Edited by
Mark Loon · Jim Stewart · Stefanos Nachmias

The Future of HRD, Volume II

Change, Disruption and Action

palgrave
macmillan

The Future of HRD, Volume II

"This outstanding and timely volume brings together a group of distinguished scholars and practitioners who make a provocative advance with their richly textured submissions that people in organisations and businesses matter. That investing in humans as a resource makes good business sense and results in an excellent return on investment. As the world recalibrates during and post Covid-19, the high-quality scholarly submissions in this volume provide institutions and organisations with workable and pragmatic guidance on how to develop this resource. The volume offers easy and accessible ideas to help shape innovative thinking in human resource development, which keeps pace with new developments in how learning happens in organisations and businesses-small and large. Volume 2 is timely and a compelling read which gives us grounds to imagine that a better world is possible. This volume should be mandatory reading for anyone with a stake in human resource development in the New Normal a world post-Covid-19. It provides a productive and doable map into the future of human resource development. Chapter-by-chapter Volume 2 builds the users confidence to unlock the possibilities for a sound, and productive approach to human resource development in a new world perhaps changed forever by a pandemic, worldwide protests for racial equality and social justice, and continuing concern for environmental degradation."

—Ruksana Osman, *Professor Deputy Vice-Chancellor, University of the Witwatersrand, Johannesburg, South Africa UNESCO Research Chair in Teacher Education for Diversity and Development*

Mark Loon • Jim Stewart
Stefanos Nachmias
Editors

The Future of HRD, Volume II

Change, Disruption and Action

palgrave
macmillan

Editors
Mark Loon
Bath Spa University
Bath, UK

Stefanos Nachmias
Nottingham Business School
Nottingham Trent University
Nottingham, UK

Jim Stewart
Liverpool Business School
Liverpool John Moores University
Liverpool, UK

ISBN 978-3-030-52458-6 ISBN 978-3-030-52459-3 (eBook)
https://doi.org/10.1007/978-3-030-52459-3

This Palgrave Macmillan imprint is published by the registered company Springer Nature Switzerland AG.
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

Preface

Change is occurring a lot more quickly and in ways we thought it would not have been possible. Never say never. Organisations are investing more in people so that they are more versatile, flexible and ambidextrous in dealing with what the future may throw at them, even unexpectedly. Of course, such trends are only good news for Human Resource Development (HRD). HRD practitioners and scholars have been arguing and demonstrating through evidence that people are the cornerstone of many organisations. Enhancing the effectiveness of HRD practices is a worthwhile investment.

Indeed, this view is echoed by many organisations around the world and one can see tangible progress made. For example, the International Organization for Standardization (ISO) established Technical Committee 260 (TC 260) to develop a series of international standards in practice of human resource management. TC 260 is growing every year with new standards developed and more in the pipeline. These standards are an important development because not only it provides workable and pragmatic guidance to organisations and practitioners but there is an implicit message that says treating people with respect and developing them to their full potential is pivotal and deserves more international attention and action.

An important development from ISO TC 260 is the development of a standard on human capital for external reporting. While this idea has been around for decades and there have many different variations of how such a report might look, the publication of this standard by ISO gives it the credence and global appeal that some of its peers may not have had. The significance of this standard is that it appeals to investors and shareholders. Demand and pressure from these stakeholders will not only add to the voice of practitioners and regulators for priority to be given to people, but it will ensure more transparency of how this happens and monitor material outcomes. Recently, the World Federation of People Management Associations and European Association for People Management have teamed up with the University Forum for Human Resource Development (UFHRD) to re-energise an international journal on HRD that provides an equal emphasis on works by practitioners and academics for scholarship and practice.

We are heading in the right direction.

This volume complements this positive progress as it serves as a checkpoint to take stock. The field of Human Resource Development is a broad field and is amenable to different lenses, for example, psychology or sociology, and methods, for example, from nomological to autoethnographic approaches. Given the breadth and depth of research, we asked ourselves what do we now know about HRD as a practice, what have researchers found that works and how do we make it work for the future? These questions have served to motivate this volume 'Future of HRD: Foresight from Insight'. Volume 2 offers a more practical assessment on how HRD can drive change, and even performance, at individual and organisational levels through the adoption of good practices. This volume offers the reader a crucial foresight on how HRD's response to current issues and whether modern organisations should make changes to the way learning is being developed in the workplace. Volume 2 is a highly reflective, critical and insightful assessment on the foundations of HRD in the workplace.

Bath, UK — Mark Loon
Liverpool, UK — Jim Stewart
Nottingham, UK — Stefanos Nachmias

Acknowledgements

The editors wish to thank all contributors for taking part in this book and sharing their personal stories, expertise and knowledge. We also wish to thank the team at Palgrave Macmillan for giving us the space to produce this new volume. The reviewers are also thanked for their feedback and comments on making this volume a good piece of reading. We would like to give our gratitude to colleagues for their encouragement throughout the journey of producing this book. Mark thanks Joanne Bridge-Loon for all her support. As always, Jim thanks Pat and Paul for all of their continuing support for yet another book project. Stefanos is really grateful to Lianne for her unconditional support in producing this book.

Contents

Notes on Contributors

Clare Allen is a lecturer at University of Northampton. Clare's research interests lie in coaching and professional practice and ethics. She has over 25 years' experience in corporate HR roles at senior and executive levels where she has contributed to business change and improvement through transformative approaches to people, performance and culture. She is a fellow of the Chartered Institute of Personnel and Development (CIPD) and a coach.

Antje Barabasch is professor and head research in the field of teaching and learning in vocational education and training and learning cultures and didactics at the Swiss Federal Institute for Vocational Education and Training (SFIVET). Her research is concerned with innovation in apprenticeships at Swiss enterprises, creativity support in VET, art-based research, comparative education and the integration of refugees into the labour market. From 2011 to 2015, she worked as an expert for VET at the European Centre for the Development of Vocational Education and Training (CEDEFOP), an agency of the European Commission based in Thessaloniki, Greece.

Andrea D. Ellinger recently retired as Professor of Human Resource Development in the Soules College of Business at The University of Texas at Tyler. She has received several teaching, research and service awards

during her career, including the Outstanding HRD Scholar Award for 2012 from the Academy of Human Resource Development. Andrea has an extensive publication record and has presented her research (including informal learning, organisational learning and learning organisations and coaching) regionally, nationally and internationally.

Silke Fischer is senior researcher at the Swiss Federal Institute for Vocational Education and Training. Previously, she was Lecturer for Didactics in Economics and Vocational Training at Zurich University for Teacher Education. She studied business education and pedagogy at University of Mannheim and was assistant to the Chair of Vocational Education and Training at University of Zurich where she completed her doctoral thesis in 2015. She has also taught Economics and English at several vocational schools in Germany and Switzerland. Her research interests include creativity (twenty-first-century skills), gamification and business didactics.

Robert G. Hamlin is emeritus and Chair of HRD, University of Wolverhampton. His main research interest focuses on perceived managerial and leadership effectiveness within public and private sector organisations within the UK and 17 other countries. Bob has authored/co-authored 52 peer-reviewed journal articles and contributed 32 chapters to various HRD-related books. He is author of *Universalistic Models of Managerial and Leadership Effectiveness* (2009) and lead co-editor of *Organisational Change and Development: A Reflective Guide for Managers, Trainers and Developers* (2001) and *Evidence-Based Initiatives for Organisational Change and Development* (2019).

Jenni Jones is associate professor at University of Wolverhampton Business School. Her research has been presented at national and international conferences and her most recent publication is as co-editor for *Evidence-Based Initiatives for Organisational Change and Development* (2019). Previously, she has worked in a variety of HRD leadership roles within both private and public sectors, and she leads a variety of external organisational change related projects within the police, the National Health Service (NHS), city councils and private organisations in the UK and beyond.

Anna Keller is junior researcher in the research field of learning cultures and instruction at the Swiss Federal Institute for Vocational Education and Training (SFIVET). She works on a project that is concerned with innovative learning cultures in Swiss enterprises and does research in didactics in the field of vocational education and training. She has completed her Masters of Science in Education at University of Bern in 2017 and is completing her PhD at the Institute of Education at University of Zurich.

Mark Loon is Deputy Pro-Vice Chancellor for Research and Enterprise at Bath Spa University, UK. He is a co-editor-in-chief of the *International Journal of Human Resource Development: Practice, Policy and Research* and vice-chair of the British Academy of Management, co-leading the Management Knowledge and Education Committee.

Sarah E. Minnis is assistant professor in the Master of Science in Human Resources programme at Western Carolina University. She has over 25 years of higher education administration, career advising and organisation development experience. Her areas of research interest are in military veterans' civilian reintegration, holistic organisational development and sustainable employment. Sarah holds a PhD in Human Resource Development from Texas A&M University, a master's degree in Student Affairs from Western Kentucky University and a Bachelor's degree in Psychology from Central Washington University.

Stefanos Nachmias is principal lecturer at Nottingham Business School, Nottingham Trent University, and is an academic member of the CIPD with research interests of employability and diversity issues especially in relation to the business case for diversity and diversity education. He is experienced in developing and running diversity awareness events and conducting research studies around the areas of diversity management, training and management awareness.

Zsolt Nemeskéri is Professor of Human Resource Development and Director of Institute at University of Pécs, Hungary. He also holds a full professorship at the Gál Ferenc University, Hungary. He is the author of more than 100 Hungarian and English language publications. As an HRD consultant he managed projects with McDonald's, AVON

Cosmetics, the Hungarian Post and Paks Nuclear Power Plant. His research presented in this book is supported by the European Union, co-financed by the European Social Fund in the framework of the Human Resource Development Operational Programme (HU).

Okey Okonkwo is Senior Lecturer in Human Resource Management (HRM) and Organisational Behaviour at Christ Church Business School in Canterbury Christ Church University. He holds a PhD in Management and an MA in HRM. His research interests relate generally to strategic issues in HRM and HRD. His areas of research include workplace/organisational learning, knowledge and innovation, and HRM's role in corporate sustainability. He is the director of the HRM programme at Christ Church Business School.

Duminda Rajasinghe is a Senior Lecturer in Human Resource Management (HRM) and Organisational Behaviour. He is an experienced academic with industry experience in HRM. He works at University of Northampton and has worked for both Salford and York Business Schools. Duminda's research interest lies in coaching, entrepreneurship, adult learning and leadership. He is a Fellow of the Higher Education Academy (FHEA) in the UK.

John J. Sherlock is a tenured professor at Western Carolina University. He has been on the faculty there since 2002 and serves as director of the university's online master's degree programme in human resources. He previously taught at University of Maryland and The George Washington University. He holds a doctorate in Human Resource Development from The George Washington University, his MBA from University of Maryland and a BSc in Public Administration from James Madison University.

Maria José Sousa is professor and a research fellow at ISCTE—University Institute of Lisbon. Her research interests are public policies, information science and innovation. She is a best-selling author in research methods, information and communications technology and people management fields and has co-authored over 80 articles and book chapters and has published in several scientific journals (e.g. *Journal of Business Research*, *Journal of Medical Systems*, *Information Systems Frontiers*,

European Planning Studies, *Systems Research and Behavioural Science* and *Future Generation Computer Systems*). She has organised international conferences and is the guest editor of several special issues from Springer and Elsevier.

Gábor Szécsi is a professor and Dean of the Faculty of Cultural Sciences, Education and Regional Development, University of Pécs; senior research fellow at the Institute of Philosophy, Hungarian Academy of Sciences; and a member of the European Academy of Sciences and Arts. He is a founding member of the Hungarian Communication Studies Association and is president of the Hungarian Applied Philosophical Association. He was a visiting professor in Austria and Finland. His main fields of research are the impact of communication technologies on organisations and new developments in adult education.

Antal Tibold is the Director Chief Physician of the Centre for Occupational Health and Hygiene and a deputy head of department at the School of Medicine, University of Pécs, Hungary. He is also a co-director of the Research Centre for Labour and Health Sciences multidisciplinary centre for excellence at University of Pécs. He is a member of the Council of the Professional College of Occupational Medicine and a member of the Board of the Hungarian Society of Occupational Health.

Eduardo Tomé works at Universidade Europeia in Lisbon, Portugal. He teaches at Masters and PhD level in the area of Management. He holds a PhD in Economics from University of Lisbon with a thesis on the European Social Fund. His main interest is human resource development, and he has also done work in other areas of intangible analysis namely knowledge management and intellectual capital. He has published 40 papers in peer-reviewed journals and has presented 80 papers at international conferences. He has organised 10 international conferences, among them UFHRD 2012 and UFHRD 2017.

Iván Zádori is associate professor and Vice Dean at the Faculty of Cultural Sciences, Education and Regional Development, University of Pécs. He has 18 years of experience in Higher Education (marketing, cultural marketing and management, cultural economics, non-profit organisations and non-profit economics, sustainability, sustainable devel-

opment). His research activities are focused on the development processes and sustainability challenges of islands and other continental areas from social, economic, ecological and cultural perspectives, as well as the learning aspects of sustainability and corporate social responsibility.

List of Figures

List of Tables

1

Introduction to the Volume: Future of Human Resource Development

Stefanos Nachmias and Mark Loon

1.1 Introduction

1.1.1 Background to the Volume

The purpose of this section is to introduce the reader to the main themes of the book. It seeks to outline the key context and concepts explored across the chapters and enables the reader to examine the importance of understanding future trends in human resource development (HRD) across the globe. The idea of producing this volume arose from the 20th University Forum for Human Resource Development conference, in Nottingham. Participants across the globe travelled to the city to advance

S. Nachmias (✉)
Nottingham Business School, Nottingham Trent University, Nottingham, UK
e-mail: stefanos.nachmias@ntu.ac.uk

M. Loon
Bath Spa University, Bath, UK
e-mail: m.loon@bathspa.ac.uk

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_1

HRD thinking and practices and, together, celebrate the achievement of the HRD community. This was a great platform to debate how organisations prepare themselves to address future HRD in establishing effective organisations. It was the beginning of this journey to produce a set of chapters that offer the reader insightful knowledge on how to address future challenges and opportunities. It is simply not enough to highlight the important role of academic debate in organisational development, but to produce resources that can have a meaningful impact upon organisational and individual thinking. It is essential to explore how HRD influences organisations and individuals from a multi-level perspective. This entails considering the effect of context, both internally and externally, as well as employee perceptions and understanding of HRD and what this means for learning, creativity and growth. Coronavirus disease of 2019 (Covid-19) reinforces this point and the needs for HRD to shape future practices including innovation, performance, flexibility, well-being and management behaviour. The scale of the change is extraordinary as the pandemic has drastically changed the way we work, communicate and socialise in just a few days. Therefore, this volume could not be more timely given the new realities that everyone is now facing. We need to rethink how we learn, how we implement learning activities, identify new methods of learning resources and, most importantly, how technology can change the way HRD is perceived by the academic and professional community.

At a personal level, we sometimes not only found it difficult to deal with the level of ignorance amongst individuals but, most importantly, to understand existing management perceptions in addressing organisational HRD needs. We believe that any attempt to fully utilise HRD principles requires sufficient knowledge (at both individual and organisational levels), effective leadership skills and appropriate assessment of the wider business environment. It is now the time to take effective actions in changing old-fashioned perceptions on learning and development and offer the space so that organisations can feel secure in making effective changes through evidence-based information. In an increasingly technology-driven business environment, significant changes are taking place which are challenging long-standing assumptions about the nature of work and the roles that humans will play in the workforce of the future

(Schwab 2016; Manyika 2017). The following section provides a further assessment of how HRD can respond to some of these challenges and changes in the future.

1.1.2 Status and Future of Human Resource Development

Over the last few decades, HRD professionals have been the cornerstone for organisational and individuals' development. Literature provides insightful assessment on the status of HRD in business. Short et al. (2009) argued that HRD is a 'weakened profession' (p. 421) due to the lack of necessary influence to change management practices. As MacKenzie et al. (2012) stated HRD failed to provide real change to organisations. Its origins in training and the close links to the fields of human resource management (HRM) and organisational development (OD) offers more ambiguity with the underpinning role of HRD in organisations' lives. Probably, this argument does not come as a surprise as we know that organisational realities offer little room to acknowledge the emerging nature of HRD to the success of any organisations. Since the late 1980s, McLagan (1983) and McGoldrick and Stewart (1996) have been highlighting the need to recognise the interrelatedness of the fields of HRD and the mutual maximisation of human resource potential in organisations. Nevertheless, we still fail to discuss criticisms about the applicability of HRD in modern organisations and whether the profession should be a distinctive part of the management debate. We know that HRD is the framework for helping employees develop their personal and organisational skills, knowledge and abilities. It can offer significant opportunities for individuals to encourage and continue to develop essential skills needed to remain competitive. However, the question is can we still afford to debate the nature and significance of HRD in modern organisations? Is there enough time to assess whether the development of skills and capabilities should be a core activity in organisational strategic planning? The answer might not be straightforward as the future looks less certain and clear; however, Covid-19 does not leave us with any room for discussion. Future change is inevitable. There is a profound

shift in organisational thinking as the effects of the virus on our society highlights that technologies such as artificial intelligence, robotics and the internet are the only way to provide a capable transformation for generations to come with less disruption, unpredictability and future surprises. Scholars have documented examples of technology's effects on how work is performed (Autor et al. 2003; Manyika et al. 2017), how new technologies are developed (Bergvall-Kåreborn and Howcroft 2013) and the rapidly changing skill requirements (Bell and Kozlowski 2002). In a recent article from Harvard Business Review (2019), Bersin and Zao-Saunder argued that opportunities for development have become the second most important factor in workplace happiness (after the nature of the work itself). Although most organisations might be reluctant to acknowledge its importance, identifying new skills and capabilities still remains a major business challenge. This means that HRD professionals should be responsible to embrace and lead organisational change and build individual capacity. It is the right time to change current trends on learning and invest more in changing skills requirements. The pandemic will 'force' organisations to reconsider their overall philosophy on learning, development and retention. After all, learning is a rising tide that lifts all boats (Bersin and Zao-Saunder 2019).

This volume offers some 'comfort' to those challenges as all chapters offer a critical assessment on some of the factors shaping the future of HRD. These include factors that drive change and shape the future of HRD including the effects of technology, economics and financial considerations, globalisation and the changing nature and organisation of work. Rapid and ongoing changes in the nature of work itself are changing the relationship between learning and work and making learning more integrated and connected than ever before. Covid-19 and changing demographics are simply a few factors for such a change. For example, the UK workforce has grown by 600,000 since 2010, with 60% of the growth from women entering the workforce. There are 16 million people in the UK aged 20–40 years and 17 million between 45 and 65 years. In 2000, 17 million people in the UK were aged 20–40 years and 14 million between 45 and 65 years (Department for Work and Retirement 2020). Such changes offer a unique opportunity to build robust work-centred learning programmes, helping people consume information and upgrade

their skills related to future jobs (Deloitte 2019). To achieve that, HR policies should be revisited to encourage a much more people-centred approach and focus less on matching supply and demand at the lowest cost resulting, for example, in low policies. There is a need to change management attitudes towards HRD and approach change as being evolutionary rather than revolutionary. This entails continuous, informal, social learning and requires HRD professionals to become competent in creating the conditions for this to occur. The skill of implementing HRD under times of extreme change might be the tool to overcome challenges regarding its status and, most importantly, to offer effective solutions in the future. Deloitte's (2020) future of HR in 2030 report suggests that there will be a better HRD skillset provision towards greater business understanding, change management, organisation development and use of new technologies. The report also emphasises that the skill of learning will become increasingly important and people will need to be helped to become even more effective at learning for themselves and with others.

1.2 Think and Act: Newbies, Covid-19 and Working from Home

There is no doubt that the Covid-19 virus left us with the challenge of making significant changes in our lives. The government's requirements to stop business activities and social interaction has shifted the debate on organisational life with the use of different terminologies (for most people) including virtual meetings, virtual desks, online software, e-learning and millions of videos on how to work from home. Professionals across all industries have ended up working from home (WFH) having to navigate themselves into complex software and activities. These are the so-called newbies as they have limited experience working from home and use technology as a main work activity. There is no doubt that this is probably the most intense period of their professional life as the change of pace is unprecedented. Those who have had a significant experience of remote working are now the experts in supporting organisational strategy on remote work. It is clear that the new reality puts the newbies in the

spotlight of the HRD policy development and organisations' response to online working practices. Working from Home is suddenly perceived as the norm rather than the privilege of few individuals. Those academic and professionals that, for years have been asking for more flexibility, the introduction of e-learning and less paperwork, should be celebrating. It is now a reality. Even the more sceptical or the so-called people in denial now find that WFH is not as challenging as they thought. Of course, we should not underestimate the psychological effects of remote working and the pressures for learning fast within just a few days. Nevertheless, most organisations' response to Covid-19 demonstrates that flexible, remote work can be achieved. Concerns about authority, lack of collaboration, socialisation and effectiveness of communication (Chen and Wu 2015) are seen as secondary issues putting pressure on HRD/HRM professionals to offer solutions to current learning gaps. What is now clear is that the newbies (either by choice or not) have been transformed into an inevitable force for organisational change. They are currently the leading force on organisational response to WFH reiterating the argument that it is now the right time for HRD to act as a strategic partner in supporting future organisational activities. We need to turn HRD, e-learning, distance learning, self-learning and online learning from being fashionable to normal, relevant and important dimensions for professional development. Uncertainty about the duration of social distancing, self-isolation and business operation restrictions offers a unique opportunity to think and reassess past practices. We need to make decisions on how skills will be utilised and whether current learning policies are in line with the new realities. There is a need for a lot of work, but, more work will eventually produce more balanced and well-structured organisations.

The above analysis shows that HRD as a profession has a great future. It is now the right time to re-recognise the value of learning in the workplace and challenge current assumptions that on-going, independent, social and informal learning is expensive and ineffective. A recent global event shows that HRD is a strategic tool adding value to organisations and addressing unexpected changes in working patterns. Learning is a skill and line managers should be able to develop appropriate activities to help the learning process. Of course, not everyone approaches learning from the same perspective; nevertheless, organisational learning could

offer the 'right' platform for effective change and future development. The Institute for Employment Studies (2008) highlights the need to start valuing learning (again) as generational values and employment practices are constantly changing. We know that the millennials approach work differently from baby boomers with organisations having to develop structures in addressing complex individual needs. In a knowledge society, where information and new communications technologies have profoundly changed organisational activities, HRD could be the 'Wisdom of Crowds' to enable leaders and managers approach to proactively respond to future challenges and opportunities. There is no doubt that the virtual world, social networks, e-learning and flexible employment will dominate future organisational strategic practices. Let's hope that HRD will be used as an effective tool to support changes.

1.2.1 Think and Act: Learning Is the 'Queen'

In the first scenario, HRD stills acts as an operational tool to simply address legal and administrative requirements. Lessons that we learn from Covid-19 would not generate any action and we would simply go back to normal life, 'this is how we use to do things around here'. The second scenario is for HRD to be partly used as a strategic dimension in order to support some organisational changes. This depends on the sector, management structure, leadership attitude and industry practices as well as on whether skills/knowledge could be identified in the labour market. Organisations that have been using HRD practices might advance them further; other organisations might start thinking to implement new forms of learning and development. The final scenario is that HRD is genuinely embraced as a driving factor in business success and individual fulfilment. HRD activities are not seen as purely remedial for fixing peoples' weaknesses but are regarded as an integral part of people's on-going growth and contribution. Regardless of the scenario, the impact of HRD on organisational performance has been clearly demonstrated so that the focus is no longer on whether development activities deliver a return on investment, but more on how to maximise the benefits of that investment. HRD could act as the 'Queen' on organisational future decisions

and offer new insights into how they can address key challenges in the future.

Therefore, it is clear that HRD has to make changes in response to current situations. As these factors drive change and shape the future, organisations, workplaces, communities, policy makers and global networks have a great opportunity to influence and transcend HRD. And, most importantly, HRD activities with impact and effectiveness. This volume offers some assessment on what the future might look like, emphasising the importance to transform work, organisations and the global economy. New technologies, innovative work activities and new skills requirements and demographic changes should be not seen as a barrier but as an opportunity for people to learn.

1.3 Aims and Objectives

The scope of volume 2 is to provide individuals, professionals and organisations with a collection of chapters that offers a more practical assessment on how HRD can drive change at individual and organisational levels through the adoption of various good practices. Organisations of all types and sizes have to engage in learning activities that satisfy current and future capability needs. HRD offers systematic and planned activities to provide individuals with the opportunity to learn necessary skills to meet job demands. Synchrony of practices at the individual and organisational levels is essential to ensure that HRD can shape future practices. The scope is to offer the reader a crucial foresight on how HRD responds to current issues and whether modern organisations should make changes to the way learning is being developed in the workplace. It offers a highly reflective, critical and insightful assessment on broad perspectives of the strategic nature of HRD in developing strategic and organisation-wide capabilities for future success.

This establishes a platform where international scholars can debate the role of HRD in creating the future dynamic workplace. Our scope is to provide a different framing and challenge the current status quo on HRD future practices. As the world of work grows ever more complex, diverse and ambiguous, there is a growing emphasis on how technology,

globalisation, changing workforce demographics and talent development can play a greater role in developing organisations for the future. In this context, HRD is a critical tool to address current complexity and offer solutions to organisational learning needs. This volume brings together a number of lead thinkers: academics, practitioners and consultants who are active in the debate about the future of HRD. They have been tasked with evaluating debate and assessing various angles and producing a number of case studies, new insights, innovative strategies and new thinking that capture the complexity of global practices. This is essential to support future changes on how leaders make HRD decisions, develop organisational capability and assess future talent opportunities.

The hope is that the book offers the reader a variety of useful and positive learning resources around the subject. There are many HRD books in the market; however, most of the publications focus on explaining academic debates rather than addressing the important question of how organisations survive and thrive in a volatile, uncertain, complex and ambiguous environment. This volume responds to the call on how learning can be used to address future needs. It captures the complex world of digitalisation and quality of work and offers the reader a blend of academic, practical and professional insights into the topic. It also provides organisations and professionals with opportunities to assess strong and explicit perspectives on practice implications and future changes that could be used to generate debates in a learning context. All contributors have been tasked to provide a number of practical, operational and strategic recommendations assessing current organisational realities.

1.4 Book Context

Regardless of the academic perspective, there is no doubt that policy makers, organisations and individuals need to gain a new insight into the future of HRD practice. We live in a highly uncertain and violent environment where organisations have been forced to change their practices. To achieve that, learning and development has been seen as the main tool to satisfy current changes and, most importantly, to support future strategic changes. There is no denying that everyone has been asked to use a

new software, watch a new webinar or even complete an online learning activity. This is actually the norm in an attempt to address the unprecedented effect of the pandemic to working practices. We also struggle to understand how to complete our tasks online and, above all, to assess what we should be doing to develop those online skills needed to satisfy organisational needs. This volume is very timely as Covid-19 will completely change the way we structure, manage and organise organisations in the future. Our hope is that the chapters in volume 2 can generate a positive action in enabling organisations and policy makers to change current practices and address future challenges. Building management commitment and accountability is key in any successful HRD policy implementation.

Reflecting the issues briefly outlined above, the book is structured into ten insightful chapters considering various aspects of HRD at organisational, individual and policymaking perspectives. Contributors have used a number of different tools to assess key issues through primary research, experiential assessment and case studies. Maintaining respondent confidentiality while protecting the identities of the individuals who participated in the book is critical. Hence we have used pseudonymous for any individual names across all chapters.

Chapter 1 provides an introductory assessment of the book's key dimensions and offers an insight into the key themes on the future of HRD. The chapter allows the reader to get an overview of the context and access the key objectives of the book.

Chapter 2 offers a critical assessment of Governance in Public Administration and presents a new HRD model as the nucleus of Governance. The scope is to explore which are the more relevant research concepts of the HRD Dimension of a Governance Model in Public Administration and evaluate which model of HRD Dimension of Governance best fits the Public Administration. The chapter offers vital information for policy, namely social and economic policies, that could be operationalised in social security measures, and training and development regulations. It offers the reader the opportunity to access a number of useful recommendations on how to promote the participation of the workers, and the delegation of responsibilities, in line with the New Public Management principles.

Chapter 3 addresses the overarching question of how creativity can be supported within Swiss apprenticeship training. It provides an assessment on the meaning and value of creative ideas and the role of apprenticeships in supporting creativity. The chapter provides an overview of relevant literature on creativity and its relevance in workforce preparation as well as presents two explorative case studies in the telecommunication and public transport industry in Switzerland, examples for shaping structural conditions in support of creative work.

Chapter 4 examines how self-directed learning effect absorptive capacity by assessing the role of affective trust in colleagues and human capital development climate. The chapter presents findings from 181 participants working in the creative industries sector to evaluate the effects of self-directed learning on absorptive capacity. It seeks to offer the reader an evaluation on how self-directed learning not only has a strong effect on the organisational capability but it also has an impact at the group-level dynamics involving trust and organisational-level climate of our sample of participants.

Chapter 5 presents and assesses the role of professional human resource development practitioners as 'organisational change consultants' in addition to their role as 'training consultants' and 'learning consultants'. It discusses the critical change agency role they can and should play in bringing about effective and beneficial organisational change and development in strategic partnership with line managers. The chapter offers the reader the opportunity to explore a compelling rationale for the adoption of evidence-based practice approaches for managing and/or facilitating organisational change and development initiatives. This is essential to support managers and HRD practitioners to lead and/or help facilitate more effective initiatives in the future.

Chapter 6 provides a critical assessment of coaching as a workplace learning and development tool. It highlights the current business demands for workplace creativity and continuous learning and development through the lens of coaching. It explores how coaching closely links with andragogy, reflective, social and transformative learning to emphasise potentials of coaching for workplace learning and development. It seeks to support organisations in fostering creativity in business organisations; more open, flexible and innovative ways of organisational learning should

be employed. A number of practical implications and future challenges on implementing coaching as a workplace learning technique are included in the chapter.

Chapter 7 offers the reader the opportunity to assess the challenges faced by the older labour force as it is becoming an increasingly important part of the human resource development processes. It seeks to explore the differences of the perception of workability among the employees drawing the main dimensions of future HRD practices through the assessment of global trends (including technological changes, robotisation and artificial intelligence). The Work Ability Index methodology has been used to develop a predictive tool and assess age management strategies in Hungary.

Chapter 8 aims to propose an organisational opportunity to disrupt the status quo of meeting bright line tests and move to developing a holistic, fluid expression of organisational ethics. It seeks to assess organisational ethics as the foundation of healthy and sustainable organisations by providing a number of practical recommendations on how to build strategic human resource development initiatives through organisational community development.

Chapter 9 opens up the debate on exploring the nature of interfirm alliances as hybrid organisations and the factors that determine interpartner learning and innovation in alliances with the aim of assessing the potential role of HRD in facilitating learning and innovation in strategic alliances. The chapter contributes to the development of essential knowledge needed by organisations to implement alliance learning/absorptive capacity through implementation of strategic HRD practices.

Chapter 10 focuses on assessing the evolution of theories and practices of human resource development within the University Forum for Human Resource Development conference community. This assessment offers the reader the opportunity to assess future trends in the field and highlights how theory has shaped academic and professional debate since 1999. The chapter provides useful direction on future practices, issues that need to be assessed and how the University Forum for Human Resource Development community can contribute to future debates.

References

Autor, D., Frank, L. and Murnane, R. 2003. The Skill Content of Recent Technological Change: An Empirical Exploration. *The Quarterly Journal of Economics*, 118(4), pp. 1279–1333.

Bell, B.S. and Kozlowski, S.W.J. 2002. *A typology of virtual teams: Implications for effective leadership* http://digitalcommons.ilr.cornell.edu/hrpubs/8/ (Accessed on 12 April 2020).

Bergvall-Kåreborn, B. and Howcroft, D. 2013. The future's bright, the future's mobile': A study of Apple and Google mobile application developers. *Work, Employment and Society,* 27(6), pp. 964–981.

Bersin, J. and Zao-Saunder, M. 2019. *Learning is a rising tide that lifts all boats*. https://hbr.org/2019/02/making-learning-a-part-of-everyday-work (Accessed on 12 April 2020).

Chen, C. and Wu, C. 2015. Effects of different video lecture types on sustained attention, emotion, cognitive load, and learning performance. *Computers and Education*, 80(1), pp. 108–121.

Deloitte, 2019. *Learning in the flow of life 2019. Global Human Capital Trends*. https://www2.deloitte.com/us/en/insights/focus/human-capital-trends/2019/reskilling-upskilling-the-future-of-learning-and-development.html (Accessed on 12 April 2020).

Deloitte, 2020. *The future of Human Resources: A glimpse into the future*. https://www2.deloitte.com/content/dam/Deloitte/de/Documents/strategy/Future-of-Human-Resources-2030-Deloitte-Glimpse-Paper.PDF (Accessed on 12 April 2020).

Department for Work and Retirement, 2020. *Future of work*. https://www.gov.uk/government/organisations/department-for-work-pensions (Accessed on 12 April 2020).

Institute for Employment Studies, 2008. *Learning and Development 2020. Exploring the future of workplace learning*. https://www.employment-studies.co.uk/system/files/resources/files/TJ2020.pdf (Accessed on 12 April 2020).

MacLeod, D. and Clarke, N. 2009. *Engaging for success: enhancing performance through employee engagement, a report to the government*. London: Department of Business, Innovation and Skills, Crown Copyright.

Manyika, J. et al., 2017. *Harnessing automation for a future that works*. https://www.mckinsey.com/featured-insights/digital-disruption/harnessing-automation-for-a-future-that-works (Accessed on 12 April 2020).

Manyika, J. 2017. *Technology, jobs and the future of work*. San Francisco, CA: McKinsey Global Institute.

MacKenzie, C.A., Garavan, T.N. and Carbery, R. 2012. Through the looking glass: Challenges for human resource development (HRD) post the global financial crisis - Business as usual? *Human Resource Development International*, 15(1), pp.353–364.

McGoldrick, J. and Stewart, J. 1996. The HRM-HRD Nexus. *In Human Resource Development: Perspectives, Strategies and Practice*, Edited by Stewart, J. and McGoldrick, J., pp. 9–27, London: Pitman.

McLagan, P.A. and Bedrick, D. 1983. Models for excellence: The results of the ASTD training and development competency study. *Training and Development Journal*, 37(6), pp.10–20.

McLean, G.N. 1998. HRD: A three-legged stool, an octopus, or a centipede? *Human Resource Development International*, 1(4), pp. 291–294.

Schwab, K. 2016. *The fourth industrial revolution: What it means, how to respond*. Zurich, Switzerland: World Economic Forum.

Short, D., Keefer, J. and Stone, S.J. 2009. The link between research and practice: Experiences of HRD and other professions. *Advances in Developing Human Resources*, 11(4), pp. 420–437.

2

HRD as the Epicentre of Governance in Public Administration

Maria José Sousa

2.1 Introduction

This exploratory chapter aims to systematise the main theories about governance and how these theories influence the challenges faced by human resource development (HRD) in public administration (PA). Being responsive to globalisation; demographic, technological change; turbulent, competitive, and sophisticated markets, organisations have been continuously changing and public organisations have been trying to follow the management strategies and principles of private organisations. This chapter uses HRD as a lens in adopting a more comprehensive view of models of governance. The transformational process of public organisations from the conventional administrative role to an evolving strategic role has brought a new perspective of effectiveness and efficiency. This reorientation has contributed to the emergence of critical strategic planning and management of the public resources, including new

M. J. Sousa (✉)
ISCTE-Instituto Universitário de Lisboa, Lisbon, Portugal
e-mail: maria.jose.sousa@iscte-iul.pt

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_2

information systems (Hendrickson 2003) and the talents of the workers in the public sector. The integration of HRD in public organisations governance involves the managers responsible for human resources in the definition of the strategic plan and the implementation of the organisational mission, values, culture, strategy, and goals (Lengnick-Hall and Moritz 2003).

Although governance can be seen as a regime or constitutive rules that facilitate the understanding of collaboration in solving social problems, it can also lead to the assumption of the fundamental equality between the governed and their governors, and systems more participatory. The stewardship theory prevalence places the focus on the development of the workers as they are the ones who have the knowledge to fulfil the strategy and achieve the goals of the organisation. This is a new way of thinking in public administration and is in line with the new public management paradigm, where the future of PA relies on the vision of the government and on the scenarios that can be drawn to achieve more flexible, efficient, and quality in public services. This chapter is a foresight exercise in public administration and the outcomes of the work are to identify HRD practices that can contribute for a more strategic public sector. The innovation of the chapter is that it is framed by the stewardship theory principles. It focuses on the development of the workers and on their transformation as change agents of traditional public management models in more participative and innovative management models, linked with the goal to create and deliver public services to fulfil the needs, and to increase the quality of life, of the citizens. It seeks to help draw paths for organisations to define their future directions in terms of new human resource development practices, new work processes, and new skills evolution to contribute to new and better public services.

This chapter includes three case studies structured around the model created with the dimensions: policy, individuals' characteristics, organisational characteristics, and context characteristics. Case study one was performed in a public organisation that manages "Innovation in Government", the second case study was developed in "Government Financial Services" and the third case study was in a public organisation focused on "Digital Government". The exercise of application of the model has shown that it can contribute to highlight the flaws and the

potentialities of the organisation. It will contribute to public managers creating a more dynamic workplace, considering the diversity of the workforce, the potential for development and framing and challenging the current status quo of public organisations.

2.2 Governance Theoretical Framework

Corporate governance is how the company is controlled and directed, how all its processes and structures are outlined, and how the company is guided to the right position with the stakeholders' interests in mind. Different theories and methods frame the concept and it started with the agency theory introduced by Alchian and Demsetz (1972). This theory is used as a base for all other corporate governance models now in use and is focused on the economic relationship that arises between two individuals: the principal and the agent. There are three conditions to this relationship: (1) the agent has the freedom to choose between the various courses of actions; (2) the actions of agents influence their growth as well as principals'; and (3) it is difficult for the principal to observe the activities of the agent, as information is not enough. For instance, the supplier of finance needs a return on their investment, and the principal needs assurance that the agent does not use malpractices regarding that investment. In this context, the principal needs to control the agent. There are several problems with agency theory as control is dispersed and less effective, there is an unequal sharing of information, and the performance is judged based on an annual report as it is focused on quantitative and not qualitative aspects. To overcome the problems mentioned above, transparent accounting practices and disclosure are the main principles.

Agency theory is used to understand the relationships between agents and principals. A principal and the shareholders recruit and hire an agent, which can be a manager or a director who usually has more knowledge in a specific area to represent the interests of the company and develop services in the name of the principals. Companies nowadays are a complex chain of this principle—it can be called the agent relationship—and this relationship from agency theory is usually used for all the other governance theories.

This separation between principals and agents has created much discussion on how to align the interests of both parties to achieve the same goal effectively so that the company can work efficiently (Pande and Ansari 2014). The main problem of this theory is the conflict of interest between principals and agents because, given the opportunity to do so, agents will seek to maximise their utility at principals' expense (Davis et al. 1997).

The main reason for this is the lack of sharing of information on behalf of the agent, who usually knows the situation of the company better than the principal. Moreover, many times agents do not work with the best interest of principals in mind, only thinking about their self-interest instead. Davis et al. (1997) explain that "…given the choice between two alternatives, the rational agent or principal will choose the option that increases his or her utility", emphasising that agency theory is all about individualism.

In contrast is the *stewardship theory*. This theory still considers the principal-agent relationship but it operates in a non-individualism perspective (Donaldson and Davis 1991). Davis et al. (1997) explained, "stewardship theory was designed for researchers to examine situations in which executives as stewards are motivated to act in the best interests of their principals. In stewardship theory, the model of man is based on a steward whose behaviour is ordered such that pro-organisational, collectivistic behaviours have higher utility than individualistic, self-serving behaviours". The board of directors will maximise the company's performance to achieve the shareholders' goals. They are motivated by self-esteem and fulfilment in doing something right and fair for the company and the success it obtains other than personal wealth. According to Davis et al. (1997), "a steward protects and maximises shareholders' wealth through firm performance because, by so doing, the steward's utility functions are maximised", so even if their interests are not aligned, the agent will do everything in his power to maximise the company's performance. Another aspect that differs between both theories is how they see the employees. In agency theory, they know the employee as an economic being (Agyris 1973), their goal is only to do their work to achieve the maximum profit. On the other hand, stewardship theory is all about empowering the employees, offering them space to grow in the company and go after their own goals autonomously to bring shareholders the

expected or the maximised return on investment. This creates a trustworthy environment among employees and the board, motivating them to do their best job. What motivates them can also differ. According to agency theory, employees prefer rewards—tangible products, for example, a bonus in their salary or a weekend trip. On the other hand, stewards are motivated by achievements and opportunities to grow in the company, to have more responsibilities, therefore, intangible rewards.

The stakeholder theory is also an essential notion in the field of governance. The definition of a stakeholder is "those groups without whose support the organisation would cease to exist" and it could be internal or external groups that influence or are influenced by the company and its decisions. The shareholders of the company have, of course, the goal of making a profit, but not always for their benefit or as the primary objective. The managers and employees work to do their best for the company; they make the company's goals their own and are highly motivated by the overall success of the company and like to contribute as much as they can. As defined before by Davis et al. (1997), they work to protect the interest of the principal and to make a profit on their behalf. Employees can also express their opinion about some issues that are addressed, not being considered as economic beings as in agency theory; they can help the company become successful with contributions other than their task.

Dalton and Canella (2003) argued that the executives and directors prefer to operate to maximise the financial performance of the company to, consequently, maximise the return for the company and its shareholders. The Chief Executive Officer (CEO) is included in the board of directors, sometimes as the Chair, reducing the cost of the company from hiring another person to occupy the spot but also giving the CEO a more significant role in the company and ensuring better guarding of the shareholders' interests. According to Donaldson and Davis (1991), such an arrangement helps to enhance companies' return, although questions about governance itself and conflict of interest will arise.

Before the concept of *stakeholder theory* came into practice, organisations followed Milton Friedman's ideology of shareholder theory (1984). Friedman believed that the sole responsibility of business was to increase profits, regardless of the social responsibility the corporation might have. For Friedman, the shareholders were the only significant factor for the

continuation of the business; as such, he believed that the management should solely focus on maximising their value and any other course of action is wrong. Furthermore, Friedman thinks that practices of promoting the common good such as donations would be considered stealing as the profit belongs to its owners.

In 1984, Friedman wrote the book that would redefine corporate governance through what would be called the stakeholder theory. Friedman's aim with this theory was to have corporations go through a transformation and, as such, he came up with two fundamental principles to this theory.

- The corporation should be managed for the benefit of its stakeholders: its customers, suppliers, owners, employees, and local communities. The rights of these groups must be ensured and, further, the groups must participate, in some sense, in decisions that substantially affect their welfare.
- Management bears a fiduciary relationship to stakeholders and the corporation as an abstract entity. It must act in the interests of the stakeholders as their agents and it must act in the importance of the corporation to ensure the survival of the firm, safeguarding the long-term stakes of each group.

In other words, *stakeholder theory* believes that the company has a greater responsibility towards its stakeholders than the shareholders. To be able to make sense of this idea, this chapter defines what a stakeholder is; according to the business dictionary, a stakeholder is "a person, group or organisation that has interest or concern in an organisation". From this, it can be concluded that a stakeholder would be the employees, the customers, the suppliers, the creditors, the competitors and even, to an extent, the community (Table 2.1).

Comparative Table 2.2 analysed the three theories.

Analysing all the governance theories presented in this research, it is possible to identify a significant relationship between the stewardship theory and the principles of HRD as empowering the employees and focusing on their development is the main goal. Stewardship theory encourages interaction between public managers and the workers and promotes three effects: the workers can better share and understand

Table 2.1 Stakeholders

Shareholders	The owners/shareholders still hold the most critical position in the company, and therefore their needs must be fulfilled, and the company must create value for them.
Management	The role of managers is to keep the company together and to satisfy the wants of the shareholders; at the same time, they must obtain good evaluations from the board of directors.
Board of directors	The board of directors is there to make evaluations on the managers and their performance; this is done in many ways and not only on whether value is created for the shareholders or not.
Employees	An essential tool for the development of the company, employees, will be used to make the company grow. The company is supposed to care for the well-being of the employees; nevertheless, this is not frequently observed.
Customers	Customers are always crucial for a company. Only by having customers can the company generate value and continuously grow.
Creditors	Creditors are used to increase the funding of the company; they are often part of the board of directors due to having large sums of money invested in the company. Private company information can be provided to the creditors in a way to reduce the potential costs of loans.
Suppliers	Suppliers can bring many different types of resources, from raw materials to humans. The success of both the suppliers and the company can be tied together.
Community	In this theory, the community can be considered as secondary stakeholders. They can indirectly influence and be influenced by the company's actions but are not essential to its functioning. The actions of the community can severely damage or benefit the success of the company.

common goals, the individual tends to put first the common interest over the individual interest, and moral, ethical values gain expression in the behaviour of the group. In the context of the principles of governance, the role of the managers has a responsibility associated with ethical standards considering that they can create an environment with high levels of identification and commitment both between the managers and the workers and between them and the organisation. When managers assume the role of stewards, they become drivers of workers' development (the group as a whole and the organisation itself) creating higher levels of effectiveness within the organisation. Moreover, the analysis of the literature on governance allowed several research attributes to be identified;

Table 2.2 Comparison of governance theories

Agency theory	Stewardship theory	Stakeholders theory
The economic relationship that arises between two individuals: the principal and the agent Three conditions to operate a relationship: • The agent has the freedom to choose between the various courses of actions • Actions of agents influence their growth as well as the principals • It is challenging for the principal to observe the actions of the agent as information is not enough	Built on premise that directors will fulfil their duties towards the shareholders Assumes that all humans are good and directors are trustworthy Directors are stewards whose motives are aligned with the objectives of the principles. Directors take in to account the stakeholders but after the shareholders. Strengths • Trust is high, and stewards are motivated • New ideas and growth • More liberal and believes in empowerment Weaknesses • The causal relationship between governance and performance cannot be assessed using this theory	General acceptance that the government cannot manage all needs of society and companies and have to involve all the stakeholders Corporations have the following responsibility: economic, legal, and ethical. Be culturally sensitive to provide the right services. Discretionary actions include undertaking voluntary activities and expenses, keeping the greater good of society in mind.

these were divided into the following categories: individual values, organisational vectors, and mixed individual and organisational dimensions (Table 2.3).

2.3 HRD as a Dimension of Governance Systematic Literature Review

2.3.1 Methodological Approach

This review was performed following the guidelines provided by Okoli and Schabram (2010). The guideline identifies eight steps:

Table 2.3 Governance research attributes

Individual values	Organisational vectors	Mix individual and organisational dimensions
Honesty	CSR	Employability
Integrity	Sustainability	Continuous performance improvement
Respect	Governing	Smart governance
Trust	Corporate governance	Compliance of law
Accountability	Corruption risk	Shareholders
Justice	Committees	Stakeholders
Equity	Auditing	Legal
Transparency	Reporting and communication	Leadership
Excellence	Managers compensation plans	Culture
Ethics	Corporate policy on environmental protection	Quality

CSR - Corporate Social Responsibility

1. Identifying the purpose and the research questions of the review. This step is necessary for the systematic review to be explicit to the readers. Well-formulated research questions can increase the efficiency of the systematic review and limit the time and cost of obtaining relevant articles.
2. Writing a detailed protocol for the review and training all reviewers on how to execute it. A protocol is a plan that details the specific steps and procedures to be followed in the review. This step is essential to ensure that the reviewers are completely clear about the detailed procedure to be followed.
3. Searching for relevant articles. Currently, electronic resources are the predominant source of literature searches. However, reviewers must understand the correct use of Boolean operators to search these databases effectively.
4. Screening articles for inclusion. In this step, the reviewers decide what articles should be considered for review and which ones should be eliminated. They also need to state what the practical reasons are for excluding each article.
5. Appraising the quality of the articles. In this step, the reviewers need to determine which articles are of sufficient quality to be included in the systematic review. This step serves two purposes. First, in systematic reviews where there is a minimum quality standard for inclusion,

the quality appraisal is employed to exclude articles that do not meet the reviewers' standard. Second, in all systematic reviews, there needs to be some sort of quality appraisal since the quality of the review depends to no small extent on the quality of the included articles.

6. Extracting data from articles. After identifying all the articles that will be included in the review, the reviewers need to extract the appropriate data from each article systematically. This data should serve as the raw material for the synthesis stage. The type of data to be extracted is determined based on the research questions established during the early stage of the review.
7. Analysing the extracted data. Also known as data synthesis, this step involves aggregating, organising, comparing, and discussing the facts extracted from the articles. The procedure involved in this step depends on whether the included articles are qualitative, quantitative, or mixed. Qualitative, quantitative, and mixed studies can be analysed qualitatively, whereas only quantitative studies can be analysed quantitatively.
8. Writing the systematic review. In this step, the standard principles of writing research articles should be followed. The review should be reported in sufficient detail so that its result can be independently reproduced.

2.3.2 Systematic Search

A systematic search of online Elsevier scientific databases was conducted at the beginning of December 2019. The search was made using several queries containing the keywords "HRD", "governance", and "public administration" the time criteria "2004–2019", the language "English" with "peer review" from "scientific reviews" and the results were 60 articles (Fig. 2.1). After exclusion of the articles which did not focus exclusively on public administration, 28 articles were listed.

Table 2.4 lists the number of articles by type of publications:

The year 2016 is the one with the most articles (five), followed by 2018 (four), as presented in Fig. 2.2.

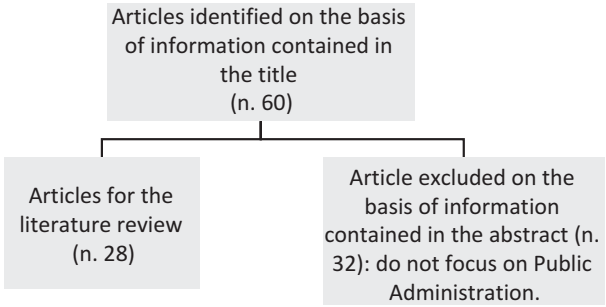

Fig. 2.1 Flowchart outlining the literature review

Table 2.4 Number of articles (*N*=28)

Article in a periodical	1
Book section	3
Conference proceedings	6
Journal article	17
Misc	1

Misc - miscellaneous

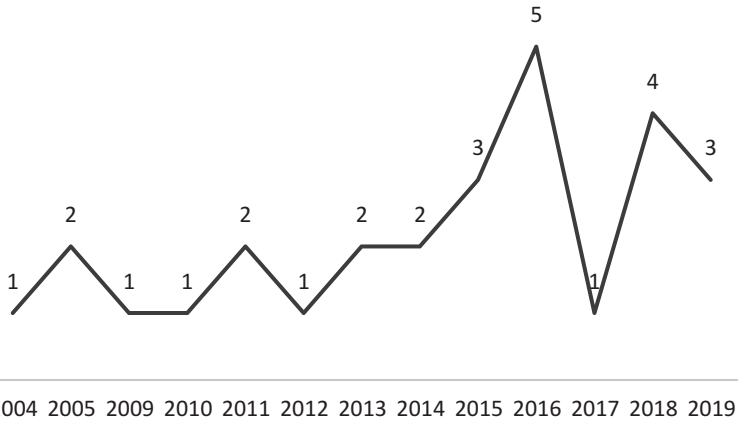

Fig. 2.2 Number of publications by year

2.3.3 Results of the Research

The analysis of the articles identified the principal concepts associated with governance and HRD in public administration studies to answer to the first Research Question (RQ1): which are the more relevant research concepts of the HRD dimension of a governance model in public administration? The main HRD research concepts identified in public administration studies were split into categories: policy, individuals' characteristics, organisational characteristics, and context characteristics (Table 2.5).

The HRD research concepts that emerged from the analysis of PA studies reflect the importance of this nuclear dimension of governance. Policy and context characteristics are the external and internal framework for the workers and the organisation, as the development of the workers is linked to the evolution of the external environment and have consequences in the management practices of the organisation pushing the emergence of new practices and new forms of relationships with the citizens. The research also identified the primary indicators used to measure the HRD dimension of the governance in public administration (Table 2.6).

All of these indicators reflect the importance of measuring HRD in public administration, and they give information to increase the efficacy of the decision-making process, but they are also determinants of the commitment to the objectives and the fulfilment of goals. They can also be a reflex of the intellectual stimulation, being based on the capabilities of workers, to either the decision-making process, innovation, or problem-solving process. The soft indicators reflect the emotional

Table 2.5 HRD research concepts in public administration studies

Policy	Individuals' characteristics	Organisational characteristics	Context characteristics
Economic and social development	Emotional and spiritual well-being	Work content	Competencies evolution
Political context	Competencies and knowledge	Working conditions	Dynamism and openness
Leadership	Attitudes and behaviours	Workforce planning	Technology
Culture	Vitality and health	Health management	

Table 2.6 HRD main indicators in public administration studies

Soft indicators	Hard indicators
Employee performance	Medical insurance
Compensation and rewards	Accident levels
Employee training	Payroll budget
Succession plans	Overtime pay
Team performance	Time management
Employee satisfaction	Employee absenteeism
Employee engagement	Recruitment analysis
Workforce planning (head counting)	Hiring metrics
Employee mobility	Travel management
Organisational climate	ROI (return on investment)
Induction	Organisational structures levels
Employee retention	Turnover
ROE (return on emotions)	
Employment sustainability	
Candidate success profiles	
Leadership gap	

bonding between managers and workers which encourages development through the delegation and development of the workers based on shared values and ideals, involvement in a shared vision, greater competence, and efficiency at work and individual and group. The hard indicators are focused on the reward contingent, related to the exchange of materials and/or emotional resources for results, and management can identify deviations from the target and have a role of monitoring and correction. In summary, the hard indicators are associated with goals to reward and/or punish, while the soft indicators support the vision, aggregation, mobilisation, and expression of values of all the managers and workers.

2.4 Empirical Study on HRD Dimension of Governance in Public Administration

2.4.1 Methods and Materials

The empirical study included a multi-choice questionnaire using 35 experts on human resource development in public administration to help the model development.

2.4.2 Data Collected for the HRD Dimension of Governance in Public Administration Model Proposal

The theoretical contributions related to the HRD dimension of governance in public administration model are divided into three categories: conceptual, technical, and analytical (Table 2.7). The conceptual category is regarding the concepts included in the model. The technical validity outlines the pillars of the model. Finally, the analytical category describes the different indicators that can be used to implement the model.

Regarding the sample, Table 2.8 presents the distribution of expert participants according to their professional field.

The questionnaire contained both closed and open-ended questions which allowed quantitative analysis to be generated. It also gathered respondents' comments and suggestions to be analysed to design the model. According to the concepts, the resulting mean scores varied for human resources management skills between 2.02 and 4.85, as outlined in Table 2.9.

Regarding the pillars, there is a consensus on the importance of the proposal; policy and the individuals' characteristics were considered the most important. In respect to the concepts, the ones considered most important are technology, leadership, competencies and knowledge, emotional and spiritual well-being, competencies evolution, political context, dynamism and openness, work content, and workforce planning. Finally, regarding the indicators, the ones considered most important are employee performance, payroll budget, employee training, time management, team performance, employee satisfaction, employee

Table 2.7 Data collection issues

Data collection issues	Categories
Which pillars are the most relevant for the model?	Technical
Which are the concepts more relevant for the model?	Conceptual
Which are the indicators most relevant for the model?	Analytical

Table 2.8 Distribution of expert participants according to their professional field

Position	
Experts	9
Researchers	10
Institutional representative	11
Policymaker	5

Note: *N* = 35

Table 2.9 Validation of the model

Rank	Pillars, concepts, and indicators	Mean	SD
Pillars			
1	Policy	4.75	0.76
4	Individuals characteristics	4.50	0.57
3	Organisational characteristics	3.80	1.18
2	Contextual characteristics	3.10	1.25
Concepts			
1	Technology	4.85	1.16
2	Leadership	4.70	1.18
3	Competencies and knowledge	4.47	1.16
4	Emotional and spiritual well-being	4.21	1.18
5	Competencies evolution	4.20	1.16
6	Political context	4.15	1.22
7	Dynamism and openness	4.14	1.16
8	Work content	4.13	1.16
9	Workforce planning	4.10	0.89
10	Economic and social development	3.98	1.23
11	Health management	3.78	0.78
12	Working conditions	3.70	1.16
13	Culture	3.50	1.23
14	Attitudes and behaviours	3.19	1.16
15	Vitality and health	2.27	1.18
Indicators			
1	Employee performance	4.78	0.51
2	Payroll budget	4.67	0.95
3	Employee training	4.66	1.21
4	Time management	4.59	0.82
5	Team performance	4.55	1.11
6	Employee satisfaction	4.44	1.12
7	Employee absenteeism	4.33	1.45
8	Workforce planning (head counting)	4.22	1.25
9	Employee mobility	4.19	1.25
10	Organisational climate	4.17	1.01

(*continued*)

Table 2.9 (continued)

Rank	Pillars, concepts, and indicators	Mean	SD
11	Overtime pay	3.57	0.54
12	Employee retention	3.54	1.34
13	Hiring metrics	3.45	0.55
14	Organisational structures levels	3.37	0.72
15	Medical insurance	3.37	0.58
16	Turnover	3.31	1.09
17	Accident levels	3.22	1.14
18	Compensation and rewards	3.21	0.44
19	Leadership gap	3.11	0.77
20	Succession plans	3.07	1.19
21	Employee engagement	3.07	0.95
22	Candidate success profiles	2.45	0.88
23	Recruitment analysis	2.30	093
24	Employment sustainability	2.23	0.77
25	Travel management	2.22	0.78
26	ROI (return on investment)	2.12	0.76
27	ROE (return on emotions)	2.12	0.83
28	Induction	2.02	0.98

1 = not important; 2 = week importance; 3 = moderate importance; 4 = important; 5 = very important—Mean (1–5); (SD) = Standard Deviation

absenteeism, workforce planning (head counting), employee mobility, and organisational climate. However, as the public organisations are very different and have various purposes, the researcher suggests that all the indicators could be considered as they can be selected depending on the goals of the organisation.

2.5 Model Proposal for HRD Dimension of Governance in Public Administration

A model of the HRD dimension of governance in public administration is presented (Fig. 2.3). The model is focused on the sustainable employability on public administration considering the following pillars: (1) social and political characteristics; (2) organisational characteristics; (3) individuals' characteristics; and (4) contextual characteristics.

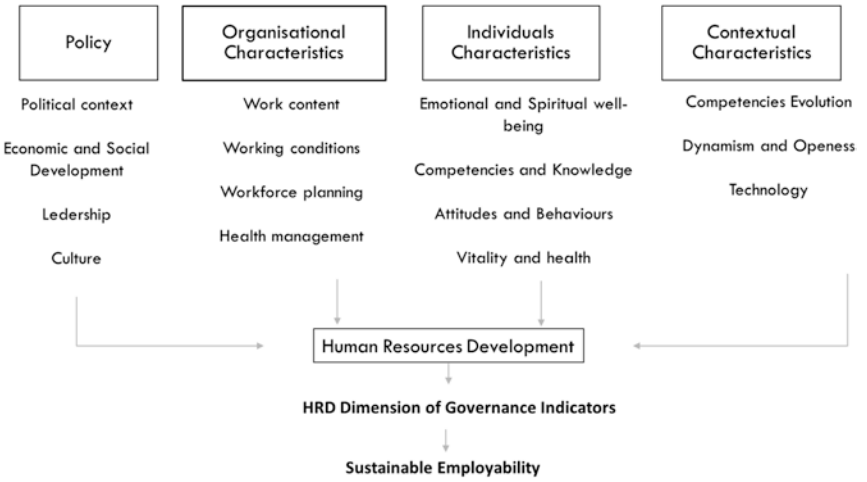

Fig. 2.3 Model proposal for HRD dimension of governance for public administration

This model appeals to organic, flexible structures, continuously adapting to new situations, in opposition to bureaucratic and centralised structures. In this paradigm, the organisations tend to be innovating and more receptive to changes. They implement new forms of organising work and present decentralised and participative models of decision, appealing to greater autonomy and responsibility by their collaborators. However, to achieve organisational development to this level, an investment must occur in the development of the worker's competencies. Work organisation, traditionally structured by multiple functional levels, has tended to change into a horizontal model where all the workers play a crucial role in decision-making and the organisation of the work. There is an orientation for the creation of workgroups and teams, instead of individual work, emerging a need for work co-ordination instead of a culture of control and centralisation of decisions. These changes imply that the teams need to possess the necessary competencies and information autonomy to respond to unpredictable disturbances resulting from the technological systems and of the context.

On the other hand, the work begins to be organised by the processes and not the jobs, implying not only teamwork but also, and most

importantly, the workers taking responsibility for the quality of the developed work and the achieved goals. These developments require competencies at the level of technical knowledge and especially at the level of relational and social knowledge (Tansley and Newell 2007).

Moreover, the indicators are a fundamental part of the model as they can give information for managers to make decisions about the retention and progress of employees and also provide more knowledge about job functions, positions, roles, and capabilities that are required to drive the business performance.

A model of indicators can help to continuously monitor organisational performance which can be compared to the strategic goals and objectives (Becker and Huselid 2006). The results are utilised to monitor, further analyse, and act to improve performance. The advanced analytics subsystem (Marler and Boudreau 2017) enables organisations to make informed decisions to align their goals and objectives, as well as programmes and budgets, to the performance indicators (Laursen and Thorlund 2010).

By empowering the organisation to develop effective strategies (Muryjas and Wawer 2014), providing access to a broad range of workforce-related data to support proper planning, facilitating simulated planning scenarios, and enabling continuous monitoring of actual performance (Gould-Williams 2003) relative to plan to achieve better strategic decisions, the organisations can adjust their goals and objectives, modify programmes, and re-allocate resources and funds. Performance measures, in essence, provide a feedback loop in the process of business performance management. Table 2.10 presents the research pillars, concepts, and indicators present in the literature and that can help to monitor the organisation's performance.

2.6 Discussion

The model conceived based on the theoretical and empirical study intents to potentiate the HRD strategy, HRD planning, and global HRD policy definition in public administration. Policies are general guidelines to follow for making decisions, taking action, and supporting strategic plans in every area of the organisation. The policies defined are implemented

Table 2.10 Research pillars, concepts, and indicators

Pillar	Concept	Indicators
Policy	Political context	Leadership gap
	Economic and social development	ROI (return on investment)
	Leadership	Organisational climate
	Culture	
Organisational characteristics	Work content	Payroll budget
	Workforce planning	Team performance
	Health management	Workforce planning (head counting)
	Working conditions	Overtime pay
		Employee retention
		Hiring metrics
		Organisational structures levels
		Turnover
		Compensation and rewards
		Succession plans
		Employee engagement
		Candidate success profiles
		Recruitment analysis
		Travel management
		Induction
Individual characteristics	Emotional and spiritual well-being	Medical insurance
		Accident levels
	Competencies and knowledge	ROE (return on emotions)
		Employee mobility
	Attitudes and behaviours	Employee satisfaction
	Vitality and health	Employee absenteeism
		Employee performance
		Employee training
		Time management
Contextual characteristics	Competencies evolution	Employment sustainability
	Dynamism and openness	
	Technology	

through the procedures and rules convert strategic plans into action through operating plans to meet the goals of the organisation, under the leadership of the public managers.

Usually, in public organisations, the predominant leadership style is autocratic and all decision-making powers are centralised by the leader. It allows quick decision-making as only one person decides for the whole

group and keeps each decision to himself until he feels it is needed to be shared with the rest of the group. This type of leadership is characterised by a high degree of dependency on the leader. However, other types of leaders began to emerge and the democratic leader is becoming more disseminate in public organisations. They favour decision-making by the team as co-operation and participation can be a trigger for sufficient motivation. There is also another type of leader that can be found in public organisations; the free-rein leader. This is a leader that does not lead but leaves the group entirely to itself; such a leader allows maximum freedom to the subordinates as they can decide their own policies and methods. This type of leader can be beneficial in organisations where creative ideas are essential, relying on teamwork and good interpersonal relations.

Workforce planning becomes more critical with the new public management theories and the focus is to do strategic management of the employees, allowing governments to align their workforce with their goals (OECD 2019). It enables governments to have the right number of people with the right skills in the right place. Implementing more scientific management translated in processes helps governments (OECD 2019) to increase efficiency, responsiveness, and quality in service delivery (i.e., governments use performance assessments, capacity reviews, and other tools to engage in and promote strategic workforce planning). A new culture for public administration was emerging based on communication and expressed on the mission and vision of the public organisations.

Regarding work content and conditions, organisations currently face an increasing complexity based on global increasing competition, budgetary constraints, and a significant technological change. These factors influence the work content and to overcome challenges they need to develop new policies, practices, and processes as the focus is not only efficiency but mainly to increase the value to the client—reflected on the improvement of service quality, reduction of the costs, or quicker product delivery or service accomplishment.

Influenced by these changes, the organisations have been experiencing structural changes implying the need to work collaboratively and in national and international networks, developing new types of

relationships in the workplace and influencing the work conditions as digitalisation has become the main factor of organisations transformation, requiring not only new competencies but new ways of communication and developing activities (Ulrich et al. 2009).

Concerning health management, organisations need to establish a positive health and safety culture which promotes employee involvement and commitment at all levels. The job factors directly influence employees' health and individual performance and the control of risks (Hoboken and Teng 2004). Tasks should be designed according to ergonomic principles to take account of the limitations of human performance—the concept of physical matching includes how the whole workplace and the working environment are designed.

Another aspect to consider is the personal factors/attributes which employees bring to their jobs. They include both physical attributes such as limitations arising from disability or illness and mental attributes, such as habits, attitudes, skills, and personality, which influence behaviour. Some characteristics, such as skills and attitudes, can be modified by training and experience; others, such as personality, are relatively permanent and cannot be modified within the work context. In addition, the mental matching involves taking into account the mismatches between job requirements and the individual's capabilities as it can increase the potential for human error.

Also, it is relevant to analyse the impact of adequate health and safety policies on business, promoting healthy lifestyles among the employees and implementing work-life balance practices (as telework and flexible work time) to increase the emotional and spiritual well-being. The ultimate goal of this model is to promote sustainable employability as it is essential for all organisations to develop their employees so that they have the skills to be more competitive and achieve long-term employability. Workers themselves seek to leverage their skills to have higher employability as well as a more exceptional ability to adapt to changing markets continually.

With regard to the outcomes of the model, it is possible to envisage that a number of better HRD practices need to become part of the PA global strategy, for example:

- Promoting leadership styles that are focused on development through delegation, enrichment of the jobs, giving more responsibility and autonomy.
- Developing new work practices that lead to learning and teamwork to better achieve the goals of the organisation.
- Promoting flexibility to work practices, considering the diversity of workers, equipment, and materials.
- Focusing on aspects like ethics, security, and healthy environments in terms of mental and physical dimensions.
- Considering practices framed by distributive justice-focused in equal treatment regarding minorities.
- Identifying skills to create the conditions to develop them in the workers and managers.
- Reward and recognise better performances and contributions to the goals of the organisations.
- Developing workers' engagement with PA to increase their ability to take the initiative and creatively participate in processes of innovation (through suggestions, opinions, and sharing of ideas).
- Developing new management models to achieve more efficiency and, at the same time, more workers' development.
- Defining processes to facilitate problem-solving situations for delivering better services to citizens.
- Creating new methodologies to facilitate social innovations development and implementation.
- Creating better channels of communication to facilitate the internal knowledge transfer between all the workers and also external channels to communicate with the citizens.
- Elaborating scenarios about potential future developments of PA.

Finally, following the model dimensions, several implications can be drawn for PA and for HRD professionals:

(a) *Policy*: focusing on the promotion of the economic and social development, framed by the political context (namely social and economic policies, operationalised in social security measures, but also taxes) and also be more focused on the internal dimension of the organisation, by the leadership of the managers, promoting more consistent

participation of the workers and the delegation of responsibilities. Also, the culture of PA organisations needs a more consistent change with new public management principles where the efficiency and efficacy assumed the most important goal.

(b) *Individuals characteristics*: in a world where changes are standard in the context of work and organisational practices, workers need to focus on their emotional and spiritual well-being as a necessary element to their professional development. Performing more diversified tasks, for example, participating in new/innovative projects, consequently leads to developing and integrating new skills. Their attitudes and behaviours need to follow the innovation processes and be open to new learning situations that can be an opportunity to be more autonomous and participate in decisions put their ideas into practice (as long as they are valid for organisational development) and also become responsible for their work and outcomes.

(c) *Organisational characteristics*: productivity and competitiveness of PA organisations to deliver better services to citizens with higher levels of quality. The implementation of organisational innovation/changes at various levels, and in particular, to the new forms of work organisation, leads to changes in work content (i.e., digital work) and working conditions (more flexible schedules, i.e., part-time schedules, hours bank, and others). Also, planning needs to become a more critical task, not only related to the activity plan of the organisation but also the definition of the workforce planning, in terms of both head counting and skills needed to accomplish the defined strategy. Another essential aspect that needs to assume greater importance is health management and the awareness to create healthy lifestyles in an organisational context.

(d) *Context characteristics*: the technological evolution, the change in competencies and skills and the dynamism and openness of the markets will lead to new possibilities for PA organisations to make the shift between a bureaucratic and autocratic style of management to a more goal-orientated style, with focus on the development of the workers and their engagement. The characteristics of the citizens are also changing, and their needs are accompanying those changes, becoming crucial in creating new, more digitised services with higher levels of quality.

2.7 Application of the Model

2.7.1 Case Study 1: Public Organisation A "Innovation in Government"

The case study presented here is regarding a public organisation that can be framed by the stakeholder theory as their activity is directed to the community, to the citizens. Public organisation A's shareholders are other organisations of the government. The principal shareholders are: (1) the managers that work collaboratively with the workers aligning the goals of the employees with the purposes of the organisation; (2) the board of directors who are members of the government and have the responsibility for defining the innovation policies and the HRD strategies; (3) customers/companies who apply for the funding for designing projects that have the goal to make advancements in knowledge; (4) the suppliers, companies that supply all the materials for the normal functioning of the organisation; (5) the community, the population of the country as they are responsible for the innovation funding projects at a national level.

Policy

Public organisation A has assumed an immense power in government as it is the leading organisation that manages all funding regarding innovation policies. To accomplish that goal, it has invested in recruiting workers with specific competencies of project management and emergent technologies. One of the main concerns is the quality of data as the analysis of policies depends on that data.

The organisation considers the four pillars of governance to frame the HRD policies. On the one hand, the accountability pillar works well following the code of conduct, implementing learning programmes and making all the workers accountable for their actions and performance. On the other hand, the independency pillar ensures that the workers will perform their duties in the best interest of the company and fulfil their

obligations, acting with proper business prudence and independently making their decisions as it impacts the life of the companies and the citizens. These decisions need to follow the principles of fairness and transparency with full disclosure of the information regarding the government funding programmes and the evaluation of the projects submitted by the companies and the citizens.

Young leaders characterise the leadership of the organisation with a vision of collaboration and to create a culture of knowledge-sharing and ensuring effective knowledge transitions. Finally, it is possible to highlight several management proposals to enhance an innovation culture in this organisation: (1) create an internal network of knowledge; (2) promote personal relationships between employees, partners, and citizens through events as conferences, but also using technologies like social networks; (3) create a set of policies that encourage, recognise, and reward innovative ideas from workers; and (4) promote decentralisation of decision-making.

Organisational Characteristics

Public organisation A has a very well established HRD strategy regarding work content and workforce planning. It has defined its HRD policies and is monitoring and promoting changes or additions to existing policies where necessary. It also reviews the staffing pattern annually and makes the necessary changes to workers allocation or recruits to new or previously unfilled positions when the business of the organisation increases. Moreover, it has defined recruitment, and retention strategies to hire and retain the best staff as government challenges are very complex and demanding. In addition, the company has mechanisms of control to monitor their activity and to ensure that the company meets all of its regulatory and statutory obligations concerning the employment of staff (i.e., occupational health and health and safety). These strategies aim to ensure effective employee engagement and with all staff receiving regular performance reviews, ensure that workers with the best performance are rewarded accordingly.

Individual Characteristics

The four pillars of governance also frame the individual characteristics of public workers: (1) accountability which ensures actions and decisions taken are subject to oversight, guaranteeing that government initiatives meet their stated objectives and respond to the needs of the community they benefit; (2) fairness which concerns treating all the stakeholders with equality; (3) transparency as the workers provide disclosure of their activities and operations; and (4) independence, a quality possessed by the workers acting for the public organisation and which is an essential component of their professionalism and professional behaviour.

Contextual Characteristics

Technologies support new forms of collaboration, organisation, and development of new solutions. On the other hand, rapid development has profoundly changed the competitive environment and reshaped traditional business strategies, models, and processes. Digital technologies have enabled the creation of new businesses and digital start-ups which incorporate those as a vital component of their business models and operations and require new competencies. Public organisation A uses technology to define new applications to manage the funding process, to analyse the projects, and to evaluate them. They also use technology to search for creative ideas and communicate and exchange information with their peers at an international level with the ultimate aim of participating in a global level in the definition of innovative public policies more open and collaborative.

2.7.2 Case Study 2: Public Organisation B "Digital Government"

The company that will be analysed in the second case study is public organisation B, a technological organisation that develops, supports, and sells applications to other public organisations and citizens, operationalising the Digital Government.

Policy

The governance pillars function as a guide for the organisation's policy definition: accountability, transparency, fairness, and independence. Accountability means that management is accountable to the board and, in turn, the board of directors is accountable to the shareholders. Transparency means that the corporation discloses accurate and timely information on all its issues. Fairness means that the corporation treats its stakeholders fairly regardless of ethnicity or social status and protects their rights. Independence means the corporation has procedures in place to avoid conflicts of interest and also to be able to have its employees grow and thrive in the company.

Organisational Characteristics

The organisational structure of public organisation B is a strong matrix, designed by projects and is framed in the stakeholder theory. The board of directors is elected by the government with two main objectives: to oversee company management and to ensure the shareholder (government) long-term investments are served. The board accomplishes these tasks through oversight, review, and counsel promoting business and organisational objectives. Working with other stakeholders, mainly management, the board develops both the company's mission and its long-term strategy. Furthermore, the board ensures that public organisation B follows responsible practices with integrity and accountability when developing Digital Services to the citizen.

Individuals' Characteristics

The workers follow the code of professional conduct and all workers must act with honesty and integrity, avoiding any conflicts of interest, and must provide accurate, complete, and objective information to all stakeholders. They must respect confidentiality obtained while working and not use information for personal advantage and should promote good

ethical behaviour both inside the company and in the community. All workers are responsible for their behaviour and must be an example for their peers and their community.

Contextual Characteristics

Technology is transforming organisations and mobile digital platforms are emerging, helping businesses to use "big data" through the growth of cloud computing. On the other hand, globalisation opportunities with the Internet are diverse and it has drastically reduced the costs of operating on a global scale and has increased foreign trade which presents both challenges and opportunities. The citizens and the organisation's needs are always changing and public organisation B has developed systems to fulfil those needs.

2.7.3 Case Study 3: Public Organisation C "Government Financial Services"

The third case study that will be analysed is public organisation C, a financial organisation that develops services related to taxes to serve citizens and the state.

Policy

Public organisation C is mandated by the government to administer the taxes, customs duties, and other taxes attributed to it, as well as to exercise control over the external border of the European Union and the national customs territory for tax, financial, and social protection purposes, following the policies defined by the government and European Union Law.

Organisational Characteristics

Public organisation C is bureaucratic and uses the hierarchical structure as the central control. It is framed in the agency theory, meaning that the principal is the main decision-maker and the agent follows the regulations. However, all of the members of the organisation are accountable for their actions and performance. The accountability process and authority is required to be impartial, with the primary goal of efficiency and adherence to the principles of transparency and independence. One of the central HRD related policies of this organisation is the evaluation of the performance of all the members of the organisation as it is essential to understand if they are fulfilling their functions and which aspects to improve.

Individuals' Characteristics

The key to the success of the organisation arises from SMART objectives (specific, measurable, attainable, relevant, and based on time) being set to assess later whether they have been met or not. The achievement of these goals is only possible after defining the behavioural and technical skills required for the development of the activities. The organisation, however, is focused on the worker's development as their competencies are fundamental to the mission of the organisation and to meet the goals defined by the government. Employees have individual development (from training, lectures, exchanges of information, and meetings).

Contextual Characteristics

Public organisation C represents the financial branch of the government, being subject to the international situation, for instance, and the economic crises that Europe has faced recently. In this respect, the organisation is focused on their risk plan that considers all the contextual

dimensions: social, technological, financial, environmental, procedural, political, reputation, and fraud risks (i.e., the globalisation, technological advances, and new competencies development) to have a prevention plan to mitigate the potential risks.

2.8 Limitations and Future Research

The main limitation of this study is the little literature existing about the HRD dimension of governance in public administration studies which gives a limited perspective of the current processes. For future research, it will be essential to develop a predictive model to forecast the workforce planning and study the possibility of using artificial intelligence for talent recruitment to improve the competencies in public administration and consequently improve the quality of public services.

2.9 Conclusion

The main findings of the research emerged in line with the literature review and demonstrated that it is very important to define and implement public governance models focused on HRD, which are critical for the future directions of the organisations.

HRD dimension of governance is the definition and implementation of good people-management practices through the application of ethical principles at the decision-making and compliance levels. It also contributes to the implementation of corporate social responsibility and the sustainable development of all stakeholders. HRD dimension of governance enables a paradigm shift in the way organisations seek to develop their internal stakeholders as part of a commitment to help them gain more knowledge and be more competitive in the markets And assume the utmost importance of the values that must be upheld during the decision-making process while safeguarding the principles of transparency, fairness, independence, and accountability.

The specific results indicate that the main research concepts regarding (1) individual values are honesty, integrity, respect, trust, accountability, justice, equity, transparency, excellence, and ethics; (2) organisational vectors are corporate social responsibility, sustainability, governing, corporate governance, corruption risk, committees, auditing, reporting and communication, managers' compensation plans, and corporate policy on environmental protection; (3) mixed individual and organisational dimensions are employability, continuous performance improvement, smart governance, compliance of law, shareholders, stakeholders, legal, leadership, culture, and quality. In this context, the main research goal was achieved, creating more knowledge about the research concept regarding the HRD dimension of governance in public organisations.

Findings from the empirical study, regarding the pillars, highlight that there is a consensus on the importance of the proposal with policy, and individuals' characteristics being considered the most important. In respect of the concepts, those considered most important are technology, leadership, competencies and knowledge, emotional and spiritual well-being, competencies evolution, political context, dynamism and openness, work content, and workforce planning. Finally, the indicators considered most important are employee performance, payroll budget, employee training, time management, team performance, employee satisfaction, employee absenteeism, workforce planning (head counting), employee mobility, and organisational climate. In this context, the main research goal was achieved, creating more knowledge about HRD dimension of governance and delivering a model proposal for its implementation in public administration.

The future of HRD in public administration can benefit from this research as it can give direction for a more participatory organisational culture, promoting creativity and innovation from a multi-level perspective, with transparency and recognition of that participation. The policy is an important dimension, especially for public administration. This is because in times of crisis, the learning, creativity, and growth dimensions are, normally, restraint but the response can be the implementation of

more innovative learning processes, without many costs. These costs are related to coaching from more experienced workers, knowledge exchange, and active learning processes associated with the job practice. It is also the digital revolution that is a major game changer and can be disruptive for HRD, with technology like artificial intelligence applied to the learning process—all of these initiatives can contribute to a more dynamic public administration.

References

Alchian, A. & Demsetz, H. 1972. Production, information costs, and economic organization. *American Economic Review*, 62, pp. 777–795.

Argyris, C. 1973. Organization Man: Rational and Self-actualizing. *Public Administration Review*, 33.

Becker, B.E. & Huselid, M.A. 2006. Strategic human resource management: Where do we go from here? *Journal of Management*, 32(6), pp. 898–925.

Daily, M., Dalton, R., & Cannella, A. 2003. Corporate governance: Decades of dialogue and data. *Academy of Management Review*, 28, pp. 371– 382.

Davis, J., Schoorman, F.D. & Donaldson, L. 1997. Toward a Stewardship theory of Management. *Academy of Management Review*, 22(1), pp. 20–47.

Donaldson, L., & Davis, J. H. 1991. Stewardship Theory or Agency Theory: CEO Governance and Shareholder Returns. *Australian Journal of Management*, 16(1), pp. 49–64.

Friedman, M. 1984. *Tyranny of the Status Quo*. New York: Harcourt Brace Jovanovich.

Gould-Williams, J. 2003. The importance of HR practices and workplace trust in achieving superior performance: a study of public-sector organisations. *International Journal of Human Resource Management,* 14(1), pp. 28–54.

Hendrickson, A.R. 2003. Human resource information systems: Backbone technology of contemporary human resources. *Journal of Labor Research*, 24(3), pp. 381–394.

Hoboken, Das T.K. & Teng, Bing S.H. 2004. The risk-based view of trust: A conceptual framework. *Journal of Business and Psychology*, 19(1), pp. 85–116.

Laursen, G.H.N. & Thorlund, J. 2010. *Business analytics for managers: Take business intelligence beyond reporting*. Hoboken, NJ and London: John Wiley and Sons.

Lengnick-Hall, M.L. & Moritz, S. 2003. The Impact of e-HR on Human Resource Management. *Journal of Labor Research*, 24(3), pp. 365–379.

Marler, J.H. & Boudreau, J.W. 2017. An evidence-based review of HR Analytics. *The International Journal of Human Resource Management*, 28(1), pp. 3–26.

Muryjas, P. & Wawer, M. 2014. Business Intelligence as a Support in Human Resources Strategies Realization in Contemporary Organisations. *Actual Problems of Economics*, 2(152), pp. 183–190.

OECD, 2019. *Government at a Glance 2019*. OECD Publishing, Paris

Okoli, C. & Schabram, K. 2010. *A Guide to Conducting a Systematic Literature Review of Information Systems Research*. https://ssrn.com/abstract=1954824 [Accessed on 10 January 2020].

Pande, S., & Ansari, V. A. 2014. A Theoretical Framework for Corporate Governance. *Indian Journal of Corporate Governance*, 7(1), pp. 56–72.

Tansley, C. & Newell, S. 2007. A Knowledge-based View of Agenda-formation in the Development of Human Resource Information Systems. *Management Learning*, 38(1), pp. 95–119.

Ulrich, D., Allen, J., Brockbank, W., Younger, J. & Nyman, M. 2009. *HR Transformation: Building human resources from the outside*. New York: McGraw-Hill.

3

Unleashing Creativity in the Workplace: Apprenticeships in the Swiss Telecommunication and Public Transportation Industry

Antje Barabasch, Anna Keller, and Silke Fischer

3.1 Introduction

Particularly relevant within vocational education and training (VET) in Switzerland is the acquisition of skills that support workers in seeking new solutions to workplace challenges, which means to think and act creatively. This new requirement is also reinforced by the development and introduction of new technologies which will replace workers in some fields and will require new jobs in others. Switzerland is considered a world innovation leader with about 90% of innovation taking place within the telecommunication industry.[1] Its research infrastructure and

[1] https://www.globalinnovationindex.org/gii-2019-report (21.11.19).

A. Barabasch (✉) • A. Keller • S. Fischer
Swiss Federal Institute for Vocational Education and Training, Zollikofen, Switzerland
e-mail: Antje.Barabasch@ehb.swiss; anna.keller@ehb.swiss; silke.fischer@ehb.swiss

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_3

strong apprenticeship system are guarantors for this success. In fact, more than 70% of each university apprenticeship cohort completes a VET programme at secondary II level (SERI 2019). Taking into consideration that many innovative ideas come from workers at the lower hierarchical levels within an enterprise, it signals that this level of education is highly valued in the country and supports innovation. Accordingly, VET is particularly challenged to support the development of creative thinking skills and action competence, abilities that can be expected to support individuals in managing their careers successfully and advancing professionally through their creative contributions at the workplace.

Therefore, creativity in many different occupations is today essential for economic success (Schuler and Görlich 2007). According to a study by International Business Machines Corporation (IBM) (2010) creativity is the most looked after competence in newly hired employees (Berman et al. 2010). 'Next to intuition and creativity also flexibility and openness towards new things will be decisive qualities desired among workers at the labour market, because this is what the human being differentiates from machines', says Hans Werner, Head of Human Resources (HR) Swisscom, the largest telecommunication provider in Switzerland (Deloitte 2017; also see Arnold et al. 2016). Research shows that working conditions that support creative work also favour pleasurable and independent work and lead to higher work satisfaction among employees (Caroff and Lubart 2012).

Richard Florida points out that 'Every human is creative. The biggest challenge for enterprises is to find ways to activate this creativity' (Akademie für Führungskräfte der Wirtschaft 2010). With the development of unique strategies, more effective and efficient processes as much as with innovative products, companies try to improve their competitiveness and be prepared for the future. Framing conditions, such as a demographic decline and competition for skilled and talented workers, the effects of digitalisation on job compositions, new demands for workplace conditions by generation Z and, of course, global competition are some of the major reasons for investing in the training of young people. Finding creative solutions leads to competitive advantages and are therefore a key to economic success (Caroff and Lubart 2012). Increasingly enterprises realise that creative workers, including apprentices, can contribute

significantly to the development of new products and processes and, as a result, to innovation. Therefore, employers are starting to reframe the concept of apprenticeship training by newly organising workplace conditions in ways that support the development of action competence and creative work.

'If Europe wants to maintain its innovative capacity, the creative potential of apprentices must be supported' (Lene Tanggaard Pedersen in her keynote at CREATIVET conference at the Swiss Federal Institute for Vocational Education and Training in March 2017; see https://www.sfivet.swiss/vet-congress-2017). This certainly is also applicable to Switzerland, a country that has been number one in the Global Innovation Index for eight years (Cornell University, INSEAD and World Intellectual Property Organization 2019). According to the study by Deloitte (2017), creativity is a future-orientated competence which will be relevant in the majority of occupations. Therefore, together with problem sensibility, the cognitive skills, such as deductive and inductive thinking, have become highly relevant facets of creativity which are in demand within the economy. Above and beyond that, generating lots of ideas as an expression of a creative mind is particularly looked after—an indication that the working world is becoming more complex and demanding.

Subject specific knowledge and skills are an essential foundation for competent work, as well as for acting creatively. Since the arrival of the discussion around the need for the development of twenty-first-century skills (e.g. critical thinking, creativity, collaboration and communication; see Chalkiadaki 2018) the importance of creativity has been increasingly recognised. None of the twenty-first-century skills exist independently; they are rather working with one another. Therefore, they all play an important role in the development of creativity (Lai et al. 2018; Lubart et al. 2013).

In Switzerland, where the majority of young adults are prepared for jobs by graduating from an apprenticeship in approximately 230 professions, creativity has become either explicitly or implicitly part of some framework curricula, such as information technology (IT) specialists, retail trade specialists and commercial specialists. The major part of the apprenticeship training takes place within enterprises. Here human resource departments govern the regulation and structuration of

workplace learning for apprentices. They ensure that each apprentice acquires the required competences for a chosen occupation. However, the framework conditions for learning and work are also embedded in an overall learning culture within the organisation, the specific structural conditions that have been created and the attitudes, beliefs and values of all stakeholders involved (Barabasch et al. 2019a, b). Research on creativity in professions and at workplaces is not only for economic, but also individual, benefits relevant and so it is for the further development of vocational education and training.

This leads to the question about what creativity means in the context of professional work and how creative work can contribute to innovation. Why is creativity needed in modern occupations? And how can the development of creativity be supported within apprenticeship training? To provide answers to these questions is the purpose of this chapter. It will address the overarching question of how creativity can be supported within Swiss apprenticeship training. Based on two explorative case studies of two large apprenticeship providers in different sectors in the country (Swisscom, Login), examples for shaping structural conditions in support of creative work will be outlined. Further, the chapter elaborates on the workplace experience of apprentices and on attitudes, beliefs and values towards creativity at work expressed by different stakeholders who are involved in apprenticeship training. The chapter finally draws conclusions for the management of human resource development in terms of how they can support learning in apprenticeships and unleash young peoples' creative potential in support of innovations at the workplace. This has direct implications for future strategies in human resource development within the Swiss industry in terms of unleashing workers' creativity and improving the quality of jobs.

3.2 Creativity in the Professions

Creativity is a very complex phenomenon and, thus, only vaguely defined (Schuler and Görlich 2007; Palmer 2015). In scientific literature, there is disagreement on the definition of creativity and there are different approaches towards describing and explaining it (Kelly and Kneipp

2009). According to Schuler and Görlich (2007), there are 'very few terms […] that exert such a strong effect as "creativity", and only a few are as fuzzy as this term' (p. 1). One of the most commonly used definitions is the one of Amabile (1996). According to her, creativity is 'the generation of novel and useful ideas in any domain' (p. 2). It is attributed to a certain output orientation since it is understood through the creation of results in the sense of new products (also see Dewett 2011; Gong et al. 2009; Madjar et al. 2017; Shalley et al. 2017; Unsworth et al. 2005; Zhou 2003; Zhou et al. 2012).

Oldham and Cummings (1996), on the other hand, broaden the understanding of Amabile (1983, 1996) by considering processes as well as new and useful ideas. 'Creativity refers to the development of novel, potentially useful ideas. Employee creativity refers to individuals' generation of novel and useful products, ideas and procedures' (p. 608). According to Oldham and Cummings (1996), an idea, a product or a process is new if either a combination of existing materials or the use of a completely new material takes place. Another frequently used definition of creativity comes from Lubart (1994) and refers to the creative potential as a latent ability to act creatively and to produce new, primal work that considers task bounds. Later Lubart et al. (2013) and Caroff and Lubart (2012) further differentiate creativity as consisting of cognitive facets, for example, divergent thinking, analytic thinking, mental flexibility, associative thinking and selective combination, as well as conative facets, for example, tolerance of ambiguity, risk taking, openness, intuitive thinking and motivation to create. Bast (2017) adds components such as coping with ambiguity and insecurity, imagination and association, intuition-based decision-making, questioning of existing structures, unconventionality and acknowledging different forms of communication. Further, skills to produce original work comprise suspending judgment, self-discipline, perseverance and nonconformity. In addition, eagerness to work diligently is considered to be an essential component of high levels of creativity.

Amabile (1983) advocated for the idea that there are not only a few people that have creative potential, which they can make use of in the creative professions, but instead that all workers can be more or less creative in their professions. This makes it challenging to define creativity as

a trait, skill or competence. For vocational education, Leone (2001) classifies creativity as problem-solving ability, which enables one to solve problems in new ways and to communicate this new solution successfully (Leutner et al. 2005) and an important precondition for the ability to innovate (Wulz and Luomi-Messerer 2014).

Sometimes the terms creativity and innovation are used interchangeably. However, they should be distinguished from each other. Innovation has been defined as 'the intentional introduction and application within a job, work-team, or organisation that are designed to benefit that job, work-team, or organisation' (West and Rickards 1999). West and Farr (1991, p. 16) understand innovation as 'the intentional introduction and application within a role, group, or organisation of ideas, processes, products or procedures, new to the relevant unit of adoption, designed to significantly benefit role performance, the group, the organisation or the wider society'. Innovation stands for new discoveries that create an economic benefit. Vice versa, innovation is goal-orientated and based on conscious innovative work.

Occupational action competence and subject specific knowledge within the occupations vary as much as the conditions for creative work. First results of an interview study about occupational specific creativity in selected professions show that the different facets of creativity are required to different extents (Barabasch and Fischer 2020). In Switzerland, creativity as a transversal competence is already either implicitly or explicitly embedded in some framework curricula. The interviews with experts focused on critical moments in ones' occupational life, in which creativity is essential. Although the occupations studied did not fall into the category of creative professions, the results show that various facets of creativity are relevant for the execution of professional tasks. Different cognitive and conative facets of creativity are significant for the occupations studied. For the hotel communication specialist, the creative facets divergent thinking, creative communication, mental flexibility and openness have been identified. The following factors were determined for the occupations of retail trade specialist and commercial specialist on the basis of the occupational situations described by the experts: divergent thinking, analytic thinking, associative thinking, selective combination and intuitive thinking. These results suggest that creativity in VET should

be promoted differently in different occupations, that is, according to the facets identified by experts.

The studies on creativity in the professions suggest the need to understand creativity and creative potential in a domain-specific perspective as differences emerge across the professional fields. Amabile inquired about creativity and innovation in organisations as well as about the connection between creativity and innovation (Amabile 1988; Amabile and Gryskiewicz 1989). Zhou and Shalley (2011) reviewed existing studies about cognitive, affective and motivational influences on creativity at the workplace. Sternberg and Williams (1996) are convinced that learners should first be helped to believe in their own capacity for creativity. Another essential aspect that encourages creative thinking is to broaden one's own perspective by seeing the world from the perspective of others (Sternberg and Williams 1996). The teaching of creativity also means teaching learners to take responsibility for success and failure (self-responsibility). This requires that learners '(1) understand their creative process, (2) criticise themselves and (3) take pride in their best creative work' (Sternberg and Williams 1998).

Plucker et al. (2004) extended this understanding by including the aspect of the social environment which stimulates creative work: 'Creativity is the interaction among aptitude, process and environment by which an individual or group produces a perceptible product that is both novel and useful as defined within a social context' (p. 90). This confirms the conditions for creativity, developed by Csikszentmihalyi (1997, p. 144), according to which creativity results from (1) individuals ability to create according to ones' talents, ambitions and personal traits, (2) a cultural specific performance domain and (3) a field or a group of persons or institutions, who are responsible for judging work in the context of a specific culture. Other environmental or external factors which have been researched in connection with creativity comprise the support of superiors (Kim et al. 2010), leadership styles, support of new ideas and innovations (Chang and Teng 2017; Dvir et al. 2017; Gong et al. 2009; Unsworth et al. 2005) and the influence of co-workers (Madjar et al. 2017; Woodman et al. 1993).

Not much is known yet about creativity development within professions for which an apprenticeship would be the entry point. Similar to

the notion of competence, the ways in which individuals action their potential depends on various contextual factors, including the required abilities related to each specific task. More knowledge is required in terms of what creativity means in the context of different professions or competence profiles, how the development of creativity can be supported and how creative potential can be unleashed at the workplace in support of innovations.

3.3 The Swiss Apprenticeship System

For the majority of learners, vocational education and training in Switzerland secures the adequate preparation for work. With about 70% of each cohort, Switzerland currently has the highest percentage of students in Europe enrolling in VET (Gonon 2007, p. 8). The dual training approach makes the enterprise the primary training place, where the apprentices spend about 3–4 days a week and 1–2 days they are at VET school. Therefore, workplace learning in the enterprise is the major socialisation context for the world of work and vital for individuals' learning pathways. The learning culture of an enterprise is a crucial factor for competence development (Barabasch et al. 2019a).

Apprentices, also called 'learners', start working at a host company in a chosen occupation between the ages of 15 and 17. They earn a salary that increases over time. Besides the training at the host company, they attend a vocational school for one to two days per week where vocational subjects and general education subjects are taught. Regular VET programmes take three or four years and lead to the Federal VET Diploma.

Typically, 'on the job' training takes place while productive work is carried out for an internal or external client. VET learners gradually work without supervision and are responsible for a part of the productive work, which can be highly demanding and complex. Some VET learners are already taking over a lot of responsibility (Hoffman and Schwartz 2015). The relevance of personal competences, such as creativity, taking initiative and working autonomously is increasing (Barabasch and Keller 2020). Regulation and control activities that originally were the responsibility of management are handed over to workers (Heinz 2009). VET

learners have to learn to reflect on why work processes are carried out in a particular way and have to find ways that they can be carried out more effectively (Billett 2001). Innovation-orientated enterprises do adapt their VET training according to these requests, for example, providing flexibility and individuality in workplace training, project-based learning or new forms of learning accompaniment. Overall, a reorganisation of VET can support the creative work of apprentices and enable a learning process by experimentation with one's skills in various work situations.

Although apprentices need to build up skills and competences, they are also a source of ideas that enterprises can build on when further developing their existing products or even working on radical innovations. Enterprises are increasingly discovering the creative potential of their staff and support new forms of collaboration that help to unleash this potential and lead to innovations. Curricula frameworks for vocational training programmes start to address creativity development as one competence development goal. While productivity and effectiveness are driving forces at the workplace, it helps apprentices to be provided with room to explore and play either at school or in a protected space at the workplace. Particularly supportive is the participation in teams that work creatively and develop innovations as much as the possibility to create individual projects with the provision of sufficient time and a realistic framework of expectations to realise them.

3.4 The Case Studies

Two case studies have been conducted between March 2018 and December 2019 that are placed within two different sectors: (1) Swisscom as a representation of the telecommunication industry, and (2) Login as a representation of the public transportation sector. The information and communication technology (ICT) sector in Switzerland has seen a steep increase in the number of employees. High innovation pressure in the telecommunication industry results in special demands and requests to have an internal development dynamic or ability to change (Krapf and Seufert 2017). Swisscom has about 960 apprentices in ten apprenticeships. About 50% of the apprentices receive a new contract with the

company after their apprenticeship, while the others seek new employment somewhere else. This is an intentional decision because talent development also requires a wealth of experience for which change is necessary. Overall, the competence requirements for employees in the telecommunication industry are higher than before and this has made it necessary to develop new job profiles (Aepli et al. 2017; Ben 2005; Limacher 2010). VET programmes in this sector, which are complex and intellectually demanding, comprise those in informatics and mediamatics.

The public transportation sector in Switzerland uses four (instead of the typical three) learning sites for apprenticeships (VET school, workplace, workshop centre and Login). Login offers a variety of workshops that apprentices attend throughout their apprenticeship. There are about 2100 apprentices who have apprenticeship contracts in one of 50 different enterprises, of which the Swiss Federal Railways (SFR, in German Schweizerische Bundesbahnen AG (SBB)) is the largest. Login recruits apprentices, pays salaries and facilitates an introductory week for new apprentices. The enterprise also trains workplace trainers of the different partner firms, evaluates training quality, offers case management if learners have problems and co-ordinates required professional help and engages in further development (modernisation) of the different occupations in the transportation sectors. Training companies comprise transportation companies operating on land, water and air. Digitalisation poses new challenges to the organisation of different professional trainings and may lead to a new organisation of professions (Schneider and Schellinger 2018). These need to be better at addressing new skills needs according to the various visions regarding the future of mobility that are currently developed, such as the creation of a 'multimodality' of different modes of transportation navigated by a comprehensive internet platform (Avenir mobilité 2019).

For the case studies, about 46 apprentices, 13 coaches, 4 employees closely working with apprentices and 24 managers at different levels at Swisscom, as well as at Login and Partners, were interviewed. In addition, four focus groups were held with six participants (apprentices) each. Fourteen working sites were visited, and individuals were interviewed and their work was observed. Among these sites were venues at which one could get to know new or very specific forms of training provision, such

as an introductory week or train stations, entirely run by apprentices, as well as projects where creative work was in the foreground, such as the Pirates Hub in Zurich. Another goal for visiting various sites was to gain insights into different training practices in the areas of the country speaking different languages (Romandie, Tessin and German speaking) and into a wide spectrum of different training places and training approaches.

The interviews have all been transcribed and coded; observations have been kept in observation notes, two logbooks and notes from project meetings. The data were analysed by content analysis after coding the transcripts from the interviews with the software MAXQDA. The data analysis of the transcripts, field notes and company documents was guided by content analysis (see Kuckartz 2016). This entails structuring the material in two dimensions: on the one side are cases, mainly individuals, who were interviewed, or groups of interviewees. On the other side are categories representing different research topics.

3.5 Structural Conditions in Support of Creativity

Although the public transportation sector and the telecommunication sector respond to different challenges, some of the new requirements for and approaches to apprenticeship training are also similar. In the telecommunication enterprise, there are a number of structural measures in place to facilitate particular creative work inside the company. While some of them are supporting flexibility, critical thinking skills or teamwork they are, at the same time, also supporting the development of creativity. It starts with the introduction of agile working methods, such as scrumming, which support teamwork in sprints, in which hierarchical structures are changing because team members can take over different roles (Barabasch et al. 2019a). Since apprentices work in changing teams according to the projects they chose, mostly over a period of six months, they have the opportunity for exposure to a large variety of work tasks and different colleagues in the enterprise across the different language regions in Switzerland (see Barabasch and Caldart 2019). In order to

orientate oneself and ensure that the learning progress exists according to the framework curricula of each apprenticeship, coaches advise apprentices in their choice of projects (Keller and Barabasch 2019). For particularly driven apprentices, it is possible to initiate ones' own project.

Similarly, in the public transportation sector, apprentices rotate between companies roughly every six months within their second and third year of their apprenticeship. An apprentice may work for one year at SBB, the main train operator in the country, then a logistic enterprise, a bus operator or ferry operator on one of the lakes or rivers, a local historic train company and eventually return to the host company where one started the journey. In this way, they familiarise themselves with different workplaces, work requirements, changing teams and tasks. Overall, the exposure to a large variety of experiences is a highly relevant precondition for building expertise and acting creatively. In situations where apprentices assume a lot of responsibility (such as managing an entire train station with mostly apprentices), finding creative solutions to arising problems is particularly important.

The innovation-expeditions at Login are a tool to enable apprentices from different partner firms to work on topical questions in the world of transportation, such as the establishment of new teaching and learning conditions or finding a recruitment strategy for new apprentices. Teams can consist of solely apprentices or a mix with experienced workers. Similarly, the tools for creative work, such as the kick box at Swisscom, are in place to collect ideas for new projects. Both enterprises are supportive of creative and entrepreneurial projects and provide funding for the further development of ideas. The overall message to apprentices is that one should and can realise one's own ideas. Creativity and critical thinking skills are also required when it comes to participatory decision-making processes. Apprentices can actively contribute to the improvement of their training through the apprentice-committee which represents all apprentices at Login and communicates with management and human resources.

Next to occupations such as IT specialist or media expert, other occupations, more specifically in the world of transport, also require high creative competences. For example, apprentices working in the rail service management (Zugverkehrsleitung) need to find solutions in case of

train delays or unforeseen situations and their consequential effects, which require problem-solving skills. Although acting creatively is not required to the same extent among the different occupations in the public transportation sector, there is the general attitude that apprentices can and should contribute to improvement in their daily work and speak up if they have good ideas. They are encouraged already in their first introductory week of their apprenticeship to contribute to the improvement of work processes and products. Workplace trainers are sensitised to the fact that apprentices need space to 'play' and try out different ways of doing something to find their own strategies. The provision of Junior Stations (train stations run by apprentices) and Junior Business Teams (teams working largely independently in different business units) especially enable apprentices to learn within holistic work situations and approach a variety of workplace challenges. Apprentices can learn how to lead an office, work with clients, plan work and personal resources and how to do accounting. Other apprentices plan activities for junior days when pupils come to SBB to be informed about the different apprenticeships. Workplace trainers are in the background and intervene, if needed, as a coach.

While the telecommunication sector is largely forced to follow international trends in terms of modern work organisation and also somewhat relies on the creative potential of the young generation, which encouraged structural measures to unleash this potential, the public transportation sector is a more traditional sector where change is largely related to digitalisation. In both cases, however, the expectation is that workplaces will disappear or are modified in the future and young adults need to be prepared to adjust easily to change. Job rotation, working in apprentice teams, increasingly taking over responsibilities, acting within diverse teams of colleagues or finding and realising solutions in a particular setting of time and place contribute to the development of creativity and creative work. Apprentices can already be initiators of innovations and develop early leadership skills, which entail creatively solving challenging situations in the team.

3.6 The Experience of Acting Creatively

This section will address three themes that emerged from the interview data: (1) understanding creativity in terms of structures and tasks, (2) motivation to think and act in new ways and (3) supporting and encouraging creative action through coaching. Perspectives of apprentices, their coaches and supervisors at work are addressed.

3.6.1 Understanding Creativity in Terms of Structures and Tasks

Depending on the apprenticeship training there can be a variety of tasks that are openly shaped and apprentices can realise their own ideas in pursuing them. Some of these tasks are obviously in the creative realm, such as filming, while others require problem-solving skills, for example, the development of new technical tools or solutions.

> *How we manage everything is up to us … and, creativity is surely also supported in the sense that we can chose our projects. There are some very creative projects, for example, when we as mediamatic apprentices are on the road with the film team. We produce films about products or locations and have a lot of freedom to realise them. We could also work as journalists later on.* (Apprentice, Swisscom)

Another participant said:

> *There is, for example, the problem in trains that there is this big handbrake wheel in the passenger coaches and sometimes people turn it on which grinds the brakes a little. The train driver only notices it three stations further and then a lot is broken. A project leader wanted to change that and invited two apprentices to develop a prototype of a lock. After a few modifications, they were allowed to build it. As trainers, we were very much in the background and the apprentices just explained every week what they were doing. We eventually built 2500 of these locks.* (Trainer, SBB)

Apprentices are involved in finding customised solutions for contractors. This involves drafting and planning, prototyping, testing, designing and shaping while considering aspects such as cost-effectiveness or environmental sustainability. The apprentices bring in their own ideas and learn through realising them.

> *I was able to work very creatively in my current project. I had a lot of freedom and it finally has been published. I had to design 'screens' via the myClouds App and check how this would look on TV. There are a number of restrictions, because of the rules one has to follow and also because of the 'Corporate Design', but you can nevertheless be creative in many ways*. (Apprentice, Swisscom)

Another participant further added:

> *When I gave training, a lot depended on my creativity, how I reached out to people. Sometimes I threw in something new and gave pilot trainings and, when you give such a pilot training, you have zero experience to fall back on. That means, you need to bring your content across quite creatively, so that people can benefit from it*. (Apprentice, Swisscom)

Overall, the structure of the apprenticeship training allows for some flexibility to take on individual projects and provides the time to experiment, which includes failure as much as exchange with others. In addition, particularly creative projects are possible when it comes to designing events, working with media equipment or finding new technical solutions.

3.6.2 Motivation to Think and Act in New Ways

Without the motivation to act creatively the transversal skill cannot be developed. In addition, it requires persistence, the will to prevail, the patience to cope with failure and curiosity, among others. While young adults are told about the possibilities to act creatively and bring in one's own ideas up to the moment where someone can implement them in individual projects, actually doing it requires courage and passion. Positive reinforcement by trainers and coaches and a perceived culture of trust are important preconditions for building up the motivation to create.

Creativity is not something that can be taught or that you can learn yourself but, instead, it is like an intrinsic attitude that needs to be in place. Am I ready to leave my comfort zone and try out something new? Work in new work environments every three or six months, take over new perspectives…? This allows the apprentices to connect things like in a cybernetic system. This means enabling innovation and creativity. (Coach, Swisscom)

Another participant said:

There is an event where the enterprise is presented and we conceptualise it. Here you can be extremely creative. But, there is no one coming to you and telling you: 'You are creative'. Instead, you have to show engagement and a strong will. (Apprentice, Swisscom)

Further to this, a project supervisor commented:

There are apprentices who are very proactive. They write their own projects. They have an idea what they want to do and they are just looking for someone to oversee the project. There was an IT expert apprentice last year who was totally dissatisfied with a tool to manage absences in the vocational school. He thought about a technical solution and came up with a plan of what a tool could look like. Then he just came to me to ask if I may take the 'lead' in terms of being his official supervisor on that! (Project Supervisor, Swisscom)

These quotes indicate that those in charge of the training have a strong inclination towards supporting individual creativity with the potential to work on or towards innovations. While the attitude is largely intrinsic, it is also supported by HR communication and already plays a role in the recruitment of new apprentices, where their attitude towards challenging work in changing environment is already inquired.

3.6.3 Supporting and Encouraging Creative Action Through Coaching

What used to be a relationship between the trainer, who knows where and how to learn, and an apprentice, who follows along, has shifted into

an advisory relationship. It is envisioned and, to some extent, it is already common practice that the apprentices approach their trainers or coaches when seeking advice instead of the coaches following up on apprentices. The principle idea is that early on apprentices start to work autonomously and independently which has proven to support a more rapid learning curve. However, due to lack of experience, easy and regular access to trainers and their coaching is an important precondition for reflection on experience and seeking feedback or advice.

> *That they have the courage to try out something is sometimes easier and sometimes more difficult. It has a lot to do with passion because if a person wants to ponder things and search for and try out new things … the environment alone, even if it indicates that creativity is desired, does not mean that creativity is unleashed. That requires a lot of work and coaching and motivation, because apprentices have not much experience*. (Coach, Swisscom)

Another participant argued:

> *In the framework of innovation, projects apprentices can test new solutions for our customers. It is a win-win situation … The idea behind it is that apprentices bring in their own perspectives when developing these projects and they work quite autonomously on their solutions with, of course, the support of trainers who work increasingly as coaches on their side*. (Coach, Swisscom)

Further to this, there was an additional comment:

> *They do not come and ask you how you like something or if you have a good idea but, as an apprentice you can almost always bring in your ideas. There are many apprentices who started their own project. Moreover, your opinion is taken into account, they are not downplayed. You are treated respectfully*. (Apprentice, Swisscom)

3.7 Conclusions for HRD

Current challenges, such as digitalisation and industry 4.0, are making creativity increasingly important in VET and it is already regarded today as an 'indispensable prerequisite' for innovation (Schubert 2009, p. 1). Consequently, the promotion of creativity should take place in VET at all sites of learning, for example, school, company and inter-company classes in Switzerland. The Danish creativity researcher Tanggaard (2017) concludes that 'the creative potential of trainees must be encouraged' if Europe is to maintain its innovative performance potential.

Creativity is an important twenty-first-century skill and an indispensable requirement for numerous professional tasks and positions. Swiss enterprises have, to different extents depending on their sector-specific circumstances, the professions for which they train and their companies learning culture, installed measures and structures in support of creativity development. The creative potential of young adults is desired and used in, for example, product development, process improvements or the design and implementation of events or particularly creative projects (such as producing a film or creating a recruitment event for new apprentices).

To participate in the creation of innovations is particularly motivating for the apprentices, but also requires drive and motivation from them. This motivation can only emerge and be nurtured if apprenticeship training is embedded in a culture of trust, respect, positive reinforcement and openness towards new ideas. If learners can follow up on their ideas when developing their own projects, it supports their identification with and commitment to work. The enthusiasm about working in real projects and taking over a lot of responsibility often creates high levels of motivation and an experience of 'flow'.

An orientation towards innovation requires creativity and, therefore, structures and measures to support apprentices to leave their comfort zone and being open to a variety of new experiences and challenges. Overall, enabling creative work became an incremental aspect of new learning cultures. Although productivity and efficiency have first priority and apprentices are from early on involved in regular work, it supports

their learning if a safe space for learning by discovery and creatively experimenting with new approaches is provided. In this respect, working in teams becomes increasingly important because it can support creative work and action competence. Social connectedness is a central aspect in a modern learning culture. Since workers as much as apprentices are widely orientated towards their team, a functioning culture of trust is a central pillar for working creatively. This must be, and is, reinforced by workplace trainers who tend to trust apprentices in making informed decisions, finding solutions and managing challenging situations successfully.

Acting creatively is particularly relevant in communicating with customers, and also colleagues, in developing marketing tools or shaping workplaces and in sales more generally. Initiative-taking and planned action are demanded in this respect. A certain tolerance towards making mistakes helps apprentices to learn from challenging situations, especially when timely and constructive feedback is provided by workplace trainers. The latter are increasingly taking over the role of coaches and offer advice more than guidance so that apprentices experience the freedom to choose their learning pathways, steer their learning processes, to some extent autonomously and independently, and make informed decisions about the use of time and space. This learning helps them to navigate among people and tasks. Coaches support their self-reflective skills by encouraging them to talk about mistakes (and sometimes to make mistakes in order to be able to learn from them) as much as personal and professional challenges (Barabasch et al. 2020).

For human resource development (HRD), it is important to recognise that the potential for the development of young people or apprentices in terms of transversal skills is much higher than many HRD managers might expect. The success of various measures to support creativity skills in the workplace is based on the confidence of workplace trainers in the potential of young people entering the workplace, the belief that they can make meaningful contributions to innovations and being able to navigate their own learning pathways. Although the possibilities to change structural conditions of apprenticeship training, especially within medium and small enterprises, are limited, with a certain openness, flexibility and imagination many possibilities can be identified to support creativity

development throughout workplace learning. The preparation of the young generation for a job market, for which we largely cannot predict what kind of skills will be needed in the future, unleashing their creative potential and equipping them with the confidence to rely on it, may secure part of the preparation that is needed.

This chapter has provided information about the following aspects: (1) understanding the concept of creativity, (2) understanding how workplace learning in the form of apprenticeships is facilitated in Switzerland, (3) case study design in workplace learning research, (4) structures that support creativity development among apprentices within Swiss enterprises, (5) the individual experience, values, attitudes and beliefs among different stakeholders regarding creativity development in the workplace and (6) conclusions for HRD as to how creativity development can be supported in apprenticeship training.

While the chapter focuses on two specific work environments in two sectors (telecommunication and public transportation) it points to a number of relevant concepts that can be explored further, such as workplace learning in apprenticeship training, twenty-first-century skill development or transversal skill development, workplace socialisation, learning cultures in workplaces or innovation in apprenticeship training. Exemplary questions to be explored in this respect may include: (1) What specific structural components can be established within different sectors to support creative work and creativity development? What are sector-specific circumstances and requirements to take into consideration? (2) How can HRD support the development of self-organised and autonomous work and learning among apprentices? (3) Which competences and what kind of training are required for workplace trainers/coaches to work within new structures and with new learning goals?

References

Aepli, M., Angst, V., Iten, R., Kaiser, H., Lüthi, I. & Schweri, J. 2017, *Die Entwicklung der Kompetenzanforderungen auf dem Arbeitsmarkt im Zuge der Digitalisierung.* Bern: Staatssekretariat für Wirtschaft SECO.

Akademie für Führungskräfte der Wirtschaft, 2010.*Kreativität und Führung: Wunsch, Wirklichkeit oder Widerspruch? Befragung von 604 Führungskräften der Wirtschaft.* Akademie-Studie, No. 2010. Überlingen: Akademie für Führungskräfte der Wirtschaft.

Amabile, T.M. 1996. *Creativity and innovation in organisations*. Harvard Business School.

Amabile, T.M. 1988. A model of creativity and innovation in organisations. *Research in Organisational Behaviour,* 10(1), pp. 123–167.

Amabile, T.M. 1983. The social psychology of creativity. A componential conceptualization. *Journal of Personality and Social Psychology,* 45(2), pp. 357–376.

Amabile, T.M. & Gryskiewicz, N.D. 1989. The creative environment scales: work environment inventory. *Creativity Research Journal,* 2(4), pp. 231–253.

Arnold, D., Arntz, M., Gregory, T., Steffens, S. & Zierahn, U. 2016. *Herausforderungen der Digitalisierung für die Zukunft der Arbeits-welt. ZEW-policy brief 8*. http://ftp.zew.de/pub/zew-docs/policybrief/pb08-16.pdf (Accessed on 12 April 2020).

Avenir Mobilité. 2019. *Dialoganlass Multimodalität—Vision und Realität.* http://www.zukunft-mobilitaet.ch/veranstaltungen/vergangene-anlaesse/avenirmobilite/dialoganlass-multimodalitaet-vision-und-realitaet (Accessed on 12 April 2020).

Barabasch, A. & Caldart, D. (2019). Betriebliche Berufsbildung in der Schweiz. Auswirkungen einer innovativen Lernkultur auf die Kompetenzen von Lernenden. *Bildung und Beruf*, 2(5), 179–184.

Barabasch, A. & Fischer, S. 2020. Understanding creativity as an occupation specific competence. In *The next steps for apprenticeships,* Edited by OECD & Cedefop, New York.

Barabasch, A. & Keller, A. 2020, forthcoming. Kreativität und berufliche Handlungs-kompetenz. *SGAB Newsletter* 1.

Barabasch, A., Keller, A. & Caldart, D. 2019a. What can I do well already today? Competence development in innovative learning cultures. *JOVACET,* 2(2), pp. 1–23.

Barabasch, A., Keller, A. & Danko, J. 2019b Innovative Lernkultur in Unternehmen aus der Perspektive der Lernenden. In *Bildung Berufsbildung? Beiträge zur 6. Berufsbildungsforschungskonferenz (BBFK),* Edited by Gramlinger, F., Iller, C., Ostendorf, A., Schmid, K. & Tafner, G., pp. 229–240. Bielefeld: Bertelsmann Verlag.

Barabasch, A., Keller, A. & Marthaler, M. 2020. *Next Generation. Selbstgesteuert und projektbasiert lernen und arbeiten bei Swisscom.* Bern: hep Verlag.

Bast, G. 2017. Die Zukunft der Universität braucht einen Paradigmenwechsel". In *Zukunft und Aufgaben der Hochschulen. Digitalisierung—Internationalisierung—Differenzierung,* Edited by Rat für Forschung und Technologieentwicklung, Wien: LIT.

Ben, E.R. 2005. *Professionalisierung der Informatik: Chance für die Beteiligung von Frauen?* Wiesbaden: Deutscher Universitäts-Verlag.

Berman, S.J., Korsten, P. & Bell, R. 2010. *Rethinking the enterprise: insights from the world's leading CEO's*. Paperback.

Billett, S. 2001. Knowing in practice: Re-conceptualising vocational expertise. *Learning and Instruction,* 11(6), pp. 431–452.

Caroff, X. & Lubart, T.I. 2012. "Multidimensional approach to detecting creative potential in managers". *Creativity Research Journal 24*(1), pp. 13–20.

Chalkiadaki, A. 2018. A Systematic Literature Review of 21st Century Skills and Competencies in Primary Education. *International Journal of Instruction,* 11(3), pp. 1–16.

Chang, J.H. & Teng, C.C. 2017. Intrinsic or extrinsic motivations for hospitality employees' creativity: The moderating role of organisation-level regulatory focus. *International Journal of Hospitality Management,* 60, pp. 133–141.

Cornell University, INSEAD, and World Intellectual Property Organization (WIPO). 2019. *The Global Innovation Index 2019: Creating Healthy Lives—The Future of Medical Innovation*. Ithaca, Fontainebleau, and Geneva.

Csikszentmihalyi, M. 1997. *Creativity: flow and the psychology of discovery and invention.* New York: Harper Collins.

Deloitte. 2017. *Schlüsselkompetenzen braucht es im digitalen Zeitalter? Auswirkungen der Automatisierung auf die Mitarbeiter, die Unternehmen und das Bildungssystem*. https://www2.deloitte.com/content/dam/Deloitte/ch/Documents/innovation/ch-de-innovation-automation-competencies.pdf (Accessed on 12 April 2020).

Dewett, T. 2011. Exploring the role of risk in employee creativity. *Creative Behavior,* 4(1), pp. 27–45.

Dvir, T., Eden, D., Avolio, B.J. & Shamir, B. 2017. Impact of transformational leadership on follower development and performance: A field experiment. *Academy of Management Journal*, 45(4), pp. 43–87.

Gong, Y., Huang, J.C., & Farh, J.L. 2009. Employee learning orientation, transformational leadership, and employee creativity: The mediating role of employee creative self-efficacy. *Academy of Management Journal,* 52(4), pp. 101–132.

Gonon, P. 2007. *Apprenticeship-model, Switzerland and European reforms in VET.* https://www.avetra.org.au/data/Conference_2007_pres./3._Philipp_Gonon.pdf (Accessed on 12 April 2020).

Heinz, W.R. 2009. Vocational identity and flexible work: A contradicting or constructive relation? In *Innovative apprenticeships: promoting successful school-to-work transition*, Edited by Rauner, F., Smith, E., Hauschildt, U. & Zelloth, H., Berlin: Lit Verlag Dr. W. Hopf.

Hoffman, N. & Schwartz, R. 2015. *Gold Standard: the Swiss vocational education and training system*. Washington, DC: National Centre on Education and the Economy.

IBM. 2010. *Working beyond borders*. https://www.ibm.com/downloads/cas/R6X1EXRA (Accessed on 12 April 2020).

Keller, A. & Barabasch, A. 2019. Flexibilität in der Ausbildungsgestaltung—ein Kernelement der innovativen Lernkultur bei Swisscom. *BWP,* 48(5), pp. 33–37.

Kelly, K.E. & Kneipp, L.B. 2009. Reading for pleasure and creativity among college students. *College Student Journal,* 43(4), pp. 1137–1144.

Kim, T.Y., Hon, A.H.Y. & Lee, D.R. 2010. Proactive personality and employee creativity: the effects of job creativity requirement and supervisor support for creativity. *Creativity Research Journal,* 22(1), pp. 98–121.

Krapf, J. & Seufert, S. 2017. Lernkulturentwicklung als Ansatz zur Steigerung der Agilität von Teams—Reflexion einer gestaltungsorientierten Forschung. *bwp Berufs- und Wirtschaftspädagogik—online 33*.

Kuckartz, U. 2016. *Qualitative Inhaltsanalyse—Methoden, Praxis, Computerunterstützung*. Weinheim, Germany: Beltz Juventa.

Lai, E.R., Yarbro, J., DiCerbo, K.E. & de Geest, E. 2018. *Skills for today: what we know about teaching and assessing creativity.* http://www.p21.org/storage/documents/Skills_For_Today_Series-Pearson/Creativity_White_Paper_FINAL.pdf (Accessed on 12 April 2020).

Leone, D. 2001. Die Förderung der Kreativität in der Berufsschule. *Zeitschrift für Berufs- und Wirtschaftspädagogik,* 97(3), pp. 375–403.

Leutner, D., Funke, J., Klieme, E. & Wirth, J. 2005. Problemlösefähigkeit als fächerübergreifende Kompetenz. In *Problemlösekompetenz von Schülerinnen und Schülern,* Edited by Klieme, E., Leutner, D. & Wirth, J., pp. 11–19, Dordrecht: Springer.

Limacher, J. 2010. *ICT-Berufsbildung Schweiz—Qualitative Berufsfeldanalyse. Schlussbericht*. Zürich: Frey Akademie AG.

Lubart, T.I. 1994. Creativity *In Handbook of perception and cognition: thinking and problem solving,* Edited by Sternberg, R., pp. 289–332. New York, NY: Academic Press.

Lubart, T.I., Zenasni, F. & Barbot, B. 2013. Creative potential and its measurement. *International Journal of Talent Development and Creativity, 1*(2), pp. 41–51.

Madjar, N., Oldham, G.R. & Pratt, M.G. 2017. There's no place like home? The contributions of work and nonwork creativity support to employees' creative performance. *Academy of Management Journal, 45*(4), pp. 21–65.

Oldham, G.R. & Cummings, A. 1996. Employee creativity. Personal and contextual factors at work. *Academy of Management Journal, 39*(3), pp. 607–634.

Palmer, C. 2015. *Berufsbezogene Kreativitätsdiagnostik: Entwicklung und Validierung eines Verfahrens zur Erfassung der personalen Voraussetzungen von Innovationen.* Hohenheim: Universität Hohenheim.

Plucker, J.A., Beghetto, R.A. & Dow, G.T. 2004. Why isn't creativity more important to educational psychologists? Potentials, pitfalls, and future directions in creativity research. *Educational Psychologist,* 39, pp. 83–96.

Schneider, I. & Schellinger, J. 2018. Zukunftsfähige Vertriebsorganisationen und -modelle für den persönlichen Vertrieb im öffentlichen Verkehr in der Schweiz. In *Strategische Organisation*, Edited by Tokarski, K., Schnellinger, J. & Berchtold, P., Wiesbaden: Springer Gabler.

Schubert, T. 2009. Kreativität und Innovationen. Schlüsselkompetenzen in der Wissensgesellschaft. *BWP,* 6, pp. 10–13.

Schuler, H. & Görlich, Y. 2007. *Kreativität: Ursachen, Messung, Förderung und Umsetzung in Innovation*. Hogrefe.

SERI (State Secretariat for Education Research and Innovation), 2019. *Vocational and professional education and training in Switzerland. Facts and figures 2019*. Bern: SERI.

Shalley, C.E., Gilson, L.L. & Blum, T.C. 2017. Matching creativity requirements and the work environment: effects on satisfaction and intentions to leave. *Academy of Management Journal,* 43(2), pp. 231–285.

Sternberg, R.J. & Williams, W.M. 1998. *Intelligence, instruction, and assessment: Theory into practice.* Lawrence Erlbaum Associates Publishers.

Sternberg, R.J. & Williams, W.M. 1996. *How to develop student creativity*. Alexandria, VA: Association for Supervision and Curriculum Development.

Tanggaard, L. 2017. *If Europe is to maintain its innovative capacity, the creative potential of trainees must be encouraged.* https://www.admin.ch/gov/de/start/

dokumentation/medienmitteilungen.msg-id-65990.html (Accessed on 12 April 2020).

Unsworth, K.L., Wall, T.D. & Carter, A. 2005. Creative requirement: a neglected construct in the study of employee creativity? *Group and Organization Management,* 30(5), pp. 541–560.

West, M.A. & Farr, J.L. 1991. *Innovation and creativity at work*. Chichester: Wiley.

West, M.A. & Rickards, T. 1999. Innovation". In *Encyclopaedia of creativity,* Edited by Runco, M. & Pritzker, S. (Vol. 2, pp. 35–43), San Diego, CA: Academic Press.

Woodman, R.W., Sawyer, J.E. & Griffin, R.W. 1993. Toward a theory of organisational creativity. *Academy of Management Journal,* 18(2), pp. 234–287.

Wulz, J. & Luomi-Messerer, K. 2014. Innovation in VET. *Cedefop's ReferNet Network*.

Zhou, J. 2003. When the presence of creative co-workers is related to creativity: role of supervisor close monitoring, developmental feedback, and creative personality. *Journal of Applied Psychology,* 88(3), pp. 413–422.

Zhou, J. & Shalley, C.E. 2011. Deepening our understanding of creativity in the workplace: A review of different approaches to creativity research". In *APA handbooks in psychology. APA handbook of industrial and organisational psychology,* Edited by Zedeck, S. (Vol. 1 Building and developing the organization, pp. 275–302), American Psychological Association.

Zhou, Q., Hirst, G. & Shipton, H. 2012. Promoting creativity at work: The role of problem-solving demand. *Applied Psychology: An International Review,* 61(1), pp. 56–80.

4

Self-Directed Learning and Absorptive Capacity: The Mediating Role of Trust and Human Capital

Mark Loon

4.1 Introduction

Andragogy tells us that adults learn best when they need to solve a problem or address a relatively immediate need (Knowles 1984; Loon 2016b), which serves as sources of motivation. Consequently, adult learners learn best when learning and development opportunities are shown to be relevant to them, be it their immediate jobs or for the future of their careers (e.g. Dediu et al. 2018). This is important as studies, such as those that relate to the self-determination theory (Ryan and Deci 2000), tell us that generally people want to develop and grow as this helps them to be independent and autonomous. Hence, people are generally motivated to learn (e.g. Loon and Casimir 2008) but organisations need to be clear with their employees as to 'why' and 'how' a learning and development opportunity is relevant them (Andre et al. 2019).

M. Loon (✉)
Bath Spa University, Bath, UK
e-mail: m.loon@bathspa.ac.uk

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_4

The 'affect' of learning is also helpful in understanding the notion of self-directed learning (Armstrong and Fukami 2010; Loon and Bell 2017). Self-directed learning occurs when individuals are proactive in seeking out opportunities to learn (Bloomer and Hodkinson 2000). They are autonomous in identifying and prioritising such learning opportunities. Self-directed learners may also be relatively proficient in reflection and self-improvement (Cho 2002; Vas et al. 2018). The implication of self-directed learning is immense as organisations shift their focus from developing training 'interventions' to enhancing an environment and culture of learning to develop strategic capabilities such as absorptive capacity (Naqshbandi and Tabche 2018; Yao and Chang 2017).

The purpose of this chapter is to gain a better understanding of how self-directed learning can improve the absorptive capacity of employees by examining the influence of two mediators, namely affective trust in colleagues and human capital development climate. A multi-source, three-step causal chain (sequential mediation) is proposed and tested on a sample of 181 employees in the creative industries sector in the UK. The findings show that the indirect effect of self-directed learning on absorptive capacity via the organisational climate of human capital development is not significant and that the indirect effect of self-directed learning on absorptive capacity via affective trust in colleagues is not significant. However, the indirect effect of self-directed learning on absorptive capacity via affective trust in colleagues followed by human capital development climate is significant. Furthermore, the direct effect of self-directed learning on absorptive capacity is greater than its total indirect effects via affective trust in colleagues and the human capital development climate. The findings indicate that self-directed learning not only has a strong impact on the job-related performance of the sample participants but also has a profound psychological impact on them. This finding highlights the need for organisations to design jobs that not only encourage individuals to be autonomous in their learning but also cultivate an organisational environment that facilitates self-directed learning.

Numerous studies over the last few decades have shown that self-directed learning is not merely a trend given the pervasiveness of on-demand learning platforms such as e-learning, but it is also a strategic approach to ensure that staff take ownership of their learning and are able

to help the organisation to react to, and even anticipate, the acquisition and application of new external knowledge within the firm (Forés and Camisón 2011; Bogers and Lhuillery 2011). Designing jobs and roles that encourage self-directed learning entails organisational-level elements such as leaders who provide psychological safety for staff to gain and experiment with new knowledge and an organisational climate that urges staff to seek, recognise, assimilate and apply new knowledge (Hjertø and Paulsen 2017). Furthermore, although several mediators of the individual-level learning-strategic capabilities relationship have been examined, whether affective trust in colleagues and organisational culture mediates the self-directed learning-absorptive capacity relationship has not been considered. Therefore, the learning outcomes of this chapter are:

1. To evaluate the relationship between self-directed learning and absorptive capacity, in particular how affective trust in colleagues and human capital development climate independently intervene the relationship between these two constructs.
2. To evaluate the collective role of affective trust in colleagues and human capital development climate on the relationship between self-directed learning and absorptive capacity.

4.2 Literature Review

Self-directed learning is usually conceptualised from a motivational perspective. Lounsbury et al. (2005) argue that self-directed learing is the '*inclination to learn new materials and find answers to questions on one's own rather than relying on a teacher; setting one's own learning goals; and initiating and following through on learning without being required to … or prompted to…*' (pp. 712–713). Bonk et al.'s (2015) views are consistent with the preceding definition as they argue that the intrinsic motivation is a strong indication of self-directed learners who are generally curious individuals and who have a strong internal need for self-improvement.

Cohen and Levinthal (1990), who are attributed as the originators of the concept of absorptive capacity, argue that absorptive capacity is an

organisational-level ability to identify and recognise the value of external knowledge, to assimilate it internally in the firm, and make use of it by commercially applying it. Since its introduction, the concept of absorptive capacity has attracted a lot of attention and scholars have explored the concept in many ways. Indeed Lane et al. (2006) argue that through the process of reification, the concept has been revisited and clarified. For example, from its initial three-stage process absorptive capacity is now more recognised as a four-stage process involving the capacity to acquire new external knowledge, assimilate the new knowledge and transform the knowledge within the firm to make it more applicable and to exploit the new knowledge through commercialisation (Flatten et al. 2011; Jiménez-Barrionuevo et al. 2011; Zahra and George 2002). Self-directed learning of employees collectively helps to shape a firm's absorptive capacity, especially as learning is essentially about acquiring, assimilating and transforming knowledge (Posen and Chen 2013).

Wang et al. (2018) found that motivations of individuals are key antecedents of a firm's absorptive capacity. They build on expectancy theory and equity theory, and argue that personal motivation and firms incentives coalesce to produce a powerful impact on a firm's absorptive capacity. Albort-Morant et al. (2018) found that individual learning and absorptive capacity interact to predict innovation. More specifically, they argue that relationship learning as an external knowledge-based driver moderates the relationship between absorptive capacity (as an internal knowledge-based driver) and green innovations. Yoo et al. (2016) support this notion as their study demonstrates that learning in small and medium-sized enterprises (SMEs), specifically in building relationships, helps these firms to acquire and assimilate knowledge effectively as SMEs are more proficient in collaborating closely with partners and clients to access knowledge and enhance their absorptive capacity. Nonetheless, the importance of autonomy and discretion in learning is underscored in the work of Li et al. (2018). They found that a decentralised environment positively impacted top management's support of learning and employee learning orientation on absorptive capacity. More specifically, the more decentralised the structure, and therefore autonomy and discretion, the more significant the relationship between the learning constructs and absorptive capacity. Based on this rationale, the following hypothesis is proposed:

Hypothesis 1a: *Self-directed learning is positively correlated to absorptive capacity.*

Rousseau et al. (1998) state that trust is the willingness to be vulnerable and to have positive expectations about the intentions of others as they define trust as '*a psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behaviour of another*' (p. 395). The presence of trust allows people to conserve their cognitive resources (Gambetta 1988; Uzzi 1997), such as economising on knowledge seeking and information processing concerning the other party (e.g. to find out if they are competent or reliable), to be applied more productively elsewhere. As Ouchi (1979) states, '*People must either be able to trust each other or closely monitor each other if they are to engage in co-operative enterprises*' (p. 846).

There are two aspects to interpersonal psychological trust, cognition and affect (Lewis and Weigert 1985). Lewis and Weigert (1985) state that '*we choose whom we will trust in which respects and under what circumstances, and we base the choice on what we take to be "good reason", constituting evidence of trustworthiness*' (p. 970). Thus, 'good reason' from the quote denotes that people require some knowledge about another to be able to trust them. In a workplace context, cognitive-based trust must be established before affective-based trust develops as colleagues must meet the minimum expectation of reliability and dependability before one invests more into a relationship. Although affect-based trust may be argued as 'more special' than cognitive-based trust (Johnson-George and Swap 1982), affect-based trust should not just be considered as a 'higher level' type of trust but also a distinct type of trust (McAllister 1995). McAllister (1995) observes that once affect-based trust takes hold, 'reverse causation' may occur as affective-based trust influences cognitive-based trust (e.g. Pygmalion effect).

Learning and trust have a reciprocal relationship (Coopey 1998). While many studies argue that trusting relationships encourages learning (e.g. Tirelli and Goh 2015), motivated individuals who seek to learn and improve themselves will inevitably need to refer to colleagues who may have knowledge that the individual requires (Liu 2012). Self-directed learning is not about learning solitarily; rather it is about taking the

initiative (as a form of motivation) that compels individuals to learn from and with others. Individuals may find themselves in situations that enable them to engage in co-operative enterprises with their colleagues which ultimately enables affective trust to be developed with those colleagues (Inkpen and Currall 2004; Lioukas and Reuer 2015).

Learning with and from colleagues is a form of social exchange. Social exchange is also premised upon trust (Blau 1964), and social-based trust is similar to affect-based trust as it is rooted in the emotions of the individuals involved in the relationship. Blau (1964) states that '*…social exchange requires trusting others to reciprocate…*' (p. 98), thus reciprocation in learning situations reinforces and stabilises trust in a relationship (Aryee et al. 2002). Indeed, Dmytriyev et al. (2016) argue that through interaction individuals do not just learn from one another but that learning from one another can also help to foster trust. They also suggest that even if the interactions are not always positive, disagreements can surface issues that help strengthen working relationships as each party have more understanding of one another. Similar arguments were postulated by Juvina et al. (2013) who show in their study that trust mediates relationships between learning and performance in strategic game play. Based on the preceding discussion, the following hypothesis is therefore proposed:

Hypothesis 1b: *Self-directed learning is positively correlated to affective trust in colleagues.*

While human capital is clearly connected to human resource development (HRD) and human resource management (HRM), it is usually observed as the end of result of HRD activities and HRM practices (Gates and Langevin 2010), driven by a strong resource-based view (RBV) paradigm (Barney 1996; Barney and Clark 2007). While the concept of human capital and human resource development (HRD) overlap, as many HRD indicators are used to measure human capital (Bassi and McMurrer 2008), it can, however, be argued that human capital has a different provenance compared to HRD's, which is rooted in education and workplace learning (Stewart and Sambrook 2012), and HRM, which stems from employee welfare (Francis and Keegan 2006). Human capital has strong associations with strategic management, more

specifically the RBV (Barney 2001), and intellectual capital literature (Meijerink and Bondarouk 2018; Nahapiet and Ghoshal 1998; Sparrow and Otaye-Ebede 2014).

Indeed, Gates and Langevin (2010) suggest that human capital is one-third of a trio, including structural and relational capital, that make up intellectual capital. They argue that human capital is skills, competencies, knowledge, experience, attitudes and even motivation across the workforce (Harris et al. 2019; Meijerink and Bondarouk 2018; Wright and McMahan 2011). Structural capital includes processes, procedures, and structural and cultural dimensions of organisations that enable the codification, organisation and diffusion of knowledge (Hejazi et al. 2016; Teixeira and Queirós 2016) while relational capital includes knowledge about relationships with partners, suppliers and customers (Catanzaro et al. 2018; Welbourne and Pardo-del-Val 2009). Of all these, human capital is arguably the most valuable given its primacy and agency (Roumpi et al. 2019; Tasheva and Hillman 2019).

Self-directed learning by individuals fosters a human capital development climate. Through a bottom-up approach, it is the agency of the individuals who want to learn and develop their careers that help nurture a human capital development climate. For example, Burbano et al. (2018) found pro bono activities enabled junior lawyers in a law firm to broaden their learning in enhancing the firm's overall human capital. In addition, Hatch and Dyer (2004) argue that human capital and learning provide a competitive advantage as they enable a degree of inimitability. Their line of reasoning underscores the importance of self-directed learning as this form of learning creates individualised and idiosyncratic paths of learning that is difficult to imitate compared to planned, formal training provided top-down. From a diversity and inclusion perspective, Dosunmu and Adeyemo (2018) argue that such a bottom-up approach is crucial for women in their career advancement as they found in their study in South Africa that continuous learning is a potential mechanism to defend against gender discrimination and set the foundations for women to build their careers. Based on this rationale, the following hypothesis is proposed:

Hypothesis 1c: *Self-directed learning is positively related to human capital development climate.*

Affective trust in colleagues enables a fluid social exchange of ideas, accelerating co-operative enterprises across the firm that inevitably enhances human capital development climate. A study by Lin et al. (2016) suggests the presence of a latent human capital development climate grow from a trusting climate to enable dynamic capabilities to be developed, while Kougiannou et al. (2015) contend that a trusting environment allows perceived organisational justice to develop thereby facilitating teamwork and organisational capabilities to grow.

Lee et al. (2019) found that a trusting climate enables human capital to develop as teamwork increases, a willingness to change, and to enhance efficiency (e.g. productivity) and effectiveness (e.g. innovation) grows. In addition, Nerstad et al. (2018) argue that trusting climates based on affective trust in colleagues is associated with a range of positive outcomes such as knowledge sharing and productivity (e.g. colleagues helping one another to improve job performance). In a more specific and equally important example, Nedkovski et al. (2017) suggest that a trust in colleagues allows for an ethical climate to thrive as colleagues are able to confide in one another about ethical dilemmas, which is crucial in certain professions such as lawyers and the police, that enables staff to reflect, be reflexive and develop their practice (including knowledge and skills). Based on this rationale, the following hypothesis is proposed:

Hypothesis 2a: *Affective trust in colleagues is positively correlated to human capital development climate.*

Affective trust in colleagues also accelerates and amplifies the acquirement, assimilation, transformation and commercialisation of new knowledge which are the hallmarks of absorptive capacity. For example, Zhang et al. (2018), in their study of the mediating effects of absorptive capacity between trust and product innovation, found that, as part of a broader model, trust positively correlated with absorptive capacity. Premised upon the social exchange theory (Blau 1964) trust enables co-operation and co-ordination to take place that allows new knowledge to be

exchanged and distributed throughout the organisation as it is transformed and further developed for commercialisation. Based on this rationale, the following hypothesis is proposed:

Hypothesis 2b: *Affective trust in colleagues is positively correlated to absorptive capacity.*

A human capital development climate is important for absorptive capacity because it sets the foundation for employees to seek out and acquire new external knowledge, and transform and make full use of such new knowledge. While the organisational processes and systems enable this to occur, these activities are also premised upon the volition of employees. A human capital development climate is argued to facilitate employees' development of a predisposition and preparedness towards innovativeness, that is, an inclination towards innovation, which in turn increases the firm's collective absorptive capacity. Indeed, Miremadi et al. (2019) suggest that an organisational climate that prioritises human capital development enable employees to be in a state of readiness to recognise and appreciate new knowledge. Naqshbandi and Tabche (2018) argue that a human capital development climate that includes leaders who continuously encourage staff to learn and develop is crucial for the enhancement of a firm's absorptive capacity. Similarly, Ai and Tan (2017) found that a firm's absorptive capacity is enhanced if there are strong human relations and development organisational climate. Based on this rationale, the following hypothesis is proposed:

Hypothesis 3: *Human capital development climate is positively correlated to absorptive capacity.*

Based on the hypotheses provided above, it might be the case that self-directed learning influences absorptive capacity via a three-step process. The first step is that self-directed learning enhances affective trust in colleagues because motivated employees who want to learn and develop themselves will inevitably foster co-operative enterprises with their colleagues, and this ultimately enables affective trust to develop. The second step is that affective trust in colleagues improves the human capital

development climate because the social exchanges between individuals will amplify across the organisation and thus provide a collective sense and prioritisation of growth and development in skills, knowledge and capabilities. The third and final step is that human capital development climate enhances absorptive capacity because such a climate underpins employees' behaviour to explore and exploit new external knowledge. According to this rationale, affective trust in colleagues mediates the relationship between self-directed learning and human capital development climate, whilst human capital development climate mediates the relationship between affective trust in colleagues and absorptive capacity. Indeed, Knoppen et al. (2011) in their study to connect learning processes of absorptive capacity argue that in addition to learning by individuals, there are latent mechanisms that organisations must consider. They specify that culture, psychological and policy mechanisms are crucial contextual elements that must be present for individual learning to have an impact in contributing to a firm's absorptive capacity. The following overarching hypothesis is therefore proposed and depicted in Fig. 4.1.

Hypothesis 4: *Self-directed learning is indirectly related to absorptive capacity through the sequential mediating influence of affective trust in colleagues and human capital development climate, respectively.*

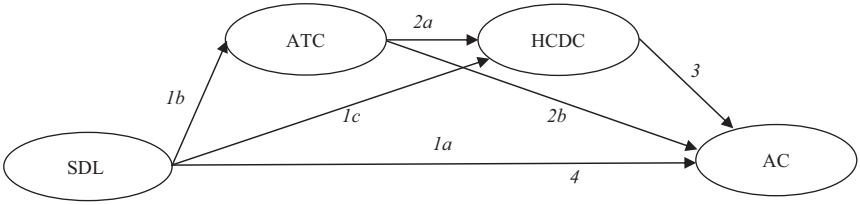

Fig. 4.1 Conceptual model. (*SDL* Self-Directed Learning; *ATC* Affective Trust in Colleagues; *HCDC* Human Capital Development Climate; and *AC* Absorptive Capacity)

4.3 Methodology

4.3.1 Procedures

The data was collected at two points in time with a gap of at least 60 days between the two. The constructs measured at each stage was based upon the hypothesised direction of occurrence. An advantage of collecting data in two stages is that a longitudinal design enables a better understanding of cause-and-effect relationships. Another advantage is that it reduces task demands placed on participants and mitigates fatigue that may be experienced due to the length of the survey. The measures completed in Stage 1 were self-directed learning and affective trust in colleagues, and in Stage 2, these were human capital development climate and absorptive capacity. The constructs in the questionnaire are ordered in the same sequence in which they appear in the conceptual model. Specifically, in Stage 1, the independent variable of self-directed learning and the first mediating variable of affective trust in colleagues were presented first. This was followed by the second mediating variable of human capital development climate and the dependent variable of absorptive capacity. The order of the variables reflects a 'natural' order of events as it is expected that individuals' agency of self-directed learning will eventually impact on the firms' absorptive capacity via developing a trusting environment amongst colleagues which then allows for a human capital development climate to thrive.

A postal method was used as participants were sent hard copies of the Stage 1 survey questionnaires via their organisations (e.g. HR department or senior management) who had agreed to allow their staff to participate in the study. Each questionnaire had a four-digit code and a self-addressed envelope with a postal stamp was included in every survey questionnaire, with a note with the same code as on the questionnaire. This method was to make returning the questionnaire to the researcher as easy as possible and to enable the participants to recall their code if they choose to complete the Stage 2 questionnaires. After six months, the same steps were adopted but the second set of questionnaires required the participants to write the code they received in Stage 1. By virtue of

Table 4.1 Demographic characteristics of the sample

Gender				
Male: 102		Female: 79		
Age (years)				
20 or less: 5	21–30: 65	31–40: 71	41–50: 21	51 or more: 19
Years in current organisation: 8.1 (s.d. = 10.3)				
Level in organisation				
Officer: 62	Executive: 42	Lower management: 34	Middle management: 28	Senior management: 15

completing the hard copy, the participants would be providing consent to use their data. Employees were targeted as participants as they have considerable validity especially in consideration of the type of constructs examined in this study (Bassi and McMurrer 2008). The size of the final sample was 181. The demographic characteristics of the sample are provided in Table 4.1.

4.3.2 Measures

The self-directed learning scale was developed by adapting and merging the measure of job performance improvement initiatives (JPII) and job-related learning (JRL) and developed by Loon et al. (2007) and Loon and Casimir (2008), respectively. Loon et al. (2007) reported the Average Variance Extracted (AVE) was greater than 0.5 for the JPII construct and this indicates that it has acceptable convergent and discriminant validity. For the JRL scale, Loon and Casimir (2008) reported satisfactory validity. Both scales reported satisfactory Cronbach's alpha scores of 0.87 for JPII and 0.91 for JRL (Loon and Casimir 2008; Loon et al. 2007). The JPII scale was used as-is as the two items reflected the nature of self-directed learning: 'in the last six months, I have actively sought better ways to perform my job', and 'in the last six months, I have actively sought new ways to perform my job'. However, the three JRL items were adapted: 'in the last six months, I have sought to acquire a lot of new job-related knowledge', 'in the last six months, I have sought to learn a lot of things

that help me to perform my job better', and 'in the last six months, I have sought to acquire a lot of new job-related skills'.

The measure for affective trust in colleagues is adopted from a study by Casimir et al. (2012), who in turn based their scale on McAllister (1995). The measure contained five items: 'my colleagues and I have a sharing relationship. We freely share our ideas, feelings, and hopes'; 'I can talk freely to my colleagues about difficulties I am having at work and know that they will want to listen'; 'my colleagues and I would feel a sense of loss if one of us was transferred and we could no longer work together'; 'if I shared my problems with my colleagues, I know they would respond constructively and caringly'; and 'I would have to say that my colleagues and I have both made considerable emotional investments in our working relationships'. Casimir et al. (2012) reported high validity and reliability for the measure with a Cronbach's alpha score of 0.83 for all five items. The self-directed learning and affective trust in colleagues items met the minimum cut-off point of 0.7 suggested by Nunnally (1978).

Bassi and McMurrer (2008) developed a Human Capital Capability Scorecard that comprised of five human capital indices containing four to five constituent elements each. The indices and its constituents are leadership practices that include communication, inclusiveness, supervisory skills, executive leadership and systems to develop leaders; employee engagement that includes job design, commitment to employees, time and systems to engage with staff; knowledge accessibility that includes availability, collaboration and teamwork, information sharing and knowledge systems; learning capacity that includes innovation, training, development, value and support, and learning and development systems; and workforce optimisation that includes processes to enhance work, conditions, accountability (e.g. clear roles and responsibilities), hiring decisions and systems for workforce planning. They reported the Cronbach's alpha value for the scorecard was from 0.64 to 0.85 and the mean alpha value was 0.77. In applying the cut-off point of 0.70 proposed by Nunnally (1978), the three elements that had lower values were collaboration (0.69), commitment to employees (0.68), followed by 'conditions' (0.64). Building on this measure, Gates and Langevin (2010) developed a measure of human capital, which was adopted for this study. They found two factors consisting of six items in total; employees'

entrepreneurial and innovative capabilities (capacity to innovate, capacity to identify new opportunities, teamwork skills and organisation change efforts) and employees' work efficiency and cost-consciousness (employees cost-conscious attitudes and ability of employees to reduce costs). The Cronbach's alpha for the aggregate innovation indicators was 0.79, and 0.86 for efficiency indicators.

A number of absorptive capacity scales have been developed over the years, for example, Camisón and Forés (2010), Jiménez-Barrionuevo et al. (2011) and Flatten et al. (2011). These studies have high fidelity with the four stages of absorptive capacity suggested by Zahra and George (2002): (1) acquiring and recognising potentially valuable new external knowledge, (2) assimilating the new external knowledge internally, (3) transformative learning within the firm in applying the new knowledge in the context of the firm and (4) commercially exploiting the knowledge. Camisón and Forés' (2010) scale was adopted due to its robustness and predictive qualities. For example, R. Harris and Le (2019), in their study of absorptive capacity in New Zealand (NZ) firms over a ten-year period, showed that the measure demonstrated validity as it correlated with exporting, innovation, research and development activity, and overall firm productivity. They used the measure developed by Camisón and Forés (2010) and found, based on a structural equation model (SEM), that there was strong correlation between each individual index (acquisition capacity, assimilation capacity, transformation capacity and application/exploitation capacity) and the overall absorptive capacity index aggregated from individual indices.

Camisón and Forés (2010) created and validated two scales that measured the absorptive capacity construct; potential absorptive capacities (PAC) and realised absorptive capacities (RAC) that contain two dimensions acquisition and assimilation capacity in PAC, transformation and application in RCA. Using LMTEST (for testing linear regression models), they reported that the goodness of fit statistics show the dimensionality of the constructs proposed. They also reported that the standardised loadings exceeded the minimum value of 0.5. In terms of reliability, they reported that the Cronbach's alpha of both scales exceeded the threshold of 0.7 (Nunnally 1978). They reported the internal consistency of the scales using a conjoint reliability index which met the minimum value at 0.6. In terms of validity, Camisón and Forés (2010) used SEM to test

convergent validity using the Bentler–Bonett Non-Normed Fit Index (BBNNFI) which exceeded the recommended minimum values of 0.9 (Bentler 1988). The standardised factor loadings were greater than the minimum value of 0.5 (Hair et al. 1998) and all the factor loadings were statistically significant ($t \geq 1.96$; $\alpha = 0.5$) (Anderson and Gerbing 1988). In their development of the scale, Camisón and Forés (2010) requested participants to '*evaluate the strength of the firm's competitive position for each item in relation to the average for direct competitors on a scale of 1 to 5, where 1 is much worse than competitors, 3 on a par with competitors, and 5 is much better than competitors*' (p. 714).

This study adopted a similar approach and the items used included those that met the minimum levels used by Camisón and Forés (2010) in the LMTEST—(a) acquisition capacity: (i) effectiveness in establishing programmes orientated towards the internal development of technological acquisition of competences from research and development (R and D) centres, suppliers or customers, (ii) degree of management orientation towards their environment to monitor trends continuously and widerangingly, and to discover new opportunities to be exploited proactively for assimilation capacity[1] and (iii) frequency and importance of cooperation with R and D organisations—universities, business schools, and technological institutes —as a member or sponsor to create knowledge and innovations; (b) assimilation capacity: (i) capacity to assimilate new technologies and innovations that are useful or have proven potential, (ii) ability to use employees' level of knowledge, experience and competencies in the assimilation and interpretation of new knowledge and (iii) the firm benefits when it comes to assimilating the basic, key business knowledge and technologies from the successful experiences of businesses in the same industry; (c) transformation capacity: (i) capacity of the company to use information technologies in order to improve information flow, develop the effective sharing of knowledge and foster communication between members of the firm, including virtual meetings between professionals, (ii) firm's awareness of its competences in innovation, especially with respect to key technologies and capability to eliminate obsolete internal knowledge, thereby stimulating the search for alternative innovations and their adaptation and (iii) the degree to which firm

[1] This item was un-reversed (phrased positively) from the original scale.

supports all employees voluntarily transmitting useful scientific and technological information acquired from each other[2]; and (d) application/exploitation capacity: (i) ability to innovate to gain competitiveness by broadening the portfolio of new products, capabilities and technology ideas,[3] (ii) degree of application of knowledge and experience acquired in the technological and business fields prioritised in the firm's strategy and (iii) capacity to put technological knowledge into product and process patents.

4.4 Findings

Principal components analyses, i.e. Average Variance Extracted and Cronbach's alpha, were used to examine the scales in the conceptual model. Following the approach used by Avolio et al. (2004), the two dimensions of human capital development climate were combined to form a higher-order factor, and the four dimensions of absorptive capacity were also combined to form a higher-order factor. A separate principal components analysis was conducted for each of the measures used for the constructs in the conceptual model. All of the items had loadings of 0.75 or more on their respective components. The average for a measure of a construct was used as the overall score for the construct. The covariance between constructs could have been influenced by common source (i.e. employees) and common method (i.e. Likert scale) biases. The findings from a single-factor test on all of the items that were retained show that common source/method variance does not appear to be problematic as the first factor accounts for less than half (i.e. 40.3%) of the total variance in the items.

Table 4.2 contains the mean standard deviation (S.D.), Square Root of Average Variance Extracted (SRAVE) and Cronbach's alpha for each of the four constructs in the conceptual model as well as their correlation coefficients. As shown in Table 4.2, for each construct, the SRAVE

[2] This item was un-reversed (phrased positively) from the original scale.

[3] This item was un-reversed (phrased positively) from the original scale.

Table 4.2 Means (S.D.s), Correlation Coefficients[a] and Cronbach's alphas[b]

	Mean (S.D.)	SRAVE	1	2	3	4
1. SDLearn	3.73 (0.67)	0.77	**0.94**			
2. AffTrust	3.69 (0.76)	0.83	0.72	**0.92**		
3. HumanC	3.51 (0.73)	0.76	0.46	0.52	**0.93**	
4. ACap	3.90 (0.59)	0.75	0.73	0.71	0.52	**0.96**

[a]$p < 0.001$ for all correlation coefficients
[b]Cronbach's alphas are presented in bold on the diagonal
SRAVE = Square Root of Average Variance Extracted
SDLearn = Self-Directed Learning, AffTrust = Affective Trust in Colleagues, HumanC = Human Capital Development Climate and ACap = Absorptive Capacity

exceeds 0.70 and is greater than the largest correlation coefficient between the construct and the three other constructs in the conceptual model, thereby providing evidence of acceptable convergent and divergent validity. Table 4.2 also shows that there are significant positive correlations between the four constructs. These findings support the following hypotheses: 1a, 1b, 1c, 2a, 2b and 3.

The Statistical Package for the Social Sciences (SPSS) Macro Process, developed by Hayes (2013), was used to test Hypothesis 4. Age, gender and years with current organisation were used as covariates. The results from this analysis are presented in Table 4.3 and show the following: (1) when self-directed learning and affective trust in colleagues are concurrently used to predict human capital development climate, affective trust in colleagues is a significant predictor but self-directed learning is not; (2) when self-directed learning, affective trust in colleagues and human capital development climate are concurrently used to predict absorptive capacity, self-directed learning and human capital development climate are significant predictors but affective trust in colleagues is not; (3) self-directed learning has a non-significant indirect effect on absorptive capacity via affective trust in colleagues; (4) self-directed learning has a non-significant indirect effect on absorptive capacity via human capital development climate; (5) self-directed learning has a significant direct effect on absorptive capacity via affective trust in colleagues and then human capital development climate; and (6) the direct effect of self-directed learning on absorptive capacity (i.e. 0.2102) is greater than its total indirect effects (i.e. 0.1031) via affective trust in colleagues and human capital development climate. Overall, the findings provide

Table 4.3 Results for the conceptual model

DV = AffTrust						
	R-square	MSE	F	df1	df2	p
	0.6224	0.230	32.4	4	81	0.0000
	b	SE_b	t	p	LLCI	ULCI
Constant	3.168	0.2322	13.6	0.0000	2.720	3.639
SDLearn	0.4179	0.0567	7.26	0.0000	0.3028	0.5340
DV = HumanC						
	R-square	MSE	F	df1	df2	p
	0.3820	0.679	9.9	5	80	0.0000
	b	SE_b	t	p	LLCI	ULCI
Constant	−1.079	0.7519	−1.50	0.1369	−2.529	0.3555
AffTrust	0.4829	0.1911	2.60	0.0129	0.1038	0.8619
SDLearn	0.1713	0.1270	1.33	0.1830	−0.0819	0.4230
DV = ACap						
	R-square	MSE	F	df1	df2	p
	0.6191	0.135	21.4	6	79	0.0000
	b	SE_b	t	p	LLCI	ULCI
Constant	3.041	0.3280	9.28	0.0000	2.373	3.690
AffTrust	0.1560	0.0879	1.87	0.0811	−0.0183	0.3321
HumanC	0.1022	0.0487	2.03	0.0449	0.0021	0.2014
SDLearn[a]	0.2111	0.0581	3.88	0.0003	0.1059	0.3339

Indirect Effects of SDLearn on ACap

	Effect	Boot SE	BootLLCI	BootULCI
SDLearn → AffTrust → ACapacity	0.0648	0.0470	−0.0347	0.1570
SDLearn → AffTrust → HumanC → ACap	0.0216	0.0147	0.0008	0.0652
SDLearn → HumanC → ACap	0.0182	0.0214	−0.0031	0.0879
Total	0.1031	0.0487	0.0131	0.2065

[a]Direct effect of Empower on SQ

DV = Dependent Variable, SDLearn = Self-Directed Learning, AffTrust = Affective Trust in Colleagues, HumanC = Human Capital Development Climate, ACap = Absorptive Capacity, R-Square = Coefficient of determination, MSE = Mean squared error, F = F-statistic, df1 and df2 = degrees of freedom, p = p value, b = beta, SEb = Standard error, t = t-statistic, LLCI = Lower level of confidence interval, ULCI = Upper level of confidence interval

evidence that affective trust in colleagues and human capital development climate partially and sequentially mediate the relationship between self-directed learning and absorptive capacity. Hypothesis 4 is therefore supported.

4.5 Discussion and Conclusion

A volatile, uncertain, complex and ambiguous external environment is a constant challenge for organisations across sectors (Loon 2014). Organisations have offered a wide range of strategic responses such as business model innovation in addressing such challenges (Loon and Chik 2019; Quan et al. 2018; Saebi et al. 2017). However, how do firms attain such organisational outcomes to enhance performance? Research in 'strategic capabilities' (Loon et al. 2020) have shown that capabilities such as absorptive capacity (Cohen and Levinthal 1990; Volberda et al. 2010), dynamic capabilities (Eisenhardt and Martin 2000; Teece 2007) and organisational ambidexterity (Lewin et al. 2011; Markides 2013) have been attributed as key reasons.

However, while these strategic capabilities offer a useful nomenclature that describes sets of disposition, skills and processes that enable organisations to perform, they remain as intermediate explanations (Barney and Felin 2013; Felin et al. 2015). There are opportunities to further identify instructive practices that are catalytic, enabling and/or facilitative in the development of such strategic capabilities. Scholars are increasingly calling for more research to be undertaken in this trajectory (Foss and Pedersen 2016), specifically by going beyond the macro and meso levels to examine the micro factors.

Micro-foundations are increasingly proffered as the 'scientific explanation' of macro-management theories, for example, strategic management theory (Felin et al. 2012; Foss and Lindenberg 2013). A majority of these micro-foundations are situated within the broad domain of human resource development (Korte and Mercurio 2017). One could argue that people and their learning and development are the epicentres of most, if not all, strategic capabilities (Garavan et al. 2015). However, there

remains paucity from prior research in demonstrating a more robust link between micro and macro theories.

In addressing the learning outcomes, this chapter helps to address some aspects of this lacunae, and in doing so, it contributes to HRD literature by linking the micro level, that is, self-directed learning to the group level, that is, affective trust in colleagues and the meso levels of human capital development climate and, ultimately, the 'strategic' capability of absorptive capacity. In addition, this chapter's second contribution provides a more nuanced view of the role and effects of self-directed learning beyond the individuals' learning and development. Thirdly, this research also contributes to strategic management literature in demonstrating the role of human capital in developing the strategic capability of absorptive capacity.

4.6 Theoretical and Practical Implications

4.6.1 Self-Directed Learning

Theoretically, self-directed learning can be framed as an intrapersonal phenomenon that draws upon motivational (R.M. Ryan and Deci 2000) and dispositional theories (McCrae and Costa 1990). Self-directed learning has also been shown to be a crucial predictor of job performance and career advancement (Raemdonck et al. 2012) through the enhancement of self-efficacy (de Bruin and Hughes 2012). De Vos et al. (2009) argue that proactivity underlines self-directed learning and consists of both cognitive and behavioural components (De Vos and Soens 2008) involving anticipating, planning and taking action directed at future impact, for example, one's career (Grant and Ashford 2008). Grant and Ashford (2008) also argue that proactivity helps to develop networking behaviour, which is a view supported by other scholars, for example, Bozionelos (2004), Forret and Dougherty (2004) and Seibert et al. (2001). Self-directed learners are argued to be highly reflective and self-aware, and have high tolerance for ambiguity (Candy 1991; Frost 1996).

In terms of practical implication, self-directed learning can be developed. Self-directed learning can be framed as an attitude which, in some sense, is similar to disposition but it is more fleeting and more easily shaped by organisations. Attitude can perhaps be described as a mindset and can be a starting point for organisations (Dweck 2012). Nonetheless, Phillips et al. (2015) found that organisations cannot assume that self-directed learning will transpire by virtue of disposition or initial motivations, nor can age or experience in tertiary education be taken for proxies for self-directed learning. They argue that self-directed learning can and should be developed, and nurtured like any other 'skill'. Their point is supported by Wilcox (1996) who argued that while appropriate instructional support can enhance self-directed learning, there may be workplace practices that unintentionally inhibit self-directed learning which employers must be aware of and address. The developmental view of self-directed learning is also supported by Jennings (2007) who states that reflective learning and the use of personal development plans are useful mechanisms to develop self-directed learning. Others (e.g. G. Ryan 1993; Williams 2004; Strohfeldt and Grant 2010) argue that problem-based learning and assessments can greatly improve self-directed learning, in particular in enhancing individuals' perception of the importance of self-directed learning which then motivates individuals to increase their self-directed learning abilities.

4.6.2 Affective Trust in Colleagues

In differentiating cognitive and affective-based trust McAllister (1995) posits that '*…once a high level of affect-based trust has developed, a foundation of cognition-based trust may no longer be needed*' (p. 30). Affective trust is *relationship-based*. Social Exchange theory indicates that individuals may see their relationship with their colleagues as more than just a standard economic contract in that it is based on goodwill and mutual obligation (Blau 1964). Affective trust in colleagues is crucial because it enables colleagues to take risks together for the firm.

Risk-taking behaviour is a proximal indicator of the presence of trust (Ross and LaCroix 1996) as the lack of trust may cause anxiousness as there are risks in engaging with co-operative behaviours, especially when

learning is concerned. Porter et al. (1975) posit that trust enables one to take risks as they state '*where there is trust there is the feeling that others will not take advantage of me*' (p. 497). This notion is supported by Mayer and Gavin (2005) who argue that risk is inherently linked to vulnerability, a state that is associated with learning and is almost synonymous with trust. Thus, trust is the intention and willingness to take risks (Cai et al. 2018).

From a practical perspective, trust can also be nurtured. The development of trust is an experiential process that involves learning about others' trustworthiness (Lewicki and Bunker 1996; Shapiro et al. 1992). Deeper levels of trust require emotional investment and involve 'faith' (Rempel et al. 1985), which can only be experienced through socialisation processes such as that involving learning (Loon 2016a). Past communication processes and their characteristics (e.g. open and transparent communication) also impact the level of trust individuals have with one another, within structural parameters that shape the relationship between the parties (e.g. distance and available communication mechanisms) (Dirks and Ferrin 2001).

4.6.3 Human Capital Development Climate

While a human capital developmental climate is about enhancing the value of people through increasing their capabilities and know-how, it is also nuanced. To further explore their scorecard Bassi and McMurrer (2008) surveyed staff in three organisations (two in manufacturing and one public school). The results showed that there was significant variation across organisations in which human capital items were held as important (as a correlation to their selected organisational outcome, in particular, a financial index comprising of multiple measures of profit and efficiency; sales for each manufacturing concern and students' standardised achievement test results for the public school). Their results showed that context in human capital development is crucial. The meaning and which aspect of human capital is prioritised will differ between organisations.

The 'strategic' and 'performance' connotation that accompanies the term human capital is persuasive given its use in the capital markets and investment communities (Krausert 2018). In their study of the relationship between strategy and human capital, Gates and Langevin (2010) found that the more an organisation prioritised human capital development, the higher the firm's performance. In addition, they found that human capital had considerable influence on the realisation of the strategy; more specifically, if human capital development was efficiency-orientated, then a firms' cost-reduction strategy is likely to come to fruition. Likewise, if the firm's human capital development is focused on developing staff's innovativeness, the firm's differentiation strategy is likely to be realised.

From a practical perspective, Patel and Patel (2008) state that organisational climate and culture can be conceptualised as a fluid construct as it is an arrangement of social relationships that may be independent of other organisational factors such as the organisation's history and industry (Douglas 1986). Thus, culture is considered transactional and is continuously examined for its social viability (Patel and Patel 2008). Identifying an organisation's learning culture benefits the organisation as it can help to support the knowledge creation and diffusion processes (such as that found in absorptive capacity) (Loon 2019b) and therefore enable outcomes such as innovation to materialise. In particular, they state that the different stages of innovation (radical, transition and incremental) require different organisational learning cultures.

The radical phase of innovation is usually characterised by uncertainty and the lack of a market leader as each player is still competing for the coveted leader position. Patel and Patel (2008) argue that organisations that are able to internalise the knowledge that comes from the experience put themselves in a good position for long-term success. They argue that a hierarchical learning culture is best suited at the radical phase. The transition phase involves changing behaviours, practices and routines through discourse and discussion via knowledge sharing (Loon 2019a). Patel and Patel (2008) state that an egalitarian learning culture is most suited for the transition as it attempts to build bridges between key players. The incremental phase is usually characterised by the emergence of a dominant design. An important feature of the incremental phase is external

knowledge transfer, which usually involves establishing alliances and partnerships to develop a portfolio of products to establish the innovation and to potentially enhance 'lock-in'. It is thus quite likely that the incremental phase of innovation can be best facilitated by a competitive learning culture because this culture emphasises forming partnerships and alliances with dominant players.

Interest in human capital measurement and reporting have only amplified over the years and the International Standards Organisation published a standard on human capital reporting, 'BS ISO 30414:2018. Human resource management—Guidelines for internal and external human capital reporting' (ISO 2018), with experts from 22 countries having contributed to developing the new standard on human capital reporting (Pothmann and Loon 2019). The standard proposes 12 areas of human capital to be reported (and therefore developed): compliance and ethics; costs; diversity; leadership; organisational culture; organisational health, safety and well-being; productivity; recruitment, mobility and turnover; skills and capabilities; succession planning; and workforce availability.

4.7 Limitations and Future Research

Nonetheless, like other studies, this chapter has several limitations including the use of a common method bias, size of the sample and the use of self-reports. While a potential limitation, common method variance did not explain a majority of the covariance between the variables in the hypotheses as shown by the single-factor test. In addition, the size and nature of the sample limits the degree of generalisability of the findings. Furthermore, using self-reports is not ideal. Nevertheless, obtaining performance ratings from third parties can also be questionable as such data are likely to be influenced by other biases including those stemming from interpersonal issues. Finally, although panel data was used, this method does not infer causality. This may not be avoidable as it is not feasible to conduct a contrived experiment to test the conceptual model. Future research can build upon this study by framing HRD as a micro-foundation of strategic capabilities and identify the key HRD-related

micro-foundations that are crucial in developing individuals in creating strategic capabilities at the organisational-level. Also, future research can explore HRD-related choices that shape and create routines, processes and structures (Dosi et al. 2000) that enable firms to develop strategic capabilities. Finally, using the divergent perspectives of human capital as an aggregation, interactional and/or emergent phenomena, future research can examine how individuals' skills and knowledge, and HRD practices (including routines and processes) underpin the development of strategic capabilities.

4.8 Conclusion

The direct effect of self-directed learning on absorptive capacity is greater than its total indirect effects via affective trust in colleagues and human capital development climate. This research contributes to HRD and strategic management literature in showing that self-directed learning does not only have a strong effect on the organisational capability but it also has an impact on the group-level dynamics involving trust and organisational-level climate. While traditional learning and development methods will remain relevant, self-directed learning is a growing imperative for a successful future in the world of work and in contributing to the development of organisational-level strategic capabilities such as absorptive capacity.

References

Ai, Q., and Tan, H. 2017. Acquirers' prior related knowledge and post-acquisition integration: Evidences from four Chinese firms. *Journal of Organizational Change Management,* 30(4), pp. 647–662.

Albort-Morant, G., Leal-Rodríguez, A.L. and De Marchi, V. 2018. Absorptive capacity and relationship learning mechanisms as complementary drivers of green innovation performance. *Journal of Knowledge Management,* 22(2), pp. 432–452.

Anderson, J.C. and Gerbing, D.W. 1988. Structural equation modeling in practice: A review and recommended two-step approach. *Psychological Bulletin,* 103(3), pp. 411–423.

Andre, L., Peetsma, T.T.D., van Vianen, A.E.M., Jansen in de Wal, J., Petrović, D.S. and Bunjevac, T. 2019. Motivated by future and challenges: A cross-cultural study on adolescents' investment in learning and career planning. *Journal of Vocational Behavior,* 110, pp. 168–185.

Armstrong, S.J. and Fukami, C.V. 2010. Self-assessment of knowledge: A cognitive learning or affective measure? Perspectives from the management learning and education community. *Academy of Management Learning and Education,* 9(2), pp. 335–341.

Aryee, S., Budhwar, P.S. and Chen, Z.X. 2002. Trust as a mediator of the relationship between organizational justice and work outcomes: Test of a social exchange model. *Journal of Organizational Behavior,* 23(3), pp. 267–285.

Avolio, B.J., Zhu, W., Koh, W. and Bhatia, P. 2004. Transformational leadership and organizational commitment: Mediating role of psychological empowerment and moderating role of structural distance. *Journal of Organizational Behavior,* 25(1), pp. 951–968.

Barney, J.B. 1996. The resource-based theory of firm. *Organization Science, 7*(5), 469–470.

Barney, J.B. 2001. Is the resource-based "view" a useful perspective for strategic management research? Yes. *Academy of Management Review,* 26(1), pp. 41–56.

Barney, J.B. and Clark, D.N. 2007. *Resource-based theory: Creating and sustaining competitive advantage*. Oxford: Oxford University Press.

Barney, J.B. and Felin, T. 2013. What are microfoundations? *Academy of Management Perspectives,* 27(2), pp. 138–155.

Bassi, L.J. and McMurrer, D.P. 2008. Toward a human capital measurement methodology. *Advances in Developing Human Resources,* 10(6), pp. 863–881.

Bentler, P.M. 1988. Causal modeling via structural equation systems. In *Handbook of Multivariate Experimental Psychology,* Edited by Nesselroade J. and Cattell, R., USA: Springer, pp. 317–335.

Blau, P.M. 1964. *Exchange and Power in Social Life*. New Brunswick, NJ: Transaction Publishers.

Bloomer, M. and Hodkinson, P. 2000. Learning careers: Continuity and change in young people's dispositions to learning. *British Educational Research Journal,* 26(5), pp. 583–597.

Bogers, M. and Lhuillery, S. 2011. A functional perspective on learning and innovation: Investigating the organization of absorptive capacity. *Industry and Innovation,* 18(6), pp. 581–610.

Bonk, C.J., Lee, M.M., Kou, X., Xu, S. and Sheu, F R. 2015. Understanding the self-directed online learning preferences, goals, achievements, and challenges of MIT OpenCourseWare subscribers. *Educational Technology and Society,* 18(2), pp. 349–365.

Bozionelos, N. 2004. The relationship between disposition and career success: A British study. *Journal of Occupational and Organizational Psychology,* 77(3), pp. 403–420.

Burbano, V.C., Mamer, J. and Snyder, J. 2018. Pro bono as a human capital learning and screening mechanism: Evidence from law firms. *Strategic Management Journal,* 39(11), pp. 2899–2920.

Cai, W.J., Loon, M. and Wong, P.H.K. 2018. Leadership, trust in management and acceptance of change in Hong Kong's Civil Service Bureau. *Journal of Organizational Change Management,* 31(5), pp. 1054–1070.

Camisón, C. and Forés, B. 2010. Knowledge absorptive capacity: New insights for its conceptualization and measurement. *Journal of Business Research,* 63(7), pp. 707–715.

Candy, P. 1991. *Self Direction for Lifelong Learning: A Comprehensive Guide to Theory and Practice*. San Francisco, CA: Jossey-Bass.

Casimir, G., Lee, K. and Loon, M. 2012. Knowledge sharing: influences of trust, commitment and cost. *Journal of Knowledge Management,* 16(5), pp. 740–753.

Catanzaro, A., Messeghem, K. and Sammut, S. 2018. Effectiveness of export support programs: Impact on the relational capital and international performance of early internationalizing small businesses. *Journal of Small Business Management*, 57(S2), pp. 52–71.

Cho, D. 2002. The connection between self-directed learning and the learning organization. *Human Resource Development Quarterly,* 13(4), pp. 467–470.

Cohen, W.M. and Levinthal, D.A. 1990. Absorptive capacity: A new perspective on learning and innovation. *Administrative Science Quarterly,* 35(1), pp. 128–152.

Coopey, J. 1998. Learning to trust and trusting to learn: A role for radical theatre. *Management Learning,* 29(3), pp. 365–382.

de Bruin, K. and Hughes, G. 2012. Career decision self-efficacy and self-directed learning among women university students: A cross-cultural study. *Journal of Psychology in Africa,* 22(1), pp. 61–68.

De Vos, A., De Clippeleer, I. and Dewilde, T. 2009. Proactive career behaviours and career success during the early career. *Journal of Occupational and Organizational Psychology,* 82(4), pp. 761–777.

De Vos, A. and Soens, N. 2008. Protean attitude and career success: The mediating role of self-management. *Journal of Vocational Behavior,* 73, pp. 449–456.

Dediu, V., Leka, S. and Jain, A. 2018. Job demands, job resources and innovative work behaviour: a European Union study. *European Journal of Work and Organizational Psychology,* 27(3), pp. 310–323.

Dirks, K.T. and Ferrin, D.L. (2001). The role of trust in organizational settings. *Organization Science,* 12(4), pp. 450–467.

Dmytriyev, S., Freeman, R.E. and Haskins, M.E. 2016. Transforming disagreements into opportunities to enhance learning, decision making and trust. *Strategy and Leadership,* 44(2), pp. 31–38.

Dosi, G., Nelson, R. and Winter, S. 2000. Introduction: The nature and dynamics of organizational capabilities. In t*he Nature and Dynamics of Organizational Capabilities*, Edited by Dosi, G., Nelson, R. and Winter, S., Oxford: Oxford University Press.

Dosunmu, A.G. and Adeyemo, K.S. 2018. Lifelong learning, human capital development and the career advancement of women in the telecommunications industry in South Africa. *Industry and Higher Education,* 32(3), pp. 192–199.

Douglas, M. 1986. *How Institutions Think*. London: Routledge and Keegan Paul.

Dweck, C.S. 2012. Mindsets and human nature: Promoting change in the middle east, the schoolyard, the racial divide, and willpower. *American Psychologist,* 67(8), pp. 614–622.

Eisenhardt, K.M. and Martin, J.A. 2000. Dynamic capabilities: What are they? *Strategic Management Journal,* 21(10–11), pp. 1105–1121.

Felin, T., Foss, N.J., Heimeriks, K.H., and Madsen, T.L. 2012. Microfoundations of routines and capabilities: Individuals, processes, and structure. *Journal of Management Studies,* 49(8), pp. 1351–1374.

Felin, T., Foss, N.J., and Ployhart, R.E. 2015. The microfoundations movement in strategy and organization theory. *Academy of Management Annals,* 9(1), pp. 575–632.

Flatten, T.C., Engelen, A., Zahra, S.A. and Brettel, M. 2011. A measure of absorptive capacity: Scale development and validation. *European Management Journal,* 29(2), pp. 98–116.

Forés, B. and Camisón, C. 2011. The complementary effect of internal learning capacity and absorptive capacity on performance: the mediating role of inno-

vation capacity. *International Journal of Technology Management,* 55(1–2), pp. 56–81.

Forret, M.L. and Dougherty, T.W. 2004. Networking behaviors and career outcomes: Differences for men and women? *Journal of Organizational Behavior,* 25, pp. 419–437.

Foss, N.J. and Lindenberg, S. 2013. Microfoundations for strategy: A goal-framing perspective on the drivers of value creation. *Academy of Management Perspectives,* 27(2), pp. 85–101.

Foss, N.J. and Pedersen, T. 2016. Microfoundations in strategy research. *Strategic Management Journal,* 37(13), pp. E22–E34.

Francis, H. and Keegan, A. 2006). The changing face of HRM: In search of balance. *Human Resource Management Journal,* 16(3), pp. 231–249.

Frost, M. 1996. An analysis of the scope and value of problem based learning in the education of health professionals. *Journal of Advanced Nursing,* 24, pp. 1047–1053.

Gambetta, D. 1988. *Trust: Making and Breaking Cooperative Relations*. New York: Basil Blackwell.

Garavan, T.N., McGuire, D. and Lee, M. 2015. Reclaiming the "D" in HRD: A typology of development conceptualizations, antecedents, and outcomes. *Human Resource Development Review,* 14(4), pp. 359–388.

Gates, S. and Langevin, P. 2010. Human capital measures, strategy, and performance: HR managers' perceptions. *Accounting, Auditing and Accountability Journal,* 23(1), pp. 111–132.

Grant, A.M., and Ashford, S.J. 2008. The dynamics of proactivity at work. *Research in Organizational Behavior,* 28, pp. 3–34.

Hair, J.F.J., Anderson, R.E., Tatham, R.L. and Black, W.C. 1998. *Multivariate Data Analysis*, 5th Edition. Upper Saddle River, New Jersey: Prentice.

Harris, C.M., Wright, P.M. and McMahan, G.C. 2019. The emergence of human capital: Roles of social capital and coordination that drive unit performance. *Human Resource Management Journal,* 29(2), pp. 162–180.

Harris, R. and Le, T. 2019. Absorptive capacity in New Zealand firms: Measurement and importance. *Science and Public Policy,* 46(2), pp. 290–309.

Hatch, N.W. and Dyer, J.H. 2004. Human capital and learning as a source of sustainable competitive advantage. *Strategic Management Journal,* 25(12), pp. 1155–1178.

Hayes, A.F. 2013. *An introduction to mediation, moderation, and conditional process analysis: A regression-based approach*. New York: Guilford Press.

Hejazi, R., Ghanbari, M. and Alipour, M. 2016. Intellectual, human and structural capital effects on firm performance as measured by Tobin's Q. *Knowledge and Process Management,* 23(4), pp. 259–273.

Hjertø, K.B. and Paulsen, J.M. 2017. Learning outcomes in leadership teams: The multilevel dynamics of mastery goal orientation, team psychological safety, and team potency. *Human Performance,* 30(1), pp. 38–56.

Inkpen, A.C. and Currall, S.C. 2004. The coevolution of trust, control, and learning in joint ventures. *Organization Science,* 15(5), pp. 586–599.

ISO. 2018. BS ISO 30414:2018. *Human resource management – Guidelines for internal and external human capital reporting*. United Kingdom: BSI Standards Limited 2018.

Jennings, S.F. 2007. Personal development plans and self-directed learning for healthcare professionals: are they evidence based? *Postgraduate Medical Journal,* 83(982), pp. 518–524.

Jiménez-Barrionuevo, M.M., García-Morales, V.J. and Molina, L.M. 2011. Validation of an instrument to measure absorptive capacity. *Technovation,* 31(5–6), pp. 190–202.

Johnson-George, C. and Swap, W.C. 1982. Measurement of specific interpersonal trust: Construction and validation of a scale to assess trust in a specific other. *Journal of Personality and Social Psychology,* 43(6), pp. 1306–1317.

Juvina, I., Saleem, M., Martin, J.M., Gonzalez, C. and Lebiere, C. 2013. Reciprocal trust mediates deep transfer of learning between games of strategic interaction. *Organizational Behavior and Human Decision Processes,* 120(2), pp. 206–215.

Knoppen, D., Sáenz, M.J. and Johnston, D.A. 2011. Innovations in a relational context: Mechanisms to connect learning processes of absorptive capacity. *Management Learning,* 42(4), pp. 419–438.

Knowles, M.S. 1984. *Andragogy in Action*. San Francisco: Jossey-Bass.

Korte, R. and Mercurio, Z.A. 2017. Pragmatism and human resource development: Practical foundations for research, theory and practice. *Human Resource Development Review,* 16(1), pp. 60–84.

Kougiannou, K., Redman, T. and Dietz, G. 2015. The outcomes of works councils: The role of trust, justice and industrial relations climate. *Human Resource Management Journal,* 25(4), pp. 458–477.

Krausert, A. 2018. The HRM–capital market link: Effects of securities analysts on strategic human capital. *Human Resource Management,* 57(1), pp. 97–110.

Lane, P.J., Koka, B.R. and Pathak, S. 2006. The reification of absorptive capacity: A critical review and rejuvenation of the construct. *Academy of Management Review,* 31(4), pp. 833–863.

Lee, J.Y., Yoo, S., Lee, Y., Park, S. and Yoon, S.W. 2019. Individual and organisational factors affecting knowledge workers' perceptions of the effectiveness of informal learning: A multilevel analysis. *Vocations and Learning,* 12(1), pp. 155–177.

Lewicki, R.J. and Bunker, B.B. 1996. Developing and maintaining trust in work relationships. In *Trust in Organizations: Frontiers of Theory and Research,* Edited by Kramer, R. and Tyler, T., (pp. 114–139). Thousand Oaks, CA: Sage.

Lewin, A.Y., Massini, S. and Peeters, C. 2011. Microfoundations of internal and external absorptive capacity routines. *Organization Science,* 22(1), pp. 81–98.

Lewis, J.D. and Weigert, A. 1985. Trust as a social reality. *Social Forces,* 63(4), pp. 967–985.

Li, C., Sun, L.Y. and Dong, Y. 2018. Innovating via building absorptive capacity: Interactive effects of top management support of learning, employee learning orientation and decentralization structure. *Creativity and Innovation Management,* 27(4), pp. 431–443.

Lin, H.C., Dang, T.T.H. and Liu, Y.S. 2016. CEO transformational leadership and firm performance: A moderated mediation model of TMT trust climate and environmental dynamism. *Asia Pacific Journal of Management,* 33(4), pp. 981–1008.

Lioukas, C.S. and Reuer, J.J. 2015. Isolating trust outcomes from exchange relationships: Social exchange and learning benefits of prior ties in alliances. *Academy of Management Journal,* 58(6), pp. 1826–1847.

Liu, C.L.E. 2012. An investigation of relationship learning in cross-border buyer-supplier relationships: The role of trust. *International Business Review,* 21(3), pp. 311–327.

Loon, M. 2014. *L&D: New Challenges, New Approaches*. London: Chartered Institute of Personnel and Development.

Loon, M. 2016a. Confluent learning in developing change management capabilities. *Journal of Organizational Behavior Education,* 9, pp. 83–104.

Loon, M. 2019a. Framing and tropes in organizational change practice. In *Evidence-Based Initiatives for Organizational Change and Development,* Edited by Hamlin, R., Ellinger, A. and Jones, J., pp. 617–625. Hershey, PA IGI Global.

Loon, M. 2019b. Knowledge management practice system: Theorising from an international meta-standard. *Journal of Business Research,* 94, pp. 432–441.

Loon, M. (Ed.) 2016b. *Professional Practice in Learning and Development: How to Design and Deliver Plans for the Workplace*. London: Kogan Page.

Loon, M. and Bell, R. 2017. The moderating effects of emotions on cognitive skills. *Journal of Further and Higher Education,* 42(5), pp. 694–707.

Loon, M. and Casimir, G. 2008. Job-demand for learning and job-related learning: The moderating effect of need for achievement. *Journal of Managerial Psychology,* 23(1), pp. 89–102.

Loon, M., Casimir, G. and Bartram, T. 2007. Job-demand for learning and job-related learning: The mediating effect of job-performance improvement initiatives. *International Journal of Human Resource Development and Management,* 7(3/4), pp. 13–34.

Loon, M. and Chik, R. 2019. Efficiency-centered, innovation-enabling business models of high tech SMEs: Evidence from Hong Kong. *Asia Pacific Journal of Management,* 36(1), pp. 87–111.

Loon, M., Otaye-Ebede, L. and Stewart, J. 2020. Thriving in the New Normal: The HR microfoundations of capabilities for business model innovation. An integrated literature review. *Journal of Management Studies*, 57(3), pp. 45–89.

Lounsbury, J.W., Saudargas, R.A., Gibson, L.W. and Leong, F.T. 2005. An investigation of broad and narrow personality traits in relation to general and domain-specific life satisfaction of college students. *Research in Higher Education,* 46(6), pp. 707–729.

Markides, C.C. 2013. Business model innovation: What can the ambidexterity literature teach us? *Academy of Management Perspectives,* 27(4), pp. 313–323.

Mayer, R.C. and Gavin, M.B. (2005). Trust in management and performance: who minds the shop while the employees watch the boss? *Academy of Management Journal,* 48(5), pp. 874–888.

McAllister, D.J. 1995. Affect-and cognition-based trust as foundations for interpersonal cooperation in organizations. *Academy of Management Journal,* 38(1), pp. 24–59.

McCrae, R.R. and Costa, P.T. 1990. *Personality in Adulthood*. New York: Guilford Press.

Meijerink, J. and Bondarouk, T. 2018. Uncovering configurations of HRM service provider intellectual capital and worker human capital for creating high HRM service value using fsQCA. *Journal of Business Research,* 82, pp. 31–45.

Miremadi, I., Saboohi, Y. and Arasti, M. 2019. The influence of public RandD and knowledge spillovers on the development of renewable energy sources: The case of the Nordic countries. *Technological Forecasting and Social Change,* 146, pp. 450–463.

Nahapiet, J. and Ghoshal, S. 1998. Social capital, intellectual capital, and the organizational advantage. *Academy of Management Review,* 23(2), pp. 242–266.

Naqshbandi, M.M. and Tabche, I. 2018. The interplay of leadership, absorptive capacity, and organizational learning culture in open innovation: Testing a moderated mediation model. *Technological Forecasting and Social Change,* 133, pp. 156–167.

Nedkovski, V., Guerci, M., De Battisti, F. and Siletti, E. 2017. Organizational ethical climates and employee's trust in colleagues, the supervisor, and the organization. *Journal of Business Research,* 71, pp. 19–26.

Nerstad, C.G.L., Searle, R., Černe, M., Dysvik, A., Škerlavaj, M. and Scherer, R. 2018. Perceived mastery climate, felt trust, and knowledge sharing. *Journal of Organizational Behavior,* 39(4), pp. 429–447.

Nunnally, J. 1978. *Psychometric Theory*. New York: McGraw Hill.

Ouchi, W.G. 1979. A conceptual framework for the design of organizational control mechanisms. *Management Science,* 25(9), pp. 833–848.

Patel, T. and Patel, C. 2008. Learning cultures for sustained innovation success. *Innovation: The European Journal of Social Science Research,* 21(3), pp. 233–251.

Phillips, B.N., Turnbull, B.J. and He, F.X. 2015. Assessing readiness for self-directed learning within a non-traditional nursing cohort. *Nurse Education Today,* 35(3), pp. e1–7.

Porter, L.W., Lawler, E.E. and Hackman, J.R. 1975. *Behavior in Organizations*. New York: McGraw-Hill.

Posen, H.E. and Chen, J.S. 2013. An advantage of newness: Vicarious learning despite limited absorptive capacity. *Organization Science,* 24(6), pp. 1701–1716.

Pothmann, H. and Loon, M. 2019. L*ifting the Lid on the Value of a Company's Human Capital.*https://www.weforum.org/agenda/2019/12/now-there-s-a-way-to-measure-the-value-of-your-company-s-human-capital/ (Accessed on 10 April 2020).

Quan, I., Loon, M. and Sanderson, J. 2018. Innovation in the local context: A case study of BYD in China. *International Journal of Innovation and Technology Management,* 15(2), pp. 1–25.

Raemdonck, I., Tillema, H., de Grip, A., Valcke, M. and Segers, M. 2012. Does self-directedness in learning and careers predict the employability of low-qualified employees? *Vocations and Learning,* 5(2), pp. 137–151.

Rempel, J.K., Holmes, J.G. and Zanna, M.P. 1985. Trust in close relationships. *Journal of Personality and Social Psychology,* 49(1), pp. 95–112.

Ross, W. and LaCroix, J. 1996. Multiple meanings of trust in negotiation theory and research: A literature review and integrative model. *International Journal of Conflict Management,* 7, pp. 314–360.

Roumpi, D., Magrizos, S. and Nicolopoulou, K. 2019. Virtuous circle: Human capital and human resource management in social enterprises. *Human Resource Management, (Online)*.

Rousseau, D.M., Sitkin, S.B., Burt, R.C. and Camerer, C. 1998. Not so different after all: A cross-discipline view of trust. *Academy Management Review, 23*(3), pp. 393–404.

Ryan, G. 1993. Student perceptions about self-directed learning in a professional course implementing problem-based learning. *Studies in Higher Education,* 18(1), pp. 53–63.

Ryan, R.M., and Deci, E.L. 2000. Self-determination theory and the facilitation of intrinsic motivation, social development, and well-being. *American Psychologist,* 55(1), pp. 68–78.

Saebi, T., Lien, L. and Foss, N.J. 2017. What drives business model adaptation? The impact of opportunities, threats and strategic orientation. *Long Range Planning,* 50(5), pp. 567–581.

Seibert, S.E., Kraimer, M.L. and Crant, J.M. (2001). What do proactive people do? A longitudinal model linking proactive personality and career success. *Personnel Psychology,* 54, pp. 845–874.

Shapiro, D., Sheppard, B.H. and Cheraskin, L. 1992. Business on a handshake. *Negotiation Journal,* 8, pp. 365–377.

Sparrow, P. and Otaye-Ebede, L. 2014. Lean management and HR function capability: The role of HR architecture and the location of intellectual capital. *International Journal of Human Resource Management,* 25(21), pp. 2892–2910.

Stewart, J. and Sambrook, S. 2012. The historical development of human resource development in the United Kingdom. *Human Resource Development Review,* 11(4), pp. 443–462.

Strohfeldt, K. and Grant, D.T. 2010. A model for self-directed problem-based learning for renal therapeutics. *American Journal of Pharmaceutical Education,* 74(9), pp. 98–112.

Tasheva, S. and Hillman, A.J. 2019. Integrating diversity at different levels: Multilevel human capital, social capital, and demographic diversity and their

implications for team effectiveness. *Academy of Management Review,* 44(4), pp. 746–765.

Teece, D.J. 2007. Explicating dynamic capabilities: The nature and microfoundations of (sustainable) enterprise performance. *Strategic Management Journal,* 28(13), pp. 1319–1350.

Teixeira, A.A.C. and Queirós, A.S.S. 2016. Economic growth, human capital and structural change: A dynamic panel data analysis. *Research Policy,* 45(8), pp. 1636–1648.

Tirelli, A. and Goh, S.C. 2015. The relationship between trust, learning capability, affective organisational commitment and turnover intentions. *International Journal of Human Resources Development and Management,* 15(1), pp. 54–68.

Uzzi, B. 1997. Social structure and competition in interfirm networks: The paradox of embeddedness. *Administrative Science Quarterly,* 42(1), pp. 35–67.

Vas, R., Weber, C. and Gkoumas, D. 2018. Implementing connectivism by semantic technologies for self-directed learning. *International Journal of Manpower,* 39(8), pp. 1032–1046.

Volberda, H.W., Foss, N.J. and Lyles, M.A. 2010. Absorbing the concept of absorptive capacity: How to realize its potential in the organization field. *Organization Science,* 21(4), pp. 931–951.

Wang, L., Zhao, J.Z. and Zhou, K.Z. 2018. How do incentives motivate absorptive capacity development? The mediating role of employee learning and relational contingencies. *Journal of Business Research,* 85, pp. 226–237.

Welbourne, T.M. and Pardo-del-Val, M. 2009. Relational capital: Strategic advantage for small and medium-size enterprises (SMEs) through negotiation and collaboration. *Group Decision and Negotiation,* 18(5), pp. 483–497.

Wilcox, S. 1996. Fostering self-directed learning in the university setting. *Studies in Higher Education,* 21(2), pp. 165–176.

Williams, B. 2004. Self direction in a problem based learning program. *Nurse Education Today,* 24(4), pp. 277–285.

Wright, P.M. and McMahan, G.C. 2011. Exploring human capital: Putting 'human' back into strategic human resource management. *Human Resource Management Journal,* 21(2), pp. 93–104.

Yao, F.K. and Chang, S. 2017. Do individual employees' learning goal orientation and civic virtue matter? A micro-foundations perspective on firm absorptive capacity. *Strategic Management Journal,* 38(10), pp. 2041–2060.

Yoo, S.J., Sawyerr, O. and Tan, W.L. 2016. The mediating effect of absorptive capacity and relational capital in alliance learning of SMEs. *Journal of Small Business Management,* 54, pp. 234–255.

Zahra, S.A. and George, G. 2002. Absorptive capacity: A review, reconceptualization, and extension. *Academy of Management Review,* 27(2), pp. 185–203.

Zhang, M., Zhao, X. and Lyles, M. 2018. Effects of absorptive capacity, trust and information systems on product innovation. *International Journal of Operations and Production Management,* 38(2), pp. 493–512.

5

Examining Evidence-Based Change Agency Practice in Anglo and Non-Anglo Countries: Implications for Professional HRD Practitioners

Jenni Jones, Robert G. Hamlin, and Andrea D. Ellinger

5.1 Introduction

Following a comprehensive review of the intended purposes and processes constituting 24 human resource development (HRD) definitions published between 1964 and 2004, and as a means of provoking further thought on *What is HRD?*, Hamlin and Stewart (2011) offered an all embracing, catch all, composite but non-definitive conceptualisation of this field of study and practice as follows:

> '*HRD encompasses planned activities, processes and/or interventions designed to have impact upon and enhance organisational and individual learning, to develop human potential, to improve or maximise effectiveness and performance*

J. Jones (✉) • R. G. Hamlin
University of Wolverhampton, Wolverhampton, UK
e-mail: jenni.jones@wlv.ac.uk; R.G.Hamlin@wlv.ac.uk

A. D. Ellinger
The University of Texas at Tyler, Tyler, TX, USA
e-mail: Andrea_Ellinger@uttyler.edu

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_5

> *at either individual, group/team and/or organisational level, and or to bring about effective, beneficial personal or organisational behaviour change and improvement within, across, and/or beyond the boundaries of private, public and third sector organisations, entities and other types of host system'.* (p. 213)

More recently, Hamlin (2019, p. 8) has offered a definition of HRD which asserts that:

> Contemporary HRD is '*the study or practice concerned with the diagnosis of performance-related behaviour change requirements at individual, group and organisational level within any host entity, and the design, delivery and evaluation of formal and/or informal learning activities to meet the identified needs*'. (Hamlin 2017)

These two conceptualisations of HRD are consistent with, but broader than, the concept of 'organisation development' (OD) which is widely understood to be concerned with the theory and practice of planned systematic change in the attitudes, beliefs and values of employees through the creation and reinforcement of long-term training programmes. As such, many consider OD to be one of the numerous HRD approaches for bringing about effective and beneficial planned change through learning. Additionally, the two conceptualisations of HRD reflect the critical contribution that the HRD function and professional HRD practitioners can and should make in the facilitation of (1) 'organisational change' (OC) which is a term typically referring to the process in which an organisation changes its structure, strategies, operational methods, technology or organisational culture and of (2) 'organisational development' which typically relates to any ongoing process of implementing effective change in how an organisation operates including OD. As Hamlin (2001a) argues, there are HRD implications implicit in all organisational change and development (OCD) initiatives whether executed at individual, group or organisation level:

> *'For every change, both large and small, either 'new' knowledge, attitudes, skills and habits (KASH) have to be acquired as in the case, for example, when new products, services, technologies, structures or systems are introduced; or alternatively 'existing' knowledge, attitudes, skills and habits must be re-dis-*

tributed, as in the case of downsizing or when mergers or acquisitions take place. Unless the KASH gaps flowing inevitably from organisational change initiatives are bridged efficiently and effectively, whether at the organisational, group or individual level, the organisation will not develop the critical capabilities [and competencies] required to make a successful transition from an [undesired] present state to the new [desired] future state'. (p. 27)

Hamlin (2001a) also argues that the extent to which appropriate HRD effort is incorporated into OCD programmes can critically determine whether a planned change succeeds or fails. Hence, if managers are to be in control of change they need to be 'learning focused' and in control of the KASH issues involved in the change process. However, many managers are not learning focused and give insufficient attention to OCD-related KASH issues. Hence, a major challenge confronting professional HRD practitioners is how to persuade or help managers to use HRD as a tool for managing and facilitating change effectively and beneficially.

Historically, various HRD practitioners have performed these change agency roles in strategic partnership with line managers, as illustrated by 18 reflections on practice case histories in Hamlin et al.'s (2001) edited book: *Organisational Change and Development: A Reflective Guide for Managers, Trainers and Developers*. These case histories were authored by HRD-orientated managers, trainers and developers who, during the 1990s, had brought about or had helped to bring about organisational change at a strategic or operational level in their respective private, public or voluntary/third (not-for-profit) sector organisations. Of the 18 case histories, 16 were based in the UK, one in Ireland and one in the Netherlands. In reflecting upon and writing about the process issues of their OCD change agency practice the authors were asked to identify: (1) what they perceived had been the critical factors that had contributed not only to their success but also to any failure they had experienced and (2) the insights and learned lessons (ILs) which they would like to share with other change agents. Hamlin (2001b) conducted a cross-case comparative analysis of these ILs and found ten of them to be generalised across many of the case histories and thus could be regarded as 'common insights and learned lessons' (CILs). Of these CILs, two suggested that being reflective and being research-informed were critical factors in assuring

maximum change agency effectiveness. This prompted him to argue that change agents 'should emulate the model of evidence-based medicine' and that 'evidence-based practice ought to become an essential feature in the process of managing organisational change and development' (p. 291).

More recently, he again voiced this same argument in Hamlin et al.'s (2019a) two-volume co-edited book *Evidence-Based Initiatives for Organisational Change and Development* (see Hamlin 2019), and he has also offered a definition of evidence-based organisational change and development (EBOCD) as follows:

> 'EBOCD is *the conscientious, explicit and judicious use of current best evidence and of action research to inform, shape, critically reflect upon, and iteratively revise decisions made in relation to the formulation and implementation of OCD interventions and the associated change management processes*'. (Hamlin 2016, p. 129)

The book is a reprised version of Hamlin et al.'s (2001) predominantly UK-centric book but is much larger in scale and is much more international in scope and range. It contains 53 chapters of which 42 demonstrate the practical reality of EBOCD in the real world of work. Nine of the 42 chapters were authored by 15 well-informed and seasoned OCD practitioners including HRD scholars and practitioners, OD specialists, executive coaches and change management consultants who offered their respective perspective on EBOCD based on their own evidence-based change agency experience in multiple organisational contexts in two Anglo countries (*Australia* and *the UK*) and four non-Anglo countries (*Brazil*, *Germany*, *Italy* and *Palestine*). The other 33 chapters contain reflective case histories of EBOCD initiatives in specific single organisation contexts that were authored by other evidence-based OCD practitioners. These included HRD-orientated organisational leaders/senior executives and functional managers, HRD scholars and practitioners, OD specialists, executive coaches and change management consultants. Of the 33 change initiatives, 18 were carried out within Anglo countries (*New Zealand*, *the UK* and *the USA*) and 15 within non-Anglo countries (*Germany*, *Honduras*, *India*, *Italy*, *Lebanon*, *Malaysia* [though linked to

Australia], *the Netherlands*, *Portugal*, *Singapore*, *Switzerland* and *the United Arab Emirates (UAE)*). Similar to the guidance given to contributors to the Hamlin et al. (2001) book, the authors of the 33 case history chapters were invited to make explicit in their critical reflective stories of evidence-based change agency those ILs they wished to share with other EBOCD practitioners.

The co-editors of the Hamlin et al. (2019a) book conducted a multiple cross-case comparative analysis (MCCCA) of (1) the aforementioned nine perspectives which led to the identification of four important factors that influence effective OCD and (2) the aforementioned 33 case histories which led to the validation of the ten original CILs on EBOCD identified by Hamlin (2001b) plus the identification of ten emergent new CILs. Building upon this past MCCCA study which has direct relevance for all OCD practitioners, and not least for HRD practitioners, this chapter has three specific aims as follows:

a) To elaborate upon the critical importance of an evidence-based practice (EBP) approach to change agency involving the use of *best evidence* to inform, shape and critically evaluate OCD initiatives;
b) To describe the research process of the previously cited MCCCA study and discuss the findings from the analysis;
c) To express these findings in the form of a conceptual process model for facilitating EBOCD and to discuss how the model can help HRD practitioners and other OCD-related change agents to enhance their change agency practice.

In terms of learning outcomes, it is anticipated that professional HRD practitioners and scholars and other people and organisation developers who read this chapter will acquire:

1. A greater awareness of how they can maximise their contribution to the achievement of organisational effectiveness and sustainable business success by acting as the strategic partners of managers in managing/facilitating OCD initiatives;

2. An appreciation of evidence that suggests that critical reflection is a legitimate and crucial part of effective change agency practice and that it needs to be an explicit part of the change management process;
3. A better understanding of the practical reality rather than the rhetoric of EBP approaches to OCD across countries and continents;
4. An appreciation of recently validated and newly emergent common insights and learned lessons and of several important factors that influence the effectiveness of OCD initiatives for bringing about effective and beneficial change.

5.2 A Compelling Rationale for EBOCD

The fast pace of technological and digital changes, developing and differing expectations of the workforce and shifting demographics in the competitive global context have resulted in the need for organisational leaders and their managers to recognise the uncertain and unpredictable environment in which they operate. Consequently, they need to find ways to successfully navigate through the complexity and ambiguity brought about by ongoing change and seek creative solutions to remain competitive and effective in the VUCA world of volatility, uncertainty, complexity and ambiguity (Bawany 2016; Cummings and Worley 2018). Human resource development and organisation development play a key role 'in helping organisations to change themselves' (Cummings and Worley 2018, p. 5). However, contemporary literature suggests that 70% or more of rightsizing, mergers, acquisitions and other organisational change programmes either fail or are just partially successful, and that the workplace challenges posed by OCD initiatives typically have a negative impact on employees (Hamlin et al. 2019a; Shook and Roth 2011; ten Have et al. 2017).

As a result of such failure rates, various scholars (see Hamlin 2001b) have suggested that organisational leaders, line managers and professional HRD practitioners should strive to become more critically reflective and evidence-based in their OCD-related change agency practices to improve the chances of change success. However, Mclean and Kim (2019)

contend that a major obstacle is the continuing lack of relevant management and OCD-related Mode 1 and Mode 2 research that change agents can draw upon to use as *best evidence* for informing, shaping and critically evaluating EBOCD initiatives. In the absence of such high strength forms of *best evidence* generation, there is a need to gather other forms of lower strength *best evidence*. These can include national and international examples of *situated expertise* in OCD-related change agency practice regarding what works and does not work to assist and support leaders, managers and HRD practitioners to make more informed decisions on developing organisational capability and implementing more effective organisational change.

5.3 EBOCD Change Agency Practice

This section outlines the critical change agency role of line managers and HRD practitioners in bringing about effective and beneficial OCD and the case for evidence-based change agency practice.

5.3.1 Critical Change Agency Role of Line Managers and HRD Practitioners

The need for managers to initiate and facilitate OC and OD programmes effectively and beneficially in the twenty-first century is increasing in frequency, pace and complexity (Cummings and Worley 2018; Hamlin et al. 2001). In this context, a major challenge facing modern-day managers and professional HRD practitioners is how best to help staff cope effectively within working environments that are in a state of constant flux. Unfortunately, many OCD programmes fail because managers and their HRD colleagues, as well as many external professional change agents (e.g. OD specialists, management consultants and executive coaches) whose services are used in support roles, find themselves unable to rise to the challenge because of a lack of change agency expertise caused by one or more underlying root failings (Hamlin 2001a). Most of these failings are attributed to managers' lack of knowledge about change agency

practice, the temptations to implement quick fixes, and not fully understanding the importance of leadership, culture and people issues. An additional failure is managers not appreciating the contribution that professional HRD practitioners can make towards the effective facilitation of organisational change processes. However, for those organisations that do facilitate OCD programmes effectively and beneficially, change initiatives become welcomed as opportunities for increasing efficiency and for building new organisational success.

Although it may be widely recognised that most managers in most organisations are to a greater or lesser extent agents of change, this cannot be assumed to be the case for most HRD practitioners. Historically, many have lacked high credibility in the eyes of managers. For some, this has not been helped by being part of HR departments which have also lacked status in the eyes of managers due to either: (1) the dominant focus of the HR function on personnel administration or (2) frustration with their experience of HR staff being too rigid, lacking in business acumen and always seeming to say 'no' when managers need them to help figure out how to make things work (Hamlin 2001a; Cardillo 2012). Thus, many managers have placed uniformly low role expectations on the HR function (Thornhill et al. 2000; Ulrich 1997) and, by association, also on the HRD function.

Consistent with the conceptualisation and definition of HRD offered by Hamlin and Stewart (2011) and Hamlin (2019) respectively, the role of modern-day HRD practitioners should embrace not only the learning and development field of practice but also the Organisational Development and Design and talent development aspects of the Talent Management fields of practice as defined by the Chartered Institute of Personnel and Development (CIPD) in the UK. As Stewart (2015) claims, HRD practitioners are change agents skilled in advising and helping managers with the facilitation of OCD programmes, either in their capacity as a colleague or as an external consultant. Indeed, Stewart and others have argued that HRD is of itself a strategic function which, when fully utilised, can have a significant impact on the survival and long-term business success of organisations (see Fredericks and Stewart 1996; Stewart and McGoldrick 1996).

The aforementioned views are consistent with Phillips and Shaw's (1989) advocacy of a consultancy approach for trainers which involves HRD practitioners operating not only as training consultants and learning consultants but also as organisational change consultants. Thus, both in theory and practice the contribution of appropriate HRD consultancy type practices can be a major influence on the interplay of culture, leadership and commitment of employees through shaping organisational culture, developing current and future leaders, building commitment among organisation members and anticipating and managing responses to changing conditions (Gold et al. 2009). These views resonate with Kohut and Roth's (2015) claim that 'HRD practitioners and scholars need [increasingly] to enter the fray of the discussion on change management' (p. 231) and they also align with McKenzie et al.'s (2012) observation that:

> *'the shift from operational and tactical HRD to strategic HRD has witnessed a metamorphosis for HRD practitioners increasingly becoming strategic partners in the business tasked with aligning people, strategy, and performance rather than simply promoting learning and development'*. (p. 354)

5.3.2 Case for Evidence-Based Change Agency Practice

It has been argued that for managers and HRD practitioners, including trainers, developers and other people and organisation developers such as OD specialists and executive coaches, to become truly expert they need to use the findings of high-quality management and HRD-related research to inform, shape and evaluate the effectiveness of their change agency practice (Hamlin 2001b). More recently, it has been argued that HRD practitioners should strive to become more critically reflective and truly evidence-based to improve their effectiveness and credibility in the eyes of senior executives and managers (Gubbins et al. 2018; Hamlin 2007; Holton 2004; Kearns 2014). Similarly, Rousseau and Barends (2011) have argued the case for human resource/human resource management (HR/HRM) practitioners in general to become evidence-based,

and Grant (2003) has called for evidence-based approaches to practice in the field (and business) of professional coaching. Similar calls have been made for managers and leaders to advance their professional practice using high-quality research to become evidence based. Additionally, there are many advocates of evidence-based management (EBMgt) (see Axelsson 1998; Brewerton and Millward 2001; Briner et al. 2009; Latham 2009; Pfeffer and Sutton 2006; Rousseau 2006, 2012; Stewart 1998).

The argument that managers and HRD practitioners should be critically reflective and evidence-based in their professional practice is compelling bearing in mind the increasing complexities, contradictions and paradoxes of organisations which make the tasks of facilitating OCD complicated (Hatton 2001; Vince 2014). Therefore, to meet the challenge of implementing complicated change agency tasks caused by the potential complexities, contradictions and paradoxes of change settings, evidence-based managers and evidence-based HRD practitioners (including OD consultants and executive coaches) need increasingly to use *best evidence* to inform, shape and evaluate their change agency practice. This could include (1) Mode 1 'scientific research' which is concerned with *conceptual knowledge* production and the testing of theory, (2) Mode 2 'applied research' which is mainly concerned with *instrumental knowledge* production to solve real-life problems, or (3) *best evidence* of lesser strength such as descriptive studies, the opinion of respected expert committees or, as previously mentioned, situated expertise based on the proficiency and judgment that individual managers acting as change agents acquire through experience and practice (Morrell 2008; Reay et al. 2009; Rynes and Bartunek 2017; Tourish 2013). McLean and Kim (2019) claim that, regardless of the research paradigm used, it is 'difficult (if not impossible) to generate knowledge that is likely to be accepted as evidence which can be applied broadly' (p. 716). They believe that a major limitation to what they refer to as *emerging* EBOCD is the existing research paradigms associated with publications and that this calls for a shift in mindset on the part of university administrators, journal editors and editorial boards and authors. Furthermore, they argue that replicated research needs to be valued and encouraged because it is through replicability that knowledge becomes acceptable as evidence.

Regardless of the approach or paradigm adopted or the strength of *best evidence* used to facilitate an OCD programme, planned change agency

activities need to build enough time for review and critical reflection. From such reflection, new theoretical insights can be gained as to why particular aspects of OCD programmes succeed or fail. Additionally, new ways of approaching the problems of change may emerge through the development of lay theories informed by their own professional practice. These are the types of key lessons that resulted from the OCD practitioner reflections on practice reported by Hamlin (2001b) in Hamlin et al. (2001). The practical importance of internal/in-company Mode 2 research, and in particular design science research as defined by van Aken (2005, 2007) and advocated by Hamlin (2007) as well as various other writers (see Kuchinke 2013; Sadler-Smith 2014) for generating *instrumental knowledge* to better understand the change context and help solve context-specific real-life problems, cannot be overstated.

In summary, if managers and HRD practitioners consciously use good/high-quality Mode 1 and Mode 2 research, whether conducted from the philosophical perspective of a particular research paradigm or the pragmatic approach, or if they use other forms of lower strength *best evidence* to help inform, shape and evaluate their change agency practice, then it is more likely that their resulting EBOCD interventions will be more effective than conventional OCD initiatives in bringing about beneficial change that leads to the intended desired state rather than to an undesired and unintended state. However, as previously mentioned, the present comparative dearth of OCD-related *best evidence* derived from Mode 1 research has led some writers to question whether the rhetoric of EBOCD will ever become a practical reality (see McLean and Kim 2019). In this chapter, however, a more positive and optimistic perspective is offered for two main reasons; the first is because of the wide range of extant OCD-related *best evidence* and other relevant literature that informed the change agency of the authors who contributed the 33 reflective case histories to the Hamlin et al. (2019a) book, and the second reason is because of the body of *best evidence* that resulted from the previously cited multiple cross-case comparative analysis (MCCCA) of those 33 case histories and of the nine contributed OCD practitioner perspectives. In the following section the research process and results of the previously discussed MCCCA study of EBOCD initiatives that was conducted by the authors of this chapter and first reported in Hamlin et al. (2019b) are discussed.

5.4 Empirical MCCCA Study of EBOCD Initiatives

5.4.1 Purpose of the Study and Research Questions

As previously mentioned, the purpose of the MCCCA study was to glean common insights and learned lessons from the candid and authentic voices of OCD practitioners who had used bodies of *best evidence* and/or had instigated research to help enhance their change agency capabilities. Four specific research questions were addressed as follows:

- RQ1: What insights and learned lessons about EBOCD can be deduced from the qualitative content analysis of critically reflective case histories of specific evidence-based (or not) OCD initiatives within 33 single organisation settings situated in four Anglo and 11 non-Anglo countries across five continents?
- RQ2: To what extent do the ILs identified by research question 1 (RQ1) lend support to ten CILs derived originally by Hamlin (2001b) from 16 UK-based and 2 non-UK-based critically reflective case histories published in Hamlin et al. (2001).
- RQ3: Can other new CILs be identified by subjecting to thematic analysis the ILs identified by RQ1 that are not convergent in meaning with any of the ten original CILs?
- RQ4: What insights about effective OCD and EBOCD practice can be identified by a qualitative content analysis of the perspectives on EBOCD initiatives carried out by 15 well-informed and seasoned OCD practitioners from two Anglo and four non-Anglo countries in multiple organisational settings?

5.4.2 Academic and Methodological Considerations

The philosophical stance adopted was based on the pragmatic approach (Morgan 2007) which allows researchers to deploy a research methodology and methods best suited for addressing the research questions rather than being constrained by what is privileged by a selected research paradigm.

Table 5.1 'Original' CILs deduced by Hamlin (2001b)

1.	Communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement
2.	Securing the active commitment, involvement and participation of senior to middle managers is pivotal
3.	Securing top management support
4.	Being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision
5.	Recognising and addressing the real problems or root causes of change agency problems, including the cultural dimensions
6.	Giving enough time for the OCD programme to take root and succeed
7.	Recognising the relevant contributions that the HR function can make and the strategic role it can play in bringing about transformational change
8.	The role of learning in the change management process and the need for a no-blame culture
9.	The importance of being reflective as a change agent
10.	The value of conducting internal research as part of the change agency practice

The entire contents of the 33 reflective case histories (stories) of specific OCD initiatives in single organisation contexts were initially subjected to qualitative theoretical analysis using *open* coding at the first level of analytic abstraction to disentangle the data line-by-line and sentence-by-sentence, and thereby identify segments (keywords, phrases and sentences) that could be expressed in the form of concepts (units of meaning) to which codes could be attached (Flick 2014). The aim was to search for commonalities and relative generalisations across the case histories and assess the extent to which the findings provided support for the ten original CILs identified by Hamlin (2001b) (see Table 5.1).

The ILs that could not be mapped were subsequently subjected to inductive *axial* coding to differentiate and group them into categories and thereby identify (if possible) a set of emergent new CILs about effective OCD initiatives and evidence-based change agency. This process involved searching for evidence of *sameness, similarity* or an element of *congruence* between the codes. *Sameness* was deemed to exist when the codes of two or more units of meaning were identical or near identical. *Similarity* was deemed to exist when the sentences and/or phrases of the coded concepts were different but the kind of meaning was the same.

Congruence existed where there was an element of sameness or similarity between the compared coded concepts.

To address RQ4, the contents of the selected perspectives on EBOCD initiatives presented in the nine chapters constituting Section 2 of Hamlin et al.'s (2019a) book were subjected to thematic analysis. The aim was to scrutinise what the respective OCD practitioner authors had claimed to be the important factors influencing effective organisational change and to identify those factors that were common across some or all nine perspectives.

5.4.3 Findings and Discussion

Of the ten original CILs, seven were strongly validated by over 50% (18 to 27) and a further two by over 40% (13 and 16) of the ILs abstracted from the 33 reflective case histories. Only one of the original CILs was weakly validated with just over 18% ($n = 6$) of the case histories. The coding of the remaining ILs led to the emergence of ten new CILs. The thematic analysis of the reflective perspectives on EBOCD initiatives offered by seasoned OCD practitioners operating in a wide range of Anglo and non-Anglo countries resulted in a synthesis of their insights and key learning. This synthesis suggests there are four important factors that influence effective OCD initiatives, namely context, leadership, communication and collaboration.

5.4.4 Specific Results of Addressing RQ1–RQ3

The results of comparing the reflective case histories are shown in the form of a grid (see Table 5.2). For each case history the 'x' in a grid box indicates those original CILs that are supported and thus validated by one or more ILs identified within the main text and/or the concluding reflections section of that respective case history.

Overall, the authors of 27 of the 33 (81.82%) case histories identified aspects of *Communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement* [in the change facilitation process] as a key insight/lesson regarding effective OCD and

Table 5.2 Result of MCCCA of the reflective case histories

Case histories (CHs)	Original common 'insights' and 'learned lessons' (CILs) (Hamlin 2001a)										Number and types of OCD-related *best evidence* references cited in the CHs			
Type of business	1	2	3	4	5	6	7	8	9	10	a	b	c	d
NZ and UK														
Trade Union	x	x	x								4	1	3	
Council	x	x		x	x		x			x	3			1
Healthcare	x	x	x	x		x		x	x	x	1		1	5
Manufacturing	x	x	x							x	9	1	5	2
Not-for-profit	x		x	x		x		x	x		3			
Manufacturing	x		x	x		x	x	x		x	3	1	2	
Healthcare	x	x		x		x		x	x	x	4	9		3
Aerospace						x		x	x		7	1	12	
Not-for-profit	x	x	x	x		x		x	x	x	2	6	1	
Policing			x		x			x	x	x		5	1	4
USA														
Entertainment	x	x		x		x		x	x	x	4			
Beverage	x	x				x				x	6		2	3
Professional services	x	x	x		x			x		x	5	1	1	
Healthcare	x			x					x	x	2	3	6	
Laboratories	x	x		x				x	x	x	3	3		
Healthcare			x			x		x	x	x	2	4		1
Healthcare	x	x	x	x	x	x	x	x	x	x	14	9	24	2
Education	x	x	x	x			x		x	x	1	2		
Non-Anglo														
Carpentry	x	x		x		x	x			x	6		1	
Healthcare	x	x	x	x	x	x	x	x		x	2	1		3
Gas	x	x			x	x			x	x	2		1	1
Banking					x				x	x	5		6	
Shipping/transport	x	x	x	x	x						5			
Automotive	x	x									4	2	3	1
Healthcare		x		x	x	x		x	x		5	3		2
Healthcare	x	x	x	x	x	x			x		4	2		
Education	x	x	x			x			x	x		2		2
Various					x	x			x	x	4	3	5	
Manufacturing	x	x		x	x	x		x	x		1	1	2	1
Banking	x								x	x	2	4	3	
Banking	x				x	x		x	x	x	1		1	1
Healthcare	x		x			x		x		x	1	4	2	3
Food	x	x		x		x		x	x		1	1	2	
No. of CHs	27	24	16	18	13	21	6	18	22	24				
No. of Refs											116	69	84	35

Source: Adapted from Hamlin et al. (2019a)

EBOCD change agency practice. The next two most supported original CILs were *Securing the active commitment, involvement and participation of senior to middle managers* and *The value of conducting internal research as part of the change agency practice*, with the authors of 72.73% (n = 24) of the case histories having identified in the main text and concluding reflections section of their respective stories various aspects of these two respective coding categories. Five of the other original CILs were supported by more than (or just less than) 50% of the case histories, namely *The importance of being reflective as a change agent* (22 of 33); *Giving enough time for the OCD programme to take root and succeed* (21 of 33); *Being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision* (18 of 33); *The role of learning in the change management process and the need for a no-blame culture* (18 of 33); and *Securing top management support* (16 of 33). It is noticeable that *Recognising and addressing the real problems or root causes of change agency problems, including the cultural dimension* was supported by evidence from only 39.39% (n = 13) of the case histories. The reason for this may be due to the fact that most of the OCD practitioner authors of the case histories had either acted in the role of internal change agents and may have already identified the real problems and root causes for the change, or they had been external consultants who had been working with the change managers in collaborative partnership from the time the OCD initiative had been first triggered by a problem where its root cause was not in question. However, this chapter suggests this original CIL, which is relevant to all external management consultants at the contracting phase of a new consultant-client relationship, should not be thought of as anything less crucial than any of the more supported CILs. Surprisingly, the CIL *Recognising the relevant contributions that the HR function can make and the strategic role it can play in bringing about transformational change* was supported by just 18.18% (n = 6) of the case histories. This limited amount of supporting evidence might be reflecting the negative view that many line managers have of the HR function and of HR professionals in general as previously discussed. The *axial* coding of the ILs that could not be mapped against the ten original CILs led to the emergence of ten new CILs as listed in Table 5.3.

Table 5.3 Emergent 'new' CILs deduced by the MCCCA study of 33 'reflective case histories'

1.	Create a vision and set of values that engage everyone
2.	Allow participative 'bottom-up' initiatives in the change process
3.	Adopt a shared/distributive leadership approach
4.	Engage participants affected by the change by giving them voice, using their expertise, involving them and treating them as active collaborative partners
5.	Recognise the power of trust and build on it
6.	Use theory and models as change agency tools and draw upon sources of 'best evidence' to inform and guide OCD processes
7.	Ensure understanding of individuals' interests and the power relationship between those involved in the change and also respect their perspectives
8.	Ensure collaboration between external (or internal) change consultants and the internal client change agents
9.	Ensure all change agents involved in the OCD processes become fully skilled and act as a team
10.	Ensure the 'soft' social/interpersonal relations/cultural aspects of OCD are given as much attention as the 'hard' strategy, structure and systems aspects

The columns to the right-hand side of Table 5.2, which show the number and types of OCD-related *best evidence* references cited in the reflective case history chapters, indicate the extent and range of literature that these EBOCD practitioners had drawn upon to inform, shape and critically evaluate their OCD initiatives and change agency practices. Across the 33 case histories, a total of 501 published works had been cited of which 304 are directly related to OCD issues. Of these, 116 (38.16%) are OCD and change management related books/handbooks or magazines including the Harvard Business Review (HBR); 69 (22.70%) are books and journal articles on OCD-related theories and models; 84 (27.63%) are journal articles reporting OCD-related generalised Mode 1 and context-general Mode 2 empirical research findings and 35 (11.51%) are journal articles or other publications reporting the results of context-specific (i.e. organisation-specific or sector-specific) OCD-related Mode 2 research or management investigations focused on hard fact data gathering to inform managerial decision-making. Thus, the implications are that there is already an existing and sizable body of *best evidence* of variable strengths currently available for OCD practitioners to draw upon if so inclined to become more research-informed and evidence-based.

5.4.5 Specific Results of Addressing RQ4

The variety of critical reflective perspectives on EBOCD practice constituting Section 2 of the Hamlin et al. (2019a) book were contributed by authors who are academics writing and researching about OCD, some of whom have been engaged in collaborative academic and industry partnerships to facilitate EBOCD initiatives; internal or external OCD-related consultants; and others who have amassed both insider and outsider knowledge of EBOCD through their various roles. Many of these authors presented perspectives on EBOCD initiatives within diverse organisational sectors. The change interventions ranged from training and coaching programmes to quality management, culture change, strategic direction, data-driven decision-making, acquisitions and applied theatre. Moreover, these contributions comprised an array of perspectives on EBP change agency in a wide range of Anglo and non-Anglo countries as previously indicated earlier in this chapter.

A synthesis of these contributions suggested that there are four important factors that influence effective OC which so happens to be consistent with existing literature. These factors include context, leadership, communication and collaboration. Furthermore, a review of the critical reflections upon EBOCD practice offered by these authors suggest that they had demonstrated their commitment to EBP through (1) the use of academic literature to inform their practice; (2) the use of models, frameworks and theories to underpin their practice; (3) the deployment of action research or instigation of research to generate new empirical evidence to inform their practice; and (4) critical reflection and introspection to enhance their practice.

- **Context:** The importance of understanding and being attuned to context was a theme that was consistent across these contributions. The majority of authors mentioned environmental and organisational contexts and increasing internal and external workplace pressures that impact change. The changing business environment was characterised as being volatile, uncertain, complex and ambiguous and how this effected 'C-suite' behaviours and expectations was mentioned along

with the changing market conditions and the need to evaluate the context, to align strategy within the context, to invest in learning and development particularly within higher levels of which will then lead to increased individual and organisational readiness to change, to have internal change agents who are attuned to the organisational context and culture and to ensure that attention is paid to the organisational history.

- **Leadership:** The importance of leadership resonated throughout these contributions in terms of leaders being committed and supportive of change endeavours, taking ownership and responsibility for the desired change, along with the point that leaders need to be competent change agents and that such competence may need to be developed. Some authors stated that leadership is about influencing others to make better decisions but they acknowledged that all leaders can and do sometimes make poor decisions. Other authors critically reflected upon the adverse consequences of leaders making hasty decisions. Top leadership qualities included being honest, competent, inspiring and forward-looking. It was suggested that change practitioners should also be ready and able to lead from the front and to demonstrate these essential qualities. Additionally, the leadership merry-go-round whereby constant changes at the top disrupt reactions and the flow of change over time was discussed with the links between leadership behaviour, specifically coaching skills and organisational culture, and employee engagement and performance.
- **Communication:** It was acknowledged that the more successful change programmes are those where a communication approach is used that ensures value alignment among those implementing the change, those impacted by the change process and the type of change process that is being implemented. Organisational culture and the values within it were recognised as driving the organisational mantra and the importance of an open and communicative organisational culture was acknowledged. Similarly, the importance of intense and opportune communication, the need for communications to be open and transparent and that successful change needs communication and involvement at all levels were also made clear. The authors asserted that

having a better understanding of the organisational culture and the values system within it will help the organisation to (1) better address resistance to change which is a phenomenon that is a shared responsibility among change agents and change recipients and (2) more effectively communicate, implement and embed change.

- **Collaboration:** The importance of involving organisational members, promoting participation and enabling collaboration was also a consistent theme across these contributions. Creating a climate of sharing and knowledge brokering to help improve and embed leadership decision-making, agreeing a 'route map' from the top level and insisting that the change messages need to come from one team only and using quality management could be a way to bring together other systems and processes into one core quality system approach. Finally, using applied theatre as an intervention can support individuals, managers and leaders within organisations to collectively navigate change through creating a safe place to work and to share emotions, feelings and reflections with others. This intervention relies heavily on participation and engagement and the creation of a safe space to enable participants to understand their emotional responses to change which may influence the ability to respond more effectively to it.

These four important factors (context, leadership, communication and collaboration) are often considered to be factors that can enable effective organisational change but, paradoxically, they can hinder organisational change. Moreover, the contributing authors also acknowledged how they embraced EBP in their OCD endeavours. Specifically, the use of existing OCD literature to inform practice was consistent across their contributions, as was the use of models, frameworks and theories along with data collection through 360-degree feedback, and the use of previously validated survey instruments and assessments along with action research approaches. Lastly, the importance of being a reflective OCD practitioner who engages in critical reflection and introspection was especially reiterated.

5.5 Conceptual Process Model for Facilitating EBOCD

As will be appreciated, the significance of the aforementioned four important factors has been well illustrated in many of the 33 reflective case histories. To summarise and integrate the CILs resulting from the MCCCA study discussed above, a conceptual process model for facilitating EBOCD has been created and offered as presented in Fig. 5.1. To avoid duplication, the CILs most associated with leadership, communication and collaboration have been placed in the model as OCD antecedents given the criticality of leadership, communication and collaboration to change agency practice.

The other CILS have been placed in the model as enabling and inhibiting factors that moderate the change process. Lastly, inclusion in the model of the organisational context which reflects both internal and external environmental factors reminds us of the situated nature of change agency practice. Table 5.4 has been developed to illustrate how the *best evidence* inputs, the CILs and the four important factors have been positioned in the model.

The offered conceptual process model in Fig. 5.1 clearly shows the Mode 1 and Mode 2 research inputs (antecedents) as *best evidence* to inform, shape and evaluate the formulation and execution of EBOCD strategies and plans throughout the change process. The model shows that EBOCD initiatives are subject to several moderating factors that can enable or inhibit progress before the desired outcome is reached. Ideally, the outcomes of effective OCD initiatives are beneficial to both the organisation, the teams and the individuals, but also feed into the creation of new Mode 2 instrumental knowledge and a larger body of *best evidence* that can be used for future change initiatives moving forward. In short, this model depicts the key learning from (1) all the insights and learned lessons resulting from the cross-case analysis of previous and current critical reflective case histories and (2) the four important factors deduced from the perspectives of well experienced/seasoned OCD practitioners.

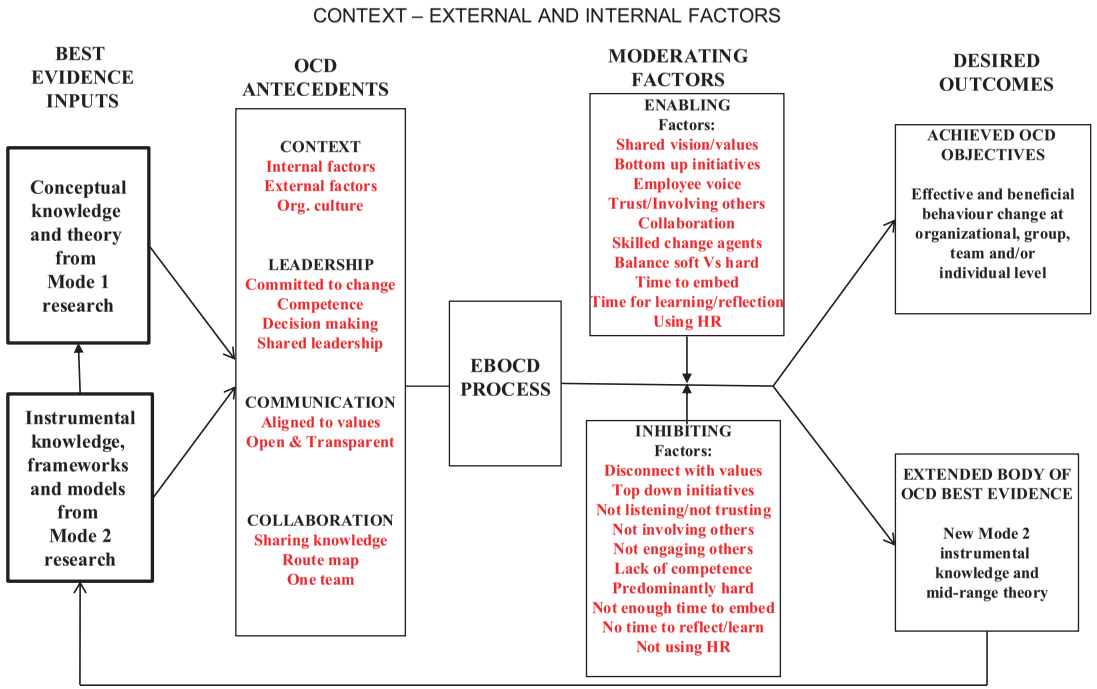

Fig. 5.1 Conceptual process model for facilitating evidence-based OCD

Table 5.4 Positioning of the 'original' and emergent 'new' CILs and the 'four important factors' within the offered conceptual process model for facilitating EBOCD initiatives

	'Original' common insights and learned lessons (CILs)	Positioning within the conceptual process model	Emergent 'new' common insights and learned lessons (CILs)	Positioning within the conceptual process model
1	Communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement	OCD antecedents—communication	Create a vision and set of values that engage everyone	Moderating factors
2	Securing the active commitment, involvement and participation of senior to middle managers is pivotal	OCD antecedents—leadership	Allow participative 'bottom-up' initiatives in the change process	Moderating factors
3	Securing top management support	OCD antecedents—l eadership	Adopt a shared/distributive leadership approach	OCD antecedents—leadership
4	Being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision	Moderating factors	Engage participants affected by the change by giving them voice, using their expertise, involving them and treating them as active collaborative partners	Moderating factors
5	Recognising and addressing the real problems or root causes of change agency problems, including the cultural dimensions	Context—external and internal factors	Recognise the power of trust and build on it	Moderating factors

(*continued*)

Table 5.4 (continued)

	'Original' common insights and learned lessons (CILs)	Positioning within the conceptual process model	Emergent 'new' common insights and learned lessons (CILs)	Positioning within the conceptual process model
6	Giving enough time for the OCD programme to take root and succeed	Moderating factors	Use theory and models as change agency tools and draw upon sources of 'best evidence' to inform and guide OCD processes	Best evidence inputs
7	Recognising the relevant contributions that the HR function can make and the strategic role it can play in bringing about transformational change	Moderating factors	Ensure understanding of individuals' interests and the power relationship between those involved in the change and also respect their perspectives	Moderating factors
8	The role of learning in the change management process and the need for a no-blame culture	Moderating factors	Ensure collaboration between external (or internal) change consultants and the internal client change agents	Moderating factors
9	The importance of being reflective as a change agent	Moderating factors	Ensure all change agents involved in the OCD processes become fully skilled and act as a team	Moderating factors
10	The value of conducting internal research as part of the change agency practice	Best evidence inputs	Ensure the 'soft' social/interpersonal relations/cultural aspects of OCD are given as much attention as the 'hard' strategy, structure and systems aspects	Moderating factors

5.6 Implications for HRD and OCD Practice

The purpose of this final section is (1) to outline for HRD practitioners and other OCD-related change agents who support organisational leaders and line managers engaged in managing change how the findings from the MCCCA study depicted in our offered conceptual process model can be translated into actionable strategies that seek to enhance their evidence-based change agency practice and (2) to consider the implications if managers within their organisations or host organisations are unable to rise to the challenge of change because of the OCD failings discussed earlier in this chapter.

5.6.1 Implications of the Importance of Evidence-Based Initiatives for OCD

Recognising that the 33 reflective case histories were indicative of the reality of EBOCD in the world of practice, the findings help to demonstrate that EBP in the field of OCD is not merely rhetoric emanating from the world of academe but key to change success. However, as stated earlier, the overall body of extant OCD-related *best evidence* is small compared to other areas of management/leadership study and practice. Hence, there is a need for far more conventional Mode 1 research that is designed to (1) gain a better relational understanding of those generic factors found within many if not most organisations which have the potential to either help or hinder OCD processes and (2) to generate (if possible) generalisable *conceptual knowledge* that has relevance and utility across multiple organisational settings. Additionally, as Hamlin (2015) has argued, there is a need for other paradigmatic approaches such as those based on pragmatism and mixed-method research. These include notions of Mode 2 research for generating context-specific *instrumental knowledge* for direct application, and of Mode 2 replication research studies that explore OCD-related issues, which are common to many organisations, with the aim of developing mid-range theory from practice through replication logic and multiple cross-case comparative analysis (Eisenhardt 1989; Tsang and Kwan 1999).

However, this chapter suggests that more *best evidence* derived from the *situated expertise* of other EBOCD practitioners, not least HRD practitioners who act as organisational change agents, is now required to validate the emergent new CILs and to further develop the deduced conceptual process model. If more EBOCD-related scholars and practitioners became more active in instigating and conducting design science research and other Mode 2 studies, and these were to be focused on OCD-related field problems and/or other issues of common concern or interest to managers in multiple organisations, the implication is that such studies could lead to a significant bridging or closing of the reputed research-practice gap in the field of OCD. To this end, HRD practitioners, with the support of HRD scholars, have an additional important role to play in identifying the organisational behaviour and associated KASH related field problems that need to be better understood through instigated academically rigorous Mode 2 research.

5.6.2 Implications If Managers Suffer from the Root Failings That Cause OCD Initiatives to Fail

Whatever level of evidence-based change agency expertise that HRD practitioners can acquire, such expertise will be put to little use unless and until line managers overcome the root OCD failings that cause change initiatives to fail. Herein lies a major challenge for HRD scholars who teach on management/leadership-related Masters level professional qualification programmes, such as the Master of Business Administration (MBA), and for HRD practitioners who deliver management and leadership development (MLD) programmes. It is suggested that HRD scholars could and should be ensuring that managers who graduate from such professional qualification programmes fully understand the importance and merits of being evidence-based and of the need to embed HRD into the fabric of their management and change agency practice so that appropriate attention and effort is given to the KASH issues and the role of learning (and unlearning) in the change management process. Furthermore, HRD scholars and HRD practitioners, including executive coaches involved in delivering MLD-related education or training

programmes for organisational leaders, senior executives and other top managers, could and should help them to (1) become more cognisant of the soft issues of management that should be considered when formulating OCD strategies, (2) give their line managers who implement their OCD strategies sufficient time to attend to the soft human aspects of the change management process and (3) increasingly recognise the value of evidence-based initiatives for OCD.

5.7 Conclusion

In terms of learning outcomes, at the start of this chapter it was anticipated that professional HRD practitioners and scholars and other people and organisation developers would acquire the following: (1) a greater awareness of how they can maximise their contribution to the achievement of organisational effectiveness and sustainable business success by acting as the strategic partners of managers in managing/facilitating OCD initiatives; (2) an appreciation of evidence that suggests that critical reflection is a legitimate and crucial part of effective change agency practice; (3) a better understanding of the practical reality rather than the rhetoric of EBP approaches; and (4) an appreciation of recently validated and newly emergent common insights and learned lessons and of several important factors that influence the effectiveness of OCD initiatives for bringing about effective and beneficial change.

It is hoped that the aforementioned conceptual process model for facilitating OCD, which depicts the ten validated original CILs and ten emergent new CILs resulting from the MCCCA study, together with the four important factors influencing the effectiveness of OCD processes that were derived from the perspectives of seasoned OCD practitioner, serves to address these learning outcomes. As such, the model will have relevance and utility for readers who are striving to become more effective in their OCD change agency practice. Recognising that current thinking suggests that change models do not fully explore or display the multiple approaches to change (Burnes 2014) and that one size does not fit all (Jones et al. 2019), it is anticipated at the very least that this model could serve as a useful guide in the following manner. First, it could be used to

help illustrate the action strategies that can be undertaken by those tasked with change agency responsibilities to ensure that available *best evidence* in the form of Mode 1 and Mode 2 research can be used as critical inputs. Second, it could be used to check the enactment of the validated original CILs and emergent new CILs that are shown as antecedents and moderating factors impacting on the formulation and execution of planned OCD strategies, processes and outcomes. Thirdly, it could remind, as well as influence, OCD practitioners to perpetuate the cycle of using *best evidence* to inform and shape OCD strategies through which new *best evidence* might be generated as part of the change agency process.

In conclusion, it is anticipated that the substantive content of this chapter, as reflected in the conceptual process model that is offered, will provide relevant and useful insights for organisational leaders, managers, professional HRD practitioners and other people and organisation developers on leading, managing and/or facilitating into the future more effective OCD initiatives in their own organisations and/or in host organisations. Furthermore, in line with the aims and scope of this book, it is hoped that this chapter has captured the current and future role and critical contribution of HRD theory and practice, albeit within the context of evidence-based organisational change and development. As a field, HRD academic scholars and professional practitioners have always been concerned with developing and enhancing learning, performance improvement and change interventions that enable organisational leaders, managers and the people within organisations to flourish and optimise organisational functioning. In particular, it has demonstrated empirically how critical reflection and learning at the individual, group and organisational levels are crucial elements of effective OCD change agency practice. As such, it is suggested that this illustrates how various aspects of HRD embedded in the everyday practices and strategies of leaders, managers and professional HRD practitioners can help to bring about effective and beneficial evidence-based organisational change that can inform the creation of future dynamic workplaces and development of future organisational capability. As will be appreciated, the main thrust of logical argument in this chapter has focused on recognising the critical importance of evidence-based practice (EBP) in the field of OCD. In the midst of the unprecedented changes that are currently being experienced

around the globe given the coronavirus disease of 2019 (Covid-19) pandemic, people are witnessing first-hand the importance of evidence-based practices that are informing and transforming our everyday personal and professional lives, our organisations, our communities and our world. It is imperative now, and in the foreseeable future, that leaders, managers and organisational members are well equipped with the knowledge, skills and capabilities to respond to, adapt to and even anticipate changes triggered by internal and external occurrences. Therefore, in addition to reaffirming the importance of evidence-based OCD change agency practice, the authors of this chapter suggest that there is an equally compelling need to recognise the critical contribution that evidence-based or research-informed approaches in all other areas of the HRD domain of professional practice can make. It is believed that such approaches will enable HRD to become even more relevant, viable and vibrant in the future.

Acknowledgements We would like to thank our colleagues at IGI Global Publishers for permitting us to reference, access and integrate content drawn from our recently co-edited published book, *Evidence-Based Initiatives for Organizational Change and Development*. We would also like to extend our sincere appreciation to the co-editors of this book and the reviewers who examined previous versions of this chapter; we are grateful for their comments and suggestions which further strengthened our contribution.

References

Axelsson, R. 1998. Towards an evidence-based healthcare management. *International Journal of Health Planning and Management,* 13(4), pp. 301–317.

Bawany, S. 2016. Leading change in today's VUCA world leadership. *Excellence Essentials* 33(2), pp. 31–32.

Brewerton, P., and Millward, L. 2001. *Organisational research methods*. London: Sage.

Briner, R., Denyer, D. and Rousseau, D. 2009. Evidence-based management: Concept clean-up time? *The Academy of Management Perspectives,* 23(4), pp. 19–32.

Burnes, B. 2014. *Managing change,* 6th Edition. Harlow: Pearson.

Cardillo, S. 2012. *The HR professional's role in building organisational success.* Kingston, Ontario, Canada: Queen's University IRC.

Cummings, T.G. and Worley, C.G. 2018. *Organisation Development and Change,* 11th Edition. CT, US: Cengage Learning.

Eisenhardt, K.M. 1989. Building theories from case study research. *Academy of Management Review* 14(4), pp. 532–550.

Flick, U. 2014. *An introduction to qualitative research,* 5th Edition. London: Sage.

Fredericks, J. and Stewart, J. 1996. The strategy-HRD connection. In *Human resource development: Perspectives, strategies and practice.* Edited by Stewart, J. and McGoldrick, J. Harlow, UK: FT Prentice Hall.

Gold, J., Holden, R., Iles, J., Stewart, J.D. and Beardwell, J. 2009. *Human resource development theory and practice*. Basingstoke, UK: Palgrave Macmillan.

Grant, A.M. 2003. *What is evidence-based executive, workplace, and life coaching?* Keynote address presented at the First Evidence-Based Coaching Conference, University of Sydney, Australia.

Gubbins, C., Harney, B., van der Werff, L. and Rousseau, D.M. 2018. Editorial: Enhancing the trustworthiness and credibility of human resource development: Evidence-based management to the rescue? *Human Resource Development Quarterly*, 29(3), pp. 193–202.

Hamlin, R.G. 2001a. A review and synthesis of context and practice. In *Organisational change and development: A reflective guide for managers, trainers and developers.* Edited by Hamlin, B., Keep, J, and Ash, K. Harlow, UK: FT Prentice Hall.

Hamlin, R.G. 2001b. Towards research-based organisational change and development. In *Organisational change and development: A reflective guide for managers, trainers and developers.* Edited by Hamlin. B., Keep. J, and Ash, K. Harlow, UK: FT Prentice Hall.

Hamlin, R.G. 2007. Generating HRD related 'general knowledge' from Mode 2 'design science' research: A cumulative study of manager and managerial leader effectiveness. In *AHRD International Research Conference.* Edited by Nafukho, F.M., Chermack, T.J, and Graham, C.M. AHRD International Research Conference: Academic Press.

Hamlin, R.G. 2015. "Paradigms, philosophical prisms and pragmatism in HRD research." In *Handbook of Research Methods on Human Resource Development,* Edited by Saunders, M.N.K. and Tosey, P. Cheltenham, UK: Edward Elgar Publishing.

Hamlin, R.G. 2016. Evidence-based organisational change and development: Role of professional partnership and replication research. In *Bridging the*

Scholar Practitioner Gap in Human Resources Development. Edited by Hughes, C. and Gosney, M.W. Hershey, PA: IGI Global.

Hamlin, R.G. 2017. Human Resource Development: Quo Vadis? Challenges Past, Present and Future. *Keynote Address at the UFHRD/AHRD 18th International Conference on HRD Research and Practice across Europe*. Universidade Europeia, Lisbon, Portugal.

Hamlin, R.G. 2019. Organisational change and development: The case for evidence-based practice. In *Evidence-Based Organisational Change and Development.* Edited by Hamlin, R.G., Ellinger, A.D. and Jones, J. Hershey, PA: IGI Global.

Hamlin, R.G. and Stewart, J.D. 2011. What is HRD? A definitional review and synthesis of the HRD domain. *Journal of European Industrial Training,* 35(3), pp. 199–220.

Hamlin, R.G., Jones, J. and Ellinger, A.D. 2019b. Concluding reflections and presentation of an EBOCD conceptual process model. In *Evidence-Based Organisational Change and Development.* Edited by Hamlin, R.G., Ellinger, A.D. and Jones, J. Hershey, PA: IGI Global.

Hamlin, R.G., Keep, J. and Ash, K. 2001. *Organisational change and development: A reflective guide for managers, trainers and developers*. Harlow, UK: FT Prentice Hall.

Hamlin, R.G., Ellinger, A.D. and Jones, J. 2019a. *Evidence-Based Organisational Change and Development.* Hershey, PA: IGI Global.

Hatton, A. 2001. The complexity-clarity paradox. In *Organisational change and development: A reflective guide for managers, trainers and developers.* Edited by Hamlin, B., Keep, J. and Ash, K. Harlow, UK: FT Prentice Hall.

Holton, E.F. III. 2004. Implementing evidence-based practice: Time for a national movement? *Human Resource Development Review,* 3(3), pp. 187–188.

Jones, J., Firth, J., Hannibal, C. and Ogunseyin, M. 2019. Keeping up with, and rethinking organisational change. In *Evidence-Based Organisational Change and Development.* Edited by Hamlin, R.G., Ellinger, A.D. and Jones, J. Hershey, PA: IGI Global.

Kearns, P. 2014. *Organisational learning and development-From an evidence base*. Abingdon, UK: Routledge.

Kohut, A. and Roth, G. L. 2015. Change management. In *The Routledge companion to human resource development.* Edited by Poell, R.F., Rocco, T.S. and Roth, G.L. Abingdon, UK: Routledge.

Kuchinke, P. 2013. Editorial: HRD as design science. *Human Resource Development International,* 16(4), pp. 369–373.

Latham, G.P. 2009. *Becoming an evidence-based manager: Making the science of management work for you*. Boston, MA: Davies-Black.

McKenzie, C., Garavan, T. and Carbery, R. 2012. Through the looking glass: Challenges human resource development (HRD) post the global financial crisis-business as usual? *Human Resource Development International*, 15(3), pp. 353–364.

McLean, G.N. and Kim, S. 2019. Limitations and Optimizing Applications of Evidence in Evidence-Based Practices in Organisational Change and Development. In *Evidence-Based Organisational Change and Development.* Edited by Hamlin, R.G., Ellinger, A.D. and Jones, J. Hershey, PA: IGI Global.

Morgan, B.L. 2007. Paradigms lost and pragmatism regained: Methodological implications of combining qualitative and quantitative methods. *Journal of Mixed Methods Research,* 1(1), pp. 48–76.

Morrell, K. 2008. The narrative of 'evidence-based' management: A polemic. *Journal of Management Studies,* 45(3), pp. 613–635.

Pfeffer, J. and Sutton, R I. 2006. *Hard facts, dangerous half-truths and total nonsense: Profiting from evidence-based management*. Boston: Harvard Business School Press.

Phillips, K. and Shaw, P. 1989. *A consultancy approach for trainers*. Aldershot, UK: Gower.

Reay, T., Berta, W. and Kohn, M.K. 2009. What's the evidence on evidence-based management? *The Academy of Management Perspectives* 23(November), pp. 5–18.

Rousseau, D.M. 2006. Is there such a thing as evidence-based management? *Academy of Management Review,* 31(2), pp. 256–269.

Rousseau, D.M. 2012. Envisioning evidence-based management. In *Handbook of evidence-based management*. Edited by Rousseau, D.M., New York: Oxford University Press.

Rousseau, D.M. and Barends, E.G.R.. 2011. Becoming an evidence-based HR practitioner. *Human Resource Management Journal,* 21(3), pp. 221–235.

Rynes, S.L. and Bartunek, J.M. 2017. Evidence-based management: Foundations, development, controversies and future. *Annual Review of Organisational Psychology and Organisational Behavior,* 4(1), pp. 235–261.

Sadler-Smith, E. 2014. HRD research and design science: Recasting interventions as artefacts. *Human Resource Development International,* 17(2), 129–144.

Shook, L.V. and Roth, G. 2011. Downsizing, mergers, and acquisitions: Perspectives of human resource development practitioners. *Journal of European Industrial Training*, 35(2), pp. 135–153.

Stewart, J. 2015. Strategic HRD. In *The Routledge companion to human resource development.* Edited by Poell, R.F., Rocco, T.S. and Roth, G.L., Abingdon, UK: Routledge.

Stewart, J. and McGoldrick, J. 1996. *Human resource development: Perspectives, strategies and practice*. Harlow, UK: FT Prentice Hall.

Stewart, R. 1998. More art than science? *The Health Service Journal,* 26(March), pp. 28–29.

ten Have, S., ten Have, W., Huijsmans, A.B. and Otto, M. 2017. *Reconsidering change management: Applying evidence-based insights in change management practice*. Abingdon, UK: Routledge.

Thornhill, A., Lewis, P., Millmore, M. and Saunders, M. 2000. *Managing change*. Harlow, UK: FT Prentice Hall.

Tourish, D. 2013. 'Evidence based management', or 'evidence oriented organizing'? A critical realist perspective. *Organisation,* 20(2), pp. 1–20.

Tsang, E.K.K. and Kwan, K.M. 1999. Replication and theory development in organisational science: A critical realist perspective. *Academy of Management Review,* 24(4), pp. 759–780.

Ulrich, D. 1997. *Human resource champions*. Boston, MA: Harvard Business School Press.

van Aken, J.E. 2005. Management research as a design science: Articulating the research products of Mode 2 knowledge production in management. *British Journal of Management,* 16(1), pp. 19–36.

van Aken, J.E. 2007. Design science and organisation development interventions: Aligning business and humanistic values. *The Journal of Applied Behavioral Science,* 43(1), pp. 67–88.

Vince, R. 2014. What do HRD scholars and practitioners need to know about power, emotion and HRD? *Human Resource Development Quarterly,* 25(4), pp. 409–420.

6

Coaching for Workplace Learning and Development

Duminda Rajasinghe and Clare Allen

6.1 Introduction

The dominant view of learning and development is partly influenced by a positivist philosophy (Bachkirova and Kaufman 2008) that views structured learning to be the most effective approach e.g. education systems. Most businesses also tend to believe in objectivity, thus measurability becomes of prime importance within most, if not all forms of organiational activity. Therefore, there is a tendency to believe in universal laws/ ways to learn and develop (Garvey 2011). This mode of learning and development is also regarded as highly prominent by the institutes that market standardisations and certifications. Traditional ways of learning and development appear to make it easier 'to judge success in teaching and learning' (Garvey et al. 2018, p. 110). There is a tendency to continue with current practices of learning and development rather than

D. Rajasinghe (✉) • C. Allen
University of Northampton, Northampton, UK
e-mail: Duminda.Rajasinghe@northampton.ac.uk; Clare.Allen@northampton.ac.uk

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_6

exploring more effective, inclusive and innovative ways of learning and development. However, the use of those relatively ineffective practices has been challenged by scholars and practitioners citing their inability to deliver results.

Consequently, versatile interventions like coaching have started to cement its position as an effective approach within the learning and development industry over the years. For example, noty just in coaching for adult learning and development (Lawrence 2017), but also in leadership development (Korotov 2017) and organisational development (Drake and Pritchard 2017). Coaching is accepted as (1) providing a safe space for learners to critically reflect on their experiences, (2) being a non-judgemental approach, (3) encouraging self-directed learning, (4) accommodating subjectivity of learning and development and (5) enhancing self-understanding and confidence of learners (Bennett and Campone 2017; Jones et al. 2016; Smither 2011). Coaching is also known to follow a learner-centred open approach to learning and development that facilitate individuals' development to be more creative, innovative and resilient. Therefore, coaching appears a vital tool for executives who are expected to develop their capacity for learning and draw energy, creativity and learning out of people that they work with (Ibarra and Scoular 2019).

This chapter critically explores how these characteristics of coaching link with adult learning theories to establish a conceptual understanding of how coaching can be effectively used for workplace learning and development. It is a timely need as the heterogeneity of coaching practitioners have placed coaching as a highly positive, result-orientated intervention but most of those claims are largely uncritical and there is a relative lack of research evidence to support such claims (Western 2012).

This chapter positions coaching and learning as a social process and suggests that coaching is an alternative to reductionist ways of learning in an organisational context. This may contradict some dominant views of both adult learning and coaching. However, its aim is to create a critical but constructive debate among practitioners, scholars and policy makers rather complying with a community that holds on to a particular world view. The chapter also evaluates the importance of workplace coaching to promote creativity within organisations. However, it does not discard the

possibilities of other development interventions but nonetheless aims to develop a conceptual rationale as to why coaching can be more effective for learning and development in today's organisations building upon the likes of Torraco and Lundgren (2020). These authors suggest that increasing understanding of effective ways of learning and development is shifting human resource development (HRD) practitioners towards more reliance on employee reflection, self-direction and experience-based learning. A Chartered Institute of Personnel and Development (CIPD; 2015) survey suggests that 96% of learning and development teams who participated in their study viewed coaching as a priority and as an innovative development approach. There is evidence that it continues to position itself as one of the most popular and effective HRD tools in modern organisations (CIPD 2019a; ICF 2016). Therefore, this chapter engages in a timely and relevant debate to inform wider stakeholders of HRD.

Readers are encouraged to question current practices of workplace learning and development as well as the arguments that are established within the chapter. The authors have also identified practical implications and future challenges of implementing coaching as a learning and development intervention. We hope our arguments will encourage informed debates amongst scholars, practitioners and policy makers and help deepen one's understanding of the influences of current and future practices in workplace learning and development.

6.2 Coaching

There are many perspectives on the origins of coaching (Gray et al. 2016). Some relate coaching to Socratic teachings (de Haan 2008) and a few writers link coaching to the Primordial era citing that coaching has been used to enhance hunting skills (Zeus and Skiffington 2000). One popular Primordial era argument is that coaching originates from the practice of coaching in sport to improve player performance (Whitmore 2012; Wilson 2007; Starr 2003). Emphasising performative links of coaching, Garvey (2011) discusses a wider range of initial uses of coaching, for example, tutoring for academic performance, performance improvements in boating and rowing, teaching the defence of the wicket in

cricket and in enhancing general knowledge and understanding. Despite the uses of coaching in different contexts, the interest here is the performative links that coaching has carried since its inception (Garvey et al. 2014) and interestingly 'a central discourse of more modern development in coaching continues to be performance improvement' (Gray et al. 2016, p. 15).

The authors of this chapter conceptualise coaching as a form of one-to-one developmental approach and it is a skill that effective leaders and managers at all levels should develop and employ (Ibarra and Scoular 2019). Due to its diversity of interpretations and applications, coaching does not seem to have any universal definitions, as the concept and practice appears to vary according to the context and the circumstances (Maltbia et al. 2014; Lofthouse 2019; Lai and Palmer 2019; Rajasinghe 2019). However, some (the dominant positivists within the field including professional bodies) continue to seek universal understanding. Sherman and Freas (2004) believe that having a universal definition is imperative to develop coaching as a more recognised profession. The field without such agreement according to these authors is a 'Wild West'. While appreciating the underying concerns, we question the way the debate is being framed. Garvey (2017) notes that the diversity within coaching has potential to energise creativity and encourage people to do things differently.

Therefore, as argued by Garvey (2011), coaching is a contextually dependent social activity. The idea is further strengthened by Bachkirova (2017, p. 31), emphasising coaching as a 'process of joint meaning-making between coach and the client'. Furthermore, the idea of exploring potentials of coaching in a business context links it with the concept that coaching is a professional practice (Grant 2006; Vidal- Salazar et al. 2012). These authors continue to support the developmental links that coaching has from its inception and argue that it is a collaborative, result-orientated developmental initiative that fosters self-directed learning. For this chapter, coaching is positioned as a *formal one-to-one collaborative and conversational relationship that facilitates learning and development*. We hope by being transparent with our working definition, this will provide a reference point to the readers of this chapter as well as to open up the opportunity for contradictory perspectives.

6.3 Coaching for Learning and Development

6.3.1 Collaborative Learning

Vygotsky (1978) champions the idea of collaborative learning. Whilst Vygotsky is primarily interested in child development, his ideas have relevance to coaching. He established the idea of a proximal development zone, which is a space where learners draw help from more knowledgeable peers or experts to expand what they can learn and do alone. This implies the possibility of enhanced understanding and learning if there is support and guidance available to the learners (Garvey 2017). Vygotsky developed the concept of 'scaffolding' (Wood et al. 1976) and the term is used by Wood et al. (1976) to highlight the importance of support from someone (who has the relevant expertise) to develop the learner. The term also recognises the temporary nature of support which links to coaching where the aim is to develop self-directed learners.

Vygotsky's notion that social interactions precede learner development suggests that the social context of any learning is important. He also recognises the value of collaboration (Gray et al. 2016). Vygotsky's (1978) key argument is that learning is social, which is the antithesis to the classroom-based education, the dominant learning mode. The concept of classroom education is based on learning outcomes that is teaching-directed and teacher-led. The dominance of this view may have influences on coaching in relation to, for example, goal setting (Garvey 2017). This approach is rarely questioned. As Garvey (2017) suggests, 'we have become so used to this approach that we no longer notice it' (p. 685).

It was during the 1970s, when people started differentiating child development from that of adults, the idea of 'andragogy' was introduced (Knowles 1975). Knowles (1975) argues that adult learners are able to control themselves and be more responsible for their development when compared to young learners. Therefore, adults are considered as self-directed responsible learners. In the context of this chapter, the concept appears relevant as this critical discussion explores how coaching facilitates learning and development. At least in theory, most adults are expected to be responsible and accountable for their learning and

development. Contrasted with pedagogy, this self-directed, self-initiated and self-motivated learning that adults undertake is labelled as andragogy (Knowles et al. 2015). This has had a great impact on the evolutionary thinking of adult learning and development (Cox 2006). Adding to Knowles' (1975) notion, Candy (1991) emphasises the importance of self-direction in adult learning and continues to reiterate that learners are more capable of defining their learning requirements than anybody else. The literature argues that coaching also supports a self-directed desire to learn and develop with intrinsically enhanced motivation (King and Eaton 1999; Giglio et al. 1998). Coaching's popular label that it is a 'coachee-led' intervention further justifies this view. Coaches in coaching engagements are meant to facilitate coachees to analyse their learning needs and devise action plans for their learning and development. This is also informed by the concept of andragogy where contents and assessments are mutually co-developed by the coach and the coachee. Coaching also appears to facilitate intrinsic motivations among learners (Du Toit 2014); part of it is due to self-directed and intentional buy-in to the learning process (Knowles et al. 2015). One does not claim that the extrinsic motivators do not count for learning and development, however, sustainability of learning appears to lie in the former (Bachkirova et al. 2014).

6.3.2 Learning from Experience

Another interesting and relevant perspective is learning from experience (Kolb 1984; Bachkirova et al. 2014), an idea that was originally discussed by Dewey in 1938 (Gray 2006). The argument behind experiential learning is that learning is not merely acquiring abstract knowledge (Kolb 1984). The process of learning is most important in experiential learning as concrete experience of learners form the basis for reflective observation (Bachkirova et al. 2014). Reflection then develops a learner's position on a particular topic and this, in turn, leads to actions (Brockbank and McGill 2012). Here, learning appears as a process transformed by experience into skills, knowledge, attitudes and beliefs (Jarvis et al. 1998). Deep learning leads to changes in perceptual 'schemas' of individuals by

surfacing taken-for-granted assumptions as part of the sense-making exercise (Du Toit 2014). Du Toit (2014) argues that 'we are more often than not unaware of our schemas and sense-making' (p. 286). According to the author, enhanced awareness of these schemas helps learners to better understand themselves. This appears to link with coaching as it is known for creating deeper understanding through facilitated reflective conversations. Moreover, the focus of experiential learning lies with the process and the technique rather than with the content. The focus here is comparable to that in coaching (Gray et al. 2016). Coaching recognises the impact of experience in individual learning but adopts a balanced view as experiential learning can also act as a barrier as reinforced mental models and 'schemas' can become rigid over the years and hinder learning and development (Bachkirova et al. 2014).

The coach's position as a critical friend is well-placed to challenge predispositions that the coachees (learners) hold. Thus, coaching appears to encourage learning and unlearning through self-evaluation and reflection (Du Toit 2014). The concept of reflective learning (Schön 1987; Kolb 1984; Honey and Mumford 1982) demonstrates that reflection on individual experiences and the experiences of others is important. The idea of reflection for learning and development is strengthened by Mezirow (1991) who argues that critical reflection creates awareness. This intentional reflective exercise is an internal process where the social context and experiences are acknowledged and learners are active individuals, open to challenges and to being challenged (Du Toit 2014). Brockbank et al. (2002) emphasise that the outcomes of these acts involve transformation and improvements of both the individual and the organisation. However, whilst intrapersonal reflection may be effective in offering opportunities for learning, it is unlikely to be sufficient to promote transformational learning (Brockbank and McGill 2012). According to Brockbank and McGill (2012), it is important that individuals engage in reflective dialogue with another in a dyadic developmental relationship. These arguments support the idea of dyadic relationship for adult learning. Coaching appears a good match here as it facilitates a critical reflective space and seems to link well with the notion of intrapersonal reflection (Gray et al. 2016; Ladegard and Gjerde 2014). This also complements

the idea of further exploring coaching as a workplace learning and development tool.

Looking at learning as a social practice as Garvey (2011), Garvey and Williamson (2002), Reynolds and Mason (2002) and Bandura (1977) do, it is arguable that Lave and Wenger (1991) use the concept of social learning to illustrate situated learning, particularly in the adult and executive learning context. They place learning and development in a social context rather than perceiving it as acquiring a certain type of knowledge or behaviour. These were challenging notions for the traditional practices and assumptions where learning was considered as the acquisition of certain knowledge and as an activity that has an absolute beginning and end. 'Psy expert' and managerialist discourses (Western 2017, Western 2012) of coaching seem to accommodate this idea of a concrete beginning and an end which is accomplished through set objectives and assessments linked to the expected learning outcomes. This idea seems to link with goal setting in coaching which, according to Western (2012), can harm the creativity and innovation of individuals. Thus, the 'soul guide' discourse of Western (2012) appears more appreciative of subjective and humanist nature of coaching. However, society appears to accept the idea of structured development which is something that people have been used to since their early education and entry into the school system. Therefore, challenging the dominant discourse of objectives and goals is very difficult. There is also an apparent contradiction here between the theory of goals and objectives applied to the coach and what the coaching experts say about coaching. Therefore, the analysis of the individual interpretations of coaching in different contexts to understand the meaning that social actors incorporate into the phenomenon appears relevant here (Rajasinghe 2019). That may also help understand the contextual perceptions of coaching and learning. Therefore, if coaching is to be viewed from the set position for this chapter, Western's (2017) concept of 'soul guide' and the network discourses appear more relevant as they appear to recognise coaching as humanist philosophy which is about 'individuals having the right to give meaning and shape to their own lives' (Garvey 2017, p. 684). This can be challenging for traditional HRD practitioners but providing such space for individuals can have significant impact on their learning and development (Knowles et al. 2015).

In addition, Lave and Wenger (1991) argue that learning is a situated activity and acknowledge it as a process of social participation. This means that learners actively participate and involve themselves in activities in order to learn. As a result of this involvement, learners gradually improve their abilities and become contributors to the process within the community. This shift is called the 'move from legitimate peripheral participation into full participation' (Lave and Wenger 1991, p. 37). This view of learning is reflected in some concepts discussed above, such as experiential learning, andragogy and reflective exercises. It also appears to relate to Cross' (2009) idea of distancing the teacher from the learner to create a more self-directed learning environment. Moreover, Lave and Wenger's (1991) concept of communities of practice encourages learners to be part of a social community in order to learn. These authors argue that a full contribution to the community is only possible with this active participation. This suggests the importance of the contextual knowledge that learners should acquire and constructs knowledge that fits the context that they are currently in. This clearly is the case for workplace learning and development. Therefore, it can be argued that coaching as a situated and social learning process can have considerable implications for workplace learning especially given its contextual, subjective and inclusive approach (Garvey 2017; Bachkirova and Kaufman 2008).

Furthermore, transformative learning theory redefines the educators' role in learning. Mezirow (1991) emphasises that educators should be responsible for fostering the critical self-reflective abilities of learners and encouraging them to act. He further argues that educators should encourage learners to critically examine their experiences and predispositions. This appears as an amalgamation of the concepts presented above, for example, learning through experience and reflection. The aim, as Mezirow (1991) notes, is to transform learners' perspectives of the world to a more meaningful, valuable one. However, transformation is not complete until the learners start acting on these new perspectives. This seems to link with Lave and Wenger's (1991) idea of full participation within the community of practice. Transformative learning seems to have challenged the structured, learning outcome (goal) driven learning and development. Mezirow (1991) lays a foundation for innovative learning and development approaches; the centre of his argument is to get learners to act on

learned perspectives and continue to challenge these through reflective exercises. Therefore, it is clear that transformative learning 'seeks to promote changes that go beyond behavioural change, posing a challenge to existing belief and ideas, and promoting the reconstruction of meanings' (Palma and Pedrozo 2016, p. 2). Coaching, as discussed above, also provides reflective space and given the non-judgemental, supportive but challenging nature of coaching (Wang 2012) appears a good tool here to encourage transformative learning that generates actions. Question-based conversational engagement with the coach also facilitates reconstruction of meanings through critical reflections (Du Toit 2014). Coaching is said to support learners (coachees) to become self-learners and facilitators of others' learning (Rajasinghe 2018) which can be a sustainable mode of learning for modern organisations.

Moreover, the context of learning, social cultural influences, moral issues and diverse experiences and personal transformations are all influential in learning and development (Garvey 2011). It is also clear that there are many different ways of learning. To re-state, this chapter does not attempt to discard the potential of any such ways including linear and reductionist views. However, evaluation of the nature of subjects, the purpose of learning and the different abilities of learners seem to have been ignored within the traditional approaches. These considerations may also have implications for the approach that the learners should follow. The required level of guidance and direction can also be varied due to the implications of these factors. Therefore, it argues that a process, andragogy-informed and open curriculum has more potential to generate creativity, innovation and learning (Garvey 2011). It is clear that the process and interactions of individual and organisational learning are complex. Therefore, 'relying on a single theory may not sufficiently represent the complexity of the phenomenon being studies' (Casey 2005, p. 143). Coaching appears as an appropriate intervention to facilitate such learning due to its ability to accompany diversity presence within workplace learning. Bachkirova et al. (2014, p. 8) confirm this by saying that andragogy, experiential learning and transformative learning theories 'are the heart of adult learning and development and consequently are the heart of coaching practice', and they emphasise that these learning theories represent the very nature of coaching.

The next section of this chapter discusses how learning and development that facilitates coaching helps enhance workplace creativity and innovation which is increasingly demanded by the current business organisations globally.

6.4 Coaching for Creativity in Organisations

The unprecedented and seismic changes within the business environment in the twenty-first century demand novel and unique solutions to the complex business dilemmas faced by both organisations and HR professionals (Fitzpatrick 2014). Thus, organisations are continuously exploring ways of stimulating creativity (Brix and Lauridsen 2012) which is acknowledged as a key component of competitive advantage at individual, team and organisational levels (McLean 2005; Dayan and Benedetto 2013). Resources alone are unlikely to promote creativity (de Vasconcellos et al. 2019) unless supported by organisational practices that enable creativity to continue unimpeded.

Therefore, it is important that organisations explore ways in which they can facilitate creativity in employees. HR practitioners have a key role to play to develop a culture that is receptive to fostering creativity at individual, group and institutional levels. It appears that applying coaching as a learning and development tool to enhance creativity can add depth and dimension to problem solving and innovation (Joo et al. 2013). This section of the chapter explores how attributes of coaching link with workplace creativity, first by briefly discussing creativity and then exploring potential links of creativity and coaching. Finally, the chapter considers some of the broader implications for HRD practice.

6.4.1 Creativity

Numerous definitions of creativity are presented within the current literature. For example, Amabile (1988) defines creativity as the generation of novel and useful ideas. Furthermore, some authors e.g. Besemer and O'Quin 1999 and Lubart 2001 suggest that creativity ultimately involves

the production of original, potentially workable, solutions to novel, ill-defined problems of relatively high complexity. Woodman et al. (1993, p. 293) more specifically mention that creativity is 'the creation of a valuable, useful new product, service, idea, procedure or process by individuals working within a complex social organisation'. Exploration of further definitions of creativity makes it evident that novelty, complexity and valuable solutions to current and potential issues appear as key terms (Joo et al. 2013; Zhang and Zhou 2014).

Early creativity research focused on individual traits and behaviours as indicators of creative potential (McCrae and Costa 1997; Tierney et al. 1999) and creativity was largely considered to be the domain of the talented few. However, more recently the focus has extended beyond the initial emphasis on individual traits, characteristics and skills to explore the more complex and contextual nature of creativity. Of particular importance to any understanding of creativity in a business context is the relationship between the individual and the organisation, and the complex interplay between a range of factors that encourage and inhibit the development of workplace creativity (Amabile 1996; McLean 2005). From this position, creativity is better understood as a relational social process which is influenced by a range of social, environmental, organisational, team and individual factors (Joo et al. 2013). Therefore, the broader and contextualised view of creativity stems from an integrationist perspective of creativity as a set of complicated interdependencies and it is much more than an isolated moment of discovery (Waples et al. 2011). This perspective appears to have a vital influence on the contemporary framing of creativity (Joo et al. 2013). Therefore, if one is to explore how learning and development can enhance the creativity within organisations, HRD professionals should understand how the interplay between these key stakeholders and complex social interactions with which they engage help or hinder employee creativity.

6.4.2 Coaching and Creativity

In the recent past, it has been recognised that creativity is a multi-dimensional phenomenon (Shalley and Gilson 2004); therefore, focusing

on one dimension of creativity can be problematic in terms of results and effectiveness. Gardner (2011) argues that creativity is a combination of inter-related subsystems such as the person, field (context), rules, processes, procedures, languages and policies. According to the author, how individuals interact with these subsystems has a significant influence on their creativity. Thus, facilitating creativity in organisations appears to be a complicated process.

To accommodate the complexity of creativity, diversity in the way creativity is learned and developed must be present. Such diversity is important to be sensitive to how creativity manifest and may 'look like' in different disciplines such as engineering and the arts, and even educational levels from nursery to university. In a business context, creativity training aims to cater to audiences across sectors (Scott et al. 2004). Diversity in creativity training is evident with various techniques employed, and content covered (Bull et al. 1995; Smith 1998; Scott et al. 2004). For example, imagery techniques can be popular with scholars and practitioners who believe in associational mechanisms. Similarly, knowledge driven techniques are used by the individuals who believe problem solving is a key element of creativity (Mumford et al. 2003). Bull et al. (1995) and Scot et al. (2004) also highlight that there are different approaches that have been practised, for example, cognitive, personality, motivational and social perspectives, depending on different interpretations of creativity within a particular context. Whether or not these varied modes of learning and development genuinely develop creativity remains a question. Nevertheless, coaching has the potential to accommodate such diversity and complexity expected of creativity. As this chapter identifies a number of themes from creativity training literature (discussed below briefly), linked with a discussion on coaching and learning. Readers are encouraged to reflect on characteristics of coaching and its association with different learning theories as they engage the following section (see Sections. 6.3 and 6.4).

Creativity training literature suggests that to facilitate creativity the training should focus on the cognitive process of individuals (Bink and Marsh 2000). Creativity might also be understood through motivational perspectives that influence employees to engage in creative activities and to take risks by doing things differently (Hirst et al. 2009; Liu

et al. 2016). Creativity has also been seen as a contextual skillset that may be cultivated (Amabile and Pillemer 2012; Joo et al. 2013) and as a competency that has a standard of development and attainment (Davies et al. 2018; Newton and Newton 2014). However, it is important to acknowledge that like in coaching), if organisations have a narrow focus on competency or skill development approach to creativity, there is a risk of inhibiting creativity.

Collaborative and independent approaches to working can promote creativity in different situations (Sitar et al. 2016). Social interactions and the enjoyment of engaging with others appear to spark creativity (Sitar et al. 2016; Johnson and Johnson 2009). Further to this, Sitar et al. (2016) suggest that the viewpoints of people who enjoy interacting with different people who possess diverse capabilities help them to achieve higher levels of creativity. Creativity begets creativity (Zhang and Zhou 2014). Carmeli and Schaubroeck (2007) suggest that employees who believe that their supervisors hold an expectation of creativity, trust and belief, tend to act more creatively. These authors also emphasise that individual willingness and commitment to engage in a creative activity is imperative to be successful in creative endeavours. Such proclivities have influences on self-confidence and self-efficacy (Byrge and Tang 2015). The ability to empathise and appreciate competing views are equally important for creativity (Shalley and Gilson 2004). We argue that the flexibility offered through coaching, in terms of learning space, content, approach and time, has the potential to stimulate new forms of learning and development approaches for creativity. Coaching can also be a vital tool to address the broader perspectives of creativity that varies from 'creative person, creative process, creative situation' (Woodman et al. 1993, Gardner 2011) and Amabile's (1996) emphasis on domain-relevant skills, creativity-relevant skills and intrinsic task motivation.

Some authors (Gardner 2011; Trench and Minervino 2015) identified that critical individuals are not only highly reflective but also tend to be critical of themselves. Encouraging reflection for creativity requires non-judgemental but challenging and critical space for people to encourage creativity. This idea complements the notion that idea generation and idea selection (through a critical evaluation) are equally important elements of creativity as the non-judgemental space has potential to

encourage ideation and critical reflective space that may help to evaluate the generated ideas critically. Intentional engagement with creative activities and positive feelings (Jaussi et al. 2017) are also seen as important factors that help people to be creative. Tierney and Farmer (2011) supports the significance of a self-directed and self-managed approach to creativity citing that forced or controlled approaches can have opposite effects (Zhang and Zhou 2014).

Earlier in this chapter, we identified that coaching creates a non-judgemental space, enhances critical reflective abilities of individuals and encourages an individualised and andragogy-driven open curriculum approach to enhance workplace learning and development. These appear to link closely with some of the prerequisites for creativity in organisations (Goodman and Dingli 2017). Deeper personal reflections and critical reflective enquiries (through coaching) can enable individuals to seek alternative approaches to their current practices. The possibility of creating such space through closed, teacher/trainer-led curriculum is contestable (Garvey 2011). Off-the-shelf curriculum purported to enhance creativity can have its own limitation in terms of its contextual inapplicability in different organisations. Similarly, the non-judgemental nature of coaching, and the confidential and safe environment that it cultivates (Whitmore 2012) possesses potential for encouraging experimentation with novel ideas. This is particularly important given the experimental nature of creativity (Lubart 2001).

Therefore, as previously mentioned, there are some close conceptual links between coaching and the development of creativity. However, it is understood that the link that has been seen is not exhaustive or conclusive. Coaching's ability to acknowledge diversity and contextual nature of learning and creativity may be more advantageous compared to other interventions. Non-judgemental questioning and space, reflective practices and the supportive nature of coaching can promote and encourage creative learning. In addition, Shoukry and Cox (2018, p. 414) place emphasis on coaching's ability to 'shift power and support agency' has potential to influence the social structure of an organisation which can be positively used to generate creativity. However, the ability of coaching to enhance creativity remain largely unexplored. This an opportunity to

undertake further research to develop an evidence base to improve the coaching practice and to promote developmental discourse of coaching further within organisations.

6.5 Practical Implications and Future Challenges

6.5.1 Establishing Rationale for Coaching and Managing Power Dynamics

An International Coaching Federation (ICF) (2016) survey suggests that the global revenue from coaching in 2015 was $2.356 billion which represents a 19% increase over the 2011 figures. Knight (2012, p. 52) emphasises that coaching (in an educational context) is 'between 6 to 12 times more expensive than traditional approaches to professional development' whereas Sherman and Freas (2004) estimate coaching expenditure in the USA to be around $1 billion. While there are competing estimates, most figures point towards the fact that coaching can be an expensive affair. Therefore, a strong rationale should be established to justify the investment and sourcing funding for such initiatives. This is of particular importance given the short-term orientation of many organisations when some benefits from coaching can take longer to come into fruition.

The power dynamics within the coaching engagement (the coachee, the coach and the organisation/funding body) plays a pivotal role in ensuring results. The extent to which the coachee has control of the process is arguable (Louis et al. 2014). Therefore, power dynamics of coaching relationships that are often disregarded (Welman and Bachkirova 2010) should be considered when attempting to facilitate coachee driven initiatives to avoid coaching being another mechanism of organisational control (Reissner and Du Toit 2011). The code of conduct and requirement for continuous professional development set by the European Mentoring and Coaching Council (EMCC), International Coaching Federation and Association for Professional Executive Coaching and Supervision (APECS) (Bachkirova 2011; Garvey et al. 2018) primarily focus on the practice of coaches, despite the codes of conduct focusing on

all direct stakeholders in a coaching relationship e.g. including the coachee and client, as a 'guidelines for overall coaching practice'. This suggest an imbalance of regulatory focus, with high emphasis on coaches.

Therefore, it is time for professional bodies to extend their focus beyond coaches and take into account the power dynamics of coaching relationships when they endeavour to set standards or codes of conduct for practice. The ICF claims that 'its position of CPD is aligned with … the CIPD, the Association for Coaching (AC)' (Garvey et al. 2018, p. 281) and the same three coaching bodies came together in 2012 to form Global Coaching and Mentoring Alliance (GCMA) (EMCC 2020) with the aim of promoting shared view of practice. While this may help with matters such as alignment of standards, these few institutions hold considerable influence over the coaching industry. Therefore, given the influence it wields, the transparency of the governance of these institutions are now more important than ever before. The future direction of the industry's governance and its standards of practice is a promising area of research.

The future of coaching, like many other professions, is dependent on continuous critical and constructive conversational engagement among professional bodies, academics and practitioners to co-construct the understanding of coaching and the future of the profession.

6.5.2 Perceptual Issues and Predispositions

Educators and trainers may find it difficult to allow coachees to develop their own learning agendas and to fully appreciate how such initiatives can help coachees to be more innovative and creative. However, there may be merits for coaches to more open to this idea especially if both coach and coachee to maximise the potential of the coaching relationship. Despite the innovative developments in adult learning, there is still appears to be dependency on traditional forms of learning and development. While these forms have worked well for many of us in the past, a radical future may mean that new approaches may be required (Loon, 2014). However, the inertia to change is significant. Educators, institutions, students and other interested parties can be reluctant to change for

various and at times perhaps legitimate reasons. The transition from trainer/teacher-centred, controlled approaches with defined stages (Gray et al. 2016) to more innovative, subjective open approaches like coaching is significant risk for many. Career progression and social expectations favour validated qualifications e.g. Master of Business Administration or Doctor of Business Administration. Therefore, learners tend to be qualification driven, and at times at this may be at the expense of genuine upskilling/reskilling and behavioural changes. Undertaking research and developing practices that demonstrates the effectiveness of these approaches are crucial to help inform learners and their organisations. Responsible professional bodies such as ICF, AC, APECS and EMCC can play a vital role here by encouraging coaching as a way of learning.

6.5.3 ROI, Diversity of Coaching and Practitioner Dominance

Ensuring a return on investment (ROI) are also challenges that need consideration (Grant 2012; Blackman et al. 2016). Funders of coaching will be concerned about their financial return; it is therefore, worth exploring ways of justifying the investments of the funders and educating them that solely considering ROI as a financial return in learning is mechanistic (Grant 2012).

Coaching may also mean different things to different people (Rajasinghe 2019, Garvey 2011). Therefore, understanding current and potential discourses (Western 2017; Garvey 2011) is important to make sense of what it is and how coaching can facilitate learning and development in different contexts. This appears to have been overlooked due to the dominant positivistic views and institutional attempts to standardise the coaching profession; consequently, little attention has been given to the subjective elements of coaching (Rajasinghe 2019; Fatien Diochon et al. 2019). This can harm the humanist nature of coaching (Garvey 2017) and can present a risk of losing potentials that were discussed within this chapter, in terms of learning and development and creativity. Therefore, it is important that the aforementioned professional bodies initiate

discussions about the extent of professionalisation appropriate for coaching and inform the wider stakeholders of coaching that there are emerging critical debates for and against the professionalisation of coaching (e.g. Garvey et al. 2018, pp. 228–269). In this context, rather than promoting convergence by using the power that professional bodies hold, they should see the possibilities of actively promoting convergence and even crossvergence within the field and aim to strike a balance among them.

Coaching is generally seen as a practitioner-dominant discipline (Garvey et al. 2014; Korotov 2017). The field is relatively under-researched despite the recent rapid development of research; and this particularly applies to coaching for creativity. Practitioner literature has placed coaching as a highly successful intervention in organisational contexts. Therefore, commissioning more research to explore diverse perceptions of coaching and promoting critical voices within the field is vital (Western 2012).

6.5.4 Coaching Practice in the Future

Coaching is increasingly popular (de Haan et al. 2013). There is an increasing evidence base developed to support coaching's potential as a learning and development intervention. Despite the reductionist nature of standardisation, the actors within such initiatives have positively influenced practitioners to reflect and to explore theoretical foundations of their practice. There is sufficient evidence within coaching literature now to counter-argue some early fears of coaching being a passing fad (Kilburg 1996; Tobias 1996).

In summary, based on the preceding discussion, there is sufficient evidence to explore the potential of using coaching for the development of creativity as part of a HRD strategy for any organisations. Coaching is increasingly popular and regarded as one of the priorities in devising HRD strategies (CIPD 2019a, ICF 2016; CIPD 2015). This is a result of increased awareness of the vast benefits of coaching that goes beyond performance (ICF 2016; Bachkirova 2017). The andragogy informed, open nature of coaching engagement and its ability to accommodate subjective and contextual learning needs of individuals appear to reconcile

current HRD demands to ensure human capital readiness within disruptive work environments (CIPD 2020). The acceptance of an open curriculum, self-directed nature of learning, reflective, transformative, experiential, and social learning points towards the employment of coaching as a vehicle to achieve these gains in employees' learning and development. There is also growing evidence of the benefits of coaching from the perspective of ROI (McGovern et al. 2001; De Meuse et al. 2009; Grant 2012; Lawrence and Whyte 2014), enhanced staff engagement, decreased stress levels, improved employee resilience and wellbeing (Grant 2012). We hope this chapter has helped HRD practitioners to make sense as to why coaching can be a more effective learning and development intervention for organisations than some traditional approaches that they currently employ.

6.6 Conclusion

This chapter placed a high emphasis on adult learning theories to argue coaching's potential for workplace learning, development and creativity. However, the value of adult learning theories and this chapter's position of using some of those theories to argue the relevance of coaching offer just another perspective for coaching practitioners and researchers. This can appear as a relevant point of reference for coaches and other HRD practitioners to understand theoretical underpinnings of their practice. The aim of this chapter as to develop a critical debate to enhance overall HRD practice within modern organisations and to discuss positive perceptions of coaching that can be used to unlock the potential of people in organisations. We hope the discussions within this chapter provides some food for thought to coaches in their employment of coaching models and enhancement of their overall practice. We also hope the discussion here may help to inform efforts to develop industry standards. While we have argued that coaching can be used as a tool to facilitate creativity within organisations, however, this conjecture need to be further researched to enhance our critical understanding of the utility and impact of coaching on creativity development.

6.7 Summary

Coaching is an invaluable approach to workplace learning and development. Coaching draws upon a number of established learning theories such as experiential, reflective and transformative learning. In line with the chapter's objective, we have argued that coaching has the potential to generate creativity within organisations. We have also discussed practical implications and future challenges of coaching. The chapter emphasises the need for wider research within the field and more critical and analytical debates with wider stakeholders to inform the practice of coaching. We hope this chapter has laid a foundation for future discussions about the humanist nature of both coaching and the benefits it can provide.

References

Amabile, T.M. 1988. A model of creativity and innovation in organisations. In *Research in Organisational Behaviour*, Edited by Staw, B.M. and Cummings, L.L. (123–167), Greenwich, CT: JAI Press.

Amabile, T.M. 1996. *Creativity in context: Update to the social psychology of creativity*. Boulder, CO: Westview.

Amabile, M., and Pillemer, J. 2012. Perspectives on the Social Psychology of Creativity. *Journal of Creative Behaviour,* 46(1), pp. 3-15.

Bachkirova, T. 2011. *Developmental Coaching: working with the self.* London: Open University Press.

Bachkirova, T. 2017. Developing a knowledge base of coaching: questions to explore. In: *Sage Handbook of Coaching*, Edited by Bachkirova, T., Spence, G. and Drake, D. (23-41), London: Sage Publications Ltd.

Bachkirova, T. and Kauffman, C. 2008. Many ways of knowing: How to make sense of different research perspectives in studies of coaching. *Coaching: An international journal of theory, research and practice,* 1(2), pp. 107-113.

Bachkirova, T., Cox, E. and Clutterbuck, D. 2014. Introduction. In: *The complete handbook of coaching*, Edited by Cox, E., Bachkirova, T. and Clutterbuck, D. (1-18). 2nd ed, London: Sage Publications Ltd.

Bandura, A. 1977. Self-efficacy: toward a unifying theory of behavioural change. *Psychological Review,* 84(2), pp. 191-215.

Bennett, J.L. and Campone, F. 2017. Coaching and theories of learning. In: *Sage handbook of coaching,* Edited by Bachkirova, T., Spence, G. and Drake, D. (102–120), London: Sage Publications Ltd.

Besemer, S.P. and O'Quin, K. 1999. Confirming the three-factor creative product analysis matrix model in an American sample. *Creativity Research Journal*, 12(4), pp. 287-296.

Bink, M.L. and Marsh, R.L. 2000. Cognitive regularities in creative activity. *Review of General Psychology*, 4(1), pp. 59-78.

Blackman, A., Moscardo, G. and Gray, D. 2016. Challenges for the theory and practice of business coaching: A systematic review of empirical evidence. *Human Resource Development Review,* 15(4), pp. 459-486.

Brix, J., and Lauridsen, K. 2012. Learning styles and organisational development in practice: an exploratory study of how learning styles and individual learning strategies can facilitate organisational development. *International Journal of Innovation and Learning,* 12(2), pp. 181-196.

Brockbank, A. and McGill, I. 2012. *Facilitating reflective learning: coaching, mentoring and supervision*, 2nd Edition. London: Kogan Page Publishers.

Brockbank, A., McGill, I. and Beech, N. 2002. Reflective learning in practice. London: Gower Publishing Ltd.

Bull, K.S., Montgomery, D. and Baloche, L. 1995. Teaching creativity at the college level: A synthesis of curricular components perceived as important by instructors. *Creativity Research Journal,* 8(1), pp. 83-89.

Byrge, C. and Tang, C. 2015. Embodied Creativity Training: Effects on Creative Self-efficacy and Creative Production. *Thinking Skills and Creativity,* 16(1), pp. 51-61.

Candy, P. 1991. *Self-direction for lifelong learning. A comprehensive guide to theory and practice*. San Francisco: Jossey-Bass.

Carmeli, A., and Schaubroeck, J. 2007. The influence of leaders' and other referents' normative expectations on individual involvement in creative work. *The Leadership Quarterly,* 18(1), pp. 35-48.

Casey, A. 2005. Enhancing individual and organisational learning: A sociological model. *Management Learning,* 36 (2), pp. 131-147.

CIPD, 2015. *Learning and Development: Evolving roles, enhancing skills* https://www.cipd.co.uk/knowledge/strategy/development/surveys (Accessed on 15 March 2020).

CIPD, 2019. *The transformation journey: Today's learning strategy for tomorrow's business success* https:// cipd.co.uk/knowledge/strategy/development/surveys (Accessed on 12 March 2020).

CIPD, 2019a. *Coaching and Mentoring* https://www.cipd.co.uk/knowledge/fundamentals/people/development/coaching-mentoring-factsheet#6999 (Accessed on 30 March 2020).

CIPD, 2020. *Learning and development strategy and policy* https://www.cipd.co.uk/knowledge/strategy/development/factsheet (Accessed on 4 April 2020).

Cox, E. 2006. An adult learning approach to coaching. In *Evidence based coaching handbook,* Stober, G. and Grant, A.M. (193-217) Hoboken: Wiley Publishing.

Cross, S. 2009. *Adult teaching and learning: developing your practice*. Maidenhead: McGraw-Hill Education.

Davies, L.M., Newton, L.D. and Newton, D.P. 2018. Creativity as a twenty-first-century competence: an exploratory study of provision and reality. *Education,* 46(7), pp. 879–891.

Dayan, M. and Di Benedetto, A. 2013. An exploratory study of entrepreneurial creativity: its antecedents and mediators in the context of UAE firms. *Creativity and Innovation Management,* 22(3), pp. 223-240.

de Haan, E. 2008. I doubt therefore I coach: Critical moments in coaching practice. *Consulting Psychology Journal: Practice and Research,* 60(1), pp. 91-105.

de Haan, E., Duckworth, A. Birch, D. and Jones, C. 2013. Executive coaching outcome research: the contribution of common factors such as relationship, personality match and self-efficacy." *Consulting Psychology Journal: Practice and Research,* 65(1), pp. 40-57.

De Meuse, K.P., Dai, G. and Lee, R.J. 2009. "Evaluating the effectiveness of executive coaching: Beyond ROI?" *Coaching: An International Journal of Theory, Research and Practice, 2*(2), pp. 17-134.

de Vasconcellos, S.L., Garrido, I.L. and Parente, R.C. 2019. Organisational creativity as a crucial resource for building international business competence. *International Business Review*, 28(3), pp. 438-449.

Drake, D. and Pritchard, J. 2017. Coaching for organisational development. In *Sage handbook of coaching.* Edited by Bachkirova, T., Spence, G. and Drake, D. (159-175) London: Sage Publications Ltd.

Du Toit, A. 2014. *Making sense of coaching*. London: Sage Publications Ltd.

EMCC, 2020. *Global coaching and mentoring Alliance* https://www.emccglobal.org/about_emcc/gcma/ (Accessed on 10 April 2020).

Fatien Diochon, P., Otter, K., Stokes, P. and Van Hove, L. 2019. Let's Sculpt It! Experiencing the Role of Organisational Context in Coaching. *Management Teaching Review* 00(0), pp. 1-15.

Fitzpatrick, L. 2014. The Cycle of Creativity: Gestalt Coaching and the Creative Process. *Gestalt Review,* 18(2), pp. 161-171.

Gardner, H. 2011. *Creating minds: An anatomy of creativity seen through the lives of Freud, Einstein, Picasso, Stravinsky, Eliot, Graham, and Ghandi*. Civitas Books.

Garvey, B. 2011. *A very short, fairly interesting and reasonably cheap book about coaching and mentoring*. London: Sage Publications Ltd.

Garvey, R. 2017. Issues of assessment and accreditation of coaches. In *Sage Handbook of Coaching,* Edited by Bachkirova, T., Spence, G. and Drake, D. (680-695), London: Sage Publications Ltd.

Garvey, R., & Williamson, B. 2002. *Beyond knowledge management dialogue, creativity and the corporate curriculum*. Essex Prentice Hall.

Garvey, B., Stokes, P. and Megginson, D. 2014. *Coaching and mentoring: theory and practice,* 2nd Edition. London: Sage Publication Ltd.

Garvey, B., Stokes, P. and Megginson, D. 2018. *Coaching and mentoring: theory and practice*, 3rd Edition. London: Sage Publications Ltd.

Giglio, L., Diamante, T. and Urban, J.M. 1998. Coaching a leader: leveraging change at the top. *Journal of Management Development and Learning in Organisations*, 1 (2), pp. 93-105.

Goodman, M. and Dingli, S.M. 2017. *Creativity and strategic innovation management: Direction for future value in changing times,* 2nd Edition. Oxon: Routledge.

Grant, A. 2006. A personal perspective on professional coaching and the development of coaching psychology. *International Coaching Psychology Review,* 1(1), pp. 12-22.

Grant, A.M. 2012. ROI is a poor measure of coaching success: towards a more holistic approach using a well-being and engagement framework. *Coaching: An International Journal of Theory, Research and Practice,* 5(2), pp. 74-85.

Gray, D.E. 2006. Executive coaching: towards a dynamic alliance of psychotherapy and transformative learning processes. *Management Learning,* 37(4), pp. 475-497.

Gray, D.E., Garvey, B. and Lane, D.A. 2016. *A critical introduction to coaching and mentoring: debates, dialogues and discourses*. London: Sage Publications Ltd.

Hirst, G., Van Knippenberg, D., and Zhou, J. 2009. A cross-level perspective on employee creativity: Goal orientation, team learning behaviour, and individual creativity. *Academy of Management Journal*, 52(2), pp. 280-293.

Honey, P. and Mumford, A. 1982. *The manual of learning styles*. Maidenhead: Peter Honey Publications.

Ibarra, H. and Scoular, A. 2019. *Leader as Coach.* https://hbr.org/2019/11/the-leader-as-coach, *Harvard Business Review* (Accessed on 27 December 2019).

ICF, 2016. *Global Coaching Study.* https://coachfederation.org/app/uploads/2017/12/2016ICFGlobalCoachingStudy_ExecutiveSummary-2.pdf (Accessed on 30 March 2020).

Jarvis, P., Holford, J. and Griffin, C. 1998. T*he theory and practice of learning*. London: Kogan Page.

Jaussi, K.S., Knights, A.R., and Gupta, A. 2017. Feeling good, being intentional, and their Relationship to two types of creativity at work. *Creativity Research Journal,* 29*(*4), pp. 377-386.

Johnson, D.W. and Johnson, R.T. 2009. An educational psychology success story: Social interdependence theory and cooperative learning. *Educational Researcher,* 38(5), 365-379.

Jones, R.J., Woods, S.A. and Guillaume, Y.R. 2016. The effectiveness of workplace coaching: A meta-analysis of learning and performance outcomes from coaching. *Journal of Occupational and Organisational Psychology,* 89(2), pp. 249-277.

Joo, B., McLean, G. and Yang, B. 2013. Creativity and Human Resource Development: An Integrative Literature Review and a Conceptual Framework for Future Research. *Human Resource Development Review,* 12(4), pp. 390-421.

Kilburg, R.R. 1996. Toward a conceptual understanding and definition of executive coaching. *Consulting Psychology Journal: Practice and Research,* 48(1), pp. 134–144.

King, P. and Eaton, J. 1999. Coaching for results. *Industrial and Commercial Training,* 31(4), pp. 145-151.

Knight, D.S. 2012. Assessing the cost of instructional coaching. *Journal of Education Finance,* 38(1), 52-80.

Knowles, M. 1975. *Self-directed learning: a guide for learners and teachers*. New York: Associated Press.

Knowles, M.S., Holton, E.F. and Swanson, R.A. 2015. *The adult learner: the definitive classic in adult education and human resource development*, 8th Edition. Oxon: Routledge.

Kolb, D.A. 1984. *Experiential learning*. New Jersey: Prentice Hall.

Korotov, K. 2017. Coaching for leadership development. In S*age handbook of coaching*, Edited by Bachkirova, T., Spence, G. and Drake, D., 139-158. London: Sage Publications Ltd.

Ladegard, G. and Gjerde, S. 2014. Leadership coaching, leader role-efficacy, and trust in subordinates: a mixed methods study assessing leadership coaching as a leadership development tool. *The Leadership Quarterly,* 25(4), pp. 631-646.

Lai, Y. and Palmer, S. 2019. Understanding evidence-based coaching through the analysis of coaching psychology research methodology. In *Handbook of coaching psychology: A guide for practitioners,* Edited by Palmer, S. and Whybrow, A., 2nd ed. (80-90). London: Routledge.

Lave, J. and Wenger, E. 1991. *Situated learning: legitimate peripheral participation.* Cambridge: Cambridge University Press.

Lawrence, P. 2017. Coaching and adult development. In *Sage Handbook of Coaching,* Edited by Bachkirova, T., Spence, G. and Drake, D. (21-138). London: Sage Publications Ltd

Lawrence, P. and Whyte, A. 2014. What is coaching supervision and is it important?, Coaching: An International Journal of Theory, *Research and Practice*, Vol. 7, Iss. 1, 39-55. DOI: 10.1080/17521882.2013.878370.

Liu, D., Jiang, K., Shalley, C.E., Keem, S. and Zhou, J. 2016. Motivational mechanisms of employee creativity: A meta-analytic examination and theoretical extension of the creativity literature. *Organisational Behaviour and Human Decision Processes,* 137(1), pp. 236-263.

Lofthouse, R.M. 2019. Coaching in Education: a professional development process in formation. *Professional Development in Education,* 45(1), pp. 33-45.

Loon, M. 2014. L&D: *New Challenges, New Approaches*. London: Chartered Institute of Personnel and Development. URL: https://www.cipd.co.uk/Images/l-and-d_2014-new-challenges-new-approaches_tcm18-9172.pdf.

Louis, D. and Fatien Diochon, P. 2014. Educating Coaches to Power Dynamics: Managing Multiple Agendas within the Triangular Relationship. *Journal of Psychological Issues in Organisational Culture* 5(2), pp. 31-47.

Lubart, T.I. 2001. Models of the creative process: Past, present and future. *Creativity Research Journal,* 13(3-4), pp. 295-308.

Maltbia, T.E., Marsick, V.J. and Ghosh, R. 2014. Executive and organisational coaching a review of insights drawn from literature to inform HRD practice. *Advances in Developing Human Resources*, 16(2), pp. 161-183.

McCrae, R., and Costa, P. 1997. Personality Trait Structure as a Human Universal. *American Psychologist*, 52(5), pp. 509-16.

McGovern J, Lindemann M, Vergara M, Murphy S, Barker L, Warrenfeltz R. 2001, Maximising the impact of executive coaching behaviour change, organization outcomes and return on investment, *The Manchester Review*, Vol. 6, No. 1, pp.1-9. URL: https://www.perspect.ca/pdf/Executive Coaching.pdf.

McLean, L. 2005. Organisational culture's influence on creativity and innovation: A review of the literature and implications for human resource development. *Advances in Developing Human Resources,* 7(2), pp. 226-246.

Mezirow, J. 1991. Transformative dimensions of adult learning. San Francisco: Jossey-Bass.

Mumford, M.D., Connelly, S., and Gaddis, B. 2003. How creative leaders think: Experimental findings and cases. *The Leadership Quarterly,* 14(4-5), pp. 411-432.

Newton, L.D. and Newton, P. 2014. Creativity in 21st-Century Education. *Prospects*, 44 (4), pp. 575-589.

Palma, L.C. and Pedrozo, E.A. 2016. Transformative learning to promote sustainability: inserting the third level of learning in management programs. *Brazilian Journal of Science and Technology,* 3(1), pp. 1-17.

Rajasinghe, D.R. 2018. Leadership development through executive coaching: an interpretative phenomenological analysis *PhD thesis*, Leeds: University of Leeds.

Rajasinghe, D. 2019. Interpretative phenomenological analysis (IPA) as a coaching research methodology. *Coaching: An International Journal of Theory, Research and Practice*. DOI: https://doi.org/10.1080/17521882.2019.1694554.

Reissner, S.C. and Du Toit, A. 2011. Power and the tale: coaching as storytelling. *Journal of Management Development,* 30(3), pp. 247-259.

Reynolds, J. and Mason, R. 2002. *How do people learn?.* London: CIPD Publishing.

Schön, D.A. 1987. *Educating the reflective practitioner: Toward a new design for teaching and learning in the professions*. Oxford: San Francisco.

Scott, G., Leritz, L.E. and Mumford, M.D. 2004. The effectiveness of creativity training: A quantitative review. *Creativity Research Journal,* 16(4), pp. 361-388.

Shalley, C.E. and Gilson, L.L. 2004. What leaders need to know: a review of social and contextual factors that can foster or hinder creativity. *The Leadership Quarterly*, 15(1), pp. 33-53.

Sherman, S. and Freas, A. 2004. The wild west of executive coaching. *Harvard Business Review,* 82(11), pp. 82-93.

Shoukry, H. and Cox, E. 2018. Coaching as a social process. *Management Learning*, 49(4), pp. 413-428.

Sitar, A.S., Černe, M., Aleksić, D. and Mihelič, K.K. 2016. Individual learning styles and creativity. *Creativity Research Journal,* 28(3), pp. 334-341.

Smith, G.F. 1998. Idea-generation techniques: A formulary of active ingredients. *The Journal of Creative Behaviour,* 32(2), pp. 107-134.

Smither, J.W. 2011. Can psychotherapy research serve as a guide for research about executive coaching? An agenda for the next decade. *Journal of Business and Psychology*, 26(2), pp. 35-145.

Starr, J. 2003. *The coaching manual: the definitive guide to the process, principles and skills of personal coaching.* London: Prentice Hall Business.

Tierney, P. and Farmer, S. 2011. Creative Self-Efficacy Development and Creative Performance over Time. *Journal of Applied Psychology,* 96 (2), pp. 277-293.

Tierney, P., Farmer, S. and Graen, G. 1999. "An examination of leadership and employee creativity: The relevance of traits and relationships. *Personnel Psychology*, 52(3), pp. 591-620.

Tobias, L.L. 1996. Coaching executives. *Consulting Psychology Journal: Practice and Research, 48*(2), pp. 87-95.

Torraco, R. and Lundgren, H. 2020. What HR should be doing: the case for transforming HRD. *Human Resource Development Review,* 19(1), pp. 39-65.

Trench, M. and Minervino, R. 2015. Training to generate creative metaphors by reviving dormant analogies. *Creativity Research Journal,* 27(2), pp. 188-197.

Vidal-Salazar, M.D., Ferrón-Vílchez, V. and Cordón-Pozo, E. 2012. Coaching: an effective practice for business competitiveness. *Competitiveness Review: An International Business Journal Incorporating Journal of Global Competitiveness,* 22(5), pp. 423-433.

Vygotsky, L.S. 1978. *Mind in society: the development of higher psychological process.* Edited by Cole, M., John-Steiner, V., Scribner, S. and Souberman, E. Cambridge, MA: Harvard University Press.

Wang, Q. 2012. Coaching for learning: exploring coaching psychology in enquiry-based learning and development of learning power in secondary education. *Procedia - Social and Behavioural Sciences,* 69(1), pp. 177-186.

Waples, E.P. and Friedrich, T.L. 2011. Managing creative performance: Important strategies for leaders of creative efforts. *Advances in Developing Human Resources*, 13(3), pp. 366-85.

Welman, P. and Bachkirova, T. 2010. Power in the coaching relationship. In *The Coaching Relationship: Putting people first,* Edited by Palmer, S. and McDowall, A., (139-158). Hove: Routledge.

Western, S. 2012. Coaching and mentoring: A critical text. London: Sage Publications Ltd.

Western, S. 2017. The key discourses of coaching. In *Sage handbook of coaching,* Edited by Bachkirova, T., Spence, G. and Drake, D. (42–61). London: Sage Publications Ltd.

Whitmore, J. 2012. *Coaching for performance: growing human potential and purpose, the principles and practice of coaching and leadership.* London: Nicholas Brealey Publishing.

Wilson, C. 2007. *Best practice in performance coaching: a handbook for leaders, coaches, HR professionals and organisations*. London: Kogan Page.

Wood, D., Bruner, J.S. and Ross, G. 1976. The role of tutoring in problem solving. *Journal of Child Psychology and Psychiatry,* 17(2), pp. 89-100.

Woodman, R.W., Sawyer, J.E. and Griffin, R.W. 1993. Toward a theory of organisational creativity. *Academy of Management Review,* 18(2), pp. 293-321.

Zeus, P. and Skiffington, S. 2000. The complete guide to coaching at work. London: McGraw Hill

Zhang, X. and Zhou, J. 2014. Empowering leadership, uncertainty avoidance, trust, and employee creativity: Interaction effects and a mediating mechanism. *Organisational Behaviour and Human Decision,* 124(2), pp. 150-164.

7

HRD for an Ageing Workforce

Zsolt Nemeskéri, Iván Zádori, Antal Tibold, and Gábor Szécsi

7.1 Introduction

Dealing with the challenges of older labour force is becoming an increasingly important part of the human resource development (HRD) processes of companies all around the world where, among other factors, the work ability of the older labour force is an important challenge for the employers. This chapter explores the HR challenges of an older labour force and the main dimensions of the perception of workability among the employees using the Finnish model of Work Ability Index (WAI) and presents the research findings to the Hungarian Post. This Hungarian case study shows clearly that companies have to pay more attention to HRD practices that help them deal with the older labour force.

In today's changing and predominantly demand-orientated labour market, ageing workers still remain a vulnerable population. The

Z. Nemeskéri (✉) • I. Zádori • A. Tibold • G. Szécsi
University of Pécs, Pécs, Hungary
e-mail: nemeskeri.zsolt@kpvk.pte.hu; zadori.ivan@kpvk.pte.hu; tibold.antal@pte.hu; szecsi.gabor@kpvk.pte.hu

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_7

preservation, rehabilitation and reintegration of their ability to work is a key issue for both society and the economy. In this respect, the most important challenges organisations have to face are reducing age discrimination, supporting lifelong learning programmes for the ageing population, ensuring appropriate employment conditions for older age groups and introducing new solutions for old age activity and productivity development.

Older workers are a decisive part of the workforce of modern societies; their number will increase significantly in the coming decades. At the same time, older workers have different skills and competencies compared to other generations. Without them, a considerable shortage in the professional working force and an insufficient structural capacity in the labour market may be observed. It is also an important role of this age group to pass on their work-related tacit knowledge to younger generations. The future development of workplace is based on the quality of co-operation between various generations. There is no doubt that work experience and life skills are improving with age. According to Ilmarinen (2012), when performance is measured at work the improvement in work experience is counterbalanced by certain basic mental processes such as memory functions and psychomotor capabilities. Thus, the purpose is to explore the generational differences of the perception of workability among the employees of the company examined (the Hungarian Post) and draw conclusions in connection with future HRD practices.

In the European Union, the employment rate of the population between 55 and 64 years of age was close to 50% in 2011, whereas in Hungary only 36% of the older generation was active workers. A significantly decreasing tendency of employment rate can be observed in older age groups. For the population aged between 55 and 59, the rate was 54%, while only 14% of the 60–64 age group was employed. In 2014, for 11 of the EU member states the employment rate of older workers was between 50% and 66%; Sweden achieved a remarkably high result (74.0%) (EUROSTAT 2017).

These data show the importance of the research questions of this chapter. These challenges must be in focus in Hungary where, according to the report of the Hungarian Central Statistical Office (CSO Report 2017), the employment rate of people between the ages of 55 and 64 was 46.7%

in 2016. Demographic changes may cause the most significant negative labour market effects in the 2020s. At that time, the number of working-age people could fall by 11% compared to the average of previous decades. Those generations who are exiting the labour market in the late 2010s are far more numerous than those who are entering it. In Hungary, because of the Communist population politics, the so-called Ratkó-generation (born between 1950 and 1956) are exiting the labour market in this period; they reach retirement age between 2017 and 2020. Eurostat shows a similar trend predicting a somewhat smaller (25%) reduction in workforce between 2010 and 2060. In Hungary, for the same time period, the model of CSO predicts 38% reduction in the workforce (Kreiszné 2016).

In Hungary, according to the outcome of the 2015 projection by the Hungarian Demographic Research Institute of the Hungarian Central Statistical Office, Hungary's population is expected to be 7,900,000 in 2060; the high version indicates a population of 8,700,000 while the low version projects 6,700,000. Because of this, the active population of working age is expected to decrease, threatening the availability of labour force. Therefore, ageing poses a serious challenge for health care services, economic growth and for funding social welfare systems. According to the Randstad Flexibility Work study (2015), the reduction of the population of working age may lead to a serious shortage of labour, and pensions are predicted to consume 15% of European gross domestic product (GDP) by 2050 (Blanchflower 2015). The policy on the elderly can be found in the various strategies in European countries including Hungary (NSOP 2009).

In recent years, the Hungarian Government's measures have tried to promote the possibilities for re-employing those of retirement age. From a social and policy perspective, older employees form an important part of the labour force of modern societies and their number is set to increase in the coming decades. Elderly employees have different skills and abilities than other generations do. Without them, society would face a shortage of professionals and the insufficiency of structural and network building capacities. At the same time, it is important to pass on tacit knowledge to younger generations. The strongest combination of workplace competence is based on the different strengths of the different

generations. The better health condition and life expectancy of elder employees improves their possibilities for enriching an age-friendly society (Mathiasen 1998).

However, a good life spent working is an important prerequisite for elderly employees remaining active, allowing society to benefit from their strengths and talents. In the course of this, they may play an active role in building a sustainable and caring society where solidarity exists between generations and a productive life spent working is an important starting point for an active old age. Satisfactory employment may help to avoid illnesses as well as physical and mental deterioration, ensure a good cognitive and physical condition, and promote the development of positive and active attitudes to life. The quality of life spent working has a great impact on all employees given the great amount of time sent at the workplace (Kaiser et al. 2000).

Following the monetary and economic crisis of 2009, employment policies and the labour market have been transformed and are shifting towards competitiveness even though segmentation is still significant in the labour market (Nemeskéri and Szellő 2017). An increase in demand for labour can be demonstrated to be significant in respect of human resources (labour force) in the labour markets, the positive balance of which has been provided by the developing economy, globalisation and mobility (Bús 2019; Zádori et al. 2019).

The structural changes in the economy and the labour market considerably influence the distribution of employment in all fields of economic activities. Demand for labour is also strongly influenced by factors independent from supply. The expected level of employment is determined by processes that work in opposite directions throughout the entirety of the national economy. One of the most important influencing factors will be the effect of technical and technological evolution that will squash labour head count (robotisation and widespread application of artificial intelligence in several fields of industry and services).

The labour market is undergoing a radical change, thanks to unstoppable technical progress. Digitalisation has further broadened the segmented labour market and restructured the needed skills. It is also having an impact on growing intergenerational problems: there has never been such a deep divide between active generations working in the same

workplace. The reason for the change is simple; the industrial society has been gradually replaced by the information society and then the knowledge-based society, which completely rewrites the order and process of communication between people. In the twenty-first century, having digital competence means not only accessing and using info-communication technologies, but possessing related and appropriate knowledge, skills and attitudes as well. In the case of older generations lacking proper digital knowledge could be significant in some sectors. From this point of view, the importance of development, training and retraining programmes which provide a realistic, accessible opportunity for older workers to acquire the digital competence needed for working in the twenty-first century could be essential.

As a result of technological development, the labour market needs of some industries are undergoing an intensive change and the demand for skilled and unskilled labour force is also changing. There are various estimates of the proportion of the workforce currently expected to be affected by automation. From this point of view, almost every segment of the labour market is 'at risk' and traditional work can be significantly transformed in the period ahead. Changes, of course, are difficult to predict, as well as the extent and speed of development to transform specific sectors and areas of activity. These changes do not necessarily mean the complete exclusion of human factor, but rather that employees need new competencies and will have to perform other types of tasks within organisations. Consequently, ensuring the balance of demand and supply and the acquisition of competitive knowledge will certainly be specified as one of the most important HRD priorities in the coming years.

7.2 Theoretical Development

Work ability research started in Finland in the 1990s due to the challenges of an ageing workforce. The employment rates of older workers (55+ years) were below 40% and early retirement and work disability rates were rather common in many European countries. The work ability concept and methods were developed and broad international research activities were started in the 1990s. A comprehensive promotion model

for work ability was created aiming to prevent work ability from declining during ageing (Ilmarinen 2019).

The Finnish Model of the Work Ability House has been adopted to address the chapter's objectives. According to this model that was used as the framework of the study, the complex approach to work ability may be illustrated best with the structure of a house (see Fig. 7.1). The floors of the house are closely related and have mutual impacts on each other. If there is a healthy balance, there is good work ability and it will remain in the long term (Zádori et al. 2019).

The Work Ability House model shows that the measures taken at the workplace to promote work ability must cover all four levels. Employees have higher responsibility for their health and competencies and the employer takes more responsibility for the organisation and distribution of work. Consequently, the proactivity-based concept is based on co-operation between the employer and the employee: together they may create a better balance in the workplace and may increase work ability. The risk analyses must focus on the significant individual differences reflected in functional abilities, the health of the employees, changes in

Fig. 7.1 Work Ability Index model (Source: Based on Habibi et al. 2014)

their work ability, disabilities, gender-related issues and harmful exposures in the workplace (physical, chemical, biological, ergonomic and psycho-social pathologic factors). As work must align with individual abilities, skills and health conditions with a permanent and dynamic process that is based on adequate risk analysis, aligning work to the health condition and needs of older employees may not represent any additional burden. Age is only one aspect of workforce heterogeneity; management must constantly be made aware of age-related issues. The adequate planning of personalised jobs and tasks, the strengths, needs and abilities of ageing employees with the involvement of ageing employees is a key factor in maintaining the work ability, productivity and welfare of employees (Zádori and Nemeskéri 2019; Zádori et al. 2019).

According to Ilmarinen, most of the research activities of work ability has been focused on occupational health research, epidemiology and ergonomics, and recently, in occupational gerontology. These factors affecting work ability have been improved significantly (Ilmarinen 2019).

The tool for this empirical research was the Work Ability Index survey. This survey was developed at the Finnish Institute of Occupational Health (FIOH) in the early 1980s. It first occurred as a survey of elderly local government workers with the aim of measuring and verifying the effects of working capacity development measures. The Work Ability Index questionnaire is a tool that helps find employees who need support to continue their role in the labour market. The Work Ability Index is also a special policy issue; based on the experience of the survey, economic, educational and health prevention directives may be defined that can promote the activity of ageing employees in the labour market (Berg et al. 2008). The main objectives of the Work Ability Index include the following:

- Maintain and protect work ability during the entire period of the income earning ability;
- Recognise factors reducing or improving work ability in order to facilitate individual interventions;
- Summarise the risk elements of inability to continue employment and early retirement;
- Evaluate the intervention options (Jakab 2013).

Table 7.1 Questions (subindices) and scores of the Work Ability Index

Question (subindex)	Maximum score	Distribution of scoring
W1: present work ability compared to the best ability before	10	Score: on a scale of 0–10
W2: work ability in relation to the present job demands	10	Value based on the answers: between 2 and 10 points
W3: number of current diseases	7	Scoring: – at least 5 diseases = 1 point – 4 diseases = 2 points – 3 diseases = 3 points – 2 diseases = 4 points – 1 diseases = 5 points – no diseases = 7 points
W4: estimated impact of diseases on work	6	Score: between 1 and 6 points
W5: sick leave in the past 12 months	5	Score between 1 and 5 points
W6: own estimate on work ability in two years from the response	7	Score based on the answers: – I probably will not be able = 1 point – not certain = 4 points – I'm rather certain that I will be able = 7 points
W7: psychological power reserve	4	Score: based on the total of the numbers from the set of questions 0–3 = 1 point 4–6 = 2 points 7–9 = 3 points 10–12 = 4 points

The Work Ability Index consists of seven questions. The highest score is 49, the breakdown and assessment of which are included in Table 7.1 (Kudász 2016).

The Work Ability Index is based on questionnaire self-declarations and, following its evaluation, the results indicate the current status of the employee well and project, with high precision, the continuation of employment (see Table 7.2).

According to the most frequent criticism, the Work Ability Index is based on the subjective feeling of the employee rather than focusing on

Table 7.2 Valuation of the Work Ability Index

Score	Work ability category	Proposed measures
7–27	Bad	Restoration of work ability
28–36	Moderate	Improvement of work ability
37–43	Good	Strengthening of work ability
44–49	Excellent	Maintenance of work ability

the conditions of the workplace, the circumstances and terms of employment, that is, those defined in the employment contract. It takes into account the employee's feelings about the workplace without explaining them and therefore it does not support the improvement of work conditions or the concepts and tools with which intervention could take place. However, according to those who protect the index, the work ability defined in this manner does not only depend on the individual but it is determined by the work conditions and requirements (Jakab 2013). In Hungary, the Hungarian Institute of Occupational Health (HIOH) gained a non-exclusive right to co-ordinate the distribution of the WAI. The Hungarian version of the survey was developed by the National Labour Office's Department of Occupational Health; they launched a nationwide survey in 2013 to validate the questionnaire (WAI Survey 2015).

7.3 Methodology

Today, despite the growing importance of the question, there is a very little understanding in Hungarian literature on the perception of older employees related to:

- Current work ability compared with their lifetime best;
- Work ability in relation to the demands of the job;
- Own prognosis of their work ability in two years' time.

The empirical study presented in this chapter will focus on the aforementioned areas in connection with their relevance to the field of Strategic Human Resource Development. The questionnaire-based research was

conducted amongst the employees of the Hungarian Post, through the EVASYS computer system,[1] online and offline, between July 2 and September 7, 2018. The hard copy of the questionnaire extracted from the EVASYS system was suitable for automated processing, that is, the returned questionnaires were scanned and then imported into the system. The database contained 2162 records. The data was first cleaned and categorised. Second, groups were created from the raw answers (such as age, geographic, place of work) to assess the results comprehensively.

Additionally, various statistical data reduction methods (factor analysis, main component analysis and cluster analysis) were used for data compression and data structure identification. All these methods and models came from the toolset of analytical statistics. The conditions of their applicability were reviewed in accordance with the methodology requirements with variance analysis in the case of cluster analysis and with the Bartlett test and the review of the KMO—Kaiser-Meyer-Olkin index in the case of the main component analysis. In addition, for simpler implementation and graphic display the individual straight-line regression models in graphs were also expressed with the help of Microsoft Excel.

The query was run based on the WAI questionnaire referred to in the first part of this chapter. The respondents gave their answers voluntarily, with self-declarations reflecting the nature of the questionnaire. The 2162 individuals that filled in the questionnaire represent 7.21% of the total employees of the Hungarian Post and sufficiently represents the population. Participation in the survey shows the commitment of the company to the protection of health of employees and improvement of their loyalty and commitment. As the Hungarian Post operates in the whole country, the geographic distribution the respondents show the patterns of the labour force distribution.

[1] EVASYS is a software for organisational surveys and research projects. This system can be used for paper-based, web-based and hybrid surveys as well, which combines all aspects of the evaluation process from designing the questionnaires and mass control of survey procedures to electronic data collection and automatic reporting in one software package (https://en.evasys.de/main/home.html).

7.4 Findings

7.4.1 Descriptive Statistics

The proportion of women in the main population is 66.3% while that of men is 33.7%. Based on their age distribution, the proportion of respondents reflects the distribution of all employees. It can also be seen that most workers, both in the primary population and in the respondents, belong to the age group of 40 years old and above where the risk assessment shows that they are already sensitive to different physical and mental effects. By examining the educational attainment of the workers in the sample, it can be concluded that the proportion of secondary school graduates is not significant, but this may also be due to the higher willingness to respond to those with higher education. Even though family status is part of the private sphere, it belongs to the quality of the daily, ready-to-work state and to the existence of mental reserve. At the same time, this does not necessarily mean that the unmarried or divorced employee's ability to work would be reduced or lower (respondents' family statuses are 1.9% widowed, 10.4% divorced, 19.8% in a civil partnership, 49.9% married and 18% unmarried).

In the general question group, two other important factors were also asked for: one is shift work (work schedule) and the other is the place of work. Physical and mental risk factors for shift work may occur primarily among those working in changing shifts and night work. 76.8% of the employees in the sample work in single shifts during the daytime, 1.8% are on night shifts, while 21.4% work to a shift pattern. In the case of multi-shift work, work is performed in at least two consecutive working hours (shifts) in the same workplace within one calendar day. Its purpose is to make the best use of different tools and services. Multi-shift work can be two-cycle or continuous. Continuous shifts mean working every day of the week, including holidays.

Night work is the most burdensome, as work takes place during the period of sleep and disturbs the biological rhythm. As a result, during the night shift and during the following day there may be many negative effects on the employee's quality of life. According to the location of the work, 10.6% of the sample work in a variable location while 89.4% work in a given settlement.

Physical work means a set of activities in which the performance of a task primarily requires physical effort. The physical and muscular system plays an important role in physical work and the energy demand of the activity can be significant. Appropriate physical strength and condition is needed for doing this type of task. At the same time, a permanent one-sided load can damage the musculoskeletal system, metabolism and blood circulation as well. The individual characteristics and physical condition of the person performing the work determine how their body responds to physical stress. From the age of 50, workers need more time to rest. Intellectual work is an activity that is connected to the cerebral cortex, based on scientific knowledge and the most essential part is the processing of information.

The results suggest that the women's index of illness is significantly worse than that of men. Respondents with multiple illnesses are common among respondents. In addition to the knowledge of the diseases, the employee was asked whether their work was disturbed by their current illness or injury. The results show that older workers already require increased control and greater corporate (HR) attention. Within the age groups, there is a significant increase in the proportion of patients aged 50 and over in terms of more intensive control. Participants in the sample also had to answer whether they think they would be able to work in their current job with their current state of health within the next two years. The average score was 6.57 points; in the case of women this score was 6.58 and was 6.54 for men. The rate of the answer 'quite certain' is the most typical answer amongst almost every age group and gender.

In terms of future work ability, intellectual workers are the most optimistic with a proportion of 91.4%. About 84.7% of manual workers stated that they would be able to keep their working capacity while 80.9% of workers with both intellectual and physical workload agreed. Similarly, the estimation of the double-load employees is lower. All work, to some extent, causes psychological burdens. The extent of this factor is quite different. Part of this burden is due to physical elements, part due to the social work environment and part to the job itself. To reduce these burdensome effects people must carry out some regulatory activity, that is, adapt to the conditions. Although the method of measuring mental work (mental strain) is only partly known, mental work—as well as the

Table 7.3 Valuation of the Work Ability Index for the sample

Work ability category	WAI score	Persons in sample
Bad	14–27	55
Moderate	28–36	302
Good	37–43	922
Excellent	44–49	883
Total		2.162

physical—can be accompanied by the difficulties of adaptation and cause tiredness (these are the so-called demarcation factors). These physical and mental barriers to work not only undermine work performance but also endanger health (see Table 7.3).

Overall, the average Work Ability Index for the whole sample is 41.36 points. The average of the total sample is exceeded by men despite the fact that women's own estimation of the current work ability shows better results than men. Women have more mental reserves and are more confident about their future ability to work; however, they have more illnesses and are on sick leave more often. It should be noted that in the comparison of the sample and the basic population, the proportion of women employed is significantly higher in the examined area which also affects the main focuses of HR work and organisational culture as well.

According to the results of this survey, the Work Ability Index is suitable for the determination of individual work capacity and the WAI score is in close correlation with the progress of age and time spent in work, along with the increase of the total workload. For example, in the case of heavy physical work or/and shift work, due to the high load and stress the WAI can fall below the acceptable value. Based on the examined sample, it can be shown that the value of the Work Ability Index moves almost linearly together with the subjective evaluation of the current working capacity and its physical and mental components. With a very high explanatory power between the individual judgement of physical and mental capacity, the value of the WAI draws linear regression lines (in all three cases the value of R^2 is around 0.99). This leads to the conclusion that a large part of the data content of the Work Ability Index contains the individual, subjective judgement of working ability (confirmed by the results of factor analysis). According to this data, the main focus is:

- To restore work ability (2.9%, 7–27 points);
- To improve work ability (14.2%, 28–36 points);
- To strengthen work ability (43.1%);
- To maintain work ability (39.8%).

7.5 Data Analysis

The data extracted from EVASYS was also analysed with the help of SPSS. Based on certain variables the researchers tried to form some groups which could provide a deeper insight into the data. Regarding the primary evaluation, two of the results will be demonstrated. In the first model a cluster formation was performed with the help of the two-step cluster analysis by using two variables ('are you optimistic about the future?' and 'highest level of education'). Moreover, a so-called evaluation variable, which is the WAI, is being used. Due to the significance level seen on table 36 (ANOVA analysis), the clusters form does differ regarding WAI (see Table 7.4).

Based on the two input variables, three distinct groups have been formed. The relative sizes of these clusters are 37.0%, 34.0% and 29.0%. This is, however, a balanced picture since the cluster sizes seem to be relatively close to one another. The ratio of size (1.28) is also promising and underpins the balance mentioned previously. Concerning the groups, it can be concluded that basically all group members (both highly educated and those who possess a secondary school education) are quite optimistic about their future. Nonetheless, the evaluation variable WAI is at an average level or higher. It is noted, however, that those with further education have an above-average Work Ability Index.

As a conclusion—mainly focusing on HRD activities—one can assert that in connection with those who are well educated the organisation should provide and organise health preserving programmes. This can be a tool for maintaining or improving working abilities and making employees more committed. Therefore, the preparation and introduction of health and prevention programmes should be an important goal of HR professionals and managers. This way the organisation can avoid high levels of fluctuation and losses as a result of health issues.

Table 7.4 Relevance of clusters with ANOVA (1st model)

	Sum of squares	df	Mean square	F	Sig.
Between groups	503.524	2	251.762	8.700	.000
Within groups	62,475.135	2,159	28.937		
Total	62,978.659	2,161			

Sum of squares between groups = between groups variance x degrees of freedom for between groups

Sum of squares within groups = within groups variance x degrees of freedom for within groups

df = degrees of freedom (either between groups, or within groups depending on the row)

Mean square between groups = sum of squares between groups divided by degrees of freedom for between groups (variance or variability of data between groups)

Mean square within groups = sum of squares within groups divided by degrees of freedom for within groups (variance or variability of data within groups)

F = F-ratio stands for the following: Mean square between groups divided by Mean square within groups Sig. = the significance of F, in other words the p-value. The p-value shows the mistake we make by rejecting the null hypothesis. We reject the null hypothesis if the p-value is not greater than the significance level. In case of ANOVA we reject the null hypothesis, which says that the means of the different groups are equal. Since the significance level is set to .05, in our case the null hypothesis can be rejected, hence groups differ in their means, that is, it is reasonable to think that these groups in question differ in a relevant sense

In the second model, the highest level of education is considered and the type of work and current work ability relative to best ever. The result is a powerful model. First, looking at the ANOVA analysis (Table 7.5) it is apparent that based on the significance level, clusters do differ from one another concerning WAI, which has been also been taken as an evaluation variable.

Table 7.5 also demonstrates that this model has a better explanatory power than the first. This means that conclusions based on the second model are more accurate. Recommendations given to the management and HRD experts are more sound and well established. Two different cluster sizes are produced: 41.6% and 58.4%. This means that the clusters are not as balanced as in the first model, which is also indicated by the 1.4 ratio of size value. This relative imbalance, however, should not detract one's attention. Further results show that both clustering variables form an important role in cluster formation. Regarding the Work Ability Index, major differences are seen between the two groups. Those who

Table 7.5 Relevance of clusters with ANOVA (2nd model)

	Sum of squares	df	Mean square	F	Sig.
Between groups	2,030.168	1	2,030.168	71.949	.000
Within groups	60,948.491	2,160	28.217		
Total	62,978.659	2,161			

Sum of squares between groups = between groups variance x degrees of freedom for between groups

Sum of squares within groups = within groups variance x degrees of freedom for within groups

df = degrees of freedom (either between groups, or within groups depending on the row)

Mean square between groups = sum of squares between groups divided by degrees of freedom for between groups (variance or variability of data between groups)

Mean square within groups = sum of squares within groups divided by degrees of freedom for within groups (variance or variability of data within groups)

F = F-ratio stands for the following: Mean square between groups divided by Mean square within groups

Sig. = the significance of F, in other words the p-value. The p-value shows the mistake we make by rejecting the null hypothesis. We reject the null hypothesis if the p-value is not greater than the significance level. In case of ANOVA we reject the null hypothesis, which says that the means of the different groups are equal. Since the significance level is set to .05, in our case the null hypothesis can be rejected, hence groups differ in their means, that is, it is reasonable to think that these groups in question differ in a relevant sense

carry out white-collar work (i.e. those who are working in an office environment) have an above-average WAI (43.03%); however, employees who perform manual labour are below average (41.03%). Therefore, based on the second model a risk group was identified. The main characteristic of this cluster is related to the form of work. As shown above, detrimental health issues can occur regarding the second group, namely those who carry out manual labour.

7.6 Implications for HRD Decisions

The research proved that the Work Ability Index of employees who obtained vocational qualifications within the Hungarian Post and had negative projections for the future was much lower than the company

average. This result was examined with correlation assessment and cluster analysis. On this basis, the HR department of the company can develop and introduce proactive, preventive development programmes with which the Work Ability Index of these employee groups could be improved.

There is also significant correlation between the Work Ability Index and other indicators reviewed in the questionnaire (age, optimism about the future, own opinion about the current status of work ability, highest vocational qualifications, etc.); it is a research result that gives an important basis for preparing a human resource development strategy planning for the future. The new result stems from the fact that the applicability of the WAI methodology in Hungarian large companies could be proved with a research project involving a great number of respondents. Based on the validated information that the average Work Ability Index is 41.36 points out of the maximum 49 points at the company, the employer can define future programmes with which the improvement of the index may become visible in a new measurement.

There is significant correlation between the Work Ability Index and other indicators reviewed in the questionnaire (age, optimism about the future, subjective opinion about the current status of work ability, highest vocational qualifications, etc.); it is a research result that gives an important basis for preparing a human resource management strategy planned for the future. In its practical implementation, organisations would be able to designate specific target groups and fields of action for future HR programmes for preventive and development purposes.

The differences between the individual organisational units and jobs in WAI data and their roots in the reviewed large company are fields requiring further research. It would be important to see the correlation between results of other surveys at the particular employer, which measured the professional competence level or degree of commitment of the employees, and the Work Ability Index Survey. Once the age and generation management programmes are launched at this large company, it would be advisable to prepare WAI-related tests for specific targeted groups. These data could confirm whether the employer's investment into the development of the work ability of employees generated any return or not. The methodology assessing the work ability of ageing employees

should become part of the public service development strategy which is currently being developed to be introduced in 2020 in order to sustain and improve the efficiency of the labour market in the subsequent decades despite the unfavourable demographic trends.

7.7 Learning Outcomes

The special responsibility of an HRD specialist is not only to take advantage of the workforce but also to preserve, retain and renew the workforce through well-shaped jobs, a planned work environment and occupational health measures. This activity could be understood as preventing the risk of working ability of the older workforce. The most important learning-related research outcomes of the study can be summarised as follows:

- The Work Ability Index clearly indicates the need to create age management or, where this is not possible, to employ an HR specialist at local level who can help older workers. In line with the holistic approach, teamwork is an important element in which collaboration between HR, occupational health services and management members is more and more important.
- Age sensitive risk assessment is required. Age sensitive risk assessment considers the specific characteristics of different age groups in risk assessments, including possible changes in the ability and health status of older workers. In the case of older workers, more attention should be paid to their physical use, to the risks associated with shift work, or working in heat, noise and so on. However, as the differences between individuals become more pronounced with age, no conclusions should be drawn based on age alone. The risk assessment should take into account the individual functional capacity and health status of the employee in the light of workplace expectations.
- Developing and operating a stress monitoring system can be an important HR task as well. It is a system for the inventory, assessment and management of physical and psychological stressors (and their effects) resulting from the physical and social work environment. With the

professional operation of the so-called physical and psychological stressors workplace, stress can be judged, treated and prevented.
- Providing ergonomic responsibilities and opportunities is also essential, not only for the elderly, but also for all employees. Dual, mental and physics burdens are further aggravated by workplace harm caused by lack of ergonomics.
- Development of a health-conscious behaviour is essential to improve the Work Ability Index, where the importance of prevention in health and safety at work cannot be over-emphasised.

All of the above learning-related research outcomes could only be implemented with strong HRD support. In this respect, organisations should focus more intensively on knowledge transfer between generations, new skills and competencies which are among the most important HRD priorities in the forthcoming years.

7.8 Conclusion

Demographic changes may cause the most significant negative labour market impulse in the 2020s when the number of people of employment age may drop by 11% compared to the averages of previous decades. This is a significant number in relation to which complex age management programmes need to be launched at the level of the national economy and companies at the end of the current decade. In future, global trends will influence the labour market (robotisation and artificial intelligence) in which gradual increase of work performance will have a crucial role. This can only be achieved by boosting knowledge intensity which requires continuous knowledge transfer between generations. Among these challenges, it includes human resource management to develop new tools in order to generate added value to organisations. This is an important functional and strategic areas within a company. Predictive analysis is becoming an increasingly important part of the HR processes of companies because it provides complex business information and insights that help

more effective and timely management of human resources and prepare the company for future challenges; previously they would present impossible tasks for the management of the organisation. The WAI methodology helps to develop a predictive tool for the future through a deeper statistical analysis of the results (cluster analysis, main component analysis, etc.) and effectively develop work ability, concentrating on the focus groups where reduction of work ability is mostly at risk.

Age management strategies (part-time, transformed/customised jobs, etc.) may be developed where ageing employee groups can deal with knowledge transfer and other key roles and where this social group can also become more active in the labour market. Each company, organisation and institution should concentrate more on its employer brand development because acquiring the best employees is proving to be an increasingly difficult challenge. Jobseekers have a lot more options and can find information about their future employers more easily (managers, the values of the company, their actions in corporate social responsibility, etc.). That is why companies must make all reasonable efforts to present themselves most positively to their future colleagues but this can only be achieved if their message, communicated inside and outside their company, is credible. That can work if employees receive positive employee experiences from their employer before joining the company, during employment and after they have left the company. An employer brand must be built where each age group can find messages attractive to them. However, it requires effective generation and age management at companies which cannot be achieved without understanding the Work Ability Index of the present employees and all other correlations that affect it. Finally, it is important to pay attention to the challenges of the present coronavirus pandemic and global crisis: these research results, suggestions and conclusions are only valid in a 'normal' situation, in a globalised, interconnected and interdependent world. Current processes are probably going to change the labour market as we know it and will fundamentally influence HRD practices as well.

References

Berg, T., Elders, L., Zwart, L. and Burdorf, A. 2008. The effects of work-related and individual factors on the work ability index: A systematic review. *Occupational and Environmental Medicine,* 66, pp. 211–220.

Blanchflower, D.G. 2015. *Flexibility work 2015. Yearly report on flexible labor and employment self-employment across countries in the Great Recession of 2008–2014.* Randstad, Amsterdam.

Bús, I. 2019. *Virtuality and Development.* Limes: A II. Rákóczi Ferenc Kárpátaljai Magyar Főiskola Tudományos Évkönyve.

CSO Report, 2017. *Munkaerőpiaci folyamatok, 2016. I–IV. negyedév.* Hungarian Central Statistics Office. http://www.ksh.hu/docs/hun/xftp/idoszaki/mpf/mpf1612.pdf (Accessed on 20 March 2020).

EUROSTAT, 2017. *Employment statistics.* http://ec.europa.eu/eurostat/statistics-explained/index.php/Employment_statistics/en (Accessed on 10 February 2020).

Habibi, E., Dehghan, H., Safari, S., Mahaki, B. and Hassanzadeh, A. 2014. Effects of work-related stress on work ability index among refinery workers. *Safety and Health at Work*, 7(1), pp. 43–48

Ilmarinen, J. 2012. *Promoting active ageing in the workplace.* European Agency for Safety and Health at Work. https://osha.europa.eu/en/tools-and-publications/publications/articles/promoting-active-ageing-in-the-workplace (Accessed on 3 February 2020).

Ilmarinen, J. 2019. From Work Ability Research to Implementation. *International Journal of Environmental Research and Public Health,* 16(16), pp. 2882–2899.

Jakab, N. 2013. The place and role of work ability in the German and Hungarian law. *Publicationes Universitatis Miskolcinensis Sectio Juridica et Politica,* 31(1), pp. 363–382.

Kaiser, H., Kersting, M. and Schian, H-M. 2000. Der Stellenwert des Arbeitssimulationsgerätes ERGOS als Bestandteil der leistungsdiagnostischen Begutachtung. *Rehabilitation,* 39(1), pp. 175–184.

Kreiszné, H.E. 2016. *A demográfiai változások munkaerő-piaci hatásai Magyarországon.* https://www.mnb.hu/kiadvanyok/szakmai-cikkek/ (Accessed on 10 February 2020).

Kudász, F. 2016. *Munkaképességi index alkalmazás lehetőségei.* http://met.ergonomiavilaga.hu/subsites/enye28/kudasz.pdf (Accessed on 20 February 2020).

Mathiasen, D.G. 1998. *Maintaining prosperity in an ageing society: The OECD study on the policy implications of ageing.* Organisation for Economic Co-operation and Development (OECD).

Nemeskéri, Zs. and Szellő, J. 2017. Fizikai és szellemi kompetenciák együttes vizsgálatának lehetőségei az idősödő korcsoport munkavállalásának elősegítésére: A fejlesztés módszertana. *Munkaügyi Szemle Online*, 60(1), pp. 15–20.

NSOP, 2009. *Idősügyi Nemzeti Stratégia. National Strategy for Older People. Hungarian policy* document. http://www.parlament.hu/irom38/10500/10500.pdf (Accessed on 15 March 2020).

WAI Survey, 2015. *Munkaképességi Index felmérés (Hungarian research document)* http://munkavedelem.unideb.hu/intenziv%20szakapolo/Munkakepessegi_index.pdf (Accessed on 28 August 2020).

Zádori, I. and Nemeskéri, Zs. 2019. Fogyatékos munkavállalók és a jövő munkaerőpiaca: kihívások és esélyek. *Munkaügyi Szemle*, 62(1), pp. 39–49.

Zádori, I., Nemeskéri, Zs., Muity Gy. and Pohl, M. 2019. *Attitudes Affecting the Labour Market and Human Resource Development: Research on Tolerance and Sensitivity in Hungary.* AHRD International Research Conference in the Americas: Conference Proceedings.

8

Organisational Ethics as Foundational for Organisational Health and Sustainability

Sarah E. Minnis and John J. Sherlock

8.1 Introduction

Organisations are living entities exuding ethos, character and capability. The qualities of an organisation are not static, however, as they are an amalgamation of what participants bring to bear. Organisations seeking positive public perceptions, as well as employee engagement, continue to lean into the expression and implementation of organisational ethics, working to meet the bright line test of right and wrong rather than examining the fluidity of the ways in which organisational ethics exist. While using explicit statements about the organisation's ethics and setting implicit expectations related to how ethics are demonstrated by organisational participants, leaders express pride in what they see as their abilities to steer their organisations above and beyond the pitfalls that befell bad actors in the past. Of concern is whether organisations are satisfied with the status quo of meeting basic expectations for ethical behaviours to

S. E. Minnis (✉) • J. J. Sherlock
Western Carolina University, Cullowhee, NC, USA
e-mail: sminnis@email.wcu.edu; sherlock@email.wcu.edu

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_8

check the required box or whether they are willing to authentically engage broader discussion about the ways in which one defines the ethical organisation of the future. This chapter will propose an organisational opportunity to disrupt the status quo of meeting bright line tests and move to developing a holistic, fluid expression of organisational ethics. It will explore organisational ethics as the foundation of healthy and sustainable organisations co-created through engagement of participant agency, civility, inclusion and lived experience built through strategic human resource development (HRD) initiatives of organisational community development.

Bevoc (2017) refers to a baseline perspective of organisational ethics in saying that ethics 'establish ideas of right and wrong and need to be followed because unethical actions set undesirable precedents' (p. 31). In essence, organisational ethics should be the foundation upon which organisations are built if they are to avoid problematic behaviours and actions. Rather than relying on participants to use their own judgement about how to act and interact, organisations enact expectations for conduct, accountability and dedication (Bevoc 2017). Built on this basic foundation of ethics are equally basic structural administrative elements used to document ethical expectations for the organisational environment such as codes of conduct and guidelines for organisational actions if ethics are violated. What has not been addressed by this definition is how the foundation of ethics is formed and what happens within the organisation to generate and build a healthy and sustainable ethical culture. Nowhere within the enactment of setting this lowest level of ethical expectations is consideration for how to build organisational ethics addressed. It is this gap in understanding how the healthy and sustainable organisations of the future will be built on a foundation of ethics that will be attended to here.

8.2 Organisational Ethics

Organisations are not static entities in form or practice. Indeed, they should be viewed as living, breathing entities which are influenced by a multiplicity of factors such as the participants within the organisation, its

size and makeup, the leadership structure, the facilities and the location. Impacted by numerous factors, some of which cannot be controlled, organisations must be intentional about how they engage and evolve by cultivating, examining and developing their organisational ethics. This is the work of all organisational participants which should be led by effective HRD leadership. Pullen and Rhodes (2015) point to Diprose noting that ethics can be approached through an ongoing questioning of 'conventional notions of moral agency, autonomy, justice, and freedom and the concept of the individual upon which they depend' (p. 160). This perspective on addressing the ways in which ethics can be understood encapsulates the idea of personal agency whereupon individual action is brought to bear upon the fundamental framework of organisational ethics.

Phillips (2003) points to the derivation of organisational ethics from the field of bioethics intertwined with organisational purpose so that organisations are understood to be led by stakeholders. The definition of *stakeholder* can be viewed broadly as constituents who may be influenced or have influence within and external to the organisation depending on its purpose. Individuals with an invested interest in the organisation's success, or stakeholders, may include employees, volunteers, investors, donors, boards of directors or other entities for whom organisational health and sustainability are a primary concern. With respect to organisational ethics, stakeholders become active contributors, through their agency, to how the organisation is shaped and thus have a stake in the organisation's success financially as well as structurally.

Both Goffman (1978) and Bourdieu (1989) speak to the place which individuals inhabit and the ways in which these spaces shape their agency and stake in the organisation. This *sense of one's place* to which both refer directly relates to a way in which one is defined and thus whether one feels included in the organisation and has a stake in what the organisation accomplishes. That is not to say the entirety of one's agency is defined by where one is situated but it can play a role in how one feels affinity for and connection to the organisation's success or failure. As such, individuals should be able to engage their agency within the organisation regardless of their positional, personal or situational power. Whether they are able to do so may be dependent on other factors which have a broader

impact on the ethical structure of the organisation. Avenues for stakeholder agency enactment and contribution to organisational ethics are discussed further here.

8.3 Stakeholder Agency Within Organisations

Bevoc's (2017) definition of organisational ethics is used as a baseline of what organisations should look to: 'formal and informal guidelines designed to regulate employee actions. They describe how people should behave in the workplace and combat employee activities that management deems unacceptable' (p. 31). Organisational ethics defined this way set the basic foundation upon which organisational policies, codes and expectations are established for the organisation. In order to maximise organisational health and sustainability, stakeholder agency must be fostered and engaged to move organisations beyond regulating employee actions and on to incorporating organisational participant agency.

In their work on giving voice to stakeholder values within the organisation, Tams and Gentile (2019) advocate for the engagement that participants should have in determining organisational values which could lead to increased participant agency overall. The authors note that participant inclusion could influence 'improved work processes, learning, innovation, or the curtailment of illegal or immoral behaviour' (Tams and Gentile 2019, p. 3) and that keeping participants voiceless could promote the opposite. Indeed, they argue for a significant preunderstanding of participant contributions through having input, or voice, into organisational ethics development.

> *GVV [Giving Greater Voice] construes people and their moral agency as valuable governance resources rather than as risk factors. Rather than focusing only on stakeholders' capacity for ethical reasoning, GVV emphasises the importance of translating ethical insights into transformative action. Instead of describing ethical influence as a hierarchical trickle-down process, GVV asserts that governance is improved when ethical influence can originate from any stakeholder and flow in any direction*. (Tams and Gentile 2019, p. 3)

As they question the ways in which individual agency is enacted with respect to organisational ethics, Tams and Gentile (2019) get to the heart of what can be a limiting way for organisations to look at the way in which stakeholders contribute and enable the organisation to change. They argue that there exist capabilities that are not, as of yet, being tapped when individual voices are not contributed or heard when organisational ethics are discussed and implemented. This presents an opportunity for organisational change if the collective voices are heard, valued and incorporated as part of the development of the organisational ethics. As the organisation moves towards greater agency for organisational participants, the power of all within the organisation becomes more distributed and imbued with the relational characteristics among individuals.

Within organisations, hierarchy and structure most often delineate whose voices are privileged and whose are not, often leading to organisational culture most reflective of those at the top. This is not to say that it is only those at the head of organisations, departments, work groups or in other positions of hierarchical power whose voices are heard most often. Positional power is not always indicative of whose voices matter most in an organisation. Often it is those who possess personal power gained through relationships, knowledge acquisition, longevity and sheer volume who are able to make the strongest statements and set the broadest tone within organisations. Reflecting on this understanding of personal power, one looks to several noted perspectives on how personal power, or *agency,* is defined and utilised more broadly.

8.3.1 Organisational Ethics and the Enactment of Agency

Foucault (1980) pointed to power used at all levels within groups and looked to the ways in which power was used rather than by whom. The perspective that power could be enacted and used towards particular purposes is integral to recognising that hierarchical structures do not always determine one's power; it is, rather, an aspect that one engages in relation to others. Indeed, Foucault wrote 'power is exercised by virtue of things being known and people being seen' (1980, p. 154). By understanding

the interconnection of knowledge and power in this way, Foucault brought to light the unique way in which individuals use knowledge in a relational interaction to engage their power. Viewing power as a relational construct developed through the engagement of knowledge sharing makes clear the value of agency within organisations as a basis for organisational health.

Giddens' (1984) work speaks to agency and agentic action as dependent on the individual's intentionality and capacity for using their personal power to influence others. When positional or personal power is used to influence organisational action, it is the intentional use of those voices that creates the impact. It is the aspect of intentionality which holds meaning in the context of organisations where privileged voices hold sway. In this sense, organisational participants whose voices are more prominent may have greater direct input to shaping organisational ethics and indirect input through influencing others. Such imbalance may be of less concern when the collective perspectives are productively aligned to best serve the organisation's direction but becomes problematic when misaligned voices emerge and more prominent voices are used to direct organisational ethics in a direction that is not supportive of all participants.

Bourdieu (1989) brought the space and context of one's agency to light recognising that one's agency influences action 'according to the overall volume of capital they possess' and 'according to the structure of their capital … the relative weight of the different species of capital, economic and cultural, in the total volume of their assets' (p. 17). This perspective is particularly relevant when one considers the myriad aspects of diversity that organisational participants bring to bear each day. Indeed, their intersectional identities contribute to the variable levels of agency participants have to engage at differing times and with differing organisations.

Clearly, the amount, type and capability of one's agency impacts how their agency is brought to bear in contributing to organisational ethics. Keeping each of these perspectives on agency in mind, it is believed there are important distinctions to be drawn between individuals' positional roles within organisations and the personal power they wield that can guide us in understanding the agency that participants bring to

organisations. Better understanding participants' agency based on their position within the organisation can then give us insight into how they may influence the organisational ethics.

8.3.2 Enacting Agency Through Organisational Roles

Directors within the organisation are those who have the voice and influence within the organisation through their positional power. Regardless of the level of position, the position itself imbues its holder with the opportunity to make determinations about what is and what will be best for the organisation and those within it. This positional authority creates a powerful dynamic within the organisation when those subject to the director's oversight are othered, isolated, disengaged and disempowered by authority. In such a situation, organisational participants face not only challenges to their belonging as people but also disconnection as participants. Their humanness, as well as agency, is denigrated by positional power structures so that they are less able to contribute productively as employees and often virtually silenced as individuals.

Leaders within the organisation are those situated due to personal influence and to whom others listen to with respect and admiration. Their words, behaviours and beliefs carry weight throughout the organisation giving them the opportunity to build perceived credibility and constituency. Those seen as leaders in the organisation, while perhaps not in positions of authority, may still silence and ostracise others among them who lack agency, contributing to a chilled environment. Leaders may be high performers, have loud voices and seem impenetrable. Much like those in director roles, leaders have the opportunity to damage organisational capability and productivity as their actions cause others to shrink themselves and their contributions.

Members within organisations are those who lack the positional or personal power. They have neither a role assigned by the organisation which imbues them with authority and agency, nor do they possess the ability, through voice or performance, to have significant impact around them. This is not to say that members are not strong contributors or are unappreciated within the organisation. In fact, they may be highly valued for

their efforts but they are not recognised as influencers who can change the course of the organisation.

While not every organisational participant fits neatly within these categories, these exemplars do help to understand the positional and personal power that can shape an organisation from within through enactment of individual and collective agency. Knowing this, it is incumbent upon those who hold the power to consider how to build an organisation that is engaged, healthy and sustainable. It is vital for all organisational participants to engage their agency and contribute to the ethics that form the foundation of the organisation. Strategic HRD practices of organisational community development should be enacted to give voice to participants at all levels.

8.4 Civility in Organisational Communities

Organisational participants whose behaviours within the organisation and external with the public are based on civil behaviour and discourse, as well as values which promote the genuine organisational appreciation of the uniqueness of each individual, have the potential to drive a more positive organisational environment, greater affinity and appreciation from others and higher levels of engagement. Boyd (2006) noted two distinct perspectives on civility such that 'the first reduces civility to the manners, politeness, courtesies or other formalities of face-to-face interactions in everyday life' while 'the second meaning of civility denotes a sense of standing or membership in the political community with its attendant rights and responsibility' (p. 864). By contrast, Nagy (2018) explains civility as 'the notion of treating others with respect regardless of race, gender, religion, sexual orientation, or any other type of "external marker"' (p. 159) so that each participant within the organisation is seen individually as a valid part of the makeup of the whole. Although this perspective of civility is not far off from the way in which organisational recognition of diversity has been viewed, Nagy's (2018) definition of civility is less centred on one's unique characteristics and more focused on intentional individual appreciation and action towards others. Civility, in this view, should not, however, be misconstrued as acquiescence, lack of

self-respect or unwillingness to take a position counter to another. Rather, it should be understood as 'behaviours that are fundamental to positively connecting with another, building relationships and empathising' (Nagy 2018, p. 159).

Civility is about engaging productively within the organisation based on respect for each other. Most notably, organisational community development to foster greater civility among organisational participants must not be considered an aspect of training to be checked off as complete at regular intervals as another bright line test. Rather, civility must be woven into the fabric of the organisation and fostered so deeply so that each participant has an expectation of ongoing learning, practice and engagement of civility contributing to overall organisational ethics. As one sees these distinct enactments of civility in organisations, each has its place in helping organisational participants engage their agency in the development of organisational ethics. There exists the expectation that organisational participants will engage in a respectful manner using tone and language appropriate to the organisational environment. While it is not suggested there is an ascribed façade and intonation apropos to every organisation, one does believe that the culture will guide how participants will engage civility. As such, it is, thusly, even more important for organisations to understand the place civility has as part of organisational ethics for a healthy and sustainable organisation.

8.5 From Diversity to Inclusion

Diversity is a term used liberally by organisations as a buzzword and an organisational bright line test to be attained. In many cases, diversity is used as a catch-all term to meet goals established per government regulations, industry standards or social norms. Homan (2019) believes diversity within the workforce 'can range from visible demographics (e.g., gender, cultural background, ethnicity and age) to more invisible traits, skills and attitudes (e.g., personality, educational background and political preference' (p. 2)). Drawing on their intentionality of situating diversity in a practice-based environment, Janssens and Steyaert (2019) have conceptualised it in terms of the following characteristics: 'postdualistic

ontological articulation; unit of analysis is practice; entanglement of body, materiality, and discourse; practices are connected in time and space; and explanations are grounded in what is empirically observable' (p. 524).

In addition to recognising the intersectional nature of diversity, the authors cited here point to the complexity of defining diversity in a static way given the co-created environments inherent within organisations leading to equality, ideally or inequality depending on individual expression of agency often determined by aspects of diversity. Given the cyclical nature of the expression of diversity within organisations it is recognised that diversity is a meaningful part of individuals' experiences in organisations but development of diversity programmes or trainings should not be considered the epitome of best practices in organisations. Instead, organisations should look to individual lived experiences of intersectional diversity to inform the ways in which participants experience and contribute to the organisation's ethics.

Equality affirms the ways in which everyone within an organisation is treated the same in fundamental fairness. Indeed, within their diversity initiatives, many organisations view equality as the goal for their policies and practices. In their 1999 work, Anderson speaks to equality as relational whereby 'democratic equality regards two people as equal when each accepts the obligation to justify their actions by principles acceptable to the other, and in which they take mutual consultation, reciprocation, and recognition for granted' (p. 313). Anderson highlights the natural incorporation of human dignity into the concept of equality so that individual agency is understood and, in doing so, takes the stance that no voices should be privileged and all voices should participate equally within the organisation. It follows, then, that organisational policies and practices should begin to be shaped by an equal constituency and be more reflective of the organisation as a whole. In moving towards an organisational profile where equality is understood and organisational actions are taken based on individual agency held by those occupying all levels within the organisation, it would seem that the organisation has moved towards a more ethical foundation.

What is most problematic and must be considered in this understanding is that equality assumes that all organisational participants have

started from the same level of agency within the organisation. Given that positional and personal power play a role in participants' agency, it follows that organisational participants are engaging in agentic action from different levels of power. As such, equality cannot be a sufficient goal if all those within an organisation are to be engaged and included. As organisations strive to move past equality, it is vital that they attend to the individual experience and agency of those within the organisation. It is, therefore, important for organisations to consider the individual lived experience within the organisation while seeking to bring about organisational ethics.

While diversity provides a way of understanding and equality moves us towards an opportunity for all organisational participants' voices to be heard, *equity* represents a way of identifying and understanding the individual's experience within an organisation as 'the absence of systematic disparities … between groups with different levels of underlying social advantage/disadvantage—that is, wealth, power, or prestige' (Chin and Chien 2006, p. 79). More clearly, 'Equity calls for the righting of systemic and structural injustices' (Bernstein et al. 2019, p. 2) by ensuring that all organisational participants have what they need to be successful. Within organisations this levelling of agency means all voices have an opportunity to be heard. Regardless of the enactment of individual agency, it is incumbent upon the organisation to make time and space for all voices to be heard when organisational policy and practice are being developed so that all individuals within the organisation have equitable access to resources and opportunities as well as voice in the ethics with which policy and practice are created. And while individual achievement may be attained, it is the organisation's ethical structure which is paramount in determining whether open opportunities exist for all as framed by the organisational ethics.

While diversity has been recognised as an assumed aspect of best organisational HRD practice within organisations, it is the current movement towards *inclusion* which is the 'removal of barriers that block employees from using the full range of their skills and competencies in organisations' (Roberson 2006, p. 213) that has taken hold and is driving progress towards the healthiest, most productive and most sustainable organisational environments. When individual differences are recognised

and valued in accompaniment with opportunities offered for all to access them, it is next vital that organisations maintain an environment of inclusion where individuals feel a part of the larger whole. When organisations highlight policies and practices promoting organisational diversity they sometimes fall short of meeting individuals' needs for belonging and acceptance within the organisation. Being only recognised for one's differences and having access to opportunities does not meet the mark of being able to utilise the opportunities and feeling like an integral part of the organisation. Mor-Barak and Cherin (1998) note that inclusion reflects 'the degree to which individuals feel a part of critical organisational processes such as access to information and resources, involvement in work groups and ability to influence the decision-making process' (p. 48). The sense by all individuals of being ingrained within the organisational fabric is paramount to a healthy and sustainable internal organisational culture bounded by the ethics of the organisation.

As an extension of the fundamental diversity construct, inclusion encompasses the ideal of not only recognising and honouring the differences between and among organisational participants but viewing each individual as unique but with the same access and opportunity for contribution and achievement within the organisation (Shore et al. 2011). Indeed, without inclusion, individuals may feel more removed from the fabric of the organisation if highlighting their diversity and engaging them in opportunities leads to targeting due to a perceived imbalance of agency by others. Feeling unwelcome or out of place within an organisation are two common impacts that may be experienced by individuals as a result of greater organisational focus on diversity, equity and inclusion.

8.6 When Organisational Ethics Are Challenged

Organisational ethics are constantly evolving as the organisation itself continues to develop as a living entity with the engagement of different organisational participants over time. No organisation is ever in stasis and must be prepared to engage the trials and tests that will inevitably arise.

Few negative organisational effects have as significant impact upon those seeking to enact their agency as incivility. While organisational policies and practices may be in place to address more blatant forms of negative behaviours, such as targeting, bullying, harassment and abuse, it is often the more vacuous environment of incivility which can elucidate the greatest feelings of discomfort within the organisation. Recognising the vague, yet decidedly negative, quality of incivility within the organisation, Andersson and Pearson (1999) defined it as 'low-intensity behaviour with ambiguous intent to harm the target, in violation of workplace norms for mutual respect; uncivil behaviours are characteristically rude and discourteous, displaying a lack of regard for others' (p. 457).

Workplace or organisational norms should, based on one's understanding of organisational ethics, be co-created and understood to be applicable to all within the organisation. Incivility takes direct aim at the organisational goals of recognising individual agency, appreciating diversity, developing equitable practices and building an inclusive environment by generating an undercurrent of distrust and fear leading to harmful individual impacts such as poor work performance and lack of engagement with the organisation (Rahim and Cosby 2016). Of interest to organisations, then, should be better understanding of the ways in which incivility can be eliminated while individual agency is enacted and supported within the organisation as diversity is appreciated, equity is engaged broadly and an inclusive environment is generated.

Few incidents of organisational incivility have as significant an impact upon individuals in organisations as those inflicted on those who are already struggling to find their place within the organisation. *Monachopsis* is 'the subtle but persistent feeling of being out of place, as maladapted to your surroundings as a seal on a beach—lumbering, clumsy, easily distracted, huddled in the company of other misfits, unable to recognise the ambient roar of your intended habitat, in which you'd be fluidly, brilliantly, effortlessly at home' (Greenblatt 2017, p. 8). It is the sense of a suffocating, unwelcome environment where one's voice is silenced and can be the result of lack of individual agency, implicit biases or general incivility. Indeed, those experiencing monachopsis may struggle most due to unarticulated behaviours creating their sense of incongruence within the organisation. As part of working through the sense of not

belonging, individuals must look to their sense of agency and environment for indications of organisational fit, or lack thereof (Bourdieu 1989). Participants must question whether the organisation is seeking to 'other' them or if they are seeking uniqueness within the confines of an organisation.

In organisations where diversity is appreciated, individuals are often celebrated as part of groups rather than for their individuality. Whether associated with race, gender, religion or other groupings, organisational recognition of diversity is often promoted in a non-intersectional and general manner. For individuals who value their place within these groups and the opportunities that greater equity and inclusion bring to the individual and the organisation, the desire to be recognised for their unique qualities may compete with their desire to belong. Conceptualising *Optimal Distinctiveness Theory*, Brewer (1991) posited that as individuals become more immersed in groups with which they identify, they feel a desire to become more differentiated and stand out as individuals. Indeed, they seek to be uniquely themselves while being part of the larger community. As such, 'The basic premise of the optimal distinctiveness model is that the two identity needs (inclusion/assimilation and differentiation/distinctiveness) are independent and work in opposition to motivate group identification' (Leonardelli et al. 2010, p. 66). From an organisational perspective, creating an environment of such inclusion that individuals feel the need to seek greater distinctiveness of self could be viewed positively and contribute to the strength of the organisational ethics. The organisation's efforts to engage individual agency in generating a foundation of organisational ethics would not be possible without commitment to centring individual agency, civility and inclusion. Engaging diverse voices in developing organisational ethics builds cohesion and a sense of community within which agency, civility and inclusion can thrive. It is in this collective space that individuals should be able to most freely explore their uniqueness with the support of the organisation.

8.7 Organisational Ethics in Action

Examining and questioning one's place and the ethics within an organisation is a challenging yet necessary part of understanding why and how one's voice is being silenced as well as how to reengage with the organisation. Calling out those who are perpetuating an environment where some voices are privileged over others thereby impacting the organisational ethics, whether done intentionally or not, is not an easy task and can result in further harm to one's agency and place in the organisation.

One needs only look to those who have spoken up about the pervasion of voices silenced at The Weinstein Company. The company used the bright line tests of standard organisational policies supporting diversity and opposing harassment but allowed the abuse of women by organisational leaders to continue unchecked because an ethos of silencing whistle-blowers persisted. The organisational ethic of leadership being allowed to mistreat those at the lowest levels led to an organisational culture of silencing those victimised in spite of established organisational policies stating the converse. By using bright line tests rather than organisational community development to set the organisational ethics, The Weinstein Company engendered an ethical culture detrimental to all employees.

Similarly, the Federation Internationale de Football Association (FIFA) eschewed organisational community developed ethics reflecting the organisation's collective participants in favour of the bright line tests of top-down developed financial policies. Without engaging organisational ethics for a healthy and sustainable organisation, the FIFA executives participated in a scheme to enrich each other, disregarding the interests of the organisation and its constituents. Instead of building a collective culture of ethics based on organisational participants, policies written to meet only the most standard level of interactions left space for those less scrupulous to act outside the lines and put all those within the organisation at risk.

What is missing in each of these examples is the ethics built through HRD-led organisational community development. Ceding control of the policy-making process can be challenging for those within traditional

organisational structures where adhering to common policies based strictly on laws and imposed guidance is the norm. What is advocated here is not a retreat from meeting compliance standards in favour of ad hoc rules. Instead, it is suggested that organisations take the opportunity to more fully engage their participants' agency, civility and inclusion in co-creating the community ethical boundaries so that the expectations within the organisation better reflect those contributing to it. In building a more ethical organisation reflective of organisational participants, there exists the potential to curate a body of guidelines, rules and expectations that will be more impervious to mismanagement and misbehaviour.

Companies seeking to engage ethically have numerous ways to reflect organisational ethics built internally and expressed externally. Each year, Ethisphere (2020) researches and names the most ethical companies worldwide rewarding those selected with recognition for the work they are doing. Reviewing their annual lists could provide other organisations with a roadmap for how to work smarter to engage organisational ethics. From implementing environmentally supportive practices to initiating culturally relevant programmes, organisations are finding unique ways to centre their collective ethics in holistically crafting a better organisation.

The Bank of Montreal was recently recognised as an ethical organisation based on part on its commitment to organisational community building and social change initiatives impacting those inside the organisation as well as outside. Positive initiatives leveraging strong partnerships within the local community are not possible for most organisations without dedicated efforts by organisational participants invested in contributing their energy and reflecting the organisational culture and ethics of which they are a part. The Bank of Montreal is focused on health and sustainability which necessitates the incorporation of the organisational participants' agency, civility and inclusion in order to achieve the sort of ethical environment to make their goals a reality.

Likewise, Wyndham Hotels and Resorts has a lengthy reputation as a socially responsible and environmentally sustainable organisation due in part to their strong commitment to inclusion and community. As is so important to creating a healthy and sustainable organisation through organisational community development initiatives, the leadership is actively involved at all stages and visible throughout. By engaging

organisational participants' agency, civility and inclusion to develop the ethos of leading with social responsibility, Wyndham Hotels and Resorts has built the sustainability desired and reflected their internal culture onto the communities from which their employees hail. In return, organisational participants drawn to an organisational culture reflective of the community's ethics will find a fit for their interest.

Of course, no organisation is immune to all threats to organisational ethics from within or without and they must be prepared with systems to report and attend to violations against organisational participants. If organisational ethics based on participants' agency, civility and inclusion are to be supported, it is vital that transgressions be attended to in ways that reflect the collective ethics as well. Creating reporting structures, investigative processes and remediation practices must be created as part of the organisational community development if organisational health and sustainability is to be achieved. It would be beneficial for organisations to consider community-supportive programmes such as restorative justice as tools to be used to bring about greater awareness of individual impacts to the whole organisational community. Centring the organisational ethics when addressing detrimental actions creates the opportunity for larger lessons for participants about their value and contribution to the organisation as well as the value of the culture being curated and sustained for all.

8.8 Conclusion

Organisations are living entities as reflected in the individuals that make them up, and the success or failure of the organisation depends on the ways in which individuals are engaged with and by the organisation. No longer is the goal to merely meet the bright lines and boundaries of organisational policy as prescribed by survey responses and generic expectations set by external entities. Organisational ethics that foster healthy organisational environments do not set the goal of compliance. Rather, through the individual agency of those within the organisation they choose to build a sustainable organisation based on organisational ethics reflective of those who construct the environment. By drawing in voices

of those within the organisation, the foundation of organisational ethics can be built and shaped in an ongoing way through an organisational culture of ethics reflective of those included. By engaging participant agency, civility, inclusion and lived experience built through strategic HRD initiatives of organisational community development, organisations can recognise the value of diversity, generate equitable opportunities and focus on an inclusive environment. In doing so, organisations can build cultures of civility where individuals feel they fit as well as have the ability to stand out in positive ways. While this perspective of organisations may seem idealistic and utopian, it is hoped that it presents a map to engaging organisational potential.

References

Anderson, E.S. 1999. What is the Point of Equality?. *Ethics*, 109(2), pp. 287–337.

Andersson, L.M. and Pearson, C.M. 1999. Tit for tat? The spiraling effect of incivility in the workplace. *Academy of Management Review*, *24*(3), pp. 452–471.

Bernstein, R.S., Bulger, M., Salipante, P., and Weisinger, J.Y. 2019. From Diversity to Inclusion to Equity: A Theory of Generative Interactions. *Journal of Business Ethics*, 21(1) pp. 1–16.

Bevoc, L. 2017. *Green Business, Social Responsibility, Organisational Ethics, and Non-profit Organizations.* NutriNiche System LLC.

Bourdieu, P. 1989. Social space and symbolic power. *Sociological Theory,* 7(1), pp. 14–25.

Boyd, R. 2006. 'The Value of Civility?'. *Urban Studies*, *43*(5–6), pp. 863–878.

Brewer, M.B. 1991. The social self: On being the same and different at the same time. *Personality and Social Psychology Bulletin, 17*(5), pp. 475–482.

Chin, M.H. and Chien, A.T. 2006. Reducing racial and ethnic disparities in health care: An integral part of quality improvement scholarship. *Quality and Safety in Health Care*, 15(1), pp. 79–80.

Ethisphere, 2020. *World's Most Ethical Companies.* https://www.worldsmostethicalcompanies.com/honorees/ (Accessed on 08 April 2020).

Foucault, M. 1980. *Power/knowledge: Selected interviews and other writings, 1972–1977*. Vintage.

Giddens, A. 1984. *The constitution of society: Outline of the theory of structuration*. California: University of California Press.

Goffman, E. 1978. *The presentation of self in everyday life*. London: Harmondsworth.

Greenblatt, S.J. 2017. Why I feel like a fish out of water, or, monachopsis 1—part I. *Employee Relations Law Journal, 43*(3), pp. 4–28.

Homan, A.C. 2019. Dealing with diversity in workgroups: Preventing problems and promoting potential. *Social and Personality Psychology Compass*, 13(5), pp. 1–15.

Janssens, M. and Steyaert, C. 2019. A practice-based theory of diversity: Respecifying (in) equality in Organisations. *Academy of Management Review*, 44(3), pp. 518–537.

Leonardelli, G.J., Pickett, C.L. and Brewer, M.B. 2010. Optimal distinctiveness theory: A framework for social identity, social cognition, and intergroup relations. *Advances in Experimental Social Psychology*, 43(1), pp. 63–113.

Mor-Barak, M.E. and Cherin, D.A. 1998. A tool to expand Organisational understanding of workforce diversity: Exploring a measure of inclusion-exclusion. *Administration in Social Work*, 22(1), pp. 47–64.

Nagy, M. 2018. Beyond Diversity: Civility in the Workplace. In *National Diversity Equity Workshops in Chemical Sciences (2011–2017)*, pp. 159–168.

Phillips, R. 2003. *Stakeholder theory and Organisational ethics*. London: Berrett-Koehler Publishers.

Pullen, A. and Rhodes, C. 2015. Ethics, embodiment and Organisations. *Organisation*, *22*(2), pp. 159–165.

Rahim, A. and Cosby, D.M. 2016. A model of workplace incivility, job burnout, turnover intentions, and job performance. *The Journal of Management Development,* 35(10), pp. 1255–1265.

Roberson, Q.M. 2006. Disentangling the meanings of diversity and inclusion in Organisations. *Group and Organisation Management*, *31*(2), pp. 212–236.

Shore, L.M., Randel, A.E., Chung, B.G., Dean, M.A., Holcombe Ehrhart, K. and Singh, G. 2011. Inclusion and diversity in work groups: A review and model for future research. *Journal of management*, 37(4), pp. 1262–1289.

Tams, C. and Gentile, M. 2019. Giving Voice to Values: Responsible Management as Facilitation of Ethical Voice. In *Research Handbook of Responsible Management,* Edited by Laasch, O., Jamali, D., Freeman, R.E. and Suddaby, R., Cheltenham: Edward Elgar.

9

Learning and Innovation Through Interfirm Alliances: The Role of Human Resource Development

Okey Okonkwo

9.1 Introduction and Purpose

Strategic alliances are interfirm collaborative relationships formed by two or more partners who pool their resources and co-ordinate their activities to reach a common goal. As heightened competition and increased interdependence means that firms are increasingly incapable of staying competitive by relying entirely on its internal resources/capabilities (Das and Teng 2000), interfirm alliances have become important strategic vehicles of maintaining competitiveness among business organisations. There are many reasons that firms form alliances. One of the most commonly cited reasons is the opportunity for interfirm learning and knowledge transfer. It is argued that strategic alliances provide means through which firms learn, transfer, share and exploit knowledge resources that are otherwise unavailable within the firm (Grant and Baden-Fuller 2004; Inkpen 1998; Lavie 2006). Literature has also shown that such externally accessed and/

O. Okonkwo (✉)
Canterbury Christ Church University, Canterbury, UK
e-mail: okey.okonkwo@canterbury.ac.uk

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_9

or acquired knowledge can help firms to develop innovations that otherwise could not be done internally or to improve the quality and efficiency of innovations developed in the firm (Matinez-Noya and Narula 2018). In the innovation literature, the concept of 'open innovation' is used to stress the notion of leveraging external knowledge through engaging with external sources (e.g. through strategic alliances). The basic premise of the open innovation concept is the opening up of the firm's innovation process to valuable external knowledge and ideas in order to enhance innovation capabilities (Flor et al. 2018). In fact, research and development (R&D) alliances constitute one of the typologies of strategic alliances that has been widely analysed for their pure learning and innovation focus.

While the notion of alliance learning and innovation is propagated in the field of strategy and innovation, the field of human resource development (HRD) emerged with a strategic perspective on the organisation of learning and development activities. Inspired by the resource-based theory of the firm (e.g. Prahalad and Hamel 1990) and, recently, the notion of dynamic capabilities (e.g. Eisenhardt and Martin 2000), this perspective highlights the strategic importance of HRD as a tool for developing workforce capabilities, knowledge, efficiency and adaptability that enhances a firm's competitive advantage (e.g. Mitsakis 2019; Garavan et al. 2016; Garavan 2007). However, much of the discussion about HRD and its strategic approach in organisations has been on individuals and organisations rather than on an inter-organisational level. As a tool for development of knowledge and capabilities, it is important to explore and understand what role HRD can play in inter-organisational learning and innovation through interfirm alliances.

The purpose of this chapter is to highlight the importance of learning and innovation through interfirm alliances, particularly the R&D type of interfirm alliances, and then analyse and generate insights on how HRD can contribute to development of learning and innovation capabilities through interfirm collaborative arrangements. The chapter starts with definition and discussion of interfirm alliances and its various motives, emphasising the learning and innovation-focused alliances. This is then followed by an introduction to the concept of learning and innovation at organisational and inter-organisational levels. This section of the chapter will also identify and discuss the determinants of learning and innovation

in alliances, highlighting the importance of learning intent and absorptive capacity in inter-partner learning and innovation. The last section of the chapter will discuss the role of HRD and how HRD practices can be used to develop innovation capabilities in alliances.

The unique contribution of this chapter is that it extends the discussion and analysis of the role of HRD to a distinctive form of organisation, namely interfirm alliances as hybrid organisations, and highlights the contribution HRD can make in developing alliance dynamic capabilities that enhance competitive advantage. Therefore, by the end of this chapter, the following learning outcomes will be addressed:

- Understand the nature of interfirm alliances as a hybrid form of organisation and a mechanism of organisational learning and innovation;
- Understand the nature of learning intent and absorptive capacity as two major determinants of learning and innovation in alliances;
- Appreciate the strategic contribution HRD can make to facilitate the development of learning and innovation capabilities in interfirm alliances.

9.2 The Nature of Interfirm Alliances

9.2.1 Forms/Typology/Motives of Alliances

There is apparently lack of uniformity in the definition of alliances across the literature which can be attributed to the multi-disciplinary nature of the subject (Matinez-Noya and Narula 2018). For instance, varied terms have been used by scholars to refer to the same alliance phenomenon. Some authors use the term alliance, while others prefer such terms as co-operation, partnership or collaboration to refer to collaborative forms of co-ordination of economic activities. However, despite this variety of terms, most definitions in the literature are unanimous in three essential aspects pertaining to interfirm alliances, namely (1) the alliance partners are legally and economically (partly) independent, (2) the partners voluntarily restrict their decision autonomies in certain areas of operation in

order to pursue goals which could be better achieved jointly than separately and (3) the partners explicitly (oral or written) commit themselves to the joint co-ordination and execution of tasks on a short-term or long-term basis (Tsang 1999; Schwerk 2000; Grunwald 2003; Morschett 2005). Based on this unanimity, alliances can therefore be generally viewed as collaborative arrangements between two or more independent companies that voluntarily engage in business activities to pursue common goals and achieve mutual economic gains.

Alliances comprise various forms of co-operative arrangements that are subsumed under two main categories, namely equity and non-equity alliances (Gulati 1995). Non-equity alliances refer to contract-based co-operative arrangements that do not involve equity exchange between the alliance partners. These include arrangements such as relational contracts (joint project execution, joint production contracts and joint R&D contracts), licensing agreements (franchising and technology exchange) and long-term supply chain relationships (Contractor et al. 2011; Contractor and Lorange 2002). On the contrary, equity alliances are joint ventures involving equity holdings by the alliance partners. Under joint venture arrangements, a separate entity jointly owned by the partners is often created or, in some cases, one partner takes minority equity in the existing entity of another partner leading to a minority joint venture. Equity alliances in the form of joint ventures entail the highest level of institutionalisation of alliances and the highest degree of collaboration and interdependence between alliance partners, hence the greatest commitment of the partners. And with regard to inter-partner learning, joint ventures are considered most instrumental in the transfer of knowledge between alliance partners, particularly the more embedded tacit knowledge, because of the significant extent to which partners are exposed to each other in such arrangements (Kogut 1988; Mowery et al. 1996).

Emergence and motives of interfirm alliances have been explained from a variety of theoretical perspectives in the literature with each perspective often focusing on a specific motive of alliances. For instance, the transaction-cost-theory, which has been the dominant theory used by scholars in the study of alliances, focuses on the minimisation of transaction costs and postulates that alliances are chosen by firms over other alternative arrangements (such as market and hierarchy) when they are

more efficient in minimising transaction costs than the alternative arrangements (Williamson 1985; Dyer 1997; Tsang 2000). The game theoretical perspective, which focuses on utility/rent maximisation as a motive of interfirm alliances, suggests that firms as opportunistic self-interested players are generally faced with the dilemma to either co-operate or compete with one another and that firms often choose a co-operative strategy (i.e. alliances) under non-zero-sum situations in order to maximise their utility/rent/gain (Axelrod 1984; Parkhe 1993). The resource-based perspective focuses on firms' resources and argues that alliances are strategies of accessing resources which are otherwise unavailable in the firm (Das and Teng 2000; Tsang 2000), while the knowledge-based/learning perspective' (as an offshoot of resource-based perspective) sees alliances as vehicles for acquisition, transfer and sharing of knowledge from across a firm's boundary (Kogut 1988; Grant and Baden-Fuller 1995, 2004). The list of the theoretical perspectives and their explanations could go on as there is still a host of other perspectives. Some of these theoretical perspectives can be complementary to one another in their explanations of the motives of interfirm alliances, while some are more extensive in their explanations and are sometimes competitive to other perspectives. Nevertheless, each perspective contributes valuable insights to the understanding of the phenomenon of alliances. For the purpose of this chapter, the knowledge-based/learning perspective provides the lens through which alliance motive and activities are seen.

9.2.2 Research & Development Alliances

R&D alliances are innovation-based relationships between two or more partners who pool their resources and co-ordinate activities to achieve a mutual goal (Matinez-Noya and Narula 2018). According to Hagedoorn (2002), these are relationships in which R&D activities constitute a major part of the collaborative operations and, therefore, represent a particular subset of alliance/co-operative agreements. Other terms used to refer to R&D alliances in the literature include strategic technology partnering, technology alliances, technological co-operative agreements and

co-operative R&D (Narula and Hagedoorn 1999). One of the key characteristics of R&D alliances is the tendency to require a high level of transfer of knowledge between the partners, particularly tacit and firm-specific knowledge that is difficult to communicate and would require close interactions between the partners in order to be transferred (Becerra et al. 2008; Inkpen and Dinur 1998). This often presents managers with a major challenge in the design and management of R&D alliances as the degree of interaction required may lead to appropriability hazards including the risk of unintended leakage or flow of proprietary knowledge to others (Kogut 1988; Oxley 1997; Das, 1999). Such a risk occurs when the recipient partner takes advantage of the acquired knowledge to become a future competitor (Alcacer and Oxley 2014 cited in Matinez-Noya and Narula 2018) or when the knowledge gained by the recipient partner may benefit competitors with whom the recipient partner may also be engaged with (Martínez-Noya and García-Canal 2016). Therefore, R&D alliance partners often face the dilemma of having to maintain the degree of collaboration and knowledge transfer needed to achieve their alliance objectives whilst simultaneously acting to limit or avoid unintended loss of valuable proprietary knowledge. They also often tend to address this problem through their choice of organisational modes and governance mechanisms such as design of complex and lengthy collaborative agreements/contracts as well as choice of familiar and trusted partners which may diminish innovation performance (Matinez-Noya and Narula 2018; Contractor and Reuer 2014).

Generally, R&D collaborative agreements can be categorised into three, namely horizontal and, vertical (i.e. those with universities and research institutes) alliances (Belderbos et al. 2004). Horizontal alliances are those formed between firms engaged in more or less the same kinds and types of value-adding activities (e.g. among competitors/rivals). They provide opportunities for economies of scale and scope but are also prone to conflict and leakage of intellectual property. Vertical R&D collaborations are those between firms operating in related industries along the same value chain (e.g. with suppliers or clients). They are especially important within global production networks and global value chains and are especially common for development (as opposed to research). Overall, compared to vertical agreements, horizontal alliances tend to

reflect a more complex strategic intent and require closer collaboration (Narula and Hagedoorn 1999).

Besides this categorisation, R&D alliances, like any other collaborative arrangements, can take different structural and organisational forms which are primarily classified into equity and non-equity collaborative arrangements (see explanation above). The recent surge in the use of non-equity modes (of alliances) within the R&D sector has been justified with the increased level of flexibility they offer compared to equity modes (van Kranenburg et al. 2014). The inherent design flexibility means that some non-equity relational-based modes can facilitate high degree of involvement/interaction of the partners but also provide room for more flexibility in terms of monitoring and controlling of activities through complex and lengthy contracts. For instance, licensing agreements as a form of non-equity arrangement are often one-way knowledge transfer agreements that do not involve any active collaboration, while cross-licensing and technology sharing agreements do involve bilateral knowledge flows and, therefore, involve some degree of active collaboration between the partners. The R&D alliance modes with the highest degree of active collaboration among partners and two-way knowledge flows are joint ventures, both equity and non-equity ones. The general argument is that the higher the level of collaboration, commitment and interdependence among the partners, the higher the potential for transfer of tacit firm-specific knowledge in the alliance and then the more complex and lengthier the alliance contracts/agreements tend to be due to greater appropriability concerns. Nevertheless, as Contractor et al. (2011) suggested, alliance structure is not an end in itself. It is the process and intensity of interactions between the personnel of the two partner companies—more than the legal or contractual form—that matter, when it comes to creating value, learning from one's partner, or moderating opportunism in alliances. Even the simplest form of alliance may involve interactions between the partners that go beyond merely co-ordination to include major activities such as joint development or co-design of products or new technologies (Matinez-Noya and Narula 2018).

9.3 Inter-Partner Learning and Innovation in alliances

While strategic alliances, particularly R&D alliances, can be a mechanism of acquiring external knowledge to enhance innovation performance, it requires organisational learning processes as well as the capabilities of the collaborating partner firms to incorporate external knowledge in order to achieve innovation. The knowledge-based/organisational learning perspective provides the framework with which learning processes and innovation in alliances are explained.

9.3.1 Organisational Learning, Inter-Organisational Learning and Innovation

Organisational learning has been defined as a process by which an organisation develops its value, skill and knowledge-base through learning efforts (Argote 1999; Crossan et al. 1999). In the vast literature of organisational learning, it is recognised that this development of organisational knowledge-base can occur in a number of ways, one of which is knowledge acquisition (Tsang 1999; Kim 1993). Knowledge acquisition can arise from the direct experience of the organisation and its members from an organisation's activities leading to experiential learning (Fiol and Lyles 1985; Huber 1991; Argote 1999), but it can also occur through collaboration with other organisations (Huber 1991; Hamel 1991; Inkpen 1998). In the latter case, where an organisation acquires knowledge through collaborating with another organisation has been the focus of most literature on inter-organisational learning in alliances. It is argued that through joint execution of tasks, mutual interdependence and problem solving, as well as observation of alliance activities and outcomes in interfirm collaborative arrangements, firms can learn *from* their alliance partners (Inkpen 2000). Thus, alliances provide a platform for inter-partner learning through which two or more organisations come together to access, share and/or acquire knowledge and skills that are otherwise unavailable within their own organisations in order to develop their respective knowledge-bases. However, besides learning *from* partners in

alliances (i.e. acquiring knowledge from alliance partner) emphasis has also been made on learning *with* partners in alliances, that is, collective learning of alliance partners as interconnected organisations producing an inter-organisational knowledge-base (see Larsson et al. 1998; Holmqvist 1999; Kapmeier 2007). From this chapter's point of view, learning in alliances can basically involve any of the following three processes (1) *experiential learning* which involves partner firms learning (i.e. acquiring knowledge) from their own direct experiences made within the alliances; (2) *vicarious learning*, which involves firms learning from their alliance partners; and/or (3) *joint-learning* which involves firms learning with their alliance partners and jointly creating new knowledge including new product (Huber 1991; Tsang 1999). These three types of learning processes may occur simultaneously or exclusively in interfirm alliances depending on the learning goals and objectives of the collaborating firms.

The link between inter-partner learning and innovation in alliance can be described as that of a causal relationship. Learning is a necessary condition for innovation (Rothaermel and Deeds 2004). Learning entails knowledge acquisition or knowledge generation while the acquired/generated knowledge is utilised or applied to create new knowledge, which is innovation. Martínez-Costa et al. (2019) found that inter-partner learning (i.e. organisational learning) provides a mediating relationship between alliance and innovation performance. Without inter-partner learning in alliance, R&D alliance cannot result in innovation.

9.4 Determinants of Learning and Innovation in Alliances

The literature of inter-partner learning in alliances is generally replete with various factors that influence and determine learning and, subsequently, innovation in interfirm alliances (Okonkwo 2019; Easterby-Smith et al. 2008). These include factors such as learning intent of the alliance partners (Hamel, 1991; Pérez-Nordtvedt et al. 2008), learning/absorptive capacity of alliance partners (Lane and Lubatkin 1998; Simonin 2004), transparency or openness among alliance partners

(Hamel, 1991; Inkpen 2000), inter-partner trust (Larsson et al. 1998; Bengoa and Kaufmann 2016) and the nature/characteristics of knowledge as the object of learning (Simonin, 1999; Inkpen, 2008). However, while most of these factors often influence or determine the extent/degree of learning and knowledge sharing between partners in alliances, two factors, namely learning intent and learning/absorptive capacity of alliance partners often determine whether or not and how an alliance partner would primarily utilise the learning opportunities that arise in its alliances (Simonin 2004; Hamel, 1991; Hau and Evangelista 2007) as well as translating learning/knowledge from the alliance into innovation (Flor et al. 2018; Lin et al. 2012). Therefore, these two factors constitute the key primary determinants of learning and innovation in alliances and are the subjects of discussion in following subsections.

9.4.1 Learning Intent

Learning intent has been defined as the deliberate desire and will of an alliance partner firm to learn from its collaborative arrangement (Hamel, 1991). In other words, it is a partner firm's motivation to learn from its partners or through the alliance (Okonkwo 2019) and it is often used to refer to the degree/extent of an alliance partner's desire, will or determination to learn certain knowledge and skills from the other partner(s) in the alliance (Tsang 2002; Simonin 2004). Scholars have suggested that inter-partner learning occurs mainly through deliberate design rather than by default and, therefore, prior intention of alliance partners to learn through the alliance constitutes a primary determinant of learning and knowledge acquisition in the alliance (Hamel, 1991; Simonin 2004; Pérez-Nordtvedt et al. 2008). Hamel (1991) argues that a clear intent to learn and a conscious consideration on how to implement it is a prerequisite for utilisation of learning opportunities offered by interfirm collaborative arrangements. Similarly, Tsang (1999) suggests that even though learning intent may not be a compelling condition for learning, particularly for experiential types of learning, the presence of learning intent in a partner firm is the first step towards effective learning by the firm in the alliance. Without a deliberate intention to learn, learning,

knowledge transfer and knowledge acquisition would be left to chance; that is, it may or may not take place (Okonkwo 2019). Without learning intent, alliance partners are less likely to initiate learning mechanisms and commit resources to learning processes in the alliances (Inkpen and Dinur 1998). Therefore, the stronger the learning intent of alliance partners, the higher the chances that learning and knowledge transfer will occur in the alliance (Inkpen 2000; Simonin 2004; Tsang 2002) eventually leading to innovation.

The degree of a partner firm's learning intent in an alliance is often reflected by the level of articulation of learning agenda/objectives by its top management and the level of commitment to the learning agenda while entering the alliance (Simonin 2004; Tsang 2002). However, learning agendas, objectives and commitment at the top management level alone may not be a sufficient proxy for a firm's learning intent as there is still a need to communicate the learning agenda/objectives to employees at various levels in the partner firms, particularly those involved with the alliance interface. Without communicating the learning agenda throughout the firm, or at least to the employees at alliance interface, top management's learning objectives may not be translated into effective learning behaviours (Pucik 1988).

In the context of R&D alliances, it could be argued that a partner firm's decision to participate in an R&D alliance often comes with the clear intention to learn or an assumption/expectation that the R&D activities would lead to knowledge acquisition and, eventually, innovation performance. This is because R&D alliances are considered learning alliances (or learning-focused alliances). However, an initial learning intention (or assumption) may not eventually translate to effective learning in the alliance if it is not developed into well-articulated learning agenda or objectives and communicated to the relevant sections of the firm. Okonkwo (2019) distinguished between indicated learning intent, which involves merely the initial declaration of learning intent by alliance partner firms, and formalised learning intent which involves further articulation and communication of learning intent by alliance partner firms. In his empirical study, the author found that the partner firms with formalised learning intent eventually went ahead to deploy their resources and capabilities to learn and acquire knowledge in the alliances. Therefore,

the importance of partners' prior learning intent for learning and innovation performance in alliances cannot be overemphasised, even in R&D alliances where learning is considered a major motive. Alliance partners' learning intent is a key driver of the capacity to learn in the alliances (Simonin 2004).

9.4.2 Absorptive Capacity

An alliance partner firm possessing learning intent to acquire knowledge from its partner or from its collaborative arrangement must also possess the ability to do so. Such ability to learn is argued to be determined by what Hamel (1991) calls receptivity and Cohen and Levinthal (1990) call absorptive capacity. Originally, Cohen and Levinthal (1990) defined absorptive capacity as a firm's ability to recognise the value of new external knowledge, assimilate it and apply it to commercial ends. Conceptualised as a firm-level construct, the authors argued that absorptive capacity of a firm depends primarily on the prior related knowledge possessed by the firm, suggesting that firms are better able to acquire, assimilate and exploit external (new) knowledge when they already have a knowledge-base similar to the external (new) knowledge they seek to obtain. Expanding on this definition, Zahra and George (2002) defined absorptive capacity as a set of organisational routines and strategic processes through which firms acquire, assimilate, transform and apply knowledge with the aim of creating a dynamic organisational capacity. With this definition, the authors recognised absorptive capacity as a dynamic capability pertaining to knowledge creation and utilisation to achieve competitive advantage. They distinguished between two subsets of absorptive capacity, namely the potential capacity which comprises knowledge acquisition and assimilation capabilities, and realised capacity which comprises knowledge transformation and exploitation capabilities. Absorptive capacity, therefore, is a learning capacity that goes beyond the ability to search, recognise and access external ideas and knowledge and to also encompass the ability to generate innovative outputs by combining external knowledge/insights with the firm's internal capabilities (Flor et al. 2018).

Extending absorptive capacity constructs to interfirm-level in the context of learning and innovation in alliances, scholars have generally emphasised the specific similarities and overlap between the collaborating partner firms as the determinant of absorptive capacity of firms in alliances (e.g. Lane and Lubatkin 1998; Lane et al. 2001; Luo and Deng 2009). It is argued that the more similar the alliance partners are in their characteristics and routines, the more effective learning and knowledge transfer they can have in the alliance. With the notion of relative absorptive capacity, Lane and Lubatkin (1998) argue that the ability of a firm to learn from or with another firm is jointly determined by the relative characteristics of the two firms, that is, the similarity of both firms' basic knowledge bases, organisational structures and compensation practices, as well as of their dominant logics. It is suggested that without understanding the basic assumptions underlying partners' knowledge-base and/or possessing similar operating structures and compatible norms and values, a partner firm can hardly evaluate and assimilate its partner's specialised knowledge (Lane and Lubatkin 1998). However, while similarity/overlap may contribute to absorptive capacity in interfirm alliances, if firms have too much similarity/overlap they will bring less new knowledge to each other and fewer complementary elements, thus reducing the benefits of such alliances (Lin et al. 2012). A number of empirical studies have examined the impact of technological distance in alliances on partner firms' learning/innovation performance and found that alliances with moderate levels of similarity or technological distance between partner firms contributed significantly more to learning and innovation than alliances with minimal or high levels of similarity/technological distance (Sampson 2007; Nooteboom et al. 2007; Lin et al. 2012). Moreover, the emphasis on similarity/overlap as a determinant of absorptive capacity in alliances focuses more on specific characteristics and learning activities at the interface of alliances (i.e. alliance-level characteristics) and less on the specific characteristics of the individual partner firms in the alliances (i.e. firm-level characteristics). Beyond similarity/overlap of alliance partner firms, it is necessary to consider firm-specific levers and resources that can be manipulated so that external knowledge can be recognised, assimilated and applied beyond the interface of the alliance (Simonin 2004). In this way, the capacities of individual partner firms to acquire and utilise

knowledge through their alliances (rather than the ability to co-learn at alliance interface) could be easily assessed, particularly for those types of alliances (e.g. alliances between developed and developing country firms) where comparable overlap and similarities between the partners may be lacking.

Simonin (2004) used the term learning capacity to refer to firm-level characteristics (i.e. specific resources and assets) of a partner firm that can be deployed operationally to facilitate knowledge acquisition and assimilation from its alliances, arguing that learning capacity is a fundamental determinant of absorptive capacity of alliance partner firms as greater learning capacity translates into greater absorptive capacity. The author identified three components of learning capacity (LC), namely resource-based LC which refers to human and material resources that facilitate learning in the alliance (Inkpen, 2002; Pucik 1988); incentive-based LC which refers to explicit institutional routines, systems and measures that induce commitment to learning from other partners in the alliances (Lane and Lubatkin 1998; Pucik 1988); and cognitive-based LC which refers to the general attitudes and beliefs prevalent in a partner firm that favour learning through the alliance (Hamel 1991). The presence of these three components demonstrates the capacity of the focal firm to acquire, assimilate and utilise knowledge in the alliance. Therefore, efforts aimed at developing learning/absorptive capacity need to focus on enhancing these components.

9.5 The Role of Human Resource Development in Alliance Learning and Innovation

9.5.1 Human Resource Development Function

Since learning and innovation capabilities are based on acquisition, assimilation and utilisation of knowledge, skills and competencies, they are ultimately embedded in the workforce and therefore imply an HRD function. HRD encompasses processes and interventions that focus on

developing knowledge, skills and competencies, as well as improving individual and organisational effectiveness and performance (see Hamlin and Stewart 2011). Therefore, HRD constitutes the appropriate function to support the development of learning and innovation capabilities in organisations.

The fundamental importance of HRD is found in the resource-based and human capital theories (Sparkes and Miyake 2000; Garavan 2007). The resource-based theory of the firm postulates that firm's internal knowledge and skills, which can be built into core-competencies, are sources of competitive advantage (Prahalad and Hamel 1990). The human capital theory asserts that it is employees' knowledge, skills and abilities, together with their behaviour, that are at the foundations of core-competencies and firms should therefore protect their core-competencies through investment in employee training and development (Lepak and Snell 1999). Consequently, HRD has been highlighted by several authors as an important strategy to enhancing competitive advantage (Clardy 2008; Garavan 2007). Moreover, with the increased volatility and complexity of business environments and the consequent growth of interest in the dynamic capabilities approach (Eisenhardt and Martin 2000), the potential of HRD to contribute to the development of dynamic capabilities has also been highlighted (Garavan et al. 2016).

Generally, the role of HRD in firms' learning and innovation should involve developing the required human capital (i.e. knowledge, skills, competencies, abilities and behaviours) and creating work environments and learning climates that enhance the capacity of the firm to acquire, assimilate, transform and apply knowledge to achieve innovation output/performance. In the context of interfirm alliances, the role of HRD should involve enhancing the capacity of alliance partner firms to identify and recognise valuable external knowledge (residing in partner firms or potential partner firms), acquire, assimilate and apply it to create innovation. Using Simonin's (2004) concept of learning capacity as a key determinant of absorptive capacity, HRD needs to contribute to resource-based LC, incentive-based LC and cognitive-based LC as well as to formalised learning intent as the driver of learning capacity. Therefore, the argument followed in this chapter is that this important role of HRD can be best achieved through a strategic approach to HRD. A strategic HRD

approach ensures that HRD practices contributing to these elements of alliance learning capacity are aligned with strategic goals of the organisation and thereby contribute to innovation and organisational performance. A strategic approach to HRD helps alliance partner firms to create organisational learning capability that goes beyond capacity to acquire and apply new knowledge, to include capacity to continually develop and improve learning capability and convert learning to new knowledge, that is, dynamic capability (Garavan et al. 2016; Eisenhardt and Martin 2000).

9.5.2 Contributing to Alliance Learning and Innovation Through Strategic Human Resource Development Practices

Several models of strategic HRD have been proposed with a variety of characteristics or practices of strategically embedded HRD in the identified organisations (e.g. Garavan 1991; Torraco and Swanson 1995; McCracken and Wallace 2000; Garavan 2007; Garavan et al. 2016; Mitsakis 2019). However, consensus has gradually been built around a number of key characteristics of strategic HRD which include integration with organisations' strategic goals; integrated HRD strategies, plans and policies; strategic partnerships with key stakeholders; strategic partnerships with human resource management (HRM); and shaping and influencing organisational culture and climate. This chapter posits that the adoption of a strategic HRD approach would elicit effective HRD practices that would contribute to the development of alliance partner firms' learning and innovation capabilities. The following points illustrate how strategic HRD practices can contribute to the development of learning and innovation capabilities of alliance partner firms:

Integration with Organisation's Strategy

The current consensus in this key characteristic of strategic HRD is not only that HRD practices and policies are aligned with organisational

strategy in a supportive role but that HRD is also seen to be driving and shaping organisational strategic goals (Torraco and Swanson 1995; McCracken and Wallace 2000; Mitsakis 2019). This is particularly important for organisational contexts where innovation and change are crucial (Sung and Choi 2013). HRD strategies and policies could drive and shape business goals to achieve desired outcomes (Mitsakis 2019). In the context of interfirm alliances, particularly R&D alliances where learning and innovation are the focus of the alliances, HRD strategies and policies need to drive the formulation and development of partner firms' alliance strategies in order to ensure the achievement of desired learning and innovation outcomes. This can be done by influencing the development of partner firms' learning intent. As stated in Sect. 3.2.1 of this chapter, learning intent is the deliberate desire and will of an alliance partner firm to learn from/through its alliance and it is reflected by the level of articulation of learning agenda/objectives by the top management and the level of commitment to the learning agenda while entering the alliance. The decision of a firm to engage in a learning alliance such as an R&D alliance is a clear indication of learning and knowledge acquisition intention. However, as empirical studies have shown, the initially indicated learning intent may not translate into effective learning if it is not developed into formalised learning intent. Leading the way, HRD would be in a better position to help alliance partners identify and define appropriate learning agenda and make conscious efforts to actualise the agenda.

Strategic Partnership with Key Organisational Stakeholders

As a key characteristic of strategic HRD, building strategic partnerships with key stakeholders such as top management, line management and employees could elicit a knowledge and information exchange process that could improve organisational competitiveness through better ideas generation, creativity and innovation (see Mitsakis 2019). For instance, the support and active participation of top management as key stakeholders is argued to be vital for the development and realisation of strategic HRD policies (Garavan 1991). In the context of learning and innovation in interfirm collaborative arrangements, top management's

articulation of alliance learning objectives and their commitment to its implementation are essential components of a partner firms' learning intent, which drives the capacity to learn and innovate through the alliance (Simonin 2004; Tsang 2002; Pucik 1988). Therefore, to contribute to the achievement of learning and innovation performance in alliances, HRD strategies and policies should be actively led by top management rather than only supported by top management (McCracken and Wallace 2000). Also, involvement of line managers and employees, particularly those operating at the alliance interface, in HRD decision making and implementation would lead to more commitment and a more positive attitude of stakeholders towards learning and development interventions and, therefore, to the achievement of desired goals.

Integrated Human Resource Development Strategies, Plan and Policies

For HRD to be strategic in focus, HRD activities must be systematically organised in addition to their integration with overall organisational strategy (Garavan 1991, 2007). In other words, HRD must formulate and implement plans and policies that flow from HRD strategies developed by the top management team. Strategy shows the direction, both present and future, that has been chosen in order to achieve set business goals, while policy can be seen as the specific route to be followed and the tasks to be undertaken in order to achieve the strategy (McCracken and Wallace 2000). HRD plans represent next level down and usually consist of the details of priority training interventions from the point of view of who, how, when and where. For instance, Garavan (2007) suggests that a mix of HRD practices can be implemented to pursue either exploitation or exploration of HRD strategies. Exploitation-focused strategic HRD practices tend to be short-term and efficiency-orientated and focus on the internal development of competencies, while exploration-focused strategic HRD practices can be used in developing adaptive capability. Gilley and Maycunich-Gilley (2002 cited in Garavan 2007) also identified three domains of strategic HRD, namely organisational performance, organisational learning and organisational change. The organisational

performance domain emphasises efficiency and performance improvement and includes activities such as skills training, job analysis and competency modelling, management and leadership development. The organisational learning domain focuses on facilitation of organisational learning and includes activities such as critical reflection, action learning, tacit learning and knowledge sharing. Finally, the organisational change domain focuses on organisational change and includes activities such as career planning and management, cultural change, empowerment, talent and succession management.

In the context of learning and innovation through interfirm alliance, HRD can contribute to the development of resource-based LC and cognitive-based LC by implementing 'collaborative-based HRD strategy' (Lepak and Snell 1999). The resource-based LC refers to human and material resources that aid learning in the alliances, for instance, the assignment of key, quality and talented staff, at both management and operational levels, to a firm's alliance interface. The cognitive-based LC refers to the general attitudes and beliefs towards learning from an alliance partner that prevail in a partner firm, for example, enthusiasm for learning among operating employees; propensity to unlearning where it is necessary; and humility based on acknowledgement of the need for learning, all contribute to a firm's absorptive capacity in interfirm alliance (Hamel, 1991). Collaborative-based HRD strategy focuses on development of competencies that aid positive interpersonal relations between internal and external actors (Lepak and Snell 1999) and includes practices such as skills training and learning programmes, for instance, associated training programmes often focus on developing networking and collaborative skills and mindsets to enable and encourage employees to access, integrate, transfer and disseminate knowledge (Hong et al. 2018).

Knowledge acquired through such training can promote employees' positive attitudes towards learning from alliance partner firms while reducing anxiety, insecurity and negatively biased attitudes. Collaborative-based HRD practices can ensure that quality/talented employees are deployed to alliance interfaces and can encourage employees to adopt more rational approaches for evaluating external knowledge and sharing internal knowledge. Moreover, collaborative-based HRD practices could be used to contribute to communication of top management's alliance

learning agenda/objectives to employees which is a requirement for a formalised learning intent.

Finally, HRD strategies need to be environmentally integrated in order to effectively contribute to the development of innovation capability. Garavan et al. (2016) argued that the biggest challenge for strategic HRD is to offer interventions that will result in the creation of new dynamic capabilities or the enhancement of existing ones which will eventually help organisations respond to environmental changes effectively. Featuring environmentally integrated HRD strategies, plans and policies can allow organisations to establish a better fit with their internal and external environments (Mitsakis 2019). For instance, an environmentally integrated collaborative-based HRD strategy would be proactive and dynamic in addressing challenges of alliance learning.

Strategic Partnership with Human Resource Management

HRD working in parallel and in synergy with HRM would have a more significant impact on the achievement of the organisational strategies and objectives (McCracken and Wallace 2000). This is particularly important in the context of inter-partner learning and innovation in alliances where HRD's contribution to development of learning/absorptive capacity can have a more significant effect if it is in synergy with HRM. For example, HRM practices such as recruitment and selection practices can support collaborative-based HRD practices by ensuring the selection of candidates into the partner firm who have strong potential to build and maintain internal and external relationships that support intra- and inter-organisational collaboration. In this case, recruitment and selection processes can target teamwork skills and collaboration capabilities (Lepak and Snell 1999). A further instance is HRD's potential contribution to enhancing the incentive-based LC as a component of learning/absorptive capacity which can have a more significant impact if it works in synergy with HRM. Incentive-based LC refers to the explicit institutional routines, systems, rules and guidelines (e.g. reward systems and policies and clear learning agenda) that foster learning orientation and induce commitment to the learning objectives (Simonin 2004). Here, HRM

practices such as reward practices can complement HRD's learning agenda by ensuring that alliance managers and employees are rewarded for what they have learned through the alliance. This would encourage greater effort and commitment to the learning objective (Pucik 1988; Lane and Lubatkin 1998).

Shaping and Influencing Organisational Culture and Climate

Ability to shape and influence organisational culture, beyond simply recognising and responding to it, is a strategic characteristic that contributes to organisational effectiveness (Mitsakis 2019). HRD can influence organisational culture by building a learning mentality within the organisation that enhances adaptive capabilities. In the context of interfirm alliances, HRD can contribute to enhancing cognitive-based learning/absorptive capacity by creating and influencing organisational learning culture within alliance partner firms. This can be done by implementing an organisational learning-based HRD strategy (Gilley & Maycunich-Gilley, 2002 cited in Garavan 2007) which can, in turn, foster a climate of openness with accessibility of information and knowledge sharing at all levels of the partner firm and at alliance interface.

9.6 Conclusion and Implications

The increased importance and popularity of interfirm alliances as mechanisms of inter-organisational learning and innovation and the emergence of strategic perspective on HRD prompted the analysis in this chapter. The main purpose was to assess the potential role HRD, as a learning and development function, can play in facilitating learning and innovation in interfirm alliances. Based on the analysis in this chapter, it is obvious that strategic alliances, particularly R&D alliances, can take several forms, ranging from non-equity licensing agreement with the lowest level of inter-partner collaboration to equity joint ventures with the highest level of inter-partner collaboration. It goes that the higher the level of collaboration, the higher the potential for tacit knowledge acquisition/transfer,

but also the higher the risk of unintended loss of firm-specific knowledge. Alliance managers are therefore faced with the dilemma of maintaining the degree of collaboration necessary for learning and simultaneously acting to limit loss of knowledge. This often influences their choice of alliance form/mode. The analysis of the process of inter-partner learning in alliances shows that learning intent and learning/absorptive capacity of partner firms constitute the two major determinants of learning and innovation. The key argument followed in this chapter is that HRD can facilitate learning and innovation in alliances by contributing to the development of partner firms' learning intent and learning/absorptive capacity. The chapter also shows how this could be achieved through adoption of strategic HRD practices. In conclusion, it can be argued that in the increasingly dynamic, uncertain, and complex external environments, the concept of strategic HRD offers the HRD function the tool to respond effectively and contribute to organisational performance.

The implications of this chapter are twofold: firstly, it underscores the potential of HRD to continue to play influential role in organisations, even in the face of various global trends and the changing nature of organisations. In the debate about the future of HRD, one of the key trends that is considered to constitute a challenge to the traditional notion of work/organisation and, subsequently, to HRD is the continued erosion of a traditional form of organisation and its replacement by inter-organisational networks and clusters such as strategic alliances and networks (Lee 2013). The analysis in this chapter clearly suggests that the influence of HRD would continue to grow, instead of decline, in such new forms of organisations. Secondly, the chapter underscores the need for HRD professionals to move beyond professing of the concepts, models and aspirations of strategic HRD to the actual implementation of strategic HRD in organisational practice. The analysis in this chapter shows that strategic alliances, particularly R&D alliances as learning alliances, offer a platform for practical implementation of the strategic HRD concept.

References

Argote, L. 1999. *Organisational Learning: Creating, Retaining, and Transferring Knowledge*. Boston: Kluwer Academic.

Axelrod, R. 1984. *The Evolution of Cooperation*. New York: Basic Books.

Becerra, M., Lunnan, R. and Huemer, L. 2008. Trustworthiness, Risk, and the Transfer of Tacit and Explicit Knowledge between Alliance Partners. *Journal of Management Studies*, 45(4), pp. 691–713.

Belderbos, R., Carree, M. and Lokshin, B. 2004. Cooperative R&D and firm performance. *Research Policy* 33(10), pp. 1477–1492.

Bengoa, D. and Kaufmann, H. 2016. The influence of trust on the trilogy of knowledge creation, sharing and transfer. *Thunderbird International Business Review,* 58(3), pp. 239–249.

Clardy, A. 2008. The Strategic Role of Human Resource Development in Managing Core Competencies. *Human Resource Development International*, 11(2), pp. 183–197.

Cohen, W.M. and Levinthal, D.A. 1990. Absorptive Capacity: A New Perspective on Learning and Innovation. *Administrative Science Quarterly,* 35(1), pp. 128–152.

Contractor, F.J. and Lorange, P. 2002. "The Growth of Alliances in Knowledge-based Economy." In *Cooperative Strategies and Alliances*, Edited by Contractor, F.J. and Lorange, P. Oxford: Pergamon Elsevier.

Contractor, F.J. and Reuer, J.J., 2014. Structuring and governing alliances: new directions for research. *Global Strategy Journal,* 4(1), pp. 241–256.

Contractor, F.J., Woodley, J.A. and Piepenbrink, A. 2011. How tight an embrace? Choosing the optimal degree of partner interaction in alliances based on risk, technology characteristics, and agreement provisions. *Global Strategy Journal,* 1(1), pp. 67–85.

Crossan, M.M., Lane, H.W. and White, R.E. 1999. An Organisational Learning Framework: From Intuition to Institution. *Academy of Management Review*, 24(3), pp. 522–537.

Das,T.K. and Teng, B.S. 1999. Managing risks in strategic alliances. Academy of Management Perspectives 13(4), pp. 50–62.

Das, T.K. and Teng, B.S. 2000. A resource-based theory of Strategic Alliances. *Journal of Management,* 26(1), pp. 31–61.

Dyer, J.H. 1997. Effective Interfirm Collaboration: How Firms Minimize Transaction Costs and Maximize Transaction Value. *Strategic Management Journal*, 18(7), pp. 535–556.

Easterby-Smith, M., Lyles, M.A. and Tsang, E.W.K. 2008. Inter-Organisational Knowledge Transfer: Current Themes and Future Prospects. *Journal of Management Studies*, 45(4), pp. 0022–2380.

Eisenhardt, K.M. and Martin, J.A. 2000. Dynamic Capabilities: What Are They? *Strategic Management Journal,* 21(10–11), pp. 1105–1121.

Fiol, M.C. and Lyles, M.A. 1985. Organisational Learning. *Academy of Management Review*, 10(4), pp. 803–813.

Flor, M.L., Cooper, S.Y. and Oltra, M.J. 2018. External Knowledge Search, Absorptive Capacity and Radical Innovation in High-technology Firms. *European Management Journal,* 36(1), pp. 183–194.

Garavan, T.N. 1991. Strategic Human Resource Development. *Journal of European Industrial Training,* 15(1), pp. 17–30.

Garavan, T.N. 2007. A strategic perspective on human resource development. *Advances in Developing Human Resources,* 9(1), pp. 11–30.

Garavan, T.N., Shanahan, V., Carbery, R. and Watson, S. 2016. Strategic human resource development: Towards a conceptual framework to understand its contribution to dynamic capabilities. *Human Resource Development International,* 16(1), pp. 289–306.

Grant, R.M. and Baden-Fuller, C. 2004. Knowledge accessing theory of strategic alliances. *Journal of Management Studies*, 41(1), pp. 61–84.

Grant, R.M. and Baden-Fuller, C. 1995. A Knowledge-based Theory of Inter-firm Collaboration. *Academy of Management Journal* A*nnual Meeting Proceedings,* (1):109–122

Grunwald, R. 2003. *Inter-organisationales Lernen: Eine Empirische Analyse von Lernprozessen in Unternehmenskooperationen*. Wiesbaden: Deutsche Universitäts-Verlag.

Gulati, R. 1995. Does Familiarity Breed Trust? The Implications of Repeated Ties for Contractual Choice in Alliances. *Academy of Management Journal*, 38(1), pp. 85–112.

Hagedoorn, J. 2002. Inter-firm R&D partnerships: an overview of major trends and patterns since 1960. *Research Policy,* 31(4), pp. 477–492.

Hamel, G. 1991. Competition for competence and interpartner learning within international strategic alliances. *Strategic Management Journal,* 12(S1), pp. 83–103.

Hamlin, B. and Stewart, J. 2011. What is HRD? A definitional review and synthesis of the HRD domain. *Journal of European Industrial Training*, 35(3), pp. 199–220.

Hau, N. and Evangelista, F. 2007. Acquiring Tacit and Explicit Marketing Knowledge from Foreign Partners in IJVs. *Journal of Business Research,* 60(1), pp. 1152–1165.

Holmqvist, M. 1999. Learning in Imaginary Organisations: Creating Interorganisational Knowledge. *Journal of Organisational Change Management,* 12(5), pp. 419–438.

Hong, J.F.L., Zhao, X. and Snell, R.S. 2018. Collaborative-based HRM Practices and Open Innovation: a conceptual review. *The International Journal of Human Resource Management*, 30(1), pp. 31–62.

Huber, G.P. 1991. Organisational Learning: The Contributing Processes and the Literatures. *Organisation Science*, 2(1), pp. 88–115.

Inkpen, A.C. and Dinur, A. 1998. Knowledge Management Processes and International Joint Ventures. *Organisation Science,* 9(4), pp. 454–468.

Inkpen, A.C. 1998. Learning and knowledge acquisition through international strategic alliances. *Academy of Management Executive,* 12(4), pp. 69–80.

Inkpen, A.C. 2000. Learning through Joint Ventures: A Framework of Knowledge Acquisition. *Journal of Management Studies*, 37(7), pp. 1019–1043.

Inkpen, A.C. 2002. Learning, knowledge management, and strategic alliances: So many studies, so many unanswered questions. In *Cooperative strategies and alliances*, Edited by Contractor, F. J. and Lorange, P. Amsterdam, the Netherlands: Elsevier Science.

Inkpen, A.C. 2008. Managing knowledge transfer in international alliances. *Thunderbird International Business Review*, 50(2), pp. 77–90.

Kapmeier, F. 2007. *Dynamics of Interorganisational Learning in Learning Alliances*. Frankfurt am Main: Peter Lang.

Kim, D.H. 1993. The Link between Individual and Organisational Learning. *Sloan Management Review*, 35(1), pp. 37–50.

Kogut, B. 1988. Joint Venture: Theoretical and Empirical Perspectives. *Strategic Management Journal*, 9(1), pp. 319–332.

Lane, P. and Lubatkin, M. 1998. Relative Absorptive Capacity and Interorganisational Learning. *Strategic Management Journal*, 19(1), pp. 461–477.

Lane, P., Salk, J.E. and Lyles, M.A. 2001. Absorptive Capacity, Learning, and Performance in International Joint Ventures. *Strategic Management Journal*, 22(12), pp. 1139–1161.

Larsson, R., Bengtsson, L., Henriksson, K. and Sparks, J. 1998. The Interorganisational Learning Dilemma: Collective Knowledge Development in Strategic Alliances. *Organisation Science*, 9(3), pp. 285–305.

Lavie, D. 2006. The competitive advantage of interconnected firms: An extension of the resource-based view. *Academy of Management Review*, 31(3), pp. 638–658.

Lee, M.M. 2013. The History, Status and Future of HRD. In *The Routledge Companion to Human Resource Development.* Edited by Poell, R., Rocco, T. and Roth, G., London: Routledge.

Lepak, D. and Snell, S. 1999. The human resource architecture: Toward a theory of human capital allocation and development. *Academy of Management Review*, 24(1), pp. 31–48.

Lin, C., Wub, Y., Chang, C., Wang, W. and Lee, C. 2012. The Alliance Innovation Performance of R&D Alliances—the Absorptive Capacity Perspective. *Technovation,* 32(1)), pp. 282–292.

Luo, X. and Deng, P. 2009. Do Birds of a Feather Flock Higher? The Effects of Partner Similarity on Innovation in Strategic Alliances in Knowledge-Intensive Industries. *Journal of Management Studies*, 46(6), pp. 1005–1050.

Martínez-Costa, M., Jiménez-Jiménez, D. and Rabeh, H.A.D. 2019. The effect of organisational learning on interorganisational collaborations in innovation: an empirical study in SMEs. *Knowledge Management Research and Practice,* 17(2), pp. 137–150.

Martínez-Noya, A. and García-Canal, E. 2016. The framing of knowledge transfers to shared R&D suppliers and its impact on innovation performance: a regulatory focus perspective. *R&D Management,* 46(2), pp. 354–368.

Martínez-Noya, A. and Narula, R. 2018. What more can we learn from R&D alliances? A review and research agenda. *Business Research Quarterly,* 21(1), pp. 195–212.

McCracken, M. and Wallace, M. 2000. Exploring strategic maturity in HRD-rhetoric, aspiration or reality? *Journal of European Industrial Training*, 24(8), pp. 425–467.

Mitsakis, F. 2019. Modify the Redefined: Strategic Human Resource Development Maturity at a Crossroads. *Human Resource Development Review*, 18(4), pp. 470–506.

Morschett, D. 2005. Formen von Kooperationen, Allianzen und Netzwerken. In *Kooperationen, Allianzen und Netzwerke. Grundlagen - Ansätze - Perspektiven*. 2. Auflage Edited by Zentes, J., Swoboda, B. and Morschett, D. Wiesbaden: Gabler.

Mowery, D.C., Oxley, J.E. and Silverman, B.S. 1996. Strategic Alliances and Knowledge Transfer. *Strategic Management Journal*, 17(winter special issue), pp. 77–91.

Narula, R. and Hagedoorn, J. 1999. Innovating through strategic alliances: moving towards international partnerships and contractual agreements. *Technovation*, 19(1), pp. 283–294.

Nooteboom, B., Van Haverbeke, W., Duysters, G., Gilsing, V. and vanden Oord, A. 2007. Optimal Cognitive Distance and Absorptive Capacity. *Research Policy*, 36(7), pp. 1016–1034.

Okonkwo, O. 2019. Knowledge transfer in collaborations between foreign and indigenous firms in the Nigerian oil industry: The role of partners' motivational characteristics. *Thunderbird Int. Bus. Rev*., 61(1), pp. 183–196.

Oxley, J.E. 1997. Appropriability hazards and governance in strategic alliances: a transaction cost approach. *Journal of Law Economics and Organisations,* 13(2), pp. 387–409.

Parkhe, A. 1993. Strategic Alliance Structuring: A Game Theoretic and Transaction Cost Examination of Interfirm Cooperation. *Academy of Management Journal*, 36(4), pp. 794–829.

Pérez-Nordtvedt, L., Kedia, B.L., Datta, D.K., and Rasheed, A.A. 2008. Effectiveness and Efficiency of Cross-Border Knowledge Transfer: An Empirical Examination. *Journal of Management Studies,* 45(4), 714–744.

Prahalad, C.K. and Hamel, G. 1990. The Core-Competence of the Corporation. *Harvard Business Review*, 1990(May-June), pp. 79–91.

Pucik, V. 1988. Strategic Alliances, Organisational Learning and Competitive Advantage. The HRM Agenda. *Human Resource Management*, 27(1), pp. 77–93

Rothaermel, F.T. and Deeds, D.L. 2004. Exploration and exploitation alliance in biotechnology: a system of new product development. *Strategic Management Journal*, 25(1), pp. 201–222.

Sampson, R.C. 2007. R&D Alliances and Firm Performance: the impact of technological diversity and alliance organisation on innovation. *Academy of Management Journal,* 50(2), pp. 364–386.

Schwerk, A. 2000. *Dynamik von Unternehmenskooperationen*. Berlin: Duncker and Humblot.

Simonin, B. L. 1999. Transfer of Marketing Know-How in International Strategic Alliances: An Empirical Investigation of the Role and Antecedents of Knowledge Ambiguity. *Journal of International Business Studies*, 30(3), pp. 463–490.

Simonin, B.L. 2004. An Empirical Investigation of the Process of Knowledge Transfer in International Strategic Alliances. *Journal of International Business Studies*, 35(5), pp. 407–427.

Sparkes, J.R. and Miyake, M. 2000. Knowledge transfer and human resource development practices: Japanese firms in Brazil and Mexico. *International Business Review*, 9(1), pp. 599–612.

Sung, Y.S. and Choi, N.J. 2013. Do organisations spend wisely on employees? Effects of training and development investments on learning and innovation in organisations. *Journal of Organisational Behavior*, 35(1), pp. 393–412.

Torraco, R.J. and Swanson, R.A. 1995. The strategic roles of human resource development. *Human Resource Planning*, 18(1), pp. 10–21.

Tsang, E.W.K. 1999. A Preliminary Typology of Learning in International Strategic Alliances. *Journal of World Business,* 34(2), pp. 211–229.

Tsang, E.W.K. 2000. Transaction Cost and Resource-Based Explanation of Joint Ventures: A Comparison and Synthesis. *Organisation Studies*, 21(1), pp. 215–242.

Tsang, E.W.K. 2002. Acquiring Knowledge by Foreign Partner from International Joint Ventures in a Transition Economy: Learning-by-Doing or Learning Myopia. *Strategic Management Journal*, 23(9), pp. 835–854.

van Kranenburg, H., Hagedoorn, J. and Lorenz-Orlean, S. 2014. Distance Costs and The Degree of Inter-Partner Involvement in International Relational-Based Technology Alliances. *Global Strategy Journal*, 4(4), pp. 280–291.

Williamson, O.E. 1985. *The Economic Institutions of Capitalism: Firms, Markets and Relational Contracting*. New York: Free Press.

Zahra, S.A. and George, G. 2002. Absorptive capacity: A review, reconceptualization, and extension. *Academy of Management Review*, 27(2), pp. 185–203.

10

Evaluation of HRD and UFHRD Conferences: Analysing the Last 20 Years and Looking at the Next 20

Eduardo Tomé

10.1 Introduction

The notion of Human Resource Development (HRD) is in itself a characteristic; it is the Development (D) (Garavan and McGuire 2015) that calls for the need of the evaluation of the operations made in the scope of HRD. This happens because, if the operation is made but development is not achieved, one may feel that the operation was a failure and it should therefore not be repeated in similar circumstances, or at least should be seriously analysed to see why the goal (namely the D) was not achieved or was only achieved in a poor way (Tomé 2009). This means that evaluation is a derivative of the notion of HRD. With HRD being an investment in Human Resource (HR), it is important first to define the investment in physical and in financial terms (this will be demonstrated later in the evaluation of results), and secondly it is important to analyse the difference that investment makes in society. This relates intrinsically

E. Tomé (✉)
Universidade Europeia, Lisbon, Portugal
e-mail: Eduardo.Tome@universidadeeuropeia.pt

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3_10

to the notion of development and it is usually also called impact analysis (Tomé 2005).

In recent years, the evaluation of the problem has seen its importance increased because of two main factors. On one hand, the idea of scarce resources became present in the economic, social and political discourse. This has happened due to deep concerns over budget restrictions because of austerity policies and this put pressure on investment policies as well as influenced general and HRD policies (Williams and Thomas 2017). On the other hand, over the last few years the idea of the need for sustainability and the emergence of circular economy concerns led to the notion that HRD has to be not only profitable but also sustainable (McGuire 2012).

However, another very big characteristic of HRD that raises immense questions for evaluation is that HRD consists of investments made in humans. This immediately raises the question of if and how humans can be measured. The key point here is the idea of intangibility. This means that the HR part that matters for the analysis is not the physical part of human beings (even if increasing physical strength may be a dimension of HRD) but rather the non-physical part (education, experience, knowledge, training, emotions and social relations) that makes the difference between good and bad HRD. The intangible part of HRs is much more difficult to define than the tangible (Tomé and Gonzales-Loureiro 2012). Therefore, the evaluation concerns are intrinsically linked to the notion of HRD by the nature of the phenomena itself. However, that is not at all the whole story. The analysis shows the following points:

1. HRD exists in organisations (private, third sector, public and international) and in spaces (regions, countries, cities, sub-continents, etc.). It is crucial that the description of these organisations and spaces is done using tangible (number of workers, population, profits or income) or intangible variables (culture, routines, etc.). In order to evaluate HRD investment, these two types of variables should be taken into account, and, obviously, the intangible part is decisive but it is much more difficult to measure than the tangible.
2. If the impact of HRD in organisations, regions and countries is measured, one may find a list of tangible costs (namely materials) but also

intangible ones (of which the most important is time) and, finally, outcomes. At the same time one must consider that tangible outcomes are known (profit, wages, employment) but intangible outcomes exist and may be more decisive (reputation, power, social responsibility) (Gramlich 1997).

3. Finally, it is interesting to note that in the industry, tangibles variables are still important, but in HR services, almost all that counts are those that are intangible. This idea is important because it is believed that the twenty-first century will be the century of services, therefore of intangibles, a fact which will put immense pressure in the evaluation processes (Tomé 2011).

Consequently, the idea of evaluating HRD is as necessary as it is complex, and the complexity has increased. Therefore, this chapter aims to describe the evolution of theory and practices on the evaluation of HRD since University Forum for Human Resource Development (UFHRD) conferences began. The study is of interest because evaluation has been a stream and topic within the UFHRD and because evaluation is fundamental for HRD, as previously stated. From this generic objective, several research questions developed as follows: What are the underlying theories? What are the methods used? Who does the evaluation? With what purpose is evaluation done? What results are derived from the evaluation? Has evaluation changed since 1999? And, finally, the chapter tries to address what might happen to evaluation in the next 20 years.

These questions are what are considered the learning outcomes of this chapter. They will be answered by the end of the chapter and those answers are the learning outcomes, the value added. The chapter is focused on the contribution of UFHRD conferences to the evolution of the evaluation of HRD. A hypothesis that is rooted in the author's own experience in HRD and UFHRD, and which UFHRD conferences are the best scientific forum on HRD, is assumed—therefore in the following pages when HRD evaluation is referred to, evaluation made in UFHRD conferences is also meant.

Also, as a basic hypothesis of this chapter one assumes that the aforementioned evaluation efforts are all about the use of learning in the workplace and to the response of HRD to current issues. So, as a wider

contribution, this chapter intends to make what one would call a macro scope analysis on the main trends that have shaped the efforts to analyse the use of learning in the workplace and to the response of HRD to current issues. The analysis will be based on concepts and theories stated in Sect. 10.2 and in data and methods presented in Sect. 10.3. The main results will be presented in Sect. 10.4. The discussion will follow in Sect. 10.5 and the chapter ends with a conclusion in Sect. 10.6.

10.2 Literature Review

10.2.1 Concepts

Human Resources as considered in this analysis are all the characteristics which a human may have and that may make them attractive to organisations (Bannock et al. 2011). Physical force and beauty may be a fact (think of the supermodels and of famous athletes, like Gisele Bündchen or Michael Jordan). However, most of the time the analysis relates to non-physical and, in fact, intangible characteristics of humans. Those characteristics increase the quality of the work-performance and therefore are crucial for organisations because from them, more and better outcomes can be derived. As, by theory, workers should also be rewarded by the outcomes they generate, those characteristics are also important for the individuals themselves (Becker 1993). Finally, for any given society, a higher level of those characteristics may be very beneficial because they will generate positive macro effects. Namely, those characteristics are education (formal and informal), training, experience, competences and skills, and in this case it deals with characteristics that are acquired through study outside the workplace or through training inside the workplace (Ashton and Green 1996). The concept may include some rather more psychological elements such as talent, ability, motivation or ambition. Finally, social capital (defined as the way people relate to others) or psychological capital (defined as the way people deal with their own emotions) may also be a facet of Human Resources.

The concept of HR has been analysed in the realm of economic and social sciences since at least the eighteenth century: Adam Smith famously defended the specialisation of labour in the Wealth of Nations; Karl Marx's analyses on Capital and the evolution intended to liberate labour from oppression; Frederick Taylor's founding analysis on the Science of Work wanted to organise the operations of the labour force. In addition, since World War II, Human Resource Management (HRM) and Human Resource Economics have emerged as two major branches in social sciences. This chapter aims to explain how the two fields interact specifically in the area of evaluation, that is, how many practices of HRM may contribute to the development of Human Resources and how they might be evaluated using the Human Resource Economics paradigm.

In economics, development relates to the action of improving a pre-existing situation; authors refer to economic development, to human development, to sustained development and to sustainable development. In all these cases, there are two situations that are compared and the former is worse than the latter; when the inverse occurs, authors speak of recession or depression (Frank 2009). For this chapter, it is important to note that the development occurs, when it occurs, as the result of a given action. This last idea is important because the investment generates the urgency of evaluation.

There are two main notions of HRD. The larger one encompasses all the actions organised in a given society to improve HR. Given the very broad notion of HR exposed below, this means that HRD can be incorporated in actions such as national education and also organisational practices of training (Bannock et al. 2011). The stricter notion of HRD relates to work-based learning and includes only operations put in practice by organisations in order to improve their labour force (Gibb 2008; Swanson and Holton 2008). Evaluation means any form of assessment. In this chapter, several important features about the evaluation are introduced:

1. All the evaluations are normative and subjective meaning that they are made by a given power and under a given mind-set. The power is certainly specific; evaluations may be determined by several administrations—local, central, regional, public, private, scientific or

non-scientific. The mind-set is also specific—evaluators usually relate to any judicial law or to any scientific theory to base the evaluation process.

2. Evaluations may relate to events that occurred or to the consequences of those events (Tomé 2005). If analysing events, one may analyse participants, costs or operations. In this case the basic question that is being addressed is—what happened? On the contrary, if consequences are being analysed, some form of impact analysis is done. In this case the basic question is—what was the difference the operation made? Impact analysis can be of two main sorts, before-after or with-without. The first type of studies compare the situation prior to the operation with the situation after the programme; it is clear that this analysis has a lot to do with the notion of development as shown above; but it is important to have in mind that the evaluation of the external environment should also be taken into account when evaluating an operation. Therefore, some authors prefer the evaluation with-without which compares the trajectories of before/after of elements that were subjected to the operation with elements that did not participate in the operation. This last type of analysis is conceptually more complete but it is more difficult due to a number of reasons. First and foremost, it is very difficult to find a group of non-participants with the same characteristics as participants; in fact, there are quite a few biases that may endanger the results of the evaluation (Heckman et al. 1999). Crucially, the first type of evaluation is done as a normal product of the administrative work; it is common that administrators must provide reports on the operations that include that type of evaluation. Even more importantly, the evaluation of impacts is only made when there are doubts about the programme itself meaning that no scarce resources are spent when the administrator is sure about the benefits of the project. In fact, the administrator might be wrong in his or her assurances, but, as it is said that doubt is the path to certainty, therefore, impact evaluations are made when there is an openness to question the programme. In fact, it is possible to make legitimate evaluations when, due to the content and to the timeframe, it is impossible both to achieve negative results and to change the next generation of the given programme.

3. The most well-known method of evaluation in HRD is the Kirkpatrick four levels (Kirkpatrick 1994, 1996). The four levels are: reaction (opinion of participant immediately after the operation, which is assessed by a small questionnaire); learning (knowledge acquired during the operation which may be assessed by a test or other type of academic exercise); behaviour (analysing if the operation produced any change in the on-the-job behaviour of the participants, which may be assessed by the participant's boss during his or her daily work routine and which is favoured if the participant has to change functions after the operation), and, finally, results (relating to the change in organisational performance originated by the operations, which may be measured by indicators like sales, or profits, but also by other less tangible facets like leadership, commitment or job satisfaction).
4. In relation to the time in which the operation takes place, evaluations may be of three types: ex ante when they occur before the operation and they are intended to define the needs that should be addressed by the operation; the definition of the needs may be done by comparing the actual standards with the aimed or required standards, in a certain way of benchmarking—radar diagrams depict those needs very clearly. Furthermore, when the operation is taking place monitoring or ongoing evaluation usually takes place to, at the very least, judge if everything is going according to plan and if not, on what changes that happened and why and what is the importance of those changes. After the operations it is possible to perform the ex post evaluation which tries to define the results or impact of the programme as defined above; sometimes export evaluation is confused with evaluation put shortly, and this confusion is highly misleading—in fact, ex ante and on-going evaluations may decisively help to improve the operation and therefore to increase the results found in the ex post evaluation. The fact that export evaluation occurs after the operation may create problems of retroactivity, and in long-lasting programmes, ex post evaluation should begin soon after the first year so that changes might happen fast if they are needed. Finally, ex post evaluation and, in particular, impact evaluation are risky for the organisers because they may mean the money and efforts put into the operations were made in vain.

5. Evaluation is meant to compare benefits and costs; another question of interest is how to evaluate an evaluation (Gramlich 1997). In this case, the benefits derived from the evaluation process are the costs of the programme if it was found that the programme should be stopped. These potential benefits should be compared with the programme benefits and the evaluation costs.
6. Evaluation and control are two similar but different concepts. Evaluation relates to existing facts, be they results or impacts. Control relates to the financial or factual legality of the operations, in the sense that every programme has to conform to a given number of administrative rules or settings (Tomé 2005).
7. Several methods of data collection have been put forward (Liu 2011; Si-Hosseini 2014) from more inert formal or written strategies, like archives, files, documentation, exams or tests, to more informal or oral and open ones like direct observation, interviews, questionnaires or simulation.
8. There are also a wide range of scientific methods available. Qualitative Methods include regressions using multivariate formulas, cluster analysis, factor analysis and structural equation modelling (SEM) among the most known or prominent. These methods are performed using well-known programmes like Statistical Package for the Social Sciences (SPSS), Stata, Eviews, Systat or Analysis of a Moment Structures (AMOS). Qualitative methods include bibliometric analysis, storytelling or content analysis of discourse. These analyses are performed using programmes such as NVIVO or VOSViewer.
9. All evaluation is simultaneously diverse, dynamic and normative. It is diverse because it usually focuses in multiple factors namely an operation, some agents, some impacts, some results and a period of time; dynamic because it deals with changes in reality which occur during a period of time—and this implies that evaluations are uncertain by nature because they are ways of defining occurrences which were random by nature. Finally, evaluation is normative because it carries within itself a set of pre-judgements about what is performance and what are the right impacts of that performance that are to be searched for in order to clarify the value of the programme.

10.2.2 Theoretical Background

There are many approaches possible to assess HRD. In fact, any theory tends to include in itself an element of evaluation. The outcome variables and the investment or operational variable depend strongly on the researcher. In fact, any empirical study on HRD tends to have an underlying theory, which relates the outcome variables to the operational variables.

Given that HRD relates to humans, a common starting point of the analysis is the so-called Human Capital Theory (HCT) (Becker 1993). In this theory, the investment in HR should originate in competencies which are valued by the organisations and useful to individuals, regions and countries. The HCT has been complemented by many theories linked to HRM and anchored in such large and diverse sciences as psychology or sociology of labour. McGuire (2012) provides a summary of the problems addressed by HRD (adult learning, creativity, identity, diversity, training, performance, strategy, leadership, organisational learning, management of knowledge, national culture, comparative issues, environment and ethics) all of which are analysed by a vast amount of theories which are in themselves evaluative. Therefore, HRD theory as defined in McGuire (2012), chapters published in key Journals (i.e. HRD International, Advances in HRD, HRD Quarterly, HRD Review and the European Journal for Training and Development) and presented at the most popular conferences (Academy of HRD and University Forum for HRD). The crucial fact to have in mind is that an author might not state that he or she is doing an evaluation in order to be doing an evaluation. All science, and HRD science in particular, is evaluative.

10.3 Methods and Data

A qualitative analysis of the chapters published in UFHRD proceedings, which are available on the UFHRD website, was carried out. Documents were available from 2006 to 2018 with the exception of 2011. This archive was chosen for two reasons. First, the book for which the chapter

Table 10.1 Selected chapters

Year	Occurrences
2006	11
2007	13
2008	13
2009	18
2010	18
2012	9
2013	9
2014	21
2015	10
2016	16
2017	13
2018	9

is intended celebrates UFHRD and, therefore, the authors tried to focus their analysis on the UFHRD material. Second, in other databases, it was found that if SCOPUS or Web of Science were used as alternative sources of material the research would lose focus and the results would be less significant. Within the UFHRD material, cases were chosen by selecting chapters which used the word *evaluate* or one of its derivatives in the title. Some chapters were also selected when they used *performance* or *effective* or their derivatives in the title. With the result was 160 chapters, as listed in the reference list and organised, as follows, by year (Table 10.1).

10.4 Analysis and Results

After analysing these numerous papers, the following trends arise on the questions posed in the introduction and may be attributed as the learning outcomes of the chapter—these outcomes are summarised in the final part of this chapter:

1. *Who does it?* Evaluation studies tend to be done by academics working in British or American Universities, and by some academics based in European Universities. Few studies exist made by authors from other countries (the exceptions being Malaysia, India, South Korea and Thailand) and in these cases it is frequent that the research team

includes a UK, US or European author who leads, or at least monitors, the group of researchers. On the contrary, it is very frequent that students, namely PhD students from overseas countries while studying in the UK or the US, try to do some kind of evaluative study on their own reality. These studies may in turn be useful in the making of new HRD policies in those countries once the student gets back after their PhD completion.

2. *With what purposes?* Most of the evaluation studies performed are made because academics intend to do some scientific work and therefore apply a theory or fill a research gap. Very few of the scientific-based evaluation studies (that is impact focused) are made on a public contract or even by request of a private body who wants to find out the benefits of the programme and compare with the costs. Finally, some of the studies are of a theoretical and conceptual nature and are made, usually, by seasoned campaigners and authors with previous work in the field who decide to present their own update on the existing theory.
3. *With what theories?* Depending on how the term evaluation is addressed, two very different answers to this question can be presented. If evaluation is thought of as only the activity of assessing the impact of training programmes, which are mainly performed by public organisations, the underlying theory used is the basic Human Capital Theory and the number of cases in UFHRD conferences was less than a few cases. However if it is assumed that HRD science is evaluative by nature then, in the last 20 years, theory on HRD evolved and knowledge was accumulated and thousands of chapters were created both in UFHRD conferences and elsewhere that tested those theories. In this second perspective, the core of HRD theory was used and created through studies which were evaluative in their root, implicitly if not explicitly.
4. *With what methods?* If one considers the narrow perspective on evaluation, the methods have not changed that much; they are still being centred in control groups and longitudinal procedures. However, if a broader concept of evaluation is adopted, many new methods began to be widely used, namely action research in the scholarly practitioners' realm. This new way of analysis operations, which goes far

beyond the traditional qualitative or quantitative methods, gave the filed a new impulse and made possible some critical analysis which are themselves evaluative, are at the forefront of HRD science and are one of HRD's distinctive features.

5. *With what results?* Given the aforementioned intentions, the results of the studies conducted have been essentially that of a scientific nature. This means that most of the results derived from those studies related to the information and form a solid knowledge basis on how a certain theory is used in a certain context. On this side of the intellectual spectrum, the evaluation carried out obtained considerable very high-quality data. However, from the point of view of policy making, informing policy and defining new policies the results are scarce. In fact, it seems that the efforts made by scholars have had almost no impact in the policy definition on the fields they address. It feels as though HRD is still very far away from the saloons of power in which policies are said to be defined, even if the amount of data gathered is very considerable. Perhaps, the possibility of creating a Ministry of HRD, as it exists in India, would give political strength to the research.
6. *Has evaluation changed since 1999?* Two major changes happened during the time in analysis. First, in the early years, chapters tended to be more conceptual because there was not much thought or theory on which to base the research. Second, the research accompanied the social evolution of the world since 1999 meaning that themes, such as globalisation, the financial crisis, the subsequent austerity, Trump or Brexit, have been dealt with by scholars. Also, from McDonalisation to Uberisation, from blogs to short message service (SMS), Facebook, digital currencies or digitalisation, all the basic aspects of the technological evolution in the last 20 years were the focus of evaluation, as if it were an update.
7. *What might happen regarding those questions in the next 20 years?* Currently HRD faces a challenge which is not commonly acknowledged by the HRD scholars, meaning that there are other alternative views of the organisations, namely HRM but also Knowledge Management (KM), or Intellectual Capital (IC) theory, that provide alternative ways of analysing the phenomena of humans in organisations. This challenge implies that there are other ways to evaluate HR

in organisations which go far beyond the scope of HRD theory or the Kirkpatrick model. Consequently, HRD evaluations will themselves be challenged by other types of evaluations on HR made by other sets of social sciences. However, HRD evaluation will have a considerable promising future if it embraces and addresses the questions that will be decisive for the world in the coming decades and which, it seems, will be among the following: economic, social, political and human development; diversity, identity, inequality and power; intangibility (in investments, costs and outcomes); policy making, budget restrictions and sustainability.

10.5 Discussion and Insight into the Future

Having set the context and the scenery, the big question surrounds possible future evolution. Even if it is believed that it is dangerous to make forecasts, particularly if they are about the future, it is also thought that at least two scenarios may be made. Those scenarios are depicted in Table 10.2. Those scenarios are considered logical and abstract ideas. Those scenarios are made supposing two alternative possibilities about four items that are the components of each scenario. The four components are cases, scope, perspective and scientific. In the cases part, one wants to see if there will be more research about more situations than there is today or if, on the contrary, there will be less research about fewer situations or operations. In the scope part, one wants to analyse if the field will become more diverse and a myriad of explanations will appear

Table 10.2 Two possibilities for HRD evaluation in the future

	Expansion scenario	Implosion scenario
Cases	Densification	Rarefication
Scope	Diversification	Unification
Perspective	Globalisation	Nationalisation
Scientificity	Dominant	Marginal and surpassed by Knowledge Management or Intellectual Capital

or if, in contrast, the solutions and results will repeat themselves and the field will come to what may be called a unification of results. The perspective of the model of analysis, so to speak, has to do with the possibility of achieving global knowledge or, the knowledge obtained in the field will be eminently national in purpose and in its results and consequences. Finally, in the scientific part of the model one asks about the future role of HRD in the scientific realm and, again, two very distinct possibilities emerge—on one hand HRD may become dominant or, on the other hand, it may become marginal and be surpassed by other related fields such as Knowledge Management or Intellectual Capital as tools to describe the management of intangibles by organisations, societies and individuals. Table 10.2 displays two possibilities for HRD evaluation in the future.

Therefore in the best case and most promising scenario (the Expansion scenario included in column 2 of Table 10.2), HRD evaluation will be not only increased but also diversified in the next 20 years because, worldwide, more and more people in more and more countries will do evaluation, increasingly diversify models and theories, and apply them to ever more diverse situations. As a result, all this effort will ensure that HRD science will have a dominant role in the social sciences domain, due to the fact that the evaluation mechanisms are sound, developed and used worldwide by many people. Within this scenario, (perhaps in 20 years), a vast summary) will be achievable on the Evaluation of HRD.

However, there is also another possibility which is called the implosion scenario (described in column 3 of Table 10.2) and in this second scenario, ever fewer cases will be studied, the results will tend to be uniform, national analysis and concerns will prevail and, as a result, HRD will became a marginal field and, it is assumed, will be surpassed by other scientific fields such as Knowledge Management or Intellectual Capital in the fight for explaining intangibles in organisations. Crucially, one believes that the most important and decisive factor in shifting the field in one direction or another will be the action of the HRD community itself. This happens because right now HRD has a massive advantage regarding other subfields such as KM or IC—because it established itself long ago and because it already encompasses many critical questions like diversity and so on. Therefore, HRD has an advantage. However, the

path is made by walking, and if, by any unfortunate chain of events, the HRD community becomes self-centred, ethnocentric and nationalistic, rejecting diversity, in this case, and in future years HRD will become marginal because it will refuse the diversity, complexity and chaos which characterise the twenty-first century.

10.6 Conclusion

Evaluation has been one of the major concerns of UFHRD research in the last 20 years. This is because all the theories want to analyse the phenomena of HRD and to achieve a scientifically based opinion about a reality, defining what are good or correct situations in comparison with are bad or incorrect ones. The vast majority of chapters presented in UFHRD deal with new theory prepositions or with case studies. The first type of studies is evaluative in abstract terms because it challenges previous knowledge. The second type of studies is evaluative in concrete terms because it tends to acquire a critical perspective on operations. The discussion phase of any of the thousands of chapters presented to the UFHRD throughout the years are, in fact, small operations of evaluation. In this context, it is interesting to note that the UFHRD conferences do not have a stream exclusively dedicated to evaluation and this probably happens because it is understood that the practice of evaluation is so well spread and common within the conference that it was redundant to have such a stream. In fact, even specific chapters on the evaluation of public programmes usually appear within the scope of the standing streams of the conference. After selecting a large number (159) of chapters from the UFHRD conferences between 2005 and 2018, one understood the urgency for evaluation within the HRD field. As a final point, it ended with two possibilities: one inward looking, according to which the whole HRD field will lose scientific importance and the evaluation will be rarefied, unified and nationalised. In a word, HRD evaluation will go back to the twentieth century and will stay there, and as a consequence, HRD science will tend to become scientifically meaningless; the alternative way, which will be outward looking, will create dense, diverse

and global evaluation procedures which will propel HRD to a dominant status in organisational science in 20 years' time.

Summing up, the learning outcomes of this chapter are the following: HRD evaluation is predominantly done by US- and UK-based scholars and universities and some other people who have learnt with these people; academics have evaluated HRD in order to fill theoretical gaps and the link to programmes has existed but has always been complex. This effort led to the augmentation and densification of HRD theory—in fact it may be considered that the advance of HRD theory has been an advance in the ability of HRD to evaluate the society; at the same time, the methods have also evolved from more quantitative and based in medical sciences, especially those using control groups, to qualitative and critical approaches using narratives and action research. Crucially, the increase in methods was also a fact of increase in understanding and a sign of vitality of the field. The massive evaluation effort (in the broad sense of the concept) had a massive impact in the field, nonetheless, because it developed knowledge about HRD, however, HRD is still not commonly present in the definition of policies and more HRD Ministries would be a good feature for a future world. Also, in the last twenty years, changes existed in the process of evaluation itself which become less conceptual and more linked with practical problems. The other change was the scope of problems analysed which accompanied the evolution of society itself. Finally, the future of the evaluation on HRD will probably be linked to two distinct possibilities. First, expansion addressing the global problems with deification of the analysis or retraction within increased national boundaries and, in this case, HRD will become a minor field. Secondly, it is believed, the main factor defining the evolution will be the HRD scholars themselves. If they become global so will be the field, if they become narcissistic, so will the field—a bit like in Narcissus and Goldman novel from Herman Hesse (1930).

Crucially, the implications for practice of this analysis will depend on the type of situation that will happen in the future. This means that, until now, the HRD community built a strong and diverse body of knowledge which tries to answer quite a lot of questions about organisations in economic, social, political, cultural or environmental issues, and never forgetting the financial considerations. However, if suddenly ethnocentrism

replaces indigeneity as a basic guideline of research, and all the diverse effort would be replaced by a narrow, nationalistic and deterministic view of organisations, in this case, HRD will become marginal and practitioners will have to look away, in knowledge management or intellectual capital science to find the solutions for their problems.

For the future, the questions defined as (1)–(6), defined an insight into the problem of evaluation in HRD, and question (7) was about the foresight of the evaluation of HRD. Therefore, if one was asked so what or about future practices, one would say that, in fact, it depends. This depends on if the future situation will be closer to scenario 1 or 2. In the first scenario HRD will have some golden decades in front because it will increase in importance as long as economies and societies continue to become more complex and developed and it is firmly believed that technological development, coupled with the increase in education and the diffusion of knowledge, will ask for better world governance and this will require a very strong and developed HRD field. Therefore, in this option there will be room for many practitioners doing wonderful new things and contributing to bring Human Development on this planet, to higher and broader levels, never attained or foreseen. However, reality is dynamic and the future is never taken for granted. And if the HRD community, and above all its main scholars and advocates, becomes self-centred and inner-looking and it also loses sight of the global picture, in economic, scientific and socio-political terms, the topic will probably decrease in importance and other scientific branches that also deal with intangibles, including KM and IC, will become more important than HRD itself. HRD has the advantage of having been grown first and of existing in many organisations, alone or linked with HRM, but if the field does not continue to provide answers to problems (economic, financial, social, political and environmental, among others) it will inevitably be overtaken by KM and IC. Evaluation is the defining subsector in which the battle, so to say, will be won or lost, because as previously stated, evaluation is crucial because it shows if resources are positively applied or not, and without a serious sector of evaluation, no scientific field is worthy. At the end of the day it will be the HRD community that will be the major factor of success and expansion or failure and regression of the field by the way its elements will act. The fact that there is no certainty about the

future of the discipline is both a challenge and a problem—but that's the beauty of the situation and, as we all know, HRD is more about being than about becoming (Lee 2001).

It is believed that the HRD community of scholars will be influential in the choice of the path that will be taken because scholars, authors and journal editors will be instrumental in deciding what science will be made and for whom. Nevertheless, given that HRD scientific corpus is nowadays (2020) so well developed, it is also believed that the possibility of a bright future truly exists.

References

Ashton D. and Green F. 1996. *Education, Training and the Global Economy*. Cambridge: Edward Elgar.

Bannock G., Baxter R. and Davis E. 2011. *The Penguin Dictionary of Economics,* 8th Edition. London: Penguin.

Becker, G. 1993. *Human Capital: A Theoretical and Empirical Analysis, with Special Reference to Education*. London: University of Chicago Press.

Frank, R. 2009. Microeconomics and Behavior. 8th Edition. London. Mc Graw Hill.

Garavan, T.N. & McGuire, D. 2015. Reclaiming the "D" in HRD: a typology of development conceptualizations, antecedents, and outcomes. *Human Resource Development Review*, 14(1), pp. 359–388.

Gibb S. 2008, *Human Resource Development: Process, practices and perspectives*. London: Palgrave Macmillan.

Gramlich E. 1997. *Human Investments: A guide to Benefit-Cost Analysis*, 2nd Edition. London: Prentice Hall.

Heckman J., Lalonde R. and Smith, J. 1999. The Economics and Econometrics of Active Labour Market Programmes. In *Handbook of Labour Economics,* Edited by Ashenfelter, O. and Lalonde R., North Holland, pp. 1865–2097.

Hesse, H. 1930. *Narcisus and Goldmund Fischer Verlag*.

Kirkpatrick, D.L. 1994. *Evaluating training programmes: The four levels*. San Francisco: Berrett-Koehler.

Kirkpatrick, D. 1996. Revisiting Kirkpatrick's four-level-model. *Training and Development*, 1(1), pp. 54–57.

Lee M. 2001. A refusal to define HRD. *Human Resource Development International*, 4(3), pp. 327–341.

Liu, C. 2011. *Evaluating HRD programmes*. https://pt.slideshare.net/CanLiu/evaluating-hrdprogrammes (Assessed on April 16 2020).

McGuire, D. 2012. *HRD and the Environment, in Human Resource Development*. London: Sage Publications.

Si-Hosseini, A. 2014. *Evaluating HRD programmes*. https://www.slideshare.net/si-hosseini/7-evaluating-hrd-programmes (Assessed on April 16 2020).

Swanson R.A. and Holton, E.F. 2008. *Foundations of Human Resource Development*. San Francisco: Berrett-Koehler Publishers Inc.

Tomé, E. 2005. *Evaluation Methods in Social Policy, Boletín Informativo de Trabajo Social (Bits), Revista Digital—Escola Universitaria de Trabajo Social de Cuenca.*—Universidad de Castilla la Mancha—numero 8, Setembro 2005

Tomé, E. 2009. The evaluation of HRD: A critical study with application. *Journal of European Industrial Training*, 33(6), pp. 513–538.

Tomé, E. 2011. HRD in the 21st century Knowledge based and Services driven economy: An Introduction. *Journal of European Industrial Training*, 35(6), pp. 524–539.

Tomé, E. and Gonzales-Loureiro, M. 2012. Building the Intangible Cube: Assessment of the Relevant Organizational Dimensions of Intangible Assets. *Poslovna Izvrsnost (Business Excellence),* VI(2), pp. 127–140.

Williams, D. and Thomas, S. 2017. The impact of austerity on the health workforce and the achievement of human resources for health policies in Ireland (2008–2014). *Human Resource Health,* 15(62), pp. 1–18.

Index

M. Loon et al. (eds.), *The Future of HRD, Volume II*,
https://doi.org/10.1007/978-3-030-52459-3