of the theory and a proposed methodology for research within the drilling contractor segment is put forth with propositions about its validity and usefulness in relating leadership development to regained improvements in safety performance.

Keywords: Safety, Leadership, Performance

The oil and gas industry is looking for an improvement in safety performance. Historic reductions in the number of serious injury accidents have plateaued in the last few years. Oil and gas producers, drilling contractors and oilfield service providers as an industry have sponsored global and regional initiatives seeking to discover a means for returning to continual improvement. Human Resource Development's (HRD) focus and expertise in learning and performance improvement for multiple performance domains can make credible, lasting contributions to this effort. Comparing U.S. OSHA-recordable accident statistics for U.S. oil and gas producers (USP) (Gibson, 2001), a representative oilfield services provider, Baker Hughes (BHI) (Rushing, 2003) and drilling contractors (IADC) (IADC, 2003), reveals the greatest opportunity to gain improvement lies with focusing on drilling contractor performance (Table 1). Data on more severe injury accidents that require days away from work (DART) reveal that drilling organizations not only suffer a greater number of serious injury accidents in total, but also a greater number of the most severe injuries. Table 2 illustrates the leveling off of injury accident rates, a key performance indicator, in U.S. and European areas as well as for the entire drilling segment of the industry.

Table 1. U.S. Petroleum Industry vs. International Association of Drilling Contractors Accident Rates per U.S. OSHA reporting guidelines for 1998-2002

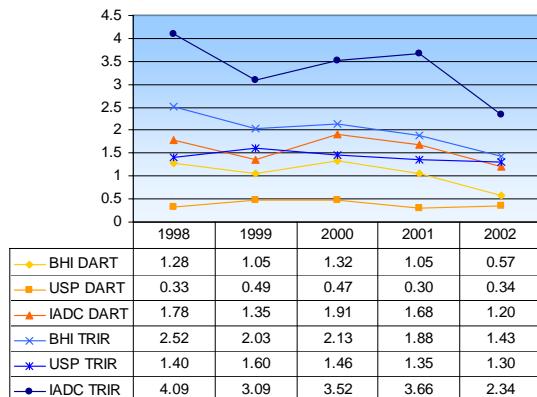
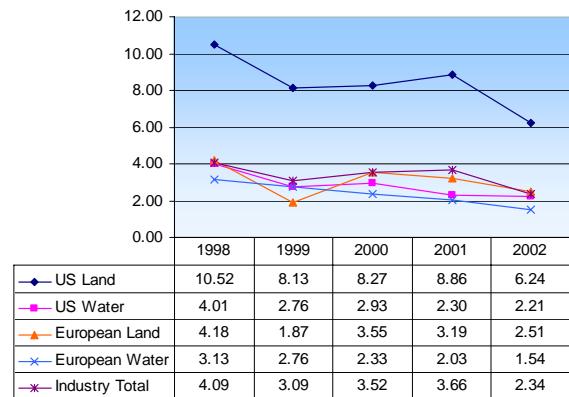


Table 2. International Association of Drilling Contractors Accident Rates in U.S., Europe and Total per U.S. OSHA reporting guidelines for 1998-2002



While these rates are appreciably lower than other U.S. industry injury accident rates overall, the industry's high profile, safety policies and management standards demand continual improvement.

Oil and gas companies, drilling contractors and various service provider representatives have formed regional and global initiatives like the United Kingdom's Step Change in Safety (Step Change) and the Global

Copyright © 2003 James H. Rushing & Susan A. Lynham

Drilling Safety Leadership Initiative (GDSLI) to develop new approaches for further improvement in safety performance. The Behavioral Issues Task Group of Step Change (2002) commented there were large improvements over the previous ten years because of the improved design and quality of hardware and the implementation of effective safety management systems and procedures. However the next step for oil and gas exploration in the UK region of the North Sea involved “taking action to ensure that the behaviors of people at all levels within the organization are consistent with an improving safety culture.” They reported on a series of workshops in November 1999 that concluded that safety leadership and the judicious use of behavior modification programs were among the most important issues for improving safety performance in the oil and gas industry.

The GDSLI formed five regional groups in 1999 to look at improving safety performance: Gulf of Mexico; Latin America; Middle East; North Sea and Onshore US. The Gulf of Mexico group (2001) stated its mission was “to improve safety performance and advance safe work practices in rig operations using a multi-disciplined approach involving operators, contractors, and service providers with the goal of having an incident-free workplace.” It has focused on training expectations, developing and communicating recommended best practices, improving hardware and tool safety and on instilling a “safety first” culture mandate in the industry.

Both groups recognize the same three needs for safety performance improvement: well engineered hardware and tools, implementation of effective safety management systems and procedures, and the need for safety leadership development to improve the safety culture of companies involved in drilling operations. It is the purpose of this paper to explore the possible utility and contribution of “A Theory of Responsible Leadership for Performance” (RLP) (Lynham, 2000) to the oil and gas industry’s quest for renewed improvements in safety performance and leadership development. The purpose of the paper is addressed in five parts. The first considers the problem statement and research questions that guide this descriptive study. The second presents the essences of the guiding theoretical framework to the study, namely, the RLP theory. Next, a brief discussion follows on how the RLP theory could be used to inform the identification of the safety leadership and leadership development needs in the drilling organization. This is followed by some concluding thoughts about next steps in this possible path of inquiry in which the RLP theory framework could be used to describe and develop the safety leadership system-in-focus within the drilling organization. Finally, implications of this descriptive study for future HRD theory, research, and practice are considered, together with possible contributions to new knowledge in HRD.

The Problem, Need, and Research Questions

The oil and gas industry makes for the major context within which this study is framed. This industry is comprised of three major segments, namely, the oil and gas producers (for example, Shell, BP, ExxonMobil), the drilling contractors (for example, Diamond Offshore Drilling, Nabors Drilling, Noble Drilling), and the service provider organizations (for example, Baker Hughes, Schlumberger, and Halliburton). As indicated in Tables 1 and 2 above, industry injury accident rates have leveled off, meaning that the historic reductions in the number of accidents and related injuries have stopped declining, a source of concern to the whole industry. Of the three segments in the industry, the greatest number of injury accidents and therefore the biggest source of concern is within the drilling contractor segment of the industry. Further, Tables 1 and 2 illustrate that within this segment not only the highest number of injury accidents occur, but that the most serious injuries, those requiring days away from work, also occur in this segment. The industry recognizes the need for safety leadership as key to changing the prevailing safety culture and achieving the desired improvement in safety performance. However, drilling contractors can have a limited, and often simplistic, conception of what the current culture is, and what leadership is needed to lead the necessary change.

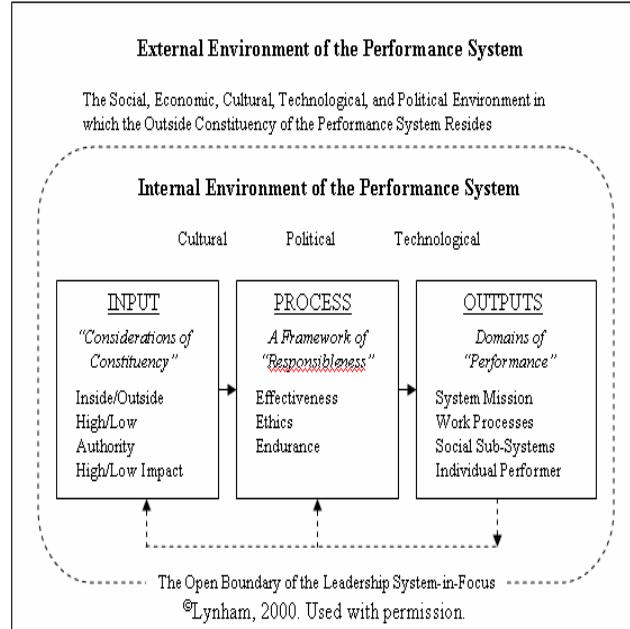
Recognizing that leadership is vital to effect the necessary improvements in safety performance, a framework is required to explore and better understand the nature of the leadership system and performance outputs that are required for improvement. To this end, this descriptive study proposes that RLP is a useful and generative framework to guide this exploration. For purposes of this paper, and the design and conduct of a future study aimed describing and developing a leadership system-in-focus required to address current and emerging safety leadership needs of the drilling contractor organizations, three research questions were posed by the authors. 1.) What is the essence of the RLP theory? 2.) How might this theory be used to identify the current system of safety leadership, as well as the future system of safety leadership needed to improve safety performance in the drilling contractor segment of the oil and gas industry? 3.) What might the implications of the application of this theory to safety leadership performance needs in the drilling contractor organizations mean for leadership development needs in the drilling contractor segment, and for new knowledge in HRD?

The Guiding Theoretical Framework: Essences of “A Theory of Responsible Leadership for Performance”

Responsible Leadership for Performance (RLP) is a general theory of leadership that addresses the nature and challenges of leadership that is both responsible *and* focused on performance. Two core premises govern the theory of RLP. The first premise is that leadership is itself a system consisting of purposeful, integrated inputs, processes, outputs, feedback and boundaries. The second premise is that leadership takes place within a performance system, that is, a system of joint, coordinated and purposeful action. The concept of a performance system is used interchangeably with that of an organization. The performance system in focus can be interchangeably thought of as organizations that work together to find and produce oil and natural gas. They possess similar missions, values, goals, and expected outcomes. In RLP, the boundary of the leadership system-in-focus corresponds with the internal and external boundaries of oil and gas producers such as ExxonMobil, drilling contractors such as Diamond Offshore Drilling, and service providers such as Baker Hughes. It is the purpose and nature of the performance system that must govern, direct and determine the purpose and nature of leadership, not vice versa. Leadership can therefore be spoken and thought of as a system of interacting inputs, processes, outputs, and feedback that derive meaning, direction and purpose from the larger performance system within which that leadership occurs. From this perspective, *leadership* is defined as: *a system of interacting inputs, outputs and feedback whereby individuals and/or groups influence and/or act on behalf of specific individuals or groups of individuals to achieve shared goals and commonly desired performance outcomes.*

The theoretical framework of RLP is derived from four theoretical components, namely, the units that constitute the variables of the theory, the laws of interaction that govern the relationships among the units, the boundaries that determine the domain over which the theory is expected to apply, and the system states that influence the values of the interacting units

Figure 1. The Theoretical Framework of “A Theory of Responsible Leadership for Performance”



The Units of RLP

Three core elements, also known as units, interact in a systemic way to form the inputs, process, and outputs of the leadership system-in-focus. The three units of RLP are: *considerations of constituency* (*the inputs*); *a framework of responsibleness* (*the processes*); and *domains of performance* (*the outputs*).

Considerations of constituency are distinguished by three conceptual dimensions, namely: whether that constituency resides (a) inside or outside the performance system; (b) whether that constituency has high or low authority over the performance system; and (c) whether that constituency has the potential for high or low impact on the performance system. *A framework of responsibleness* is made up of three conceptual dimensions: (a) effective practices of leadership; (b) ethical habits of leadership; and (c) the application of enduring resources by leadership.

Domains of performance, consists of four conceptual dimensions, namely, (a) the system mission, (b) the work process/es, (c) the social sub-systems, and (d) the individual performer.

The Laws of Interaction in RLP

The three units interact in a systemic way to form the theoretical framework of RLP. Four laws of interaction govern and make explicit the relationship among these units:

1. All three units of The Theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; are associated with and required for RLP.
2. Each unit of The Theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; interrelates with each other unit of The Theory.
3. *Considerations of constituency* precede a *framework of responsibleness* and *domains of performance* in “A Theory of RLP.”
4. The units of “A Theory of RLP” can be thought of in terms of inputs, process and outputs; where the unit of *considerations of constituency* forms the input, the unit a *framework of responsibleness* forms the process, and the units *domains of performance* forms the output of The Theory.

The Theoretical Domain of RLP

The theoretical domain over which RLP is expected to apply is bounded in two ways, first by a closed boundary, and second by an open boundary. The first and closed boundary separates that part of the real world in which RLP is expected to hold up from that part of the real world in which it is not expected to apply and which is beyond its scope. Leadership, in RLP is described as a system-in-focus, which means that the system of leadership occurs within and to serve the purpose and goals of a legally defined, human populated performance system. The external environment that includes the constituency is expected to fall within the domain of RLP. The external environment which does not include constituency is considered beyond the scope.

System States of RLP

The fourth aspect of RLP is that of system states. System states indicate conditions under which the values of the RLP units will change. RLP has two system states, one of balance and one of unbalance. The leadership system-in-focus (RLP) is considered in a state of balance when all three units are present and arranged in an interacting system of inputs, processes and outputs. Conversely, when all three units are not present and not interacting, the values of the units can be expected to change significantly and the theoretical system is considered in a state of unbalance.

Knowledge Claims and Empirical Indicators of RLP

Once a theoretical framework has been developed for a theory, the framework can be used to derive knowledge claims about how the theory can be expected to operate. These knowledge claims can also be known as propositions of a theory. There are eight strategic propositions for RLP's operation:

1. RLP is a theory of leadership as a system-in-focus. Leadership is a purposeful, focused system, not an individual or a process managed by an individual.
2. All systems have a purpose. The purpose of RLP is to serve the needs and desired outcomes of the *constituency* of a performance system by positively impacting multiple domains of *performance* in a *responsible* (effective, ethical and enduring) manner.
3. The content of RLP is derived from all three units of the theory—*considerations of constituency*, a *framework of responsibleness*, and *domains of performance*. If all three units are not present and interacting, then there is not Responsible Leadership for Performance.
4. For leadership to be considered *responsible*, it must demonstrate, and be judged to demonstrate, effectiveness, ethics and endurance. If one of these three attribute properties is missing from leadership, then that leadership is not responsible.
5. The units of the theory—*considerations of constituency*, a *framework of responsibleness*, and *domains of performance*—are interdependent. If there is change in one unit then it can be expected that there will be changes in the other two units.
6. As *responsibleness* (effectiveness, ethics and endurance) increases, performance of the whole performance system can be expected to increase.
7. *Constituency* is a necessary requirement for leadership. Without constituency there is no leadership.
8. Without guiding inputs from *constituency*, and outputs in the form of *performance*, the phenomenon of leadership collapses.

Informed by the above propositions, four empirical indicators have been identified for RLP in Table 3. Empirical indicators are a necessary precursor to getting a theory ready for testing and to show how values and measures for the interactions of RLP will later be established by research. Three strategic propositions regarding the

units of RLP were used to inform and identify the empirical indicators identified for RLP - *constituency, responsibility and performance*, as well as the concept of RLP as a leadership system-in-focus (Table 3).

Table 3. Empirical Indicators for “A Theory of Responsible Leadership for Performance”

Constituency	The level of participation of the <i>constituency</i> as measured by the channels (formal and informal) through which constituency needs are used as inputs to, and evaluation of, the leadership system-in-focus.
Responsibleness	The value of <i>responsibleness</i> increases as measured by effectiveness, ethics and endurance, where... <i>effectiveness</i> is measured by constituency perception of effective leadership practices, <i>ethics</i> is measured by constituency perception of ethical leadership habits, and <i>endurance</i> is measured by constituency perception of the employment of enduring resources.
Performance	The value of whole system <i>performance</i> increases as measured by mission-related, work process, social sub-system, and individual units of performance in terms of time, quality, quantity and alignment.
Leadership as a System-in-Focus	The value of leadership as a system-in-focus as measured by the shared mental model of what makes for good leadership in the performance system, established through interviews with, and feedback from, constituency.

Application of the Theoretical Framework of RLP to the Drilling Contractor Organization Performance System

The RLP theory provides a theoretical framework for identifying the safety leadership system required for improved performance in the drilling contractor organization. As indicated earlier, this theoretical framework identifies leadership as a system of inputs, processes and outputs. While *considerations of constituency* form the inputs to the resulting leadership system, a *framework of responsibleness* and *domains of performance* constitute the process and outputs respectively of the leadership system-in-focus. A discussion of how the RLP theory can be used to inform the identification of each of these three interacting units/components of the safety leadership system-in-focus follows.

Considerations of Constituency in the Drilling Contractor Performance System

The *Considerations of Constituency* include those persons whom the leadership system-in-focus, in this case the drilling contractor organization, serves whether they be inside or outside the organization, positioned at high or low levels of authority within the performance system and whether they have high or low levels of impact on the performance system. The constituency can include membership from one drilling contractor organization, representation from other drilling contractor organizations for example the International Association of Drilling Contractors and other segments of the oil and gas industry namely oil and gas producers such as ExxonMobil and service providers such as Baker Hughes. Further constituency considerations include regulatory bodies and other economic and political stakeholders in the operating environment of the oil and gas industry.

Within the one drilling contractor organization, further considerations of constituency closest to the hazards encountered is vital to the identification of the essential definition of a successful safety leadership system within the larger performance system of the drilling contractor organization. In this way this unit of the RLP theory informs the proper selection of the full range of constituent membership and needs inherent in the internal and external environment of the drilling contractor organization performance system. This consideration ensures that no key constituent voices and needs remain silent and unconsidered in the development of a safety leadership system-in-focus (i.e. within the drilling contractor organization/s).

Aristotle once said, “If you wished to understand virtue, study virtuous people.” There is a wide disparity in the expectations and experience of oil and gas producers regarding safety performance. Selection of the anticipated oil and gas producer constituency needs to consider that producer’s safety culture, current safety performance, and qualitative differences in drilling operation experience. This process of selection will ensure input that is conducive to the drilling contractor’s desired safety performance improvement efforts and needs.

In RLP, the selection of representative constituency for consultation is critical since an organization’s constituents precede and define the framework of responsibleness and the needs and results of performance required from the organization and its leadership. The constituency also gets to decide if that definition and the performance

expectations are met for the multiple performance domains of the performance system, that is, the whole organization. Responsible leadership recognizes the reciprocity between the leader and constituent.

A Framework of Responsibleness and the Domains of Performance in the Drilling Contractor Performance System

According to the theory of RLP once the considerations of the constituency have been identified, the constituency can used to describe, inform and evaluate what makes for responsible safety leadership and acceptable safety leadership performance at multiple levels within the larger drilling contractor organization.

Constituent voices make explicit and clarify what practices make for effective leadership, what habits make for ethical leadership and what stewardship of resources is required for enduring leadership. This diverse chorus of constituency is needed to inform the essential nature of safety leadership required and the appropriate selection of available performance measures (means and outcome) for the safety leadership system in focus.

The industry recognizes that safety leadership and the judicious use of behavior modification programs are among the most important issues for improving safety in the oil and gas industry (Step Change, 2002). Through the application of RLP to the definition of the safety leadership system in focus, the groundwork is laid to understand and pursue specific safety leadership development and behavior modification needs of the drilling contractor organization.

Implications of the Application of RLP for Leadership Development

The successful use of the RLP theory to inform what makes for an acceptable system of safety performance leadership in a drilling contractor organization has implications beyond the single organization. First, the understanding of what makes for responsible leadership for performance and how this knowledge informs the description and development of safety leadership systems as well as improved safety performance may be applied in other drilling contractor organizations in the drilling segment of the oil and gas industry. Second, this understanding and successful application in the drilling industry segment can be used to identify and develop like leadership systems in focus within other segments of the oil and gas industry. Furthermore, comparisons between organizations within a segment of industry and between segments of the industry will generate new knowledge about the nature and requirements of leadership that is both responsible and focused on safety performance improvement. Lastly, this knowledge informs the design, development, implementation and evaluation of future leadership development programs designed to produce leadership competence for continual safety performance.

Summary and Contributions to New Knowledge

According to Lewin there is nothing as practical as good theory (Lynham, 2001). This paper explores the possible usefulness and contribution of “A Theory of Responsible Leadership for Performance” to the oil and gas industry’s need for improved safety performance by means of a defined safety leadership system in focus for a drilling contractor organization within the industry. This paper has discussed issues surrounding the application of the RLP theory in a drilling organization context and what implications there are for that organization, others within the same segment and, indeed, the entire oil and gas industry.

Groups within the oil and gas industry point to the importance of safety leadership development to address this performance improvement need. (Step Change, 2002) “A Theory of Responsible Leadership for Performance” (RLP) proposes that leadership can be thought of as a system-in-focus that serves the still larger performance system, which for this paper has been a drilling contractor organization. Drilling contractor organizations experience the greatest number of serious injury accidents and the greatest number of most severe injuries occur within the oil and gas industry and stand to benefit the greatest from improvements in safety performance. RLP has put forth the units and laws of interaction that establish what makes for responsible leadership for performance together with the corresponding knowledge claims and empirical indicators required to confirm the theory in practice. What remains is for the proposed application of the RLP theory in the oil and gas industry to be conducted.

The paper proposes that the theory of RLP is useful for identifying current safety leadership needs for safety performance improvement in the oil and gas industry. The theory can also inform safety leadership development efforts to sustain the desired results in safety performance. It sets up a context to further confirm and refine and develop the theory and therefore demonstrate its usefulness to practice to drilling organizations where industry are pressuring for a sustained managed change that is stable and aligned with other required performance variables for the industry, component organizations, their drilling operations, crews and each individual that works in this challenging environment.

Finally this paper challenges the popular notion that safety performance is strictly a function of behavioral modification. There are broader systemic issues and leadership considerations necessary for the required sustained

improvements in safety performance. HRD's theoretical foundations in psychology, systems and economics provide a rich resource to draw from in our applied discipline. RLP gleans richly from earlier learning and contributes to HRD's vision of theory making that can be explored in research and carried through to practice that explicitly improves performance and learning in the multiple domains of the oil and gas industry or indeed any industry.

References

- Gibson, P. (2001). Workplace safety for the U.S. Petroleum industry: 1990-1999. American Petroleum Institute. Washington, DC: January, 2001.
- Global Drilling Safety Leadership Initiative (2001). Gulf of Mexico program highlights and the way forward. Presentation given March, 2001 to the GDSL Spring Meeting, Houston, TX
- IADC (2003). The IADC ASP Rig summary reports: 5 year lost time and total recordable incidence/frequency report. The International Association of Drilling Contractors, Houston, TX. www.iadc.org
- IADC (2003). Alphabetical listing of IADC contractor members. The International Association of Drilling Contractors, Houston, TX. www.iadc.org
- Lynham, S.A. (2000). *The development of "a theory of responsible leadership for performance"*. St. Paul, MN: Human Resource Development Research Center.
- Lynham, S.A. (1992). Toward effective, ethical, and enduring leadership in a New South African Era: Sustaining South African organisations through major changes and challenges. MAOL programme, College of St. Catherine, St. Paul, MN December 1992: 1-107.
- Rushing, James H. (2003). *Baker Hughes monthly safety report: August 2003*. Baker Hughes, Inc. Houston, TX. September, 2003.
- The Behavioral Issues Task Group (2002). Changing minds: A practical guide for behavioral change in the oil and gas industry. (2nd ed.). Step Change in Safety, Aberdeen, UK.

Research in Higher Education: Graduate Student Perspective

*Mesut Akdere
University of Minnesota*

Using survey research method, the paper explored the expectation of conducting research for graduate students and assessed their challenges, problems, and the contribution of research to their graduate school experience. The purpose of this paper is also to investigate potential contributions of conducting research by graduate students in the field of HRD. This paper contributes to our understanding of how research and practice interact at the graduate school level. Implications for future research and practice on scholarly work are discussed.

Keywords: Research, Higher Education, HRD

Preparing scholars and researchers in the United States is hard work, both for those providing the preparation and for those receiving it. In this paper, I examine the challenge of conducting research in graduate school, particularly within doctoral programs in American higher education system; contribution of conducting research to the academic and professional development of students; the financial benefits of engaging in research; and the overall value of scholarly inquiry to graduate student. The hallmark of a competitive economy is decentralization whereby market forces shape and guide the production technology and resource allocation decisions (Scott & Anstine, 2001). Technology production and resource allocations are the outputs of research efforts in general. In the US higher education system, the production of graduate degrees across disciplines follows a common general model in which a number of years of required coursework are followed by comprehensive exams and the consequent phase of writing a thesis or a dissertation, and finally defense and successful completion.

Background

Research on graduate students indicates that many of them are challenged by financial issues, personal concerns, curricular requirements, and relationships with faculty (Dolph, 1983; Jacks, Chubin, Porter, & Connolly, 1983; Benkin, 1984; Valentine, 1987; Hirt & Muffo, 1998). The availability of adequate funding is crucial for graduate students in financially securing their academic and personal lives. The availability of support can determine who completes degrees, especially when all requirements except the dissertation have been fulfilled (Benkin, 1984). Dolph (1983) claims that graduate students with some form of funding are more likely to receive their degrees which is the case for all fields across disciplines such as education, sociology, medicine, engineering, management, and humanities (Jack, Chubin, Porter, & Connolly, 1983; Valentine, 1987; Dolph, 1983). Furthermore, graduate students with research assistantships are much more likely to succeed both in degree completion and securing a faculty position as a result of their engagement with scholarly inquiry and consequent publications (Bowen & Rudenstein, 1992). One of the reasons for this may be the fact that graduate students conducting research and publishing in refereed journals work closely with faculty and regularly socialize with their peers and establish valuable networking (Girves & Wemmerus, 1988; Valentine, 1987). In terms of personal concerns significant differences between the expectations and the realities of graduate school result in high levels of discomfort and dissatisfaction among graduate students (Baird, 1978). Curricular requirements are also critical in graduate school experience. For example, programs that develop clear policies and student-friendly procedures such as orientation programs, detailed research proposal guidelines, focused comprehensive exams, and annual reviews of student progress experience lower levels of student attrition (Nerad & Cerny, 1993; Golde, 1995). The last component is the relationship between the faculty and graduate students, which is composed of three influential stages in the graduate school process: (1) transition to the program; (2) acquisition of skills; and (3) conducting research (Tinto, 1993).

Graduate students when conducting research may sometimes be viewed as practitioner researchers as often times these students are already practicing members of a profession. Research conducted by practitioners on their own practice is sometimes similar in principle to other forms of research that fall under conventional definitions, such as case study research or some kinds of quantitative research (Metz & Page, 2002). Although different from theory-based research, practitioner-based research is equally informed and informative; and therefore, it is treated at the same status by being called research. The quality of this type of research derives from the practitioners' positions as researchers writing about what they practice. As insiders, they are aware of all problems related to the practice of

Copyright © 2004 Mesut Akdere

a field and, most likely, have already developed certain remedies to solve these problems and address such issues. Therefore, there is no barrier for graduate students to center their research on the development of conceptual clarity, theoretical understanding, and the use of empirical data to develop conceptual knowledge and analytic descriptions that are universally generalizable. Overall, research involves societal struggles over power and status and through conducting research, graduate students become aware of the realities of the world and involve with civic engagement.

Purpose of Study and Research Questions

The University of Minnesota's Center for Urban and Regional Affairs (CURA) has two programs that place graduate and professional students in research assistantships with community-based organizations. Neighborhood Planning for Community Revitalization (NPCR) works with neighborhood organizations in Minneapolis and St. Paul metropolitan area, and the Community Assistantship Program (CAP) works with organizations in Greater Minnesota. Both programs place students in part-time research assistantships for a semester to work on issues defined by the community to help the community achieve its goals. In the past five years, these programs have placed over two hundred graduate and professional students with over two hundred community-based organizations throughout the state. This study is conducted in order to assess the impact these research projects have had on the students who have participated in them in terms of gaining research experience through practice, presenting at conferences, getting published in refereed journals, networking within their respected fields, and contributing to the existing body of knowledge in their areas of specialty. The research questions for this study are:

- 1) How important is research experience to graduate students?
- 2) What are the outcomes of conducting research?
- 3) What academic opportunities are offered to the students as a result of these research projects?
- 4) What influences have these research projects made on graduate students?
- 5) Is there a relationship between the number of research projects graduate students are involved with and the number of conference presentations and publications in journals?
- 6) Is there a relationship between the number of research projects graduate students are involved with and their networking opportunities?

Review of Related Literature

In some of the graduate programs, coursework does not adequately prepare students to conduct their own research, employ theory in their research or to existing problems, and manage a research project of the depth and scope expected (Hansen, 1990). Furthermore, emphasis on student research is limited during the first two years of graduate study making the transition to the dissertation and publishing efforts much more difficult (Bowen & Rudenstein, 1992). Consequently, balancing assistantship demand with coursework requirements and finding time to conduct research can pose major challenges for graduate students especially if they are striving for getting published (Hirt & Muffo, 1998). Thus, research opportunities leading to conference presentations, reports, and ultimately publications are critically important for graduate students in getting the most out of their graduate school experience. Such research projects may also make contributions beyond the scope of traditional research, be they quantitative or qualitative in nature. In addition to being a source of knowledge generation, these research projects also presents (1) the potential for greater personal, professional, and organizational learning (Miller, 1990); (2) an approach to authentic staff development, professional renewal, and organizational change (Gitlin et al., 1992); and (3) a new way of thinking about knowledge creation, dissemination, utilization, and management in organizations (Carr & Kemmis, 1983). Such research projects can be appropriately rigorous on epistemological, political, or ethical grounds (Cochran-Smith & Lytle, 1990; Carter, 1993; Fenstermacher, 1994; Richardson, 1994; Huberman, 1996; Hammack, 1997; Anderson & Herr, 1998) through appropriate guidelines both for quality, formalized methodology, and the purpose.

There is a perceived gap between researchers and practitioners in any given field. Many practitioners often do not find that academic research—theoretical or empirical—is very helpful. Clandinin and Connelly (1995) argues that outsider knowledge is often experienced by researchers as a “rhetoric of conclusions,” which enters the practitioner’s professional landscape through informational conduits that funnel propositional and theoretical knowledge to them with little understanding that their landscape is personal, contextual, subjective, temporal, historical, and relational among people. In many applied fields, such as HRD, the complexity of issues, questions, and problems often demands a melding of approaches to achieve innovative problem formulation and successful

problem solving which may, to an extent, be addressed through such research models that bring norms of inquiry and argumentation reflecting the fundamental content and context of multiple disciplines.

The researchers and practitioners in the field of HRD aim to advance the theoretical and practical implications of the knowledge base. Theory, research, development, and practice together compose a vital cycle that allows ideas to be progressively refined as they evolve from concepts to practices and from practices to concepts (Swanson & Holton, 2001). Research is an integral part of the HRD practice and learning, and a fundamental gateway to its development and progress. Knowles, Holton, and Swanson (1998) suggest three aspects of learning are reason, emotion, and action. Graduate students engaged in research efforts go through these steps as they conduct research. Respectively, all research efforts may be viewed as part of a learning process in the graduate school. Furthermore, such research projects may help the field of HRD to bring researcher and practitioner together to achieve sound and reliable research with utility to the field. One of the current challenges of the field is to bridge the gap between research and practice to provide a sound framework for the field.

Methodology

This is a correlational research study in which the investigator attempts to determine how related the variables are. The degree of relation is expressed with a correlation coefficient. The correlational method allows the researcher to analyze how the variables in this study, either singly or in combination, affect the pattern of opinions. This method further provides information concerning the degree of the relationship between the variables in the study.

The target population of this study is the graduate students in the U.S. higher education institutions. The accessible population is the graduate research assistants of the Center for Urban and Regional Affairs (CURA) at the University of Minnesota. By utilizing the CURA database, two hundred and fourteen graduate students were selected. For the purposes of data gathering, a questionnaire was designed for this survey method. Survey design administers the questionnaire instrument to collect data from the participants in the sample about their characteristics, experiences, and opinions in order to generalize and correlate the findings to the population that the sample is intended to represent. The questionnaire was in closed form; multiple-item and 4-point scales were used to rank the items in the questions. Questions regarding demographic variables were also included at the end of the questionnaire. Before conducting the survey, a pilot testing is done among a sample of individuals from the population from which the study intended to draw the survey participants.

The data was collected via two methods: questionnaire mailing and online questionnaire. The participants were sent the questionnaire and given the option of either participating by filling out the questionnaires sent to them or responding to the online questionnaire. The information on how to access to the online survey was provided in the mail-questionnaire. Each participant was given a code to access to the online questionnaire. The code prevented duplication and was further useful in the follow up with nonrespondents.

Descriptive statistics of the variables were presented in order to analyze the independent variables. Statistical analyses were conducted to explore the relationships between the variables. Because the data is significantly skewed, Spearman Correlation Coefficient (r) was conducted to measure the degree of relationships between the variables.

Assumptions and Limitations

The study assumes that conducting research in graduate school is essential in terms of achieving a successful graduate school experience. There is a relationship between the quality and quantity of research engaged and getting published and obtaining a career in academia. A major drawback of the study is the fact that data are collected from only the graduate research assistants of the CURA at the University of Minnesota. Consequently, there is the problem of representation of the entire population.

Results

Six research questions addressed in this study aim to understand the importance and utility of conducting research, getting published, and networking as a result of graduate school experience.

Research Question 1: How Important is Research Experience to Students?

This question asks four different aspects of possible research experience of graduate students. The participants were asked to respond to these items by choosing a value on a 1 to 4-point scale; 1 being the very important, 2 being somewhat important; 3 being not too important; and 4 being not at all important. The first question was about the value of the research component to students' professional work. The mean for this item is 1.7, indicating that majority of the students feel that research is valuable to their professional work. The second question was about the financial contribution of their research assistantship to their graduate school expenses. The mean for this item is

1.25, showing that a great majority of the participants consider the research assistantship opportunities as an important financial contribution to their graduate school expenses. The third question is about the contribution of these research projects to the students' academic and scholarly development. The mean for this item is 1.45, indicating that such opportunities are very important in terms of students' academic and scholarly development. The fourth question is about the contribution of these projects to their professional development. The mean for this item is 1.3, indicating that they are significant to students' professional development.

Research Question 2: What Are the Outcomes of Conducting Research?

This question inquires about the outcomes that these research projects led for the students. Based on the frequency analysis, the most significant outcome of these projects is that they complement students' coursework. The ranking continues as follows: fulfilling a requirement for an internship, a practicum, or a field experience; changing students' career direction; and providing material for a course paper or thesis. These statistics are in the same lines with the existing literature that such projects provide many outcomes for the graduate student development and experience (Baird, 1978; Hirt & Muffo, 1998).

Research Question 3: What Academic Opportunities are Offered to the Students as a Result of These Research Projects?

This question asks students whether any of their research involvement led to an article publication in a journal; a conference presentation; or a graduate thesis or dissertation. The assumption is that these projects present students with at least one of these opportunities. The results indicate that majority of the students (50%) were able to present their research findings in a conference, while 34% of them used their research projects for their graduate thesis or dissertation, and 16% of them were able to publish in a refereed journal. Publishing for a graduate student, of course, is a great challenge and these results confirm this challenge. Nevertheless, these research projects make a significant contribution to the overall academic and scholarly development of graduate students.

Research Question 4: What Influences Have These Research Projects Made on Graduate Students?

This question attempts to explore the influences these projects have on the graduate students. Based on the frequency statistics, the majority of the participants (39%) indicated that their research experience provided useful networking opportunities and resume enhancement that helped in obtaining employment, promotion, or salary increase. This supports the existing literature about that fact that graduate students with research opportunity are able to establish professional networking and enhance their academic credentials (Bowen & Rudenstein, 1992). 33% of the students on the other hand stated that their experience influenced their involvement in their own community and civic affairs. One of the goals of the US higher education is to build bridges between the higher education institutions and the communities that these institutions are located. Consequently, community service is an important component of universities across the country. 19% of the students stated that their experience influenced their choice of profession, while 9% indicated that the projects influenced their academic research and teaching agenda, bringing teaching and research together.

Research Question 5: Is There a Relationship Between the Number of Research Projects Graduate Students are Involved With and the Number of Conference Presentations and Publications in Journals?

Based on the responses from the participants, there is a positive relationship between the number of research projects graduate students conducted and the number of their conference presentations and publications in journals ($r_s = 0.071$; $p = 0.014$). It is important to note that the more research opportunities graduate students are involved with, the more articles and conference presentations they produce. This finding supports the current body of knowledge on the relationship between the amount of research involvement and publishing and presenting at a conference (Dolph, 1983; Valentine, 1987; Bowen & Rudenstein, 1992).

Research Question 6: Is There a Relationship Between the Number of Research Projects Graduate Students are Involved with and their Networking Opportunities?

To explore the relationship between the number of research projects graduate students are involved with and their networking opportunities, the research findings indicate that there is a positive relationship between ($r_s = 0.062$; $p = 0.018$). These results support the existing literature in that research involvement is an important part of networking within the academia (Girves & Wemmerus, 1988; Valentine, 1987).

Conclusions and Recommendations

This study aimed to understand the importance of conducting research for graduate students, challenges to getting published, and engaging in scholarly inquiry. Today's graduate students are tomorrow scholars and practitioners of any given field. As a young field, HRD is no different than other disciplines in this regard. Therefore, HRD should emphasize the importance of engaging in research and producing scholarly work through its academic curricula and

research agenda. HRD programs should equip themselves with means and tools to foster such environments where research is an important component of the graduate school experience and an important utility to bring research and practice together. Short, Bing, and Kehrhahn (2003) suggest that HRD appears to be inner directed and without substantial impact: publications seem to preach to the converted; and HRD research and HRD practice, to some extent, appear divorced from real-time problems in organizations. This study offers ways to look into the issues related to HRD research and programs. Further research is needed to look into how HRD programs may increase research opportunities for students and collaborate with practitioners to address real life problems and issues.

References

- Anderson, G. L., & Jones, F. (2000). Knowledge generation in educational administration from the inside-out: The promise and perils of site-based, administrator research. *Educational Administration Quarterly*, 36(3), 428-464.
- Baird, L. L. (1978). Students' expectations and the realities of graduate and professional schools. *College and University*, 54, 68-73.
- Benkin, E. M. (1984). *Where have all the doctoral students gone? A study of doctoral student attrition at UCLA*. Unpublished doctoral dissertation. University of California at Los Angeles.
- Bowen, W. G., & Rudenstine, N. L. (1992). *In pursuit of the Ph.D.* Princeton, N.J.: Princeton University Press.
- Carter, K. (1993). The place of story in the study of teaching and teacher education. *Educational Researcher*, 22(1), 5-12.
- Carr, W., & Kemmis, S. (1983). *Becoming critical: Knowing through action research*. Victoria, Australia: Deakin University Press.
- Clandinin, J., & Connelly, F. M. (1995). *Teachers' professional knowledge landscapes*. New York: Teachers College Press.
- Cochran-Smith, M., & Lytle, S. (1990). Research on teaching and teacher research: The issues that divide. *Educational Researcher*, 19(2), 2-11.
- Dolph, R. F. (1983). *Factors relating to success or failure in obtaining the doctorate*. Unpublished doctoral dissertation. Georgia State University.
- Fenstermacher, G. (1994). The knower and the known: The nature of knowledge in research on teaching. *Review of Research in Education*, 20, 3-56.
- Girves, J. E., & Wemmerus, V. (1988). Developing models of graduate student degree progress. *Journal of Higher Education*, 59, 163-189.
- Gitlin, A., Bringhurst, M., Burns, M., Cooley, V., Myers, B., Price, K., et al. (1992). *Teachers' voices for school change: An introduction to educative research*. New York: Teachers College Press.
- Golde, C. M. (1995). *Early and late doctoral student attrition: Descriptions of the graduate education process*. Paper presented at the annual meeting of the Association for the Study of Higher Education, Orlando, Florida.
- Hammack, F. M. (1997). Ethical issues in teacher research. *Teachers College Record*, 99(2), 247-265.
- Hansen, W. L. (1990). Educating and training new economics Ph.D.s: How good a job are we doing? *American Economic Review*, 80, 437-450.
- Hirt, J. B., & Muffo, J. A. (1998). Graduate students: Institutional climates and disciplinary cultures. *New Directions for Institutional Research*, 98(3), 17-33.
- Huberman, M. (1996). Focus on research moving mainstream: Taking a closer look at teacher research. *Language Arts*, 73(2), 124-140.
- Jacks, L., Chubin, D. E., Porter, A. L., & Connolly, T. (1983). The ABCs of ABDS: A study of incomplete doctorates. *Improving College and University Teaching*, 31, 74-81.
- Knowles, M., S., Holton III, E. F., & Swanson, R. A. (1998). *The adult learner: The definitive classic in adult education and human resource development* (5th ed.). Houston: Gulf.
- Metz, M. H., & Page, R. N. (2002). The uses of practitioner research and status issues in educational research: Reply to Gary Anderson. *Educational Researcher*, 31(7), 26-27.
- Miller, J. (1990). *Creating spaces and finding voices: Teachers collaborating for empowerment*. Albany, NY: State University of New York Press.
- Nerad, M., & Cerny, J. (1993). From facts to action: Expanding the graduate division's educational role. In L. L. Baird (Ed.), Increasing graduate student retention and degree attainment. *New Directions for Institutional Research*, 80.
- Richardson, V. (1994). Conducting research on practice. *Educational Researcher*, 23(5), 5-10.
- Tinto, V. (1993). *Leaving college: Rethinking the causes and cures of student attrition*. (2nd ed.). Chicago: University of Chicago Press.

- Scott, F., & Anstine, J. (2001). Critical mass in the production of Ph.D.s: A multidisciplinary study. *Economics of Education Review*, 21, 29-42.
- Short, D. C., Bing, J. W., & Kehrhahn, M. T. (2003). Will human resource development survive? *Human Resource Development Quarterly*, 14(3), 239-244.
- Swanson, R. A., Holton III, E. F. (2001). *Foundations of HRD*. San Francisco: Berrett-Koehler.
- Valentine, N. L. (1987). *Factors related to attrition from doctor of education programs*. Paper presented at the annual forum of the Association for Institutional Research. Kansas City, Mississippi.

Lessons Learned in a Virtual Team: An Integrative Model for Graduate Student Research Skill Development

*Kristie Abston
Vickie Johnson Stout
University of Tennessee*

*Cindy Crowder
Indiana State University*

Value-added learning dimensions resulting from the use of an integrative model for graduate student research skill development are shared by two student researchers, who used virtual teaming in a 10-week online statistics summer course. The researchers collected original data and conducted quantitative and qualitative research. The problems associated with distance education are analyzed. Serendipitous outcomes of this experience and implications from the perspectives of the graduate student researchers and their academic program advisor are discussed.

Keywords: Virtual Teaming, Distance Education, Research Skill Development

This paper presents an investigation into and integration of recent literature on virtual teams, graduate student research, and distance education. To explore empirically the challenges associated with virtual teaming in a graduate-level distance education course, the researchers report on a project completed during a graduate-level statistics course in which the virtual team members: (a) were separated by location, (b) were challenged by a common collaborative project, and (c) used both asynchronous and synchronous communication media.

The statistics course was conducted during a 10-week summer session. This course was the first distance education course attempted by the instructor and the first distance course completed by the researchers. The instructor had taught the course before, but only in the traditional face-to-face format.

The course had synchronous and asynchronous learning activities. The synchronous learning activities were a series of lectures and presentations by the instructor and synchronous analyses and discussions conducted in electronic classrooms through the use of Centra technology. The asynchronous learning activities included small-group homework assignments and the option to form a collaborative team for the large research project.

Each class session typically consisted of a lecture by the instructor coupled with discussion between the students and the instructor. For example, the instructor used presentation visuals simultaneously transmitted to all students to complement the audio presence. During discussion, the instructor and students interacted orally and in writing using Centra technology.

Problem Statement

Given the apprehension commonly associated with statistics and with distance education in general, the problem statement was:

How might the use of virtual teaming in online graduate statistics facilitate an integrative research experience? The purpose of this research was to determine how virtual teaming in online graduate statistics facilitated an integrative research experience.

Terminology

The following terms were operationally defined for use with this study:

Collaborative learning: The grouping and pairing of students for the purpose of achieving an academic goal.

Distance/online education: The delivery of educational opportunities via computer technologies to remote locations both on- and off-campus.

Research skills: The ability to investigate carefully and systematically some field of knowledge, undertaken to discover or establish facts or principles.

Statistics: The calculation, description, manipulation, and interpretation of facts or data.

Value-added learning dimension: Learning that goes beyond the standard requirements and allows for greater skill development, which contributes to a competitive learning advantage.

Virtual team: A collaboration of students who are an intact social unit embedded in one or more social systems in which the members of the team are geographically separated and must rely on technology-based communications to accomplish their tasks (Gibson & Cohen, 2003), little or no face-to-face interaction occurs.

Theoretical Framework/Literature Review

The review of literature is presented so that the reader may gain insight into the main topics and variables considered in this study. It provides a summary of distance education's history, documents the problems associated with this type of education, and explores, through the use of virtual teams, ways to help students develop the skills and competencies needed to be successful in distance education.

Most research on virtual teaming has focused on the development of team effectiveness. Little attention has been given to the development of the individual team members or the human capital they bring to the team. Human capital simply refers to the value that people bring to their work in the form of knowledge and skills (Lipnack & Stamps, 2000) as well as their economic and spiritual value (Fitz-enz, 2000). Virtual teams, such as the one used for this project, increase human capital through acquiring or developing new competencies (Lipnack & Stamps, 2000). From a human capital development perspective, when individuals are given integrative opportunities to perform, they generally exceed expectations.

Technology-savvy graduate students search for a new kind of college experience and expect educational systems to provide learning that is not time- or place-bound because the students, themselves, are bound by their homes, families, and jobs. Due to responsibilities in their lives, these adults cannot relocate to the site of an educational institution, and work responsibilities, particularly for those who work odd schedules or travel frequently, preclude regular class attendance. According to Manzo (1997) more and more adults seek opportunities to advance their education at home. However, many of them do not live within commuting distance of a college or university. Gibson and Graff (1992) found that 77% of the students lived over 51 miles from a college campus, with the majority living between 101 and 200 miles from a college campus. All over the world, colleges and universities are meeting the needs of such students by offering educational degree programs that allowed them to work at home or at work. This type of education has been dubbed distance education.

The longstanding literature on distance education has documented problems associated with its practice. One problem, which has received considerable attention in the literature, is the low quality of learning attainment (Abrami & Bures, 1996). A variety of causes has been attributed to this problem: (a) feelings of isolation (Bullen, 1998), (b) lack of two- and three-way communication (Dede, 1996), and (c) difficulties associated with self-regulation of learning (Zimmerman, 2002). While these causes have been investigated as isolated incidents, it is likely that all of them have led to the problems observed in traditional distance education practice.

Recent research points to collaborative online learning as a method of achieving success and minimizing many causes of distance education problems. Dede (1996) claimed that collaborative online learning aids in the acquisition of complex and higher-level concepts and skills that have been a weakness of traditional non-interactive distance education. Slaven (1990) recommended using collaborative learning to direct student-to-student interactions and minimize both off-task and passive behavior while providing a community environment online. Collaborative learning should include sharing of learning tasks; combining expertise, knowledge, and skills to improve the quality of the learning process; and building or consolidating a learning community. Virtual teams represent a prime means of achieving collaborative learning in distance education environments.

In virtual teams, students structure learning by establishing goals and objectives for activities, organizing and assigning tasks and roles, creating timelines, and attaining group consensus. They use groupware--electronic systems that integrate software and hardware--to enable communication and collaborative work (Khoshafian & Buckwitz, 1995). Some environments use synchronous groupware (those that enable team members to interact at the same time) while other environments use asynchronous groupware (those that facilitate delayed interaction) (Coleman, 1997).

Effectively designed, implemented, and managed virtual teams facilitate better outcomes than an individual could achieve alone. Using the framework developed by Schwarz (1994), it is easy to recognize the important role that team structure (that is, the clarity of group goals, tasks, and roles of team members) plays in determining team effectiveness. Team structure refers to the extent to which team members understand and are committed to team goals, as well as the extent to which their roles on the team are clearly defined (Schwartz, 1994). Clarity and commitment to group goals and clearly defined roles not only enhance satisfaction within the team, they underline

the importance of team structure for effective student team functioning (Vancouver, Millsap, & Peters, 1994; Stevens & Campion, 1994).

Certain elements, such as trust and respect, are important in the establishment of healthy learner-learner relationships (Kanuka, Collett, & Caswell, 2002). In a virtual community, trust and respect are crucial and can be challenged by the lack of face-to-face interaction. Communication processes are the key underlying mechanisms for establishing trust (Gibson & Cohen, 2003). Through communication, virtual teams create cooperative relationships, receive insightful information about the personalities of team members, and develop common values.

Most distance education systems geographically isolate learners from the teacher and from their fellow students (Rangecroft, 1998). Keegan (1986) purported that the separation of student and teacher imposed by distance removes a vital "link" of communication between these two parties. The link can be restored through the open and prompt communication of a virtual team. With advanced technologies, the concept of community can be applied to formally structured classroom settings in distance education by taking on the issue of how best to design and conduct online programs that fosters social interactions among learners who are physically separated from each other (Rovai, 2002).

Using electronic media in distance learning can inadvertently exclude students who lack computing or writing skills. They may not have access to reliable computers. Students may need assistance developing study survival skills or obtaining study materials and technical assistance. The frustrations resulting from technical problems can affect motivation directly (Goel, 2002). Relationships and communication through virtual teaming provide support for all students.

Research Questions

In an attempt to put in perspective what they had experienced and to maximize their lessons learned from virtually teaming to study graduate-level statistics, the researchers purposed the following research questions.

1. What skill development was targeted in the statistics course taken by the researchers in summer 2003?
2. What was the nature of virtual teaming used in conjunction with the statistics course taken by the researchers in summer 2003?
3. What preliminary decision-making launched the generation of value-adding learning dimensions and effects experienced by the researchers in summer 2003?
4. What were the integrative components of the research experience acquired by the researchers in summer 2003?
5. What were the serendipitous outcomes that occurred after the statistics course was finished?

Methodology

A qualitative design was used for researching the transcendent outcomes of a quantitative research project conducted in conjunction with a compressed 10-week summer school graduate statistics course. Two graduate student researchers (one master's level and one doctoral level) enrolled in an online statistics course; both were unaware of the other's participation in the course until the first day of class. The professor assigned homework and a cumulative project that could be completed either individually or as part of a team, but teamwork was not a requirement. The researchers decided to collaborate as a virtual team for the homework and the project based on similar research agendas that had been disclosed previously through other courses and discussed in a research community established by their mutual academic program advisor.

The quantitative research project involved preparing a research proposal that was due shortly before the project report. The proposal requirements included (a) a descriptive title, (b) a research question to be answered and the rationale for the question, (c) the research question stated as a statistical hypothesis, (d) definitions of the variables of interest and how they would be determined, (e) explanation of the sample used and how data would be collected, and (f) explanation of the statistical procedures to be used to answer the question. Data could be collected from student research, a faculty advisor, previously published theses or dissertations, published articles, an internet database, or other sources. The project report format requirements were (a) an introduction, (b) a literature review or rationale for the study, (c) a description of methodology used, (d) a description of the data analysis and findings, and (e) conclusions and recommendations.

When the quantitative research project was first assigned, the researchers contacted their academic program advisor to inquire about original data. The advisor did not have any data that needed to be analyzed but suggested an original research project. The student researchers agreed on the research topic and proceeded with submitting the necessary human subjects form. Upon approval of the human subjects form, the researchers developed a digital

survey using the *SPSS Suite 11.5 Data Entry Builder* in conjunction with the statistical consulting services on campus. The designated statistical consulting services consultant placed the graduate student researcher generated survey online and provided the researchers with the URL for launching the survey.

The prospective subjects included undergraduate students participating in Human Resource Development online courses during summer 2003. Instructors of those online courses were asked to invite their students to participate in the survey; a link to the survey was provided in an email message. Instructors were asked a second and, finally, a third time to invite their students to participate in the survey. Of the 60 undergraduate students that were invited to participate in the survey, 34 completed the survey for a response rate of 56.7%.

Data were collected using the digital survey via a server hosted by designated statistical consulting services consultant. The data were emailed to researchers periodically as an SPSS file. After the last day of class for the summer session a final data file was emailed to the researchers. For the statistics course project, the researchers used data collected two weeks after the subjects were invited to complete the survey.

Data were analyzed using linear regression analysis, which indicated a strong positive relationship between the variables that were studied as predicted by the research question for the project. The final project report was submitted to the statistics professor. Based on successful completion of the quantitative research project, both researchers obtained the grade of A at the end of the course.

While reflecting upon completion of the quantitative research project and the statistics course, the graduate student researchers, as guided by their academic program advisor, launched a qualitative investigation of lessons learned in their integrative research experience. Subsequently, the researchers sought to put their experience in perspective by comparing and contrasting their lessons learned with those experienced by fellow students in the same statistics course. Accordingly, the researchers created an email survey and subsequently sent the survey to fellow students and the statistics professor using the email tool within their statistics course's Blackboard website. After one week's time, the researchers sent a reminder email about the survey to their fellow students and statistics professor. Data were collected on 24 of the 25 students (96%). The data were discussed, analyzed, and interpreted by the researchers, and a case study was completed.

Limitation

This in-depth case study depicts the integrative value-added learning dimensions experienced by two graduate student researchers in a 10-week summer school online statistics course. The researchers acknowledge that their lessons learned as graduate student researchers have limited generalizability. No comparable face-to-face statistics course was held during the summer, so using a control group was not possible. While not addressed in this study, future research should investigate differences in research skill development and team effectiveness between online courses and their traditional equivalents.

Results

The findings of this research are clustered on the basis of responding to each of the five research questions.

In response to Research Question 1,

What skill development was targeted in the statistics course taken by the researchers in summer 2003?

the researchers documented that the statistics course covered (a) univariate and bivariate data collection and organization; (b) statistical estimation and hypothesis testing; and (c) analysis of relationships for numerical and categorical data, including Chi-square tests and simple linear and quadratic regressions. Researchers learned these statistical concepts along with beginner- to intermediate-level skills using SPSS Suite 11.5.

In response to Research Question 2,

What was the nature of virtual teaming used in conjunction with the statistics course taken by the researchers in summer 2003?

the researchers maintained two-way communication between themselves. Ongoing communication transpired among the researchers and their academic program advisor, the statistics professor, the designated statistical consulting services consultant, and other students enrolled in the course on a regular basis. This communication was conducted via email using Blackboard and regular email, telephone, and Centra technology. Figure 1 provides a model illustrative of the interrelatedness that evolved within this virtual team. This model supports integrative research skill development.

Figure 1. An Integrative Model for Graduate Student Research Skill Development

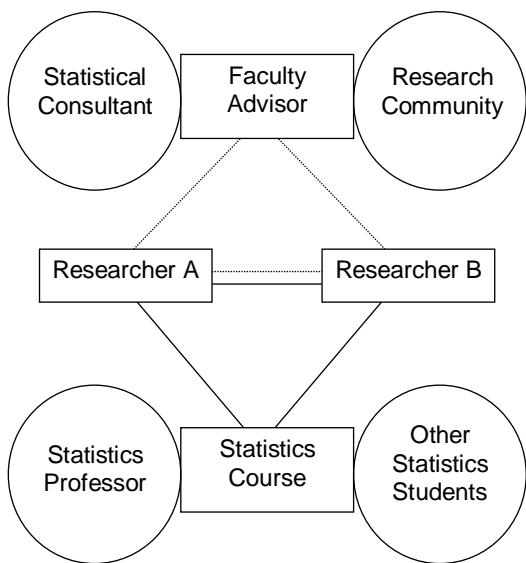


Figure 1. An integrative model for graduate student research skill development.

The researchers were separated by geography and were enrolled in different levels of the Human Resource Development graduate program. However, their relationship which had been established in previous courses and in the research community to which they belong provided the solid foundation of trust and mutual respect that is so essential for successful collaboration. Researchers and their academic program advisor had a previous relationship based on a research community established by the academic program advisor. The process of creating the research community included clarifying individual mission statements with regard to the research community, which provided a common thread for the researchers. This relationship also allowed for proactive access to the academic program advisor during summer.

Data supportive of answering Research Question 3,

What preliminary decision-making launched the generation of value-adding learning dimensions and effects experienced by the researchers in summer 2003?

indicated that once the decision was made to conduct original research as a virtual team, additional decision making transpired in an almost chain-reaction-like manner. Having an established relationship and clarified research agendas enabled the researchers to work with their academic program advisor in order to make decisions like choosing a topic, establishing research questions, designing the methodology, selecting instrumentation, and choosing data collection and analysis methods fairly quickly. The relationship also provided the framework for reflecting upon the project at its conclusion and deciding to submit the case study to AHRD.

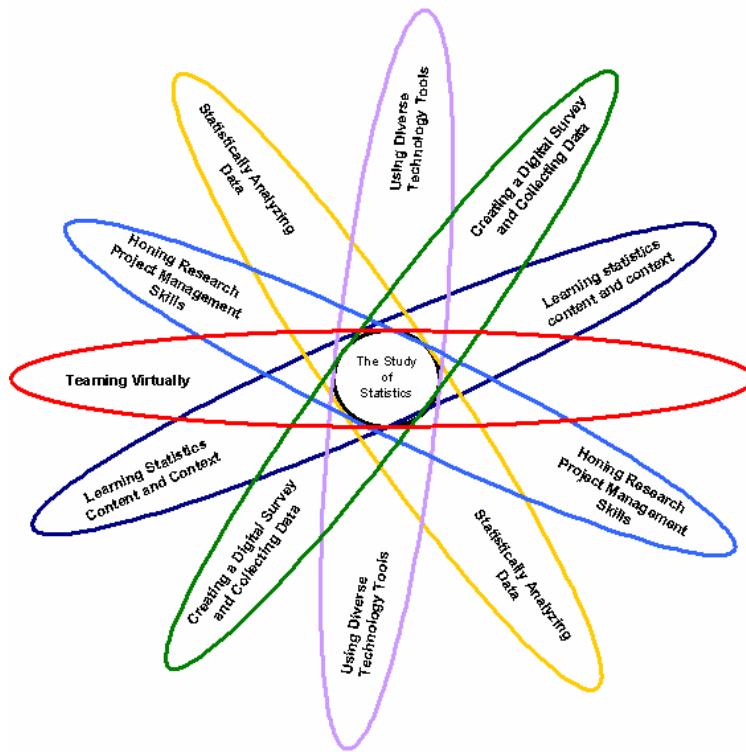
Post-statistics course data collection revealed that of the 25 students enrolled in the statistics course, 23 students completed the survey for a response rate of 92%. The results indicated that the researchers' were the only students that (a) participated in a virtual team, (b) conceived a project and collected original data during the course, and (c) used a digital survey to collect the data. Students attended class while at home, at work, and on campus. Two students attended class from other states, and one student attended class while in another country.

Responding to Research Question 4,

What were the integrative components of the research experience acquired by the researchers in summer 2003? the researchers made the decision to conduct an original research project which was a huge undertaking. Not only were the researchers learning statistics, they were also learning the proper procedures required for a research study at their institution. Figure 2 depicts the value-added learning dimensions experienced by the researchers. The first step included the completion of a human subjects form. Each researcher learned how to operate several new modes of technology (i.e. Centra, SPSS Suite 11.5). One researcher worked with the designated statistical consulting services consultant in creating the digital survey while the other researcher developed the email survey for the post-project data collection. Once the digital survey data were collected, the virtual team members analyzed the data and

presented the results as their course project to the statistics professor. This entire research project was managed through email communication and teleconferencing.

Figure 2. Value-Added Learning Dimensions Resulting From the Use of an Integrative Model for Graduate Student Research Skill Development.



In response to Research Question 5,

What were the serendipitous outcomes that occurred after the statistics course was finished?

the researchers shared their statistic course experience with their academic program advisor, and noted that working as a virtual team on the research project provided an opportunity to help others in similar situations. The experience proffered the following individual gains:

- a. experience with and confidence building in research project design, data collection, and data analysis and analysis interpretation, and using appropriate statistical techniques and technological tools;
- b. empowerment emanating from the creation and ownership of an original data set ;
- c. realization that the integrative research experience as a whole yielded insights potentially transferable to other graduate student researchers and their academic program advisor;
- d. generation of a case study portraying the project;
- e. creation of a dynamic integrative model for graduate student research skill development;
- f. development of a scholarly research manuscript inclusive of presentation graphics depicting research results;
- g. growth and enrichment of a closer, personal, and professional relationship between the researchers and their academic program advisor that has now developed into a face-to-face relationship;
- h. initiation of individual research agenda progress; and
- i. experience with and confidence building in conducting qualitative and quantitative research.

Conclusions

The outcomes of this project give rise to suggestions of what to do in a similar situation as well as some general conclusions about virtual teaming among distance education students. Conclusions resulting from this research consist of the following:

- Distance education is a viable methodology for the study of statistics;
- Virtual teaming is possible in an online statistics course;
- Diverse research skills in addition to statistics skills can be cultivated via execution of a statistics research project;
- Rich and enriching communication can result from synchronous and asynchronous collaboration;
- The decision to originate a data set spawns multifaceted opportunities to integrate research skills;
- Clarification of individual and collaborative research agendas promotes more efficient virtual teams and provides students with opportunities to integrate course assignments and research interests; and
- Serendipitous outcomes result when students are empowered by opportunities to conduct self-directed research.

Implications

The integrative approach and ensuing learning processes and research skill development through studying statistics merit consideration in terms of potential transfer for use by other graduate students and their academic program advisors.

From a student perspective, the development of research skills helps future researchers contribute to the HRD body of knowledge. The entire research project lasted fewer than 10 weeks due to the online statistics course being taught in summer. The compressed schedule did not prohibit original research from being conducted for the course.

From a teacher/academic program advisor perspective, the development of personal and professional relationships with students provides opportunities to facilitate student identification and clarification research affinities. Such mentoring can foster the growth of research communities, which, in turn, promote collaboration between and among students and faculty.

This research experience was proof positive as to why students need to be proactive in communicating with their academic program advisor. The relationship between the researchers and their academic program advisor allowed this project to become a reality. Time was of the essence, and the existing relationship allowed maximal efficiency with regard to decision-making and determining the critical path of the project. The academic program advisor provided a safety net for student researchers in this project. The academic program advisor guided and directed the research while allowing the researchers to experience the highs and lows that go along with scientific research. This safety net allowed for graduate student research skill development in a secure environment.

Contributions to HRD

Virtual teaming skills, as illustrated by this integrative research experience, can be developed using student projects as a medium. Temporary project teams created for a specific purpose are experiencing growing prominence in the workplace (Werner & Lester, 2001). In response to this, educators in areas such as public administration (Dickson, 1997), marketing (Deeter-Schmelz & Ramsey, 1998), and management (Bacon, Stewart, & Silver, 1999) have noted the increased use of student teams to promote teamwork skills among college students. These types of activities can prepare students for the kinds of team experiences they will face in employment settings (Dickson, 1997). Cohen (1993) predicts that organizations will continue to integrate teams into their organizational structures and increase their authority. In light of this information, continued studies are needed to determine the characteristics of effective and ineffective virtual teams. As virtual team-based structures increase in organizations, the demand for college graduates with strong virtual teaming skills will also increase. Even though the statistics project reported in this present study was not conducted in a corporate setting, the project had real meaning for the graduate student researcher virtual team members. Both researchers honed their virtual teaming skills as a result of conducting their statistics course research project.

References

- Abrami, P., & Bures, E. (1996). Computer-supported collaborative learning and distance education. *American Journal of Distance Education, 10*(2), 37-42.
- Bacon, D., Stewart, K., & Silver, W. (1999). Lessons from the best and worst student team experiences: How a teacher can make a difference. *Journal of Management Education, 23*, 467-488.
- Bullen, M. (1998). Participation and critical thinking in online university distance education. *Journal of Distance Education, 13*(2), 1-32.

- Cohen, S. (1993). What makes teams work. In J. R. Galbraith & E. E. Lawler, III, (Eds.), *Organizing for the future* (pp. 194-226). San Francisco: Jossey-Bass.
- Coleman, D. (Ed.). (1997). Groupware: *Collaborative strategies for corporate LANs and intranets*. New Jersey: Prentice Hall.
- Dede, C. (1996). The evolution of distance education: Emerging technologies and distributed learning. *The American Journal of Distance Education*, 10(2), 4-36.
- Deeter-Schmelz, D., & Ramsey, R. (1998, Summer). Student team performance: A method for classroom assessment. *Journal of Marketing Education*, 85-93.
- Dickson, E. (1997). Structuring effective student teams. *Journal of Public Administration Education*, 3, 191-202.
- Fitz-enz, J. (2000). *The ROI of human capital: Measuring the economic value of employee performance*. New York: AMACOM.
- Gibson, C., & Cohen, S. (Eds.). (2003). *Virtual teams that work*. San Francisco: Jossey-Bass.
- Gibson, C., & Graff, A. (1992). Impact of adult's preferred learning styles and perception of barriers on completion of external baccalaureate degree programs. *Journal of Distance Education*, VII(1), 39-51.
- Goel, V. (2002). Student support in open and distance learning for tvet. In A. Mishra & J. Bartram (Eds.), *Perspectives on distance education: Skills development through distance education* (pp. 51-62). Vancouver: The Commonwealth of Learning.
- Kanuka, H., Collett, D., & Caswell, C. (2002). University instructor perceptions of the use of asynchronous text-based discussion in distance courses. *The American Journal of Distance*, 16(3), 151-167.
- Keegan, D. (1986). *The foundations of distance education*. London: Croom Helm.
- Kelms, J. (1999). *Designs for self-instruction. Principles, processes, and issues in developing self-directed learning*. Massachusetts: Allyn and Bacon.
- Khoshafian, S., & Buckwitz, M. (1995). *Introduction to groupware, workflow, and workgroup computing*. New York: John Wiley & Sons.
- Lipnack, J., & Stamps, J. (2000). *Virtual teams: People working across boundaries with technology* (2nd ed.). New York: John Wiley & Sons.
- Manzo, K. (1997). Lifestyle-friendly education. *Black Issues in Higher Education*, 42-43.
- Rangecroft, M. (1998). Interpersonal communication in distance education. *Journal of Education for Teaching*, 24, 75-76.
- Rovai, A. (2002). Building sense of community at a distance. *International Review of Research in Open and Distance Learning*, 3(1). Retrieved September 27, 2003, from <http://www.irrodl.org/content/v3.1/rovai.html>
- Schwarz, R. (1994). *The skilled facilitator: Practical wisdom for developing effective groups*. San Francisco: Jossey-Bass.
- Slaven, R. (1990). *Cooperative learning: Theory, research, and practice*. Boston: Allyn and Bacon.
- Stevens, M., & Campion, M. (1994). The knowledge, skill, and ability requirements for teamwork: Implications for human resource management. *Journal of Management*, 20, 503-530.
- Vancouver, J., Millsap, R., & Peters, P. (1994). Multilevel analysis of organizational goal congruence. *Journal of Applied Psychology*, 79, 666-679.
- Werner, J., & Lester, S. (2001). Applying a team effectiveness framework to the performance of student case teams. *Human Resource Development Quarterly*, 12(4), 385-401.
- Zimmerman, B. (2002). Becoming a self-regulated learner: An overview. *Contemporary Theory into Practice*, 41(2), 64-70.

Impact of ISO Certification on Training and Development Activities in the Electronics Industry in Taiwan

*Wen-Rou Huang
Ronald L. Jacobs
The Ohio State University*

This paper explored the impact of ISO 9000 on training and development activities in the electronics industry in Taiwan. A survey approach was adopted. Respondents were asked to indicate whether any changes in training and development activities had resulted from ISO certification. The questionnaire was sent to 247 ISO 9000-certified companies and 37 responses were received for analysis. The findings indicated an increase in training needs assessment, training delivery, and training effectiveness after obtaining ISO 9000 certification. A greater impact on training and development activities at professional, supervisor, and frontline employee levels were reported more than at the executive and managerial levels. In addition, a positive improvement in the quality of the companies' workforce and products was also reported.

Keywords: ISO 9000, Training and Development, Electronics Industry

Since the release of ISO 9000 by the International Organization for Standardization (ISO) in March 1987, the ISO 9000 family of international standards and guidelines has gained a global reputation as the basis of establishing quality management systems and had great impact on international trade (Mo & Chen, 1995). The International Organization for Standardization is a worldwide federation of national standards bodies, headquartered in Geneva, Switzerland. The organization was founded in 1946 to develop a common set of standards for manufacturing, trade and communications. Today, more than 90 countries are members, each with a representative. Certificates issued worldwide are estimated at more than 95,000 in over 95 countries that have endorsed the ISO 9000 standards till 1994 (Curkovic & Pagell, 1999). By the end of December 1999, it has been reported that at least 343,643 ISO 9000 certificates have been awarded in 150 countries (Quazi & Jacobs, In press), including many developed countries. It is obvious that ISO 9000 is rapidly becoming a nationally and internally accepted quality standard. (Curkovic & Pagell, 1999).

Basically, ISO 9000 is a series of internationally accepted standard of quality management that is used to develop quality management systems and quality improvement processes (Masternak & Kleiner, 1997). ISO 9000 standards consist five separate parts: (1) ISO 9000; (2) ISO 9001; (3) ISO 9002; (4) ISO 9003; and (5) ISO 9004. ISO 9001, 9002 and 9003 are conformance standards for quality assurance and control systems. ISO 9000 and 9004 are the guidelines. More specifically, ISO 9001 certification deals with the management systems used by organizations to design, develop, produce, deliver, install and support their own products (Juran & Godfrey, 1998). ISO 9002 applies to companies that provide goods or services consistent with the specifications furnished by the customer. ISO 9003 applies to final inspection and test procedures only (Curkovic & Pagell, 1999).

ISO 9000 certification is receiving so much attention from many developing or developed countries because it has the potential to make the companies more cost-effective and efficient. In addition, it can be considered as an effective tool to improve quality to enhance competitiveness. Quality not only means the quality of product but also the quality of work, quality of service, and quality of information. It also means quality of process, quality of division, quality of people, quality of system, quality of company, quality of objectives, and etc (Ishikawa, 1985). In other words, quality includes all aspects of every product or service of value to a customer (Ishikawa, 1985). The main reason that ISO 9000 can be deemed as an effective tool is that ISO 9000 provides many benefits. According to Rothery, one of the benefits is "... controls to ensure quality of production and delivery, and reduces waste, downtime, and labor inefficiencies, thereby increasing productivity" (Rothery, 1993). In other words, ISO 9000 provides "consistency in working procedures, better understanding of processes and responsibilities, better understanding of the management of quality, reduced customer complaints, improved team-work and reduced rejection rates" (Kraschol, Willey & Tannock, 1998).

Copyright © 2004 Wen Rou Huang & Ronald L. Jacobs

The ISO 9000 standards focus on 20 specific aspects of a quality program and training is one of the key elements. A company that wishes to register ISO 9000 certification will fail the audit if any of these 20 subsystems is not present and functional (Cerkovic & Pagell, 1999). ISO inevitably affects all aspects of the organization, including the training and human resource development activities (Quazi & Jacobs. In press).

Statement of Problem

Obtaining ISO 9000 certification has become an important issue in the manufacturing industry in Taiwan, especially the electronics industry. Since the 1960s, the Taiwan government has adopted an export-oriented economic policy to accelerate economic development (Huarng, 1998). Without abundant natural resources, the government has not only devoted itself to transferring its economic structures from traditional industries (such as agriculture) to electronics industries but also actively help the companies quickly internationalizing in order to gain competitive advantages and survive in the international arena. For developing business opportunities in the European Community (EC) and in some other international markets, the Bureau of Commodity Inspection and Quarantine (BCIQ) introduced ISO 9000 to Taiwan in 1989 (Shih & Huarng.). In March 1990, ISO 9000 family was adopted to be the CNS 12860 series (Huarng, 1998). According to the statistical records of Bureau of Standards, Metrology and Inspection, 1,495 companies had obtained ISO 9000 certification till 2002.

As mentioned, one of the key elements in the ISO 9000 standards is training. However, not every company has training activities in Taiwan, especially those start-up or smaller companies. One of the reasons is that developing training activities is costly and time consuming, especially if they do not have the resources or experiences. However, we know that ISO 9000 certification does have a lot of benefits such as the potential to improve product and service quality, attain competitive advantages, promote business impacts and etc., that worth companies to pursue. Therefore, the purpose of this study is to explore the extent to which ISO 9000 certification has impacted training and human resource development activities of organizations in electronics industry in Taiwan. This study can serve as reference information for the start-up and smaller companies to develop training activities to pursue ISO 9000 certification and also realize the impact before and after obtaining ISO certification toward training activities.

Specifically, the research questions as the follows were addressed:

1. How does ISO 9000 certification affect the conduct of a formal development plan for each employee level?
2. How does ISO 9000 certification affect the conduct of work document for each employee level?
3. How does ISO 9000 certification affect the conduct of training needs analysis?
4. How does ISO 9000 certification affect the conduct of training delivery methods?
5. How does ISO 9000 certification affect the determination of training effectiveness?

Methodology

A survey research methodology was used in this study. The design of the questionnaire was based on the work of Quazi & Jacobs (In press). Basically, the questionnaire was divided into three parts. Part I seeks information about the status of ISO 9000 in electronics companies in Taiwan. Part II compares the training and development activities "before" and "after" having ISO 9000 certification. Part III is regarding basic information about the companies. The companies were asked to indicate the nature and extent of their training and human resource development activities three years prior to obtaining ISO 9000 certification and three years after the certification.

Before being finalized, the questionnaire was pre-tested 3 times by at least three engineers who are working at the Quality Assurance department or Quality Control department in the different electronics companies in Taiwan. The Quality Assurance department or Quality Control department in the electronics companies in Taiwan are the ones, which are in charge of product quality management issues or ISO 9000 certification. The final version of the questionnaire was mailed, emailed or faxed to 247 ISO 9000 certified electronics companies in Taiwan. The questionnaires were sent to the managers of Quality Assurance department, Quality Control department to respond. In order to improve the response rate, follow-up calls and direct face-to-face interviews were made beginning from two weeks after the questionnaires were sent out.

Results

Thirty seven (37) completed and usable questionnaires were received from the 247 questionnaires sent out. The response rate was 15 percent. Of the 37 responding companies, 36 companies are private and one company is

owned by the government. Thirty-one are large companies and six are start-up companies. Sixteen companies are computer-related industries and 14 companies are electronics manufacturing.

Among the 37 companies, 21 (56.8%) are certified in the ISO 9001 standard and 6 (16.2%) are the ISO 9002 certification. 10 (27%) companies have both ISO 9001 and ISO 9002 certifications. Almost all the companies have the training activities to support obtaining ISO 9000 certification and consider them helpful. About 81% of the companies hired consultants to assist them in getting certified. 30% of the companies took one year to be certified and 57% took more than one year.

Basically, up to 90% of the companies either agreed or strongly agreed that ISO certification has a lot of benefits such as improving the training and on-the-job training program, improving the relationship with the customers, promoting the quality of products and services, increasing the efficiency of the operation, and etc (see Figure 1). The primary reason which motivates the companies to pursue ISO 9000 certification is that ISO 9000 series can help companies to increase competitive advantages. After ISO 9000 certification, the major change of the organizations is the quality of workforce and products (see Figure 2). As to the training method used to facilitate obtaining ISO certification, more than 68% of the companies included either structured on-the-job training or team training method. Only 19% of the companies included apprenticeship as their training method (see Figure 3).

Regarding the training and development activities before and after ISO certification, the findings are summarized as follows:

How does ISO 9000 certification affect the conduct of a formal development plan for each employee level? As shown in Figure 4, before ISO 9000 certification, the number of sample companies having formal development plan for professionals, supervisors and frontline employees levels is smaller than that for executives and managers levels. After ISO 9000 series, the number is increased for each employee level and the percentage increase for professionals level is the highest. In addition, almost all the sample companies have the formal development plan for executives, managers and professionals levels.

How does ISO 9000 certification affect the conduct of work document for each employee level? As shown in Figure 5, before ISO 9000 certification, the number of sample companies having work documentation for supervisors and frontline employees levels is smaller than that for executives, managers and professionals levels. After ISO 9000 series, the number is again increased for each employee level and the percentage increase for supervisors level is the highest. In addition, almost all the sample companies have work documentation for professionals and supervisors levels.

How does ISO 9000 certification affect the conduct of training needs analysis? As shown in Figure 6, before ISO 9000 certification, the number of sample companies having needs assessment for professionals, supervisors and frontline employees levels is smaller than that for executives and managers levels. After ISO 9000 series, the number is again increased for each employee level. The percentage increase and number of sample companies having work documentation for professionals and supervisors levels are closely equal and the highest.

How does ISO 9000 certification affect the conduct of training delivery methods? As shown in Table 1, before ISO 9000 certification, the training types provided for executives and managers levels are managerial and awareness training in most sample companies while technical, quality, computer and engineering training for professionals, supervisors and frontline employees levels. After ISO 9000 certification, the number of sample companies providing each types of training for each employee level is increased. In addition, more sample companies deliver quality and computer training to executives and managers levels, awareness training to professionals level, and managerial training to both professionals and supervisors levels. As to the frontline employees level, the increase of number of sample companies, which deliver each training type, is similar. Also, over 65% of the sample companies deliver EACH type of training to their professionals and supervisors levels.

How does ISO 9000 certification affect the determination of training effectiveness? As shown in Table 2, before ISO certification, approximately over 65% of the sample companies agreed that the trainee satisfaction, trainee learning, trainee use on the job, business impacts, and cost-benefit analysis can be used to determine the effectiveness of training and development activities. After ISO certification, the number of sample companies that disagreed is decreased substantially. Most of the sample companies either agreed or strongly agreed.

Summary and Discussion

This study examined the impact of ISO certification on training and development activities of a sample of electronics companies in Taiwan. The major purpose of this study is to explore the extent to which ISO 9000 certification has impacted training and human resource development activities of organizations and serve this information as a reference for the start-up and smaller companies. We summarized the results as follows:

For all five research questions regarding the training and development activities before and after ISO certification, we found that the companies have a significant improvement in training needs assessment, training delivery, training evaluation and other human resource development activities after obtaining ISO 9000 certification, which is consistent with the previous study conducted by Quazi and Jacobs (2001). Specifically, it was found out that after obtaining ISO 9000 series, more sample organizations developed their formal development plans for each employee level (executives, managers, professionals, supervisors and frontline employees), especially for professionals level. Furthermore, it was found that the ISO certification has greater impact on training and development activities (such as formal development plan, work documentation, and needs assessment) at professional, supervisor and frontline employee levels than those at executive and manager levels. A substantial increase of the companies was observed to deliver the training and development activities at professional, supervisor and frontline employee levels after the companies were certified.

In general, the number of the companies, which delivered various training types to different employee levels, was increased after their obtaining ISO certification. Specifically, for executives and managers, the number was increased more where they provided quality and computer training compared with other types of training. As to the professional level, the number was increased more in the delivery of managerial and awareness training. As to the supervisor levels, the number was increased more in the delivery of managerial training. The number was increased similarly in the delivery of every category of training for frontline employee level. This may imply that, after ISO certification, proportion of increase of different types of training activities delivered to different employee levels needs to be evaluated accordingly in order to comply the ISO 9000 standards and become cost-effective.

From the survey, we found that more than 35% of the companies strongly agreed and around and less than 10% either strongly disagreed or disagreed that the trainee satisfaction, trainee learning, trainee use on the job, business impacts, and cost-benefit analysis can be used to determine the effectiveness of training and development activities after obtaining ISO 9000 certification.

The finding of this study indicates that there is a great change in the quality of companies' workforce and products after obtaining ISO 9000 standards. We can know that the perception of benefits of ISO certification related to the change of quality of workforce and product is positive. It means ISO 9000 certification helps improve the quality of the products and services. This result is consistent with the previous study conducted by Quazi and Jacobs (In press).

As to the issue of supervisors' attitudes toward employees' applying skills learned from the training to the jobs, we found that the percentage of companies in which supervisors gave feedback to trainees when they used the learned skills is low (14%). As we know, employees need feedback (Noe, 1999). It is one of the five core dimensions (skill variety, task identity, task significance, autonomy and feedback) that impact intrinsic motivation. Receiving feedback has a positive impact on intrinsic motivation toward a job, which leads to high job performance, high job satisfaction and low absenteeism and turnover (George & Jones, 1999). Hence, the feedback from supervisors toward employees' applying skills learned from the training to the jobs should be further emphasized in the electronics companies in Taiwan.

It would be interesting to know what kinds of training methods facilitate the companies in obtaining ISO certification the most and the fastest. From our preliminary result, more than 68% of the companies included either structured on-the-job training or team training method, which is shown in Figure 8. Only 19% of the companies included apprenticeship as their training method. When we further compared the training methods with the time to obtain ISO certification, similar conclusion can also be reached, i.e. either structured on-the-job training or team training method was included in most of the companies. However, based on the current questionnaire, we do not have enough information to determine the relationship between training methods and the time to obtain ISO certification, i.e. which method facilitates the companies in obtaining ISO certification the most and the fastest. Further survey is required to decouple several factors in order to determine the interactions between training methods and the time to obtain ISO certification.

Limitation

There are two limitations in this study. One is the low response rate and the other is lacking statistical analysis of the data. There are a lot of reasons for such low response rate. One of the reasons is that our questionnaire is written in English. Because of certain degree of language obstacle, many respondents hesitated to reply the questionnaire. Another possible reason is that electronic industry is a very competitive market in Taiwan. The managers/supervisors either in QC or QA department were too busy to answer the questionnaire. Another reason may be that those managers/supervisors were too concerned about the information revealed. As to lacking the statistical analysis of the data, one of the reasons is the low response rate. The other is that, based on the current

design of the questionnaire, the acquired information cannot be used for further statistical analysis. Instead, the finding was categorized for comparison. Despite these limitations, there is still interesting information extracted from this study as described in the Summary and Discussion section. Future research will focus on examining the relationships more statistically.

Conclusions

From this study, we can see that the companies have a significant improvement in training needs assessment, training delivery, training evaluation and other human resource development activities after obtaining ISO 9000 certification. The ISO certification has greater impact on professionals, and supervisors levels compared to other employees levels. Also, delivering proper training types to different employee levels needs to be addressed and evaluated after ISO certification. Most of the sample companies either agreed or strongly agreed that the trainee satisfaction, trainee learning, trainee use on the job, business impacts, and cost-benefit analysis can be used to determine the effectiveness of training and development activities after obtaining ISO 9000 certification. From this survey, we can know clearly the change of training activities before and after the ISO 9000 certification. ISO inevitably affects all aspects of the organization, including the training and human resource development activities (Quazi & Jacobs. In press).

References

- Curkovic., & Pagell. (1999). A Critical Examination of the Ability of ISO 9000 Certification to Lead to a Competitive Advantage. *Journal of Quality Management*, 4(1), 51-67
- George, J., & Jones, G. (1999). *Organizational behavior*. New York: Addison-Wesley.
- Huarng, F. (1998). Integrating ISO 9000 with TQM spirits: a survey. *Industrial Management & Data Systems*, 373-379.
- Ishikawa, K. (1985). *What is total quality control?* Englewood, NJ: Prentice-Hall.
- Juran, J., & Godfrey, B. (1998). *Juran's quality control handbook*. New York: McGraw-Hill.
- Krasachol, L., Willey, P., & Tannock, J. (1998). Research and concepts: The progress of quality management in Thailand. *The TQM Magazine*, 10(1), 40-44.
- Masternak., & Kleiner. (1995). ISO 9000 – what it means to international business today. *Training for Quality*, 3(4), 15-18
- Mo, J., & Chan, A. (1997). Strategy for the successful implementation of ISO 9000 in small and medium manufacturers. *The TQM Magazine*, 9(2), 135-145.
- Noe, R. (1999). *Employee training and development*. New York: McGraw-Hill.
- Quazi, H. A., & Jacobs, R. L. (in press). Nature and impacts of ISO Certification on training and development activities on Singapore organizations. *International Journal of Quality and Reliability Management*.
- Rothery, B. (1993). *ISO 9000*. (2nd ed.). Gower Press.
- Shih., & Huarng. (1996). ISO in Taiwan: A survey. *Total Quality Management*, 7(6), 681-691.

Table 1. *Types of Training and Development Activities Provided for Each Employee Levels Before and After ISO Certification*

	Executives		Managers		Professionals		Supervisors		Frontline employees	
	Before	After	Before	After	Before	After	Before	After	Before	After
Technical Training	9	13	14	18	26	32	22	28	28	34
Quality Training	10	25	14	29	27	36	23	31	24	32
Computer Training	9	19	16	25	27	29	24	31	22	29
Managerial Training	27	30	30	34	5	24	12	31	3	10
Awareness Training	17	25	20	28	11	26	16	24	7	15
Engineering Training	4	7	6	14	31	32	25	29	26	32

Table 2. Determination of the Effectiveness of Training and Development Activities Before and After ISO Certification

	Before					After			
	strongly disagree	disagree	agree	strongly agree		strongly disagree	disagree	agree	strongly agree
Trainee Satisfaction	1	10	24	0		0	2	18	15
Trainee Learning	1	9	25	0		0	1	21	13
Trainee Use On the Job	0	7	26	2		0	2	17	16
Business Impacts	1	9	25	0		0	2	20	13
Cost-Benefit Analysis	1	8	22	4		0	4	16	15

Figure 1. The Benefits of ISO Certification

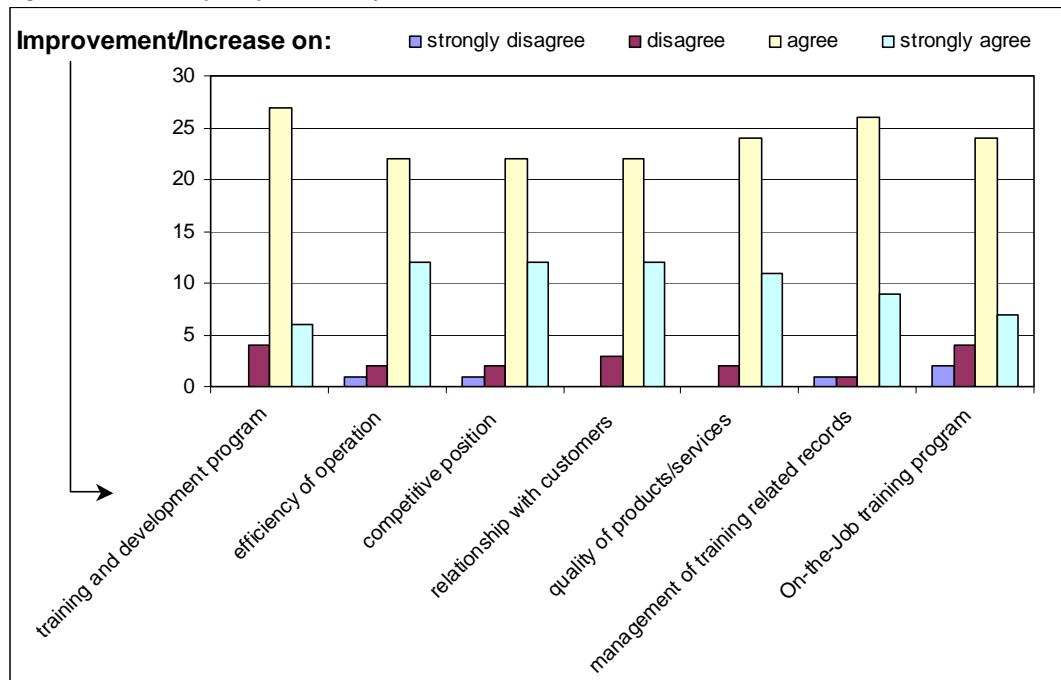


Figure 2. Changes After ISO Certification

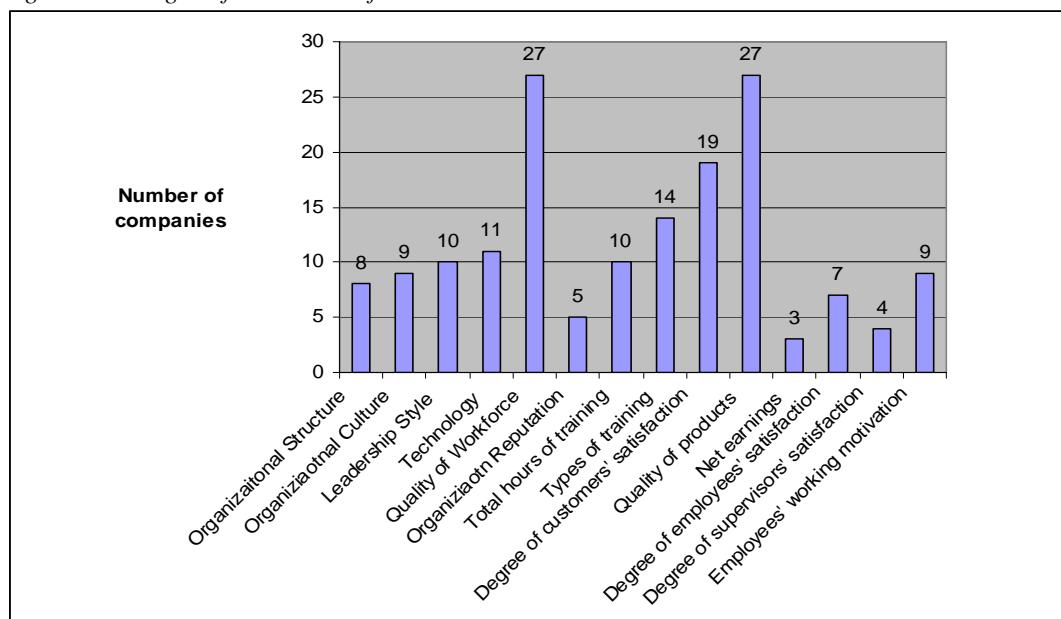


Figure 3. Training Methods used to Facilitate Obtaining ISO Certification

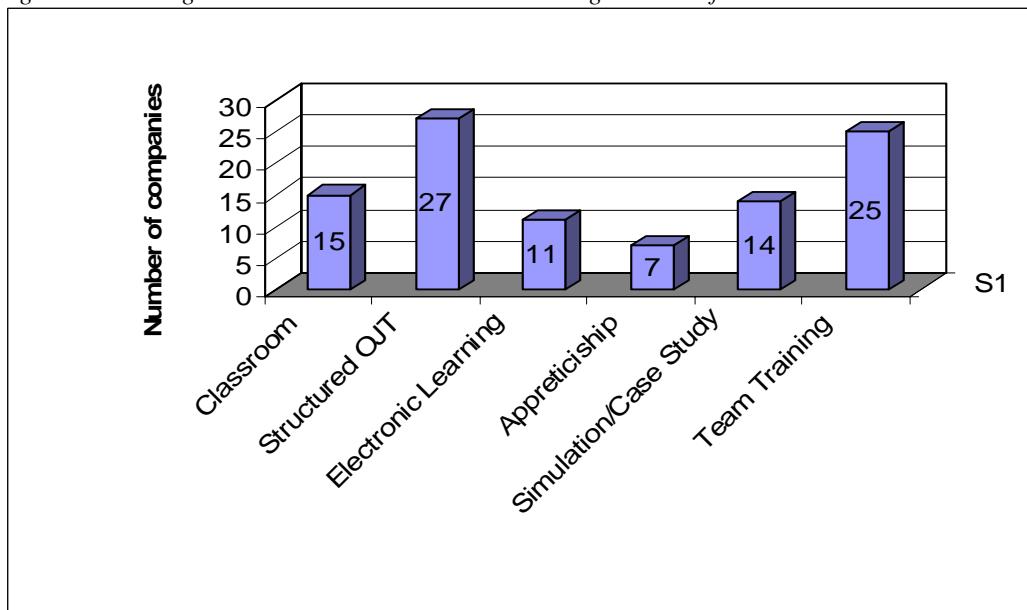


Figure 4. Any Formal Development Plan for Different Employee Levels Before and After ISO Certification

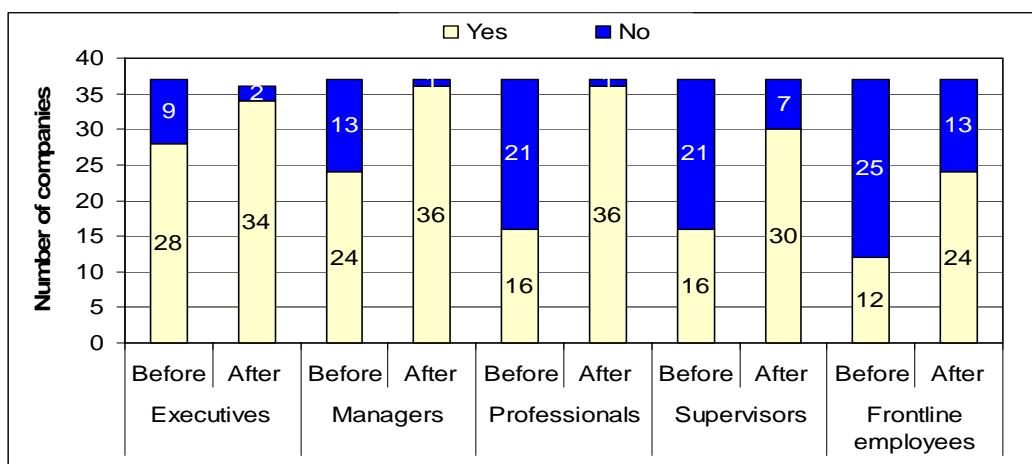


Figure 5. Any Work Documentation at Different Employee Levels Before and After ISO Certification

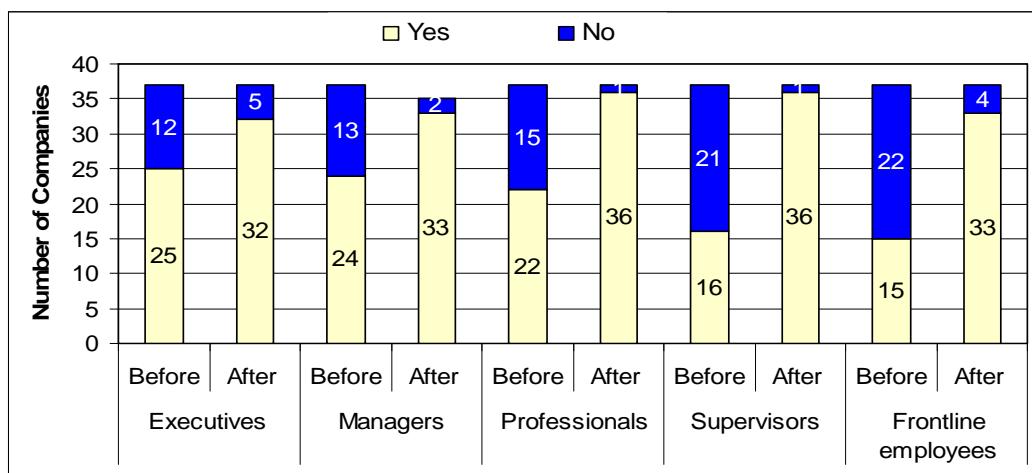


Figure 6. Any Needs Assessment for Different Employee Levels Before and After ISO Certification

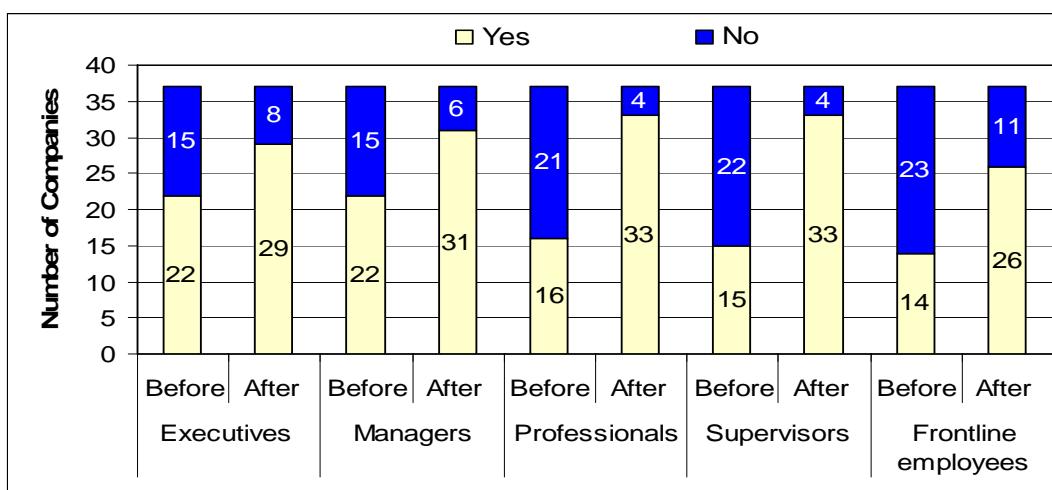


Figure 7. Supervisor's Attitude Toward Employees' Using Skills Learned From Training Activities

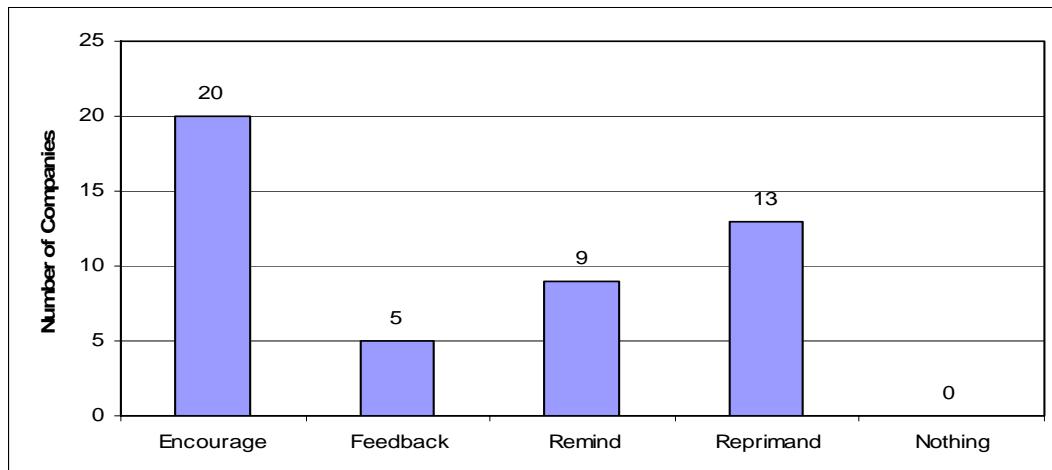
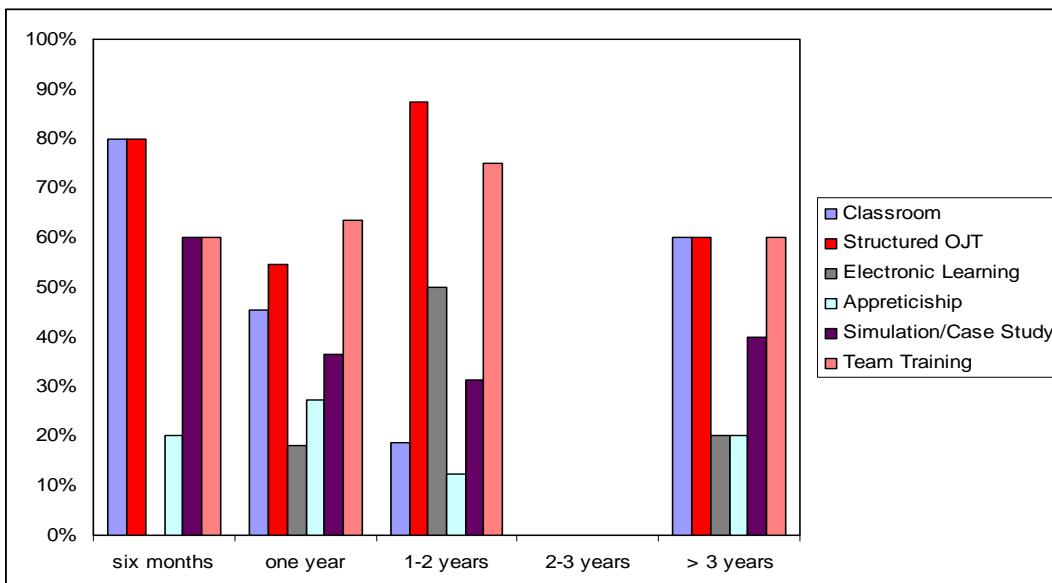


Figure 8. Comparison Between Training Methods and the Time to Obtain ISO Certification



Total Quality Management Practices and their Effects on Organizational Performance

Richard Yu-Yuan Hung

Toko University

Bella Ya-Hui Lien

National Chung Cheng University

This paper reports a study designed to examine the key concepts of TQM implementation and their effects on organizational performance. Process Alignment and People Involvement are two key concepts for successful implementation of TQM. The purpose of this paper is to discuss how these two constructs affect organizational performance. The results provide useful insight into the organization that uses TQM as a organization development program.

Keywords: TQM, Process Alignment, People Involvement

TQM strategies represent a paradigm shift from the earlier strategies of the 1980s in the approach to management science. Studies showed that TQM was positively associated with performance outcome, such as financial performance and profitability (Cummings & Worley, 2001; Lawler et al, 1995) as well as with human outcomes, such as employee satisfaction, employee relations, and customer satisfaction (Lawler et al, 1995). Although many TQM studies have been done to discuss the concept and principles, the key to successful TQM program is not fully understood (Weintraub, 1993). According to Rivers and Bae (1999), successful implementation of TQM require a transportation of organizational information system infrastructure and other management systems so that they are aligned with the new TQM environment. Powell (1995) suggested that tacit resources such as organizational culture, commitment, empowerment and business processes drive TQM success. Sahney (1991) pointed out key concepts to implementation TQM, which included: top management leadership, creating a corporate framework for quality, transforming corporate culture, a collaborate approach to process improvement, integration with the process etc. However, for TQM to be successful, management processes must be aligned and integrated within a TQM environment. For example, the bureaucratic system must be transformed, strategies must be aligned, and information system must be integrated to make sure the TQM success. Some studies showed that it is important for top management take a leadership role and shows a strong commitment at the time of implementing TQM (Lee & Asllani, 1997; Rivers & Bae, 1999; Weintraub, 1993). Also Weintraub (1993) pointed out that the quality management process will be successful only when it becomes integrated with every employee's activities.

Although reports of TQM success are plentiful in the popular literature, there are also reports of problems (Cummings & Worley, 2001; Powell, 1995; Fortune, 1991). Many affecting factors of success TQM practices that result in performance, core processes and people are two major points to drive TQM success.

However, more empirical studies are needed to show the contribution of organizational variables such as structure, strategy, information technology, human resources, leadership, culture, and employee participation on the success of TQM programs (Nadler, 1998; Tushman and O'Reilly, 2002). It is the intention of this study to examine the impact of organizational variables, specifically the alignment of structure, strategy and information technology, and executive commitment and employee empowerment, on TQM programs and the final performance outcomes. Therefore, this study suggested that Process Alignment and People Involvement are two constructs which influence the organizational performance when the organizations perform TQM initiatives. Process Alignment (PALI) consists of three variables – structure, strategic and IT alignment. People Involvement (PINV) consists of two variables – executive commitment and employee empowerment.

The purpose of this research is to examine relationship between two TQM concepts and their impact on organizational performance. Specifically, this study addresses the following research questions:

1. What is the relationship between Process Alignment and Organizational Performance, especially, when organizations practice TQM initiatives? To what extent, do the components of Process Alignment affect Organizational Performance?
2. What is the relationship between People Involvement and Organizational Performance, especially, when organizations practice TQM initiatives? To what extent, do the components of People Involvement affect Organizational Performance?

Copyright © 2004 Richard Yu-Yuan Hung & Bella Ya-Hui Lien

Theoretical Framework

The theoretical foundation for this study is the TQM, Process Alignment, and People Involvement. Process Alignment can be interpreted as the organizational effort needed to make the processes the platform for organizational structure, for strategic planning, and for information technology (Hammer, 1996; Spector, 1995). The aim of Process Alignment is to arrange the various parts of the company to work in harmony in pursuit of common organization goals, in order to improve performance and sustain competitive advantage (Weiser, 2000). According to Organizational theory, organizations are required to design their structures and systems to align the contingencies of environment, strategy, technology, and so on for survival and success (Daft, 1998; Lewin, 1999). Many previous studies have empirically demonstrated the positive effect of alignment on organizational effectiveness (Lawrence and Lorsch, 1967; Gresov, 1989; Roth et al., 1991). Alignment theory (Semler, 1997) suggested that employee behavior consonant and organizational goal work together through structural change, strategy usage and culture transformation. Specifically, Weiser (2000) stated that in order to link all areas of the organization and serve as an informational lifeline throughout the change and alignment process, the organizational structure needs to be redesigned to cross-functional. Grover et al. (1997) pointed out that IT as a transformational subsystem is imperative in culture transformation. Therefore, when an organization is appropriately aligned, organizational structure, strategic planning and IT correspond to organizational core processes and objectives, ensuring competitive advantage.

In sum, consistency with alignment theory and further IT implementation are related to organizational performance (Davenport, 1993; Grover et al., 1997; Hammer and Champy, 1993; Ostroff, 1999; Spector, 1995; Thompson and Strickland, 1999). The following hypothesis should be conducted:

- H 1 Process Alignment is positively associated with Organizational Performance
 - H 1-1 Horizontal structure is positively associated with Organizational Performance
 - H 1-2 Strategic Alignment is positively associated with Organizational Performance
 - H 1-3 IT Alignment is positively associated with Organizational Performance

From previous studies (Lee & Asllani, 1997; Rivers & Bae, 1999; Weintraub, 1993), for TQM to be successful, it must have the commitment and involvement of top management. In addition, scholars (Allender, 1994; Powell, 1995; Waldman, 1994) suggested that employee empowerment which included employee involvement and gave employees greater autonomy is one of principles to continue improvement to guide the implementation of TQM. As a result, the following hypothesis should be conducted:

- H 2 People Involvement is positively associated with Organizational Performance
 - H 2-1 Executive commitment is positively associated with Organizational Performance
 - H 2-2 Employment empowerment is positively associated with Organizational Performance

Methodology

Questionnaire Developments and Data Collection

The questionnaire consisted of four parts, which related to the evaluation information on general information about the company; how well organizational structure, information technology, and strategy aligned with core processes; commitment of top executive management and employee empowerment; and perceived level of business performance. The scale to measure the above variables were developed based on a review of the previous literature. The five points Likert scale was used for the questionnaire.

Two steps were followed in this study to establish the validity and reliability of the questionnaire. First, data were collected and analyzed on the content and face validity by a panel of experts. The questionnaire was also changed per their suggestions. Second, the revised questionnaire was piloted with 90 post-graduate final year Executive MBA students from the Australian Graduate School of Management. The data collected from the pilot test, with a response rate of 52%, was coded and analyzed using statistical software SPSS to find any unanticipated difficulties and no significant problems were found. Cronbach's alpha was used to determine the internal consistency of the instrument. All scales were highly reliable and consistent ($0.6298 < \alpha < 0.8389$).

The target population of this survey is the Top 1000 companies in Australia based on market capitalization, as reported by MOS Data Assembly Specialists. As preliminary opinion survey suggested that a top executive would be the most appropriate key informant. The actual number of companies surveyed (950) was fewer than 1000 because of acquisitions and mergers. Several efforts such as a telephone follow-up campaign and a follow-up fax was made to encourage the respondents to complete and return the questionnaire. A total of 333 questionnaires

were received from the 950 questionnaires distributed. 73 questionnaires were discarded. This comprised 62 questionnaires that were returned unfilled, 10 that were incomplete, and one that was undeliverable. A total of 260 questionnaires were usable, which represents a response rate of 27.4%. Of 260, the 207 returned respondents adopt TQM (79.6%).

In order to know whether the effect of non-response bias is significant between those who responded early with those who responded late. We compared the total sales volume, size of organization, type of industry, and practice TQM program between those who responded early with those who responded late. A Chi square tests and the t tests were performed. The null hypothesis of this analysis is that an early respondent has the same characteristics as a late respondent. The observed significant level p for all variables is much higher than 0.05. This implies that in this research the extent of non-response bias is insignificant, and the results are generalizable to the sampling frame. The following section reports results from factor analyses and regression analyses.

Analyses and Results

Factor Analyses

In this research, principle component analysis using varimax rotation was employed to explore the data for possible data reduction. Items in the same factor with a loading factor greater than 0.40 were grouped together. Table 1-3 shows the results of factor analysis with varimax rotation for Organizational Performance (OPER), Process Alignment (PALI) and People Involvement (PINV).

Using exploratory factor analysis for the 5 Organizational Performance items, the principal component method was employed. This factor is chosen to explain 49.86 percent of the variances. The varimax rotation method is used to obtain easier explanations of Organizational Performance. The highest loading of each item on all common factors is shown in Table 1.

Table 1. Varimax Rotation Component Analysis Factor Matrix for Organizational Performance Variables

Items		Loading
Organizational Performance		
P01	Organization's competitive position improved over last two years	0.821
P02	Productivity of employees increased over last two years	0.807
P03	Organization's profitability increased over last two years	0.744
P04 (Reverse)	Quality of products and services NOT improved over last two years	0.577
P05	Average cost per unit of product or service decreased over last two years	0.529

Using exploratory factor analysis for the 18 Process Alignment items. These were reorganized into four factors: Horizontal Structure Alignment, IT Competency Alignment, Strategy Alignment and Measuring IT & Improvement. Four common factors are chosen to explain 53.22 percent of the variances of the 18 items since each of their corresponding eigenvalues is greater than one. The varimax rotation method is used to obtain easier explanations of Process Alignment. The highest loading of each item on all common factors is shown in Table 2.

Table 2. Varimax Rotation Component Analysis Factor Matrix for Process Alignment Variables

Items		Loading
Horizontal Structure Alignment		
A05	A flat organizational structure	0.748
A06	Managerial tasks to front-line staff delegated	0.645
A01 (Reverse)	High barriers between departments	0.603
A04	Well practice horizontal communication	0.593
A02	Frequent use of process teams	0.406
IT Competency Alignment		
A08	State-of-the-art technology	0.840
A07	Technology enabled business processes to perform well	0.831
A11	Well integrated Information Technology systems across functional units	0.756
A03	Customer satisfied with response time	0.411
Strategic Alignment		
A17	Current strategic plan identified actually undertaken	0.792
A18	Strategic planning process actually encourages information sharing and cross-functional cooperation	0.718
A13	Management team identified core processes	0.710
A14	Core processes important input into strategic plan	0.570
A12	Developed strategies based on customer needs	0.503
A16	Sufficient measures permit clear tracking of performance	0.496
Measuring IT & Improvement		
A10	Information Technology important to improvement of business processes	0.776
A15	Operational improvements had direct impact on ability to compete	0.732
A09	Amount of data shared by employees increasing	0.541

Using exploratory factor analysis for the 9 People Involvement items were grouped into two factors: Executive Commitment and Employee Empowerment. The principal component method was employed. Two common factors are chosen to explain 57.34 percent of the variances of the 9 items, since each of their corresponding eigenvalues is greater than one. The varimax rotation method is used to obtain easier explanations of People Involvement. The highest loading of each item on all common factors is shown in Table 3. As shown in Table 1 to Table 3, the results of the factor analysis suggest that the factor structure of the questionnaire is stable and provides strong evidence for the discriminant validity of the measurement instrument.

Table 3. Varimax Rotation Component Analysis Factor Matrix for People Involvement Variables

Items		Loading
Executive Commitment		
E01	Top management has received adequate training in managing core processes	0.804
E02	Top management has sufficient knowledge on how to manage core processes	0.801
E03	Top management actively communicates to employees on how best to manage core processes	0.796
E05	Top management allocates adequate resources to improve core processes	0.727
E04	Top management expressly recognizes the need to identify core processes	0.711
Employee Empowerment		
E07	Employees increasing autonomy in making decisions that affect work	0.867
E06	Employees increasing involvement in the way their work is planned	0.821
E08	Employees encouraged to fix problems they encounter	0.565
E09	Employees interacting more with external customers	0.538

Correlation Analyses

In this section, correlation analyses were performed to determine the association between components of independent variables: PALI, PINV and the dependent variable: OPER. The results of correlation coefficients and significant levels are depicted in Table 4. All components of PALI and PINV are positively associated with OPER except Measuring IT & Improvement in PALI.

Table 4. Correlation Coefficient and Significant Levels Between Components of Independent Variables: PALI, PINV and Dependent Variable: OPER

Variable	Component	R	Sig. (n)	Result
PALI	Strategy Alignment (SALI)	+ 0.411	0.000 (n = 202)	Positive Association
	IT Competency Alignment (TALI)	+ 0.217	0.002 (n = 202)	Positive Association
	Horizontal Structure Alignment (HORI)	+ 0.165	0.019 (n = 202)	Positive Association
	Measuring IT & Improvement (MIIM)	+ 0.090	0.202 (n = 202)	Negative Association
PINV	Employee Empowerment (EEMP)	+ 0.324	0.000 (n = 205)	Positive Association
	Executive Commitment (ECOM)	+ 0.274	0.000 (n = 205)	Positive Association

Linear Regression Analysis

Since factor scores are used for three-components of independent variables PALI and two-components of independent variables PINV to one dependent variable, and also factor scores are used for both PALI and PINV as two independent variables to one dependent variable, the correlation coefficients for both components of independent variables PALI and PINV are zero.

The enter procedure is employed and the significant level set at 0.05. Table 5 reported unstandardized regression coefficients. The R-square (adjusted R-square) is 0.244 (0.232), 0.179 (0.170), and 0.132 (0.124) for the three models respectively. Table 5 shows that (1) the effects of Strategy Alignment (SALI), IT Competency Alignment (TALI) and Horizontal Structure Alignment (HORI) on Organization Performance (OPER) are significant at the level of 0.000, 0.001 and 0.008, respectively. Hence, the all three factors are all positively related to Organizational Performance. (2) the effects of Executive Commitment (ECOM) and Employee Empowerment (EEMP) on Organization Performance (OPER) are all significant at the level of 0.000. Hence, the two factors are also positively related to Organizational Performance. (3) the effects of PALI and PINV on OPER are significant at the level of 0.000 and 0.013, respectively. Hence, the two variables are positively related to Organizational Performance.

Table 5. Regression Analysis for Components of Independent Variables: PALI, PICO and Dependent Variable: OPER

$$\begin{aligned} \text{OPER} &= 0.012 + 0.412 \text{ SALI}^{***} + 0.218 \text{ TALI}^{***} + 0.165 \text{ HORI}^{**} \\ \text{OPER} &= 0.002 + 0.217 \text{ ECOM}^{***} + 0.323 \text{ EEMP}^{***} \\ \text{OPER} &= 0.011 + 0.168 \text{ PALI}^* + 0.303 \text{ PINV}^{***} \end{aligned}$$

Note: *represents the significant level at 0.05; **represents the significant level at 0.01 and

***represents the significant level at 0.001

Discussions and Conclusions

This research found that three components of PALI: Horizontal Structure Alignment, IT Competency Alignment, and Strategy Alignment are each positively associated with Organizational Performance. These findings support previous studies (Lee and Dale, 1998; Ostroff, 1999; Sinclair, 1994; Zairi, 1997). Among components of PALI, only one component (Measuring IT & Improvement) is negatively associated with Organizational Performance. The researchers re-examining the three items of Measuring IT & Improvement factor, found the three items of Measuring IT & Improvement factor hardly represented the concept of Horizontal Structure Alignment, IT Competency Alignment and Strategy Alignment. In other word, Measuring IT & Improvement factor was not included in the concept of PALI. This research also found that components of PINV: Executive Commitment and

Employee Empowerment are each positively associated with organizational performance. These findings are confirmed by the previous research as well (Arthur, 1994; Huselid, 1995; Powell, 1995).

As an aggregate concept, this research found that Process Alignment, including Horizontal Structure Alignment, Strategy Alignment, and IT Competency Alignment, is positively associated with Organizational Performance. To date, many studies have been conducted on the individual components of PALI (Horizontal Structure Alignment, Strategy Alignment and IT Competency Alignment) and business performance. No empirical evidence except the present study, however, was found in the literature to support the relationship between business performance and the aggregate of all three concepts in one study. This research also found that People Involvement, as an aggregate concept, is positively associated with Organizational Performance. Stronger leadership and commitment from top management towards managing core processes, and providing more authority to employees to manage their work, tend to achieve better performance of an organization. No empirical evidence except the present study was found in the literature to support the relationship between these two factors as an aggregate concept and business performance in one study. The research also found that interaction between the concept of PALI and PINV together positively supports the association with organizational performance.

In sum, this research shows that the notion of Process Alignment and People Involvement are related to organizational performance. Core processes and people are two key points of implementing TQM. This paper confirms that from the process management point of view, structure, strategy and IT should be aligned and aggregated together with TQM environment to improve organizational performance. This research also found top management commitment and people empowerment should combine along with TQM to influence organizational performance. At last, based on the result and discussion of our research, one of our future research avenues is to extend the research model by adding a different set of independent variables, and examine its impact on organizational performance.

Implications for Research and Practice in HRD

The findings of this research have implications for research and practice. This research contributes to a better understanding of the field of TQM. The results provide useful insight into the organization that use TQM as a organization development program. It also provides empirical evidence for guiding principles that TQM literature advocates: get your strategic objectives aligned with business processes, demonstrate executive commitment and empower your employee. Concentrate on these and while there is no certainty; the chances of achieving successful TQM will be amplified.

References

- Allender, H. D. (1994). Is reengineering compatible with total quality management. *Industrial Engineering* 26(9), 41-44.
- Arthur, J. (1994). Effects of human resources systems on manufacturing performance and turnover. *Academy of Management Journal*, 37, 670-687.
- Cummings, T. G., & Worley C. G. (1997). *Organizational development and change*. South-Western College Publishing, Ohio.
- Daft, R. L. (1998). *Organization theory and design*. South-Western College Publishing: Cincinnati, OH.
- Davenport, T. H. (1993). Need radical innovation and continuous improvement? Integrate process reengineering and TQM. *Planning Review* 21(3), 6-12.
- Gresov, C. (1989). Exploring fit and misfit with multiple contingencies. *Administrative Science Quarterly* 34, 431-453.
- Grover, V., Guha, S., Kettinger, W. J., & Teng, J. (1997). Business process change and organizational performance: Exploring an antecedent model. *Journal of Management Information Systems*, 14(1), 119-137.
- Hammer, M., & Champy, J. (1993). *Reengineering the corporation: A manifesto for business revolution*. New York: Harper Business.
- Hammer, M. (1996). *Beyond reengineering: How the process-centered organization is changing our work and our lives*. New York: Harper Collins.
- Huselid, M. A. (1995). The impact of human resource management practices on turnover, productivity, and corporate financial performance. *Academy of Management Journal*, 38, 635-672.

- Lawler, E., Ledford, G., Mohman, S., & Tenkasi (1995). Total quality management: Practice and outcomes in the largest US firms. *Employee Relations, 17*(3), 26-41.
- Lawrence, P., & Lorsch, J. (1967). Differentiation and intergration in complex organizations. *Administrative Science Quarterly, 12*(1), 1-47.
- Lee, R. G., & Dale, B. G. (1998). Business process management: a review and evaluation, *Business Process Management Journal, 4*(3), 214-225.
- Lewin, A. Y. (1999). Prolegomena on coevolution: a framework for research on strategy and new organizational forms. *Organization Science, 10*(5), 519-534.
- Ostroff, F. (1999). *The horizontal organization*. New York: Oxford University Press.
- Powell, T. C. (1995). Total quality management as competitive advantage: A review and empirical study. *Strategic Management Journal, 16*(1), 15-37.
- Rivers, P. A., & Bae, S. (1999). Aligning information systems for effective total quality management implementation in health care organizations, *Total Quality Management, 10*(2), 281-289.
- Roth, K., Schweiger, D., & Morrison, A. (1991). Global Strategy implementation at the business unit level. *Journal of International Business Studies, 22*, 369-402.
- Sahney, V. K. (1992). The quest for quality and productivity in health services. *Frontiers of Health Services Management, 2*, 34-56.
- Semler, S. W. (1997). Systematic agreement: A theory of organizational alignment. *Human Resource Development Quarterly, 8*, 23-40.
- Sinclair, D. A. (1994). *Total quality-based performance measurement: An empirical study of best Practice*, Bradford: University of Bradford Management Centre.
- Spector, B. A. (1995). *Taking Charge and Letting Go: A breakthrough strategy for creating and managing the horizontal company*. New York: Free Press.
- Thompson, A., & Strickland, A. J. (1999). *Strategic management: Concepts and cases* (11thed.). Boston: Irwin-McGraw-Hill.
- Waldman, D. A. (1994). The contributions of total quality management to theory of work performance. *Academy of Management Review, 19*(3), 510-536.
- Weintraub, D. L. (1993). Implementing total quality management, *Economic Development Review, 11*(3), 1-6.
- Weiser J. R. (2000). Organizational alignment: Are we heading in the same direction?. *The Kansas Banker, 90*(1), 11-15.
- Zairi, M. (1997). Business process management: A boundaryless approach to modern competitiveness. *Business Process Management Journal, 3*(1), 64-80.

Learning lessons from the (dance) floor

*Jamie L. Callahan
Texas A&M University*

This interactive innovative session provides an overview of findings from a study of a swing dance community. Through a phenomenological study of swing dancers' experiences, findings of both community and communication emerged as components of both informal and incidental learning associated with swing dancing. A demonstration of swing dance will be followed by audience participation in a series of exercises that highlight how swing dance enhances self-awareness and inter- and intra-personal communication.

Keywords: Swing Dance, Communication, Incidental learning

The confidence I have gained by [swing dancing] has
helped my career as well as personal relationships.
“Grace”, Competitive Swing Dancer
Personal communication, August 12, 2003

Playing basketball, improvising with jazz and folk music, sailing, and participating in peyote rituals are examples of activities, typically beyond the scope of the workplace, that have been used as metaphors or vehicles for deriving a greater understanding of organizational experiences (Eisenberg, 1990; Weick, 1998). Swing dancing is another example of such an activity. Eisenberg (1990) was particularly interested in the factors in these activities that led to a state of transcendence that he called ‘jamming.’ However, he was explicit that “women have less easy access to ...jamming” (p. 151). This innovative session offers an avenue into the transcendence of jamming through an activity that is open equally to both men and women—swing dancing.

Weick (1998) and other researchers exploring the phenomenon of jazz improvisation (e.g., Kamoche & Pina e Cunha, 2001) were particularly interested in how the activities of improvisation that created the jamming experience could be channeled into usefulness for the organization. The learning of both community and communication associated with swing dance are examples of the link between jamming in dance and increasing competencies that can be used in the workplace. The purpose of this approximately 80-minute innovative session is to give participants a brief glimpse into the concepts of communication, and other topics of organizational interest such as leadership and trust, that swing dancing can impart. For teachers, the activities of this session will be useful in future classroom exercises to demonstrate such concepts as communication and leadership.

The activities in the present session have been used successfully to demonstrate the multi-dimensionality of communication. Interpersonal communication is about more than hearing and responding to words. We ‘listen’ with our ears, our eyes, and our bodies. When we engage in partner dancing, such as swing, leaders and followers listen to the music while they create a mutual picture of the song by feeling and seeing how the other is interpreting the music. While a deeper appreciation for the refinement of this process occurs more easily with accomplished dancers, even beginners can appreciate the role of communication in the dance process. Indeed, awareness of this full-body communication can accelerate the learning of novice dancers.

These activities have proven to be an excellent tool for teaching the principles of leader and follower exchanges. This is particularly relevant for Leader-Member Exchange (LMX) Theory, which is based upon the concept of dyadic interchanges between a leader and follower (Graen & Uhl-Bien, 1995). It is the quality of these dyadic relationships that leads to the formation of in-groups and out-groups in LMX. Learning the basics of partner dancing demonstrates that both leader and follower have responsibilities within the LMX relationship. Swing dancing emphasizes that characteristic of LMX that makes it unique among leadership theories, namely the specific relationship between two individuals who are part of a larger group.

“It Don’t Mean a Thing if it Ain’t Got that Swing!”

This session will begin with a 25-minute introduction that will include an overview demonstration of what swing dancing looks like. Ideally, the demonstration will be done in person by a couple that currently teaches and performs swing dance; if not possible, a video demonstration will be offered. The introduction to the session will include a

Copyright © 2004 Jamie L. Callahan

very brief overview of study findings that highlight how swing dancing has influenced individuals' lives with a particular focus on improved communication skills within the context of leading and following (Callahan, 2003).

The two themes that appear repeatedly in interviews, observations, and archives are that swing dance is about both the nonformal learning of community and the incidental learning of communication. Swing is about finding a commonality with a partner and with a larger group of individuals. The overview presentation will highlight the ways in which swing dancing improves leadership communication skills by challenging dancers to use multiple senses in the communication process – vision, hearing, and feeling. Swing dancing improved communication by, among other things, increasing self-awareness and fostering sensitivity of others. However, because this is an Innovative Session, and not a research paper presentation, the focus of the session will be to engage the audience in experiencing the essentials of swing dance and in exploring the implications of what they experienced for organizational situations in which they engage.

"The Ability to Swing"

The session facilitator will encourage participants to engage in basic movement to music as a means to become sensitized to connecting hearing and listening to bodily movement. It is the first step in learning how to communicate physically. After getting comfortable with the idea of simply moving to music, facilitators will teach the basic step that forms the foundation for all swing dance styles. Half of the participants will be designated as 'leaders' and the other half will be designated as 'followers'. For the purpose of this session, gender is not an issue for the distinction between leaders and followers; this portion of the session takes approximately 20 minutes.

"The Business of...Dance"

The session will close with an exercise that focuses on individual and team communication. This 15-minute exercise is commonly used in beginning swing classes as a mechanism to heighten awareness of communication within a partnership. The exercise is conducted in an 'open' position with a double handhold (i.e., two individuals standing arms' length apart while being connected to each other by holding hands); it puts into practice the basic step learned in the preceding exercise and emphasizes one person 'leading' and another person 'following' while using the basic step of the dance. It is low-impact and no special clothing is required.

This exercise has multiple implications for teaching organizational concepts such as communication, trust, leadership, followership, improvisation, and sensemaking—the discussion of these implications as experienced in the session activities is the premise of the session itself. The activities not only highlight the multiple senses that can be engaged to enhance the communication process, but they also highlight the importance of placing self within a context in order to understand the nuances of communication. In other words, communication is a contextualized process that occurs among two or more individuals. This exercise also has implications for learning about the exchange that occurs between leaders and followers; the dance is about the interchange that occurs between a leader and a follower, much as in Leader-Member Exchange (LMX) theory (Graen & Uhl-Bien, 1995).

Following the exercise, participants will be engaged for the final 20 minutes of the session in a discussion of their experiences that can be related to concepts common in organizational life. While the facilitator can certainly guide the discussion through relevance to communication and leadership and a variety of other organizational concepts, a much richer dialogue is likely to ensue if participants are able to actively reflect on their experiences in the session and link their insights to their own scholarly experiences.

Specific Agenda

Introduction to swing and informing research:	25 minutes
Movement and listening:	20 minutes
Leading & following in mutual communication:	15 minutes
Linking experiences to theories:	20 minutes

References

- Callahan, J. L. (2003). *Can you hear me now: Nonformal and incidental learning in a swing dance community of practice*. Paper presented at the Conference on Research for Lifelong Learning, Glasgow.
- Eisenberg, E. M. (1990). Jamming: Transcendence through organizing. *Communication Research*, 17(2), 139-164.
- Graen, G. B., & Uhl-Bien, M. (1995). Relationship-based approach to leadership: Development of leader-member exchange (LMX) theory of leadership over 25 years: Applying a multi-level multi-domain perspective. *Leadership Quarterly*, 6(2), 219-247.

- Kamoche, K., & Pina e Cunha, M. (2001). Minimal structures: From jazz improvisation to product innovation. *Organization Studies*, 22(5), 733-764.
- Weick, K. E. (1998). Improvisation as a mindset for organizational analysis. *Organization Science*, 9(5), 543-555.

Toward an Understanding of Targets' Reactions to Workplace Abuse

C. Leanne Wells
Virginia Tech

Research on workplace abuse has emerged and proliferated within the past two decades. Current efforts remain focused on defining, naming, and documenting abusive workplace behaviors. This paper reviews the background of this issue, including suggested causes and the impact to individuals and organizations. I assert that the research can advance more quickly by exploring links to more established constructs and theories in other areas of non-physical abuse, specifically domestic violence.

Keywords: Workplace, Emotional Abuse, Power

While arguably not a new phenomenon, workplace abuse received little research attention until the early 1980's (Leymann, 1996), not gaining an audience in the United States until well into the 1990's (Davenport, Schwartz, & Elliott, 1999). Conversely, workplace violence has received wide attention and public concern due to increases in frequency and intensity (Johnson & Indvik, 1994; Warshaw & Messite, 1996). However, studies show that workplace violence is quite rare and much less frequent than non-violent behaviors of psychological and emotional abuse in the workplace (Keashly, 2001). As many as one in five or six employees are the targets of workplace abuse, which may last from a few months to several years (Einarsen & Skogstad, 1996; Keashly, Hunter, & Harvey, 1997; Leymann, 1990; Rayner, 2000).

Parameters of Workplace Abuse

Naming and Definitions of Abusive Behavior

A phenomenon with more common than disparate definitions, workplace abuse assumes many names: bullying (Einarsen, 1999; Einarsen & Skogstad, 1996; Rayner, 1999; Rayner, Sheehan, & Barker, 1999; Workplace Bullying and Trauma Institute, n.d.), mobbing (Invernizzi, 2000; Leymann, 1990, 1996), and emotional abuse (Keashly, Trott, & MacLean, 1994; Keashly et al., 1997), as well as verbal abuse, harassment, mistreatment, and psychological abuse (Keashly, 2001) and even personality conflicts, interpersonal conflict, personal harassment, and verbal or psychological abuse (Keashly et al., 1997). In early representations, Brodsky (as cited in Einarsen, 1999) named five types of work *harassment* generalized to encompass "all those acts that repeatedly and persistently aim to torment, wear down, or frustrate a person, as well as all repeated behaviors that ultimately provoke, frighten, intimidate, or bring discomfort to the recipient" (p. 16). Leymann (1996) coined the term *mobbing* to denote psychological, rather than physical, terror involving "hostile and unethical communication, which is directed in a systematic way by one or a few individuals mainly towards one individual who, due to mobbing, is pushed into a helpless and defenseless position, being held there by means of continuing mobbing activities" (p. 168; see also 1990). Invernizzi (2000) observed that mobbing resulted in "a potentially high risk of expulsion" (p. 5) of the target from the organization.

Closely aligned with Leymann's conceptualization of mobbing, yet including physical and non-physical behaviors, are Einarsen's (1999) depiction of *bullying* as "hostile and aggressive behaviors... directed systematically at one or more colleagues or subordinates leading to a stigmatization and victimization of the recipient" (p. 17) and Rayner's (1999) "offensive, intimidating, malicious, insulting or humiliating behaviors, abuse of power or authority which attempts to undermine an individual or group of employees and which may cause them to suffer stress" (pp. 30-31). *Emotional abuse* in the workplace specifies a psychological framework, even a psychological contract between employer and employee the violation of which results in "cumulative psychological impairment ... for which the employer may be held liable" (Johnson & Indvik, 1994, p. 516). These repeated, hostile verbal and nonverbal – often nonphysical – behaviors typify "interactions between organizational members...directed at a person(s) such that the targets' sense of him/herself as a competent worker and person is negatively affected" (Keashly, 2001, p. 234; also Keashly et al., 1997) with an aim to "undermine the other to ensure compliance" (Keashly et al., 1994, p. 342).

Copyright © 2004 C. Leanne Wells

Despite the multitude of labels and some variability among definitions, workplace abuse remains commonly defined within several parameters. Abusive behavior is frequent, repeated, and enduring (Einarsen & Skogstad, 1996), distinguished from single acts of the same behaviors, which are merely acknowledged – even dismissed – as interpersonal conflict, annoyances, or difficulties (Bray, 1995; Keashly et al., 1994). The *target*, who experiences some power differential with the *actor* (Keashly, 2001; Workplace Bullying and Trauma Institute, n.d.), is traumatized by the abuse (Einarsen, 1999; Keashly, 2001; Rayner, 1999; Rayner, 2000;) from a peer, subordinate, or superior (Einarsen & Skogstad, 1996), who typically directs workplace abuse at one or more targets (Einarsen, 1999; Keashly, 2001; Keashly et al., 1994). While targets always experience a degree of trauma, some researchers distinguished this impact from victimization (Einarsen & Skogstad, 1996), which connotes feelings of inferiority and an inability to defend against the abuse.

Even with these agreed commonalities, current definitions of abusive behaviors remain ambiguous by degrees. For some (Keashly, 2001; Liefoghe & Olafsson, 1999), this is viewed as merely a “subjective” lens that offers a less daunting, more fitting means of interpreting and operationalizing the complexity of workplace abuse – an honoring of the experiences and feelings of the targets who are “active interpreters” of the behavior. For others, the inexactness of definition is problematic, suggesting a failure to encompass the full parameters of this multifarious phenomenon and perhaps proving an ongoing limitation of research studies (Rayner et al., 1999). From another viewpoint, it metamorphoses into overgeneralization, combining the most trivial with the most serious offenses (Bray, 1995) and producing a quagmire of debate in naming rather than addressing the phenomenon. Such disagreement may even contribute to abuse, as for some a “failure to report” (Warshaw & Messite, 1996) gives permission to continued abuse.

Some research acknowledged individuals as targets based on gender (Ali, Oatley, & Toner, 1999; Einarsen & Raknes, 1997), race and ethnicity (Chima, 1999; Vasquez, 1998), sexual orientation and community identification (Talbot, 1992), and occupation and occupation status (Richman, Flaherty, & Rospenda, 1996; Shinsako, Richman, & Rospenda, 2001). Other research recognized the abuse of employees by clients, customers, and patients (Arthur, Brende, & McBride, 1999; Duncan et al., 2001). From this point forward, this paper will examine the phenomenon of *workplace abuse* within the parameters of those behaviors that are non-violent, non-sexual, and non-group-based (e.g., gender, race, sexual orientation); are targeted at one employee by another employee; and incorporate the psychological categories of verbal and emotional abuse.

Workplace Abuse Behavior

Some abusive behaviors are easily recognized and defined; others are often “hidden” and perceived as indescribable (Keashly, 2001; Leymann, 1990). Typically, the more direct and aggressive behaviors – those that are visible by multiple people in the organization and have a commonly defined intent – are viewed less ambiguously and labeled abusive by all. Less direct and passive behaviors – those less visible and with less consensus regarding intent – may be experienced as abusive by some and not by others. As acknowledged earlier in this paper, the element of power – real or perceived – actively contributes to abuse. The actor’s power signifies a “restricting [of the target’s] options for responding and coping” (Keashly, 2001, p. 249) and is defined beyond the boundaries of the status or position differential between target and actor. Finally, abusive behaviors are characterized as “unwanted, unacceptable, hostile, controlling, demeaning, humiliating, unfounded or unreasonable, or disrespectful” (Keashly, 2001, p. 249) by the target. Most targets dismiss the actor’s intent (Keashly, 2001), attributing other factors to the abusive behavior and indicating a greater focus on the target’s perception (Einarsen, 1999) in defining actions as abusive.

Dichotomized views of workplace abuse allow for the categorization of behaviors but may not fully reflect the abuse phenomenon, which is seen as an evolving – even escalating – process within various phases (Einarsen, 1999; Leymann, 1990). Notwithstanding, categorization offers a glimpse of the phenomenon’s copious nature. Bray’s (1995) recommendations of physical, emotional, sexual, and spiritual abuse categories are closely aligned with those used in domestic violence (Rafenstein, 2001) and define the actions and context rather than using actor- or target-based definitions that limit the scope of the phenomenon. An emphasis on the context of abuse is also underscored by others as a way of assigning meaning to the behaviors (Liefoghe & Olafsson, 1999) and avoiding pitfalls cited earlier, including overgeneralization of the phenomenon. Some typologies have emerged to categorize workplace abuse behaviors. Leymann (as cited in Davenport et al., 1999) defined 45 behaviors within five categories. Keashly (2001) named just over a score of behaviors, classifying them as passive or direct, physical or non-physical. These typologies, as well as the named actions in other research, clearly evidence the range of workplace abuse behavior. They also illustrate the insidious nature of the abuse and the related difficulties in identifying, responding to, or designing interventions for this phenomenon.

“Causes” of Workplace Abuse

What contributes to the workplace abuse phenomenon? While research seems to investigate the roles of the target, the actor, and the organizational and social systems, there is some resistance to developing a profile of the target (Leymann, 1990; 1996), preferring to imply a “wrong place, wrong time” vulnerability (Rayner, 1999). In support, some studies found no statistical differences between targets and non-targets on factors of gender (Keashly et al., 1994; Leymann, 1996; Rayner, 1999) nor attitude toward abusive behaviors (Rayner, 1999). Still, other studies suggested “at risk” populations, such as older workers (Einarsen & Skogstad, 1996) and subordinates (Keashly et al., 1994), in addition to vulnerable personality factors as discrepant as diminished coping and self-efficacy to overachievement and inflated self esteem (Einarsen, 1999). Zapf (1999) supported a holistic framework for examining causes of workplace abuse, cautioning against singular perspectives and explanations. His model identified the actor, the target, the social group, and the organization as potential contributors. Like Zapf, targets and witnesses attributed workplace abuse to multiple factors. Actor factors were ones of general disinterest (Leymann, 1996), poor management skills, and mental imbalance (Rayner, 2000), while organizational factors included inadequate organization and work methods (Leymann, 1996), overwork, inadequate training, and a culture that fostered or ignored the abusive behavior (Rayner, 2000). In addition, employees cited organizational and staffing changes, such as restructuring and downsizing, as triggers for abusive behavior (Rayner, 2000; Sheehan, 1999).

Impact of Workplace Abuse

Workplace abuse dismissed because of ambiguity and subjective definitions does not diminish the very real harm to the target’s self worth, value, and well-being. Studies show effects of abuse to be pervasive regardless of the existence of physical harm (Braver, Bumberry, Green, & Rawson, 1992; Crittendon & Ainsworth, 1989). Physical illness, stress, and health problems are commonly cited effects on the target. In fact, one study claimed workplace abuse as the most common contributor of work-related psychological problems (Lipley, 2001). Other consequences included feelings of incompetence and decreased work productivity, commitment, and loyalty (Keashly, 2001); a sense of powerlessness and lowered self-confidence (Rayner, 2000); loss of work and turnover (Rayner, 1999; Sheehan, 1999); chronic stress and burnout (Weber & Jaekel-Reinhard, 2000); reduced job satisfaction with an increased intention to leave the organization (Keashly et al., 1997); increased alcohol use and misuse (Shinsako et al., 2001); post-traumatic stress disorder (Duncan et al., 2001; Warshaw & Messite, 1996); and even depression and suicide (Leymann, 1990; 1996). As indirect targets, witnesses to abusive behavior experience a “vicarious traumatization” (Scott, 1999), suffering stress and worry and making decisions to change jobs.

Response to Workplace Abuse

Somewhat surprisingly, studies showed that many targets either directly confronted the actor or reported the abusive behavior to a manager within the organization (Keashly, 2001; Keashly et al., 1994; Rayner, 2000; Sheehan, Barker, & Rayner, 1999). Those who did not report the abuse typically perceived a lack of available resources within the organization or believed nothing would be done (Keashly, 2001), a supposition supported by some of the research in which confrontation or reporting resulted in labeling the target as a troublemaker and an increase in the abusive behaviors (Rayner, 2000). Interviews with targets of abuse (Keashly, 2001) revealed that an organization’s response was based on whom it deemed accountable for the behavior: the organization (essentially in support of the actor) or the target. While some organizational responses directly addressed the actor’s abusive behavior, most “skirted” the issue by working around the problem, promising but not delivering action, taking no action, minimizing the target’s complaint, and attributing the behavior to a difference in personalities.

To address and reduce the incident of workplace abuse, some researchers sought to empower potential targets by raising general awareness about workplace abuse (Rayner, 2000). Others explored developing the leadership style and management strategies (Invernizzi, 2000), as well as the emotional intelligence skills (Sheehan, 1999) of those in positions of power. Most assigned the organization primary responsibility, calling for organizational policy that addressed abusive behavior and acknowledged the effects of abuse on the health and safety of workers (Rayner, 2000) and suggesting a monitoring of organizational climate and culture, as well as implementing emotion management strategies (Rayner, 1999) and workplace counseling (St. John-Brooks, 1994) to reduce stress and tension. Keashly (2001) advanced organizational responsibility, calling for a principled workplace as defined by legitimate and constructive work criticism; acknowledgment and recognition of workers; and direct, timely, and internal handling of disputes and grievances. Keashly’s sentiments mirror those earlier posited by Leymann (1990) regarding negotiation and arbitration procedures. Of ultimate consideration is the link between a positive, supportive response to disclosures of abuse and successful interventions (Scott, 1999).

Research Opportunities

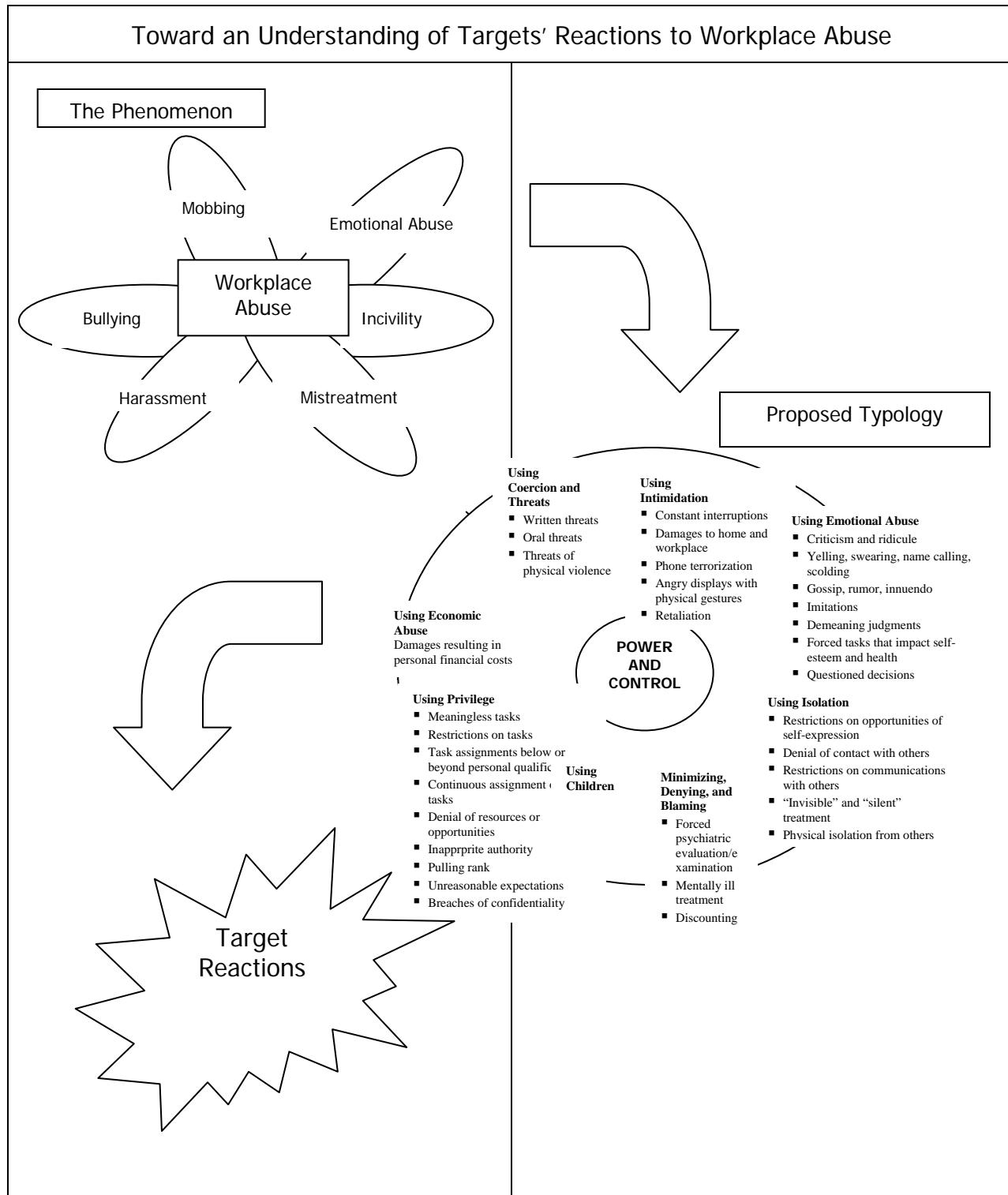
After nearly two decades, workplace abuse documentation continues to focus on the generalized nature of the behaviors, causes of and reactions to the abuse, and recommended intervention strategies. Even with the concerns regarding ambiguity within this complex domain, few if any constructs and theories have emerged to identify and shape the governing values, action strategies, and consequences (Argyris, Putnam, & Smith, 1985) that could catalyze workplace response and intervention efforts. While workplace abuse literature provides some references to other abuse studies, including phenomenological similarities to the research evolution of sexual harassment and abuse (Bray, 1995; Keashly, 2001) and the escalating stages of domestic or intimate partner violence (Anderson, 2002), other abuse fields have demonstrated more direct links between domains. Harris' (1995) adapted the Power and Control Wheel and Equality Wheel (Minnesota Program Development, Inc., n.d.), first designed for use with domestic violence education efforts, to examine sexual harassment behaviors in the workplace. Without true parallels to other abuse literature bases, the workplace abuse literature is perhaps limiting the opportunities to benefit from advances and achievements in these comparative fields of study.

One avenue for exploration is to establish a common typology of abusive behaviors, which may show that the behaviors and typologies of workplace abuse can be accurately reflected within the established Power and Control Wheel. Other considerations include an examination of how well the established constructs and theories evidenced in non-workplace abuse literature represent the experiences of targets of workplace abuse. Well-documented in domestic violence literature (Choice & Lamke, 1997; Peled, Eisikovits, Enosh, & Winstok, 2000; Rosen, 1996a, 1996b; Rosen & Stith, 1993; Stark & Flitcraft, 1998; Walker, 1984) is Seligman's (1975) theory of learned helplessness, which suggests a clear locus of control (Barnett & LaViolette, 1993; Martinko & Gardner, 1982) and attribution (Dweck, 1975) framework. To explain target reactions in domestic violence situations, learned helplessness has been coupled with psychological entrapment, cost/benefit analysis, and reasoned action (Strube, 1988). Thacker and Ferris (1991) explored learned helplessness and reactance in the dyadic relationships of sexual harassment; Ruggiero and Taylor (1997) examined constructs of self-esteem and control within the theories of attributional ambiguity (Crocker & Major, 1989; Major & Crocker, 1993) and personal/group discrimination discrepancy (Taylor, Wright, Moghaddam, & Lalonde 1990; Taylor, Wright, & Porter, 1993); Kaslow et al. (2002) identified hopefulness, self-efficacy, coping skills, social support, and effectiveness as indicators of successful protective factors against abuse. Additionally, the learned optimism theory (Seligman, 1998) has been applied in the research of battered women (Walker, 1994).

Conclusion

This research promises substantive contribution to the field of HRD by informing policy and practice that influence several organization metrics, including but not limited to employee satisfaction, commitment, and loyalty; organizational productivity and success; and trust, empowerment, and conflict resolution. In addition, it will establish clear links between existing abuse research and the workplace phenomenon, building and enhancing what we understand and can predict within an escalating cycle of abuse and violence.

Richey (1994) posits that popularizing a theory – bringing it into the hands of practitioners, as well as influencing researchers in the field – depends on its ability to “address those issues which have been brought to the forefront of professional attention” (p. 6) through a process of identifying and finding solutions for problems, creating choice opportunities for promoting and building the theory, and establishing and building a base of support. Linking and building on established abuse and harassment literature may reduce the existing ambiguity surrounding workplace abuse and speed the development of legal and workplace policy efforts. While common, legal definition – even workplace policy – does not always translate with full clarity into practice (Price, 2000), it is a necessary step in the advancement of workplace abuse inquiry and in providing a framework for response and intervention efforts.

Figure 1. Poster Miniature

References

- Ali, A., Oatley, K., & Toner, B. B. (1999). Emotional abuse as a precipitating factor for depression in women. *Journal of Emotional Abuse, 1*(4), 1-13.
- Anderson, C. (2002). Past victim, future victim? *Nursing Management, 33*(3), 26-32.
- Argyris, C., Putnam, R., & Smith, D. (1985). *Action science*. San Francisco, CA: Jossey-Bass.
- Arthur, G. L., Brende, J. O., & McBride, J. L. (1999). Violence in the family therapist's workplace: Preventative measures [Electronic version]. *The Family Journal: Counseling and Therapy for Couples and Families, 7*(4), 389-394.
- Barnett, O. W. & LaViolette, A. D. (1993). *It could happen to anyone: Why battered women stay*. Newbury Park, California: SAGE Publications.
- Braver, M., Bumberry, J., Green, K., & Rawson, R. (1992). Childhood abuse and current psychological functioning in a university counseling center population. *Journal of Counseling Psychology, 39*(2), 252-257.
- Bray, C. (1995). Defining workplace abuse. *Affilia, 10*(1), 87-91.
- Brodsky, C. M. (1976). *The harassed worker*. Toronto: Lexington Books, DC Heath and Company.
- Chima, F. O. (1999). Perceived emotional maltreatment factors of African Americans in the workplace. *Journal of Emotional Abuse, 1*(4), 37-52.
- Choice, P. & Lamke, L. K. (1997). A conceptual approach to understanding abused women's stay / leave decisions. *Journal of Family Issues, 18*(25). Retrieved October 5, 2000, from Ovid_online@ovid.com
- Crittendon, P. B. & Ainsworth, M. D. S. (1989). Child maltreatment and attachment theory. In D. Cicchetti (Ed.), *Child maltreatment: Theory and research on the causes and consequences of child abuse and neglect* (pp. 432-463). Cambridge, England: Cambridge University Press.
- Crocker, J. & Major, B. (1989). Social stigma and self-esteem: The self-protective properties of stigma. *Psychological Review, 96*, 608-630.
- Davenport, N., Schwartz, R. D., & Elliot, G. P. (1999). *Mobbing: Emotional abuse in the American workplace*. Ames, Iowa: Civil Society Publishing.
- Dweck, C. (1975). The role of expectations and attributions in the alleviation of learned helplessness. *Journal of Personality and Social Psychology, 31*(4), 674-685.
- Duncan, S. M., Hyndman, K., Estabrooks, C. A., Hesketh, K., Humphrey, C. K., Wong, J. S., Acorn, S., & Giovannetti, P. (2001). Nurses' experience of violence in Alberta and British Columbia hospitals. *Canadian Journal of Nursing Research, 32*(4), 57-78.
- Einarsen, S. (1999). The nature and causes of bullying at work. *International Journal of Manpower, 20*(1/2), 16-27.
- Einarsen, S. & Raknes, B. I. (1997). Harassment in the workplace and the victimization of men. *Violence and Victims, 12*(3), 247-263.
- Einarsen, S. & Skogstad, A. (1996). Bullying at work: Epidemiological findings in public and private organizations. *European Journal of Work and Organizational Psychology, 5*(2), 185-201.
- Harris, D. C. (1995). Grease the gears of equality: equality between the sexes in the workplace. *Personnel Journal, 74*(9), Retrieved September 9, 2002, from InfoTrac.
- Invernizzi, G. (2000). New concepts on the psychology of the workplace relationships: The so called "mobbing." *New Trends in Experimental and Clinical Psychiatry, 16*(1-4), 5-6.
- Johnson, P. R. & Indvik, J. (1994). Workplace violence: An issue of the nineties. *Public Personnel Management, 23*(4), 515-523.
- Kaslow, N. J., Thompson, M. P., Okun, A., Price, A., Young, S., Bender, M., Wyckoff, S., Twomey, H., & Goldin, J. (2002). Risk and protective factors for suicidal behavior in abused African American women. *Journal of Consulting and Clinical Psychology, 70*(2), 311-319.
- Keashly, L. (2001). Interpersonal and systemic aspects of emotional abuse at work: The target's perspective. *Violence & Victims, 16*(3), 233-268.
- Keashly, L., Hunter, S. & Harvey, S. (1997). Abusive interaction and role state stressors: relative impact on student resident assistant stress and work attitudes. *Work & Stress, 11*(2), 175-185.
- Keashly, L., Trott, V., & MacLean, L. M. (1994). Abusive behavior in the workplace: A preliminary investigation. *Violence and Victims, 9*(4), 341-357.
- Liefooghe, A. P. D. & Olafsson, R. (1999). "Scientists" and "amateurs": Mapping the bullying domain. *International Journal of Manpower, 20*(1/2), 39-49.
- Leymann, H. (1990). Mobbing and psychological terror at workplaces. *Violence and Victims, 5*(2), 119-126.
- Leymann, H. (1996). The content and development of mobbing at work. *European Journal of Work and Organizational Psychology, 5*(2), 165-184.

- Lipley, N. (2001). Bullying the number one cause of workplace stress. *Nursing Standard*, 16(1), 7.
- Major, B. & Crocker, J. (1993). Social stigma: The consequences of attributional ambiguity. In D. M. Mackie & D. L. Hamilton (Eds.), *Affect, cognition, & stereotyping: Interactive processes in group perception* (pp. 345-370). San Diego, CA: Academic Press.
- Martinko, M. J., & Gardner, W. L. (1982). Learned helplessness: An alternative explanation for performance deficits. *Academy of Management Review*, 7(2), 195-204.
- Minnesota Program Development, Inc. (n.d.) *Domestic Abuse Intervention Project*. Retrieved October 20, 2002, from <http://www.duluth-model.org/>
- Peled, E., Eisikovits, Z., Enosh, G. & Winstok, Z. (2000). Choice and empowerment for battered women who stay: toward a constructivist model. *Social Work*, 45(9). Retrieved October 9, 2000, from Ovid_online@ovid.com
- Price, J. (2000). Beyond the law: One nurse's reflections on conflicts and consequences in mandated reporting. *AWHONN Lifelines*, 4(1), p. 41-45.
- Rafenstein, M. (2001). Recognizing an abusive relationship. Current Health. Retrieved September 24, 2002 from http://infotrac.galegroup.com/itw/infomark/228/408/30894652w1/purl=rc1_EAIM_0_A68761337&dyn=16!xrn_153_0_A68761337?sw_aep=viva_vpi
- Rayner, C. (1999). From research to implementation: finding leverage for prevention. *International Journal of Manpower*, 20(1/2), 28-38.
- Rayner, C. (2000). *Bullying at work: Workplace bullying survey of UNISON police support staff members*. Retrieved September 28, 2002, from <http://www.unison.org.uk/>
- Rayner, C., Sheehan, M., & Barker, M. (1999). Theoretical approaches to the study of bullying at work. *International Journal of Manpower*, 20(1/2), 11-15.
- Richey, R. C. (1994, February). *Design 2000: Theory-based design models of the future*. Paper presented at the 1994 National Convention of the Association for Educational Communications and Technology Sponsored by the Research and Theory Division, Nashville, TN.
- Richman, J. A., Flaherty, J. A., & Rosponda, K. M. (1996). Perceived workplace harassment experiences and problem drinking among physicians: Broadening the stress/alienation paradigm. *Addiction*, 91(3), 391-403.
- Rosen, K. H. (1996a). *A qualitative study of battered women: vulnerabilities and protective factors*. Manuscript submitted for publication.
- Rosen, K. H. (1996b). The ties that bind women to violent premarital relationships: Processes of seduction and entrapment. In Dudley D. Cahn & Sally A. Lloyd (Eds.), *Family violence from a communication perspective* (pp. 151-176). Thousand Oaks, California: SAGE Publications, Inc.
- Rosen, K. H. & Stith, S. M. (1993). Intervention strategies for treating women in violent dating relationships. In Sandra M. Stith & Murray A. Straus (Eds.), *Understanding partner violence: prevalence, causes, consequences, & solutions* (pp. 252-261). Minneapolis, Minnesota: National Council on Family Relations.
- Ruggiero, K. M. & Taylor, D. M. (1997). Why minority group members perceive or do not perceive the discrimination that confronts them: The role of self-esteem and perceived control. *Journal of Personality and Social Psychology*, 72(2), 373-389.
- Scott, L. (1999). The nature and structure of supervision in health visiting with victims of child sexual abuse. *Journal of Advanced Nursing*, 29(3), 754-763. Retrieved September 13, 2002, from Ovid Technologies database.
- Seligman, M. E. P. (1998). *Learned optimism: How to change your mind and your life*. New York: Simon and Schuster.
- Seligman, M. E. P. (1975). *Helplessness: On depression, development, and death*. San Francisco, CA: W.H. Freeman and Company.
- Sheehan, M. (1999). Workplace bullying: Responding with some emotional intelligence. *International Journal of Manpower* 20(1/2), 57-69.
- Sheehan, M., Barker, M., & Rayner, C. (1999). Applying strategies for dealing with workplace bullying. *International Journal of Manpower* 20(1/2), 50-56.
- Shinsako, S. A., Richman, J. A., & Rosponda, M. (2001). Training-related harassment and drinking outcomes in medical residents versus graduate students. *Substance Use and Misuse*, 36(14), 2043-2063.
- St. John-Brooks, I. (1994). Workplace counseling to support change. *Benefits and Compensation International*, 23(7), 32.
- Stark, E. & Flitcraft, A. H. (1998). Spouse abuse. *Violence in America*, 27, 123-157.
- Strube, M. J. (1988). The decision to leave an abusive relationship: Empirical evidence and theoretical issues. *Psychological Bulletin*, 104(2), 236-250.

- Talbot, W. (1992, October). *Emotional safety in outdoor and experiential education*. Paper presented at the 20th International Conference of the Association for Experiential Education, Alberta, Canada.
- Taylor, D. M., Wright, S. C., Moghaddam, F. M., & Lalonde, R. N. (1990). The personal/group discrimination discrepancy: Perceiving group, but not my myself, to be a target of discrimination. *Personality and Social Psychology Bulletin, 16*, 254-262.
- Taylor, D. M., Wright, S. C., & Porter, L. E. (1993). Dimensions of perceived discrimination: The personal/group discrimination discrepancy. In M. P. Zanna & J. M. Olson (Eds.), *The psychology of prejudice: The Ontario Symposium* (Vol. 7, pp. 233-255). Hillsdale, N. J.: Erlbaum.
- Thacker, R. A. & Ferris, G. R. (1991). Understanding sexual harassment in the workplace: The influence of power and politics within the dyadic interaction of harasser and target. *Human Resources Management Review, 1*(1), 23-37.
- Vasquez, M. T. (1998). Latinos and violence: Mental health implications and strategies for clinicians. *Cultural Diversity and Mental Health, 4*(4), 319-334.
- Walker, L. E. (1994). *Abused women and survivor therapy: A practical guide for the psychotherapist*. Washington, D.C.: American Psychological Association.
- Walker, L. E. (1984). *The Battered Woman Syndrome*. New York: Springer Publishing Company.
- Warshaw, L. J. & Messite, J. (1996). Workplace violence: preventative and interventionist strategies [Electronic version]. *The Journal of Occupational and Environmental Medicine, 38*(10), 993-1006.
- Weber, A. & Jaekel-Reinhard, A. (2000). Burnout syndrome: A disease of modern societies? *Occupational Medicine, 50*(7), 512-517.
- Workplace Bullying and Trauma Institute. (n.d.). *The campaign against workplace bullying's definition of the phenomenon*. Retrieved October 6, 2002, from <http://www.bullybusters.org/>
- Zapf, D. (1999). Organisational, work group related and personal causes of mobbing/bullying at work. *International Journal of Manpower 20*(1/2), 70-85.

Rapid Adaptation To An Online Format

*Geri McArdle
Barry University*

*Nancy Edwards
Florida Gulf Coast University*

The Internet is providing new opportunities in higher education for the delivery of online courses and degree programs. The advantage of using the Internet to deliver course instruction has been well documented. This paper describes how the authors modified a traditional instructional design model to redesign a graduate-level course to be delivered completely over the Internet when circumstances necessitated a change in modality.

Keywords: Web-Based Instruction, Instructional Design Model, Blended Learning

In the summer of 2001, the authors were developing a new course for a graduate-level program in Human Resource Development. This particular course was an elective for students in the Masters' level Human Resource Development and Administration program. Several students from the Education & Leadership/Human Resource Development doctoral program were also using the course as an elective. The course, "Diversity in the Workplace," consisted of two main components. The didactic portion of the course was to be delivered over the Internet using WebCT, as a course management system. For the second component, the class was embarking on a one-week study tour in London, England. Three people were involved with the design of the course: a full-time faculty member, a graduate student enrolled in the HRD doctoral program, and an instructional designer who also enrolled in the doctoral program. The web portion of the course was constructed in a modular format. Each module contained reading assignments and discussion topics for asynchronous discussions on the site bulletin board. Several modules also included additional written work to be sent as individual assignments to the instructor via email. Other modules contained activities and assignments for the study tour component of the course. During the trip itself, there were to be lectures by content experts in London as well as site visits. Assignments for the trip centered on these in-country lectures, as well as the experience of being in a different culture. The class had two face-to-face sessions at the beginning of the course to demonstrate the course technology, and to answer questions about the study tour course format and provide travel information.

Unfortunately, the class was scheduled to take the trip to London on September 21, 2001. After the events of September 11th, many in the class had concerns about flying overseas and cancelled their reservations. While some students were still willing to go through with the plans, it was finally decided to cancel the entire trip. At this point, the course developers had a problem. The course was lacking an essential component: the overseas trip. During the trip, the class was to explore the differences experienced by British corporations in the area of diversity as compared with the United States. The class was also going to be recording their own observations and experiences in this different culture. Students from both the graduate and doctoral programs needed the elective course credits and wanted to continue with the course. Other students who had not been able to register for the trip were also interested in taking the course.

The Design Dilemma

This paper describes how the faculty used the instructional systems design (ISD) and developed a design model to guide their steps in transferring a "blended" course to a virtual delivery format to meet the needs of both undergraduate and graduate students already enrolled in the course.

The solution was to reformat the course so that it would now be completely online. Time was critical as the new semester was about to begin: what was an "inter-session" course had to be functioning and available for the Fall, 2001 term beginning in October, 2001. The developers had about two weeks to adapt the course for the new format. Following effective design principles, the developers revisited the course and module objectives so that new online learning activities could be developed. Since some of the students had already completed much of the readings and asynchronous discussions, it was decided to make the course more self-paced with students needing to complete all assignments by the end of the upcoming term. The authors wrote a new syllabus, learning modules,

Copyright © 2004 Geri McArdle & Nancy Edwards

and learning activities. Word spread to the graduate and doctoral students about the new availability of the course, and five more students enrolled.

Theoretical Framework

Online courses provide the freedom of time and place sought by students (Cooper, 1999; Downes, 1998; Gubbins, Clay & Perkins, 1999) However, there is much debate about how to design a successful online course. A major concern is the issue of instructional design and its impact on the success of online learning. Carr-Chellman and Dushastel (2001) argue that the ideal online course would be designed using a constructivist, student-centered approach rather than a traditional behaviorist approach.

Most university and college courses in the United States make use of the Internet to provide a course syllabus, online readings, online discussions, and/or group projects (Vrasidas, 2000). According to a recent study conducted by the National Center for Education Statistics (Waits & Lewis, 2003), 55% of all colleges and universities in the United States offered some type of distance education during the 2000-2001 academic year. During this same academic year, there were over 3,000,000 enrollments in distance education courses

One of the major challenges in designing online learning is deciding the appropriate delivery format to meet the needs of the “distance” learner. Determining the appropriate design structure for creating an online course or module is crucial in promoting interaction and the feeling of social presence (Vrasidas and McIsaac, 1996). One contemporary design concept according to Serwatka (1999) consists of taking a portion of the class that is easily adaptable to the Web, such as the syllabus, reading assignments, discussion boards or tutorials, putting it online, and then having the students access that material prior to attending class. Palloff & Praff (1999), asserted that if one departed from the traditional campus classroom course to using some form of media for delivery, a transitional phase or process must be addressed to ensure ease of transfer for the student and the faculty who are unfamiliar with the online process. This becomes a course design issue as the learning outcomes and the behaviors will be different. Having a transitional period is desirable as it allows the instructors to develop new approaches and skills to create an effective online learning experience.

Online learning or distance learning (DL) is an organizational education program that uses one or more media tools to deliver instruction to students, who for various reasons, are either unable to use the on-campus traditional style of education or have a preference for online (Steiner, 1997). Today most educational institutions have or will add a technology-based distance learning component to their course offerings as a way to offer more class options, increase enrollment, and/or raise revenue (Olsen, 1999). The design of online learning activities, similar to the design of educational multimedia products, requires coordinated teamwork and planning. According to Boyle (1997), good design will be the best possible integration of all the views and know-how of a design team and will also take into account the perspective of a wider community of stakeholders.

A traditional, classroom-based setting allows for spontaneous, “real-time” interactions that can have a critical impact on the attitudes and performance of students. However, online learning communications are predominately asynchronous and mediated by technology, so the opportunity for these spontaneous exchanges are lost. (Hirumi, 2000). Therefore, when designing a course, it is important to sequence and plan learning activities to overcome this shortcoming and challenge learners .

Historically, there has always been some concern surrounding computer-based education with respect to the three kinds of interactivity that may affect learning in online courses: interaction with content, interaction with instructors, and interaction with classmates (Moore, 1989). Although none of the three modes of interaction function independently in practice, (for example, interaction among students is typically supported by instructor facilitation), these interactions, provide useful lenses for thinking about interaction online (Swan, 2001).

Research conducted by Carr-Chellman and Duchastel (2001), suggest the ideal online course would center learning assignments around a set of student tasks that have been designed to achieve an established learning objective that students work on either independently or collaboratively

According to Lee, Owen & Benson (2002), traditional instructional design models that have directed efforts to produce quality learning in face-to-face training environments can now be integrated into a Web-based training delivery.” Thrush (1999) noted that courses with outcomes that are more knowledge-based than skills-based are more successfully transformed onto web-based delivery formats. This paper presents an instructional systems design model that illustrates how a course that was only partly online was able to be transitioned into a totally virtual course in a short period of time.

Instructional Design Process Provides Conceptual Framework

The model developed to migrate the course from partly to totally online delivery was based upon the issues that the authors faced, given the limited time for design, development and delivery of the course. As with every instructional design project, this project also had its own unique goals, audience, content, and budget. The emphasis of the following discussion of the model will be on the design component of the process.

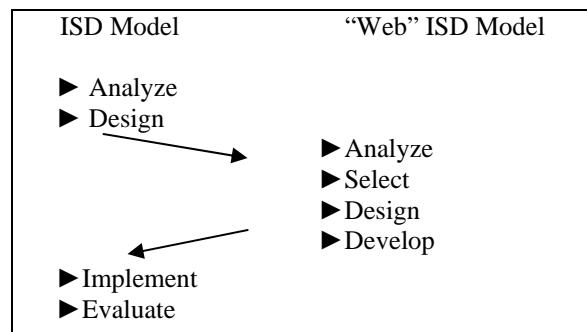
When the course was first created utilizing internet-based, and experiential activities, the designers used the "Instructional Systems Design" (ISD) model developed by Gagne. (Smith & Ragan, 1999). As such, they began by developing goals for the course based on desired outcomes. The learners for this course were already known to the designers, since they were part of a cohort enrolled in a Masters program, as well as a few students from the PhD cohort who were taking the course as an elective. Most of the students were familiar with the online course management system(WebCT) that would be utilized for the internet-based portion of the course.

One of the graduate assistants was a subject-matter expert who had extensive experience in teaching workplace diversity concepts. Her expertise was used in analyzing the content to be included within the course and in determining the course objectives. She also suggested appropriate learning activities to be included that would best assist the students in meeting course objectives. It was decided to assign the bulk of the reading activities and discussion board activities prior to the overseas portion of the course so that students would have the conceptual framework they needed for the experiential activities. The overseas portion of the course included several lectures and tours, coupled with some activities designed to make the students more aware of diversity issues. Learning activities included journaling the experience as well as a final paper.

When the trip was cancelled, the designers had to make a decision as to how to best manage the rest of the course. The course had already begun, and students had completed many of the initial assignments. The Fall term was about to begin, and there was no space or time to schedule a class to include the hours required to complete the course. Students who were already enrolled did not want to lose the potential elective credits. Other students were asking for the opportunity to enroll in the course. The decision was made to migrate the entire course so that it would be completely web-based, and to extend the course through the Fall term. Since the initial assignments were self-paced, this allowed for additional students to enter the course without falling behind.

Web-based Instructional Systems Design

The designers realized that there was very little time to redesign the course before the start of the new quarter. They chose to continue to use ISD concepts to convert the course to completely web-based delivery.



The first steps of the ISD model had already been completed: the course had been designed based on the initial analysis of the course audience, content, and objectives. To convert the course to completely web-based, four new steps were added, as shown above.

The first step was to **analyze** the current situation. There had already been an orientation meeting to introduce the students to the initial web-based components. The web site had been created and contained the original online modules and discussions. There was also the reality of more students wanting to take the course if it was available to them. As part of the analysis, the designers considered learning activities that would not require a face-to-face setting. These included: experiential assignments, group projects, discussion board, online chat, webquests, and individual projects and research papers. They brainstormed the most appropriate activities given the short time-frame, stated learning objectives, and required contact hours. They also revisited the original evaluation methodologies and desired outcomes.

Step 2 was to **select** the course parameters. These were selected after considering the population, the technology available, and the appropriate instructional activities. A concurrent decision was to expand the student population to allow new students to join the course, and to also expand the time-frame for the course to the end of the Fall term. The decision was made to convert the course from a linear to a non-linear structure. As such, students could complete the assignments in any order that they wished and in any time frame, as long as all activities were complete by the end of the quarter. This decision was based on the fact that students were at different levels of completion, with some students just beginning the course. A third decision was to have students work on individual, rather than on group, projects.

Step 3 was to **design** the elements of the course. In determining the best instructional methodologies, the designers analyzed the objectives and initial content and treatment. It was decided that the objectives for the course remained unchanged. However, the focus of the course was expanded so that it encompassed broader diversity issues. This expansion was reflected in the new assignments that were created as well as the inclusion of content material that was more generic. In addition, the Internet portion was changed to include more interactive components.

Step 4 was to **develop** the course components and assignments and to update the site. The designers developed the additional learning activities and assignments, rewrote the syllabus to reflect the updated material, and created new modules. To minimize confusion, they also created a matrix table of assignments for easy student reference. The former "live" discussions that would have taken place during the study tour were changed to online discussion topics. Two assignments that were originally developed to focus on the diversity aspects of the country visited during the study tour were changed to experiential assignments focusing on cultures with which the individual student was unfamiliar.

From here, the designers returned to the next step on the original ISD schematic as they implemented the course. The revised course consisted of one face-to-face meeting with all students to explain the updated course structure and methodology, and to allow them to become familiar with the technology. The remainder of the course was conducted on the Internet using WebCT. Students completed the assignments at their own pace, with all assignments due by the end of the quarter.

An evaluation of the course revealed that all fifteen students who enrolled in the course were able to complete it; this included five additional students who entered the course after it was revised. For many, it was their first experience with a completely online course. Their evaluations of the course indicated that they found the course easy to use and enjoyed the ability to manage their own time. In addition, the faculty found the students applying the diversity concepts learned in the course to other courses in their program of study.

Lessons Learned

The designers found that using sound ISD principles was instrumental in allowing them to quickly redesign the course in an alternative format. The measurable objectives that were developed up front facilitated the design, development, delivery, and evaluation for the redesigned course.

While this particular course was delivered totally online, students did continue to meet face-to-face for their other scheduled courses. This afforded them the opportunity to meet with the designers and/or faculty for the virtual course if they had any questions or concerns, a circumstance that is often not present for many virtual courses. This may have prevented the isolation and lack of communication with faculty that is sometimes noted with other online courses (Brown, 2000).

Another factor that may have contributed to the success of this course was the demographics of the students themselves. These students were largely within the 25-50 age group noted by Grill (1999) as being more successful as distance learners. Other success factors of these students, also cited by Grill included:

1. being accustomed to a participating in a formal education program (All students were either part of the Masters or PhD program).
2. being highly motivated to complete the course (Elective credits were needed for degree completion).
3. voluntary participation in the course (Since the course was an elective, students had other courses that they could take instead).

The most important lesson learned was that faculty who are willing to be flexible can adapt to unforeseen circumstances. Online learning can provide the means.

Conclusions

This paper presents a simple instructional design process to develop Web-based training. The value for discussing this pragmatic approach is to illustrate that by using the instructional systems design (ISD) model as the basic tool to design any training course, the content and process can be easily adapted to other forms of instructional media for presentation.

References

- Boyle, T. (1997). *Design for multimedia*. London: Prentice Hall.
- Brown, B. L. (2000, October). *Web-based training* (EDO-CE-00-218, pp. 3-4). (ERIC Document Reproduction Service No. ED445234)
- Carr-Chellman, A., & Duchastel, P. (2000). The ideal online course. *British Journal of Educational Technology*, 31(3), 229-241.
- Cooper, L. (1999). *Anatomy of an online course*. *THE Journal*, 26(7). Retrieved October 1, 2003, from <http://www.thejournal.com/magazine/vault/A2071.cfm>
- Downs, S. (1998, Fall). The future of online learning. *Online Journal of Distance Learning*, 1(3). Retrieved September 18, 2003, from <http://www.westga.edu/~distance/downes13.html>
- Grill, J. (1999). Rethinking the promise of distance education. *Adult Learning*, 10(4), 32-33.
- Gubbins, J., Clay, M., & Perkins, J. (1999, Summer). The development of an online course to teach public administrators computer utilization. *Online Journal of Distance Learning*, 2(2). Retrieved September 16, 2003, from <http://www.westga.edu/~distance/gubbins22.html>
- Hirumi, A. (2002). A framework for analyzing, designing, and sequencing planned elearning interactions. *The Quarterly Review of Distance Education*, 3(2), 141-160.
- Lee, W. W., Owens, D. L., & Benson, A. D. (2002). Design considerations for web-based learning systems. *Advances in Developing Human Resources*, 40(423).
- Moore, M. G. (1993). Three types of interactions. In K. Harry, M. John, & D. Keegan (Eds.), *Distance education: New perspectives*. London: Rutledge.
- Olsen, F. (1999). State universities spend millions to add and upgrade computers. *Chronicle of Higher Education*, 45(43), A23.
- Paloff, R. M., & Pratt, K. (1999). *Building learning communities in cyberspace: Effective strategies for the online classroom*. San Francisco: Jossey-Bass.
- Serwatka, J. A. (1999). Internet distance learning: How do I put my course on the web? *THE Journal*, 26(10). Retrieved October 1, 2003, from <http://www.thejournal.com/magazine/vault/A2109.cfm>
- Smith, P. L., & Ragan, T. J. (1999). *Instructional design*. Upper Saddle River, New Jersey: Prentice Hall.
- Steiner, V. (n.d.). *What is distance education?* Retrieved September 16, 2003, from West ED: <http://www.dlrn.org/text/library/dl/whatis.html>
- Swan, K. (2001). Virtual interaction: Design factors affecting student satisfaction and perceived learning in asynchronous online courses. *Distance Education*, 22(2), 306-331.
- Thrush, E. (1999). Hither, thither, and yon: Process in putting courses on the web. *Technical Communication Quarterly*, 8(1), 49-58.
- Vrasidas, C. (2002). Systematic approach for designing hypermedia environments for teaching and learning. *International Journal of Instructional Media*, 29(1), 13-25.
- Vrasidas, C., & McIsaac, M. (1999). Factors influencing interaction in an online course. *American Journal of Distance Education*, 13(3), 22-36.
- Waits, T., & Lewis, L. (2003, July). *Distance education at degree-granting postsecondary institutions: 2000-2001*. Retrieved September 10, 2003, from National Center for Education Statistics: <http://nces.ed.gov/surveys/peqis/publications/2003017/>

Author Index

A

Abston	55-2
Adams	25-2
Akdere	28-2, 38-2, 43-1, 55-1
Akins	1-3
Alagaraja	5-3, 8-1, 46-3, I-3
Allen	10-2
Anthony	PC-3
Arlikatti	8-1
Azevedo	38-2

B

Barnard	4-1
Bartlett	19-2, I-1
Bartley	10-1, 46-2
Bastiaens	PC-2
Bates	3-2, 3-3, 25-1, 49-3
Beattie	27-3
Berger	PC-1
Berry	44-2
Bhanthumnavin	24-1
Bianco	24-3
Bierema	21-3
Boehme	I-4
Bowman	16-2
Boyle	30-2
Braden	51-2
Brooks	6-2
Buford	42-3

C

Callahan	6-1, 12-1, 12-2, 46-3, PC-1, I-6, I-8
Calvin	14-1
Chalofsky	21-1
Chapman	42-2
Chen, Y.	26-2
Chen, H.	3-3

Chermack	2-2, 9-3, 16-3, 38-1
Chien	15-2
Chindgren	20-2
Cho	7-3
Chu	41-1
Collis	24-3
Colton	9-1, 49-2
Conine	48-2
Conlon	36-2
Connell	25-3

Crowder	55-2
Crystal	I-1
Cseh	21-3

D

Daley	53-1
Danielson	30-1, PC-3
Dell	33-3
Dirani	53-2
Dirkx	14-2
Dobbs	10-2
Dooley, L.	5-3, 42-3, 46-3, I-3
Dooley, K.	42-3, I-3
Doornbos	7-1
Doran	5-2
Downy	40-2
Drewry	15-3

E

Edwards	26-3, 39-3, P-2
Egan	1-2, 1-3, 11-2, 27-1, 33-3, 39-2, 43-1
Ekeland	19-1

Ellinger	7-2, 21-3, 27-2
Ezell	13-1

F

Fornes	19-3
Frisque	48-3

Fu	41-1	Jedynak	42-3, I-3
G		Jeris	47-2, 51-1
Gallagher	17-3	John	35-3
Gangani	51-2	Johnson, J.	47-2
Garza	1-2	Johnson, K.	51-1
Geroy	35-2	K	
Gibb	13-2	Kang	19-2
Giberson	45-1	Ke	8-3
Gibson	11-1	Kehrhahn	PC-1
Golek	10-1	Khasawneh	3-2, 25-1, 49-3
Gourlay	16-1	Kim	47-1
Graham, C.	36-3	Kolb	48-3
Graham, P.	PC-1	Kontoghiorghes	44-1
Gray	PC-3	Kormanik	PC-1
Greenwood	13-1	Kotrlik	52-1, 52-2
H		Kupritz	46-2
Hamlin	27-3	L	
Hammons	1-3	Lane	9-2
Harada	16-2	Lee	34-1
Hasler	22-3	Lehner	I-7
Hatcher	9-1, 31-3, 49-2	Li	22-2
Hatcher	9-1, 49-2, I-4	Lien	41-2, 56-2
Hayes	5-3	Lim	40-1, 49-1
Haynes	18-1	Lin, Y.	37-2
Helland	29-2, 43-2	Lin, H.	48-3
Henderson	PC-3	Lin, J	22-2
Herrington	6-2	Lindner	42-3, I-3
Hezlett	18-2	Lohman	42-1
Hite	28-1	Lyle	43-3
Holton	3-2, 3-3, 38-3	Lynham	2-2, 8-3, 22-2, 22-3, 33-2, 54-2
Horrocks	12-2, I-6	M	
Hsuan Lee	1-3, 22-2, 34-2	Machala	I-6
Huang	56-1	Mackey	45-2
Hudson	15-1	MacTavish	33-1
Hung	41-2, 56-2	Madsen	35-3, 45-3
I		Maltbia	35-1
Ipe	20-1	Marsh	48-1
J		Marsick	I-1, I-5
Jacobs	23-3, 56-1		

Martens	PC-2	Rocco	5-1,19-3, I-4, PC-4
Martin, M.	1-1	Rosser	11-2
Martin, D.	33-3	Roth	4-2, 8-2
Maxwell	41-3	Rowden	48-2
McArdle	26-3, 39-3, P-2	Ruona	2-2, 21-3, 22-1, I-7
McDonald	28-1	Rushing	54-2
McLean	15-2, 51-2	Russ-Eft	31-1, I-2, I-4
Miller	35-3	S	
Mills	46-2	Sandlin	12-1
Morris	31-2, 44-2	Scott	2-3
N		Seaman	2-2
Nafukho	6-2, 21-2, 36-3	Short	PC-1, I-6
O		Simons	16-1
Opengart	50-2, I-6	Smith	14-2
Orr	43-3	Snow	32-2
Osman-Gani	3-1, 23-3	Somasundaram	1-3, 39-2
Ovaise	PC-1	Song	29-1
P		Squillaci	PC-1
Packard	30-3	Stanton	25-3
Paek	18-3	Stein	14-1
Papke	25-3	Stenning	34-2
Paprock	8-3, 22-2, 22-3	Stout	15-3, 31-2, 55-2
Parke	17-1	Sutton	4-1
Patterson	42-3, I-3	Swanson	PC-5
Peat	43-2	T	
Phinaitrup	23-2	Taylor	6-1
Plunkett	1-2, 27-1	Thomas	45-2
Poell	26-1, I-5	Thompson, M.	22-3
Powell	23-1	Thompson, B.	PC-6
Preskill	I-2	Thompson, C.	43-3
Provo	PC-3	Thompson, D.	43-3
R		Torraco	37-3, I-1
Raby	31-2	Tovar	32-1
Razvi	4-2, 8-2	Tracey	45-1
Reardon	46-1	Turnbull	45-3, 50-1, I-6
Reeves	33-3	V	
Reio	30-2	Van der Krog	26-1
Ripley	15-1	van Kijk	36-1
		van Loo	5-1, PC-4

VanBuskirk	26-3
Veldkamp	44-3
Venneberg	35-2
Viere	20-3
Vittrup	33-2

W

Wadsworth	40-2
Waight	13-1, 37-1
Walker, B.	15-3
Walker, J.	37-3
Walton	1-1
Walton	9-3
Wang, J.	22-1
Wang, G.	38-3
Warren	35-3
Watkins	21-3, I-1
Watson	41-3
Weinberger	54-1
Weinstein	27-2
Wells	17-2, P-1
Wentling, R.	28-3, 32-2, 40-2
Wentling, T.	40-2
Wheaton	14-1
Wilkinson	35-2
Williams	52-1, 52-2
Wilson	33-3
Winterton	2-1
Wise	25-3
Wiswell	17-2, 25-2
Woerkom	24-2
Wognum	44-3
Woodall	16-1, I-5

Y

Yang	20-3, 34-3, 39-1, I-4
Yoon	47-3
Yorks	I-5

Z

Zhang, D	34-3
Zhang, M	34-3
Zhen	20-3

Keyword Index

21st Century Workplace	36-2	Chief Knowledge Officer	20-2
A			
Academy of HRD	21-2	China	22-1
Action Learning	I-5	Chinese State-Owned Banks	8-3
Action Research	26-1, 37-3	Cluster Studies	3-1
Adult and Community Learning	2-1	Coaching	1-2, 27-1
Adult Attachment	25-2	Coaching Behavior	27-3
Adult Education	21-3	Collaboration	14-1
Adult Learners	43-3	Commitment	19-1
Adult Learning	27-2, 29-2, 39-1, 45-3	Commitment Antecedents	19-3
Aesthetics	13-2	Communication	I-8
Agency Theory	38-2	Community	14-1
Andragogy	49-2	Community Development	28-2
Appreciative Inquiry	45-2, I-7	Community-Based Education	2-3
Appreciative Pedagogy	I-7	Competence	51-1
Assessment	10-2, 29-3	Competencies	9-2, 20-2, 43-1, 45-1
Attribution	17-2	Competency Models	51-2
B		Computer-Mediated-	47-3
Behavioral Anchors	42-3	Communication	
Behaviorally Anchored Competencies	I-3	Construct Validation	3-2
Behaviorally Anchored Self-Assessment	I-3	Constructivism	29-2
Benchmark	41-2	Consulting	1-2, PC-3
Blended Learning	P-2	Consumer Education	12-1
C		Context	15-1, 53-1
Career Development	36-1, 36-2, 36-3	Contextual Approach	16-2
Career Development Practices	36-3	Continuing Professional	
Career Development Programs	36-3	Education	5-1
Career Planning	36-2	Corporate University	1-1
Career Success	18-2	Cost Matrix	10-1
Career-benefit Outcomes	18-1	Creative Class	13-1
Cascade Training	23-3	Creativity	13-2
CEOs	27-2	Creativity Model	13-1
Change	35-3, 37-3, I-1	Critically Reflective Work	24-2
Change Agents	23-1	Behaviour	
		Cross-cultural Comparison	I-5
		Cross-cultural Study	40-1
		Cross-cultural Training	15-3
		Cross-national	15-1

Cultural Analysis	12-1	Ethics	8-1, 31-3,
Culture	15-1, 30-3		48-1, 48-3
Culture-Specific Training	15-2	Ethics Training	48-3
Curriculum	45-1	Evaluation	10-2, 29-3,
Customization	26-1		30-3, 42-2,
D			
Delphi Method	49-2	Evaluation & Assessment	1-3
Delphi Technique	9-1, 9-2	Evaluation Use	29-1
Development	18-2	Expatriate Selection Criteria	41-1
Development and Change	9-3	Expatriate Training	41-1
Devolvement	41-3	Expatriates	15-2
Discipline of HRD	21-1	F	
Distance Education	43-1, 43-2, 43-3, 55-2	Face-to-face Communication	46-2
Diversity	2-3, 28-2, 28-3, 35-1	Face-to-face Training	10-1
Diversity Training	28-1	Facilitator of Learning	27-3
Dutch-US Collaboration	I-5	Factor Analysis	34-2
E			
Economic Development	4-2	Failure	PC-3
Economics	5-1	Foundational Issues	21-3
Editorial Review	I-4	Foundations of HRD	36-1
Education	23-2	G	
E-learning	26-3, 40-2	Gender	4-2, 8-2
Electronic Communication	46-2	Global Management	23-2
Electronics Industry	56-1	Global Organizations	8-1, 23-1
Emotion	12-2, 50-1, I-6	Grounded Theory	26-2
Emotion Management	12-1	Group Development	47-3
Emotional Abuse	P-1	Group Learning	14-2
Emotional Intelligence	50-2, 54-1	Growth Theory	33-2
Emotional Labour	16-1	H	
Emotions	50-2	Hierarchical Regression	52-1
Employee Development	50-2	Higher Education	37-3, 55-1,
Employee Participation	33-1	Holistic Theory	I-1
Employee Selection	43-2	Hope Theory	20-3, 39-1
Employee Training	46-1	Hospitality Industry	31-2
Empowerment	33-1	HRD	
Ethical Climate	48-2	HRD	5-3
			2-2, 6-2,
			8-1,
			16-3, 28-2,
			34-1, 38-1,
			43-1, 46-3
			50-1, 55-1
		HRD Competencies	45-3

HRD Effectiveness	44-3	Interactionism Model	24-1
HRD in China	8-3	Intercultural Training	15-2
HRD in Japan	22-2	Interdisciplinary	51-1
HRD in Mainland China	22-2	Internal Labor Market	38-3
HRD in Taiwan	22-2	International HRD	8-3, 22-1
HRD on the Margins	21-3	International HRD Research	3-1
HRD Practitioner	39-3	International Human Resource	22-3
HRED Postsecondary Faculty	52-2	Development	
HRM & HRD	41-3	International Student Services	1-3
Human and Organization Studies	21-1	International Teams	30-3
Human Capital	35-2	Internship	45-2
Human Capital Theory	5-1, 5-3	ISO 9000	56-1
Human Resource Development	1-2, 16-1, 17-1, 28-3, 32-1, 37-1 45-1	J	
Human Resource Development	13-1	Job Knowledge	30-2
Programs		Job Satisfaction	11-2, 48-2
Human Resources	6-2, 45-2	Jordan	3-2
Human Talent Development	34-3	Journal Publication	I-4
Humor	17-1	K	
I		Knowledge	20-1, 39-2
I-A model of Human Resource	46-3	Knowledge Building	14-1
Development		Knowledge Innovation	26-2
Identity	12-2	Knowledge Management	5-2, 20-2, 20-3
Imagination	13-2	Knowledge Sharing	20-1
Incidental learning	I-8	Korea	34-1
Incidental Learning Theory	7-2	L	
Income	8-2	Latin America	22-3
Individual Development	27-1	Law Enforcement	32-1
Informal Learning	7-1, 46-1	Leadership	19-1, 47-2, 54-2
Informal Workplace Learning	7-2	Leadership Development	27-2, 48-1
Information Technology	4-3	Leadership Style	54-1
Innovation	25-1, 46-1	Learning	17-2, 29-3, 53-1
Institutional Economics	38-3	Learning and Skills Council	2-1
Institutionalizing change	23-3	Learning Application	49-1
Instructional Design Model	P-2	Learning Modalities	26-3
Instrument Development	3-3	Learning Motivation	40-1
Intangible Assets	5-2	Learning Organization	25-1
Intellectual Capital	5-2	Learning Preferences	49-1

Learning Programs	26-1	Neoclassical Economics	38-3
Learning Styles	26-3	Neural Networks	3-1
Learning Theory	31-1	New Directions in HRD	36-1
Learning to Learn	14-2	NGOs	4-2
L		O	
Learning Transfer	3-2, 3-3, 44-1	Older Worker	35-2
Learning Transfer System	44-2	Online Communication	46-2
Learning Worker	7-1	Online degrees and Value-added	10-2
Learning-Oriented Evaluation	29-1	Online Learning	29-2, 40-1, 49-1, 49-2
Line Managers	41-3	Online Learning Technology	49-3
Literacy	2-2	Online Training	10-1
Local Education Authorities	2-1	Organisational Learning	24-2
M		Organization Development	37-2, 33-3
Management Development	22-1	Organizational Career	34-2
Manager	23-2	Development Programs	
Managerial and Leadership Effectiveness	27-3	Organizational Change	19-2, 28-3
Margin in Life	35-3	Organizational Commitment	19-2, 19-3
Measurement	42-2	Organizational Contextual Factors	7-2
Mediated Model	52-2	Organizational Culture	11-1, 25-3
Mental Models	17-2	Organizational Diagnosis	25-3
Mentoring	11-1, 11-2 18-1, 18-2, 18-3	Organizational Effectiveness	19-1
Mergers and Acquisitions	37-1	Organizational Identity	37-2
Mission Statements	1-1	Organizational Learning	20-3, 25-3,
Model Testing	16-2	29-1, 50-1	
Motivation	33-1, 49-3	Organizational Trust	25-2
Motivation Theory	33-2	Outsourcing	16-1
Motivation to Learn	44-1	P	
Motivation to Transfer	44-1	P. R. China	34-3
Motivators of Knowledge Sharing	20-1	Patnership	33-3
Multicultural Immersion Program	2-3	People Involvement	56-2
Multicultural Organizations	18-1	Perceptions and Characteristics of HR Managers	41-1
Multiculturalism	48-3	Performance	11-2, 33-2,
Multi-site Case Study Research	47-2	N	54-2
Narrative	12-2	Performance Appraisal	42-3
National Culture	40-2	Performance Communication	31-2
National Policy	34-3	Performance Improvement	1-3, 44-3,
Needs Assessment	34-2	51-2	

Planned Organizational Change	37-2	Social Responsibility	17-3, 23-1,
Planning	16-3		48-1
Police Officers	32-2	Socialization	30-1, 30-2
Postsecondary Faculty	52-1	S-OJT Trainer	7-3
Poverty	8-2	Spirituality	17-3
Power	P-1	State-intervention	34-1
Prejudice	32-2	Strategic Learning	35-1
Problem-solving Skill	42-1	Strategy	16-3
Process Alignment	56-2	Strongly Inferential Anchors	I-3
Professional Development	9-2, 21-2	Structured On-the-Job Training	7-3
Professional Organizations	21-2	Supervisor Engagement	24-3
Professional Training Programs	53-2	Supervisory Social	24-1
Psychology-based Theory	27-1	Support Behavior	
R			
Rater-based Assessment	42-1	Survey	2-2
Readiness for Change	35-3	Swing Dance	I-8
Recruitment	6-2	Systems	PC-3
Refereed Process	I-4	Systems Approach	18-3
Reflective Practice	17-3	Systems Model	I-2
Relationships	30-2	T	
Renewal	30-1	T&D	38-2
Research	55-1	Taiwan	41-2
Research Productivity	52-1	Teacher Professional	
Research Skill Development	55-2	Development	53-1
Research to Practice	I-6	Teaching	I-2
Retention	5-3	Teaching Method	I-7
ROI	42-2	Team Development	47-1
S			
Safety	54-2	Teamwork	14-2
Scenario Planning	38-1	Technology	46-3
Scenarios	9-3	Teleology	9-3
Selection Model	16-2	Theoretical foundations	31-3
Self Disclosure	25-2	Theory	30-1, 38-1
Self-Assessment	42-1, 42-3	Theory and Research	21-1
Self-Efficacy	15-3, 49-3	Theory Building	26-2, 38-1,
Service-Learning	45-3		39-1
Sexual Harassment	44-2	Theory to Practice	51-1
Singapore	23-3	Time Spent in Research	52-2
Skills	39-2	Tools and Strategies	24-3
Small Businesses	48-2	TQM	56-2
Social Capital	35-2	Traditional University	1-1
		Trainees	53-2
		Trainer Competencies	39-3
		Trainer Roles	39-3

Training	19-2, 32-2
Training and Development	18-3, 22-3, 24-1, 31-1, 39-2, 56-1

Training Environment	53-2
Training Evaluation	41-2
Training Transfer	44-2
Transfer	44-3
Transfer Climate	25-1
Transfer of Training	15-3
Transformational Learning	17-1
Transformational Performance	31-2
Transformative Learning	35-1
Translation Issue	3-3

U

Unanticipated Consequences	7-3
Usability	40-2
University	33-3

V

Validation	9-1
Values	31-3
Vicarious Traumatization	32-1
Virtual Team Building Strategies	47-1
Virtual Teaming	55-2
Virtual Teams	47-1, 47-2, 47-3

W

Web Classes	43-3
Web-Based Instruction	P-2
Web-based Research	9-1
Women	4-3
Women Faculty	11-1
Work Practice	7-1
Work-based Learning	24-3
Workforce	4-3
Workforce Diversity	28-1
Workplace	P-1
Workplace Commitment	19-3
Workplace Learning and Performance	31-1
Work-related Learning	24-2