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Movement Toward Staying Ahead of the Curve in Developing and Managing Human Capital

John A. Henschke EdD
Lindenwood University, jahenschke@gmail.com

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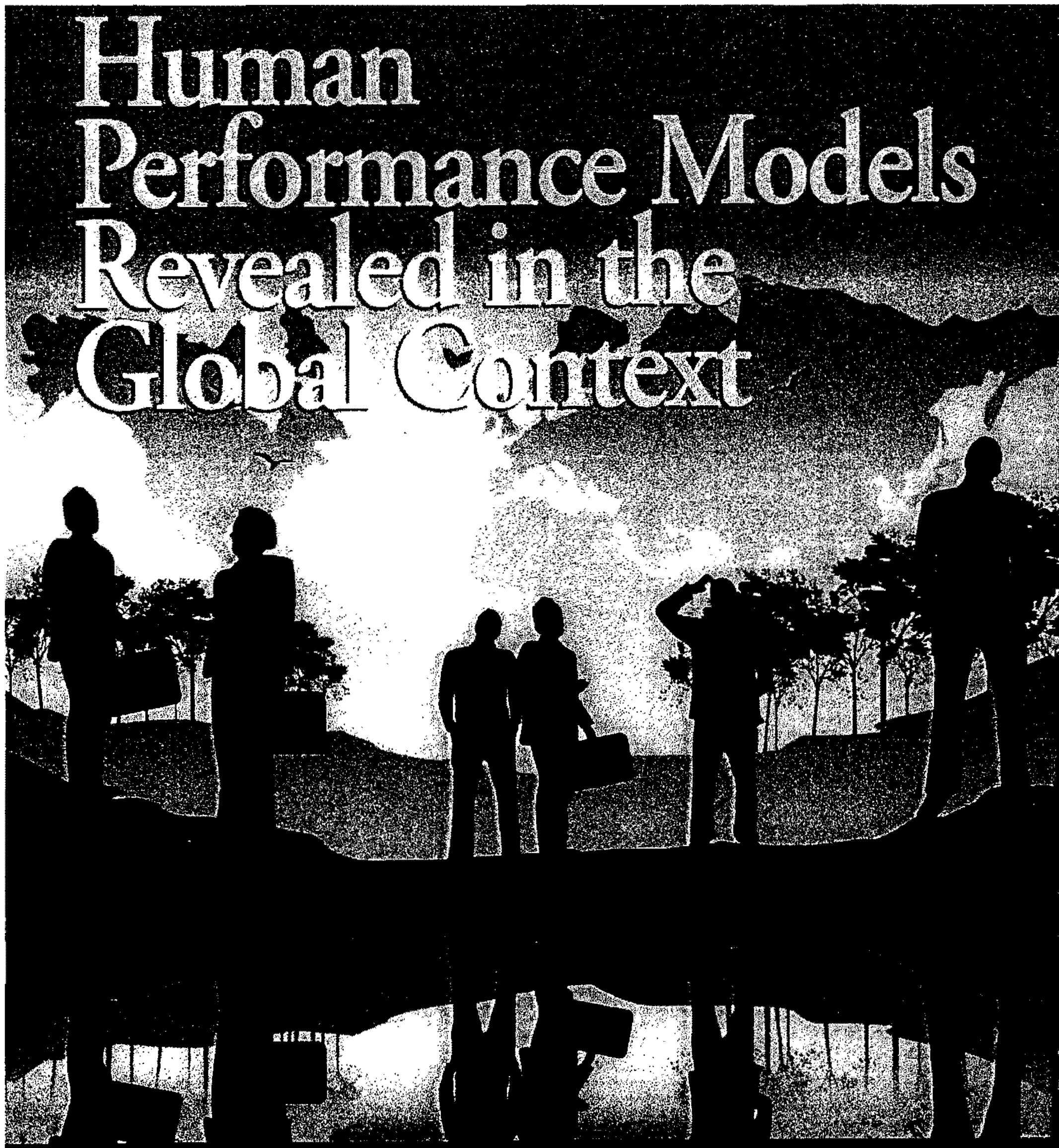
Human Performance Models Revealed in the Global Context



edited by

Victor C. X. Wang and Kathleen P. King

A VOLUME IN
ADULT EDUCATION SPECIAL TOPICS:
THEORY, RESEARCH AND PRACTICE IN LIFELONG LEARNING

As globalization brings different cultures together, human performance interventions and training solutions may be strained by cultures, policies and other lines of thinking specific to a particular country, region or continent. What is considered a systematic process of discovering and analyzing important human performance gaps, such as designing and developing cost-effective and ethically justifiable strategies to close those gaps, implementing the strategies, and evaluating the financial results in one country may not apply in another. *Human Performance Models Revealed in the Global Context* powerfully presents different models of human performance from across the globe, and enables readers to understand a much broader range of interactions, perceptions, models, and possibilities for HR management, training and development.

Human performance is high on the agenda of organizations around the globe because they *must* raise the level of company performance and bring about organizational change in order to continue to survive and thrive in a global economy.

Human Performance Models Revealed in the Global Context unveils worldwide, lessons about organizations facing similar, and different challenges focusing on this pressing need to improve human performance.

Indeed human performance is seen as the greatest asset to affect organizational performance than any other. Although physical, financial, intangible, and other assets are crucial in varying degrees in different organizations, human performance is the "glue" that holds all the other assets together and guides their use to achieve results. Effective use of an organizational human capital will no doubt be one of the most valuable strategies to help a firm gain a competitive advantage in this global, and changing, economy.

Human Performance Models Revealed in the Global Context's valuable presentation of the developments and future of this field is informative and inspiring for a wide readership, because of its broad constellation of cases, its insights and recommendations and foundational lessons for guiding human performance initiatives in organizations. Readers who will find the volume valuable will include a wide spectrum including, trainers in Human Resource Development; Human Resource Managers; Military trainers; adult learning professionals; business administrators and aspiring administrators; public school administrators; business managers; non-profit, NGO, hospital and community organization administrators;, managers, directors, and supervisors; educational administrators; college professors/teachers, undergraduate and graduate students.

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Edited by

Victor C. X. Wang
California State University, Long Beach

Kathleen P. King
Fordham University

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CHAPTER 1

MOVEMENT TOWARD STAYING AHEAD OF THE CURVE IN DEVELOPING AND MANAGING HUMAN CAPITAL

John A. Henschke

INTRODUCTION

Developing and Managing Human Capital in corporations have required extensive monetary investment for years. This has been necessary for workers to keep abreast of changes that continue to take place in the Human Capital Management Field in the way products are made and distributed, and services are provided throughout the world. Thus, the idea that continuing learning as a lifelong process has gained momentum as the pace of Human Capital Development and Management accelerates.

To address this need, corporations have established Training Departments (TD) to provide technical information and knowledge for the development and management of human capital. Generally the trainers (human capital developers and managers) in each technical area have operated

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quite separately from trainers in other technical areas, and have not functioned cooperatively for the corporation's benefit. This takes workers from their work setting and into a center for a period of time, where trainers provide them with the current human capital technical information in a particular area; then they return to their work setting. Moreover, this has resulted in those corporations falling behind the 'curve' in human capital development and management.

Watkins and Marsick (1993) warn that the connection between leveraging human capital, learning, and organizational survival seems to be emerging as inseparable. Organizations realize that they will not survive if they do not change in the ways required to leverage human capital. The result of this need to change is a push toward continuous learning for continuous improvement. Some of the influences moving organizations in the direction of staying ahead of the curve in human capital management include: Changes in technology that require learning; a service orientation that calls for learning; high-performing and self-directing teams that necessitate learning; participatory management which entails learning; time savings that entail reducing learning cycle time; and, global turmoil and competition that require continuous information as changes occur overnight.

Armed with this awareness, some companies are taking action by engaging personnel in their training department with a learning process to update their learning abilities, and implementing a more humane work process. Beyond that some are seeking to align the TD with Adult Educators within Universities, and are calling on that expertise to help them move the TD toward becoming a 'Performance Support Department' (PSD). This means that these adult educators engage the TD as a community of learning and practice in becoming a 'cutting-edge change team' to manage human capital more effectively and support the performance of the workers in the corporation.

The author has had some experience as an adult educator in the process described above, on reorienting a corporate training department toward supporting workplace and performance in human capital development and management, with various organizations/corporations. He has gained some insights about what has worked thus far in that situation and some things that need to be considered or included in 'staying ahead of the curve in developing and managing human capital'. Following are some of the recent research and practice ideas surrounding this topic of helping participants stay ahead of the curve in human capital management: Shifting from 'training' to 'performance support' while in the work setting; managing, leveraging, and implementing the total system of its own human capital resources to transform itself into a cooperating and flourishing entity for accomplishing the corporate mission; and, applying what is known to what is done with the various constituencies they serve.

This chapter is organized around various themes that have emerged in the process: Elements in Preparing and Planning for Change in Developing and Managing Human Capital; Required Competencies of the Change Agent in Developing and Managing Human Capital; Methods for Implementing Change/Making Change Happen in Developing and Managing Human Capital; and, Organizational Goals and Results from Changing in Developing and Managing Human Capital.

ELEMENTS IN PREPARING AND PLANNING FOR CHANGE IN DEVELOPING AND MANAGING HUMAN CAPITAL

Knowles (1986, 1989) suggests that there are three basic strategies for introducing change into a system or organization. Edict—successful only if we have the authority to enforce change and those who are going to have to implement it are adequately prepared. Persuasion—successful only if we are in a position in which people will listen to us, and we are persuasive. Piloting and osmosis—successful only if we release everyone to be responsible and in charge of their own learning and their own projects. Probably most changes involved with helping a Training Department in a corporation transform itself into a Performance Support Department, would entail parts of all three strategies.

Kirkpatrick (1985) asserts a need for awareness by those initiating change, of two different responses to change, resistance and/or welcoming. On the resistance side of change, people may perceive it as: meaning personal loss (security, money, pride and satisfaction in work, etc.); not needed; doing more harm than good; being proposed by those who lack their respect; being made in an objectionable manner; arousing their negative attitude toward the company; a personal criticism; creating burdens; requiring effort; having bad timing; a challenge to their authority; and/or, only second hand information they received. On the welcoming side of change, some may perceive it as: personal enhancement (security, money, authority, responsibility, status/privilege, self-satisfaction); taking less time and effort; providing a new challenge; being proposed by those they respect; reducing boredom; providing opportunity for their input; supporting their desire for change; being timed right; and/or, presented in a manner to their liking.

Kirkpatrick also proposes benefit from a number of possible areas of questions to be asked prior to considering organizational change in human capital management. How will those involved react? How will the change get accepted? How rapidly should this change be implemented? How will these changes affect other departments? What if someone asks for a change others consider a mistake? Should the 'boss' be made aware of a proposed change before one decides to move ahead? What if a change does not work out? Should all levels of personnel be involved in deciding and implementing change? How far ahead in time should change be communicated?

To make certain we lay the groundwork for success in developing and managing human capital, Hackman (2004) identifies five essential conditions that greatly enhance the likelihood of a human capital team success. They are: a stable team, a clear and engaging direction, an enabling team structure, a supportive organizational context, and the availability of competent coaching.

Caroselli (2001) cautions that your client's strategic plans are worthless if they are written without a strategic vision in mind. Failing to be 'externally aware' can result in incomplete plans. And failing to articulate a vision can create a hole in the fabric of those plans. The following five steps afford an opportunity to marshal the strengths of the present in order to diminish the impact of weaknesses in the future: Begin by asking the right questions; determine the external events impacting the vision; taking care not to be overly influenced by what could be characterized as the brilliance of transient events; state the vision; develop plans based on that vision; and, implement the plan, communicating it as often as possible.

Myrna (2007) provides a comprehensive conceptual framework that unifies strategic planning for development and management of human capital concepts into a simple and seamless flow between the foundation and accompanying tactics. Vision is the foundation which is stable from five to 30 years. The next level is the mission that is stable for three to five years. Then comes strategy with its stability for one and a half to three years. Next on the pyramid are the goals that are in place for one year, to one and a half years. Results are expected to be stable for 12 months. Actions are based on a 90-day cycle. The pyramid holds together cohesively in that today's actions lead to fulfilling the vision, and it is the vision that drives today's actions.

Simmerman (2001) proposes that discussion of organizational change be conducted with personnel in the corporation in such a way that it will: generate a high level of creativity and discovery and capture the benefits of diversity of thinking and perspective; generate a high degree of interactivity and action learning; confirm that current systems and processes are generally less than optimal; stimulate a discussion on change or continuous quality improvement; identify new ideas and solutions to solve difficult problems; focus on learning organization approaches and change the language of organizational improvement—a powerful approach to change management; and, challenge existing beliefs about how the organization really works.

Taylor et al. (2000) remind us that when we talk about change, typically we have focused our idea of change exclusively on a change in behavior, even in learning. However, they insist that we must undergo a very fundamental change (and transformation) in how we think about change. It is that we need, possibly would be well advised, no, we must know how we think we know what we think we know. And this change is not in behavior, it is a change in our epistemology—our way of knowing, or the theory that investigates the basis of our knowledge. We must have some understanding of the epistemology of change as we prepare and plan for change. If we do not, we will be hard pressed, if not totally unprepared to respond to those adult learners who want an answer that makes sense to them as to why they should learn something—or change—before they are willing to consider whether or not they will 'sign on' to any change that is proposed.

Just as there is a required environment/climate (soil, water, sunshine, elimination of weeds, cultivation, time, food/fertilizer) that is conducive for plants to grow, so there is also an environment/climate necessary that is conducive for human beings to mature as they are involved in learning and changing to stay ahead of the curve in human capital management. Bennett (1961) advances the thought that the most important task of those leading change is creating a climate that is conducive to the change being attempted. This is something other than rational—it is an emotional atmosphere (environment/climate) in which people feel that those leading in change are empathic and nonjudgmental toward them and their needs. This is a climate in which persons will be more open about their feelings and resistance. And it is important for those leading change to understand this beforehand, so that they will plan and prepare to make provision for this climate conducive to learning in the change process.

Schneider (2001) asserts that adaptability rather than speed or strength, is the crucial requirement for survival amidst navigating the sea of change. Participants are helped to identify how they can help themselves and their organizations achieve a more positive change climate.

Additionally, Bennett (1961), anticipating some of what emotional intelligence quotient (EIQ) researchers would claim nearly 40 years later (Goleman, 1998; Sterrett, 2000; Warner, 2001), goes on to say that in any planned change those leading must give as much attention to the emotional dimension as is given to the informational aspects of the change effort. People are somehow not persuaded out of their resistance and objections. However, they can be released from their fears when they are adequately informed and their feelings may be openly expressed and accepted. Goleman, Sterrett and Warner indicate that based on a number of recent studies, Intelligence Quotient (IQ) or general intelligence appears to contribute no more than 25% to one's overall success, with strong technical competence or specific intelligence in one's chosen field contributing 10–20% to one's success equation. They suggest that the remaining 55–65% of one's level of success formula comes from their ranking on the dimensions of Emotional Intelligence.

Sterrett (2000) defines true emotional intelligence as being able to appropriately call upon information from the emotional center of one's brain, and balance that information with the rational center of one's brain. Goleman (1998) indicates that emotional competence is made up of five dimensions: Empathy—awareness of others' feelings, needs, and concerns; social skills—adeptness at inducing desirable responses in others; self-awareness—knowing one's internal states, preferences, resources, and intuitions; self-regulation—managing one's internal states, impulses, and resources; and, motivation—emotional tendencies that guide or facilitate reaching goals.

Carrol (2001) gives a clear picture about how to initiate and manage change. Today's combination of external and internal workplace pressure guarantees that every organization must face change. Because change represents some elements of the unknown, it implies risk. The organization undergoing change can risk its human, physical, and technological resources, its collective knowledge, even its competitive marketplace position in attempting to handle change. Risk demands that organizations plan for change, rather than waiting for it to happen and then trying to cope after the fact. The seven steps in the planned change process are: Establishing your mission and purpose; auditing your current organization; scanning your external environment; conducting market research; creating a continuum—short-term and long-term goals; developing and implementing an action plan; and, integrating change planning into your system.

Wagner (2001) reminds us that unless facilitated properly, otherwise effective presentations and change in developing and managing human capital can be derailed by audience resistance, even management. Personal agendas, difference in values and interpersonal styles, and competition for organizational resources can all contribute to resistance in group settings. As a way to learn to deal with resistance, one may simulate a meeting with members of the audience: Presenter (VP Human Resources); Plant Manager; First-Shift Supervisor, Union Representative; General Manager; Vice-President of Finance and Operations; and, Vice-President of Marketing and Sales. Structure the meeting to record procedures for each participant and their answers to the following questions: (1) What did he or she say and do? (2) How did the VP of Human Resources respond? (3) How effective was the response? (4) Suggestions for improvement.

Vega (2001) focuses on strategic planning of change, providing a situational analysis in four areas of business: Strengths, weaknesses, opportunities, and threats. Strengths and weaknesses cover internal issues, and opportunities and threats are external or environmental issues. Effective strategic planning requires a careful analysis of all four areas.

However, we must remember that even strategic planning is changing. Devane (2001) argues that the nature of strategic planning has changed dramatically in the past few years. These changes have been in response to the increasingly difficult environment in which corporations must operate: global markets, unexpected new competitors, and dizzying technology changes. All these factors create an environment in which it is difficult to develop any sort of continually relevant, long-term plans that have lasting significance.

These factors may provide insights into how well an organization's strategic plan positions organization for success in today's turbulent business environment. But searching for more detail may be helped by the categories for changes including: Strategic focus, organizational identity, environmental scans and plans, internal scans and plans, products and services, reinvention and renewal, performance measurement, leadership, and strategy process effectiveness.

REQUIRED COMPETENCIES OF THE CHANGE AGENT IN DEVELOPING AND MANAGING HUMAN CAPITAL

The first year this author worked with the Training Division of a major corporation, in leveraging their transformation into a Performance Support Division for getting and staying ahead of the curve in developing and managing human capital, was devoted to developing a list of competencies required. These included emotional intelligence, for them to carry on the work of Adult Educators/Human Resource Developers. This included three roles (Instructor, Supervisor, and Futurist), fourteen sub-roles, with a total of 200 competencies. In all the array of competencies, one of the sub-roles that they need to be able to perform is that of a Change Agent. This role has some competencies that overlap with other roles they perform. However, there are nineteen competencies for the role of Change Agent that were garnered from thirty-two different resources, all of which are listed in the reference section of the work by Henschke (1991, 2002). These change agent competencies have become part of the model for the Training Division that is transforming itself into a Performance Support Division for that corporation.

The definition of a change agent is the person who possesses the ability to influence and support changes of behavior to develop and manage human capital within the organization/corporation. Following is the list of competencies and their definitions.

1. Business understanding—knowing how the functions of a business work and relate to each other; knowing the economic impact of business decisions.

2. Industry understanding—knowing the key concepts and variables such as critical issues, economic vulnerabilities, measurements, distribution channels, inputs, outputs, and information sources that define an industry or sector.
3. Organization behavior understanding—seeing organizations as dynamic, political, economic, and social systems which have multiple goals; using this larger perspective as a framework for understanding and influencing events.
4. Organization development theories and techniques understanding—knowing the techniques and methods used in organization development; understanding their appropriate use.
5. Organization understanding—knowing the strategy, structure, power networks, financial position, and systems of a specific organization.
6. Coaching—help individuals recognize & understand personal needs, values, problems, alternative goals.
7. Feedback skill—communicating information, opinions, observations, and conclusions so that they are understood and can be acted upon.
8. Group process skill—influencing groups so that tasks, relationships, and individual needs are addressed.
9. Negotiation skill—securing win-win agreements while successfully representing a special interest in a decision.
10. Presentation skill—presenting information orally so that an intended purpose is achieved.
11. Questioning skill—gathering information from stimulating insight in individuals and groups through use of interviews, questionnaires, and other probing methods.
12. Relationship building skill—establishing relationships and networks across a broad range of people and groups (cf. Emotional Intelligence Quotient (EIQ)).
13. Data reduction skill—scanning, synthesizing, and drawing conclusions from data.
14. Intellectual versatility—recognizing, exploring, and using a broad range of ideas and practices; thinking logically and creatively without undue influence from personal biases.
15. Model building skill—conceptualizing and developing theoretical and practical frameworks that describe complex ideas in understandable, usable ways.
16. Observing skill—recognizing objectively what is happening in or across situations.
17. Self-knowledge—knowing one's personal values, needs, interests, style, and competencies and their effects on others (cf. Emotional Intelligence Quotient (EIQ)).

18. Visioning skill—projecting trends and visualizing possible and probable futures and their implications.
19. Educational processes skill—ability to perform the role of change agent vis-à-vis organizations and communities utilizing educational processes.

To expand on Number 19 above, Knowles (1980, 1995), Knowles et al. (2005), Henschke (2007), and Henschke et al. (2003) provide a detailed set of the dimensions of maturation, adult education (andragogy), assumptions, and teaching technologies in which the Change Agent needs to be competent to leverage the personnel and system in getting and staying ahead of the curve in developing and managing human capital. Following are the crucial elements that need to be mastered and implemented. It is placed in articulated sections with bolding and italicizing for clarity of understanding.

DIMENSIONS OF MATURATION

The idea of maturity serving as a guide to continuous learning comes within various dimensions, each with its own unique cycle of development. If the really critical dimensions of the maturing process could be identified, then the adult educator may have some reliable yardsticks against which to measure the accomplishment of movement toward staying ahead of the curve of developing and managing human capital. There are perhaps too many dimensions of maturation to mention them all, but the following are nominated for consideration.

These dimensions describe directions of growth, not absolute states to be achieved:

- From dependence toward autonomy
- From passivity toward activity
- From subjectivity toward objectivity
- From ignorance toward enlightenment
- From small abilities toward large abilities
- From few responsibilities toward many responsibilities
- From narrow interests toward broad interests
- From selfishness toward altruism
- From self-rejection toward self-acceptance
- From amorphous self-identity toward integrated self-identity
- From focus on particulars toward focus on principles
- From superficial concerns toward deep concerns
- From imitation toward originality
- From need for certainty toward tolerance for ambiguity, and
- From impulsiveness toward rationality.

A few implications of this multidimensional theory of maturation may be as follows: Each educational activity provides opportunity for growth in several dimensions; the dimensions tend to be interdependent with one having an effect on other dimensions; and, people move from a scale of zero to infinity in each dimension of maturation throughout life, especially as the stages relate to their stage of development at that moment in time.

ADULT EDUCATION CONCEPTUAL FRAMEWORK "ANDRAGOGY": THE ART AND SCIENCE OF HELPING ADULTS LEARN

Interestingly enough, dimensions of maturation are also related to an adult education conceptual framework, especially the andragogical assumptions. One fundamental difference between children and adults is that adults have reached a maturity level both psychologically and physiologically. This maturity level has led to the important development of the adult education conceptual framework that serves as the theoretical foundations of adult learning. Below is a detailed discussion of the primary andragogical assumptions.

Assumptions: for the Conceptual Framework

Concept of the learner—As a person matures and becomes more adult in her/his perspective, they have a deep psychological need to be self-directing—to be perceived by others and treated by others as able to take responsibility for ourselves (Knowles, 1975, 1980). When we find ourselves in situations where we feel others imposing their wills on us without our participation in making decisions that affect us, we feel resentment and resistance. Educators of adult learners need to know and use the strategies that have been developed for helping adults to make a quick transition from seeing themselves as dependent learners to becoming self-directed learners.

Role of the learner's experience—As a person matures and becomes more adult in their perspective, they enter into an educational activity with a greater volume and a different quality of experience than youths. The greater volume is obvious—the longer we live, the more experience we accumulate. The difference in quality of experience arises from the different roles adults and young people perform.

This difference in experience affects the planning and conducting of an educational activity. It means that adults are themselves the richest learning resource for one another for many kinds of learning. Hence, the greater

emphasis in adult education is on such techniques as group discussion, simulation exercises, laboratory experiences, field experiences, problem-solving projects, and interactive media.

The differences in experience also assume greater heterogeneity in groups of adults. The range of experience in a group of adults of various ages will be greater than with a group of same-aged youths. Consequently, adult education emphasizes individualized learning plans, such as learning contracts.

Readiness to learn—As a person matures and becomes more adult in his/her perspective, they become ready to learn when they experience a need to know or be able to do something to perform more effectively in some aspect of their lives. Among the chief sources of readiness are the developmental tasks associated with moving from one stage of development to another. Any change—marriage, the birth of children, the loss of a job, divorce, the death of a friend or relative, or a change of residence—can trigger a readiness to learn. But we do not need to wait for readiness to develop naturally. We can induce readiness by exposing learners to more effective role models, engaging them in career planning, and providing them with diagnostic experiences to assess the gaps between where they are now and where they want and need to be in terms of their personal competencies.

Orientation to learning—As a person matures and becomes more adult in his/her perspective, they are motivated to learn after they experience a need, they enter an educational activity with a life-, task-, or problem-centered orientation to learning (Knowles, 1975, 1980). The chief implication of this assumption is the importance of organizing learning experiences (i.e., the curriculum) around life situations, rather than according to subject-matter units. For example, instead of calling courses Composition I, II, III, they might be labeled as Writing Better Business Letters, Writing for Pleasure and Profit, and Improving Your Professional Communications in an adult education program.

Motivation to learn—As a person matures and becomes more adult in her/his perspective, although the andragogical model acknowledges that adults will respond to some external motivators—for example, a chance for promotion, a change of jobs, or a change in technology—it proposes that the more potent motivators are internal—such benefits as self-esteem, recognition by peers, better quality of life, greater self-confidence, self-actualization, and so on (Knowles et al., 2005). Adults may not be motivated to learn what we have to teach them. Consequently, educators of adults need to focus their efforts around how their subject matter relates to the internal motivators of adult learners that we just mentioned.

Why learn something—As a person matures and becomes more adult in her/his perspective, adults have an increasing need to know a reason that makes sense to them, as to why they should learn some particular thing—

why they need to learn the subject matter the teacher has to teach them (Knowles, 1975, 1980). Adults will expend considerable time and energy exploring what the benefits may be of their learning something, and what the costs may be of their not learning it before they are willing to invest time and energy in learning it. Therefore, one of the first tasks of the educator of adults is to develop a "need to know" in the learners—to make a case for the value *in their life performance* of their learning what we have to offer. At the minimum, this case should be made through testimony from the experience of the teacher (who needs to become increasingly a facilitator of learning) or a successful practitioner; at the maximum, by providing real or simulated experiences through which the learners experience the benefits of knowing and the costs of not knowing. It is seldom convincing for them to be told by someone (like the professor) that it would be good for them.

There is a growing body of knowledge about how adults learn and a body of technology for facilitating learning, and this is changing the role of teacher/professor and requiring that he or she know things few professors/teachers know and probably none of his or her associates knows. In working with adult learners in educational contexts the professor must know, believe in and be skillful with *andragogy*—the art and science of helping adults learn—and how it differs from *pedagogy*—the art and science of teaching youth. This is the mark of a professional adult educator.

TEACHING TECHNOLOGIES

Preparing the Learners for the Program/Course—A most common introduction to the participants of a class is sharing the purpose, objectives, meeting time and place, potential benefits, and the participatory nature of the learning design. This approach enables adult learners to develop realistic expectations about how they will be involved, and considerations of how to deal with any special needs, questions, topics, and problems.

> The first question an andragogue asks in constructing a process design, therefore, is "What procedures should I use to help prepare the adult learners to become actively involved in this course and to meet their expectations?"

Setting the climate: A climate conducive to learning is a prerequisite for effective learning. Two aspects of climate are important: physical and psychological.

Physical climate: The typical classroom setup, with chairs in rows and a lectern in front, is probably the one least conducive to learning that the human brain could invent. It announces to anyone entering the room that the rules of order are one-way transmission—the proper role for the students is to sit and listen to the professor. The effective educator of adults makes a point of getting to the classroom well before the learners arrive. If it is set up like a traditional classroom, consider moving the lectern to a corner and rearranging the chairs in one large circle or several small circles. If tables are available, place five or six chairs at a table. A bright and cheerful classroom is a must.

Psychological climate: Important as physical climate is, psychological climate is even more important. The following characteristics create a psychological climate conducive to learning (Knowles, 1970):

- A climate of mutual respect. Adults are more open to learning when they feel respected. If they feel that they are being talked down to, ignored, or regarded as incapable, or that their experience is not being valued, then their energy is spent dealing with these feelings at the expense of learning.
- A climate with collaboration. Because of their earlier school experiences where competition for grades and the professor's/teacher's favor was the norm, adults tend to enter into any educational activity of rivalry toward fellow learners. Because peers are often the richest resources for adult learning, this competitiveness can make these resources inaccessible. Climate-setting exercises can be used to start courses that will assist in creating a sharing relationship among learners. Do such activities at the beginning for this good reason.
- A climate of mutual trust. People learn more from those they trust than from those they are not sure they can trust. And at this point when educators of adults (ones who seek to help adults learn) are put in a position of a teacher of adults, they are at a disadvantage. Students in schools learn at an early age to regard teachers (and professors) with suspicion until teachers/professors prove themselves to be trustworthy. Why? For one thing, they have power over students. Specifically teachers are authorized to give grades, to determine whom passes or fails, and they hand out punishments and rewards. For another thing, the institutions in which they work present them as authority figures. Professors will do well to present themselves as a compassionate human being rather than as an authority figure, to trust the people they work with and to gain their trust.
- A climate of support. People learn better when they feel supported versus judged or threatened. Teachers of adult learners try to convey their desire to be supportive by demonstrating their acceptance of learners with an unqualified positive regard, empathizing with their problems or worries, and defining their role as that of a

helper. It will help for professors to organize the learners into peer-support groups and coach them on how to support one another.

- A climate of openness and authenticity. When people feel free to say what they really think and feel, they are more willing to examine new ideas and risk new behaviors than when they feel defensive. If professors demonstrate openness and authenticity in their own behavior, this will be a model that the adult learner will want to adopt.
- A climate of pleasure/fun. Learning should be one of the most pleasant and gratifying experiences in life; it is, after all, the way people can achieve their full potential. Learning should be an adventure, spiced with the excitement of discovery. It should be fun. Dullness is the unacceptable part of the adult learners' previous educational experience, and the professor will improve the learning climate by making a lot of use of spontaneous (not canned) humor.
- A climate of humanness. Learning is a very human activity. The more people feel they are being treated as human beings, the more they are likely to learn. This means providing for human comfort—good lighting and ventilation, comfortable chairs, availability of refreshments, frequent breaks, and the like. It also means providing a caring, accepting, respecting, and helping social atmosphere.

> The second question an andragogue asks in constructing a process design is "What procedures should I use with this particular group to bring these climatic conditions into being?"

Involving learners in mutual planning—The andragogical process model emphasizes learners sharing the responsibility for planning learning activities with the facilitator. There is a basic law of human nature at work here: People tend to feel committed to any decision in proportion to the extent to which they have participated in making it. The reverse is even truer: People tend to feel uncommitted to the extent they feel that the decision or activity is being imposed on them without their having a chance to influence it.

The professor will increase learner commitment if they make clear they are coming in with a *process plan*—a set of procedures for involving them in determining the content of their study. Learners need the security of knowing that the professor has a plan, but even this process plan is open to their influence. It may be well to use teams of participants, with each team having responsibility for planning one unit of the course.

> The third question the andragogue answers in developing a process model, therefore, is "What procedures will I use to involve the learners in planning?"

Diagnosing their own learning needs—At the simplest level, learners can share in small groups what they perceive their needs and interests to be regarding the acquisition of knowledge, understanding, skill, attitude, value and interest in a given content area of the course. One member of each group can volunteer to summarize the results of this discussion. This way, the learners will at least enter into the learning experience with some awareness of what they would like to get out of it. A learning need is not a need unless perceived so by the learner. It is possible to induce a deeper and more specific level of awareness by having learners engage in some of the new body of technology being developed for facilitating this process, with emphasis on such self-diagnostic procedures as in simulation exercises, assessment techniques, competency-based rating scales, and videotape feedback.

> So the fourth set of questions the andragogue asks in constructing a process design is "What procedures will I use in helping the participants diagnose their own learning needs?"

Translating the learning needs into objectives—Having diagnosed their learning needs, participants now face the task of translating them into learning objectives—positive statements of directions of growth (Knowles, 1970). Some kinds of learning (such as identifying criteria for various steps in accomplishing a particular task) lend themselves to objectives stated as terminal behaviors that can be observed and measured. Others (such as decision-making ability) are so complex that they are better stated in terms of direction of improvement.

> The fifth question the andragogue asks is "What procedures can I use for helping involve the adult learner in translating their learning needs into learning objectives?"

Designing a pattern of learning experiences—Having formulated the learning objectives, the professor and the adult learner then have the mutual task of designing a plan for achieving them (Knowles, 1970). This plan will include identifying the resources most relevant to each objective and the most effective strategies for utilizing these resources. Such a plan is likely to include a mix of total group experiences (including input by the professor), and subgroup (learning-teaching team) experiences, and individual learning projects. A key criterion for assessing the excellence of such a design is, "how deeply are the learners involved in the mutual process of designing a pattern of learning experiences?"

> The sixth question the andragogue asks is "What procedures can I use for involving the learners with me in designing a pattern of learning experiences?"

Helping adult learners manage and carry out their learning plans—Learning contracts are a most effective way to help learners structure and conduct their learning (Knowles, 1970). Students (adult learners) contract with the professor to meet the requirements of the university courses in which they are enrolled. (Incidentally, even though there may be a number of nonnegotiable requirements in university courses, the means by which learners accomplish the required objectives can be highly individualized.) Students going out on a field experience, such as a practicum or internship, will contract with the professor and the field supervisor. Contracts may also specify how the learner is going to continue to learn on their own. Learning contracts are also used for continuing personal and professional development.

> The seventh question that andragogue asks is "What procedures can I use to make certain the learners are fully engaged and involved with me in managing and carrying out their learning plan?"

Evaluating the extent to which the learners have achieved their objectives—In many situations institutional policies require some sort of "objective" (quantitative) measure of learning outcomes (Knowles, 1970). However, the recent trend in evaluation research has been to place increasing emphasis on "subjective" (qualitative) evaluation—finding out what is really happening inside the learners and how differently they are performing in life. In any case, the andragogical model requires that the learners be actively involved in the process of evaluating their learning outcomes.

> The eighth question, therefore, that the andragogue asks is "What procedures can I use to involve the learners responsibly in evaluating the accomplishment of their learning objectives and meeting the course requirements?"

In conclusion, by answering these eight sets of questions, the teacher (the facilitator of adult learning, the manager) emerges with a process design—a set of procedures for facilitating the acquisition of the course content by the adult learner.

METHODS FOR IMPLEMENTING CHANGE/ MAKING CHANGE HAPPEN IN DEVELOPING AND MANAGING HUMAN CAPITAL

In every instance where there is an external consultant working with a group within the corporation, there needs to be someone internal to the organization, or subunit of the organization, that is considered by all to be the legitimate entry point for access of the consultant into the organization. This internal person has the authority and responsibility for giving approval of the activities proposed by the consultant. The consultant also is accountable to and works through this internal person.

As a way to think about launching into change efforts, Senge (1990) shares a bit of wisdom in saying that human beings both fear and seek change. Or, one seasoned organization change consultant puts it that people do not resist change, they resist being changed.

Crawford et al. (2006) remind us that over time, companies are sustained through projects that are developed and managed by human capital. Project management successes and failures are centered around a common thread—people, or in the words of this chapter "the human capital." Thus, an enterprise is transformed by making the most of people—move toward staying ahead of the curve in developing and managing human capital.

Long (2002) also supports this idea in a bit different way, by saying that one philosophical principle is that resistance to change is a natural human attribute, but so is the will to overcome constraints and seek change. Learners encounter opposing forces to resist change and to seek change. This challenges the teacher (the change agent, the facilitator of adult learning, the manager) and the learner or worker to develop or create situations where the change state is more attractive than the static state. Risk taking frequently is touted as good, but some learners/workers have to learn to take learning (change) risks, where the consequences are controlled. Then the harm that results from failure is limited and manageable for the learner and others.

This sets the stage for the perspective of learning about change. Harvey (2001) says that we need to teach participants that individuals react to change quite differently and that these differences need to be understood and acknowledged in the formulation and implementation of major organizational change. Milstein (2001), in seeking a balance between stability and change, offers the reasoning that organizational members often dislike and fear change because they may have to deal with many unknowns and they may have to let go of cherished practices. As a result, they often dig in their heels and resist change efforts. This is aimed at helping to create a balanced image of what will change and what will not change. It is also to promote a realistic base of security while encouraging motivation for necessary changes by emphasizing what will not change as well as what will change.

Knowles (1975) suggests that the trainer/teacher/leader/agent of the change process shift from being a content transmitter to being a facilitator of learning (change) or a change process manager. Knowles (1980) explains this more in saying that the role of the role of adult educator has been changing in its basic theoretical conception: From those who teach adults—transmitter of information, disciplinarian, judge, and authority; toward those who act as change agents, performing in helping roles as helper, guide, encourager, consultant, and resource, to help learners to grow in their ability to learn (change), and to help persons become mature human beings.

McLagan (2001) adds another dimension to the essence of being a change agent. It is that if we are to have empowered actions to be the change agent we are each meant to be, we need to: Own and run a business, develop information age skills, and be our own resource manager—to step up to the plate, so to speak in a baseball metaphor, and take charge of change. Offering a simple, yet broad, perspective on change, Bridges (1991) asserts that in corporations that have successfully institutionalized the practice of continuous improvement, procedures are constantly being changed to increase production, maximize efficiency, and reduce costs. Albeit, in the situation we are currently addressing, it would be termed as movement toward staying ahead of the curve in human capital management. Little transitions or changes are occurring all the time. Without some larger continuity, everyone's world would feel like chaos. But what stays constant is the expectation that every status quo is a temporary expedient until a better way to do things has been discovered. Every one of those little improvements, though each may cause transitions, reaffirms the unchanging values and procedures that underlie continuous improvement. Endurance depends on change, as illustrated in the example that staying upright and traveling straight ahead on a bicycle depends on constant steering adjustment.

Bennett (1961) solidly observes that in organizational and group situations, the development of orderly problem-solving processes will certainly help with the change. Such processes provide a maximum participation by those affected by the change. Consequently, it is imperative for the leader to plan methods and occasions through which people can participate in the change effort. This helps the change effort to become as self-motivated and voluntary as is possible in the situation. Persons affected by the change should have as much understanding about it and its consequences as is possible. To the extent that a leader will increase ways in which they can develop and control the change, to that degree he increases the trust which persons will have in her/his leadership.

Huselid et al. (2005) identifies one major flaw to be avoided—the current human capital development and management practices that hinder employees' ability to accomplish strategic goals. To counter this they suggest that they need to meet critical needs of their workforce in terms of contribution rather than cost, replace benchmarking metrics with the ability to differentiate levels of strategic impact, and make line managers and HR professionals jointly responsible for executing workforce initiatives. All told they need to encourage the release of their most valuable asset of human capital for the benefit of the personnel, the corporation, and the constituencies they serve. An andragogical process will go a great distance in helping to accomplish this result.

Haines (2001) very candidly insists that people be involved in decisions that effect them. Lots of employees (an unlimited number) need to be involved in the key strategic and organization issues and priorities that affect them prior to implementation of a strategic plan. The focus is on the dynamic tension between ownership of the strategies for change by the leadership team and acceptance or buy-in of the plan by the key stakeholders who are crucial to the successful implementation of the desired change.

Haraburda (2007) issues a caution that in organizational decision making people's memories are flawed. They are not accurate and thus decisions based upon these faulty memories can cause significant organizational problems. Thus, program developers and managers of human capital should be cognizant of these issues and mitigate them by improving their leadership abilities, thus focusing on enhancing their human capital competence primarily in decision making.

Aubrey and Cohen (1995) characterize the successful results of change growing out of sowing and catalyzing. In sowing discomfort for results, they see the prerequisite for working at any organization they are involved with is the ability to learn (change)—which is identified as that ability to address such interview questions as: What personal or business experiences have been most difficult for you, and what did you learn (change) from them? How have you handled adversity? What are examples of important business or personal projects you have planned and how did they turn out? They indicate that sowing can be summed up in a simple gambit used by countless teachers and managers who say that they are going to tell you something that may not make much sense right now, but a time will come that it makes sense to you. Sowing and catalyzing trigger thought and action.

However, as a skill, catalyzing is different from sowing in timing and directness: In sowing, leaders and mentors sow when the time is not yet ripe, either because the learner can't yet understand what they're saying or because the time has not arrived. Catalyzing, by contrast, is a hot tactic;

it is used when change is already upon the learner, and there is pressure to quickly understand and apply new knowledge. In catalyzing, there is no previously formulated message; the meaning is in the situation itself. Catalyzing is bringing about awareness by fundamentally challenging the status quo. It is a popular and powerful tactic that uses learning and change as a learning experience (Aubrey & Cohen, 1995).

To make certain we know how difficult change is for all of us, McLagan and Nel (1995) claim that significant change in individuals and organizations involves loss, learning (change) and involvement by everyone. In organizations change comes in waves—the change maverick, the creative minority, the critical mass, the committed majority, and the competent masses. This is where the relationships between everyone become significant and have undergone a radical transformation. Successful change is like the metaphor of a bonfire. It starts with a match, which may have to be repeatedly struck (like the idea of the change maverick). The flame then moves to the newspaper (like the idea of a creative minority). The paper may have to be rekindled several times. If the newspaper burns, it ignites the kindling (the critical mass), which eventually sets fire to the logs (the committed majority), which then burn using their own resources for fuel and enabling everyone (the competent masses).

Jackson (2001) offers some hope about how to help and coach others through change, asserting that consultants need a systematic way to help clients manage change. His model identifies stages of change that employees must go through to resolve ambivalence and change behavior. Using the model, management can apply the necessary supports to help each person discover his or her own motivation for change. The six stages are pre-contemplation, contemplation, determination, action, maintenance, and recycling. Effective coaching can help people go through the change process more comfortably and effectively by giving employees what they need when they need it.

ORGANIZATIONAL GOALS AND RESULTS FROM CHANGING IN DEVELOPING AND MANAGING HUMAN CAPITAL

Knowles (1980, 1990) suggests that successful change in corporations is somewhat dependent upon having an environment of innovation, rather than having a static environment. Most people need a model for some kind of organizational transformation to take place. He proposes that if, as some say, a teacher's most potent tool, for helping to transform learners and learning, is the example of her/his own behavior (and I would add his/her own way of knowing what he or she thinks she/he knows); then, it stands to reason that an organization's most effective instrument of influence for transformation and change in human capital management is the model of its own behavior and having a grasp of its own epistemology (how it knows what it knows). An organization needs to be innovative in providing an environment conducive to the kind of learning (change) that leads to transformation into staying ahead of the curve in human capital management.

An organization is likely to succeed in transforming itself to the extent it encourages its personnel, members, and constituents to engage in a process of modeling change and growth in such dimensions as: structure, atmosphere, management philosophy and attitudes, decision making and policymaking, and communication. To be more specific, the transformation in these various organizational dimensions would be as follows (Knowles, 1980, 1990):

1. Structure—would move from rigidity to flexibility, hierarchical to collaboration, roles defined less narrowly to more broadly, being bound by property to being mobile;
2. Atmosphere—would change from task-centered to people-centered, impersonal to caring, cold to warm, formal to informal, reserved to intimate, suspicious to trusting;
3. Management Philosophy and Attitudes—would convert from controlling personnel to releasing their energy, coercion to support, low risk-taking to high, avoiding errors to learning from errors, personnel selection to development, self-sufficiency to interdependency, conserving resources to developing and using them, low tolerance for ambiguity to high;
4. Decision Making and Policymaking—would modify from participation only at the top to relevant participation by all, clear distinction between policymaking and policy execution to collaboration in both, legal mechanisms to problem-solving, decisions final to decisions tested; and,
5. Communication—would improve from restricted flow to open flow, one-way to multidirectional, feelings repressed or hidden to feelings expressed.

McLagan (2002) in researching the best practices in developing and managing human capital (organization change) learned six major lessons and numerous minor lessons supporting those major lessons and these are presented in an adapted form below. These conclusions focus on the result area. Applied to the current topic we are addressing, the result area would be movement toward staying ahead of the curve in human capital management. The research sources were journal articles and books (120 documents narrowed down from preliminary search results of more than 1200), business press, consulting/research firm reports, and worldwide web publications. The source material featured more than 35,000 organizations across 30 years; multinational, multi-industry, and multi-sector in scope; analysis conducted by scholar, practitioner, and consultant; and organization examples of practices that work. Following are the major and minor lessons.

1. Make Sure the Change Will Add Value to Your Corporation
    a. Match the Change to the Problem You Want to Solve
    b. Expect Better Quality, More Efficient, & Effective Work
    c. Expect Performance Improvement from All Personnel
2. Match the Change Process to the Challenge Being Faced
    a. Evaluate Complexity and Predictability in Workplace Activities
3. Provide Management Support for Instituting Change
    a. Clear Goals and Feedback
    b. Structure as Necessary (and No More)
    c. Invest Corporate Resources: Fund Each Project and Effort Fully
    d. Create Frequent Wins with and for All Who Are Involved
4. Prepare the Corporate System for Change
    a. Be Sure the Work Processes Are Supportive to the Work at Hand
    b. Create a Change-Oriented Management System
    c. Align the Human Resource System
    d. Find and Remove Barriers to Work Accomplishment
    e. Make Enough Changes to Ensure Success
5. Help People in the Corporation Align with the Change that is Sought
    a. Honor the Psychological Contract with Personnel
    b. Be Scrupulously Just, Fair, and Trustworthy in All Your Dealings
    c. Find the Positives for the People in Every Situation
    d. Involve Opinion Leaders Who Are Well Thought of and Trusted
    e. Communicate with All Levels of Personnel Effectively
    f. Appropriately Involve All People
    g. Ensure Skills Are Made Available and Used Appropriately
    h. Use Incentives as Appropriate
6. Create Transformational Capacity within the Corporate System
    a. Dynamically Link Present and Future
    b. Create a Knowledge Infrastructure
    c. Ensure Diverse Teams in Various Projects
    d. Encourage Change at the Work Group Level
    e. Encourage Mavericks and What They Offer
    f. Shelter Breakthroughs on Work Projects
    g. Integrate Technology with Learning and Work
    h. Adopt a New Mental Model of Organization
    i. Create an Atmosphere of Trust Throughout the Corporation.

McLagan (2002) goes on to emphasize that trust is a theme that emerges throughout the human capital development and management research. When the general climate and ambiance in and around the corporation is trusting, when formal leaders have personal credibility and are trusted, many positives are the result. Trust is such a pervasive theme that it is suggested as an important thread to weave into the fabric of the organization. And since trust takes time to build, it must be developed on a day-to-day basis so it becomes a solid and dynamic foundation supporting ad hoc and planned changes as they arise.

In learning settings this trust means that there is an operational belief in the ability and potential of the learners to understand the learning (change) process and make the right choices. The trainers (who are in the process of becoming performance support personnel, facilitators of learning/change) initiate this trust, as it takes the form of: Purposefully communicating to learners that they are each uniquely important; believing learners know what their goals, dreams and realities are like; expressing confidence that learners will develop the skills they need; prizing the learners to learn (change) what is needed; feeling learners' need to be aware of and communicate their thoughts and feelings; enabling learners to evaluate their own progress in learning (change); hearing learners indicate what their learning (change) needs are; engaging learners in clarifying their own aspirations; developing a supportive relationship with learners; experiencing unconditional positive regard for learners; and, respecting the dignity and integrity of learners (Henschke, 1998).

If all of these conditions could be met in moving toward staying ahead of the curve in human capital development and management, one natural result would appear to be fostering the 14 directions of growth needs of self-actualizing people as identified by Maslow (1970) and underscored by Goble (1971). These needs would include: (1) wholeness; (2) perfection; (3) completion; (4) justice; (5) aliveness; (6) richness; (7) simplicity; (8) beauty; (9) goodness; (10) uniqueness; (11) effortlessness; (12) playfulness; (13) truth, honesty, reality; and (14) self-sufficiency. Not only would the people benefit, but the corporations would reap a bountiful harvest. In addition, those served by the corporations would gain much.

SUMMARY

This chapter has demonstrated that changing Training Departments of corporations into Performance Support Departments focusing on workplace learning and performance is a current trend and major undertaking in today's global culture and marketplace. Critical requirements for change in the movement toward "staying ahead of the curve" in developing and managing human capital include Elements in Preparing and Planning for Change in Developing and Managing Human Capital; Required Competencies of the Change Agent in Developing and Managing Human Capital; Methods for Implementing Change/Making Change Happen in Developing and Managing Human Capital; and, Organizational Goals and Results from Changing in Developing and Managing Human Capital.

Elements in Preparing and Planning for Change in Developing and Managing Human Capital had the following insights shared: Three basic strategies of change; two responses to change; questions to be asked prior to change; strategic plans must be based upon strategic vision; need to discuss organizational change; change is about behavior and our way of knowing; providing a climate conducive to change, adaptability crucial to survival; attention to emotional and informational aspects of change; change implies risk; change may be derailed by management; strengths, weaknesses, opportunities, and threats all need analysis; and, even strategic planning in human capital management is changing.

Required Competencies of the Sub-Role Change Agent in Developing and Managing Human Capital include nineteen. Some of them were relationship building, self-knowledge, and, educational processes. The educational process was expanded to include a clear articulation of nominating 15 dimensions of maturation, and the adult education processes—andragogy: the art and science of helping adults learn. Six assumptions of andragogy were included, as were eight teaching technologies, with seven elements of providing a climate conducive to and fostering adult learning.

Methods for Implementing Change/Making Change Happen in Developing and Managing Human Capital were: external and internal consultants need to work together; humans both fear and seek change; resistance and overcoming constraints to seek change are both natural; each person reacts quite differently to change; change agent needs to shift from being content transmitter to facilitator of learning; we need to take charge of change; little changes are going on all the time; orderly problem-solving processes necessary; people should be involved in decisions that effect them; sowing and catalyzing trigger thought and action in change; change is difficult for all; and, we need to be coached through change.

Organizational Goals and Results from Changing in Developing and Managing Human Capital provided these ideas: Successful change dependent on an environment of innovation rather than a static environment; best practices in organization change yield six lessons; trust as a major requirement; and, humans and corporations would reap a great harvest and benefit from directions of growth needs being met.

CONCLUSION

Through all these discussions, one may easily come to the conclusion that continuing learning as a lifelong process in the 21st century is one of the keys to "staying ahead of the curve "in developing and managing human capital. After reading this chapter, consider whether you are in agreement with the observations and experience? I hope this chapter will stir some international debate on successfully and effectively developing and managing human capital, which is the most important asset among financial, physical and intangible assets in any organization.

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John A. Henschke is Associate Professor and Leader of the Award Winning Adult Education MEd, EdD, and PhD, Program at the University of Missouri, St. Louis, and Continuing Education Specialist with University of Missouri Extension. He is Visiting Professor at the Beijing [PRC] Radio and Television University. He was President of the American Association for Adult and Continuing Education (AAACE), was Chair of the Commission on International Adult Education (CIAE) of AAACE, and is a Member of the Commission of Professors of Adult Education (CPAE). John is a Board Member of the International Adult and Continuing Education Hall of Fame (IAEHOF). He has been involved with testing his ideas in the Field of Adult and Continuing Education (ACE) around the world since 1970.

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