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ABSTRACT

This document contains three papers on ethics and integrity in human resource development (HRD). "Redefining Human Resource Development: An Integration of the Learning, Performance, and Spirituality of Work Perspectives" (Reid A. Bates, Tim Hatcher, Elwood F. Holton III, Neal Chalofsky) describes an effort to articulate the tensions between the learning, performance, and spirituality of work perspectives on the goals of HRD and presents a new statement of purpose for HRD that reflects the underlying synergy of the three perspectives. "Codes of Ethics and Enforcement of Ethical Conduct: A Review of Other Organizations and Implications for AHRD (American Academy of Human Resource Development)" (Janet Z. Burns, Darlene Russ-Eft, Howell F. Wright) reviews four organizations to determine their historical foundations and monitoring mechanisms for implementation of ethics codes. It also discusses aspirational versus punitive applications in the case of the AHRD. "The Role of Codes of Ethics in the Future of Human Resource Development" (Wendy E.A. Ruona, A. Carol Rusaw) explores how the AHRD Standards on Ethics and Integrity fit with the evolution of the emerging profession of HRD and the philosophical activity within in and suggests specific steps for AHRD to consider to facilitate use of the standards. All three papers include substantial bibliographies. (MN)

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Redefining Human Resource Development: An Integration of the Learning, Performance, and Spirituality of Work Perspectives

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Three fundamental perspectives dominate the debate about what the goals of HRD should be – the learning, performance and spirituality of work perspectives. This paper describes an effort to articulate the tensions between these perspectives, clarify their underlying values, and examine how seemingly discordant values can be integrated into a unified conception of HRD. As a result, new statement of purpose for HRD is presented that the authors believe reflects the underlying synergy of these perspectives.

Keywords: Human Resource Development, HRD Purpose, HRD Goals

HRD has been called a field in search of itself (Watkins, 1990) and a good deal of literature has emerged in the last five or more years aimed at describing what is or should be the purpose of HRD. In general, this literature approaches the definition of purpose from at least three different perspectives that can be characterized as the learning, performance, and spirituality of work perspectives. The debate among these different perspectives has at times been heated, has generated little consensus, and has done little to move the field forward in terms of a philosophy of purpose. It is, as Ruona and Lynham (1999, p. 215) have pointed out,

... a conversation having us – that is, ... a conversation that is ongoing and becomes the prominent focus such that little else actually happens except the having of the conversation. Very few new thoughts are generated, positions are defended, tradition weighs heavy, and very little progress is made in understanding and creating new meaning.

This paper reports on a journey undertaken by a small group of HRD scholars and practitioners to analyze the tension and gulf between these perspectives. The context was the joint Pre-conference on Integrity and Performance in HRD at the 2000 Academy of Human Resource Development international conference held in Raleigh, North Carolina. Our goal in this preconference was to clarify the fundamental values about what HRD should be and to explore if and how these values could be woven together. Our efforts led us to articulate a new statement of purpose for HRD that we believe reflects the synergy of the learning, performance, and spirituality of work perspectives:

The purpose of HRD is to enhance learning, human potential, and high performance in work-related systems.

The impetus for this effort came out of a concern shared by the participants and articulated elsewhere that the apparent disparity in perspectives and values could threaten HRD's contributions and, ultimately, its sustainability and the sustainability of organizations, society and the ecosystem (Hatcher, 1999; Ruona, 2000). Although our goal was to find a common ground that celebrates the diversity of values in our field, our intent was not to be reductionist or to delimit the field through rigorous definition. Nor do we suggest the statement of purpose presented here represents a finished end product. We believe, however, that the new statement of purpose provides a starting point for discovering the unity in our field. We hope that this effort represents what will be an ongoing process of reflecting on, clarifying, and articulating a meaningful and sustainable philosophy of HRD.

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Historical Context

The Academy of Human Resource Development has offered pre-conferences as part of its annual international research conference since 1997. These pre-conferences are designed to provide a venue for dialogue and discussion of contemporary research and practice issues facing HRD scholars and practitioners. They also provide professional development opportunities for HRD scholars and practitioners.

The Performance Pre-conference had customarily focused on theory, definition, research, and application of performance improvement. However, one of the themes of the 1999 Performance pre-conference became a discussion of the "tension" between two perspectives in HRD, the holistic learning and performance perspectives.

Since its inception the Integrity Pre-conference has addressed issues surrounding spirituality, meaning in work, how individuals conceptualize the meaning of work, and how these concepts influence learning. In 1999 the pre-conference's focus was on the role of spirituality in work and its manifestation in work environments and work-related learning, and how these non-instrumental, non-secular issues influence HRD research and practice.

Early planning phases for both of the 2000 AHRD Performance and Integrity pre-conferences focused on evolution, the next iteration of discussions, themes, and evaluations, which emerged from the 1999 pre-conferences. As the pre-conference chairs developed strategies for the 2000 conference, it became obvious that conceptually the groups were converging. Consequently, the Performance and Integrity pre-conferences were merged in 2000 and conducted as a Joint Session of the AHRD Pre-conference on Integrity & Performance in HRD.

The Three Perspectives

To fully appreciate the diversity of views about the purposes of HRD a brief sketch of three fundamental philosophical perspectives of HRD are presented. The purpose of these sketches is to give readers a richer context for understanding what drove the pre-conference session and the significance of its outcomes.

The Spirituality of Work Perspective. The concept of spirituality at work is multidimensional, transformational, and is expressed through one's ability to find meaning in everyday life and the capacity to create a meaningful world (Chalofsky, 2000; Neck & Milliman, 1994). Spirituality is a very personal thing concerned with making meaning of one's reality and finding significance in that meaning. It is a function of all life experience, including work, and has been described as "a reaffirmation of self [that is] characterized by a contextual awareness of oneself as one journeys inward to discover the self" (Chalofsky, 2000, p. 97). Spirituality emphasizes inner growth that is realized through the interaction of self, context, and life experiences. The growth can become transformational in that it empowers individuals to take an active and creative role in shaping the world in which they live and work.

This perspective emphasizes a holistic approach to the human development and the development of organizations that is reflected in two fundamental elements. First, it recognizes the need to develop the whole person (Dirkx, 1996). It is concerned not only with individual cognitive development but also emotional, moral, ethical, creative and relational development. It is focused on development that will enable individuals to realize their full potential in a meaningful way, and is concerned with issues surrounding meaning of work, how individuals experience work, and how they make meaning out of that experience. Dirkx and Deems (1996), for example, call for an ecological approach to work, one that "bridge[s] the gulf between the psychological and the organizational, to see the needs of the individual and the workplace as a continuum, to understand the 'inner life' as intimately and deeply connected to and embedded within an outer life" (p. 276). Because of HRD's expertise and compassion to address skills and quality of life issues, both of which are critical for organizational success, this perspective stresses that one of HRD's key functions is to help organizations move toward a more 'human' relationship with their personnel.

Second, the spirituality of work perspective sees work as having a transcendent element that goes beyond individual and organizational boundaries. This view is grounded in the notion of interconnectedness, a systems perspective that sees the world as a complex of parts braided together into a unified whole (Capra, 1996). The implication is that HRD values and goals should extend beyond issues of work objectives, tasks, structure, productivity, or performance to a concern for the health and humanness of our organizations, society, and the world as a whole (Hatcher, 2000; Hawley, 1993). For example, Rousseau & Arthur (1999) argue that organizations have a duty to contribute to both individual work expertise and quality of life. Hatcher & Brooks (2000) have noted a number of emerging economic, systems, and psychological theories that encourage us to "take responsibility for the world beyond our organization, and recognize that with each interaction we have and each action we take, we are co-constructing a new organization" (p. 9).

This perspective also finds expression in a developing discourse in the HRD literature surrounding issues of social responsibility (Hatcher, 1998; 2000) and sustainable human development (Bates, in press), although how the expression of these values can be managed in an organizational context is not yet resolved. Some suggest that, as architects of organizational performance systems and facilitators of human learning and development, HRD should embody these values and express them in organizations through a legitimate 'check and balance' role (McAndrew, 2000), or through development of strategies that reflect societal and ecosystem needs (Hatcher, 1998, 2000). Bates (in press) applies Burgoyne and Jackson's (1997) 'arena thesis' and characterizes HRD as a mediator mechanism where value and goal conflicts between work systems and the requirements of sustainable human development are clarified, negotiated and resolved.

The Learning Perspective. Underlying the learning perspective is the fundamental belief that enhancing learning should be a primary goal of HRD, and organizations that adopt such a focus will have a more satisfied and productive workforce and will be more effective. This perspective emphasizes change through learning and sees HRD as "the field of study and practice responsible for fostering long-term, work-related learning capacity at the individual, group and organizational levels in organizations" (Watkins, 1989, p. 427). HRD is thus primarily concerned with "increasing the learning capacity of individuals, groups, collectives and organizations through the development and application of learning-based interventions for purpose of optimizing human and organizational growth and effectiveness" (Chalofsky, 1992, p. 179). Two fundamental focal points of the learning perspective are adult learning theory and research and development addressing the concepts of the learning organizations and organizational learning.

Adult learning is represented by a complex of theories, models, ideas, and principles, perhaps the most popular of which is embodied in a set of six core adult learning principles that Knowles (1990) labeled andragogy. Although it is generally agreed that adult learning plays an important role in HRD, there is a continuum of beliefs about how adult learning should be conceptualized. On one hand, some advocate that the real value of adult learning lies in its ability to contribute to individual development (Dirkx, 1996). Individual development, in turn, is framed to include not simply the accumulation of knowledge or skills, but the development of cognitive schemes and ways of thinking that can enlighten and transform personal experience (Barrie & Pace, 1998). In fact, in one of Knowles's (1975) lesser-known works, *Self-Directed Learning*, he called for a definition of competency that included not only knowledge and skill, but also understanding, attitudes, and values. This view emphasizes the intrinsic value of learning over its instrumentality, does not limit adult learning in HRD to organizational contexts, and believes that the decisions about when and what learning occurs should reside primarily with individual learners (Hiemstra & Sisco, 1990). At the other extreme, there are those that posit that the worth of workplace adult learning can only be judged by the extent to which it contributes to the performance goals of the sponsoring organization (Swanson & Arnold, 1997). This view emphasizes organizational needs over those of the individual and believes that when individual and organizational needs are not wholly congruent, organizational needs take precedent. Van der Krogt (1998) discussed this tension as "learning systems as a tool for management" vs. "learning systems as a tool of personal development".

As implied in the Watkins and Chalofsky definitions cited above, there is also a need to move to a broader, more transformative definition of workplace learning that allows for learning to be a critical part of organizational culture (Watkins and Marsick, 1993). Senge (1990) defined a learning organization as an organization that is continuously expanding its capacity to create its future and change in response to new realities. Learning is the driver of this capability and HRD is responsible for "facilitating or monitoring all types of learning in the workplace including formal, informal, and incidental learning" (Watkins & Marsick, 1992, p. 118). Learning organizations are those that have woven a continuous and enhanced capacity to learn, adapt and change into their culture. Here values, policies, practices, systems and structures are oriented toward supporting and accelerating the learning of all employees. This learning results in continuous performance improvement in areas such as work processes, products and services, the structure and function of individual jobs, teamwork, and effective management practices. Learning organizations view learning holistically and seek to develop individuals as competent, well informed, critical thinking adult learners who are continuously seeking to grow and be high performing (Bierema, 1996). Holistic, transformative learning leads to personal growth (intellectually, psychologically, spirituality, and morally), which then leads to high performance, workplace meaning & satisfaction, and organizational effectiveness.

The Performance Perspective. Holton (in press; 2000) has defined performance as accomplishing units of mission-related outcomes or outputs. A performance system is any system organized to accomplish a mission or purpose. It is important to note that the term performance system is used instead of organization. Performance systems are simply purposeful systems that have a specified mission. All organizations are performance systems, but some performance systems are not an organization. For example, a community could become a performance system

if it adopts a mission. Thus, the performance paradigm holds that the purpose of HRD is to advance the mission of the performance system, which sponsors the HRD efforts, by improving the capabilities of individuals working in the system and improving the systems in which they perform their work. Holton (2000) outlined eleven core theoretical assumptions of this perspective:

1. Performance systems must perform to survive and prosper, and individuals who work within them must perform if they wish to advance their careers and maintain employment or membership.
2. The ultimate purpose of HRD is to improve performance of the system in which it is embedded and which provides the resources to support it.
3. The primary outcome of HRD is not just learning, but also performance.
4. Human potential in organizations must be nurtured, respected and developed.
5. HRD must enhance current performance and build capacity for future performance effectiveness in order to create sustainable high performance.
6. HRD professionals have an ethical and moral obligation to insure that attaining organizational performance goals is not abusive to individual employees.
7. Training/learning activities cannot be separated from other parts of the performance system and are best bundled with other performance improvement interventions.
8. Effective performance and performance systems are rewarding to the individual and to the organization.
9. Whole systems performance improvement seeks to enhance the value of learning in an organization.
10. HRD must partner with functional departments to achieve performance goals.
11. The transfer of learning into job performance is of primary importance.

In addition, five myths about the performance perspective were identified:

1. Performance is behavioristic. The performance paradigm is not the same as behaviorism. The performance paradigm is most concerned that performance outcomes occur, but in no way should it be interpreted to restrict the strategies and interventions employed to behavioristic ones.
2. Performance is deterministic. Another mistaken belief is that the performance paradigm demands that outcomes of HRD interventions be pre-determined before the interventions. Performance advocates are just as comfortable as learning advocates with less certain outcomes, provided that outcomes do occur at some point.
3. Performance ignores individual learning and growth. The performance paradigm honors and promotes individual learning and growth just as much as a learning paradigm does. The key difference is that the performance paradigm expects that learning and growth will benefit the performance system in which it is embedded.
4. Performance is abusive to employees. There is little doubt that a performance approach to HRD can be abusive to employees, particularly when organizations use cost-cutting through downsizing as a substitute for sound performance improvement. However, this is a problem of implementation, not one that is inherent in the theoretical framework.
5. Performance is short-term focused. Once again, this is a problem of implementation, not theory. It is true that many organizations place too much emphasis on short-term results. However, most organizations have learned that focusing on short-term performance and not building capacity for long-term success does not work. There is nothing inherent in performance theory that says it must be short-term.

The performance perspective pushes HRD to grapple with two basic questions: Could HRD sponsored by a performance system survive if it did not result in improved performance for the system? Second, will it thrive if it does not contribute in a substantial way to the mission of the organization? Like all components of any system or organization, HRD must enhance the organization's effectiveness. The challenge is to consider how performance should be incorporated in HRD theory and practice, not if it should be.

The performance perspective maintains that HRD will only be perceived as having strategic value to the organization if it has the capability to connect the unique value of employee expertise with the strategic goals of the organization (Torraco & Swanson, 1995). Performance advocates see little chance that HRD will gain power and influence in organizations by ignoring the core performance outcomes that organizations wish to achieve. By being both human and performance advocates HRD stands to gain the most influence in the organizational system. If the field of HRD focuses only on learning or individuals, then it is likely to end up marginalized as a staff support group.

The Performance/Integrity Pre-conference

The goal of the pre-conference was to explore ways in which the apparent gaps between these seemingly disparate conceptual camps could be bridged. Early pre-conference planning discussions revealed that the debate over

appropriate goals and philosophy of HRD had created false dichotomies and extreme and passionate views consistent with what may appear at first glance to be fundamentally different and mutually exclusive orientations. It became clear that entering into a dialogue aimed at exploring the similarities and differences between these perspectives would enhance understanding of the tension and hopefully provide insights that would help integrate the field of HRD. A fundamental assumption was that integration was desirable and that working within the inherent tension between these perspectives was a positive rather than a negative issue. The tension stimulated thought and constructive action and should be embraced rather than viewed as something that needed to be “fixed”. With this in mind, the following pre-conference goals were articulated:

1. Clarify the nature of the three perspectives and the tension between them.
2. Investigate the implications of these perspectives for research and practice.
3. Explore the desirability and possibility of synthesis.

In the pre-conference session, groups crystallized around each of the three perspectives. The three groups were asked to “define” and/or describe their perspective as it related to the other perspectives and discuss how their perspective might be implemented within organizations. The “*learning*” group reported that learning in an organization is a paradigm shift that becomes the core value and can be viewed as a benefit. Learning is aligned with organizational culture, integrity of the individual, and with the ethics of the organization. Thus, the purpose of HRD is to create learning organizations conducive to integrity of the individual and ethics of the organization. The idea of learning/spirit must be conscience within the organization. To accomplish this we might develop conversational spaces that facilitates discourse on spirituality, learning, ethics, and integrity issues. These spaces might help executives see how the three perspectives are aligned and “buy-in” to the idea that all three are relevant and equally important within the organization.

The “*performance*” group said that a congruent relationship between spirit and performance results in pride in work, but there are problems with different “levels” of work requiring different pay levels. For example, how do you instill pride or meaning of work in a low pay, low prestige, or low value-added job? Thus, there is a relationship between the work done and meaning of work: the kind of work being done may create problems in linking spirituality/meaning of work and performance. To address this issue it may be possible to restructure work in ways that help the worker identify the inherent spirituality and meaning of the work. The group also the importance of an organizational culture that allows for all three perspectives, and described several challenges. The first was how to help management understand the value of the three perspectives and then how to get their support and assistance in creating or instilling them within the organization. Another related challenge was how the three perspectives are measured and how they might be linked to what is already important within an organization.

The performance group continually stressed the notion that performance can not be ignored in an organizational system. That is, every organization of every type has to perform, and measuring that performance is critical. For example, even churches routinely talk about performance metrics such as membership, persons assisted, money raised for certain ministries, and so on. They suggested that it would be unrealistic for HRD to not be concerned with performance. They also quickly acknowledged that performance can be misused in organizations and can become abusive to employees—but so can learning. Thus it is important to talk about the ethical use of performance, but not to discard the construct as part of HRD’s purpose.

The “*spirituality*” group developed a “performance-learning-meaning” model placing these three elements within a helix-like structure. As the meaningfulness of work increases so does learning and performance, thus all three are interdependent and mutually supportive. Parker Palmer’s ideas around expressive and instrumental work were discussed and it was noted that most work environments emphasize the latter over the former. This led to a discussion of the resistance to meaning in work within corporate environments, the “just tell me what to do” syndrome, and the extent to which HRD has a responsibility to the resistant worker to offer an alternative vision. That is, we have a moral obligation to act on our understanding of the value in finding meaning in work. Many people are conditioned by the systems in which they work so HRD must work on the system’s understanding of the meaning in work.

As practitioners, we must educate and enlighten at the individual level – how it influences the individual and the contextual level – how to advance the idea of spirit at work. To do this we need to identify what work means to us and understand that we can’t always act on our own value system; the “we shouldn’t but can’t afford not to work for this company anymore” dilemma. So, we need to find ways to protect ourselves and use spirituality at work as a means of self-discovery and enhancing self-worth.

Within training programs, if we subscribe to the ideas of human potential inherent in spirit and meaning what is the implication for our practice? How do HRD programs manifest these issues – how do we give people individual capacity to work on, to build on the tension between the three perspectives – and within our academic programs? As researchers, we need to do research in areas where this is working to identify how and what is going

on. We must also ask how do we begin to talk about spirituality at work at all levels? Finally, do we have a moral obligation to do this and to move our organizations toward social responsibility?

After the three groups presented their thoughts an open discussion ensued with pertinent ideas documented on flip charts and summarized as follows: The three perspectives were illustrated with each of the three perspectives inside three interconnected circles; the area where the three intersect being where we should place our efforts. The idea that we must establish "common ground" meant that we needed to work to bring the perspectives together and begin to focus on their similarities and areas of convergence. Many participants expressed concerns that current purposes and definitions of HRD would be insufficient to support the convergence and that we should focus on the reformulation of the purpose and definition of HRD.

It was agreed that the redefinition or purpose statement process should start with ideas or themes around common ground between the three perspectives of performance, learning, and spirituality. Ideas or common themes included *work, learning, human potential, tension, balance, core values, process, product, sustainability, alignment, performance, and system*. There was much discussion around the meaning of and possible substitution of *human potential* for spirituality. It was agreed that human potential was more descriptive of the goals of HRD and less ambiguous than the idea of spirituality since it may be defined and conceptualized in many different ways in different cultures. Another important discussion was around the issue of whether or not HRD happens only within an organizational context, or whether or not it may apply outside the constraints of the organization. Asking the question "what would happen to the concept of HRD if it was removed from its organizational context?" facilitated this discussion.

A Statement of Purpose for HRD

As a result of these discussions a working purpose statement of HRD was formulated: *The purpose of HRD is to enhance learning, human potential and high performance in work-related systems.* We believe this purpose statement reflects the synergy of the performance, learning, and spirituality perspectives. Because the language used in the statement enjoys common use among HRD scholars and practitioners, the following description of terms is offered for clarification and as a starting point for dialogue about what this purpose statement does or should mean for the field of HRD.

Learning. In the context of our purposes statement, learning is defined as a relatively permanent change in work system capabilities. It can result from formal, planned learning experiences such as those that occur in training situations. It also includes structured and unstructured self-directed learning, as well as unplanned, spontaneous learning that occur when one learns from one's work (Watkins, 1998). Learning occurs at the individual level and involves the acquisition of verbal information, intellectual skills, motor skills, attitudes, and cognitive strategies that enhance the ability or potential of individuals (Gagne & Medsker, 1996). Learning is also applied to larger work systems (groups, organizations, and other goal-oriented collectives) through the concept of a learning organization (Senge, 1990). Learning is therefore an essential part of developing high performance work-related systems and enhancing learning must be an integral part of a contemporary purpose/definition of HRD.

Human potential. Human potential is defined as the latent capabilities in humans for growth and development. Building human potential is critical for HRD because of the implications it has for the ongoing adaptation, change, and the well being of individuals and work systems (Bates, in press). The term human potential is used instead of spirituality because the latter is viewed as a relatively ambiguous term subject to divergent views and definitions that would detract from its functional meaning and consistent interpretation within HRD, especially within diverse work cultures.

Performance. Performance is defined as the outcomes or achievements that result from goal-directed work system behavior. High performing work systems are those that optimize the fit between system elements (people, processes, information, technology, or sub-systems) in ways that enable the work system to meet or exceed its performance goals (Nadler & Gerstein, 1992). The use of the term *high performance* includes recognition of the social responsibility of HRD within private and public environments.

Work-related Systems. A work-related system is defined as an interdependent, organized architecture of human activity directed toward the accomplishment of a valued goal or outcome (Bates, in press). The structure, complexity, and goals of work systems distinguish them from organized human activities directed at play or recreation. The choice of the term *work-related systems* versus organizations, companies, or related terms we believed explicitly recognizes the wide range of contexts in which HRD operates. This notion conceives work systems to include individuals themselves, organized work teams, and formal for-profit and public service work organizations. It comprises informal organizations, such as community-based organizations, composed of a varying

number of individuals without a formal organizational structure that act interdependently to accomplish often vaguely defined goals. The concept also extends to collections of interdependent work-related sub-systems, such as those reflected in regional or national workforce development systems, educational systems, health or social service systems. These larger work systems reflect organized networks of smaller work systems that are fit together in ways that allow the larger system to respond to a broader range of customer demands and environmental threats or opportunities (Bates, in press).

Defining work-related systems as HRD's domain of activity makes several fundamental assumptions. First, it assumes that work-related systems are created to enhance the human condition. Second, it assumes that work systems are entities that do not exist independently from the people that comprise them. Rather, work systems are composed of people and processes, often multiple collectives with complex systems of social relationships, which have a shared set of symbols (e.g., language) and experience. Finally, the fact that work-related systems are composed of people makes them the appropriate focal point for HRD activity.

Implications for the Field of HRD

The results of this pre-conference revealed that the three perspectives evident in HRD today are not so distant as they appear and that there was much to learn from the integration of these concepts. Although the relationship between these three perspectives has often been contentious, we discovered that this diversity of views is a source of strength for HRD and that there is a good deal of fundamental convergence between the perspectives. Result of the pre-conference made it clear that a new way of looking at HRD, a new worldview or paradigm was needed to help the field and its professionals add real value to people, organizations, and societies in the future. It also highlighted the interconnectedness of the three approaches.

It seems reasonable to assume that diversity of viewpoints or worldviews that the HRD profession continually promotes must also be reflected in our purpose and/or definition statements. To the extent that the purpose statement offered here reflects this diversity it is incumbent upon the profession, and in particular its researchers and scholars to examine this purpose, to apply it, and validate it thoroughly before it is institutionalized and eventually canonized. Additionally, to meet the needs of such a diverse and eclectic group as those involved in the HRD profession the implications of what this small group of scholars attempted to accomplish and what they developed as a result of the 2000 AHRD pre-conference should be further investigated and the dialogue possibly continued. It is our hope that, at a minimum, this new statement of purpose pushes HRD to look beyond its instrumentality and offers us a start to create unity amongst us while providing more meaningful and holistic parameters within which we can and should positively shape and inspire the systems in which we work.

Participants

Participants in the 2000 Performance-Integrity Preconference included Steven Aragon, Reid Bates, Neal Chalofsky, Jason Yu-Shu Chen, John M. Dirx, Tim Hatcher, Ed Holton, Herb Huber, Olga Kritskaya, David Machles, Shirine Mafi, Wim Nijhof, Hallie Preskill, Wendy Ruona, Steve Semler, Nadine Simon, Lisa Stevens, Rich Torracco, Alex Verret, and Margot Weinstein.

When asked to share lessons learned from the pre-conference, participants indicated that they had not previously realized the value of the convergence of the three perspectives and how we had, as a field of practice and research, continued either consciously or subconsciously supporting divergence. There was also consensus that a new "paradigm" or way of viewing HRD should be developed using the purpose statement created in the pre-conference as a starting point. Many participants said that they had a better appreciation of the philosophical and pragmatic expansiveness of the field and its true potential to positively change people and work-related environments, "not just help companies make more money".

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Codes of Ethics and Enforcement of Ethical Conduct: A Review of Other Organizations and Implications for AHRD

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The development of an ethics code is considered an essential step in turning an "occupation" into a "profession". Typical definitions of "profession" include member commitment to ethical conduct. The Academy of Human Resource Development has taken the posture that for an individual to function effectively in a professional role there must be ethical guidelines. Four organizations were reviewed to determine historical foundations and monitoring mechanisms for implementation of ethics codes. Aspirational versus punitive applications for AHRD are discussed.

Keywords: AHRD Standards, Codes of Ethics, Ethics Committees, Professions

History of AHRD Work on Ethics and Integrity

Beginning in 1996, the Academy of Human Resource Development (AHRD), began considering the issue of ethics and integrity (Jacobs, 1996; Marsick, 1996, 1997). As various conference sessions and discussions continued, the AHRD Board along with more and more members became convinced that the Academy should develop a code on ethics and integrity, particularly given the mission of "leading the Human Resource Development Profession through research." Beginning in the spring of 1998, a taskforce was formed to develop such a code. The taskforce included Janet Z. Burns (Georgia State University), Peter J. Dean (University of Tennessee and The Wharton School of the University of Pennsylvania), Tim Hatcher (University of Louisville), Fred Otte (retired, Georgia State University), and Hallie Preskill (University of New Mexico), with Darlene Russ-Eft (AchieveGlobal, Inc) as committee chair. After initial development and review, a final document was prepared and approved by the Board in November 2000, and the Standards on Ethics and Integrity were published by AHRD (1999). At the same time, the Board decided to designate the members of the group as the AHRD Committee on Ethics and Integrity.

Abstract ethical statements, such as the AHRD Standards, provide an undefined amount of guidance to researchers and practitioners. Therefore, recognizing the need for further clarify, the Committee embarked on the development of a set of case studies. At the 2000 Academy conference, the Committee sponsored an innovative session to describe the development of case studies and to solicit contributions from the membership (Burns, Hatcher, & Russ-Eft, 2000). Further details on the history of the AHRD work on ethics and integrity can be found in Hatcher and Aragon (2000) and Russ-Eft (2000).

The work on ethics and integrity is a major step in the development of HRD as a profession. The Standards on Ethics and Integrity represent the collective wisdom of AHRD at this point in time. In order to continue in the growth process, thoughtful consideration and input by the membership is necessary. Recently the membership of AHRD has begun to question if an aspirational ethics document takes the profession far enough. Aspirational ethical principles simply provide guidance to professionals for resolving dilemmas and conflicts. In contrast, an enforceable code implies sanctions for specific acts based on formal judgements. Therefore, several research questions have emerged.

Research Questions

1. What are the experiences of similar organizations with regard to aspirational versus punitive codes of ethics?

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2. If AHRD wants to pursue professionalism, does this require a punitive code with some enforcement?
3. What are the responsibilities if enforcement is undertaken?

Theoretical Framework

In attempting to answer the research questions, it is imperative to define the construct of "profession." Wilensky (1964) suggested that the development of professions proceed according to five stages. These five stages are as follows: (1) people begin to work in that field on a full-time basis; (2) programs develop to train people in the skills needed for that field; (3) professional associations begin to develop; (4) concerns begin to arise regarding licensure; and (5) codes of ethics begin to appear.

When entering into discussions about ethical codes, theorists have offered alternative models of ethical decision making. Teleological theory is a consequentialist theory. Opposed to teleological theory is deontological theory or a nonconsequentialist view of ethics (Hatcher, 1999). Simply stated, teleological theory focuses on the results of an act while deontological theory focuses on the act itself. Deontology espouses that the rightness of an action takes precedence over and can be judged independently of the consequences of the actions, or the results are not as important as the nature of the act in question. In regards to how one views ethical behavior, we suggest that those who subscribe to teleological theory would be tend to subscribe to codes that are more punitive in nature while those subscribing to deontological theory may subscribe to aspirational codes.

We will use the Wilensky stages and the teleological/deontological distinction in ethical theory to discuss three professions and one organization comprised of various professions. The research questions will be addressed by examining the experiences within four organizations: the American Evaluation Association, the American Psychological Association, public school teaching, and the Internal Revenue Service.

The Experience of the American Evaluation Association

The American Evaluation Association (AEA) is an organization of academicians, researchers and practitioners bearing some similarities to AHRD. The following paragraphs will compare the two organizations.

As for stage 1, certain members of AEA work in the evaluation field full-time. These evaluators tend to work in government agencies and in non-profit or for-profit organizations. Similarly, certain members of AHRD work in the HRD field full-time. In terms of stage 2, Altschuld, Engle, Cullen Kim, and Macce (1994) reported that about 20 training programs have substantial numbers of evaluation courses. Since its inception, AHRD has made granted the Outstanding Academic Program award to four different universities. As for stage 3, that of the development of professional organizations, AEA has existed for over 10 years. The predecessor organizations (Evaluation Research Society and Evaluation Network) began about 10 years prior to AEA. In contrast, AHRD began more recently than did AEA, but its predecessor organizations (Professors' Network and the Research Committee of the American Society for Training & Development) existed for many years prior to the birth of AHRD. Regarding stage 4, the AEA Board first commissioned a review of the possibilities for accreditation of instructional programs in evaluation (Trochim & Riggins, 1996) and later commissioned a taskforce to review the potential of certifying evaluators (Altschuld, 1999). More recently, the AHRD Board has considered the possibilities for certification of HRD professionals (Altschuld, 1999).

Finally, as for stage 5, evaluators have developed several ethical codes over the years. In 1982 the Evaluation Research Society (ERS) adopted standards for program evaluation. The standards were never published or formally adopted before the organization's merger with by AEA. AEA merged with ERs to form AEA. The Joint Committee on Standards for Educational Evaluation published the Standards for Evaluations of Educational Programs, Projects, and Materials, and more recently The Program Evaluation Standards (Joint Committee, 1994). Then, AEA itself adopted and published the Guiding Principles for Evaluators (AEA, 1995). Similarly, AHRD has begun to develop work on an ethics code, with the publication of the Standards on ethics and integrity (1999).

The contents of these two ethical codes are very different. The Program Evaluation Standards (Joint Committee, 1994) are very detailed and begin with an Introduction and a section on Applying the Standards. The Standards include Utility Standards (Stakeholder identification, Evaluator credibility, Information scope and selection, Values identification, Report clarity, Report timeliness and dissemination, and Evaluation impact), Feasibility Standards (Practical procedures, Political viability, and Cost effectiveness), Propriety Standards (Service orientation, Formal agreements, Rights of human subjects, Human interactions, Complete and fair assessment, Disclosure of findings, Conflict of interest, and Fiscal responsibility), and Accuracy Standards (Program documentation, Context analysis, Described purposes and procedures, Defensible information sources, Valid information, Reliable information, Systematic information, Analysis of quantitative information, Analysis of

qualitative information, Justified conclusions, Impartial reporting, and Metaevaluation). In contrast, the Guiding Principles for Evaluators are less detailed and focus on five principles: (1) Systematic inquiry, (2) Competence, (3) Integrity/honesty, (4) Respect for people, and (5) Responsibilities for general and public welfare.

Given the similarities in history between AEA and AHRD, we can now turn to the question of the use of the ethical code for the purposes of reviewing reported cases of "unethical" practices. Altschuld et al (1999) pointed out that the guidelines might not yet be fully integrated into the daily practice of evaluators. Thus, the current status in evaluation is that ethical codes do exist. In fact, several somewhat overlapping ethical codes exist in evaluation. These ethical codes have been incorporated to some greater or lesser extent into the research and practice of evaluators. Furthermore, AEA maintains an ongoing Ethics Committee. The purpose of this committee is to undertake periodic review and revision of the Guiding Principles and to provide input into work undertaken by the Joint Committee on Standards for Educational Evaluation. Nevertheless, the Ethics Committee does not review reported violations of the codes, and no procedures currently exist for dealing with such violations. The AEA ethical code, therefore, can be characterized as aspirational rather than punitive.

The Experience of the American Psychological Association

The American Psychological Association (APA) is the major professional psychological organization in the United States. It is made up of members who are teachers, researchers, diagnosticians, measurement experts, curriculum designers, therapists, consultants, expert witnesses, and consultants to management. These roles continue to expand in number and function since APA's founding in 1892 and incorporation in 1925. In applying Wilensky's model of the growth of a profession, stage one fits with APA. As with AEA and AHRD, many psychologists are in the practice of psychology on both a full and part time basis. In terms of stage 2, APA accredits Doctoral, Internship, and Postdoctoral training programs in professional psychology and maintains a Committee on Accreditation. The code is updated annually, and is available from the APA Office of Program Consultation and Accreditation. The American Psychological Association has a rich history that covers Wilensky's stages 4 and 5. The APA established an ethics committee in 1938, but did not adopt a formal ethics code until 1953. Today, APA has a comprehensive "ethics program" in which the ethics committee is one component. To develop their first code, the APA solicited input from the membership and received and used more than one thousand cases as a database. The code is not static. Over the years, the code has undergone a number of minor as well as major revisions. Revised documents were published in 1958, 1963, 1968, 1977, 1979, 1981 and 1992.

Currently, the 1992 APA (American Psychological Association Ethics Committee, 1992) code remains in place. However, according to the Report of the Ethics Committee, 1999 "significant action was taken toward the revision of the Ethical Principles of Psychologists and Code of Conduct" (American Psychological Association Ethics Committee, p. 938). An Ethics Code Task Force of APA plans to hold two to three meetings per year until the code is revised. The task force has projected the completion year of 2002. The task force has written two drafts and both drafts were provided to the Council of Representatives, the Board of Directors, and APA boards and committees. The membership was provided information highlighting changes in the *APA Monitor* and commentary was sought. The task force held a discussion session with audience comments at the 1999 APA convention in Boston. Information gathering is a significant component of the Ethics Committee's plan for revision of the Ethics Code. Concurrently, in 1999 APA addressed a proposed revision of the Ethics Committee's "Rules and Procedures" (American Psychological Association Ethics Committee, 1996). This revision was delayed pending further study of the ethics program (American Psychological Association Ethics Committee, 2000).

The current Ethical Principles of Psychologists and Code of Conduct is comprehensive and consists of an introduction, preamble, and six annotated principles and eight general standards. The principles fall under the following headings: Competence, Integrity, Professional and Scientific Responsibility, Respect of People's Rights and Dignity, Concern for Others' Welfare and Social Responsibility. The standards are: General Standards, Evaluation Assessment or Intervention, Advertising and Other Public Statements, Therapy, Privacy and Confidentiality, Descriptions of Education and Training Programs, Forensic Activities and Resolving Ethical Issues. The Preamble and General Principles are not themselves enforceable rules. The Ethical Standards are enforceable rules for the conduct of psychologists. Membership in the APA commits members to adhere to the APA Ethics Code and to the rules and procedures used to implement it.

As Wilensky mentions in stage 4 of the model, licensure is a considered component of a profession. Currently a license is required for many areas of practicing psychology. State licensing boards establish and monitor the entry-level qualifications required to offer services to the public. State licensing boards may also monitor the conduct of the psychologists whom they have licensed. A state licensure board can inform APA that an action has been taken or charges are pending against one its members. In the profession of psychology, where all

psychologists are not required to be licensed, the APA ethics committee can monitor these groups who are not required to be licensed but who are members of APA through their peer monitoring system. The APA code consists of an aspirational section, which consists of general ethical principles, and the standards, which are more specific and enforceable by the organization. APA can and does revoke membership, but is not sanctioned to revoke a psychologist's license. License revocation is the responsibility of the licensing board in each individual state.

Public School Teaching Grades K-12 as a Profession

Public school teaching in the United States is another profession following the professional development model suggested by Wilensky. As with the other professions discussed thus far, teachers for the most part work in full time positions, as indicated in Stage 1 of the model. Stage 2 of the model also fits, as programs to train teachers reside in colleges and universities, and generally lead to different levels of degrees from the Bachelor level up to a Doctorate. Many teacher education programs are accredited by organizations that implement national standards, such as National Council for Accreditation of Teacher Education (NCATE). Additionally, many teacher education programs must be approved by a state accrediting organization. For example, in Georgia, the program approval agency is the Georgia Professional Standards Commission (PSC). Accompanying the standards for teacher education program accreditation, the majority of states now require some kind of minimum competency test for beginning teachers in order to obtain a teaching license/certificate. The focus of these tests varies from state to state. For example, in Georgia, teachers are tested for basic competency by the PRAXIS I examination. Prospective teachers must also pass a PRAXIS II content area test. There is currently a push for national teacher certification, as each state's department of education has unique requirements for certification in that particular state and it can be difficult for teachers to move from state to state. Some states share a regional credential such as Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, and Vermont (Kellough, 1999).

Stage 3 of Wilensky's model is relevant to the profession of teaching. There are numerous professional organizations available for teachers. Local teachers' organizations are usually discipline-specific, such as for mathematics (National Council of Teachers of Mathematics), science (National Science Teachers Association) or vocational (Association for Career and Technical Education). In most states, there is a statewide organization, typically affiliated with a national organization. For example, in the area of vocational teaching in Georgia, teachers can become members of the national organization, Association for Career and Technical Education (ACTE) and GACTE. In addition, there are the National Education Association (NEA) and the American Federation of Teachers (AFT), which, in a few locales, have merged as the collective bargaining organization for teachers. In addition, there are many other professional organizations such as Phi Delta Kappa and the Association for Supervision and Curriculum Development. Kellough (1997) lists 56 periodicals from professional organizations for teachers.

Stage 4 of Wilensky's model applies to the teaching profession. In fact, teaching may be unique from the other professions mentioned thus far in that certification/licensure is mandatory in order to obtain a teaching position in a public school.

Let's look at stage 5 of Wilensky's model, and examine codes of ethics in the teaching profession. After examination of 6 teacher education textbooks, (Armstrong & Savage, 1994; Jacobsen, Eggen & Kauchak, 1999; Kellough, 1997; Moore, 2001, Moore, 1999; Sparks-Langer, Pasch, Starki, Moody, & Gardner, 2000) it is interesting to note that little mention is made of ethics or a code of ethics. Professional behavior is addressed in some of the textbooks in regard to joining a professional organization, or taking staff development courses to update skills. No codes of ethics appeared in the textbooks examined. Since each state has a licensing agency, it appears that each state would have to be contacted to obtain a code of ethics for that particular state, assuming that each state has one.

The authors selected the state of Georgia for closer examination. The agency responsible for teacher certification in Georgia is the Georgia Professional Standards Commission (PSC). Within the PSC resides the Professional Practices Section (PPS) that is responsible for examining criminal or unethical behavior. The PPS is authorized by the 1998 Georgia Senate Bill 535 (Georgia Professional Standards Commission, 1999) to investigate reports of criminal conduct, violations of professional or ethical codes of conduct and violations of certain rules, regulations and policies by school system educators. The PPS also enforces the requirement that local school systems promptly report criminal conduct and have the authority to impose disciplinary action or a denial of a certificate against an educator. Additionally, the law charges the PSC with adopting standards of performance and a code of ethics for educators.

The Georgia Professional Practices Commission (1994) ethics document for educators includes a preamble, introduction, supplemental definitions and the code of ethics. The code of ethics is comprised of canons, ethical considerations and 13 standards of conduct. Canons are the aspirations of the profession, and the ethical

considerations are not a binding code of conduct. The standards of conduct establish mandatory prohibitions and requirements and are binding to educators in the state of Georgia. If the standards of conduct are violated, the educator may be investigated by the PPS and also by the local board of education. The PPS has the power to enforce the standards of conduct and can discipline an educator and revoke a teaching certificate. A shorter version of the code is distributed to teachers in a brochure. The brochure does not include the canons and the ethical considerations. However, the brochure (Georgia Professional Standard Commission, no date) includes sections entitled "Reporting" and "Disciplinary Action."

The Experience of the Internal Revenue Service

Generally one would not think of making a direct comparison between a professional organization such as AHRD and a large Federal agency like the Internal Revenue Service (IRS). With a second look, however, the similarity and the need for ethical standards appears. The Academy, through work done by scholars and practitioners, is dedicated to leading the development of the human resource development profession through research. Employees of the IRS have the following mission, "Provide America's taxpayers top quality service by helping them understand and meet their tax responsibilities and by applying the tax law with integrity and fairness to all."

To continue the comparison of the AHRD and the IRS, stage 1 of Wilensky's (1964) model for the growth of a profession shows similarity. Of the four organizations examined in this paper the IRS is by far the oldest. Government service employees regularly spend their entire 30-year careers in the Service.

Wilensky's stage 2 refers to how an organization develops training programs specific to the organizations needs. The IRS has developed an adaptation of the Instructional Systems Design (ISD) model for training design and development. This model, the Training Development Quality Assurance System (TDQAS) (Wright, 1995) has been used successfully as a guide for training program design, development and delivery. Approximately 80-million dollars is dedicated each year to training IRS employees. These funds support all forms of HRD initiatives in the areas of organization development, career development, and training and development.

Wilensky's stage 3 refers to the fact that in professional organizations professional associations begin to develop. The Service, in recognizing the importance of professional associations, supports its employees in their individual efforts to align themselves with the professional organizations important to their area of expertise. The IRS has a number of HRD professionals and many belong to the American Society for Training and Development.

Stage 4 of Wilensky's model addresses concerns that begin to arise regarding licensure. As has been mentioned previously, there are numerous occupations within the Service that require licensure (law enforcement, accounting, etc.). Human Resource Development or Training and Development, as it is more commonly referred, currently do not have any form of licensure or certification.

While the IRS has had little more interest than maintaining status quo as a stage 4 imperative, the opposite appears to be the case for Wilensky's stage 5. In 1989, the House Subcommittee on Commerce, Consumer, and Monetary Affairs challenged the ethical values of the IRS. As a result of the hearings the Commissioner instituted a Service wide ethics-training program. A nationally known ethicist, Michael Josephson (Government Ethics Center: Josephson Institute of Ethics, 1991) produced a one-day, video based ethics workshop that was facilitated by IRS instructors. The workshop presented the following 10 ethical values that have since become the framework for the IRS ethics process:

Honesty	Caring and Concern for Others
Integrity	Respect for Others
Promise Keeping	Civic Duty
Loyalty	Pursuit of Excellence
Fairness	Personal Responsibility/Accountability

Josephson helped develop five principles of public service ethics: Public Interest, Objective Judgement, Accountability, Democratic Leadership, and Respectability.

Since these initial efforts in the ethics arena, the IRS has continued to promote ethics and integrity as key components of the business of tax administration. In 1993, an employee survey-feedback initiative contained questions about ethics; and in 1994, all executives held forums with employees to discuss ethical issues. IRS organizations created ethics coordinator positions. A manual was developed that gave course developers instructions on how to weave ethical scenarios into all technical training material. A standard ethical values page is a part of the front matter of all training material. A vendor has been contracted to produce additional ethics training materials for the Service. In addition to all of this, ethics training has moved into the electronic delivery mode through distributed education using the IRS Intranet. Additionally, the IRS's Office of Government Ethics (OGE) has developed an Ethics Home Page.

For those who may take lightly the IRS's emphasis on ethics, there are punitive measures in place. Section 1203 of the IRS Restructuring and Reform Act of 1998 contains provisions for the termination of employment for misconduct. Policies for reporting possible ethical violations are well established and range from contacting local ethics officials to contacting the Treasury Inspector General.

Enforcement of Ethical Conduct - Comparisons of Applications of Ethics Codes

At least two mechanisms are in place to protect the public from unlawful, incompetent and unethical actions in the market place. First, there is control through general criminal and civil law that is applicable to all citizens. Second, there are profession specific legal controls that emerge from state licensing boards and federal regulations. The licensing boards establish entry standards for a profession, define practice, delineate offenses and sanctions, and serve as a means of enforcement under criminal law. However, as a profession develops and reaches Stage 5 of Wilensky's model, codes of ethics begin to appear. In fact, in many professions, control is exerted by peers, through an ethics code and ethics committees serving as a peer control mechanism. Stage 5 appears to be an important growth step for a profession as it is the recognition that there are some unethical acts that are neither illegal nor in violation of any policy except the ethics code. Generally, ethical professional standards expect behavior that is more correct or more stringent than is required by law. In such cases, ethics committees may be the only source of redress. In many instances conduct that is not in violation of any criminal or civil law would be defined as unethical according to the profession's code. For example, lecturing from outdated notes, administering assessments without adequate training, failure to give adequate or timely feedback to supervisees are only a few of the hundreds of possible examples illustrating acts that are not illegal, but which the HRD profession considers unethical.

In reviewing the various professions and organizations it was found that different professions and organizations approach enforcement of ethical codes in very different ways. In the case of AEA and AHRD, no procedures are in place for reporting and dealing with ethical violations. These associations appear to take a deontological or aspirational approach to ethics. In contrast, APA, the Georgia PPS, and the IRS have defined procedures in place. Thus, these organizations seem to use a teleological or punitive approach.

Although APA, the Georgia PPS, and the IRS use a teleological or punitive approach to ethical violations, there are differences in how these three organizations undertake investigations and apply sanctions. The APA operates as an association primarily comprised of volunteers, as is true of AHRD. It established an ethics committee in the late 1930's although the first ethics code did not appear until 1953. Today the APA ethics committee consists of eight voting members, six non-voting associates and a liaison from the APA Board of Directors. Members of the Ethics Committee are elected by the membership. The Ethics Committee develops a list of prospective members. The Board of Directors may supplement the list. The ballot is submitted to the Council of Representatives. Terms are for three years, with the committee electing a chair and a vice chair each year. The committee appoints committee associates for two year terms. The public member is elected by the Council of Representatives after being nominated by the committee and approved by the Board of Directors. The APA Ethics Committee has clearly delineated Rules and Procedures for processing complaints, the main activity of the Ethics Committee (Report of Ethics Committee, 1999, p. 939). The lengthy document contains five parts: Objective and Authority of the Committee, General Operating Rules, Membership, Show Cause Procedures Based Upon Actions by Other Recognized Tribunals, and Complaints Alleging Violation of the Ethics Code. The Ethics Program has the authority to expel members from APA.

In contrast, in Georgia, state law sanctions the PPS. The PPS has a five-step process to handle unethical behavior by an educator. If a case is referred to the PPS, it will determine if an investigation is warranted. If so, an investigator prepares an investigative summary for review by the commission. Then the Commission reviews the investigative report it determines probable cause to take any disciplinary action against the educator's certificate. If action need to be taken, an educator disciplinary hearing is held through the Office of State Administrative Hearings (OSAH). Each case is heard before an Administrative Law Judge. Notice of the decision is sent to the educator and the Commission. Either party has 30 days to request a review of the Administrative Law Judge's initial decision. The Commission makes the final decision. Since this is a multi-step process, there are several places in the process where the case can be closed. Disciplinary actions vary, with the most stringent being revocation of any certificate, license or permit held by the educator. An educator whose certificate has been revoked may petition the Commission for the right to reapply for certification after a three-year period (Georgia Professional Standards Commission, 1999).

Finally, the IRS differs from the other organizations in that it is not a professional organization per se but is a federal agency, comprised of several different professions. Therefore, in this context, federal law provides sanctions for violations of ethical behavior.

Expanding the Collective Wisdom of AHRD

AHRD has entered into Stage 5 of Wilensky's model. The Standards on Ethics and Integrity are similar to other professional ethic codes, specifically those of AEA and APA. Despite the variations in length and specificity, most professional ethic codes have similarities such as maintaining competence, protecting confidentiality and or privacy, acting responsibly, avoiding exploitation, promoting the welfare of consumers served and upholding the integrity of the professions through exemplary conduct. Such codes represent efforts to record some of the more definable rules of conduct. The codes signify the voluntary assumption of the obligation of self-discipline above and beyond the requirement of law. Codes are aspirational in that respect. Codes are educational in that they provide members of the profession with guidelines for the kind of the ethical behavior, according to the historic experience of the group, that is most likely to occur. A code can also serve to narrow the area in which a professional has to struggle with uncertainty. The AHRD document seems to do all the above.

In examining various organizations, it has been shown that there are alternative approaches taken with enforcement of ethics documents. The approaches range from completely aspirational, such as AHRD and AEA, to a combination of aspirational and punitive, as characterized by APA and the PPS in which enforcement occurs through banishment from the organization (APA) or banishment from a profession such as teaching (PPS). As part of a continuing effort to ensure that decisions about the use and revision of the Ethics Code remains an open and collaborative process, the AHRD Ethics committee's next step is to open conversations with the membership at the 2001 conference in Tulsa, Oklahoma regarding aspirational goals versus punitive sanctions. The conversation could lead the AHRD ethics committee to further research in ethics management and enforcement.

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The Role of Codes of Ethics in the Future of Human Resource Development

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The creation of the AHRD Standards on Ethics and Integrity was an important milestone for HRD. This paper explores how these Standards fit with the evolution of this emerging profession and with philosophical activity in it; discusses the critical role that professional associations play in developing the ethics of its members; and suggests specific steps AHRD may consider to facilitate the use of the Standards on Ethics and Integrity.

Keywords: Ethics, Professionalization, Socialization

The Biographer Richard Holmes once referred to one of his subjects as “a powerful personality without a solid identity.” The same could easily be said of Human Resource Development (HRD). It is a field of practice comprised of thousands of contributors from diverse disciplines such as education, psychology, sociology, and business. It is a field where its professionals practice in multifarious contexts, among diverse clientele, and for varied ends. It is a field that celebrates its diversity and interdisciplinary nature—and it should because this diversity is a strength that facilitates reflection-in-practice that Schon(1987) and Argyris (1993) ascribe to greater decisional accuracy, creativity, and learning.

Yet at the same time, HRD is faced with mounting challenges to more strongly distinguish and legitimize itself. And it is the field’s diversity that makes defining agreed-upon foundations, values, and beliefs difficult. In 1999 The Academy of Human Resource Development, after three years of actively involving its members in deeply exploring various aspects of ethics in HRD, took an important step in helping HRD legitimize itself and its professionals by introducing their *Standards on Ethics and Integrity* (AHRD, 1999). In recognition of the manifold roots of HRD, the AHRD *Standards* outlines a common set of values and principles upon which HRD professionals can build their work. They provide guidance and standards of conduct for HRD professionals.

Now, as the field continues to multiply and undergo fervent growth, the question of enforcement of these standards will be increasingly considered. To respond to this next phase challenge, this paper 1) relates the recently published *Standards* to the processes by which fields of practice become professionalized; 2) explores the role of ethics in the development of HRD; 3) discusses the critical role that professional associations play in developing the ethics of its members; and 4) suggests specific steps AHRD may consider to facilitate the use of the *Standards on Ethics and Integrity*.

HRD as a Profession

Sociologists have long studied professions, professionalism, and professionalization. While defining “profession” is still a challenge, there are three prominent approaches to theorizing about professions and professionalization. The first is the *process approach* which posits that professions travel a path toward full professional status, starting at different points, progressing through distinct phases, and traveling at different speeds. The assumption here is that all occupations will or can become professionalized. The second is the *trait approach*, which hypothesizes that professions share traits or characteristics in common, and that occupations reach professional status when they achieve specific characteristics. Lastly, the *power approach* differentiates (and critiques) professions based on the power relationships held by practitioners in their social exchanges with society and individual clients.

The trait or characteristics approach has been the most commonly referenced in literature about applied fields of practice. There are dozens of characteristics cited in this literature. Table 1 offers a synthesis of four noted authors’ lists—including only characteristics that were cited by at least two of the four author(s), and omitting characteristics that were identified in only one author(s)’ list.

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Table 1. Synthesis of Characteristics of a Profession

Characteristic	Cutlip, Center and Broom (1985)	Swanson (1982)	Pace, Smith and Mills (1991)	Gellermann, Frankel and Landenson (1990)
Provides a unique and essential service that is recognized as such by the community	✓		✓	
Develops organized and specialized body of knowledge, based on a theory and research	✓	✓	✓	✓
Defined area of competence		✓	✓	
Articulated and shared values	✓	✓	✓	✓
Standards of Ethics and Practice (values are interpreted and enforced)	✓	✓		✓
Monitors the practice and its practitioners		✓		✓
Educates and trains professionals	✓		✓	✓

These characteristics are starting places by which to define a profession, and are also part of a “dynamic process involving a high degree of interaction among the elements within the profession’s boundaries and between the profession and its environment” (Gellermann et al., 1990, p. 16).

HRD and Professionalization

Strict interpretation of the above criteria may preclude calling HRD, as well as many other fields, a “profession”. Many HRD practitioners, on the other hand, certainly qualify as “professionals” on most or all of the criteria listed above. There is little guidance as to when a field of study actually qualifies as a profession. This is complicated by the proliferation of new fields of study that have arisen in the 19th and 20th centuries and the emerging reorientation of the term “profession” in the sociological literature. Lipartito and Miranti (1998), for instance, propose to define professionals as purveyors and creators of expertise rather than stressing the classic characteristics models. This hints at a new trend in the professionalization literature—one that focuses on expertise and expert groups within organizational contexts.

A further complication for our purposes here is that HRD is considered to be comprised of three strands that some see as processes and others see as discrete fields of study. They are (a) Training and Development (T & D), (b) Organization Development (OD), and (c) Career Development (CD) (McLagan, 1989). Each of these communities are themselves taking steps towards professionalization. For instance, Gellermann et al. (1990) reports the results of an extensive study of values and ethics in OD.

However, it is undoubtedly true that HRD is considering the issue of professionalization. The topic was highlighted during a 1998 AHRD symposium (Chalofsky, 1998; Ellinger, 1998; Mott, 1998; Rowden, 1998) where various aspects of the issue were explored. More over, marked progress (summarized in Table 2) can be seen in each of the characteristics identified above.

Given this list, it seems appropriate to acknowledge the critical role that the *Standards* play in helping HRD to develop necessary foundations for professionalization, and to call HRD an emerging profession.

Ethics and Professional Ethics

As HRD has developed characteristics of a profession and has begun to examine its distinctive values, competencies, and practices, it must also begun to more fully understand what the *Standards* represent and to look at how members *enact* what they profess. Ethics is the critical examination of this conduct. It is concerned with action, in the sense that action is the result of choice, undertaken in light of desirability. There are two primary components of ethics (Honderich, 1995). First, is *morality* which speaks to issues of what is good (right and wrong) and what ought to be done. Second, is *axiological ethics* which is concerned with values. This component doesn’t focus directly on what should be done, but rather on what is worth pursuing or promoting and what should be avoided.

Ethics are principles derived from philosophical activity. Philosophy has traditionally been concerned with three basic (and big) issues: being (ontology), knowing (epistemology), and acting (ethics). If one thinks about these foci as separate areas of inquiry, then philosophy does not seem to serve much purpose. However, in actuality, these

Table 2. An Overview of HRD's Progress Towards Professionalization,

Characteristic	HRD's progress
Provides a unique and essential service that is recognized as such by the community	<ul style="list-style-type: none"> • There has been no attempt to evaluate this directly, however a 1999 State of The Industry Report (Bassi and Van Buren, 1999) completed by ASTD indicates that in the years between their 1997 and 1998 surveys there was a marked increase in, among other things, the (a) amount of spending on training, (b) proportions of people trained, and (c) introduction of integrated and systemic set of human performance policies and practices. This is certainly indicative that organizations are looking to HRD for unique and essential services.
Develops organized and specialized body of knowledge, based on a theory and research	<ul style="list-style-type: none"> • The Academy of Human Resource Development (AHRD) was established in 1993 with a vision to lead the profession through research. • Three research-based journals have been established during the last seven years: (a) Human Resource Development Quarterly, and (b) Human Resource Development International, and (c) Advances in Developing Human Resources. • The extent to which the body of knowledge that HRD draws upon is specialized and grounded in theory is currently an issue of much debate (Jacobs, 1990; Watkins, 1990; Brethower, 1995; Swanson, 1999; McLean, 1999). However, the fact that this is such a vital issue can be considered indicative of some progress in this area.
Defined area of competence	<ul style="list-style-type: none"> • Many competency models have been produced, most notable include McLagan (1989) and Rothwell (1996).
Values	<ul style="list-style-type: none"> • Ruona (2000) has recently reported results of a qualitative study exploring core beliefs underlying HRD.
Standards of Practice and Ethics	<ul style="list-style-type: none"> • The Academy of Human Resource Development introduced a first draft of a Standard of Ethics and Integrity in March, 1999 (AHRD, 1999). • OD, an emerging profession in its own right and considered to be part of the tripartite that comprise HRD, has recently published its 22nd revision of its International Code of Ethics (Organizational Development Institute, 1999).
Monitors the practice and its practitioners	<ul style="list-style-type: none"> • The same AHRD committee that is drafting a Code of Ethics for HRD is currently discussing issues of enforcement. • There is increasing talk in HRD's literature about certification (Ellinger, 1998), and alternative ways to monitor for quality and ethical practice in HRD.
Educates and trains professionals	<ul style="list-style-type: none"> • There are numerous academic programs in HRD and closely related topic areas nationally and internationally. A 1998 ASTD directory of academic programs listed over 280 programs in the United States (White, 1999). • ASTD recently began offering certificate programs all over the United States in an effort to educate on specific competencies.

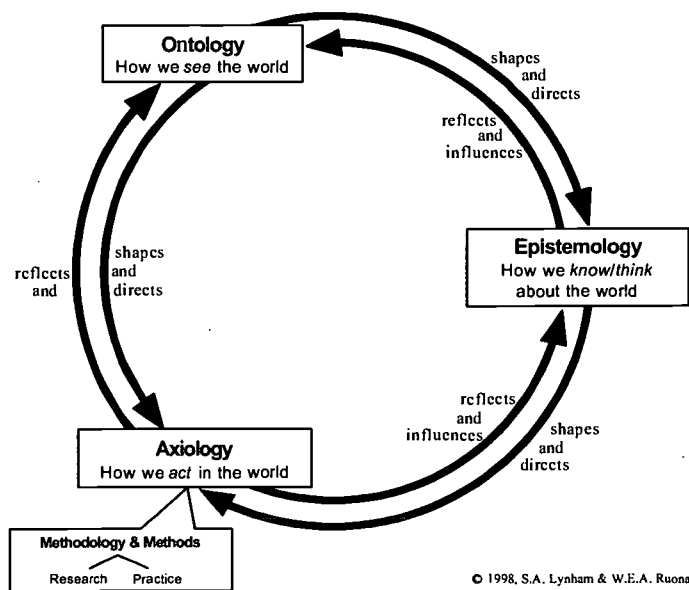
three areas all work together to make philosophy what it is. In this sense, from a systems perspective, the whole is more than the sum of its parts.

Ruona and Lynham (1999), after a study of the various components of philosophy and their relevance to HRD, view them as three key, interacting components:

- **Ontology:** the component that explicates a view of the nature of the world and of phenomena of interest to HRD (how we *see* the world);
- **Epistemology:** the component that explains the nature of knowledge in HRD, and the necessary and sufficient requirements to hold and claim knowledge in the field (how we *know/think* about the world);
- **Ethics:** the component that makes explicit how we ought to act, individually as well as communally in HRD. It outlines espoused aims, ideals and proper methodologies and methods for HRD inquiry and practice (how we should *act* in research and practice). (p. 211)

These three components interact in a dynamic and systemic way, together forming a guiding framework for a congruent and coherent system of thought and practice in HRD. Figure 1 shows the interactive and dynamic relationship among the key components integral to a sound philosophical framework. It elucidates the connections—demonstrating that how we *see* the world determines how we *think* about the world, how we *think* about the world determines how we *act* in the world, and how we *act* in the world, in turn, reflects how we *think* about and see the world. And, that each of these components reflects and influences the other.

Figure 1. A Philosophical Framework for Thought and Practice



Role of Ethics & Codes of Ethics

In this sense, then, ethics are normative. In other words, they indicate how professionals *should* act, and the extent to which this action should be congruent with ontological and epistemological aims and ideals. Ethics urge congruence between ontological and epistemological assumptions and the espoused actions of a field. Thus, they play an important role in putting the standards and requirements of acceptable methodology and methods for research and practice in a field in place. Making ethics explicit helps to set and clarify the guiding tone and rigor for action in HRD.

The intent of codes of ethics such as the *Standards* is not to prescribe or to limit the richness of beliefs and values that are held in a diverse professional community. Rather codes of these kinds are minimalist in nature—tending to identify the lowest common denominator that holds the community together. As a result, codes are often quite general and universal principles that require personal interpretation, application, and reflection.

Developing and Fostering Professional Ethics: The Role of Professional Organizations

To a great extent, then, the codes of ethics outline the “should” for its professional members—the best practices and standards for practice. However, some will argue that they are worth little if they do not actually shape practice in the field, and that without some system of enforcement they cannot have any influence over thought and action in HRD. The following section outlines the critical role that professional associations play in developing ethics in a profession. Because these associations are often at the nexus of individual, institutional, and legal interests pertinent to a particular field, they ultimately have immense influence over shaping, rather than proscribing, ethics.

Role in Developing Core Concepts

Professional associations have common characteristics that give members collective identity. The characteristics include a common set of values, beliefs, and behaviors that members share and pass on (Knox, 1992).

Schein (1972) states that professions have a "calling" to a lifetime work and an accumulation of specialized body of knowledge and skills members acquire over a prolonged period of education and training. The possession of extensive knowledge gives professionals a great deal of power, influence, and status. Professional associations attempt to protect core principles and practices, or the technical basis of the knowledge (Engel & Hall, 1973). This often means defining and delimiting their interests in view of non-professional individuals and groups (Harries-Jenkins, 1970). It also entails producing commitment among members. By forming associations, professionals can develop a shared understanding of foundational principles, beliefs, and practices that govern how members apply knowledge.

Role in Learning

Through associations, professionals can also develop and expand the collective core technical knowledge. By sponsoring formal learning events (such as workshops, seminars, symposia, and conferences) professional associations stimulate discussion and publish scholarly papers. Formal learning events not only build upon an existing base of professional knowledge, which associations transmit to members; the events also communicate knowledge to individuals and organizations having interests in the profession (Kornhauser, 1962). Formal learning enables associations to arrange contexts and media for disseminating information and to regulate, to some extent, its application.

Professional associations also encourage informal learning among members as further means to communicate core knowledge and ethical use. Informal learning is distinguished from formal primarily in its use of 1) experience rather than theory, 2) unintentional motives rather than planned objectives and systematic action to achieve goals, and 3) use of self as the basis for learning rather than persons outside oneself (Merriam & Caffarella, 1991). Informal learning may be encouraged through a variety of ways. One form of is adapting styles and tactics through vicarious learning (Gioia & Manz, 1985). Knowledge gained from seeing how adept individuals typically approach problems, identify and gather resources, develop tentative hypotheses, and carry them out can provide ideas for application to a variety of decision-making situations. Further, professional associations can enhance the development of less-experienced members through committee leadership, service opportunities, and formal learning facilitators. Through professional association networks, members can identify mentors who may support career development (Miller, 1985; Rusaw, 1989; Wolf, 1983).

Role in Developing Metacognition

Ethical knowledge is a type of metacognition, which functions as blueprints for behavior in the ill-defined expectations of practice. Although long periods of formal study may have equipped professionals with requisite technical knowledge for entry into a field, professional associations have, as noted, assumed guardianship of learning beyond the academic years. Metacognitive development often appears as "sensemaking," (Weick, 1979) in which professionals develop meaning of complex and novel situations and determine direction for action. Professional associations, through their formal and informal learning experiences, become forums from which members can examine their assumptions and standard responses and learn different ways to think about the difficult problems and issues they face. Through associational learning events, members can develop knowledge classification schemes that enable them to define "professional" conduct in particular instances.

Role in Socialization

Professional associations are important agents in creating a community among members. The basis of community is not only a shared body of core concepts and values acquired through knowledge acquisition and judgment; it is a feeling of identity with others and with a larger purpose. In promoting understanding and right application of knowledge through personal and interpersonal relationships, professional associations can strengthen member commitment (Brockett, 1988).

Professional associations encourage community through various forms of socialization. Socialization involves transmission of knowledge and cultural understanding, legitimization of credentials, and personal development of others (Jarvis, 1987)---processes that frequently occur as rites of passage or as rituals. Through formal and informal socialization processes, professional associations pass on expectations, values, and core ideologies (Van Maanen & Schein, 1979).

Proscriptive versus Ascriptive Socialization. Some professional associations socialize members proscriptively, or through direct control over individual decisions made on behalf of clients. Proscriptive socialization gives the professional associations authority via the extent of formalized learning, the type of enforcement sanctions permissible, the degrees of allowable discretion, and extent of shared agreement to a technical core of information. Professional associations having legal authority over administering a clearly-defined body of technical knowledge have coercive power. They frequently use licensure, authorized according to statutes, as a means of compelling members to take courses. Further, proscriptive associations have governing boards that are enacted by law to arbitrate ethical conduct. An example of a proscriptive professional association is the American Medical Association.

Other professional associations, however, accept members from a variety of disciplines and develop codes of ethics based on commonly-agreed upon values, beliefs, and principles. The basis for enforcing ethical codes in voluntary professional associations is "ascriptive" or commitment based on weight of shared tacit understanding. Socialization dimensions in ascriptive professional associations are individual, informal, random, variable, serial, and investiture. In essence, ascriptive professional associations accept the existing values, beliefs, and practices of members and integrates them into an evolving base of knowledge and practices. Ascriptive professional associations, which frequently admit individuals from diverse disciplines, may form from new or rapidly changing fields of knowledge. In ascriptive professional associations, it is difficult to define and to reproduce a core body of knowledge, and, consequently, it is difficult to develop and enforce a common code of ethics. Codes that are developed are usually broad, generic, and humanistically oriented and emerge by membership discussion and consensus. As with the AHRD *Standards*, the codes encourage adherence through moral commitment.

Strengthening Moral Commitment to Ethics: Some Implications for AHRD

Although the Academy of Human Resources is not a proscriptive socialization agent, it can facilitate commitment to the codes of ethics by playing the role of an inspirational leader. The inspirational or charismatic role of individual leaders has been widely described in management literature (Shamir, House, and Arthur, 1988; Trice and Beyer, 1986; and Bass and Avolio, 1994). Some salient characteristics include creating a noble vision of a desired future state, showing strong commitment to certain values or ideals, managing meaning through use of symbols, building favorable images, using techniques of impression management, shaping expectations through rewards, and stimulating intellect and creativity. If individual leaders affect the character of their organizations, then professional association leaders who display inspiration can create an inspirational professional association. How might AHRD accomplish this?

Create Shared Vision and Values

The Academy for Human Resource Development may help construct a common future scenario of the field through sponsoring formal and informal learning events. Learning involves the re-ordering of ideas as well as affections to achieve a particular goal. The academy can encourage learning through posing the types of goals HRD can and should pursue. Facilitating symposia, workshops, search conferences, and conferences are excellent learning vehicles.

Foster Changes in Behavior and Conduct

Along with envisioning common futures, the Academy can guide developing member responses through training programs. Workshops focusing on attitudinal outcomes and behavioral changes are especially key. These learning events might be centered about ethical dilemmas that practitioners may encounter, such as choices concerning types of information to reveal during client feedback sessions.

Create Rewards and Incentives for Ethical Conduct

The Academy leaders should focus on the use of an array of psychological and affective rewards to reinforce ethical standards and conduct among practitioners. These could include formal recognitions of individuals and groups that have exemplified ethical conduct in their areas of practice. Rewards could also be given to research that examines ethical practices and contributes to behavioral and social science. In addition, the Academy could promote certification programs that infuse ethical conduct in personal and client relationships. Such a program

should be voluntary and completion should carry prestigious weight in assessing individuals' portfolios of credentials.

Promote and Disseminate Basic and Applied Research

A hallmark of a professional society is the production of research and writing in a given discipline. The Academy has already taken a lead role in sponsoring research and disseminating it in professional journals and meetings. A primary research agenda to strengthen ethical conduct would be to promote both empirical and field studies. Some examples might be studies of human resource management decisions, uses of pay and incentives in organizational change, contracting relationships with clients, small group problem solving interactions, and downsizing dilemmas.

Conclusion

The Academy of Human Resource Development has taken an important first step in recognizing the importance of ethical principles and conduct among members in publishing the *Standards*. Because of the diverse disciplines within HRD, as reflected in the backgrounds and characteristics of members, however, the AHRD cannot proscribe use of the *Standards* and impose controls for their violation. The society can, however, promote adoption of the *Standards* by facilitating their understanding both at the ontological as well as practical levels. This can be accomplished through sponsoring formal and informal learning events, creating incentives for valuing and practicing ethical conduct, encouraging research into HRD ethics and publishing results widely, and modeling ethical conduct among AHRD leaders. In brief, the development of the *Standards* provides a blueprint for further development of professional ethics. Reinforcing these standards, a critical next step for the Academy's role as a professional association, involves a commitment to act upon them.

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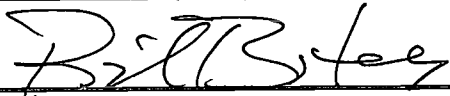
<u>Paper Title</u>	Redefining Human Resource Development: An Integration of the Learning, Performance, and Spirituality of Work Perspectives		
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Author Names	Janet Z. Burns Darlene Russ-Eft Howell F. Wright		
AHRD Reference #	139		
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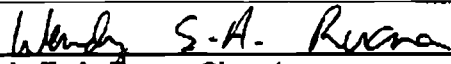
Paper Title	The Role of Codes of Ethics in the Future of Human Resource Development		
Author Names	Wendy E. A. Ruona A. Carol Rusaw		
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