

BMT 2590: EMPLOYEE TRAINING AND DEVELOPMENT 2021



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Licensing

A detailed breakdown of this resource's licensing can be found in [Back Matter/Detailed Licensing](#).

1: Human Development and Learning

What is a Theory?

Students sometimes feel intimidated by theory; even the phrase, “Now we are going to look at some theories...” is met with blank stares and other indications that the audience is now lost. But theories are valuable tools for understanding human behavior; in fact, they are proposed explanations for the “how” and “whys” of development. Have you ever wondered, “Why is my three year old so inquisitive?” or “Why are some fifth graders rejected by their classmates?” Theories can help explain these and other occurrences. Developmental theories offer explanations about how we develop, why we change over time and the kinds of influences that impact development.

A **theory** guides and helps us interpret research findings as well. It provides the researcher with a blueprint or model to be used to help piece together various studies. Think of theories as guidelines much like directions that come with an appliance or other object that requires assembly. The instructions can help one piece together smaller parts more easily than if trial and error are used.

Theories can be developed using induction in which a number of single cases are observed and after patterns or similarities are noted, the theorist develops ideas based on these examples. Established theories are then tested through research; however, not all theories are equally suited to scientific investigation. Some theories are difficult to test but are still useful in stimulating debate or providing concepts that have practical application. Keep in mind that theories are not facts; they are guidelines for investigation and practice, and they gain credibility through research that fails to disprove them.²⁰

Let’s take a look at some key theories in Child Development.

Sigmund Freud’s Psychosexual Theory

We begin with the often controversial figure, Sigmund Freud (1856-1939). Freud has been a very influential figure in the area of development; his view of development and psychopathology dominated the field of psychiatry until the growth of behaviorism in the 1950s. His assumptions that personality forms during the first few years of life and that the ways in which parents or other caregivers interact with children have a long-lasting impact on children’s emotional states have guided parents, educators, clinicians, and policy-makers for many years. We have only recently begun to recognize that early childhood experiences do not always result in certain personality traits or emotional states. There is a growing body of literature addressing resilience in children who come from harsh backgrounds and yet develop without damaging emotional scars (O’Grady and Metz, 1987). Freud has stimulated an enormous amount of research and generated many ideas. Agreeing with Freud’s theory in its entirety is hardly necessary for appreciating the contribution he has made to the field of development.

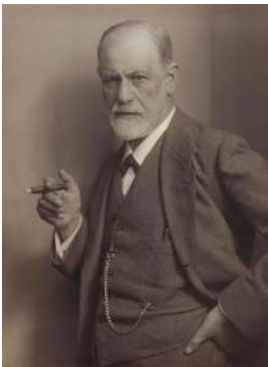


Figure 1.1: Sigmund Freud. (Image is in the public domain)

Freud’s theory of self suggests that there are three parts of the self.

- The **id** is the part of the self that is inborn. It responds to biological urges without pause and is guided by the principle of pleasure: if it feels good, it is the thing to do. A newborn is all id. The newborn cries when hungry, defecates when the urge strikes.
- The **ego** develops through interaction with others and is guided by logic or the reality principle. It has the ability to delay gratification. It knows that urges have to be managed. It mediates between the id and superego using logic and reality to calm the other parts of the self.

- The **superego** represents society's demands for its members. It is guided by a sense of guilt. Values, morals, and the conscience are all part of the superego.

The personality is thought to develop in response to the child's ability to learn to manage biological urges. Parenting is important here. If the parent is either overly punitive or lax, the child may not progress to the next stage. Here is a brief introduction to Freud's stages.

Table 1.1: Sigmund Freud's Psychosexual Theory

Name of Stage	Descriptions of Stage
Oral Stage	The oral stage lasts from birth until around age 2. The infant is all id. At this stage, all stimulation and comfort is focused on the mouth and is based on the reflex of sucking. Too much indulgence or too little stimulation may lead to fixation.
Anal Stage	The anal stage coincides with potty training or learning to manage biological urges. The ego is beginning to develop in this stage. Anal fixation may result in a person who is compulsively clean and organized or one who is sloppy and lacks self-control.
Phallic Stage	The phallic stage occurs in early childhood and marks the development of the superego and a sense of masculinity or femininity as culture dictates.
Latency	Latency occurs during middle childhood when a child's urges quiet down and friendships become the focus. The ego and superego can be refined as the child learns how to cooperate and negotiate with others.
Genital Stage	The genital stage begins with puberty and continues through adulthood. Now the preoccupation is that of sex and reproduction.

Strengths and Weaknesses of Freud's Theory

Freud's theory has been heavily criticized for several reasons. One is that it is very difficult to test scientifically. How can parenting in infancy be traced to personality in adulthood? Are there other variables that might better explain development? The theory is also considered to be sexist in suggesting that women who do not accept an inferior position in society are somehow psychologically flawed. Freud focuses on the darker side of human nature and suggests that much of what determines our actions is unknown to us. So why do we study Freud? As mentioned above, despite the criticisms, Freud's assumptions about the importance of early childhood experiences in shaping our psychological selves have found their way into child development, education, and parenting practices. Freud's theory has heuristic value in providing a framework from which to elaborate and modify subsequent theories of development. Many later theories, particularly behaviorism and humanism, were challenges to Freud's views.²²

Main Points to Note About Freud's Psychosexual Theory

Freud believed that:

- Development in the early years has a lasting impact.
- There are three parts of the self: the id, the ego, and the superego
- People go through five stages of psychosexual development: the oral stage, the anal stage, the phallic stage, latency, and the genital stage

We study Freud because his assumptions the importance of early childhood experience provide a framework for later theories (the both elaborated and contradicted/challenged his work).

Erik Erikson's Psychosocial Theory

Now, let's turn to a less controversial theorist, Erik Erikson. Erikson (1902-1994) suggested that our relationships and society's expectations motivate much of our behavior in his theory of psychosocial development. Erikson was a student of Freud's but emphasized the importance of the ego, or conscious thought, in determining our actions. In other words, he believed that we are not driven by unconscious urges. We know what motivates us and we consciously think about how to achieve our goals. He is considered the father of developmental psychology because his model gives us a guideline for the entire life span and suggests certain primary psychological and social concerns throughout life.



Figure 1.2: Erik Erikson. (Image is in the public domain)

Erikson expanded on Freud's by emphasizing the importance of culture in parenting practices and motivations and adding three stages of adult development (Erikson, 1950; 1968).

He believed that we are aware of what motivates us throughout life and the ego has greater importance in guiding our actions than does the id. We make conscious choices in life and these choices focus on meeting certain social and cultural needs rather than purely biological ones. Humans are motivated, for instance, by the need to feel that the world is a trustworthy place, that we are capable individuals, that we can make a contribution to society, and that we have lived a meaningful life. These are all psychosocial problems.

Erikson divided the lifespan into eight stages. In each stage, we have a major psychosocial task to accomplish or crisis to overcome. Erikson believed that our personality continues to take shape throughout our lifespan as we face these challenges in living. Here is a brief overview of the eight stages:

Table 1.2: Erik Erikson's Psychosocial Theory

Name of Stage	Description of Stage
Trust vs. mistrust (0-1)	The infant must have basic needs met in a consistent way in order to feel that the world is a trustworthy place.
Autonomy vs. shame and doubt (1-2)	Mobile toddlers have newfound freedom they like to exercise and by being allowed to do so, they learn some basic independence.
Initiative vs. Guilt (3-5)	Preschoolers like to initiate activities and emphasize doing things "all by myself."
Industry vs. inferiority (6- 11)	School aged children focus on accomplishments and begin making comparisons between themselves and their classmates
Identity vs. role confusion (adolescence)	Teenagers are trying to gain a sense of identity as they experiment with various roles, beliefs, and ideas.
Intimacy vs. Isolation (young adulthood)	In our 20s and 30s we are making some of our first long-term commitments in intimate relationships.
Generativity vs. stagnation (middle adulthood)	The 40s through the early 60s we focus on being productive at work and home and are motivated by wanting to feel that we've made a contribution to society.
Integrity vs. Despair (late adulthood)	We look back on our lives and hope to like what we see-that we have lived well and have a sense of integrity because we lived according to our beliefs.

These eight stages form a foundation for discussions on emotional and social development during the life span. Keep in mind, however, that these stages or crises can occur more than once. For instance, a person may struggle with a lack of trust beyond infancy under certain circumstances. Erikson's theory has been criticized for focusing so heavily on stages and assuming that the completion of one stage is a prerequisite for the next crisis of development. His theory also focuses on the social expectations that are found in certain cultures, but not in all. For instance, the idea that adolescence is a time of searching for identity might translate well in the middle-class culture of the United States, but not as well in cultures where the transition into adulthood coincides with puberty through rites of passage and where adult roles offer fewer choices.²⁴

Main Points to Note About Erikson's Psychosocial Theory

Erikson was a student of Freud but focused on conscious thought.

- His stages of psychosocial development address the entire lifespan and suggest primary psychosocial crisis in some cultures that adults can use to understand how to support children's social and emotional development.
- The stages include: trust vs. mistrust, autonomy vs. shame and doubt, initiative vs. guilt, industry vs. inferiority, identity vs. role confusion, intimacy vs. isolation, generativity vs. stagnation, and integrity vs. despair.

Behaviorism

While Freud and Erikson looked at what was going on in the mind, behaviorism rejected any reference to mind and viewed overt and observable behavior as the proper subject matter of psychology. Through the scientific study of behavior, it was hoped that laws of learning could be derived that would promote the prediction and control of behavior.²⁵

Ivan Pavlov

Ivan Pavlov (1880-1937) was a Russian physiologist interested in studying digestion. As he recorded the amount of salivation his laboratory dogs produced as they ate, he noticed that they actually began to salivate before the food arrived as the researcher walked down the hall and toward the cage. "This," he thought, "is not natural!" One would expect a dog to automatically salivate when food hit their palate, but BEFORE the food comes? Of course, what had happened was . . . you tell me. That's right! The dogs knew that the food was coming because they had learned to associate the footsteps with the food. The key word here is "learned". A learned response is called a "conditioned" response.



Figure 1.3: Ivan Pavlov. (Image is in the public domain)

Pavlov began to experiment with this concept of **classical conditioning**. He began to ring a bell, for instance, prior to introducing the food. Sure enough, after making this connection several times, the dogs could be made to salivate to the sound of a bell. Once the bell had become an event to which the dogs had learned to salivate, it was called a **conditioned stimulus**. The act of salivating to a bell was a response that had also been learned, now termed in Pavlov's jargon, a conditioned response. Notice that the response, salivation, is the same whether it is conditioned or unconditioned (unlearned or natural). What changed is the stimulus to which the dog salivates. One is natural (unconditioned) and one is learned (conditioned).

Let's think about how classical conditioning is used on us. One of the most widespread applications of classical conditioning principles was brought to us by the psychologist, John B. Watson.

John B. Watson

John B. Watson (1878-1958) believed that most of our fears and other emotional responses are classically conditioned. He had gained a good deal of popularity in the 1920s with his expert advice on parenting offered to the public.



Figure 1.4: John B. Watson. (Image is in the public domain)

He tried to demonstrate the power of classical conditioning with his famous experiment with an 18-month-old boy named “Little Albert”. Watson sat Albert down and introduced a variety of seemingly scary objects to him: a burning piece of newspaper, a white rat, etc. But Albert remained curious and reached for all of these things. Watson knew that one of our only inborn fears is the fear of loud noises so he proceeded to make a loud noise each time he introduced one of Albert’s favorites, a white rat. After hearing the loud noise several times paired with the rat, Albert soon came to fear the rat and began to cry when it was introduced. Watson filmed this experiment for posterity and used it to demonstrate that he could help parents achieve any outcomes they desired, if they would only follow his advice. Watson wrote columns in newspapers and in magazines and gained a lot of popularity among parents eager to apply science to household order.

Operant conditioning, on the other hand, looks at the way the consequences of a behavior increase or decrease the likelihood of a behavior occurring again. So let’s look at this a bit more.

B.F. Skinner and Operant Conditioning

B. F. Skinner (1904-1990), who brought us the principles of operant conditioning, suggested that reinforcement is a more effective means of encouraging a behavior than is criticism or punishment. By focusing on strengthening desirable behavior, we have a greater impact than if we emphasize what is undesirable. Reinforcement is anything that an organism desires and is motivated to obtain.



Figure 1.5: B. F. Skinner. (Image is in the public domain)

A **reinforcer** is something that encourages or promotes a behavior. Some things are natural rewards. They are considered intrinsic or primary because their value is easily understood. Think of what kinds of things babies or animals such as puppies find rewarding.

Extrinsic or secondary reinforcers are things that have a value not immediately understood. Their value is indirect. They can be traded in for what is ultimately desired.

The use of **positive reinforcement** involves adding something to a situation in order to encourage a behavior. For example, if I give a child a cookie for cleaning a room, the addition of the cookie makes cleaning more likely in the future. Think of ways in which you positively reinforce others.

Negative reinforcement occurs when taking something unpleasant away from a situation encourages behavior. For example, I have an alarm clock that makes a very unpleasant, loud sound when it goes off in the morning. As a result, I get up and turn it off. By removing the noise, I am reinforced for getting up. How do you negatively reinforce others?

Punishment is an effort to stop a behavior. It means to follow an action with something unpleasant or painful. Punishment is often less effective than reinforcement for several reasons. It doesn’t indicate the desired behavior, it may result in suppressing rather than stopping a behavior, (in other words, the person may not do what is being punished when you’re around, but may do it often when you leave), and a focus on punishment can result in not noticing when the person does well. Not all behaviors are learned through association or reinforcement. Many of the things we do are learned by watching others. This is addressed in social learning theory.

Social Learning Theory

Albert Bandura (1925-) is a leading contributor to social learning theory. He calls our attention to the ways in which many of our actions are not learned through conditioning; rather, they are learned by watching others (1977). Young children frequently learn behaviors through imitation



Figure 1.6: Albert Bandura. (Image by Albert Bandura is licensed under [CC BY-SA 4.0](#))

Sometimes, particularly when we do not know what else to do, we learn by modeling or copying the behavior of others. A kindergartner on his or her first day of school might eagerly look at how others are acting and try to act the same way to fit in more quickly. Adolescents struggling with their identity rely heavily on their peers to act as role-models. Sometimes we do things because we've seen it pay off for someone else. They were operantly conditioned, but we engage in the behavior because we hope it will pay off for us as well. This is referred to as vicarious reinforcement (Bandura, Ross and Ross, 1963).

Bandura (1986) suggests that there is interplay between the environment and the individual. We are not just the product of our surroundings, rather we influence our surroundings. Parents not only influence their child's environment, perhaps intentionally through the use of reinforcement, etc., but children influence parents as well. Parents may respond differently with their first child than with their fourth. Perhaps they try to be the perfect parents with their firstborn, but by the time their last child comes along they have very different expectations both of themselves and their child. Our environment creates us and we create our environment.³⁰

Bandura and the Bobo Doll Experiment & Today's Children and the Media

Other social influences: TV or not TV? Bandura (et als. 1963) began a series of studies to look at the impact of television, particularly commercials, on the behavior of children. Are children more likely to act out aggressively when they see this behavior modeled? What if they see it being reinforced? Bandura began by conducting an experiment in which he showed children a film of a woman hitting an inflatable clown or "bobo" doll. Then the children were allowed in the room where they found the doll and immediately began to hit it. This was without any reinforcement whatsoever. Not only that, but they found new ways to behave aggressively. It's as if they learned an aggressive role.

Children view far more television today than in the 1960s; so much, in fact, that they have been referred to as Generation M (media). The amount of screen time varies by age. As of 2017, children 0-8 spend an average of 2 hours and 19 minutes. Children 8-12 years of age spend almost 6 hours a day on screen media. And 13- to 18-year-olds spend an average of just under 9 hours a day in entertainment media use.

The prevalence of violence, sexual content, and messages promoting foods high in fat and sugar in the media are certainly cause for concern and the subjects of ongoing research and policy review. Many children spend even more time on the computer viewing content from the internet. The amount of time spent connected to the internet continues to increase with the use of smartphones that essentially serve as mini-computers. And the ways children and adolescents interact with the media continues to change. The popularity of YouTube and the various social media platforms are examples of this. What might be the implications of this?³¹

Main Points to Note About Behaviorism

Behaviorists look at observable behavior and how it can be predicted and controlled.

- Pavlov experimented with classical conditioning, the process of conditioning a response to stimulus (the dog's salivating to the bell).

- Watson offered advice to parents to show them how classical conditioning can be used. His most famous experiment was conditioning Little Albert to fear a white rat.
- Skinner believed that reinforcing behavior is the most effective way of increasing desirable behavior. This is done through operant conditioning.
- Bandura noted that many behaviors are not learned through any type of conditioning, but rather through imitation. And he believed that people are not only influenced by their surroundings, but that they also have an impact on their surroundings.

Theories also explore cognitive development and how mental processes change over time.

Jean Piaget's Theory of Cognitive Development

Jean Piaget (1896-1980) is one of the most influential cognitive theorists. Piaget was inspired to explore children's ability to think and reason by watching his own children's development. He was one of the first to recognize and map out the ways in which children's thought differs from that of adults. His interest in this area began when he was asked to test the IQ of children and began to notice that there was a pattern in their wrong answers. He believed that children's intellectual skills change over time through maturation. Children of differing ages interpret the world differently.



Figure 1.7: Jean Piaget. (Image is in the public domain)

Piaget believed our desire to understand the world comes from a need for cognitive **equilibrium**. This is an agreement or balance between what we sense in the outside world and what we know in our minds. If we experience something that we cannot understand, we try to restore the balance by either changing our thoughts or by altering the experience to fit into what we do understand. Perhaps you meet someone who is very different from anyone you know. How do you make sense of this person? You might use them to establish a new category of people in your mind or you might think about how they are similar to someone else.

A **schema** or schemes are categories of knowledge. They are like mental boxes of concepts. A child has to learn many concepts. They may have a scheme for "under" and "soft" or "running" and "sour". All of these are schema. Our efforts to understand the world around us lead us to develop new schema and to modify old ones.

One way to make sense of new experiences is to focus on how they are similar to what we already know. This is **assimilation**. So the person we meet who is very different may be understood as being "sort of like my brother" or "his voice sounds a lot like yours." Or a new food may be assimilated when we determine that it tastes like chicken!

Another way to make sense of the world is to change our mind. We can make a cognitive accommodation to this new experience by adding new schema. This food is unlike anything I've tasted before. I now have a new category of foods that are bitter-sweet in flavor, for instance. This is **accommodation**. Do you accommodate or assimilate more frequently? Children accommodate more frequently as they build new schema. Adults tend to look for similarity in their experience and assimilate. They may be less inclined to think "outside the box." Piaget suggested different ways of understanding that are associated with maturation. He divided this into four stages:

Table 1.3: Jean Piaget's Theory of Cognitive Development

Name of Stage	Description of Stage
Sensorimotor Stage	During the sensorimotor stage children rely on use of the senses and motor skills. From birth until about age 2, the infant knows by tasting, smelling, touching, hearing, and moving objects around. This is a real hands on type of knowledge.
Preoperational Stage	In the preoperational stage , children from ages 2 to 7, become able to think about the world using symbols. A symbol is something that stands for something else. The use of language, whether it is in the form of words or gestures, facilitates knowing and communicating about the world. This is the hallmark of preoperational intelligence and occurs in early childhood. However, these children are preoperational or pre-logical. They still do not understand how the physical world operates. They may, for instance, fear that they will go down the drain if they sit at the front of the bathtub, even though they are too big.
Concrete Operational	Children in the concrete operational stage, ages 7 to 11, develop the ability to think logically about the physical world. Middle childhood is a time of understanding concepts such as size, distance, and constancy of matter, and cause and effect relationships. A child knows that a scrambled egg is still an egg and that 8 ounces of water is still 8 ounces no matter what shape of glass contains it.
Formal Operational	During the formal operational stage children, at about age 12, acquire the ability to think logically about concrete and abstract events. The teenager who has reached this stage is able to consider possibilities and to contemplate ideas about situations that have never been directly encountered. More abstract understanding of religious ideas or morals or ethics and abstract principles such as freedom and dignity can be considered.

Criticisms of Piaget's Theory

Piaget has been criticized for overemphasizing the role that physical maturation plays in cognitive development and in underestimating the role that culture and interaction (or experience) plays in cognitive development. Looking across cultures reveals considerable variation in what children are able to do at various ages. Piaget may have underestimated what children are capable of given the right circumstances.³³

Main Points To Note About Piaget's Theory of Cognitive Development

Piaget, one of the most influential cognitive theorists, believed that

- Understanding is motivated by trying to balance what we sense in the world and what we know in our minds.
- Understanding is organized through creating categories of knowledge. When presented with new knowledge we may add new schema or modify existing ones.

Children's understanding of the world of the world changes as their cognitive skills mature through four stages: sensorimotor stage, preoperational stage, concrete operational stage, and formal operational stage.

Lev Vygotsky's Sociocultural Theory

Lev Vygotsky (1896-1934) was a Russian psychologist who wrote in the early 1900s but whose work was discovered in the United States in the 1960s but became more widely known in the 1980s. Vygotsky differed with Piaget in that he believed that a person not

only has a set of abilities, but also a set of potential abilities that can be realized if given the proper guidance from others. His sociocultural theory emphasizes the importance of culture and interaction in the development of cognitive abilities. He believed that through guided participation known as scaffolding, with a teacher or capable peer, a child can learn cognitive skills within a certain range known as the **zone of proximal development**.³⁴ His belief was that development occurred first through children's immediate social interactions, and then moved to the individual level as they began to internalize their learning.³⁵



Figure 1.8: Lev Vygotsky. (Image by The Vygotsky Project is licensed under [CC BY-SA 3.0](#))

Have you ever taught a child to perform a task? Maybe it was brushing their teeth or preparing food. Chances are you spoke to them and described what you were doing while you demonstrated the skill and let them work along with you all through the process. You gave them assistance when they seemed to need it, but once they knew what to do-you stood back and let them go. This is **scaffolding** and can be seen demonstrated throughout the world. This approach to teaching has also been adopted by educators. Rather than assessing students on what they are doing, they should be understood in terms of what they are capable of doing with the proper guidance. You can see how Vygotsky would be very popular with modern day educators.³⁷

Main Points to Note About Vygotsky's Sociocultural Theory

Vygotsky concentrated on the child's interactions with peers and adults. He believed that the child was an apprentice, learning through sensitive social interactions with more skilled peers and adults.

Comparing Piaget and Vygotsky

Vygotsky concentrated more on the child's immediate social and cultural environment and his or her interactions with adults and peers. While Piaget saw the child as actively discovering the world through individual interactions with it, Vygotsky saw the child as more of an apprentice, learning through a social environment of others who had more experience and were sensitive to the child's needs and abilities.³⁸

Like Vygotsky's, Bronfenbrenner looked at the social influences on learning and development.

Urie Bronfenbrenner's Ecological Systems Model

Urie Bronfenbrenner (1917-2005) offers us one of the most comprehensive theories of human development. Bronfenbrenner studied Freud, Erikson, Piaget, and learning theorists and believed that all of those theories could be enhanced by adding the dimension of context. What is being taught and how society interprets situations depends on who is involved in the life of a child and on when and where a child lives.

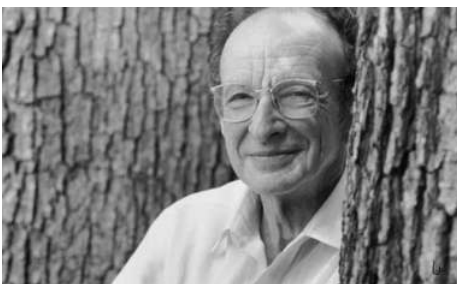


Figure 1.9: Urie Bronfenbrenner. (Image by Marco Vicente González is licensed under

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Bronfenbrenner's ecological systems model explains the direct and indirect influences on an individual's development.

Table 1.4: Urie Bronfenbrenner's Ecological Systems Model

Name of System	Description of System
Microsystems	Microsystems impact a child directly. These are the people with whom the child interacts such as parents, peers, and teachers. The relationship between individuals and those around them need to be considered. For example, to appreciate what is going on with a student in math, the relationship between the student and teacher should be known.
Mesosystems	Mesosystems are interactions between those surrounding the individual. The relationship between parents and schools, for example will indirectly affect the child.
Exosystem	Larger institutions such as the mass media or the healthcare system are referred to as the exosystem . These have an impact on families and peers and schools who operate under policies and regulations found in these institutions.
Macrosystems	We find cultural values and beliefs at the level of macrosystems . These larger ideals and expectations inform institutions that will ultimately impact the individual.
Chronosystem	All of this happens in an historical context referred to as the chronosystem . Cultural values change over time, as do policies of educational institutions or governments in certain political climates. Development occurs at a point in time.

For example, in order to understand a student in math, we can't simply look at that individual and what challenges they face directly with the subject. We have to look at the interactions that occur between teacher and child. Perhaps the teacher needs to make modifications as well. The teacher may be responding to regulations made by the school, such as new expectations for students in math or constraints on time that interfere with the teacher's ability to instruct. These new demands may be a response to national efforts to promote math and science deemed important by political leaders in response to relations with other countries at a particular time in history.

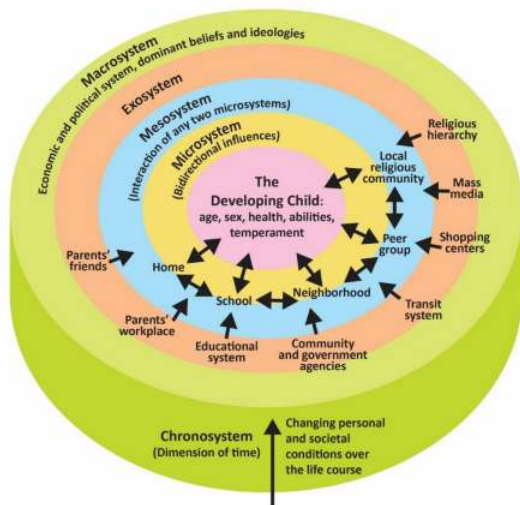


Figure 1.10: Bronfenbrenner's ecological systems theory. (Image by Ian

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Bronfenbrenner's ecological systems model challenges us to go beyond the individual if we want to understand human development and promote improvements.⁴¹

📌 Main Points to Note About Bronfenbrenner's Ecological Model

After studying all of the prior theories, Bronfenbrenner added an important element of context to the discussion of influences on human development.

- He believed that the people involved in children's lives and when and where they live are important considerations.
- He created a model of nested systems that influence the child (and are influenced by the child) that include: microsystems, mesosystems, the exosystem, macrosystems, and chronosystems.

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2: Contemporary Theories of Development

Theories of Development

What is a theory?

Students sometimes feel intimidated by theory; even the phrase, “Now we are going to look at some theories...” is met with blank stares and other indications that the audience is now lost. But theories are valuable tools for understanding human behavior; in fact they are proposed explanations for the “how” and “whys” of development. Have you ever wondered, “Why is my 3 year old so inquisitive?” or “Why are some fifth graders rejected by their classmates?” Theories can help explain these and other occurrences. Developmental theories offer explanations about how we develop, why we change over time, and the kinds of influences that impact development.

A theory guides and helps us interpret research findings as well. It provides the researcher with a blueprint or model to be used to help piece together various studies. Think of theories as guidelines much like directions that come with an appliance or other object that required assembly. The instructions can help one piece together smaller parts more easily than if trial and error are used.

Theories can be developed using induction in which a number of single cases are observed and after patterns or similarities are noted, the theorist develops ideas based on these examples. Established theories are then tested through research; however, not all theories are equally suited to scientific investigation. Some theories are difficult to test but are still useful in stimulating debate or providing concepts that have practical application. Keep in mind that theories are not facts; they are guidelines for investigation and practice, and they gain credibility through research that fails to disprove them. ⁽³⁾

Psychodynamic Theory

We begin with the often controversial figure, Sigmund Freud. Freud has been a very influential figure in the area of development; his view of development and psychopathology dominated the field of psychiatry until the growth of behaviorism in the 1950s.

Freud’s assumption that personality forms during the first few years of life and that the ways in which parents or other caregivers interact with children have a long-lasting impact on children’s emotional states have guided parents, educators, clinicians, and policy-makers for many years. We have only recently begun to recognize that early childhood experiences do not always result in certain personality traits or emotional states. There is a growing body of literature addressing resiliency in children who come from harsh backgrounds and yet develop without damaging emotional scars (O’Grady and Metz, 1987). Freud has stimulated an enormous amount of research and generated many ideas. Agreeing with Freud’s theory in its entirety is hardly necessary for appreciating the contribution he has made to the field of development. ⁽⁴⁾

Sigmund Freud: Background

Sigmund Freud (1856–1939) was a Viennese M. D. who was trained in neurology and asked to work with patients suffering from hysteria, a condition marked by uncontrollable emotional outbursts, fears and anxiety that had puzzled physicians for centuries. He was also asked to work with women who suffered from physical symptoms and forms of paralysis, which had no organic causes. During that time, many people believed that certain individuals were genetically inferior and thus more susceptible to mental illness. Women were thought to be genetically inferior and thus prone to illnesses such as hysteria (which had previously been attributed to a detached womb which was traveling around in the body).

However, after World War I, many soldiers came home with problems similar to hysteria. This called into question the idea of genetic inferiority as a cause of mental illness. Freud began working with patients suffering from hysteria and discovered that when they began to talk about some of their life experiences, particularly those that took place in early childhood, their symptoms disappeared. This led him to suggest the first purely psychological explanation for physical problems and mental illness. What he proposed was that unconscious motives and desires, fears and anxieties drive our actions. When upsetting memories or thoughts begin to find their way into our consciousness, we develop defenses to shield us from these painful realities.

These **defense mechanisms** include:

- Denying a reality
- Repressing or pushing away painful thoughts

- Rationalizing or finding a seemingly logical explanation for circumstances
- Projecting or attributing our feelings to someone else
- Outwardly opposing something we inwardly desire (called reaction formation)

Freud believed that many mental illnesses are a result of a person's inability to accept reality. **Freud emphasized the importance of early childhood experiences in shaping our personality and behavior.** In our natural state, we are biological beings. We are driven primarily by instincts. During childhood, however, we begin to become social beings as we learn how to manage our instincts and transform them into socially acceptable behaviors. The type of parenting the child receives has a very powerful impact on the child's personality development. We will explore this idea further in our discussion of psychosexual development. ⁽⁴⁾

Freud's Theories of Development

This section introduces Freud's theories of development. These include:

- Theory of the Mind
- Theory of the Self
- Psychosexual Stages ⁽¹⁾

Theory of the Mind

Freud believed that most of our mental processes, motivations and desires are outside of our awareness. Our consciousness, that of which we are aware, represents only the tip of the iceberg that comprises our mental state. The preconscious represents that which can easily be called into the conscious mind. During development, our motivations and desires are gradually pushed into the unconscious because raw desires are often unacceptable in society.

Theory of the Self

As adults, our personality or self consists of three main parts:

- Id
- Ego
- Superego

The **id** is the part of the self with which we are born. It consists of the biologically-driven self and includes our instincts and drives. It is the part of us that wants immediate gratification. Later in life, it comes to house our deepest, often unacceptable desires, such as sex and aggression. It operates under the **pleasure principle**, which means that the criteria for determining whether something is good or bad is whether it feels good or bad. An infant is all id.

The **ego** is the part of the self that develops as we learn that there are limits on what is acceptable to do and that often we must wait to have our needs satisfied. This part of the self is realistic and reasonable. It knows how to make compromises. It operates under the **reality principle** or the recognition that sometimes need gratification must be postponed for practical reasons. It acts as a mediator between the id and the superego and is viewed as the healthiest part of the self.

Here is an abbreviated listing of **defense mechanisms** suggested by Freud. If the ego is strong, the individual is realistic and accepting of reality and remains more logical, objective, and reasonable. Building ego strength is a major goal of psychoanalysis (Freudian psychotherapy). So for Freud, having a big ego is a good thing because it does not refer to being arrogant, it refers to being able to accept reality.

Defense mechanisms emerge to help a person distort reality so that the truth is less painful. Defense mechanisms include:

- **Repression** : To push the painful thoughts out of consciousness (in other words, think about something else).
- **Denial** : Not accepting the truth or lying to the self. Thoughts such as "it won't happen to me" or "you're not leaving" or "I don't have a problem with alcohol" are examples.
- **Regression** : Refers to "going back in time" when the world felt like a safer place, perhaps reverting to one's childhood. This is less common than the first two defense mechanisms.
- **Sublimation** : Involves transforming unacceptable urges into more socially acceptable behaviors. For example, a teenager who experiences strong sexual urges uses exercise to redirect those urges into more socially acceptable behavior.

- **Displacement** : Involves taking out frustrations on to a safer target. A person who is angry with a supervisor may take out their frustration at others when driving home or at a spouse upon arrival.
- **Projection** : Defense mechanism in which a person attributes their unacceptable thoughts onto others. If someone is frightened, for example, he or she accuses someone else of being afraid.
- **Reaction formation**: Defense mechanism in which a person outwardly opposes something they inwardly desire, but that they find unacceptable. An example of this might be homophobia or a strong hatred and fear of homosexuality.

The **superego** is the part of the self that develops as we learn the rules, standards, and values of society. This part of the self takes into account the moral guidelines that are a part of our culture. It is a rule-governed part of the self that operates under a sense of guilt (guilt is a social emotion—it is a feeling that others think less of you or believe you to be wrong). If a person violates the superego, he or she feels guilty. The superego is useful but can be too strong; in this case, a person might feel overly anxious and guilty about circumstances over which they had no control. Such a person may experience high levels of stress and inhibition that keeps them from living well. The id is inborn, but the ego and superego develop during the course of our early interactions with others. These interactions occur against a backdrop of learning to resolve early biological and social challenges and play a key role in our personality development.

Psychosexual Stages

Freud's psychosexual stages of development are presented below. At any of these stages, the child might become “stuck” or fixated if a caregiver either overly indulges or neglects the child's needs. A fixated adult will continue to try and resolve this later in life.

For about the first year of life, the infant is in the **oral stage** of psychosexual development. The infant meets needs primarily through oral gratification. A baby wishes to suck or chew on any object that comes close to the mouth. Babies explore the world through the mouth and find comfort and stimulation as well. Psychologically, the infant is all id. The infant seeks immediate gratification of needs such as comfort, warmth, food, and stimulation. If the caregiver meets oral needs consistently, the child will move away from this stage and progress further. However, if the caregiver is inconsistent or neglectful, the person may stay stuck in the oral stage. As an adult, the person might not feel good unless involved in some oral activity such as eating, drinking, smoking, nail biting, or compulsive talking. These actions bring comfort and security when the person feels insecure, afraid, or bored.

During the **anal stage**, which coincides with toddlerhood or mobility and potty training, the child is taught that some urges must be contained and some actions postponed. There are rules about certain functions and when and where they are to be carried out. The child is learning a sense of self-control. The ego is being developed. If the caregiver is extremely controlling about potty training (stands over the child waiting for the smallest indication that the child might need to go to the potty and immediately scoops the child up and places him on the potty chair, for example), the child may grow up fearing losing control. He may become fixated in this stage or “anal retentive,” that is, fearful of letting go. Such a person might be extremely neat and clean, organized, reliable, and controlling of others. If the caregiver neglects to teach the child to control urges, he may grow up to be “anal expulsive” or an adult who is messy, irresponsible, and disorganized.

The **phallic stage** occurs during the preschool years (ages 3–5) when the child has a new biological challenge to face. Freud believed that the child becomes sexually attracted to his or her opposite sexed parent.

- Boys experience the “Oedipal Complex” in which they become sexually attracted to their mothers but realize that Father is in the way. He is much more powerful. For a while, the boy fears that if he pursues his mother, father may castrate him (castration anxiety). So rather than risking losing his penis, he gives up his affections for his mother and instead learns to become more like his father, imitating his actions and mannerisms and thereby learns the role of males in his society. From this experience, the boy learns a sense of masculinity. He also learns what society thinks he should do and experiences guilt if he does not comply. In this way, the superego develops. If he does not resolve this successfully, he may become a “phallic male” or a man who constantly tries to prove his masculinity (about which he is insecure) by seducing women and beating up men.
- Girls experience the “Electra Complex” in which she develops an attraction for her father but realizes that she cannot compete with mother and so gives up that affection and learns to become more like her mother. This is not without some regret, however. Freud believed that the girl feels inferior because she does not have a penis (experiences “penis envy”). But she must resign herself to the fact that she is female and will just have to learn her inferior role in society as a female. However, if she does not

resolve this conflict successfully, she may have a weak sense of femininity and grow up to be a “castrating female” who tries to compete with men in the workplace or in other areas of life.

During middle childhood (6–11), the child enters the latent stage focusing his or her attention outside the family and toward friendships. The biological drives are temporarily quieted (latent) and the child can direct attention to a larger world of friends. If the child is able to make friends, he or she will gain a sense of confidence. If not, the child may continue to be a loner or shy away from others, even as an adult.

The final stage of psychosexual development is referred to as the **genital stage**. From adolescence throughout adulthood a person is preoccupied with sex and reproduction. The adolescent experiences rising hormone levels and the sex drive and hunger drives become very strong. Ideally, the adolescent will rely on the ego to help think logically through these urges without taking actions that might be damaging. An adolescent might learn to redirect his or her sexual urges into safer activity, such as running. Quieting the id with the superego can lead to feeling overly self-conscious and guilty about these urges. Hopefully, it is the ego that is strengthened during this stage and the adolescent uses reason to manage urges.

Strengths and Weaknesses of Freud's Theory

Freud's theory has been heavily criticized for several reasons. One is that it is very difficult to test scientifically. How can parenting in infancy be traced to personality in adulthood? Are there other variables that might better explain development? The theory is also considered to be sexist in suggesting that women who do not accept an inferior position in society are somehow psychologically flawed. Freud focuses on the darker side of human nature and suggests that much of what determines our actions is unknown to us. So why do we study Freud? As mentioned above, despite the criticisms, Freud's assumptions about the importance of early childhood experiences in shaping our psychological selves have found their way into child development, education, and parenting practices. Freud's theory has heuristic value in providing a framework to elaborate and modify subsequent theories of development. Many later theories, particularly behaviorism and humanism, were challenges to Freud's views. ⁽⁴⁾

Psychosocial Theory

Now, let's turn to a less controversial psychodynamic theorist, the father of developmental psychology, Erik Erikson.

Erik Erikson (1902–1994) was a student of Freud's and expanded on his theory of psychosexual development by emphasizing the importance of culture in parenting practices and motivations and adding three stages of adult development (Erikson, 1950; 1968). He believed that we are aware of what motivates us throughout life and the ego has greater importance in guiding our actions than does the id. We make conscious choices in life and these choices focus on meeting certain social and cultural needs rather than purely biological ones. Humans are motivated, for instance, by the need to feel that the world is a trustworthy place, that we are capable individuals, that we can make a contribution to society, and that we have lived a meaningful life. These are all psychosocial problems. Erikson divided the life span into eight stages. In each stage, we have a major psychosocial task to accomplish or crisis to overcome. Erikson believed that our personality continues to take shape throughout our life span as we face these challenges in living. We will discuss each of these stages in length as we explore each period of the life span, but here is a brief overview.

The Ego Rules

Psychosocial Stages

1. **Trust vs. mistrust** (0–1): infant must have basic needs met in a consistent way in order to feel that the world is a trustworthy place
2. **Autonomy vs. shame and doubt** (1–2): mobile toddlers have newfound freedom they like to exercise and by being allowed to do so, they learn some basic independence
3. **Initiative vs. Guilt** (3–5): preschoolers like to initiate activities and emphasize doing things “all by myself”
4. **Industry vs. inferiority** (6–11): school aged children focus on accomplishments and begin making comparisons between themselves and their classmates
5. **Identity vs. role confusion** (adolescence): teenagers are trying to gain a sense of identity as they experiment with various roles, beliefs, and ideas
6. **Intimacy vs. Isolation** (young adulthood): in our 20s and 30s we are making some of our first long-term commitments in intimate relationships

7. **Generativity vs. stagnation** (middle adulthood): 40s through the early 60s we focus on being productive at work and home and are motivated by wanting to feel that we've made a contribution to society
8. **Integrity vs. Despair** (late adulthood): we look back on our lives and hope to like what we see; that we have lived well and have a sense of integrity because we lived according to our beliefs. ⁽⁵⁾

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3: Erikson and Psychosocial Theory

Erikson and Psychosocial Theory: Now, let's turn to a less controversial psychodynamic theorist, Erik Erikson. Erikson presents eight developmental stages that encompass the entire lifespan. For that reason, Erikson's psychosocial theory forms the foundation for much of our discussion of psychosocial development.



Figure 1.9: Erik Erikson.

Erikson (1950) proposed a model of lifespan development that provides a useful guideline for thinking about the changes we experience throughout life. Erikson broke with Freud's emphasis on sexuality as the cornerstone of social-emotional development and instead suggested that social relationships fostered development. Erikson proposed that *each period of life has a unique challenge or crisis that the person who reaches it must face, referred to as **psychosocial crises***. According to Erikson, successful development involves dealing with and resolving the goals and demands of each of these psychosocial crises in a positive way. (These crises are usually called *stages*, although that is not the term Erikson used.) If a person does not resolve a stage successfully it may hinder their ability to deal with later stages. For example, the person who does not develop a sense of trust (Erikson's first stage) may find it challenging as an adult to form a positive intimate relationship (Erikson's sixth stage). Or an individual who does not develop a clear sense of purpose and identity (Erikson's fifth stage) may become self-absorbed and stagnate rather than working toward the betterment of others (Erikson's seventh stage). However, most individuals are able to successfully complete the eight stages of his theory (See Table 1.3).

Table 1.3: Erikson's Psychological Stages.

Age Range	Psychosocial crisis	Positive resolution of crisis
Birth to 12 to 18 months	Trust versus Mistrust	The child develops a feeling of trust in his or her caregivers.
18 months to 3 years	Autonomy versus shame/doubt	The child learns what he or she can and cannot control and develops a sense of free will.
3 to 6 years	Initiative versus Guilt	The child learns to become independent by exploring, manipulating, and taking action.
6 to 12 years	Industry versus inferiority	The child learns to do things well or correctly according to standards set by others, particularly in school.
12 to 18 years	Identity versus role confusion	The adolescent develops a well-defined and positive sense of self in relationship to others
19 to 40 years	Intimacy versus isolation	The person develops the ability to give and receive love and to make long-term commitments
40 to 65 years	Generativity versus stagnation	The person develops an interest in guiding the development of the next generation, often by becoming a parent
65 to death	Ego integrity versus despair	The person develops acceptance of his or her life as it was lived.

Erikson's theory has been criticized for focusing so heavily on stages and assuming that the completion of one stage is prerequisite for the next crisis of development. His theory also focuses on the social expectations that are found in certain cultures, but not in all. For instance, the idea that adolescence is a time of searching for identity might translate well in the middle-class culture of the United States, but not as well in cultures where the transition into adulthood coincides with puberty through rites of passage and where adult roles offer fewer choices.

Learning Theory: Also known as **Behaviorism**, is based on the premise that it is not possible to objectively study the mind, and therefore psychologists should limit their attention to the study of behavior itself. The most famous behaviorist was Burrhus Frederick (B. F.) Skinner (1904– 1990), who expanded the principles of behaviorism and also brought them to the attention of the public at large. Skinner used the ideas of stimulus and response, along with the application of rewards or *reinforcements*, to train pigeons and other animals. In addition, he used the general principles of behaviorism to develop theories about how best to teach children and how to create societies that were peaceful and productive (Skinner, 1957, 1968, 1972).

The behaviorists made substantial contributions to psychology by identifying the principles of *learning*. Although the behaviorists were incorrect in their beliefs that it was not possible to measure thoughts and feelings, their ideas provided new insights that helped further our understanding regarding the nature-nurture debate as well as the question of free will. The ideas of behaviorism are fundamental to psychology and have been developed to help us better understand the role of prior experiences in a variety of areas of psychology.

Social Learning Theory, developed by Albert Bandura (1977), calls our attention to the ways in which many of our actions are not learned through conditioning, as suggested by Skinner; rather, *they are learned by watching others*. Young children frequently learn behaviors through imitation. Especially when children do not know what else to do, they learn by modeling or copying the behavior of others.

Bandura (1986) suggests that there is interplay between the environment and the individual. We are not just the product of our surroundings, rather we influence our surroundings. *There is interplay between our personality and the way we interpret events and how they influence us. This concept is called reciprocal determinism.* An example of this might be the interplay between parents

and children. Parents not only influence their child's environment, perhaps intentionally through the use of reinforcement, etc., but children influence parents as well. Parents may respond differently with their first child than with their fourth. Perhaps they try to be the perfect parents with their firstborn, but by the time their last child comes along they have very different expectations, both of themselves and their child. Our environment creates us and we create our environment.

Other social influences: TV or not TV? Bandura et al. (1963) began a series of studies to look at the impact of television on the behavior of children. Bandura began by conducting an experiment in which he showed children a film of a woman hitting an inflatable clown or “bobo” doll.

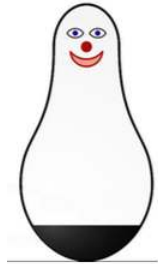


Figure 1.10: The Bobo Doll. Source.

Then the children were allowed in the room, where they found the doll and during their play they began to hit it. The children also demonstrated novel ways of being aggressive toward the doll that were not demonstrated by those children who did not see the aggressive model. Bandura's research raised concerns about the impact of violence on young children. Since then, considerable research has been conducted on the impact of violent media on children's aggression including playing video games.

Cognitive Theory: The **cognitive theories** focus on how our mental processes or cognitions change over time. Three important theories are Jean Piaget's, Lev Vygotsky's, and Information-processing.

Jean Piaget (1896-1980) was one of the most influential cognitive theorists in development. He was inspired to explore children's ability to think and reason by watching his own children's development. He was one of the first to recognize and map out the ways in which children's intelligence differs from that of adults (Piaget, 1929). He became interested in this area when he was asked to test the IQ of children and began to notice that there was a pattern in their wrong answers. He believed that children's intellectual skills change over time and that maturation, rather than training, brings about that change. Children of differing ages interpret the world differently. Piaget theorized that children progressed through four stages of cognitive development (Table 1.4).

Table 1.4: Piaget's Stages of Cognitive Development.

Stage	Approximate age range	Characteristics	Stage attainments
Sensorimotor	Birth to about 2 years	The child experiences the world through the fundamental senses of seeing, hearing, touching, and tasting.	Object permanence
Preoperational	2 to 7 years	Children acquire the ability to internally represent the world through language and mental imagery. They also start to see the world from other people's perspectives.	Theory of mind; rapid increase in language ability
Concrete operational	7 to 11 years	Children become able to think logically. They can increasingly perform operations on objects that are real.	Conservation
Formal operational	11 years to adulthood	Adolescents can think systematically, can reason about abstract concepts, and can understand ethics and scientific reasoning.	Abstract logic

Piaget has been criticized for overemphasizing the role that physical maturation plays in cognitive development and in underestimating the role that culture and experience plays. Looking across cultures reveals considerable variation in what children are able to do at various ages. Research has shown considerable overlap among the four stages and that development is more continuous.

Lev Vygotsky (1896-1934) was a Russian psychologist who wrote in the early 1900s but whose work was discovered by researchers in the United States in the 1960s and became more widely known in the 1980s (Crain, 2005). His **sociocultural theory** emphasizes the importance of culture and interaction in the development of cognitive abilities. Vygotsky differed with Piaget in that he believed that a person not only has a set of abilities, but also a set of potential abilities that can be realized if given the proper guidance from others. Vygotsky developed theories on teaching that have been adopted by educators today.

Information Processing is not the work of a single theorist, but based on the ideas and research of several cognitive scientists studying how individuals perceive, analyze, manipulate, use, and remember information. This approach assumes that humans gradually improve in their processing skills; that is, development is continuous rather than stage-like. The more complex mental skills of adults are built from the primitive abilities of children. We are born with the ability to notice stimuli, store, and retrieve information. Brain maturation enables advancements in our information processing system. At the same time, interactions with the environment also aid in our development of more effective strategies for processing information.

Urie Bronfenbrenner (1917-2005) developed the **Ecological Systems Theory**, which provides a framework for understanding and studying the many influences on human development (Bronfenbrenner, 1979). Bronfenbrenner recognized that human interaction is influenced by larger social forces and that an understanding of these forces is essential for understanding an individual. The individual is impacted by several systems including:

- **Microsystem** includes the individual's setting and those who have direct, significant contact with the person, such as parents or siblings. The input of those is modified by the cognitive and biological state of the individual as well. These influence the person's actions, which in turn influence systems operating on him or her.
- **Mesosystem** includes the larger organizational structures, such as school, the family, or religion. These institutions impact the microsystems just described. The philosophy of the school system, daily routine, assessment methods, and other characteristics can affect the child's self-image, growth, sense of accomplishment, and schedule thereby impacting the child, physically, cognitively, and emotionally.

- **Exosystem** includes the larger contexts of community. A community's values, history, and economy can impact the organizational structures it houses. Mesosystems both influence and are influenced by the exosystem.
- **Macrosystem** includes the cultural elements, such as global economic conditions, war, technological trends, values, philosophies, and a society's responses to the global community.
- **Chronosystem** is the historical context in which these experiences occur. This relates to the different generational time periods previously discussed such as the baby boomers and millennials.

In sum, a child's experiences are shaped by larger forces such as the family, schools, religion, culture, and time period. Bronfenbrenner's model helps us understand all of the different environments that impact each one of us simultaneously. Despite its comprehensiveness, Bronfenbrenner's ecological system's theory is not easy to use. Taking into consideration all the different influences makes it difficult to research and determine the impact of all the different variables (Dixon, 2003). Consequently, psychologists have not fully adopted this approach, although they recognize the importance of the ecology of the individual. Figure 1.11 is a model of Bronfenbrenner's Ecological Systems Theory.

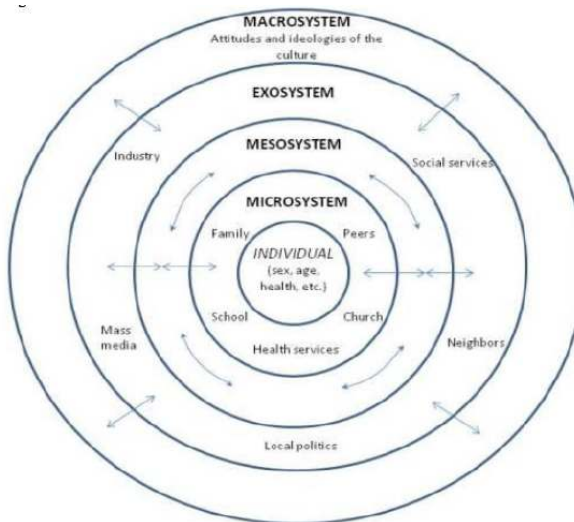


Figure 1.11. Source.

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4: Development of Social Groups

Over the years researchers have found the necessity to develop theories of behavior that are specific to family settings. These theories have been developed by people with a variety of areas of emphasis, from family therapists to gerontologists to child development specialists. In this chapter we will briefly discuss six such theories: Bioecological Model, Family Systems, Functionalism, Conflict Theory, Symbolic Interactionism, and Psychological Perspectives.

Bioecological Systems Theory

One of the key theories we look to help explain influences on individuals and their families is Bronfenbrenner's bioecological systems theory. A basic tenet of this theory (Bronfenbrenner & Morris, 2006) is that child and youth development is influenced by many different "contexts," "settings," or "ecologies" (for example, family, peers, schools, communities, sociocultural belief systems, policy regimes, and, of course, the economy).

The model is able to account for multiple face-to-face environments, or settings, within the microsystem of a person (for example, family, school, peers); how relations between settings (mesosystem) can affect what happens within them (for example, interactions between school and family); and how settings within which the individuals have no direct presence (exo- and macrosystem) can affect settings in their microsystems (for example, how parents' experiences at their workplace affect their relationships within the family) (Bronfenbrenner, 1979). Thus, this model allows the analysis of the lives of people, "living organisms whose biopsychological characteristics, both as a species and as individuals, have as much to do with their development as do the environments in which they live their lives" (Bronfenbrenner, 1995, p. 8).

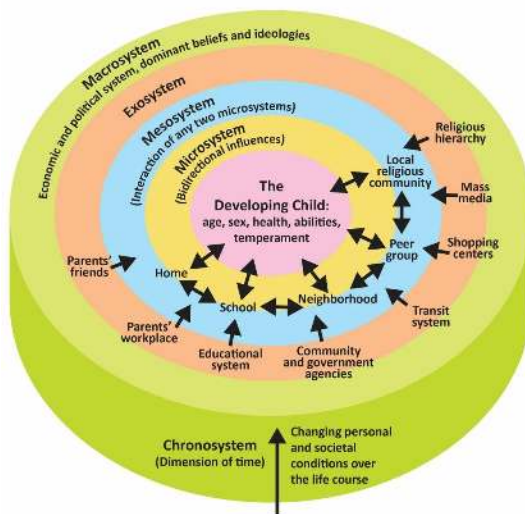


Figure 4.1: Bronfenbrenner's ecological systems theory.[1]

Microsystem

Microsystems impact a child directly. These are the people with whom the child interacts such as parents, peers, and teachers. The relationship between individuals and those around them need to be considered. For example, to appreciate what is going on with a student in math, the relationship between the student and teacher should be known.

Mesosystem

Mesosystems are interactions between those surrounding the individual. The relationship between parents and schools, for example will indirectly affect the child.

Exosystem

Larger institutions such as the mass media or the healthcare system are referred to as the exosystem. These have an impact on families and peers and schools who operate under policies and regulations found in these institutions.

Macrosystem

We find cultural values and beliefs at the level of macrosystems. These larger ideals and expectations inform institutions that will ultimately impact the individual.

Chronosystem

All of this happens in an historical context referred to as the chronosystem. Cultural values change over time, as do policies of educational institutions or governments in certain political climates. Development occurs at a point in time. [2]

The Bioecological Model by Bronfenbrenner looked at patterns of development across time as well as the interactions between the development of the child and the environment. The implications of the Model include the social and political policies and practices affecting children, families, and parenting. The Bioecological Model as depicted in Figure 7.1 serves as a visual organizer to both summarize and unpack key concepts and themes as they related to individual development, teaching and learning, and educational practices. As teachers and educators strive to become evidence-based practitioners, the goal of learning this Model is to understand the theoretical and research foundations that inform the work in supporting students' well-being, teaching and learning and identify and use other factors/resources such as parents, family, peers, to provide positive influence on students' learning and development.

[3]

Check-in Time!

What chronosystem events have impacted your life so far?

Family Systems Theory

When understanding the family, the Family Systems Theory has proven to be very powerful. Family Systems Theory comes under the Functional Theory umbrella and shares the functional approach of considering the dysfunctions and functions of complex groups and organizations. Family Systems Theory claims that the family is understood best by conceptualizing it as a complex, dynamic, and changing collection of parts, subsystems and family members. Much like a mechanic would interface with the computer system of a broken down car to diagnose which systems are broken (transmission, electric, fuel, etc.) to repair it, a therapist or researcher would interact with family members to diagnose how and where the systems of the family are working and where they are in need of repair or intervention.

This theory also addresses the issue of boundaries. Boundaries are *distinct emotional, psychological, or physical separateness between individuals, roles, and subsystems in the family*. Boundaries are crucial to healthy family functioning.^[4]

Check-in Time!

What is the main role you have in your family system? What boundaries do you have or wish you had?

Functionalism

When considering the role of family in society, functionalists uphold the notion that families are an important social institution and that they play a key role in stabilizing society. They also note that family members take on status roles in a marriage or family. The family—and its members—perform certain functions that facilitate the prosperity and development of society.

Sociologist George Murdock conducted a survey of 250 societies and determined that there are four universal residual functions of the family: sexual, reproductive, educational, and economic (Lee 1985). According to Murdock, the family (which for him includes the state of marriage) regulates sexual relations between individuals. He does not deny the existence or impact of premarital or extramarital sex, but states that the family offers a socially legitimate sexual outlet for adults (Lee 1985). This outlet gives way to reproduction, which is a necessary part of ensuring the survival of society.

Once children are born, the family plays a vital role in training them for adult life. As the primary agent of socialization and enculturation, the family teaches young children the ways of thinking and behaving that follow social and cultural norms, values, beliefs, and attitudes. For example, in some families, parents teach their children manners and civility believing a well-mannered child reflects a well-mannered parent.

Parents also teach children gender roles. Gender roles are an important part of the economic function of a family. In each family, there is a division of labor that consists of instrumental and expressive roles. Men tend to assume the instrumental roles in the family, which typically involve work outside of the family that provides financial support and establishes family status. Women tend to assume the expressive roles, which typically involve work inside of the family which provides emotional support and physical care for children (Crano and Aronoff 1978).



Figure 4.2: - What might this little girl be learning about the role of her mother?[5]

According to functionalists, the differentiation of the roles on the basis of sex ensures that families are well balanced and coordinated. When family members move outside of these roles, the family is thrown out of balance and must recalibrate in order to function properly. For example, if the father assumes an expressive role such as providing daytime care for the children, the mother must take on an instrumental role such as gaining paid employment outside of the home in order for the family to maintain balance and function.

Conflict Theory

Conflict theorists are quick to point out that U.S. families have been defined as private entities, the consequence of which has been to leave family matters to only those within the family. Many people in the United States are resistant to government intervention in the family: parents do not want the government to tell them how to raise their children or to become involved in domestic issues. Conflict theory highlights the role of power in family life and contends that the family is often not a haven but rather an arena where power struggles can occur. This exercise of power often entails the performance of family status roles. Conflict theorists may study conflicts as simple as the enforcement of rules from parent to child, or they may examine more serious issues such as domestic violence (spousal and child), sexual assault, marital rape, and incest.

The first study of marital power was performed in 1960. Researchers found that the person with the most access to value resources held the most power. As money is one of the most valuable resources, men who worked in paid labor outside of the home held more power than women who worked inside the home (Blood and Wolfe 1960). Even today, with more fluid family roles, conflict theorists find disputes over the division of household labor to be a common source of marital discord. Household labor offers no wages and, therefore, no power. Studies indicate that when men do more housework, women experience more satisfaction in their marriages, reducing the incidence of conflict (Coltrane 2000). In general, conflict theorists tend to study areas of marriage and life that involve inequalities or discrepancies in power and authority, as they are reflective of the larger social structure.

Check-in Time!

How does the division of chores impact or not impact your household?

Symbolic Interactionism

Interactionists view the world in terms of symbols and the meanings assigned to them (LaRossa and Reitzes 1993). The family itself is a symbol. To some, it is a father, mother, and children; to others, it is any union that involves respect and compassion. Interactionists stress that family is not an objective, concrete reality. Like other social phenomena, it is a social construct that is subject to the ebb and flow of social norms and ever-changing meanings.

Consider the meaning of other elements of family: in the past, “parent” was a symbol of a biological and emotional connection to a child. With more parent-child relationships developing through adoption, remarriage, or change in guardianship, the word “parent” today is less likely to be associated with a biological connection than with whoever is socially recognized as having the

responsibility for a child's upbringing. Similarly, the terms "mother" and "father" are no longer rigidly associated with the meanings of caregiver and breadwinner. These meanings are more free-flowing through changing family roles.

Interactionists also recognize how the family status roles of each member are socially constructed, playing an important part in how people perceive and interpret social behavior. Interactionists view the family as a group of role players or "actors" that come together to act out their parts in an effort to construct a family. These roles are up for interpretation. In the late nineteenth and early twentieth century, a "good father," for example, was one who worked hard to provide financial security for his children. Today, for some, a "good father" is one who takes the time outside of work to promote his children's emotional well-being, social skills, and intellectual growth—in some ways, a much more daunting task.^[6]

Psychological Perspectives

Psychoanalyst Sigmund Freud (1856–1939) was one of the most influential modern scientists to put forth a theory about how people develop a sense of self. He believed that personality and sexual development were closely linked, and he divided the maturation process into psychosexual stages: oral, anal, phallic, latency, and genital. He posited that people's self development is closely linked to early stages of development, like breastfeeding, toilet training, and sexual awareness (Freud 1905).

According to Freud, failure to properly engage in or disengage from a specific stage results in emotional and psychological consequences throughout adulthood. He linked this closely to the mother-child bond. An adult with an oral fixation may indulge in overeating or binge drinking. An anal fixation may produce a "neat freak" (hence the term "anal retentive"), while a person stuck in the phallic stage may be promiscuous or emotionally immature. Although no solid empirical evidence supports Freud's theory, his ideas continue to contribute to the work of scholars in a variety of disciplines.

Psychologist Erik Erikson (1902–1994) created a theory of personality development based, in part, on the work of Freud. However, Erikson believed the personality continued to change over time and was never truly finished. His theory includes eight stages of development, beginning with birth and ending with death. According to Erikson, people move through these stages throughout their lives. In contrast to Freud's focus on psychosexual stages and basic human urges, Erikson's view of self development gave credit to more social aspects, like the way we negotiate between our own base desires and what is socially accepted (Erikson 1982). His theory also helps us understand that rather than just focusing on the child's development, all members of the family are going through stages.

Jean Piaget (1896–1980) was a psychologist who specialized in child development, focusing specifically on the role of social interactions in their development. He recognized that the development of self evolved through a negotiation between the world as it exists in one's mind and the world that exists as it is experienced socially (Piaget 1954).^[7]

Lev Vygotsky (1896–1934) is best known for being an educational psychologist with a sociocultural theory. This theory suggests that social interaction leads to continuous step-by-step changes in children's thought and behavior that can vary greatly from culture to culture (Woolfolk, 1998). Basically, Vygotsky's theory suggests that development depends on interaction with people and the tools that the culture provides to help form their own view of their world.



Figure 4.3: This mother explaining how pedals work to her daughter who is learning to ride a bike is a great example of Vygotsky's theory in action.^[8]

All four of these thinkers have contributed to our modern understanding of self-development.

Check-in Time!

Of the four theorists reviewed above (Freud, Erikson, Piaget, and Vygotsky) which theorist's ideas about development most closely match your own beliefs about how people develop and why?

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5: Pavlov- Theory of Cognitive Development, Learning and Memory

Pavlov

Ivan Pavlov (1880-1937) was a Russian physiologist interested in studying digestion. As he recorded the amount of salivation his laboratory dogs produced as they ate, he noticed that they actually began to salivate before the food arrived as the researcher walked down the hall and toward the cage. The dogs knew that the food was coming because they had learned to associate the footsteps with the food. The keyword here is “learned”. A learned response is called a “conditioned” response.

Pavlov began to experiment with this “psychic” reflex. He began to ring a bell, for instance, prior to introducing the food. Sure enough, after making this connection several times, the dogs could be made to salivate to the sound of a bell. Once the bell had become an event to which the dogs had learned to salivate, it was called a conditioned stimulus. The act of salivating to a bell was a response that had also been learned, now termed in Pavlov’s jargon, a conditioned response.

Notice that the response, salivation, is the same whether it is conditioned or unconditioned (unlearned or natural). What changed is the stimulus to which the dog salivates. One is natural (unconditioned) and one is learned (conditioned).

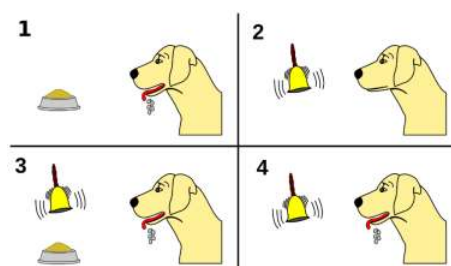


Figure 5.1: Pavlov’s experiments with dogs and conditioning. (Image by Maxxl² is

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Let’s think about how classical conditioning is used on us. One of the most widespread applications of classical conditioning principles was brought to us by the psychologist, John B. Watson.¹⁵

Classical Conditioning

Classical conditioning is a form of learning whereby a **conditioned stimulus** (CS) becomes associated with an unrelated **unconditioned stimulus** (US), in order to produce a behavioral response known as a **conditioned response** (CR). The conditioned response is the learned response to the previously neutral stimulus. The unconditioned stimulus is usually a biologically significant stimulus such as food or pain that elicits an **unconditioned response** (UR) from the start. The conditioned stimulus is usually neutral and produces no particular response at first, but after conditioning, it elicits the conditioned response.

If we look at Pavlov’s experiment, we can identify these four factors at work:

- The unconditioned response was the salivation of dogs in response to seeing or smelling their food.
- The unconditioned stimulus was the sight or smell of the food itself.
- The conditioned stimulus was the ringing of the bell. During conditioning, every time the animal was given food, the bell was rung. This was repeated during several trials. After some time, the dog learned to associate the ringing of the bell with food and to respond by salivating. After the conditioning period was finished, the dog would respond by salivating when the bell was rung, even when the unconditioned stimulus (the food) was absent.
- The conditioned response, therefore, was the salivation of the dogs in response to the conditioned stimulus (the ringing of the bell).¹⁶

Neurological Response to Conditioning

Consider how the conditioned response occurs in the brain. When a dog sees food, the visual and olfactory stimuli send information to the brain through their respective neural pathways, ultimately activating the salivary glands to secrete saliva. This reaction is a natural biological process as saliva aids in the digestion of food. When a dog hears a buzzer and at the same time sees food, the auditory stimuli activates the associated neural pathways. However, since these pathways are being activated at the same time as

the other neural pathways, there are weak synapse reactions that occur between the auditory stimuli and the behavioral response. Over time, these synapses are strengthened so that it only takes the sound of a buzzer to activate the pathway leading to salivation.

Operant Conditioning

Operant conditioning is a theory of behaviorism, a learning perspective that focuses on changes in an individual's observable behaviors. In **operant conditioning theory**, new or continued behaviors are impacted by new or continued consequences. Research regarding this principle of learning was first studied by Edward L. Thorndike in the late 1800's, then brought to popularity by B.F. Skinner in the mid-1900's. Much of this research informs current practices in human behavior and interaction.

Skinner's Research

Thorndike's initial research was highly influential on another psychologist, B.F. Skinner. Almost half a century after Thorndike's first publication of the principles of operant conditioning, Skinner attempted to prove an extension to this theory—that all behaviors were in some way a result of operant conditioning. Skinner theorized that if a behavior is followed by reinforcement, that behavior is more likely to be repeated, but if it is followed by punishment, it is less likely to be repeated. He also believed that this learned association could end, or become extinct if the reinforcement or punishment was removed.

To prove this, he placed rats in a box with a lever that when tapped would release a pellet of food. Over time, the amount of time it took for the rat to find the lever and press it became shorter and shorter until finally, the rat would spend most of its time near the lever eating. This behavior became less consistent when the relationship between the lever and the food was compromised. This basic theory of operant conditioning is still used by psychologists, scientists, and educators today.

Shaping, Reinforcement Principles, and Schedules of Reinforcement

Operant conditioning can be viewed as a process of action and consequence. Skinner used this basic principle to study the possible scope and scale of the influence of operant conditioning on animal behavior. His experiments used shaping, reinforcement, and reinforcement schedules in order to prove the importance of the relationship that animals form between behaviors and results.

All of these practices concern the setup of an experiment. **Shaping** is the conditioning paradigm of an experiment. The form of the experiment in successive trials is gradually changed to elicit a desired target behavior. This is accomplished through reinforcement, or reward, of the segments of the target behavior, and can be tested using a large variety of actions and rewards. The experiments were taken a step further to include different schedules of reinforcement that become more complicated as the trials continued. By testing different reinforcement schedules, Skinner learned valuable information about the best ways to encourage a specific behavior, or the most effective ways to create a long-lasting behavior. Much of this research has been replicated on humans, and now informs practices in various environments of human behavior.¹⁷

Positive and Negative Reinforcement

Sometimes, adding something to the situation is reinforcing as in the cases we described above with cookies, praise and money. **Positive reinforcement** involves adding something to the situation in order to encourage a behavior. Other times, taking something away from a situation can be reinforcing. For example, the loud, annoying buzzer on your alarm clock encourages you to get up so that you can turn it off and get rid of the noise. Children whine in order to get their parents to do something and often, parents give in just to stop the whining. In these instances, negative reinforcement has been used.

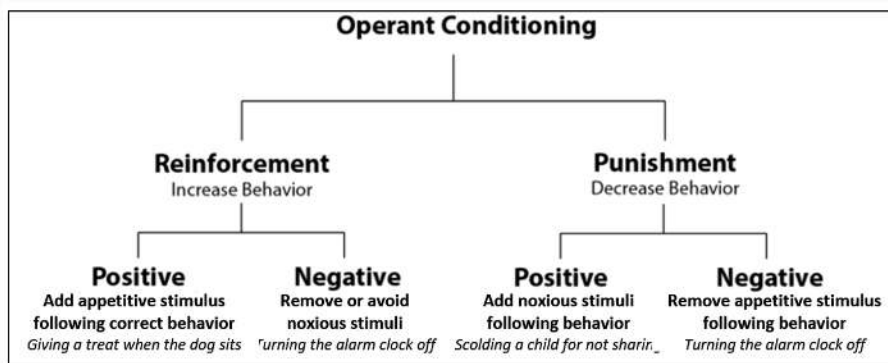


Figure 5.2: Reinforcement in operant

conditioning. (Image by [Curtis Neveu](#) is licensed under [CC BY-SA 3.0](#) and Modified from source image)

Operant conditioning tends to work best if you focus on trying to encourage a behavior or move a person into the direction you want them to go rather than telling them what not to do. **Reinforcers** are used to encourage a behavior; punishers are used to stop behavior. A **punisher** is anything that follows an act and decreases the chance it will reoccur. But often a punished behavior doesn't really go away. It is just suppressed and may reoccur whenever the threat of punishment is removed. For example, a child may not cuss around you because you've washed his mouth out with soap, but he may cuss around his friends. Or a motorist may only slow down when the trooper is on the side of the freeway. Another problem with punishment is that when a person focuses on punishment, they may find it hard to see what the other does right or well. And punishment is stigmatizing; when punished, some start to see themselves as bad and give up trying to change.

Reinforcement can occur in a predictable way, such as after every desired action is performed, or intermittently, after the behavior is performed a number of times or the first time it is performed after a certain amount of time. The schedule of reinforcement has an impact on how long a behavior continues after reinforcement is discontinued. So a parent who has rewarded a child's actions each time may find that the child gives up very quickly if a reward is not immediately forthcoming. Think about the kinds of behaviors that may be learned through classical and operant conditioning. But sometimes very complex behaviors are learned quickly and without direct reinforcement. Bandura's Social Learning covered later in the chapter explains how.¹⁹

Watson and Behaviorism

Another theorist who added to the spectrum of the behavioral movement was John B. Watson. Watson believed that most of our fears and other emotional responses are classically conditioned. He had gained a good deal of popularity in the 1920s with his expert advice on parenting offered to the public. He believed that parents could be taught to help shape their children's behavior and tried to demonstrate the power of classical conditioning with his famous experiment with an 18 month old boy named "Little Albert". Watson sat Albert down and introduced a variety of seemingly scary objects to him: a burning piece of newspaper, a white rat, etc. But Albert remained curious and reached for all of these things. Watson knew that one of our only inborn fears is the fear of loud noises so he proceeded to make a loud noise each time he introduced one of Albert's favorites, a white rat. After hearing the loud noise several times paired with the rat, Albert soon came to fear the rat and began to cry when it was introduced.

Watson filmed this experiment for posterity and used it to demonstrate that he could help parents achieve any outcomes they desired, if they would only follow his advice. Watson wrote columns in newspapers and in magazines and gained a lot of popularity among parents eager to apply science to household order. Parenting advice was not the legacy Watson left us, however. Where he really made his impact was in advertising. After Watson left academia, he went into the world of business and showed companies how to tie something that brings about a natural positive feeling to their products to enhance sales. Thus the union of sex and advertising!²⁰ Sometimes we do things because we've seen it pay off for someone else. They were operantly conditioned, but we engage in the behavior because we hope it will pay off for us as well. This is referred to as vicarious reinforcement (Bandura, Ross and Ross, 1963).



Figure 5.3: A photograph taken during Little Albert research. (Image is in

the public domain)

Do parents socialize children or do children socialize parents?

Bandura (1986) suggests that there is interplay between the environment and the individual. We are not just the product of our surroundings, rather we influence our surroundings. There is interplay between our personality and the way we interpret events and how they influence us. This concept is called reciprocal determinism. An example of this might be the interplay between parents and children. Parents not only influence their child's environment, perhaps intentionally through the use of reinforcement, etc., but children influence parents as well. Parents may respond differently with their first child than with their fourth. Perhaps they try to be the perfect parents with their firstborn, but by the time their last child comes along they have very different expectations both of themselves and their child. Our environment creates us and we create our environment.



Figure 5.4: A smiling infant playing with toys. (Image by OmarMedinaFilms on Pixabay)

Social Learning Theory

Albert Bandura is a leading contributor to **social learning theory**. He calls our attention to the ways in which many of our actions are not learned through conditioning; rather, they are learned by watching others (1977). Young children frequently learn behaviors through imitation. Sometimes, particularly when we do not know what else to do, we learn by modeling or copying the behavior of others. A new employee, on his or her first day of a new job might eagerly look at how others are acting and try to act the same way to fit in more quickly. Adolescents struggling with their identity rely heavily on their peers to act as role-models. Newly married couples often rely on roles they may have learned from their parents and begin to act in ways they did not while dating and then wonder why their relationship has changed.

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6: The Planning Cycle

A school-age program encompasses far more than just a list of planned experiences. So when planning, educators need to consider such things as the environment, the routines, the everyday resources, and even the skills and knowledge of the educators who work with the children.

As children explore relationships, resources and experiences in a thoughtfully planned environment, educators move through an ongoing cycle underpinned by reflective practice. It operates as a continuous ‘cycle of inquiry’ which includes stopping to think about how and why we’re doing things the way we are, examining our answers to these questions from different perspectives, and using the deeper understandings we develop as a reference point for deciding what actions or changes we want to make. This current method of ongoing and cyclic planning is demonstrated in the figure below.



Figure 16.17: The Process of Program Planning in

Ongoing and Cyclic.^[1]

Deconstructing the Cycle

Question

Step 1 - Knowledge and beliefs

At the core of the program, planning is investigating our knowledge and beliefs and the practices that are linked to these. Educators constantly update their knowledge and associated practices by immersing themselves in contemporary research and theory. As everyone has different values and beliefs, educators in school-age care settings must regularly come together to share their knowledge and beliefs to develop their philosophy or enable a team approach. This philosophy or team approach should be based on theory and research, not just personal beliefs.

Step 2 - Strengths and Interests

Educators, like the children they care for, are diverse in their education, backgrounds and talents. This diversity means that educators can be responsive to a wide range of children’s needs and interests. Different educators will bring different things to the program and there is no one prescribed role. This also models an important concept in school-age care services— that of inclusion: it is a place where everyone belongs.



Figure 16.18: What might be these boys' interests and strengths?^[2]

When educators plan by combining children's strengths and interests with their knowledge and beliefs they can formulate both short term and long term goals for the service.

Plan

Step 3 - Plan the Environments

Educators should spend time planning their indoor and outdoor environments to achieve the outcomes of their vision, which is aligned with their philosophy and beliefs. School-age care settings should provide choice and flexibility and a range of engaging experiences, which will meet the needs of a range of different children in different age ranges. There should be opportunities for creativity, experimentation, and play. The environment should allow children to feel a sense of belonging, coupled with a sense of autonomy.

Step 4 - Define the Role of the Educator

Effective educators have a clear vision of their role when working with children. Educators in this context can be defined as practitioners whose primary function in school-age care settings is to plan and implement programs that support children's well-being, development and learning.

In their day-to-day duties, the educator has to undertake many varied roles, and the qualities and skills necessary for these roles, do not always come naturally with all individuals' personalities. Some educators may need some training or development to acquire some of these strengths. Training and practice can help educators develop these qualities just as skilled educators can help children develop these qualities. To be able to develop these qualities, however, educators need guided self-reflection and the support of an educational leader or mentor.

Table 16.6: Roles of Educators in School-Age Programs

Role	Description
Facilitator	Providing the right amount of stimulus to scaffold children's learning is a skill. Educators must, at times, also facilitate professional learning at meetings and engage with families to organize their involvement
Communicator	School-age care is a social setting. Effective communication is critical with a range of stakeholders, including children, families, other educators, schools and communities.
Coach	Educators assist children to develop a range of skills and provide opportunities for children to practice and perfect these. Educators are both intentional about this role, but also recognize and use teachable moments.
Mediator	School-age care settings are play-based with many choices, which invariably leads to disputes and differences.
Director	Although educators are primarily facilitators, there are times when clear direction is more appropriate. This includes situations that involve safety issues and other situations where there may be non-negotiable issues (such as bullying).
Model	An educator is always modelling. Children notice everything: learning is their job and they learn from everything you do and everything you don't do, everything you say and everything you don't say. Educators model skills from conflict resolution to hand washing and sun safety measures.
Planner	Educators must plan programs, budgets, professional development and communication systems.
Nurturer/Supporter	Educators celebrate or acknowledge each child's participation, efforts, gifts and talents, affirm children's sense of belonging, and provide physical and emotional support.
Advocate	Educators support children's right to play and advocate for appropriate space, facilities and resources
Observer	Educators combine what is seen and heard with what they know about the children. They observe the program, as a whole, identifying what is working and what needs improvement or adaptation.

Step 5 - Devise or Be Aware of Evaluation Methods

Knowing what evaluation methods you are going to use up front enables educators to have clear direction on what they are doing and why. Programs may have tools or processes that are required or you can use the five outcomes outlined in this chapter.

Evaluation is important because it enables educators to collaborate with children and examine the program with the outcomes in mind. This allows us to go deeper to discover how the programs are contributing to children's well-being, learning and development.

Step 6 - Plan Experiences

When planning experiences for children in school-age care settings, it is important to consider the outcomes (those listed in this chapter and/or those in the program's mission and philosophy). You must start with considering what your end goal is. There does

not need to be a set curriculum to follow (although some programs may have this). But it is important that what is planned is responsive and allows for flexibility and creativity.

Settings may use a variety of approaches or theories (such as Multiple Intelligences, Emergent Curriculum, Reggio Emilia, or theme-based planning) to plan their experiences. What is important, however, is that educators recognize that best practice program planning is underpinned by the components of contemporary theory and research, educator skills and knowledge, collaboration with children and partnerships with family and culture.

At all times, the child must be central to program planning, so devising experiences around children's needs and their interests is a good starting place. One of the best ways to ensure curriculum is developmentally appropriate is to use an emergent approach. 'In an emergent approach the sources of curriculum are:

- children's interests such as discovering birds making a nest
- educators' interests such as artworks
- developmental tasks—emergent curriculum is responsive to children's development and learning
- things in the physical environment, including manufactured and natural resources
- people in the social environment, including staff, families and community members
- curriculum resource materials that can be adapted'

Children need stimulation and scaffolding in their learning and interests and this is where effective educators can work closely with children to notice their emerging interests and further this interest through responsive planning. Noticing the cultures and issues in the community are also stimuli for planning experiences.

Planning with a Holistic Approach

School-age care educators take a holistic approach to their roles and responsibilities recognizing the connectedness of mind, body and spirit. They focus attention on children's physical, personal, social, emotional and spiritual well-being as well as cognitive aspects of learning as it pertains to lifelong learning.

Our image of the whole child influences every interaction and experience. This image encompasses physical, personal, social, emotional, cultural, spiritual and cognitive aspects of the child.

A holistic approach does not prioritize one aspect of development or learning over another: it is the connectedness of body, mind and spirit, all of which are equally important. Nurturing the whole child is an important role for school-age care educators. Taking a holistic approach also means considering and incorporating into the program the culture of the families that it serves.

Act and Do

Step 7 - Implement Plans

Time to put the plan into action. Educators actively engage with and support all children to fully participate in a range of experiences. Educators should listen carefully and respond to children's voices and accommodate for spontaneity, natural curiosity, individual needs and interests.



Figure 16.19: This educator is engaged with these girls that are completing puzzles. [3]

Observe and Review

Step 8 - Assess and Evaluate Planned and Unplanned Learning Experiences

When reviewing and evaluating the program, it is important to assess both the planned experiences and unplanned experiences. After all, by definition, the program constitutes all of the interactions, experiences, routines and events.

Evaluation methods should have been established in step 5, so it is a matter of gathering the information and undertaking critical analysis and reflection to understand what this means and implement change as needed.

Evaluation should not simply consist of individual written work. Group reflection and discussion is a critical component of evaluation that then leads onto the next step in the cyclic process. Children should also play a critical role in evaluating aspects of the program including routines, experiences and resources.

Some questions to consider during this process include:

- How did the planned learning occur? What learning occurred?
- What unplanned learning occurred? Is this unplanned learning desirable? What does this mean?
- In what ways are you listening to your culturally diverse families? How are you demonstrating cultural competence?
- Consider time, space, resources:
 - Do we need more resources, either human resources or material ones?
 - Did we allow enough time? Was it the right time of the day?
 - Was there enough space? Was it the right space?
- What would have made it a better learning experience?
- How can we build on this?
- Does this experience tie in with any other experiences that were planned or unplanned?
- How do we/can we gather feedback from children, families and other educators to help evaluate the learning experiences?

Vignette

Recently our team was called on to practice being more reflective. We chose to reflect on our current sign in process.

We brainstormed and reflected on our current 'signing in' practice, which was as follows:

- educator sits at the staff desk and signs children in as they walk through the door
- other educators are greeting children at the door and asking children to put bags away in the bag area, with one educator waiting in the kitchen ready to serve food and remind children to wash their hands
- children walk in and greet the educator; normally the educator is busy signing
- some children come in all at once
- educators try to sign in as fast as they can: it can feel rushed, as there is often a line up
- some children say hello, some don't
- educators feel rude sometimes when they don't get to say 'hi' to all children initially
- late bus children arrive at 3:50pm: educators feel like these children aren't getting a nice greeting bags get left on the floor
- children sometimes hang around the sign-in desk wanting to talk to the educator
- signing in gets put on hold when the phone rings, or a parent wants to pay fees, then children get missed.

After analyzing our thoughts and reflections, we were concerned that this routine was not promoting a positive atmosphere where children felt welcomed, unhurried and valued.

We discussed the fact that some children are asked to move away from the sign-in desk because it is crowded. We are aware some children may not be getting sufficient attention. We want to make each child feel that they are welcomed when they arrive, so they feel a sense of belonging when they walk in the door. We also talked about how to get away from the 'line up' as it reminded us of being at school.

We want the children to feel that the after school care setting is different from school. We wanted to get some ideas from the children about signing in and how we could improve the transition from school to care.

An educator then held a meeting with the children to ask whether they had any ideas on how to make signing in fun and easier for them. The children came up with:

- signing ourselves in
- one sign-on for under-nines and one sign in for over-nines
- if you don't say 'hi' to the educator and get signed in, you go back out and try again
- sign your name on the white board

- stick your own piece of paper on your name to say you are there
- tick your own name off.

Once we had gathered this information, we decided to involve the children by signing their name in on the white board, as the white board is quite far away from the staff desk. It allows the children to walk in, say 'hi' to all the educators, put bags away, then make their way to the white board and write their own name on it.

We tried the new system for a week. An educator wrote on the white board before any of the children arrived: 'New sign in. Write your own name'. The educators voiced some concerns: 'What if it doesn't work? How will the shorter children reach? What if there is a line up?'

On the first day, the first child arrived and the educator explained the new system. He raised his eyebrows and said 'OK', then wrote his name and the time he arrived. The other children seemed happy to copy what the children in front of them were doing. They seemed to enjoy having the responsibility of signing themselves in. The educator in the quiet area would then check the board and sign off the children on the daily booking sheet.



Figure 16.20: The children signed themselves in using the white board.[4]

When the children got picked up, they would go to the white board and wipe their names off to say they have left or they would write 'left' next to their names. Overall the children enjoyed this system and the signing-in process was less crowded. It allowed educators to talk to each child as they came into the service and it promoted continuous flow.

As the week went on the children were walking into after school care with a smile, saying 'hello, I know what to do' and they would go to the white board and sign their name. The sign-in educator supervised while taking the time to have a conversation with all children, asking them about their day and following up on conversations from previous interactions. The children reported that they liked the new system better.

As a result of this change of practice, we have decided to continue the process this way. It has improved and relaxed the process, the room is quieter, and runs smoother. The children seem to co-operate more with the process because it is up to them to complete the task.

References

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7: Designing a Training Program

Learning Objectives

1. Be able to design a training program framework.
2. Understand the uses and applications of a career development program.

The next step in the training process is to create a training framework that will help guide you as you set up a training program. Information on how to use the framework is included in this section.

Training Program Framework Development

When developing your training plan, there are a number of considerations. Training is something that should be planned and developed in advance.

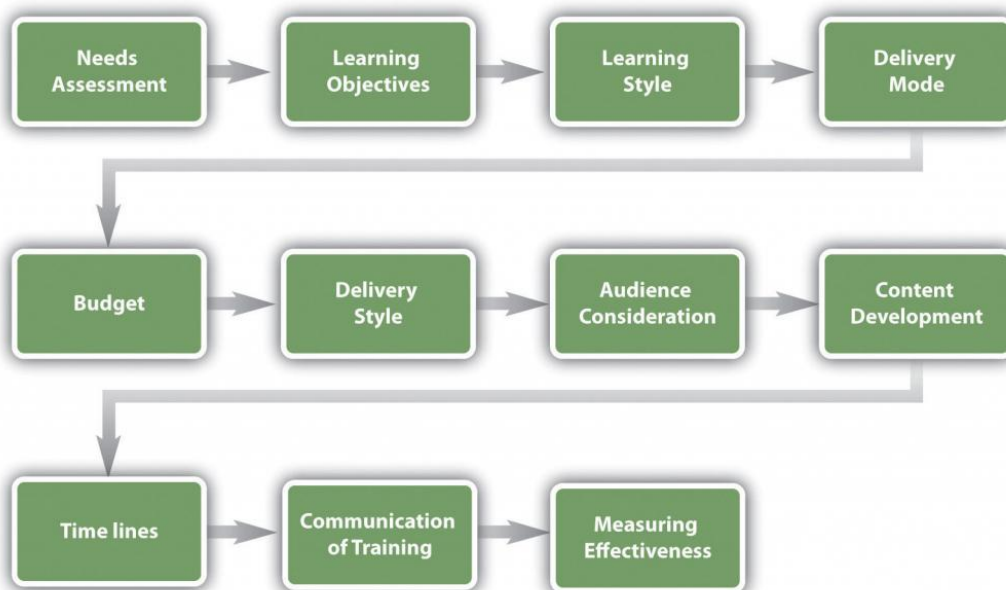


Figure 7.1: Training Program Development Model

The considerations for developing a training program are as follows:

1. **Needs assessment and learning objectives.** This part of the framework development asks you to consider what kind of training is needed in your organization. Once you have determined the training needed, you can set learning objectives to measure at the end of the training.
2. **Consideration of learning styles.** Making sure to teach to a variety of learning styles is important to development of training programs.
3. **Delivery mode.** What is the best way to get your message across? Is web-based training more appropriate, or should mentoring be used? Can vestibule training be used for a portion of the training while job shadowing be used for some of the training, too? Most training programs will include a variety of delivery methods.
4. **Budget.** How much money do you have to spend on this training?
5. **Delivery style.** Will the training be self-paced or instructor led? What kinds of discussions and interactivity can be developed in conjunction with this training?
6. **Audience.** Who will be part of this training? Do you have a mix of roles, such as accounting people and marketing people? What are the job responsibilities of these individuals, and how can you make the training relevant to their individual jobs?
7. **Content.** What needs to be taught? How will you sequence the information?
8. **Timelines.** How long will it take to develop the training? Is there a deadline for training to be completed?
9. **Communication.** How will employees know the training is available to them?

10. **Measuring effectiveness of training.** How will you know if your training worked? What ways will you use to measure this?

Human Resource Recall

Can you think of a time where you received training, but the facilitator did not connect with the audience? Does that ever happen in any of your classes (of course not this one, though)?

Needs Assessment

The first step in developing a training program is to determine what the organization needs in terms of training. There are three levels of training needs assessment: **organizational assessment**, **occupational (task) assessment**, and **individual assessment**:

1. **Organizational assessment.** In this type of needs assessment, we can determine the skills, knowledge, and abilities a company needs to meet its strategic objectives. This type of assessment considers things such as changing demographics and technological trends. Overall, this type of assessment looks at how the organization as a whole can handle its weaknesses while promoting strengths.
2. **Occupational (task) assessment.** This type of assessment looks at the specific tasks, skills knowledge, and abilities required to do jobs within the organization.
3. **Individual assessment.** An individual assessment looks at the performance of an individual employee and determines what training should be accomplished for that individual.

We can apply each of these to our training plan. First, to perform an organizational assessment, we can look at future trends and our overall company's strategic plan to determine training needs. We can also see how jobs and industries are changing, and knowing this, we can better determine the occupational and individual assessments.

Researching training needs can be done through a variety of ways. One option is to use an online tool such as SurveyMonkey to poll employees on what types of training they would like to see offered.

As you review performance evaluations turned in by your managers, you may see a pattern developing showing that employees are not meeting expectations. As a result, this may provide data as to where your training is lacking.

There are also types of training that will likely be required for a job, such as technical training, safety training, quality training, and professional training. Each of these should be viewed as separate training programs, requiring an individual framework for each type of training. For example, an employee orientation framework will look entirely different from an in-house technical training framework.

Training must be tied to job expectations. Any and all training developed should transfer directly to the skills of that particular employee. Reviewing the HR strategic plan and various job analyses may help you see what kind of training should be developed for specific job titles in your organization.

Learning Objectives

After you have determined what type of training should occur, learning objectives for the training should be set. A **learning objective** is what you want the learner to be able to do, explain, or demonstrate at the end of the training period. Good learning objectives are performance based and clear, and the end result of the learning objective can be observable or measured in some way. Examples of learning objectives might include the following:

1. Be able to explain the company policy on sexual harassment and give examples of sexual harassment.
2. Be able to show the proper way to take a customer's order.
3. Perform a variety of customer needs analyses using company software.
4. Understand and utilize the new expense-tracking software.
5. Explain the safety procedure in handling chemicals.
6. Be able to explain the types of communication styles and strategies to effectively deal with each style.
7. Demonstrate ethics when handling customer complaints.
8. Be able to effectively delegate to employees.

Once we have set our learning objectives, we can utilize information on learning styles to then determine the best delivery mode for our training.

Learning Styles

Understanding learning styles is an important component to any training program. For our purposes, we will utilize a widely accepted learning style model. Recent research has shown that classifying people into learning styles may not be the best way to determine a style, and most people have a different style depending on the information being taught. In a study by Pashler et al., the authors look at aptitude and personality as key traits when learning, as opposed to classifying people into categories of learning styles. Bearing this in mind, we will address a common approach to learning styles next.

An effective trainer tries to develop training to meet the three different learning styles¹:

1. **Visual learner.** A visual learner usually has a clear “picture” of an experience. A visual learner often says things such as “I can see what you are saying” or “This looks good.” A visual learner is best reached using graphics, pictures, and figures.
2. **Auditory learner.** An auditory learner learns by sound. An auditory learner might say, “If I hear you right” or “What do you hear about this situation?” The auditory learner will learn by listening to a lecture or to someone explaining how to do something.
3. **Kinesthetic learner.** A kinesthetic learner learns by developing feelings toward an experience. These types of learners tend to learn by doing rather than listening or seeing someone else do it. This type of learner will often say things such as “This feels right.”

Most individuals use more than one type of learning style, depending on what kinds of information they are processing. For example, in class you might be a visual learner, but when learning how to change a tire, you might be a kinesthetic learner.

Delivery Mode

Depending on the type of training that needs to be delivered, you will likely choose a different mode to deliver the training. An orientation might lend itself best to vestibule training, while sexual harassment training may be better for web-based training. When choosing a delivery mode, it is important to consider the audience and budget constrictions. For example, Oakwood Worldwide, a provider of temporary housing, recently won the Top 125 Training Award for its training and development programs². It offers in-class and online classes for all associates and constantly add to its course catalog. This is a major recruitment as well as retention tool for its employees. In fact, the company credits this program for retaining 25 percent of its workforce for ten years or more. Table 7.1 looks at each of the types of training and suggests appropriate options for delivery modes.

Table 7.1: Types of Training and Delivery

Delivery Method	Type of Training Suggested
On-the-job coaching	Technical training
	Skills training
	Managerial training
	Safety training
Mentor	Technical training
	Skills training
	Managerial training
	Safety training
Brown bag lunch	Quality training
	Soft skills training
	Professional training
	Safety training
Web-based	Technical training
	Quality training
	Skills training
	Soft skills training
	Professional training
	Team training
	Managerial training
	Safety training
Job shadowing	Technical training
	Quality training
	Skills training
	Safety training
Job swapping	Technical training
	Quality training
	Skills training
	Professional training
	Team training
	Managerial training
	Safety training
Vestibule training	Technical training
	Quality training
	Skills training
	Soft skills training

Delivery Method	Type of Training Suggested
	Professional training
	Team training
	Managerial training
	Safety training

Budget

How much money do you think the training will cost? The type of training performed will depend greatly on the budget. If you decide that web-based training is the right delivery mode, but you don't have the budget to pay the user fee for the platform, this wouldn't be the best option. Besides the actual cost of training, another cost consideration is people's time. If employees are in training for two hours, what is the cost to the organization while they are not able to perform their job? A spreadsheet should be developed that lists the actual cost for materials, snacks, and other direct costs, but also the indirect costs, such as people's time.

Delivery Style

Taking into consideration the delivery method, what is the best style to deliver this training? It's also important to keep in mind that most people don't learn through "death by PowerPoint"; they learn in a variety of ways, such as auditory, kinesthetic, or visual. Considering this, what kinds of ice breakers, breakout discussions, and activities can you incorporate to make the training as interactive as possible? Role plays and other games can make the training fun for employees. Many trainers implement online videos, podcasts, and other interactive media in their training sessions. This ensures different learning styles are met and also makes the training more interesting.

Audience

Considering your audience is an important aspect to training. How long have they been with the organization, or are they new employees? What departments do they work in? Knowing the answers to these questions can help you develop a relevant delivery style that makes for better training. For example, if you know that all the people attending the training are from the accounting department, examples you provide in the training can be focused on this type of job. If you have a mixed group, examples and discussions can touch on a variety of disciplines.

Content Development

The content you want to deliver is perhaps one of the most important parts in training and one of the most time-consuming to develop. Development of learning objectives or those things you want your learners to know after the training makes for a more focused training. Think of learning objectives as goals—what should someone know after completing this training? Here are some sample learning objectives:

1. Be able to define and explain the handling of hazardous materials in the workplace.
2. Be able to utilize the team decision process model.
3. Understand the definition of sexual harassment and be able to recognize sexual harassment in the workplace.
4. Understand and be able to explain the company policies and structure.

After you have developed the objectives and goals, you can begin to develop the content of the training. Consideration of the learning methods you will use, such as discussion and role playing, will be outlined in your content area.

Development of content usually requires a development of learning objectives and then a brief outline of the major topics you wish to cover. With that outline, you can "fill in" the major topics with information. Based on this information, you can develop modules or PowerPoint slides, activities, discussion questions, and other learning techniques.

Timelines

For some types of training, time lines may be required to ensure the training has been done. This is often the case for safety training; usually the training should be done before the employee starts. In other words, in what time frame should an employee complete the training?

Another consideration regarding time lines is how much time you think you need to give the training. Perhaps one hour will be enough, but sometimes, training may take a day or even a week. After you have developed your training content, you will likely have a good idea as to how long it will take to deliver it. Consider the fact that most people do not have a lot of time for training and keep the training time realistic and concise.

From a long-term approach, it may not be cost effective to offer an orientation each time someone new is hired. One consideration might be to offer orientation training once per month so that all employees hired within that month are trained at the same time.

Development of a dependable schedule for training might be ideal, as in the following example:

1. Orientation is offered on the first Thursday of every month.
2. The second and third Tuesday will consist of vestibule training on management skills and communication.
3. Twice yearly, in August and March, safety and sexual harassment training will be given to meet the legal company requirements.

Developing a dependable training schedule allows for better communication to your staff, results in fewer communication issues surrounding training, and allows all employees to plan ahead to attend training.

Communication

Once you have developed your training, your next consideration is how you will communicate the available training to employees. In a situation such as an orientation, you will need to communicate to managers, staff, and anyone involved in the training the timing and confirm that it fits within their schedule. If it is an informal training, such as a brown bag lunch on 401(k) plans, this might involve determining the days and times that most people are in the office and might be able to participate. Because employees use Mondays and Fridays, respectively, to catch up and finish up work for the week, these days tend to be the worst for training.

Consider utilizing your company's intranet, e-mail, and even old-fashioned posters to communicate the training. Many companies have Listservs that can relay the message to only certain groups, if need be.

Human Resource Recall

What can happen if training is not communicated to employees appropriately?

Measuring Effectiveness

After we have completed the training, we want to make sure our training objectives were met. One model to measure effectiveness of training is the Kirkpatrick model (Kirkpatrick, 2006), developed in the 1950s. His model has four levels:

1. Reaction: How did the participants react to the training program?
2. Learning: To what extent did participants improve knowledge and skills?
3. Behavior: Did behavior change as a result of the training?
4. Results: What benefits to the organization resulted from the training?

Each of Kirkpatrick's levels can be assessed using a variety of methods. We will discuss those next.



Figure 7.2: Kirkpatrick's Four Levels of Training Evaluation

Review the performance of the employees who received the training, and if possible review the performance of those who did not receive the training. For example, in your orientation training, if one of the learning objectives was to be able to request time off using the company intranet, and several employees who attended the training come back and ask for clarification on how to perform this task, it may mean the training didn't work as well as you might have thought. In this case, it is important to go back and review the learning objectives and content of your training to ensure it can be more effective in the future.

Many trainers also ask people to take informal, anonymous surveys after the training to gauge the training. These types of surveys can be developed quickly and easily through websites such as SurveyMonkey. Another option is to require a quiz at the end of the training to see how well the employees understand what you were trying to teach them. The quiz should be developed based on the learning objective you set for the training. For example, if a learning objective was to be able to follow OSHA standards, then a quiz might be developed specifically related to those standards. There are a number of online tools, some free, to develop quizzes and send them to people attending your training. For example, Wondershare QuizCreator offers a free trial and enables the manager to track who took the quiz and how well they did. Once developed by the trainer, the quiz can be e-mailed to each participant and the manager can see how each trainee did on the final quiz. After you see how participants do on the quiz, you can modify the training for next time to highlight areas where participants needed improvement.

It can be easy to forget about this step in the training process because usually we are so involved with the next task: we forget to ask questions about how something went and then take steps to improve it.

One way to improve effectiveness of a training program is to offer rewards when employees meet training goals. For example, if budget allows, a person might receive a pay increase or other reward for each level of training completed.

Training Framework	Plan
Needs Assessment	Formalized New Employee Orientation
Delivery Mode	Vestibule
Budget (per person)	Lunch: \$15 Notebook: \$20
Delivery Style	Discussion, PowerPoints, Icebreaker
Audience	New hires from all departments
Goals and Learning Objectives	• Be able to explain company history and structure • Understand operational company policies • Meet department heads
Timeline	4 hours for training, new employee orientation offered on the 5th and 15th of every month
Communication	E-mail to hiring managers and to new employee
Measurement Method	Interactive team quiz

Training Framework	Plan
Needs Assessment	Sexual harassment training
Delivery Mode	Web based
Budget (per person)	User fee: \$10
Delivery Style	Online modules and online assignments
Audience	Required for all employees
Goals and Learning Objectives	• Understand what constitutes sexual harassment • Know what to do if you are sexually harassed at work
Timeline	1.5 hours, offered every Tuesday at 10:00 a.m. and every Thursday at 3:30 p.m. during the month of February
Communication	Company Listserv, announcement to department heads at weekly meeting
Measurement Method	Online end-of-course quiz

Training Framework	Plan
--------------------	------

Figure 7.3

Once the training framework has been developed, the training content can be developed. The training plan serves as a starting point for training development.

Career Development Programs and Succession Planning

Another important aspect to training is career development programs. A **career development program** is a process developed to help people manage their career, learn new things, and take steps to improve personally and professionally. Think of it as a training program of sorts, but for individuals. Sometimes career development programs are called professional development plans.

Table 7.2: Sample Career Development Plan Developed by an Employee and Commented on by Her Manager

Needs Assessment	Product training
Delivery Mode	Vestibule
Budget (per person)	Materials only online: \$0
Delivery Style	PowerPoint, Role playing
Audience	Salespeople
Goals and Learning Objectives	February 15, 2012 - Understand the features of product xx - Be able to explain the benefits of product xx
Today's Date	
Employee	Sammie Smith
Current job title	Clerk, Accounts Payable
Timeline	New product release is October 1st, so training will be in September. 1 hour. Delivered during regular weekly sales meeting
Goals	- Develop management skills - Learn accounting standards - E-mail list message to salespeople, work with sales manager - Promoted to Accounts Payable Manager
Measurement Method	- Management training - Product xx - Peachtree accounting software Advanced training - Earn AAAS online degree in accounting - Take tax certification course - Communications training
Estimated Costs	
Completion Date	Spring of 2014
Manager Notes: - In-house training offered yearly: "Reading Body Language," and "Writing Development," and "Running an Effective Meeting" - External Training needed: Peachtree software, AAAS Degree, Tax certification Training Course - Assign Sammie to Dorothy Redgur, the CFO for mentorship - Next steps: Sammie should develop a timeline for when she plans to complete the seminars. The budget allows us to pay up to \$1,000 per year for external training for all employees. Talk with Sammie about how to receive reimbursement.	

As you can see, the employee developed goals and made suggestions on the types of training that could help her meet her goals. Based on this data, the manager suggested in-house training and external training for her to reach her goals within the organization.

Career development programs are necessary in today's organizations for a variety of reasons. First, with a maturing baby-boom population, newer employees must be trained to take those jobs once baby boomers retire. Second, if an employee knows a particular path to career development is in place, this can increase motivation. A career development plan usually includes a list of short- and long-term goals that employees have pertaining to their current and future jobs and a planned sequence of formal and informal training and experiences needed to help them reach the goals. As this chapter has discussed, the organization can and should be instrumental in defining what types of training, both in-house and external, can be used to help develop employees.

To help develop this type of program, managers can consider a few components (Heller, 2005):

1. **Talk to employees.** Although this may seem obvious, it doesn't always happen. Talking with employees about their goals and what they hope to achieve can be a good first step in developing a formal career development program.
2. **Create specific requirements for career development.** Allow employees to see that if they do A, B, and C, they will be eligible for promotion. For example, to become a supervisor, maybe three years of experience, management training, and communication training are required. Perhaps an employee might be required to prove themselves in certain areas, such as "maintain and exceed sales quota for eight quarters" to be a sales manager. In other words, in career development there should be a clear process for the employees to develop themselves within the organization.

3. **Use cross-training and job rotation.** Cross-training is a method by which employees can gain management experience, even if for short periods of time. For example, when a manager is out of the office, putting an employee “in charge” can help the employee learn skills and abilities needed to perform that function appropriately. Through the use of **job rotation**, which involves a systematic movement of employees from job to job within an organization, employees can gain a variety of experiences to prepare them for upward movement in the organization.
4. **Utilize mentors.** Mentorship can be a great way for employees to understand what it takes to develop one’s career to the next level. A formal mentorship program in place with willing mentees can add value to your career development program.

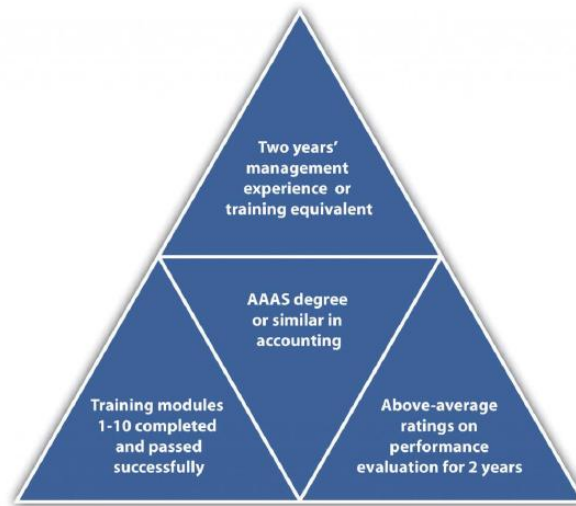


Figure 7.4: Career Development Sample Process to Become an Accounts Payable Manager

There are many tools on the web, including templates to help employees develop their own career development plans. Many organizations, in fact, ask employees to develop their own plans and use those as a starting point for understanding long-term career goals. Then hopefully the organization can provide them with the opportunities to meet these career goals. In the late 1980s, many employees felt that career opportunities at their current organizations dwindled after seeing the downsizing that occurred. It gave employees the feeling that companies were not going to help develop them, unless they took the initiative to do so themselves. Unfortunately, this attitude means that workers will not wait for career opportunities within the company, unless a clear plan and guide is put into place by the company (Capelli, 2010). Here is an example of a process that can be used to put a career development program in place (Adolfo, 2010):

1. Meet individually with employees to identify their long-term career interests (this may be done by human resources or the direct manager).
2. Identify resources within the organization that can help employees achieve their goals. Create new opportunities for training if you see a gap in needs versus what is currently offered.
3. Prepare a plan for each employee, or ask them to prepare the plan.
4. Meet with the employee to discuss the plan.
5. During performance evaluations, revisit the plan and make changes as necessary.

Identifying and developing a planning process not only helps the employee but also can assist the managers in supporting employees in gaining new skills, adding value, and motivating employees.

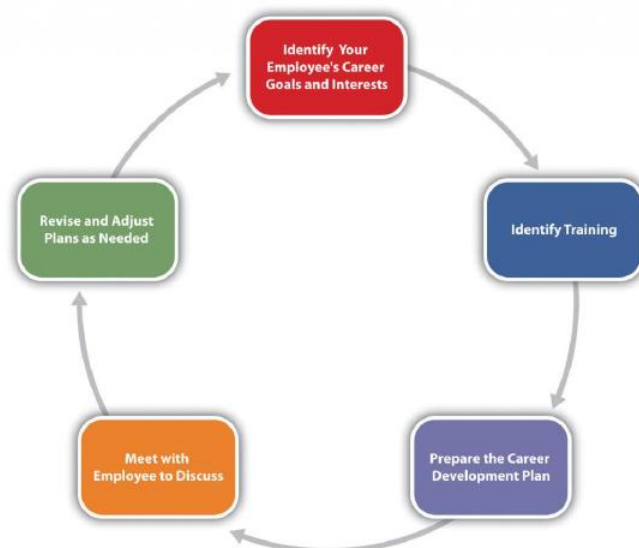


Figure 7.5: Career Development Planning Process

Key Takeaways

- There are a number of key considerations in developing a training program. Training should not be handled casually but instead developed specifically to meet the needs of the organization. This can be done by a needs assessment consisting of three levels: *organizational, occupational, and individual assessments*.
- The first consideration is the delivery mode; depending on the type of training and other factors, some modes might be better than others.
- Budget is a consideration in developing training. The cost of materials, but also the cost of time, should be considered.
- The delivery style must take into account people's individual learning styles. The amount of lecture, discussion, role plays, and activities are considered part of delivery style.
- The audience for the training is an important aspect when developing training. This can allow the training to be better developed to meet the needs and the skills of a particular group of people.
- The content obviously is an important consideration. Learning objectives and goals for the training should be developed before content is developed.
- After content is developed, understanding the time constraints is an important aspect. Will the training take one hour or a day to deliver? What is the time line consideration in terms of when people should take the training?
- Letting people know when and where the training will take place is part of communication.
- The final aspect of developing a training framework is to consider how it will be measured. At the end, how will you know if the trainees learned what they needed to learn?
- A career development process can help retain good employees. It involves creating a specific program in which employee goals are identified and new training and opportunities are identified and created to help the employee in the career development process.

Exercises

1. Develop a rough draft of a training framework using Figure 7.1 for a job you find on Monster.com.
2. Write three learning objectives you think would be necessary when developing orientation training for a receptionist in an advertising firm.
3. Why is a career development plan important to develop personally, even if your company doesn't have a formal plan in place? List at least three reasons and describe.

¹“What's YOUR Learning Style?” adapted from *Instructor Magazine*, University of South Dakota, August 1989, accessed July 28, 2010, <http://people.usd.edu/~bwjames/tut/learning-style/>.

²“Oakwood Worldwide Honored by Training Magazine for Fifth Consecutive Year Training also Presents Oakwood with Best Practice Award,” press release, February 25, 2011, *Marketwire*, accessed February 26, 2011, <http://www.live-pr.com/en/oakwood->

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8: Types of Training

Learning Objectives

1. Be able to explain and give examples of the types of training that can be offered within an organization.

There are a number of different types of training we can use to engage an employee. These types are usually used in all steps in a training process (orientation, in-house, mentorship, and external training). The training utilized depends on the amount of resources available for training, the type of company, and the priority the company places on training. Companies such as The Cheesecake Factory, a family restaurant, make training a high priority. The company spends an average of \$2,000 per hourly employee. This includes everyone from the dishwasher and managers to the servers. For The Cheesecake Factory, this expenditure has paid off. They measure the effectiveness of its training by looking at turnover, which is 15 percent below the industry average (Ruiz, 2006). Servers make up 40 percent of the workforce and spend two weeks training to obtain certification. Thirty days later, they receive follow-up classes, and when the menu changes, they receive additional training (Ruiz, 2006). Let's take a look at some of the training we can offer our employees.

As you will see from the types of training below, no one type would be enough for the jobs we do. Most HR managers use a variety of these types of training to develop a holistic employee.

Technical or Technology Training

Depending on the type of job, technical training will be required. **Technical training** is a type of training meant to teach the new employee the technological aspects of the job. In a retail environment, technical training might include teaching someone how to use the computer system to ring up customers. In a sales position, it might include showing someone how to use the customer relationship management (CRM) system to find new prospects. In a consulting business, technical training might be used so the consultant knows how to use the system to input the number of hours that should be charged to a client. In a restaurant, the server needs to be trained on how to use the system to process orders. Let's assume your company has decided to switch to the newest version of Microsoft Office. This might require some technical training of the entire company to ensure everyone uses the technology effectively. Technical training is often performed in-house, but it can also be administered externally.

Quality Training

In a production-focused business, quality training is extremely important. **Quality training** refers to familiarizing employees with the means of preventing, detecting, and eliminating nonquality items, usually in an organization that produces a product. In a world where quality can set your business apart from competitors, this type of training provides employees with the knowledge to recognize products that are not up to quality standards and teaches them what to do in this scenario. Numerous organizations, such as the International Organization for Standardization (ISO), measure quality based on a number of metrics. This organization provides the stamp of quality approval for companies producing tangible products. ISO has developed quality standards for almost every field imaginable, not only considering product quality but also certifying companies in environmental management quality. **ISO9000** is the set of standards for quality management, while **ISO14000** is the set of standards for environmental management. ISO has developed 18,000 standards over the last 60 years¹. With the increase in globalization, these international quality standards are more important than ever for business development. Some companies, like 3M (QAI, 2011), choose to offer ISO training as external online training, employing companies such as QAI to deliver the training both online and in classrooms to employees.

Training employees on quality standards, including ISO standards, can give them a competitive advantage. It can result in cost savings in production as well as provide an edge in marketing of the quality-controlled products. Some quality training can happen in-house, but organizations such as ISO also perform external training.

Skills Training

Skills training, the third type of training, includes proficiencies needed to actually perform the job. For example, an administrative assistant might be trained in how to answer the phone, while a salesperson at Best Buy might be trained in assessment of customer needs and on how to offer the customer information to make a buying decision. Think of skills training as the things you actually need to know to perform your job. A cashier needs to know not only the technology to ring someone up but what to do if something

is priced wrong. Most of the time, skills training is given in-house and can include the use of a mentor. An example of a type of skills training is from AT&T and Apple (Whitney, 2011), who in summer 2011 asked their managers to accelerate retail employee training on the iPhone 5, which was released to market in the fall.

Continuing Education Matters



A small business owner explains the advantages of offering informal skills training about new products.

Soft Skills Training

Our fourth type of training is called soft skills training. **Soft skills** refer to personality traits, social graces, communication, and personal habits that are used to characterize relationships with other people. Soft skills might include how to answer the phone or how to be friendly and welcoming to customers. It could include sexual harassment training and ethics training. In some jobs, necessary soft skills might include how to motivate others, maintain small talk, and establish rapport.

In a retail or restaurant environment, soft skills are used in every interaction with customers and are a key component of the customer experience. In fact, according to a *Computerworld* magazine survey, executives say there is an increasing need for people who have not only the skills and technical skills to do a job but also the necessary soft skills, such as strong listening and communication abilities (Hoffman, 2007). Many problems in organizations are due to a lack of soft skills, or interpersonal skills, not by problems with the business itself. As a result, HR and managers should work together to strengthen these employee skills. Soft skills training can be administered either in-house or externally.

Professional Training and Legal Training

In some jobs, professional training must be done on an ongoing basis. **Professional training** is a type of training required to be up to date in one's own professional field. For example, tax laws change often, and as a result, an accountant for H&R Block must receive yearly professional training on new tax codes (Silkey, 2010). Lawyers need professional training as laws change. A personal fitness trainer will undergo yearly certifications to stay up to date in new fitness and nutrition information.

Some organizations have paid a high cost for not properly training their employees on the laws relating to their industry. In 2011, Massachusetts General Hospital paid over \$1 million in fines related to privacy policies that were not followed (Donnelly, 2011). As a result, the organization has agreed to develop training for workers on medical privacy. The fines could have been prevented if the organization had provided the proper training to begin with. Other types of legal training might include sexual harassment law training and discrimination law training.



Figure 8.1: Professional training is normally given externally and is usually required for specific professions in which updates occur often, as in the accounting industry. [Wikimedia Commons](#) – public domain.

Team Training

Do you know the exercise in which a person is asked to close his or her eyes and fall back, and then supposedly the team members will catch that person? As a team-building exercise (and a scary one at that), this is an example of team training. The goal of team training is to develop cohesiveness among team members, allowing them to get to know each other and facilitate relationship building. We can define **team training** as a process that empowers teams to improve decision making, problem solving, and team-development skills to achieve business results. Often this type of training can occur after an organization has been restructured and new people are working together or perhaps after a merger or acquisition. Some reasons for team training include the following:

- Improving communication
- Making the workplace more enjoyable
- Motivating a team
- Getting to know each other
- Getting everyone “onto the same page,” including goal setting
- Teaching the team self-regulation strategies
- Helping participants to learn more about themselves (strengths and weaknesses)
- Identifying and utilizing the strengths of team members
- Improving team productivity
- Practicing effective collaboration with team members

Team training can be administered either in-house or externally. Ironically, through the use of technology, team training no longer requires people to even be in the same room.

Human Resource Recall

What kind of team training have you participated in? What was it like? Do you think it accomplished what it was supposed to accomplish?

Managerial Training

After someone has spent time with an organization, they might be identified as a candidate for promotion. When this occurs, **managerial training** would occur. Topics might include those from our soft skills section, such as how to motivate and delegate, while others may be technical in nature. For example, if management uses a particular computer system for scheduling, the manager candidate might be technically trained. Some managerial training might be performed in-house while other training, such as leadership skills, might be performed externally.

For example, Mastek, a global IT solutions and services provider, provides a program called “One Skill a Month,” which enables managers to learn skills such as delegation, coaching, and giving feedback. The average number of total training days at Mastek is

7.8 per employee² and includes managerial topics and soft skills topics such as e-mail etiquette. The goal of its training programs is to increase productivity, one of the organization's core values.

Safety Training

Safety training is a type of training that occurs to ensure employees are protected from injuries caused by work-related accidents. Safety training is especially important for organizations that use chemicals or other types of hazardous materials in their production. Safety training can also include evacuation plans, fire drills, and workplace violence procedures. Safety training can also include the following:

- Eye safety
- First aid
- Food service safety
- Hearing protection
- Asbestos
- Construction safety
- Hazmat safety

The **Occupational Safety and Health Administration**, or OSHA, is the main federal agency charged with enforcement of safety and health regulation in the United States. OSHA provides external training to companies on OSHA standards. Sometimes in-house training will also cover safety training.

Starbucks Training Video

This is a short video Starbucks uses to train new employees on customer service.



Key Takeaways

- There are several types of training we can provide for employees. In all situations, a variety of training types will be used, depending on the type of job.
- *Technical training* addresses software or other programs that employees use while working for the organization.
- *Quality training* is a type of training that familiarizes all employees with the means to produce a good-quality product. The ISO sets the standard on quality for most production and environmental situations. ISO training can be done in-house or externally.
- *Skills training* focuses on the skills that the employee actually needs to know to perform their job. A mentor can help with this kind of training.
- Soft skills are those that do not relate directly to our job but are important. *Soft skills* training may train someone on how to better communicate and negotiate or provide good customer service.

- *Professional training* is normally given externally and might be obtaining certification or specific information needed about a profession to perform a job. For example, tax accountants need to be up to date on tax laws; this type of training is often external.
- *Team training* is a process that empowers teams to improve decision making, problem solving, and team-development skills. Team training can help improve communication and result in more productive businesses.
- To get someone ready to take on a management role, *managerial training* might be given.
- *Safety training* is important to make sure an organization is meeting OSHA standards. Safety training can also include disaster planning.

Exercises

1. Which type of training do you think is most important for an administrative assistant? What about for a restaurant server? Explain your answer.
2. Research OSHA. What are some of the new standards and laws it has recently developed? Outline a training plan for the new standards.

¹“The ISO Story,” International Organization for Standards, accessed July 26, 2010, www.iso.org/iso/about/the_iso_story/iso_story_early_years.htm.

²Mastek website, accessed July 30, 2011, <http://www.mastek.com/careers/learning-development.html>.

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9: Continuous Learning

Learning Objectives

- Understand how continuous learning can help you achieve career and personal success.

Continuous learning involves the process of constantly trying to update skills and learn new ones. This shows high emotional intelligence in the area of self-awareness and self-management (“I know I need to learn this new skill to be more valuable to my employee or to be more productive in my personal life”). Having self-awareness, or knowing our strengths and weaknesses, is the first step in improving our chances for career and personal success. Once we are aware (self-aware) of our weaknesses, we can better choose areas in which we would like to learn. For example, if Anton knows he isn’t very good at giving presentations, being able to recognize this is self-awareness. Then, finding opportunities to work on this, such as joining a Toastmasters club, shows emotional intelligence in the area of self-management. Anton recognized his weakness and finds ways to improve his abilities.

People who often learn new skills tend to be happier individuals and more value to their organizations. For example, Zappos, a shoe retailer based in Seattle, Washington, maintains a “Wishz” list. Employees post things they are interested in learning, such as how to cook an ethnic dish, and they are connected with other members in the organization who have these skills. This focus on continuous learning makes for happier employees, which makes for more productive workers. In a study by Kansas State University, it was estimated that happy workers are in fact, more productive. The study found that employees who are psychologically distressed cost \$75+ per week to the organization.^[1]

Learning new skills such as taking a pottery class or learning to ski or surf can help people increase happiness, which in turn can build self-confidence. This confidence can result in a richer and more fulfilling life since we learn new things that we enjoy doing.

Most people who find career success have a habit of being curious and interested in a variety of topics that can enhance their personal lives but also their professional lives, too. As management guru Brian Tracy points out, continuous learning is one of the “nine disciplines” to being successful.^[2] But what does it mean to learn continuously? There are several ways we can learn, as depicted in Figure 9.1.

Seminars and Workshops	Attending a workshop can improve skills in a specific area. It could be related to your field or completely unrelated.
Read	Books, magazines, and websites about your industry can keep you abreast of any changes. Listening to educational programs on your iPod while running or in your car, for example, can enhance learning.
Conventions	Attending conventions in your field can broaden knowledge and provide important contacts and networking opportunities.
Coaching and Mentoring	If your company does not have a formal mentoring program, find someone who you admire and someone who is successful and learn from them.
Travel	Travel helps broaden our experience.
Socially	Spend time with friends! We can learn about ourselves through our friends and close relationships.

Figure 9.1 Some Suggestions for

Continual Learning

From a career perspective, if we choose not to learn continuously, we end up being stale in both our skills and abilities. Since most industries change so quickly, it is likely our current skills will be outdated in five to ten years. This means we need to constantly update to understand the next set of skills we need to be successful. In addition, sometimes we have to “unlearn” skills as new and better ways evolve. For example, if you have golfed before, you may mimic the golf swings you see on television when you go out to play. Although this swing may work for you for some time, you may get to a point where you want to improve, so you take a lesson from a golf pro. The golf pro looks at your swing and offers advice on how to improve distance and accuracy. In this case, you may have to “unlearn” your old swing in order to improve your golf game. Unlearning can apply to all aspects of our life, not just sports. When things in an organization change, it can be challenging to unlearn the old way and be comfortable with the new way of doing things. Unlearning means you may have to let go of an old way of doing something that may have worked for a long period of time. For example, Parelli Natural Horsemanship program requires training participants to start from square one when learning how to train their horse.^[3] The idea is they need to “unlearn” their old ways of training their horse in order to become effective at the sport. So no matter if someone has ten years of experience with horses or zero years, everyone goes back to basics. This can happen in organizations, too. For example, an organization that had high sales in 2007 had to unlearn their way of doing business before the recession in order to continue being successful. A new economy has required relearning of how to operate with many economic changes. In society today, the ability to learn, unlearn, and then learn again can happen over a span of a few months rather than many years. For example, many organizations get “stuck” on a specific way of doing things, and when those things are unlearned, the company can begin to move forward and learn the new way of doing things.

Many organizations value people who can show their focus and dedication to continually learning and unlearning. For example, the Office of Personnel Management of the US Fish and Wildlife Service employs over 9,000^[4] people. Because of their large staff, they have identified twenty-eight leadership competencies, one of which is continual learning. Continual learning is important

because it makes us more valuable to our employers, which can result in promotions, higher salary, and more responsibility as we grow our career.

Brian Tracy Talks about Continuous Learning

(click to see video)

Brian Tracy, management guru, discusses the importance of continuous learning in entrepreneurship.

Continual Learning

Continual learning is valued and expected at all levels with the Fish and Wildlife department. US Fish and Wildlife Service, National Conservation Training Center website. Accessed March 6, 2012, <http://nctc.fws.gov/led/competencymodel/Foundational/continuallearning.html>

Continual Learning Element	Distinguishing behaviors for employees, supervisors, and upper-level management
Values learning and takes initiative to build knowledge and skills.	For All Employees:
	Strives for continuous improvement and is actively engaged in exploring new ideas and concepts.
	Seeks out and engages in self-improvement activities.
	Spends time learning from others.
	Creates time within and away from the job to learn.
	Seeks challenging assignments and unfamiliar tasks.
	Seeks out new developments, techniques, and advances in knowledge and ideas.
	Seeks out new approaches, tools, and methods in their own field of expertise.
	Maintains professional certification or license, if appropriate.
	Additional for First Appointment Leaders and Above:
	Encourages and supports professional growth including pursuit of appropriate certifications and licenses.
	Gives others the autonomy to approach issues in their own way, including the opportunity to make and learn from mistakes.
	Additional for Midlevel Leaders and Above:
	Invests in the further development of personal supervisory skills, in better understanding the issues and needs that affect customers, and in their own field-specific expertise.
	Reinforces knowledge, skills, and new behaviors gained through training and development by helping employees apply them on the job.
Is reflective and learns from mistakes.	Additional for Senior Leaders and Above:
	Models continuous self-development.
	Adds to managerial knowledge, strategic thinking, financial planning and analysis, as well as skills in supporting a learning organization.
	Additional for Executives:
	Continually updates their own and others' awareness of the organization and the big picture context within which we work.
	For All Employees:
	Analyzes both successes and failures for clues to improvement.
	Is resilient toward setbacks and failures, analyzing them for lessons learned and building on them.
	Confronts problems instead of avoiding them.
	Additional for First Appointment Leaders and Above:
	Uses after-action reviews to assess performance.

Continual Learning Element	Distinguishing behaviors for employees, supervisors, and upper-level management
	Additional for Midlevel Leaders and Above: Uses a variety of approaches to analyze and understand how actions led to certain outcomes and how to improve one's approach to similar situations in the future. Is open about mistakes and failure with self and others. Contributes to procedures that enable the organization to learn from past actions. Additional for Senior Leaders and Above: Plans, implements, and learns from program and policy evaluation strategies. Additional for Executives: Ensures that new organizational policies, programs, procedures, and services are built to incorporate and profit from lessons learned. Ensures that stakeholders understand results of policy and program evaluation.
Assesses gaps in knowledge and skill in self and in others.	For All Employees: Assesses their own strengths and weaknesses. Actively seeks feedback on their performance. Understands their strengths and potential "fatal flaws" in knowledge and performance. Additional for First Appointment Leaders and Above: Recognizes and addresses team and team member strengths and potential "fatal flaws" in knowledge and performance. Draws on individual team member strengths rather than weaknesses to fashion assignments and help develop others in the team. Gives decision making authority to the team, where appropriate. Avoids taking over all decisions. Rewards and recognizes the good use of team skills, not just individual contributions. Additional for Midlevel Leaders and Above: Measures current skills and knowledge against competencies needed for continuing success and to meet future problems. Evaluates the impact of training on performance.
Understands the value of knowledge sharing.	For All Employees: Actively seeks learning in areas beyond their own technical expertise in order to become a broader resource. Participates actively in professional associations(s).

Continual Learning Element	Distinguishing behaviors for employees, supervisors, and upper-level management
	Additional for First Appointment Leaders and Above:
	Networks with others and supports team networking to share resources and knowledge and builds upon rather than replicate the work of others.
	Additional for Midlevel Leaders and Above:
	Coaches and mentors employees.
	Fosters knowledge sharing and learning across units.
	Actively engages in partnering activities that align common goals and services.
	Serves as a source of wisdom and expertise on technical and organizational matters for employees.
	Additional for Senior Leaders and Above:
	Applies tools and techniques of knowledge management to share learning widely across the organization.
	Identifies best practices from high-performance organizations with similar missions.
	Helps the organization learn from customers and stakeholders and translates that learning into improved ways of performing.
	Additional for Executives:
Demonstrates knowledge of learning styles and uses a variety of strategies to close learning gaps.	Develops processes and/or systems to ensure that what is learned in training or practice is shared throughout the organization and applied to work activities and strategic planning.
	Cooperates and/or networks across disciplinary, organizational, agency and public/private boundaries to establish and reach common understanding on issues and opportunities.
	Promotes benchmarking and other techniques that help an agency build upon best practices.
	Broadly communicates throughout the organization the need to understand others' viewpoints, agendas, values, constraints, and behaviors and be willing to take others' ideas into consideration.
	For All Employees:
	Crafts and uses for their own development a variety of learning approaches, including formal course work, reading, talking with others, attending formal training, shadowing, detail assignments, and on-the-job experiences.
	Understands their preferred learning style and methods.
	Uses the IDP to link assessments, career goals, and organizational strategies to personal development plans.
	Works to deploy strengths.
	Additional for First Appointment Leaders and Above:

Continual Learning Element	Distinguishing behaviors for employees, supervisors, and upper-level management
	Supports the team's use of a variety of learning methods, including reading, talking with others, after-action reviews, attending formal training, and on-the-job experiences. Shows insight into individuals' learning profiles and styles when making assignments or devising developmental strategies. Identifies and makes assignments that challenge team members to stretch their abilities and self-confidence. Additional for Midlevel Leaders and Above: Creates and makes developmental assignments to stretch and foster learning and development in employees. Delegates responsibility and decision making to lower levels to develop employees. Ensures that all employees have an IDP (individual development plan). Links IDPs and developmental assignments to current and future organizational needs.
Understands the concept of knowledge management and leads knowledge management efforts.	For Senior Leaders and Executives: Creates an environment that facilitates knowledge sharing, learning, and networking, which can support change. Builds the organization's capacity to learn, improve, anticipate, and meet new challenges. Designs, implements, and orchestrates knowledge management strategies and initiatives throughout the organization.
Integrates the development of human capital into strategic planning and creates an integrated approach to address current problems and meet emerging demands.	For Senior Leaders and Above: Assesses organizational skills and strengths against current and future requirements. Manages expenditures for training and development as investments that maximize the value of human capital plans strategically for changing organizational needs in skills and knowledge.

Everyone should consider creating a plan to help them develop their talents and create new skills. The plan might include the following:

- What skill(s) do I want to develop?
- What time frame will I give myself to develop them?
- How much time per week/month can I devote?
- What methods will I use? For example, seminars, classes, and so on.

As we learned in the earlier section on goal setting, being specific and writing down those new skills and abilities you want to develop can tend to make it more of a priority, which can result in more personal and career success.

Key Takeaways

- *Continuous learning* is the process of learning new things to enhance yourself professionally and personally.
- Continuous learning can help increase personal happiness and career success.

- One can engage in continuous learning by taking seminars, workshops, reading, working with a mentor, attending conventions, socializing, and traveling.
- Some organizations, such as the Department of Fish and Wildlife, make continuous learning a part of leadership career pathways.

Exercise 9.1

What new skills would you like to learn? Write down at least five new skills you would like to learn personally. Then write down five new skills you would like to learn for your career. Identify all of the options that can help you develop these new skills.

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10: Assessing Resource Needs

Learning Objectives

By the end of this section, you will be able to:

- Describe the components of the PEST framework (political, economic, sociocultural, and technological factors)
- Apply the PEST framework to assessing resource needs
- Understand how to assess typical resource costs at startup

As you venture into planning the resource allocation for your enterprise, you will learn that there are a variety of tools that can help you. It is important prior to launch to identify the minimum resources needed for startup. Some businesses will require more capital equipment (such as production machines); some require more technological resources, such as software (or software designers); some companies may require a lot of funding at the beginning of their quest, whereas some will require only a small investment of money. The level of resources needed for an enterprise changes over time, as well.

As the entrepreneur goes through the brainstorming process to identify the feasibility of the idea, they can simultaneously begin to think practically about what they will need to make this business operational: What raw materials are needed to manufacture the product? How many employees are needed at each phase? Will a physical site be necessary, and, if so, where will it reside?

Narrowing down the minimum resource needs of the enterprise in response to some or all of these questions is essential to a successful business launch. The entrepreneur can gather information and make an informed decision on what needs have to be covered at the beginning of the venture. This information can be condensed into the business plan, marketing plan, or pitch that can be shared with stakeholders. The information gleaned from the stakeholders' responses to the plans informs not only the entrepreneur and stakeholders internal to the business, but external stakeholders such as banks, investors, suppliers, vendors, and partners. The information is essential for the decision-making process. One tool that can help ensure that planning is comprehensive and well thought through is the PEST framework.

PEST Framework

The **PEST framework** is a strategic assessment tool that entrepreneurs can use to identify factors that may influence access to essential resources. PEST is an acronym for political, economic, sociocultural, and technological factors ([Figure 14.10](#)).

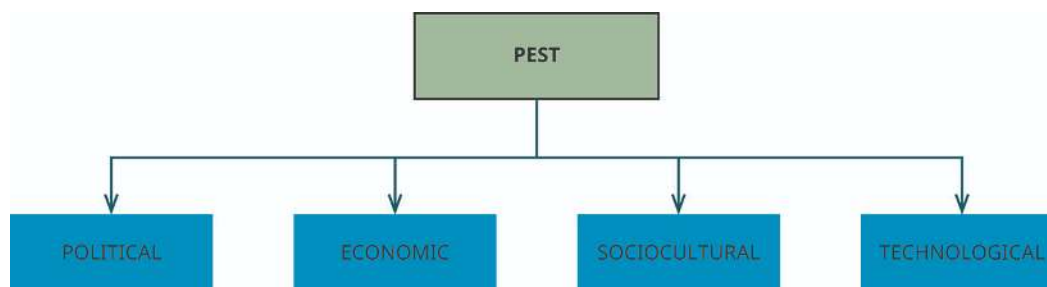


Figure 10.1: Gaining an understanding of these four factors can help entrepreneurs gauge access to important resources. (CC BY 4.0; Rice University & OpenStax)

LINK TO LEARNING

Watch the [video about PEST](#) to learn more. Why is it important to look at the outside environment? How does the PEST analysis work?

Political Factors

Although you may hope to be your own boss, make your own schedule, and follow your own rules, you must still work within the realities of outside factors that affect your business. **Political factors** stem from changes in politics, such as the policies of a new presidential administration or congressional legislation. Such policies can affect access to capital, labor laws, and environmental regulations. Moreover, these political changes can take place on federal, state, and local levels. [Figure 14.11](#) lists several political

factors that can influence a business. Tax reform law, for example, could influence the amount of taxes a business owes, while actions by the newly appointed chair of the Federal Reserve could affect how much capital may cost the small business owner because of interest rate changes.

SOME POLITICAL FACTORS INFLUENCING RESOURCES
• Tax laws • Interest rates • Protections/regulations • Labor expenses • Inflation • Insurance costs • Benefits costs • Environmental laws

Figure 10.2: Businesses must follow all laws and regulations, but political factors such as the ones listed here can influence the profitability of the organization. (CC BY 4.0; Rice University & OpenStax)

Recently, the 2017 Tax Cuts and Jobs Act changed corporate tax rates, as well as the payments businesses make quarterly to the Internal Revenue Service (IRS). Other changes included the expansion of certain deductions and tax credits (including which specific business expenses can be deducted), and a new method to depreciate assets, as well as other rules related to employees who help businesses receive credits and minimize taxes.¹⁹

Businesses must also follow environmental laws, such as those from the Occupational Safety and Hazard Association²⁰ and the Environmental Protection Agency (EPA).²¹ For example, these government agencies require businesses to train employees about materials that may be hazardous to people and provide notices and reports on these matters. The EPA also has regulations on air and water emissions that businesses must follow, as improper disposals can harm the environment. Smaller businesses may be exempt from some of the regulations under certain circumstances.

Imported products are regulated by the federal government through quotas and tariffs. Tariff laws have been used as political instruments to manage the flow of goods between countries. **Tariffs** are taxes or duties that are added to imported goods from another nation. **Quotas**, a limit on the number of items entering a country, are also used to restrict the volume of goods entering a country. For example, the US government in 2019 imposed tariffs on \$550 billion of Chinese products, while China has imposed tariffs on \$185 billion worth of US products. While it is likely that this ongoing trade dispute will be resolved, free trade remains an ongoing source of international economic competition.²²

For example, business owner Daniel Emerson, CEO of light manufacturer Light and Motion, described in a National Public Radio (NPR) interview that the latest round of tariffs on materials from China might push him to open a manufacturing plant overseas. Light and Motion manufactures lights for bicycles, headlamps, drones, and media production. According to Emerson, in order to get his parts from China, he has to pay the US government for importing them. He states that these tariffs might destroy his company, as his main competitors in China and other countries don't face those tariffs; therefore, his prices are forced higher. Emerson might have to move his company to the Philippines, which has no tariffs. He'll have to build them there and ship the completed lights to the United States.²³ As an entrepreneur, you should remain aware of political issues that may impact your operations and planning.

Economic Factors

Entrepreneurship has a direct impact on the economy by providing employment opportunities to many people. However, economic factors can also affect the success of a business. For example, they can deter customers from purchasing goods and services due to an economic downturn. On the other hand, when the economy is expanding and growing, people tend to feel confident about their jobs and income, and they may spend more than usual. **Economic factors**—which include inflation rates, interest, currency exchange (if the business operates or engages globally), state of the economy (growth or decline), employment rates, and

disposable income—can impact the business owner’s pricing of goods or services, the demand for such services, and the cost of production.

Taking the state of the economy, for example, when the economy is down, restaurants will see a decline in clientele as more people prepare meals at home to save money, or they will switch from fine dining restaurants to more casual or fast-food restaurants. In weak economies, consumers tend to purchase store (often called “private label”) brands more often than national brands to reduce their grocery bill. When the economy is healthy, consumers spend more on entertainment and restaurants, which can be considered luxury items. The restaurant will need to adjust its resources to meet the economy-driven fluctuating demand. When demand is high, it is likely that the restaurant will need more supplies and more employees. These needs, in turn, result in the restaurant needing additional financial resources to buy more supplies and to pay employees. When demand is low, the opposite is true.

Sociocultural Factors

Knowing about your customers is key to delivering what they really want. Additional factors that need to be taken into consideration include changes in how society is moving and the direction of that movement as it relates to your customer base and potential new markets. These **sociocultural factors** include population growth rates, changes in where people live, social trends such as eating healthier and exercising, education levels, generational trends (millennial, baby boomer, or Gen X and Y), and religious culture. These factors can affect not only the seven Ps you learned about in the [Entrepreneurial Marketing and Sales](#) chapter, but also resource assessment more specifically. It is necessary to look at these factors closely in order to allocate marketing resources optimally. For example, if you are opening a restaurant and you see an increasing trend in healthy food, you may want to allocate your resources to fresh ingredients or more vegetarian and vegan options.

One far-reaching sociocultural factor is the impact that digital shopping has had on brick-and-mortar retailers. This online shopping trend has forced long-established companies such as JCPenney, Payless, Gap, Victoria’s Secret, Radio Shack, Macy’s, and Sears, to close thousands of stores, file for bankruptcy, or shut down the business altogether. These companies have faced enormous competition from entities such as Amazon and smaller businesses such as ModCloth and Birchbox that interact with customers virtually and stay on top of societal trends. Younger generations such as the Y and Z generations have triggered these social changes, as they are technologically savvy and expect to find exactly what they want, where they want it, and when they want it.

Technological Factors

In the case of **technological factors**, the enterprise needs to be sure it has equipment that allows it to operate efficiently. There are different types of technology that help with marketing, finances, productivity, collaboration, design, and production.

Being able to use technology to meet the needs of the customer, such as having an informational or an e-commerce website (so the customer can purchase from the comfort of home) is a “must” these days for most ventures. Digital marketing has allowed entrepreneurs to promote their businesses in many different ways, through e-mail marketing, digital ads on search engines such as Google or Bing, websites, social media groups, YouTube videos, and blogs. These tools are easy to use, available, and can be affordable, even on a shoestring budget.

WORK IT OUT

Social Media as a Resource

Leveraging social media technology is essential to building your brand and awareness in today’s digital society. Create an idea sheet for a Facebook page for your Helios solar panel enterprise, which was mentioned earlier in the chapter. What are the types of information you want to include? Do you want the page to be operational or just informational? Will this social media tool be used as the main source for customers to learn about your business or will it be a supplemental tool to create deeper relationships?

Other technology can also be helpful in managing payments from customers, billing, human resources payments, and keeping the books. QuickBooks is a popular software program that a starting entrepreneur can purchase and use to manage the company’s financials. Other products are available too—ZOHIO Books, FRESH Books, GoDaddy Bookkeeping, and Kashoo—each has pros and cons.

Other types of software such as UAttend help small businesses keep track of their employees' time and productivity, and Basecamp helps entrepreneurs keep track of the projects that everyone is working on, while allowing them to collaborate with each other and keep track of what is happening. These tools can make it easy for an entrepreneur to manage a project with contractors or employees.

Other technology that needs to be taken into consideration if you are manufacturing a product includes the tools and equipment that will create goods and services. Some examples are CAD (computer-aided design), 3-D printing for developing quick prototypes (Figure 14.12), CAM (computer-aided manufacture), robots, and new materials that allow faster and cheaper production of goods. 3-D printing, for example, is a manufacturing process that uses a technique of adding layers of material to create rapid prototypes. It can be used to create prototypes of products, toys, architectural models, prosthetics, tools, fashion, automotive parts, and even final products like homes, as in the case of New Story.²⁴ The use of prototyping allows for creativity, and these newer technologies allow users to create many prototypes. Nike, for example, uses 3-D printing to make their prototypes because it is faster than waiting for a full prototype to go through the manufacturing process. Using these technologies for prototyping can also avoid the expense of building the actual product, allow for the final product to be refined quickly, and help in the reduction of manufacturing errors.

The drawback is that some of these technologies can be expensive to purchase, and it can take a long time to recuperate the cost. (However, when wages and benefits costs rise quickly, they can pay for themselves rather quickly.) Entrepreneurs must be sure to acquire only those tools and materials that will help them get started. Then, as the business thrives, more funding is available for more expensive equipment and software. Entrepreneurs then need to have the skills and knowledge to operate specific software and consider upgrades and replacement costs. Questions include: What about support services? How long will support last? If the entrepreneur updates the PC, will the old software run on the new operating system? Can the data be easily copied to the new operating system or software program?

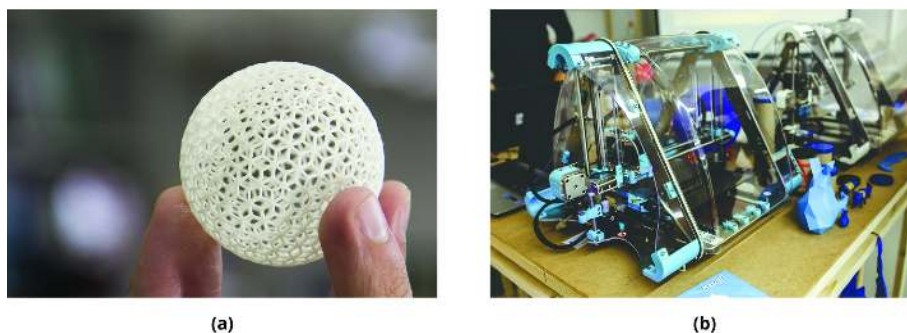


Figure 10.3: 3-D printing allows companies to develop prototypes quickly before investing substantial resources. (a) A 3-D sphere, for example, can be created using (b) a 3-D printer. (credit (a): modification of “ball 3d printing design” by “metalurgiamontemar0”/Pixabay, CC0; credit (b): modification of “3d printer printing technology” by “kaboompics”/Pixabay, CC0)

Assessing Resource Costs for Startup

Starting a business can be an exciting event, and one that requires thoughtful planning. Resource planning can help determine start-up costs, which helps determine an estimate of breakeven sales, profits, what types of funding to use, and how to plan for future expenses like tax payments. According to the SBA business guide,²⁵ there are several steps you should take to determine startup costs for different types of businesses.

First, figure out the type of business you want to open: brick and mortar, online, or services. Brick-and-mortar businesses have physical locations where a customer may purchase a product in one or several locations. Online businesses operate through e-commerce websites and sell products and services virtually. These may or may not also have a physical location. Service businesses provide services rather than a tangible product. Also, consider the type of business structure you will have (see [Business Structure Options: Legal, Tax, and Risk Issues](#)).

Next, make a cost list like the one in [Table 14.5](#). There could be additional costs based on the resource needs identification discussion in [Types of Resources](#). Many of the costs will be easy to determine, but others—like salaries, insurance, and improvements—might be more difficult to estimate. You can consult research sites, local business resources (such as the chamber

of commerce), or speak to mentors or consultants (such as SCORE) for more guidance on how to estimate these numbers. Also see [Building Networks and Foundations](#) to see how industry professionals can help determine startup costs ([Table 14.5](#)).

Table 14.2.1: Examples of Common Costs Related to Starting a Business

Types of Costs	Examples for a Fictional Marketing Consulting Firm
Physical space for an office, building, factory	10' × 15' office space downtown building
Real estate, land	None
Furniture and fixtures	Two small desks, six chairs
Inventory	None
Equipment and supplies	Computers, color printer/copier/scanner, paper, ink, office supplies
Vehicles	Personal cars
Utilities	Electric, heat/air conditioning, water, cell/Internet
Rent/utility deposits	Rent, utility deposits
Licenses and permits	Business LLC license
Insurance for business and vehicles	Owned personally
Accountant and lawyer fees	Accountant and lawyer
Employee salaries and wages	One part-time assistant, one web developer
Advertising and promotion	One radio commercial
Market research	Customer databases
Printed marketing materials	Stationary, brochures, business cards
Digital marketing	Website, social media, e-mail marketing
Memberships	Chambers of commerce/networking groups

Determine the estimated cost for each item. Once the list has been developed, finding out what each of those items costs will allow you to make an estimate of your basic needs. A good source of information is the US Bureau of Labor, which publishes a list of occupations and their wages and benefits by location and profession. Some costs may have a range to consider, and a decision tree such as the one shown in [Figure 14.6](#) may be helpful. Many state governments have a labor and workforce department that tracks wages and employment data for specific industries and professions on an annual basis.

After you have identified all of the costs, determine which ones are one-time costs (pre-launch costs) and which will be ongoing costs (typically monthly, quarterly, or annual). **Pre-launch costs** include everything you must have before opening the door of your business to the public. These include licenses and business permits, marketing materials, equipment, and inventory. Ongoing costs, on the other hand, are recurring. These may include rent, utilities, certain ongoing marketing costs like digital ads, and salaries. It is suggested to have at least one to two years of saved monthly expenses to make sure you give the business time to create a brand and a customer base. Add up your total pre-launch costs and your monthly costs to identify of how much capital you will need to start your business.

You should include this information in the financial section of your business plan. This data can help provide a clear picture of expenses and future revenues that banks and venture capitalists may find useful in making decisions about investing in your business.

Startup costs — Joe's Pizza Place

This worksheet is set up for a fictional business, Joe's Pizza Place. Use it to get started calculating the startup costs for your own business. Change expense categories or add new ones to fit your business. Enter one-time and monthly expenses in the appropriate columns. Your estimations should go into the Budget column, and the exact amount spent should go into the Actual column. Total funds required is the total estimated amount you need to start your company.

One-time expenses	Budget	Actual
Rent		
Security deposit	1,200.00	
First month's rent	1,200.00	
First month's utilities (including phone and Internet)	250.00	
Improvement costs		
Kitchen improvements	800.00	
Tables and furniture	1,500.00	
Utensils, dishes, and kitchen and bar equipment	350.00	
Inventory		
Food	1,250.00	
Beverage	700.00	
Alcohol	900.00	
Miscellaneous		
Licenses and permits	150.00	
Legal fees	300.00	
Signage	550.00	
Technology	300.00	
Software	400.00	
Total one-time expenses	9,850.00	0.00

Monthly expenses	Budget	Actual
Rent		
Monthly rent	1,200.00	
Property insurance	300.00	
Utilities	250.00	
Employees		
Payroll	3000.00	
Payroll taxes	1,250.00	
Health insurance	650.00	
Professional services		
Accounting	200.00	
Legal	250.00	
Consultants	200.00	
Other	50.00	
Supplies		
Office supplies	150.00	
Operating supplies	200.00	
Marketing		
Digital advertising	350.00	
Promotional materials	400.00	
Miscellaneous		
Liability insurance	400.00	
Repairs and maintenance	200.00	
Organizational dues	75.00	
Total monthly expenses	9,125.00	0.00

Source: modification of "Startup Costs Worksheet." Small Business Administration (SBA). n.d.
<https://www.sba.gov/sites/default/files/2017-07/Startup%20Costs%20Worksheet.pdf>

Figure 10.4: This template from the Small Business Administration (SBA) is designed to help you capture the one-time and ongoing costs for your resource needs. Adding your total one-time expenses to your total monthly expenses will help you calculate your start-up costs (you should generally plan ahead for a few years of monthly expenses). (CC BY 4.0; Rice University & OpenStax)

ARE YOU READY?

Specialty Pizzeria Costs

Imagine that you are interested in opening a pizza parlor in your town. Your idea is to provide specialty dietary choices such as vegan and gluten-free pies in addition to regular pies. You would like to open it in a new, busy shopping area where you can reach your target market.

Download the SBA's business worksheet to figure out your one-time and monthly costs for your business:
<https://www.sba.gov/sites/default/files/2017-07/Startup%20Costs%20Worksheet.pdf>.

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11: Training Development and Rewards

What you'll learn to do: discuss effective approaches to training, developing, and rewarding employees

In this section you'll learn about employee training, professional development, performance appraisals, and employee compensation.

Learning Objectives

- Describe different approaches to professional development
- Summarize different forms of employee compensation

Training and Professional Development

A medieval baker with his apprentice

In the late Middle Ages, craft guilds allowed master craftsmen to employ young people as an inexpensive form of labor in exchange for food, lodging, and formal training in the craft. Consequently, if a young man or woman wanted to obtain skills as a craftsman, he or she would spend at least seven years as an apprentice, supervised by a master craftsman before being released to work independently. Clearly the world of work has changed and so has the way that individuals obtain and hone their workplace skills.



Training

Training is teaching, or developing in oneself or others, any skills and knowledge that relate to specific useful competencies. Training has specific goals of improving one's capability, capacity, productivity, and performance. In business, training is the investment of resources in the employees of a company so they are better equipped to perform their job. The types of resources invested may include time and money to develop, implement, and evaluate training programs.

Benefits of Training

Training can be a source of a competitive advantage for a company. The primary benefit to the company is the result of an accumulation of smaller benefits. Training provides greater skill and knowledge to employees, which translate to improved job performance. Improved job performance, in turn, means greater efficiency, fewer errors, better productivity. The end result is reduced costs and higher profits. The company is not the only beneficiary of employee training, though; the employee can realize rewards, too.

The well-trained employee acquires an advantage for him- or herself. By participating in training, employees can deepen or expand their existing skill set and increase their understanding of the organization. In addition, a well-trained employee may be able to take advantage of internal promotion opportunities and becomes more marketable if he or she leaves the company. Other potential benefits are listed below:

- Increased job satisfaction and morale among employees
- Increased employee motivation
- Increased efficiencies in processes, resulting in financial gain
- Increased capacity to adopt new technologies and methods
- Increased innovation in strategies and products
- Reduced employee turnover
- Enhanced company image, e.g., building a reputation as a “great place to work”
- Risk management, e.g. training about sexual harassment, diversity training^[1]

Need for Training

The need for training exists in every business. However the nature of training varies depending on the type of business and operations involved. For example, a manufacturing company may have a need for technical skills training while an insurance company may emphasize customer service training. So, how does a company determine what sort of training is needed? The

process begins with a **training needs assessment**. A training needs assessment is a systematic and objective analysis of both the employee and organizational knowledge, skills, and abilities to identify gaps or areas of need.

Generally, training needs assessments are conducted as follows:

1. **Identify the need.** In this first step, the assessor looks for answers to questions such as: Why is the needs assessment being conducted? What is the desired result? What issues are trying to be addressed? Will training alone resolve the issues?
2. **Perform a gap analysis.** This involves comparing current knowledge, skills, and abilities against company standards. Training assessors may use HR records, interviews, questionnaires, or observation to identify gaps.
3. **Assess training options.** Once completed, the assessment will present a list of options for training that management can evaluate based on criteria such as cost and duration.

Not all training is the result of a needs assessment. Unforeseen circumstances may create an immediate need for training. For example, consider the Wells Fargo scandal of 2016, when it came to light that employees had secretly created millions of unauthorized bank and credit card accounts in order to generate bank fees and boost their sales figures. The bank fired 5,300 employees and had to put in place a rapid training and retraining program to mitigate the legal consequences of their employees' actions. Other situations that might compel a company to conduct impromptu training are changes in legal requirements, new regulations, natural disasters or other crises.

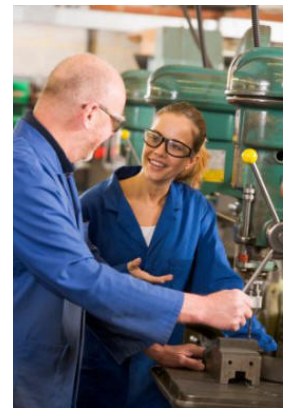
Types of Training

The goal of training is for the trainee to acquire relevant knowledge, skills, and competencies from the trainer as a result of being taught vocational or practical skills. More generally, training is aimed at improving the trainee's capability, capacity, and performance.

Generally training is categorized as on-the-job or off-the-job:

On-the-job training takes place in a normal working situation, using the actual tools, equipment, documents, or materials that trainees will use once they are fully trained. On-the-job training is not limited to, but is most commonly used for, technical or skills training.

Off-the-job training takes place away from the normal work situation, and as a result, the employee is not a directly productive worker while such training takes place. Businesses often cite this as one of the disadvantages of off-the-job training. However, this type of training has the advantage of allowing people to get away from work and concentrate more thoroughly on the training itself. Off-the-job of training has proven very effective in helping people acquire and master new concepts and ideas.



Professional Development

In addition to the basic training required for a trade, occupation, or profession, the labor market recognizes the need to continue training beyond initial qualifications in order to maintain, upgrade, and update skills throughout working life. This is known as professional development.

Professional development refers to skills and knowledge attained for both personal development and career advancement. Professional development encompasses all types of facilitated learning opportunities, ranging from college degrees and formal coursework to conferences and workshops.

Individuals who take part in professional development run the gamut from teachers to military officers. Individuals may pursue professional development because of an interest in lifelong learning, a sense of moral obligation, to maintain and improve professional competence, enhance career progression, keep abreast of new technology and practice, or to comply with professional regulatory organizations. In fact, there are many professions that have requirements for annual professional development to renew a license or certification, such as accountants, lawyers, and engineers.

There are a variety of approaches to professional development, including consultation, coaching, communities of practice, lesson study, mentoring, reflective supervision, and technical assistance. Professional development may include formal types of vocational education—typically post-secondary or technical training leading to a qualification or credential required to obtain or retain employment. Professional development may also come in the form of pre-service or in-service professional development programs. These programs may be formal or informal, group or individual. It's possible to pursue professional development on one's own, or

through the company's human resource departments. Professional development on the job may develop or enhance “process skills”—sometimes referred to as leadership skills—as well as task skills. Some examples of process skills are effectiveness skills, team-functioning skills, and systems-thinking skills.

The twenty-first century has seen a significant growth in online professional development. Content providers have become well informed about using technology in innovative ways, incorporating collaborative platforms such as discussion boards and Wikis to maximize participant interaction. These content providers offer training on topics ranging from sexual harassment awareness to promoting diversity in the workplace. The ability to customize training for a business or industry has placed these providers in a position to supplement or even replace in-house training departments. Because businesses can purchase access on an as-needed basis for as many or as few employees as necessary, the cost of training is reduced. Thus, businesses can provide more training and professional development opportunities to their employees at reduced costs and at times that are more convenient for both the employer and employee.

Human resource management is all about increasing employee performance to their highest level corresponding to their role in the organization. Consequently, the importance of training to the organization and as a key function of HR management cannot be understated.

Performance Appraisals

The Purpose of Performance Appraisals

A **performance appraisal** (PA) or performance evaluation is a systematic and periodic process that assesses an individual employee's job performance and productivity, in relation to certain pre-established criteria and organizational objectives. Other aspects of individual employees are considered as well, such as organizational citizenship behavior, accomplishments, potential for future improvement, strengths, and weaknesses. A PA is typically conducted annually. However, the frequency of an evaluation, and policies concerning them, varies widely from workplace to workplace. Sometimes an evaluation will be given to a new employee when a probationary period ends, after which they may be conducted on a regular basis (such as every year).

Usually, the employee's supervisor (and frequently, a more senior manager) is responsible for evaluating the employee, and he or she does so by scheduling a private conference to discuss the evaluation. The interview functions as a way of providing feedback to employees, counseling and developing employees, and conveying and discussing compensation, job status, or disciplinary decisions.

Historically, performance appraisals have been used by companies for a range of purposes, including salary recommendations, promotion and layoff decisions, and training recommendations.^[2] In general, “performance elements tell employees what they have to do, and standards tell them how well they have to do it.”^[3] This broad definition, however, can allow for appraisals to be ineffective, even detrimental, to employee performance. “Second only to firing an employee, managers cite performance appraisal as the task they dislike the most,” and employees generally have a similar feeling.^[4] One key item that is often forgotten during the appraisal process (by managers and employees alike) is that the appraisal is for improvement, not blame or harsh criticism.^[5]

Developing an Appropriate Appraisal Process

One significant problem in creating an appraisal process is that no single performance appraisal method will be perfect for every organization.^[6] Establishing an appropriate process involves significant planning and analysis in order to provide quality feedback to the employee. The most crucial task in the process is determining proper job dimensions that can be used to evaluate the employee against accepted standards that affect the performance of the team, business unit, or company.^[7] Peter Drucker developed a method termed “Management by Objectives,” or MBO, in order to address the need for specifying such job dimensions. Drucker suggests that objectives for any employee can be validated if they pass the following SMART test:^[8]

- Specific
- Measurable
- Achievable
- Realistic



- Time-related

The process of an evaluation typically includes one or more of the following:

- An assessment of how well the employee is doing. Sometimes this includes a scale rating indicating strengths and weaknesses in key areas (e.g., ability to follow instructions, complete work on time, and work with others effectively). It's also common for the supervisor and manager to discuss and determine the key areas.
- Employee goals with a deadline. Sometimes the employee may voluntarily offer a goal, while at other times it will be set by his or her boss. A significantly underperforming employee may be given a performance improvement plan, which details specific goals that must be met to keep the job.
- Feedback from coworkers and supervisors. The employee may also have the chance to share feelings, concerns, and suggestions about the workplace.
- Details about workplace standing, promotions, and pay raises. Sometimes an employee who has performed very well since the last review period may get an increase in pay or be promoted to a more prestigious position.

Methods of Performance Appraisal

Numerous methods exist for gauging an employee's performance, and each has strengths and weaknesses depending on the environment. The following outlines some of the more commonly used methods, as well as some recently developed ones that can be useful for various feedback situations:

- **Graphic rating scales:** This method involves assigning some form of rating system to pertinent traits. Ratings can be numerical ranges (1–5), descriptive categories (below average, average, above average), or scales between desirable and undesirable traits (poor ↔ excellent). This method can be simple to set up and easy to follow but is often criticized for being too subjective, leaving the evaluator to define broad traits such “leadership ability” or “conformance with standards.”^[9]
- **Behavioral methods:** A broad category encompassing several methods with similar attributes. These methods identify to what extent an employee displays certain behaviors, such as asking a customer to identify the usefulness of a sales representative's recommendation. While extremely useful for jobs where behavior is critical to success, identifying behaviors and standards for employees can often be very time-consuming for an organization.^[10]
- **2+2:** A relative newcomer in performance appraisal methodology, the 2+2 feedback system demonstrates how appraisals can be used primarily for improvement purposes. By offering employees two compliments and two suggestions for improvement focused around high-priority areas, creators Douglas and Dwight Allen suggest that organizations can become “more pleasant, more dynamic, and more productive.”^[11] If the goal is employee improvement, this system can provide significant benefits; however, if the goals are compensation changes and rankings, the system provides little benefit.

Appraisal methodologies depend greatly on the type of work being done; an assembly worker will require a very different appraisal system from a business consultant. Significant planning will be required to develop appropriate methods for each business unit in an organization in order to obtain maximum performance towards the appraisal goals.

Compensation

Forms of Employee Financial Compensation

People talk about loving or hating their job, but do they ever mean that they love or hate how much compensation they receive for the job that they perform? Can someone pay you enough to take on jobs like Mike Rowe did on his television show, *Dirty Jobs*? How much an employee or manager is paid and the different ways that their compensation can be structured is an area in which HR managers find themselves competing with other employers. As the business environment become more complex, so do the forms of employee financial compensation. From a business standpoint, employee compensation can be thought of as the cost of acquiring human resources for running operations.

Salary



A salary is a form of compensation paid periodically by an employer to an employee, the amount and frequency of which may be specified in an employment contract. In general, employees paid a salary do not “punch a clock,” and they work however many hours are necessary to accomplish organizational goals and objectives. Most managers are paid a salary that is calculated in terms of annual, monthly, or weekly earnings instead of hourly pay. U.S. employment law distinguishes between exempt (salaried) and nonexempt (hourly) workers. Employers can require exempt employees to work long hours without paying overtime.

Today, the idea of a salary continues to evolve as part of a system of all the combined rewards that employers offer to employees. Salary is coming to be seen as part of a “total rewards” system, which includes bonuses, incentive pay, commissions, benefits, perks, and various other tools that help employers link rewards to an employee’s measured performance.

Something that has become increasingly common is to offer salaried employees options to purchase stock in the company. An employee stock option (ESO) is a call option on the common stock of a company, granted by the company to an employee as part of the employee’s compensation package. The objective is to give employees an incentive to behave in ways that will boost the company’s stock price. In many cases, the ESO represents an amount considerably higher than the employee’s base salary. For example, in 2015 Satya Nadella, CEO of Microsoft, was paid a salary of \$4.5 million, but his stock options earned him an additional \$79.8 million.

Wage Systems

Wage payment systems offer another means by which organizations compensate employees. Unlike salary, wage systems are based on either hours worked or some other measure of production. Some of the most common wage systems are the following:

- **Time rate:** Under this system, a worker is paid by the hour for time worked. Time worked beyond a set amount (generally 40 hours per week) is paid as “overtime” and at a higher base hourly wage, usual 1 1/2 times higher.
- **Differential time rate:** According to this method, different hourly rates are fixed for different shifts or different assignments. The most common differential time rate occurs in production facilities where workers who are assigned to a graveyard shift (e.g., 11:00 p.m.–7:00 a.m.) are paid a “shift differential” that can range from a few cents to many dollars per hour.
- **Payment by piecework:** The worker’s wages depends on his or her output and the rate of each unit of output; it is in fact independent of the time taken by the worker. In other words, for every “piece” a worker produces, he or she is paid a set amount. This type of pay has fallen out of favor with many businesses since it emphasizes quantity over quality. That said, today’s “gig economy” relies on a kind of payment by piecework. According to Uber, the company’s drivers are independent contractors, receiving payment for each trip.

Hybrid Wage Systems

Piecework system: A family in New York City making dolls’ clothes by piecework in 1912. Each family member earns money based on how many pieces he or she produces.

Some employees’ positions are structured in a way that doesn’t fit with conventional salary or wage systems. In these cases, employers pay their employees by a “hybrid method.” Hybrid wage systems are most common in sales positions or management positions. The most common hybrid wage



- **Straight Commission.** Under a straight commission system, the employee receives no compensation from their employer unless they close a sale or transaction. Real-estate agents and car sales staff are two of the best-known examples of professions in which straight commission is the standard form of compensation. One hundred percent of such employees’ compensation is dependent upon selling the customer a product, good, or service. This approach to compensation has fallen out of favor in many businesses because it can lead to salespeople to make high-pressure sales—putting undue pressure on customers to buy something so the salesperson can get paid.
- **Salary plus commission.** Similar to the straight commission, salary plus commission requires an employee to make a sale or “close a deal” in order to earn compensation. However, only a portion of the employee’s compensation is comes from the commission. The employer pays the employee some level of wages every pay period, regardless of his or her sales level. This reduces the necessity for high-pressure sales tactics, so long as the base salary is an adequate wage. Wait staff are essentially paid salary plus commission (they receive an hourly wage plus tips), but the hourly wage for such work can be as little as \$2.10 per hour.

- **Salary plus bonus.** When an employee is paid a salary plus bonus, the bonus is not paid unless sales-volume or production goals are met or exceeded. For example, the manager of a real-estate firm may be paid a substantial salary but will earn a bonus only if the office he or she manages exceeds some pre-established sales figure for the month, quarter, or year. The advantage of a salary plus bonus is that it's tied to the performance of a department or division, thereby motivating the entire team to work together to reach organizational goals or sales targets.

Benefits

Compensation includes more than just salary, and benefits are a key legal, motivational, and organizational consideration when it comes to employee relations. Standard benefits address a range of employee needs, and they can be a key reason for employees to seek out employers who offer them. Human resource professionals must familiarize themselves with the various benefit options that are out there. The following lists the most common types of benefits:

- **Relocation assistance:** Often enough, hiring someone means moving the new employee to a different location. The talent an employer needs may come from another city or country, and attracting the right person may entail providing assistance with visas, housing, flights, and a range of other moving costs.
- **Medical, prescription, vision, and dental plans:** Particularly in countries with poor social benefits (such as the U.S.), medical insurance is a necessity for employers hiring full-time workers (sometimes it's even legally required). In countries with strong social welfare systems (such as Canada), these benefits are provided by the government.
- **Dependent care:** Many employees obtain health insurance coverage through their employer not only for themselves but for their spouse and/or children, too.
- **Retirement benefit plans (pension, 401(k), 403(b)):** Larger employers usually offer employees various retirement-related benefits such as long-term investments, pensions, and other savings for retirement. The primary draw for most of these benefits is the tax benefit (the ability to set aside pretax income for retirement savings).
- **Group term life and long-term care insurance plans:** Life insurance and long-term care are benefits paid by employers to insure individuals against various types of risks and disasters. Employees with life insurance or long-term care insurance will see their dependents (and themselves, in the case of long-term care) financially supported if a serious ailment or tragedy occurs.
- **Legal assistance plans:** Not quite as standard as the rest of the benefits above, legal assistance plans can be established for jobs in which personal liability is high. Legal assistance is expensive, and such plans draw on organizational resources to cover the employee under circumstances when legal aid is needed.
- **Child care benefits:** Supporting employees' families is absolutely critical to retaining great talent. Especially in families with two working parents, employer-covered child care is a key benefit that provides cost savings to the employee while enabling the employee to focus on work (which benefits the employer).
- **Transportation benefits:** Another common benefit is paid transportation. Particularly in countries/regions where public transportation is the norm, it's quite common for the employer to pay for all work-related transportation.
- **Paid time off (PTO) in the form of vacation and sick pay:** All organizations must provide paid time off, vacation, and sick pay under certain circumstances. Many countries have stringent legislation governing minimum requirements for paid time off and vacation leave to ensure that employees have a healthy work-life balance.

While there are other, less common benefits that employers can offer, the list above describes the standard benefits that employees can expect to encounter.

Fringe Benefits

One of the perks this lifeguard enjoys is the use of a company car.

The term *fringe benefits* was coined by the War Labor Board during World War II to describe the various indirect benefits that industry had devised to attract and retain labor when direct wage increases were prohibited. The term perks (from "perquisites") is often used colloquially to refer to those benefits of a more discretionary nature.

Perks are often given to employees who are doing notably well or have seniority. Common perks are hotel stays, free refreshments, leisure activities on work time, stationery, allowances for lunch, and take-home vehicles. When numerous options are available, certain employees may also be given first choice on such things as job assignments and vacation scheduling. They may also be given first chance at job promotions when vacancies exist.



Benefits may also include formal or informal employee discount programs that grant workers access to specialized offerings from local and regional vendors (e.g., movies and theme-park tickets, wellness programs, discounted shopping, hotels and resorts, and so on). Companies that offer these types of work-life perks seek to raise employee satisfaction, corporate loyalty, and worker retention by providing valued benefits that go beyond a base salary. Fringe benefits are thought of as the costs of keeping employees (besides, of course, salary).

-
1. Duening & Ivancevich, 2003 [↩](#)
 2. Kulik, 2004 [↩](#)
 3. United States Department of the Interior, 2004 [↩](#)
 4. Heathfield, Performance Appraisals Don't Work [↩](#)
 5. Bacal, 1999 [↩](#)
 6. Kulik, 2004 [↩](#)
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12: Score Card to Gauge and Manage Human Capital

Learning Objectives

1. Describe the Balanced Scorecard method and how it can be applied to HR.
2. Discuss what is meant by “human capital.”
3. Understand why metrics are important to improving company performance.
4. Consider how your human capital might be mapped on an HR Balanced Scorecard.

You may already be familiar with the Balanced Scorecard, a tool that helps managers measure what matters to a company. Developed by Robert Kaplan and David Norton, the Balanced Scorecard helps managers define the performance categories that relate to the company’s strategy. The managers then translate those categories into metrics and track performance on those metrics. Besides traditional financial measures and quality measures, companies use employee performance measures to track their people’s knowledge, skills, and contribution to the company.

The employee performance aspects of Balanced Scorecards analyze employee capabilities, satisfaction, retention, and productivity. Companies also track whether employees are motivated (for example, the number of suggestions made and implemented by employees) and whether employee performance goals are aligned with company goals.

Applying the Balanced Scorecard Method to HR

Because the Balanced Scorecard focuses on the strategy and metrics of the business, Mark Huselid and his colleagues took the Balanced Scorecard concept a step further and developed the HR and Workforce Scorecard to provide framework specific to HR. According to Huselid, the Workforce Scorecard identifies and measures the behaviors, skills, mind-sets, and results required for the workforce to contribute to the company’s success. Specifically, as summarized in the figure, the Workforce Scorecard has four key sequential elements:

- *Workforce Mind-Set and Culture*: First, does the workforce understand the strategy, embrace it, and does it have the culture needed to support strategy execution?
- *Workforce Competencies*: Second, does the workforce, especially in the strategically important or “A” positions, have the skills it needs to execute strategy? (“A” positions are those job categories most vital to the company’s success.)
- *Leadership and Workforce Behaviors*: Third, are the leadership team and workforce consistently behaving in a way that will lead to attaining the company’s key strategic objectives?
- *Workforce Success*: Fourth, has the workforce achieved the key strategic objectives for the business? If the organization can answer “yes” to the first three elements, then the answer should be yes here as well.

Figure 16.10



The HR Balanced Scorecard bridges HR best practices and the firm’s comprehensive Balanced Scorecard.

Human Capital

Implementing the HR scorecard requires a change in perspective, from seeing people as a cost to seeing people as the company's most important asset to be managed—human capital. According to the Society of Human Resource Management's *Research Quarterly*, "A company's human capital asset is the collective sum of the attributes, life experience, knowledge, inventiveness, energy and enthusiasm that its people choose to invest in their work." As you can tell by the definition, such an asset is difficult to measure because it is intangible, and factors like "inventiveness" are subjective and open to interpretation. The challenge for managers, then, is to develop measurement systems that are more rigorous and provide a frame of reference. The metrics can range from activity-based (transactional) metrics to strategic ones. Transactional metrics are the easiest to measure and include counting the number of new people hired, fired, transferred, and promoted. The measures associated with these include the cost of each new hire, the length of time and cost associated with transferring an employee, and so forth. Typical ratios associated with transactional metrics include the training cost factor (total training cost divided by the employees trained) and training cost percentage (total training cost divided by operating expense). But, these transactional measures don't get at the strategic issues, namely, whether the right employees are being trained and whether they are remembering and using what they learned. Measuring training effectiveness requires not only devising metrics but actually changing the nature of the training.

The Bank of Montreal has taken this step. "What we're trying to do at the Bank of Montreal is to build learning into what it is that people are doing," said Jim Rush of the Bank of Montreal's Institute for Learning. "The difficulty with training as we once conceived it is that you're taken off your job, you're taken out of context, you're taken away from those things that you're currently working on, and you go through some kind of training. And then you've got to come back and begin to apply that. Well, you walk back to that environment and it hasn't changed. It's not supportive or conducive to you behaving in a different kind of way, so you revert back to the way you were, very naturally." To overcome this, the bank conducts training such that teams bring in specific tasks on which they are working, so that they learn by doing. This removes the gap between learning in one context and applying it in another. The bank then looks at performance indices directly related to the bottom line. "If we take an entire business unit through a program designed to help them learn how to increase the market share of a particular product, we can look at market share and see if it improved after the training," Rush said.

Motorola has adopted a similar approach, using action learning in its Senior Executives Program. Action learning teams are assigned a specific project by Motorola's CEO and are responsible for implementing the solutions they design. This approach not only educates the team members but also lets them implement the ideas, so they're in a position to influence the organization. In this way, the training seamlessly supports Motorola's goals.

As we can see in these examples, organizations need employees to apply the knowledge they have to activities that add value to the company. In planning and applying human capital measures, managers should use both retrospective (lagging) and prospective (leading) indicators. Lagging indicators are those that tell the company what it has accomplished (such as the Bank of Montreal's documenting the effect that training had on a business unit's performance). Leading indicators are forecasts that help an organization see where it is headed. Leading indicators include employee learning and growth indices.

The Payoff

Given the complexity of what we've just discussed, some managers may be inclined to ask, "Why bother doing all this?" Research by John Lingle and William Schiemann provides a clear answer: Companies that make a concerted effort to measure intangibles such as employee performance, innovation, and change in addition to measuring financial measures perform better. Lingle and Schiemann examined how executives measured six strategic performance areas: financial performance, operating efficiency, customer satisfaction, employee performance, innovation and change, and community/environment issues. To evaluate how carefully the measures were tracked, the researchers asked the executives, "How highly do you value the information in each strategic performance area?" and "Would you bet your job on the quality of the information on each of these areas?" The researchers found that the companies that paid the closest attention to the metrics and had the most credible information were the ones identified as industry leaders over the previous three years (74% of measurement-managed companies compared with 44% of others) and reported financial performance in the top one-third of their industry (83% compared with 52%).

The scorecard is vital because most organizations have much better control and accountability over their raw materials than they do over their workforce. For example, a retailer can quickly identify the source of a bad product, but the same retailer can't identify a poor-quality manager whose negative attitude is poisoning morale and strategic execution.

Applying the Balanced Scorecard Method to Your Human Capital

Let's translate the HR scorecard to your own Balanced Scorecard of human capital. As a reminder, the idea behind the HR scorecard is that if developmental attention is given to each area, then the organization will be more likely to be successful. In this case, however, you use the scorecard to better understand why you may or may not be effective in your current work setting. Your scorecard will comprise four sets of answers and activities.

1. **What is your mind-set and values?** Do you understand the organization's strategy and embrace it, and do you know what to do in order to implement the strategy? If you answered "no" to either of these questions, then you should consider investing some time in learning about your firm's strategy. For the second half of this question, you may need additional coursework or mentoring to understand what it takes to move the firm's strategy forward.
2. **What are your work-related competencies?** Do you have the skills and abilities to get your job done? If you have aspirations to key positions in the organization, do you have the skills and abilities for those higher roles?
3. **What are the leadership and workforce behaviors?** If you are not currently in a leadership position, do you know how consistently your leaders are behaving with regard to the achievement of strategic objectives? If you are one of the leaders, are you behaving strategically?
4. **Your success?** Can you tie your mind-set, values, competencies, and behaviors to the organization's performance and success?

This simple scorecard assessment will help you understand why your human capital is helping the organization or needs additional development itself. With such an assessment in hand, you can act to help the firm succeed and identify priority areas for personal growth, learning, and development.

Key Takeaway

The Balanced Scorecard, when applied to HR, helps managers align all HR activities with the company's strategic goals. Assigning metrics to the activities lets managers track progress on goals and ensure that they are working toward strategic objectives. It adds rigor and lets managers quickly identify gaps. Companies that measure intangibles such as employee performance, innovation, and change perform better financially than companies that don't use such metrics. Rather than investing equally in training for all jobs, a company should invest disproportionately more in developing the people in the key "strategic" ("A") jobs of the company on which the company's success is most dependent.

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13: Appropriate Training Methods

What types of training and development do organizations offer their employees?

To ensure that both new and experienced employees have the knowledge and skills to perform their jobs successfully, organizations invest in training and development activities. **Training and development** involves learning situations in which the employee acquires additional knowledge or skills to increase job performance. Training objectives specify performance improvements, reductions in errors, job knowledge to be gained, and/or other positive organizational results. The process of creating and implementing training and development activities is shown in **Exhibit 8.8**. Training is done either on the job or off the job.



Exhibit 8.7: Here is the final assembly process on an Boeing 787-10 for Singapore Airlines. This plant is one of Boeing's largest and most technologically advanced manufacturing facilities. *How is technology helping companies develop skilled workers both on and off the job?* (Credit: airbus777/Flickr/ Attribution 2.0 Generic (CC BY 2.0))

On-the-Job Training

New-employee training is essential and usually begins with **orientation**, which entails getting the new employee ready to perform on the job. Formal orientation (often a half-day classroom program) provides information about the company history, company values and expectations, policies, and the customers the company serves, as well as an overview of products and services. More important, however, is the specific job orientation by the new employee's supervisor concerning work rules, equipment, and performance expectations. This second briefing tends to be more informal and may last for several days or even weeks.

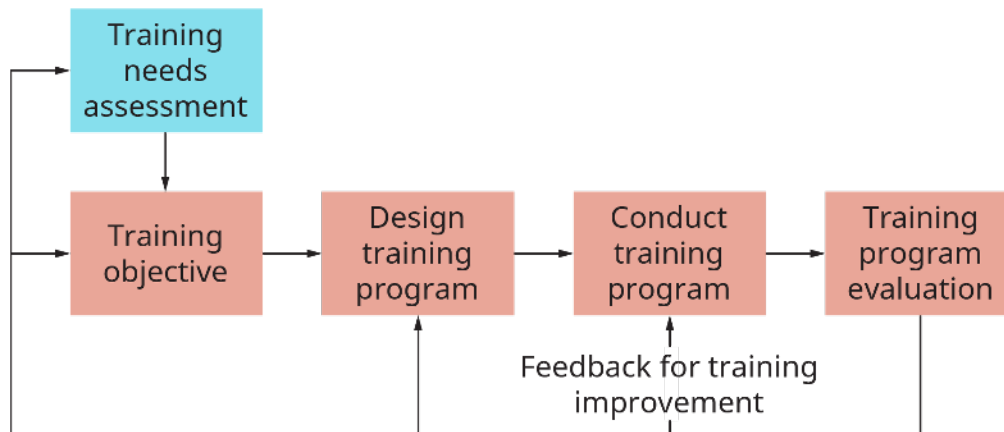


Exhibit 8.8: **Employee Training and Development Process** (Attribution: Copyright Rice University, OpenStax, under CC BY 4.0 license.)

Beyond employee orientation, job training takes place at the job site or workstation and is directly related to the job. This training involves specific job instruction, coaching (guidance given to new employees by experienced ones), special project assignments, or job rotation. **Job rotation** is the reassignment of workers to several different jobs over time. At Walmart, management trainees rotate through three or more merchandizing departments, customer service, credit, and even the human resource department during the first year or two on the job.

Two other forms of on-the-job training are apprenticeship and mentoring. An **apprenticeship** usually combines specific on-the-job instruction with classroom training. It may last as long as four years and can be found in the skilled trades of carpentry, plumbing, and electrical work. **Mentoring** involves a senior manager or other experienced employee providing job- and career-related information to a mentee. Inexpensive and providing instantaneous feedback, mentoring is becoming increasingly popular with many firms, including FedEx, Merrill Lynch, Dow Chemical, and Bank of America. Whereas mentoring is typically conducted through ongoing face-to-face interactions between mentor and mentee, technology now allows for a long-distance mentoring relationship. Dow Chemical uses e-mail and video conferencing to facilitate long-distance mentoring between persons who are working in different countries. For a mentee whose second language is English, writing e-mail messages in English helps the individual become fluent in English, which is a requirement of all Dow Chemical employees regardless of location and country of origin.⁸

EXPANDING AROUND THE GLOBE

Employees on the (International) Move

Working abroad at one of the thousands of American or foreign multinational firms can be exciting and look good on your résumé. But is an international job assignment a step up the ladder to a more rewarding career path or a potential minefield of professional and family risk? The answer depends as much on an employee's family situation as his or her ambition, as well as how well the company supports and handles a transfer to an international location.

International job experience is increasingly seen as an essential leadership competency; therefore, many companies have developed robust rotational programs designed to give individuals critical global experience. According to the BGRS 2016 Global Mobility Trends Survey, providing high levels of service to relocating employees and their families is a fundamental expectation.

Brookfield Global Relocation Services (BGRS) is a talent mobility and relocation services firm that manages more than 60,000 relocations in 140 countries each year for its corporate and government clients. With 15 offices around the world, the company's staff (that speaks 40 languages) can tap into their network of 1,900 trusted suppliers to help employees and families acclimate to their new work and home environments.

Increasing numbers of recent college graduates and experienced professionals are offered opportunities for overseas work assignments ranging from a few days to 24 months or longer. But acclimating to a new country and culture, as well as a new work environment, can be daunting and involves some unique challenges.

Challenges face expatriates aside from the demands of work include:

- Choosing schools for children
- Securing housing
- Finding medical facilities
- Opening bank accounts
- Finding transportation and obtaining a driver's license
- Completing government forms
- Locating food stores
- Learning about community and entertainment offerings

With 189,000 worldwide staff and partners, KPMG International is one of the world's largest professional services and accounting firms, with a presence in 152 countries. Through programs like the KPMG Global Opportunities (GO) program, the professionals at KPMG can explore job rotation assignments, transfer to a new location, or change to a new job function or group. The company's Career Mobility Connection tool allows employees to evaluate opportunities based on their interests and to seek guidance from a transition advisor on potential career opportunities.

KPMG has developed several programs and standards to guide employees and establish consistency, whether they work in the United States or abroad. One of the most important is the KPMG Code of Conduct, which defines the values and standards by which KPMG conducts business and is intended to help guide actions and behaviors of its global workforce.

Every year, all KPMG employees and partners are required to affirm their agreement to comply with the Code of Conduct. In addition, all partners and employees are required to complete mandatory training that reinforces the principles of the Code and further builds understanding of the firm's expectations.

Critical Thinking Questions

1. How is KPMG's Global Code of Conduct intended to influence and guide the personal values and behaviors of its employees and partners?
2. Why must the Code of Conduct be affirmed by employees and partners every year? Why does KPMG include their partners in this program?
3. What are the top four or five job qualifications an employee should have to be considered for an overseas assignment?

Sources: Corrine Purtill, "Expatriate Couples Do Best When They've Moved for the Woman's Job," *Quartz at Work*, December 6, 2017; <https://work.qz.com/1134685/expat-co...he-womans-job/>; Donald Murray, "The 7 Greatest Challenges of Moving Overseas and How to Resolve Them," *International Living*, March 15, 2018, internationalliving.com/the-...-resolve-them/; "KPMG's Code of Conduct," Accessed March 15, 2018, home.kpmg.com/us/en/home/abo...f-conduct.html.

Off-the-Job Training

Even with the advantages of on-the-job training, many firms recognize that it is often necessary to train employees away from the workplace. With off-the-job training, employees learn the job away from the job. There are numerous popular methods of off-the-job training. It frequently takes place in a classroom, where cases, role-play exercises, films, videos, lectures, and computer demonstrations are used to develop workplace skills.

Web-based technology is increasingly being used along with more traditional off-the-job training methods. E-learning and e-training involve online computer presentation of information for learning new job tasks. Union Pacific Railroad has tens of thousands of its employees widely dispersed across much of the United States, so it delivers training materials online to save time and travel costs. Technical and safety training at Union Pacific are made available as **programmed instruction**, an online, self-paced, and highly structured training method that presents trainees with concepts and problems using a modular format. Software provided can make sure that employees receive, undergo, and complete, as well as sign off on, various training modules.⁹

Web-based training can also be done using a **simulation**, for example, a scaled-down version of a manufacturing process or even a mock cockpit of a jet airplane. American Airlines uses a training simulator for pilots to practice hazardous flight maneuvers or learn the controls of a new aircraft in a safe, controlled environment with no passengers. The simulator allows for more direct transfer of learning to the job.

CONCEPT CHECK

1. Describe several types of on-the-job training.
2. What are the advantages of simulation training?
3. How is technology impacting off-the-job training?

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14: Evaluating Training Effectiveness

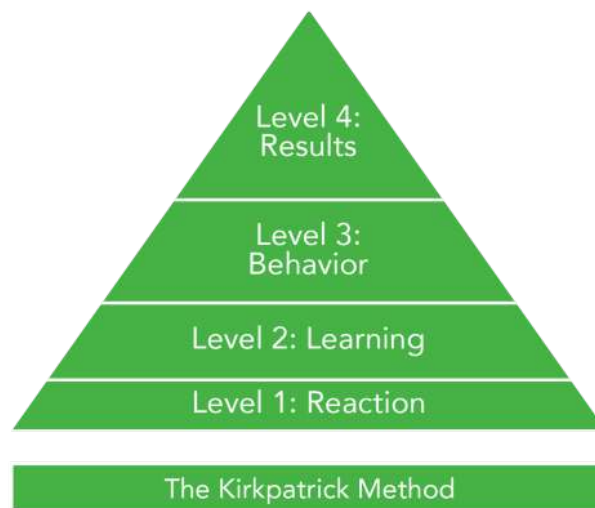
Learning Objectives

- Discuss how to evaluate training effectiveness

The most common model for analyzing and evaluating the results of education training and development programs is the Kirkpatrick Model, developed by Donald Kirkpatrick in 1995 for his Ph.D. dissertation.^[1] The model consists of four levels, including the following:

- Level 1: Reaction—Measures how participants react to the training. A common method of determining this is a post-training survey.
- Level 2: Learning—Assess what the employee learned from the training. Learning can be evaluated by post-tests or demonstration of the knowledge, skill or ability.
- Level 3: Behavior—Are participants using what they learned? This might be assessed by observation or management evaluations.
- Level 4: Results—What is the organizational impact? For example, was there an increase in productivity, in project management or management effectiveness?

The way to use this model is not moving from Level 1–Level 4 as it is often taught, but in the reverse order. As LinkedIn Learning Instructor Jeff Toister advises: “Start at level four and identify the results you want to achieve, then work backward to level three to think about what participants need to do on the job to achieve those results, and so on. This will make it easier to connect the training to organizational goals.”^[2] Toister’s recommendation is echoed in an image that notes that by moving from Level 1–Level 4, ROI is an afterthought; flipping the sequence puts the emphasis on the business results; that is ROI is designed in at the start.^[3]



In his “The Best Way to Use the Kirkpatrick Model” blog post on the LinkedIn Learning Blog, Paul Petrone notes that there are other models—all with their strengths and weaknesses—but that “it’s not so much what model you choose, but instead how well you execute it.”^[4]

Practice Question

<https://assessments.lumenlearning.co...essments/18167>

1. Petrone, Paul. "The Best Way to Use the Kirkpatrick Model." LinkedIn: The Learning Blog. May 26, 2017. Accessed July 18, 2019. ↵

2. Ibid. ↩
3. [Sales Leadership: Change Behaviours, Drive Results](#). Accessed July 18, 2019. ↩
4. Petrone, Paul. "The Best Way to Use the Kirkpatrick Model." LinkedIn: The Learning Blog. ↩

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15: Planning Performance and Evaluation

How are performance appraisals used to evaluate employee performance?

Along with employee orientation and training, new employees learn about performance expectations through performance planning and evaluation. Managers provide employees with expectations about the job. These are communicated as job objectives, schedules, deadlines, and product and/or service quality requirements. As an employee performs job tasks, the supervisor periodically evaluates the employee's efforts. A **performance appraisal** is a comparison of actual performance with expected performance to determine an employee's contributions to the organization and to make decisions about training, compensation, promotion, and other job changes. The performance planning and appraisal process is shown in **Exhibit 8.9** and described below.

1. The manager establishes performance standards.
2. The employee works to meet the standards and expectations.
3. The employee's supervisor evaluates the employee's work in terms of quality and quantity of output and various characteristics such as job knowledge, initiative, relationships with others, and attendance and punctuality.
4. Following the performance evaluation, reward (pay raise) and job change (promotion) decisions can be made. If work is unsatisfactory, the employee may be put on a performance improvement plan, which outlines the behaviors or performance that must be improved, the milestones and time periods to improve performance, and what will occur if performance is not improved.
5. Rewards are positive feedback and provide reinforcement, or encouragement, for the employee to continue improving their performance.

It was once common practice for performance appraisals to be conducted on an annual basis, but most companies have moved away from that standard. Instead, managers are encouraged to provide employees with continuous real-time feedback so that skill development and job performance can be improved more rapidly.

Information for performance appraisals can be assembled using rating scales, supervisor logs of employee job incidents, and reports of sales and production statistics. Regardless of the source, performance information should be accurate and a record of the employee's job behavior and efforts. **Table 8.3** illustrates a rating scale for one aspect of a college recruiter's job. A rating of "9" is considered outstanding job behavior and performance; a rating of "1" is viewed as very poor to unacceptable.

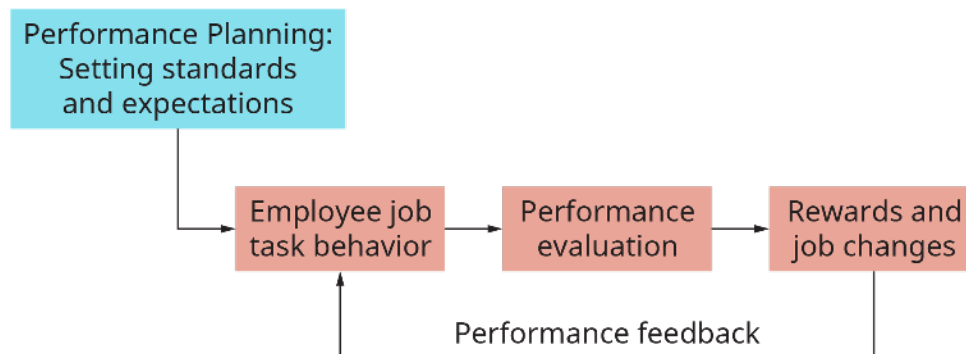


Exhibit 8.9: Performance Planning and Evaluation

Table 8.3:
Example of Behavior-Based Rating Scale for Performance Appraisal

Position: College Recruiter

Job Description: Visits campuses and conducts interviews of graduating seniors

Explanation of Rating	Performance Rating	Explanation of Rating
This recruiter plans and organizes spring-semester college-recruiting schedule to minimize travel expenses and maximize the number of colleges visited and students interviewed.	9	
	8	Even with tight travel schedules between campuses, this recruiter completes each campus report before arrival at next campus.
	7	In making plans to visit a new campus, this recruiter might not have identified two or three faculty
	6	members for obtaining pre-visit information about degree programs.
This recruiter occasionally does not check with college placement office to request student résumés two days before arrival.	5	
	4	Sometimes this recruiter's notes are incomplete concerning a student's response to interview questions.
	3	This recruiter is often several minutes late in starting interviews.
This recruiter is frequently late in sending thank-you letters to students interviewed.	2	
	1	This recruiter is always late completing campus-recruiting reports.

CONCEPT CHECK

1. What are the steps in the performance planning and appraisal process?
2. What purposes do performance appraisals serve?
3. Describe some sources of information for the performance appraisal.

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16: Training Development and Rewards

What you'll learn to do: discuss effective approaches to training, developing, and rewarding employees

In this section you'll learn about employee training, professional development, performance appraisals, and employee compensation.

Learning Objectives

- Describe different approaches to professional development
- Summarize different forms of employee compensation

Training and Professional Development

A medieval baker with his apprentice

In the late Middle Ages, craft guilds allowed master craftsmen to employ young people as an inexpensive form of labor in exchange for food, lodging, and formal training in the craft. Consequently, if a young man or woman wanted to obtain skills as a craftsperson, he or she would spend at least seven years as an apprentice, supervised by a master craftsman before being released to work independently. Clearly the world of work has changed and so has the way that individuals obtain and hone their workplace skills.



Training

Training is teaching, or developing in oneself or others, any skills and knowledge that relate to specific useful competencies. Training has specific goals of improving one's capability, capacity, productivity, and performance. In business, training is the investment of resources in the employees of a company so they are better equipped to perform their job. The types of resources invested may include time and money to develop, implement, and evaluate training programs.

Benefits of Training

Training can be a source of a competitive advantage for a company. The primary benefit to the company is the result of an accumulation of smaller benefits. Training provides greater skill and knowledge to employees, which translate to improved job performance. Improved job performance, in turn, means greater efficiency, fewer errors, better productivity. The end result is reduced costs and higher profits. The company is not the only beneficiary of employee training, though; the employee can realize rewards, too.

The well-trained employee acquires an advantage for him- or herself. By participating in training, employees can deepen or expand their existing skill set and increase their understanding of the organization. In addition, a well-trained employee may be able to take advantage of internal promotion opportunities and becomes more marketable if he or she leaves the company. Other potential benefits are listed below:

- Increased job satisfaction and morale among employees
- Increased employee motivation
- Increased efficiencies in processes, resulting in financial gain
- Increased capacity to adopt new technologies and methods
- Increased innovation in strategies and products
- Reduced employee turnover
- Enhanced company image, e.g., building a reputation as a "great place to work"
- Risk management, e.g. training about sexual harassment, diversity training^[1]

Need for Training

The need for training exists in every business. However the nature of training varies depending on the type of business and operations involved. For example, a manufacturing company may have a need for technical skills training while an insurance company may emphasize customer service training. So, how does a company determine what sort of training is needed? The

process begins with a **training needs assessment**. A training needs assessment is a systematic and objective analysis of both the employee and organizational knowledge, skills, and abilities to identify gaps or areas of need.

Generally, training needs assessments are conducted as follows:

1. **Identify the need.** In this first step, the assessor looks for answers to questions such as: Why is the needs assessment being conducted? What is the desired result? What issues are trying to be addressed? Will training alone resolve the issues?
2. **Perform a gap analysis.** This involves comparing current knowledge, skills, and abilities against company standards. Training assessors may use HR records, interviews, questionnaires, or observation to identify gaps.
3. **Assess training options.** Once completed, the assessment will present a list of options for training that management can evaluate based on criteria such as cost and duration.

Not all training is the result of a needs assessment. Unforeseen circumstances may create an immediate need for training. For example, consider the Wells Fargo scandal of 2016, when it came to light that employees had secretly created millions of unauthorized bank and credit card accounts in order to generate bank fees and boost their sales figures. The bank fired 5,300 employees and had to put in place a rapid training and retraining program to mitigate the legal consequences of their employees' actions. Other situations that might compel a company to conduct impromptu training are changes in legal requirements, new regulations, natural disasters or other crises.

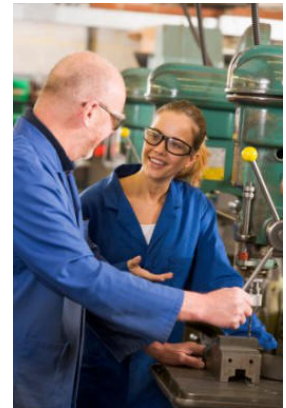
Types of Training

The goal of training is for the trainee to acquire relevant knowledge, skills, and competencies from the trainer as a result of being taught vocational or practical skills. More generally, training is aimed at improving the trainee's capability, capacity, and performance.

Generally training is categorized as on-the-job or off-the-job:

On-the-job training takes place in a normal working situation, using the actual tools, equipment, documents, or materials that trainees will use once they are fully trained. On-the-job training is not limited to, but is most commonly used for, technical or skills training.

Off-the-job training takes place away from the normal work situation, and as a result, the employee is not a directly productive worker while such training takes place. Businesses often cite this as one of the disadvantages of off-the-job training. However, this type of training has the advantage of allowing people to get away from work and concentrate more thoroughly on the training itself. Off-the-job of training has proven very effective in helping people acquire and master new concepts and ideas.



Professional Development

In addition to the basic training required for a trade, occupation, or profession, the labor market recognizes the need to continue training beyond initial qualifications in order to maintain, upgrade, and update skills throughout working life. This is known as professional development.

Professional development refers to skills and knowledge attained for both personal development and career advancement. Professional development encompasses all types of facilitated learning opportunities, ranging from college degrees and formal coursework to conferences and workshops.

Individuals who take part in professional development run the gamut from teachers to military officers. Individuals may pursue professional development because of an interest in lifelong learning, a sense of moral obligation, to maintain and improve professional competence, enhance career progression, keep abreast of new technology and practice, or to comply with professional regulatory organizations. In fact, there are many professions that have requirements for annual professional development to renew a license or certification, such as accountants, lawyers, and engineers.

There are a variety of approaches to professional development, including consultation, coaching, communities of practice, lesson study, mentoring, reflective supervision, and technical assistance. Professional development may include formal types of vocational education—typically post-secondary or technical training leading to a qualification or credential required to obtain or retain employment. Professional development may also come in the form of pre-service or in-service professional development programs. These programs may be formal or informal, group or individual. It's possible to pursue professional development on one's own, or

through the company's human resource departments. Professional development on the job may develop or enhance “process skills”—sometimes referred to as leadership skills—as well as task skills. Some examples of process skills are effectiveness skills, team-functioning skills, and systems-thinking skills.

The twenty-first century has seen a significant growth in online professional development. Content providers have become well informed about using technology in innovative ways, incorporating collaborative platforms such as discussion boards and Wikis to maximize participant interaction. These content providers offer training on topics ranging from sexual harassment awareness to promoting diversity in the workplace. The ability to customize training for a business or industry has placed these providers in a position to supplement or even replace in-house training departments. Because businesses can purchase access on an as-needed basis for as many or as few employees as necessary, the cost of training is reduced. Thus, businesses can provide more training and professional development opportunities to their employees at reduced costs and at times that are more convenient for both the employer and employee.

Human resource management is all about increasing employee performance to their highest level corresponding to their role in the organization. Consequently, the importance of training to the organization and as a key function of HR management cannot be understated.

Performance Appraisals

The Purpose of Performance Appraisals

A **performance appraisal** (PA) or performance evaluation is a systematic and periodic process that assesses an individual employee's job performance and productivity, in relation to certain pre-established criteria and organizational objectives. Other aspects of individual employees are considered as well, such as organizational citizenship behavior, accomplishments, potential for future improvement, strengths, and weaknesses. A PA is typically conducted annually. However, the frequency of an evaluation, and policies concerning them, varies widely from workplace to workplace. Sometimes an evaluation will be given to a new employee when a probationary period ends, after which they may be conducted on a regular basis (such as every year).

Usually, the employee's supervisor (and frequently, a more senior manager) is responsible for evaluating the employee, and he or she does so by scheduling a private conference to discuss the evaluation. The interview functions as a way of providing feedback to employees, counseling and developing employees, and conveying and discussing compensation, job status, or disciplinary decisions.

Historically, performance appraisals have been used by companies for a range of purposes, including salary recommendations, promotion and layoff decisions, and training recommendations.^[2] In general, “performance elements tell employees what they have to do, and standards tell them how well they have to do it.”^[3] This broad definition, however, can allow for appraisals to be ineffective, even detrimental, to employee performance. “Second only to firing an employee, managers cite performance appraisal as the task they dislike the most,” and employees generally have a similar feeling.^[4] One key item that is often forgotten during the appraisal process (by managers and employees alike) is that the appraisal is for improvement, not blame or harsh criticism.^[5]

Developing an Appropriate Appraisal Process

One significant problem in creating an appraisal process is that no single performance appraisal method will be perfect for every organization.^[6] Establishing an appropriate process involves significant planning and analysis in order to provide quality feedback to the employee. The most crucial task in the process is determining proper job dimensions that can be used to evaluate the employee against accepted standards that affect the performance of the team, business unit, or company.^[7] Peter Drucker developed a method termed “Management by Objectives,” or MBO, in order to address the need for specifying such job dimensions. Drucker suggests that objectives for any employee can be validated if they pass the following SMART test:^[8]

- Specific
- Measurable
- Achievable
- Realistic



- Time-related

The process of an evaluation typically includes one or more of the following:

- An assessment of how well the employee is doing. Sometimes this includes a scale rating indicating strengths and weaknesses in key areas (e.g., ability to follow instructions, complete work on time, and work with others effectively). It's also common for the supervisor and manager to discuss and determine the key areas.
- Employee goals with a deadline. Sometimes the employee may voluntarily offer a goal, while at other times it will be set by his or her boss. A significantly underperforming employee may be given a performance improvement plan, which details specific goals that must be met to keep the job.
- Feedback from coworkers and supervisors. The employee may also have the chance to share feelings, concerns, and suggestions about the workplace.
- Details about workplace standing, promotions, and pay raises. Sometimes an employee who has performed very well since the last review period may get an increase in pay or be promoted to a more prestigious position.

Methods of Performance Appraisal

Numerous methods exist for gauging an employee's performance, and each has strengths and weaknesses depending on the environment. The following outlines some of the more commonly used methods, as well as some recently developed ones that can be useful for various feedback situations:

- **Graphic rating scales:** This method involves assigning some form of rating system to pertinent traits. Ratings can be numerical ranges (1–5), descriptive categories (below average, average, above average), or scales between desirable and undesirable traits (poor ↔ excellent). This method can be simple to set up and easy to follow but is often criticized for being too subjective, leaving the evaluator to define broad traits such “leadership ability” or “conformance with standards.”^[9]
- **Behavioral methods:** A broad category encompassing several methods with similar attributes. These methods identify to what extent an employee displays certain behaviors, such as asking a customer to identify the usefulness of a sales representative's recommendation. While extremely useful for jobs where behavior is critical to success, identifying behaviors and standards for employees can often be very time-consuming for an organization.^[10]
- **2+2:** A relative newcomer in performance appraisal methodology, the 2+2 feedback system demonstrates how appraisals can be used primarily for improvement purposes. By offering employees two compliments and two suggestions for improvement focused around high-priority areas, creators Douglas and Dwight Allen suggest that organizations can become “more pleasant, more dynamic, and more productive.”^[11] If the goal is employee improvement, this system can provide significant benefits; however, if the goals are compensation changes and rankings, the system provides little benefit.

Appraisal methodologies depend greatly on the type of work being done; an assembly worker will require a very different appraisal system from a business consultant. Significant planning will be required to develop appropriate methods for each business unit in an organization in order to obtain maximum performance towards the appraisal goals.

Compensation

Forms of Employee Financial Compensation

People talk about loving or hating their job, but do they ever mean that they love or hate how much compensation they receive for the job that they perform? Can someone pay you enough to take on jobs like Mike Rowe did on his television show, *Dirty Jobs*? How much an employee or manager is paid and the different ways that their compensation can be structured is an area in which HR managers find themselves competing with other employers. As the business environment become more complex, so do the forms of employee financial compensation. From a business standpoint, employee compensation can be thought of as the cost of acquiring human resources for running operations.

Salary



A salary is a form of compensation paid periodically by an employer to an employee, the amount and frequency of which may be specified in an employment contract. In general, employees paid a salary do not “punch a clock,” and they work however many hours are necessary to accomplish organizational goals and objectives. Most managers are paid a salary that is calculated in terms of annual, monthly, or weekly earnings instead of hourly pay. U.S. employment law distinguishes between exempt (salaried) and nonexempt (hourly) workers. Employers can require exempt employees to work long hours without paying overtime.

Today, the idea of a salary continues to evolve as part of a system of all the combined rewards that employers offer to employees. Salary is coming to be seen as part of a “total rewards” system, which includes bonuses, incentive pay, commissions, benefits, perks, and various other tools that help employers link rewards to an employee’s measured performance.

Something that has become increasingly common is to offer salaried employees options to purchase stock in the company. An employee stock option (ESO) is a call option on the common stock of a company, granted by the company to an employee as part of the employee’s compensation package. The objective is to give employees an incentive to behave in ways that will boost the company’s stock price. In many cases, the ESO represents an amount considerably higher than the employee’s base salary. For example, in 2015 Satya Nadella, CEO of Microsoft, was paid a salary of \$4.5 million, but his stock options earned him an additional \$79.8 million.

Wage Systems

Wage payment systems offer another means by which organizations compensate employees. Unlike salary, wage systems are based on either hours worked or some other measure of production. Some of the most common wage systems are the following:

- **Time rate:** Under this system, a worker is paid by the hour for time worked. Time worked beyond a set amount (generally 40 hours per week) is paid as “overtime” and at a higher base hourly wage, usual 1 1/2 times higher.
- **Differential time rate:** According to this method, different hourly rates are fixed for different shifts or different assignments. The most common differential time rate occurs in production facilities where workers who are assigned to a graveyard shift (e.g., 11:00 p.m.–7:00 a.m.) are paid a “shift differential” that can range from a few cents to many dollars per hour.
- **Payment by piecework:** The worker’s wages depends on his or her output and the rate of each unit of output; it is in fact independent of the time taken by the worker. In other words, for every “piece” a worker produces, he or she is paid a set amount. This type of pay has fallen out of favor with many businesses since it emphasizes quantity over quality. That said, today’s “gig economy” relies on a kind of payment by piecework. According to Uber, the company’s drivers are independent contractors, receiving payment for each trip.

Hybrid Wage Systems

Piecework system: A family in New York City making dolls’ clothes by piecework in 1912. Each family member earns money based on how many pieces he or she produces.

Some employees’ positions are structured in a way that doesn’t fit with conventional salary or wage systems. In these cases, employers pay their employees by a “hybrid method.” Hybrid wage systems are most common in sales positions or management positions. The most common hybrid wage



- **Straight Commission.** Under a straight commission system, the employee receives no compensation from their employer unless they close a sale or transaction. Real-estate agents and car sales staff are two of the best-known examples of professions in which straight commission is the standard form of compensation. One hundred percent of such employees’ compensation is dependent upon selling the customer a product, good, or service. This approach to compensation has fallen out of favor in many businesses because it can lead to salespeople to make high-pressure sales—putting undue pressure on customers to buy something so the salesperson can get paid.
- **Salary plus commission.** Similar to the straight commission, salary plus commission requires an employee to make a sale or “close a deal” in order to earn compensation. However, only a portion of the employee’s compensation is comes from the commission. The employer pays the employee some level of wages every pay period, regardless of his or her sales level. This reduces the necessity for high-pressure sales tactics, so long as the base salary is an adequate wage. Wait staff are essentially paid salary plus commission (they receive an hourly wage plus tips), but the hourly wage for such work can be as little as \$2.10 per hour.

- **Salary plus bonus.** When an employee is paid a salary plus bonus, the bonus is not paid unless sales-volume or production goals are met or exceeded. For example, the manager of a real-estate firm may be paid a substantial salary but will earn a bonus only if the office he or she manages exceeds some pre-established sales figure for the month, quarter, or year. The advantage of a salary plus bonus is that it's tied to the performance of a department or division, thereby motivating the entire team to work together to reach organizational goals or sales targets.

Benefits

Compensation includes more than just salary, and benefits are a key legal, motivational, and organizational consideration when it comes to employee relations. Standard benefits address a range of employee needs, and they can be a key reason for employees to seek out employers who offer them. Human resource professionals must familiarize themselves with the various benefit options that are out there. The following lists the most common types of benefits:

- **Relocation assistance:** Often enough, hiring someone means moving the new employee to a different location. The talent an employer needs may come from another city or country, and attracting the right person may entail providing assistance with visas, housing, flights, and a range of other moving costs.
- **Medical, prescription, vision, and dental plans:** Particularly in countries with poor social benefits (such as the U.S.), medical insurance is a necessity for employers hiring full-time workers (sometimes it's even legally required). In countries with strong social welfare systems (such as Canada), these benefits are provided by the government.
- **Dependent care:** Many employees obtain health insurance coverage through their employer not only for themselves but for their spouse and/or children, too.
- **Retirement benefit plans (pension, 401(k), 403(b)):** Larger employers usually offer employees various retirement-related benefits such as long-term investments, pensions, and other savings for retirement. The primary draw for most of these benefits is the tax benefit (the ability to set aside pretax income for retirement savings).
- **Group term life and long-term care insurance plans:** Life insurance and long-term care are benefits paid by employers to insure individuals against various types of risks and disasters. Employees with life insurance or long-term care insurance will see their dependents (and themselves, in the case of long-term care) financially supported if a serious ailment or tragedy occurs.
- **Legal assistance plans:** Not quite as standard as the rest of the benefits above, legal assistance plans can be established for jobs in which personal liability is high. Legal assistance is expensive, and such plans draw on organizational resources to cover the employee under circumstances when legal aid is needed.
- **Child care benefits:** Supporting employees' families is absolutely critical to retaining great talent. Especially in families with two working parents, employer-covered child care is a key benefit that provides cost savings to the employee while enabling the employee to focus on work (which benefits the employer).
- **Transportation benefits:** Another common benefit is paid transportation. Particularly in countries/regions where public transportation is the norm, it's quite common for the employer to pay for all work-related transportation.
- **Paid time off (PTO) in the form of vacation and sick pay:** All organizations must provide paid time off, vacation, and sick pay under certain circumstances. Many countries have stringent legislation governing minimum requirements for paid time off and vacation leave to ensure that employees have a healthy work-life balance.

While there are other, less common benefits that employers can offer, the list above describes the standard benefits that employees can expect to encounter.

Fringe Benefits

One of the perks this lifeguard enjoys is the use of a company car.

The term *fringe benefits* was coined by the War Labor Board during World War II to describe the various indirect benefits that industry had devised to attract and retain labor when direct wage increases were prohibited. The term perks (from "perquisites") is often used colloquially to refer to those benefits of a more discretionary nature.

Perks are often given to employees who are doing notably well or have seniority. Common perks are hotel stays, free refreshments, leisure activities on work time, stationery, allowances for lunch, and take-home vehicles. When numerous options are available, certain employees may also be given first choice on such things as job assignments and vacation scheduling. They may also be given first chance at job promotions when vacancies exist.



Benefits may also include formal or informal employee discount programs that grant workers access to specialized offerings from local and regional vendors (e.g., movies and theme-park tickets, wellness programs, discounted shopping, hotels and resorts, and so on). Companies that offer these types of work-life perks seek to raise employee satisfaction, corporate loyalty, and worker retention by providing valued benefits that go beyond a base salary. Fringe benefits are thought of as the costs of keeping employees (besides, of course, salary).

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1. Duening & Ivancevich, 2003 [↵](#)
 2. Kulik, 2004 [↵](#)
 3. United States Department of the Interior, 2004 [↵](#)
 4. Heathfield, Performance Appraisals Don't Work [↵](#)
 5. Bacal, 1999 [↵](#)
 6. Kulik, 2004 [↵](#)
 7. Fukami, Performance Appraisal, 2007 [↵](#)
 8. Management by Objectives—SMART, 2007 [↵](#)
 9. Kulik, 2004 [↵](#)
 10. Kulik, 2004 [↵](#)
 11. Formula 2+2, 2004 [↵](#)

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17: Communicating Training and Development Modalities

Learning Objectives

1. Employ audience analysis to adapt communication to supervisors, colleagues, employees, and clients.
2. Explain the role of intercultural communication competence in intercultural business communication contexts.
3. Identify strategies for handling question-and-answer periods.
4. Identify strategies for effectively planning and delivering common business presentations, including briefings, reports, training, and meetings.

Most people's goal for a college degree is to work in a desired career field. Many of you are probably working while taking this class and already have experience with speaking in business settings. As you advance in your career, and potentially change career paths as many Americans do now, the nature of your communication and the contexts in which you speak will change. Today's workers must be able to adapt content, level of formality, and format to various audiences including the public, clients, and colleagues (Dannels, 2001). What counts as a good communicator for one audience and in one field may not in another. There is wide variety of research and resources related to business communication that cannot be included in this section. The International Association of Business Communicators is a good resource for people interested in a career in this area: <http://www.iabc.com>.

Adapt to Your Audience

Speaking in business settings requires adaptability as a communicator. Hopefully the skills that you are building to improve your communication competence by taking this class will enable you to be adaptable and successful. The following suggestions for adapting to your audience are based on general characteristics; therefore expect variations and exceptions. A competent communicator can use categories and strategies like these as a starting point but must always monitor the communication taking place and adapt as needed. In many cases, you may have a diverse audience with supervisors, colleagues, and employees, in which case you would need to employ multiple strategies for effective business communication.

Even though much of the day-to-day communication within organizations is written in the form of memos, e-mails, and reports, oral communication has an important place. The increase in documentation is related to an epidemic of poor listening. Many people can't or don't try to retain information they receive aurally, while written communication provides a record and proof that all the required and detailed information was conveyed. An increase in written communication adds time and costs that oral communication doesn't. Writing and reading are slower forms of communication than speaking, and face-to-face speaking uses more human senses, allows for feedback and clarification, and helps establish relationships (Nichols & Stevens, 1999).



Figure 17.1: Much communication in the workplace is written for the sake of documentation. Oral communication, however, is often more efficient if people practice good listening skills. Queen's University – [Alumn i Volunteer Summit](#) – CC BY-NC-ND 2.0.

It's important to remember that many people do not practice good listening skills and that being understood contributes to effectiveness and success. You obviously can't make someone listen better or require him or her to listen actively, but you can strive to make your communication more listenable and digestible for various audiences.

Speaking to Executives/Supervisors

Upward communication includes speeches, proposals, or briefings that are directed at audience members who hold higher positions in the organizational hierarchy than the sender. Upward communication is usually the most lacking within an organization, so it is important to take advantage of the opportunity and use it to your advantage (Nichols & Stevens, 1999). These messages usually function to inform supervisors about the status or results of projects and provide suggestions for improvement, which can help people feel included in the organizational process and lead to an increased understanding and acceptance of management decisions (Adler & Elmhurst, 2005). So how do we adapt messages for upward communication?

The “executive summary” emerged from the fact that executives have tightly scheduled days and prefer concise, relevant information. Executive summaries are usually produced in written form but must also be conveyed orally. You should build some repetition and redundancy into an oral presentation of an executive summary, but you do not need such repetition in the written version. This allows you to emphasize a main idea while leaving some of the supporting facts out of an oral presentation. If an executive or supervisor leaves a presentation with a clear understanding of the main idea, the supporting material and facts will be meaningful when they are reviewed later. However, leaving a presentation with facts but not the main idea may result in the need for another presentation or briefing, which costs an organization time and money. Even when such a misunderstanding is due to the executives' poor listening skills, it will likely be you who is blamed.

Employees want to be seen as competent, and demonstrating oral communication skills is a good way to be noticed and show off your technical and professional abilities (Bartolome, 1999). Presentations are “high-visibility tasks” that establish a person's credibility when performed well (Weinholdt, 2006). Don't take advantage of this visibility to the point that you perform only for the boss or focus on him or her at the expense of other people in the audience. Do, however, tailor your message to the “language of executives.” Executives and supervisors often have a more macro perspective of an organization and may be concerned with how day-to-day tasks match with the mission and vision of the organization. So making this connection explicit in your presentation can help make your presentation stand out.

Be aware of the organizational hierarchy and territory when speaking to executives and supervisors. Steering into terrain that is under someone else's purview can get you in trouble if that person guards his or her territory (McCaskey, 1999). For example, making a suggestion about marketing during a presentation about human resources can ruffle the marketing manager's feathers and lead to negative consequences for you. Also be aware that it can be challenging to deliver bad news to a boss. When delivering bad news, frame it in a way that highlights your concern for the health of the organization. An employee's reluctance to discuss problems with a boss leads to more risk for an organization (Bartolome, 1999). The sooner a problem is known, the better for the organization.

Speaking to Colleagues

Much of our day-to-day communication in business settings is horizontal communication with our colleagues or people who are on the same approximate level in the organizational hierarchy. This communication may occur between colleagues working in the same area or between colleagues with different areas of expertise. Such horizontal communication usually functions to help people coordinate tasks, solve problems, and share information. When effective, this can lead to more cooperation among employees and a greater understanding of the “big picture” or larger function of an organization. When it is not effective, this can lead to territoriality, rivalry, and miscommunication when speaking across knowledge and task areas that require specialization (Adler & Elmhurst, 2005).

Many colleagues work collaboratively to share ideas and accomplish tasks together. In a sharing environment, it can be easy to forget where an idea started. This becomes an issue when it comes time for credit or recognition to be given. Make sure to give credit to people who worked with you on a project or an idea. If you can't remember where an idea came from, it may be better to note that it was a “group effort” than to assume it was yours and risk alienating a colleague.

Speaking to Supervisees/Employees

Downward communication includes messages directed at audience members who hold a lower place on the organizational hierarchy than the sender. As a supervisor, you will also have to speak to people whom you manage or employ. Downward communication usually involves job instructions, explanations of organizational policies, providing feedback, and welcoming newcomers to an organization.



Figure 17.2: Supervisors can set a good example by keeping a good flow of information going to their employees. [Wikimedia Commons](#) – public domain.

This type of communication can have positive results in terms of preventing or correcting employee errors and increasing job satisfaction and morale. If the communication is not effective, it can lead to unclear messages that lead to misunderstandings and mistakes (Adler & Elmhurst, 2005).

During this type of “top-down” communication, employees may not ask valuable questions. So it is important to create an open atmosphere that encourages questions. Even though including an open discussion after a presentation takes more time, it helps prevent avoidable mistakes and wasted time and money. Let your audience know before a presentation that you will take questions, and then officially open the floor to questions when you are ready. Question-and-answer sessions are a good way to keep information flowing in an organization, and there is more information about handling these sessions in the “Getting Competent” box in this chapter.

A good supervisor should keep his or her employees informed, provide constructive feedback, explain the decisions and policies of the organization, be honest about challenges and problems, and facilitate the flow of information (Bartolome, 1999). Information should flow to and away from supervisors. Supervisors help set the tone for the communication climate of an organization and can serve as models of expectations of oral communication. Being prepared, consistent, open, and engaging helps sustain communication, which helps sustain morale. Supervisors also send messages, intentional or unintentional, based on where they deliver their presentations. For example, making people come to the executive conference room may be convenient for the boss but intimidating for other workers (Larkin & Larkin, 1999).

Speaking to Clients / Customers / Funding Sources

Communication to outside stakeholders includes messages sent from service providers to people who are not employed by the organization but conduct business with or support it. These stakeholders include clients, customers, and funding sources. Communication to stakeholders may be informative or persuasive. When first starting a relationship with one of these stakeholders, the communication is likely to be persuasive in nature, trying to convince either a client to take services, a customer to buy a product, or a funding source to provide financing. Once a relationship is established, communication may take the form of more informative progress reports and again turn persuasive when it comes time to renegotiate or renew a contract or agreement.

As with other types of workplace communication, information flow is important. Many people see a lack of information flow as a sign of trouble, so make sure to be consistent in your level of communication through progress reports or status briefings even if there isn't a major development to report. Strategic ambiguity may be useful in some situations, but too much ambiguity also leads

to suspicions that can damage a provider-client relationship. Make sure your nonverbal communication doesn't contradict your verbal communication.

When preparing for a presentation to clients, customers, or funding sources, start to establish a relationship before actually presenting. This will help you understand what they want and need and will allow you to tailor your presentation to their needs. These interactions also help establish rapport, which can increase your credibility. Many people making a proposal mistakenly focus on themselves or their product or service. Focus instead on the needs of the client. Listen closely to what they say and then explain their needs as you see them and how your product or service will satisfy those needs (Adler & Elmhorst, 2005). Focus on the positive consequences or benefits that will result from initiating a business relationship with you. If you'll recall from the chapter titled "Informative and Persuasive Speaking", this is similar to Monroe's Motivated Sequence organization pattern, which gets the audience's attention, establishes the existence of a need or problem, presents a solution to fill the need, asks the audience to visualize positive results of adopting the solution, and then calls the audience to action.

Use sophisticated and professional visual aids to help sell your idea, service, or product. You can use strategies from our earlier discussion of visual aids, but add a sales twist. Develop a "money slide" that gets the audience's attention with compelling and hopefully selling content that makes audience members want to reach for their pen to sign a check or a contract (Morgan & Whitener, 2006).



Figure 17.3: Include a "money slide" in your presentation to potential clients or customers that really sells your idea. Yair Aronshtam – Slide projector – CC BY-SA 2.0.

Proposals and pitches may be cut short, so imagine what you would do if you arrived to present and were told that you had to cut it down to one minute. If you were prepared, you could pull out your money slide. The money slide could be the most important finding, a startling or compelling statistic, an instructive figure or chart, or some other combination of text and graphic that connects to the listener. Avoid the temptation to make a complicated money slide. The point isn't to fit as much as you can onto one slide but to best communicate the most important idea or piece of information you have. A verbal version of the money slide is the elevator speech. This is your sales pitch that captures the highlights of what you have to offer that can be delivered in a short time frame. I recommend developing a thirty-second, one-minute, and two-minute version of your elevator speech and having it on standby at all times.

Speaking in Intercultural Contexts

It's no surprise that business communication is occurring in more intercultural contexts. Many companies and consulting firms offer cross-cultural training for businesspeople, and college programs in cross-cultural training and international business also help prepare people to conduct business in intercultural contexts. For specific information about conducting business in more than thirty-two countries, you can visit the following link: <http://www.cyborlink.com>.

While these trainings and resources are beneficial, many people expect intercultural business communication training to be reduced to a series of checklists or rules for various intercultural interactions that may be conveyed in a two-hour, predeparture "everything you need to know about Japanese business culture" training. This type of culture-specific approach to cross-cultural training does not really stand up to the complex situations in which international business communicators find themselves (Victor, 1993). Scholars trained more recently in culture and communication prefer a culture-general approach that focuses on "tools" rather than "rules." Remember that intercultural competence is relative to the native and host cultures of the people involved in an intercultural

encounter, and therefore notions of what is intercultural competent change quickly (Ulijn et al., 2000). To review some of our earlier discussion, elements of intercultural competence involve the ability to identify potential misunderstandings before they occur, be a high self-monitor, and be aware of how self and others make judgments of value (Ulijn et al., 2000).

I will overview some intercultural business communication tips that are more like rules, but remember there are always exceptions, so other competent communication skills should be on standby to help you adapt when the rules approach stops working (Thrush, 1993).

In terms of verbal communication, make sure to use good pronunciation and articulation. Even if you speak a different language than your audience, clearer communication on your part will help the message get through better. Avoid idiomatic expressions and acronyms, since the meaning of those types of verbal communication are usually only known to cultural insiders. Try to use geographically and culturally relevant examples—for example, referencing the World Cup instead of the World Series. Be aware of differences in communication between high- and low-context cultures. Note that people from low-context cultures may feel frustrated by the ambiguity of speakers from high-context cultures, while speakers from high-context cultures may feel overwhelmed or even insulted by the level of detail used by low-context communicators. The long history of family businesses doing business with family businesses in France means that communication at meetings and in business letters operates at a high context. Dates and prices may not be mentioned at all, which could be very frustrating for an American businessperson used to highly detailed negotiations. The high level of detail used by US Americans may be seen as simplistic or childish to audience members from high-context cultures. Include some materials in the native language or include a glossary of terms if you're using specific or new vocabulary. Don't assume that the audience needs it, but have it just in case.

Also be aware that different cultures interpret graphics differently. Two well-known cases of differing interpretations of graphics involve computer icons. First, the “trash” icon first used on Mac desktops doesn't match what wastebaskets look like in many other countries. Second, the US-style “mailbox” used as an icon for many e-mail programs doesn't match with the mail experiences of people in most other countries and has since been replaced by the much more universally recognizable envelope icon. Nonelectronic symbols also have different cultural meanings. People in the United States often note that they are pursuing the “blue ribbon” prize or standard in their business, which is the color ribbon used to designate second place in the United Kingdom.

“Getting Competent”: Handling Question-and-Answer Periods

Question-and-answer (Q&A) periods allow for important interaction between a speaker and his or her audience. Speakers should always be accountable for the content of their speech, whether informative or persuasive, and making yourself available for questions is a good way to demonstrate such accountability. Question-and-answer sessions can take many forms in many contexts. You may entertain questions after a classroom or conference presentation. Colleagues often have questions after a briefing or training. Your supervisor or customers may have questions after a demonstration. Some question-and-answer periods, like ones after sales pitches or after presentations to a supervisor, may be evaluative, meaning you are being judged in terms of your content and presentation. Others may be more information based, meaning that people ask follow-up questions or seek clarification or more detail. In any case, there are some guidelines that may help you more effectively handle question-and-answer periods (Toastmasters International, 2012; Morgan & Whitener, 2006).

Setting the stage for Q&A. If you know you will have a Q&A period after your presentation, alert your audience ahead of time. This will prompt them to take note of questions as they arise, so they don't forget them by the end of the talk. Try to anticipate questions that the audience may have and try to proactively answer them in the presentation if possible; otherwise, be prepared to answer them at the end. At the end of your presentation, verbally and nonverbally indicate that the Q&A session is open. You can verbally invite questions and nonverbally shift your posture or position to indicate the change in format.

Reacting to questions. In evaluative or informative Q&A periods, speakers may feel defensive of their idea, position, or presentation style. Don't let this show to the audience. Remember, accountability is a good thing as a speaker, and audience members usually ask pertinent and valid questions, even if you think they aren't initially. Repeating a question after it is asked serves several functions. It ensures that people not around the person asking the question get to hear it. It allows speakers to start to formulate a response as they repeat the question. It also allows speakers to ensure they understood the question correctly by saying something like “What I hear you asking is...” Once you've repeated the question, respond to the person who posed the question, but also address the whole audience. It is awkward when a speaker just talks to one person. Be cautious not to overuse the statement “That's a good question.” Saying that more than once or twice lessens its sincerity.

Keeping the Q&A on track. To help keep the Q&A period on track, tie a question to one of the main ideas from your presentation and make that connection explicit in your response. Having a clearly stated and repeated main idea for your presentation will help set useful parameters for which questions fall within the scope of the presentation and which do not. If someone poses a question that is irrelevant or off track, you can politely ask them to relate it to a main idea from the talk. If they can't, you can offer to talk to them individually about their question after the session. Don't engage with an irrelevant question, even if you know the answer. Answering one "off-track" question invites more, which veers the Q&A session further from the main idea.

Responding to multipart questions. People often ask more than one question at a time. As a speaker and audience member this can be frustrating. Countless times, I have seen a speaker only address the second question and then never get back to the first. By that point, the person who asked the question and the audience have also usually forgotten about the first part of the question. As a speaker, it is perfectly OK to take notes during a Q&A session. I personally take notes to help me address multipart questions. You can also verbally reiterate the question to make sure you know which parts need to be addressed, and then address the parts in order.

Managing "Uh-oh!" moments. If a person corrects something you said in error during your presentation, thank them for the correction. After the presentation, verify whether or not it was indeed a mistake, and if it was, make sure to correct your information so you don't repeat the mistake in future talks. Admit when you don't know the answer to a question. It's better to admit that you do not know the answer than to try to fake your way through it. An audience member may also "correct" you with what you know is incorrect information. In such cases, do not get into a back-and-forth argument with the person; instead, note that the information you have is different and say you will look into it.

Concluding the Q&A session. Finally, take control of your presentation again toward the end of the Q&A session. Stop taking questions in time to provide a brief wrap-up of the questions, reiterate the main idea, thank the audience for their questions, and conclude the presentation. This helps provide a sense of closure and completeness for the presentation.

1. Which of these tips could you have applied to previous question-and-answer sessions that you have participated in to make them more effective?
2. Imagine you are giving a presentation on diversity in organizations and someone asks a question about affirmative action, which was not a part of your presentation. What could you say to the person?
3. In what situations in academic, professional, or personal contexts of your life might you be engaged in an evaluative Q&A session? An information-based Q&A session?

Common Business Presentations

Now you know how to consider your audience in terms of upward, downward, or horizontal communication. You also know some of the communication preferences of common career fields. Now we will turn our attention to some of the most frequent types of business presentations: briefings, reports, training, and meetings.

Briefings

Briefings are short presentations that either update listeners about recent events or provide instructions for how to do something job related (Adler & Elmhurst, 2005). Briefings may occur as upward, downward, or horizontal communication. An industrial designer briefing project managers on the preliminary results of testing on a new product design is an example of upward briefing. A nurse who is the shift manager briefing an incoming shift of nurses on the events of the previous shift is an example of downward briefing. A representative from human resources briefing colleagues on how to use the new workplace identification badges is an example of horizontal briefing. Briefings that provide instructions like how to use a new identification badge are called technical briefings, and they are the most common type of workplace presentation (Toastmasters International, 2012). For technical briefings, consider whether your audience is composed of insiders, outsiders, or a mixture of people different levels of familiarity with the function, operation, and/or specifications of the focus of the briefing. As we have already discussed, technical speaking requires an ability to translate unfamiliar or complex information into content that is understandable and manageable for others.



Figure 17.4: Technical briefings, which explain how something functions or works, are the most common type of workplace presentations. Shamim Mohamed – [Debrief](#) – CC BY-SA 2.0.

As the name suggests, briefings are *brief*—usually two or three minutes. Since they are content focused, they do not require formal speech organization, complete with introduction and conclusion. Briefings are often delivered as a series of bullet points, organized topically or chronologically. The content of a briefing is usually a summary of information or a series of distilled facts, so there are rarely elements of persuasion in a briefing or much supporting information. A speaker may use simple visual aids, like an object or even a one-page handout, but more complex visual aids are usually not appropriate. In terms of delivery, briefings should be organized. Since they are usually delivered under time constraints and contain important information, brief notes and extemporaneous delivery are effective (Adler & Elmhorst, 2005).

Reports

There are numerous types of reports. The line between a briefing and short oral report is fuzzy, but in general a report is a more substantial presentation on the progress or status of a task. Reports can focus on the past, present, or future. Reports on past events may result from some type of investigation. For example, a company may be interested in finding the cause of a 15 percent decline in revenue for a branch office. Investigative reports are also focused on past events and may include a follow-up on a customer or employee complaint.

Reports on the present are often status or progress reports. Various departments or teams that make up an organization, or committees that make up a governing board, are likely to give status reports. Status reports may focus on a specific project or task or simply report on the regular functioning of a group.

Components of a Status Report (Adler & Elmhorst, 2005)

1. State the group or committee's task or purpose.
2. Describe the current status, including work done by the group and/or individuals and the methods used.
3. Report on obstacles encountered and efforts to overcome them
4. Describe the next goal or milestone of the group and offer concrete action steps and a timeline for achieving the goal.

Final reports are presented at the conclusion of a task and are similar to a progress report but include a discussion and analysis of the results of an effort. While some progress reports may only be delivered verbally, with no written component, a final report almost always has an associated written document. The written final report usually contains much more detail than is included in the oral final report, and this detail is referenced for audience members to consult if they desire more information (Adler & Elmhorst, 2005).

A common future-focused report is the feasibility report, which explores potential actions or steps and then makes recommendations for future action based on methodical evaluation. The purpose of these reports is basically to determine if an action or step is a good idea for an organization. Facebook made a much-discussed move to go public in 2012, a decision that was no doubt made after analyzing many feasibility reports.

Components of a Feasibility Report (Adler & Elmhorst, 2005)

1. Introduction to a problem or situation and its potential consequences

2. Overview of the standards used for evaluating potential courses of action
3. Overview of process used to identify and evaluate courses of action
4. Details of potential courses of action
5. Evaluation of the potential courses of action
6. Recommendation of best course of action

Training

People in supervisory or leadership positions often provide training, which includes presentations that prepare new employees for their jobs or provide instruction or development opportunities for existing employees. While some training is conducted by inside and outside consultants, the US Bureau of Labor and Statistics notes that about 75 percent of training is delivered informally while on the job (Adler & Elmhorst, 2005). As the training and development field expands, this informal training is likely to be replaced by more formalized training delivered by training professionals, many of whom will be employees of the company who have been certified to train specific areas. Organizations are investing more time and money in training because they recognize the value in having well-trained employees and then regularly adding to that training with continued development opportunities. Common focuses of training include the following:

- **Compliance with company policies.** Includes training and orienting new hires and ongoing training for existing employees related to new or changing company policies.
- **Changing workplace environments.** Diversity training and cross-cultural training for international business.
- **Compliance with legal policies.** Sexual harassment, equal employment, Americans with Disabilities Act, and ethics training.
- **Technical training.** Instructions for software, hardware, and machinery.

Companies are also investing money in training for recent college graduates who have degrees but lack the technical training needed to do a specific job. This upfront investment pays off in many situations, as this type of standardized training in field-specific communication skills and technology can lead to increased productivity.



Figure 17.5: Corporate trainers prepare new employees for their jobs and provide development opportunities for existing employees. Louisiana GOHSEP – [Employees Attend Training Classes](#) – CC BY-SA 2.0.

Trainers require specific skills and an ability to adapt to adult learners (Ray, 1993). Important training skills include technical skills specific to a discipline, interpersonal skills, organizational skills, and critical thinking skills. Trainers must also be able to adapt to adult learners, who may have more experience than the trainer. Training formats usually include a mixture of information presentation formats such as minilecture and discussion as well as experiential opportunities for trainees to demonstrate competence such as role-play, simulation, and case-study analysis and application. Trainers should remember that adult learners learn best by doing, have previous experience that trainers can and should draw on, have different motivations for learning than typical students, and have more competing thoughts and distractions. Adult learners often want information distilled down to the “bottom line”; demonstrating how content is relevant to a specific part of their work duties or personal success is important.

Steps in Developing a Training Curriculum(Beebe, Mottet, & Roach, 2004)

1. Do background research based on literature on and observations of the training context you will be in.
2. Conduct a needs assessment to see what sort of training is desired/needed.
3. Develop training objectives based on research, observations, and needs assessment. Objectives should be observable, measurable, attainable, and specific.
4. Develop content that connects to the needs assessment.
5. Determine the time frame for training; make the training as efficient as possible.
6. Determine methods for delivering content that connect with objectives developed earlier.
7. Select and/or create training materials.
8. Create a participant's guide that contains each activity and module of the training.
9. Include the following for each training activity: objectives, training content, time frame, method, and materials needed.
10. Test the training plan on a focus group or with experts in the field to evaluate and revise if necessary.

Meetings

Over eleven million meetings are held each day in the United States, so it is likely that you will attend and lead meetings during your career. Why do we have meetings? The fundamental reason is to get a group of people with different experiences and viewpoints together to share their knowledge and/or solve a problem. Despite their frequency and our familiarity with them, meetings are often criticized for being worthless, a waste of time, and unnecessary. Before you call a meeting, ask yourself if it is necessary, since some issues are better resolved through a phone call, an e-mail, or a series of one-on-one meetings. Ask the following questions to help make sure the meeting is necessary: What is the goal of the meeting? What would be the consequences of not having it? How will I judge whether the meeting was successful or not? (Jay, 1999)

Meetings are important at the early stages of completing a task, as they help define a work team since the members share a space and interact with each other. Subsequent meetings should be called when people need to pool knowledge, refine ideas, consider new information, or deliberate over a decision. Most meetings are committee size, which ranges from three to ten people. The frequency of the meeting will help determine how the meeting should be run. Groups that meet daily will develop a higher level of cohesion and be able to work through an agenda quickly with little review. Most groups meet less frequently, so there typically needs to be a structured meeting agenda that includes informational items, old business, and new business.

In determining the meeting agenda, define the objectives for various items. Some items will be informative, meaning they transmit information and don't require a decision or an action. Other items will be constructive, in that they require something new to be devised or decided, such as determining a new policy or procedure. Once a new policy or procedure has been determined, a group must decide on the executive components of their decision, such as how it will be implemented and who will have responsibilities in the process. As the items progress from informational, to constructive, to executive, the amount of time required for each item increases, which will have an effect on the planning of the agenda (Jay, 1999).

After completing the agenda, continue to plan for the meeting by providing attendees with the agenda and any important supporting or supplementary materials such as meeting minutes or reports ahead of time. Consult with people who will attend a meeting beforehand to see if they have any questions about the meeting and to remind them to review the materials. You can also give people a "heads up" about any items for discussion that may be lengthy or controversial. Make sure the meeting room can accommodate the number of attendees and arrange the seating to a suitable structure, typically one where everyone can see each other. A meeting leader may also want to divide items up as "for information," "for discussion," or "for decision." Start the meeting by sharing the objective(s) that you determined in your planning. This will help hold you and the other attendees accountable and give you something to assess to determine the value of the meeting.

People's attention spans wane after the first twenty minutes of a meeting, so it may be useful to put items that warrant the most attention early on the agenda. It is also a good idea to put items that the group can agree on and will unify around before more controversial items on which the group may be divided. Anything presented at the meeting that wasn't circulated ahead of time should be brief, so people aren't spending the meeting reading through documents. To help expedite the agenda, put the length of time you think will be needed for each item or category of items on the agenda. It is important to know when to move from one item to the next. Sometimes people continue to talk even after agreement has been reached, which is usually a waste of time. You want to manage the communication within the meeting but still encourage people to speak up and share ideas. Some people take a more hands-on approach to managing the conversation than others. As the president of the graduate student body, I attended a few

board of trustees meetings at my university. The chairperson of the committee had a small bell that she would ring when people got off track, engaged in personal conversations, or were being disruptive to the order of the group.

At the end of the meeting make sure to recap what was accomplished. Return to the objective you shared at the beginning and assess whether or not you accomplished it. If people feel like they get somewhere during a meeting, they will think more positively about the next one. Compile the meeting minutes in a timely fashion, within a few days and no more than a week after the meeting (Jay, 1999).

Tips for Running Effective Meetings

1. Distribute an agenda to attendees two to three days in advance of the meeting.
2. Divide items up on the agenda into “for information,” “for discussion,” and “for decision.”
3. Put items that warrant close attention early on the agenda.
4. Since senior attendees’ comments may influence or limit junior people’s comments, ask for comments from junior attendees first.
5. People sometimes continue talking even after agreement has been reached, so it’s important to know when to move on to the next item in the agenda.
6. At the end of a meeting, recap what was accomplished and set goals for the next meeting.
7. Compile meeting minutes within forty-eight hours and distribute them to the attendees.

Key Takeaways

- What counts as being a good communicator in one business context doesn’t in another, so being able to adapt to various business settings and audiences will help you be more successful in your career.
- Upward business communication involves communicating messages up the organizational hierarchy. This type of communication is usually the most lacking in organizations. However, since oral presentations are a “high-visibility” activity, taking advantage of these opportunities can help you get noticed by bosses and, if done well, can move you up the organizational ladder. Present information succinctly in an executive summary format, building in repetition of main ideas in the oral delivery that aren’t necessary for the written version. Don’t just focus on the boss if there are other people present, but do connect to the vision and mission of the organization, since most managers and executives have a “big picture” view of the organization.
- Horizontal communication is communication among colleagues on the same level within an organizational hierarchy. This type of communication helps coordinate tasks and lets people from various parts of an organization get a better idea of how the whole organization functions. Many workplaces are becoming more collaborative and team oriented, but make sure you share credit for ideas and work accomplished collaboratively so as not to offend a colleague.
- Downward communication includes messages traveling down the organizational hierarchy. These messages usually focus on giving instructions, explaining company policies, or providing feedback. As a supervisor, make sure to encourage employees to ask questions following a presentation. Good information flow helps prevent employee errors and misunderstandings, which saves money.
- Initial communication with clients, customers, or funding sources is usually persuasive in nature, as you will be trying to secure their business. Later communication may be more informative status reports. Connect your message to their needs rather than focusing on what you offer. Use persuasive strategies like positive motivation, and always have a “money slide” prepared that gets across the essence of what you offer in one attractive message.
- When adapting business communication to intercultural contexts, take a “tools not rules” approach that focuses on broad and adaptable intercultural communication competence.
- There are various types of business presentations for which a speaker should be prepared:
 - Briefings are short, two- to three-minute “how-to” or “update” presentations that are similar to factual bullet points.
 - Reports can be past, present, or future focused and include status, final, and feasibility reports.
 - Trainings are informal or formal presentations that help get new employees ready for their jobs and keep existing employees informed about changing policies, workplace climates, and legal issues.
- To have an effective meeting, first make sure it is necessary to have, then set a solid foundation by distributing an agenda in advance, manage the flow of communication during the meeting, and take note of accomplishments to promote a positive view

of future meetings.

Exercises

1. Identify a recent instance when you engaged in upward, horizontal, downward, or intercultural communication in a business setting. Analyze that communication encounter based on the information in the corresponding section of this chapter. What was done well and what could have been improved?
2. Prepare a briefing presentation on how to prepare a briefing. Make sure to follow the suggestions in the chapter.
3. Think of a time when you received training in a business or academic setting. Was the communication of the trainer effective? Why or why not?

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