

## **Chapter 7: Paradigms of Human Resource Development**

- **INTRODUCTION**
  - A paradigm as defined by Kuhn (1996) is a “coherent tradition of scientific research” (p. 10).
- **OVERVIEW OF THE HRD PARADIGMS**
  - Two Paradigms
    - Learning Paradigm
      - Prevalent paradigm in US
      - 3 Different streams
        - Individual Learning
        - Performance Based Learning
        - Whole Systems Learning
    - Performance Paradigm
      - 2 Different Streams
        - Individual Performance Improvement
        - Whole Systems Performance Improvement
    - Developing Third Paradigm- meaning of work and work-life integration
      - HRD role for this paradigm is to help employees find “meaning in their work and balance in their lives” (Swanson & Holton, 2009, p. 140).

Figure 2.1 Comparison of the Learning and Performance Paradigms (Swanson & Holton, 2009, p. 141).

	<i>Learning Paradigms</i>			<i>Performance Paradigms</i>	
	(A) Individual Learning	(B) Performance-Based Learning	(C) Whole Systems Learning	(A) Individual Performance Improvement	(B) Whole Systems Performance Improvement
Outcome focus	Enhancing individual learning	Enhancing individual performance through learning	Enhancing multiple levels of performance through learning	Enhancing individual performance	Enhancing multiple levels of performance
Intervention focus	<ul style="list-style-type: none"> <li>▪ Individual learning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Individual learning</li> <li>▪ Organization systems to support individual learning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Individual, team, and organizational systems to support multiple levels of learning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Nonlearning individual performance system interventions</li> <li>▪ Learning if appropriate</li> </ul>	<ul style="list-style-type: none"> <li>▪ Nonlearning multiple-level performance system interventions</li> <li>▪ Multiple-level learning if appropriate</li> </ul>
Representative Research streams	<ul style="list-style-type: none"> <li>▪ Adult learning</li> <li>▪ Instructional design</li> </ul>	<ul style="list-style-type: none"> <li>▪ Performance-based instruction</li> <li>▪ Transfer of learning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Learning Organization</li> </ul>	<ul style="list-style-type: none"> <li>▪ Human performance technology</li> </ul>	<ul style="list-style-type: none"> <li>▪ Performance improvement</li> </ul>

- **DEBATES ABOUT LEARNING AND PERFORMANCE**
  - HRD in US focuses more on performance outcomes and creating systems to support high performance.
  - Criticism of Performance Paradigm
    - Loss of focus on individual

- “machine mentality” (Swanson & Holton, 2009, p. 142)
  - Swanson and Holton contend that criticisms are based “gross errors and misunderstandings” (p. 143).
- **PHILOSOPHICAL VIEWS OF LEARNING AND PERFORMANCE**
  - Underlying the debate between the two paradigms is the question of whether performance is “inherently ‘bad’ and learning ‘good’” (Swanson & Holton, 2009, p. 143).
  - Swanson and Holton contend that both learning and performance are humanistic rather than good or bad (p. 143).
  - **Three Views of Performance**
    - Performance as a Natural Outcome of Human Activity
      - Humans view performance as natural and desired
      - Performance takes place in both the work force and in the social setting
      - Performance makes human existence better
      - View sees performance and increasing human potential “complementary” (Swanson & Holton, 2009, p. 144).
    - Performance as Necessary for Economic Activity
      - Utilitarian
      - Supports economic advances for both individuals and society
      - Means to an end, not good or bad
      - Performance at individual level → enhanced work & careers
      - Performance at organization level → strong organizations that “provide good jobs to individuals” (Swanson & Holton, 2009, p. 144).
    - Performance as an Instrument of Organizational Oppression
      - Performance is a way to control and dominate others
      - Organizations use performance to control others through compensation
      - “Necessary evil that denies human potential” (Swanson & Holton, 2009, p. 145).
      - Performance opposes developing human potential
  - **Three Views of Learning**
    - Learning as a Humanistic Endeavor
      - Humans are constantly growing and evolving
      - Learning increases human ability and aptitude
      - Learning is vital in helping humans develop their potential
    - Learning as a Value-Neutral Transmission of Information
      - Learning passes on information necessary for humans as well as information that they want
      - In US, training practice uses this view and views learning as a “value-neutral and instrumental” (Swanson & Holton, 2009, p. 145) process.
    - Learning as a Tool for Societal Oppression
      - Learning can be used to oppress people

- Think of Communists using learning to control
      - Most HRD academics fail to notice this view
  - **Comparing Philosophical Foundations**
    - Swanson & Holton argue that learning and performance are good for individuals because they are a natural component of individual's lives (p. 146).
- **LEARNING PARADIGMS OF HRD**
  - **Definition of the Learning Paradigm**
    - Watkins (1995) "HRD is the field of study and practice responsible for the fostering of a long-term work-related learning capacity at the individual, group, and organizational level of organizations...HRD works to enhance individuals' capacity to learn, to help groups overcome barriers to learning, and to help organizations create a culture which promotes conscious learning (p.2)" (Swanson & Holton, 2009, p. 146).
  - **Core Theoretical Assumptions of the Learning Paradigm**
    - *Assumption 1: Individual education, growth, learning and development are inherently good for the individual*
      - Humanistic psychology (Swanson & Holton, 2009, p. 147)
      - Stresses self-actualization (Swanson & Holton, 2009, p. 147)
    - *Assumption 2: People should be valued for their intrinsic worth as people, not just as resources to achieve an outcome*
      - HRD should value people for their self-worth and not use people to fulfill a goal for the organization
      - Learning and development adds to an individual's life and self-concept
    - *Assumption 3: The primary purpose of HRD is development of the individual.*
      - Individual needs are greater than or equal to organization's needs
      - Goal of this assumption is to have people reach "their fullest potential" (Swanson & Holton, 2009, p. 147).
    - *Assumption 4: The primary outcome of HRD is learning and development*
      - Learning is paramount
      - Can focus on learning at different levels: individual or whole systems
    - *Assumption 5: Organizations are best advanced by having fully developed individuals*
      - Performance doesn't drive development rather development drives performance
    - *Assumption 6: Individuals should control their own learning process*
      - Grounded in "democratic and humanistic principles of adult learning" (Swanson & Holton, 2009, p. 148).
      - Humans naturally are motivated to learn in a way that will be most advantageous to them
    - *Assumption 7: Development of the individual should be holistic*
      - HRD needs to focus on the whole individually not just specific skills and knowledge sets.

- Combines an individual's personal and professional life
    - Growth in personal life and can lead to growth in professional life.
  - *Assumption 8: The organization must provide people a means to achieve their fullest human potential through meaningful work*
    - It is the duty of an organization to help an individual reach their fullest capability.
  - *Assumption 9: An emphasis on performance or organizational benefits creates a mechanistic view of people that prevents them from reaching their full potential*
    - Creates "largest gap with the performance paradigm" (Swanson & Holton, 2009, p. 149).
- **PERFORMANCE PARADIGM OF HRD**
  - Definition of the Performance Paradigm
    - Holton: Performance is "accomplishing units of mission-related outcomes or outputs...a performance system is any system organized to accomplish a mission or purpose" (Swanson & Holton, 2009, p. 149).
    - All organizations = performance systems, not all performance systems = organizations.
    - HRD's Performance paradigm defined as "the purpose of HRD is to advance the mission of the performance system that sponsors the HRD efforts by improving the capabilities of individuals working in the system and improving the systems in which they perform their work" (Swanson & Holton, 2009, p. 149).
  - **Core Theoretical Assumptions of the Performance Paradigm**
    - *Assumption 1: Performance systems must perform to survive and prosper, and individuals who work within them must perform if they wish to advance their careers and maintain employment or membership.*
      - Performance is not optional
      - Performance is defined by the methods used by the organization to "define its core outcomes" (Swanson & Holton, 2009, p. 150).
      - HRD can be most effective by developing individual's skills set and knowledge and using it to construct performance systems.
    - *Assumption 2: The ultimate purpose of HRD is to improve performance of the system in which it is embedded and which provides the resources to support it*
      - HRD activities need to improve the organization's "mission-related performance by improving performance at the mission social sub-system, process and individual levels (Holton, 1999)" (Swanson & Holton, 2009, p. 150)".
      - Organization's mission is to manifest the relationship with the surrounding environment
    - *Assumption 3: The primary outcome of HRD is not just learning but also performance*
      - Multilevel theories/perspective
      - Learning and performance are two levels of that work together to achieve goals of both individual and organization

- *Assumption 4: Human potential in organizations must be nurtured, respected and developed.*
  - Focusing on performance does not deny or discredit human potential
  - Believe human development and empowerment when properly managed and implemented creates good performance
- *Assumption 5: HRD must enhance current performance and build capacity for future performance effectiveness in order to create sustainable high performance*
  - Performance measures:
    - Outcomes: “measures of effectiveness or efficiency relative to core outputs of the system, subsystem, process or individual” (Swanson & Holton, 2009, p. 152).
      - Financial- ROI, profit
      - Productivity
      - What has occurred in core outcomes
    - Drivers “measure elements of performance that expected to sustain or increase system, subsystem, process or individual ability and capacity to be more effective or efficient in the future. (Swanson & Holton, 2009, p. 152).
      - Future outcomes.
  - Outcome and Drivers need to be analyzed together, work in tandem to lead to “long-term sustainable high performance” (Swanson & Holton, 2009, p. 153).
- *Assumption 6: HRD professionals have an ethical and moral obligation to ensure that attaining organizational performance goals is not abusive to individual employees.*
  - HRD professionals must use ethical practices to improve performance.
- *Assumption 7: Training/learning activities cannot be separated from other parts of the performance system and are best bundled with other performance improvement interventions*
  - Improvement at the whole systems level
  - Nonlearning and learning interventions work together to improve performance at multiple levels.
- *Assumption 8: Effective performance and performance systems are rewarding to the individual and to the organizations*
  - Build self-esteem by completing challenging goals
  - Meaningfulness of work and responsibility of work outcomes important to employees
  - Work provides employees an opportunity to use self-concept
- *Assumption 9: Whole systems performance improvement seeks to enhance the value of learning in an organization*
  - Systemic change cannot occur by having interventions at one aspect of a system.



“important and difficult” for the HRD professional (Swanson & Holton, 2009, p. 158)

- Two paradigms overlap each other in key ways:
  - Strong belief in learning and development as ways towards individual growth
  - Belief in organizations can be improved through human expertise
  - Desire to see people and organizations as healthy and growing
  - Commitment to people and human potential
  - Passion for learning and productivity (Swanson & Holton, 2009, p.158).

Figure 7.2: Serving Individuals versus Serving Organizations: Potential Contrasting Systems of Beliefs for Human Resource Development

	<i>Serving Individuals</i>	<i>Serving Organizations</i>
Core focus for HRD	Defined by its work with people	Defined by its work with organizations
Responsibility for HRD	To and for individuals	To and for organizations and organizational mission and goals
Setting for HRD	Any setting- not limited to the organizational setting	Conducted in some kind of goal-oriented system
Importance of organization	To improve the human condition, help individuals achieve life purpose, and improve society	To achieve organizational mission and goals, and contribute to capitalistic system, thus benefiting individuals and society
People in organizations	Should care for and support people, fostering meaning, and help people connect to something	Have some, but not primary, responsibility for individuals' short- and long-term value
Profit	Needs of individual should be more highly valued than the aims of profit	HRD should enhance performance on multiple dimensions and for short- and long-term value
People	People are inherently valuable	People are valuable to organizations for the resources they provide
Humans and learning	Humans are learning beings	Humans are learning beings, however when learning is organizationally sponsored, individuals learn on behalf of the organization (explicitly in full agreement)
Results of development	Growth of the individual and helping people reach their potential within the system	To foster alignment and help organizations achieve their mission and goals
Driver to develop systems	To help people achieve their potential within the system	To foster alignment and help organizations achieve their mission and goals
Prioritization between the individual and organization	Put people first, and organizational benefits will follow	Put organizations first, and people benefits will follow

Source: Ruona, 2000, pp. 23-24 (Swanson & Holton, 2009, p. 159).

- Education and knowledge is the foundation of an individual and helps to “maintain a democratic society” (Swanson & Holton, 2009, p.160)

- Importance of performance paradigm is grounded in following questions:
  - Could HRD sponsored by a performance system survive if it did *not* result in improved performance for the system?
  - Will it thrive if it does not contribute in a *substantial* way to the mission of the organization? (Swanson & Holton, 2009, p. 160)
- HRD must connect valuable employee knowledge to the “strategic goals of the organization” (Swanson & Holton, 2009, pp. 160 – 161).
- **CONCLUSION**
  - By fusing the two paradigms HRD can be most effective in organizations.

**Chapter 8: Perspectives on Performance in Human Resource Development**

- **INTRODUCTION**
- **ORGANIZATIONAL EFFECTIVENESS AS A PRECURSOR TO PERFORMANCE**
  - Five models of organizational effectiveness
  - Cameron places five models into competing values framework

Figure 8.1 Well-known Models of Organizational Effectiveness

<i>Model</i>	<i>Definition</i>	<i>Appropriateness</i>
	<b>ORGANIZATION EFFECTIVE IF:</b>	<b>MODEL PREFERRED WHEN:</b>
Goal	It accomplishes stated goals.	Goals are clever, overt, consensual, time bound, and measurable
System Resource	It acquires needed resources	Resources and outputs are clearly connected
Internal Processes	It has smooth functioning and an absence of strain	Processes and outcomes are clearly connected
Strategic constituencies	All constituencies are at least minimally satisfied	Constituencies have power over or in the organization
Human Relations	Members are satisfied and collaboration occurs	Coordinated effort and harmony are directly attached to results

Source: Adapted from Cameron, 1984 (Swanson & Holton, 2009, p. 164)

Figure 8.2 The Competing Values Framework of Organizational Effectiveness: An integration of the five well-known models, with key areas of interest.

	<b>Flexibility</b>		
<b>Internal Maintenance</b>	<b>The Human Relations Model</b>	<b>The System Resource Model</b>	<b>External</b>
	Collaboration	Innovation	
	Engagement	New Resources	
	Harmonious relations	Adaptation	
	<b>The Internal Processes Model</b>	<b>The Goal Model</b>	
	Control	Productivity	
		Aggressiveness	



Efficiency Consistency	Achievement <b>The Multiple Constituencies Model</b> Customer focus Boundary spanning Competitiveness
<b>Stability</b>	

- **DISCIPLINARY PERSPECTIVES ON PERFORMANCE**

- *Performance is a multidisciplinary phenomenon*
- *Performance models have a disciplinary bias*
  - Suggests need for restraint when considering performance from other disciplines.
- *There is no such thing as a single view of performance*
  - Views of performance to fit their purpose
- *Types (levels) of performance and indicators of performance are confused in some models*
  - Confusion persists between the levels of performance and what performance actually is
  - “indicators and metrics” of performance are important but should not be confused with actual performance (Swanson & Holton, 2009, p.167).
- *Subsystems in models vary widely*
  - Subsystems part of models are also a part of the disciplinary bias
    - Organizational development- groups as part of its subsystem
    - Needs Assessment- work or task as primary subsystem
    - Process as a subsystem
    - Human Capital or Strategic Management- organization part of subsystem

- **FINANCIAL PERFORMANCE**

- Underdeveloped area of HRD
- Value-laden myths influenced the HRD profession includes financial performance
  - *Myth: HRD Costs Too Much*
    - Focus on the tangible costs- equipment, services projects not on human capital costs
    - HRD decision makers look at cost of HRD, so developers need to include information about profitability of HRD.
  - *Myth: You Cannot Quantify Benefits of HRD*
    - By combining benefits, intelligence and guts HRD can help overturn the myth that HRD benefits can't be quantified.
  - *Myth: It is good to give organizations the HRD they want*
    - An HRD program's outcome is useful when connected to the performance goals and “core processes” (Swanson & Holton, 2009, p.171) of an organization.
- **Units of Performance**
  - Human-made organizations= economic entities
  - Units of performance = goods and services produced by an organization
  - Units of performance can be expressed monetarily

- # of additional units made after intervention x monetary value of each unit = Organization's financials and its bottom line impact of HRD interventions (Swanson & Holton, 2009, pp. 171 – 172).
- **Financial Benefit Analysis**
  - Basic Financial Assessment Model from Swanson (2001)
 
$$\frac{\text{Performance value (performance value resulting from HRD intervention)} - \text{Cost (cost of HRD intervention)}}{\text{Benefit (benefit is performance value minus cost)}}$$
  - Three perspectives on assessing financial benefit of HRD interventions
    - What is the *forecasted financial benefit* resulting from an HRD intervention? (Before-the-fact assessment based on estimated financial data)
    - What is the *actual financial benefit* resulting from an HRD intervention? (During-the-process assessment based on actual financial data)
    - What is the *approximate financial benefit* resulting from an HRD intervention? (After-the-fact assessment based on approximated financial data) (Swanson & Holton, 2009, p. 172).
- **ROI of Human Capital**
  - Developed by Jac Fitz-Enz (2000) methodology is research based and field tested to discover ROI of human capital through employee performance.
  - Methodology uses micro and macro economics
  - Assesses human capital contributions at organization wide level and organization wide change initiative level
  - Uses a “corporate scorecard” that uses “quantitative and perceptual data to create a organization-level financial assessment” (Swanson & Holton, 2009, p.172).
  - Methodology designed to test human-controlled processes

Figure 8.4 Human Capital Performance Matrix and Examples

	<i>Acquiring</i>	<i>Maintaining</i>	<i>Developing</i>	<i>Retaining</i>
Cost	Cost per hire	Cost per paycheck Cost per EAP case*	Cost per trainee	Cost of turnover
Time	Time to fill jobs	Time to respond Time to fulfill request	Cost per trainee	Turnover by length service
Quantity	Number mixed	Number of claims processed	Number trained	Voluntary turnover rate
Error Reaction	New hire rating Manager satisfaction	Process error rate Employee satisfaction	Skills attained Trainee satisfaction	Readiness level Turnover reasons

EAP= Employee assistance program Source: Fitz-Enz, 2000, p. 109 (Swanson & Holton, 2009, p. 173).

- **MULTILEVEL PERFORMANCE MODELS**

- Scholars use taxonomic models of key performance variables to make organizational systems less complex.
- Models use multiple levels of performance and within those levels the models use multiple dimensions.
- **Brache’s Enterprise Model**
  - Holistic approach
  - Necessary to know structures and how they work in organizations.
  - Methodology directs “the analysis of the internal and external variables of an organization’s environment” to determine soundness of the organization (Swanson & Holton, 2009, p. 174).
  - Figure 8.5 on page p. 175 depicts Enterprise Model
- **Rummler and Brache’s Performance Model**
  - Framework guides those who use it “how to manage organizations, processes, and individuals effectively” (Swanson & Holton, 2009, p. 174)
  - Failure is due to not recognizing importance of variables that guide the organizations, processes and individuals
  - Variables are called “performance levelers”
  - Developed nine cell matrix to help organizations

Figure 8.6 Rummler and Brache Model and Questions at Each Level

<i>Organization Goals</i>	<i>Organization Design</i>	<i>Organization Management</i>
<ul style="list-style-type: none"> <li>▪ Has the organization’s strategy/direction been articulated and communicated?</li> <li>▪ Does the strategy make sense, in terms of the external threats and opportunities and the internal strengths and weaknesses?</li> <li>▪ Given this strategy, have the required outputs of the organization and the level of performance expected from each output been determined and communicated?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Are all the relevant functions in place?</li> <li>▪ Are all functions necessary?</li> <li>▪ Is the current flow of inputs and outputs between functions appropriate?</li> <li>▪ Does the formal organization structure support the strategy and enhance the efficiency of the system?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Have the appropriate function goals been set?</li> <li>▪ Is relevant performance measured?</li> <li>▪ Are resources appropriately allocated?</li> <li>▪ Are the interfaces between functions steps being managed?</li> </ul>
<i>Process Goals</i>	<i>Process Design</i>	<i>Process Management</i>
<ul style="list-style-type: none"> <li>▪ Are goals for key processes linked to customer and organization requirements?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is this the most efficient/effective process for accomplishing process goals?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Have appropriate process subgoals been set?</li> <li>▪ Is process performance managed?</li> <li>▪ Are sufficient resources allocated to each process?</li> <li>▪ Are the interfaces between process steps being managed?</li> </ul>
<i>Job /Perform Goals</i>	<i>Job Design</i>	<i>Job/Performer Management</i>
<ul style="list-style-type: none"> <li>▪ Are job outputs and standards linked to process requirements (which are in turn linked to customer and organization requirements)?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Are process requirements reflected in the appropriate jobs?</li> <li>▪ Are job steps in a logical sequence?</li> <li>▪ Have supportive policies and procedures been developed?</li> <li>▪ Is the job environment ergonomically sound?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Do the performers understand the job goals (outputs they are expected to produce and the standards they are expected to meet)?</li> <li>▪ Do the performers have sufficient resources, clear signals and priorities, and a logical job design?</li> </ul>

- Are the performers rewarded for achieving the job goals?
- Do the performers have the necessary skills and knowledge to achieve the job goals?
- If the job performers were in an environment in which the five questions listed above were answered yes, would they have the physical, mental, and emotional capacity to achieve the job goals?

(Swanson & Holton, 2009, p. 176).

- **Swanson’s Performance Diagnosis Process and Matrix**
  - Five Phase Process starts with purpose and ends with a “performance improvement proposal” (Swanson & Holton, 2009, p. 178).
  - Performance Levels
    - Organization
    - Process
    - Team
    - Individual
    - Figure 8.7 on p. 179 depicts the Diagnosing Performance Process
  - Performance Variables that happen at each performance level
    - Mission/goals
    - System design
    - Capacity
    - Motivation
    - Expertise
  - Swanson contends that “bad systems almost always overwhelm good people” (Swanson & Holton, 2009, p. 179).

Figure 8.8 Swanson’s Performance Diagnosis Matrix

<i>Performance Levels</i>				
<i>Performance Variables</i>	<b>Organizational Level</b>	<b>Process Level</b>	<b>Team Level</b>	<b>Individual Level</b>
Mission/Goal	Does the organization mission/goal fit the reality of the economic, political, and cultural forces?	Do the process goals enable the organization to meet organization and individual missions/goals?	Do the team goals provide congruence with the process and individual goals?	Are the professional mission/goals of individuals congruent with the organization’s?
System Design	Does the organization system provide structure and policies supporting the desired performance?	Are processes designed in such a way to work as a system?	Do the team dynamics function in such a way to facilitate collaboration and performance?	Does the individual clear obstacles that impede his or her job performance?
Capacity	Does the organization have the leadership,	Does the process have the capacity to	Does the team have the combined capacity	Does the individual have the mental,

	capital, and infrastructure to achieve its mission/goals?	perform (quantity, quality, and timeliness)?	to effectively and efficiently meet the performance goals?	physical, and emotional capacity to perform?
Motivation	Do the policies, culture, and reward systems support the desired performance?	Does the process provide the information and human factors required to maintain it?	Does the team function in a respectful and supportive manner?	Does the individual want to perform no matter what?
Expertise	Does the organization establish and maintain selection and training policies and resources?	Does the process of developing expertise meet the changing demands of changing processes?	Does the team have the team process expertise to perform?	Does the individual have the knowledge and expertise to perform?

Source: Swanson, 2007, p. 85 (Swanson & Holton, 2009, p. 180).

- **Organization Development Performance Model**
  - Model is characteristic of performance models found in Organizational Development
  - Included in model: group/team, organization, and individual models
  - Performance variables called design components
  - Organization Level variables
    - Strategy (goals)
    - Design
    - Systems
    - Measurement
    - Structure
    - Culture
  - Group Level variables:
    - Goal clarity
    - Task structure
    - Team functioning
    - Group composition
    - Group Norms
  - Individual Level
    - Task Identity
    - Skill Variety
    - Autonomy
    - Task significance
    - Feedback about results
  - Along with performance this model includes following outcome variables: work life, job satisfaction, and personal development (Swanson & Holton, 2009, p. 182).
  - Figure 8.9 on p. 181 depicts this model.
- **Holton's Integrated Taxonomy of Performance Domains**
  - 4 domains of performance
    - Mission
      - System's mission and goals identify outcomes of systems
      - Organization's mission are defined by performance metrics

- Process
  - “managing and designing effective processes is an essential part of performance movement” (Swanson & Holton, 2009, p. 183).
- Social Subsystem
  - Internal social entity- group, team, department
  - May have to answer questions
    - What are the social subsystem’s that are critical to accomplishing the system’s mission?
    - What are the explicit social subsystems? The implicit ones?
    - Are the explicit and implicit subsystems congruent?
    - Are the social subsystems appropriate for the mission of the system>
    - Are the relationships between social subsystems optimal?
    - Do organizational factors help or hinder subsystem performance?
    - Are appropriate metrics in place?
- Individual
  - Drivers and Outcomes in Each Performance Domain
    - Drivers need to predict future outcomes
    - Determining how outcomes are to be made cannot happen without combining outcome measures with performance drivers
    - Outcomes and drivers when working in tandem lead to long-term, lasting performance.
- **PROCESS AND TEAM LEVEL PERFORMANCE MODELS**
  - Incremental
    - Process improvement- measure processes at every level then assess the steps and the process as a whole.
    - Requires “relentless pursuit of quality” (Swanson & Holton, 2009, p. 186).
  - Radical
    - Reengineering radical approach- replace a system with an entirely new one that is more efficient and effective
  - Six Sigma methodology
    - Quality process improvement method, uses the following
      - Continuous efforts to reduce variation in process outputs is key to business success.
      - Manufacturing and business processes can be measured, analyzed, improved and controlled.
      - Succeeding at achieving sustained quality improvement requires commitment from the entire organization, particularly from top-level management
- **INDIVIDUAL-LEVEL PERFORMANCE MODELS**
  - Known as human performance technology

- Define “individual performance and key factors that impact upon individual performance” (Swanson & Holton, 2009, p. 186).
- **Campbell’s Model of Individual Performance**
  - Campbell believed that psychologists were only focusing on independent variables and not paying attention to the dependent variables
  - Three Key parts
    - Performance components
    - Performance determinants
    - Predictors of performance determinants (Figure 8.11 p. 187)
      - Falls into three groups
        - Declarative knowledge
        - Procedural knowledge and skill
        - Motivation
  - 8 Components to describe job performance
    - *Job-specific task proficiency*
    - *Non-job-specific task proficiency*
    - *Written and oral communication*
    - *Demonstrating effort*
    - *Maintaining personal discipline*
    - *Facilitating peer and team performance*
    - *Supervision*
    - *Management/administration*
    - (Swanson & Holton, 2009, p. 187 – 188).
- **Gilbert’s Human Performance Engineering Model**
  - Developed theorems he called “leisurely theorems”
  - 1<sup>st</sup> Theorem: “human competence is a function of worthy performance (W), which is a function of the ratio of valuable accomplishments (A) to costly behavior (B)” (Swanson & Holton, 2009, p. 188)
    - $W = A/B$
  - “Large amounts of work, knowledge, and outcomes without accomplishments” does not equal performance (Swanson & Holton, 2009, p. 188)
  - 2<sup>nd</sup> Theorem: “typical performance is inversely proportional to the potential for improving performance (the PIP), which is the ratio of exemplary performance to typical performance. The ratio, to be meaningful, must be stated for an identifiable accomplishment, because there is “no general quality of competence” (1978, p.39)” (Swanson & Holton, 2009, p. 188)
    - $PIP = W_{ex}/w^t$
    - PIP express “how much competence” an organization has and “how much potential” it has to improve it (Swanson & Holton, 2009, p. 189)
  - 3<sup>rd</sup> Theorem: “For any given accomplishment, a deficiency in performance always has at its immediate cause a deficiency in a behavior repertory (P), or in the environment that supports repertory (E), or in both. But its

ultimate cause will be found in a deficiency of the management system (M). (Swanson & Holton, 2009, p. 189).

- Behavior Engineering Model
  - Focuses on both individual and individual's environment
  - Focus on behaviorism can be viewed as a weakness.

Figure 8.12 Gilbert's Behavior Engineering Model

	<b>S<sup>D</sup> Intervention</b>	<b>R Instrumentation</b>	<b>S<sub>T</sub> Motivation</b>
<b>E</b> <b>Enviromental supports</b>	Data 1. Relevant and frequent feedback about the adequacy of performance. 2. Descriptions of what is expected of performance. 3. Clear and relevant guides to adequate performance.	Instruments 1. Tools and materials of work designed scientifically to match human factors.	Incentives 1. Adequate financial incentives made contingent upon performance. 2. Nonmonetary incentives made available. 3. Career development opportunities
<b>P</b> <b>Person's repertory of behavior</b>	Knowledge 1. Scientifically designed training that matches the requirements of exemplary performance 2. Placement	Capacity 1. Flexible scheduling of performance to match peak capacity 2. Prosthesis 3. Physical shaping 4. Adaptation 5. Selection	Motives 1. Assessment of people's motives to work. 2. Recruitment of people to match the realities of the situation.

Source: Gilbert, 1978 (Swanson & Holton, 2009, p. 190).

- **THE SPOILS OF PERFORMANCE**
  - HRD professionals need to be wary of implementing systems that exploit employees.
- **CONCLUSIONS**
  - HRD professionals need to work to improve all performance systems

## **Chapter 9: Perspectives on Learning in Human Resource Development**

- **BASIC THEORIES OF LEARNING**
  - Six theoretical perspectives of learning
  - Perspectives aren't choices but rather different approaches

Figure 9.1 Six Orientations to Learning

<i>Aspect</i>	<i>Behaviorist</i>	<i>Cognitivist (Gestalt)</i>	<i>Humanist</i>	<i>Social Learning</i>	<i>Constructivist</i>	<i>Holistic</i>
Learning theorist	Thorndike, Pavlov, Watson, Guthrie, Hull, Tolman, Skinner	Koftka, Kohler, Lewin, Piaget, Ausubel, Bruner, Tolman, Gagne	Maslow, Rogers, Knowles	Bandura, Rotter	Candy, Dewey, Lave, Piaget, Rogoff, von Glaserfeld, Vygotsky	Yang, Jarvis & Parker



View of the learning process	Change in behavior	Internal mental process (including insight, information processing, memory, perception)	A personal act to fulfill potential	Interaction with and observation of others in a social context	Construction of meaning from experience	Involves facets of explicit, implicit, and emancipatory knowledge
Locus of learning	Stimuli in the environment	Internal cognitive structuring	Affective and cognitive needs	Interaction of person, behavior and environment	Internal construction of reality by individual	Occurs as a result of interactions with and between knowledge facets
Purpose of education	Produce behavioral change in desired direction	Develop capacity and skills to learn better	Become self-actualized, autonomous	Model new roles and behavior	Construct knowledge	Systematization, participation, and transformation
Teacher's Role	Arranges environment to elicit desired response	Structures content of learning activity	Facilitates development of whole person	Models and guides new roles and behavior	Facilitates and negotiates meaning with learner	Facilitator
Manifestation in adult learning	<ul style="list-style-type: none"> <li>▪ Behavioral objectives</li> <li>▪ Competency-based education</li> <li>▪ Skill development</li> </ul>	<ul style="list-style-type: none"> <li>▪ Cognitive development</li> <li>▪ Intelligence, learning, and memory as function of age</li> <li>▪ Learning how to learn</li> </ul>	<ul style="list-style-type: none"> <li>▪ Andragogy</li> <li>▪ Self-directed learning</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socialization</li> <li>▪ Social roles</li> <li>▪ Mentoring</li> <li>▪ Locus of control</li> </ul>	<ul style="list-style-type: none"> <li>▪ Experiential learning</li> <li>▪ Self-directed learning</li> <li>▪ Perspective transformation</li> <li>▪ Reflective practice</li> </ul>	<ul style="list-style-type: none"> <li>▪ Holistic and dialectical perspective</li> <li>▪ Dynamic</li> </ul>

Source: Adapted from Merriam, Caffarella, and Baumgartner, 2006, p. 264 (Swanson & Holton, 2009, p. 195).

### ○ Behaviorism

#### ▪ 7 Core Assumptions

- Principles of learning apply equally to different behaviors and to different species of animals.
- Learning processes can be studied most objectively when the focus of study is on stimulus and response.
- Internal cognitive processes are largely excluded from scientific study.
- Learning involves a behavior change.
- Organisms are born as blank slates.
- Learning is largely the result of environmental events.
- The most useful theories tend to be parsimonious ones. (Swanson & Holton, 2009, p. 196).
- Rewards and incentives are used to motivate individual's to learn
- Behaviorism's contributions to HRD Development
  - *Focus on Behavior*
    - Changing behavior leads to change
  - *Focus on the environment*
    - Different factors will influence an individual's performance within an organization

- *Foundation for transfer of learning*
    - Environment is just as important in transfer of learning
  - *Foundations for skill development training*
    - Part of training and development that focuses on building skill competencies. (Swanson & Holton, 2009, p. 196).
- **Cognitivism (Gestalt)**
  - Insight and understanding important to cognitivists
  - Three Perspectives of Contemporary Cognitivism
    - Informational-processing theory
    - Constructivism
    - Contextual views (situated cognition)
  - Core Assumptions
    - Some learning processes may be unique to human beings.
    - Cognitive processes are the focus of study.
    - Objective, systematic observations of people's behavior should be the focus of scientific inquiry; however, inferences about unobservable mental processes can often be drawn from such behavior.
    - Individuals are actively involved in the learning process
    - Learning involves the formation of mental association that are not necessarily reflected in overt behavior changes.
    - Knowledge is organized
    - Learning is a process of relating new information to previously learned information (Swanson & Holton, 2009, p. 198).
  - Cognitivism's contributions to HRD Development
    - *Information processing*
      - Components: sensory memory, short term memory, and long-term memory
      - See figure 9.2 on page 199
    - *Metacognition*
      - Learning how to learn
    - *Cognitive Development*
      - Cognition's development over one's life (Swanson & Holton, 2009, p. 197).
- **Humanism**
  - Core Assumptions
    - The person as a whole is the main subject of humanistic psychology
    - Humanistic psychology is concerned with the knowledge of a person's entire life history
    - Human existence and intention are also of great importance
    - Life goals are of equal importance
    - Human creativity has a primary place
    - Humanistic psychology is frequently applied to psychotherapy (Swanson & Holton, 2009, p. 199).

- Roger's principles of significant learning characteristics:
      - Personal involvement: The affective and cognitive aspects must come from within.
      - Self-initiated: A sense of discovery must come from within.
      - Pervasive: The learning makes a difference in the behavior, the attitudes, perhaps even the personality of the learner.
      - Evaluated by the learner: The learner can best determine whether the learning experience is meeting a need.
      - Essence is meaning: When experiential learning takes place, its meaning to learn becomes incorporated into the total experience (Swanson & Holton, 2009, p. 200).
    - Mainly concerned with development of the whole person
    - Learners are able to control their own learning process and leads to self-actualization
  - **Social Learning**
    - Concerned with how people learn through observation and interaction with others.
    - Learning by modeling others behavior
      - Role model/ Mentor
    - Core Assumptions as developed by Ormand (1999)
      - People can learn by observing the behavior of others and the outcomes of those behaviors
      - Learning can occur without a change in behavior
      - The consequences of behavior play a role in learning
      - Cognition plays a role in learning (Swanson & Holton, 2009, p. 201).
    - Teacher models the learned behavior
    - Non-classroom learning leads to the biggest impact through socialization
    - Socialization defined as “the process by which organizations pass on the culture of the organization to new employees and teach them how to be effective in the organizations” (Swanson & Holton, 2009, p. 201).
    - Socialization is informal learning
    - Informal learning occurs at all times
    - Mentoring provides on the job training
  - **Constructivism**
    - Contends that knowledge is occurs within a context
    - People related new knowledge to their past experience
    - Teacher's role is guide individuals to make sense of new learning
    - Ormond views constructivism as part of cognitivism
    - Contributions to HRD are still developing
      - Connects with andragogical view of learning
      - Andragogy and constructivism support the importance of
        - Learner's ownership of the learning process
        - Experience based learning
        - Problem-solving approaches (Swanson & Holton, 2009, p. 202).

- **Holistic Learning**
  - Yang’s theory organizes holistic theory into 3 components
    - Implicit
    - Explicit
    - Emancipatory
  - Each component has three layers
    - Foundation
    - Manifestation
    - Orientation (Swanson & Holton, 2009, p. 202).
  - Holistic theory uses individual, group and organizational challenges that face HRD (Swanson & Holton, 2009, p. 202).
  - See Figure 9.4 that depicts Yang’s view.

Figure 9.3 Holistic Theory of Knowledge and Learning: Indications of Three Knowledge Facets and Three Knowledge Layers

<i>Knowledge Layers</i>	<i>Knowledge Facets</i>		
	<b>EXPLICIT</b>	<b>IMPLICIT</b>	<b>EMANCIPATORY</b>
Foundations	Axioms, assumptions, beliefs, hypotheses	Habits, social norms, traditions, routines	Values, aspirations, vision
Manifestations	Theories, principles, models, conceptual frameworks, formulas	Tacit understandings, know-how, intuition, mental models	Attitudes, motivations, learning needs, equity, ethics, moral standards
Orientations	Rational	Practical	Freedom

Source: Yang, 2003 (Swanson & Holton, 2009, p. 202).

- Mezirow’s 3 major views on nature of knowledge and learning
  - Empirical/analytic paradigm (objective interpretation)
  - Interpretist paradigm (subjective interpretation)
  - Critical paradigm (power interpretation) (Swanson & Holton, 2009, p. 202 - 203).
- **LEARNING MODELS AT THE INDIVIDUAL LEVEL**
- **Andragogy: The Adult Learning Perspective**
  - Introduced by Knowles in response to need for theory in adult education
  - Feur and Gerber (1988) describe andragogy as “it is an honest attempt to focus on the learner. In this sense, it does provide an alternative to the methodology-centered instructional design perspective” (Swanson & Holton, 2009, p. 204).
  - ***The Core Andragogical Model***
    - Transactional model- addresses learning transaction
    - Six core assumptions or principles
      - Adults need to know why they need to learn something before learning it
      - The self-concept of adults is heavily dependent on a move towards self-direction
      - Prior experiences of the learner provide a rich resource for learning.
      - Adults typically become ready to learn when they experience a need to cope with a life situation or perform a task.

- Adults' orientation to learning is life centered, and they see education as a process of developing increased competency levels to achieve their full potential
- The motivation for adult learners is internal rather than external (Swanson & Holton, 2009, p. 205).
- Knowles called the second component of the model the *andragogical process design*, which creates adult learning experiences ((Swanson & Holton, 2009, p. 205).
  - 8 steps to this process
    - Preparing learners for the programs
    - Establishing a climate conducive to learning
    - Involving learners in mutual planning
    - Involving participants in diagnosing their learning needs
    - Involving learners in forming their learning objectives
    - Involving learners in designing learning plans
    - Helping learners carry out their learning plans
    - Involving learners in evaluating their learning outcomes (Swanson & Holton, 2009, p. 205).

Figure 9.5 Process Elements of Andragogy

<i>Elements</i>	<i>Andragogical Approach</i>
Preparing learners	Provide information Prepare for participation Help develop realistic expectations Begin thinking about content
Climate	Relaxed, trusting Mutually respectful Informal, warm Collaborative, supportive
Planning	Mutually by learners and facilitator
Diagnosis of needs	By mutual assessment
Setting of objectives	By mutual negotiation
Designing learning plans	Learning contracts Learning projects Sequenced by readiness
Learning activities	Inquiry projects Independent study Experiential techniques
Evaluation	Learner-collected evidence validated by peers, facilitators, and experts. Criterion referenced

Source: Developed from Knowles (1992, 1995) (Swanson & Holton, 2009, p. 206).

- ***Integrated System or Flexible Assumptions?***
  - Andragogy's power is its ability be applied in many situations
  - Flexibility of andragogy also opens it up to criticism
- ***The Andragogy in Practice Model***
  - 3 Dimensions
    - Goals and purposes for learning
    - Individual and situational differences

- Andragogy (core adult learning principles) (Swanson & Holton, 2009, p. 207)
  - Combines other influences with core adult learning principles
  - This model recognizes that all learners are different and learn differently as well as shows the learning transaction as a “multifaceted activity” (Swanson & Holton, 2009, p. 207).
  - Figure 9.6 on page 208 depicts the Andragogy in practice model
  - Outer Ring
    - Individual Growth
    - Institutional Growth
    - Societal Growth
  - Middle Ring
    - Subject-Matter Differences
      - Not all material can be taught or learned in the same method
    - Situational Differences
      - Different aspects that can arise in a given situation
      - Social, cultural, situation specific factors that can influence learning (Swanson & Holton, 2009, p. 210).
    - Individual Learner Differences
      - Connects adult education with psychology to develop understanding how effect of individual differences on adult education/learning.
- ***Applying the Andragogy in Practice Framework***
  - 3 part process to analyze adult learners put forth by Swanson and Holton (2009)
    - The core principles of andragogy provide a sound foundation for planning adult learning experiences. Without any other information, they reflect the sound approach to effect adult learning.
    - Analysis should be conducted to understand (a) the particular adult learners and their individual characteristics, (b) the characteristics of the subject matter, and (c) the characteristics of the particular situation in which adult learning is being used. Adjustments necessary to the core principles should be anticipated.
    - The goals and purposes for which the adult learning is conducted provide a frame that puts shape to the learning experience. They should be clearly identified and possible effects on adult learning defined (Swanson & Holton, 2009, p. 211).
  - Framework needs to be used “in advance to conduct...*andragogical learner analysis*” (Swanson & Holton, 2009, p. 211).
- **Experiential Learning Model**
  - Learning defined by Kolb as “process whereby knowledge is created through transformation of experience (p.38)” (Swanson & Holton, 2009, p. 211).
  - Kolb thinks of learning as content and experience’s interaction

- Teacher/Facilitator's job is to alter old experiences/ideas that may prevent the development of new ideas.
- 4 Steps in Experiential Learning Cycle
  - Concrete Experience
  - Observations and reflection
  - Formation of abstract concepts and generalizations
  - Testing implications of new concepts in new situations
- Kolb's model provided for
  - Theoretical basis for experiential learning research
  - Practical model for experiential learning practice (Swanson & Holton, 2009, p. 212).
  - Figure 9.7 on page 212 depicts Kolb's Experiential Learning Model
- HRD are now moving towards pushing experiential learning to improve performance
- Experiential learning also focused on to help effective transfer of learning
- Experiential learning is liked by adult learners and helps lead to effective transfer performance after trainings.
- **Informal and Incidental Workplace Learning**
  - Formal learning- classroom based learning, very structured
  - Informal learning- occurs in various situations, not usually in a classroom setting, less structure.
  - Incidental learning- offshoot of other activity or learning experience
  - Informal learning can intentional or incidental
  - Double loop learning- is the learning process that develops from challenging "tacit knowledge" that derives from "incidental learning" (Swanson & Holton, 2009, p. 214).
  - Watkins & Marsick: Learning is result of a triggering event or experience, contained within a person's work experience and individualized to that person.
  - Learning potential of workplace lies in its potential to encourage and motive learning
  - Figure 9.8 on page 214 shows the Functions of Schooling and Learning Settings.
- **Transformational Learning**
  - Rumelhart & Norman offer 3 different ways of learning relative to mental schema
    - Accretion
    - Tuning
      - Accretion and tuning- no change or slow change
    - Restructuring
      - Development of new schema
      - Hardest for adults
  - Argyris single and double loop learning
    - Single loop: learning that fits prior experiences and existing values, learner responds automatically

- Double loop: learners change mental schema in fundamental way (Swanson & Holton, 2009, p. 215).
  - Knowing in action- automated responses, allows us to efficiently perform daily actions
  - Reflecting in action- reflecting while acting, altering schema that no longer fit a situation
  - Mezirow's perspective transformation "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 more inclusive, discriminating, and integrative perspective; and finally making choices or otherwise acting upon these new understandings (p. 167)" (Swanson & Holton, 2009, p. 215).
- **LEARNING MODELS AT THE ORGANIZATION LEVEL**
  - Learning organization- set of strategies/methods that can lead to organizational learning
  - Organization learning- occurs at system level not the individual level.
    - Part of culture, systems, and procedures of an organization
  - **The Learning Organization Strategy**
    - No single definition
    - Senge (1990): "a place where people are continually discovering how they create their reality" (Swanson & Holton, 2009, p. 217)
    - Watkins & Marsick (1993): "one that learn continuously and transforms itself" (Swanson & Holton, 2009, p. 217)
    - Marquardt (1996): an organization which learns powerfully and collectively and is continually transforming itself to better collect, manage, and use knowledge for corporate success. It empowers people within and outside the company to learn as they work. Technology is utilized to optimize both learning and productivity" (Swanson & Holton, 2009, p. 217)
    - ***Senge's Learning Organization Theory***
      - 3 levels of work
        - 1<sup>st</sup> Level focuses on: development, production, marketing of product and services
        - 2<sup>nd</sup> Level focuses on: designing and development of systems and processes for production
        - 3<sup>rd</sup> Level focuses on: thinking and interacting, first two levels of work effect by 3<sup>rd</sup> level (Swanson & Holton, 2009, p. 217)
      - 5 core principles needed to be developed by organizations
        - Personal Mastery
        - Mental models
        - Shared vision
        - Team learning
        - Systems thinking



- Watkins & Marsick propose 6 imperatives form foundation for strategies to promote learning
      - Create continuous learning opportunities
      - Promote inquiry and dialogue
      - Encourage collaboration and team learning
      - Establish systems to capture and share learning
      - Empower people toward a collective vision
      - Connect the organization to its environment (Swanson & Holton, 2009, p. 218).
    - Marquardt combines 5 subsystems:
      - Organization
      - People
      - Knowledge
      - Technology
      - Learning (Swanson & Holton, 2009, p. 219).
    - Figure 9.9 on page 219 depicts Watkins & Marsick's Learning Organization Action Imperatives
  - **Learning Organization and Performance Outcomes**
    - Enhanced organizational performance is the goal of both learning systems and innovating systems
    - Innovation is influenced by
      - Culture
      - Climate
      - Leadership
      - Management practices
      - Dynamics of information processing
      - Organizational structure
      - Organizational systems
      - Environment
    - Model of learning organizations as a way to improve performance leads to the following:
      - Learning - in particular, improved learning at the team and organizational levels – leads to increased organization innovation.
      - The adoption of learning organizations strategies is appropriate for organizations in markets where innovation is a key performance driver.
      - Innovation in expected to result in improved performance outcomes, leading to competitive advantage for the organization (Swanson & Holton, 2009, p. 220).
    - Figure 9.10 on page 220 depicts the Learning Organization Performance Model.

## References

Swanson, R. A., & Holton, E. F. III (2009). *Foundations of Human Resource Development (2nd ed.)*. San Francisco: Berrett-Koehler.