FUNDAMENTALS OF PERFORMANCE IMPROVEMENT: A GUIDE TO IMPROVING PEOPLE, PROCESS, AND RESULTS

THIRD EDITION

Interventions, Performance Support Tools, Case Studies

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DEDICATION

With deep appreciation, we dedicate this book to those who have already contributed to our field and the emerging professionals who are innovating and providing new insights.

Our field is unique because it is possible to pinpoint the date and time of its origin. We fundamentally began in New Orleans in the early 1960s. Our origin was composed of those committed to applied behavioral science and programmed instruction. Our field advanced to performance improvement when programmed instruction and behavioral approaches alone did not resolve educational and workplace issues. Many scholar/practitioners have contributed their powers of observation, reflection, research, and practice to advance the field.

We also dedicate this book to experts beyond the performance improvement field because resolving workplace problems includes theory and practice from related fields such as instructional design, psychology, communications, industrial engineering, ergonomics, quality, communications, and finance to name a few.

To Phillip Van Tiem, to the International Society of Performance Improvement, and to my students and graduates at University of Michigan-Dearborn and Capella University. Our world is better because of them.

Darlene M. Van Tiem

To my graduate students in Performance Improvement and Evaluation for professional success and career happiness.

James L. Moseley

To our readers—you are the ones who will make performance improvement happen.

Joan Conway Dessinger
ACKNOWLEDGEMENTS

“Writing a book is an adventure; to begin with, it is a toy and an amusement, then it becomes a master, and then it becomes a tyrant; and the last phase is just as you are about to be reconciled to your servitude—you kill the monster and fling it—to the public.”

Sir Winston Churchill

The third edition, Fundamentals of Performance Improvement began as a project to revise Fundamentals of Performance Technology and Performance Improvement Interventions and combine them into one book. However, performance improvement is advancing rapidly and our task—a daunting one—became updating the contents of both books.

Our field has shifted from focusing on people and processes with the workplace and military to including organizations and society. In this new book, we have moved well beyond the traditional settings to educational institutions, governmental agencies, healthcare, under-developed countries, non-profits, small businesses and many more. Another change is the use of new and more business-and organizational-oriented terminology in this edition. Since our practice is increasingly global, this edition also includes case studies, practitioner comments, and extensive examples from the Slovak Republic, Saudi Arabia, England, Ghana, Canada, Turkey, and the United States of America.

We were only able to accomplish this with a lot of help from our friends and colleagues. The lists of Case Studies and Exhibits acknowledge many individual contributors from the field. However, several colleagues made multiple content contributions and we want to give them a special acknowledgement.

The colleagues who field tested the updated model included three ISPI international board members—Judy Hale, ibstpi Fellow and 2011–2012 ISPI President; Steven J Kelly, Partner, KNO Worldwide, Bratislava and Prague, Europe, and ISPI Board of Directors; and Lisa Toenniges, Chief Executive Officer, Innovative Learning Group, Michigan, and ISPI Treasurer—plus Mary Jo Bastuba, Senior National Field Manager, Nintendo/NMi, California; and Eileen Banchoff, President, Banchoff Associates, Michigan. Steven Kelly and Lisa Toenniges, also provided examples and a case study.

Judy also field tested the model, wrote a Foreward, and was the subject matter expert on the Certified Performance Technology, Certified School Improvement Specialist, and Code of Ethics. Roger Addison, Performance Architect, Addison Consulting, California, furnished considerable detail about the origins of performance improvement. Roger Kaufman, Professor Emeritus, Florida State University, and Distinguished Research Professor, Sonora (Mexico) Institute of Technology, provided us with his latest Organizational Elements Model (OEM) and an international case study. Robert Mager supplied us with an interview and updated Performance Analysis Flowchart model. Bonnie Beresford, Vice President of Client Services at Capital Analytics, Michigan, contributed a case study and helped us navigate the use of predictive analytics for evaluating impact. Ann Chow, Instructional Technology Administrator, Alexandria Community Schools Corporation, Indiana; Karen E. Hicks, Doctoral Applicant, Wayne State
University; and the graduate students from Wayne State University’s Instructional Technology 7320 class, Spring, 2011, provided content expertise.

Humor often conveys insight that is not possible from words alone. Cartoons contributed by Jed Vier and his partner Buck Jones were originally published as a daily feature on the American Greetings website (www.americangreetings.com).

A book is content presented to align with reader interests. In addition, a book is produced by hard work of editors, computer experts, and publishing professionals. Not only was Joan Dessinger a co-author, she also was our internal editor. Joy Wilkins created most of the tables, figures, and graphics with patience and persistence; she was creative and has an eye for the value of the visual. In addition, Anne M. Blake, Director of Strategic Planning, The Blake Company, Michigan, and Branden Mack, Master’s Applicant, Wayne State University, assisted in manuscript preparation and computer expertise. Wm. Scott Pitts, Director, State and Federal Grants, Chippewa Valley Schools, Michigan, furnished editorial expertise.

In addition, books are dependent upon publishers. We are particularly grateful for the confidence expressed by April Spring Davis, Executive Director of the International Society of Performance Improvement and by Matthew C. Davis of Pfeiffer/Wiley. As the field advanced, they recognized the value of connecting fresh thinking with new professional applications. We also appreciate the support of John Chen, ISPI Publications/Project Manager. Michael Zelenko, Pfeiffer/Wiley editor, added his magic touches, making everything pleasant to read and artful, even though this book may be classified as “technical scientific professional literature”.

A sincere thanks to all the others who offered suggestions, advice, wrote comments, and in any other way contributed to this book and the well-being of the authors as they wrote the book. And, last, but not least, we acknowledge the comments and recommendations of readers of previous editions regarding new ideas to include and new processes or procedures to describe. We hope when you read this book you recognize that we were listening!

_Darlene Van Tiem, Jim Moseley, and Joan Dessinger_
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FOREWORD

[Note to Editor: Judy Hale will write this Foreword after she reads the manuscript]

Foreword

What are the fundamentals? The concepts and tools necessary for understanding how to improve workplace performance. Why do some people perform well and others poorly in the workplace? This book provides the answer: People do what they do because that is what they have learned in the workplace!

• If people loaf on the job, they have been taught to do so. How? Perhaps by supervisors or managers making confusing or contradictory demands, discouraging people who are diligently trying to do a good job. Perhaps by learning that doing a good job is ignored whereas loafing is fun until the boss comes by and screams (and then goes away again). Or perhaps by learning that it is more fun to loaf with peers than to be punished by peers for working hard.

• If people “don’t think” on the job, they have been taught not to. How? Perhaps by having their ideas and suggestions ignored. Perhaps by being punished for showing initiative, or asking tough but important questions, or for doing things better (but differently) the boss wanted.

• If people engage in highly productive teamwork, they have been taught to do so. How? Perhaps by learning how to do work that has been designed for a team. Perhaps by taking part in on-the-job problem-solving teams. Perhaps by being trained in teamwork behaviors that are then supported on the job.

What is performance technology (PT)? This book provides an answer: It is “the systematic process of linking business goals and strategies with the workforce responsible for achieving the goals.” (The workforce includes everyone: a salesperson, a third-shift mechanic, the CEO, the CFO, the receptionist in the human resources department, and everyone else.) PT is a technology for linking people to organizations in mutually beneficial ways. PT is about supporting people’s effort to:

• Learn how to perform competently.

• Perform competently.

• Learn how to perform even more competently in the future.

PT is about making sure that the people side of the business works. What makes the financial side of the business work? People. What makes the technical side of the business work? People. PT is about making organizations work by helping people work. PT is about helping people work by creating organizations that support high levels of performance. PT is about installing instructional systems and
performance support systems. PT is about establishing win-win relationships between organizations and people.

That’s a lot. What is performance technology not about? It is not about a specific type of intervention (such as training, incentive systems, quality improvement, reengineering, cost reduction, or right sizing, etc.). PT is about improving human performance in the workplace; it is not about specific techniques for improving performance. PT is about making systems work; it is not about making parts of systems work better (whether or not doing so actually helps the organization work better). PT is about wholes, not parts.

The mission of the International Society for Performance Improvement (ISPI) states it clearly – “Improving human performance in systematic and reproducible ways.” PT is not about changing light bulbs and hoping performance improves; it is about improving performance in a systematic and reproducible approach.

What is the PT approach? This book provides an answer: PT practitioners select the right tools for the job and evaluate progress to assure that the tools are doing the job. This book is organized around the flow of PT in action. The PT flow chart, as shown in many ISPI publications, was generated a few years ago by Bill Deterline and Marc Rosenberg. It shows that one begins with a performance analysis to find gaps between what is happening now and what should be happening now or in the future. Cause analysis identifies the causes of deficient performance and, at the same time, what is necessary to achieve high levels of performance. After specifying desired performance and identifying the variables that support performance, the next step is to select and design an intervention that will enable people (an organizations) to perform at the levels specified. The next step is the one that takes the most time, resources, and ingenuity: implementing the intervention. The final step, evaluation, is the final step only in the flow chart – it is integrated T competently. In other words, it shows people how to do performance improvement projects in systematic and reproducible ways! I wish a book like this had been written years ago.

Does the book enable readers to learn everything that they must learn to be highly competent PT professionals? No. Readers who use this book well will be the ones who already know a lot about human behavior in the workplace. Perhaps they are managers who have heard about and want to understand and use PT. Perhaps they are total quality management (TQM) professionals looking for new ways to make TQM initiatives succeed a little more often. Perhaps they are human resources development (HRD) professionals who want to get out of the training box. Perhaps they are graduate students in instructional design who want to make sure their designs add value. The book will be most valuable to people who know a lot about related matters, e.g., some of the many interventions used in PT.

Does the book provide something that those new to PT would benefit by knowing? Yes. It is a handbook for doing PT. Stolovitch and Keeps’ Handbook of Human Performance Technology 2nd Edition (1999), is a handbook about PT that is rich in material for doing PT. Darlene Van Tiem, James
Moseley, and Joan Conway Dessinger have produced a handbook for doing PT. I think of them as companion volumes, each valuable in different ways.

Does this book provide anything for experienced PT professionals? Yes. It is the only book available that takes the reader through the whole PT process. It is a journey that experienced professionals take often, and, with the help of this book, one they might travel more competently the next time out. It, like Langdon, Whiteside, and McKenna’s Intervention Resource Guide: 50 Performance Improvement Tools (1999), shows many different interventions PT professionals an use. Even experienced professional tend to be competent in using only a few of the interventions and would benefit from learning more about the interventions to be used.

Is this book flawed in any way? Of course. It is flawed in the same way that Deterline and Rosenberg’s marvelously useful flow chart is flawed. It shows a systematic process, but it doesn’t show the PT practitioner how to think systematically. Does that flaw diminish the book’s value? Not really. If a PT practitioner has learned to think systematically, the flow chart is an added tool. If the PT practitioner hasn’t learned to think systematically, the flow chart, used often, will enable her or him to add value while learning why systemic thinking is so important.

Dale Brethower
Professor Emeritus, Psychology, Western Michigan University

Author of Performance Analysis and Performance-Based Instruction

FOREWARD

Performance Improvement Interventions: Enhancing People, Processes, and Organizations through Performance Technology may just be the only book you will ever need about putting a Human Performance Technology (HPT) organization into action. It covers just about everything. It not only tells in great detail what to do, but it also explains how to do it, then goes on to provide the tools to accomplish it.

The first thing that has to impress you when you begin to delve into this book is the amazing synthesis of information. The authors list all of the sources they used to develop their concept of the HPT Model – from B.F Skinner’s theory of human behavior to Douglas McGregor’s Theory X and Theory Y. I’m quite certain that when most of these writers contributed to their disciplines, they never imagined that one day they would be adding to the field of HPT.

I was gratified to see that Darlene, Jim, and Joan took the time to explain how all of their sources contributed to HPT theory! Not many books take the time to fully explain the grounding of the discipline. Some of the theories included in their model include human resources, training,
organizational development, career development, psychology, quality management, ergonomics, and financial systems. A lot of readers will skip over the theory sections of most books because they are “too esoteric.” They “just want the facts.” Most publishers won’t publish books with “too much theory” for fear readers will not buy them. I congratulate both the authors and ISPI for being so perceptive. As W. Edwards Deming, one of the listed theorists, said, “You must understand theory. It is the only thing that allows you to ask the right questions.” Not understanding theory is the reason, in my estimation, that HPT efforts often fall short of expectations. Practitioners often miss asking that one important question that leads to a deeper level of understanding of the business issue. Understanding theory would have intuitively led then to ask that question.

The authors draw attention to the fact that the HPT Model is a return to the craftsman era when businessmen were experts in their field, took pride in their work, and maintained quality by limiting the number of people who entered the craft. A silver smith and apprentice of the 1700s in America would never have had to take a course in customer service. It was hammered into the silver with the pride of having produced it. Why did corporations ever desert that model? Oh, yes the Industrial Revolution! Assembly line mass production has probably had the greatest impact on the deterioration in workmanship in products and deterioration of customer service. I think of the factory worker in a major automobile assembly plant who, upon retirement, was asked what was the first thing he was going to do after retirement. He responded, “I’m going to walk down to the other end of this assembly line and see what comes out the other end.”

This book is important because most of the world is no longer in a manufacturing environment where lack of knowledge of the part-to-whole relationship is acceptable. Only 100 years ago, 80% of all work was mechanical and 20% intellectual. Today, the opposite is true. That means employees cannot work in isolation. They have to have a broader picture of what is happening in their organization and how what they do impacts everyone else. As organizations become more complex, so is the task of making certain everyone knows and appreciates the organizational goals of the company.

The complexity of engineering worthy performance should come through the pages along with the realization that an organization will probably never find the “superman” who embodies all of these areas of specialized knowledge. Moving from a training department to an HPT function sounds the death knell for the one-person training department. This book will help organizations determine the areas of expertise they need to find and / or develop.

The book also addresses why HPT is complex. With training all you have to think about are the “activities”. HPT requires thinking “systematically”. The HPT professional must be integrated at the strategic level of a corporation, not just be an “order taker” serving up management decisions.

The HPT Model from analysis through evaluation forms the foundation of the book but what’s in between is filled with such topics as the importance of communication, the structure of the HPT organization, knowledge management, employee selection, financial systems, recognition, and technology. You can expect this book to help readers recognize the impact of almost any workplace
activity and it is designed to be a “desk reference” of performance solution opportunities, even containing discussions of such topics as hiring, retirement, compensation, and the cost of turnover.

The treatment of knowledge management is very impressive and comprehensive. It is good to have this valuable resource companies lose when experienced employees leave. The coverage of technology as the receptacle and delivery mechanism for knowledge, information, and communication is very pointed and contains a lot of common sense.

The numerous case studies interspersed through the book demonstrate how the various tools can be used within each phase of the process. They show the practical application of the concepts that the authors put forth.

William W. Lee

Director of Performance Technology

American Airlines Corporation Flagship University, Texas
INTRODUCTION TO THIS BOOK

“We’ve got problems—right here in our workplace.” “Advertisements just aren’t catching shopper’s attention.” “Too many phones are ringing to be answered promptly.” “Parts are being produced with flaws.” “Customers just won’t buy the latest product improvement.” “Schoolchildren with special needs require professional support that is costly.” “Hospitals are challenged to contain costs while providing a vast array of services.”

Every organization offers challenges and many situations seem unsolvable. Workers and managers hold meetings, write plans, and pledge new energy and resolve. Sometimes the new ideas work, sometimes nothing changes or matters get worse. It often seems difficult to systemically and systematically control a situation and confidently improve workplace problems. Why do problems persist? Why do people resist new ideas? Why do managers seem so “bossy” and insensitive?

It is not enough to create successful performance improvement and beneficial change; the efforts need to be feasible, sustainable, and realistic in terms of scope and resources otherwise situations will eventually revert to the way it was. Or worse yet, the improvement effort might actually establish unintended situations that make matters worse. To be effective, performance improvement experts need to plan carefully and wisely so that the new situations they create are realistic, sustainable, and adds value. In addition, it is essential that performance improvement processes are reliable
and repeatable so that performance improvement practitioners can consistently accomplish successful results.

Performance improvement promotes opportunity, offers the structure needed to engage in new services, products, or methods; and is future-focused. Considering feasibility and sustainability as integral to performance improvement connects with executives and sponsors of new ideas. Careful implementation and maintenance built on multifaceted evaluation leads to enduring impact and often culture shift.

**PERFORMANCE IMPROVEMENT/HPT MODEL: THE CHALLENGE**

A performance improvement mindset challenges consultants and practitioners to be thoughtful, observant, knowledgeable, systematic, hopeful, comprehensive, and scientific. Performance improvement includes theories of systems, quality, communications, learning, human resources, organizational design and development, and more. This book applies the Performance Improvement / HPT Model to illustrate performance improvement processes and procedures. Performance improvement practitioners can adapt this process model to the unique requirements of their own situation.

The Performance support tools (PST) or job aids in the book are designated as “Permission granted for unlimited duplication for non-commercial use”. As a result, it is possible to use them for meetings or internal courses, but not for commercial training or fee-based consulting.
Performance improvement practitioners typically adapt the Performance Improvement/HPT Model and performance support tools to the mission, strategic direction, and culture of each organization.

WHAT TO EXPECT IN THIS BOOK

*Fundamentals of Performance Improvement* is an easy to understand guide to a proven, successful approach for workplace improvement. Designed as a “how to” book, *Fundamentals of Performance Improvement* is grounded in evidence and research-to-practice, as documented by the extensive citations and references at the end of each chapter.

Purpose

There are several purposes. One intention is that the reader can go to an initial performance improvement planning meeting and use the job aids and performance support tools to effectively begin the project. After the initial meetings, more detailed and precise activities may be necessary, probably based on specialized resources.

For those new in the field, the overall objective is to provide a step-by-step guide. For seasoned professionals, the objective is to explain why performance improvement projects work so it is possible to predict successful outcomes for future projects. The book can serve as a comprehensive desk reference or be read sequentially to receive the full benefit.
Fundamentals is an overview for project teams to understand the approach and work effectively in collaboration. For champions, sponsors, and those who support an improvement effort, the book provides the context and encouragement needed to successfully complete the intervention project.

Fundamentals of Performance Improvement explains how to apply the Performance Improvement/HPT Model in the workplace and society. The Performance Improvement / HPT Model represents systemic and systematic methods, processes, and procedures used for performance improvement under any name—performance improvement (PI), human performance improvement (HPI, human performance technology (HPT), or performance technology (PT). In addition, the model is generic and applicable to the full range of performance issues in fields as broad as communication, organizational development, industrial engineering, quality, change management, financial consulting, etc., in a broad array of industries including service, armed forces, health care, education, religious institutions, manufacturing, government, power plants, fossil fuels, agriculture, and many more.

Goal and Objectives
The goal of this book is to enable readers to strengthen their existing performance improvement practice or begin applying performance improvement concepts wherever there is a need for change or an
opportunity for advancement, such as a new product or service. Using this book, performance improvement practitioners will be able to:

1. Analyze the current situation, determine the desired situation, and describe the cause of the performance challenge.
2. Determine options to improve the situation, select, design, and develop suitable interventions to alleviate need or promote opportunity.
3. Create a business case using an iterative approach enabling senior leaders and the organization to finance and manage the effort effectively.
4. Put into practice, monitor, and establish lasting change.
5. Evaluate intermediate steps, determine immediate response to initiative, and verify that desired change occurs and is sustained.

Audience
Performance improvement requires a comprehensive approach, thus the book is designed for many audiences.

1. Anyone interested in making change within their work group, an organization or society. Principles of performance improvement can be broadly applied.
2. Performance improvement practitioners desiring to enhance their efforts by expanding their options and trying new intervention ideas.
3. Professionals from related fields who will integrate their expertise with performance improvement concepts, such as psychology, communications, industrial engineering, education, quality, business, and many more.

4. People from all workplaces, industries, cultures, and societies including military, finance, government, manufacturing service, education, agriculture, and others too numerous to mention.

**Benefits of Applying the Book**

*Fundamentals of Performance Improvement* contains a compendium of interventions. It is also designed as a desk reference of improvement processes and performance solution opportunities. Like an IKEA, Sears, or J.C. Penney’s catalog, there is something for almost any need and nearly every situation. The intent is to identify and explain common improvement interventions or solutions. Each intervention is defined, its scope is briefly discussed, and its implementation is described. In addition there is at least one performance support tool or job aid per intervention category to assist readers in applying the intervention. There is also at least one case study for each section that demonstrates the inter-relationships within the performance improvement process.

Another benefit of this book is to help readers recognize and anticipate the impact of any performance intervention. Some interventions may be common concepts, but unfamiliar as interventions; for example, strategic
planning, globalization, profit versus cost centers, or security management. At times, intervention activities are carried out or innovations are adopted without thinking through the impact on the organizational culture, group dynamics, or worker's behavior. For example, once senior officers complete a strategic plan they typically convey this vision to executives. On the other hand, if the strategic plan is communicated throughout the workforce, it can affect job performance and decisions within the entire organization.

Finally, the book also contains an intervention selection process and tool enabling the reader to choose the most appropriate intervention or interventions. Due to the enormity of intervention options and the complexity of interfaces between the interventions, the intervention selection process includes individual and group considerations. Successful intervention implementation requires consensus among at least the leaders and representatives of affected parties.

OVERVIEW OF BOOK SECTIONS AND CHAPTERS

*Fundamentals of Performance Improvement* is organized based on the Performance Improvement / HPT Model.

**Section One: Performance Improvement and the Performance Improvement/HPT Model** provides the context and background to understand major performance improvement concepts and practices. Be familiar with the evolution of performance improvement thinking provides context enabling readers to look ahead at new directions for the
performance improvement field. Performance improvement processes and considerations are represented by the comprehensive Performance Improvement/Human Performance Technology (HPT) Model. Change management is foundational for performance improvement because change is the desired result of all improvement efforts.

**Section Two: Performance Analysis** focuses on understanding the opportunity or challenge fully including the current situation and definition of future expectations which sets the stage for successful outcomes. Defining organizational expectations leads to the definition of desired performance. Environmental analysis results in a comprehensive understanding of the actual performance. Comparing the difference between desired and actual is known as gap analysis. It is not enough to understand the opportunity or need gap, it is essential to consider causes that lead to the gap. For example, just as a medical doctor may determine that the actual symptoms are fever, rash, and runny nose, and the desired state is energy and enthusiasm. The physician then decides that the cause of the symptoms is allergy and the interventions could be an antihistamine and avoiding pollen. Likewise, performance analysis leads into consideration of interventions or resolutions of challenges.

**Section Three: Intervention Selection, Design, Development** provides a wealth of information about over 100 interventions within seven categories—what they are, the scope of their usage and workplace
implementation, suggestions for designing and classifying them, elements of successful interventions, and practical guidelines based on consulting experiences. For certain interventions, practitioners who have used them in their consulting practices added commentary in *The Performance Practitioner's Voice*. Section Three contains the *Intervention Selection Process* and an *Intervention Selector Tool*. Business case development, including feasibility and sustainability, provides the context and conveys fully financial and leadership expectations promoting informed decision making.

**Section Four: Intervention Implementation and Maintenance** is the most active phase. Through collaboration with all stakeholders, it is possible to minimize resistance and promote positive adapting as the implementation unfolds. Communication and employee development lead to a clear understanding of the improvement effort and potential benefit. Project management provides the structure for comprehensive thinking and doing.

**Section Five: Evaluation** is often an under-valued aspect of performance improvement; it is the checks and balances enabling confidence as the effort progresses. Formative evaluation focuses particularly upon preparation prior to roll-out. Summative evaluation considers immediate changes and application. Confirmative evaluation examines the sustainability of the effort and long term value. Meta evaluation promotes improvements to the evaluation process.

**Case Studies**
There are case studies at the end of each Section. The headings within the case studies cover the four principles from the International Society for Performance Improvement (ISPI) Performance Technology Standards and the phases of the Performance Improvement/HPT Model. Although each case study is designed to illustrate a particular topic, the case studies all illustrate that the model applies broadly.

CONCLUSION

This comprehensive book should be considered a desk reference and not a book to master. It requires years in performance improvement to master the concepts. It takes broad experiences to encounter most of the intervention options. As a result, performance improvement practitioners prize their network; they collaborate with colleagues who focus on results and outcomes.
America is a nation where creative approaches yield real solutions to our problems. . .It’s clear to me that performance technology is just such an approach.

__President George Bush¹

Society, work, and the workplace have changed dramatically. As the Industrial Era emerged from agriculture and craft orientation, people began working in large groups and living in large communities. Gone were the isolation and independence of farming or as crafts-persons in small towns supported by and supporting agriculture. Industry brought large-scale machinery operated by large workforces. The industrial workplace emphasized work design and quality.

With the Information Era, the workplace began to focus on information and the people who add value to information. Just as industrial machinery was automated to improve its functionality, much has been done to automate information through software, hardware, and internet innovation. The Information Era brought increasing recognition of the value of people as integrators and users of information. Leaders of progressive organizations successfully envision and promote people and people issues. Although there is considerable emphasis on information, there is an ongoing need for
manufacturing, medicine, service, military, government, and many other organizations. There is much more need to coordinate and collaborate because there is great interdependence.

**PERFORMANCE IMPROVEMENT: PRECURSORS**

Performance improvement as a field of study has gradually evolved as the world evolved. Craftsmanship established standards; work design improved efficiency; quality focused on customer expectations; the ever widening distribution of information enabled a global economy, and the people became more valuable to their organizations.

**Craftsmen and Artisans**

Through much of the history of the recent world, agriculture provided sufficient productivity to support artisans and craftspeople and to request their services. Architectural masterpieces, such as religious edifices, jewelry, household goods, etc. were made according to expectations and, often, based on scientific standards.

**Work Design**

Work, work processes, and job design took on great importance as people began working together in factories. Efficiency was the goal. The ability to coordinate and control hundreds of employees in one location led to product dominance and business success. Frederick Taylor was a leader in scientific management, also known as *Taylorism*, based on time and motion
studies. For example, many small companies could build automobiles, but only Henry Ford, with his assembly line and upgraded labor pay scale, could create vehicles that were affordable by the common man. Maximizing the capability of a larger workforce was a significant competitive advantage.

Quality
As time went on, the ability to coordinate and control workers was not enough. Competitive advantage now moved to the quality of the product. Value was measured by the ability to provide customers with timely, innovative, defect-free, and cost reasonable merchandise. The quality movement flourished and helped unify work practices globally. An American, W. Edwards Deming, during 30 years helping Japan improve their product quality, spearheaded efforts to produce items with little variation and extraordinary reliability.

Information
Optimizing information became the next competitive edge. Data became readily available for analysis, problem solving, and decision making. Software was written to integrate work thereby increasing accuracy, reducing time and cost, and extending predictions and planning. For example, Thomas Watson at IBM envisioned the value of computers and helped incorporate them universally in organizations. Bill Gates enabled information to be readily available and usable throughout the world.

Peter Drucker discussed the origin of the information age:
"Whether this transformation began with the emergence of the first non-Western country, Japan, as a great economic power or with the first computer – that is, with information – is moot. My own candidate would be the GI Bill of Rights, which gave every American soldier returning from World War II the money to attend a university, something that would have made absolutely no sense only thirty years earlier at the end of World War I. The GI Bill of Rights and the enthusiastic response to it on the part of America’s veterans signaled the shift to a knowledge society."

People

Over the years, truly great organizations have realized the value of people and worked to maximize their potential. All the efficient machinery operation, quality control, and information access in the world does not make an organization outstanding. People, with their skills, knowledge, motivation, values, and dreams, make organizations thrive and prosper. For instance, Jack Welsh, CEO of GE, harnessed the value of people to make a world renowned, competitive, innovative, energized organization.

Just as work design, quality, and information require continuous commitment to achieving maximum competitiveness, people-related performance issues need unwavering attention as well. Thomas Gilbert, the founder of performance technology described people’s behavior in terms of ‘worthy or worthwhile performance. In his Behavior Engineering Model
which focused on environmental support and employee’s repertory of behavior\(^9\) established the framework for performance improvement outcomes and performance technology.

**PERFORMANCE IMPROVEMENT: DEFINITION AND SCOPE**

Performance improvement (PI), also known as performance technology (PT), human performance technology (HPT), or human performance improvement (HPI), is the science and art of improving people, process, performance, organizations, and ultimately society. Sanders and Ruggles use the analogy of alphabet soup and make the case that there are not too many letters in the performance improvement soup.\(^{10}\) Each letter, expert contributor, or discipline adds flavor or nutritional value to the performance improvement soup pot. (See Tables 1.1, 1.2, and 1.3 later in this chapter.)

PI, PT, HPT, and HPI are different in nuance; however, they are often used interchangeably. *Human* performance technology (HPT) and *human* performance improvement (HPI) imply a focus on improving people/worker performance; performance *technology* (PT) implies a focus on using a set of methods and procedures to improve the work, worker, workplace, and/or world. However, no matter what it is called, performance improvement is a systematic process that links organizational and business goals and strategies with the workforce responsible for achieving the goals.
Performance improvement is a science and an art. It is a science because analytical processes and methods are the bases for selecting and implementing solutions, known as performance improvement interventions. It is also an art because it requires intuition and creativity due to the interconnectedness and complexity of performance challenges, including issues of people with all of their values, emotions, idiosyncrasies, and variability.

PI, HPI, PT, and HPT practitioners use a common methodology to understand, inspire, and improve people; they systematically analyze performance problems and their underlying causes; and describe exemplary performance and success indicators. Practitioners also select, design, develop, implement, and maintain performance improvement interventions to alleviate problems or take advantage of opportunities.

Human performance technology by any name has two major drivers, evaluation and change:

Largely, HPT is evaluation—and change-driven. At each stage of the performance improvement process, activities and outputs are evaluated and focus on the ultimate target of organizational results. Solving problems, improving organizations, and actualizing opportunities by their very nature mean change.\(^\text{11}\)

PI, PT, HPI, and HPT all use widely accepted, common practices including quantitative and qualitative analytical methods for evaluation and decision
Practitioners should evaluate inputs, processes, and outputs throughout the performance improvement cycle and remain focused on change management throughout the life of the intervention. (See Performance Improvement/HPT Model in Chapter 2).

PERFORMANCE IMPROVEMENT: KEY TERMS

The most important performance improvement terms are those used to accomplish performance improvement and successful outcomes. Rosenberg suggests three key terms: performance improvement, performance consultant, and performance technology. The authors of Fundamentals have added a fourth term—performance improvement interventions.

Performance Improvement

Performance Improvement or human performance improvement is both the process of making performance better and the actual positive result of the performance improvement process. Performance improvement is the outcome. Performance improvement is measured by success indicators and comparison of current or baseline situations to desired outcomes looking for the gap or movement toward the desired or ideal situation as a result of the effort.

Performance Consultant

The performance consultant is the practitioner who actually leads and conducts the improvement effort. Performance consultants apply the
principles, processes, tools, and techniques of performance improvement.
In this book, the words performance improvement or performance
technology practitioner or performance consultant will be used as synonyms.

**Performance Technology**
Performance technology or human performance technology is the process,
tools, and techniques used to accomplish the improvement. The
Performance Improvement/HPT Model illustrates the phases and steps in the
improvement process. Professionals with substantial experience often refer
to this as “HPT”. HPT may be used in this book as a synonym for
performance improvement.

**Performance Improvement Interventions**
Performance improvement interventions are the processes, methods, and/or
plans selected, designed, developed, and implemented to improve
performance, after performance analysis is completed. Interventions are
also known as solutions. Since every workplace or situation is unique, the
range of possible interventions that can be used for performance
improvement is infinite. This book discusses over 100 potential
interventions and contains an intervention selection tool, but there are many
more. Just as society, organizations, and workplaces are ever changing, so
new interventions are developed and use to optimize the changed dynamics.

**PERFORMANCE IMPROVEMENT: KEY CONCEPTS**
There are also important concepts or beliefs associated with improvement efforts and improvement principles. Performance improvement is eclectic and comprehensive; it draws from many related fields, such as organizational development, business, psychology, communications, industrial engineering, analysis, evaluation, problem solving, engineering, and many more. The following pages discuss some of the key concepts that have been derived from other fields.

**People Oriented**

Performance improvement or human performance technology is *people-oriented* and, as a result, practitioners typically share a set of common beliefs:

- People are important;
- Appropriate performance improvement solutions are beneficial for the present situation and are also future-oriented;
- Approaches to analysis, design and development, implementation and maintenance, and evaluation need to be multidimensional; and
- Performance improvement professionals work in a manner that is team-oriented and interdependent.

Performance improvement professionals are committed to people— their capabilities, and their potential. People are part of the core energy of organizations. Equipment and financial reserves are important, but people are the heart and soul of organizations. People purchase, operate, and
maintain the equipment; budget, account for, and report the financial status; plan, engineer, design, and implement. People are behind everything that happens.

Clearly, the trend towards valuing people and knowledge requires a paradigm shift. PI provides such a methodology. PI can be sustained because people and their knowledge truly are the organization’s most valuable resource. While performance improvement also involves work, workplace, and world, interventions are selected, planned, developed, implemented, and maintained by people and people drive the change that makes performance improvement happen.

**Positive and Future Oriented**

Performance improvement professionals have a positive outlook and are oriented to the future. They believe it is possible to improve situations and design solutions that are beneficial for people, no matter how complex the problem, how great the hurdle to overcome, or how discouraging the current situation is. They believe the solutions should be sustainable over time.

**Multidimensional Approaches**

Performance improvement professionals are committed to adopting comprehensive interventions or solutions that include or alleviate many of the major factors identified in cause analysis. Rather than rushing in with interventions based on gap analysis or the difference between what is desired and what is currently present, practitioners first consider causes.
Reducing performance gaps prior to determining causes often provides only temporary relief, but eliminating causes can fix real problems. Performance resolutions without considering causes are like band aids. Fixing problems based on causes are like curing the disease.

**Commitment**

Equally important to solving problems is getting commitment from senior management and other stakeholders or champions to support and sustain the interventions. Performance improvement practitioners help gain commitment by conducting feasibility studies, establishing sustainable frameworks so that the improvements are lasting, and developing business cases that provide a strong rationale for improvement. Through partnering, networking, communication, and alliance building, performance improvement practitioners systematically implement effective and value added interventions based on strategic planning and results-oriented feedback.

**Team-Oriented**

Performance improvement professionals accomplish performance improvement and change through groups or teams. Sustaining improvement requires senior management to articulate organizational needs, support analysis, and sponsor interventions and follow-up evaluation. Comprehensive intervention designs usually contain many specialized factors, such as work environment, motivation, and skill development.
Specialists, in areas such as production processes, client services, staff selection, or job design need to work together with human performance technologists to craft communication plans, intervention timelines, and follow-up strategies so that desired changes are accomplished and sustained.

**Sports Analogy.** The sports arena provides an appropriate analogy to performance improvement. Most sports teams have a long tradition of strategically selecting players and planning competitive plays. Football players, for example, study the strengths and weaknesses of opponents and practice their assignments accordingly. Coaches motivate players to win by giving feedback and encouraging team playing. As Casey Stengel, the legendary manager of baseball’s New York Yankees, often remarked, “Finding good players is easy; getting them to play together is the hardest part.”

**Business Analogy.** Businesses and other organizations, like sports teams, need to recognize the strengths, weaknesses, and interdependencies of their workforce to ensure that workers “play together” effectively in support of business objectives. Today’s knowledge era organizations are creating team cultures that are dependent on contributions by all team members. Fisher and Fisher predict that most future work will be mental and team based. Individuals will bring their specialized knowledge and skills to teams. Teams will often be virtual, and their membership will be constantly shifting as
team members accomplish their tasks and move on to another assignment. Team members may never physically meet their coworkers.

In this knowledge era, organizations need to value and reward the sharing of information. Intensely competitive or territorial organizations, in which personnel tend to hoard all information, will achieve less success than those companies in which top management encourages an open, cooperative workplace.\(^\text{16}\) Organizations need to encourage information exchange and ensure that employees do not lose power when they share knowledge.

**Not Just a Bandwagon**

People are the most important resource for the knowledge era; people are the fundamental determinants of economic grown and productivity.\(^\text{17}\) But performance improvement is relatively new and dynamic approach for putting this concept into practice. Human resources and training and development survey results indicate that more and more senior managers are committed to people as their most important resource.\(^\text{18}\)

However, there is skepticism regarding people issues in the business sector. Frequently, people-oriented initiatives are viewed as passing bandwagons. They are colorfully and convincingly presented to workers and enthusiastically supported by senior management. Then, they are hastily replaced by a different bandwagon initiative when workplace improvements are not quickly achieved. Performance improvement is a systemic, comprehensive, systematic, and analytical approach. It links many factors
together to generate solutions and is well-suited for the people-oriented, team based, knowledge era. Will PI become a passing bandwagon, like the bandwagons that came to town and left with the circus? Can PI maintain its enthusiastic supporters? Does PI stand up to application in the workplace?

**PERFORMANCE IMPROVEMENT: FOUNDATIONS**

Performance improvement is a comprehensive approach. It assimilates and integrates ideas and theories from many disciplines. Table 1.1 illustrates the disciplines that are most influential to performance improvement and performance technology.

**Table 1.1 Theoretical Foundations of Performance Improvement**

<table>
<thead>
<tr>
<th>Discipline</th>
<th>Focus</th>
<th>Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Behaviorism</td>
<td>Predicting behavior</td>
<td>• Small steps of instruction and feedback</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Learn to manipulate and control the environment by the individual’s responses to it</td>
</tr>
<tr>
<td>Diagnostic and Analytical Systems</td>
<td>Data as basis for understanding behavior</td>
<td>• Practitioners use comprehensive analytical tools</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Diagnosis is based on gap (difference between desired and actual situation)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Causes of situation are defined before intervention is selected and implemented</td>
</tr>
<tr>
<td>Instructional Systems</td>
<td>ADDIE (analysis, design,)</td>
<td>• Developed in 1940s and 1950s, responding to need to train</td>
</tr>
<tr>
<td>Design and Organizational Learning</td>
<td>Various instructional methods were found to be valuable, such as role play, video, case study, and lecture</td>
<td>thousands of military personnel during World War II</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------</td>
</tr>
</tbody>
</table>
| Organizational Design (OD) and Change Management | OD interventions improve culture, group dynamics, and structure of organization | • OD interventions improve culture, group dynamics, and structure of organization  
• Change management helps individuals and groups adapt to change through timely information, appropriate resources, and strategies to minimize resistance and turmoil that accompanies change  
• Theoretical basis includes systems dynamics, human motivation, group and team dynamics, competency modeling, organizational learning systems, and feedback systems |
| Evaluation | Produces credibility that practitioners need | • Produces credibility that practitioners need  
• Real costs against real savings attained by organization, return on investment (ROI) |
| Management Sciences | Theories led to standardized production system, such as Henry Ford’s assembly line | • Theories led to standardized production system, such as Henry Ford’s assembly line  
• Emphasis evolved to physical and psychological issues, such as motivation, job satisfaction, professional growth, and empowerment |
PERFORMANCE IMPROVEMENT: LEADING CONTRIBUTORS

Many experts have shaped the field of performance improvement and performance technology. Although each expert focused and refined a particular knowledge area, PI practitioners need to integrate their contributions in order to provide a background to the field. Performance improvement applies the knowledge and models of many experts by fitting their ideas, as subsets, into the Performance Improvement /HPT Model. Although Table 1.2 is extensive, it is only a selected list of the contributions of experts.

Table 1.2 Leading Contributors to Performance Improvement and Performance Technology

<table>
<thead>
<tr>
<th>Leader</th>
<th>Field</th>
<th>Focus</th>
<th>Contribution</th>
</tr>
</thead>
</table>
| Chris Argyris| Action Science| Reflection and inquiry on the reasoning that underlies people’s actions | • Developed concepts of learning organization, double loop learning, and feedback systems  
• “Coined the term skilled incompetence to explain how defensive behavior and the fear of collective inquiry by management may protect us from threat or embarrassment ut also many block learning” (p.31)  
• Pioneered team building with upper management |
| Benjamin     | Educational  | Hierarchical           | • Vary instruction according                                                  |
| Bloom Technology | taxonomy of intellectual or cognitive objectives based on what learners are supposed to do | to learning requirements and difficulty of cognitive domain level  
- Revealed that instructional efforts were largely aimed at the bottom levels of the cognitive hierarchy |
| W. Edwards Deming | Total Quality Management (TQM) | Emphasized quality rather than production targets  
- “14 points” model of quality  
- Statistician who helped turn around Japanese economy after World War II |
| Peter Drucker | Management Sciences | Businesses are human centers as well as economic centers; work must have social meaning  
- Developed concepts of decentralized large organizations, management by objectives, and role of the knowledge worker  
- Coned phrase “Self governing plant community” proposing that many managerial responsibilities should be undertaken by individual employees or work teams |
| Robert Gagne’ | Instructional Systems Design | Task analysis and sequencing tasks  
- Created Information Processing Model and Nine Events of Instruction  
- “Learners need to receive feedback on individualized tasks in order to correct isolated problems” (p.32)  
- HPT needs to deal with multiple rather than serial objectives |
### Five types of learning:
1. Psychomotor skills
2. Verbal information
3. Intellectual skills
4. Cognitive strategies
5. Attitudes

<table>
<thead>
<tr>
<th>Name</th>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thomas Gilbert</td>
<td>Behavioral Engineering</td>
<td>Founded the field of Human Performance Technology</td>
</tr>
<tr>
<td>Joe Harless</td>
<td>Front End Analysis</td>
<td>Diagnose problems early because problem cause often dictates solution</td>
</tr>
<tr>
<td>Roger Kaufman</td>
<td>Strategic Planning</td>
<td>Addresses mega (societal), macro (organizational), and micro (individual) levels</td>
</tr>
<tr>
<td>Donald Kirkpatrick</td>
<td>Evaluation</td>
<td>Four levels of evaluation criteria (reaction, evaluation)</td>
</tr>
</tbody>
</table>

- Behavioral Engineering Model focuses on changing work environment aspects such as information resources, incentives, knowledge, capacity, and motives to improve performance.
- “Absence of performance support (not skills and knowledge) is the greatest block to exemplary work performance” (p.32)
- Coined phrase "front end analysis" to describe the rigorous diagnostic framework applied prior to addressing solutions.
- Analysis can be conducted by employee teams.
- Emphasized that performance improvement work impacts society and should impact society and that performance improvement should be planned astutely.
- Clarified role of evaluation relative to performance improvement and training.
<table>
<thead>
<tr>
<th>Name</th>
<th>Concept</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
</table>
| Malcolm Knowles | Androgogy              | Adult learning needs to be lifelong and ideally should involve learning contracts | Adults need to:  
1. Self-direct their own learning  
2. Know the purpose of what they are learning  
3. Apply their relevant experiences to learning  
4. Apply a problem-solving approach |
| Kurt Lewin | Force Field Analysis   | Force field assesses human behavior in terms of opposing forces (driving and restraining) that motivate action | Performance improvement occurs when restraining forces are reduced  
Participative management linked Taylor’s scientific thinking with democratic values  
Three-stage organizational change:  
1. Unfreezing old behavior  
2. Moving to new level of behavior  
3. Refreezing new behavior |
| Robert Mager | Instructional Objectives | Instructional objectives should describe what learners will be able to do and represent improved | Described objectives to accomplish desired instructional results using a branching format of programmed instruction.  
Created performance |
<table>
<thead>
<tr>
<th>Name</th>
<th>Theory/Innovation</th>
<th>Description</th>
</tr>
</thead>
</table>
| Douglas McGregor      | Theory X & Theory Y                                    | X management style is repressive, authoritarian, fearful  
Y management style is optimistic, creative, and independent  
- Metaphors for master and servant polarity  
- Pioneered industrial relations |
| Susan Markle          | Programmed Instruction                                | Developed concept of programmed instruction following experiments with Skinner's teaching machine  
- Three types of learning necessary for programmed instruction: Discriminations, generalizations, and chains  
- Programmed Learning Model combines operant conditioning, cognitive learning, with information gathering (developed with Phillip Tiemann) |
| Geary Rummler         | Three Levels of Organizational Performance            | Three levels: Organizational, Process, and individual job or performer  
- Emphasized the importance of improved process, which he called the “white space” |
| Peter Senge           | Learning Organization                                  | Five critical practices for creating a learning organization:  
1. Personal Mastery  
2. Mental Models  
3. Shared Vision  
- Pioneered systems oriented approach to achieving high performance |
<table>
<thead>
<tr>
<th><strong>B.F. Skinner</strong></th>
<th><strong>Behaviorism</strong></th>
<th>Small step instruction, followed by extensive feedback, enhances learning</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Behavioral theories fundamental to performance improvement and instructional design.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Invented linear programming method=logy</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Frederick Taylor</strong></th>
<th><strong>Scientific Management</strong></th>
<th>Integration of methods, policies, planning, and people</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Scientific management principles include:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. Authority based on knowledge instead of position</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. The first wage incentive system</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Breaking down tasks into smaller components</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. Creation of a productivity expert</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Laid the foundation for the modern assembly line</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Sivasaliam (Thiagi) Thiagarajan</strong></th>
<th><strong>Games and Playfulness</strong></th>
<th>Integrated playfulness, person-to-person interaction, and experiential learning</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Elevated serious play, games, and fun as performance interventions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Donald Tosti</strong></th>
<th><strong>Feedback</strong></th>
<th>Critical characteristics of feedback are tied to who gives it, the content, where and when it</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Specialized in applying human performance technology and performance improvement to organizational change culture</td>
</tr>
</tbody>
</table>
is given


Based on “HPI Soup: Too Many Cooks Haven’t Spoiled the Broth” by E.S. Sanders and J.L. Ruggles, 2000, Training & Development 54(6), pp. 27–36. Used with permission.

Table 1.1 and Table 1.2 illustrate the origins of performance improvement by describing the complexity and comprehensiveness of the theory base and the major contributors. In addition to the individuals mentioned in this chapter, there are many, many other men and women who have made significant contributions to our field of performance improvement. While it is not possible to list them here, the reader is encouraged to check the authors who appear in volumes 1–3 of the Handbook of Human Performance Technology as well as the authors who appear in the Volumes 1- 3 of the Handbook of Improving Performance in the Workplace.

The stellar work of those people has collectively advanced our field and forever changed our performance landscape.

**PERFORMANCE IMPROVEMENT: PROMINENT EARLY LEADERS**
Current efforts in performance improvement were built upon the work of those who have paved the way and gone before us. They have raised the questions, done the research, applied their knowledge, evaluated, and revised their thinking again and again. They have challenged each other, learned from each other, and taught our field their lessons learned. Today, our great thinkers and our many practitioners are refining their thinking and applying their concepts in new ways.

The basis of the field of performance improvement started in early days of the National Society for Programmed Instruction (NSPI) now the International Society for Performance Improvement (ISPI). The first NSPI conference was in San Antonio, TX in 1952. Robert Mager provided the first banquet speech. Some of the first to be involved were: Gabriel Ofiesh, Robert Mager, Lloyd Homme, Susan Markle, Thomas Gilbert, Don Tosti, Roger Kaufman, Dale Brethower, Jim Evens, Geary Rummler, George Geis, and others. In a personal communication Mager wrote:

“. . .many of us joined because of our interest in understanding and implementing this new format of instruction. Over the years the focus shifted away from that focus on instructional improvement, to several other areas, and the performance improvement field now has many techniques allowing it to create instruction only when it will, in fact, solve the performance problem at hand; and in those relatively rare
instances when instruction is indicated, to guarantee that the instruction developed will lead students to competence.”

Four of the leading early performance improvement experts are highlighted below and in Table 1.3 to provide perspective regarding the science and the art of performance improvement. The experts and their contributions provide examples of the foundations and evolution of performance improvement and human performance technology.

Table 1.3 Early Leaders

<table>
<thead>
<tr>
<th>Early Leader</th>
<th>Performance Improvement Aspect</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thomas Gilbert</td>
<td>Worthy Performance</td>
</tr>
<tr>
<td>Geary Rummler</td>
<td>Components of Performance</td>
</tr>
<tr>
<td>Roger Kaufman</td>
<td>Societal and Organizational Effectiveness</td>
</tr>
<tr>
<td>Robert Mager</td>
<td>Objectives and Analysis</td>
</tr>
</tbody>
</table>

**Thomas Gilbert**

Gilbert\(^{24}\) established much of the conceptual framework for performance improvement. He studied behavioral psychology under B.F Skinner for one year at Harvard University; and, as a result, much of Gilbert’s work is detailed, creative, and behavioristic.\(^{25}\)

Gilbert identified *worthy performance* as behavior valued for its accomplishment. Worth is determined by dividing value by cost \((W=V/C)\). This was the first conceptualization of return on investment. Gilbert believed
it unwise to define change in terms of desired behavior; rather change should be described in terms of performance outcomes or results.

Gilbert created one of the earliest models for performance improvement. “The Behavior Engineering Model (BEM), developed by Gilbert and presented in his landmark book, *Human Competence: Engineering Worthy Performance*,” provides us with a way to systematically and systematically identifies barriers to individual and organizational performance.” According to Gilbert, “The behavioral engineering model serves one purpose only: It helps us to observe behavior in an orderly fashion and to ask the “obvious” questions (the ones we so often forget to ask) toward the single end of improving human competence.”

Gilbert describes individual characteristics as repertory of behaviors, meaning the entire stock of individual behaviors resulting from knowledge, motivation, and abilities. (See Table 1.4)

**Table 1.4 Thomas Gilbert’s Behavior Engineering Model**

<table>
<thead>
<tr>
<th>Environmental Support</th>
<th>Information</th>
<th>Instrumentation</th>
<th>Motivation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Repertory of Behavior</td>
<td>Data</td>
<td>Instruments</td>
<td>Incentives</td>
</tr>
<tr>
<td></td>
<td>Knowledge</td>
<td>Capacity</td>
<td>Motives</td>
</tr>
</tbody>
</table>

Adapted from Gilbert, 1978.
Gilbert’s Behavior Engineering Model (BEM) consists of six basic aspects of human behavior that impact performance improvement: three are related to the environment and three are related to the individual:

- **Environmental Supports**—data such as production standards, instruments or equipment, and incentives or rewards provided by the environment; and
- **Person’s Repertory of Behavior**—knowledge or the know how to perform, capacity or physical and intellectual ability, and motives or willingness to work for the incentives collected and stored by the individual.

Gilbert further identified two attributes of the six basic aspects of the BEM model: cost and impact.

Gilbert asserted that data or information has the highest impact and the lowest cost, and resources have the next highest impact and the next lowest cost. Knowledge has the highest cost with the lowest impact. To assess cost versus impact, begin at the left top and go across the top set of cells to the right and then drop to the lower set of cells and go from right to left. Many are surprised to realize that training and acquiring knowledge can be the most costly solution and the one with the least impact.

The BEM has been applied as a cause analysis model, helping to identify what causes the gap or problem or a description of what needs to be improved and represents cause analysis in the Performance
Improvement/HPT Model. Chapter Eight has more information on Gilbert’s Behavior Engineering Model.

**Geary Rummler**

It is difficult to overestimate the impact of Rummler’s work on performance improvement. “[Rummler’s] work fundamentally changed our work, our way of thinking, and the way we behave as professionals.”

Rummler defined the five components of performance systems. His work helped performance improvement practitioners view the components of individual performance as much more than behavior and outcomes. Rummler stressed the interrelationship of employees, the organization, and many other factors; believing an organization is only as good as its processes. He stated that performance systems have five components:

1. Job situation—the occasion of the performance
2. Performer—the worker
3. Response—the action or decision that occurs
4. Consequence—a reward, punishment, or non-existent consequences
5. Feedback—information about whether the response was adequate or inadequate

Later, Rummler and Brache described the accumulative, collective impact of performance variables based on Level: Organization, Process, or Job/Performer and Performance Needs: Goals, Design, and Management. They emphasized the importance of managing the interrelationships between departments and
processes; they called the *white space on the organizational chart*. They stressed that it is critical to create harmony and reduce tension in order to create departments that are “centers of excellence”\(^{33}\)

The white space is often the area of greatest potential for improvement or the greatest area for problems because it is the area between functions and it is a challenge to determine responsibility. That is why cross-functional teams have potential for resolving organizational challenges.\(^{34}\)

**Table 1.5 Rummler’s Nine Performance Variables Matrix**

<table>
<thead>
<tr>
<th></th>
<th>Goals and Measures</th>
<th>Organizational Design and Implementation</th>
<th>Organizational Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organizational Level</strong></td>
<td>Organizational goals and measures of organizational success</td>
<td>Organizational design and implementation</td>
<td>Organizational management</td>
</tr>
<tr>
<td><strong>Process Level</strong></td>
<td>Process goals and measures of process success</td>
<td>Process design and implementation</td>
<td>Process management</td>
</tr>
<tr>
<td><strong>Activity or Performance Level</strong></td>
<td>Activity goals and measures of activity success</td>
<td>Activity design and implementation</td>
<td>Activity management</td>
</tr>
</tbody>
</table>


Rummler also made a major contribution when he described the relationships between aspects of performance \(^{35}\) Figure 1.1 illustrates the
impacts and interconnections between performance variables associated with
individuals, processes, organizations, and societies. The three acronyms in
the model apply to critical issues that impact every performance
improvement project: Critical Business Issues (CBI), Critical Process Issues
(CPI), and Critical Job Issues (CJI).

[INSERT FIGURE 1.1 ANATOMY OF PERFORMANCE HERE]


Roger Kaufman sounded a clarion call for a very long time urging performance improvement practitioners to also impact society. It is not sufficient to improve the worker, the workplace, and the organization. We must also improve society; it is our ethical social responsibility. As those around Roger have heard for many years, “If we are not contributing to society, we are taking away from it.” At this point, his message of “mega’ has been accepted by many; it connects, particularly with those committed to earth’s sustainability and eliminating the world’s challenges.

Kaufman developed the Organizational Elements Model (OEM) to provide a practical framework for planning, assessing needs, and evaluating. The model enables performance improvement practitioners to think through how their improvement project impacts society as well as the more traditional impacts on the organization, processes, products, and inputs. (Too often, a proposed project will resolve an immediate dilemma, but it will actually be harmful in the long run.
For example, a manager may come to a training department asking for a listening course because employees are just not “getting it” when he tells them what to do. Actually, the manager may need coaching and feedback in supervision and management. If we agree to provide training in listening, we are using people and monetary resources for the training even though we may suspect that very little will be accomplished. In fact, a negative consequence may be that the manager says “bad things” about the training department’s inability to meet expectations. Kaufman’s OEM illustrates that when we focus on processes and inputs, we are conducting “quasi needs assessments”. When we focus on products, outputs, and outcomes, we are looking at the value adds.

**Table 1.6 The Organizational Elements, The Related Results, and Definitions**

<table>
<thead>
<tr>
<th>Name of the Organizational Element</th>
<th>Name of the Level of Planning and Focus</th>
<th>Brief Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcomes</td>
<td>Mega</td>
<td>Results and their consequences for external client and society</td>
</tr>
<tr>
<td>Outputs</td>
<td>Macro</td>
<td>The results an organization can or does deliver outside of itself</td>
</tr>
<tr>
<td>Products</td>
<td>Micro</td>
<td>The building-block results that are produced within the organization</td>
</tr>
<tr>
<td>Processes</td>
<td>Process</td>
<td>The ways, means, activities, procedures, and methods used internally.</td>
</tr>
<tr>
<td>Inputs</td>
<td>Input</td>
<td>The human, physical, and</td>
</tr>
</tbody>
</table>
Kaufman is also committed to a high level of expectations and attainment for mega thinking and planning. He developed a table listing examples of planning elements and type of result for each level. (See Table 1.7).

**Table 1.7 Examples for Each of the Organizational Elements**

<table>
<thead>
<tr>
<th>Element</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mega</td>
<td>All persons are self-sufficient and self-reliant—not under the care, custody, or control of another person, agency, or substance</td>
</tr>
<tr>
<td></td>
<td>Organizations (including clients and customers) are successful over time</td>
</tr>
<tr>
<td></td>
<td>Eliminated disabling illness due to environmental pollution</td>
</tr>
<tr>
<td></td>
<td>Eliminated disabling fatalities</td>
</tr>
<tr>
<td></td>
<td>Positive quality of life</td>
</tr>
<tr>
<td></td>
<td>No welfare recipients (and thus their consumption is less than their production)</td>
</tr>
<tr>
<td></td>
<td>Zero disabling crime</td>
</tr>
<tr>
<td></td>
<td>Continued profit over time (5 years and beyond)</td>
</tr>
<tr>
<td></td>
<td>Created jobs that add value over time</td>
</tr>
<tr>
<td></td>
<td>Clients’ success over time (5 years and beyond)</td>
</tr>
<tr>
<td></td>
<td>School completer is self-sufficient and self-reliant</td>
</tr>
<tr>
<td><strong>Macro</strong></td>
<td>Assembled automobiles</td>
</tr>
<tr>
<td>-------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td></td>
<td>Goods and /or services sold</td>
</tr>
<tr>
<td></td>
<td>System delivered</td>
</tr>
<tr>
<td></td>
<td>Patient discharged</td>
</tr>
<tr>
<td></td>
<td>High school graduate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Micro</strong></th>
<th>Tire</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fender</td>
</tr>
<tr>
<td></td>
<td>Production quota met</td>
</tr>
<tr>
<td></td>
<td>Completed carpet production batch</td>
</tr>
<tr>
<td></td>
<td>Completed training manuals</td>
</tr>
<tr>
<td></td>
<td>Competent worker</td>
</tr>
<tr>
<td></td>
<td>Course completed</td>
</tr>
<tr>
<td></td>
<td>Operation completed</td>
</tr>
<tr>
<td></td>
<td>Test or course passed</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Processes</strong></th>
<th>Organizational development</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Management techniques</td>
</tr>
<tr>
<td></td>
<td>Operating production line</td>
</tr>
<tr>
<td></td>
<td>360 degree feedback</td>
</tr>
<tr>
<td></td>
<td>Training</td>
</tr>
<tr>
<td></td>
<td>Six Sigma</td>
</tr>
<tr>
<td></td>
<td>Curriculum</td>
</tr>
<tr>
<td></td>
<td>Examining a patient</td>
</tr>
<tr>
<td></td>
<td>Strategic (or tactical or operational) planning</td>
</tr>
<tr>
<td></td>
<td>Assessing needs</td>
</tr>
<tr>
<td></td>
<td>Course development</td>
</tr>
</tbody>
</table>
### Inputs

<table>
<thead>
<tr>
<th>Money</th>
<th>Regulations</th>
</tr>
</thead>
<tbody>
<tr>
<td>People</td>
<td>History</td>
</tr>
<tr>
<td>Equipment</td>
<td>Organizational Culture</td>
</tr>
<tr>
<td>Facilities</td>
<td>Current Problems</td>
</tr>
<tr>
<td>Existing Goals</td>
<td>Existing materials</td>
</tr>
<tr>
<td>Existing policies</td>
<td>Current staff and their</td>
</tr>
<tr>
<td>Time</td>
<td>Skills, Knowledge,</td>
</tr>
<tr>
<td>Resources</td>
<td>Attitudes, and Abilities</td>
</tr>
<tr>
<td>Individual Values</td>
<td>Characteristics of</td>
</tr>
<tr>
<td>Laws</td>
<td>current and potential</td>
</tr>
<tr>
<td>Current economic conditions</td>
<td>clients</td>
</tr>
</tbody>
</table>


**Robert Mager**

Robert Mager played an important role in the methods for the instruction and performance improvement. He provided the concept of objectives as a consistent framework for describing desired outcomes. Objectives are statements that are precise and clear descriptions of *performance* or what the learner or worker is to be able to do; *conditions* or important circumstances under which the performance is expected to occur; and *criterion* or the quality or level of performance that will be considered acceptable. Mager helped human performance technologists define desired performance using common terminology.

For example,

> Given a DC motor of ten horsepower or less that contains a single malfunction, and given a kit of tools and
references, be able to repair the motor. The motor must be repaired within forty-five minutes and must operate to within 5 percent of factory specifications.39

Mager wrote *Preparing Instructional Objectives* in the branching format of programmed instruction, invented and developed by Norman Crowder. The book explains the importance of clarifying intended outcomes before attempting to design instruction that can be guaranteed to accomplish those outcomes.

In *Analyzing Performance Problems* Mager covers the steps in solving a problem, from identifying the gap, to selecting and implementing a solution. The reader often discovers why training and education of any sort may not be relevant to solving the problem. This revelation alone has been worth many thousands of dollars in savings to its users.40

Mager and Pipe developed a flow diagram designed to take the “mystery” out of performance problems. Their system was designed to:

- Identify the causes of the problems.
- Decide which problems are worth solving
- Describe solutions which will help you solve the problems, and
- Decide which solutions will be both practical and economically feasible.41

[Insert Figure 1.2: Mager’s Performance Analysis Flow Diagram here]
Figure 1.2

Mager’s Performance Analysis Flow Diagram


An important aspect of Mager and Pipe’s thinking was the consideration of practicality and feasibility. All too often, interventions make sense for the immediate situation but are not designed to be sustainable in the future.

PERFORMANCE IMPROVEMENT: EMERGING TRENDS

Three emerging trends are highlighted here: sustainability, appreciative inquiry and positive psychology, plus the emergence of performance improvement processes in primary and secondary education. These trends are not here today and gone tomorrow like a new fashion; they are in themselves sustainable.

Sustainability Trend

Sustainability will be an important trend for performance improvement because the opportunities are great, the solutions are innovative, and the consequences of not focusing on sustainability are becoming more apparent. Sustainability is already increasing and will continue to increase in
importance. One of the principal benefits of sustainability is improved company or brand image; followed by “cost savings; competitive advantage; employee satisfaction, morale, or retention; product, service, or market innovation; new sources of revenue or cash flow; effective risk management; and enhanced stakeholder relations.”

Exhibit 1.1 The Practitioner's Voice: Sustainability

THE PERFORMANCE PRACTITIONER’S VOICE

Sustainability

“In my humble opinion, sustainability is the single biggest advancement in thinking in the performance improvement field that I have seen. Our job is not to design, develop, and implement correct interventions. . .it is to create lasting organizational improvement. Learning how to build sustainable change is at least as important as the process of what to change!”

Jeff McElyea
Lucid Business Strategies
www.lucidbusiness.com
Michigan, USA
**Definition.** The most widely respected early definition of sustainability is part of the United Nations World Commission on Environment and Development’s report, *Our Common Future* in 1987. The definition asserts that sustainability “refers to forms of progress that meet the needs of the present without compromising the ability of future generations to meet their needs.” While presenting the commission’s report to the United Nations in Kenya, Brundtland stated that sustainability “requires fair access to knowledge and resources and a more equitable distribution within and among nations. It requires broad participation in decision-making.”

**Key Challenges.** The report covered common challenges: population and human resources; food security: sustaining the potential; species and ecosystems: resources for development; energy: choices for environment and development; industry: producing more with less; and the urban challenge. The key challenges covered here are population increases, global economics, and communications.

**Population Increases.** From the beginning of human existence on the Earth, there have been gradual adaptations due to lifestyle change from hunters and gathers to agricultural cultures. Famines, wars, catastrophes, and epidemics kept population growth in check. However, beginning in the late 1700s, human population began to increase due to agricultural improvements. By the end of the 1800s improvements in medicine and
sanitation began to swell the number of people. Medical advances and agricultural productivity have led to extraordinary population growth.

Population growth requires increases in food. Agricultural research resulted in a “Green Revolution” relying on genetically engineered foods enhanced by petroleum-based fertilizers and pesticides and reliable sources of water. Globally, people are going to need employability skills and an economic system that fosters their wellbeing. Performance improvement professionals are needed to assist under-developed countries establish and sustain economic, civic, and educational structures to advance their citizens lifestyles. Developed countries will need to adapt to the rapid changes throughout the world.

Global Economics. Our world economic situation will be adapting due to changes in economic, military, and political realities. Military organizations are becoming nation builders as well as armed forces. Political situations are becoming more inclusive and broad. Economies are developing new social mechanisms, such as micro-banks and free markets, to distribute goods and services more broadly and provide employment more widely.

“Our world’s economic balance of power is rapidly shifting and world trade is being transformed. Developing countries in Asia and Latin America will join traditional Western powers as the world’s largest economies. Rapid labor force growth, high rates of investment, and the continued absorption of technology in emerging markets will make this growth possible.” As a
result, there will need to be a greater global understanding of finance, economics, and politics.

These changes will provide opportunities for greater social responsibility. Ethics and accountability will increase due to expectations of increased transparency and common good. Greater interdependence will lead to increased respect for intellectual property rights.\textsuperscript{48} International banking and monetary policies will adapt, as they were established in the 1940s and need updating.\textsuperscript{49} Performance improvement professionals will support development of social institutions as well as the development of skills, knowledge, and abilities throughout the world.

**Communications.** Improvements in communications have changed the expectations of people throughout the world. Instant news coverage leads to immediate knowledge of events and builds an expectation that change makes an important difference. Newscasts include segments from social media investigating what is behind the major scenes providing a more balanced insight. Distance education brings information, knowledge, job skills, and so forth enabling people in remote locations to understand the significance of issues. Communications has improved health by educating regarding human immunodeficiency virus (HIV), malaria, tuberculosis, and other common diseases resulting in healthier and energetic individuals. People are aware of possibilities and potential for themselves, their
environment, their government, and their life style plus they have increased desire to accomplish and sustain a better life.  

**Eco-Efficiency.** One of the early pioneers in eco-efficiency or doing more with less was Henry Ford, the automobile industrialist and founder of Ford Motor Company. Ford was committed to lean and clean policies, saving money by recycling and reusing materials, reducing the use of natural resources, and established the time-saving assembly line. Ford stated: “You must get the most out of the power, out of the materials, and out of the time”.  

Ford Motor Company continues the tradition of sustainability under the leadership of Henry’s great-grandson, William Clay Ford, Jr. In 2002, Ford Motor Company adopted the Ford Business Principles as part of the way forward relative to accountability, community, environment, safety, products and customers, financial health, and quality of relationships. An example of Ford’s commitment to sustainable design in collaboration with McDonough and Braungart was the stunning transformation of the Ford Dearborn Model T plant on the Rouge River into a modern truck plant which is a model of eco-efficiency. The plant site was littered with industrial waste, mounds of debris, and abandoned buildings from the early 1900s. While, the new manufacturing plant has roofs made of plants to absorb and filter the rain water, porous parking lots to capture storm run-off taking three days for
storm water to seep to the river. This new atmosphere transformed a dark, unpleasant factory into an enjoyable, people-friendly, sky lit workplace.  

**Business Issues.** Sustainability is a timely consideration because, at this point. “A small number of companies . . . are acting aggressively on sustainability – and reap substantial rewards. Once companies begin to pursue sustainability initiatives in earnest, they tend to unearth opportunities to reduce costs, create new revenue streams and develop more innovative business models. The early movers’ approaches have several key characteristics in common: they incorporate a comprehensive set of data into a robust business case, which they then integrate throughout all relevant aspects of their operations to deliver measurable financial results.” Embedded sustainability means the incorporation of environmental, health, and social value into core business activities with no trade off in price or quality.

Elkington, an early leader in corporate sustainability and corporate social responsibility, coined the term, Triple Bottom Line, which refers to people, planet, and profit. He focuses on the three aspects of sustainability: environmental, social, and economic in relation to seven revolutions: markets, values, transparency, life-cycle technology, partnership, time, and corporate governance. People relates to fair and beneficial consequences for people, such as working conditions, agricultural practices, or community enrichment. Planet pertains to environmental practices, such as energy,
renewable products, waste, and conservation issues. Profit means real economic value not short term corporate impact.56

**Complex Issues.** Sustainability is a complex concept because so many entities need to be considered. Insurers consider the potential for lawsuits from environmental impact. Lenders and investors think about the need for expensive solutions, such as scrubbers of exhausts into the atmosphere. Governments validate that environmental laws are complied with. Customers are interested that labor laws and fair practices are adhered to. Media look for good stories about sustainable success. Other important issues are resource depletion and climate change.

For example, in the late 19th century, a Yorkshire England textile company began making products with asbestos. They began having lawsuits filed by former workers and others affected by the asbestos. In the late 20th century, Federal Mogul Corporation, a Detroit Michigan based auto supplier, having done careful due diligence purchased the Yorkshire England company. Their lawyers determined that the asbestos litigation would be an acceptable liability. A few years later, Federal Mogul filed for bankruptcy protection and went through very tough times financially because they underestimated the impact of asbestos litigation.57 With many other harmful ecological situations worldwide, it is likely that there will be increasing liability issues.
Establishing successful business synergies is challenging. “There are many reasons why companies have difficulty tackling sustainability more decisively. First, companies often lack the right information upon which to base decisions. Second, companies struggle to define the business case for value creation. Third, when companies do act, their execution is often flawed.”

Opportunity and Challenge. Sustainability provides an increasing opportunity and challenge for performance improvement professionals. Performance improvement and performance technology concepts and practices are critical for effective, feasible, and sustainable change. Our society is diverse and very interdependent. As a result, performance improvement approaches are extraordinarily inclusive and comprehensive involving many fields such as engineering, psychology, communications, quality, education, and others.

EXHIBIT 1.2 SUSTAINABILITY IN ACTION

Using the principles of performance improvement and Mega Planning, Mariano Bernardex, Roger Kaufman, Adam Krivatsy, and Carmen Arias created a plan to transform Colon City, Panama from a deteriorating city to a thriving city. Deteriorating cities experience “crime and insecurity, pollution, traffic jams, sanitary and waste management problems, air water, damage and loss of property, property value, broken schools, ailing infrastructure, high taxes for poor quality services and quality of life in a seemingly endless sequence of calamities.”
Following performance improvement principles and processes as illustrated in Figure 1.3: Framework for Colon Panama’s Transformation, Bernardez and Kaufman’s team intend to make a very big difference through the following outcomes:

1. Increased security
2. Job creation and employment
3. Recovery of real estate values
4. Improved health and sanitation

Details are available in the *Performance Improvement Quarterly* article in the references.

**Figure 1.3 Framework for Colon Panama’s Transformation**

![Framework for Colon Panama’s Transformation](image)


**Appreciative Inquiry/Positive Psychology Trend**

Another emerging trend for performance improvement is appreciative inquiry and positive psychology. Workplaces improve through positive thinking. People are most productive when they are encouraged to contribute through their strengths. World famous and highly respected Peter Drucker observed that “only strength produces results” while “only weaknesses produce
headaches”. Drucker said about executives, “In every area of effectiveness within an organization, one feeds the opportunities and starves the problems. Nowhere is this more important than in respect to people.”

**Definitions.** Positive psychology and appreciative inquiry are emerging concepts that have enormous potential for change management and the entire performance improvement practice. University of Pennsylvania’s Martin Seligman is the leader of the positive psychology approach while David Cooperrider of Case Western Reserve is the founder of appreciative inquiry.

Positive psychology focuses on health and opportunities of individuals and organizations, rather than problems and hindrances. Currently, psychology predominantly focused on diseases, such as depression, bipolar, autism in clinical psychology; biases, illusions, or foibles in social psychology; or economic psychology considered selfishness, and many more. Positive psychology, on the other hand, is committed to human potential, motives, and capacities. “Positive Psychology is the scientific study of optimal human functioning. It aims to discover and promote the factors that allow individuals and communities to thrive. The positive psychology movement represents a new commitment on the part of research psychologists to focus attention upon the sources of psychological health, thereby going beyond prior emphasis on disease and disorder.”
“Appreciative Inquiry is about the coevolutionary search for the best in people, their organizations, and the relevant world around them. In its broadest focus, it involves systematic discovery of what gives “life” to a living system when it is most alive, most effective, and most constructively capable in economic, ecological, and human terms. AI involves, in a central way, the art and practice of asking questions that strengthen a system’s capacity to apprehend, anticipate, and heighten positive potential. It centrally involves the mobilization of inquiry through the crafting of the “unconditional positive question” often-involving hundreds or sometimes thousands of people.”

Leaders in the Discipline. Any discipline builds on the shoulders of previous thinkers; positive psychology began in earnest with Carl Jung’s work regarding searching for meaning of life. Then, after World War II in 1946, the Veterans Administration encouraged psychology to focus on mental illness. Gradually, humanistic psychologists, such as Abraham Maslow and Carl Rogers, changed people’s thinking about potential and buffers against mental illness, such as courage, future mindedness, optimism, interpersonal skills, faith, work ethic, hope, honesty, perseverance, and insight. At the present time, Martin Seligman at University of Pennsylvania is the leader in positive psychology.

Appreciative Inquiry, recognized as positive change management, had a very definite beginning. The development of Appreciative Inquiry was
straight forward and part of dissertation research. David Cooperrider conducted his dissertation research, *Appreciative Inquiry: Toward a Methodology for Understanding and Enhancing Organizational Innovation*, at Case Western Reserve University under the guidance of his dissertation advisor Suresh Sirvastva. The study focused totally on the factors contributing to the high functioning and totally ignored everything else. ⁶⁷

**Performance Improvement and Appreciative Inquiry.** Concepts and practices of performance improvement can be aligned with appreciative inquiry and provide an alternative approach to organizational change. Performance improvement is often based on needs or problems and opportunities. Frequently, practitioners focus on solving problems based on defining and resolving gaps. Appreciative inquiry is committed to enhancing the good of the individual or in the organization or culture. ⁶⁸ This does not mean using an approach that glosses over problems. It means finding what is good in an individual or organization and then strengthening the “goodness”. Appreciative inquiry “is gaining ground as a relevant force in organizational, community, and even national transformation.” ⁶⁹

Focusing on what is good captures a natural way we think. Consider a teen trying to decide the best sport to play in high school or secondary school. The teen is quite good at track, moderate at soccer, and particularly challenged with baseball. The choice probably seems obvious, participate in track. In other words, the student could struggle and gradually get better in
baseball or work hard to be a second rate soccer player, or be on the primary or varsity team in track. People often naturally gravitate to choices that will enhance their strengths.

However, in organizations, we often focus on our greatest challenges or biggest problem areas. Through positive approaches, while we are enhancing what is going well, we can resolve our problem areas as a result. We can ask our customers who continue to use our products and services why they remain loyal or ask our former customers why they left. It is easier to retain a customer than secure a new one, so we should consider what is important so our current customer and enhance the experience. As we strengthen our best features, we will automatically eliminate factors that do not enhance our products or services.

The challenge to overcome problems and sustain changes may be limited by resistance of employees or suppliers. Resistance saps energy from the effort. Appreciative inquiry envisions what might be and then determines what could and should be. In the end, is the glass half full or half empty? Is the situation half full or opportunity that could be enhanced or is the situation half deficient and requires the problems resolved?  

**Appreciative Inquiry 4 D Cycle.** The process used for appreciative inquiry involves extensive group involvement. The first stage is based on including everyone or extensive interviewing of others using positive provocative questions to determine what is going well in an organization and exploring
optimum ways to enhance positive situations for organizational and business advantage. There are four steps: Discovery, Dream, Design, and Destiny.

**Figure 1.4 The Four-D Model.**

![Insert Figure 1.4 The four-D Model here]


*Discovery* means posing positive questions to determine effective processes and results, factors that have proven successful and do not promote feat and resistance. *Dream* phase enables organizations to determine what would be needed for the future that would draw from past successes. *Design* determines how to bring successes forward to shape new products, services, organizational structures, etc. *Destiny* emphasizes successful practices that will be carried forward and stresses the need for research in order to accomplish desired new outcomes. 71

Appreciative inquiry is based on the following beliefs and assumptions: 72 Within every society, organization, or group something works well. What is focused on becomes reality. There are multiple realities. The act of asking questions changes the situation or group in some way. People are
more confident carrying the successes of the past into the future. What is brought forward into the future should be the best of the past. It is important to value differences. The language used creates reality. PST 1.1 provides guidelines for discussing assumptions about appreciative inquiry. The items may be adapted to guide a discussion of assumptions related to other topics as well.

**PERFORMANCE SUPPORT TOOL (PST) 1.1**

**APPRECIATIVE INQUIRY ASSUMPTIONS DISCUSSION GUIDE**

**Directions:** Concepts and assumptions apply whether project oriented to problem-solving or a positive approach. As a group, read each assumption associated with Appreciative Inquiry and description. Discuss each concept aiming for a consensus opinion. Briefly write down prevailing or consensus opinions.

| Assumption 1: Finding What Works. Even the most troubled organizations have people, processes, or practices that work. Identifying and uncovering these assets offers insight and a foundation for progress. |
**Assumption 2: Choosing the Right Focus.** What we focus on grows. Appreciative inquiry therefore suggests that framing our challenges and opportunities using an affirmative view of the situation we face is critical.

**Assumption 3: Creating Reality.** Reality is a function of the world we live in as well as the insights and experiences we bring to the world. Reality is unique for each of us, and many realities can coexist.

**Assumption 4: Asking the Right Questions.** If we believe that what we focus on grows, then the questions we ask become the starting point for our future. As David Cooperrider says, “Change starts with the first question.”
Assumption 5: Carrying the Past Forward. The journey of change becomes less threatening when we bring with us the comfort of ideas and practices we know and trust.

Assumption 6: Carrying the Best of the Past. Following the affirmative thread, if we’re going to retain parts of the past as we journey into the future, it makes sense to keep those that represent our greatest strengths.

Assumption 7: Valuing Differences. Our differences, represented by our unique realities, offer innovation and many possibilities for building the future we most desire.
Assumption 8: Using Positive Language. Language drives our thought and action. It is therefore important to consider the words we choose, particularly the framing of the questions we ask.

School Improvement Trends The final emerging trend is performance improvement is primary and secondary school improvement. An important global performance improvement challenge is schooling and educating. Education is a critical aspect of economic wellbeing both individually and for society. The highly respected Organisation for Economic Co-operation and Development, based in Paris France, is a leader in tracking factors that impact economies. OECD Deputy Secretary-General Aart de Geus presented the following Education at a Glance 2007 indicators confirming the positive value of education.

- “The estimated long-term effect of one additional year of education equals between 3 and 6% of the GDP in OECD countries.
- Employment rates rise with educational attainment in most OECD countries.
- The employment rate for graduates of tertiary education [colleges and universities] is significantly higher than those of upper secondary graduates [high schools]; at the same time, unemployment rates fall with higher educational attainment.
- On the personal level, those who have attained upper secondary, post secondary or tertiary education face substantial earnings advantages. 

Education is an asset and should be targeted for performance optimization for the greatest impact. Performance improvement philosophy, processes, procedures, and certifications enhance school improvement efforts because they are systematic, add value, and focus on outcomes or results.

**Behavioral-Oriented Learning Improvements.** Early educational efforts in the performance improvement field were associated with applied behavioral analysis; the science of controlling and predicting behavior, in this case, leading to efficient and effective learning, particularly through programmed instruction. Beginning in the 1960s, colleagues of B.F. Skinner, such as Susan Markle, Dale Brethower, Lloyd Homme, Lt. Col. Gabriel Ofiesh, and Thomas Gilbert studied how to provide reinforcements and motivation, as well as how to analyze and present information using Auto Instructional Approach, also known as programmed instruction. 

Joe Harless, Claude Lineberry, Don Tosti, Geary Rummler, Robert Mager, and Roger Kaufman were also engaged in analysis. For instance, in 1962, Robert
Mager convinced educators that educational objectives were essential, with *Preparing Instructional Objectives* and *Analyzing Performance Problems* with Peter Pipe in 1970. Educational objectives impact most educational efforts even today.

Joe Harless remains active in improving education; he published two books on primary and secondary education (pre-school to high school): *The Eden Conspiracy* in 1998 and *Turning Kids On and Off* with Claude Lineberry in 1971. While this work was exciting and had substantial impact, particularly Mager’s work, school improvement also involves many other factors, such as curriculum, teacher preparation and ongoing education, appropriate resources (such as textbooks and supplies), incentives, societal expectations, and many more that combined to foster school performance improvement.

Ogden Lindsley developed precision teaching based on B.F. Skinner’s operant conditioning and Carl Binder continues to work on direct instruction and precision teaching. Educators, learning scientists, and instructional designers advance behavioral analysis in the United States, South Africa, and other parts of the world. Precision teaching and behavioral analysis proponents consider that quality schooling should 1) help students learn more rapidly than they would on their own; 2) what students learn should
benefit the individual learner and society; and 3) learning should employ positive rather than coercive or punitive methods.  

**Education for All.** Lack of education is closely associated with poverty, poor health, and the inability to complete economically. “As global citizens of the world it is our responsibility to critically think about these issues and attempt to come up with solutions to the problems plaguing education.”  

“In 2007, there were approximately 775 million illiterate people in the world, of whom two-thirds lived in the Asia-Pacific region and more than 60 percent were women. That means, one-fifth of adults above age 15, and a quarter of adult women above age 15 lack minimum literacy skills. To receive an education is a human right and an opportunity to improve one's life. Literacy is at the heart of basic education for all, and essential for eradicating poverty.”

_Education for All_ is a global movement of the United Nations Educational, Scientific and Cultural Organization (UNESCO) focused on learning needs of children, youth, and adults designed to eliminate illiteracy. The movement officially began in Jomtien, Thailand in 1990 at the World Conference on Education for All stressing education as a fundamental universal human right. Ten years later, the World Education Forum in Dakar, Senegal, established six measurable goals:
1. Expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children;

2. Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete, free and compulsory primary education of good quality;

3. Ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes;

4. Achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults;

5. Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls’ full and equal access to and achievement in basic education of good quality;

6. Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills. 83
Clearly, there are many opportunities for performance improvement in schools, using performance improvement methods discussed in this book and improvements methods associated with the standards. In addition, many performance improvement professionals, particularly Carl Binder with Precision Teaching, has vast experience with curriculum and course development.

**Certified School Improvement Specialist.** The ultimate role of education is to prepare citizens to lead productive and meaningful lives and enhance society. Universal education is relatively new concept, beginning with the 20th century and the Industrial Revolution. Schools are adapting to meet the needs of so many, such as increasing use of technology, benchmarking, and increasingly sophisticated techniques for accountability. The future role of the educator will include many new aspects, such as individualized and customizing learning, virtual and physical learning, nonlinear and collaborative, problem-based learning, discovery learning which engages the whole mind, and more emphasis on multimedia and technology. Establishing and maintaining quality education is optimized by substantial understanding of performance improvement.

Recently, Deb Page and Judy Hale researched successful schools in Georgia, USA. They focused on school improvement specialists who had sustained improvements for at least three years to determine what factors lead to good schools. The goal was to create a proficiency-based
certification unique to school improvement. It was necessary to document competencies required to successfully improve schools and to maintain high quality education for the 21st century. The resulting school improvement competency domains are:

1. Analyze and apply critical judgment.
2. Facilitate meaning and engagement.
3. Focus on systemic factors.
4. Plan and record.
5. Organize and manage efforts and resources.
6. Guide and focus collaborative improvement.
7. Monitor accountability and adoption.
8. Demonstrate organizational sensitivity.
10. Implement for sustainability.

This school improvement certification is available through the International Society for Performance Improvement and can be found at ISPI.org, under the tab “Certification”. The certification indicates that the school specialist has accomplished sustained school improvement and is a recognized school leader.

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CHAPTER 2

PERFORMANCE IMPROVEMENT/HPT MODEL—AN OVERVIEW

“The world has entered a new economic era characterized by rapid and unprecedented change, with competitiveness and productivity challenges never encountered before. Increasing competitiveness and productivity will not result from more machines, improved computers, or reliance on costcutting. Greater productivity will be accomplished through one of the world’s most critical resources: people.”

INTRODUCTION

Performance improvement is optimized by using evidence-based, thoughtful approaches associated with performance technology, quality, communications, organizational development, project management, business processes, and many more. The Performance Improvement/HPT Model is a diagnostic and strategic tool for improving workplace performance because it is a thoughtful, evidence-based approach. It is the traditional, systems-based model used by many performance improvement practitioners.

Responsive

The Performance Improvement/HPT Model is responsive to the knowledge and models of experts and practitioners in the field. Gilbert’s Behavior
Engineering Model is integrated into the cause analysis component of Performance Analysis. The 2012 Model stresses the concepts that performance improvement issues may be opportunities as well as problems, emphasizes the role of change management in all phases of successful performance improvement, and includes the concepts of feasibility and sustainability.

Adaptable
The Performance Improvement/HPT Model is also adaptable. It may be used to address a variety of workplace challenges as well as different organizational needs and requirements. For example, the process of preparing a Business Case has been added during the Selection, Design, and Development phase (see Chapter 19).

Focused on Accountability and Integrity
The Performance Improvement/HPT Model provides performance improvement practitioners, performance technology consultants, human resource specialists, quality leaders, and others interested in improvement with a framework for accountability and integrity. PI practices are based on RSVP—Results, Systemic, Value, Partnership—the four essentials for successful performance improvement practices and the first four Performance Technology Standards:

- **Results**—Results-oriented means clarifying the outcomes expected and the measures that will indicate success.
• **Systemic**—Complexity and interconnectedness of situations means it is essential to be inclusive and acknowledge relationships in a system approach; to deal with the situation as a whole system rather than as parts.

• **Value** added—Interventions should increase the worth of the situation for the internal organization or external client.

• **Partnership**—Work with stakeholders, participants, and content experts using collaborative approaches to improve and enhance workplace performance.

The Model incorporates each of these essentials throughout its various phases.

**Figure 2.1**

HPT Model

[INSERT Figure 2.1 PERFORMANCE IMPROVEMENT/HPT MODEL HERE]

[Note to editor please shade change management as it goes around the model]

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**Inside the 2012 Model**
The 2012 Performance Improvement/HPT Model is still organized in systems-based phases: Performance Analysis, Intervention Selection, Design, Development, Intervention Implementation and Maintenance, and Evaluation. The Implementation and Change Phase has been changed to Implementation and Maintenance to emphasize the growing need for sustainable performance improvement interventions. Right from the beginning, considerations include whether the effort can be maintained over the long term based on thorough determination of feasibility and sustainability. Change now surrounds the Model because it is an integral part of every phase in the performance improvement process.

The Model is still designed to imply both a linear and an iterative progression of events. There are advantages to following the phases sequentially with no phase being omitted. Just as a medical doctor diagnoses a condition and then prescribes treatment based on the patient’s symptoms, physical exams, and diagnostic tests, PI practitioners should not prescribe an intervention without first observing and analyzing the situation. In performance improvement, recommendations are made after analyzing the current organizational state and determining its ideal situation. Only then can valid interventions be selected. Each of the phases will be discussed later in this chapter.

**Change Management**
A major change in the 2012 Performance Improvement/HPT Model is change itself. Performance improvement means change. The 2012 Model illustrates a systemic process for planning and accomplishing the desired changes. Change management encompasses every phase and each aspect of the entire performance improvement process. As the performance improvement practitioner works through each phase the practitioner considers how the problem or opportunity or intervention will change the world, workplace, work, and worker.

Too often, unwanted change occurs, insufficient change makes matters worse, or change happens in the beginning but then wanes or reverts to the previous situation because of not considering the interdependence of factors, the feasibility of solutions or not enlisting sufficient support from within the organization.

As a result, change management now surrounds each stage in performance improvement to signify that change occurs and must be accounted for from the first analysis question. It is often said that asking the first question is the beginning of change. Throughout the entire performance improvement process as the organization is developing, adapting, or resisting, we need to prepare the organization for accomplishing and maintaining expectations.² (See Chapter 3)
The first phase in the Performance Improvement/HPT Model (Figure 2.2) is performance analysis. Performance improvement and change are needed when there is a problem to be alleviated and/or there is a need to innovate and create opportunities. Performance improvement practitioners begin by understanding the challenge, need, or opportunity such as a new product, service, or process. “Performance analysis is the process of identifying the organization’s performance requirements and comparing them to its objectives and capabilities”.

Performance analysis is important because it identifies what is causing problems or what strengths are available for innovation. It is difficult to fix a problem if there is no agreement as to what the problem is; there will be slightly different versions of the situation in everyone’s mind and progress will be viewed slightly differently by each individual. It is necessary to first identify the challenge before attempting to remedy it through cause or
opportunity analysis. Otherwise, it is easy to focus on something totally unrelated to the problem, thus wasting time, money, and other resources.\(^4\)

Performance analysis is discussed at length in Chapter 4.

**Organizational Analysis**

Organizational analysis looks into the heart of the organization—its vision, mission, values, goals, strategies, and critical issues driving the need for change. (See Chapter 5)

**Environmental Analysis**

Environmental Analysis identifies and prioritizes the realities that support actual performance. Environmental analysis examines the following:

- **World**—external considerations such as society, culture, and social responsibility
- **Workplace**—internal considerations such as available resources, tools, and human resources policies
- **Work**—job design considerations such as workflow, ergonomic issues, stakeholders and competition
- **Worker**—personal considerations such as skill level, knowledge, motivation, capacity, and expectations.

**Gap Analysis**

The outcome of the organizational and environmental analysis is an explanation of the gap or difference between the current state or the reality as it exists in the beginning of the change effort, and the desired state or the
ultimate or successful end state after the change and improvements have occurred. The difference between the two states is referred to as a ‘gap’. (See Chapter 7) Although this appears to be scientific and exact, it is not unusual for the gap description to include both quantitative statements such as 80% of production errors will be eliminated, and to qualitative descriptions such as participants will be able to apply basic accounting skills to make an adult day care program for Alzheimer citizens self sustaining.

**Cause Analysis**

The final performance analysis phase takes a deeper look to determine what actually caused the performance challenge or what can be optimized to meet the performance opportunity. (See Chapter 8) Organizational and environmental analysis identifies *what* is happening? It is now critical to also determine *why* it is happening?

Cause analysis determines why the need or opportunity gap exists. Gilbert indicated that probable causes can be attributed to either environmental factors which create a lack of environmental support or individual factors or a lack of repertory of behavior for the worker.\(^5\). In addition, organizational, world and society issues are also taken into consideration. Environment-based causes are aspects that management or leadership provides, such as tools and resources, motivational factors including incentives or rewards, and sufficient information and feedback to do the job well. Individual-based causes are the person’s own skills,
knowledge, capacity to do what is expected, and desire and motivation to do what is expected well.

INTERVENTION SELECTION, DESIGN, DEVELOPMENT PHASE

Figure 2.3
HPT Model-Intervention Selection, Design, Development Phase

[INSERT FIGURE 2.3 PERFORMANCE IMPROVEMENT/HPT MODEL here]

[Note to Editor: Shade INTERVENTION SELECTION, DESIGN, AND DEVELOPMENT PHASE]

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After organizational, environmental, gap, and cause analyses are complete, recommendations can be made for interventions. Interventions, quite simply, are proposed solutions to address the gaps identified in an organization.

Intervention Selection

Interventions should be selected based on outcomes or results, impact, value, costs, and benefit to the organization and the situation. Following are many examples of interventions. This book contains a comprehensive coverage of the most common or high-value PI interventions in each category (See Chapters 10–17). Chapter 9 also contains an the Intervention Selector and Intervention Selection Tool in Chapter 9 to help
performance improvement practitioners select the most appropriate intervention or blend of interventions for a specific situation.

**Interventions.** The Selection, Design, and Development Phase of the Performance Improvement/HPT Model (see Figure 2.3) contains a list of the major categories of performance improvement interventions and individual chapters in this book discuss common interventions that fall into each category. Table 2.1 describes the intervention categories in the model.

**Table 2.1**

**Overview of Intervention Categories**

<table>
<thead>
<tr>
<th>Intervention</th>
<th>Description</th>
<th>Chapter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning</td>
<td>Knowledge and skills can be improved through learning interventions such as training, education, learning organizations, and so forth.</td>
<td>10</td>
</tr>
<tr>
<td>Performance Support</td>
<td>Job aids or performance support tools, expert systems, and other support interventions expedite the intervention implementation or application.</td>
<td>11</td>
</tr>
<tr>
<td>Job Analysis/Work Design</td>
<td>Work processes can be analyzed or jobs can be redesigned to improve productivity and effectiveness, health, wellness, comfort, or ergonomics.</td>
<td>12</td>
</tr>
<tr>
<td>Personal Development</td>
<td>Personal development interventions may include coaching, mentoring, career development, effective supervision and reliable, and informative feedback</td>
<td>13</td>
</tr>
<tr>
<td>Human Resource Development</td>
<td>Measurement and metrics help the human resources to staff, compensate, reward, and evaluate employees.</td>
<td>14</td>
</tr>
<tr>
<td>Organizational Communication</td>
<td>Communication interventions may include collaboration, knowledge capture for computer referencing, leadership development, and grievance and suggestion systems.</td>
<td></td>
</tr>
<tr>
<td>-----------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Organizational Design and Development</td>
<td>Organizational development interventions can be selected to improve organizational culture, increase appreciation of diversity, build teams to solve problems, benchmark other organizations, and strategically plan for the future.</td>
<td></td>
</tr>
<tr>
<td>Financial Systems</td>
<td>Financial system interventions such as forecasting, cash flow analysis, open book management, or careful planning for mergers, acquisitions, or joint ventures can advance the organization as well as the individual.</td>
<td></td>
</tr>
</tbody>
</table>

**Blending Interventions.** There are many possible options and combinations of options. It is usually necessary to have a comprehensive, holistic approach that covers many of the issues or aspects of the challenge or opportunity. That normally means selecting more than one intervention because most situations are complex and require comprehensive solutions.

**Criteria for Successful Interventions**

Factors that need to be considered if successful interventions are to take place include return on investment, sustainability, and accountability.

**Return on Investment.** The intervention needs to be cost effective for the organization. “Although overused, the term ‘bottom line’ still captures the attention of management. A candid discussion of budgets, including overhead and additional expenses, if related to the expected results, will preclude later rejection of the program”. Projects should always provide
value; sometimes based on tangible breakeven and future financial benefits and other times based on intangible value such as increased team work, stronger succession plan, more robust culture, or integrated departments.

**Sustainability.** If the intervention is not one that is easily maintained then once the performance improvement practitioner leaves the project or the organization shifts to new priorities, the interventions probably will have little support and may be discontinued.

**Accountability.** An intervention needs a sponsor or champion, someone who will provide support and encourage its maintenance. Sponsorship means on-going commitment. “It should never be assumed that intervention sponsorship and support will be perpetual. Sponsorship must be nurtured”.6

**Intervention Design and Development**
This edition of *Fundamentals* includes separate chapters on designing and developing interventions. Design is the planning part of the intervention selection, design, and development phase. The performance improvement practitioner plans how to “transform the intervention selection decision into reality.”7 The output is a design document that may be used as a guide for developing and implementing the intervention. Development is “an extension of design. It prepares the design for implementation.”8

Design and development together determine exactly what will be included in the intervention or intervention project and then produces the
materials and/or programs that are required to implement the intervention and support successful results. (See Chapters 18 and 20.) Performance improvement practitioners prepare a design document that documents exactly what will be included. Consideration is made to determine whether the effort should be an internal initiative or whether an external consultant will be hired. This decision making is known as "make vs buy". Once that is accomplished, it may be necessary for the internal unit to manage and collaborate with an external consultant or organization to produce the products or conduct the processes that will make the intervention “happen”. Development may entail creating and rapid prototyping of materials, finalizing time lines, conducting pilot tests, and making adjustments to prepare the intervention for implementation.

**Business Case.** Business cases are written to document the need or opportunity and convey confidence that the change effort will be executed wisely and garner support from senior leadership and a project champion. (See Chapter 19.) Performance improvement and performance technology efforts can get caught up with the enthusiasm of the team members and others committed to change without taking a good hard look at leadership commitment, feasibility, and sustainability plus business issues.

The business case document begins with an executive summary providing a high level project description, rationale for the change, anticipated performance measures, and major milestones. Project scope
section includes goals and objectives, measureable results or outcomes and deliverables, benefits and value added, and financial and resource requirements. Project plan includes risk analysis and contingency planning to alleviate risks, quality and communications planning, timelines and milestone descriptions.

In addition, business cases need to document stakeholders and stakeholder expectations. All too many performance improvement projects do not include sufficient consideration of the feasibility of the effort, including cultural considerations. Finally, business cases need well documented discussion on sustainability and how the change effort will leave the organization sufficiently robust to continue the improvements and then also continuously improvement as further change is needed.9

INTERVENTION IMPLEMENTATION AND MAINTENANCE

Figure 2.4

HPT Model-Implementation and Maintenance

[INSERT FIGURE 2.4: PERFORMANCE IMPROVEMENT/HPT MODEL – INTERVENTION IMPLEMENTATION AND MAINTENANCE PHASE HERE]

Note to Editor: Shade in Implementation and Maintenance Phase

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The next step in the Performance Improvement / HPT Model is intervention implementation and maintenance. This step requires the actual doing, the
putting into motion of the selected intervention or interventions. Performance improvement practitioners need to network, partner, and build alliances with various involved departments, stakeholders, and champions to ensure an accurate understanding of expectations and concerns.

Problem solving or optimizing opportunity may need internal or external consulting to define the details of the effort. Process consulting may be necessary if the improvement involves extensive redesign of processes. Employee development, such as training, learning organizations, job aids, documentation, mentoring, or coaching are likely so that all involved will be prepared to fully participate. In addition, ongoing employee development enables employees to retain competitiveness and to prepare for the organization’s future. Communications is critical to achieving this phase. There is a need to communicate expectations throughout the organization. Performance improvement implementation requires communication of plans and progress.

It is not unusual for the project team to be so focused on the implementation that there is inadequate preparation for long term maintenance. Most performance improvement efforts are comprehensive and intense. Once this level of effort is expended, it is critical that the successes be sustained, which requires planning to prepare all participants and leadership. Maintenance means securing roles for the aspects needed
for the future and ensuring that leadership is ready to endorse the successes and adapt as the initiative evolves.

Careful attention to resistance and fears helps contain problems or enhance new adoptions of ideas. The effort needs to be carefully structured using project management to ensure that aspects are done on time, within budget, and as expected. In order for all of these many factors to integrate and augment each other, performance improvement practitioners need to be vigilant and apply the concepts of change management. It is important to ensure that the implementation plans are sufficient to make the change required. (See Chapters 21 and 22)

**EVALUATION**

Figure 2.5

HPT Model-Evaluation Phase

[INSERT FIGURE 2.5: PERFORMANCE IMPROVEMENT/HPT MODEL HERE]

[Note to Editor: EVALUATION PHASE SHADED]

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Measuring and reporting results is critical for maintaining the confidence of the organization and stakeholders, such as the champion and employees. (See Chapters 23 and 24) Inputs, process, and/or outputs should be measured throughout the HPT process.
Pre-formative or Level 0 evaluation establishes the baseline and throughout the improvement effort to ensure that intended results are occurring. Formative evaluation occurs during the performance analysis and intervention selection, design, development, and at the intervention implementation and maintenance stages, as needed. Summative or Level 1 and 2 evaluation determines the immediate reaction; knowledge, skill, and attitude change; plus initial application or adoption of the intervention or interventions. Confirmative evaluation or Level 3–5 focuses on sustainable effectiveness, efficiency, impact, and value, including return on investment. Is the value worth the effort? Finally, it is also critical to evaluate the evaluation process, known as meta evaluation, to ensure that optimal information is garnered and considered. By documenting success stories and lessons learned, it is possible to predict future change initiatives and plan for effectively for positive outcomes.

Evaluation may use a number of different approaches to establish the value of an input, process, or output. For example, using an appreciative inquiry approach to evaluation focuses on the positive factors associated with the performance improvement effort. Appreciative Inquiry looks for what is working well in an organization "instead of analyzing the possible causes and solutions, they envision what it might be like if "the best of what is" occurred more frequently."11

PERFORMANCE IMPROVEMENT/HPT MODEL AS A PROCESS MODEL

Many elements within the phases are iterative. For example, sustainability should be considered within each phase because intervention efforts need to continue after the project is integrated into the organization or society and does not receive the
attention present in the beginning. Another example of an iterative element is the need to communicate throughout the effort. Senior leadership should be informed and their approval sought and maintained. Communicating to all stakeholders frequently reduces resistance. The performance improvement/HPT Model is a guide, a holistic visualization of the how to accomplish success.

CERTIFIED PERFORMANCE TECHNOLOGY STANDARDS AND ETHICS

For performance improvement practitioners and performance consultants, there is a certification that recognizes those who apply the principles of performance improvement and the practices, processes, and methods of performance technology. The certification is based on ten standards which are reflected in the Performance Improvement/HPT Model. In order to be certified, it is also necessary to sign and follow the Performance Improvement Code of Ethics.\(^{12}\) The rest of this chapter will summarize the Standards and Code of Ethics. For further information on the standards, Code of Ethics, or the CPT designation see Appendix A and Appendix C or go to http://www.ISPI.org and select the “Certification” tab.

Performance Technology Standards

The first four ISPI Performance Technology Standards cover the core principles of performance improvement. The acronym, RSVP, represents results orientation, systemic approach, value adding, and
accomplished through partnering. The subsequent six standards cover the processes and methods used for performance technology efforts.

1. **Focus on Outcomes or Results.** Once the goals, vision, and expectations are established, the anticipated outcomes are determined through collaboration with many who are part of the process, including senior management who support the effort.

2. **Take a Systems View.** A system’s approach confirms the inter-connected complexity of issues and organizations. Systems thinking means considering inputs (resources), throughputs (processing of resources), and outputs (products or services) holistically and including all stakeholders in the effort.

3. **Add Value.** Understand and gain consensus on the goals, measures of success, quantitative and qualitative base-line metrics, and probability of success for more than one solution or intervention.

4. **Work in Partnership with Clients and Other Specialists.** Collaborate with stakeholders, content experts, and all other vested parties; share responsibility for decisions; consider culture and other challenges; plus resources or inputs), work effort or throughputs, and results or outputs.

5. **Be Systematic—Needs or Opportunity Analysis.** Determine the gap between actual and desired performance
using job or task analysis, process analysis, work environment analysis, communication systems analysis, market analysis, and data systems analysis.

6. **Be Systematic—Cause Analysis.** Determine why the gap between actual situation and desired results exists.

7. **Be Systematic—Design.** Describe a design plan that covers features, attributes, and elements of interventions and the expectations and resources needed to accomplish the anticipated outcomes or results.

8. **Be Systematic—Development.** Create interventions or solutions and test their feasibility and their probability of sustained success whether they involve learning, performance support, re-engineering a workplace, or changing a human resource policy or practice.

9. **Be systematic—Implementation.** Deploy the intervention or solution and manage the change process. Collaborate with clients to adopt and maintain new situations by monitoring and tracking change, responding to problems, and communicating outcomes or results.

10. **Be systematic—Evaluation.** Determining the effectiveness and efficiency of the effort, performance technology practitioners measure and capture data, determine success measures, and recommend next steps.

**Code of Ethics**
Principles established to promote ethical practices within the performance improvement profession. Performance improvement practitioners adhere to these ethical standards while applying the performance improvement/HPT model.

1. **Add value.** Focusing on results and outcomes that positively impact the client, their customers, and the global environment.

2. **Validated practice.** Base practice and decisions on research and evidence. Share information with clients and use practices that are consistent with literature, research, and theory.

3. **Collaboration.** Plan for a win-win outcome by integrating the client and social responsibility needs into each project. Based on PI principles, anticipate client issues and prepare positive outcomes.

4. **Continuous improvement.** Investigate new ideas and creatively apply new concepts, tools, strategies, and technologies to benefit the client.

5. **Integrity.** Honesty and truthfulness is essential with colleagues, clients, and others while practicing performance improvement. Accept only engagements where qualifications meet needs and expectations.

6. **Uphold confidentiality.** Respect trade secrets and intellectual property of clients. Withhold disclosing that is not appropriate for communication. Be selective and express data in a honest
OTHER PERFORMANCE IMPROVEMENT PROCESS MODELS

The Performance Improvement/HPT Model is not the only model that has been developed to represent performance improvement processes or concepts. Two of the models are presented here: Pershing’s Performance Improvement Process Model and the Performance Improvement/HPT Model: Appreciative Inquiry Approach Model by Rosenzweig and Van Tiem.

Figure 2.6

Pershing’s Performance Improvement Process Model

[Insert Figure 2.6 Pershing’s Performance Improvement Process Model here]

[Note to editor: Original figure in Wiley archive.]


Performance Improvement/HPT Model: Appreciative Inquiry Approach

This model applies change management and the principles of performance improvement to positive approaches. It focuses entirely on positive,
enhancing considerations usually based on summits or substantial input from a wide variety of stakeholders. It is important to maintain the position that what is said, the questions asked, the models developed, and plans and implementation of the plans need to be entirely focused on success. (See Chapter 1 for a full discussion of Appreciative Inquiry)


And the Dialog Goes On. . .

In October 2011, the *Performance Improvement Journal* published a special issue titled: *Exploring a Universal Model for HPT: Notes from the Field.*

The issue addressed by the contributors to that issue was: Does and the field require different types of models to define the field and inform and guide practitioners, or should there be a universal performance improvement model? There was a flood of responses to the request for submissions to this issue and, at the time this chapter was submitted to the editor, the commentaries had spread out into the January and February 2012 issues of
PIJ. Binder\textsuperscript{13} offered these words of advice: “evolutionary consequences will select models based on their value to users” and “I recommend that we get these basic conceptual distinctions clear [outcomes and results] before we try building a universal model of performance.” Dierkes asked whether the field should reduce the total number of models to four or five in order to “eliminate confusion and repetition, and provide the shared understanding, credibility, and return on investment of time and effort”\textsuperscript{14}. At this time there is no full consensus from the Journal contributors; however, the dialog is continuing.

**CONCLUSION**

This chapter provided an overview of the Performance Improvement / HPT Model and the Standards of Performance Technology which were established to designate professionals who practice the concepts and principles of performance improvement. The model provides an effective and reliable process for structuring performance improvement projects and efforts based on the Standards and Code of Ethics. PST 2.1 starts the process with guidelines for an initial situation description. The rest of the chapters in this book use the Model to describe in detail the value and processes for each phase of a performance improvement effort.

**PERFORMANCE SUPPORT TOOL (PST) 2.1**

**INITIAL PRE-PROJECT SITUATION DESCRIPTION**
Purpose

Performance improvement begins with agreement on the overall critical factors for the effort. The performance improvement practitioner and the requesting organization should discuss and agree on the following topics prior to beginning the Selection, Design, and Development Phase. The practitioner should also monitor these aspects of the situation throughout all the phases to make sure that the situation does not change in a way that could also change the “goodness” of the performance improvement intervention or process.

**Statement of the Need or Opportunity:** Describe challenge or option.

**Work Environment:** Overview and define culture, department responsibilities, processes, and inputs / outputs. Describe all major factors that may influence performance.
<table>
<thead>
<tr>
<th><strong>Target Audience:</strong></th>
<th>Describe improvement participants involved by roles, current performance level, and desired performance level.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Resources Required:</strong></th>
<th>Estimate financial, material and equipment, labor, intellectual capital, and other factors necessary for this project.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Sponsor:</strong></th>
<th>Describe champion, who is the senior level person committed to the performance improvement effort and will stand behind the effort if a setback or problem arises. (Determine if there is strong enough commitment and whether sponsor is at the appropriate level.)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Performance Improvement Goal:</strong></th>
<th>Write overall anticipated benefit.</th>
</tr>
</thead>
</table>
**Measures of Success:** Write *anticipated changes to employees, processes, organization, or society.*

| **Anticipated Roadblocks or Difficulties.** What might happen to hinder accomplishment of the goals. |

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**CHAPTER 2 HPT MODEL CITATIONS**

1. Slywotzky & Morrison, 1997, p. 79
2. Mourier, Smith, & HeeKap, 2002
3. Rosenberg, 1996, p.6
4. Castle, 2002
5. Gilbert, 1978, p.88
6. Spitzer, 1992, p. 121
7. Rothwell, 2000, p. 71
8. Spitzer 1999, p. 164
9. Silber & Kearny, 2006
10. Griffith-Cooper & King, 2007

CHAPTER 2 HPT MODEL REFERENCES


CHAPTER THREE

CHANGE MANAGEMENT

Overarching the entire performance improvement/human performance technology effort is change. Change management is “a process whereby organizations and individuals proactively plan for and adapt to change.”1 The purpose of an improvement effort is to change, whether it is developing and implementing a new service or product or reinvigorating and rescuing a lagging product or service.2 In other words, change is the heart of the effort. In the Performance Improvement HPT Model, change management encompasses the entire effort and begins with the first question during the first discussion of what should be done.3

DEFINITIONS

Change means to alter the course or to transform the direction of an activity, process, organization, or situation. Change has been going on since the beginning of time, as long as humans have been adapting to climate and environmental challenges. As the world has increased in sophistication, ideas about change have changed also and become more codified.

Change as it relates to performance improvement includes the worker, work, workplace, and world. Change can make a radical difference or it can be gradual. Radical or transformational change may engender greater resistance, while gradual or incremental change may be easier to accept and support. However, that is not always the case. Sometimes, when it is obvious that change is necessary even radical change can be welcome.

In any case, change requires communication of the importance, the value, the anticipated outcomes, and the benefits of converting to a new process, product, or situation. Change requires the support of stakeholders, whether executive leadership, government officials, media and press, community supporters, early adopters, and the informal culture among those affected.

Figure 3.1

Performance Improvement/HPT Model

[Insert Figure 3.1—Performance Improvement/HPT Model here]. Note to editor—can you shade or somehow emphasize the change management line around the model?
Change management is “a process whereby organizations and individuals proactively plan for and adapt to change.” Any action or process taken to smoothly transition an individual or group from the current state to a future desired state of being. In effect, organizations have to be proactive in thinking about and executing change. It is not something that is separate and distinct from their policies, procedures, practices, and everything else they do. “Change management must be an internal—and external—capability, present within the company at every moment. Organizations now have to be ‘change capable’ all the time.”

**CHANGE MANAGEMENT MODELS**

Performance Improvement is based on evidence from experts and those who have done research. The experts have developed many organizational and individual change management models. Experts provide the framework for understanding the interrelationships and interdependence associated with change.

**Process Models**

Kotter’s Eight-Step model for change focuses on people and their feelings toward change. It is a business model for organizational change. Lewin’s Three-Step process entails unfreezing from the current state, transitioning to a future state, and refreezing in the new state which anchors new behaviors into daily routines and culture of the organization. Prosci’s ADKAR Model addresses awareness, desire, knowledge, ability, and reinforcement as foundations for change. These models and others provide the theoretical framework and guidance for implementing and institutionalizing interventions in the workplace.

**Conceptual Models**

There are many aspects of change management to think about throughout the entire Performance Improvement/HPT Model phases. The major change management concepts and theories outlined in Table 3.1 include a breadth of important models for change management. The dates represent the first publication of each model. The following descriptions include the thinking and clarification of these key change management leaders.

**Table 3.1**

<table>
<thead>
<tr>
<th>Change Management Theory Models</th>
<th>Principles</th>
<th>Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CHANGE MANAGEMENT MODELS</strong></td>
<td><strong>PRINCIPLES</strong></td>
<td><strong>FOCUS</strong></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Model</td>
<td>Stages/Elements</td>
<td>Description</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Three Stages of Change</td>
<td>Unfreeze, transition, refreeze</td>
<td>Mitigation of workforce resistance to change.</td>
</tr>
<tr>
<td>Lewin, 1951</td>
<td></td>
<td></td>
</tr>
<tr>
<td>McKinsey 7-S Framework</td>
<td>Strategy, structure, systems, shared values, style, staff.</td>
<td>Seven elements align for change in organizations to be effective.</td>
</tr>
<tr>
<td>Waterman, Peters, &amp; Phillips, 1980</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Quality Management</td>
<td>Integrates quality, processes, cures, and ownership.</td>
<td>Targets incremental quality control changes geared towards stability.</td>
</tr>
<tr>
<td>Deming, 1986</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership Culture-Change Actions</td>
<td>Attention, reaction to crises, role modeling, allocation of rewards, and criteria for selection and dismissal.</td>
<td>The way an organization approaches its functions dictates how leadership can change the culture.</td>
</tr>
<tr>
<td>Schein, 1986</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kaizen</td>
<td>Aligns strategy and vision for process improvement, innovation, and sustainable systems.</td>
<td>Change management is a continuous improvement endeavor.</td>
</tr>
<tr>
<td>Imai, 1986</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Davenport, 1992</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8-Step Model to Organizational Change</td>
<td>Urgency, coalition, vision, communicate vision, remove obstacles, create wins, build on change, anchor change in culture.</td>
<td>Leadership must lead by example for change initiative to be successful.</td>
</tr>
<tr>
<td>Kotter, 1996</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADKAR</td>
<td>Awareness, Desire, Knowledge, Ability and Reinforcement</td>
<td>Goal orientated model for organizational awareness</td>
</tr>
<tr>
<td>Hiatt, 2006</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Three Stages of Change. Kurt Lewin was an early leader in focusing on resistance to change, which is a major roadblock. Change can be promoted through three stages of change: unfreeze, transition, and refreeze. Old notions need to be released or unfrozen, then new actions and thinking need to be tried and developed, finally the new methods and processes can be refrozen into a new focus. Unfreezing recognizes the conditions that would benefit by changing, such as industry regulations, new customer preferences or fads, new features in customer products of services, and the opportunity to introduce a radically different product or service. Changing focuses on modifying elements such as technology, structure, tasks, or culture. Refreezing means creating a new normal and sustaining the changes. Refreezing benefits from executive support, social networks within the organization, clear expectations and understanding of expectations, and preparations that are feasible and recognized as of value.

McKinsey 7S Framework. McKinsey covers 7 major aspects of change: Strategy, Structure, Systems, Staff, Style, Skills, and Shared Values. These seven organizational internal, interrelated factors need to be in alignment to improve performance. The model was developed by Tom Peters and Robert Waterman while at McKinsey and Company consulting firm. Peters and Waterman, based on research conducted at McKinsey consulting firm, identified excellent companies, such as IBM, Hewlett-Packard, Wal-Mart, and General Electric. They determined that excellent companies had important characteristics in common. They were committed to customers, their employees, and had a bias for action. Executives managed the values of the company. Excellent companies focus on what they are good at. They are able to have control while empowering their employees. Later, Peters stated that there are not excellent companies but companies doing excellent things, since some of the companies cited in their McKinsey research later floundered.

Total Quality Management (TQM). The famed leader of TQM is W. Edwards Deming, a University of Michigan professor who became well known for his work in Japan, reforming their manufacturing to produce quality products. Later, Deming’s 14 points were the basis of transforming American industry. The 14 points highlighted constant commitment to purpose; management leading by adopting a new philosophy; eliminating fear in the workplace; producing correctly the first time rather than inspect to find errors; eliminating purchasing based on cost without considerations such as quality; continuously improving; instituting training, education, and self-development; breaking down barriers between departments and
others; and including everyone in the transformation. Deming asserted that management was responsible for about 80% of the quality problems and the workforce about 20%. It was the major responsibility of management to create a quality focused organization.

“It is not enough that top management commit themselves for life to quality and productivity. They must know what it is that they are committed to—that is, what they must do. These obligations can not be delegated. Support is not enough, action is required.” ¹⁵

**Leadership Culture Change Actions.** This theory was described by Edgar Schein in *Mechanisms of Change.* ¹⁶ Change in behavior or attitudes “tends to be emotionally resisted because even the possibility of change implies that previous behavior and attitudes were somehow wrong or inadequate, a conclusion which the change target would be motivated to reject. If change does occur, therefore, it must be preceded by an alteration of the present stable equilibrium which supports the present behavior and attitudes.” ¹⁷ It is essential to build positive and hopeful regard for proposed change. Change participants need to view the change as welcome and essential. The content of the message and the receiver are critical to success. Positive and negative attention to the person can be bolstered through group involvement by realizing and then integrating their reactions to the source of the change information. It is essential to focus on potential resistance and to remove threats or barriers for the group as well as individuals.

Schein first described corporate culture as a pattern of basic assumptions about behaviors, norms, dominant values, rules, procedures and processes, and the feeling or climate conveyed without being described. For successful change, the organizational culture needs to support the planned changes. Organizational change requires a level of consensus regarding the core mission, goals, how to accomplish the goals, means to measure progress, and how to alleviate problems. ¹⁸

**Kaizen.** Kaizen or continuous improvement was defined by Masaaki Imai in his well respected book, *Kaizen: The Key to Japan’s Competitive Success.* ¹⁹ Imai explained that what people know is essential but their wisdom is learned by doing. He stressed that Western management bases change on knowledge, while Japanese management includes both knowledge and wisdom.

“The difference between Knowledge and Wisdom are very important to our thinking about Total Quality Management. Knowledge is something we can buy. We can gain knowledge by reading books and attending seminars and classroom lectures. Knowledge remains just knowledge until we put it into action. On the other hand, wisdom is something we can learn by doing. Practice is the best way of learning, and Wisdom emerges from practice.” ²⁰

Kaizen represents constant commitment to quality and efficiency in the workplace. Supervisors help “employees who may be having difficulty doing the standardized work. Once
the employee can meet the standard, the standard is raised-usually with the employee’s input. Kaizen is a simple concept, one that involves constant improvement.”21 While management needs to focus on innovation, all levels need to be committed to Kaizen.22

Business Process Reengineering. Davenport23 stated that a five-step approach for Business Process Reengineering (BPR) involves developing a business vision, identifying processes to be redesigned, understanding measurement of existing business expectations, identifying business design, and building new methods. The BPR approach is particularly helpful when organizations exist in a competitive or fast changing environment. Reengineering means starting from zero and rebuilding processes or organizations. It does not represent “tinkering with what already exists or making incremental changes that leave basic structures intact.”24

Reengineering is "the fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical, contemporary measures of performance, such as cost, quality, service, and speed".25 Key ideas are dramatic, radical, and fundamental.26 It is important to make decisions and take action based on knowledge. However, situations are not neat and often knowledge deals with complexity. “Although it is tempting to look for simple answers to complex problems and deal with uncertainties by pretending they don’t exist, knowing more usually leads to better decisions than knowing less, even if the “less” seems clearer and more definite.”27

Few businesses succeed without a competent workforce. “. . . many reengineering projects fail because only average performers are assigned to them. Companies that make this mistake often figure that top talent cannot be spared to work on the redesign project and instead staff it with undistinguished performers. . . .”28 For example, less competent, less motivated, and less experienced workers require more supervision. It is difficult for them to be empowered because they need more attention.29

8-Step Model of Organizational Change. In 1996, John Kotter wrote Leading Change to transform by “the adoption of new technologies, major strategic shifts, process reengineering, mergers and acquisitions, restructuring into different sorts of business units, attempts to significantly improve innovation, and cultural change.”30 “People change what they do less because they are given analysis that shift their thinking than because they are shown a truth that influences their feelings.”31

Change involves a gradual and planned dynamic. “Successful large-scale change is a complex affair that happens in eight stages. The flow is this: push urgency up, put together a guiding team, create the vision and strategies, effectively communicate the vision and strategies, remove barriers to action, accomplish short-term wins, keep pushing for wave after
wave of change until the work is done, and, finally, create a new culture to make new behavior stick.32

ADKAR. “The awareness, desire, knowledge, ability, and reinforcement model (ADKAR) of organization change was created by a leading change management firm Prosci, to create multifunctional project teams considerate of the human and technical side of a change initiative. ADKAR supports the people side of change b utilizing readiness assessments, coaching, communication, and resistance management.”33 ADKAR is flexible and focuses on desired outcomes that are adapted to each situation.

LEVELS, MODES, AND CONTROL OF CHANGE.

Performance improvement practitioners need to take into consideration the level of change that will be occurring, the mode of change, and the control of change.34

Level of Change

The level of change can be transformational or incremental. Transformational change makes a radical difference and can be caused by change of leadership, changes in society and the world, changes in competition or supplies, changes in politics, etc. Transformational change is infrequent, requires an extensive effort of analysis, planning, determined execution, and intentions of sustainability. Incremental change can be informal, gradual, and frequent adapting to changing conditions within the workplace, competition, or desires of customers and clients. The degree of planning and care will vary considerably between a transformational and incremental change.

Mode of Change

The mode of change can be proactive or reactive. In many instances, the performance improvement effort will be looking to the future and will involve proactive planning for new needs, expectations, availability of supplies, or changing conditions. For example, it is relatively easy for retail establishments to plan for seasons and holidays, or hospital emergency rooms to plan for frost bite in winter or sunburns in summer. On the other hand, reactionary situations like the impact of extreme weather, such as hurricanes and typhoons or earthquakes and tsunamis, can be lessened by preplanning through building codes, going to places of safety, or practice drills.

Control of Change
Control of change can be planned or unplanned. Societies can prepare for hurricanes with hurricane resistant windows and strong glass, or plan for changes in government through elections. *Unplanned* change results in unanticipated costs and outcomes and can be the result of fire, accident, or disease. Spontaneous situations benefit from resilience and robustness. For example, evacuation and community safety plans, hospital emergency procedures practice, or adequate supply chain collaboration can ease even the most unexpected occurrences. Most performance improvement efforts focus on planned change; however, performance improvement may also be dealing with the aftermath of unplanned change.

**PLANNING CHANGE**

Change benefits from complex planning to minimize risk, resistance, and uncertainty.35

**Figure 3.2**

**Managing the Change Process**

[Insert Figure 3.2 Managing the Organizational Change Process here]


Change management involves planning, implementing, and sustaining change. Malopinsky and Osman36 illustrate the actual change process evolution while the Performance Improvement/HPT Model is more holistic and considers a full spectrum of aspects that go into any change or performance improvement effort. Throughout planning the change process, it is essential to visualize how the change will affect the people, culture, performance, technology, structure, workday, and processes of the organization.37 Financial considerations include budgets; project plans include task lists, timelines, contingency plans, and schedules; communications plans include “elevator speeches”, feedback mechanisms, training schedules, and observations.38

**CHANGE MANAGEMENT ROLES**
Change management roles are adapting as organizational interdependence and collaboration increases. It is important to realize that collaboration leads to more flexibility and greater options.

**Change Agent**

The change agent is generally one person who leads the change effort. That person can be the performance improvement consultant, practitioners, or specialist or an internal leader supported by a performance improvement department, or a quality or organizational development expert. The change agent makes sure that there are appropriate plans and execution for analysis, intervention selection, design, development, implementation, and evaluation. Change agents need to focus on results and outcomes, ensure that the effort of value add, think systemically, and partner and form alliances to minimize resistance and encourage enthusiasm for the effort. Performance improvement practitioners need to be careful to establish confidence of the organization and shared vision among stakeholders.  

**Change Manager**

No implementation process is successful without the change manager who develops, leads, and supports the change effort. The change manager may well be the performance improvement practitioner. The role of the change manager has evolved from controlling to facilitating the change process.

In the past, changes were decreed by executives. Today, change efforts require worker involvement to maximize each person’s contribution. Change managers were once responsible for planning, commanding, and coordinating the effort. Today, change managers consult, communicate, collaborate, and mediate to minimize resistance or fear. They need to be effective negotiators and equitable resource allocators to maintain confidence.

In addition, change managers need to be effective communicators to alleviate foot-dragging. Change managers build support for change. Support is “readiness for change backed by the resources necessary for acting appropriately . . . also connotes the willingness of others to cooperate with change.”

**Leadership Supporter/Champion**

Probably the most crucial aspect of any change management effort is strong and consistent leadership engagement. Champions are the executives who ensure that there is sufficient resources, minimize and eliminate road blocks, and support sustainability so that the change effort is maintained and prospers after the initial process and outcomes. In addition, sufficient support is needed in upper and middle management so that the change can take hold and flourish.

For employees to “buy into” and adopt change, they need to believe that their immediate boss, the person who has the power to provide or withhold rewards—money,
advancement, recognition, approval, and so forth—is in favor of adoption. Although performance improvement practitioners may be, there needs to be a sponsor or champion who makes the change process happen by articulating the vision and showing by example how the interventions are implemented and by guiding the process toward institutionalizing and sustaining the interventions effort. The sponsor is a true advocate and has both the time and authority to make things happen.

**Opinion Leaders**

Although there are clearly defined job, roles, duties, and responsibilities, much of an organizations culture and influence occurs in a less formal and defined manner within the informal organizational structure. Opinion leaders can be at any level; they are influential and can sabotage an effort if they do not believe it is the right thing to do. If opinion leaders believe in and are willing to support the change effort early in the process, the entire effort will progress with less effort.

**CHANGE MANAGEMENT FUNCTIONS**

The various roles that are involved in successful change management must perform two major functions: managing resistance and promoting readiness for change. In addition they all have a communication function and some or all of the roles have a learning and support function.

**Managing Resistance**

One of the greatest stumbling blocks of change is resistance. Positive psychology and appreciative inquiry can minimize resistance by active participation throughout the process focusing on what is going well and expanding on the positive aspects of the organization while minimizing the challenging situations.

**Passive and Overt Resistance.** Change agents need to be watchful of passive and overt resistance. Often passive resistance is foster by previous efforts that were viewed as “flavor of the year” or emphasis of the year. Once the year or certain time frame was over, the organization goes on to another initiative and forgets the last effort. The previous change effort was not sustained. As a result, employees learn to wait and not make substantial changes because the workplace will probably resume the old way when another new emphasis arrives and supersedes the current effort.

**Signs of Resistance.** Everyone involved in implementing change needs to be aware of the signs of resistance. When people feel threatened or do not believe change is in their best interest, they will resist, which can undermine success. Employees worry that their feelings are not being taken into consideration. Longer-term employees often believe that the good aspects of
the previous processes are not adequately preserved. When feeling threatened, employees can dwell on seemingly trivial details instead of visualizing the bigger picture. It is important for PI and PT practitioners to acknowledge the employee’s concern and to explain the reasons behind the changes. In some cases, it may be necessary to agree to disagree in order to move ahead. The key is to acknowledge and respect each individual’s reactions.

**Suggestions to Minimize Resistance.** Five suggestions for minimizing resistance to change and new ideas were proposed by Dormant47 The emphasis is on accentuating the positive and defusing the negative in the minds of those targeted to participate in the change. Careful change preparation can have a dramatic impact on results.

1. **Relative Advantage:** Highlight the advantages for the user and present a compensatory advantage for each disadvantage. Use cost-benefit information and focus on quick return.
2. **Simplicity:** Make changes seem doable and valuable through success stories, site visits to similar applications, and peer testimonials. Minimize hurdles through job aids, training, and other performance support.
3. **Compatibility:** Identify similarities in aspects, procedures, and results with current situations and acknowledge potential problem areas.
4. **Adaptability:** Highlight areas to be changed without loss of functioning. Identify all areas most likely to be changed.
5. **Social Impact:** Identify relationships with key people and key groups. Anticipate how changes will affect them. Use empathy when communicating workable solutions.

**Managing Readiness for Change**

Change readiness requires the following conditions:

- Focused alignment through clear objectives;
- Solid sponsorship who is committed and willing to make tough decisions to make the project happen;
- Stakeholders who understand the effort and value success;
- Organizational infrastructure and process with sufficient governance and priority;
- Resource availability including the right people to do the right thing at the right time, financial resources, equipment and tools, information, and so forth;
- Innovation with sufficient consideration of risk, including copyright and trade secret issues;
- Organizational sustainability based on feasibility and sufficient resources and leadership support for the long term;
- Implementation risks and readiness including consequences if the project is no longer part of the strategic direction and consideration of hurdles and contingency plans;
• Budgets approved that have cushion or direction on what to do if the project exceeds the budget, with status communicated regularly; and
• Change leadership and planning to prepare for resistance, determination if policies or procedures need to be changed, and sufficient informal and formal leaders.48

Readiness for change varies considerably at the worker, work, workplace, and world levels. Some are eager to move to the future and believe that they are ready to make changes. Others see the obstacles and are concerned about readiness for change. They move more slowly and deliberately.49 Figure 3.3 shows the speed of adoption for an innovation.

**Figure 3.3**

Adoption Curve

[INSERT FIGURE 3.3. ADOPTION CURVE here]


**Roles During Adoption Process.** Figure 3.3 illustrates the various roles people play during the adoption of innovations. Some people and organizations are open to change. They are comfortable with ambiguity and do not mind taking risks. These people are innovators, inquisitive and eager to try new things. Then there are the early adopters. Many are highly regarded and respected in the organization, they are influential. They are generally widely respected and are leaders in the culture of the organization. Early adopters learn from the innovators and make accommodations from lessons learned.

The early majority form a substantial part of the organization. They are often the average people, they like to watch and see the success of the trials before making substantial change. They often constitute about 1/3 of those who will be part of the change. The late majority are also approximately one third of those involved in the change effort. Initially, they were skeptical and hesitant until most of the challenges and obstacles were resolved. They can now visualize the benefits of the change and are ready to support the effort.

At the end of the curve are the laggards, those who are late to adapt and are the major resistors. They have major concerns. Their resistance may have been passive. They may have said that they were in favor of the change, but then resisted and avoided acting to support the change. They are often the people who are concerned about one isolated factor and do not see the benefit of the greater good. They often embrace change when it is more difficult to resist change than to go along with the change.

**Communication**
Clear, consistent, persuasive, well support communication is essential for positive change outcomes and is a major function throughout the change management process. Messages need to be conveyed through newsletters, posters, and video clips from high level management and senior executives. In addition, social media can discuss situations, highlight successes, anticipate next steps, and promote discussion of concerns. Communications also means notifying those involved of awards for progress, rewards for change as it occurs, and also notifying those involved of potential opportunities for future benefits.

Learning and Performance Support

Change efforts typically involve learning new perspectives, new skills, knowledge, or abilities. While formal education may be needed in some instances, the learning organization can provide mutual support and change participants can learn from each other. Since change is often gradual, coaching and mentoring can occur on an informal or formal basis, which minimizes resistance. Often, new initiatives, such as new software, organizational structure, service or product lines, and quality expectations are difficult for some to achieve. Through ongoing support, it is possible to have advice and documents, such as job aids, to remind and further explain the new processes or procedures.50

CHANGE MANAGEMENT AND THE PERFORMANCE IMPROVEMENT PROCESS

While it is important that Performance Improvement Practitioners can apply the concepts of change management, it is essential that change management is integrated within the entire improvement process. Change begins with the first discussion on the first day. Each phase will be supported by early adopters and resisted by laggards. Each phase will require psychological changes including unfreezing, transition, and refreezing and goal orientation51. Each phase will require all levels to be wise and knowledgeable and understand the organizational culture to rethink processes and redesign workforces.52 Management will need to realize that they have the greatest impact and greatest responsibility for positive and successful change.53 Each phase will require formative evaluation and continuous improvement.54 Each phase will integrate strategy, structure, systems, shared values, style, staff and more.55 As PI practitioners, we need to be watchful for resistance and opportunities for positive change.

Address Stages of Concern

Employee’s concerns tend to occur according to the following stages: information, personal, implementation, impact, collaboration, and refinement.56 In the beginning, people want to be informed about the positive and negative details of the change effort. They are worried about the impact change has on each individual, including the benefits, losses, and new skills needed.

It is important to talk about the details of the implementation process, including timeframes and what happens if the change doesn’t work out. Impact concerns revolve around...
results relative to employees and the organization. Collaboration questions focus on how people will cooperate and work together. Finally, employees will often have ideas for making the original changes better and will want to work toward continuous improvement. As employees work through the change process stages, they can come to appreciate the value of the changes.

The performance improvement practitioner has to explain that change is a process, not an event and it is accomplished in five stages; each stage has its corresponding strategy for gaining acceptance.57

- Stage 1: Awareness—Advertise
- Stage 2: Curiosity—Inform
- Stage 3: Visualization—Demonstrate
- Stage 4: Tryout—Train
- Stage 5: Use—Support

It is important to watch for each stage and then apply the strategy recommended to accomplish the stage.

**Take a Positive Approach**

While experiencing change, one of the greatest opportunities to remain focused and enthusiastic, is through positive approaches.58 Change can be viewed as an opportunity to make things better. Questions and discussions can be positioned as thinking about how the workplace will be better, how the new situation be optimized.59

As discussed by Schein, Kotter, Lewin, Dormant, and others, people will naturally resist unless there is skillful planning to create and maintain a thoughtful culture. Appreciative inquiry (introduced in Chapter 2) is organizational change, redesign, or planning that begins with a comprehensive inquiry, analysis, and dialogue based on a positive core, that includes many stakeholders and creates strategic change and positive priorities.60

As stated previously, change during performance improvement efforts begins with the first question. Instead of asking, “What can we do to overcome the problems with our operating room intake process?” the positive question can be, “How can we create a welcoming and reassuring environment so that those preparing for surgery can feel confident and calm?” Positioning efforts in the positive engages creativity and innovative thinking and establishes energy in those engaged with the change effort.61 Language, whether positive and creative or negative and complaining sets the tone for the workplace and the change effort. It is important to believe in the best change possible.

Positive change occurs when there is a positive organizational culture; an organization based on favorable values. An organization based on values can overcome marketplace stress, technological challenges, competitive uncertainties, or societal changes. Strong positive cultures have values and norms that are admired and respected by organizational members, they create a collective identity and commitment, and a common vision for the future.62
Although the positive approach is ideal, it may be difficult to attain quickly. Performance Improvement practitioners and change managers will probably need to be patient and use an incremental and gradual process so that the organization’s culture eventually becomes a positive workplace.

**Monitor After Implementation**

Once the interventions are implemented in the workplace, the human performance specialist along with the change manager, if they are not the same person, should diligently monitor the process. Formative evaluation is applied throughout the design and development phases and is critical to adapt and accommodate issues that arise then and in the implementation process. Focusing on change management, the following evaluation questions should be considered. How well is the intervention effort addressing the root cause(s) of human performance gaps? What measurable improvement can be observed and documented? How much ownership have stakeholders vested in the intervention, and what steps can be taken to improve the ownership leading to sustaining the effort? How are changing conditions inside and outside the organization affecting the intervention? Is the change effort flexible enough to adapt and continue? 63

**CONCLUSION**

Attention to change management will take effort and attention throughout the Performance Improvement/HPT process. There is much to be learned from the theories considering psychological and resistance, process and strategy, participant involvement and leadership, and planning factors. It is necessary to notice roles, levels, modes, and control of change. Change management takes focus on the part of the PT practitioner to think not only of the issues associated with the certain performance improvement / HPT phase, but also the issues that go toward successful change. A good place to begin is with the Change Management Planner in PST 3.1 and a good place to continue and end is with the Change Management Evaluator in PST 3.2.

**PERFORMANCE SUPPORT TOOL (PST) 3.1: CHANGE MANAGEMENT PLANNER**

**Directions:** Anticipating and preparing for change is important for performance improvement success. Answer the following questions to consider essential issues relative to change.
<table>
<thead>
<tr>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>What changes are needed to meet customer, client, or stakeholder expectations?</td>
</tr>
<tr>
<td>What performance gaps currently exist in meeting the expectations?</td>
</tr>
<tr>
<td>How will customer, client, or stakeholder expectations be determined?</td>
</tr>
<tr>
<td>How will employees know when customer, client, or stakeholder expectations are met?</td>
</tr>
</tbody>
</table>

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**PST 3.2 – Change Management Evaluator**

**Directions:** Answer the following second set of more detailed questions.

<table>
<thead>
<tr>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have the change expectations been thoroughly defined?</td>
</tr>
<tr>
<td>Question</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>How will this change disrupt the current organization?</td>
</tr>
<tr>
<td>Does the organization have a history of intervention implementation problem? If so, describe.</td>
</tr>
<tr>
<td>Are the sponsors or champion sufficiently committed to the project? If not, would education or replacing the sponsors help?</td>
</tr>
<tr>
<td>Does synergy exist between sponsors and change target groups? If not, what can be done to improve relationships?</td>
</tr>
<tr>
<td>What resistance is anticipated within the target groups?</td>
</tr>
<tr>
<td>Is the planned change consistent with the organizational culture?</td>
</tr>
<tr>
<td>Are participants sufficiently ready for the change effort? What would help?</td>
</tr>
<tr>
<td>Are the right people, right communication plan, and right success measures in place?</td>
</tr>
</tbody>
</table>

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CHAPTER 3 CHANGE MANAGEMENT CITATIONS

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Chapter 3 Change Management References


SECTION ONE CASE STUDY

Topic: Performance Improvement/HPT Model
Situation: Reducing Municipal Strife through Engagement
Author: Steven Kelly, CPT, KNO Worldwide, Bratislava, Slovak Republic, Europe

Background
The client, a municipality of about 250,000, is located in Northwest United States. It has a workforce of just over a thousand employees, with the bulk of them involved with public safety, fire protection and public works. The city has an elected mayor and city council for governance, who employees a professional City Manager as an executive officer to oversee implementation of the Council priorities and administer the department citizen services and municipal laws. At this period the city had only recently transitioned into having a city manager in the past decade. Most long-term department heads had been used to independent action, relying on their political relationships with the elected council for support of budget and initiatives.

Critical Business Issue
At the time of the project engagement, the municipality was involved in a multi-year series of expensive litigations with the labor unions within the city. Although a small workforce, the employees were represented by a
number of bargaining units (12) representing the employees and management within various departments. Conflict between the city management and several of the larger unions escalated into expensive arbitration and legal battles that were incurring costs of several million dollars annually. These conflicts, especially within the police and fire departments, leaked beyond the usually specific issues of complaint. There was a broader challenge to the authority of the City Manager’s office to oversee the city as an integrated entity addressing a common mission.

At the same time, within the protective service departments, several long-term professionals had been seeking unsuccessfully to get funding for an Employee Assistance Program (EAP) to provide counseling support for experienced veterans who were having difficulties with substance abuse or other conditions related to the stress of the job. At the time, the city procedures only allowed for discipline or termination of employees exhibiting these types of job performance issues.

**Intervention**

An opportunity for a grant from the Federal Mediation and Conciliation Service opened and was successfully applied for by the city Human Resources department with union support. The funding ($165,000) extended over a period of three years, with a primary focus of the grant to
improve relations between management and employees through the provision of internal actions (such as EAP and informal dispute resolution) while increasing the level of mutual trust and communications.

This funding acted as a seed mechanism to start a comprehensive new level of engagement among the senior managers in the city and the leaders within the employee unions. In addition to a large reduction in litigation costs over this period, the steering group jointly created a number of initiatives: to recognize employee contributions, develop internal career capacity, and reduce costs during a time of budgetary restraint. Most of these initiatives are still active in the municipality today.

**Focus on Outcomes or Results**

The primary outcome of this effort was targeted to be increased trust between city management, department heads, and key employee “opinion leaders” who were often active in influencing bargaining unit actions. Increased trust would support more effective communications and allow for informal resolution of developing problems prior to escalation to legal actions. Given the difficulty to measure ongoing relationship improvements, specific proxy targets were set to measure outcomes:
• Reduction of legal fees (40%) spent on formal disputes between city and bargaining units

• Improved scores (+10% on trust elements) in a city-wide employee satisfaction survey after 3 years

• Reduced cost through higher productivity (and less turnover of trained staff) as a result of specific initiatives

**Focus on Systems View**

In addressing this issue, it was important to address the problem within a very complex system of interactions. Within the city government were 12 separate departments, of which one of them, the City Attorney is an elected official, and another, the City Clerk, appointed directly by the Council. Two of the departments, police and fire, consisted of over 60% of the workforce. To support 24 hour citizen protection, both of these departments used shifts. As well, the workforce was organized into 12 bargaining units. To complicate matters, both in the police and fire departments, middle managers were also represented by several bargaining units (sometimes 3-4 members) who were both representing management to employees while at the same time bargaining for their own benefits. Facilities for the city employees were distributed among over 40 locations throughout the municipality.
Although most of the department heads reported on paper to the City Manager, in practice several of the long-term managers had direct relationships with the elected Mayor and Council, who approved policy and budgets. As well, several of the union leaders provided electoral support for individual candidates and had access to these officials if needed.

The external environment at the time influenced the situation. City receipts were down slightly from recent years and budgets were up for reduction. Luckily, the Council was not involved in long standing controversial issues and was supportive of this initiative to reduce city expenses.

At the time of the initiation of this intervention, the City Manager had been appointed for just over a year. Rather than simply take a narrow approach to the opening that the grant funding allowed, he encouraged the consultant to take a broader approach to strengthening communication in the city.

**Focus on Value**

The scope of the approved federal grant was to focus on building trust by piloting forms of informal dispute resolution as well as supporting union members (city employees) through the start-up of an Employee Assistance
Program for crisis and professional counseling. The consultant based on
initial assessment deducted that a broader effort would be required to
attempt to achieve these challenging goals. With the direction and approval
of the City Manager, the consultant used the grant, with small supplemental
contributions from the city, to initiate a wider effort to engage employees to
improve internal staff communications and better citizen services. As
described further below, this steering committee supervised program
resulted in a wide range of actions to improve communications, recognize
and reward commitment, and develop professional skills in support of the
city mission.

Focus on Establishing Partnerships
An important challenge for this intervention was the need to build legitimacy
for the effort as including stakeholders from throughout the city. Perception
(or actual reality) that the initiatives were simply a top-down program to
force-feed “trust building” could not work. This was accomplished with
several tactics by the consultant/facilitator. The first was the creation of a
management and employee steering committee to direct the activities of the
grant. The committee of 12 included several department senior managers
and members selected by the larger bargaining units to participate. While
the City Manager as the chief executive of the organization needed to
approve final recommendations as regards changes to policy or commitment
of funds outside the project, there was a steady respect for the committee work and independence.

A second initiative was the execution, under the direction of the committee, of the first ever city-wide survey of employee attitudes and views of workplace satisfaction. This was successfully administered with a 70% participation rate and provided a baseline for evaluating future success of efforts. Results of the survey were published, employee briefings held, and data analyzed by the committee to contribute to recommendations for action.

The third initiative was the organization of an off-site retreat, sponsored by the committee, early in the process with all key stakeholders attending. The group, over 40 people, included all department heads, most deputies and senior members of all the bargaining units. Held in a rustic setting, the climate allowed for both discussions of workplace trust issues as well as strengthening of social bonds. As well, it provide for a legitimatizing of the work of the steering committee, which came to be seen as the working delegation after the offsite.

A final tactic was to find a neutral workspace, outside the boundaries of the city manager’s office space. This allowed for ongoing interviews and
ad hoc discussions with employees at all levels outside management territory.

**Be Systematic in the Assessment of the Need, Opportunity, or Challenge**

As a front-end to building the steering committee and initiating activity, the consultant conducted interviews throughout the organization. The approved grant award had documented the critical need to reduce legal battles. However, generally everyone was in agreement that the issue was broader than just contractual violations for litigation. This included department managers, union leaders, and rank-in-file workers. While the department heads were primarily oriented toward finding ways to fulfill citizen service requirements on limited resources, the bargaining unit leadership was focused on maintaining hardly won incremental benefits. As well, due to historical episodes of intermittent negotiation battles, several union leaders had a strong suspicion of any management initiative to “build trust”. However, even these people agreed that efforts to reduce spiraling litigation expense were worth pursuing.

As described in partnership focus previously, further assessment and buy-in was accomplished during the offsite meeting of all key stakeholders.
Be Systematic in the Analysis of Work, Worker, Workplace, and World View to Identify the Causes or Factors that Limit Performance

Under the guidance of the consultant, the steering committee collected and analyzed data developed from the off-site retreat, the employee survey, and follow-up interviews and focus groups. Additionally, research was conducted of best practices from the International City Manager’s Association resource base. The analysis identified some of the critical factors that were reducing communication effectiveness leading to trust:

a. heavily siloed departments; many employees only knew the small circle of people within their work area and relied on the grapevine for updates

b. a strong perception that employees were not valued by city management; little recognition for achievements, no systemized employee development or career path (except in protection services).

c. little visibility of city top management in the workplace.

d. an authoritarian management style by almost all department heads; lack of consist staff meetings in many units.
e. lack of city-wide information sources, social events

f. rotation of City Manager and key staff every 3-4 years; difficulty to sustain progress

**Be Systematic in the Design of the Solution**

Based on the analysis of the data and the nature of the factors influencing the gap, the steering committee designed a set of parallel sub-interventions to address the issues surfaced. Given the solution identification by the committee, the consultant worked closely with working sub-committee teams to design the sub-intervention elements. The designs of specific sub-interventions were based on collected best-practice programs from International City Manager Association sources and the experience of the consultant.

The following sub-interventions were developed and implemented staged over several years:

- A walk-around program by the city manager to visit all departments twice a year.
- Bi-weekly top management meetings chaired by the City Manager to update all department heads on key issues; flow-down staff meetings in departments following these.

- An employee recognition awards scheme – time in service awards, suggestion incentives and quarterly exemplary service recognition (selected by independent committee).

- A formal performance review and career coaching process for the non-protective service department staff.

- A city-wide professional skills training program (supervisory and administrative) with courses based on annual needs assessment.

- The Employee Assistance Program with confidential counseling open to employees and family.

- A pilot procedure for an Informal Dispute Resolution Process to be used prior to moving into formal arbitration or litigation.

- An integrated Citizen Resource Guide combining previously siloed reference information and contact numbers (later added to website)

- Annual summer employee picnic and winter holiday party

**Be Systematic in the Development of the Solution**

The development and implementation of the sub-interventions was done in stages. Most of the development work was done by steering group sub-
committee (under the guidance of the consultant) using best-practice models. Cost was reasonable – primary new budgetary costs were time-in-service awards, a part-time training coordinator, and funds for external training instructors and materials. The consultant participated in the drafting of new policies and procedures that were reviewed within the steering committee and by department heads. Other than the EAP program, which required a larger external contract with a service provider approved by the City Council, all other sub-interventions were funded by existing Human Resource and City Manager budgets (along with the federal grant). The performance management, awards recognition and training programs were passed on to the Human Resource department after the 2nd year of operation.

**Be Systematic in the Implementation of the Solution**

The implementation of the complex set of sub-interventions was done in waves. The highly visible (and inexpensive) recognition awards, management meetings, social events were implemented quickly within the first year, along with the EAP. By the second year, the training needs assessment was completed and a pilot training program put in place. The development and review / comment of the performance management system was more involved and was implemented at the end of the second year, with uneven application among the departments.
The challenge of implementing the informal dispute resolution process was the most difficult. Over a period of 6 months, a procedure was drafted and reviewed by the bargaining units. At the end, several of the larger unions chose to drop out of the process. It was accepted by some of the administrative units, and published in the procedures manual. However, during the 3 years it was never activated in a real case.

The duration of the grant over 3 years allowed for a continual follow-up of all the initiatives by the consultant (on a part-time basis), and follow-through on the handoff to the Human Resources department.

**Be Systematic in the Evaluation of the Process and Results**

At the conclusion of the grant period, a formal evaluation and report was completed. In the matter of litigation costs, there had been a reduction of over 70% during this duration. This was based on several factors along with this intervention, especially the interest of the City Manager to build stronger relations with the union leaders. These savings of more than a million dollars from litigation more than paid for the ongoing costs of the other elements. The employee suggestion program in the first 2 years alone identified 5 innovations that saved the city over $120,000 in direct costs. The employee survey was administered again 30 months into the project.
Coordinated by the HR department, the survey had a lower participation (38%) and it was not possible to evaluate impact reliably.

The consultant was able to follow the progress of the city from afar for some years, and even a decade later the recognition awards, the training program, and the EAP were active. The City Manager left the city a year after the conclusion of the grant effort and it is likely some of the management initiatives suffered from his departure (although the job was taken for a few years by his former deputy who had been involved in all the initiatives). The litigation between the city and labor unions have cycled up and down during the past years, but the height of expense during the years preceding the intervention have not been reached again.

**Identify 2 – 4 Lessons Learned from the Case**

- The commitment and action of top management is critical in complex system interventions where old behaviors are set by historical precedent, political intrigues, and lack of belief in change. The top management commitment does not insure success, but without it nothing can progress.
• The involvement of opinion leaders in organization change efforts, throughout the structure, is important to insure comprehensive interpretation of the data during analysis, buy-in for intervention recommendations and execution, and promotion of the changes within the workplace.

• Despite the conflict between the key actors (managers and labor representatives), all were interested in providing the highest service possible for the cities citizens. While there could never be agreement on all aspects of labor contracts, the opportunities for ongoing facilitated dialogue outside the conflict issue builds good will that transfers beyond the single disagreements.

• Effective change in a complex system of information flows, personal relationships, and geographical dispersion usually requires an integrated set of several parallel interventions that are mutually supportive towards the same goal. Standing alone, none can be effective but together they can build momentum toward success despite weal elements among them.

Steven J Kelly, M.A., CPT, has thirty-five years' diversified experience in the performance improvement arena. He is a founder (1979) of KNO Worldwide, headquartered in Central Europe since 1991. In this role, he
acts as a consultant to business and government in Central Europe and the former USSR to implement institutional and staff productivity strategies. Steven holds a Master's degree from Pacific Lutheran University. He currently serves on the Board of ISPI.
SECTION ONE CASE STUDY

Topic: Performance Improvement/HPT Model

Situation: Amway Corporation: Driving Consistent, Strategic Performance of Distributors Globally

Author: Steven Sniderman, Amway Corporation, Ada, Michigan, USA and Valerie Brown, Innovative Learning Group, Royal Oak, Michigan, USA

Background

Amway Corporation is a direct seller of nutrition, beauty, personal care, and home care products. It is a global organization with ten autonomous regions and more than four million active distributorships in over 80 countries. These distributorships earn money by selling Amway products and also by sponsoring others into their own businesses. Amway’s learning organization consists of ten autonomous regional training groups and Global Training and Education, a shared-services function that supports the regions.

Situation

In March 2007 Amway identified a strategic need to improve its distributors’ performance on critical metrics related to retail sales, the number of new distributors, and the retention of existing distributors. Although Amway had

1.
considerable anecdotal information about successful distributors, it had no comprehensive understanding of the behaviors critical to effective distributor performance. Further, the existing anecdotal data was inconsistent across regions. Without a complete set of consistent performance data, there was no way to determine how to improve distributor performance.

Amway’s ten regions around the world had no comprehensive curricula focused on success-critical performance. Prior to 2009 a number of Amway regions offered primarily product training. Training on how to run a business or how to sell was typically delivered by higher-level distributors with varying levels of effectiveness. Where the regions had developed training, each region had created its own. This led to different content in similar solutions, duplication of efforts, and inefficient use of resources.

**Intervention**

Global Training and Education had a clear vision that achieving Amway’s goals and improving distributor results required that distributors perform the behaviors critical to those results and goals. To address this need, Global Training and Education launched an intervention to define that set of critical distributor tasks and behaviors for distributors globally.

The intervention consisted of six components, selected specifically to balance global consistency (by driving to the global behaviors) and regional autonomy (by leaving alignment, design, and development to each region).
Given the global nature of the organization and the autonomy of the regions, achieving this balance was a fundamental requirement for the intervention’s success.

Intervention components include:

**Distributor Performance Model.** The heart of the intervention, this model details the linkage from Amway’s goals to critical distributor results, critical distributor behaviors, the key knowledge, skills, and attitudes that enable performance, and the learning solutions that build the specified skills, knowledge, and attitudes. The model’s design was adapted from the “impact map” concept presented by Brinkerhoff and Apking (2001). The purpose of an impact map is to focus performance improvement efforts (and especially learning) on those tasks and behaviors most directly linked to achievement of worthwhile organizational goals (Brinkerhoff & Apking, 2001). Unlike the Brinkerhoff and Apking impact map, however, the Distributor Performance Model was intended to be a deep-dive tool for use in designing and developing performance improvement solutions, including training. Thus, the performance model varies from the typical impact map in that: the model includes three levels of detail related to tasks; it is multiple pages in length; and the model identifies the learning objectives and solutions that achieve the critical knowledge, skills, attitudes (Brinkerhoff & Apking, 2001).
The focus in the Distributor Performance Model was on cell four, Knowledge, of Thomas Gilbert’s Behavior Engineering Model (Gilbert, 1996). The intervention team also gathered information on non-training factors affecting performance. The team captured this data on a separate worksheet within the performance model, categorized them by the remaining cells of the Behavior Engineering Model (Data, Instruments, Incentives, Capacity, Motives) (Gilbert, 1996), and shared them with the appropriate Amway functions.

**Distributor Impact Map.** To communicate the performance model purpose and contents to key stakeholders, the intervention team created a one-page Distributor Impact Map. This map distilled the following data from the full performance model: Amway Goals and Measures, Distributor Results, and Critical Behaviors. As with any impact map, the Amway Distributor Impact Map also showed the linkages among its contents. (Brinkerhoff & Apking, 2001).

**Distributor Curriculum Map.** The Distributor Curriculum Map depicts in graphic format learning solutions that enable the critical distributor behaviors. This map shows not only what the learning solutions are, but also their ideal sequence. From this map, each region has regrouped/combined different learning elements to best reflect the needs of their region.
Module specifications. Module specifications outline a high-level design for the learning solutions identified on the Distributor Curriculum Map. The specifications include prerequisites, objectives, delivery methods, materials, and existing courses to leverage. Instructional designers use these specifications to create detailed learning solution designs aligned with the critical behaviors.

Alignment mapping. The intervention team worked with several Amway regions to map existing curricula to the performance model. In other cases, the regions did their own alignment mapping and shared the results with Global Training and Education. The purpose of the mapping was to drive to a critical set of consistent behaviors while making appropriate use of as much existing curriculum as possible. The regions retained control of how to address any gaps. Results of the alignment mapping were documented on the Distributor Performance Model.

Learning solutions. Global Training and Education partnered with several of the regions to develop learning solutions aligned with the performance model. For example, since 2008 Global Training and Education has worked intensively with Amway Latin America to develop courses for the major activities (beginning, selling, business building, and leading an organization) of the distributor business. Typically, web-based and instructor-led versions were created to help ensure that training fits the distributors’ available learning time, learning styles, and access to
technology. Global versions of each course are available to all regions for localization.

1. **Critical Business Issue**

Amway needed to improve the performance of its distributors globally on key metrics related to sales, number of new distributors, and distributor retention. A key factor in being able to achieve this goal was to drive globally to distributor performance of a consistent set of business-critical tasks.

2. **Focus on Outcomes or Results**

The intended outcomes of this intervention were the fundamental reason the intervention was developed and implemented; the focus from the start was on improving distributor performance. The Distributor Performance Model was intentionally structured to ensure that the intervention team maintained that focus; the model links critical tasks, behaviors, skills/knowledge/attitudes, and learning solutions back to distributor results and Amway goals. This outcomes focus assured that the skills, knowledge, and attitudes taught in training around the world were those that enabled a consistent set of strategic behaviors.
3. Focus on Systems View

Global Training and Education knew from the beginning that it needed to take a systems view in order for this intervention to succeed. Factors that drove this systems approach, and their implications, included:

Region-specific strategic plans: Any identified solution needed to be adaptable to each region and contribute to the regions’ strategic plans.

Deliberately fostered regional autonomy: Global Training and Education respected regional autonomy and had no desire to impose a solution on any region.

Amway distributors as independent businesses: Amway cannot hold distributors accountable for their capability, development, or performance.

Huge, global distributor populations: Distributors represent a wide range of cultures, knowledge, experience, educational levels, access to technology, and amount of time devoted to their Amway businesses. One solution would not fit all.

Keeping in mind the factors the team could influence, the team identified the intervention deliverables and created one at a time. One output became an input to another deliverable: the research data led to the performance model, from which the impact map and curriculum map were created; the curriculum map was an input to the alignment maps and module
specifications; and the module specifications were used to design the learning solutions. The deliverables themselves and the processes used to create them formed a system aimed at improving performance.

4. **Focus on Value**

It has always been Amway’s philosophy that a performance improvement intervention should only be undertaken if it adds value. In this intervention, demonstrating the value was important in order to: show the organization that the intervention had contributed to organizational goals; and show the regions the benefits of implementing the intervention for their distributors.

5. **Focus on Establishing Partnerships**

The intervention was researched, developed, and implemented by a core team consisting of: Global Training and Education performance improvement and instructional design consultants; and external consultants, key among which was Innovative Learning Group. Additionally, Global Training and Education recognized early that regional input and buy-in was critical to project success so the core team collaborated throughout with corporate experts, training leaders, instructional designers, and subject matter experts from the regions, and practicing distributors. Further, the team used the Amway Global Training Conference in 2007 to gain regional training leader input into and acceptance of the intervention. Continuing into 2011, regional validation and localization of the intervention includes collaboration among
the corporate team, regional stakeholders, and learning experts. Finally, the intervention team works on an ongoing basis with corporate and regional experts in learning, in subject matter, and in current research on distributor best practices. These partnerships have been key factors in the sustainability of the intervention.

6. **Be Systematic in Assessment of Need, Opportunity, or Challenge**

Due to the scale of the intervention, the team knew that the analysis phase of the intervention needed to obtain multiple perspectives on the distributor audience, required performance, and training and non-training needs. The team systematically determined the best sources of data; these were identified as best practice literature, market research, and a series of initial interviews with exemplar distributors. The goal was to gather data on the major activities within a distributor’s business (beginning, selling, business building, and leading an organization).

7. **Be Systematic in the Analysis of Work, Worker, Workplace, and Worldview to Identify the Causes or Factors That Limit Performance**

With the need to analyze data on the distributors, their ideal performance, and training/non-training needs, the team based its analysis on Gilbert’s Behavior Engineering Model, which would enable it to identify issues related to worker, work, workplace, and worldview. Since Global Training and Education’s main focus was on supporting the development of new/enhanced
distributor skills, knowledge, and attitudes, the intervention team captured data related to work (ideal performance) and worker capability within the Distributor Performance Model. Then, non-training barriers to performance were captured on a separate sheet as mentioned previously. This first phase of analysis, which produced the first full draft of the performance model, took roughly four months to complete.

Amway did not stop its data analysis here. Since the first draft of the performance model, additional distributor interviews (total interviews now number over 500) have been conducted to validate and fine-tune the model.

8. Be Systematic in the Design of the Solution

From project start, the intervention team thought through the solution components that were necessary and the order in which they should be developed. The performance model, an output of the analysis phase, defined the desired performance and non-training barriers to success. From there, the plan for accomplishing the objectives consisted of these key steps:

- Abstract the key data from the performance model into the impact map.
- “Chunk” the model’s critical tasks, behaviors, and key knowledge and skills into proposed learning and performance improvement solutions.
- Represent the solutions in recommended sequence on the curriculum map.
- Develop the module specifications.
- Obtain team member and stakeholder feedback throughout the project.
Provide partnering support as needed to those regions ready to implement the performance model. This helped ensure that we leveraged all possible learning and efficiency from one component to the next.

9. Be Systematic in the Development of the Solution

The intervention team has continued systematically in the development of performance improvement solutions. Each learning solution project is led by a Global Training and Education project manager who is part of the intervention team. This helps ensure that each learning solution is developed to maximize achievement of the targeted behaviors. Further, Amway tasked the lead Innovative Learning Group consultant with ensuring that each solution aligns with the performance model and curriculum architecture, and that solutions developed concurrently are complementary and not redundant. Finally, the team collects feedback throughout the development process from a wide range of stakeholders to ensure clarity of content and appropriateness of instructional design.

10. Be Systematic in the Implementation of the Solution

The implementation strategy is designed for sustainable change. Consistent with the collaborative nature of this project, responsibility for managing the change has resided with Global Training and Education, the regions, and key corporate stakeholders. Factors that have supported effective
implementation and sustainability have included: communication, leadership support, and region-specific launch strategy and timing.

Ongoing, communication to Amway executive leadership, the regions, and other corporate stakeholders has been a critical tool for success. The Director of Global Training and Education was intentional in presenting regular updates to Amway’s executive leadership, who quickly understood the purpose and potential impact of the intervention.

The launch strategy and timing were region dependent. However, Amway executive support of the intervention was very effective in getting the regions to begin strategizing development of aligned learning curricula. The critical factors affecting timing were how closely the intervention aligned with current strategic initiatives and how the outcomes of these other initiatives would affect implementation. When a region was ready to implement, the intervention team provided ongoing shared-services support; this was an intentional strategy to assure consistent implementation of the intervention globally while preserving the autonomy of the region.

11. Be Systematic in the Evaluation of the Process and the Results

To date, Amway has focused impact evaluation on the Amway Latin America region, which had done an extensive implementation of a performance-model-based curriculum. To measure business results, the intervention team and Amway Latin America compared quantitative distributor performance
data, one year after implementation in Latin America, on the metrics that this intervention aimed to improve. Global Training and Education intentionally did not attempt to segregate the impact of this intervention, as they worked as partners in each region to enable performance through multiple routes. Quantitative data, however, points to the intervention's learning solutions as critical factors in improved performance.

Evaluation efforts have demonstrated that the intervention is being readily adopted and is producing important, measurable results. Specifically, the intervention shows increased sales and increased sponsoring of new distributors among those who have participated in intervention-aligned training. The intervention is also increasing efficiency and the return on performance improvement investment for Global Training and Education and regional training organizations. The results for Global Training and Education have been achieved because newly created learning solutions are focused on critical tasks and behaviors (only necessary training is developed), and learning solutions are being repurposed across regions and delivery methods.

**Identify 2-4 Lessons Learned From the Case**

By defining performance globally but keeping ownership of solution development local, global organizations effectively balance driving for
consistency, deploying solutions that fit local needs, and maintaining local autonomy.

Achieving adoption of global performance standards becomes easier when the local organization sees that they are free to achieve the desired performance in the way that best suits their organization and that they are partners with the corporate learning function.

It is possible to have a single performance model for a global organization. Amway’s validation data shows that on average 85% of defined behaviors applied around the world.

New performance improvement applications for the model continue to emerge; because the focus was on performance (and not simply training), the model’s data can be repurposed to other human resource needs.

References


Authors

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SECTION 1 CASE STUDY

Topic: Appreciative Inquiry

Situation: Boutique Marketing Company

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Background

Boutique Marketing (not its real name) is a strategic marketing services company located in downtown Boston. They have developed a unique and proprietary approach and method for conducting email and internet marketing campaigns for their clients. Their approach relies on solid analytics which allows them to be efficient and targeted in their promotions. They pride themselves on the quality of their talent, their analytical rigor, their client responsiveness and their creativity.

Situation

As a ten year-old company, Boutique Marketing has gone through the struggles of a start-up and is now on solid footing. Their revenues doubled in 2008 during the depth of the recession, and they have seen increases in revenue and profit in subsequent years. Their reputation has attracted
brand name clients in the apparel, sports and food and beverage industries, making for an interesting and diverse customer base.

The owners of the firm recognized that a key to their success has been the quality of the talent that they’ve hired. They have a group of 20- and 30-something marketers who enjoy the challenges of leveraging the software to design client-centered solutions. However, as their team has become more proficient and their company’s reputation has grown, other competing firms have started to heavily recruit these team members. Wanting to avoid a cycle of high turnover—which they knew would have a negative impact on client satisfaction and ultimately bottom line performance—they sought an intervention that would engage their employees and identify ways to make staying at the company more attractive to them.

**Intervention**

To gain insight on how best to tackle their initiative, Boutique Marketing partnered with two consultants, who ultimately recommended that an appreciative approach to performance improvement be deployed. Their goal was to leverage the many strengths of the organization and to engage the
entire workforce in imagining improvements to their company that would be both effective and compelling.

The process began with leadership interviews, which included the three owners of Boutique Marketing. They also conducted an initial employee engagement survey to create a baseline and to provide information for the leadership discussions. The results of the survey and ensuing discussions reinforced the desire by leadership to make changes that would allow them to become a greater employer of choice. But they also decided that there were some opportunities to make business improvements that would address some of the growing pains that had emerged through their recent rapid growth. For example, the owners were unhappy with the current organization structure and wanted to identify ways to improve upon it. Their final goals were to a) retain top talent and b) identify and enact on business process and structural improvements while still retaining their entrepreneurial spirit.

Strengths Analysis: The first step was to extend the data collection (Discovery) process to include the workforce. Everyone participated in an interview cascade in which employees used a survey to have structured conversations about organizational strengths and opportunities for improvement. Key strengths that emerged included admiration for the
leadership team; the challenge and responsibility of the work; and the team-based and collegial atmosphere. As they explored potential opportunities, they decided to focus on 1) leadership across the organization (looking beyond the owners), 2) redesigning the organizational structure and 3) ways to encourage personal growth and development.

Vision: (“Dream”) Rather than establish a vision on behalf of the organization and then just announce to everyone, the owners invited the entire company to a series of meetings in which they jointly imagined the future of the company. Specially, they discussed what leadership meant to the company as a whole, different ways they might organize to better serve their clients and themselves, and opportunities for stretching personal boundaries and growing beyond their current roles. Many exciting and creative ideas were shared, and these became the basis for a series of employee-led projects.

Interventions: (“Design”) At the conclusion of the visioning sessions, a series of projects were established to enact the most powerful ideas. These projects included the design of a new on-boarding process for new employees, a mentoring program to encourage cross-training, a new client-centered organizational structure, the establishment of a communications team and the development of a sustainability charter. This last element
stemmed from a single interview comment during the discovery phase in which one employee wondered if there was a way to look beyond the company needs and have a stronger societal view. This proved to be a captivating idea for the group and became a positive outlet for significant creative energy.

Results: Ultimately, the team accomplished the following:

Organizational Structure – A new dynamic structure was designed to be flexible and adaptive, while remaining responsive to client and business demands

Sustainability Team – A rotating group of employees manned a sustainability team, that focused on improvements to how the ‘planet’ was cared for (i.e., a recycling program was instituted) as well as the ‘people’ (i.e., they instituted Friday Fun Fests to communicate current business issues, followed by a social hour.)

On-boarding Program – Instead of having a randomly implemented orientation, they created a much richer and better organized method for introducing new employees to the “inside story” of Boutique Marketing.
Mentoring Program – Employees were asked to identify areas in the company they’d like exposure to, and formal plans were created to cross-train them. In addition, more people were included in the company’s sales and marketing efforts, i.e., by including them on sales calls; by having them write white papers; by encouraging them to submit proposals to speak at conferences, etc.

**Critical Business Issue**

**What is:** Employee turnover was increasing at a time in the company’s evolution in which it was critical to have a skilled and talented workforce fully prepared to meet client needs. The company was also experiencing some growing pains which suggested the need to redesign internal processes and structures.

**What should be:** Employees should have a voice in how best to create an organization that meets the needs of both the talent and the clients. It should be a healthy, productive and stimulating environment that enriches all those involved.

**Focus on Outcomes or Results**
The owners had two primary outcomes: a) retain top talent and b) identify and enact on business process and structural improvements while still retaining the company’s entrepreneurial spirit.

**Focus on Systems View**

**Inputs.** Feedback and ideas were elicited from everyone in the company, assuring that a rich full picture of the entire internal system was captured. Data streams also included company finances, strategic plans, and client feedback.

**Process.** A series of meetings over several weeks were held with all employees. Team members worked in small groups as they explored the results of their initial data collection (the cascade interviews) and imagined the world they wanted to live in as part of the Boutique Company.

**Output.** Several project teams emerged from their discussions. All of them were populated by employee volunteers who had an interest in the project, and each team had a leadership sponsor. The sponsor did not lead the team, but was a resource for problem solving and support.

**Constraints.** Employees were encouraged to ignore potential constraints as they worked through the Discovery and Design processes. Then, once
interventions were identified, constraints fell within the normal concerns of
finding the time to add the project to their workload, and securing the
necessary financing (if needed) from their sponsor.

Focus on Value
Value was generated for everyone involved. There was a lot of energy and
excitement as new ideas were formulated and employees considered how
they could make business improvements. The owners were both surprised
and pleased with the quality of discussion and saw several young leaders
emerge through the process. They also anticipated value being generated
for the clients, for they would also be beneficiaries of any improvements in
how work gets done.

Focus on Establishing Partnerships
The entire process was undertaken with a partnership mentality. Each
person was considered an equal partner in the effort—no voice, including
management’s, was greater than anyone else’s. Ideas and suggestions were
vetted for their practical value and desirability, and not based on “who said
it.” This opened up the dialogue and allowed even the most reticent
individuals to speak out and feel more connected to their colleagues and the
organization.
Be Systematic in Assessment of Need, Opportunity, or Challenge

Attention was given to gaining a clear view of the situation right from the start. First leadership had a chance to weigh in, but even after they established their own perspective on how best to move forward, the rest of the company was invited in. While this solidified much of what management had concluded, it also reshaped and expanded the goals and added substance to others.

Be Systematic in the Analysis of Work, Worker, Workplace, and Worldview to Identify the Causes or Factors That Limit Performance

Because an appreciative approach was selected for this initiative, a strengths analysis and visioning session were used to identify the future state. The consultants relied on the data generated by all of the employees to guide them, and used that to frame the meetings in which the future state was defined. Again, by including every employee in the organization, there was greater assurance that the ultimate solutions would be well targeted and committed to by the company as a whole.
It was also broadening for the group to think about their organization’s impact on the world, and to capture a societal view as well as a work, worker and workplace view. Initially, leadership was a bit skeptical about whether there was a place in the dialogue for societal considerations, but as interest in exploring sustainability increased, any hesitations faded away.

**Be Systematic in the Design of the Solution**

Since employees knew they would be responsible for the design and implementation of the selected solution, they were thoughtful about what they selected and how they designed it. However, they were also encouraged to think big...this was a clean sheet of paper so they were welcome to expand their thinking and move in new directions if it suited the circumstances.

**Be Systematic in the Development of the Solution**

Each project team was given complete latitude to develop their solution. Their sponsors were available to encourage their progress, keep them on track, and identify resources if needed.

In order to keep efforts coordinated overall, teams reported on progress at all-employee meetings. They also identified some small areas of overlap between projects, minimizing potential complications. These
meetings also served to keep the entire organization informed about each project, which enhanced how quickly employees were able to adapt to new expectations.

**Be Systematic in the Implementation of the Solution**

As the various solutions were implemented, attention was given to ensuring that the new changes were self-sustaining. One of the more interesting approaches to this was with the “Friday Fun Fest” team. They chose to create a Friday “rotation” in which pairs of individuals would take on responsibility for planning the Friday agenda and taking care of refreshments and other details. To track their work, a log was created. The agenda would be recorded in the log, as well as high level details from the meetings. This provided a history that could be used for reference over time.

**Be Systematic in the Evaluation of the Process and the Results**

The consultants and owners used a mix of quantitative and qualitative means to measure the impact of the various projects.

The first measure of success came with the employee engagement survey, which was conducted approximately one year after the overall initiative began. The results showed a 9% improvement in how employees felt about
the organization. Their scores were already high, as this was a well-functioning organization, so everyone was pleased with the upward trend.

A qualitative survey and focus groups also yielded a variety of positive results. One outcome was that leadership recognized that the level of creativity had gone up as individuals understood that they could influence the company and its outcomes more than they realized. As noted by one owner: “Our company is now coming up with new products and solutions that not only help us, but help our clients too.”

Enhanced teamwork was also a byproduct of the effort. While they were already strong in this area and routinely worked on client projects, “It really opened everyone’s eyes to the fact that we’re one team working together to achieve our shared goals.”

There was also a stronger sense of ownership for results overall. None of the projects that the group chose to work on faded away. Each one came into fruition: the new employee orientation; the personal development and learning plans; the sustainability effort. As one employee noted, “The best part was creating project teams and action plans that are actually getting things done.”
Finally, the president of the company commented on how much he ended up appreciating the value of the all-company “discovering” and “dreaming” sessions. “I loved the Eureka moments!”

**Identify 2-4 Lessons Learned From the Case**

- Initially there was some impatience, especially on the part of leadership, as they wanted to move from the early stages of discovery right into implementation. Their belief was that since they knew what they wanted to do, it was best to simply get on with it. However, by bringing the entire company into the dialogue, they ultimately saw that it allowed them to accelerate implementation (since everyone was clear on the direction) and it increased the quality of the solutions overall.

1. The overall project work had the desired effect on employee turnover, but it also prompted some unexpected changes. Voluntary turnover stabilized over the following months (specifically, two employees who got competing job offers chose to stay). But the process also revealed the need to make further changes. It became clear through the many dialogues that two employees were not a good cultural fit for the company. In combination with some questions related to performance, it was decided that they should be laid off. Then, as part of the restructuring, two other individuals were hired, but into different roles
that matched the new vision. It should be added that the restructuring created the opportunity to move people into new roles for cross-training purposes, so they were able to do that with 20% of the team. (Much more than that would have pushed client service boundaries.) These personnel moves led to improved customer service as well as increased employee satisfaction.

2. Several lessons emerged from the dialogue on sustainability. The first was the inclusion of the topic itself to the all-company discovery and dream meetings. The concept first came out of the initial engagement survey as a response to a general open-ended question. Because only one voice shared an interest in it, the leadership initially dismissed the interest in sustainability as a minority view. However, the consultants were aware that many companies which are considered “employers of choice” have a strong connection to society, so they encouraged its inclusion on the agenda. The agreement was that if there was no further interest, the subject would be dropped. So the first lesson learned was that even if there isn’t a majority voice, that doesn’t mean that the view shouldn’t be given strong regard.

3. The next lesson related to the fact that the topic of sustainability initially “stumped” the team who worked on it. They liked the idea in theory; they just couldn’t connect it to their daily business. It took several meetings for them to start to embrace the thought that as an online
marketing company, they are environmentally friendly in their paperless approach. It therefore made sense to take a more environmental view to other aspects of their business. The first, simple solution was to start recycling. But they are coming up with other ways they can embrace a “green” approach to business. So the lesson here is to pay attention to “intuition” and to allow difficult topics to incubate over time. You may be very surprised and pleased with what emerges!

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SECTION 1 CASE STUDY

Topic: School Improvement

Situation: Strategic Performance Management in Georgia Education

Author: Deb Page, CPT, Willing Learner, Atlanta, Georgia, USA

Background

Prior to this intervention schools and school systems engaged in strategic planning and performance reporting that focused primarily on lagging indicators of performance, such as state student test data, graduation rates and other metrics that encouraged a reactive approach to improvement. Accreditation plans, developed every five years, were mainly focused on application of programs to perceived needs. Improvement plan goals were frequently expressed as programs to be implemented rather than appropriate performance metrics and target. Most district leaders’ evaluations were not connected to performance metrics, nor was accreditation supported by a system of measurable performance.

Situation

Deb Page was the Senior Executive Director of the Georgia Leadership Institute for School Improvement. The Institute had been formed in 2002 with large private grant and state funding. With a background as a K-12 educator and over 20 years of corporate experience in performance
improvement she was hired and charged with leading adoption of performance improvement practices commonly used in other sectors to the improvement of schools in the state. The Wallace Foundation provided funding to support the development of a performance culture in education in Georgia and alignment between state and local education agencies.

**Critical Issues**

School improvement in public schools in the United States is impacted by a complex set of interdependent performance factors and conditions with multiple causes. In 2000 and 2001 Georgia passed education reform laws, followed shortly in 2002 by United States Department of Education's *No Child Left Behind*, a federal mandate which required all students to reach the performance standards for their grade in key subjects each year, as measured by standardized tests, regardless of existing gaps in students’ knowledge and skills. At the same time, the accrediting agency for educational institutions was revising its requirements to require data-driven planning and assessment of impact. In order to meet these mandates, education leaders needed to learn to collect and process interim student performance data that would support predictive performance analysis. The results would allow teachers, administrators, and staff to intervene to improve performance. However, a review of state school systems identified only two that were using performance data and result-based planning and
evaluation to drive improvement. Interventions were needed in Georgia to close the gap in performance management practices and create alignment of practices from the classroom to the state.

**Focus on Outcomes and Results**

Page targeted the following performance targets and adoption indicators: 1) Strategic Performance Improvement curriculum and tools developed and delivered to 300+ senior leaders in the 181 school districts in the state; 2) 50% of districts, the State Department of Education (DOE) and State School Board Association adopting strategic management tools and processes within five years; 3) Alignment of the strategic management tool with a new school superintendents’ evaluation developed by the Georgia School Superintendents Association; 4) Inclusion of strategic performance management in State School Board standards; and 5) Inclusion of data-driven performance management in school and district accreditation requirements.

Balanced Scorecards were recognized as an opportunity to train and support education leaders in their use as an action vehicle for creating increased focus on performance indicators, outcomes and results. Balanced Scorecards were an innovation by Drs. Robert Kaplan and David Norton of the Harvard Business School in the early 1990’s. The tool is used extensively
in business and industry, government and non-profits to align activities to
the vision and strategy of the organization, improve internal and external
communication and monitor performance against strategic goals. The tool
provides a more balanced view of performance than just financial metrics so
that the drivers of performance are measured and managed. The Balanced
Scorecard transforms the strategic plan into a dynamic document that helps
plan what should be done, monitor execution, and measure and
communicate performance. Applied in education, the Balanced Scorecard
focuses on student achievement as the “lagging indicator” of performance,
just as profit is the “lagging indicator” or bottom line in a for-profit
organization. Team Learning and Growth, Student and Stakeholder
Engagement and Organizational Effectiveness performance measures are
“leading” and predictive indicators of student achievement. The tool helps
education leaders focus on the causal relationships between the systems of
work in the organization and teaching and learning outcomes. For example,
data regarding the leading indicator of on-time school bus arrival can be
predictors of student achievement because when students miss instructional
time they are less likely to master all the curriculum upon which they are
assessed. Improving arrival time protects students’ time on task in the
classroom which research has confirmed improves learning.

**Focus on a Systemic View**
Page's approach included achieving grass-roots support and advocacy for the adoption of the tools and new practices from school superintendents and other stakeholders, building capacity in new practices, aligning performance practices, terminology, expectations and evaluation and improving perceptions of strategic management practices and tools in order to develop a performance culture in public schools. Balanced Scorecard training and related measurement and tracking tools also were action vehicles to ensure education leaders adopted a systemic approach to improving student achievement; organizational effectiveness; student, teacher, and stakeholder engagement and team learning and growth.

**Focus on Adding Value**

The project was designed to add value for school and district leaders who would be able to better plan, measure, monitor, and communicate about their performance. The State Board would be able to raise standards to support more strategic governance. The State Department of Education adoption would create alignment between the State and local education agencies. Superintendent evaluation would be supported by the strategic tools and practices and the performance data in the Balanced Scorecards. School systems could access an electronic balanced scorecard so that district and school plans were aligned to each other and the States’. The accrediting entity could ensure that school systems had access to training and tools to
support the increased expectations of data-driven planning and improvement. The Institute would be able to fulfill funders’ expectations of development of a performance culture in Georgia schools.

**Focus on Establishing Partnerships**

A local school superintendent was identified who was already using a Balanced Scorecard. A small group of high-performing school superintendents were recruited into a learning community, plus the leader of a university MBA program to work with the learning community. One superintendent became an early adopter, creating a demonstration site in his district to model best practices for others. Page then developed and delivered a free statewide training program and offered free training sessions at professional association conferences. She taught superintendents how to use the performance management tools with their evaluation system.

Later Page directed funding to the School Board Association to embed the new tools, including an electronic balanced scorecard, within their planning software. She trained and assigned a staff member to work directly with the School Board Association and the State Department of Education to create alignment in terminology, tools and practices. She worked with the accrediting agency to develop a Memorandum of Understanding for partnership in advancing strategic performance management tools and
practices. Finally, she served as a volunteer to help the State Board update school board standards to align school governance practices to support strategic performance management.

**Be Systematic in Assessing the Need or Opportunity**

To assess the situation, the early adopter school superintendents interviewed and Harvard Business School research was reviewed concerning adoption of the tools and practices in education. Page conducted focus groups, researched strategic performance management adoption in education in other States and hired a researcher to provide a report on use of strategic management tools in public education. She reviewed goals developed by school superintendents and their accreditation plans to assess their ability to develop effective goals and metrics. She conducted a job-task analysis of the work of school leaders. The analysis process revealed the gaps in current and best practice and confirmed links between successful adoption of the new practices and sustainable school improvement. The study revealed the positive deviants in the State and nation, their performance advantages and best practices and helped identify determine the key stakeholders who needed to be informed, to adopt or advocate for the practices and provide funding for the change.

**Be Systematic in Design of the Solution**
The analysis pointed to the need for a suite of solutions:

1) Capacity building to support potential adopters; Training and job aids were needed for school superintendents, district staff, principals, education agencies and others who work in schools to support school improvement to master strategic performance management;

2) Tools to aid adoption and reduce time to competency in new practices; A template of a balanced scorecard with data types organized by the goal areas of student achievement, organizational effectiveness, student and stakeholder engagement, and team learning and growth was needed to support adoption and make the new work easier to master. Tools, job aids and performance criteria were needed to guide education leaders through aligning their strategic plan to their Balanced Scorecard and cascading the tools and processes from the State to school districts to schools.

3) Motivation of potential users by increasing the ease of adoption, providing evidence of the success of earlier adopters and rewarding adoption and alignment of current practices, such as strategic planning and evaluation, with the new practices and tools; Opportunities to showcase the practices and results of early adopters were needed to convince potential adopters that the new ways of planning, measuring, monitoring and communicating about performance were resulting in improvements in
student achievement and were making the work of education leaders easier and more effective.

4) Alignment between schools and districts, school systems and their local and State governance, professional associates and the State and school districts; The Wallace Foundation had challenged the State to create alignment between the goals of the State and how results were measured and communicated and those of school districts. Governance and the professional associations that influenced and supported education leaders needed to use and advocate for the use of the performance management tools, practices and measures contained in an education Balanced Scorecard.

5) Development of a performance culture. The new way of planning, measuring, monitoring and communicating about performance needed to be adopted by a critical mass of education leaders.

**Be Systematic in the Development of the Solution**

The design was outlined in grant applications and the grants were awarded to support development of:

1) A demonstration site for the early adopter to model practices; The superintendent converted a workroom into a data room organized around the goal areas of the district’s new balanced scorecard. The superintendent
allowed other districts to come to the site for the free training Page provided and participated in delivery of the training.

2) A Balanced Scorecard template for education including key metrics; The early-adopter superintendent and another superintendent who had just retired from the only district in the state that was currently using a Balanced Scorecard developed a template with all the metrics that schools and the State education agencies could use to plan, measure, monitor and communicate about school performance

3) Training of the targeted adopting entities; Page and the two superintendents provided training to State education agencies and the Wallace Foundation provided training for the State agency leaders through the Darden Business School at the University of Virginia. Page provided the training to school districts later transitioned the training to the two superintendents who delivered it to peers.

4) A terminology guide; Page charged the two superintendents with development of a Terminology guide. They later provided the guide to the state School Board Association to support their development of online strategic planning tools and an online Balanced Scorecard;

5) Site visits in Georgia and other states by leaders for all the school districts, agencies, professional associations and the accrediting entity with embedded training and modeling to support transfer to practice, advocacy, proof of effectiveness and acceptance of the practices and related terminology; Page
and the two superintendents organized a bus tour for education leaders to see strategic performance management practices at work in high-performing school districts and schools in Georgia and Florida. During the trip, training was delivered aboard the bus and at the demonstration sites.

6) Memorandums of agreements with partners; Agreements with the accrediting agency were developed to ensure the work Page was leading was aligned with the needs and expectations of the accrediting agency, and that the accrediting agency was encouraging school districts to adopt the new practices and tools to support the data-driven accreditation process.

7) Consulting support to state agencies. Page and members of her team volunteered consulting support to the Board of Regents of the University System of Georgia, the Georgia Department of Education, the Department of Early Care and Learning, the Professional Standards Commission and others to support adoption of the new tools and practices.

**Be Systematic in the Implementation of the Solution**

Page led the project team to support the diffusion of the innovation and collected data from the State Department of Education concerning the number of school systems that had adopted the Scorecard and related performance management tools. Evaluators tracked the number of leaders attending training. Page developed resources to hire two superintendents who had adopted the practices and tools to take over the training program.
and provide it along with consulting support to the targeted stakeholders. Tools were published on the Institute’s website to support ease of implementation and were revised as users refined their use, transferring ownership to the users and stakeholders. Page transferred management and monitoring to the superintendents hired to sustain the practices through an ongoing Executive Development program.

**Be Systematic in the Evaluation of the Solution**

Page engaged university researchers and internal staff in evaluation of the solutions. They found that the suite of interventions had produced their intended results:

- Over five years over 700 leaders were trained;
- 50% of districts reported use of the new practices and tools;
- The Georgia Department of Education evidenced adoption of the practices and tools;
- The School Board Association embedded the tools and terminology in the strategic planning software;
- The superintendent evaluation and the new tools and practices created an aligned, data-driven evaluation process for superintendents;
Revised School Board standards and accreditation standards required use of data-driven strategic management tools and practices.

**Lessons Learned**

- Systemic adoption of new tools and practices requires performers to see successful adoption by others and have the time and support to master new practices.
- Transferring ownership is key to long-term adoption and diffusion of practices.
- Good tools support faster adoption of new practices, especially when the tools make the work easier and produce tangible results.
- Effectively designed training can be an action vehicle for changes in practices and perceptions,
- Alignment of practices, terms and tools for performance management and improvement across organizations requires creating value for each organization.
- Focusing attention to successful early adopters and utilizing peer-to-peer networks and training creates motivation for adoption by others.

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SECTION 1 CASE STUDY

Topic: Change Management

Situation: Using HPT to Select Projects that Yield Results

Author: Susan Pavelek, CPT, Internal Consultant, Oxy, Inc, Colleyville, Texas, USA

Background: During a time when training organizations appeared to be frequently outsourced rather than maintained as an internal department, the training team within a mid-size mortgage company was interested in expanding its capabilities and services by providing non-training solutions to address performance issues. The hope was to develop a process to be used to select internal performance improvement projects that would yield results proving value-added. Furthermore, the team wanted to incorporate human performance improvement best-practices to ensure success. The team had recently developed a long-term departmental strategic plan and realized that a gap existed surrounding how incoming projects were selected for involvement by the team. The team engaged department leaders to sponsor the shift from traditional training providers to a more performance-focused group offering a broader set of services.

Critical Business Issue: Historically, when the team was contacted by various department leaders to engage in a project, the request usually came
in the form of client-determined training solution. In addition, the incoming project requests typically surpassed the team’s capacity to provide support. The team needed a way to differentiate the projects so that the projects it engaged in would add value to the organization. It also wanted to better balance the workload among team members as project support was assigned based on individual team member skill in specific topic areas, not on the capacity to take on more work. No collective process existed to track or manage projects; all projects were individually tracked and monitored. Along with the new processes, the team had a desire to infuse a mindset of performance improvement throughout the company’s leadership team members.

**Intervention:** The team prioritized the strategic plan items and selected two for immediate action: 1) The team wanted to ensure its decisions were made using objective data (rather than its existing first-come-first-serve approach.); and 2) It wanted to establish a well-defined method for accepting/dispersing projects (to better balance team workload.) The processes essential to enable this transition required design, development, and deployment.

While implementing the new processes for managing incoming projects was iterative and took place over approximately six months, the team
collaborated to quickly focus on designing the new processes. The team dedicated Friday mornings to collaborative team work sessions. Weekly work sessions were conducted to not only learn performance improvement methods, but also to design and develop the methods and tools needed to be successful. Through these work sessions, the team designed tools it would use to collect and analyze the customer’s request for training (and non-training) services, along with a new approach to managing incoming performance improvement projects on behalf of the collective team.

**Focus on Outcomes or Results:** The entire new process was designed to focus on outcomes and potential results rather than activities. Expected outcomes were gathered up-front using a new form designed by the team. Once the project was accepted and prioritized by the team, resources were assigned, including a project owner, and while the type of project might differ, consistent tools were used to track and report on project results. Data was collected during the initial customer meeting surrounding cost of the problem, cost of the proposed solution, and estimates for the financial value (or return) the customer expected to gain was determined where possible.

**Focus on Systems View:** Prior to implementing the new process, inputs were collected by team members individually using individual team member
questions and style. In most cases, follow-up phone calls were required to collect additional information in order to provide the team member the complete situation. The new approach targeted “Actual” and “Desired” performance, and focused on the three areas that must be considered in human performance improvement initiatives: the Work, Workplace, and Worker. The new approach involved implementation of 5 new methods and or tools, each of the following tools are explained in more detail in the sections below:

1. **Customer Discovery and Rating Tool** – a consistent form/tool to gather incoming project request data.

2. **Team** – a sub-team used to manage the entire process, track project data and consistently report results.

3. **Experience/Interest Matrix** and **Team Availability Log** - a tool used to compare the experience level of all team members, and a process to better balance team capacity and workload.

4. **Statement Of Work** - a standard Statement of Work (SOW) process to serve as an internal customer contract.

5. **Customer Report Card** and **Lessons Learned template** - to gather customer feedback and identify recommendations for further improvements.
Focus on Value: The team had already changed many of its training deliverables to focus on performance outcomes rather than simply responding to a request to train a specific topic. To further this effort, the team’s adoption of performance-based approaches to managing projects, and the subsequent design of forms/tools established processes to enable it to capture financial data surrounding both the cost of the solution (or project) as well as the resulting value (if the project was selected by the team) of the completed project to both the customer and the company. Team members developed consulting and questioning skills that not only grew the team’s collective capabilities, but also helped the customer focus on and articulate the potential value of the project.

Focus on Establishing Partnerships: During the team’s transition from training-focused activities to a more performance-based mindset (focused on outcomes rather than training prescribed topics), it had already laid the groundwork for partnering with customers to concentrate on value-added results. Frequent requestors became accustomed to the mind-set of how the training might improve the department’s performance results (i.e.: improved cycle-time in processing work, improved team relationships, improved percentages of sales, etc.) The new approach to managing training and non-training projects was well received by key customers throughout the company. The team also partnered with the departmental
leadership team to help communicate and market the new performance-focused approach to managing internal projects.

When a team member received an incoming call requesting services, he/she scheduled the initial customer meeting and invited key decision makers to attend to ensure the interviewing team members gained a clear picture of the request. In addition, the caller was asked to bring any data that might serve as evidence of the problem and/or cause(s) to better describe/support the request. By inviting decision-makers to attend the initial meeting, the team eliminated the need for multiple follow-up phone calls/meetings, thereby avoiding potential project delays. Customers were not accustomed to this approach, but most expressed approval for including the right people in the initial meetings which helped save time and clarified expectations up-front.

**Be Systematic in Assessment of Need, Opportunity, or Challenge:**

The team designed and implemented a consistent form/tool, the Customer Discovery and Rating Tool, to be used by all team members to collect important, comprehensive customer data surrounding each project request. The tool included a rating/scoring section where the same criteria could be applied to all projects, as well as a section to estimate the financial value of the expected project outcomes. The Customer Discovery and Rating Tool
was not only used to assess all incoming project requests, but was also used to assess all internally initiated projects (driven by the training department.) The tool was used as an agenda during the initial one-hour customer meeting to discuss the project.

**Customer Discovery and Rating Tool:**

<table>
<thead>
<tr>
<th>SECTION 1: ISSUE IDENTIFICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Team description of request as recorded on the incoming project request log.</td>
</tr>
</tbody>
</table>

1) What brings you here today? *probe for a description of the problem or need*

2) What evidence is there that this problem exists? *probe for objective data, descriptions, and/or metrics*

3) How is the current process/method/condition being done? What are the current results of this process/method/condition?

4) How should the process/method/condition be done? *may be expressed as experienced insight or simply be objective opinion* What should the results be?
### SECTION 2: PERFORMANCE ISSUE CAUSES

The identified performance issue is caused by needs in one or more of the following areas:

- organization, worker, work environment, or work

#### Organization

1) How does this type of performance align with (corporate/departmental) KPI(s)?

2) Does this type of performance align with any regulatory compliance requirements?

   If yes, the project priority will rate higher

#### Worker

3) Do the workers know they are expected to do the process/method/task(s)?

4) Do the workers know how to perform the needed process/method/task(s)?

5) Have the workers successfully performed the process/method/tasks in the past, resulting in desired results being achieved?

#### Work Environment

6) What factors in the work environment negatively impact performance?

   i.e.: workers know they are expected to perform the process/method/task(s) and are attempting to do the task to the desired proficiency, but do not have the resource(s) needed to do so successfully?
Work

7) What factors related to the work itself *negatively* impact performance?

*i.e.: workers know they are expected to perform the*

process/method/task(s) and know how to successfully perform the

process/method/task(s), and they have the required resources, but are not

*completing the task(s)*? OR they are completing the task(s), but not to the

desired proficiency?

**SECTION 3: PERFORMANCE ISSUE PROPOSED SOLUTION**

<table>
<thead>
<tr>
<th>Changes</th>
</tr>
</thead>
</table>

1) What other factors will help describe the situation?

2) What has already been done to improve the issue?

3) What is the proposed solution? *(may encompass multiple interventions)*

4) What is the timeframe for the proposed solution? How negotiable is it?

5) Does this situation and/or proposed solution impact other departments? If so, which ones?

6) How many people are affected by this situation and/or proposed solution?

7) If completed, what would success “look like”? *(probe for objective*
Be Systematic in the Analysis of Work, Worker, Workplace, and Worldview to Identify the Causes or Factors That Limit Performance:

The Customer Discovery and Rating Tool was designed to gather data surrounding the Work, Worker, and Workplace (department-specific), and included questions to explore the project’s link to key organizational strategic goals (the larger, strategic focus served as the “Worldview.”)

During the initial customer meeting, the team’s interviewers asked the above series of performance-based questions (and prompts) in an attempt to gain insight into the problem and possible cause(s) of the problem, as well as what the customer thought about a potential solution. In addition, estimated costs of implementing the proposed solution, along with projected savings, revenue, or productivity gains (financial benefits) were entered into an online template containing pre-formulated, company-specific data. This enabled the team to have the information they needed to make a data-driven decision.

Upon conclusion of the customer meeting (provided complete information was obtained), the interviewing team discussed the project details, and applied the rating criteria portion of the tool. The team began with two Qualifying Questions that were prerequisites to any project it would agree to
accept. Provided the project passed the qualifying questions, the team continued the rating process. The team assigned a numeric rating (0 – 9) to six critical items outlined on the tool. The team discussed to what degree each of the six items applied to the project being rated to determine the appropriate number assignment. Criteria for rating projects included the following:

**Customer Discovery and Rating Tool:**

<table>
<thead>
<tr>
<th>Qualifying Questions:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the project align with our team mission? If NO, <strong>do not continue rating.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the project align with our team’s strategic imperatives? If NO, <strong>do not continue rating.</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Item #</th>
<th>Criteria</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Its link to a legal, regulatory, or compliance requirement.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Its link to a strategic project or organizational focus.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**may add each corporate KPI for individual rating**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Its link to job performance.</td>
</tr>
<tr>
<td>4</td>
<td>Its relation to resolving an ongoing or potential performance issue.</td>
</tr>
<tr>
<td>5</td>
<td>Its link to improving the customer experience.</td>
</tr>
<tr>
<td>6</td>
<td>Its importance and/or priority to the client.</td>
</tr>
</tbody>
</table>
List the expected financial return and its justification logic (cost reductions, revenue generation, reduced cycle time, reduced defect rate, increased value, estimated # people impacted.)

Ranges should correlate to the projected financial return:

<table>
<thead>
<tr>
<th>Range</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0 - $5,000</td>
<td>0 - 5</td>
</tr>
<tr>
<td>$5,001 - $25,000</td>
<td>6 - 25</td>
</tr>
<tr>
<td>$25,001 - $50,000</td>
<td>26 - 50</td>
</tr>
<tr>
<td>$50,001 - $75,000</td>
<td>51 - 75</td>
</tr>
<tr>
<td>$75,001 - $100,000</td>
<td>76 - 100</td>
</tr>
<tr>
<td>over $100,001</td>
<td>Correlate based on estimate i.e.: $120K = 120; $149K = 149</td>
</tr>
</tbody>
</table>

*(add all scores above)* **Overall Project Score**
Once the project was rated and scored, the team would make an accept/decline decision based on the data compared to other projects. The project data was also used to prioritize the newly accepted project with other projects in-work and determine the team resources and other project support that would be required.

**Be Systematic in the Design of the Solution: Be Systematic in the Development of the Solution:** An internal project sub-team was formed (named the Assessment Team, aka @Team) charged with managing the new processes on behalf of the department. Team members would rotate on/off of the @Team.

Upon acceptance of the project, the @Team assigned project resources using a **Team Availability Log** combined with an **Experience/Interest Matrix**. For the Team Availability Log, all team members (including the leadership team) used a simple spreadsheet to enter the number of hours (or anticipated hours) already assigned to existing projects, or ongoing operational work. Based on the data added by each team member, the spreadsheet was programmed to reflect the balance of available work hours for each individual. The @Team used the log to assign work.
The Experience/Interest Matrix (Pavelek, G., 2004) was a self-assessment tool used to identify the team’s individual proficiency surrounding 47 human performance interventions. Over time, the team expressed a concern that projects were being assigned strictly based on experience, and several team members were not being given the opportunity to learn new skills. Likewise, team members with high level of skill in a specific area expressed an interest to help others learn the skill in order to expand the overall team’s capability (and give him/her a break!) As a result of this feedback, an interest component was added to the matrix. In addition to experience, team members self-rated his/her interest in developing each of the same 47 human performance interventions. Implementing the Experience/Interest Matrix helped the team better balance its capacity and workload, as well as created an atmosphere of continual team development.

Sample of Experience/Interest Matrix:

<table>
<thead>
<tr>
<th>Team Experience / Interest</th>
<th>Organization/Team</th>
<th>Member 1</th>
<th>Member 2</th>
<th>Member 3</th>
<th>Member 4</th>
<th>Member 5</th>
<th>Member 6</th>
<th>Member 7</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Strategic Planning</td>
<td>3</td>
<td>1</td>
<td>7</td>
<td>2</td>
<td>6</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Change Navigation</td>
<td>3</td>
<td>1</td>
<td>8</td>
<td>3</td>
<td>7</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Survey Design and</td>
<td>5</td>
<td>1</td>
<td>7</td>
<td>2</td>
<td>8</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Feedback</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------</td>
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<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Recognition and Reward Systems</td>
<td>7</td>
<td>2</td>
<td>7</td>
<td>3</td>
<td>5</td>
<td>3</td>
<td>6</td>
<td>2</td>
</tr>
<tr>
<td>Succession Planning Systems</td>
<td>1</td>
<td>1</td>
<td>7</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>Leadership Development Training</td>
<td>3</td>
<td>4</td>
<td>7</td>
<td>2</td>
<td>6</td>
<td>2</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Technical and Professional Training</td>
<td>4</td>
<td>3</td>
<td>8</td>
<td>2</td>
<td>8</td>
<td>2</td>
<td>6</td>
<td>9</td>
</tr>
<tr>
<td>Competency Design</td>
<td>3</td>
<td>2</td>
<td>9</td>
<td>3</td>
<td>7</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Work Flow Analysis</td>
<td>5</td>
<td>2</td>
<td>5</td>
<td>1</td>
<td>8</td>
<td>2</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Conflict Resolution</td>
<td>6</td>
<td>2</td>
<td>8</td>
<td>3</td>
<td>5</td>
<td>2</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>Team Assessment</td>
<td>3</td>
<td>1</td>
<td>6</td>
<td>3</td>
<td>9</td>
<td>3</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>Team Skill Development</td>
<td>4</td>
<td>1</td>
<td>8</td>
<td>3</td>
<td>8</td>
<td>3</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>Distributed/Virtual Teams</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>1</td>
<td>6</td>
<td>2</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>Life/Career Planning</td>
<td>3</td>
<td>1</td>
<td>8</td>
<td>3</td>
<td>6</td>
<td>3</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>Job Aids/Quick Reference Guides</td>
<td>6</td>
<td>3</td>
<td>6</td>
<td>2</td>
<td>9</td>
<td>3</td>
<td>8</td>
<td>2</td>
</tr>
</tbody>
</table>
Also upon project acceptance, the @Team implemented a **Statement of Work** (SOW) using an internal template (Pavelek, G., 2004) to serve as an internal customer contract. The @Team would meet with the customer a second time (usually the 2\textsuperscript{nd} meeting was scheduled during the initial meeting) to review the SOW, outline project details, clarify consultant/customer responsibilities, articulate projected outcomes, and set expectations for ongoing communication and partnering. If the project was not accepted, the @Team contacted the customer to advise of the decision and reasoning for turning down the project.

Two other forms/tools designed, developed, and implemented included processes to gather customer feedback *after the project was delivered* and to identify recommendations for further improvements. The **Customer Report Card** was used to gather information from the customer surrounding his/her experience and satisfaction with the project team and deliverables (Level 1), and included a section on actual financial improvements realized as a result of the project (Level 4.). The **Lessons Learned Template** was used by the assigned project team to summarize project statistics, and recommend changes to help improve future projects of a similar nature.
Be Systematic in the Implementation of the Solution: Once finalized, @Team processes and tools were applied to all projects, and job aids and procedure documents were created to ensure consistency.

Finally, the team implemented a project log to track project-specific details, monitor progress, and document actual hours spent on project support. The @Team provided monthly and quarterly presentations to the other team members outlining project summary statistics/results, Customer Report Card and Lessons Learned data for completed projects. The @Team also included recommendations for improvements to team processes and project execution approaches based on the report card and lesson learned feedback.

Identify 2 – 4 Lessons Learned From the Case: The team learned several things:

- The new methods resulted in actual financial returns of approximately $3.3 million in the first year.
- The team experienced challenges when attempting to gather accurate and meaningful financial-related data upon project completion. In many cases, the team used a productivity savings formula for valuing time (Hale, 1998.) The team customized the formula to include company-specific information to more accurately reflect improved productivity results.
• Adding the interest component to the Experience/Interest Matrix provided an added-bonus and enabled expanded team capability through project support assignments.
• The team integrated technology and automated processes where possible to streamline project management/tracking.
• Although the @Team reported actual results to the other team members, it did not include a process to adequately report actual project results to senior leaders.

Susan M. Pavelek, CPT became involved with performance technology mid-career after an extensive background in operations/customer service in the travel and transportation field. She has led global training/organizational development teams to higher levels of performance through application of HPT methods and tools. Susan now serves as an internal consultant at Oxy, Inc., and can be reached at 817.715.5353, or susan.pavelek@yahoo.com
SECTION 2

PERFORMANCE ANALYSIS

[Insert Cartoon 2: Snake Charmer: “You’re blowing through the wrong end” here]

Cartoon 2

CHAPTER 5
ORGANIZATIONAL ANALYSIS

Organizational analysis is a first step in the performance analysis process. It looks into the heart of the organization—its vision, mission, values, goals, strategies, and critical issues because all organizational elements should be strategically aligned. Just as tires need to be aligned for better vehicle operation, an organization’s people, processes, and culture benefit from aligning with the organization structure. Figure 5.1 is a high level summary of the organizational analysis component of the Performance Improvement/HPT Model.

[Insert Figure 5.1 Organizational Analysis Component here]

Figure 5.1
Organizational Analysis Component of the Performance Improvement/HPT Model

Definition and Scope

Organizational analysis is an examination of the components that strategic plans are made of. This phase of performance analysis analyzes the organization’s vision, mission, values, goals, strategies, and critical business issues.

**Vision.** The vision is the organization’s long-term view of its desired end state; it is what the organization wants to be. Vision is a description of the core values and principles that make the organization unique.

**Mission.** The mission is the organization’s reason for being, in effect, why it exists. The mission as expressed in the mission statement gives direction and purpose and is driven by such forces as market needs, production capability, natural resources, regulatory action, technology, methods of distribution, products and services offered, and the like.
Values. Values are enduring core beliefs. Values envision compelling futures and deepen foresight. They have intrinsic value for the organization and they need to make sense in terms of brand, marketing, and financial assessment.

Goals. Goals represent targets for accomplishment. They must be aligned with the organization’s vision, mission, and values. They also need to be clearly defined, relevant, understandable, realistic, and reflect the organization’s cultural dynamics.

Strategies. Strategies are the organization’s plan for growing the business. Strategies are needed to determine a market position, identify and nurture customers, compete in the global environment, focus on competitive advantage, achieve broad goals and objectives, and so on.

Critical Issues. Critical issues are problems or opportunities which determine an organization’s success and may represent a gap in results that must be closed. Some call them critical business issues, others call them critical success issues, but no matter what they are called they all affect the business in terms of success or failure. Typical examples may include increasing customer satisfaction and, ultimately, employee or customer retention; increasing market share; reducing or eliminating excessive waste; and so on.

Individual members of any organization may vary in how they define the words that the organization has selected. For example, three strategic planners were asked to define vision, mission, and goals. Their responses are listed below in Table 5.1.

Table 5.1

Various Strategic Planning Definitions
<table>
<thead>
<tr>
<th>Term</th>
<th>Respondent #/Definition</th>
</tr>
</thead>
</table>
| Vision | #1 Overall future direction; like ‘north’ on a compass  
#2 Where the organization is heading; the picture of success  
#3 Desired destination |
| Mission | #1 Focus, like Saudi Arabia on a world map  
#2 Reason for being; purpose  
#3 How the organization is going to reach the picture of success |
| Goals | #1 Instructions on how to get there; directions  
#2 Milestones to achieve along the way  
#3 Steps to support mission and vision; the to-do list |

**Purpose and Timing**

The purpose of organizational analysis is to seek directions—“the performance and perspectives that the organization and its leaders are trying to put in place.”

Directions need to be identified early during the performance analysis because they set the expectations for desired or optimal performance.

The major factors that set the direction for the organization are vision, mission, values, goals, strategies, and critical issues. These factors are found in the organization’s strategic plan. The plan represents where the organization should be heading and sets forth an action plan for achieving the goals that have been identified. Heracleous says that “the real purpose of strategic planning is to improve strategic thinking.” Both planning and thinking are necessary for successful strategizing; strategic planning refers to a programmatic, analytic thinking process and strategic thinking is creative and divergent. Eckel and Witmer liken a strategic plan to a budget that constantly needs tweaking as the organization’s goals and priorities influenced by economic factors change.
As part of an organizational analysis, the performance improvement practitioner examines the customer’s current or future needs and expectations.

The HPT practitioner analyzes such factors as:

- Organizational structure,
- Centrally controlled systems,
- Corporate strategies,
- Key policies,
- Business values, and
- Corporate culture.\(^5\)

**CONDUCTING AN ORGANIZATIONAL ANALYSIS**

The performance improvement practitioner begins an organizational analysis by reviewing existing documents such as the organization’s strategic plan, history, by-laws, board meeting minutes, annual reports, new employee orientation material, project management data, payroll reports, benchmarking data, talent management databases, customer satisfaction data, dashboards, and others.\(^6\) Then the performance improvement practitioner gathers feelings and opinions from as many internal and external stakeholders as possible.

For example, one major but often ignored stakeholder is the customer; what the customer thinks, feels, and why the customer keeps coming back. Fitz-enz says that a satisfied customer is “pleasant, content, grateful, satiated, and safe”; whereas, an engaged customer is “passionate, energized, involved, committed, and trusting.”\(^7\) These feelings lead to desirable behaviors. Leaders of successful organizations use information on present and future customer requirements and
expectations to help them set the course or direction for their organization. Figure 5.2 illustrates how input from the customer helps to establish the desired performance state as a foundation for performance gap analysis.

[Insert Figure 5.2 Grant-Moseley Model here]

**Figure 5.2**

Grant and Moseley Customer-Focused Performance Analysis Model


**ORGANIZATIONAL ANALYSIS TOOLS**

Time, cost, the culture of the organization, and the availability of resources are prime considerations when selecting tools for conducting an organizational analysis. Since it is extremely important to gather both facts and perceptions, the major analysis techniques are extant data analysis, interviews, surveys, and group processes. These may be conducted in real-time or virtually using online or mobile technologies.

**Interviews.** Conducting one-on-one or group interviews is probably the most helpful tool for accessing both fact and perception. The following three strategies are particularly appropriate for interviews:

1. Let the flow of the other person’s thoughts and ideas lead the conversation so that the interviewer’s questions clarify, confirm, and guide.
2. Ask questions about purposes, goals, objectives, priorities, or dreams. Not only does that help define success, it also uncovers problems that are almost
always there, such as conflicting goals and priorities or a lack of consensus or clarity.

3. A useful question is, 'Who else should I talk to? It enables the interviewer to find the key players, the opinion leaders, the technical experts, and the potential saboteurs; ensures that the analysis will be open; and provides the basis for setting up an appointment.

**Group Processes.** Brainstorming sessions, focus groups, consensus activities, and other group processes are also helpful for generating or prioritizing ideas from stakeholders. Brainstorming is honest group dialogue in which everyone participates equally. Focus groups members are asked about their opinions, perceptions, and attitudes relative to an issue. Consensus activities ask for agreement from participants to reach a common decision.

**Surveys.** Surveys are more anonymous than interviews. Surveys can generate both facts and perceptions about the directions established by the organization.

**Record Critical Behavior.** The critical incident technique, case studies, and even storytelling are techniques for observing and reporting on behavior that may have a critical positive or negative impact on an organization. Once the behavior or incident is recorded it may be used to help solve performance problems or take advantage of performance improvement.

**Example**

Vince Araujo, manager of performance delivery at Sprint, developed an Organizational Scan Model which documents improved performance. "At its core, the SCAN is the basic input/output system model complete with dual loops for formative and evaluative feedback. Structured to show the Conditions or the three
levels of the organization on the left side, and the Receivers on the right, the Organizational Scan provides a snapshot of any aspect of performance at whatever level of detail is required".10

Tosti and Jackson also developed a set of questions that provide structure for a thorough organizational scan.11 Performance Support Tool (PST) 5.1 suggests typical questions for an organizational scan.
### Conditions, Organizational Level: Strategy, Structure

1. Is the change compatible with the organization’s mission and strategic direction? If so, is that clear to people who carry out the change?

2. Will the change help (or at least not hinder) the organization in addressing external business drivers or pressures on the organization?

3. Does the organization’s current division into units or functions support the proposed change? Do the functions have outputs of recognized value? Will groups that need to work closely together find it easy to do?

4. Will people have the budget or decision making authority they need to implement the change and meet their goals and responsibilities?

5. Do the people who will make the change happen have the skills, knowledge, and experience to make it work?

### Conditions, People Level: Climate, Practices

1. Is the change compatible with current organizational values and with what the organization considers important about the way it conducts business? Are those values generally consistent across organizational groups affected by the change?

2. Is there typically a match between what the organization stated as values and the kind of behavior that is actually recognized and rewarded?

3. Do current management and leadership practices support the change?

4. Do current team norms about work behavior support the change?

5. Is the change compatible with people’s beliefs about integrity and ethical behavior.

### Conditions, Work Level: Environment, Resources

1. Does the current physical environment support the change?

2. Do people have the equipment, tools, materials, and information they need to make the change work?

3. Are the support services or personnel necessary to make the change work available?

4. Are the resources people will need to make the change work easily accessible to them?

5. Will the overall workload be manageable, given the change effort?

### Process, People Level: Performance Requirements

1. Do the people who will make the change happen have the skills, knowledge and experience to make it work?

2. Are the on-the-job aids available to support the change, if needed?

3. Are the people currently selected for qualities that match the requirements of the roles they will need to fill?

4. Do people have the confidence they need to try the change and make it work?

### Process, Work Level: Methods

1. Is the current assignment of job functions or tasks appropriate to support the change?

2. Are work procedures or processes currently supportive of the change?

3. Is the current workflow designed to support change efficiently and effectively?

4. Is the work design generally free of duplications of effort or gaps that could interfere with the change?

### Outcomes, Organizational Level: Organizational Results

1. Are the goals in units involved in or related to the change consistent and compatible with the change’s requirements and the results expected?

2. Are organizational measurements in place that will allow people to determine the success of the change? Are those measurements clearly tied to organizational success?

3. Will the change contribute to increasing or maintaining satisfaction of shareholders, owners, or others who have a stake in the organization’s performance?

### Outcomes, People Level: Motivation, Feedback

1. Is the way in which people now get feedback about their work compatible with the change, frequent enough, timed appropriately, and in usable form?

2. Are people currently rewarded and recognized for behavior that is compatible with or supports the change?

3. Are the current expectations about work and work behavior compatible with what the change will require?

4. Will the change contribute to increasing or maintaining employee satisfaction?

### Outcomes, Work Level: Products, Services

1. Are current productivity levels sufficient to meet the requirements to the change?

2. Are work standards or criteria sufficient to meet the requirements of the change?

3. Will the change contribute to increasing or maintaining customer satisfaction?

4. Are current time requirements or allowances for completing work compatible with the change?

5. Is the predictability of the workload compatible with the requirements of change?
**Performance Support Tool (PST) 5.2**

**Organizational Analysis Survey**

**Directions:** Select the terms or sections of this performance support tool that are appropriate for the organization being analyzed. Use the selected sections as a survey instrument or a group discussion guide. The target audience should include all levels of management, workers, and internal or external stakeholders, including competitors, or customers. The goal is to identify both facts and perceptions from a broad range of internal and external stakeholders, and to help determine whether the organization’s vision, mission, values, goals, strategies or critical issues are aligned with the desired and actual performance state. There are no wrong or right answers and no answer key.

Pick the definition from Column A that best matches the term in column B and write the number in the parentheses ( ) next to the term in Column B. There is no correct or incorrect answer.

<table>
<thead>
<tr>
<th>Mission/Vision/Goal</th>
<th>Column A Definitions</th>
<th>Column B: Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The reasons for making the plan</td>
<td>A. (     ) Vision</td>
<td></td>
</tr>
<tr>
<td>2. Our principles and standards</td>
<td>B. (     ) Mission</td>
<td></td>
</tr>
<tr>
<td>3. Our reason for existing</td>
<td>C. (     ) Values</td>
<td></td>
</tr>
<tr>
<td>4. What we do</td>
<td>D. (     ) Goals</td>
<td></td>
</tr>
<tr>
<td>5. The end state to be achieved</td>
<td>E. (     ) Objectives</td>
<td></td>
</tr>
<tr>
<td>6. Our notion of success</td>
<td>F. (     ) Strategies</td>
<td></td>
</tr>
<tr>
<td>7. Milestones along the way</td>
<td>G. (     ) Critical Issue(s)</td>
<td></td>
</tr>
<tr>
<td>8. The means to be used</td>
<td>H. (     ) Strategic Thinking</td>
<td></td>
</tr>
<tr>
<td>9. The path to be taken</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Who we are</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
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<td></td>
</tr>
<tr>
<td>11. Increase in products and services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Precedes Strategic Planning</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Vision**

What is the organization’s vision?

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the vision clearly defined?</td>
<td>Yes No</td>
</tr>
<tr>
<td>Is the vision adequately communicated?</td>
<td>Yes No</td>
</tr>
<tr>
<td>Does the vision make sense in terms of internal strengths and weaknesses?</td>
<td>Yes No</td>
</tr>
<tr>
<td>Does the vision make sense in terms of external threats and opportunities?</td>
<td>Yes No</td>
</tr>
</tbody>
</table>

**Mission**

What is the organization’s mission?

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the mission clearly defined?</td>
<td>Yes No</td>
</tr>
<tr>
<td>Is the mission adequately communicated?</td>
<td>Yes No</td>
</tr>
<tr>
<td>Does the mission make sense in terms of internal strengths and weaknesses?</td>
<td>Yes No</td>
</tr>
</tbody>
</table>
**Values**

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>What are the organization’s values?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are the values clearly defined?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are the values adequately communicated?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do the values match the mission and vision?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do the values make sense in terms of internal strengths and weaknesses?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do the values make sense in terms of external threats and opportunities?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Goals**

List the organization’s goals for each category:
- Products and services:
- Customers and markets:
- Competitive advantage:
  - Product and market priorities:

Are each of the goals clearly defined? Yes No
Are each of the goals adequately communicated? __Yes __No

Does each goal match the mission, vision, and values? __Yes __No

Does each goal make sense in terms of internal strengths and weaknesses? __Yes __No

Does each goal make sense in terms of external threats and opportunities? __Yes __No

### Strategies

Consider the organization’s strategies for meeting its goals in each of the following categories:

- Products and services (What are we going to do)
- Customer groups or markets: (For whom will we do it)
- Competitive advantage(s): (Why will the customer buy from us)
- Product and market priorities: (Where will we place our emphasis)

Are each of the strategies clearly defined? __Yes __No

Are each of the strategies adequately communicated? __Yes __No

Does each strategy match the mission, vision, values and goals? __Yes __No

Does each strategy make sense in terms of internal strengths and weaknesses? __Yes __No

Does each strategy make sense in terms of external threats and opportunities? __Yes __No

### Critical Issues

What is (are) the organization’s critical issue(s)?
<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>How have the critical issues been influenced by the organization’s history, its traditions and culture, market share, brand?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is (are) the critical issue(s) clearly articulated?</td>
<td>__</td>
<td>__</td>
</tr>
<tr>
<td>How so?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does (Do) the critical issue(s) impact the customer?</td>
<td>__</td>
<td>__</td>
</tr>
<tr>
<td>In what ways?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does (Do) the critical issue(s) impact financial stakeholders</td>
<td>__</td>
<td>__</td>
</tr>
<tr>
<td>In what ways?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is (Are) the critical issue(s) aligned with the vision, mission, values, goals, and strategies of the organization</td>
<td>__</td>
<td>__</td>
</tr>
<tr>
<td>State the critical issue(s) in simple, clear, declarative sentences.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


**Chapter 5: Organizational Analysis Citations**

1. Nichols, 1996


Nickols, F. (1996). The mission/vision thing. Retrieved from trdev-1@psuvm.psu.edu


CHAPTER 6
ENVIRONMENTAL ANALYSIS

Performance does not occur in a vacuum. The performance improvement practitioner “recognizes individual and organizational realities when solving on-the-job performance problems.” The world, workplace, work, and worker environments have the potential to sustain actual performance or raise actual performance to the desired or optimal level. (See Figure 6.1)

Figure 6.1
Environmental Analysis Component of Performance Improvement/HPT Model

Definition and Scope
Environmental analysis is a process used to identify and prioritize the realities that support actual performance. The performance analysis section of the original HPT Model was based on Rothwell’s *Environments of Human Performance* and focused on environmental support from the organizational environment, work environment, work, and worker. Based on evolving discussion and input from the field, the authors enhanced the environmental analysis component of the 2012 Performance Improvement/HPT Model (Figure 6.1) and Rothwell’s environments model (Figure 6.2) to include world, workplace, work, and worker. The term “workplace” includes both the organizational environment of stakeholders, and competition and the work environment of resources and tools.

Figure 6.2
Variations on Rothwell’s Environments of Human Performance

[Insert Figure 6.1 Environmental Analysis Component here]

[Insert Figure 6.2 Variation on Rothwell’s Environments here]
Based on Beyond Training and Development, 2nd ed by W.J. Rothwell, 2005, p. 41.

**World.** This is a mega or extra-large perspective and it requires mega or extra-large thinking. Analysis of the world environment focuses on global societal realities that impact organizational and human performance and on cultural issues which affect the performance of the workplace, work, and workers. The ultimate purpose of a responsible organization in today’s global workplace is to be mindful and vigilant about the greater societal impact and contribute to society by initiating corporate social initiatives and engaging in communities of practice to promote accountability.

Organizations and performance improvement professionals should pay attention to the wide range of cultures that comprise the backbone and fabric of the workplace and engage those cultures effectively, respectfully, and confidently. Learning about differences in cultural heritage helps people understand the reason behind a certain behavior, expectation, or belief. It is particularly helpful in developing a sensitivity to non-verbal communication.

**Workplace.** This analysis focuses on what is happening inside the organization to support performance. Included in environmental analysis are resource allocation, tools, policies for recruiting and hiring, feedback, consequences of performance or nonperformance, retention efforts, and succession planning.

There is another face to the workplace environment—a human face. The Great Place to Work Institute identified five dimensions of great workplaces:

- **credibility,** including communication, competence, and integrity;
- **respect,** including support, collaboration, care;
- **fairness,** including equity, impartiality, justice;
- **pride,**
including personal job, team, company; camaraderie; and finally intimacy, including hospitality and community.³

**Work.** This analysis focuses on what is happening at the job design or process level. A robust work-based environmental analysis considers the organization of work including its implications for personal satisfaction, societal welfare, and social well-being

**Worker.** Last, but far from least, analysis of the worker or performer focuses on what is happening with employees, more specifically, their knowledge, skills, capacity, motivation, and expectations. Worker analysis discovers what employees know or don’t know, their physical or mental powers to function in a job, their motivation for the job, and their expectations about performing the job.

**Purpose and Timing**

The purpose of environmental analysis is *not* to identify problems, but to assess what is actually happening, both outside and inside the organization, that might help explain why people do what they do.⁴ Environmental analysis may take place during, or after performance gap analysis. Often it is an integral part of analyzing actual performance. For example, while observing a performer on the job, the performance improvement practitioner may note, at the workplace level, that safety procedures are not clearly posted on the job site or that, at the worker level, the person does not have the necessary skill or knowledge to perform the job.

**ANALYZING THE WORLD ENVIRONMENT**

Organizations today function in a global environment. Analyzing the world focuses on commitment—on giving back and taking pride in supporting the communities in
which an organization lives and works. It addresses the need for corporate social responsibility, which is accountability rooted in the core values of the organization, and on cultural sensitivity.

Organizations focused on world commitment encourage and foster communities of practice or collaborative teams whose members work interdependently to achieve common goals. They focus on mega results where the primary client and beneficiary is society. Corporate social responsibility is "a commitment to improve community well-being through discretionary business practices and contributions of corporate resources" and corporate social initiatives as "major activities undertaken by a corporation to support social causes and to fulfill commitments to corporate social responsibility."

Analyzing the environment of work at a mega level has myriad benefits for the present and future well-being of an organization ranging from positive corporate image and the ability to hire and retain personnel to improving brand positioning and increasing market share. Corporate social initiatives have six dimensions as shown in Table 6.1.

**Table 6.1**
**Corporate Social Initiatives**

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cause Promotions</td>
<td>Organization sponsors and/or supports a social cause</td>
</tr>
<tr>
<td>Cause-Related Marketing</td>
<td>Contributing or donating a percentage of revenues to a cause</td>
</tr>
<tr>
<td>Corporate Social Marketing</td>
<td>Sponsoring and supporting campaigns which lead to behavior change and accomplishment</td>
</tr>
<tr>
<td>Corporate Philanthropy</td>
<td>Making a charitable contribution to support a cause</td>
</tr>
<tr>
<td>------------------------</td>
<td>---------------------------------------------------</td>
</tr>
<tr>
<td>Community Volunteering</td>
<td>Volunteering time and effort in the community</td>
</tr>
<tr>
<td>Socially Responsible Business Practice</td>
<td>Employing business practices that support social causes</td>
</tr>
</tbody>
</table>


**ANALYZING THE WORKPLACE**

Workplace analysis looks within the organization to discover what is happening at the "big picture" level (see also Organizational Analysis) and what is happening at the department, work team, or job level.

**Analyzing the Organizational Environment**

During an organizational environmental analysis the performance improvement practitioner determines the following: Who are the external stakeholders? Which stakeholders are most critical to the success of the organization? The organization’s external stakeholders include customers, suppliers, distributors, stockholders, industry regulators, and so forth.

The performance improvement practitioner then reviews existing documents, such as customer surveys or safety reports, and uses interviews, group processes, or other data collection tools to discover "how well the organization is interacting with its external environment". One strategy is to collect information from within and outside the organization and compare the findings. For example, one manufacturer randomly monitored conversations between product service representatives and customers on a product hot line then surveyed both the
product service representatives and the customers to identify facts and perceptions about what was happening at both ends of the hot line.

Analysis of the constantly changing competitive challenges facing the organization is also part of the organizational environment analysis. This analysis should include an ongoing review of documents that chronicle industry activity, input from customers and knowledgeable employees, or product comparisons. Interviewing or surveying customers, sales staff, and even competitors may provide important insights into the competitive environment.

**Analyzing the Work Environment**

The people who can provide the answers include representatives from all levels of management, supervision, and the workforce. Seeking input “from groups likely to have unique perspectives, such as temporary workers, recently retired workers, or others who have intimate and recent firsthand knowledge of the organization” broadens the perspective of the analysis. The information that is gathered during this phase of analysis answers the following questions:

- What factors or practices within the workplace have influenced how effectively and efficiently people perform their work?
- What factors or practices within the workplace are most critical to achieving desired performance?

Open-ended questions are the best source of information, so survey data, interviews, or group processes are the analysis tools of choice.

**ANALYZING WORK**
Work analysis concentrates on job design and examines whether or not the job is structured to enable the performer to achieve the desired goals through optimal performance. Effective and efficient job design includes the following:

- Allocation of responsibilities among jobs to support rather than hamper the achievement of desired results;
- Logical sequence of job activities or work flow;
- Job policies and procedures that are clearly defined, documented, and accessible to the worker; and
- Ergonomic design of the physical work space to minimize barriers to optimal performance.\(^9\)

The performance improvement practitioner may use interviews, survey data, or group processes to collect information from supervisors and workers. Observation and review of documents such as quality reports, cycle time studies, safety reports, annual reports, and so forth may also provide useful information.

**ANALYZING THE WORKER**

The worker is the core of performance improvement. Worker analysis zooms in on the performer to identify the individual’s actual skills, knowledge, capacity, motivation, and expectations. To discover facts, opinions, or feelings, the performance improvement practitioner reviews personnel documents, observe performers, and uses interviews, survey data, or group processes. The case study at the end of this chapter focuses on conducting a thorough environmental analysis including observing and interviewing the workers and other stakeholders.

**Performance Support Tool (PST) 6.1**

**What is Happening?**
**Directions:** Here are some questions that might uncover what is really happening in the performance environment that affects the success or failure of the targeted performance.

<table>
<thead>
<tr>
<th>At this level of analysis...</th>
<th>some of the issues are...</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organizational Environment</strong>&lt;br&gt;What is happening when the organization interacts with its external stakeholders and competition?&lt;br&gt;• Customers&lt;br&gt;• Suppliers&lt;br&gt;• Distributors&lt;br&gt;• Industry regulators&lt;br&gt;• Stockholders&lt;br&gt;• Special interest groups&lt;br&gt;• Professional associations&lt;br&gt;• Competitors&lt;br&gt;• Other ________________&lt;br&gt;• How does the organization interact with its external stakeholders?&lt;br&gt;• Which interactions are most critical to the success of the organization?&lt;br&gt;• What is the effect of competition on the organization, the work environment, the work, and the worker?&lt;br&gt;• What does the organization need to do to stay competitive?&lt;br&gt;• How do the various stakeholders define a quality product or service?</td>
<td></td>
</tr>
<tr>
<td><strong>Workplace Environment</strong>&lt;br&gt;What is happening inside the organization to support optimal performance?&lt;br&gt;• Resources (time, money, staff, tools, materials, space)&lt;br&gt;• Information&lt;br&gt;• Policies and procedures&lt;br&gt;• Other ________________&lt;br&gt;• Does the performer have adequate resources to achieve optimal performance?&lt;br&gt;• Does the performer have the information required to achieve optimal performance?&lt;br&gt;• Do policies for recruiting, hiring, feedback, and consequences support optimal performance?</td>
<td></td>
</tr>
<tr>
<td><strong>Work Level</strong>&lt;br&gt;What is happening on the job?&lt;br&gt;• Job Design&lt;br&gt;• Work flow&lt;br&gt;• Job responsibilities&lt;br&gt;• Other ________________&lt;br&gt;• Is the job designed for optimal performance?&lt;br&gt;• Does the work flow foster efficient completion of tasks?&lt;br&gt;• Are job responsibilities clearly established?</td>
<td></td>
</tr>
<tr>
<td><strong>Worker Level</strong>&lt;br&gt;What is happening with the workers?&lt;br&gt;• Skills&lt;br&gt;• Knowledge&lt;br&gt;• Motivation&lt;br&gt;• Expectations&lt;br&gt;• Capacity or ability&lt;br&gt;• Does the performer have the requisite knowledge or skills to achieve success?&lt;br&gt;• Is the performer motivated to achieve?&lt;br&gt;• Do the performer’s expectations match the reality of the total performance environment?&lt;br&gt;• Is the performer able to achieve success:</td>
<td></td>
</tr>
<tr>
<td><strong>World Commitment Level</strong>&lt;br&gt;• Are people in the organization committed to</td>
<td></td>
</tr>
<tr>
<td>What is the organization’s commitment to the greater society?</td>
<td>being good global citizens?</td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>• Corporate social responsibility</td>
<td>• How are the corporate social initiatives linked to the organization’s mission, vision, values, and goals?</td>
</tr>
<tr>
<td>• Communities of practice</td>
<td>• How are corporate community engagement and maximizing profit and shareholder value not mutually exclusive, but rather mutually reinforcing?</td>
</tr>
</tbody>
</table>


### Chapter 6 Citations


### Chapter 6: Environmental Analysis References


CHAPTER 7

GAP ANALYSIS

There is an old children’s rhyme that goes something like this:

Good, better, best
Never let it rest
‘Til your good is better
And your better best.

Analyzing the desired and actual performance states or gap analysis (see Figure 7.1) is another step in the performance analysis phase of the Performance Improvement/HPT Model and the first step toward making a poor performance good and a good performance better or best. During this step all the performance pieces come together.

Problem or Opportunity?

Too often the implied focus of human performance improvement is the performance problem. "In fact, the technology can and should be used proactively to address new opportunities and to make that which is good even better." For example, appreciative inquiry helps us look at the glass half full—positive aspects focus—rather than half empty—problem focus. Performance gaps should be viewed as performance improvement opportunities that provide a chance to:
• Improve the actual performance state when it does not measure up to the desired performance state, or
• Enhance or intensify the actual performance state when it is equal to or excels the desired performance state, which may also be called innovation.

**Desired State—Reasonable Goals**

Revisiting the gap analysis literature provides evidence to support the idea of ensuring that organizations set reasonable goals for reaching the desired state—goals that are both feasible and sustainable:

Our starting point for gap analysis is to determine the existing and desired levels of performance, and then set a reasonable goal or milestone for measuring progress in terms of quality, quantity, time, and cost. At the most basic level, a reasonable goal can be set for such areas as productivity, waste, sales, service, and customer service. At an intermediate level, a reasonable goal can be set for such issues as reliability, calls on warranty, customer retention, or customer referrals. At the business outcome level, reasonable goals can be set for profitability and market share. The reasonable goal serves to show progress in closing the performance gap and it also serves to better motivate the people who will do the work to close the performance gap. ²

A graphic representation of Chevalier’s ideas appears in Figure 7.2.

**Figure 7.2**

*Performance Gap Analysis With a Reasonable Goal*

[Insert Figure 7.2 Performance Gap Analysis with a Reasonable Goal here]

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**Definition and Scope**

Gap analysis identifies the type of performance improvement opportunity that exists and paves the way for cause analysis and intervention selection or design. From the perspective of many leaders in the field, performance gap analysis is very much like needs assessment.

**Gap or Needs Assessment?** During needs assessment, needs are often viewed as "gaps in results, consequences, or accomplishments" and needs assessment is defined as "a very valuable tool for identifying where you are or the current results and consequences and where you should be or the desired results and consequences."³ (See Figure 7.3).

**Figure 7.3**

*Kaufman’ Definition of Need*

[Insert figure 7.3 Kaufman’s Definition of Need here]

There are two major differences between needs assessment and performance gap analysis:

- Needs assessment tends to focus on knowledge, skills, and attitude; performance gap analysis "identifies any deficiency or proficiency affecting human performance".
- Needs assessment tends to focus on the past and present while performance analysis also looks to the future.⁴

**Six-Cell Gap Analysis.** There are six potential gaps in performance: present positive, present neutral, present negative, future positive, future neutral, future
negative. Figure 7.4 illustrates the concept of the six gaps in terms of the Performance Improvement/ HPT Model.

**Figure 7.4**

Rothewell’s Six Cell Gap Analysis

[Insert Figure 7.4 Rothewell’s Six Cell Gap Analysis]

**Opportunities**
The HPT practitioner should be aware of yellow caution flags regarding positive and neutral gaps:

- Decision-makers and practitioners should not become “complacent” about positive gaps.
- Organizations that experience breakthrough improvements in productivity are sometimes able to distinguish themselves by applying innovation to a neutral gap.
- The greatest opportunity for performance improvement may occur when future neutral gaps exist “because competitors tend to overlook them”.

**Purpose and Timing**
Within the framework of the Performance Improvement/HPT Model and the work cited above, the purpose of performance gap analysis is to identify present and future gaps between the desired performance state and the actual performance state. Along the way the analyst identifies the gaps as positive, neutral or negative as well as the type of performance improvement opportunity offered by each gap. Then the analyst prioritizes the performance gaps according to how important (criticality) the gap is to meeting the goals of the organization, how difficult
(complexity) it will be to resolve the gap, and how often (frequency) the gap occurs.

The proverbial horse-before-the-cart analogy applies here. Performance gap analysis must occur prior to cause analysis that, in turn, must occur before intervention selection and implementation. Performance gap analysis is truly the key to successful performance improvement or enhancement.

**CONDUCTING GAP ANALYSIS**

The systems approach to analyzing performance gaps includes the sequential steps of:

1. Identifying and analyzing actual and desired performance
2. Identifying the gaps—present and future; positive, neutral or negative—between the actual and the desired performance state.
3. Prioritizing the gaps.
4. Analyzing the causes.

**Actual Performance**

The performance improvement practitioner states the current situation as simply and concisely as possible by determining reasons why the current state exists as it does. Then the practitioner assesses the current state from multiple perspectives rather than relying on a single perspective.

In the actual state ask “Is” questions. For example, What is the current state of product sales in the region? What is a typical technical training encounter like?

**Desired Performance.** Alignment is the key in the desired workforce performance. Customer needs, organizational goals, primary and support
processes, functions, jobs, roles and the entire human performance system components must be aligned individually, vertically, and horizontally. In the desired state, “Should...?” questions are asked. For example, what should be the metrics that need to be in place to measure optimal performance? What should a star employee at the Grade 6 level be producing?

**Performance Gaps.** Identifying performance gaps may be approached by one or a combination of methods: The performance improvement practitioner collects and analyzes information by using familiar data collection techniques. Major tools are surveys, interviews, and group processes such as brainstorming to generate, prioritize, and rank ideas; focus groups to identify needs through planned participation, and so forth (see Chapter 8).

For example, a group of stakeholders including the practitioner may collect and analyze documents containing data on the desired and actual performance. They may also use group processes to examine individual and group feelings, opinions, and ideas. In addition, they may include the use of surveys or interviews before, during, or after the life cycle of the group.

Another technique is to conduct a summit or meeting for upper level leadership. When an organization sends its leadership and managerial teams to a summit, a high level of participation and buy-in results. The performance improvement practitioner may plan and implement activities that encourage participants to focus on desired and actual states and resulting gaps and their relative importance in light of the organization’s mission, strategy, and goals. And when stakes are high, a large scale, short-term change effort is usually the best method for analyzing performance gaps. The purpose is to reach a general
consensus among a broad base of stakeholders. Tools include both small group sessions and large scale (general assembly) sessions using a variety of group processes.

The practitioner may also initiate a Delphi group\textsuperscript{10} to gather and validate information which allows for wider participation, particularly if the Delphi is conducted using email or bulletin boards. A Delphi is useful for forecasting, prioritizing, and gaining consensus. During a Delphi, participants comment on questions or statements. The responses are then analyzed and synthesized and the respondents have another chance to comment or prioritize based on the results of the first round. The process is continued until consensus is reached.

**Prioritizing Performance Gaps**

Ideally, a group of people, preferably the stakeholders in the performance improvement effort, are involved in prioritizing the performance gaps. It is a crucial part of performance gap analysis because "...merely identifying a difference between what people are doing and what you would like them to be doing is not enough reason to take action".\textsuperscript{11}

In addition to the Delphi method discussed above, there are a number of group processes that help groups to prioritize items and reach agreement or consensus on the results. As a facilitator, the performance improvement practitioner may provide a list of performance gaps or begin with a brainstorming session\textsuperscript{12}. Then the practitioner may use one of the following or a combination of the following sorting tools to prioritize the gaps and gain consensus:

A typical sorting and prioritizing tools is the Paired Comparison Analysis. This type of analysis allows participants to compare items on a list with all other
items individually, decide which is important, and consolidate results for a prioritized list. Grid Analysis calls for prioritizing tasks when many different factors need consideration. The Action Priority Matrix is a diagramming technique for comparing the value of a task against the effort it takes to complete the task. This technique allows the practitioner to see the greatest payback in the shortest timeframe and leads to quick prioritization decisions.\(^{13}\) (See PST 7.1).

**Performance Support Tool (PST) 7.1**

**Sample Priority Matrix**

**Directions to the Participants:** After considerable analysis, we have identified the following performance gaps within our organization. The gaps are listed in the first column. We are asking you to help us determine how critical each gap is to the attainment of our organization's strategic goals. Rank (\(\checkmark\)) each gap on the Criticality Scale, then be prepared to compare your results with the rest of the group. Together we need to reach consensus on which gaps are the most critical (especially important) and need to be resolved for the organization.

<table>
<thead>
<tr>
<th>Low</th>
<th>Criticality Scale</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Gap</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Chapter 7: Gap Analysis Citations
2 Chevalier, 2010, p. 5.
4 Rothwell, 1996b, p. 132.
8 Rothwell, 1996b.
9 Rothwell and Kazanas, 2008, pp. 72–73
10 Jackson and Schuler, 2006, p. 141.
11 Mager and Pipe, 1984, p. 13
13 Prioritization, 2011. Retrieved online

Chapter 7: Gap Analysis References


CHAPTER 8
CAUSE ANALYSIS

Cause analysis is the final step in the Performance Analysis phase of the Performance Improvement/HPT Model. A cause analysis will determine why the performance gap exists leading to the real issues and not the superficial ones. Figure 8.1 shows the Cause Analysis component of the Model.

Figure 8.1
Cause Analysis Component of Performance Improvement/HPT Model

[Insert Figure 8.1 Cause Analysis Component of Performance Improvement/HPT Model here]

Definition and Scope

"Cause analysis is the process of determining the root cause(s) of past, present, or future performance gaps. It follows, but is integrally related to, performance analysis."¹ Cause analysis is integral to conducting a thorough performance analysis. While organizational, environmental, and gap analyses yield valuable information, a cause analysis determines why the performance gap exists.

Cause analysis is the "bridge" between performance analysis and the appropriate intervention(s) that will eliminate the performance gap. Using the roots of a tree as an analogy, Rosenberg suggests: "look under the performance gap to discover its roots ... select intervention(s) ... to both feed the high performance roots and eliminate the roots that caused the performance gap."² Linking training to business needs, cause analysis "provides us with the data to respond to either of these two questions: What is causing an end-result and/or on-
the-job performance deficiency? What might prevent newly learned skills from being transferred to the job?  

Various experts have viewed causes from different perspectives. Historically, experts like Robert Mager, Peter Pipe, Thomas Gilbert, Geary Rummler, Alan Brache, and Joe Harless suggest that performance problems are essentially deficiencies of knowledge, skills, training or a host of management deficiencies. Rossett identified four kinds of drivers, causes, barriers, or obstacles that impact success or failure: lack of skill, knowledge, and information; flawed incentives; flawed environment, tools and processes; and lack of motivation. Drivers are "everything that it takes to enable performance to 'grow'."

Robinson and Robinson identified three major causes of performance deficiencies: causes due to the learner, causes due to the manager or boss of the learner, and causes due to the organization. Perhaps the most influential listing of performance causes comes from Gilbert's work on human competence, especially his three *leisurely theorems* and his Behavior Engineering Model (BEM).

**Three Leisurely Theorems**

Gilbert, affectionately known as the "father of human performance", developed the three leisurely theorems to provide structure to both cause analysis and human performance. They offer guidance and insight and serve as beacons for performance improvement practitioners and their clients.

1. **Value is in Accomplishment.** Worthy performance is the relationship between valuable accomplishments and costly behavior. "The true value of competence is derived from accomplishment, not from behavior." In simple terms, accomplishment equals value; whereas, behavior equals cost. Gilbert
goes on to say that “. . .human competence is found in overt performance, not in hidden behavior.”

2. Measure Against a Standard. Performance can be measured against a standard, “comparing the very best instance of performance with what is typical.” This measure of competence—the ratio of exemplary performance to typical or actual performance—he calls the PIP or the Potential for Improving Performance. PIP tells us our current state of competence and our opportunities for bettering the situation.

3. Assess Environmental Versus Individual Causes. This theorem “identifies where we have to look in order to find the causes of competence and incompetence.” Gilbert also refers to this theorem as the Management Theorem. Stolovitch in paraphrasing Gilbert says “deficiencies in accomplishments are ultimately caused by management system weaknesses.” Gilbert’s Behavior Engineering Model (BEM), with its emphasis on behavior and environment, is the heart of theorem three.

Behavior Engineering Model

According to Gilbert, there are three factors that influence performance—information, instrumentation, and motivation. The Behavior Engineering Model (Figure 8.2) illustrates that factors may be either rooted in the environment or in the individual.

Figure 8.2
Gilbert’s Behavior Engineering Model

[Insert Figure 8.2 Gilbert’s BEM here]
The Behavior Engineering Model contains six cells. The data, instrumentation, and incentives cells represent "the system"—environmental factors affecting performance. "If you pit a good performer against a bad system, the system will win almost every time." Knowledge, capacity, and motives represent individual factors affecting performance. The Behavior Engineering Model has been adapted to guide the performance improvement practitioner in the search for causes (see Table 8.1)

**Table 8.1**  
Behavior Engineering Model (BEM) Adapted to Cause Analysis

<table>
<thead>
<tr>
<th>Performance Drivers or Causes</th>
<th>Performance Questions</th>
<th>Performance Deficiency Examples</th>
</tr>
</thead>
</table>
| Data, Information, Feedback   | • How well are people given data, information, and feedback to perform when they are needed? | • Information not given on a timely basis  
|                               |                                                                                       | • Lack of feedback mechanisms  
|                               |                                                                                       | • Little documentation  
|                               |                                                                                       | • Performance standards are non-existent  
|                               |                                                                                       | • Is data tied to performance? |
| Environment Support, Resources, Tools | • How well are people supported with resources, tools, equipment, etc.? | • Ergonomic deficiencies  
|                               |                                                                                       | • Inadequate working conditions  
|                               |                                                                                       | • Tools unavailable or not optimally arranged  
|                               |                                                                                       | • Insufficient time to get job done |
| Consequences, Incentive, Rewards | • How well do performers see the results or consequences of what they do?  
|                               | • How well are they rewarded or provided with incentives? | • Work unrelated to organization’s mission and needs.  
|                               |                                                                                       | • Rewards not performance based  
|                               |                                                                                       | • Competing incentives  
<p>|                               |                                                                                       | • Poor performance rewarded |</p>
<table>
<thead>
<tr>
<th>Skills and Knowledge</th>
<th>How well do performers’ knowledge and skills match performance requirements?</th>
<th>Lack of knowledge, skills, training, education, Unable to maneuver the system</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Capacity</td>
<td>How well can people perform?</td>
<td>Lack of aptitude, ability, physical or manual dexterity, Inadequate job analysis</td>
</tr>
<tr>
<td>Motivation and Expectation</td>
<td>How well are people motivated to perform?</td>
<td>Boring and punishing performance system, Payoffs are unrealistic</td>
</tr>
<tr>
<td></td>
<td>Are expectations realistic?</td>
<td></td>
</tr>
</tbody>
</table>

Adapted from Rothwell, 1996b, pp. 13–14; Dean, 1997, pp. 45–51.

Chevalier updated the Behavior Engineering Model language to make it more individual, team, and organization-friendly. Another update is offered by Binder in his *Six Boxes™ Model*. Behavior influences are sorted into six sets similar to Gilbert’s; however, the labels used for each cell and some details discussed within each category are different. The Binder cells are: Expectations and Feedback, Tools and Resources, Consequences and Incentives, Skills and Knowledge, Capacity or Selection and Assignment, and Motives and Preferences or Attitude.

**CONDUCTING CAUSE ANALYSIS**

Too often performance improvement practitioners are overly confident in their diagnostic abilities and they move from performance analysis to intervention selection before thoroughly understanding the causes of the performance gap. Symptoms are often disguised as causes. Without a solid understanding of cause analysis and how it affects work, workers, workplace, and the world perspective, the choice of incentives is flawed. Cause analysis determines *why* the performance gap exists and *how* it affects the unique mission, needs, wants, and desires of the
organization. Only then can the practitioner can choose the appropriate intervention(s).

**Steps**

The following steps can be used to conduct a cause analysis of a performance gap:

1. Identify the driver or cause of the performance gap;
2. Classify the driver or cause by determining where it originates within the enhanced classification of the environment of human performance—world, workplace, work, or worker;
3. Prioritize the driver or cause according to high or low impact on the performance environment;
4. Generate as many cause examples as possible. This provides an opportunity to look at many sides of the problem. If either skills or knowledge is identified as a cause, then the list may include examples showing that the employee has forgotten how to use the skill; doesn't have adequate information; lacks training in specific processes and procedures; doesn't know the components of the system, and so forth. If consequences are a cause and incentives and rewards are identified, then the list may include examples that indicate poor performance is rewarded, no management planning exists, competing incentives send mixed messages, and so forth.
5. Verify causes and corresponding examples with another performance improvement colleague by asking who, what, when, where, and why questions. In addition, stakeholders may shed light on the topic and stakeholder support and buy in are necessary.

**Techniques and Tools**
There are a variety of techniques and tools for conducting cause analysis.

(See Table 8.2)

**Table 8.2**  
**Cause Analysis Tools**

<table>
<thead>
<tr>
<th>Name of Tool</th>
<th>Brief Description</th>
</tr>
</thead>
</table>
| Interview              | Structured or unstructured  
                          | Excellent for rapport building and follow-up questions  
                          | Questions can be open-ended or probing  |
| Observation            | Captures current skills and knowledge as well as context  
                          | Inferences about work are generated  
                          | Takes time to effectively use  |
| Surveys or Questionnaires | • Anonymous  
                          | • Large numbers of people can be surveyed  
                          | • Require clarity, effective directions, user-friendly questions and skill in constructing  |
| Focus Groups           | Structure opportunities for soliciting information  
                          | Participants must be briefed and debriefed  
                          | Role of facilitator and scribe are crucial  |
| Root Cause Analysis    | Trace the causes and effects of accidents or other problems which are past oriented  
                          | Chronology of events reported and recorded on paper  
                          | Relationship of one event to another becomes clear  
                          | Result is a wall-sized flow chart  
                          | Participants questioned to pinpoint root cause of problem  |
| Fishbone Diagram       | • Cause-and-effect diagram, used in Total Quality Management  
                          | • Past oriented with focus on identifying negative performance gaps  
                          | • All causes traced to people, policies/procedures, equipment, climate  
                          | • Trouble shooting tool  |
In addition, flow charts, histograms, Pareto charts and run charts are useful for identifying causes of performance gaps. Computerized programs and systems are also available. *TapRoot* by System Improvements, Inc., and *REASON Root Cause Analysis*, by Decision Systems, Inc., and *PROACT RC Analysis* by Info@Reliability.com are useful to shape a cause analysis.

### LACK OF ENVIRONMENTAL SUPPORT

Environmental support includes those things that management provides and that the performer needs to perform effectively and efficiently. According to Gilbert, environmental performance support includes the following:

- **Information** (data, information, and feedback)
- **Instrumentation** (environment support, resources, and tools)
- **Motivation** (consequences, incentives, and rewards)

A gap between the available environmental support components shown in Table 8.3 and the performance support requirements or needs of the worker usually drive or cause a performance gap.

#### Table 8.3
**Gilbert’s Behavior Engineering Model—Environmental Support Shaded**

<table>
<thead>
<tr>
<th>Environmental Support</th>
<th>Information</th>
<th>Instrumentation</th>
<th>Motivation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data</td>
<td>Work Environment</td>
<td>Consequences</td>
<td></td>
</tr>
</tbody>
</table>
"A successful performer (person) knows how to do what is expected and when it is appropriate to do it." Part of this knowledge may come from schooling or past experience; however, complete, clear, unambiguous, and up-to-date data on performance expectations and information regarding correct procedures are required for successful on-the-job performance. The data or information must also be available and easily accessible to the performer. Data and information that are vital to successful performance may include organizational policies, job or task procedures, tolerance levels for machinery, customer requirements, or supplier concerns. "Lack of information is not identical to 'lack of timely information.' Instead, it means that performers receive no information and remain in the dark about changes affecting the organization."

Performers also need frequent and timely feedback on the results of their performance:

Lack of feedback on consequences means that performers are not being given feedback on the results of their work activities. They are performing in a vacuum. . .No timely feedback means that the time lag is excessive between worker performance and feedback received about that performance. People do not know what they are responsible for.
doing or what results they should be achieving. Hence they are not accountable for what they do.  

**Environment Support, Resources, and Tools**

Environment support, resources, and tools are those things that management provides to support or assist the performer. *Environment support* may include ergonomic, health, wellness, and safety factors that have an impact on performance. For example, problems with such diverse factors as air quality, workspace, rest areas, lighting, workload, hazardous material handling, work flow design, or workstation construction may cause performance gaps.

*Resources* refer to the time, money, materials, and personnel allocated to the performance. Resources must be adequate and of sufficient quality to allow for successful accomplishment of the performance. Allocating inadequate resources or substituting poor quality resources may cause performance problems.

*Tools* are instruments required to complete the job, such as a computer and software for filling out tax forms or the correct equipment to attach a car part on the assembly line. Tools should be available, accessible, efficient, and safe.

Sometimes employees do not have the environment support, resources, and tools they need to do their job – either what they need does not exist because the company has not made the investment, or what they need exists, but is not functioning properly. Performing an appendectomy in a hospital operating suite is a fairly routine procedure. The operating room has a sterile, controlled environment, state-of-the-art machinery and instruments, and qualified personnel. Emergency equipment and staff are on hand in case of complications. In contrast, performing an appendectomy in the wilderness without the appropriate facilities, machinery,
tools, staff, or emergency backup would not be routine and could cause a gap between desired and actual performance.

**Consequences, Incentives, or Rewards**

*Consequences* are events or effects produced by a preceding act. For example, inappropriate lighting may cause eyestrain and prevent an employee from doing a stellar job. *Incentives* are the stimuli that influence or encourage people to do their jobs. Incentives may be internal or external. Working very hard on an assigned task may be sufficient for one employee to earn merit, while another employee may need feedback from a supervisor. On the other hand, *rewards* are items given in return for services. Rewards may be monetary or nonmonetary.

Gilbert lists three types of performance-based incentives: monetary incentives, nonmonetary incentives and career development opportunities. Examples of monetary performance-based incentives include suggestion systems that offer money to employees whose suggestions are adopted, profit sharing, stock options bonuses, business class air travel, membership to health clubs. Examples of nonmonetary performance-based incentives include time off with pay, gifts, simple recognition awards or programs, special parking places, and popular company logo items. Career development opportunities may be monetary or nonmonetary depending on whether the opportunities include tuition reimbursement or an increase in pay upon completion of a program. Both monetary and nonmonetary incentives can contribute to increasing productivity and self-esteem.

Assessing consequences, incentives, or rewards helps determine why people do what they do. Most employees perform tasks, react to their environment, and
interact with colleagues based on perceptions of rewards for performance and consequences of actions. They maximize positive consequences, incentives, or rewards and minimize negative forces.

**Analyzing Environmental Factors That Influence Performance**

It is important to acknowledge that the work environment can cause performance problems; it is also important to determine from *where* in the work environment the problem exists. In addition to assessing consequences, incentives, and monetary or nonmonetary rewards, the performance improvement practitioner should also assess whether the organization consciously or unconsciously supports a policy of *disincentives*.

Rossett writes about companies “speaking with two voices” and cites two common examples of disincentives:

- **One common problem is ignoring desired performance.** When you ask a group of training professionals about the incentives for excellent performance, they’ll often laugh. Too frequently, they perceive none. In fact, some contend that there is punishment associated with excellence, with the best people getting the thorniest clients or challenges.

- **Another typical problem with incentives is when they conflict, i.e., when the organization is rewarding behavior that crowds out the desired performance.** This happens to customer service people who are often measured and applauded for the quantity of their contacts but exhorited to deliver high-quality, relationship and loyalty building interactions.²⁰

Recognizing that the Behavior Engineering Model was not sufficient in itself to pinpoint the causes of performance gaps within the work environment, Gilbert
developed the PROBE (PRO=Profiling BE=Behavior) model. The model provides a series of questions that help performance improvement practitioners probe and assess the work environment for performance gap drivers or causes (See Performance Support Tool (PST) 8.1).

**Performance Support Tool (PST) 8.1 Probing for Environmental Support Drivers or Causes**

**Directions:** This Performance Support Tool is an adaptation of Gilbert’s PROBE Model. Answers to the following questions help to establish the drivers or causes of performance gaps. Some of the answers may be found in documentation for the performance gap analysis. Other answers may require additional input from the actual performer(s).

<table>
<thead>
<tr>
<th>Category</th>
<th>Questions</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data</strong></td>
<td>1. Are there sufficient, accessible data (or signals) to direct an experienced person to perform well?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Are they accurate?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Are they free of confusion and stimulus competition that slow performance and invite errors?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Are directions free of data glut, stripped down to the simplest form, and not buried in extraneous data?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Are they timely?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Are good models of behavior available?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. Are clear and measurable performance standards communicated so that people know how well they are supposed to perform?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>8. Do they accept the standards as reasonable?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Feedback</strong></td>
<td>1. Is work-related feedback provided describing results consistent with the standards and not just behavior?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Is it immediate and frequent enough to help employees remember what they did?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. Is it selective and specific, limited to a few matters of importance and free of data glut and vague generalities?

4. Is it educational, positive, and constructive so that people learn something from it?

<table>
<thead>
<tr>
<th>Tools</th>
<th>1. Are the necessary implements usually on hand for doing the job?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Are they reliable and efficient?</td>
</tr>
<tr>
<td></td>
<td>3. Are they safe?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Information</th>
<th>1. Are procedures efficient and designed to avoid unnecessary steps and wasted motion?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Are they based on sound methods rather than historical happenstance?</td>
</tr>
<tr>
<td></td>
<td>3. Are they appropriate to the job and skill level?</td>
</tr>
<tr>
<td></td>
<td>4. Are they free of boring and tiresome repetition?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Resources</th>
<th>1. Are adequate materials, supplies, and assistance usually available to do the job well?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Are they efficiently tailored to the job?</td>
</tr>
<tr>
<td></td>
<td>3. Do ambient conditions provide comfort and prevent unnecessary interference?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Incentives</th>
<th>1. Is the pay for the job competitive?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Are there significant bonuses or raises based on good performance?</td>
</tr>
<tr>
<td></td>
<td>3. Does good performance have any relationship to career advancement?</td>
</tr>
<tr>
<td></td>
<td>4. Are there meaningful nonmonetary incentives (recognition and so on) for good performance based on results and not behavior?</td>
</tr>
</tbody>
</table>
5. Are they scheduled well, neither too frequently (lose meaning) nor too infrequently (becoming useless)  
6. Is there an absence of punishment for performing well?  
7. Is there an absence of hidden incentives to perform poorly?  
8. Is the balance of positive and negative incentive in favor of good performance?  

**LACK OF REPERTORY OF BEHAVIORS**
Another cause of performance problems is people’s lack of ‘repertory of behavior’—an accumulation of knowledge and skills gathered from experience. There are three factors that have an effect on workplace performance and make up an individual’s repertory of behavior:

1. Information (skills and knowledge)  
2. Instrumentation (individual capacity)  
3. Motivation (motivation and expectations)  

If a gap exists between desired and actual performance, and the gap is not caused by environmental support problems, the question is, “Could they do it if their lives depended on it?”22 Do they have the necessary “repertory” of skills, knowledge, capacity, motivation, and expectations?

If the answer is “No”, the performance improvement practitioner should focus on determining the skills or knowledge deficiency that interferes with the accomplishment of the desired performance. If the answer is “Yes”, the practitioner can rule out a skill or knowledge deficiency and focus on lack of individual capacity, motivation, or expectations (see Table 8.4).
Skills and Knowledge

If people “couldn’t do it if their lives depended on it,” the performance improvement practitioner should suspect a skill or knowledge deficiency. People cannot be expected to perform to standards if they lack the required skills or knowledge. "It is not possible for people with the right motivation, performance standards, resource tools, support, capacity, and motive to be successful performers if they don’t know how to perform."24

Analyzing Skills and Knowledge

Identifying the cause of a performance gap as lack of skills and knowledge is not as simple as it sounds. First, the performance improvement practitioner needs to discover what skills and knowledge are required for the desired performance. Documentation (job or task analysis, performance standards, and other records) from the performance gap analysis should provide this information.

Then the performance improvement practitioner needs to consider the following.25
• Did the employee once know how to perform as desired?
• Has the employee forgotten how to perform as desired?

Perhaps the employee possessed the necessary skills and knowledge at an earlier time, but the nature of the job has changed and she or he needs to be updated. Another possibility is to examine whether or not the employee possesses the necessary skills and knowledge, but has not had the opportunity to use them for some time.

There is another perspective on lack of knowledge and skills that requires examination – "(Maybe) there is just too much to know."\textsuperscript{26} In today’s information age employees are frequently inundated with documentation or updates until it becomes “disinformation” (sic) or the employees just plain “tune it out.”

Finally, the practitioner may want to look at the report from the environmental analysis. The workplace has to support the performer’s knowledge and skills. "If you pit a trained employee against an environment that does not value the new skills and knowledge, the environment wins every time."\textsuperscript{27}

**Individual Capacity**

Individual capacity is another component of people’s repertory of behavior. Capacity "represents the individual’s ability to perform the job. It is represented by a match or mismatch between the employee and the job requirement."\textsuperscript{28} Individual capacity helps to match the right person to the right job. A mismatch, or employee selection error, can cause a performance gap.

The lack of ability means that a mistake was made during employee selection. An individual was hired, transferred, or promoted into a job that the person lacked the ability to perform or to learn. In one organization, an employee
was promoted to executive secretary, who was unable use and unwilling to learn the new company wide project management software.

Employee selection processes also helps to avoid a potential performance gap. An individual was interviewing for a job as a customer service representative. The final question was, “Based on everything you have heard about this job, are there any areas that may be problematic?” Without delay, the person replied, “I really despise people.” Needless to say the individual was not hired, although possessing the required skills and knowledge. But the person lacked the capacity or ability to accomplish the desired performance – selling shoes to people.

Analyzing Individual Capacity
To determine whether or not a lack of individual capacity is causing a performance gap, the performance practitioner needs to look at capacity from two perspectives:29

- Does the individual lack the capacity (ultimate limits to which an individual develops any function given appropriate training and environment) or ability (physical, mental, or social powers, inherited or acquired by an individual) to perform or learn?
- Does the organizational, workplace, and work environments support the individual’s capacity to perform or learn?

First, the performance improvement practitioner needs to review the performance gap analysis to discover what individual capacity or ability is required to meet the desired performance requirement. The following questions may help to identify individual capacity requirements for a specific performance:

---

• Is it certain and proven that one must have special aptitudes, intelligence scores, verbal skills, manual dexterity, and so on, to perform in an acceptable, if not exemplary, manner?

• Is the proof so sound that there are virtually no exceptions? The performance improvement practitioner then looks at the employee to assess whether or not the individual’s physical and mental capacity matches the performance requirements. A review of the gap analysis or personnel records, or an interview with the employee, may provide information on the performer’s aptitude, intelligence, verbal skills, and so forth.

Finally, the performance improvement practitioner may look at the organizations and environmental analyses to find out if the organization, workplace, and work environments support the individual’s capacity or ability to perform and learn. For example, does either the organization or the environment:

• Offer flexible scheduling to accommodate people when they are at their sharpest?

• Consider the difficulty level and individual capacity when selecting someone to perform a task?

• Provide response aids, for example, large-print job aids for older workers, to determine whether lack of individual capacity is causing a performance gap?

Motivation and Expectations

Motivation comes from within. The performer encourages himself or herself to succeed. Expectation also comes from within the person by expecting or believing that certain conditions or resources are required to accomplish a given task. If the
employee is not motivated to perform, or feels that his or her expectations are not met, there is a good chance that there will be a gap between desired and actual performance.

It was Gilbert’s contention that motivation, the third factor related to the individual, will be high if all the other five cells, especially those related to work environment, are provided. Thus he believed that evidence of low motivation is a signal to look for deficiencies in information, resources, or incentives. In communicating this concept, he stressed that factors in the work environment will not directly motivate employees. Rather, by dealing with these work environment factors, the organization can create an environment within which the employees’ own intrinsic motivation can flourish.32

**Analyzing Motivation and Expectations**

It is difficult at best to determine what motivates an individual to accomplish peak performance. It is almost as difficult to discover a performer’s expectations. Perhaps the first step is to ask, “Is the performance system inherently so dull, unrewarding, or punishing that people must have special motives to succeed in it, even when the incentives provided are excellent?”33 The organizational, environmental, and gap analyses should shine some light on the nature of the performance system in which the performer is functioning. The same documents should uncover what expectations the performer might have given optimal work environment.

The performance improvement practitioner may also want to interview the supervisor, manager, coworkers, and performer or observe the performer in action.
However, these methods are less than scientific and rely on self-reporting from the
performer) or perceptions from the supervisor, manager, and/or coworkers.

**Performance Support Tool (PST) 8.2**

**Probing for People’s Repertory of Behavior Drivers or Causes**

**Directions:** This Performance Support Tool is an adaptation of Gilbert’s PROBE
Model. Answers to the following questions help to establish the drivers or causes of
performance gaps. Some of the answers may be found in documentation for the
performance gap analysis. Other answers may require additional input from the
actual performer(s).

<table>
<thead>
<tr>
<th>Category</th>
<th>Questions</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Knowledge and Training</strong></td>
<td>1. Do people understand the consequences of both good and poor performance?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Do they grasp the essentials of performance? Do they get the big picture?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Do they have the technical concepts to perform well?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Do they have sufficient basic skills such as reading?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Do they have sufficient specialized skills?</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>6. Do they always have the skills after initial training?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. Are good job aids available?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Capacity</strong></td>
<td>1. Do the incumbents have the basic capacity to learn the necessary perceptual discriminations with accuracy and speed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Are they free of emotional limitations that would interfere with performance?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Do they have sufficient strength and dexterity to learn to do the job well?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Motives</strong></td>
<td>1. Do incumbents seem to have the desire to perform well when they enter the job?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2. Do their motives endure? Is the turnover low?

Chapter 8 Cause Analysis Citations

1. Rothwell, 1996b, p. 79
2. Rosenberg, 1996a, p. 380
5. Rossett, 1999, p. 38
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10. Gilbert, 1996, p. 76
11. Stolovitch, 2010, p. 10
16. Rossett, 1999, p. 38
17. Rothwell, 1996b, p. 161
18. Rothwell, 1996b, pp. 159–160
20. Rossett, 1999, p. 43
22. Mager and Pipe, 1984, p. 31
Chapter 8: Cause Analysis References


SECTION 2 CASE STUDY

Topic: Performance Analysis

Situation: The Blake Company/Mutschler Kitchens

Author: Anne M. Blake, M.A., EdS, Director of Operations, The Blake Company, Michigan

BACKGROUND
The Blake Company is a residential building company outside of Detroit, Michigan. Originally the organization focused on purchasing old estates in the upscale suburb of Grosse Pointe, subdividing the property into smaller lots, and building homes on the lots. As the supply of large estates dwindled, the owner of the company branched into major renovations of existing homes. Within this context he frequently worked with a well-established kitchen company in the area, Mutschler Kitchens.

SITUATION
After several years, the owner of The Blake Company purchased Mutschler Kitchens in an attempt to gain economies of scale in his business. However, shortly after purchasing the business, the new owner realized that there were some serious performance issues within the newly acquired organization. A review of the financial data indicated that the margins were lower than they needed to be for the organization to make a profit. Jobs were not being closed out due to minor details that were not getting finished.
in a timely manner. There were rumors in the community that customer satisfaction levels were dropping.

**INTERVENTION**

Over the course of the next year, the owner embarked on a performance improvement journey. He began by analyzing every aspect of the Mutschler Kitchens organization. He interviewed the employees, the suppliers, the subcontractors, and the customers. He visited successful competitors to see how they did business. He reviewed all of the company’s processes, policies, and forms. He analyzed the work flow and the procedures that the kitchen designers followed while they attempted to make a sale. He visited construction sites to watch the process in action.

Based on this review, the owner developed three goals: (1) to increase customer satisfaction, (2) to increase the profit margins for each job, and (3) to decrease the uncertainty and number of crises at the construction sites.

To accomplish these goals, the owner took a close look at the causes of the problems that existed. He determined that the biggest problem for all of the stakeholders was that the kitchen remodeling jobs were being sold with too many undefined issues on the table. The result was that customers did not clearly understand what they were buying, kitchen designers did not understand what they were selling, and subcontractors did not clearly understand what they were building. This caused high levels of on-the-job
stress, crises, and frequent job stoppages due to unanticipated shortages and required decisions. Budgets were difficult to create and adhere to, resulting in lower than desired profit margins.

The owner developed the following design and sales process to address this issue. The kitchen designer holds a series of selection meetings with the customer to discern their needs. The designer develops a preliminary plan that includes a ballpark cost estimate. The customer and the designer collaborate to modify the plan until everyone is satisfied with it. When the customer is happy with the plan, he/she signs a design agreement and makes a deposit. This allows the organization to get a commitment from the customer before the organization spends a prohibitive amount of time and money doing detailed specifications. After the design agreement is signed, the designer works with the customer to plan every detail of the new kitchen. Specifications and working drawings are created. Next, the potential subcontractors walk through the job with the detailed specifications. This ensures that the owner can compare bids between competing subcontractors. If the customer wants to make a change to the plans, a change order is created and the plans and specifications are updated. This ensures that the specifications match the construction drawings, which reduces crises at the job site.

**CRITICAL BUSINESS ISSUE**
What is: Remodeling jobs were being sold with too many undefined issues so that customers did not clearly understand what they were getting, resulting in low levels of customer satisfaction. Designers and subcontractors did not have detailed plans to work from, resulting in high levels of on-the-job stress, crises, and frequent job stoppages due to unanticipated decision points. Budgets were difficult to create and adhere to, resulting in lower than desired profit margins.

What should be: All elements of the job should be defined at the time of the sale, so that the job can be produced on budget with high customer satisfaction rates and low levels of on-the-job crises.

FOCUS ON OUTCOMES OR RESULTS
The owner had three desired outcomes: (1) an increase in customer satisfaction, (2) an increase in profit margins for each job, and (3) a decrease in uncertainty and crisis at the construction sites.

FOCUS ON SYSTEMS VIEW
Inputs: The inputs for any construction project include accurate, detailed construction plans, drawings and specifications. In order to create these documents, customers need to make numerous selection decisions, including their choices of cabinets, appliances, tile, light fixtures, floor coverings, as well as the placement of plugs, racks, etc. Based on these selections, the kitchen designers can give customers accurate cost estimates.
**Process:** Customers participate in a series of design meetings with the kitchen designer. Once a general design plan is agreed upon, but before detailed construction drawings are developed, customers sign a design agreement and make a non-refundable deposit. After the design agreement has been signed, detailed specifications are developed. Potential subcontractors are invited to perform a “walk-through” of the job using the detailed specifications so that they can develop accurate bids.

**Output:** The output from the process described above is a complete set of job specifications that matches the construction drawings. This reduces uncertainty for all of the stakeholders. For example, the buyer knows what type of faucet they are getting and where the outlets will be placed in the kitchen island. The electricians know where to run the wiring and where to place the light fixtures.

**Constraints:** This process reduces uncertainty at the point of construction, but requires tremendous effort before the sale is complete. It is often difficult to get customers to make decisions before construction has begun. Construction subcontractors are a notoriously independent group of people, so it is challenging to get them to complete their job bids based on the detailed specifications provided to them. The kitchen designers at the organization had approximately twenty-five years of experience without a structured environment, so they were initially resistant to the development of a design process.
FOCUS ON VALUE

By implementing this design process, the business owner is trying to bring value to the customer in several ways. First, the customer will receive a realistic estimate of the cost of the project before they commit to it, so that they can determine whether or not they can afford to do the renovation. Second, the detailed specifications will reduce uncertainty in the construction process and eliminate the need for clients to make decisions on the job site. Third, the specifications will allow the construction team to order cabinets, appliances and fixtures in a timely manner, which eliminates construction delays. Fourth, the project manager can schedule subcontractors efficiently, which will streamline the construction process and get the job done quickly. This is particularly important if the buyer continues to live in the house during the renovation.

FOCUS ON ESTABLISHING PARTNERSHIPS

The process of completing the drawings and specifications helps the kitchen designer discern the clients’ needs and wants. As the client is increasingly able to articulate what they are looking for, the kitchen designer is able to focus on a design that is aesthetically pleasing, functional, and affordable.

The owner must also establish partnerships with a group of subcontractors. This relationship has an inherently adversarial element to it because the subcontractor wants to charge as much as possible, while the business owner wants to pay as little as possible.
BE SYSTEMATIC IN ASSESSMENT OF NEED, OPPORTUNITY, OR CHALLENGE

The owner approached the performance issue from every angle within the organization. He considered the perspective of each stakeholder: the buyer, the designer, the project manager, the suppliers, the construction team, as well as his own interest.

By talking with people in the community the owner got an understanding of the frustrations that most people have when they deal with a home renovation. It is very disruptive to have a house under construction and to have normal routines disrupted. It became clear that it is important to get a job done quickly and neatly, and to keep the owner informed of the progress on a daily basis.

The owner had a gut feeling that many potential customers came to Mutschler Kitchens to get ideas about a new kitchen design, and then had someone else do the construction for them. The owner saw an opportunity to get more construction jobs by asking customers to sign a design agreement and pay a deposit after they received preliminary drawings. This would have the added benefit of saving him money in terms of the hours that the kitchen designers spent drawing detailed plans and giving them to customers who then failed to return for the construction process.

Under its previous ownership, Mutschler Kitchens had not followed costs on a job by job basis. The new owner wanted to know how much each
job cost so that he could develop a sense of where costs could be reduced and profits maximized.

**BE SYSTEMATIC IN THE ANALYSIS OF WORK, WORKER, WORKPLACE, AND WORLDVIEW TO IDENTIFY THE CAUSES OR FACTORS THAT LIMIT PERFORMANCE**

The owner asked each stakeholder to describe their roles and the challenges that they face as part of their job. The business owner concluded that the organization needed a comprehensive set of procedures to guide the design and build process. He met with staff members to discuss ideas. Initially, employees were reluctant to give opinions, but the owner found that as he included people in the planning process, they began to contribute ideas in a meaningful way.

The owner learned from the kitchen designers that they were reluctant to ask potential customers to make selection decisions early in the process. The owner could also see that potential subcontractors were reluctant to give detailed bids for jobs based on vague construction drawings and specifications.

**BE SYSTEMATIC IN THE DESIGN OF THE SOLUTION**

The business owner understood that in order to be successful he needed buy-in from the stakeholders within the organization. He engaged employees in the design of the processes that would guide future jobs.
Initially, some of the kitchen designers were understandably resistant to the idea of designing a structured process for sales. It is easier to sell a job if the conversation deals in generalities. It is harder if you sell a job if you ask the customer to make detailed decisions early in the process.

The owner also read current trade magazines, talked to other business owners, and shopped at competing kitchen companies. Since the industry publications did not address the design and development of a systematic process, the owner had to rely on his own organizational resources to design the solution.

The owner decided to transfer the Mutschler Kitchens division to the same construction accounting program that he used in the new construction portion of his business. This allowed him to begin to track costs for each job in great detail.

**BE SYSTEMATIC IN THE DEVELOPMENT OF THE SOLUTION**

The owner worked collaboratively with the employees to develop a detailed process manual. In addition, he created a one page performance support tool to illustrate the sequential steps that employees should follow through the sales process.

Over the course of the next year, the manual was edited four or five times as processes were refined.

In addition, the owner developed a one-page explanation of the new process that was given to potential customers early in the design process.
BE SYSTEMATIC IN THE IMPLEMENTATION OF THE SOLUTION

The implementation of the new processes was challenging for all of the stakeholders. The kitchen designers had been working without written processes for many years, and occasionally needed to be reminded to follow the procedures that had been established.

Some of the customers were resistant to making decisions early in the process. The owner worked with the designers to educate the customers about the benefits of the new process. By pointing out to the customers that they would get a better result at a lower cost and in less time, the owner was able to get buy-in from the vast majority of customers.

BE SYSTEMATIC IN THE EVALUATION OF THE PROCESS AND THE RESULTS

The owner developed a customer satisfaction survey in order to get systematic feedback on the new processes. The results have been overwhelmingly positive, with all of the customers in the past five years indicating that they were extremely satisfied with their experience.

The cost accounting program provided the owner with detailed information about profit margins for each job. They were able to accurately predict gross profit within 2 percent.

With the implementation of the design agreement process, the owner saw an immediate decrease in his costs to develop kitchen designs for
customers who were not really serious about following through with the process.

The owner immediately began to see a decrease in change orders, which resulted in less administrative costs and more certainty for the client, since they did not inadvertently add costs to the project which would result in a decrease in their level of satisfaction when they received the bill.

**IDENTIFY 2–4 LESSONS LEARNED FROM THE CASE**

Involving all internal and external stakeholders provides buy-in, collaboration, and partnership as well as establishing an atmosphere of trust and mutual cooperation.

1. Initially performance improvement can be a long, tedious, trial and error experience. However, with systematic processes in place, targeted accountability mechanisms identified, and a genuine desire to do the right thing in an ethical manner, an organization will reap the benefits associated with success.

2. Work with vendors to encourage pride in their deliverables. Work with clients by providing value in quality and service.

3. Be patient in implementing planned and systematic change and monitor the process.

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SECTION 2 CASE STUDY

**Topic:** Gap and Cause Analysis

**Situation:** Physician Performance Report Accuracy and Timeliness

**Author:** Hillary N. Leigh, M.A., Senior Consultant with Kaiser Permanente, California

**BACKGROUND**

Allied Health* is an HMO located in the Midwestern United States. The mission of a health maintenance organization (HMO) is to provide quality health care focusing on prevention and healthy living. In order to fulfill this mission, national standards and guidelines have been developed that outline steps that ought to be taken by an HMO to provide quality health care. A core component of these guidelines relates to providing physicians with informative reports on various process and outcomes measures.

**SITUATION**

In particular, one of the national standards relates to providing Primary Care Physicians (PCPs) with performance data that demonstrate comparisons with the performance of peers. These data should measure individual PCPs’ performance on a number of utilization, pharmacy, and quality measures (such as cancer screenings) and provide the PCP with actionable information to improve their performance in these areas. In order to comply with
national standards and guidelines, Allied Health has negotiated contracts that specify expectations for the distribution of performance data reports.

**CRITICAL BUSINESS ISSUE**

Over the past two years, Allied Health has exceeded contract requirements for timeliness of reporting and has received a number of complaints about the accuracy of these reports.

**FOCUS ON OUTCOMES**

The general goal of this project was to improve distribution cycle time and data accuracy on the PCP Profiles (performance reports). The following measures served as indicators of performance:

- Report accuracy
- Turnaround time
- Provider satisfaction with reports
- Changes in provider performance

As will be seen in this case, the first two indicators played an important role in the gap and cause analysis, but the latter two indicators helped to frame the deeper purpose for the project (and as “downstream” effects, were considered in the overall evaluation of the interventions over time).

**SYSTEMS VIEW**

These outcomes were selected by taking a systemic view of the critical business issue, using the following questions as a guide: (1) How does the
performance problem relate to the mission of the organization? (2) How does the performance problem influence compliance with national guidelines and contract agreements? (3) How does this problem impact key stakeholders?

**VALUE ADDED**

The project adds value to the organization through its close ties to the mission. Instead of concentrating on a particular method or procedure, the project focused on the desired outcomes/results of meeting contract requirements and report accuracy.

**FORMING PARTNERSHIPS**

Results were achieved through partnering with internal and external stakeholders to carefully consider pressures, expectations, constraints, and consequences. As will be demonstrated in the following sections, external stakeholders were engaged at multiple points through interviews and questionnaires. Internal partnerships also played a key role in the project, especially when identifying current levels of performance. While outside the scope of the case, these partnerships were leveraged again in the identification of interventions. These partnerships were critical to maintaining a focus on outcomes, understanding the critical business issue from a system-perspective, and to supporting the adoption of the interventions within the organization.

**GAP ANALYSIS**
The gap analysis sought to answer questions that are relevant to the gap in performance through the collection of quantitative and qualitative data. The following table demonstrates key questions and methods used:

<table>
<thead>
<tr>
<th><strong>Key Questions</strong></th>
<th><strong>Data Collection Method</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the level of accuracy of the reports?</td>
<td>Review of extant data (provider complaints and supplemental follow-up)</td>
</tr>
<tr>
<td>What kinds of complaints about accuracy are being received?</td>
<td>Review of extant data (previously collected questionnaires and interviews)</td>
</tr>
<tr>
<td>What level of accuracy is expected?</td>
<td>Benchmarking and Literature review</td>
</tr>
<tr>
<td>What is the performance of similar health plans?</td>
<td></td>
</tr>
<tr>
<td>What is the current distribution cycle?</td>
<td>Time study</td>
</tr>
<tr>
<td>What tasks do people perform during distribution?</td>
<td></td>
</tr>
<tr>
<td>How long do these tasks take?</td>
<td></td>
</tr>
<tr>
<td>What problems do people encounter when performing these tasks?</td>
<td>Job observation/interviews</td>
</tr>
<tr>
<td>How satisfied are providers with the current reports?</td>
<td>Review of extant data (provider complaints and previously collected questionnaires)</td>
</tr>
<tr>
<td>How are providers performing on the measures that are included in the PCP profile?</td>
<td>Trend analysis</td>
</tr>
</tbody>
</table>
These questions and data collection methods were used to assess current performance, establish a desired level of performance, and quantify a performance gap for each indicator. Selection of data collection methods was a key decision in this phase, with special consideration of whether the method was likely to provide a credible answer to the key question it targeted. Of course, practical considerations came into play and extant data were used where they existed and were relevant to the questions. This assessment was used to guide Cause Analysis.

**INDICATOR #1: REPORT ACCURACY**

A questionnaire conducted just prior to the beginning of the project were available for the team to review. The results of the questionnaire were 40% of the respondents perceived the reports to be accurate, 26% noted that the reports were inaccurate and 24% were uncertain of the reports accuracy. Respondents noted dissatisfaction with the accuracy of the patient panel reports (these are the reports that are used to identify patients who are due or overdue for services).

A shortcoming of this questionnaire was that an exceedingly small proportion of the physician providers responded. Therefore, the team sought other information to validate the results. This was accomplished by vigorously investigating individual complaints received from providers in order to determine trends. The process is described further in the section on Cause Analysis.
INDICATOR #2: TIMELINESS OF REPORTING

The project team assessed the current overall distribution cycle and determined that reports were distributed sporadically. The most recent distribution occurred 73 days past the end of the previous quarter, which far exceeds industry standards and stakeholder expectations. Through interviews with senior leaders and their front-line staff, the secretary pool that collates the reports, and a time study/observation, the team observed the following:

<table>
<thead>
<tr>
<th>Task</th>
<th>Department responsible</th>
<th>Duration of task</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request list of active physician providers</td>
<td>Informatics</td>
<td>14 days</td>
</tr>
<tr>
<td>Load claims data</td>
<td>Information Technology</td>
<td>13 days</td>
</tr>
<tr>
<td>Develop databases</td>
<td>Informatics/Pharmacy/Quality Measures</td>
<td>13 days</td>
</tr>
<tr>
<td>Perform quality check on data</td>
<td>Informatics</td>
<td>9 days</td>
</tr>
<tr>
<td>Print reports</td>
<td>Informatics</td>
<td>3 days</td>
</tr>
<tr>
<td>Deliver reports to secretarial pool</td>
<td>Informatics</td>
<td>1 day</td>
</tr>
<tr>
<td>Prepare reports for mailing</td>
<td>Secretary pool</td>
<td>32 days</td>
</tr>
<tr>
<td>Deliver reports to mailroom</td>
<td>Secretary pool</td>
<td>1 day</td>
</tr>
</tbody>
</table>

INDICATOR #3: PROVIDER SATISFACTION WITH REPORTS
Allied Health is required to conduct an annual survey to determine how satisfied its physician providers are with the services provided by the health plan. Therefore, the team was able to assess trends in provider satisfaction with the Panel and Profile Reports. In general, provider satisfaction with these reports appeared to be improving.

At the time of project initiation, Allied Health did not track provider complaints relating to these reports. Therefore the team worked to characterize complaints related to accuracy by obtaining copies of the complaints that were recorded. These complaints fell into two categories:

- Inaccurate patient panel reports (incorrect patients)
- Overdue service when that service was already performed

**ESTABLISHING A DESIRED PERFORMANCE LEVEL AND QUANTIFYING A GAP**

In order to determine a desired level of performance for report accuracy, interviews were conducted with key stakeholders including physicians and senior leaders. The former stakeholders were selected due to their perspectives on the ultimate utility of the reports and competitors’ performance, while the latter were chosen for the input related to industry standards and organizational capabilities. These interviews surfaced a limitation in terms of the relative “lag” in reporting. Because data are not reported in real-time, there was not an expectation of 100% accuracy for both indicators.
For each of the accuracy indicators targets were determined as follows:

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Desired Performance</th>
<th>Current Performance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Panel accuracy complaints</td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td>Panel accuracy</td>
<td>95%</td>
<td>66%</td>
</tr>
<tr>
<td>Service accuracy</td>
<td>75%</td>
<td>56%</td>
</tr>
</tbody>
</table>

During the interviews, the team discovered that Allied Health, as well as other health plans, send physicians reports on a quarterly basis; however, these reports generally arrive prior to Allied Health’s reports.

In addition to interviewing stakeholders, the team conducted a literature review to determine how other health plans were performing in this area. The search unearthed few specifics in terms of report accuracy and timeliness of distribution, but revealed useful information about physicians’ expectations regarding data validity, reliability, and desire for actionable data. The American Academy of Family Physicians (AAFP)\(^1\) and American Medical Association (AMA)\(^2\), both have published policies and guidelines for health plans to use when profiling physicians. A survey conducted by Medstat demonstrated a trend toward quarterly performance reporting to physicians.\(^3\)

The team determined that the current contract requirements for report distribution were aligned with external competitors’ practices, and established a desired performance level.
CAUSE ANALYSIS METHODS

Before conducting a cause analysis, the team determined whether the gaps in performance were worth the time and resources necessary to continue. There are several factors that demonstrated worthiness to proceed:

1. Performance is closely tied to organizational mission and contract arrangements
2. Availability of extant data
3. The cost of “doing nothing” exceeded the cost of analysis

This process only required a small amount of time and resources, yet provided a compelling justification to senior leaders and front-line managers for moving ahead with cause analysis. During this phase, the team investigated what might be likely root causes for these performance deficiencies. The following methods were used to develop hypotheses about why these gaps existed:

<table>
<thead>
<tr>
<th>Sub-Indicator</th>
<th>Method(s) of Analysis</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Panel accuracy complaints</td>
<td>Review of extant data</td>
<td>Provider complaints</td>
</tr>
</tbody>
</table>
As a result of what was learned during Gap Analysis, the consideration of the indicator related to provider satisfaction with reports was collapsed into the others. The team used an updated version of Gilbert’s Behavior Engineering Model 4, in order to propose likely causes for the performance gaps.

**INDICATOR #1: REPORT ACCURACY**

The team had already discovered during needs analysis that the bulk of accuracy issues were related to the panel reports. During a review of extant data and interviews with the data analyst who produces the reports, the team discovered the following:

**Panel Accuracy:** 33% of the panel accuracy errors occurred at the end of physician’s report. Each physician’s report is organized alphabetically by
The data analyst was not aware of what aspect of the report query was causing this to happen.

*Service Accuracy:* Where physicians noted that a service had already been completed (and therefore was inaccurate), 51% of these services were completed prior to the date that the reports were executed.

- Further analysis of the process demonstrated that the report period was limited to the end of the prior quarter because this is when the database is considered most accurate; however, 40% of these services were available in the database when the reports were executed but were excluded from the reports by the data report period constraints.

<table>
<thead>
<tr>
<th>Panel Accuracy</th>
<th>Knowledge, Resources (Process)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Root Cause:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Accuracy</th>
<th>Resources (Process)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Root Cause:</td>
<td></td>
</tr>
</tbody>
</table>

**INDICATOR #2: TIMELINESS OF REPORTING**

The team had already determined that reports were distributed sporadically and that the distribution cycle far exceeded industry standards and stakeholder expectations. Through interviews with senior leaders and their
front-line staff, the secretary pool that collates the reports, and a time
study/observation, the team observed the following:

**Distribution Frequency:** Departments that contribute to the quarterly report
have a high level of accountability for their individual tasks in the process,
but are unaware of the expectations of senior leaders and the recipients of
the reports. Furthermore, departments do not communicate during the
process and few participants have even seen the final product that is mailed
to physicians. Senior leaders comment that departments ought to
experience more accountability.

**Distribution Cycle:** The primary task that is impacting the duration of the
cycle is when the secretary pool prepares reports for mailing (32 days).
Upon observation, it was discovered that this task required rework and
reprinting due to errors. Collation is complicated due to special
arrangements with individual networks, and the secretary pool is completing
these in addition to regular and unrelated tasks.

**SUMMARY AND LESSONS LEARNED**
As a result of the gap and cause analysis phases, a compendium of
interventions was identified and implemented. Many of these interventions
focused on process redesign, assignment of tasks, and communication of
expected timelines. Due to the scale of change that was required, the team
executed a number of balancing interventions to support the management of
these changes as well.
The major lessons learned in this project highlight the importance of gap analysis in a successful performance improvement project. In this case, the method employed for establishing current performance was also a key aspect of the cause analysis. The time study not only documented the current process but also revealed that the bulk of the timeline was devoted to one task, making it a prime opportunity for intervention. Moreover, the process stakeholders were engaged in studying the process as it existed, so that when it came time to intervene, they were not only involved in the implementation of interventions, but also in their design.

Finally, shortcomings of the analysis phase can be leveraged and overcome. For example, the survey of physicians related to report accuracy yielded a fairly low return. Therefore, the team elected to follow up extensively with those that responded and on complaints received about the reports. After in-depth review of a few of the inaccuracies, the solution to the problems with report accuracy turned out to be a simple change to the report programming. This helped to illustrate that the rigor of analysis does not always depend on mountains of data, rather on the thoroughness and suitability of the questions asked.

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References
SECTION 3
INTERVENTION SELECTION, DESIGN, DEVELOPMENT

[Insert Cartoon 3: Track Relay: “using dynamite as a baton has dramatically improved their time” here]

Cartoon 3

CHAPTER 9
INTERVENTION SELECTION

Intervention selection is an integral part of the performance improvement phase that also includes intervention design, intervention development, and producing a business case. The Performance Improvement/HPT Model (Figure 9.1) illustrates where intervention selection is positioned in the performance improvement process.

[Note to Editor: shade Intervention Selection, Design, Development box]

Figure 9.1
Intervention Selection, Design, Development Component of the Performance Improvement/HPT Model

Performance improvement is complex because it involves many uncertainties, such as individual human behavior, collective organizational behavior, and the dynamics of the internal and external environment. Almost anything can influence behavior: culture, leadership, workspace design, supervision, communication, financial systems, motivation, strategic
and operational planning, or skills, attitudes, and knowledge. In turn, an infinite range of performance improvement interventions exists. Creativity and “out-of-the box” thinking can lead to selecting intervention solutions that match the culture and goals of the organization.

There is an old tale about an operations manager who needed help with a performance problem and so he brought in a wide range of consultants. The accounting expert recommended an accounting intervention to solve the problem. The product engineering expert recommended product redesign. The process improvement specialist recommended a process change. The performance improvement practitioner, who did not come in with a bias for any particular solution, proposed a structured process, using the Performance Improvement/HPT Model, for validating the problem, determining the root cause, and identifying a range of potential solutions prior to make a selection decision. The performance intervention selection phase as presented in the Performance Improvement/HPT Model (Figure 1.5) and the example above structures and reinforces the performance improvement process and, in turn, depends on collaboration and openness to new ideas for its success.

**Definitions and Scope**

Before beginning a discussion of how to conduct intervention selection it is important to make sure the author and the readers are on the same page.
Therefore, the terms *interventions* and *intervention selection* both need clarifying.

**Interventions.** Interventions are deliberate, conscious acts that facilitate change in performance. They are measures that are planned, selected and designed to solve workplace problems or address promising opportunities and challenges.

Some interventions are change efforts that are long-term, evolutionary and progressive. They are targeted to organizations, departments, work groups, and individuals. Interventions are “the kinds of things you can do to bring about changes in job performance.” An intervention is “another name for a solution or set of solutions, usually a combination of tools and techniques that clearly and directly relate to solving a performance gap or implementing an organizational change.”

However, they are defined, interventions run the gamut from large scale organizational change efforts to individual or small group efforts. Large scale initiatives affect entire organizational systems at local, national, and global levels; more modest interventions include ergonomic changes that provide comfort from Repetitive Stress Syndrome to performance support tools, which remind, aid, or assist workers to evaluate and do work.

Langdon also considers types of performance change that are required prior to intervention selection. There are interventions such as mentoring, modeling, training, and so forth, that establish performance; (,
etc.); business planning, coaching, feedback, and other interventions that improve performance; interventions such as compensation, performance standards, work schedules, and so forth that maintain performance and outsourcing, withholding rewards, withholding information, and other interventions that extinguish performance.

Finally, one single performance problem or gap may require more than one intervention. For example, resistance to using new software can be caused by software glitches, learning time, and memory requirements and at require multiple interventions such as continuous improvement of the software, help systems, feedback, rewards, performance support, and coaching (see Table 9.1). Usually organizations will choose several interventions to resolve the many aspects of the problem. The interventions are then blended or integrated so they work together as a unit. Blended solutions can be phased in at separate times or used concurrently.

**Intervention Selection.** Intervention selection is the process of identifying and recommending the most appropriate activities to successfully resolve a performance improvement problem, opportunity or challenge. The intervention selection process helps manage and simplify the selection effort so that interventions may be selected, planned, and implemented carefully.

Usually there is a formal or informal diagnosis phase to determine and gain consensus regarding the workplace situation. Using sound selection methods is actually more important than simply getting the right “answer.”
Group involvement and group commitment to the ultimate decision will minimize conflict and resistance later during implementation. Performance improvement practitioners normally facilitate this selection process because they have experience and expertise in performance improvement. The selection team and the practitioner collaborate to identify the best interventions.

There is no easy method for selecting possible interventions or solutions to performance problems or opportunities. The intervention selection process is divided into preliminary, survey, and selection phases to keep tasks manageable. The techniques and tools described in this chapter are designed to simplify and structure the selection tasks. In addition, possible interventions are clustered into categories to demonstrate the relationship between interventions: Learning, Performance Support, Job Analysis and Work Design, Personal Development, Human Resource Development, Organizational Communication, Organizational Design and Development, and Financial Systems. Categories and sub-categories of interventions will be described later in this section.

**Purpose**

The major goal or purpose of the intervention selection process is to identify and recommend the most appropriate performance improvement intervention(s) to resolve the problem. Other goals include selecting an intervention(s) that has strong employee and management commitment, is
feasible in terms of resource allocation and environmental issues, and is sustainable throughout the cycle of need. People need to believe the selected interventions are likely to solve or alleviate the problems and improve organizational or individual performance.

**COLLABORATIVE APPROACH TO SELECTION**

The recommended way to select a performance improvement intervention is to use the team approach. The performance improvement practitioner collaborates with the intervention champion(s) and other stakeholders in a team effort to select the most effective and feasible intervention for the given situation.

**Practitioner Roles and Competencies**

Intervention selection is one of the core capabilities required of successful performance improvement practitioners. Practitioners must be able to go beyond common sense. First, they must know the wide range of possible interventions that are available and/or where to locate experts and resources for more information; second, they must be able to align their recommendation with the results of the performance analysis; third, they must be able to select the intervention(s) that are most feasible and sustainable in the given situation; and fourth, they must be able to communicate their recommendation in a way that builds on and ensures stakeholder commitment.
Hutchison and Stein⁶ and Hutchison and Carleton,⁷ did extensive research on performance improvement practitioner competencies and view the practitioner as “generalists” who must be:

- expert in 15–25 interventions across broad classes,
- have a working knowledge of 45–75 interventions across the classes, and
- know the basic tenets or principles in more than half the interventions as well as how to contact the experts or access the resources related to the interventions.

These may appear to be extremely difficult competencies; however, Hutchison and Stein add: “We stand by these numbers because both of us have significantly exceeded them and we do not believe that we are uniquely capable. Many of our colleagues have also exceeded these specifications”.⁸

**Stakeholder Roles**

Successful implementation of performance interventions also depends on strong stakeholder support, carefully appointed team members, good decision making, and determined change-management leadership during both the selection and implementation phases. Collaboration and commitment are especially vital to the success of the selection process.

**Champion Roles**

Champions are committed to performance improvement. People need to believe the selected interventions are likely to solve or alleviate the
problems and improve organizational or individual performance. The support of a champion is essential for creating and sustaining commitment. The champion should have a fairly high level of function, such as a senior executive. Steady, consistent backing of the project is essential. If not, change efforts eventually fizzle and have minimal impact. The role of the champion is to:

- Set direction and establish authority and responsibility,
- Lend credibility and clout,
- Rally senior executives,
- Alleviate concerns and resistance,
- Maintain a high profile commitment to the change effort, and
- Support the team through difficulties.

**Teams Roles**

Teams of stakeholders can offer both commitment to performance improvement and help in determining the most appropriate interventions. Interventions usually have a substantial impact on the affected organization. Therefore, it is essential to have broad acceptance and support for any improvement activity. Creating a team to select potential interventions helps to ensure that there is a broad base of support. In addition, team members can provide different perspectives and ideas that can enrich the group’s decisions.
The intervention selection process should be structured so that the ideas of every team member are valued and considered. It is equally important that the teams be cross-functional to ensure a diversity of experiences and ideas needed to harness the creative forces within the organization. Teams should include representatives from the departments involved in the problem. Some representatives should be enthusiastic and energetic supporters of change and some should be more reserved and tend to ask “tough questions.” There should also be cross-departmental involvement from areas that provide or receive associated output and may be affected by the interventions.

**Timing**

When do performance improvement practitioners begin the intervention selection process? They begin after a solid performance analysis. “If you do not accurately and completely define the performance gap, you cannot hope to select all the needed interventions.” ⁹ The performance improvement practitioner needs to identify the gaps in performance and the kinds of performance changes that are indicated by the gaps. “. . .it is critical in intervention selection that you first determine, as part of the performance analysis, what the various changes in performance will be. When the analysis is structured to reveal the various elements of the performance, greater accuracy in the selection of interventions will be ensured for each performance change.” ¹⁰
INTRODUCTION TO THE INTERVENTION SELECTION PROCESS

Selecting the most appropriate performance improvement interventions(s) for an organization requires a systematic approach. The three phases and seven major steps of the performance intervention selection process are mapped in Figure 9.2. The steps in the Preliminary Phase may overlap the analysis phase as the performance improvement practitioner and stakeholders determine or confirm the performance gap and its cause(s) and either moves directly to the Survey Phase or prioritizes gaps and causes before beginning the Survey Phase. During the Survey Phase the practitioner and stakeholders identify and prioritize potential interventions and then move on to the Selection Phase to select the most appropriate intervention(s) and plan next steps.

Figure 9.2
Intervention Selection Process
[Insert Figure 9.2 Intervention Selection Process here]

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INTERVENTION SELECTION: PRELIMINARY PHASE

The Preliminary Phase sets the stage for selecting interventions.

Intervention selection depends upon reliable performance and cause analyses. It is essential to have agreement on what the problems are and what causes the problems. If formal analyses already are completed, the intervention selection team needs to concur that the findings and
recommendations are valid. Analysis data are a powerful resource for decision making.

If no formal performance gap and cause analyses were conducted, the team should at least conduct an analysis or facilitate discussion and come to agreement about performance problems, gaps, and causes before the intervention selection process begins. There is a great advantage to conducting a structured analysis of performance including organizational, environmental, gap, and cause analyses prior to selecting interventions. Section 2 in this volume provides information about performance analyses.

If there are multiple problems, it is necessary to rank the problems according to pre-selected criteria; for example: Which problem has the most impact on the bottom line? Which problem can be fixed in the shortest time and for the least expenditure of resources? Usually the criteria can be developed from the results of the performance analysis, especially the organizational and environmental analyses.

The purpose of the Preliminary Phase is to focus attention on the performance problem(s) and the cause(s), rather than the symptoms. Interventions based on symptoms may temporarily improve a situation but the underlying problem remains. In order to make headway and to be effective, it is necessary to select interventions that will alleviate or improve causes of poor performance and benefit both the worker and the organization.
Steps 1 and 2: Validate and/or Conduct Performance Gap and Cause Analysis

It is necessary to have a good grasp of the performance gap and its causes before beginning to think about solutions. In fact, Rummler suggests that “performance consultant ‘right stuff’ includes, among other things, remaining solution-neutral.” \(^{11}\)

**Validate Performance Gap and Cause.** If the intervention selection team did not participate in the original performance analysis, the team needs to validate the analysis results as step one in the intervention selection process. In the preferred scenario, a performance improvement practitioner facilitates the process of validating the performance gaps, and causes that surfaced during the performance analysis. In other cases, quality teams or performance improvement teams validate the analysis using quality or group process tools to validate the analysis.

Without a clear consensus on the problem and its cause, it is difficult to agree on solutions or their implementation. It is too easy to put energy into efforts that miss the mark. These failed attempts cause discouragement in the work force and lead to loss of credibility and trust for senior management and the improvement team.

**Focus on Causes.** A cause is the underlying issue or opportunity that triggers the need for performance improvement. A symptom is the
presenting characteristic. When the performance improvement effort eliminates a symptom, another one usually crops up.

When the performance improvement effort focuses on the cause, the underlying problems are usually resolved. A symptom, such as absenteeism, is usually caused by an unsatisfactory culture or an undesirable supervisor, and so forth. Threatening dire consequences for one more absence may alleviate the absenteeism but that does not deal with the undesirable supervisor. In order to make headway and to be effective, it is necessary to focus attention on the most important causes and select interventions that will alleviate or improve causes to benefit workforce performance.

Conduct an Analysis. There are two instances when the intervention selection team may need to conduct a performance analysis during the preliminary intervention selection phase:

- A performance analysis has not been conducted prior to intervention selection, or
- The gap and cause were not validated during the preliminary intervention selection phase and/or a new performance problem(s) surfaces during design, development, or implementation of the intervention.

Consider the situation of employees who were reluctant to use new customized software after they began using it on the job. The software was
designed based on a performance analysis to make their jobs easier and to improve accuracy. There is plenty of work, so there is no fear of job loss to technology and automation. Yet, after training employees still prefer the old system. Whether this problem was caused by failure to validate the original performance analysis prior to selecting the new software or it was a new performance problem, the selection team conducted a new gap and cause analysis and the results are summarized in Table 9.1.

Table 9.1

Summary of Gap and Cause Analysis Conducted After Intervention

<table>
<thead>
<tr>
<th>Activity</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gap Analysis</td>
<td>Although employees attended training, they resist using new software and prefer the previous or legacy systems.</td>
</tr>
<tr>
<td>Cause Analysis</td>
<td>1) There are a few software glitches and employees do not know how to overcome them.</td>
</tr>
<tr>
<td></td>
<td>2) New software system takes longer to use at first (time to proficiency) and managers push for speed.</td>
</tr>
<tr>
<td></td>
<td>3) Employees can’t remember all the steps and using the documentation is awkward on their desks.</td>
</tr>
<tr>
<td>Intervention Selection</td>
<td>Cause: Glitches in the software</td>
</tr>
<tr>
<td></td>
<td>Interventions:</td>
</tr>
<tr>
<td></td>
<td>• Continuous Improvement–To remove glitches</td>
</tr>
<tr>
<td></td>
<td>• Help System–To communicate glitches and offer</td>
</tr>
</tbody>
</table>
Cause: Time to proficiency

Interventions:

- Feedback—Managers stress importance of using new software to generate reports and so forth
- Reward—Token of appreciation for efforts to become proficient in use of new software

Cause: Documentation problems

Interventions:

- Performance Support—Small spiral notebook (PST) containing key steps only
- Coaching—Readily available resource person to help employees with initial usage

SURVEY PHASE

The Survey Phase of the Intervention Selection Process includes steps 3–5. Each step requires creativity and a willingness to try new strategies. During Step 3, the group, with a team leader or performance improvement practitioner, reads through the possible interventions listed on PST 9.2 below and discusses possibilities. During steps 4 and 5 of the Survey Phase, each team member reads the survey descriptors individually and reflects on a maximum of 10–15 possible interventions.

Each team member relies on personal experience and judgment to independently select potential interventions and prioritize them according to pre-selected criteria. The Survey Phase should be completed as a facilitated
group activity or it may be done privately on an individual basis. In either case, there should not be any external influence on the process beyond the members of the intervention selection team.

**Step 3: Group Selects Potential Interventions**

With the performance improvement practitioner or team leader, the team may be able to choose the most likely categories (such as financial systems or personal development) to focus on by using PST 9.2: Intervention Selector. When in doubt, it is best not to eliminate any potential categories as an opportunity for performance improvement. Thinking creatively at this point may provide the greatest leverage and opportunity for successful results.

It is impossible to identify a definitive list of interventions that would fit all circumstances. PST 9.2 Intervention Selector records a listing suggested by the authors and other performance improvement experts based on empirical observation and/or experience. The interventions selected for this edition have been refined or restructured from the previous editions or added as new. They reflect what is happening in the field at this moment in time as well as point to what may happen in the future.

Chapters 10–17 will provide definitions, scope and workplace implementation suggestions for the interventions listed in the Intervention Selector. Definitions for each intervention are also in the Glossary. After the participants select possible categories, the practitioner makes sure that
everyone on the team understands the meaning of each intervention in the
category. Some interventions will be familiar and others will be less
common.

**PST 9.2**

**Intervention Selector**

**Directions:** Identify a maximum of 10–15 possible interventions and rank
or prioritize these interventions.

### Learning Interventions

- Knowledge Management
- Organizational Learning
- Learning Management System
- Content Management System
- Education/Training
- Self-Directed Learning
- On-the-Job Learning
- Just-in-Time Learning
- Action Learning
- Blended Learning
- Technical and Non-Technical Learning
- Social Learning
- Interactive Learning Technologies
- Enterprise Learning
- Classroom Learning
- Distance/Distributed Learning
- Online/e-Learning
- Wikis, Avatars, and More
- Games/Simulations

### Performance Support Interventions

- Performance Support Tools (PSTs) or Job Aids
- Electronic Performance Support Systems (EPSS)
- Documentation and Standards
- Expert Systems

### Job Analysis/Work Design Interventions

#### Job Analysis

- Job Descriptions
- Job Specifications

#### Work Design

- Job Design
- Job Enlargement
- Job Rotation

#### Human Factors

- Ergonomics
- Safety Engineering
- Security Management
- Green Workplace

#### Quality Improvement

- Total Quality Management (TQM)
- Job Enrichment
- Reengineering, Realignment, Restructuring
- Continuous Improvement
- Preventive Maintenance (PM)
- Six Sigma
- Lean Organizations

### Personal Development Interventions
- Feedback
- Coaching
- Mentoring
- Emotional Intelligence
- Social Intelligence
- Cultural Intelligence
- Communities of Professional Practice

### Human Resource Development (HRD) Interventions

#### Talent Management
- Staffing
- Employee Development
- Retention
- Compensation/Benefits
- Health and Wellness
- Retirement Planning
- Labor Relations

#### Organizational Growth
- Succession Planning
- Career Pathing
- Leadership Development
- Executive Development
- Management Development
- Supervisory Development

#### Individual Growth
- Motivation
- Performance Management
- Key Performance Indicators (KPIs)
- Performance Appraisals
- 360° Appraisals
- Competencies
- Competency Testing

#### Organizational Communication Interventions
- Communication Networks
- Information Systems
- Suggestion Systems
- Grievance Systems
Organizational Design and Development Interventions

**Empowerment**
- Team Strategies
- Virtual Teams
- Problem Solving

**Organizational Pro-Action**
- Strategic Planning
- Environmental Scanning
- Appreciative Inquiry
- Outsourcing
- Benchmarking
- Balanced Scorecard
- Dashboards

**Organizational Values**
- Culture
- Diversity
- Inclusion Strategies
- Globalization
- Localization
- Social Responsibility
- Ethics
- Decision Making

**Financial Systems Interventions**
- Open Book Management
- Profit Versus Cost Center
- Financial Forecasting
- Capital Investment and Spending
- Cash Flow Analysis
- Cash Flow Forecast
- Mergers, Acquisitions, Joint Ventures

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**Steps 4 Individuals Select Potential Interventions**
Each participant reads the descriptors for the selected categories in PST 9.2 Intervention Selector. Each individual team member selects 10–15 potential interventions.

**Step 5: Individuals Prioritize Potential Interventions**

Finally, participants individually prioritize the possible interventions (see PST 9.3). The outcome of the individual activity is a prioritized list of approximately five to six interventions that the group can work with during Step 6 of the Selection Phase. The activity also clarifies how each person describes the interventions he or she selected.

**PST 9.3**

**Intervention Priority Chart**

**Directions:** After reflection, select six interventions from the 10–15 interventions you checked on PST 9.2 Intervention Selector that you believe to be **most** feasible solutions for the identified performance gap and cause. Enter the name of the intervention next to the priority number that you would assign to the intervention (6=highest priority to 1=lowest priority). If you select fewer than six interventions, you should still begin with six and leave the lower numbers blank. (See the example below.)

After you have prioritized the interventions use column three to briefly describe each intervention in your own words.

<table>
<thead>
<tr>
<th>Priority (6–1)</th>
<th>Intervention</th>
<th>Personal Description of Intervention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: 6</td>
<td>Coaching</td>
<td>Readily available resource person to help employees with initial usage</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**SELECTION PHASE**

The Selection Phase requires group involvement. The Survey Phase was primarily an individual effort; it is now necessary to come together as a group to make a final intervention(s) selection and determine next steps.

Group acceptance and support are necessary in order to make changes in people, processes, or the organization. Group involvement assures that many ideas are included and that any decisions have collaboration and participation from diverse areas and levels of the organization. Diversity is critical for bringing all the potential issues to the discussion table before implementation. In addition, team decisions can serve as communication mechanisms so that the entire affected organization feels a sense of participation.

The team uses brainstorming and multi-voting to select the intervention(s) that best resolves the performance problem or potential
opportunities. Then the team participates in an action planning activity to plan next steps.

**Step 6: Group Selects Intervention(s) to Implement**

During Step 6 team members brainstorm and discuss their own opinions and judgments about prioritizing the possible interventions. Then the group uses multi voting to reach a consensus.

**Brainstorm.** The performance improvement practitioner or team leader will facilitate a group discussion of the individual priority lists gathered during the survey phase. Using brainstorming techniques, each team member discusses his or her highest or 6th priority intervention using a round robin format. All team ideas are recorded.

After the first round, each team member discusses his or her own intervention selection in the fifth position. This continues downward to the lowest. Although there may be substantial redundancy in the interventions discussed, each team member has a unique reason for making the selection. Therefore, each intervention needs to be discussed relative to the reason why each person selected it.

**Multi-Voting.** Each intervention selection team member should review his or her personal priorities based on the team discussion. The PI practitioner or team leader will establish the multi-voting process. Multi-voting means that each team member gets a few votes so there is no need to choose only one possible intervention. Depending on the size of the
team and the number of potential interventions, multi-voting should allow approximately 1/3 of the possibilities. For example, if there are 12 potential interventions, then each team member would get four votes. Each team member can cast all votes for one choice or spread out their choices over four different interventions. Teams sometimes use sticky dots or felt pens on flip chart paper. At this point it may be possible to see clear agreements. These should be confirmed through group decisions. If there are not clear indications, the team should discuss the voting results. A second voting may be needed to narrow down the top selections. This second vote should result in clear priorities so that action planning can begin.

**Selecting Successful Interventions**

Here are some general suggestions for selecting successful interventions:

1. **Base decisions on a comprehensive understanding of the situation.**
   
   This is where previous performance and cause analysis efforts come together.

2. **Target the right people, in the right setting, and at the right time.**

3. **Have a sponsor who will champion the activity.**

4. **Use a team approach; draw upon expertise from all areas in the.**

5. **Include cost and being value sensitive.**

6. **Meet comprehensive, prioritized requirements, based on what is most important.**
7. Investigate a variety of intervention options because the creation of a new intervention can be costly to develop.

8. Consider long-term versus short-term effectiveness. Use multiple strategies to effect change. Interventions should be sufficiently powerful.

9. Thought must be given to institutionalizing the intervention over time and engraining it in the organization’s culture. Interventions should be sustainable.

10. Keep viability of development and implementation in mind. An intervention needs human resources, organizational support, and must be cost and value effective.\(^\text{12}\)

**Step 7: Group Plans Next Steps**

The final step in the Selection Phase is to scope out action plans and reasonable timelines for implementation and change management. Exact plans and timelines may be refined later during actual implementation planning. Substantial planning is important because interventions should be scoped out and managed in the same way as projects are scoped and managed.

The performance improvement practitioner or team leader frames a context to support the team in making sound design, development, and implementation decisions. The intervention selection group needs to think about the organizational culture and history of related change efforts.
Interventions need to fit into the mission, vision, goals, and strategic thinking and planning of the organization and be planned in context with other initiatives.

It is not sufficient to simply select interventions. The team needs to describe the process for others to hear. Using PST 9–4, the team also needs to provide ideas, steps, and examples for how to actually implement the interventions. This is not the time for complex and detailed planning. It is simply a method for capturing the team’s discussions and the reasoning behind the decisions sufficiently so that people assigned to implementation will know the basis for the priorities.

The performance improvement practitioner or team leader frames a context to support the team in making sound decisions. The intervention selection group needs to think about the organizational culture and history of related change efforts. Interventions need to fit into the mission, vision, goals, and strategic thinking and planning of the organization and be planned in context with other initiatives.

In addition, the intervention selection team creates potential timetables that can be used by senior executives for endorsement and sanction. They can also be used to communicate intervention decisions to all employees so that everyone feels part of any change process.

PST 9.4
Intervention Action Planner
<table>
<thead>
<tr>
<th>Intervention Title:</th>
<th>Project Sponsor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>PT Practitioner or Team Leader:</td>
<td>Preparer:</td>
</tr>
</tbody>
</table>

**Intervention Purpose and Objectives:**

**Project Stakeholders (Direct and Indirect):**

**Customer Expectations and Deliverables:**

**Possible Timetable and Anticipated Constraints:**

**Reviews and Approvals Required:**

**Estimated Budget Requirements:**
Lessons Learned (From Successes and Failures) from previous performance improvement efforts:

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PST 9.5
Intervention Selection Tool

Purpose: The purpose of this tool is to help groups or individuals select possible interventions that meet the needs of their organization and improve performance. For additional information about the complete selection process and each intervention see Chapters 9–17.

Content: All the interventions from the Intervention Selector (PST 9.2) are described in the Selection Tool. Each intervention is described by a best practice example statement. Although the statement represents best common practice, it does not represent the only possible best practice.

Below each best practice statement are qualifying descriptions or characteristics that may indicate whether an organization is ready or not ready for successful implementation of the intervention. The qualifiers represent a continuum of factors that may result in good to poor implementation. Again, they are by no means the only examples of qualifiers that may affect successful implementation.

Directions: Rate your organization based on your personal opinions, experience, and judgment. Read each best practice statement and the qualifying descriptions. Decide which description best characterizes or represents your organization. Circle the appropriate rating number.

LEARNING INTERVENTIONS

Forward thinking organizations integrate learning and doing to help obtain the knowledge or skill they need to initiate new performance or improve
existing performance. They support the performer on-the-job and just-in-
time and may replace or enhance training.

Learning helps initiate new performance or change actual performance
until that performance is equal to or better than the desired performance.

The performance

- **Knowledge Management (KM):** Organization systematically
  identifies, captures, codifies, stores, transforms, disseminates, and
  shares knowledge and encourages people to use their collective
  knowledge and experience to foster business innovation (creativity)
  and competitive advantage.

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<td>Organization has no process in place to manage collective knowledge or create and share knowledge.</td>
<td>Organization uses technology to share and integrates existing knowledge to enable individual learning.</td>
<td>Organization recognizes importance of existing knowledge, technology, and learning but focuses on people creating and sharing new knowledge.</td>
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- **Organizational Learning:** Organizations as entities can learn. They function effectively, efficiently, and provide value to customers through the goods and services they offer. Organizational learning focuses on Senge’s core disciplines which permit an organization to function as a learning organization.

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Learning Management System (LMS): The organization fully utilizes an LMS to provide information to employees allowing the system and the employee to manage learning and reporting.

- Limited effort and time spent on how individuals, teams and organizations learn; low tolerance for risk taking
- Emphasis on organizations that function effectively, efficiently, and provide value; some emphasis on encouraging employees to strive for and maintain their full potential
- Viewed as a continuous process within an organization learning results when it is tied to the strategic objectives of the organization and is targeted at performance improvement

Content Management System (CMS): The organization actively uses appropriate software to provide management and structure to its data, information, and content.

- The organization has no
- The organization has a
- The organization uses
concrete way to manage its content, data, and information

CMS but used limitedly (limited employee inclusion, and limited data management)
a CMS fully and functionally throughout all levels of the enterprise to store, manage, and widely deliver data, information and electronic content

- **Education and Training:** Organization uses education and training to enhance and enable employee learning and development. The use of interactive learning technologies involve the learner and supports just-in-time and just-for-me learning. Emphasis on education and training help organizations achieve goals of employee retention and competitive advantage.

1 2 3 4 5 6

Organization does not value, support, or reward education or training

Organizations sometimes encourages members to obtain education but may not support it, may or may not provide training for members, or does not reward education or training

Organization values, supports, rewards education and training for all members

- **Self-Directed Learning:** Learners take initiative to increase their knowledge and skill base with new information and avenues to advance quality of life.

1 2 3 4 5 6

Learner not inclined to Learner acquires Learner takes initiative
be self-directed; acquires knowledge and skills through formal means; for acquiring and managing knowledge and/or skills; can be informal, e.g., reading a magazine article or formal, e.g., enrolling in a university course

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<tr>
<td>Learner has to wait for professional development, workshops or training to become competent in daily work related tasks</td>
<td>Limited opportunities provided for on the job learning; learner gains competencies in work related tasks after occasional evaluation</td>
<td>Learner is able to instantly increase competencies while working with new knowledge and/or skills applied and integrated immediately on the job</td>
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**On-the-Job Learning:** Process for increasing learners’ competencies while working; can be formal or informal; can occur consciously or unconsciously. Easy to integrate; saves both time and money.

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<tr>
<td>A learn-and-do</td>
<td>Relevant and effective</td>
<td>Learning or training</td>
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**Just-in-Time Learning:** Learning or training that occurs at either precisely the time the worker needs to apply the learning or training or at the time the learning or training are being utilized for reinforcement of the worker’s new skill set or knowledge application.
intervention without management assistance for design and development of necessary learning.

Flexible learning and training that reinforces the integration of workplace learning and performance using a systematic approach that is timely and important and reflects “need-to-know” rather than “nice-to-know” resulting in “just the right amount of training.”

- **Action Learning**: The organization uses small groups to solve real, relevant, and challenging organizational problems and encourages learning by doing. Members of the group share, question, experience, reflect, make decisions, and take action on a single project basis or as an open group.

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<td>Organization does not accept or does not use action learning to solve problems</td>
<td>Organization does not consistently use action learning to solve problems or does not always accept outcomes of action learning</td>
<td>Organization shows desire, knowledge, and ability to create a shared vision through action learning</td>
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- **Blended Learning**: Organization uses a mixed model of learning employing many different technologies to deliver learning and educational experiences creating a balanced combination of learning environments. This includes different types of online and face-to-face learning environments.

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<td>Organization has some training in using</td>
<td>Organization has one or two different learning</td>
<td>Organization has a robust blended</td>
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various possible format including reference and performance support materials but does not have an overall system or strategy for performance improvement learning interventions

strategies or a few different technologies but does not have an overall plan where all types of learning environments are aligned

learning program that consists of multiple online trainings including real-world scenarios that work in a system with face-to-face learning through mentoring, coaching, role-playing and classroom learning

**Technical and Non-Technical Learning:** The organization identifies the hard (technical) and soft (non-technical) skills needed to meet business goals. Interventions for technical and non-technical learning are varied but the focus is on instruction.

1. Effort placed on technical learning and training with limited effort on non-technical exposure. Or adequate support for interpersonal and other generic needs without adequate coverage of job specific preparation
2. Some effort made to have appropriate delivery methods selected based on learning effectiveness, cost effectiveness, and time allocation
3. Training and learning support the organization's needs and critical business issues and they are aligned to the organization's strategies, vision, mission, and goals

**Social Learning:** The organization uses social learning to provide opportunities for continual development through informal interactions among employees which allows learning to take place in the context of the workplace and embedded in actual work processes enabling organizations to become more efficient and cost-effective.

1. Effort placed on technical learning and training with limited effort on non-technical exposure. Or adequate support for interpersonal and other generic needs without adequate coverage of job specific preparation
2. Some effort made to have appropriate delivery methods selected based on learning effectiveness, cost effectiveness, and time allocation
3. Training and learning support the organization’s needs and critical business issues and they are aligned to the organization’s strategies, vision, mission, and goals

1. Effort placed on technical learning and training with limited effort on non-technical exposure. Or adequate support for interpersonal and other generic needs without adequate coverage of job specific preparation
2. Some effort made to have appropriate delivery methods selected based on learning effectiveness, cost effectiveness, and time allocation
3. Training and learning support the organization’s needs and critical business issues and they are aligned to the organization’s strategies, vision, mission, and goals
Most learning takes place in formal settings. Social learning takes place on an individual or inconsistent basis. Training and learning support the organization’s needs and critical business issues and they are aligned to the organization’s strategies, vision, mission, and goals.

### Interactive Learning Technologies

- Interactive Learning Technologies are used by the organization to encourage and support the active involvement of the learner with the content, the instructor, the technology, other learners, and the learning resources.
- Interactive learning is undervalued by the organization as necessary for learning.
- Interactivity happens but is not planned for by organization or sought by learners.
- Learning technologies enhance or enable learner interactions with technology content, instructor, and/or other learners or resources.

### Enterprise Learning

- Enterprise Learning: Enterprise learning or training is both a driver and client of interactive learning technologies. Enterprise learning is a comprehensive approach throughout the organization.
- Enterprise learning or training not at the standard enterprise.
- Some components of the technology infrastructure required.
forefront of the organization’s business responsibilities. The learning platform are in place and are aligned with the business goals of the organization. For a standard enterprise learning platform include: learning management system (LMS), virtual classroom, assessment/e-testing system, database, reporting system, learning content management system, and learning analytics.

- **Classroom Learning:** Live classroom learning is used for all types of learning and it remains resilient and dominant.

1. Classroom learning is neither well-planned nor carefully executed.
2. Classroom learning can be stand alone or part of a blended training strategy; it is always live and real.
3. Classroom learning has three distinguishing features: a live instructor, a group of students, and a location that is separate from the workplace. All features are aligned to produce a dynamic learning environment.

- **Distance/Distributed Learning:** Online learning can help an organization provide information quickly in a world where adapting to change in a global marketplace is key to an organization’s survival. Training is just-in-time, interactive and engaging, secure, and promotes a climate of improvement through easily accessible materials.
Workplace is not a dynamic environment. Online, computer based, or individualized learning is not offered. Continuous learning is not promoted.

Online, computer based, or individualized learning is available, but infrastructure is lacking and material is primarily didactic.

Online, computer based or individualized learning is backed by strong infrastructure where a variety of formats are utilized. Content is easily adapted to rapidly changing environment.

- **On-Line/ e-Learning**: On-line/e-learning informs by communicating information and performs by building procedural and strategic skills.

- **Focus on format alone; little emphasis on strengths and limitations of electronic technology**

- **E-learning formats are used without consideration of the most frequently occurring e-learning practices**

- **Multiple e-learning formats are used: synchronous (virtual classrooms), asynchronous (self-paced, self-directed), and hybrid (blended)**

- **Wikis, Avatars, and More**: Wikis, avatars, and other emerging technologies are potential interventions for enhancing learning and instruction in business, industry, healthcare, and other settings. They require careful design, development, implementation, and evaluation.
Emerging technologies are just beginning to appear in organization learning and communications efforts.

Some emphasis on emerging technologies but not fully integrated within organization

Organization fully committed and engaged in emerging technologies

Games and Simulations: The organizational culture supports experiential learning techniques to enhance problem solving and bring near reality into interactive learning.

1. Learners or owners of training do not accept the use of games or simulations
2. Games or simulations only used occasionally or are not always accepted by learners or owners of training
3. Games or simulations are used whenever appropriate for the learning task

PERFORMANCE SUPPORT INTERVENTIONS

Performance support interventions, also called performance support systems, integrate doing with technology, but may inherently or consciously include elements of learning and instruction. These interventions use a variety of technologies-print, computer, video, mobile and others- to provide workers with just-in-time, just-enough information to perform a task.

Performance Support Tools (PSTs) or Job Aids: Organization uses performance support tools to provide just-in-time, on-the-job, and just-enough information, enabling a worker to perform a task efficiently and successfully without special training or reliance on memory.
Job aids or PSTs are not used due to lack of knowledge or expertise.

Job aids or PSTs are infrequently used despite indications they would be useful.

Job aids or PSTs are accepted as an alternative to training based on task and user analysis.

Electronic Performance Support Systems (EPSS): Electronic (computer-mediated) technology is used to empower learners, enhance organizational learning, and enable knowledge management. Like a job aid, EPSS supports the concepts of just-in-time, on-the-job, just enough information, and just-for-me.

Organization does not have resources or expertise or desire to develop EPSS.

EPSS resources and expertise available but not used due to lack of acceptance.

EPSS are accepted and used; technology and expertise exist; task and user analysis drives decisions.

Documentation and Standards: Workers are informed of job expectations through well designed documents. Outputs, outcomes, and performance are measured using clear, concise standards.

Organization does not see value of documentation or standards.

Organization use of documentation is not systematic, not consistent in developing and following standards.

Organization has systematic process for developing user friendly, accessible documentation; uses standards to guide and measure performance,
outputs, and outcomes

- **Expert Systems:** An expert system can be used as an EPSS for decision making.

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| The organization has no formal way of incorporating human knowledge, reasoning, and information into software systems | A true expert system which includes the components of a knowledge base, knowledge representation, and knowledge engineering is not yet fully integrated within the organization's infrastructure | The organization makes full use of information systems in which computer programs store facts and rules to replicate the abilities and decisions of true, human expert

**JOB ANALYSIS/WORK DESIGN INTERVENTIONS**

Job analysis is collecting information about duties, tasks, and responsibilities for specific jobs. Work design is a blueprint of job tasks structured to improve organizational efficiency and employee satisfaction.

**Job Analysis Interventions**

- **Job Descriptions:** The work of the job positions are so well portrayed that the duties are clear. The new employee understands the job if s(he) reads the job description.
Formal job descriptions unavailable or, at best, unspecific and unclear job tasks.

Formal job description available, but not very useful; gives incomplete data.

Formal job description available, includes what job incumbent does, how to do it, the environment, and conditions of employment.

- **Job Specifications:** Job descriptions are extended to include human traits and experiences required to perform the job as well as the kind of person to recruit.

  - Job descriptions are unavailable or non-specific
  - Job descriptions are available but sketchy and unfocused
  - Job descriptions are concise and include all traits and experience required in recruiting

**Work Design Interventions**

- **Job Design:** This workplace activity involves duties performed at work, the activities associated with the duties, the responsibilities shared by employers and employees, and the performance outcomes required by the organization.

  - Jobs occur in the organization without setting the stage for discussing alternatives to designing or
  - The organization provides job design training regarding methods. However, job design, work
  - There is a systematic process established in the organization to review how jobs reflect the organizational
redesigning jobs, enlargement, rotation and enrichment efforts are not commonplace. Vision, mission and the workers' interests, capabilities and aspirations. Job rotation, job enrichment, and job enlargement are commonplace.

- **Job Enlargement**: Organizations encourage enlargement to offset high specialization, tediousness and boredom associated with narrow job scope.

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<tr>
<td>Breadth is non-existent or seen as a ploy by management to increase productivity while rightsizing</td>
<td>Opportunities exist within organization for additional same level task activities</td>
<td>Knowledge enlargement added to task enlargement result in more job satisfaction, fewer job errors, and enhanced customer satisfaction</td>
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- **Job Rotation**: As a lateral transfer process, this intervention exposes employees to a kaleidoscopic view of organizational life.

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<td>Little opportunity for workers to move from one job to another</td>
<td>Some opportunity to relieve boredom and burnout by cross training</td>
<td>Complete re-energizing and re-committing employee to organizational work</td>
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- **Job Enrichment:** Organizations increase job depth and empower employees to be independent thinkers and responsible workers.

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<td>Little opportunity for redesigning jobs</td>
<td>Some opportunity for job redesign by adding tasks and responsibilities</td>
<td>Great opportunities for workers to experience feelings of responsibility, achievement and growth tasks and responsibilities equally added</td>
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- **Reengineering, Realigning, Restructuring:** Radical workplace redesigns are used to increase efficiency, implement lessons learned, streamline processes, and create a foundation for positive organizational growth.

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<td>Hasty changes, reactionary</td>
<td>Changes not supported fully by executives</td>
<td>Strong champion sufficient resources, patience, adequate time to succeed</td>
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**Human Factors**

This is an interdisciplinary approach to the workplace environment in which machine and employee are consciously and purposefully linked to produce results. Focus is on the processes, tools, physical and psychological
environments that maximize the productivity, health, and safety of all employees.

- **Ergonomics:** The organization fashions an appropriate fit between the machine and the work environment.

  - 1. Little attention paid to creating ergonomically sound workplaces
  - 2. Some attention paid to ergonomic issues in work practices and workstation design
  - 3. Organization supports and encourages an appropriate balance between physical ergonomics and cognitive ergonomics

- **Safety Engineering:** Organizations establish systematic processes to make the work environment safer and healthier for employees.

  - 1. Physical and psychological aspects of safety downplayed or ignored
  - 2. Physical context and psychological context for promoting safety done sporadically
  - 3. Organizations make concerted efforts to address safe and healthy work environments for employees

- **Security Management:** Security risks can be managed or reduced when managers are aware of all controls available and implement the most effective.
Security risks and costs are not carefully explained and acted upon

Recognition of risk assessment and risk analysis to recognize threats and rote system vulnerabilities

Active governance with emphasis on security risk and awareness training to protect the physical and intellectual property of the organization

- **Green Workplace**: The entire organization, at all levels, supports and actively contributes to maintaining a green, sustainable environment. Its mission, values and culture are reflective of a commitment to social responsibility and reducing the environmental impact of business activities.

  1. Little to no value is placed on social responsibility and the impact of business activities on the environment
  2. Some value is placed on environmental impact. Sporadic efforts to reduce waste and conserve energy are made but not at all levels within the organization
  3. Consistent efforts to reduce waste, conserve energy and reduce company’s carbon footprint are evident at all levels within the organization. Culture is one of social responsibility

**Quality Improvement**

These interventions involve conducting business right the first time, every time. They imply commitment to continuous improvement.
- **Total Quality Management (TQM):** Organization-wide policies and practices support a strategic management perspective of product, service, and customer quality.

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<td>Quality efforts are reactive and only as much as absolutely necessary</td>
<td>Efforts generally paid to TQM concepts but organization fails to involve all employees in process</td>
<td>Concepts of quality fully ingrained within organizational fabric; frequent use of TQM tools to solve problems</td>
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- **Continuous Improvement:** Organizations establish strategies for improvement to learn what customers want so their needs can be better served; it has long-range focus and is both internal and external.

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<td>Efforts viewed as single, isolated occurrences, not seen as routine component</td>
<td>Quality and continuous improvement emphasized in policies but not in practices</td>
<td>Goals reflect top management commitment, total workforce involvement and skill and knowledge training; employees held accountable for performance</td>
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- **Preventive Maintenance (PM):** Organizations establish proactive processes for all systems and subsystems before major problems occur.

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| No formal preventive maintenance program in place; organization operates in reactive mode | Limited proactive processes in motion; collaborative relationships among personnel diffused | Proactive approaches to preventive maintenance address zero failure, zero trouble, zero waste; benefits justify costs |

**Six Sigma:** The organization improves the quality of process outputs by identifying and removing the cause of defects (errors) and minimizing variability in processes. Projects follow a defined sequence of steps with quantified financial targets.

1. Errors are not identified or monitored
2. Organization has some quantified measures
3. Every project follows a system development methodology

**Lean Organizations:** A lean organization is efficient and effective and employs management principles within a framework of least cost and zero waste.

1. Some lean techniques are implemented; however, a lean organizational structure incorporating lean management principles is absent
2. The organization implements a lean structure and realizes value and insight for lean operations but employees are not fully engaged in the process
3. The organization strives to streamline processes, eliminate waste, reduce the need for non-essential functions, minimize response time, and maximize flexibility
PERSONAL DEVELOPMENT INTERVENTIONS

Personal development interventions are planned work-related activities that are the employee’s personal responsibility. Individuals assume ownership of success or failure. Personal development requires and enables individuals to take control of their own job situation. The organization provides the structure and processes so that employees can make accurate, positive decisions and improve their performance.

- **Feedback**: Managers and co-workers freely provide suggestions and advice. Structured feedback, such as 360° feedback, is viewed as non-threatening and helpful.

  1 2 3 4 5 6
  Reluctantly given, threatening  Tolerated, likely to be ignored  Welcomed, valued, and sought after

- **Coaching**: Managers assist employees to improve performance by analyzing problems, offering suggestions, discussing errors and mistakes, and recommending organizational resources (such as training) to overcome problems.

  1 2 3 4 5 6
  Information only when problem arises  Little regular information about job performance  Suggestions viewed as positive and useful
- **Mentoring**: Experienced employees help new hires or people with new job assignment to quickly adapt to new job requirements. Following the wise counsel of mentors leads to job advancement or better projects and assignments.

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<td>Reluctance due to fear of loss of job</td>
<td>Advice tolerated but viewed as of questionable value</td>
<td>Highly visible, structured program with senior executives participating</td>
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- **Emotional Intelligence**: Self-management skills of self-awareness, self-regulation, motivation, empathy, and social adeptness are encouraged and modeled.

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<td>Autocratic, manipulative, harsh work environment</td>
<td>Employee's well-being taken for granted</td>
<td>Open, caring culture, self-confident management, service orientation</td>
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- **Social Intelligence**: This science of success can promote a highly competitive and global world that advances the “social radar” or social self awareness of people to help them become more aware of the feelings, needs and interests of others.

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<td>Little emphasis is paid to the daily activities of observing, learning, developing, and</td>
<td>Competence in surveying one’s personal life space and environment and</td>
<td>Emphasis placed on sensitivity to the needs and interests of others; an attitude of</td>
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reflecting on personal awareness
responding with socially successful conduct
generosity and consideration, and practical skills for interacting with people in multiple settings

- **Cultural Intelligence (CQ):** Organization looks at CQ and cross-cultural awareness as an essential piece of its internal and external needs in a market and workplace that are increasingly diverse and multi-cultural. The organization seeks to build CQ through both cognitive and behavioral activities and works to build CQ into each employee’s skill sets.

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<td>Diversity policy but no formal program or procedure for cultural intelligence building</td>
<td>Organization has some focus on building behavioral CQ but no structured program to build overall CQ</td>
<td>Organization has structured programs focused on building employees’ cognitive and behavioral skills through declarative and procedural knowledge exercises; diversity of opinion and diversity of knowledge lead to the best results</td>
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- **Communities of Professional Practice:** Practitioners and professionals come together around a shared domain of interest. They engage in problem solving, information sharing, experience sharing, and enable people to take responsibility for managing the knowledge required to perform their job.

| 1 | 2 | 3 | 4 | 5 | 6 |
There are no communities of professional practice to build capacity and strengthen relationships.

Existing communities of professional practice are neither recognized nor supported in the organization.

Resources made available to communities of professional practice formed around key strategic initiatives; relationship formed and strengthened.

HUMAN RESOURCE DEVELOPMENT INTERVENTIONS

Human resource development interventions are essential to human resource management and are shaped by the organization’s mission and its ability to maintain market share.

- **Talent Management:** Talent management is a human resource management approach bringing together the functions of recruitment, selection, learning and development, retention, and other key human resource functions. Employees become empowered to think and act in the process. It is a business issue and a societal issue (engaging talented people in organization life). It connects value, strategy, and people.


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<td>In theory, organization supports talent management framework; in practice, it coexists with other organizational programs and systems: not used as strategic resource and competitive advantage</td>
<td>Viewed essentially as a string of programs and processes to managing talent; organization working to employ it as a systems approach to thinking about talent</td>
<td>Organization fully supports an integrated set of processes, programs and cultural norms to attract, develop, deploy, and retain talent</td>
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- **Staffing**: Organizations and individuals benefit from a carefully conceived staffing process that manages human capital.

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  - Staffing process seen as complete once applicants are hired or promoted
  - Some attention paid to helping new employees achieve familiarity with policies, procedures and endeavors
  - Total orientation of new employees to the organization and unit; efforts seen as ways to retain and maximize human resources

- **Employee Development**: Both the organization and the individual play pivotal roles in the employee development process from the time the candidate accepts the offer through the employee’s entire tenure.

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  - Little done within the organization to encourage employee development
  - Some aspects of employee development in place; organization working to develop full spectrum
  - Organization focuses on a full spectrum of development: employee training, employee development, career development, and organization development

- **Retention**: Retention efforts that are related to customer satisfaction, customer loyalty, quality outcomes, and financial performance are prime drivers and indicators of business outcomes.

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  - Retention efforts seen as ways to ensure employees feel valued and continue to contribute to the organization’s success.
Limited emphasis placed on retention practices identified by theory research and practice. Organization has interest in retention efforts for all the valid reasons but follow through is slow and deliberate. Efforts to improve employee retention are carefully planned and aligned with strategic thinking and strategic planning.

- **Compensation:** Compensation policies and practices reward employees with salary benefits for the job they perform within the organization.

  1. Pay systems perceived as unfair with respect to level of compensation received and mechanisms used to determine pay.
  2. Compensation practices partially in place; organization working on establishing a full compensation system.
  3. Direct and indirect compensation practices available within the organization; just compensation system is the norm.

- **Benefits:** The indirect financial and nonfinancial payments employees receive for working are included in the compensation package.

  1. Most full time employees receive benefits required by law; however, provided with negative comments and resistance.
  2. Employees receive benefits required by law; but minimum additional benefits. Not seen as a valuable part of employee satisfaction or retention.
  3. Benefits are designed with care and they include (1) pay for time not worked (holidays, sick leave, vacations, maternity leave, etc.); (2) insurance benefits (workers’ comp, wellness programs, etc.).
long term care, etc.);
(3) retirement benefits
(social security,
pension plans, etc.);
(4) services (employee
assistance programs,
elder care, etc.)

- **Health and Wellness:** Organizations sponsor initiatives that focus on health promotion, health protection, and health prevention.

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<td>No direct attempt to modify or change behavior</td>
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<td>2</td>
<td>Activities designed to educate and instruct; limited attempt to modify, alter, or change behavior</td>
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<td>3</td>
<td>Activities designed to create organizational environment that encourages and helps employees maintain healthy, energized lifestyles</td>
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- **Retirement Planning:** Organizations assist employees’ exit from the labor force. Planning process may be bittersweet.

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<td>1</td>
<td>Very little effort devoted to retirement preparation</td>
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<td>2</td>
<td>Traditional retirement practices influence ongoing retirement planning</td>
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<tr>
<td>3</td>
<td>Senior well-being influences retirement planning</td>
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- **Labor Relations:** A proactive approach is used by the organization to build and maintain positive employee-employer relationships. It is a long-term investment of time and resources and is most
successful when all individuals in the process are informed of the facts and make good short and long-term decisions.

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<td>Limited communication between workers or union and management prior to a problem</td>
<td>Relationship between workers and management is cordial with communication occurring but not planned for on a regular basis</td>
<td>Regular and planned communication to discuss potential issues managing unionized and non-unionized human labor; worker and collective bargaining issues are integral</td>
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**Individual Growth**

This is the part of human resources that focuses on retaining high performance personnel in an organization. It requires employees to remain energized, engaged, enthusiastic, and committed to job excellence and career development.

- **Motivation Systems (Incentives and Rewards):** Employees are enthusiastic and energized to work effectively; organization demonstrates appreciation through rewards and incentives.

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<tr>
<td>Employee efforts ignored</td>
<td>Appreciation minimal and infrequent</td>
<td>Appreciation structured and genuine</td>
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- **Performance Management:** Performance management is used to monitor employee growth as objectively as possible. Clear guidelines and criteria are the norm, and managers are properly trained in not only assessing employee performance but also in how to best mentor and coach.

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<td>Appraisal system is nonexistent or contains biases and subjectivity</td>
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<td>Appraisal system is present, limits subjectivity, but provides no avenue to support employee growth</td>
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<td>Appraisal system is present, benchmarked, and free from most bias. Appraisers act as good mentors to help workers achieve maximum potential</td>
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- **Key Performance Indicators (KPIs):** The organization has clear mission, goals and objectives; identifiable stakeholders make data-driven decisions based upon sound data collection relevant to predetermined performance indicators.

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<td>No organizational mission or goals outlined. Decisions are made arbitrarily and are not informed by sound data</td>
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<tr>
<td>Some decisions are made based upon data relevant to key performance indicators</td>
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<tr>
<td>Clear mission, goals and objectives outlined; stakeholders and expectations identified; measurable indicators determined and aligned with program or project being evaluated; decisions constantly made based upon</td>
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- **Performance Appraisals:** Performance appraisals are viewed as constructive, containing honest representation of employee efforts and helpful recommendations for improvement.

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<tr>
<td>Create fear and resentment</td>
<td>Annual event to be endured but not beneficial</td>
<td>Healthy dialogue establishing workable objectives and planning for consistent application</td>
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- **360° Appraisals:** A multi-source feedback approach that allows multiple individuals to rate one’s skills and behaviors or an employee.

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<td>Emphasis on 360° as a tool, but not as a dynamic and versatile process for organizational growth; seen as a one-time event</td>
<td>Knowledge of the 360° tool is known and used; organizational support systems not in place for change to be sustained</td>
<td>Emphasis on assessing and improving employee performance while enhancing and maximizing organizational and individual development</td>
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- **Competencies:** Competencies are capabilities of an individual that result in successful job performance. They are also organizational capabilities that align employee behavior and action with the organization’s strategic plan.
Individuals expected to perform on the job; however, little emphasis is given to capabilities of an individual that results in successful job performance.

Organization is beginning to develop competencies of its employees; formal efforts in initial stages of design and development.

Emphasis placed on competencies dealing with people, competencies dealing with business, and self-management competencies.

**Competency Testing:** Competency testing determines appropriate skill levels and job readiness.

Testing used for discipline or work force reduction, Testing not related to actual jobs, Testing identifies best candidates.

Organizational Growth

A company’s organizational growth is strongly enhanced as it investments in talents. Organizations need people who possess the “big picture” mindset within the framework of systems thinking and collaborative understanding.

**Succession Planning:** Systematic processes are used to identify employees for senior management positions.
No formal process in place for preparing high level personnel.

Planning is sporadic with minimum implementation.

Experiential assignments, mentoring, training, and personnel development prepare people for high level assignments.

**Career Pathing:** Organizations effectively develop employees through a series of jobs and related assignments.

1. Systematic planning does not include development of people.
2. Opportunities may be available but no systematic approach exists.
3. Vertical and horizontal lines of opportunity in place.

**Leadership Development:** Organizations provide opportunities for individuals to manage human capital by creating vision and aligning people.

1. Organization does little to encourage and develop specific leadership development.
2. Opportunities exist for individuals to influence followers who think differently, feel passionately, and act responsibly.
3. Formal leadership programs and training opportunities firmly in place; leadership development moves from an event into a process that lasts an entire career.
❑ **Executive Development:** Opportunities for high-level strategic development prepare people for value-driven visionary implementation.

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<tr>
<td>Executive development neither linked to vision, values, strategies nor to organization’s core capabilities</td>
<td>Some attention given to executive development but training in real time interaction with real-life business issues and trends ignored</td>
<td>Prepares leaders to make wise decisions; the primary level that triggers an organization’s vision values, strategies, and business needs</td>
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❑ **Management Development:** A variety of formal and on-the-job training opportunities that are organization-specific are linked to the organization’s mission, vision, goals, and structure for accomplishing business needs.

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<td>Little attention paid to interpersonal, technical, administrative, conceptual, and decision making skills</td>
<td>Some attention paid to organization’s changing needs; individual reluctant to take control of personal management development</td>
<td>Wide range of management development activities exist incorporating corporate inventories, university based programs, professional organizations and in-house programs</td>
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❑ **Supervisory Development:** Experienced personnel interface between management and employees in a continuously-evolving role based on sensitivity and empathy.
No formal program exists; decisions autocratic and manipulative

Reality-oriented practice and concrete examples used sporadically

Critical competencies which are conceptual, interpersonal, technical, and political in nature are identified; supervisor seen as trainer, adviser, mentor, facilitator

ORGANIZATIONAL COMMUNICATION INTERVENTIONS

Organizational or business communication makes it possible to send and receive messages between different components within an organization, among separate organizations, and between organizations and society. Effective communication is essential for creating, maintaining, or improving the culture and performance of organizations.

Communication Networks: Organization supports and encourages a communication system that allows messages to move from sender to receiver, informally and formally, enhancing job performance and job satisfaction.

Organization does not see value of establishing, enabling, enhancing, Organization uses formal or informal networks-strategy is not balanced; flow does not Organization develops and analyzes networks to enhance and enable communication
communications networks empower or enable employees between and among members and improve performance

- **Information Systems:** People, data, and technology work together to retrieve, process, store, and disseminate information, supporting informed decision making and sound organizational management.

1. Organization does not have a formal information system
2. Organization has an information system but not linked to business needs
3. Information management links people, data, technology, business procedures to current and future business needs

- **Suggestion Systems:** Proactive organizations rely on suggestions of employees to improve products, processes, and services.

1. Organizational fabric neither supports suggestion systems nor provides for feedback and recognition
2. Suggestion systems loosely structured to match the goals and values of the organization
3. Organization encourages and supports formal and informal suggestion systems to improve performance

- **Grievance Systems:** Organizations set grievance systems in place to investigate complaints about wages, hours, and conditions of employment and/or work practices.
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<td>System informally structured; process for resolving employee problems perceived as complex and time consuming</td>
<td>Moderate efforts expended to work with union and non-union personnel in protecting employees and assisting management in settling conflicts</td>
<td>Formal processes in place for submitting, evaluating, and providing feedback; seen as charter for organizational justice</td>
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**Dispute Resolution:** Organizational culture allows individuals or groups to resolve differences of opinion amicably or through negotiation, mediation, or collaboration.

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<td>Organization fosters disputes among members (may be called competition)</td>
<td>Organization not consistent in resolving disputes or supporting collaboration</td>
<td>Organization develops and uses sound dispute resolution practices; encourages and rewards collaboration</td>
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**Social Media:** Social media as an organizational communication technology is represented in discussion forums, blogs, wikis, podcasts, videos, pictures, and so forth.

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<td>File sharing and online collaboration is minimal; little opportunity for public comments and</td>
<td>Online collaboration is haphazard; however, people can share their own ideas while expanding others’ ideas</td>
<td>An infrastructure for collaboration exists and is both streamlined and regularly utilized to create and exchange</td>
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ORGANIZATIONAL DESIGN AND DEVELOPMENT INTERVENTIONS

Organizational design and development is a process that examines the operation and management of an organization and facilitates needed changes in an effort to improve efficiency and competitiveness.

**Empowerment**

Empowerment is an enabling concept allowing people to develop a sense of self-confidence and energizing them to take action. It is key to unlocking the potential of a high-performing and strategically-aligned workplace.

- **Team Strategies:** Teams are empowered and supported throughout developmental stages by strong sanction and reliable sponsorship.

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<td>Teams have responsibility but inadequate authority</td>
<td>Teams assigned but outcomes ignored</td>
<td>Teams highly visible, and efforts valued and rewarded</td>
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- **Virtual Teams:** The virtual connection generates opportunities for efficiency in resources, effectiveness of functions, and team synergy unrealized in traditional team and employee interaction and organizational bonding.

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Organization reluctant and non-trusting in supporting virtual teams; not viewed as effective as traditional teams; limited positive team dynamics; no accountability  
Organization beginning to support virtual teams with emerging markets in geographic locations and changes in organizational participation  
People can work from anywhere at any time with minimal, if any face-to-face contact; supported by both hardware and software; work day opportunity is 24 vs. 8

**Problem Solving:** Systematic and systemic problem solving is a part of daily work life as evidenced by encouraging continuous performance improvement.

1. Problems ignored or solved by crises  
2. Alleviate problems as absolutely necessary  
3. Systematic approach to resolving issues proactively

**Organizational Pro-Action**

Organizational pro-action is thinking ahead, planning for the future with creativity and commitment, and understanding the economic, political, and social climate sufficiently to inspire employee confidence. It helps employees succeed and it also helps them believe in their own future.

**Strategic Planning:** The organization’s strategic plan provides direction, focus, and clear, well-accepted goals and targets.
“Two-faced” public statement, viewed as executive's brainchild, not widely publicized

Plan ignored, organization rudderless

Basis for departmental and individual planning

**Environmental Scanning:** Organization keenly aware of internal and external environmental threats and opportunities through ongoing observations and data collection.

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<td>Ignores signs of change, doesn’t use opinion polls and data</td>
<td>Too little, too late, “drags feet” acknowledging changing conditions</td>
<td>Continuous monitoring of employees, customers, competition, stakeholders, and markets for possibilities</td>
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**Appreciative Inquiry (AI):** The organization seeks to identify the best in people and actively seeks to discover more of what is good through collaborating and working successfully.

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<td>Efforts to recognize and employ the dynamics of AI seldom in organizational thinking and planning</td>
<td>Organization believes in the philosophy and process; however, the four phases of AI are not inextricably related</td>
<td>Input, opinions, and creativity are positive and useful with focus on achievement of the best possible outcomes and practices</td>
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- **Outsourcing:** The organization enhances productivity, decreases operating costs, and leverages talent by entering into contractual agreements identifying the exchange of labor.

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<td>All work performed by internal resources only</td>
<td>Some project teams leverage internal and external resources</td>
<td>Every project is open to consideration of external service providers</td>
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- **Benchmarking:** Organization systematically compares self to other organizations for purpose of learning better methods and determining best practices.

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<td>Committed to &quot;our way&quot; of doing things</td>
<td>Improvements make work easier for employees but do not address opportunities</td>
<td>Keen awareness of competition and expectations of customers and stakeholders</td>
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- **Balanced Scorecard:** The organization monitors the financial and non-financial measures of performance, keeps track of the execution of activities, monitors consequences of performance, identifies the measures and targets associated with the activities required to implement corporate strategy.

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<td>There is a low accountability culture and limited use by</td>
<td>Organization has some tracking measures but they are not fully</td>
<td>Performance is aligned, monitored, and evaluated from</td>
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organizations of measurement and tracking as a management and strategic planning system aligned with the vision and strategies of the organization

four perspectives: learning and growth perspective, business perspective, customer perspective, financial perspective

- **Dashboards**: Graphical representation of performance measurement allows for tracking flow of business processes in the organization.

  1. Specific data points may or may not be captured and reported but no visual representation of measuring performance
  2. An executive information system user interface is designed for easy reading; reports generated without showing details or trends
  3. Visual representation of all systems in an organization with detailed reports and trends; use of the three main types of digital dashboards: stand-alone software applications, web browser based applications, desktop application

**Organizational Values**

Organizational values are the “stuff we all live by”, our organizational energy, the reason for the organization to exist. They create the organization’s vision of the world – how people are treated, how employees act, how they function as teams and make decisions, how people respond to mistakes and failure, how they take risks, learn, and grow and how information is communicated and shared.
- **Culture:** Organizational culture is aligned with and generally supports the organization’s mission, vision and core values.

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<td><strong>Not supportive,</strong> passively or openly resistant</td>
<td>Generally supportive with some resistance, but willingness to change if change is viewed as reasonable and helpful</td>
<td>Highly supportive, welcomes and encourages change to adapt and become a leading organization</td>
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- **Diversity:** Organization respects and encourages unusual ideas, various points of view, and other differences, even if they are counter to senior management’s views.

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<tr>
<td>Discourages unusual ideas or differences</td>
<td>Tolerates unique ideas and differences but not seen as important to health of organization</td>
<td>Encourages unique ideas and differences; realizes that diversity leads to better decisions and organizational success; respectful of differences in race, religion, national origin, gender, gender preferences, etc.</td>
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</table>

- **Inclusion Strategies:** Organizational culture respects and values diversity and is open to anyone who can perform a job. An inclusion strategy is efficient, effective, and sustainable when it is regarded as a business strategy leading to changes that help organizations achieve their business objectives and bottom-line results.
Lip service paid to diversity and inclusion strategies; differences respected but not viewed as organizational assets, inclusion only minimally reflected in developing and retaining talent

A modicum of effort made to build an inclusive organization but not reflected in strategic thinking and planning and how it can build productivity, innovation, and creativity

A company’s organizational culture and readiness and capacity for change are effective and sustainable. Conscious effort made to create an inclusive work environment through inter-cultural competence and talent management

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<tr>
<td>Lip service paid to diversity and inclusion strategies; differences respected but not viewed as organizational assets, inclusion only minimally reflected in developing and retaining talent</td>
<td>A modicum of effort made to build an inclusive organization but not reflected in strategic thinking and planning and how it can build productivity, innovation, and creativity</td>
<td>A company’s organizational culture and readiness and capacity for change are effective and sustainable. Conscious effort made to create an inclusive work environment through inter-cultural competence and talent management</td>
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**Globalization:** Global strategies include appropriate implementation tools, such as multinational problem solving and collaboration.

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<tbody>
<tr>
<td>Headquarters’ “correctness”</td>
<td>Overseas “foreign” mentality</td>
<td>Collaborative partnership uniquely purposed</td>
<td></td>
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</table>

**Localization:** Adapting a global application already blueprinted for localizability to a specific culture and locale. Localization processes that are successful and lasting in products and services are those developed within the local culture.
Little effort made to include cultural sensitivities and customizing application; minimum effort made to address localization market or geared only to language development

Partial efforts generated in adapting products and services in software, documentation, websites and applications to local practices and culture. Customizing products and services are new to the organization

Consistent and deliberate effort made to adapt products and services that are sensitive and appropriate to regional conventions, cultural dynamics (language, gender and roles, holidays, rituals and customs, etc.)

**Social Responsibility:** The organization with its employees and stakeholders is continuing to evolve to a consciousness in which it has a sense of belonging and collective responsibility for one another and for society as a whole.

---

1. The organization is focused only on meeting financial benchmarks and doesn't encourage staff to increase their knowledge or contribute to the greater good. Employees don't feel they have the tools to be successful, nor do they feel secure with their employment policies in place for appropriate pay and benefits.

2. Employees have a sense that they are valued in the organization. There are meaningful ways of getting involved in community activities that are sponsored by the organization and encouraged by management. Employees at the organization sometimes feel that by working on the team they are a part of a bigger community effort.

3. Employees feel deeply interconnected with the successes and failures of the organization and vice versa. Employees are evaluated on their civic activities in their annual evaluation process. The organization has a known philanthropic presence for international issues.
Ethics: "Doing the right thing" is ingrained in the organizational culture.

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<tbody>
<tr>
<td>Words and actions mismatch</td>
<td>Situation by situation approach</td>
<td>All levels adhere</td>
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Decision Making: Decision making develops group support through systematic and fair practices

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<tr>
<td>Judgmental, rushed decisions</td>
<td>Inadequate implementation, often return to &quot;former ways&quot;</td>
<td>Risk taking encouraged resulting in impressive improvements</td>
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</table>

FINANCIAL SYSTEMS

Financial systems refer to the monetary affairs (income, reserves, expenses, and dividends) of an organization. They are usually summarized in an annual report that includes an income statement, balance sheet, cash flow statement, and explanatory notes.

Open Book Management: Financial information is widely available enabling employees to focus on helping the organization make money and provide desired and appropriate services which increases productivity and long-term financial performance.
Organization neither open nor aligned; information restricted

Review, discussion, advice, and corrective position of financial information minimal

Complete sharing of financial information; employees make a difference

**Profit Versus Cost Center:** The decision to create a profit or cost responsibility center is based on solid business practices.

Responsibility centers viewed as wasteful, ineffective, and non-productive

Solid business practices considered but not implemented with rigor

Centers perceived as lean, efficient, effective, flexible, and highly regarded

**Financial Forecasting:** Planning for the financial future of the organization includes traditional factors such as profits, interest, supply and demand, and non-traditional issues such as innovation, culture, new products and services, competitors, etc.

Limited to short term financial measurables only

Medium range; some attention to demography, economics, marketing social patterns

Prepares organizations for future trends, events outcomes, and customer satisfaction

**Capital Investment and Spending:** Prudent practices are used to identify opportunities and analyze alternatives for acquiring investments of permanent value.
Limited match with the strategic goals and objectives of the organization. Some attention to planning, assessing, deciding, evaluating to align with organizational goals. Processes maximize value and minimize risk.

**Cash Flow Analysis:** Systems are in place to anticipate various sources and uses of cash and to make accurate projections.

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<tbody>
<tr>
<td>Limited match with the strategic goals and objectives of the organization</td>
<td>Some attention to planning, assessing, deciding, evaluating to align with organizational goals</td>
<td>Processes maximize value and minimize risk</td>
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</table>

Negative corrective actions frequent and poorly planned. Positive and negative corrective actions selected but not optimized. Stability and long term profitability viewed as positive indicators.

**Cash Flow Forecast:** This is an essential forecasting tool since organizations must identify their financial cycles to ensure that adequate cash is available; based on economic assumptions and forecasts of sales and production.

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<tbody>
<tr>
<td>Forecast not prepared from audited financial statements; loses accuracy the more futuristic the projection</td>
<td>Forecast provides the organization with a schedule of when financing is required throughout the year, and in what dollar amounts; employees unprepared in</td>
<td>The organization identifies its financial cycles and ensures that cash is available to support its activities; supports open book management and</td>
<td></td>
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</table>

Stability and long term profitability viewed as positive indicators.
managerial accounting and financial management improves the ability of employees to understand the significance of data

- **Mergers, Acquisitions, and Joint Ventures:** Organizations are well-prepared to address short-term and long-term financial issues as well as organizational change efforts to effectively maintain competitive advantage.

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<tr>
<td></td>
<td>Decisions made in haste leading to financial and organizational problems</td>
<td>Financial aspects are successful but culture issues neglected</td>
<td>Up-front planning permits accommodating differences in culture, financials, products, services and potentials for future growth</td>
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**CHAPTER 9: INTERVENTION SELECTION, DESIGN, DEVELOPMENT CITATIONS**

1. Van Tiem, Moseley, & Dessinger, 2004, p. 2
2. Rothwell, 1996, p. 79
3. Carr, 1994, p. 65
5. Langdon, 1999, p. 22
CHAPTER 9 INTERVENTION SELECTION, DESIGN, DEVELOPMENT

REFERENCES


CHAPTER 10

Learning Interventions

In the first two editions of *Fundamentals of Performance Technology* the authors wrote about Performance Support Systems (PSS) that integrate learning and doing and technology to help workers obtain the knowledge or skills they need to initiate new performance or improve existing performance in a way that consistently meets the organization’s goals, objectives, and strategic initiatives. Performance support system interventions were categorized as instructional or non-instructional.

In the third edition, the authors present two separate categories that are not classified as performance support systems but stand on their own. The first category is *Learning*. These initiatives are largely information and/or learning-based and may include knowledge management, learning management and content management systems; education and training; and interactive learning technologies. The second category is *Performance Support* which refers to interventions that support the performer on-the-job and just-in-time and may enhance or replace learning. Performance support is covered in Chapter 11 while this chapter describes the learning interventions outlined in Figure 10.1.

**Figure 10.1**

**LEARNING INTERVENTIONS**
The performance improvement practitioner selects or designs a learning intervention when a gap exists between the current knowledge, skill, or attitude of a worker or group of workers and the job specifications. Typical categories of performance support interventions include, but are not limited to, knowledge management, learning management and content management systems, education and training, and interactive learning technologies.

**KNOWLEDGE MANAGEMENT (KM)**

**Definition.** Knowledge management is a systematic and conscious effort to identify, capture, codify, store, transform, disseminate, and share knowledge so that people within an organization can use the organization’s collective knowledge and experience to foster business innovation and competitive advantage. Since Knowledge management is about “applying knowledge in new, previously unencumbered or novel situations, each organization should define it in terms of its own business objectives.”

**Scope.** In a knowledge economy, workers are paid for their expertise and knowledge. An organization supports explicit and tacit knowledge. Explicit knowledge is recorded and transmitted among people; for example, written policies and procedures, rules and regulations, and so forth. Tacit
knowledge is the know-how that is not recorded and is rooted in personal experience, for example, procedures for solving peculiar problems.2

A knowledge management system supports people, technology, and content:

- "Knowledge lives in people’s heads and is embedded in process through people."3 The process of knowledge management begins and ends with people who select or design, use, and maintain the technology required to transform and share knowledge.4
- "Technology is an enabler, not an answer."5 A knowledge management system requires the same basic technology as an information system and usually includes an intranet and groupware.
- "The heart of a good knowledge management system is in the content itself. If the knowledge management does not provide users with timely, accurate information, inform them of best practices, and link them to expertise, organizations will not realize the full value of their investment in the system."6

**Workplace Implementation.** The knowledge management construct has been examined and applied in a wide variety of disciplines, including business process reengineering, decision support systems, expert and executive information systems, total quality management, business intelligence, library and information science, information technology, e-learning, learning organizations, computer-supported collaborative work,
and document management. The performance improvement practitioner becomes a subject matter expert (SME) on knowledge management and the various domains and disciplines that support it.

Typical inputs to knowledge management are cognitive science, expert systems, library and information sciences, technical communication, document management, decision support systems, organizational science, among others. In addition, the practitioner needs to be a life-long learner and remain up-dated on changes in the world of work and how they affect the organization’s coping with and managing the knowledge. The practitioner also looks for pockets of organizational strength where employees are involved with knowledge creation and sharing and models and encourages knowledge sharing.

If knowledge management is not active within the organization, the performance improvement practitioner could help design a knowledge management system that is user friendly. User-friendly knowledge management systems, whether off-the-shelf or custom designed, link collection, storage, and retrieval of knowledge to how people will use the knowledge and support people when they capture and share knowledge. During strategic design, the practitioner can help explore how knowledge is used and valued in the organization. The practitioner can also support integration of knowledge management with other strategic initiatives.
Once knowledge management is implemented, the performance improvement practitioner uses his or her consulting skills to “nurture the communities in which knowledge is created and shared.”9 The practitioner can also play a vital role in helping the organization focus the evaluation up front during the strategic planning process since measuring learning is essential to the knowledge management process. This increases chances for successfully evaluating the knowledge management system.

Two PSTs support these efforts. Performance Support Tool 10.1 can help guide the planning of a new or evaluating an existing knowledge management intervention. PST 10.2 is a diagnostic survey that helps an organization determine the effectiveness of its knowledge management practices.

**PST 10.1**

**A Knowledge Management (KM) Primer**

**Directions:** Use the following activities and questions to guide the planning of a new or evaluating an existing knowledge management intervention. Revise the questions as needed to meet existing or emerging organizational needs.

1. **Identify knowledge assets (explicit and tacit).**
   - Where is the knowledge asset?
   - What does it contain?
   - What is its use?
- What form is it in?
- How accessible is it?

### 2. Analyze how each knowledge asset can add value.
- What are the opportunities for using the knowledge asset?
- What would be the effect of its use?
- What are the current obstacles to its use?
- What would be its increased value to the company?

### 3. Specify what actions are necessary to achieve maximum usability and added value for each knowledge asset.
- How to plan the actions to use the knowledge asset
- How to enact actions
- How to monitor actions

### 4. Review (evaluate) use of each knowledge asset to ensure added value.
- Did its use produce the desired added value?
- How can the knowledge asset be maintained for this use?
- Did the use create new opportunities?

---

**Performance Support Tool (PST) 11.2**

**Knowledge Management Assessment Tool (KMAT)**

**Background**

The Knowledge Management Assessment Tool (KMAT), is primarily intended to generate dialogue, inquiry, and action planning organization-wide. It also can be used to examine the effectiveness of knowledge management practices within or between departments and external clients to help identify “information flow” and knowledge-sharing bottlenecks. (see PST 10.2) The
KMAT was derived by Maier and Moseley\textsuperscript{10} based on a literature and internet search. They found that five common dimensions of the knowledge management construct appear to be particularly important: identification and creation, collection and capture, storage and organization, sharing and distribution, and application and use. These dimensions, described below, represent an integrated and procedural approach to the knowledge management discipline.

1. **Knowledge Identification and Creation** begins with identifying and creating knowledge—transforming data or isolated facts with no meaning and information or interpreted data with meaning into a value-added, actionable resource. It provides employees with the ability to perform a particular task or identify hidden trends and unusual patterns within data and information for operational and strategic decision making. Identification and creation of knowledge is often accomplished through interviews, observation, brainstorming sessions, focus groups, portfolio analysis, root-cause analysis, and other similar techniques that generate new ideas and knowledge. These are very often led by experts in the particular domain.

2. **Knowledge Collection and Capture** uses either on paper or an electronic format. Organizational intranet portals, knowledge bases, and network servers are the most effective methods. Job analyses, work documentation, organizational audits, and case studies are
examples of collection instruments used by organizations. Because an overwhelming amount of knowledge often exists in an organization, it should be prioritized; only that which is critical to the organization’s competitive edge and knowledge management goals should be collected and captured. It is also essential that how knowledge moves through an organization or the "information flow" is collected and captured. This aids in the improvement of ineffective processes that hinder the knowledge management initiative.

3. **Knowledge Storage and Organization** avoids the unorganized storage of knowledge which can cause significant losses in employee time, productivity, and customer service quality. It will ultimately “bottleneck” the knowledge management process and render it useless. Because people think about information differently, depending on their position and needs, it must be organized or categorized in multiple ways to allow quick and easy retrieval. Typical classification schemes for organizing include product line, industry, activity, and department or function.

4. **Knowledge Sharing and Dissemination**, also known as “corporate memory”, improves business processes, increases productivity, and fosters innovation, allowing an organization to maintain a competitive edge. Knowledge can be shared and disseminated through many traditional, non-electronic means, such as meetings and memos.
Advanced electronic technologies now available offer the best solution for large, often global organizations that contain enormous volumes of knowledge. Such technologies include email, threaded discussion, knowledge bases, groupware and collaboration tools, online whiteboards, search engines and agents, intranet portals, e-business portals, customer relationship management software, learning and document management software, and digital libraries.

5. **Knowledge Application and Use** is expansive because technology such as online analytical processing (OLAP) provides an organization with the ability to analyze information and look for relationships, trends, patterns, exceptions, and other valuable, often “hidden” information. Data-mining tools present in online analytical processing (OLAP) and other business intelligence (BI) software allow an organization to make logical inferences and draw conclusions about specific business areas using statistical models and algorithms. Consumer trends, competitive product offerings and pricing, current marketing campaigns, research and development projects and human and capital asset utilization are examples of these business areas. Organizations that make use of their corporate memory tend to surpass their competition in exploiting collective experiences, meeting customer demands, managing increasing complexity and globalization,
and improving the bottom line through strategic and operational
decision making.

Each of the five dimensions can be further examined in terms of two
perspectives: explicit knowledge and tacit knowledge:

1. **Explicit knowledge** represents *recorded* information, intelligence,
and expertise. These include organizational databases and data
warehouses, market reports, sales reports and presentations, product
specifications and white papers, press releases, news stories, price
sheets, training materials, job descriptions, documentation, annual
reports, organizational charts, minutes of meetings, strategic plans,
and the like.

2. **Tacit knowledge** represents *personal expertise* not formally recorded
and, therefore, essentially unofficial. It includes facts that give rise to
corporate memory and knowledge, processes, procedures,
mechanisms, and strategies. It also includes the prejudices, values,
intuitions, biases, and trust that cause employees to think and act.
This information, sometimes referred to as "intellectual assets" is
neither easily recorded within the organization nor easily shared
among employees.
**Purpose:** The Knowledge Management Assessment Tool is primarily intended to generate dialogue, inquiry, and action planning organization-wide. It also can be used to examine the effectiveness of knowledge management practices within or between departments and/or external clients—customers, partners, vendors, and suppliers—and identify “information flow” and knowledge-sharing bottlenecks.

**Audience:** The tool is intended to be completed by all of the employees within an organization. Although administration within a work unit would certainly yield valuable data, sustainability is more an organization-wide concept.

**Content:** The Knowledge Management Assessment Tool consists of thirty statements, six for each of the five dimensions of the knowledge management process. Individuals completing the assessment read each statement and reflect on how it pertains to their work. These reflections are quantified from 6 (strongly agree) to 1 (strongly disagree).

**Timing:** The instrument takes approximately thirty minutes to complete

**Administration:** It is recommended that administration of the assessment be done online and scoring accomplished electronically if at all possible.

**Reliability and Validity:** The Knowledge Management Assessment Tool was piloted with corporate managers responsible for organization development, information management, and process improvement and
revised based on their feedback. The population that piloted the survey concurred on both content and face validity. Content validity is the degree to which items on the survey represent the content that the survey is designed to measure. Face validity is the subjective appraisal of what the content of the survey measures. Reliability data for the Knowledge Management Assessment Tool is not available. The authors suggest being mindful of stability over time and increasing the number of survey items to test reliability.

**Scoring Process:** The Knowledge Management Assessment Tool Scoring Sheet is in three sections. Section 1 is to be completed by the employee. Sections 2 and 3, containing aggregated data, are to be completed by an organizational administrator. If large quantities of data are anticipated for aggregation, an online instrument with electronic scoring is recommended, thus providing an easy way to collect and score the data. For smaller data sets, administration can be conducted with paper and pencil, with scoring done manually, by following the instructions provided in Sections, 1, 2, and 3 of the Knowledge Management Assessment Tool Scoring Sheet. All responses are best kept confidential and scores revealed as organizational or departmental averages only.

**Section 1**
1. Participants transfer their responses from the survey pages to the appropriate spaces in Section 1 of the KMAT Scoring Sheet.

2. Participants add their responses for each dimension and record these sums.

Section 2

1. An administrator (unless scoring is done electronically) places the aggregate totals for each dimension in the appropriate total box in Section 2 of the KMAT Scoring Sheet.

2. The number of respondents in each category is written in each N box.

3. The adjusted total (the average score) is calculated by dividing the total of each dimension by N.

Section 3

1. An administrator (unless scoring is done electronically) adds the total scores of all participants for each question and places this value in the appropriate subtotal box.

2. Then he or she adds the subtotals for both explicit and tacit knowledge and places this value in the proper total box and places the total number of participants in the N box.
3. Then the administrator divides the total for each dimension by N to find the adjusted totals (averages).

**Interpretation of Scores:** Two different Scoring Sheets (Sections 2 and 3) are provided to make it easier to interpret the aggregated results. Section 2 presents scores according to the five knowledge management dimensions and should be evaluated using the following scale for each of the five dimensions:

<table>
<thead>
<tr>
<th>Score</th>
<th>Interpretation</th>
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<tbody>
<tr>
<td>31 to 36</td>
<td>The organization (or department) exhibits highly effective knowledge management practices in this area.</td>
</tr>
<tr>
<td>26 to 30</td>
<td>The organization (or department) exhibits very effective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>21 to 25</td>
<td>The organization (or department) exhibits moderately effective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>16 to 20</td>
<td>The organization (or department) exhibits moderately ineffective knowledge management practices in this area.</td>
</tr>
<tr>
<td>11 to 15</td>
<td>The organization (or department) exhibits very ineffective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>6 to 10</td>
<td>The organization (or department) exhibits extremely ineffective knowledge management practices on this dimension.</td>
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</table>

Section 3 of the Scoring Sheet arrays responses by the type of knowledge – explicit or tacit – and should be evaluated using the following scale for each of the two types of knowledge:
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<tr>
<th>Score</th>
<th>Type of Knowledge</th>
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<tbody>
<tr>
<td>79 to 90</td>
<td>The organization (or department) exhibits highly effective knowledge management practices in this area.</td>
</tr>
<tr>
<td>66 to 78</td>
<td>The organization (or department) exhibits very effective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>53 to 65</td>
<td>The organization (or department) exhibits moderately effective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>40 to 52</td>
<td>The organization (or department) exhibits moderately ineffective knowledge management practices in this area.</td>
</tr>
<tr>
<td>27 to 39</td>
<td>The organization (or department) exhibits very ineffective knowledge management practices on this dimension.</td>
</tr>
<tr>
<td>15 to 26</td>
<td>The organization (or department) exhibits extremely ineffective knowledge management practices on this dimension.</td>
</tr>
</tbody>
</table>

**Posting the Data:** The results can be posted and compared with previous assessments to show progress for the entire organization. The scores can be presented in a number of ways, including:

- Scores for the entire organization;
- Breakdowns of scores by business unit (human resources, engineering, marketing, accounting, and so forth);
- Breakdowns of scores by knowledge management dimension (identification and creation, collection and capture, storage and organization, sharing and dissemination, and application and use); or
• Breakdowns of scores by type of knowledge: explicit or tacit.

Care should be taken to ensure that there are at least five respondents from each business unit to assure anonymity.

**PART 2: PARTICIPANT**

**Instructions:** This survey is designed to allow you to register your opinions regarding your organization and its external relationships. Please review each of the following statements and circle the response that best represents your opinion about your organization, using the following scale:

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<tbody>
<tr>
<td><strong>Strongly Disagree</strong></td>
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<tr>
<td><strong>Disagree</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>Mildly Disagree</strong></td>
<td>3</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Mildly Agree</strong></td>
<td>4</td>
<td>5</td>
<td>6</td>
<td></td>
<td></td>
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<tr>
<td><strong>Agree</strong></td>
<td>5</td>
<td>6</td>
<td></td>
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<tr>
<td><strong>Strongly Agree</strong></td>
<td>6</td>
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<th>Item</th>
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<tbody>
<tr>
<td>1. The generation of new ideas and knowledge is highly valued.</td>
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<td>2. Job analyses are frequently performed to determine job duties and requirements.</td>
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<tr>
<td>3.</td>
<td>An electronic knowledge base exists to store new ideas, knowledge, solutions, and best practices.</td>
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<td>4.</td>
<td>Documents are proactively shared with employees.</td>
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<td>5.</td>
<td>The collective experience of employees is an integral part of decision making.</td>
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<tr>
<td>6.</td>
<td>Suggestions and multiple viewpoints are often sought for decision making and organization development.</td>
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<tr>
<td>7.</td>
<td>The development of job documentation is encouraged.</td>
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<tr>
<td>8.</td>
<td>Information from many sources is stored in an integrated manner and cross-referenced, facilitating better communication and decision making.</td>
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<tr>
<td>9.</td>
<td>No policies or technical security issues prevent the sharing of information and knowledge.</td>
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<td></td>
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<td>10.</td>
<td>Job responsibilities are carried out and decisions are made based on all the necessary information and knowledge.</td>
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<td>11.</td>
<td>Experience is highly valued.</td>
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<td>12.</td>
<td>Documents can be posted on an organizational intranet portal or saved on a network server.</td>
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<td>13.</td>
<td>The information and knowledge you receive is accurate and up-to-date.</td>
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<td>14.</td>
<td>An organizational intranet portal exists where information and knowledge relevant to job requirements may be retrieved.</td>
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<td>15.</td>
<td>New ideas and knowledge are frequently applied.</td>
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<tr>
<td>16.</td>
<td>Brainstorming and other similar techniques are often used to generate and record new ideas and knowledge.</td>
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<td>17.</td>
<td>New ideas and knowledge are recorded for future use.</td>
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<td>18.</td>
<td>It is common practice to store work documents on an organizational server, rather than on personal computers.</td>
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<td>19.</td>
<td>Electronic and/or non-electronic collaboration, teamwork, and cooperation are a part of doing business.</td>
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<td>20.</td>
<td>Recorded knowledge and best practices are used for training, staff development, and organizational development.</td>
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<td>21.</td>
<td>Tips and tools, job aids, and case studies of best practices are available for performance objectives.</td>
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<td>22.</td>
<td>On-the-job time is available to</td>
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<tr>
<td>23. Information is stored and organized in a way that makes it intuitively easy and quick to locate.</td>
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<tr>
<td>24. Collaborative meetings to gather information and share knowledge are productive.</td>
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<tr>
<td>25. Advanced technologies, such as data warehousing, mining, and modeling, are used to leverage data and information for strategic and operational decision making.</td>
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<tr>
<td>26. There is a directory of experts for each major knowledge domain.</td>
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<tr>
<td>27. Concept mapping, sometimes called “mind mapping”, is a common technique used to gather new information and knowledge.</td>
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<tr>
<td>28. Documents stored on an organizational server or intranet contain timely and useful knowledge for our job responsibilities.</td>
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<td>29. Incentives are in place that motivates staff to share knowledge.</td>
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<tr>
<td>30. Expert systems and knowledge bases are used to aid in decision making.</td>
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</tr>
</tbody>
</table>
# Employee Scoring Sheet

**Instructions**

1. Enter the department or business unit for which you work in the space provided.
2. Transfer your score on each item from the Knowledge Management Assessment Tool to the corresponding numbered blank.
3. Add your responses for each dimension vertically and place the total in the appropriate blank at the bottom of the column.

## Section 1

<table>
<thead>
<tr>
<th>Your department or business unit:</th>
<th>Knowledge Identification and Creation</th>
<th>Knowledge Collection and Capture</th>
<th>Knowledge Storage and Organization</th>
<th>Knowledge Sharing and Dissemination</th>
<th>Knowledge Application and Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>2.</td>
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<td><strong>Total:</strong></td>
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<td><strong>Total:</strong></td>
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</tbody>
</table>
Knowledge Management Assessment Tool Administrator Scoring

Sheet 1

Five-Dimensional Analysis

Instructions

1. Add the total scores of all participants within whatever subunit or organizational division you have chosen for each dimension and place this value in the total box.

2. Place the total number of respondents in the N box.

3. Divide the total number for each dimension by N to find the adjusted total (average score for that dimension).

Section 2

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Total</th>
<th>N</th>
<th>Adjusted Total (Total/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge Identification and Creation</td>
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<td>Knowledge Collection and Capture</td>
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<td>Knowledge Storage and Organization</td>
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<td>Knowledge Sharing and Dissemination</td>
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<tr>
<td>Knowledge Application and Use</td>
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</tbody>
</table>

Sheet 2

Explicit/Tacit Analysis
Instructions:

1. Add the total scores of all respondents for each question and place this value in the respective subtotal box.
2. Add the subtotals in each column to obtain total scores for explicit knowledge and for tacit knowledge.
3. Place the total number of participants in the N box for each column.
4. Divide the total for each dimension by N to find the adjusted total (average for that dimension).

[Note to Editor- I do not have the original for this document and I have no idea how to format it. We will include a hard copy in the package with the hard copy of this manuscript]

Section 3
Explicit Knowledge
Management Practices

<table>
<thead>
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<th>Question</th>
<th>Subtotal</th>
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<td>Tacit Knowledge Management Practices</td>
<td>Question</td>
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<td>Adjusted Total (Total/N)</td>
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**ORGANIZATIONAL LEARNING**

**Definition:** Organizational learning is a conscious and deliberate way to design organizations so that they function effectively, efficiently, and provide
value to their customers or clients through the goods and services that they offer. Employees are encouraged to strive for and maintain their full potential and, ultimately, make society a better place in which to live and function.\textsuperscript{11} It goes beyond individual and team learning in that “organizations as entities can also learn and in fact must learn in order to survive.”\textsuperscript{12}

**Scope:** Organizational learning focuses on Senge’s core disciplines or characteristics\textsuperscript{13} which permit an organization to function as a learning organization. The characteristics include:

- **Systems Thinking:** An organizing framework for looking at the world in terms of wholes and seeing patterns and relationships among the parts of the system.
- **Team Learning:** Employees working together with a synergistic commitment of productivity, mutual trust, cooperation, collaboration, and shared vision.
- **Shared vision:** This commitment is experienced by employees when they all share in knowing what to do and in making the organization a better place for themselves and for the outside world. The alignment of one’s personal goals with the organization’s goals is primary.
- **Mental Models:** These are our assumptions about the world and how it works, testing those assumptions with new input and data, and fashioning the decisions we make accordingly.
• Personal Mastery: This is our legacy, what we strive for in life, what we want the world to remember about us and how we go about fulfilling that purpose and following that dream.\textsuperscript{14}

Argyris and Schon identify types of organizational learning that have significantly impacted the field: The first occurs when an organization realizes a problem and takes corrective action to fix it; the second occurs when the organizations makes a concerted effort to determine why the problem exists in the first place so that it will never occur again; the third occurs when the first and second types of learning are in place and the organization wants to find out how to continuously improve the situation and what lessons may be learned from the encounters.\textsuperscript{15}

**Workplace Implementation:** The following suggestions help the performance practitioner to focus thinking about organizational learning. The practitioner begins by considering the organization’s personality and looks at its culture, its mission, values, goals, critical business issues, strategies, and shared vision. The practitioner focuses on the organization’s corporate social responsibility, i.e., what the organization does to instill value in the external neighborhood or community and how the organization is contributing to its social world. The practitioner considers the type of dialogue which occurs within the organization; do employees have a sense of their responsibility to contribute to corporate intelligence? Are leaders and managers redefining their role by getting their hands and feet wet—
management by walking around? Are sustainable management practices employed to survive our tenure in the organization? What are we doing to provide appropriate balance between work and life and how can we learn from these experiences?\textsuperscript{16}

**LEARNING MANAGEMENT SYSTEM (LMS)**

**Definition:** A learning management system is a software system used to manage and deliver learning content and resources to students and other learners. Since most learning management systems are web-based, they facilitate on-the-spot, anytime, anywhere access.\textsuperscript{17}

**Scope:** Global and regional training groups and teams through intranet and/or Internet “often use a network-based aggregation system that manages learning content, member activity reports, and member information. . .content flows to its members based on assignments, job functions, roles, and requirements. . .content may or may not have assessments to track the performance of the users.”\textsuperscript{18} The learning management system can be highly developed or something much simpler depending upon the functions, needs, or priorities of the organization. It can also provide performance management functions such as performance appraisals and reviews, competency management, skill gap assessments, succession planning, and retention efforts and specifications.\textsuperscript{19}
Ellis, in an American Society for Training and Development (ASTD) report, says that a viable and robust learning management system should be capable of personalizing content, enabling knowledge reuse, assembling and delivering training content rapidly, consolidating training initiatives on a scalable web-based platform, and so forth.  

Typical LMS’s include, but are not limited to, Blackboard, Moodle, Desire2Learn, and Sakai. These are also course management and collaborative learning systems.

Workplace Implementation: A performance practitioner selects and implements a learning management system by determining the learning strategy and its administration, tracking, and reporting options, researching learning management companies and issuing requests for proposals (RFP), scheduling demos and demanding pilots and prototypes.

CONTENT MANAGEMENT SYSTEM (CMS)

Definition: Content Management System “allows its members to authenticate their personal identification and gain access to digital files, such as customer records, documents, spreadsheets, presentations, and audio and video files from practically anywhere.”
**Scope:** A collaborative space within a secure Internet connection allows employees to work together “when accessing, uploading, editing, storing, and managing documents... (with) a single point of search and distribution of these files.”24 The procedures used are computer-based or manual. In a content management system many individuals can contribute and share information; can control access to data based on their roles and responsibilities within the organization; provide for easy storage and retrieval of data; reduce repetition; enhance and enrich the communication among users at all levels of the organization.25 There are also Learning Content Management Systems (LCMS) which support “the creation, storage, reuse, and management of courses in a central depository.”26

**Workplace Implementation:** The organization from top down must support a CMS. This goes far beyond providing lip-service to the enterprise. In order to access digital files, there must be a secure Internet in place. Employees at various levels in the organization must have access to the central depository and the machinery must be available and in working order for effective and efficient retrieval of data as needed. Designated individuals or a team must be responsible for updating the data, checking for errors and redundancies, and controlling and dating the versions.
**Definition:** Education is the process that improves work performance in a focused direction beyond the person’s current job or station in life. The emphasis is on broad knowledge, understanding, comprehension, analysis, synthesis, and evaluation, and on transferring knowledge to future objectives, as well as to immediate life experiences and to job-related applications.

**Scope:** Individual and organizational change are the outcomes of educational programs. In order for these changes to occur, “education should be seen as a fundamental and on-going process...The education process should emphasize immediate application of learnings.”

Traditionally, the term education refers to learning in a K–12 environment or K-20 environment with curricula designed for early childhood, primary, elementary, mid-level, high school, as well as undergraduate, graduate school, and beyond. With today’s emphasis on life-long learning, the focus shifts to educating people of all ages in multiple settings using various low or high tech modalities and media. The employer or the employee can act on the need for education on an immediate and on an as-needed basis.

**Workplace Implementation:** The Greek philosopher Maimonides offered advice to people seeking a broader, more global educational perspective when he said: “May there never develop in me the notion that my education is complete but give me the strength and leisure and zeal continually to
enlarge my knowledge.” Learning is a lifelong privilege. Education is not a task to be completed, but a process to be continued.

**TRAINING**

**Definition:** There are a variety of training designs which provide instruction to employees by employers to establish, improve, maintain, or extinguish performance as it relates to business needs. Training develops employee knowledge, abilities, skills, and attitudes to “maximize the human resource contribution to an enterprise.” ²⁹

**Scope:** Training is a four-part performance intervention wherein:

- Objectives describe the outcomes (what the trainees are expected to know or do when the training ends)
- Content provides information to help the trainees learn
- Interaction gives the trainees a chance to demonstrate what they have learned
- Feedback provides the trainees (and the instructor) with information and data to compare the interaction to an *exemplary model*. ³⁰

Moskowitz cites essential training elements as change and goal-focused with alignment of all organizational systems. These elements also include extreme training such as scavenger hunts, ropes courses, whitewater rafting, and other kinds of adventures. ³¹
**Workplace Implementation:** Training is big business and it is appropriate only when knowledge, skills, and mandated experiences are necessary; otherwise, other interventions are required to close gaps or to realize opportunities or challenges. The performance practitioner is positioned to work with clients to determine whether or not training is both an appropriate and effective intervention. These points of guidance help the practitioner implement training:

1. Analyze the situation
2. Write learning objectives
3. Choose the delivery method
4. Identify content
5. Plan the learning activities
6. Structure a training program
7. Develop materials and validate the program
8. Evaluate the results

**SELF-DIRECTED LEARNING**

**Definition:** Self-directed learning is training designed to allow the employee to master material independently, at the employee’s own pace.
Scope: Self-directed learning is the tendency of adult learners to prefer taking charge of their own learning; however, we can all name some people who are chronologically adult but do not behave in a self-directed manner. Self-directed learning is critical for success in higher education, in organizational learning, and in selecting, training, and retaining adults who are savvy in the new interactive technologies. As self-motivated and self-directed employees are given opportunity and trust to work from home or any place at any time with laptop in hand, business opportunities and challenges will be realized and addressed. In their award-winning book about older workers and learners, Moseley and Dessinger cite research that says late-life self-directed learners “prefer self-study modules or hands-on experiences in which they can control what they learn, when they learn it, where they learn, how they learn, and why they learn.” Table 10.1 lists major advantages and disadvantages of self-directed learning.

Table 10.1
Self Directed Learning Guidelines

<table>
<thead>
<tr>
<th>Advantages</th>
<th>Trainee</th>
<th>Trainer Developer</th>
<th>Corporation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Based on trainee readiness</td>
<td>Fewer repeated classes</td>
<td>Allows multiple site training</td>
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</tr>
<tr>
<td>Material individually</td>
<td>Increase in</td>
<td>Allows continuous</td>
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</tbody>
</table>


Workplace Implementation: A self-directed individual is one who is motivated to fulfill the demands of the work that is required, responsible to follow through when the going gets tough, trustworthy to work in a collaborative posture with peers, clients, and various stakeholders, and accountable for his or her actions. All of these characteristics demand a person who exhibits the wisdom of Solomon and the patience of Job and who can perform with humility and perseverance. In an organizational setting,
supervisor creates a suitable climate for self-directed learning to occur by providing time for the trainee to do the learning; allowing flexibility for the employee to choose those components of training that will enhance current and future status; empowering the trainee to practice the skills gained in the self-directed format; coaching the trainee to remain focused; guiding the trainee on a journey that is personally fulfilling and one that meets the organization’s strategic vision and mission.35

**ON-THE-JOB LEARNING**

**Definition:** On-the-job learning is a “strategy used to train new employees. . .it has been melded with just-in-time training and has become part of a seamless, on-the-job learning continuum for workers.” 36 It is a “real-time change strategy” 37 that is defined by time, place, and resources. It is individual or small group training conducted at or on the worksite by one or more expert performers (peers or supervisors) during work hours.

**Scope:** It is formal (structured) when it is planned and it may involve a combination of classroom learning, role playing and simulations, job-related practice scenarios, and various assessment exercises. It is informal (unstructured) when it is the practice of asking a skilled employee to teach a new employee the tricks of the trade.38 It enjoys both strengths and limitations. The fact that is does not require special training facilities, for
example, takes less time to train on the job than in a classroom, and does not require the expert to leave the worksite are considered strengths. On the other hand, the fact that it may disrupt the workplace, that experts may lack training skills, and hands-on or practice time may vary are considered limitations.39

**Workplace Implementation:**  On-the-job learning is ‘smart’ when it “is directly related to the work of the unit. . .the trainer is completely familiar with the topics. . .when it can be given in short modules. . .when the trainee can see what he or she is supposed to learn. . .when it is given by genuine experts.”40 In addition, myriad opportunities should be provided for the novice to practice, practice, and do more practice under the guidance and direction of a designated expert coach who will communicate regularly and furnish frequent and timely constructive feedback.

**JUST-IN-TIME LEARNING**

**Definition:** Just-in-Time Learning is a training design that takes place just before or concurrent with the trainee’s need to use a specific knowledge or skill. It is real-time learning and marks the convergence of workplace learning, performance, and accomplishment.

**Scope:** Just-in-time learning has its origins in the manufacturing world where it “is a company-wide philosophy oriented toward eliminating waste
throughout all operations and improving materials throughout.41 Gradually it moved to other arenas of productivity. It is a learn-and-do intervention that focuses on need-to-know rather than nice-to-know content. Moseley and Dessinger believe that “It is best suited to situations in which workers need immediate practice to master new knowledge or skills and when it is possible to roll out a new procedure throughout an organization or in pockets of the organization.” 42

**Workplace Implementation:** Just-in-time learning places substantial reliance on the employee to secure the most relevant, recent, and useful information with appropriate resources for achieving a particular purpose. It suggests that the learner is self-directed and self-motivated and that an expert guide or coach who can influence with integrity is present to answer questions, to help establish patterns and priorities, and to serve as a ‘sounding board’ for the employee’s need-to-know.

**ACTION LEARNING**

**Definition:** Action learning is both a process and a program that builds opportunities for learning around real problems and work-related issues brought to the workplace by people. Through training and education, an individual’s skill advancement is enhanced which, in turn, strengthens the operational effectiveness of the organization. 43
**Scope:** The concept of action learning was developed over 70+ years ago as a way to improve performance. Action learning groups focus on problems that are complex, systemic issues, important to the organization, and not easily solved by experts or ready-made right answers. There are two basic types of action learning programs: programs presented by the organization and everyone in the group works on its solution under the guidance of a champion; programs wherein each group member brings a problem forward and group members take turns at being the client by focusing on results, taking a systems view, adding value, and establishing partnerships.

**Workplace Implementation:** Table 10–2 ACTION LEARNING GUIDELINES provides guidelines and process elements for action learning.

**Table 10.2**

**Action Learning Guidelines**

<table>
<thead>
<tr>
<th>Components</th>
<th>How the Process Works</th>
</tr>
</thead>
<tbody>
<tr>
<td>Groups of 6–30 employees</td>
<td>Representatives from different businesses or from different functional areas</td>
</tr>
<tr>
<td>Reflection on lessons learned from previous experiences</td>
<td>Apply knowledge to create more effective future performance</td>
</tr>
<tr>
<td>Take action on issues or problems brought to the group</td>
<td>Group wrestles with problem; finds alternative with help of group process expert</td>
</tr>
<tr>
<td>Selection of appropriate problems</td>
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</tr>
<tr>
<td>Action learning vehicle:</td>
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</table>
Exhibit 10.1
The Practitioner’s Voice: Action Learning

“The Performance Practitioner’s Voice

Action Learning

“Action learning takes a slightly different approach to workplace problem solving. While the primary goal is still to advance the organization’s progress towards goal attainment, the secondary goal is to enhance individual and organizational knowledge in preparation for future tasks and challenges. What is unique to action learning is that there is a conscientious effort to recognize and encourage the element of learning surrounding a decision or an event. Such organizations allocate time so the staff can reflect upon or process the learning tied to a recent task or challenge. They do this to build the skill and knowledge capacity of the organization to be better prepared for future tasks. An overlooked, yet often equally important
secondary purpose of action learning is its role in helping the organization weather workforce or industry shifts that often affect an organization’s ability to recruit and retain strong performers. By purposefully enhancing knowledge and capacity of their staff, organizations become less reliant on outside talent to help move them forward. Action learning represents a mindset that is reflected in the overall organizational health.”

Robert W. Lion, PhD
Assistant Dean, College of Business
Northern Michigan University
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**BLENDED LEARNING**

**Definition:** Blended learning is a “system which combines face-to-face instruction and learning with computer-mediated instruction.”

**Scope:** Historically, it is “the on-going convergence of two archetypal learning environments. . .traditional-face-to-face learning environments. . .(and) distributed learning environments (learning resources distributed in space and time to support learners anywhere and everywhere) that have begun to grow and expand. . .” Why would one want to choose a blended learning modality over other types of learning? Osguthorpe and
Graham’s research suggest reasons for designing, developing, and implementing a blended learning system:49

A blended learning system provides pedagogical richness, access to knowledge, and social interaction; since it is cost effective and easy to revise, blending occurs at the activity level, the course level, the program level or the institutional level.50

**Workplace Implementation:** There are many challenges to designing blended learning systems. Practitioners need to be good instructional designers who can deliver content with an effective blend of technologies. They also need to pilot blended systems, teach teams the elements of a blended learning experience through action, and prepare organizations always remembering that learning is a life-long process of mastering change.51

**TECHNICAL AND NON-TECHNICAL LEARNING**

**Definition:** Technical training is “instruction intended to help people perform the unique aspects of a special kind of work and apply the special tools, equipment, and processes of that work, usually in one organizational setting.”52 Clark defines it as “a structured learning environment engineered to improve workplace performance in ways that are aligned with bottom-line business goals.”53
**Definition:** Non-technical training is another name for soft skills training which is “training to help people learn how to interact with other people.”\(^{54}\) It involves changing attitudes rather than knowledge or skills.

**Scope:** Rothwell and Benkowski see it as purely hard skills training that differs from soft skills training and basic skills training; whereas, Clark believes that it includes both hard and soft skills. In a technical training environment the trainee must process and learn the content by remembering essential information and data, by applying the information and data to a particular job-related problem, opportunity, or challenge, and by evaluating the process and reflecting upon it.\(^{55}\) The audience for technical training includes workers who are responsible for the following tasks;

- Producing, packing, or distributing tangible products (automobiles, electronic components, soap, batteries) or services (customer billing, sales, selection, hiring, retention)
- Using equipment or technologies (fork lifts, computer applications, magnetic resonance imaging, total quality management, techniques, tools, digital technologies)
- Servicing or maintaining equipment, technologies, or processes
- Troubleshooting equipment, technologies, or processes.

One way to determine whether the skill or task is technical or non-technical is to ask: Is there one right or wrong way to perform? If yes, then
the skill or task is technical; if no, then the skill or task is soft; if sometimes, then the skill or task may be a hybrid with hard and soft components, for example, troubleshooting, i.e., requiring thought and skill for resolution.

**Workplace Implementation:** Whether technical or non-technical, the performance practitioner makes certain that the training supports the organization’s needs and critical issues and is aligned to the organization’s strategies, vision, mission, and goals. Participants for the training have to be properly identified and have the appropriate resources to perform the job. The practitioner checks the expertise and credibility of vendors and external consultants who can offer specialized services and makes certain that appropriate delivery methods, including blended ones, are selected based on learning effectiveness, cost effectiveness, and time allocation. and, finally, evaluate and reflect and reflect and evaluate.  

**Exhibit 10.2**

**The Performance Practitioner’s Voice: Technical and Non-Technical Learning**

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**THE PERFORMANCE PRACTITIONER’S VOICE**

**Technical and Non-Technical Learning**
“Changes in student preferences and increased globalization have had strong impacts on delivering technical and non-technical learning. In the past, global learner analysis showed distinct differences in preferred technical learning delivery methods from country to country. Current analyses show that these differences have diminished and that most common delivery methods have become acceptable, if not preferred. Short targeted learning/training backed by adequate job aids and local expertise have become essential methods since global workers want more control over their learning and more support while performing their jobs. Globalization and learner preferences for non-technical learning/training show the same trends, but issues with non-technical or soft skills training may be more difficult to resolve. There may be a need for communization of internal processes and performance standards before training can take place. In addition, the learning/training organization may have to decide whether or not to adapt learning/training to local cultures and practices or to make content acultural. Global audiences for non-technical learning/training may prefer conversation around the content, or may have cultural norms that reduce sharing in a classroom setting. However, as with technical learning/training, non-training audiences also show a preference for shorter targeted learning/training and adequate support supplemented by asynchronous opportunities to share information.”

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**Definition:** Social learning is learning from each other; it is “collaborative, immediate, relevant, and presented in the context of an individual’s unique work environment.”\(^{57}\)

**Scope:** By harnessing social media to facilitate social learning, workplaces can build a collaborative culture within the organization and leverage new technologies and strategies to support and sustain social learning at work. Social media helps people in organizations learn faster, innovate frequently, exchange new knowledge and data, collaborate with peers, form partnerships with customers, and add value to services or products. Researchers from the United Kingdom say that to be considered social learning, a process must:

- Demonstrate that change in understanding has taken place in the individuals involved
- Demonstrate that this change goes beyond the individual and becomes situated within wider social units or communities of practice, and
- Occur through social interactions and processes between actors (people) within a social network.\(^{58}\)

Bingham and Conner have this to say: “The new social learning provides people at every level, in every nook of the organization, and every corner of the globe, a way to reclaim their natural capacity to learn non-stop. Social learning can help the pilot fly more safely, the saleswoman be more persuasive, and the doctor keep up to date.”\(^{59}\)
**Workplace Implementation:** Today’s and tomorrow’s workplaces will continue to change thanks to social media and the powerful social learning that takes place in organizations as employees gather to solve problems and realize opportunities in real time. Social learning and the social competence that results represents a fundamental shift in how people work and learn and how they see themselves functioning within corporate social responsibility in the greater society.

Employers have an obligation to make corporate learning fun, engaging, participatory, and well-integrated within the fabric and threads of work. Ralph Lauren says, “I don’t design clothes; I design dreams.” Working within a framework of Web 2.0, social learning, through various social media, will help organizations design and fulfill dreams by sustaining competitive advantage, maintaining market position, and building brand loyalty. A social media strategy leads to powerful social learning by identifying business drivers, forming a coalition of stakeholders, hosting a social media boot camp, creating a launch plan, developing a pilot offering, designing a communication plan, and agreeing on metrics. It is particularly wise from an evidence based perspective to choose metrics that are appropriate to the organization’s strategic plan, identify key performance indicators, and track performance on a regular basis.
INTERACTIVE LEARNING TECHNOLOGIES

**Definition:** Interactive learning technologies are more than software and hardware. They are any learning technology (method or media) that encourages and supports the active involvement of the learner with the content, the instructor, the technology, other learners, and the learning resources.

**Scope:** Interactive learning technologies help learners “learn to learn” by encouraging engagement and dialogue among learners, clarifying performance expectations and helping learners with information needed to manage scope, depth, and breadth of new content. Recognizing and accepting individual differences along with cross-fertilization of ideas that comes from sharing, empowers learners to be self-directed.\(^6\)

**Workplace Implementation:** In order for the many learning technologies to be effective with multiple generations of learners, each selected technology requires a thorough understanding of the target population; a curriculum or course of study that is needs-driven and meticulously designed; special instructional techniques to accommodate effective and efficient usage; practice sessions that are monitored and feedback that is constructive and timely; an evaluation plan that answers what worked and didn’t work, why, and how it can be improved; and special administrative and organizational arrangements that are linked to critical business issues.
and strategic planning. Remaining cognizant of organizational goals and objectives, project management tools and techniques, and the realization that interactive learning technologies are best approached as a team effort will also guide the implementation journey.

**Exhibit 10.3**

**The Performance Practitioner’s Voice: Interactive Technologies**

**THE PERFORMANCE PRACTITIONER’S VOICE**

**Interactive Technologies**

“Interactive technologies continue to evolve and converge at escalating speeds resulting in single devices that meet a dizzying number of needs, including training and performance support. At Chrysler Academy, we strive to stay ahead of the curve by integrating the latest technology into our learning solutions that will engage and serve the needs of our learners. But we always keep the ‘person’ in mind. We think the most effective marriage of technology and human performance starts with the fundamental principles and guidelines for effective learning design. In other words, human performance solutions start with the human."

The mobile revolution is creating a host of challenges and opportunities for us. Given the prediction that in the near future the mobile device will replace the pc as the primary tool for getting work done, we are asking a whole host of new questions before designing any learning solution. Learners’ preferences, and way of working, change as the technology changes. Staying connected with the wants and needs of learners is a critical
success factor in our world.

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**ENTERPRISE LEARNING**

**Definition:** Enterprise learning is a training design system that delivers instruction that is critical to the entire organization and must be disseminated to a large number of people dispersed over a wide geographic area.

**Scope:** Enterprise training is both a driver and client of interactive learning technologies. It is largely defined by scope and that scope is BIG. The logistics and time elements for enterprise training are daunting and the budget can be staggering. Enterprise resource planning (ERP) drives the need for enterprise training. For example, many companies are faced with backing up process change with massive software implementation that touches a lot of jobs and requires enterprise-wide training and e-commerce. The major concept behind enterprise training is that "training
delivered via the web has no boundaries, that it can reach anyone in any far-flung corner of a global business organization, 24 hours a day.  

Workplace Implementation: The performance improvement is well-positioned as both a generalist and a synthesizer to assist organizations to initiate and implement major steps for integrating enterprise learning technologies into the overall education and training strategy by:

- Selecting an infrastructure (learning management system and/or content management system) to support enterprise-wide learning
- Deciding how to populate the system with courses, for example, analyze learner and organizational needs, existing courses, available technology, instructional standards and the like
- Identifying vendors to provide off-the-shelf or customer designed courses
- Identifying consultants who can help organizations with data allocation and maintenance
- Integrating learning with the organization’s business needs and requirements

CLASSROOM LEARNING
**Definition:** Classroom learning is education or training delivered by a live instructor to a group of learners at a location separated from the actual worksite.

**Scope:** Live classroom learning is used for all types of learning: facts, concepts, rules, principles, verbal information, attitudes, and so forth. When the learning is interactive, it becomes more interesting, more challenging, more engaging, and fun. Live classroom learning is a “legitimate, creative, and rewarding” workplace learning and performance intervention if it is well-designed and suitable for solving a specific performance problem. “Despite the continued growth of e-learning and newer technology-driven methods. . .and tightened purse strings,. . .classroom learning remains resilient and dominant. . .in today's learning organizations. . .”

The *Chief Learning Officer* magazine reports learning delivery survey data conducted by their Business Intelligence Board (BIB) from 1,500 professionals in the learning and development industry. “According to the survey, 41 percent of learning executives indicated they continue to use classroom training as the primary learning delivery method. Formal on-the-job training tied asynchronous e-learning for the second highest ranked instructional delivery method (18 percent), followed by synchronous e-learning (11 percent), text-based training (4 percent), satellite video (4 percent), and portable technology (1 percent).” BIB adds that “For
delivering soft skills training, the classroom-based method is even more prevalent and has proven to be remarkably resilient. Use of instructor led training for soft skills is only slightly down this year (2011, 65 percent) after its peak in 2009, when 69 percent of executives employed it as their delivery method of choice. .”70

**Workplace Implementation:** The key to determining whether or not classroom instruction is the appropriate and most efficient and effective vehicle for learning and problem solving is to conduct a thorough performance analysis. The PT practitioner is well-positioned to do this based on human performance knowledge, the systems perspective, and the value added viewpoint. Practitioners “need to analyze the learning or performance problem, the organization, the type of knowledge and skills required to solve the problem, and the available delivery strategies before deciding to select live classroom learning as the best performance improvement intervention.”71 Based upon a thorough analysis, the practitioner determines if live classroom learning is possible, appropriate, the best solution, and if live classroom learning should standalone.

**DISTANCE/DISTRIBUTED LEARNING**

**Definitions:** Distance learning is a system for delivering instruction to learners who are separated by time and/or space. Synchronous distance
learning is instructional delivery that occurs at the same time but not necessarily in the same place. Asynchronous distance learning is instructional delivery where time and place are different.

Distributed learning is a form of distance learning that adapts to and supports the expressed needs of the learner. While the terms distance learning and distributed learning are often used synonymously, there are operational differences between the two. For example, distributed learning has a just-in-time, just-for-me orientation.

Scope: The idea behind these systems is moving information rather than moving people; it is delivering instruction in nontraditional ways via myriad technologies that are currently available. They enjoy a rich history which evolved from correspondence courses to live interactive instruction. Broad categories of distance/distributed learning are:

- Audio-based—audio cassettes, CDs, radio, audio teleconferencing, podcasts, mobile devices, and other media;
- Video-based—DVDs, broadcast television, satellite and microwave transmission, closed-circuit and cable systems, Internet;
- Computer-based—interactive computer-based media with audio and video capabilities and linkages to inter or intranets; and
Internet-based—e-mail, chat, instant messaging, online discussion forums, webinars, blogs and wikis, audio and video conferencing, Web-based instruction.\textsuperscript{73}

**Workplace Implementation:** Careful planning is necessary for success of any distance learning modalities. The performance practitioner begins with an understanding of the distance learner and the reasons for choosing the distance format and whether or not that learner has had previous experience with these systems of instructional delivery. The practitioner provides a distance learning module with the ‘need to know’ essentials prior to the beginning of delivery and follows with explicit directions, timelines, guidelines, back-up plans, browser settings, software, and frequently asked questions (FAQ) for learner access, properly configured browser settings, and necessary software.

The practitioner is always mindful of cost, technical difficulty, and the need for training and support. Finally, the practitioner realizes too that not all content is compatible with distance learning. You would not want to have your heart surgery performed by the surgeon who has learned the skill via the Internet and medical school lectures. Here hands-on experiences working with small animals, cadavers, and actual operating room practice and guided coaching with an expert heart surgeon and team are necessary.\textsuperscript{74}
ONLINE/E-LEARNING

Definition: Online/E-Learning is a system for delivering instruction to learners using intranet or Internet technology. It is also called web-based learning, web-based training, distance learning, distributed learning, e-learning. E-learning is "the use of electronic technology to deliver education and training applications, monitor learner performance, and report learner progress."75

Scope: E-learning is networked to allow instant up-dating, storage, and retrieval. It is delivered via computer, and it focuses on the broadest views of learning from traditional training to tools that improve performance.76 It is most effective for the acquisition of knowledge and as part of a systematic approach to learning with appropriate support. It provides strength for communities of professional practice. It is least effective when interpersonal interaction is necessary.77

According to an ASTD State of the Industry Report, a survey which includes responses from many practitioners including various corporations, government, military, and selected professional groups, nearly one-third of all the training content delivered through myriad modalities is now delivered electronically.78 Among the most frequently occurring e-learning practices are programs that support tests and knowledge, those which present content
and opportunities to practice and receive feedback, and job-specific programs that allow tracking.79

Rosenberg lists many benefits to e-learning such as lowering costs, enhancing business responsiveness, messaging that is consistent or customized, timely and dependable content, learning 24/7, building community, leveraging the corporate investment in the Web, and others.80 There are, however, constraints to e-learning involving cost, change in employee attitudes, unprepared infrastructure, and others.

**Workplace Implementation:** Piskurich says:“. . .accommodation of e-learning solutions will require a thorough review of your learning program. From the instructional systems design model to the delivery mechanisms, from learning professional skills to the expectations of learners, there are few systems and processes that will emerge from the transition to e-learning in their present form.”81 Now is the time, as Rosenberg says, “to move from e-learning talk to e-learning action…and you do this by having a strategy.”82 The performance improvement practitioner is well-positioned to work with the organization to develop a robust performance strategy using the Performance Improvement/HPT Model introduced in the earlier chapters.

By determining the target population, analyzing the current and desired state and determining the gap or performance challenge, by considering vision and mission, conducting force-field and SWOT analyses, the
practitioner is positioned to suggest recommendations that lead to a robust action plan

Exhibit 10.4

The Performance Practitioner’s Voice: Online or e-Learning

THE PERFORMANCE PRACTITIONER’S VOICE

Online or e-learning

“On-line learning represents the highest level of proper utilization of existing technology. It has destroyed all traditional barriers to sharing knowledge, skills, and thoughts. The impact of on-line education is tremendous at all levels and in all disciplines. In healthcare, in particular, on-line education helps minimize the gap in quality between wealthy and poor countries. In addition, it has contributed greatly in elevating the standards of practice of healthcare providers who lack access to traditional means of continuing education. When properly designed and utilized, on-line education is expected to efficiently improve local, regional and international healthcare quality.”

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**WIKIS**

**Definition:** A wiki is “a collection of Web pages which can be easily created and edited by individuals who visit them.” The best known example is *Wikipedia*, the free online encyclopedia.

**Scope:** A wiki resembles a blog. Individuals can collaborate with others to create and edit Web page text using a Web browser like Internet Explorer or Mozilla Firefox. A collaboratively-focused environment permits content to be changed by everybody who visits the site. Changes are tracked and, if desired, users can roll back older versions of a page. There are also many communication avenues.

**Workplace Implementation:** Wikis can be found in business, health care, management, education, the arts, physical and natural sciences, social sciences, and other areas and disciplines as well. However, their content needs to be frequently evaluated for accuracy, comprehensiveness, integration, value, completeness, and effectiveness. An excellent evaluation checklist for a wiki user is available in the Toker, Moseley, and Chow article cited at the end of this section and in the references.
**Definition:** Avatars are “digital representations of computer users...characters or images that represent one person in an interactive exchange...avatars function from either a first person or third person perspective...”86

**Scope:** Avatars are gaining popularity as an emerging technology especially in learning environments in higher education chat rooms. They function in two ways: “In e-learning environments, avatars almost always operate as agents of the e-learning application and help guide users through the environment. By contrast, in virtual worlds, which are computer-based simulated environments, users represent themselves with avatars and interact with other users’ avatars.”87 There are potential benefits of avatars in educational and performance environments as well as constraints and obstacles. Blake and Moseley 88 provide criteria for the design and use of avatars in educational settings and they suggest questions to ask when considering avatar use.

**Workplace Implementation:** Avatars provide a balance between interactive modalities and traditional modalities. They fit nicely within a constructivist learning environment since they give learners the opportunity to learn on their own or to use coaches or facilitators as “peripheral advisors”. Learners need to be prepared in advance. Instructors need a
contingency plan if technical difficulties arise. Since they are time-consuming to design and develop, avatars should be considered only if they enhance learning and instruction.

**AND MORE. . .**

It is impossible to list all potential interactive technologies. The reader should also consider email, chat, instant messaging, online discussion forums, podcasting, webinars, blogs, video conferencing, virtual learning systems like Second Life, and others. A good resource on educational technology or on teaching and learning with technology should provide solid background information for the anywhere and anytime novice worker in interactive technologies. For example, consider books by Bonk 89, Carliner and Shank 90, Tarlow and Tarlow 91, Silberman 92 and Boone 93.

**GAMES**

**Definition:** Games are experiential learning activities that contain elements of fun, surprise, and challenge. They are designed for two or more participants who follow rules for problem solving and decision making.

**Scope:** We are all familiar with popular board games or TV game shows; however, the emphasis here is on games for instructional purposes in
different workplaces. Organizations are using games to motivate trainees, encourage their learning, and sharpen their work-related repertory of knowledge and skills. Games are particularly useful for team development activities where game characteristics and instructional context are “Trainees who participate in game play retained 9 percent more information than trainees who did not.”

A successful game meets these criteria:

- Provides a simple, single-purpose activity that focuses the participants on a job-related concern
- Incorporates on-the-job application of the learning
- Provides just-in-time training
- Is carefully integrated into the total training session
- Uses a short and clear procedure of two to four steps
- Access is available as often as needed.

**Workplace Implementation:** Experience and research indicate that solid learning must be “goal-oriented, contextual, interesting, challenging, and interactive and. . .most effective learning experiences are also engaging. . .and hard fun.” So too with games. Designing a game requires considerable up-front planning. Knowing the learning goals and integrating them to the game, developing all component parts and piloting them before implementation, and following up with a debriefing session to determine the lessons learned are further guidelines.
Here is a tremendous opportunity for the performance improvement practitioner who knows the organizational content, the business needs, the learning needs, and the performance needs, to work very closely with an instructional designer who knows learning theory, goals and objectives formulation, instructional design principles and strategies, interactive technologies, and evaluation procedures and best practices.

SIMULATIONS

**Definition:** Simulations are highly interactive experiential learning activities that mirror reality and allow participants to manipulate equipment or situations to practice a task; for example, land a plane, troubleshoot car mechanics or electrical circuits, trace pulmonary functions, learn anatomical procedures without harming the patient, or decide on how to handle a workplace conflict between a manager and an employee.

**Scope:** Simulations are useful when training requires a show-and-do approach and it is impossible to “do” it in the real world because of exorbitant cost and/or safety factors. Simulations “vary greatly in the extent to which they fully reflect the realities of the situation they are intended to model. . .simulations are by design active. . .provide realistic practice with feedback in a realistic context.”[^98] They range in complexity
from paper-based to computer-assisted; from simple linear video to interactive video; from role play to digital.

Simulations are used in instruction when role plays or open-ended interaction among people is required, and they are well-suited for teaching motor skills, complex skills, social interaction, human relations skills, and decision-making skills in varieties of disciplines. They are an excellent way to engage participants in the learning situation since participants are challenged with solving a problem which has direct bearing on an aspect of their job.

There are also simulation games which are experiential learning activities that combine the characteristics of a game and a simulation. A game has rules and regulations; a simulation has a modicum of reality with role play.

**Workplace Implementation:** The performance improvement practitioner becomes familiar with the types of simulations that are available and feasible in the current organizational environment. Preparation for a simulation is essential as well as knowing the target population, the learning objectives, and the linkages between simulations and the real world of work. The practitioner prepares the facility, the timeline, and the coach.
In delivering the simulation, the practitioner establishes ground rules, observes, communicates, and knows when to intervene. Debriefing is critical for success; the practitioner should ask:

- How did you feel?
- What happened?
- What did you learn?
- How does this relate?
- What if?
- What next?

“Students are changing. They are increasingly pragmatic. They crave interaction and personalization. . .are highly visual. . .problem solvers. . .averse to reading..want more in less time. . .are computer savvy”¹⁰¹ Simulations can keep learners motivated, engaged, challenged, and committed.

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CHAPTER 11
PERFORMANCE SUPPORT

Performance support interventions are available to the performer on-the-job and just-in-time and they may enhance or replace learning interventions such as training. Performance support interventions share these characteristics:

- **Intuitiveness**—provides guidance even if the user has minimal or no prior learning or experience
- **Integration**—presents a seamless union of people, process, and devices
- **Immediacy**—offers on-demand access to tools, information, advice, training, communications, etc.
- **Individualization**—supports needs of novices, competent performers, and experts at the individual, group, or organizational level
- **Interactivity**—opens a “dynamic dialogue” between user and PST

Performance support interventions stress the integration of “doing” and “technology”; improve individual, group, or team performance; improve processes, products, services; and guide business plans, deliverables, results, and success measures. Typical performance support interventions are listed in Figure 11.1 and will be covered in this chapter.

[Insert Figure 11.1 Scope of Performance Support Interventions here]
In order to determine whether or not a performance support intervention is appropriate and targeted requires careful performance analysis since change beats at the heart of this type of intervention. The performance improvement practitioner begins with a planned change mindset; remains solution neutral; listens, listens, listens; and then confirms with the client—What I heard you say was....

PERFORMANCE SUPPORT TOOLS (PSTs)/JOB AIDS

Definition: Performance support tools (job aids) provide just-in-time, on-the job, and just-enough information to enable a worker to perform a task efficiently and successfully without special training or reliance on memory. They may inform, support procedures, or support decisions.

Scope: Performance Support Tools (PST) are used during a task to facilitate job performance and efficiency. They provide guidance and, usually, they do not instruct. They are useful when employees need immediate assistance to help them get the job done. Tasks that are performed infrequently and are not part of a person’s regular job are ideal situations for PSTs.

On the other hand, PSTs that are quickly out-dated, that convey complex information, or that compromise performance are inappropriate. 2
PSTs can be checklists or worksheets, matrix/decision tables, flowcharts, mixed varieties, and virtual reality. Those that guide job performance, reduce the length of time recall is necessary, signal when to take some action, and give directions or actions, are successful PSTs. Table 11.1 illustrates a traditional versus expanded view of PST/job aids.  

**Table 11.1**  
**Performance Support Tools (PST)/Job Aids: Traditional and Expanded Views**

<table>
<thead>
<tr>
<th>What PST/Job Aids Do</th>
<th>Traditional View</th>
<th>Expanded View</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Provide information</td>
<td>• Provide information</td>
</tr>
<tr>
<td></td>
<td>• Support procedures</td>
<td>• Support procedures</td>
</tr>
<tr>
<td></td>
<td>• Influence perspective and decision making</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>When PST/Job Aids Are Useful</th>
<th>Traditional View</th>
<th>Expanded View</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• During performance</td>
<td>• Prior to performance</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• During performance</td>
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<tr>
<td></td>
<td></td>
<td>• After performance</td>
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</tbody>
</table>

**Workplace Implementation:** Performance improvement practitioners, as members of the design team, do not usually become involved in implementing job aids until after the fact. . ."when the design of a system has already been agreed to, a task has been identified, and it has become apparent that the skills required to perform the task may exceed the skills
currently available in those who must perform (it). The skilled practitioner should conduct an environmental analysis (see Chapter 5) and help to design both the job and the PST. In addition to strong analysis skills, designing PSTs calls for creativity, problem solving skills, and knowledge of how new technologies can enhance PST design and development. PST 111.1 can be used to select or evaluate the use of a PST format.

PST 11.1

When to Use Standard PST or Job Aid Formats

Directions: Use the following checklist to select the most appropriate format for a Performance Support Tool (PST) or job aid. The formats are adaptable to print-based or electronic-based support tools.

- **Numbered List**
  - Performance requires a simple, linear action sequence
  - Performance may become so repetitious that steps may be left out
  - Task is performed infrequently
- **Checklist**
  - Performance involves inspecting, observing, or planning
  - Performance requires documentation
  - Performance requires user to calculate or record data
- **Matrix or Decision Table**
  - Performance is simple but involves making a maximum of two decisions
  - Performance requires identification of particular conditions to continue action
- **Flow Chart**
  - Performance is complex; requires branching to explore alternatives
  - Performance is enhanced by visualizing relationships between components
- **Hybrid** (mixture of two or more formats)
  - Performance requires a complex set of instructions involving both sequence and decision making
  - Users range from novice to advanced
ELECTRONIC PERFORMANCE SUPPORT SYSTEMS (EPSS)

**Definition:** Electronic Performance Support System (EPSS) is an electronic, computer-mediated infrastructure that empowers the user as performer and learner, enhances organizational learning, and enables knowledge management. It uses software to integrate performance-based content, knowledge, learning, and structure into a user-friendly performance and learning support system.

**Scope:** Electronic Performance Support System is neither an intelligent PST nor a type of computer-based training (CBT). However, both PSTs and CBT are considered subsets of EPSS. EPSS has these advantages:

- Access to large databases of information;
- Designed to coach the user through questioning, assessing answers, evaluating responses and offering recommendations; and
- User-friendly

Electronic Performance Support System benefits both the user and the organization. For the user, EPSS can “match the learning context to the operational context. . .integrate with the work process so learners get up to speed faster and work more efficiently. . .manages complexity and work flow. . .structures the activities necessary to complete tasks, represents knowledge with graphics, sound, or animation, provides data related to the
task, and provides built-in tools such as calculating fields for carrying out tasks. . .” ⁶ For the organization, EPSS can provide return on investment by:

- Enhancing productivity and work flow
- Reducing training costs
- Increasing worker autonomy
- Increasing quality due to uniform work practices
- Enabling knowledge capitalization ⁷

**Workplace Implementation:** The performance improvement practitioner is well-positioned to work with employees in this arena by becoming familiar with EPSS from the user perspective and the organization framework. A review of recent research in this area is a good beginning. Then get involved with an EPSS project team that is working to develop a new system or improve an existing system. Here is an opportunity to exercise all ‘tool chest’ skills, from assessment and analysis through evaluation. PST 11.2 is a decision tool you can use to help decide whether to select EPSS as the intervention or choice—or not.

**PST 11.2**

**To EPSS or NOT?**

<table>
<thead>
<tr>
<th>When not to Use EPSS</th>
<th>When to Use EPSS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A computer is not practical for</td>
<td>1. A computer is fundamental</td>
</tr>
</tbody>
</table>
The practitioner can assist with system maintenance by handling process and task issues and helping all employees, from novice to expert, make appropriate decisions about selecting an EPSS intervention based on sound evidence, sound practical and informed judgment, and cultural dynamics influencing individual and organizational critical thinking. This is

<table>
<thead>
<tr>
<th>The task.</th>
<th>To the task</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ 2. Task is simple and repetitive</td>
<td>□ 2. Task complexity is wide and deep with many paths and many variables</td>
</tr>
<tr>
<td>□ 3. Task is constantly changing, which would increase maintenance costs and cancel out performance gains.</td>
<td>□ 3. After design and programing is complete, systems maintenance can handle process and task changes</td>
</tr>
<tr>
<td>□ 4. Adequate development funds are not available</td>
<td>□ 4. System must support all levels of performers—novice to expert</td>
</tr>
<tr>
<td>□ 5. Experts are not available to design, program and maintain the EPSS</td>
<td>□ 5. Inadequate performance has significant business consequences, even if number of performers is limited</td>
</tr>
<tr>
<td></td>
<td>□ 6. Turnover is high: there is a regular need to train new performers</td>
</tr>
<tr>
<td></td>
<td>□ 7. There is a need to redesign an old system or develop a new system</td>
</tr>
<tr>
<td></td>
<td>□ 8. There is a large performer population</td>
</tr>
<tr>
<td></td>
<td>□ 9. Performers must gather or create and share knowledge</td>
</tr>
</tbody>
</table>
where project management, communication, and change management knowledge and skills come in handy.

Knowledge of basic Electronic Performance Support System design standards and design/development activities is essential; the ability to find the right experts and convince them to design and/or produce the EPSS is priceless. And finally, EPSS is an expensive intervention and the practitioner will need to be able to make a business case for implementing EPSS. Feasibility and sustainability issues are also a factor when selecting this intervention. (See Chapter 19 Making the Business Case)

Exhibit 11.1

The Practitioner’s Voice: EPSS

THE PERFORMANCE PRACTITIONER’S VOICE

EPSS

“As an HPT practitioner, I love the concept of Electronic Performance Support Systems (EPSS). I believe the “holy grail” in our business is to make learning an indistinguishable part of doing the work. I’ve worked for software companies where the EPSS approach works very well—make it intuitive enough that no training is needed or, at least, provide training at the exact point of use. My challenge now is to figure out how to apply the same concept in the development of leadership and interpersonal skills. Since technology continues to evolve rapidly, we need to be creative and
DOCUMENTATION AND STANDARDS

Definitions: Documentation codifies information to preserve it and to make it accessible in the workplace through written descriptions, policies, procedures, guidelines, reference manuals, quality assurance plans, bylaws, articles of incorporation, partnership agreements, contracts, letters of intent, and so forth. Performance standards are concise statements or principles of ethical conduct that serve as a gauge for measuring accomplishment. The organization sets the standards around which performance is judged and the criteria that guide the performer. (See Standards of Performance Technology in Appendix A.)

Scope: Documentation may be in manuals and printed form or developed and distributed as electronic files. “Interventions in this family make information continuously accessible. . .it is important that people be able to retrieve and reference information on an as-needed basis.”
Documentation has many uses:

- **Codifies and records progress, accomplishments, failures, lessons learned, policies, procedures, job specifications, standards, problems, and decisions;**
- **Provides feedback and data to analyze, validate, clarify, track, report, and record information for current and future (history) reference; and**
- **Helps institutionalize best practices and lessons learned.**

Today’s highly-complex and global organizations require documentation that is more than anecdotal so they often use documents such as process maps and procedures, customer-driven measures, process control charts, accident reports, and other documentary information about current and past performance; process management team meeting minutes, and annual business plans; process improvement suggestions, procedures and vehicles for solving process problems and capitalizing on process improvements; and similar.\(^{10}\)

Organizations which have well-documented rules, regulations, policies, procedures, practices, and the other important information and data often avoid legal and ethical problems. Standards support Total Quality Management (TQM), performance improvement, job design or redesign as well as other organization-wide initiatives. They improve interfaces, allow for an appropriate type of flexibility, and result in lower costs because they permit economies of scale. \(^{11}\)
Workplace Implementation: Performance improvement specialists must understand when to select documentation and standards as performance interventions and how to design, develop, and disseminate the documentation or standards. This may include initiating change management initiatives to “win over” employees and other stakeholders who are affected by new procedures or standards. PST 11.3, based on Hale’s research, provides excellent guidance.12

**PST 11.3**

**Documentation or Standards?**

<table>
<thead>
<tr>
<th>If these conditions currently exist...</th>
<th>and you are certain that...</th>
<th>then implement documentation...</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Variance in behavior is undesirable</td>
<td>• It is possible to document required information in a form that is accurate, user friendly, and easily accessible</td>
<td>• Form a project team of stakeholders (including experts and technical support staff as appropriate)</td>
</tr>
<tr>
<td>• Variance exists</td>
<td>• Documentation will facilitate consistent interpretation or compliance</td>
<td>• Identify what information is required to improve performance</td>
</tr>
<tr>
<td>• Variance is caused by operating inefficiency, waste, or unnecessary costs</td>
<td>• Documentation will contribute to efficiency</td>
<td>• Determine how to codify information for easy accessibility and user friendliness</td>
</tr>
<tr>
<td>• Information can reduce variance</td>
<td>• The cost of not doing anything or doing something else is greater than the cost of gathering, communicating, and maintaining</td>
<td>• Prepare standards for measuring effectiveness of documentation</td>
</tr>
<tr>
<td>• Information is not currently accessible over time</td>
<td></td>
<td>• Develop documentation</td>
</tr>
<tr>
<td>• Information is very complex</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Job aids, manuals, help screens are not available, inadequate, inaccurate, or not easy to access</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
If these conditions currently exist... and you are certain that... then implement standards...

- Deviation in equipment, materials, specifications, procedures, common practices, and so on
  - Adds extra cost
  - Results in lower yields
  - Causes variance in the quality of the work
- Industry, government, and/or customers mandate standardization

- Stakeholders agree that lack of standardization is the cause of the problem
- Stakeholders agree to standardize
- Stakeholders agree that standardization will meet business needs
- Stakeholders agree standardization will fit the organizational culture or the culture will adapt to it
- Stakeholders agree standardization is essential for gaining or maintaining competitive advantage

- Conduct a feasibility and/or cost-benefit analysis
- Identify industry standards
- Identify existing internal standards
- Prepare measurement criteria
- Develop appropriate standards for organization
- Implement change management interventions
- Pilot standards
- Implement standards
- Control and maintain standards

Adapted from Hale, 1998, pp. 136; 155–157; 161. Permission granted for unlimited duplication for noncommercial use

**EXPERT SYSTEMS**
**Definition:** Expert systems fall under the computer applications category of artificial intelligence. They are computer systems that demonstrate expert reasoning and engage in tasks that normally would be performed by a human expert to assist in decision-making and problem solving.  

**Scope:** An expert system has three components: (1) a knowledge base or data base of facts, information, heuristics, and experiential knowledge used for problems solving); (2) an inference system which is the logic that allows a system to think through problems based on complementary psychological and mathematical theories; and (3) a human-machine interface which includes speech recognition and speech production by the computer.

**Workplace Implementation:** Expert systems are used to diagnose human illnesses after the physician conducts a thorough physical examination. They are often used in the business world to make financial forecasts and in industry and sales to determine the shortest routes for delivery vehicles. They can be used to solve problems that are too costly, too complex, too time-consuming, and too labor intensive. One of the hallmarks of expert systems is their use in memory capacity for organizations, i.e., when an employee is forced out of the job or retires, the knowledge and expertise of that individual remains within the organizational structure.

The performance improvement practitioner needs a basic knowledge of expert systems. The practitioner also needs the ability to data-mine and find out more about expert systems, or identify experts that may be able to
help design, develop, and/or implement an expert system to solve a
diagnosed performance problem. Feasibility and sustainability issues are
also a factor when selecting this intervention. (see Chapter 19 Making the
Business Case)

Exhibit 11.2

THE PERFORMANCE PRACTITIONER’S VOICE

Expert Systems

“Computer systems that usually are built on artificial intelligence utilize a
collection of experts’ knowledge in a domain. There are two main
components of expert systems: knowledge base and reasoning or
inference. While knowledge base stores and organizes all detailed
information, reasoning components recognize conditions and foster
decision-making to utilize timely and important information at the most
appropriate place and time. Expert systems have great potential in the
workplace since experts’ performance is always critical. They can collect all
experts’ knowledge under one common system, and they can execute
decision-making processes even though experts are not physically present.
They can automate tasks or processes regularly relied on by experts.
However, developing an expert system as an in-house application takes
significant time and is resource-consuming. Available software products
exist but they cannot fulfill an organization’s specific needs since these are
usually packaged products. They also offer customization but this
increases the cost of the product.”

Sacip Toker, Ph.D.
Independent Performance Consultant
Chapter 11 Performance Support Interventions Citations

1 Villachica & Stone, 1999, p. 444
2 Rossett & Gautier-Downes, 1991
3 Rossett & Gautier-Downes, 1991
4 Rossett, 1996
5 Winer, Rushby, & Vazquez-Abad, 1999, p. 879; Gery, 1999, p. 143
6 Winer, Rushby, & Vazquez-Abad, 1999, p. 879
7 Dean, 1998, p. 11
8 Hale, 1998, pp. 155–156
9 Rummler & Brache, 1995, p. 168
10 Hale, 1998, p. 136
12 Hale, 1998, p. 136; 155–157; 161
13 Expert Systems. (n.d.)
14 Simonson & Thompson, 1997, pp. 29–31
15 Simonson & Thompson, 1997, pp. 29–31

Chapter 11: Performance Support References


CHAPTER 12

JOB ANALYSIS/WORK DESIGN INTERVENTIONS

Sociologists define work as “the creation of material goods or services, which may be directly consumed by the worker or sold to someone else. . . .includes not only paid labor but also self-employed labor and unpaid labor. . . .provides material and personal benefits. . . .”¹ A performance improvement practitioner says that work is “one version of performance” or what the worker must do on the job.² No matter the type, function, or industry represented, all organizations perform three different types of work:

- **Direct work** fulfills the mission and goals of the organization.
- **Management work** guides personnel, material, and organizational resources and aligns the organization with the direct work that needs to be accomplished and with the organization’s external environment and world commitment.
- **Support work** provides the necessary products or services which need to be accomplished. ³
Job Analysis and Work Design are complimentary intervention categories that maximize organizational efficiency and employee satisfaction and well-being. This chapter will provide information on definition, scope, and work implementation for job analysis and work design performance improvement interventions. (See Figure 12.1.) Listen carefully—the voice of the practitioner may also be heard commenting on a specific intervention.

**Figure 12.1**

**Job Analysis/Work Design**

**JOB ANALYSIS INTERVENTIONS**

**Definition:** Job analysis looks at the job itself and the kind of person necessary to fulfill the job. It is a systematic and technical process of collecting job information by identifying appropriate skills, duties, knowledge, and accountability issues.

**Scope:** Although it may be considered a performance intervention on its own merit, in the performance improvement arena it is part of the up-front performance analysis occurring prior to gap analysis, cause analysis, and selection or design of appropriate interventions. In the human resource development arena, “job analysis is necessary for legally validating the
methods used in making employment decisions, such as selection, promotion, and performance appraisal.”5 Job analysis interventions include job descriptions and job specifications.

**Workplace Implementation:** Job analysis answers questions regarding inputs, processes, outputs or outcomes of specific jobs. Consideration is given to purpose, location, frequency, importance, qualifications, and tools for input. Procedures and job difficulties are the domain of processes. Outputs or outcomes focus on standards, consequences, and feedback. 6, 7 Performance Support Tool (PST) 12.1 is an example of a job analysis survey to gather data about a specific job in an organization.

**PST 12.1**

**Job Analysis Survey**

**Directions:** Use the following job analysis survey or adapt the survey to gather data about a specific job in your organization. It is helpful to use the same survey with all the internal and external stakeholders including performer, manager, supervisor, customer, supplier, etc.

1. **Demographic Data:**
<table>
<thead>
<tr>
<th>Name of organization:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of performer:</td>
</tr>
<tr>
<td>Title/Position of performer:</td>
</tr>
<tr>
<td>Division/Department/Unit:</td>
</tr>
</tbody>
</table>

2. **Describe the job:**

Work processes (action over time, e.g., completing a form, assembling a door)

Work activities (tasks performed to complete a process)

Work procedures (how processes/tasks are performed)

Work expectations:
- Performer
- Supervisor
- Customer
3. **What are the results of the job?**

4. **Describe specific task attributes related to the job:**
   - What does the performer need to know to perform the job successfully?
   - What skills does the performer need to perform the job successfully?
   - What abilities does the performer need to perform the job successfully?
   - What attitudes support successful completion of the job?

5. **Identify the non-human resources required for the job**
   (technology, machines, equipment, tools, etc.):
### JOB DESCRIPTIONS

**Definition:** A job description is a written account highlighting the tasks and functions of a job including what is done on the job, how it is done, and under what circumstances. A job analysis makes it possible to write efficient, concise, and effective job descriptions.
**Scope:** The following data may be generated through job analysis and applied to job descriptions: work activities, worker activities, job resources, job tangibles and intangibles, work performance, job content, and special job requirements.\(^8\)

**Workplace Implementation:** Although individual organizations may have specific requirements; there is no standard form used for writing a job description. In general, sufficient consistency and attention to detail are necessary so that performers understand:

- major tasks performed
- percentage of time devoted to each task
- performance standards
- working conditions
- reporting chain and
- non-human resources used on the job.\(^9\)

Job descriptions are also useful components of other interventions such as job classification, compensation, design and redesign; employee recruitment, selection, staffing, training and development; performance appraisal; and retention.

**JOB SPECIFICATIONS**
**Definition:** Job specifications list the minimum qualifications that a person needs to perform the job successfully. These are performer-focused while job descriptions are job focused.

**Scope:** Job specification categories include knowledge, skills, abilities, aptitudes, attitudes, experience, and capacity limits given appropriate training, tools, equipment, and environment.

**Workplace Implementation:** The performance improvement practitioner focuses on the basic knowledge, skills, abilities, attitude, and experience that are necessary to perform the job successfully; determines which requirements are absolutely necessary and those which are nice to have; and addresses the legal implications of the job specifications.

---

**WORK DESIGN INTERVENTIONS**

**Definition:** Work design is an umbrella term which includes job design and other job-related components. It is tied directly to the strategy and goals of the organization. It is a blueprint of job tasks structured to improve organizational efficiency and employee satisfaction.

**Scope:** The way work is organized and how people are grouped together to accomplish the organization’s mission and goals provide the far-reaching scope of the work design process. Work design interventions include job
design, enlargement, rotation, enrichment, reengineering, realignment, and restructuring

**Workplace Implementation:** Work design concepts are applied at several levels of the organization. The content of individual jobs, the organization of work units, and the coordination of work both within and between divisions and departments are designed effectively only when the work requirements are understood.

---

**JOB DESIGN**

**Definition:** Job design is the process of putting isolated tasks together to form complete jobs.\(^\text{10}\)

**Scope:** Rothwell sees job design as a four-fold function involving work duties, activities, responsibilities, and desired outcomes.\(^\text{11}\) It determines “how the job is performed, who is to perform it, and where it is to be performed.”\(^\text{12}\)

**Workplace Implementation:** Job design is all about change: recognizing the need for change, approaching the change effort, determining how, when, where and why to change the job and, if it is appropriate to do so, diagnosing workflow and processes and providing training and support, making job changes, and evaluating the job changes.\(^\text{13}\)
JOB ENLARGEMENT

Definition: Job enlargement is a work design option that increases the job scope by expanding a performer’s job duties. For example, job enlargement may require a worker to perform traditionally unrelated tasks or may increase the knowledge requirements for a specific job.

Scope: Task enlargement and knowledge enlargement help workers experience more job satisfaction, fewer job errors, and enhanced customer satisfaction. See the Job Enlargement Scenario in Exhibit 12.1.

Exhibit 12.1

Job Enlargement Scenario

Darlene, Joan, and Jim are employed by XYZ Friendly, Inc. Their responsibilities are as follows: Darlene makes the product, Joan packages the product, and Jim distributes the product. All three workers are valued employees; however, their enthusiasm for their jobs is decreasing.

In an attempt to retain their interest and enthusiasm and challenge their potential, their immediate supervisor enlarged their jobs. Under the new arrangement the following occurs:

- Darlene continues to make the product but also takes over the packaging duty of preparing and attaching the bill of lading, describing the merchandise being transported, and the
conditions that apply to the transportation.

- Joan is still the lead packager but also schedules inspection and completes the bill of lading.
- Jim is still responsible for distribution, but also takes over two warehousing tasks that were formerly assigned to another worker.

**Workplace Implementation:** There are major up-front activities related to implementing job enlargement:

1. Determine the tasks required and the frequency of repetition required for each task;
2. Focus on the type of work—direct work, management work, and/or support work; and
3. Consult with a supervisor to clarify specific job or political dimensions.
   Once these three tasks are completed select one or two jobs for enlargement, monitor the scope and selection, and seek frequent and pointed feedback from the employees about the process.

**JOB ROTATION**

**Definition:** Job rotation is a form of job enlargement that occurs when employees do numerous and entirely different jobs on a flexible, revolving
schedule without disrupting the workflow. Job rotation usually involves cross training.

**Scope:** Employers rotate people into jobs in order to facilitate their learning and development and help employees see the bigger organizational picture. On an assembly line, for example, a worker whose job is to install tires that come off a conveyor belt may be rotated to another station to install fenders. Later, she may rotate to a third workstation to inspect certain components of the cars once they leave the assembly line. This is a proactive way of dealing with absenteeism and general worker dissatisfaction and it supports career advancement since workers are trained to perform a variety of jobs.

**Workplace Implementation:** The performance improvement practitioner selects jobs that could be rotated based on a predetermined set of criteria and employees who are in the early phases of their career or are the top performers in their job classification. The practitioner assigns employees to a variety of jobs within the organization, monitors their job skills, and records their progress. The practitioner provides feedback to employees regarding career opportunities, promotion, and salary adjustments.

**JOB ENRICHMENT**
**Definition:** Job enrichment is a job design option that makes a job more rewarding and satisfying by adding tasks (horizontal job enrichment) or responsibilities (vertical job enrichment).

**Scope:** Job enrichment is a job-enhancing process with effects that can be traced to intrinsic and extrinsic performance motivation factors. Intrinsic motivation comes from within the individual performer; the performer feels that “doing a good job is its own reward”. Extrinsic motivation comes from outside the individual and may include rewards for increasing production or consequences for producing poor quality products or services. Job enrichment may provide opportunities for autonomy, feedback, and decision making; for example, the worker may have input in work scheduling, methodology, and so forth.  

**Workplace Implementation:** There are a number of strategies the performance practitioner uses to enrich jobs. Form natural work groups. Alter the job so that each employee owns a unique body of work. Combine the tasks and empower the employee to perform the complete job. Establish client relationships by allowing employee and client to confer about the product. Vertically load the job and permit the employee to plan and control it. Open feedback channels. Provide opportunities for efficient and timely sharing of information. Again, this is a perfect opportunity to be creative and think outside the box.
JOB REENGINEERING, REALIGNMENT, RESTRUCTURING

**Definition:** Reengineering is the radical redesign of processes for the purpose of extensive rather than gradual performance improvement. Realignment is all about getting the organization re-focused on its core competencies. Restructuring reorganizes the units, divisions, or departments of an organization which usually results in a new organizational chart and new responsibilities, and may also involve new reporting relationships.

**Scope:** The 3 R’s are management processes that focus on increasing efficiency, implementing lessons learned, streamlining process flow, and creating an organizational foundation on which to grow and prosper. They should be integrated into strategic planning as performance improvement initiatives.

**Workplace Implementation:** The 3 R’s can correct imbalances and make the workplace more efficient and the work assignments more challenging. However, the 3 R’s also affect employees on a daily basis by changing work configuration and, indeed, the culture of the work group. It is important to prepare employees thoroughly for any type of management change and involve them in the decision making process.
HUMAN FACTORS INTERVENTIONS

Definition: Human Factors is an interdisciplinary approach in which work, work environments, machines, equipment, and processes are married to human physical and cognitive characteristics—in which machine and person are consciously and purposefully linked to produce results. 20

Scope: Four areas of human factors that interface in a performance environment are ergonomics, safety engineering, security management, and the green workplace. Each area may be a focus for human-factors-based performance improvement interventions.

Work Implementation: Each area has a variety of strategies for implementation. Basically, the performance improvement practitioner needs a basic knowledge of human factor principles and the ability to data-mine and network to obtain the needed information and resources to implement human factors interventions.

ERGONOMICS

Definition: Ergonomics is the scientific study and design of workstations, work practices, workflow, equipment, and tools to accommodate the physical and psychological capabilities and limitations of employees. It "seeks to fit the machine to the person rather than the person to the machine. . .(and) to
minimize the harmful effects of carelessness, negligence, and other human
fallibilities that otherwise may cause product defects, damage to equipment,
or even injury or death of employees.\textsuperscript{21}

**Scope:** The two major areas of ergonomics are physical ergonomics and
cognitive ergonomics. Physical ergonomics deals with the visible physical
work. Decisions are made about appropriate chair heights, proximity of
equipment to perform the job successfully, how to reach, bend, flex, lift,
squat—or not. “Cognitive ergonomics refers to the impact of the
physical/sensory ergonomic environment on our mental or cognitive)
process.”\textsuperscript{22} It deals with mental work, the worker’s ability to process
information, and the effect or ergonomic factors on the efficiency and
effectiveness of information processing. Trying to think on the floor of a
steel manufacturing plant is a good, if extreme, example of cognitive
function under ergonomic stress.

**Workplace Implementation:** Three key pillars of ergonomics are (1)
fitting the task and workplace to the individual; (2) designing the workplace
for individuals with a range of body sizes; and (3) designing the workplace
for individuals at the extremes of the body-sized range.\textsuperscript{23} Ergonomists and
performance improvement practitioners may be called upon to perform tasks
such as: select ergonomically designed chairs for good posture and comfort;
select properly sized tools to accommodate the hand sizes of both men and
women; adjust lifting capacities; design task components to require
minimum force; eliminate distractions such as outside noise, glare, and intense lighting.²⁴

**SAFETY ENGINEERING**

**Definition:** Safety engineering is a planned process to reduce the symptoms and costs of poor safety and health and make the work environment safer and healthier for employees.

**Scope:** The benefits of safe and healthy work environments are greater productivity, lower absenteeism, increased efficiency for involved workers, lower medical and insurance costs, lower workers’ compensation rates because fewer claims are filed, and so on.²⁵ Today’s organizations need to be vigilant regarding a variety of workplace issues and concerns. Among these are workplace bullying and violence, blood borne pathogens, exposure to hazardous chemicals, chemical dependency issues, particularly smoking and drinking on the job, occupational respiratory diseases, and job stress and burnout.

**Workplace Implementation:** The Occupational Safety and Health Administration (OSHA) sets safety and health standards for workers. OSHA requires organizations to maintain adequate records of the incidences of injuries and illness. Once a performance analysis is conducted, the performance improvement practitioner should verify that a “real” problem
exists, determine the nature of the problem, justify the need for a safety engineering intervention, and select or design an intervention targeted at the high-risk area(s) based on OSHA or other industry standards. Table 12.1 offers suggestions for selecting safety engineering interventions.

**Table 12.1**

**Suggestions for Selecting Safety Engineering Interventions**

<table>
<thead>
<tr>
<th>If the problem is...</th>
<th>You may want to suggest...</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accidents</strong></td>
<td>- Redesigning the work environment</td>
</tr>
<tr>
<td></td>
<td>- Setting goals and objectives for accident prevention</td>
</tr>
<tr>
<td></td>
<td>- Establishing safety committees</td>
</tr>
<tr>
<td></td>
<td>- Training in health and safety</td>
</tr>
<tr>
<td></td>
<td>- Encouraging financial incentives for good health and safety practices</td>
</tr>
<tr>
<td><strong>Diseases</strong></td>
<td>- Discussing the work environment</td>
</tr>
<tr>
<td></td>
<td>- Setting goals and objectives for preventing occupational diseases</td>
</tr>
<tr>
<td></td>
<td>- Analyzing incidence, severity, and frequency of illness and accidents</td>
</tr>
<tr>
<td><strong>Stress</strong></td>
<td>- Establishing organizational stress programs</td>
</tr>
<tr>
<td></td>
<td>- Establishing individual stress strategies</td>
</tr>
<tr>
<td></td>
<td>- Monitoring employees’ progress toward stress reduction</td>
</tr>
</tbody>
</table>

Copyright 2001 by ISPI.
**Definition:** Security management is a broad field of management “for programs designed to protect the physical and intellectual property of the firm and the employees, clients, and suppliers of an organization.”

**Scope:** The focus of security management is on protecting company property, personnel and information. Other responsibilities include Information Technology infrastructure and security management, including network architecture design, bandwidth management, virus scans, and organizational troubleshooting.

**Workplace Implementation:** Risk assessment and risk analysis are used to recognize threats, rate system vulnerabilities, and determine the probability of any predictions or if . . . then scenarios. (See Chapter 19, Business Case) The performance improvement practitioner working with the security management team identifies the potential risks, determines the costs of a particular problem and ways to eliminate or minimize it, and suggests how to allocate resources which will protect the organization.

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**GREEN WORKPLACE**

**Definition:** A green workplace is devoted to environmentally-sensitive green business initiatives and practices with a strategy that shows solid relationships with people, long-term profitability, and a commitment to
improving the planet. A green workplace creates a culture of environmental awareness.

**Scope:** Going green enjoys many meanings. For some it means reducing pollution, conserving resources and ecosystems, being energy efficient, and reducing climate changes. Some see it as being aware of social issues like abject human poverty or disparities in health care. Green initiatives save organizations money and help enhance profitability.

**Workplace Implementation:** Performance improvement practitioners support a green work environment by becoming a catalyst for change and for sustainable thinking. “The changes must occur throughout, from the actions of individual employees and how they are rewarded, to how the organization measures its success, to how green roles and responsibilities are distributed across the organization.”

Greening a workplace involves mobilizing a green strategy team who is empowered to make the necessary green changes in the work environment. The green team develops strategies according to their potential organizational impact, makes recommendations for implementing green initiatives, and tracks and monitors successes and failures. The key here is to align all green initiatives within the organizational culture. These areas are major roles for involvement of the performance practitioner.
Performance Support Tool 12.2 is a guide to help assess the importance of selected green practices. The form and survey process may be used with a variety of stakeholders within and without a specific workplace.

**PST 12.2**

**Green Practices in Human Performance Arenas**

**Directions:** The following items represent green practices in human performance arenas. Check (✓) each item to indicate your perception of its importance. Discuss the items with your co-workers to see if there is consistency in your collective thinking about green practices. Then develop a Green Road Map to guide the greening of your workplace.

<table>
<thead>
<tr>
<th>Extremely Important</th>
<th>Definitely Important</th>
<th>Some Importance</th>
<th>Slight, if any, Importance</th>
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<tbody>
<tr>
<td>1. Become a change agent for working green every day</td>
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<tr>
<td>2. Go digital – keep files on computers instead of in a filing cabinet</td>
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<tr>
<td>3. Review documents on screen rather than printing them out</td>
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<tr>
<td>4. Send emails instead of paper letters</td>
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<tr>
<td>5. Print on both sides of the paper</td>
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</tbody>
</table>
6. Turn off lights when leaving a room for 15 minutes or longer

7. Set computers to energy saving settings and shut them down when you leave for the day

8. Write letters to your Representatives to support green initiatives

9. Mark unwanted newsletters, catalogs, and magazines “Return to sender” and ask to be removed from the list.

10. Recycle old papers

11. Spearhead green discussion at monthly meetings. Typical discussions might include reducing pollution in the organization; developing an energy-efficient mindset for the organization; buying electricity from green power companies; emphasizing recycling and promoting the use of bio-degradable materials; allowing employees to work remotely either
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<tr>
<td>occasionally or full time.</td>
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<tr>
<td>12. Encourage green bag lunches: employees take turns briefly summarizing an appropriate journal article from the scholarly or popular press and then informally discuss it.</td>
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<tr>
<td>13. Connect the organization’s green efforts with the community in which the organization is located.</td>
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<tr>
<td>14. Network with other individuals in similar organizations to encourage green efforts.</td>
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<tr>
<td>15. Partner with a librarian to provide the necessary resources to maintain interest in going green.</td>
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<tr>
<td>16. Help your organization develop key performance indicators (KPIs), a series of metrics that your green team will use to help define and measure your organization’s progress towards goals. These indicators may be ecological (transportation of people and products,</td>
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</table>
for example), social (health, safety, and welfare in the workplace, for example), economic (community economic development, for example)

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<tbody>
<tr>
<td>17. Encourage the organization to develop a “green toolkit” to show employees how they can save money and energy</td>
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<tr>
<td>18. Encourage the company to change to new Compact Fluorescent Light bulbs (CFL) which use 70% less electricity than regular light bulbs</td>
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<tr>
<td>19. Set the thermostat a few degrees lower in the winter and a few degrees higher in the summer</td>
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<tr>
<td>20. Ask about adding a filtration device to the drinking water and stop drinking bottled water</td>
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<tr>
<td>21. Set up a workplace recycling system</td>
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<tr>
<td>22. Save Laser toner and inkjet empties and return them to manufacturers</td>
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<tr>
<td>23.</td>
<td>Buy recycled printer paper</td>
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<tr>
<td>24.</td>
<td>Encourage Video-conferencing and Tele-commuting whenever possible</td>
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<tr>
<td>25.</td>
<td>Recycle old electronics. Outdated but usable computers can be donated to groups who will re-furbish them to help schools who can’t otherwise afford them</td>
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<tr>
<td>26.</td>
<td>Donate old cell phones to charitable organizations that will give them to the elderly or homebound</td>
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<tr>
<td>27.</td>
<td>Learn about sustainability as a key driver of innovation</td>
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<tr>
<td>28.</td>
<td>Prepare a press release on what the organization is doing regarding green technology</td>
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<tr>
<td>29.</td>
<td>Use recycled, refurbished, or reconditioned products and materials whenever possible</td>
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<tr>
<td>30.</td>
<td>Encourage the organization to develop a green Research and Development policy</td>
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<tr>
<td>31. Encourage the organization to develop a green Purchasing policy</td>
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<tr>
<td>32. Encourage the Marketing department to conduct green marketing research</td>
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<tr>
<td>33. Encourage the organization’s leadership to develop a green vision statement</td>
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<tr>
<td>34. Draft an environmental statement that embraces your organization’s green philosophy</td>
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<tr>
<td>35. Provide training about green technology to employees</td>
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**QUALITY IMPROVEMENT INTERVENTIONS**

**Definition:** Quality improvement is a formal and systematic approach to the analysis of performance that focuses on how to improve the quality of the process, performance, performer, or product.
Scope: Quality Improvement is about conducting business right the first time, every time. Quality and efficiency—the economical production of goods and/or services using minimal resources—are the chief goals of quality improvement. There are numerous performance improvement interventions for improving quality: Total Quality Management (TQM), Continuous Improvement, Preventive Maintenance (PI), Six Sigma, and Lean Organizations.

Work Implementation: Three activities support world class competence in a global marketplace and each one implies commitment to continuous quality improvement:

- Encourage continuous improvement
- Empower continuous change
- Enable continuous learning

TOTAL QUALITY MANAGEMENT (TQM)

Definition: Total Quality Management is “both a philosophy and a set of guiding principles that represent the foundation of a continuously improving organization”. Smith defines it as a “holistic approach to workplace management. . . (and) the engagement of all workplace stakeholders to define, build, measure, and assess quality by controlling products, services,
and people through planning, assurance, control, and continuous improvement feedback activities”.

**Scope:** Total Quality Management focuses on doing things right the first time, striving for continuous improvement, and addressing customer needs and satisfaction. The goal of Total Quality Management is the highest quality that can be produced from the perspectives of product quality—achieving or exceeding production standards; service quality—responding to customers’ needs before, during, and after product or service are delivered; and customer quality—meeting or exceeding customer expectations. An historical display in the history room at Chicago’s Marshall Field’s store, now the May Company, quotes Marshall Field, the icon of retail merchandising, as saying: “Quality is remembered long after the price is forgotten.”

**Workplace Implementation:** Total Quality Management supports a committed and involved management who can form partnerships with internal and external customers, suppliers, and vendors, determine performance measures to track processes, and balance and align the organization’s continuous improvement efforts.

Table 12.2 describes some of the tools that TQM practitioners use.

**Table 12.2**

**Total Quality Management (TQM) Toolkit**
Note: Tools marked with an asterisk (*) are not “traditional” TQM tools; however, they are frequently included in a TQM practitioner’s toolkit.

<table>
<thead>
<tr>
<th>This tool. . .</th>
<th>Provides. . .</th>
<th>For the purpose of. . .</th>
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</thead>
<tbody>
<tr>
<td>Affinity Diagram*</td>
<td>Simple characterization process linking factors with one another, for example, people, strategies, resources, etc.</td>
<td>Illustrating the relationships between causes and effects</td>
</tr>
<tr>
<td>Check sheet or Checklist*</td>
<td>List of items to verify, validate, or monitor; each item is preceded by a box that may be checked off upon completion of the monitoring task</td>
<td>Verifying, monitoring, or validating factors related to process, performance, or product; for example, verifying that all criteria for completing a task successfully have been met</td>
</tr>
</tbody>
</table>
| Control or Process Control Chart | Horizontal axis display of the variation in an ongoing process, for example, plotting the variable ‘time’ against upper, average, and lower control limits                                                                 | • Discovering how much variability is due to random variation and how much is due to unique events or individual performance  
• Determining whether a process is within statistical control  
• Determining whether to change the process or the specifications                                                                                         |
| Cross Impact Matrix* | A format for organizing consequences and related factors; consequences are recorded in vertical columns and related factors in horizontal columns                                                                 | • Discovering relationship between factors and consequences  
• Analyzing impact or effect of a specific factor on a specific consequence                                                                                                                                          |
| Decision | Thinking tool for probable                                                                                                                                                                                   | • Showing probable effects                                                                                                                                                                                                |
| **Wheel** * | effects of actions taken:  
  • A decision is recorded in the center “bubble”  
  • A circle with four bubbles is drawn around the center bubble; each of the four bubbles is used to record the effects of the decision  
  • A second circle with four bubbles is drawn around the first circle and each bubble is labeled with the effects of the first set of effects | of actions taken or decisions made  
  • Showing both intended and unintended effects  
  • Showing how one effect may cause another effect (often unanticipated) |
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</thead>
<tbody>
<tr>
<td>Fishbone Diagram (aka Cause &amp; Effect Diagram or Ishikawa Diagram)</td>
<td>Graphic presentation of root causes that also sorts causes and show relationships</td>
<td>Identifying causes responsible for an existing effect (problem)</td>
</tr>
</tbody>
</table>
| Five Whys | Process for surfacing real cause of a problem:  
  1. Ask question  
  2. Listen to and record response  
  3. Ask why?  
  4. Repeat steps 2 and 3 five times—no more, no less! | Determining true or real cause of a problem |
| Flowchart | Diagram of steps in a process in sequential order | Thinking through processes before implementation or redesign |
| Force Field | Process for identifying, analyzing, and graphically  
  • Analyzing and graphically representing forces |  

| **Analysis** | displaying the forces (what and who) that may drive or restrain a specific organizational change | pushing for and against a specific change  
- Determining which forces will have the most impact on successful change implementation  
- Developing an action plan |
| **Histogram** | Bar chart representing the spread of variable data over time | Showing the natural distribution of data  
- Showing how results of a repeated event vary over time  
- Showing variability or deviations from standard or normal range and how much of a deviation exists |
| **Pareto Chart** | Vertical bar chart that highlights process factors in descending order of importance or frequency of occurrence | Identifying basic cause of a problem  
- Prioritizing which problem to solve first, second, etc.  
- Monitoring progress |
| **Plan, Do, Check, Act (PDCA) Cycle** | Systematic process used to get jobs or projects completed | Analyzing, designing, developing, implementing, and evaluating continuous improvement processes |
| **Scatter Diagram** | Plotted points that show correlations between two variables by plotting points for the variables on an X (vertical) axis and a Y (horizontal) axis, for example, X=time and Y=cost | Proving that a relationship exists between two variables  
- Indicating the strength of the relationship  
- Determining whether the relationship is positive or negative  
- Not used for proving that one variable causes |
CONTINUOUS IMPROVEMENT (CI)

**Definition:** Continuous Improvement is an on-going, systematic process to assure, maintain, and improve processes, products, and services based on predetermined standards and customer satisfaction. The entire organization, including internal and external stakeholders, is committed to and involved in the process.

**Scope:** Continuous improvement has a long-range focus that addresses organizational well-being and is built upon solid foundational pillars that give customers a voice in the issues that affect them. Continuous improvement means undertaking improvement projects that range from fixing things that fail to creating new processes, services, and products. It means forming and empowering teams of people to deal with existing problems and opportunities at work.

**Workplace Implementation:** Continuous improvement is integral to an organization’s vision, mission, values, goals, strategies, and critical business issues. Practical organizing guidelines for continuous improvement exist throughout the literature on quality:
Select a champion from top management to plan and communicate continuous improvement goals.

Encourage total workforce involvement; plan individual and team efforts.

Emphasize skill and knowledge training in Continuous Improvement approaches that are applicable to the job.

Hold employees accountable for performance; link quality indicators to customer requirements.

Reward and recognize personnel who both talk and model Continuous Improvement at the various organizational levels.

Evaluate Continuous Improvement goals regularly and frequently.

Publish and celebrate Continuous Improvement successes both within the organization and its external geographical area and range.

**Exhibit 12.2**

**The Performance Practitioner’s Voice: Continuous Improvement**

“It’s (Continuous Improvement) all about establishing many lines of communication, interactions, and feedback lines with our customers. . .we want to hear about their preferences, their stay with us, their thoughts, feelings, opinions. We encourage among all our employees a culture of feedback. Consistency of experience is most important. . .we have 12 service standards we believe we deliver on a consistent basis. Among them are getting it right the first time, greet the guest by name, smile and always make eye contact, first impressions count, no request is too small—these are some of the standards. We also learn from our mistakes. . .“
PREVENTIVE MAINTENANCE (PM)

**Definition:** Preventive Maintenance (PM) is a manufacturing term for a proactive approach to equipment maintenance that focuses on repair and adjustment issues within a production system. However, the concept of Preventive Maintenance is applied to any operating system, including management systems, human resource systems, information systems, technical systems, and so on.

**Scope:** Changing the organization’s climate through analysis and diagnosis of the context in all areas of production are foundational elements in prevention-based thinking. Preventive Maintenance is everybody’s business; it is performer-centered and it is integrated within all job functions in all industries.

**Workplace Implementation:** The performance improvement practitioner who selects and implements Preventive Maintenance aims for zero failure, zero trouble, and zero waste by taking a proactive approach with a focus on:
• Maintaining normal machine conditions through frequent inspections, regular cleaning, tightening of screws, nuts, bolts; observing correct operating procedures;
• Determining abnormal production conditions in a timely manner by using the five senses and sophisticated diagnostic equipment; and
• Developing and implementing countermeasures to reinstitute normal machine efficiency.

SIX SIGMA

Definition: Six Sigma is a systematic quality improvement process that is used on both the production and transactional sides of the business to design, manufacture, and market goods and services that customers may desire to purchase. Six Sigma principles require that “acceptable (product or service) variations fall within six standard deviations from the average. . .(so) Six Sigma measures changing statistical properties in a very precise and detailed manner.”

Scope: As a philosophy, Six Sigma’s focus is on continuous quality improvement as viewed through a customer’s lens. As a practice, its focus is on reducing the variation in product or service quality. It uses different application methods for implementation:
DMAIC—define, measure, analyze, improve, control—is used to find and fix defects on existing projects;

DMADV—define, measure, analyze, design, validate—prevents defects; and

DMEDI—define, measure, explore, develop, implement—focuses on exploring other options, alternatives, risk factors, and so on before development and implementation.43

Six Sigma—used for process improvement and as a measurement and evaluation tool.

**Workplace Implementation:** Six Sigma “delivers measurable, tangible economic benefits”44 Table 12.3 shows the parallel constructions between the Performance Improvement/ HPT Model and the Six Sigma Process.

**Table 12.3**

**Human Performance and Six Sigma: Parallel Constructions**

<table>
<thead>
<tr>
<th>Performance Improvement/ HPT Model</th>
<th>Six Sigma Process Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analysis: Performance, Gap, Cause</td>
<td>Analyze, Define, Measure, Explore</td>
</tr>
<tr>
<td>Intervention Selection, Design, Development</td>
<td>Design, Improve, Explore</td>
</tr>
</tbody>
</table>
The performance improvement practitioner may want to become involved on the people side of Six Sigma as a Champion, a senior-level manager who promotes Six Sigma methodology, "owns" the process, monitors projects, and measures the savings realized); Master Black Belt, an expert in Six Sigma tools and tactics and serves as a trainer, mentor and guide); Black Belt, a full-time leader of a defined project working strictly on processes to reach desired outcomes); or Green Belt, a part-time leader who assists black belts in a functional area and who drives bottom-line results.45

Six Sigma and Performance Improvement/HPT are comprehensive and complementary approaches to establishing a culture of quality. Van Tiem, Dessinger, and Moseley show how performance improvement practitioners benefit from adopting and adapting the principles of Six Sigma to human performance improvement. They also provide a very useful Six Sigma toolbox for the human performance practitioner46

**LEAN ORGANIZATIONS**
**Definition:** A lean organization “maximizes customer value while minimizing waste. . .creating more value for customers with fewer resources.” Lean organizations are customer-focused, organizationally aligned and have empowered trusting employees who can solve problems.

**Scope:** The term “lean” can be applied to any process within an organization; however, its greatest benefit is its application to all organizational systems. Lean organizations focus on value generation and growth, relationships between organizations, their functions and their place in the external value chain, and people who respond to the demands and requirements of getting work done. Lean organizations are efficient and effective and employ management principles within a framework of least cost and zero waste.

**Workplace Implementation:** Performance improvement practitioners who select and/or implement this intervention in their organizations need to be able to “think lean”, understand the internal and external culture of the organization, and be adroit at facilitating change. Lean organizations begin with lean thinking from top management down to all employee levels. Sources of waste like defective products, overproduction, unnecessary transportation, delays in production or time spent waiting, inventory waste, and so on need to be identified with an appropriate action plan for minimizing their effect or eliminating them altogether. Interventions are
identified and their implementation is monitored and recorded. Research shows that lean organizations experienced “higher rates of change; were likely to be more responsive to business strategy, costs, and volume flexibility; were significantly different; were more aware of customer requirements because of direct contact; and established as priority direct involvement with customers, vendors, and within their own organizations.”

**Chapter 12: Job Analysis/Work Design Citations**

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Chapter 12: Job Analysis/Work Design Interventions References


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CHAPTER 13

PERSONAL DEVELOPMENT INTERVENTIONS

Ownership and accountability for personal professional development in the workplace are the responsibilities of the individual. The demand for new knowledge, new skills, tolerant attitudes, and new ways of doing things is constant. Moving beyond short-term fixes and solutions to long-term goals helps position people for future success.

One way to approach any personal development intervention is to help the employee develop an action plan as part of the intervention. Reasonable long-and short-term goals are set, guideposts for achieving them are determined, and measures of success are noted. An action plan should focus on long-term career plans, current position, effective strategies and tactics to achieve the goal, and personal assessment and satisfaction.

Personal development interventions outlined in Figure 13.1 are considered personal development or growth interventions because individuals assume ownership. Each intervention is determined by how it fits into the employee’s personal action plan. Listen carefully—the voice of the practitioner may also be heard commenting on a specific intervention.

[Insert figure 13.1 Personal Development Interventions here]

FIGURE 13.1
Personal Development Interventions

FEEDBACK

Definition: Feedback means informing people about how others perceive their actions and communications. It is one way of helping employees determine if they are on track in meeting their personal goals and expectations.

Scope: Everyone appreciates constructive feedback whether it is positive or negative. The chef at the restaurant wants to hear about the special dish that was created for your wedding party. The priest wants to know how you liked the Sunday homily and how it applies to you. The teenager wants to know if the purple shirt looks good with the recently-purchased red pants. The belly dancer, well, she wants feedback too. Feedback about on-the-job performance strengthens learning and transfer. It also increases self-efficacy, and people with high self-efficacy tend to be more motivated and, in the long run, achieve more. Feedback tells employees whether or not their responses are correct, allowing for adjustments in behavior; it makes an activity more interesting, encouraging people to continue; it can lead to specific goals for maintaining or improving performance.

In receiving feedback, employees must convert the feedback into an action or proposal for self-improvement. This is an important step in personal growth. Feedback helps in monitoring everyday work events. To
receive feedback, employees must often ask for the information. Feedback boosts self-confidence and helps in developing career goals and new job skills. In giving feedback, the individual focuses on the behavior or issue and not on the personality.

Feedback should be timely, concise, and pertinent to the behavior or issue. Some organizations are using the 360° feedback approach rather than the traditional performance appraisal approach. Organizations using this approach indicate that multi-rater measures seem more reliable, valid, and credible to employees receiving feedback than the traditional single-source feedback provided solely by one’s supervisor. The 360° feedback approach is based on the premise that the collective intelligence of many raters is more likely to provide a clearer picture of specific behaviors and skills from which an individual can structure a meaningful personal plan for growth.

**Workplace Implementation:** Excellent feedback preserves an individual’s dignity and integrity while allowing for improvement in behavior. Here are some suggestions for giving feedback:

- Offering feedback on observed behavior, not on perceived attitudes
- Offering a description of what was seen or felt, rather than on a judgment
- Focusing on behavior that can be changed.
- Commenting on the things that an employee did well, as well as areas for improvement.
- Observing personal limits by avoiding giving too much feedback at once.

Performance support tool (PST) 13.1 is a checklist which describes how consistently workers and others use certain feedback behaviors in the workplace. But first, listen to the voice of a practitioner. . .

EXHIBIT 13.1

THE PERFORMANCE PRACTITIONER’S VOICE

Feedback

“Understanding positive and negative connections is a critical dynamic in creating, maintaining, and improving human performance processes and systems.

Positive feedback in our work, worker, and workplace processes is the motivator that helps us to continue to engage and meet our goals. Positive data streams allow our processes to grow in the same direction they were designed. Unfortunately, too much positive can have cumulative, often debilitating, effects; e.g., one dish of ice cream—delicious; the whole carton—diabetic coma. A positive feedback loop left to itself can lead to decline and ultimate destruction of the system.

On the other hand, as painful as it sometimes is, negative feedback challenges us to reverse our current behaviors to maintain stability and equilibrium in the system. Previous experience with over indulging the negative feedback loop helps me learn from my mistakes and enjoy sugary desserts wisely and perhaps even redirect my eating habits (the system) in a new direction.”
**Performance Support Tool (PST) 13.1**

**Feedback Checklist**

**Directions:** For each statement, check (✓) the appropriate response to describe how consistently you use the described behavior in the workplace.

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<th></th>
<th>Rarely</th>
<th>Sometimes</th>
<th>Often</th>
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<tbody>
<tr>
<td>1. I provide frequent opportunities for feedback.</td>
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<td>2. I promote feedback when I work with teams.</td>
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<tr>
<td>3. I provide constructive feedback that is both positive and negative.</td>
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<tr>
<td>4. I time my feedback appropriately.</td>
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<tr>
<td>5. I encourage feedback that indicates an employee can master a task.</td>
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<tr>
<td>6. I listen before I provide feedback.</td>
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<tr>
<td>7. I like to provide reinforcing feedback.</td>
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<tr>
<td></td>
<td>I encourage formative feedback (modifying or changing performance from unacceptable to acceptable).</td>
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<td>---------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>I use language that is appropriate and understandable in providing constructive feedback.</td>
<td></td>
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<tr>
<td>10.</td>
<td>I tailor my feedback to fit the needs of the performer and the performance.</td>
<td></td>
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<tr>
<td>11.</td>
<td>I refrain from using punitive feedback.</td>
<td></td>
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<tr>
<td>12.</td>
<td>I help people understand that some kinds of performance depend on a continuous flow of feedback.</td>
<td></td>
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</tr>
<tr>
<td>13.</td>
<td>I use a nonjudgmental attitude in providing feedback.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>I often provide feedback that deals with correctable items over which the employee has some control.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>In giving feedback, I provide clear and concrete data.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>I refrain from delivering feedback that is delivered inconsiderately or that is vague.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td>When new employees come aboard, I orient them to the feedback improvement effort.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>I use nonverbal cues (smiles, nods, etc.) to give feedback.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
19. I consistently try to improve my feedback efforts.
20. Before giving feedback, I consider its value to the employee.

COACHING

Definition: Coaching is the help that managers give to employees by examining and guiding on-the-job performance. A coach teaches, supports, and motivates the performer and facilitates good performance by providing relevant positive and negative feedback to improve both performance and potential.

Scope: Coaching builds on the assumption that most employees want to fulfill their jobs in an efficient and effective manner and contribute to their organization’s successes, well-being, and market share. It can be formal and planned or immediate and just-in-time. The coach is usually a manager or supervisor of a unit, department, division, or team who possesses solid communication and listening skills along with abilities to praise jobs which are well done and provide corrective feedback as needed. Expert performers may also serve as coaches.

Coaching allows for rehearsing and practicing. In job performance, coaches help employees realize goals and opportunities, provide necessary
support, analyze barriers, and help employees develop an action plan for future success. They are people who set good example, inspire loyalty, celebrate successes, and empower by saying “we” instead of “I”.

Many organizations today invest in developing and nurturing their leaders by providing opportunities for executive leadership coaching which facilitates behavioral change and, ultimately, makes the leader more skilled, more sensitive to employee issues and concerns, and more reflective in personal action. This is a win-win situation; both the leader and the organization have potential for great success. For the coaching experience to be successful, the process has to be highly valued, carefully planned, and thoughtfully and thoroughly implemented in order for both the organization and the individual to realize positive outcomes.

**Workplace Implementation:** The coaching process has a preparation phase where the coach observes the client’s workplace and leadership skills. The coach then discusses and shares findings with the client and listens for openness to the coaching process. The on-going dialogue phase serves as a reality check for the action plan where goals, objectives, and progress are recorded. A follow-up phase determines successes and failures of the coaching experience and looks for opportunities for improvement. Performance Support Tool (PST) 13.2: is a self-assessment tool to help the potential coach identify coaching strengths and areas for improvement.

**Performance Support Tool 13.2**
Coaching Skills Self-Assessment

**Directions:** Use this performance support tool to assess your coaching strengths and areas for improvement. Rate yourself on each statement. Reflect on situations when you exhibited that behavior. Jot down ideas for your own personal performance improvement based on your reflection. Be your own coach!

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. I provide frequent, timely, and specific feedback.</td>
<td></td>
</tr>
<tr>
<td>2. I ask open-ended questions and listen to the responses.</td>
<td></td>
</tr>
<tr>
<td>4. I applaud employee successes.</td>
<td></td>
</tr>
<tr>
<td>5. I work with employees to develop measurable and attainable goals.</td>
<td></td>
</tr>
<tr>
<td>6. I provide the resources employees need to succeed.</td>
<td></td>
</tr>
<tr>
<td>7. I take time to discuss new ideas and initiatives with employees.</td>
<td></td>
</tr>
<tr>
<td>8. I solicit and follow up on employee suggestions.</td>
<td></td>
</tr>
<tr>
<td>10. I encourage open and honest communication.</td>
<td></td>
</tr>
</tbody>
</table>

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**MENTORING**

**Definition:** In mythology when Odysseus, King of Ithaca, went to fight in the Trojan War, he entrusted the care of his kingdom to Mentor. Mentor
served as the teacher and overseer of Odysseus’s son, Telemachus. From then on, mentoring has become the offering of experience, emotional support, and guidance by an experienced person to a less experienced one. It is a relationship of mutual trust and respect between two people with a common goal of professional development and learning. The relationship may continue over an extended period of time.\textsuperscript{81}

\textbf{Scope:} Mentoring is a powerful, dynamic process. A mentor knows the organization, has exemplary managerial and leadership skills, can give and share credit, has good common sense, and, above all, is generally a patient individual. A mentor shares personal experiences, wisdom, and political knowledge to enable the mentee to develop skills and capabilities necessary for future success. A mentor helps a mentee make connections. The mentor plays four key roles during the mentoring process:

- \textit{Role model}—practices the values that the organization endorses,
- \textit{Coach}—clarifies the organization’s culture and political structure so mentees can correctly direct their efforts,
- \textit{Broker}—helps the mentee establish the contacts needed to succeed, and
- \textit{Advocate}—recommends and supports the mentee for projects and task groups.

Not every employee is suitable to be mentored. A likely candidate for mentoring needs to be open to learning and appreciate the wisdom that is
offered. The mentee should have a track record of success, a desire to achieve, willingness to take on challenge and responsibilities, self-motivation, and loyalty to the organization.9

**Workplace Implementation:** Mentoring is a valuable retention tool and a critical element in employee development.10 Mentoring programs also play an important role in career development and information resource by helping the mentee define purpose and direction, seek advancement opportunities, and realize future dreams.11 Here are some suggestions for developing a mentoring program:

1. Create a business case for why the program is necessary (see Chapter 19).
2. Develop a roadmap for guidance including goals, success factors and desired outcomes, duration of the program, and budget parameters.
3. Gain commitment and support from top management and begin to match mentors with mentees.
4. Establish a mentoring agreement and an action plan that will measure and record successes and then celebrate the milestones.
5. Evaluate, evaluate, evaluate. Use formative evaluation throughout the program, summative evaluation when the program has completed its cycle and confirmative evaluation for continuing competence, job transfer, continuing effectiveness, and organizational impact. Also measure the return on investment.12
EMOTIONAL INTELLIGENCE

**Definition:** Emotional intelligence (EI) is “the ability to accurately identify and understand one’s own emotional reactions and those of others. It also includes the ability to regulate one’s emotions and to use them to make good decisions and to act effectively.”\(^{13}\)

**Scope:** Emotional intelligence is critical to the well-being and success of organizations and it is the heartstring of effective leadership. The ability to influence others is contingent on connecting with them on an emotional level and making sense of what they are feeling, why they are feeling that way, and how their feelings influence their decisions. There is substantial evidence that Emotional Intelligence is more important than job-specific technical skills and knowledge or IQ (intelligence quotient). Emotional Intelligence involves social awareness—empathy and organizational awareness; relationship management—positive impact on others; self management—adaptability, positive outlook, achievement orientation, emotional self-control; and self-awareness—emotional understanding of oneself.\(^{14}\) EI can be developed at any age; however, it takes time, effort, and robust commitment.

**Workplace Implementation:** Emotional intelligence can improve relationships with peers; help an individual control themselves and remain motivated, and relatively stress free; and assist in communicating well
without conflict. Individuals should periodically reflect upon their emotional reactions to other people and be self-aware and self-regulating; they should think before they act).

Emotional Intelligence is very personal; however, performance improvement practitioners can encourage employees to measure their individual Emotional Intelligence level to determine strengths and limitations. The practitioner also increases employee awareness and improves the workplace environment by researching and suggesting self-assessment tools and providing information and a chance to dialog about Emotional Intelligence too. Dialog starter questions could include: How well do you react to the viewpoints of others? Do you communicate and listen to others when they do not share your thoughts?¹⁵

**SOCIAL INTELLIGENCE**

**Definition:** Social intelligence (SI) is “the ability to get along well with others while winning their cooperation. It is a combination of sensitivity to the needs and interests of others, sometimes called your ‘social radar’, an attitude of generosity and consideration, and a set of practical skills for interacting with people in any setting.”¹⁶ It is competence in surveying one’s personal landscape and environment and responding with socially successful conduct.
Scope: Social intelligence is the new science of success in our highly competitive and global world. It goes beyond IQ and Emotional Intelligence by applying multiple intelligence theory to human interaction. Social intelligence is the ability to read situations and interpret how people behave. It is about the behavior that others use to judge a person as fair, honest, and trustworthy. It is about connecting with people and empathizing with them. It is a daily journey of observing, learning, developing, and reflecting that begins with the individual and extends to others.  

Workplace Implementation: The performance practitioner observes the behavior of people and listens to their issues and concerns. A typical activity would consist of observing persons in multiple situations, either virtually or in real-time, and analyzing and reflecting upon their actions, paying particular attention to personal behaviors and how others react to what has been said and done. Discussion questions include the following:

- Is the person well-intentioned, open, ethical, and deserving of trust?
- Is the person’s verbal and nonverbal messages communicated clearly and concisely?
- Do people listen to what the person has to say?
- Does the person empathize with others by understanding their feelings and actions and connecting with their thoughts?
- Does the person ask for feedback from others regarding socially successful conduct?
CULTURAL INTELLIGENCE

**Definition:** Cultural Intelligence is the "capability to function effectively across national, ethnic, and organizational cultures."\(^{18}\) This is accomplished by seriously studying and observing the culture and gradually learning more about it, by developing new ways of thinking, and interacting with members of the culture.\(^{19}\)

**Scope:** Cultural Intelligence begins with the motivational cycle which provides energy and self-confidence to pursue cross-cultural deliberations, the cognitive dimension which provides an understanding of cultural issues and values, the meta-cognitive dimension which plans and interprets a situation, and the behavioral dimension for engaging in effective leadership patterns. Cultural Intelligence picks up where Emotional Intelligence leaves off. Emotional Intelligence is a person’s ability to led socially and emotionally; cultural intelligence helps individuals to work with people from different cultural orientations.\(^ {20}\)

**Workplace Implementation:** Cultural Intelligence can be both developed and learned and starts with developing strengths and overcoming weaknesses. The performance improvement practitioner begins by developing a personal self-assessment and follows this by selecting appropriate training to remedy weaknesses and by applying training to everyday occurrences. These can lead to broader, more specific actions in
time by helping employees organize personal resources, workload demands, and time constraints for Cultural Intelligence enhancement. Follow this by encouraging employees to enter into the cultural setting which needs to be perfected. Secure feedback from peers and others in the group or organization. Finally, assess and evaluate the skills and competencies that have developed, learned, and applied.21

**COMMUNITIES OF PROFESSIONAL PRACTICE**

**Definition:** Communities of professional practice are individuals who join together with a specific and genuine shared interest in a discipline, a field of study, or some other organizing format. The community reflects and share ideas, collaborates with one another, and learns from each others’ contributions, successes, and failures.22

**Scope:** Communities of Professional Practice find solid ground in “bigness”—big business, big industry, big government, big education, as well as in other avenues where professional men and women gather to discuss the impact that their environment has on engaging learning. Peer-to-peer interaction “will increasingly be accepted as an effective means of maintaining and updating professional level skills”.23

**Workplace Implementation:** The performance improvement practitioner helps initiate and organize face-to-face or online or mobile communities of professional practice by discussing the importance of learning from each
other. The practitioner can help create a community among potential participants. Initially, the practitioner can help the group determine what it is they want or need to learn to maintain and advance their professional skill level. Then the practitioner can help the members clarify priorities, sharpen the focus, and decide on a realistic plan, with targets and timelines, to achieve their goals. The practitioner may also help identify individual and group behaviors that promote or inhibit community collaboration actions and the sharing of responsibility for learning. The practitioner can also facilitate discussions and feedback, record the groups’ deliberations and findings, and identify individuals who will keep the learning elements on track and relate them to the nuts and bolts of the professional skills that are identified. Finally, the performance improvement practitioner can evaluate the process by looking at individual gains and group gains and discuss how the experience has improved performance at the job level, the process level, and/or the organization level.

**Chapter 13: Personal Development Citations**

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2  Locke & Latham, 1990

3  Whetten & Cameron, 2011, pp. 348–351

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5 White, 2010, in Watkins and Leigh (Eds.) pp. 646–650

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7 *Harvard Manage Mentor, 2011*

8 Bozeman & Feeney, 2007 Bozeman, B.; Feeney, M. K. (October 2007

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10 Segal, 2000, p. 157

11 Kuo, 2000


13 Mckee, Johnston, Mwelwa, & Rotondo, 2009, p. 54

14 Emotional Intelligence Checklist, pp. 446–447

15 Albrecht, 2006, pp. 3–6

16 Albrecht, 2006, pp. 28–31

17 Ang & VanDyne, 2008, p. 3

18 Thomas & Inkson, 2005, p. 7

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21 Chyung & Berg, 2010 in Watkins & Leigh,, p. 41
Chapter 13: Personal Development References


CHAPTER 14

HUMAN RESOURCE DEVELOPMENT (HRD) INTERVENTIONS

Human resource development (HRD) is the systematic and planned practice designed by an organization to enhance employee knowledge, skills, abilities, and attitudes. It begins when an employee is hired and continues throughout the employee’s tenure with the organization. The activities, designed for employees at all levels of the career ladder, help direct current and future job demands so that efficient and effective use of valuable resources are maintained. It is centralized or decentralized depending upon the structure and functions of the organization.¹

Human resource management (HRM) is the business area that strategically plans and executes human resource functions. It is the utilization of employees joined together to achieve the mission, vision, goals, and strategic initiatives of the organization.² Human resource management activities include equal employment opportunity (EEO) compliance, job analysis, human resource planning, training and development, safety, health, and wellness, labor relations, employee recruitment and selection, and other activities concerned about people in the workplace.

While the human resource management designation is widely used, talent management, one of the current buzzwords in corporate human resources is becoming more and more popular as organizations face a
shortage of available talent. In the 1970s and 1980s the organization’s Personnel Department hired employees and paid their salaries and benefits. The department fulfilled a business function role. In the late 1980s and 1990s, human resources assumed the role of a strategic business partner. Human resources took on greater roles with employees by hiring the right person for the right job at the right time, by training them and by providing them with total compensation packages and by serving as a “one stop” communication channel for employee well-being.

Organizations are now facing new human resource demands which call for integrating human resources and learning management with business management processes. As organizations meet their business goals all human resource functions must come together and interact synergistically if the organization is to remain viable and the value of its products and/or services becomes sustainable.³

The agricultural age was a land-driven economy; the industrial age, a manufacturing-driven economy; the knowledge age, an information assets economy. In the vortex of the knowledge age, the competitive environment focuses on talent quality and the search for the best people since they are the determinants of value and sustainability. Today’s many challenging workforce issues require new thinking and a new talent mindset if the organization is positioned to achieve business success.⁴
In this chapter, human resource management interventions are divided into sub-categories:

- **Talent Management** focuses on core employee oriented business functions: staffing, employee development, retention of employees, compensation and benefits, health and wellness, retirement planning, and labor relations.

- **Individual Growth** focuses on the organization’s need to encourage high-performance employees: motivation systems, performance management and key performance indicators, performance appraisals and 360° feedback, competency testing.

- **Organizational Growth** focuses on the organization’s need for long-term success: succession planning, career pathing, leadership development, executive development, management development, supervisory development.

Listen carefully—the voice of the practitioner may be heard commenting on a specific intervention.

**TALENT MANAGEMENT**

**Figure 14.1**

**Talent Management**

[INSERT FIGURE 14.1 HERE]
**Definition:** Talent management “refers to the concept of bringing together—in a unified technology platform—the functions of recruitment, selection, and assessment, learning and development, performance management, workforce planning, compensation and other human resource functions.” It is a systematic process to meet the organization’s human capital needs by placing the right people in the right jobs at the right time.

**Scope:** Talent Management is a new way of looking at human resource management (HRM). While many of the essential human resource principles are similar, talent management requires a new mindset and a new way of thinking to achieve business success. Human resource management is more tactical; talent management, more strategic.

In the talent management lifecycle, employees are empowered to think and act while they create a unique brand of value for the organization. Engagement is important as individuals work with teams to advocate for the organization and go that extra mile to complete a task. This process is continuous and on-going and it impacts not just human resources but the entire fabric and culture of the organization. Yves Saint Laurent, one of the world’s most influential fashion designers, says: “Dressing is a way of life.” As corporate America focuses more on strategic thinking, strategic processes, and talent management strategies and conducts business reviews to align organizational and talent needs, the talent age is the new “way of life”.

Workplace Implementation: When an organization embraces talent management processes, it achieves its overall goal of making money and responding to changes in the competitive environment. Focusing on talent and a complementary corporate culture, guides sustained organizational performance. “Talent management is action-oriented, people oriented, globally oriented, and future-oriented.” This is a prime example of why a performance improvement practitioner remains current and up-to-date on new concepts and strategies in the field of performance improvement, and is able to integrate the best of what was with what is required now. When selecting interventions, the practitioner needs to re-focus on whether or not the interventions will help the organization concentrate on talent management and create a “complementary corporate culture” that supports talent management.

STAFFING

Definition: Staffing is the talent management function that anticipates and fills open positions within organizations.

Scope: Staffing is a critical talent management function and both the organization and the employee benefit from careful planning. Unfortunately, this does not consistently occur as Drucker, the management guru, says: “No other decisions are so long lasting in their consequences or so difficult to unmake. And yet, by and large, executives make poor promotion and
staffing decisions. Staffing includes strategic personnel planning (the right number and kinds of capable people, strategies for hiring, training, and retaining, and so forth); recruitment (the process of attracting qualified applicants who drive new thinking and possess talent acumen to achieve robust business results); selection (screening and selecting the best candidates from applications, resumes, and interviews and from such external resources as executive recruiters, college recruiting, referrals and walk-ins, gray power, Internet, and other advertising mechanisms.) A peak performance staffing function includes:

1. Analyzing jobs
2. Conducting strategic human resource planning
3. Recruiting applicants
4. Interviewing candidates
5. Administering employment tests
6. Checking references and backgrounds
7. Selecting candidate(s)
8. Arranging for physical, medical exam(s)
9. Making final offer to the candidate
10. Retaining talent (added by authors)

**Workplace Implementation:** Performance improvement practitioners play unique roles in the talent management process by utilizing their competencies to develop strategic partnerships. They begin by analyzing
jobs and the people and resources necessary to complete them effectively and efficiently. Then they write concise job descriptions and state realistic job specifications. Use PST 12.1: Job Analysis Survey as a model.

Performance practitioners contribute to talent management strategy by following industry trends and remaining current in local, national, and global marketplace developments. And further, by designing PSTs, various human resource forms, checklists and other support tools, by training talent managers to implement activities, and by facilitating strategic planning sessions. Finally, the performance improvement practitioner can play a vital role with the talent manager in evaluating the recruits and in verifying resources and vendors. (See the Exhibit at the end of Section 3 to read about a real world talent management intervention.)

EMPLOYEE DEVELOPMENT

Definition: Employee development is the process that begins after the candidate accepts the final offer of employment and continues throughout the employee’s life with the organization.

Scope: Table 14.1 provides an overview of employee development components, focus, purpose, and potential interventions. It is based on the work of Van Tiem, Moseley, Dessinger, and others. Further discussion of employee development with an implementation and maintenance focus appears in Chapter 22.
### Table 14.1

**Employee Development Overview**

<table>
<thead>
<tr>
<th>Components</th>
<th>Focus and Purpose</th>
<th>Interventions</th>
</tr>
</thead>
</table>
| **Employee Training** | Focus on skills and knowledge  
Introduce new employees to the organization  
Help employees acquire, maintain, or improve current job skills | Employee orientation  
Just-in-time training  
On-the-job training  
Coaching and mentoring  
Job aids |
| **Employee Development** | Focus on education  
Plan for future business needs  
Enhance employee’s ability to understand and interpret knowledge | Orientation handbook  
Traditional or technology-based instruction  
Corporate university  
Job rotation  
Team/committee assignments  
Seminars  
Simulations  
Experiential learning (survival training, and so forth.) |
| **Career Development** | Focus on long-term career effectiveness and success  
Assist employees in advancing their work lives  
Provide information and assessment to realize career goals | Challenging job assignments (job rotation/enrichment)  
Career counseling  
Career workshops  
Career pathing  
Continuing education and training  
Professional associations |
| **Organization** | Focus on system-wide organizational changes | Feedback activities (surveys, etc.) |
Workplace Implementation: Both employers and employees have shared responsibility for employee development. If an organization chooses to remain competitive with cutting edge business acumen and with a talent management mindset, it must integrate learning with working. Continuous learning is the key and this is manifested in learning organizations and in professional communities of practice. Organizations often support employees in advanced schooling through tuition reimbursement programs. A brown bag luncheon where topics range from current affairs to leadership books, from the anywhere worker to next-gen mobility and everything in-between, helps the employee retain cutting edge interests. Joining professional organizations and attending conferences add further perspective. The performance improvement practitioner supports the work of the talent manager in these areas and can also plan and design appropriate programs that strengthen employee commitment and organization growth.
THE PERFORMANCE PRACTITIONER’S VOICE:

“We have a fundamentally very strong marketplace training plan written by professional career personnel. It begins with needs analysis, goals, ambitions, direct organizational targets involving our HR person and the heads of our departments; it’s a business within a business. We have a menu of development and training opportunities; 105 training courses per week in blocks of eight weeks focusing on core skills and individual potential skills. I also participate in training with courses like health and safety management, employment management (new laws and regulations), and appraisal skills. . .Our infrastructure lets people take advantage of the many opportunities available. There is management support and department support. We are developing a culture within our organization. We have a company-led management mentoring program where 12 to 14 employees are paired off with another manager. We provide training, for our mentors. . .we need to be good listeners. . .”

Malcolm Hendry
General Manager
The Rubens at the Palace
Buckingham Palace Road
London, England

Performance Support Tool 14.1 asks an individual to determine who is responsible for current employee development activities, the organization or
the individual employee. Discuss the results with peers over a brown bag luncheon.

**Performance Support Tool (PST) 14.1**

**EMPLOYEE DEVELOPMENT: WHO IS RESPONSIBLE FOR SUCCESS?**

This instrument has multiple uses:

1. Identify current employee development activities; identify who is responsible for the success of each activity – the organization or the individual employee – and explain your perception of the current situation.

2. Identify current activities and who is responsible, and explain why you agree or disagree with the current situation.

3. Identify potential employee development activities, suggest who should be responsible for success, and justify the suggestions.

**Directions:** List the current employee development activities and assign responsibility by checking ORG for organization or IND for individual employee. Use the Why? Column to explain your perception of the current situation, agree or disagree with the current situation, or justify suggestions for future employee development interventions.

<table>
<thead>
<tr>
<th>Employee Development Activity</th>
<th>Responsible?</th>
<th>Why?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ORG</td>
<td>IND</td>
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<td></td>
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</tbody>
</table>
RETENTION

**Definition:** Retention is the final step in the selection process and it refers to the organization’s ability to retain qualified employees.

**Scope:** Retention implies what is controllable and desirable and it is a proactive concept. Organizations need to retain top talent in good times and in bad and "in managing retention, especially for the pivotal roles and A-list players." Value to the organization is enhanced when it engages in improving retention. Value for the organization is gained by reduced recruiting costs, reduced training costs, less supervisory time required, and, in general, improved quality, innovation, productivity, and service. Employees leave an organization voluntarily because of poor behavior and lack of trust in their supervisors, the perceived lack of advancement opportunities, and the stress involved in work-life balance. Effective retention programs that are planned collaboratively with the performance practitioner and the talent manager focus on supervisory training, career management, and stress reduction.
**Workplace Implementation:** Since retention shares direct relationships with customer satisfaction, customer loyalty, quality outcomes, operating effectiveness, and financial performance, retention is a pivotal player and indicator of strategic business outcomes. There are several predictors of retention:

- Overall job and work satisfaction
- Organization commitment
- Quality of the leader and member relationship
- Clarity of role
- Person-to-job fit—how well the individual’s skills and interests are matched to the job requirements
- Level of conflict (this could be conflict within or across groups)
- The extent to which one is embedded in the community, such as social, religious, hobby, or political activities
- Job search intentions

The retention chief at MGM Mirage used many retention drivers to “help keep them in the house”:

- Job security
- A safe working environment
- Competitive compensation and benefits
- Culture and work unit that meets their affiliation needs
- Work flexibility
• Interesting work
• Decision-making opportunities
• Growth and ability to get ahead

The performance improvement practitioner utilizes skills from the performance consulting tool chest to support the retention drivers that are mentioned here since they have direct bearing on business outcomes and capabilities. Furthermore, the practitioner should continuously study the talent market and benchmark organizations’ retention efforts and how they influence strategic thinking and planning.

In PST 14.2 Rothwell\textsuperscript{20} describes an instrument that has been developed and successfully used to focus leadership attention on what to do to improve organizational retention efforts. This instrument provides an organized framework by which organizational leaders can compare their organizations’ retention practices to best practices as identified by theory, research, and practice on retention.

**PERFORMANCE SUPPORT TOOL (PST) 14.2**

**THE ORGANIZATIONAL RETENTION ASSESSMENT (ORA)**

**Description of the Instrument**
The Organizational Retention Assessment (ORA) consists of a set of one hundred criteria by which to assess how well an organization’s retention practices match up to what theory, research, and practice on employee retention indicate are desirable. These criteria must, of course, be tailored to the unique organizational and industry characteristics affecting one employer. But the instrument is intended to permit employers to focus their retention efforts, examining how much and how well an organization is doing to address retention issues.
**Theory Behind ORA**
Much has been written about employee retention. This instrument is intended to pull together a large amount of research and practice information on employee retention, essentially “boiling it down” so that it may be effectively used as a focus for taking action.

**Administration of ORA**
To maximize the effectiveness of The Organizational Retention Assessment, facilitators should provide the instrument to managers and to selected employees. The scores should be computed by group and then compared in a management setting as a starting point to identify action strategies to improve employee retention.

**Scoring the Assessment**
The scoring for the Organizational Retention Assessment is simple. The higher the score, the more an organization’s retention practices are aligned to best practice; the lower the score, the less an organization’s retention practices are aligned to best practice. A score of 80 or higher is generally indicative of an organization that is taking concerted action on retention. Lower scores indicate a need to improve retention efforts.

**Reliability and Validity of the Assessment**
The instrument is intended for management use only, to focus attention on how to improve employee retention efforts. It is not designed to measure more enduring or general organizational characteristics.

**Instructions:** Read each criterion appearing below. Then place a check mark in the box in the left column to indicate whether your organization is presently using this practice to retain employees. When you finish, add up your scores. A “yes” counts as 1 and a “no” counts as 0.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Does Your Organization...</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>1. Build in a message about the importance of long service to the organization in all recruitment literature?</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>2. Examine the work records of all job applicants, looking for individuals who have shown long service with other organizations?</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>3. Ask new hires to sign lawyer-prepared non-compete...</td>
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<td>agreements?</td>
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<td>4. Describe to job applicants how the organization recognizes long service with the organization (that is, employee recognition programs)?</td>
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<td>5. Include a question on all job applications to ask all job applicants what they would regard as long service with an organization (that is, surface expectations about employee loyalty during the selection process)?</td>
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<td>6. Track turnover by department?</td>
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<td>7. Track turnover by location?</td>
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<td>8. Track turnover by employee performance and potential so as to monitor the percentage of high-potentials leaving the organization?</td>
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<td>9. Communicate turnover figures widely in the organization, focusing attention on ways to reduce it?</td>
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<td>10. Track absenteeism by department, since absenteeism is a “leading indicator” (advance warning indicator) of future turnover?</td>
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<td>11. Track absenteeism by location?</td>
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<td>12. Track absenteeism by employee performance and potential so as to monitor the percentage of high-potential who may be about to leave the organization?</td>
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<td>13. Communicate absenteeism figures widely in the organization, focusing attention on ways to reduce it?</td>
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<td>14. Recognize employees with long service with the organization?</td>
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<td>15. Recognize managers whose employees have long service with the organization?</td>
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<tr>
<td>16.</td>
<td>Encourage employees with long service records in the organization to refer prospective job applicants who are also likely to become long-service employees?</td>
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<td>17.</td>
<td>Conduct regular attitude or climate surveys in the organization, focusing attention on identifying problems that can lead to turnover and on addressing them?</td>
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<td>18.</td>
<td>Hold employee focus groups periodically to identify reasons for employee turnover and address them?</td>
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<tr>
<td>19.</td>
<td>Hold manager focus groups periodically to identify management-supported ideas to encourage longevity/discourage turnover?</td>
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<tr>
<td>20.</td>
<td>Conduct regular exit interviews with departing employees to discover <em>why they are leaving?</em></td>
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<td>21.</td>
<td>Conduct performance appraisals of departing employees so that the quality of workers leaving the organization can be specifically monitored?</td>
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<tr>
<td>22.</td>
<td>Conduct interviews with long-service employees to discover <em>why they stay</em> with the organization?</td>
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<tr>
<td>23.</td>
<td>Examine the organization’s pay practices to ensure that outstanding performance is recognized as quickly as possible?</td>
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<td>24.</td>
<td>Examine the organization’s bonus plans and reward programs to ensure that managers are rewarded or recognized for encouraging employee retention?</td>
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<td>25.</td>
<td>Take action to dispel the misconception that investments in employee training lead to higher turnover when, in fact, research reveals that training is an employee retention strategy because it builds employee loyalty?</td>
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| 26. | Experiment with innovative reward systems, including both pay and alternative rewards, to encourage employee
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<th></th>
<th>retention and discourage employee turnover (for example: annual retention bonuses)?</th>
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<td>27. Use employee sign-on/sign-up bonuses?</td>
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<td>28. Provide employee benefits that encourage retention but discourage turnover (such as tuition reimbursement that is forgiven as more length of service is accumulated)?</td>
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<td>29. Provide a planned employee orientation program that mentions the importance of long-service employment to the organization?</td>
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<td>30. Provide a planned employee orientation program that mentions the importance of long-service employment to individuals (what’s in it for them)?</td>
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<td>31. Provide planned employee socialization programs (such as peer mentors) that make workers “feel welcome” in the organization?</td>
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<td>32. Train managers on how to make new hires feel welcome?</td>
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<td>33. Train managers on how to show appreciation on a periodic basis to long-service workers for their longevity with the organization?</td>
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<td>34. Train workers on how to show appreciation on a periodic basis to long-service workers for their longevity with the organization?</td>
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<td>35. Provide employee training periodically, and in a way that compares favorably to other organizations in the industry, to keep workers current in their jobs and fields/occupations?</td>
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<td>36. Use spot bonuses to show appreciation for instances in which individual employee performance goes “above and beyond the call of duty”?</td>
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<td>37. Make clear to whom employees should go for help and</td>
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<td>counseling when they experience conflicts with supervisors, managers, or co-workers (for example, a widely publicized employee relations program)?</td>
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<td>38. Make clear to whom employees should go for help and counseling when they experience personal problems such as legal, marital, drug-related, alcohol-related, or other personal problems (for example, a widely publicized employee assistance program)?</td>
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<td>39. Make clear to whom employees should go for help and counseling before they decide to resign from the organization (that is, an early-warning system to try to avoid turnover before it occurs)?</td>
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<td>40. Reduce or eliminate waiting periods for benefits’ eligibility, since that may encourage turnover?</td>
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<td>41. Make career planning programs available to workers, showing qualifications required to qualify for advancement?</td>
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<td>42. Base employee benefits, in part, on longevity with the organization?</td>
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<td>43. Base employee promotion decisions, in part, on longevity with the organization?</td>
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<td>44. Provide financial support for child care?</td>
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<td>45. Provide time off, with or without pay, for child care?</td>
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<td>46. Provide essential personal services, such as dry cleaning services, on site with or without company financial support?</td>
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<td>47. Provide personal services, such as retirement or financial planning, on site with or without company financial support?</td>
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<td>48. Provide alternative rewards, such as stock option or</td>
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|   |   | 73. Find compelling ways to show how the work that each
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<th>74.</th>
<th>Give employees the opportunity to work on community projects during work time if they so desire?</th>
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<td>75.</td>
<td>Permit employees to purchase the organization’s products or services at special discounts?</td>
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<td>76.</td>
<td>Give employees financial or non-financial support for relocations, even when not organizationally related?</td>
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<td>77.</td>
<td>Give employees access to spiritual/religious help/counseling during work time?</td>
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<td>78.</td>
<td>Celebrate diversity of all kinds, including differences in outlook?</td>
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<td>79.</td>
<td>Encourage social relationships, such as organizational picnics, without forcing employees to participate if they do not wish to do so?</td>
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<td>80.</td>
<td>Encourage the use of appropriate humor to reduce stress and improve the quality of work life?</td>
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<td>81.</td>
<td>Allow workers freedom in how they do their work so long as they accomplish results in legal, moral, and ethical ways in line with the organization’s policies?</td>
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<td>82.</td>
<td>Take steps to compare the organization’s pay, benefits, and other employment features to competitors’ and take steps to equal or surpass them?</td>
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<td>83.</td>
<td>Take special steps to encourage retention of employees within the first three years of employment, since most-recent hires are at greatest potential for loss? (The role is usually “last in, first out” because new hires still have their resumes floating and they have the least emotional</td>
</tr>
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</table>
investment with their current employer).

84. Take steps to ensure that individuals are treated consistently and managers are not accused of undue favoritism for reasons other than productivity?

85. Monitor individuals’ personal situations, taking steps to address issues that may lead to turnover (such as a spouse who is forced to move, etc.)?

86. Take special steps to identify high-potential workers early in their job tenure with the organization and improve their retention?

87. Take steps to encourage the turnover of workers whose productivity is not adequate?

88. Provide real rewards for worker success and not give truth to the old saying that “the reward for outstanding performance is not more pay or a promotion but more and harder work”?

89. Encourage managers to monitor the workload of all workers to ensure that some people are not overworked while others escape work?

90. Make a decided effort to monitor research and best practices on employee retention and apply the results of that research and best practice?

91. Consider the track record of managers in employee development explicitly when considering their own promotability?

92. Consider the track record of managers in employee retention explicitly when considering their own promotability?

93. Conduct an annual review of each department and location, reporting on their turnover rates and reporting
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<th>those to all senior managers on a regular basis?</th>
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<td>94. Include information about the cost of turnover and organizational efforts to reduce turnover in the organization’s communication efforts with employees?</td>
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<td>□</td>
<td>95. Include information about the cost of turnover and organizational efforts to reduce turnover in the organization’s training efforts with employees?</td>
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<td>96. Display charts of turnover by department or location prominently in those departments or locations?</td>
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<td>97. Survey managers periodically on how the organization’s policies and practices could be changed to encourage retention more effectively?</td>
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<td>98. Target areas of the organization with the highest turnover for special programs/management attention and action?</td>
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<td>99. Monitor how the turnover of specials groups (such as women, minorities, and other protected class workers) compares to general organizational turnover and take steps to address higher turnover with special groups?</td>
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<td>□</td>
<td>100. Communicate with customers, investors, suppliers, and distributors about the organization’s efforts to reduce turnover and the results secured from those efforts?</td>
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</table>

**Additional comments:**

While this questionnaire is intended to be anonymous, some information about you is important. Check one for each of the following:
COMPENSATION/BENEFITS

Definition: Compensation programs are monetary and in-kind payments used by organizations as tangible rewards for employee service.

Definition: Benefits are the non-cash portion of compensation programs and they are intended to improve the quality of work life for an organization’s employees. They are a central rather than a peripheral part of the organization’s pay structure.

Scope: Goals of compensation policies include rewarding employees’ past performances, remaining competitive in the labor market, maintaining salary equity among employees, motivating employees' future performances, maintaining the budget, attracting and retaining new talent, and reducing unnecessary turnover. Compensation typically includes pay for work and performance, disability income, deferred income, health, accident, and liability protection, loss-of-job-income, and continuation of spousal income when there is a loss. Benefits include the employer’s share of legally required payments, for example, FICA, unemployment compensation,
retirement and savings plan payments, 401K, profit sharing, stock bonuses, medical benefit payments, and so forth. In realizing that talent drives performance, employers often dangle job benefits to attract new personnel. These may include gym memberships or on-site recreation rooms, meals when working late, tickets to movies and sporting events, on-site dry cleaning service, cosmetology services, paid week off between major holidays, and various and sundry kinds of discounts for computer hardware and software, auto purchases, day care, elder care, and more.

**Workplace Implementation:** In order to plan and design an equitable compensation system, the performance improvement practitioner works with the organization’s talent management division to conduct the job analysis, identify job specifications, and write concise job descriptions. “The most important factor influencing the rate of pay of an employee is the kind of job the person performs. In classifying or differentiating jobs for pay purposes, no one single factor carries greater significance than the knowledge and skills required of the job holder.”

The performance practitioner must also remain proactive in helping talent managers keep abreast of new talent management processes that affect performance. “Organizations have to be sure their compensation management strategies are shaped to reward excellence, not pay for subpar performance.” By thinking better, thinking more effectively, and thinking more powerfully, the performance improvement practitioner is able to help
HEALTH AND WELLNESS

Definition: Health and wellness programs are organization-sponsored initiatives that focus on health promotion (life style changes), health protection (prolonging life), and health prevention (preventing disease). Wellness programs focus on the employee’s total physical and mental condition.

Scope: Employee health and wellness programs are significantly changing corporate America since more organizations are investing in wellness programs for their key leaders to ensure they are up to the job. Good health among employees translates into productive work environments and influences the culture of the organization. Employee assistance programs (EAPs) are available “to deal with a wide range of stress-related problems, both work and non-work related, including behavioral and emotional difficulties, substance abuse, family, and marital discord, and other personal problems.” Employee assistance programs include diagnosis, treatment, screening, and prevention. Wellness programs “identify and assist in preventing or correcting specific health problems, health hazards, or negative health habits. . .such programs are those emphasizing hypertension identification and control, smoking cessation, physical fitness
and exercise, nutrition and diet control, and job and personal stress management.”30 Wellness programs at Johnson & Johnson “cumulatively saved the company $250 million on health care costs over the past decade.”31

**Workplace Implementation:** Health and wellness programs are inextricably linked to corporate culture since they are extensions of benefit packages, robust recruitment efforts to capture the talent mindset, and retention efforts. The performance improvement practitioner works with the talent management division to plan, design, develop, and implement health and wellness programs that educate and instruct employees on health-related issues (workplace health and safety classes, health screening, and so forth) that modify or alter behavior (smoking cessation programs including second and third-hand smoke, physical fitness classes, and so forth); that creates an organizational environment that helps employees maintain healthy lifestyles (specific programs that combine educational, personal, and organizational value).32 The performance practitioner who is skilled in evaluation offers strength in developing and evaluating instruments from health status and risk factors data. The practitioner can also monitor key performance indicators or impact measurements like absenteeism, turnover, retention, costs, productivity, accident frequency and severity rates, medical expenses, defects, rework, stress reduction, and so forth.

**Exhibit 14.2**
The Performance Practitioner's Voice: Health and Wellness

THE PERFORMANCE PRACTITIONER’S VOICE

Health and Wellness

“High performing organizations recognize the link between maintaining employee health and wellness and performance in the workplace. With increased pressures on the workforce and longer work hours, organizations play pivotal roles in promoting healthy lifestyle choices that lead to healthier employees and organizational productivity including reduced sick time and injuries. Data indicate up to 80% of all illnesses, disabilities and preventable death from chronic diseases are attributable to modifiable factors—factors that individuals can change such as tobacco use, physical inactivity, unhealthy eating and obesity. Many organizations are now developing and adopting formal, comprehensive workplace health and wellness policies that promote healthier workplace environments. Workplaces have integrated programs and activities directly into the workday such as providing on-site fitness facilities, mini fitness classes during lunch, rest breaks with massage therapy, “lunch and learn” workshops focused on stress reduction and burnout prevention, challenges of shift work, and maintaining work-life balance.”

Linda A. Morrow, Ph.D.
Manager, Learning and Workplace Development
Windsor Regional Hospital
Windsor, Ontario, Canada

RETIREMENT PLANNING

Definition: Retirement is a life event, a time of transition and change. The noted social gerontologist Atchley, offers three views:
1. The institutional arrangements that provide retirement pensions and rules of eligibility for retirement,

2. The transition between a position of employment and the position of retired person, and

3. The life stage following retirement from the labor force.\textsuperscript{33}

**Scope:** Retirement is changing but so are the words we use to describe it. The new words for retirement are embedded in a lexicon of Rs: reorientation, recommitment, reinvention, reinvolvement, regeneration, renewal, renovation, redirection, rethinking, revitalizing, reinvestigation, replenishment, reexploration, redeciding, and more. "Retirees and seniors are now rebounders, primetimers, or recareerers. In short, the term retirement is being retired, or at least redefined. . ."\textsuperscript{34} Another gerontologist says: "Retirement challenges your identity, changes your relationships, and may leave you feeling rootless if you have no purpose."\textsuperscript{35} However, having an adequate income, role models to follow, a healthy self-concept with a proactive approach to life, and mattering to the community, can help individuals adjust.

**Workplace Implementation:** Retirement is part of other performance interventions such as career pathing, rewards and incentives, compensation and benefits, succession planning, and so on. The performance practitioner has the necessary leadership and organizational skills to help employees transition into retirement. Helping talent managers train employees in areas
of housing, financial affairs, elder care, elder law, elder boomer issues, long-term care opportunities, anti-aging, and more will help employees frame retirement decisions and position the organization to be proactive in its negotiations with older workers.

It is time to rethink talent management practices regarding retirement: “The recession has caused older workers to reconsider their exit strategy from the workforce. As those plans change, talent managers should rethink their practices and policies to support the new workplace reality.”

The performance practitioner can aid in developing this area. Performance Support Tool 14.3 is a planning tool to help individuals think or act and come to grip with issues related to retirement.

**Performance Support Tool (PST) 14.3**

**Issues to Consider When Planning for Retirement**

**Directions:** Planning for retirement includes thinking about and/or acting on many of the issues listed below. Ask potential retirees to code each issue according to the scale in the second column, and explain their responses. This will provide information on individual needs as well as workforce trends. For example, John needs to examine his financial situation before he retires, or 50% of the plant’s workers have not thought about retirement goals.

<table>
<thead>
<tr>
<th>Issues to consider when planning retirement</th>
<th>Where I stand on this issue</th>
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<tr>
<td>1. Retirement goals</td>
<td>□ 5  I have acted on this issue</td>
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<td>Comments:</td>
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<td>□ 3  I have given this issue some thought</td>
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<td>1. This issue does not concern me</td>
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<td><strong>2. Legal affairs</strong></td>
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<td><strong>3. Health and wellness</strong></td>
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<td><strong>4. Financial issues</strong></td>
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<td><strong>5. Retirement housing</strong></td>
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### 6. Leisure activities

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### 7. Working after retirement

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<td>□ 3  I have given this issue some thought</td>
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<tr>
<td>□ 2  I have not thought about this issue</td>
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### 8. Volunteering after retirement

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<tr>
<td>□ 3  I have given this issue some thought</td>
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<tr>
<td>□ 2  I have not thought about this issue</td>
</tr>
<tr>
<td>□ 1  This issue does not concern me</td>
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**LABOR RELATIONS**

**Definition:** Labor relations is the system of continuous relationships that exists between workers and management in regard to employee fair treatment, working conditions, wages, and other issues.\(^{37}\)

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**Scope:** The relationship includes “the negotiation of a written contract concerning pay, hours, and other terms and conditions of employment as well as the interpretation and administration of the contract over its period of coverage.” Employee rights are protected by federal legislation, specifically by the National Labor Relations Act (also called the Wagner Act), the Labor-Management Relations Act (also called the Taft-Hartley Act), and the Labor-Management Reporting and Disclosure Act (also called the Landrum-Griffin Act). Other influential pieces of legislation protecting employees include the Fair Labor Standards Act, the Equal Pay Act, Age Discrimination in Employment Act (ADEA) and the Occupational Safety and Health Act (OSHA). The two areas which are integral to labor relations are unionization and collective bargaining. Employees join unions for economic needs, job satisfaction, beliefs in union power, and union image. Collective bargaining involves management and unions negotiating an equitable and fair agreement over economic needs (wages and hours) and working conditions.

**Workplace Implementation:** The performance improvement practitioner works with the labor relations division to prepare information on job attitudes among employees, benchmarks salaries for particular industries, traces historical milestones regarding labor laws, and, in general, works with talent managers to improve interactions between workers and management regarding incentives and rewards, job security, health issues, and other
areas. The practitioner partners with a business librarian and becomes familiar with the major statutes and regulations administered by the U.S. Department of Labor (DOL) that affect business and workers.

The practitioner also provides information and protocol on engaging the multigenerational workforce and serves as a resource for recent state legislation pertaining to employment law. Performance improvement practitioners in the United Kingdom (UK), the European Union (EU), and in other countries of the global world of business should similarly be mindful of and respect the spirit of the labor laws in their countries and places of employment to guarantee fair and equitable treatment of employees.

**INIDIVIDUAL GROWTH INTERVENTIONS**

Individual growth is that part of human resources that focuses on the organizational need to encourage and retain high-performance personnel. It is crucial for organizations to have policies and practices aimed at meeting short and long-range needs and opportunities. To do so, requires that employees remain energized, engaged, enthusiastic, and committed to job excellence and career enhancement.

Individuals are responsible for their own competitiveness, productivity, continuous learning, and professional development. Individuals are encouraged to develop their unique talent management mindset that impacts the overall mission and objectives of the organization. Performance
improvement specialists should be mindful of *Training* magazine’s advertisement charging and challenging employees to reexamine their learning, reframe their perceptions, redefine the impact of their learning experiences, rethink their roles as change agents, and reignite their passion for knowing and doing well. Individual growth is fostered by a number of interventions. The individual growth interventions covered in this chapter are listed in Figure 14.2.

**Figure 14.2**

Individual Growth Interventions

[Insert Figure 14.2 Individual Growth Interventions here]

**MOTIVATION**

**Definition:** Motivation is an inner drive, a state of feeling or thinking that energizes, directs, and sustains human behavior.  

**Scope:** There are many theories of motivation that contribute to work and job experiences. They are categorized as content and process theories. Content theories are about what energizes behavior. Familiar content theories include Maslow’s hierarchy of needs theory, Alderfer’s ERG (Existence, Relatedness, Growth) theory of needs, McClelland’s learned need theory (achievement, power, affiliation), and Herzberg’s two-factor (motivation and hygiene) theory. Process theories are about how behavior is energized. Typical process theories are equity theory (individuals value
and seek fairness), expectancy theory (expending effort on work that leads to desired rewards), and goal-setting theory (goal provides the foundation for how much work effort to expend). A solid resource on organizational behavior or on managing human resources can provide the detail about these theories.

A discussion on motivation is incomplete unless the topics of rewards and incentives are noted. Reward systems are designed to change and reinforce behavior through techniques, such as public recognition, gift certificates, or vacations and travel based on meeting sales quotas. Reward programs attract qualified talent, sustain the desire to continue work, and motivate employees for producing their best results. Incentive systems, both short term and long term, link pay with a standard for performance, such as salary, differential pay, allowances, time off with pay, deferred income, loss-of-job coverage, desirable working conditions, training, adequate equipment and materials, and so forth.

Workplace Implementation: Motivation is a shared responsibility between employer and employee. Performance improvement practitioners work with management to recognize valuable employees, promote constructive relationships, develop job analyses, job specifications, and job descriptions for creative and challenging jobs, identify and secure appropriate resources to perform a job, monitor employees’ needs, abilities, goals, and preferences, and other activities which promote employees to
remain energized, engaged, enthusiastic, and committed to job excellence and talent growth. Performance Support Tool 14.4 identifies ways an organization motivates employees. Discuss the results with your peers and your organization’s talent management team.

**Performance Support Tool (PST) 14.4**

**How Motivating is Your Organization?**

**Directions:** Use this performance support tool to identify ways your organization motivates employees. Check (+) if motivation occurs and check (-) if improvement is needed.

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<thead>
<tr>
<th>+</th>
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<th><strong>Rules and Regulations</strong></th>
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<td></td>
<td></td>
<td>The organization has clearly defined vision, mission, goals, and objectives.</td>
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<td>Performance criteria are clearly defined and communicated to all employees.</td>
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<td>Resources are provided to help employees attain their goals and objectives.</td>
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<tr>
<td></td>
<td></td>
<td>Rewards and recognition are a part of the culture.</td>
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<td></td>
<td>A support network is in place so employees know where to go for assistance when needed.</td>
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<tr>
<td></td>
<td></td>
<td>Whenever possible, the organization takes advantage of employee expertise by including them in meetings, discussions, and other fact-finding initiatives.</td>
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<tr>
<td></td>
<td></td>
<td>Timely information sharing, including lessons learned, occurs at all levels of the organization.</td>
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<tr>
<td>Communication is open and encouraged.</td>
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<tr>
<td>The organization has a conflict resolution model available to all employees.</td>
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<tr>
<td>The organization celebrates the successes of its team and employees.</td>
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<tr>
<td>The organization supports personal growth with training opportunities and tuition reimbursement.</td>
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**PERFORMANCE MANAGEMENT**

**Definition:** Performance management is the process by which upper management links and aligns organizational goals to employee performance.44

**Scope:** Performance management is an on-going management process and system which helps the organization become more efficient by motivating, training, rewarding, and promoting employees.45 Its scope includes “strategic goal setting, development of performance standards, performance appraisal, development and coaching, and discipline and reward; all integrated to achieve organizational goals.”46 In short, a performance management system when carefully conceived, planned, and orchestrated, defines, measures, monitors, and gives feedback to employees. It serves a strategic purpose in linking employee functions with the organization’s vision, mission, goals, critical issues, and overall strategic plan. It also serves a
communication purpose in helping employees recognize the effects of their activities and what the organizational expectations are. It serves as a basis for employment decisions regarding promotion, termination, transfer, train, and other options.\textsuperscript{47}

\textbf{Workplace Implementation:} The performance practitioner is influential in the design, development, and implementation of a performance management system. The practitioner identifies all key stakeholders, creates and orchestrates cross-functional teams to design, advocate, and communicate the benefits of a performance management system, creates a needs assessment, complete with needs analysis and gap analysis, helps to develop a performance culture by raising the bar on expectations, develops training materials to improve managers’ coaching skills, plans and monitor the organization’s performance measurement system, preps for classes, webinars, and other vehicles that will describe and enhance the benefits of a performance management system. Above all, the performance improvement practitioner uses business language in communicating the process to management and employees rather than the language of human relations.\textsuperscript{48}

\textbf{KEY PERFORMANCE INDICATORS (KPIs)}

\textbf{Definition:} Key performance indicators are quantitative performance measures that define the critical success factors of an organization, help the
organization measure progress toward its organizational goals and objectives, and identify areas for organizational performance and improvement.\textsuperscript{49}

**Scope:** Key performance indicators will differ depending upon the organization so that businesses, schools, health care facilities, social service agencies, the oil industry, and the like, will all have different key performance indicators which may change as the organization’s goals change. A school, for example, may focus its key performance indicators on students passing a standardized test at grade level or a graduation rate. An assisted living facility may focus its key performance indicators on the number of clients it services quarterly.\textsuperscript{50} Key performance indicators are non-financial; yet, frequently measured; they are team responsibility with high impact yield.\textsuperscript{51} If key performance indicators are valuable and sustainable in an organization, there have to be ways to accurately define and measure them. Targets also need to be in place for each key performance indicator.\textsuperscript{52}

**Workplace Implementation:** A performance improvement practitioner plays an important training role in introducing why key performance indicators are being introduced in the organization, how they will be developed, and how they will be used. By providing workshops on defining and measuring them and determining targets for each of them, the practitioner sets him or herself apart from other practitioners (instructional
designers, analysts, organization development personnel, and others) in the organization. There are evaluation roles to play in implementing, monitoring, and evaluating key performance indicators over time and as the organization gets closer to achieving its goal. Time lines need to be established and the performance culture regarding the impact of key performance indicators needs to be carefully and effectively monitored and reported to the appropriate management levels.

**Exhibit 14.3**
The Performance Practitioner’s Voice: Key Performance Indicators

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**THE PERFORMANCE PRACTITIONER’S VOICE**

**Key Performance Indicators**

“As critical real-time quantifiable success markers, key performance indicators (KPIs) provide strategic and operational value to drive individual and organizational goals and benchmarks. KPIs are characterized by definable elements, prioritization, measurement, and quantification regardless of type and size of the organization. Detailing KPIs reduces uncertainty and ensures better performance management when values are effectively communicated among all stakeholders. Depending on the type of the organization, KPIs range from efficient use of resources to industrial plan efficiency. Performance improvement practitioners are particularly interested in KPIs for internal and external accountability such as value-based processing systems, efficient data and information flow among employees and departments, cost effectiveness, employee turnover, customer satisfaction, and annual sales performance. . .”

Josephine A. Larbi-Apau, Ph.D.
PERFORMANCE APPRAISAL

**Definition:** Performance appraisal is a structured and systematic process used by managers to provide feedback on an individual’s performance to encourage improvement. Sometimes it provides information for salary decisions, promotions, and improving job performance.

**Scope:** Informal performance appraisal occurs when management expresses an opinion about how well an employee is doing. This approach is often influenced by political, cultural, social, and interpersonal processes so that employees who are liked better stand a good chance of obtaining a positive appraisal. Formal performance appraisal is conducted to evaluate employee performance regularly and systematically. These two approaches often exist simultaneously in organizations.

Performance must be based on established criteria involving quality and quantity of work. Criteria need to be reliable, relevant, sensitive, and practical. In most organizations, the immediate supervisor conducts the performance appraisal; however, there are other approaches that are gaining in popularity. Among these are rating by a committee of several
supervisors, rating by the employee’s co-workers, rating by the employee’s subordinates, rating by someone outside the immediate work situation, self-evaluation, and rating by a combination of approaches. Examples of performance appraisal methods used by organizations include checklists; weighted checklists, graphic rating scales, mixed scales, forced-choice scales, behaviorally anchored rating scales (BARS), and critical incidents, which are written descriptions of a highly effective or highly ineffective performance. The human resource development literature is filled with positive techniques for conducting effective performance reviews. It also reports stories of anxiety, frustration, uncertainty, and ambiguity when performance appraisals are handled improperly.

**Workplace Implementation:** The performance improvement practitioner works with the human resource division and immediate supervisors of employees to inform and train them in the use of performance appraisal methods. The practitioner keeps abreast of performance appraisal best practices and shares them with the many individuals who have input into an employee’s performance appraisal. Practitioners play vital roles in creating the performance appraisal process, tracking annual feedback meetings, and coaching managers regarding follow-up to improvement plans. Their expertise extends from designing appraisal systems to evaluating performance appraisal processes.
360° APPRAISALS

Definition: A 360° appraisal is a comprehensive approach to performance appraisal that uses self-ratings, customer ratings, and ratings by others to evaluate the performance of an employee.

Scope: The approach has gained popularity over the years. It is reported that as many as one-quarter of U.S. organizations are now using it in order to obtain as much appraisal information as possible to make informed and ethical decisions about employee activities. It is similarly being used in human resource departments in the United Kingdom (UK) and in some European Union (EU) settings too.

This approach to appraisals provides performance feedback from bosses, peers, subordinates but also from others with whom the performer has had direct contact. The result is excellent information that can be used for such developmental purposes as identifying strengths, identifying career goals, creating career plans, coaching, mentoring, training, and identifying areas for general improvement. On the other hand, there are limitations imposed by administrative paperwork and the fact that outside raters have different expectations regarding what constitutes effective job performance and job accomplishment. This approach to appraisal is “made to order for the new, flatter, team-oriented organizations that emphasize total quality or high performance management, whereby input from many sources is crucial.”
Workplace Implementation: The performance improvement practitioner works with human resource and information technology personnel in facilitating the collection and analysis of 360° appraisals. The practitioner is also well-positioned to assist employees in identifying career goals and career plans and assist them in formulating individual development plans to include training and other work and job-related educational needs. The practitioner sets up coaching and mentoring experiences for the employee that will ultimately affect the entire organization’s growth and development plans and positioning priorities. Since there is great variability in the ratings provided by outside raters, the practitioner provides workshops and other training opportunities—especially those on-line activities like podcasts and webinars—to discuss expectations regarding performance and use role plays and simulations to concretize the practices.

Exhibit 14.4
The Performance Practitioner’s Voice: Feedback

THE PERFORMANCE PRACTITIONER’S VOICE

Feedback

“Feedback is crucial to professional development, and 360° surveys provide a good source of this valued input. Often, employees receiving 360° feedback say that the insights are crucial to their growth as leaders. Delivery of the results needs to be well-designed to enable employees to safely process how others perceive them. An amazing best practice calls for senior leaders to share their own 360°, with all its warts, and discuss what they learned and what actions they will take to improve. When leaders show
their vulnerability and their own need for development and growth, they send a powerful message regarding the organization’s commitment to continuous improvement. While it’s not always practical to secure a high response rate, if the 360° is an important evaluation, research suggests that six or seven responses are needed to generate reliable feedback. Too few responses may bias the results making the 360° less valuable.”

Bonnie Beresford, MBA
Vice President, Client Services
Capital Analytics, Inc.
Durham, North Carolina
USA

COMPETENCIES AND COMPETENCY TESTING

**Definition:** Competencies are those characteristics or capabilities of an individual that result in successful job performance. They enable performance and include knowledge, skills, abilities, behavior, accomplishment, performance outcomes, motivation, determination, and proper attitude for the tasks involved. Competencies are also organizational capabilities that align employee behavior and action with the organization’s vision, mission, goals, and business issues for strategic balance and optimal success. Competency testing examines the current job knowledge and skills that are necessary for present and future job performance through a
variety of testing modalities which give direct evidence of an individual’s ability and skill to perform a job to the best of one’s capabilities.

**Scope:** Competencies are “a cluster of related knowledge, skills, and attitudes that affects a major part of one’s job (a role or responsibility), that correlates with performance in the job, that can be measured against well-accepted standards, and that can be improved via training and development.” Specifically they involve customer satisfaction, communication and listening skills, resolving disputes, thinking, and using technology as appropriate. Rothwell identifies specific competencies associated with the roles performance improvement specialists play in human performance work, namely, the roles of analyst, intervention specialist, change manager, and evaluator. As organizations become more specialized, the need to develop the competencies of their employees will be a primary component to determining success and market share.

**Workplace Implementation—Competency Development:** Performance improvement practitioners play an important role in helping management develop competencies for jobs. They have strengths in job analysis, writing goals and objectives, describing behaviors, and their academic background and experiences position them to provide the leadership and development that is needed in handling the core and role-related competencies associated with human performance. They design and develop training protocols, help their organization develop a systems thinking approach to talent
management, plan scenarios and role play adventures on problem solving, coping, and consulting skills, identify knowledge and skill requirements of individuals and teams, select appropriate interventions, improve communication channels, evaluate individual and program results, provide feedback, and more.

**Workplace Implementation—Competency Testing:** It is important for organizations to determine the breadth of knowledge, skills, and abilities of their employees in this global and specialized world of work. It is particularly significant, and even crucial, in regulated industries such as health care, pharmaceuticals, energy, and others. Organizations test employees to determine and verify their competencies and capabilities to do the job for which they are hired.

Tests may be verbal; for example, customer service representatives or managers are often asked how they would handle a particular situation that impacts their unit. Tests may focus on motor or other skills; for example, a finish carpenter gives evidence of ability to build bookshelves and a mantle, a nurse, the ability to take a blood pressure, an architect, the ability to read a blueprint, and so on. Whatever testing mechanism is used, testing should be carefully constructed and planned for so that employees are treated fairly and appropriately.

To ascertain the validity of the testing, the appropriate job tasks and specific requirements must be in place. Directions must be provided, time
allotted must be reasonable, and cost factors must be considered. It is important for an organization to study its jobs to identify and assign weights to the knowledge and skills each one requires. Testing people for current job skills or for attributes or skills needed for future performance, helps the organization fulfill its strategic goals for talent management. Interviews, psychological profiles, intelligence testing, aptitude and preference tests, and the like, are also used in competency testing.

A word of caution should be exercised here. For those performance improvement practitioners without background in psychometrics, an industrial psychologist should be hired to work with measurement and to determine the validity and reliability of the testing mechanisms that are ultimately determined for use.

**ORGANIZATIONAL GROWTH INTERVENTIONS**

**Figure 14.3**

**Organizational Growth**

[Insert Figure 14.3 Organizational Growth here]

An organization is a group of people working together to pursue a goal, a desire or other areas of value that cannot be achieved by individuals acting alone. It is formally and consciously established and it allows people to "increase specialization and division of labor, use large-scale technology, manage the external environment, economize on transaction costs, and
exert power and control which increases the value that an organization can create.62

A company’s organizational growth is only as strong as its investment in talent. Organizations need talent who understand vision, mission, strategy, goals and culture. They need people who possess problem solving skills, interpersonal relationship skills, and performance understanding. They need personnel who possess the ‘big picture’ mindset within the framework of systems thinking and understanding. Just as these characteristics and functions make a major impact on the organization, the organization similarly makes an impact on its workforce by requiring an educated, highly motivated, technologically sophisticated talent mindset where self determination, self discipline, and ethical principles are recognized.

SUCCESSION PLANNING

Definition: Succession planning ensures that qualified talent will be available to fill job vacancies for future positions. It is a long-term plan and an integral part of a comprehensive career planning program primarily designed for managerial and executive positions.

Scope: Succession planning is a process of identifying key individuals by their productivity and work ethics, developing these individuals through formal training, coaching, and mentoring, and tracking this group through
job successes and creative dynamics, and their value-added leverage. In both large and small firms, succession planning is receiving considerable attention since turnover rates for upper level executives are on the rise. Retirement is a distinct possibility for many executives who are aging and no longer wish to assume the stresses their job requires. Then too there are losses to competitors or to death which makes succession the landscape of succession planning is changing rapidly with changes that will affect its future:

- A move from meeting promotion needs to meeting knowledge transfer needs
- An increased reliance on rethinking retirement and on retirees
- A transition from focusing on strategic succession to tactical, daily succession
- A greater integration of succession planning with career development

**Workplace Implementation:** After appropriate talent is identified, the performance practitioner engages individuals in training and development programs, in mentoring programs, participating in task forces, serving as gatekeeper while the organization’s succession plan is generated and acting as a change catalyst when the plan is implemented. The practitioner helps revise the plan as the organization undergoes transformation. The practitioner also plays an administrative role in helping the members of the
organization remain focused in their vision, mission, goals, and objectives and keeps them on track as they pursue their business and economic needs.

Exhibit 14.5
The Performance Practitioner’s Voice: Succession Planning

THE PERFORMANCE PRACTITIONER’S VOICE
Succession Planning

“Succession planning is important if you truly believe in the mission of your organization and department, and want the mission to continue even if the faces change. One aspect is knowledge management systems. Faculty or administrators who write a grant, for example, must ensure that electronic and paper documents are stored reliably and accessibly, in the event that someone else writes a grant the following year. A second important aspect is personnel recruitment and development. When we consider new hires, we evaluate their ability to fill all the roles in our department including leadership roles. We make certain that our faculty development program grooms people to take over in emergencies, and also for normal succession such as retirement.”

Mike Dosch, Ph.D., MS. CRNA
Chair, Nurse Anesthesia Program
University of Detroit Mercy
Detroit, Michigan
USA

CAREER PATHING
**Definition:** Career pathing communicates potential job advancement as employees move up the career ladder; it is a plotting of positions through which an organization moves an employee in preparation for future job opportunities.

**Scope:** Career pathing is viewed from two equally important and equally significant perspectives. From the organization’s perspective, career paths help determine an adequate supply of talent for a variety of jobs and from the individual’s perspective, a career path represents the myriad jobs the employee undertakes along the journey to successfully achieve career goals, advancements, and the fulfilling of personal goals and objectives for a better life style.\(^{64}\) While it is impossible to thoroughly integrate both perspectives in the design of career paths, a systematic career plan helps to close the gap between the two.\(^{65}\)

**Workplace Implementation:** The performance improvement practitioner is well-positioned to work with multiple approaches to implementing career paths within an organization. The practitioner can analyze paths previously followed and note business trends to establish job markers and job transitions; flow chart entry and exit points into the career path; identify required education, specialized training and skills, certifications, licenses, and so on; remain focused on the organization’s business needs since these determine workforce talent – number, kind, background, experiences, new mind sets; encourage feedback from coaching, mentoring, and counseling;
offer seminars and guide career discussions on the types of career paths available and supported by the organization; help employees adjust to the many changes that will result from the integration of career pathing.66

LEADERSHIP DEVELOPMENT

Definition: Leadership development is “the expansion of a person’s capacity to be effective in leadership roles and processes . . .to work together in productive and meaningful ways.”67 It prepares employees to cope with changes through prioritizing, overcoming obstacles and assumptions, and initiating action; it is necessary at all levels of an organization.

Scope: Leadership is the vehicle through which leadership development gets done. Leadership is a multi-dimensional experience and process; it is influencing and intentional with goal accomplishment as the objective. Successful leaders use different styles of leadership influenced by traits and skills and follower and situation characteristics. Successful leaders incorporate multiple intelligences—emotional, cultural, and social—as they ‘walk the talk’ of leadership. Their goal is to help employees become more effective and efficient in their jobs, more performance and accomplishment oriented, and more satisfied and self-directed as they contribute to organizational health and well-being. Books by Kouzes and Posner,68
Hesselbein and Goldsmith,69 Blanchard,70 Drucker71 and Schein72 provide information on the leadership challenge.

**Workplace Implementation:** New approaches to leadership and leadership development demand new skills for the performance improvement practitioner. The practitioner begins by thoroughly studying or reviewing the leadership process and the characteristics that determine the business needs of the organization. The practitioner centers the leadership development activities within an organizational context, alters learning methodologies as needed, changes leadership development from an event to a career process lasting a lifetime, creates opportunities to help everyone in the organization learn from their mistakes, and realizes that leadership and talent are everyone’s responsibility.73 Performance Support Tool 14.5 can be used as an individual or group activity to determine the alignment of an organization’s leaders in terms of their individual approaches to leadership.

**Performance Support tool (PST) 14.5**

**How Do Individual Managers Approach Leadership?**

Use this instrument as an individual and/or group activity to determine the alignment of an organization’s leaders in terms of their individual approaches to leadership.

**Directions:** The respondents will read each statement, check their level of agreement from 5=Strongly Agree to 1=Strongly Disagree, and explain why they selected the response. After everyone has completed the instrument, the facilitator may ask the group to share and discuss their responses. The
facilitator may also tally the responses for each statement to determine how closely aligned the leaders are in their approach to leadership.

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<tr>
<td>Strong</td>
<td>Agree</td>
<td>Not Sure</td>
<td>Disagree</td>
<td>Strong</td>
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**Nature Approach:**
People are born with leadership traits or develop them very early in life.

*I selected this response because:*

**Nurture Approach:**
Traits provide the foundation upon which abilities and behavior develop.

*I selected this response because:*
**Charismatic Approach:**

Traits, abilities, behaviors, situation are important, but visionary, inspirational, and empowering qualities are primary.

*I selected this response because:*

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**Situational Approach:**

Traits, abilities, behaviors, are important, but situational characteristics are primary.

*I selected this response because:*

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**EXECUTIVE DEVELOPMENT**

**Definition:** Executive development is the systematic development of an organization’s executives either through specific skill programs, managerial skill programs, or personal improvement programs that enhance senior management’s ability to create vision, values, and business strategies.

**Scope:** Executive leaders are the top managers, the Chief Executive Officers, Chief Financial Officers, Chief Information Officers, Chief Knowledge

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Managers, Chief Learning Officers, Chief Marketing Officers, Chief Sustainability Officers, presidents and vice presidents, and other top officials of organizations whose mission is to lay the foundation for the strategic planning, implementation, and monitoring of the organization. The road to the top is shifting in boundary-less organizations. “Once people reach the C-suite, technical and functional expertise matters less than leadership skills and a strong grasp of business fundamentals.” The chief executive is an actor who plays many roles on the organization’s competitive stage: a visionary who presents clear direction), a sponsor who champions new initiatives, a governor who controls functions and directions for evaluating effectiveness), a subject matter expert and thought leader for the company’s business), a teacher who teaches by example), a learner who models continuous learning), and a chief marketing agent who promotes the organization.

The next generation of leaders is poised to bring a new mind set to the corporate board room. At an earlier time the top manager’s biggest concern was handing the consequences of change; now, more worrisome and unsettling is uncertainty. Ralph Lauren who heads a major fashion empire today says, “I don’t design clothes; I design dreams.” Executive development is not about ‘designing clothes’; it is about designing dreams, about making innovation work and how to manage it, measure it, and profit from it. It is about leveraging foresight by capitalizing on emerging ideas.
and growth potentials and strategizing how to make them work before competitors do. It is about the wisdom to spot opportunity and recognize risk. It is about breaking the chains of organizational structure, and developing a corporate mind-set and corporate empathy where talent excellence is empowered, appreciated, and valued. The C-Suite champion must “manage the present, selectively forget the past, and create the future.”

**Workplace Implementation**: The performance improvement practitioner helps an organization generate an executive development plan or a formal program in several areas by linking development to vision, mission, goals, and strategies; integrating all organizational systems and aligning them with the products or services provided by the organization; matching educational activities for executives with the development needs of the organization; providing and monitoring coaching and feedback mechanisms; committing to continuous learning and knowledge creation for organizations; helping top managers develop and implement large-scale interventions focusing on the organization’s priorities, and other areas that help center executive leadership in an age of transparency.

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**MANAGEMENT DEVELOPMENT**

**Definition**: Management development, a level of leadership development, prepares manager’s to support the organization’s mission, strategy, goals,
objectives, and critical business issues. It fosters learning experiences that upgrade skills, knowledge, attitudes, and ways of thinking required in current and future managerial positions.

**Scope:** Leadership and management are complimentary terms: leaders create change while managers control complexity and produce short-term results. Kotter’s research shows leadership as establishing direction, aligning, motivating, and inspiring people; whereas, management involves planning, budgeting, organizing, staffing controlling and problem solving.

In addition to the critical knowledge and skills provided by an organization’s development programs, management development “requires personal commitment of the individual manager. In fact, taking responsibility for one’s own development may be the most important aspect.”

Learning experiences that promote management development either in-house or outside the organization may include inter and intrapersonal skills, technical, administrative, and conceptual skills, decision making, delegating, and self-management and networking skills, change management, coping, and trusting skills, clear thinking, logic, and listening skills, ethical choice skills, among others.

**Workplace Implementation:** There is a major role for the performance improvement practitioner to play in designing management development programs by reaching into the design principles section of one’s performance tool chest. The practitioner conducts a thorough needs assessment focusing
on current and future skill categories; establishes program objectives and performance objectives for all talent management programs; oversees internal and external programs supported by the organization; mentors employees in self-development programs; evaluates the programs formatively, summatively, confirmatively; fosters organizational culture and teamwork; embraces change, change management, and sets up role plays and other support mechanisms for those who are resistant. Above all, the performance improvement practitioner should be certain that the management development programs and practices put forth are inextricably linked to the organization’s strategic planning, thinking, and market positioning.

**SUPERVISORY DEVELOPMENT**

**Definition:** Supervisory development offers improvement opportunities to supervisors who are part of the organization’s management team while they oversee the work of operative employees.

**Scope:** Supervisors are involved in myriad and multiple tasks involving motivation, feedback, dispute resolution, alignment, communication, career assessment, and gate keeping. They “set objectives, plan work, assign people to do the work, and follow up on the results of the work.”

[^82]
Their competencies extend from analyzing and diagnosing complex situations, capitalizing on specialized knowledge and expertise to establishing a power base and networking connections.\textsuperscript{83}

**Workplace Implementation:** Supervisory personnel learn best from reality-oriented practice and concrete examples. The performance improvement practitioner works cooperatively with the talent management division to plan and design supervisory development activities. These collaborative efforts are based on:

- Ability to recognize qualifications and aspirations of supervisors participating in improvement activities
- Knowledge of core and key competencies of supervisors in various work assignments
- Sensitivity and empathy to roles and relationships imposed upon supervisors by the organization
- Realization that supervision is a continuously evolving role
- Flexibility, open-mindedness, and thinking outside the box \textsuperscript{84}

**NOTE TO EDITOR SECTION 3 EXHIBIT**

**Chapter 14: Human Resource Development (HRD) Citations**

1. DeSimone & Harris, 1998
2. VanTiem, Moseley, & Dessinger, 2001
4. Taleo Research, 2011
5. Oakes, 2006, April, p. 21
Chapter 14: Human Resource Development References


Although the word *communication* has multiple meanings, it is basically defined as the transfer of meaning between sender and receiver. The sender has an idea that is put into an email, memo, or conversation so that it can be sent to the receiver, thereby encoding and distributing the message. The transmitted idea is then received, whereupon the receiver interprets or decodes the message and provides feedback. The message is sent through channels selected by the sender, receiver, or an external source such as technology, geographic distance, and so forth.

A message may be oral using face to face, telephone, teleconference, webinars, and similar techniques, or written in faxes, emails, electronic bulletin boards, and so forth. Noise may filter, block, or distort the message. Feedback confirms the success or failure of the communication. In order for understanding to occur, the sender must provide a clear message, the channel must be free from noise, and the receiver must interpret the message and respond with appropriate feedback.

More broadly, communication is a process through which people, acting together, create, sustain, and manage meanings through the use of verbal and non-verbal signs and symbols within a particular context. An organization’s success depends on the effectiveness of its people working
together, supporting common goals and understanding critical issues, all of which is dependent on effective communication. Organizational communication is the process by which messages are sent, the monitoring of what types of messages are sent, the values associated with those messages, the amount of information conveyed, the rules and norms under which messages are sent, and organizational variables like structure and outcome measures that affect the processes.

Organizational communication is a wide-ranging field of study encompassing behavioral science disciplines such as anthropology, sociology, psychology and business specializations such as marketing, public relations, talent management, and leadership. Communication in various organizational settings “requires an open mind. . .willingness to take on ideas and explore new perspectives. . .is particularly challenging due to factors such as formal structures, cultural diversity, political, financial and time pressures, though efforts to improve communication practices can make a real difference to performance”.¹

This chapter will provide information on the definition, scope, and work implementation for the organizational communication interventions outlined in Figure 15.1. Listen carefully—the voice of the practitioner may also be heard commenting on a specific intervention.

[Insert Fig 15.1 Organizational Communication Interventions here]

Figure 15.1
Organizational Communication Interventions

COMMUNICATION NETWORKS

Definition: Communication networks are the patterns that form when messages move from sender to receiver; they illustrate the relationships and interactions between and among individuals and organizations and provide the infrastructure for both communication and collaboration. Networks are patterns of communication interactions. They are defined channels within an organization that expedite the timely transmission of messages to their intended receivers. Defined network channels add predictability to an organization by directing the access of information.

Scope: Communication networks facilitate the dissemination and collection of information, the coordination of work effort, and the achievement of goals. The networks are either formal or informal and flow top down, bottom up, or horizontally. They influence job performance and job satisfaction. Many smaller networks exist within the larger organizational networking system. For example, there are personnel and individual networks, and there are departmental networks. Individuals have studied network structures, formal and informal networks, communication roles of networks, descriptive properties, and network analysis.

Workplace Implementation: Performance improvement practitioners are well-positioned to solve problems that involve an organization’s
communication network. They begin by conducting a communication audit or analysis, which includes elements of communication, attributes of communication networks, and the organization’s management style and climate. Then they select the appropriate intervention based on the findings and outcomes:

- **System interventions**—change the direction or flow, amount, frequency, availability, and/or usability of exchanged information.
- **Interactive interventions**—influence direct or indirect communication patterns
- **Message campaign interventions**—create unifying themes that direct performance.

**INFORMATION SYSTEMS**

**Definition:** Information systems are any combination of information technology and people’s activities using that technology to support operations, management, and decision making. Information systems store, process, disseminate, and sometimes even analyze information for those who need it.

**Scope:** Information systems are made up of technology, documentation, data, and people. Technology including computer hardware, networks, and software are most commonly associated with information systems; however, even more important is the interaction among people; algorithmic processes
for collecting, storing, organizing, and retrieving information; instructions; and data. Use of information systems, if handled correctly, has increased over the past decade because information systems offer many advantages over other organizational communication devices. There are information systems dedicated to supporting management, decision making, and the processing of various business transactions, as well as keeping the C-suite informed. Among the many advantages are these:

- Immediate dissemination of information to employees, suppliers, customers, and any other constituents;
- Synchronous or asynchronous text, audio and visual communication unobstructed by geographic separation;
- Dissemination of the most up-to-date information;
- Training-on-demand;
- Integration of departmental data and information for executive decision making;
- Facilitation of collaborative teamwork unobstructed by geographic separation; and
- Multimedia communication.

Depending upon the decisions they are required to make, people at different levels of an organization require different information. An executive who engages in long-range strategic planning, for example, needs new product information and innovation mechanisms. Middle managers need
forecasting trends and budget analysis. First line managers need information for short-term operational decisions. Individual workers need information that affects daily work decisions.\(^5\)

**Workplace Implementation:** The introduction of information systems as an organizational communication mechanism carries with it many implementation considerations:

- **Security.** Sensitive information made available by and transmitted through information systems must be protected with passwords, encryption, firewalls, and virus protection.

- **Integration.** Information systems should ideally be integrated. However, when this is not possible, consideration should be given to making the various systems, as much as possible, compatible with other departments as well as with suppliers and customers.

- **Consistency.** An important consideration, especially in nonintegrated systems, is maintaining consistency to avoid the use of inaccurate or out-of-date information.

- **Policies.** Consideration must be given to ensure that information systems are used in a manner compliant with organization policies, code of ethics, and governmental regulations.

- **Ease-of-use and training.** Information systems bring with them new and sometimes more complicated methods of use and thus require
development of user-friendly interfaces and, when necessary, the appropriate training on their use.

- Dehumanization. Information systems should only be used as an organizational communication instrument when face-to-face communication is not possible or necessary. Examples where information systems, in isolation, are not advisable include employee terminations, diversity or safety training, and labor relations.

Performance improvement practitioners need to know how to enhance their own performance by developing a personal information system that makes it easy to store and share information and resources, communicate with clients and resources at a distance, make presentations, and facilitate information or training sessions. At the organizational level, the practitioner must remain up-to-date on new and improved information technologies and actively maintain a network of experts who can provide support during new system implementation or existing system upgrades or maintenance.

**SUGGESTION SYSTEMS**

**Definition:** Suggestions systems are planned procedures used by organizations to gather ideas from employees about improvements in organization effectiveness. Rewards are often provided for suggestions that bring positive results to the organization.
Scope: Suggestion systems allow employees to increase workplace responsibility and accountability by offering ideas for improving products, policies, procedures, practices, and services. Ideas generally focus on increasing productivity, fostering genuine employee relations, cutting costs, and improving working conditions especially in areas of safety, health, and wellness.6 “The objective of a suggestion program is to promote employee involvement, creative thinking, and continuous improvement.” 7 Successful suggestion systems include leadership commitment, clearly defined goals and objectives, carefully articulated reward systems, regular publicity, and immediate response to each suggestion.8

Workplace Implementation: A suggestion system is supplemental to regular channels of communication within an organization. The performance improvement practitioner opens lines of communication between the organization and employees by suggesting the implementation of a new suggestion system or by improving an existing one. The practitioner can also ensure that the system is uniquely structured to match the mission, vision, goals, and strategic thinking and planning within the organization.

A suggestion system committee representing all levels of the organization should be formed. The committee, under the guidance and capable direction of the performance improvement practitioner, establishes a procedural format for submitting, evaluating, providing feedback, and implementing suggestions. Once the suggestions are implemented, they
need to be targeted to the business needs, the performance needs, and the individual workplace needs of the organization. Performance Support Tool 15.1: offers guidance in implementing a suggestion system in the workplace.

**Performance Support Tool (PST) 15.1**  
**Planning a Suggestion System**

**Purpose:** Use this performance support tool to gather information, document the planning process, make decision regarding systems structure format, incentives, feedback, communication, etc., and evaluate the outcomes.  
**Directions:** Fill in the information for all the sections. Revise the questions or add new ones as needed to adapt this PST to a specific situation.

<table>
<thead>
<tr>
<th>1. <strong>Structure the Suggestion System</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Why is the suggestion system needed?</td>
</tr>
<tr>
<td>• How will a suggestion system contribute to upward communication within the organization?</td>
</tr>
<tr>
<td>• What will the suggestion system look like (submission, evaluation, feedback, implementation, maintenance)?</td>
</tr>
<tr>
<td>• Who is responsible for implementing and maintaining the suggestion system?</td>
</tr>
<tr>
<td>• When will the suggestion system be inaugurated within the organization?</td>
</tr>
<tr>
<td>• Where are the strategic locations for the system?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. <strong>Gather Input From Stakeholders</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Which population is being targeted?</td>
</tr>
<tr>
<td>• Which stakeholders have input?</td>
</tr>
</tbody>
</table>
• Who else might be beneficial contributors?

3. Procedural Format

• How will the suggestion system be used?
• Are written suggestions required? □ Yes □ No
• How is feedback given for rejection or acceptance of ideas?

4. Nature of Incentives

• Will the rewards be □ monetary □ non-monetary □ both?
• If the rewards are non-monetary, what type of incentives will be included?
• Will the incentives be commensurate with the benefits of the suggestion to the company? □ Yes □ No
• If yes, how will the benefit be established?

5. Driving Forces

• Who champions the establishment of a suggestion system?
• What communication barriers are the forces behind the suggestion system?

6. Communicate the Message

• How is the suggestion system marketed throughout the organization?
• How is the suggestion system advertised throughout the organization?
• How is the suggestion system integrated within the organization?
GRIEVANCE SYSTEMS

Definition: Grievance systems are formal or informal processes for communicating, reviewing, and resolving employee complaints. An employment-related issue is brought to the attention of the appropriate person or persons who considers the issue impartially and resolves it as quickly as possible.

Scope: Grievances have several causes and are often symptoms of underlying problems. Employees often cite wages, hours, or conditions of employment as the basis for a grievance. Some grievances are more serious and far more time-consuming than others, for example, discipline cases and seniority problems including promotions, transfers, and layoffs are problematic.
procedures are in place to handle grievances promptly and those procedures and forms for airing grievances are user friendly. Generating process flowcharts for handling grievances; analyzing, designing, repurposing, and piloting grievance forms’ designing and developing training programs, information packets, and/or performance support tools ensure that employees and supervisors are thoroughly familiar with grievance procedures and policies. Finally, the performance improvement practitioner works with management to keep channels of communication open which support a healthy organizational climate that fosters productivity, quality, and continuous improvement.

**DISPUTE RESOLUTION**

**Definition:** Dispute or conflict resolution involves alleviating a disagreement between two or more people who share differing views.

**Scope:** The literature reports three types of conflict:

1. **Task content conflict**—disagreements about the actual tasks being performed by members of an organization;
2. **Emotional conflict**—awareness of interpersonal incompatibilities among people working together on a task, including negative emotions and dislike of people involved in conflict;
3. **Administrative conflict**—awareness by people involved that there are controversies about how task accomplishment will proceed)¹⁰
A moderate amount of task content conflict is critical to effective group functioning; whereas, administrative conflict and, more so, emotional conflict can result in group dysfunction. Conflict is categorized at the individual level and at the group level. Individual or intrapersonal conflict occurs when the locus of the dispute is the individual. Interpersonal conflict occurs between two or more individuals.

**Workplace Implementation:** The performance improvement practitioner should keep eyes and ears open to spot potential signs of conflict within the organization, monitor the work climate to detect early warning signs, take time to find out whether the real cause of the conflict is individual or group generated, see who is involved, and speculate on the potential effects the conflict may have on individuals, groups, and the organization. The practitioner offers dispute resolution training that focuses on developing the communication skills needed to resolve gridlock in relationships. Because the goal of dispute resolution should be to resolve, rather than win, communicating the process should never be hostile or negative; it should be clear, direct, and as open as possible. Table 15.1 highlights some useful tips for successful dispute resolution.

**Table 15.1**  
**Dispute Resolution Do’s and Don’ts**

<table>
<thead>
<tr>
<th>Do. . .</th>
<th>Don’t. . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ask for feedback and reflect on</td>
<td>Use “You should/shouldn’t”</td>
</tr>
<tr>
<td>What you think the other person is saying</td>
<td>Statements</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>Give nonverbal supportive messages</td>
<td>Use overly long statements</td>
</tr>
<tr>
<td>Make sure the problem is clear, concise, and specific</td>
<td>Use putdowns and sarcasm</td>
</tr>
<tr>
<td>Express problems as soon as you are aware of them</td>
<td>Interrupt others in mid-sentence</td>
</tr>
<tr>
<td>Admit when you are wrong</td>
<td>React defensively</td>
</tr>
<tr>
<td>Argue only one point at a time and resist temptation to get off the subject</td>
<td>Fight about an issue as a way to avoid a more serious issue</td>
</tr>
<tr>
<td>Keep discussions private when appropriate</td>
<td>Ignore the statements of others</td>
</tr>
<tr>
<td>Create neutral atmospheres when mutual agreements are more likely to be reached</td>
<td>Act in a commanding or threatening manner</td>
</tr>
<tr>
<td>Express facts and feelings regarding the problem ensuring everyone has an equal chance to speak</td>
<td>Respond to an unfair comment with an equally unfair remark</td>
</tr>
<tr>
<td>Back up from solutions to needs</td>
<td>Use double messages</td>
</tr>
<tr>
<td>Depersonalize the argument</td>
<td>Hold resentments</td>
</tr>
<tr>
<td>List possible solutions, being as creative as possible and considering all solutions</td>
<td>Express more anger than you really feel just to intimidate the person</td>
</tr>
<tr>
<td>Develop specific actions that have a good chance of being successful and that are developed from shared input</td>
<td>Give up before the issue is resolved just to keep peace</td>
</tr>
</tbody>
</table>
SOCIAL MEDIA

Definition: Social media is a “range of Web 2.0 tools such as blogs, wikis, and RSS feeds by means of which people create and disseminate content to individuals and groups.”

Scope: Social media “typically refers to the many relatively inexpensive and widely accessible electronic tools that enable anyone to publish and access information, collaborate on a common effort, or build relationships. . .it is about participation and. . .interactions between people.” Social media as an organizational communication mechanism is represented by discussion forums, blogs, wikis, podcasts, videos, and pictures. Each of these tools uses a communication platform called Web 2.0 that enables anyone to create information on line. Typical social media tools are:

- Facebook: A social utility that connects people with friends and others who work, study, and live around them.
- Twitter: A free social networking and micro-blogging service that enables its users to send and read messages known as tweets.
- LinkedIn: A business-oriented social networking site.
- Blog: A type of website, usually maintained by an individual with regular entries of commentary, descriptions of events, or other material such as graphics or video.
Wiki: Wiki, short for “quick”, is a website that allows the easy creation and editing of any number of interlinked web pages via a web browser using a simple markup language.

Digg: A social news website.

Flickr: An on-line photo management system.

Wikipedia: Website for collaborating and sharing knowledge.

Discussion Forums: A place to pose questions with answers and comments able to be viewed by all.

**Workplace Implementation:** The performance improvement practitioner utilizes information about social technology and interfaces to help the organization and its employees gain knowledge about, and skill sophistication in, the use of social media tools. The practitioner assists the organization in incorporating social media into the everyday life of the organization. The practitioner needs to remain current with advancements in software technology that enable social connection. The use of social media gives an organization more ways to work collaboratively with other organizations, accelerates productivity, and helps an organization develop a culture clothed in social technology.¹³

[Insert Exhibit 15.1 Practitioner’s Voice Social Media here]
Social Media

“Social media has an amazing potential to increase knowledge sharing among employees. Informal learning can be expanded from the proverbial “water cooler” talk to rapid global response through the use of social media tools. As any hobbyist can attest, a simple post to a content-specific Internet forum can yield tremendous information gains. Social media can increase the scope and speed of such information transfer. Organizations must cautiously approach the use of such tools. While the potential productivity gains cannot be ignored, social media is inherently “social”, and may actually contribute to lower productivity. In addition, security concerns, such as leaked information, must be carefully considered before incorporating social media tools in the workplace.”

Jason Paul Siko, M.Ed., M.S.
Science Educator
Clarkston High School
Clarkston, MI.
USA

Chapter 15: Organizational Communication Citations

1 Blundel & Ippolito, 2008, p. 18
2 Gibson & Hodgetts, 1986, p. 228
3 Swenson in Langdon, Whiteside, & McKenna, 1999, p. 92
Chapter 15: Organizational Communications References


CHAPTER 16
ORGANIZATION DESIGN AND DEVELOPMENT

The onset of the Information Age has forced industry to continuously seek new and innovative business practices to remain competitive. This has compelled organizations to examine the way they do business and to restructure their organizations through organization design and development interventions.

This chapter provides information on definition, scope, and work implementation for the organization design and development interventions outlined in Figure 16.1. Listen carefully—the voice of the practitioner may also be heard commenting on a specific intervention.

Figure 16.1
Organization Design and Development Intervention Components

Definition and Scope
Organization design and development is a process that examines the operation and management of an organization in an effort to reshape the organization if necessary to ensure efficiency and competitiveness.
Organization design and development focuses on aligning all the aspect of the organization from structures to roles with the organization’s business strategy.

One process for organization design and development is Galbraith’s STAR model which is both organization and people focused. STAR begins by examining the organization’s strategy or direction and then moves on to examine the organization’s structure to locate the decision making power, processes to determine information flow, rewards to examine motivation and align the goals of employees and organization, and finally human resource policies to determine the impact on employee attitudes and skills.

Organizational operations are affected by both internal and external factors. Political environments, the economy, technology, and social norms all have an impact on how an organization does business. Successful organization leaders incorporate a variety of interventions to address these factors and to maintain an edge in their respective markets. The intervention categories frequently used to affect organization design and development fall into three areas: empowerment, organizational pro-action, and organizational values.

**EMPOWERMENT**

Empowerment means enabling people to work to their highest levels by believing in them and establishing processes and systems that support their
efforts. Workers should be empowered to think, overcome obstacles, and resolve problems. Empowerment interventions encourage all employees to do their best to continuously improve the workplace by identifying situations that create challenges and looking for better ways of doing things. Empowerment interventions discussed here are based on team strategies, virtual teams, and problem solving.

TEAM STRATEGIES

Definition: A team is a group of people working together as a cohesive unit to accomplish a common goal. Team strategies are the methods team members work out in advance for accomplishing the objectives at hand.

Scope: Teaming is based on the philosophy that people work better and more creatively in groups than they do alone. Team participation leads to greater commitment to common goals and action plans. It focuses on trust, collaboration, openness, and other interpersonal factors. Teamwork is the ability to work together toward a common vision and to direct individual accomplishment toward organizational objectives. It is the fuel that allows common people to attain uncommon results.

Committing to a team approach is affected by team characteristics such as composition, size, norms, cohesiveness; the nature of the task, team goals and task interdependence; the environmental context within the organizational culture, and the external environment. Teams work together
through decisions, problem solving, and work accomplishment either independently or in interaction with peers. Diversity of team members, such as age, gender, job assignment, job level, and so forth, are often an advantage because team thinking is more divergent, ideas are more innovative, and outcomes more robust. The result is translated into satisfied workers who produce quality products and who take pride in their work.

**Implementation:** The performance improvement practitioner assists the team through the forming stage where the team becomes acquainted and learns to trust one another. In the storming stage the team manages its disputes. In norming, the team aligns responsibilities and commits to goals. Performing leads to actualizing the work plans while adjourning leads to closure.

The practitioner is positioned to work with teams in setting clear performance objectives, documenting procedures and methods, providing effective coaching and reinforcement, training on interpersonal relationships, and infusing change management techniques to keep the team working through times of constant change.

**EXHIBIT 16.1 The Performance Practitioner’s Voice Teams**
THE PERFORMANCE PRACTITIONER’S VOICE

Teams

“A choice to implement teams, especially in a multinational corporation, is not entered into haphazardly. As an intervention sponsor one must understand the time, effort, financial support and commitment that will be required to effectively implement teams and achieve a sustainable competitive advantage through the process and into the future too. Team based performance improvement initiatives require a comprehensive design of sub-interventions that range from broad goals to invasive performance management systems. Effective designs must include instructional and non instructional performance support interventions and take a systems approach to tackle performance issues at four organizational levels: individuals, processes, work groups, and business units. Self-directed work teams must have a purpose and specific objectives that compliment the organization’s mission overall. A compelling purpose allows people to commit effort in service of issues larger than themselves and increases the probability of team and organizational goal achievement.”

David Shall, Ph.D., CSP, CRSP
Executive Vice President
Choctaw-Kaul Distribution Company
Detroit, MI.
USA

Performance Support Tool 16.1
Evaluating Team Attitudes

**Purpose:** To help the performance improvement practitioner and the team members determine how team members feel about their team and the job they are doing.

**Directions:** Use this survey to acquire information about how team members feel about their team and the job they are doing. Areas with lower scores indicate potential areas for team-building intervention. Use the following scale to respond to each statement below as it applies:

<table>
<thead>
<tr>
<th>3 – Agree</th>
<th>2 – Don’t Know</th>
<th>1 – Disagree</th>
</tr>
</thead>
</table>

### 1. Self-Perceptions

<table>
<thead>
<tr>
<th>Statement</th>
<th>Agree</th>
<th>Don’t Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. I communicate with members of my team regularly.</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>b. I contribute to team discussions.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. I participate in team activities.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. I work well with the other members of my team.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. I respect the members of my team.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. The members of my team respect me.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. I value the contributions of other team members.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
h. The other team members value my ideas.

<table>
<thead>
<tr>
<th>2. Perception of Team Members</th>
<th>Agree</th>
<th>Don't Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Everyone on my team contributes to its success.</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>b. Everyone on my team contributes to problem solving.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. My team works well together.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Everyone on my team is shown respect.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Everyone on my team participates in team discussions.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Ideas</th>
<th>Agree</th>
<th>Don't Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. My team has good ideas.</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>b. All ideas have potential.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. All ideas presented are considered and discussed.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. There are no bad ideas.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4. Team Work

<table>
<thead>
<tr>
<th></th>
<th>Agree</th>
<th>Don't Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>2</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

a. Everyone on my team listens with an open mind.

b. All ideas have potential.

c. Everyone on my team is encouraged to participate.

d. No one monopolizes the team discussions.

e. Team members work together to solve problems.

5. Group Dynamics

<table>
<thead>
<tr>
<th></th>
<th>Agree</th>
<th>Don't Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>2</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

a. My team is diverse in age.

b. My team is diverse in gender.

c. My team is diverse in ethnicity.

d. My team is diverse in knowledge.
<table>
<thead>
<tr>
<th></th>
<th>Agree</th>
<th>Don’t Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Progress</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>a. My team works efficiently most of the time.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. Work in my team is completed on time.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>c. Recommendations from my team have been implemented in the organization.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>d. My team consistently achieves success.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>e. My team does not always succeed in reaching our goals.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>f. My team solves problems well.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>g. We have achieved more as a group than we would have working individually.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>h. Management has denied some of our recommendations.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 7. Satisfaction

<table>
<thead>
<tr>
<th></th>
<th>Agree</th>
<th>Don't Know</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>b.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td></td>
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<td>g.</td>
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</tr>
</tbody>
</table>

**VIRTUAL TEAMS**

**Definition:** A virtual team is "a group of individuals who work across time, space, and organizational boundaries with links strengthened by webs of communication technology."³

**Scope:** Virtual teams interact electronically; from geographically different sites to achieve common organizational goals. Virtual team members “have
complementary skills and are committed to a common purpose, have interdependent performance goals, and share an approach to work for which they hold themselves mutually accountable.  The many reasons for fostering virtual teams: demands of globalization, the 24/7 workday-into-week, competitive and responsive flexible organizations, environments which necessitate inter-organizational cooperation, and increasing technological sophistication, among others.

Virtual teams are supported by hardware such as telephones, PCs, modems or equivalent, communication links, and local area networks and by software including electronic mail, meeting facilitation software, time management systems, and collaborative software suites, among others.

**Workplace Implementation:** The performance improvement practitioner seizes an opportunity to tap efficiency and team synergy uncommon in traditional teaming. The performance improvement practitioner works with others in the organization to explain the purpose of virtual teaming and engages teams with the varieties of virtual communication tools available on the marketplace. Finally, the practitioner assists virtual teams to work in collaboration, coach others to be productive talented partners, and provide professional assistance when it is asked for and necessary.

**PROBLEM SOLVING**
**Definition:** Problem solving is the structured process of defining a problem, gathering data about the situation and causes, considering alternatives, making choices, evaluating the new situation, and making adjustments based on evaluation.

**Scope:** A successful problem solving intervention is an outcome of empowered teams and empowered individuals working in a healthy and high-performing organization. As an intervention, problem solving focuses on understanding the problem and its causes. Jonassen’s research classifies problems using this typology: “. . .puzzles, algorithms, story problems, rule-using problems, decision making, troubleshooting, diagnosis-solution problems, strategic performance, systems analysis, design problems, and dilemmas.” Since problems differ in structure, complexity, and context, they generate multiple kinds of problem solving processes.

**Exhibit 16.2 The Performance Practitioner’s Voice: Problem Solving**

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**THE PERFORMANCE PRACTITIONER’S VOICE**

**Problem Solving**

Problem solving is a high-order cognitive skill. It entails examining a problem from multiple perspectives and discovering alternative solutions. A problem can be viewed as either a challenge or an opportunity. When a problem is viewed from a different perspective or through a different lens, the outcome may be different. Since individuals use multiple frames of reference to tackle problems, a solution generated by an individual may differ from a team-generated solution. The process of problem solving does not always follow a linear pattern. It is helpful to stand back, reflect
Workplace Implementation: Problem solving is usually structured to proceed in stages; however, the actual step-by-step approach can be varied to meet the needs of the situation at hand. Common steps in the problem solving process are these:

1. Explore the problem issues and define the problem.
2. Gather information and intelligence on the situation and causes.
3. Choose criteria for judging the information and determine their relative importance.
4. Explore an ideal solution and generate possible realistic options.
5. Evaluate the realistic options and choose the most appropriate.
6. Implement the choice and evaluate the decision.
7. Adjust implementation based on evaluation.

The performance improvement practitioner works with individuals and teams before and during the problem solving process by using methods like
brainstorming, brainwriting (creative problem solving technique with ideas recorded by their originator and then passed on to the next person who uses them as triggers for generating their own ideas), and affinity diagrams (group process tool that organizes ideas into their natural relationships), among others. Performance Support Tool 16.2 can be used to guide the seven step process indicated above.

**Performance Support Tool (PST) 16.2**

**Problem Solving Worksheet**

**Directions:** Use this performance support tool to follow seven steps to problem solving.

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Describe the problem.</td>
<td>The problem is. . .</td>
</tr>
</tbody>
</table>
| 2.   | Define desired state and current state, and delineate the gap. | Desired state:  
Current state:  
Gap: |
3. Analyze information and equipment, individual capacities, and motivation to determine causes.

| Information and equipment: |
| Individual Capacities: |
| Motivation: |


| Rank Results: |

5. Select and plan solution to alleviate problem and minimize cause.

| Action plan: |

6. Implement plan (timeline, steps, responsibilities, measurable outcomes).

| Timeline: |
| Steps: |
| Responsibilities: |
| Measurable outcomes: |
7. Evaluate solution (measure outcomes and determine return on investment)

<table>
<thead>
<tr>
<th>Measure outcomes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine return on investment:</td>
</tr>
</tbody>
</table>

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**PRO-ACTION**

Pro-active organization design and development interventions provide direction that may create radical change, which can be stressful even if the change is warranted. Before implementation, senior management should thoroughly consider interventions. Change efforts need strong commitment by senior level champions who are prepared to see the change process through successfully. Change planning needs to involve participative cross-functional and cross level approaches. Organizational pro-action interventions include strategic planning, environmental scanning, appreciative inquiry, outsourcing, benchmarking, balanced scorecards and dashboards.

**STRATEGIC PLANNING**

**Definition:** Strategic planning is the process by which an organization envisions its future and develops the necessary goals and procedures to achieve that vision.
**Scope:** Strategic planning is the core intervention of organizational design and development. Successful strategic planning is at the heart of an organization and reflects the essence of what the organization does. When organizations change, strategic planning provides direction to employees and serves as a guide to organizational purpose. This is expressed in terms of the mission or purpose of the organization and the vision or how the organization will appear when it achieves success. To garner support and achieve success, a strategic plan must be easily communicated and must apply to the entire organization.

Strategic planning creates the blueprint for an organization. It documents directional goals and performance objectives based on internal capabilities and competencies and external environmental conditions. Strategic planning, as an intervention, provides direction, focus, and the organizational target. Strategic plans are usually developed for a five year time period; however, given the swiftly changing external environment in which organizations function, the plans should be reviewed and up-dated yearly.

**Workplace Implementation:** Performance improvement practitioners support strategic planning by using their expertise in systematic and systemic thinking and helping the organization identify its vision, mission, values, and critical issues. They can help gather data that are crucial to the strategic planning process by conducting a SWOT Analysis of strengths,
weaknesses, opportunities, and threats; an internal scan of the organization including the organization’s culture, talent management, resources, and capabilities; and an external scan based on trend analysis to identify future directions.

ENVIRONMENTAL SCANNING

Definition: Environmental scanning is a strategic planning technique for monitoring trends in the external environment of an organization. These trends could include any political, economic, technical, social, national, or international factors that affect the operation of an organization.

Scope: The strategic planning process provides opportunities for organizations to tune into their internal activities and functions as well as carefully scrutinizing the external environment. Environmental scanning should be an on-going activity since analyzing the environment contributes to understanding which factors threaten the organization and what opportunities can be observed and maximized.

Environmental scanning provides management with much of the information needed to develop and implement its strategic plan. The process focuses decision making on trends and issues that may have an effect on the organization’s future. It can also help determine the education and training needs of current or future employees and assist in developing plans to meet those needs. Internal and external scanning helps both
employees and management to understand the inner and outer aspects of the organization’s policies, procedures, and practices. The approach to scanning should be thorough and balanced, including the organizational level, the people level, and the work level.

**Workplace Implementation:** Performance improvement practitioners explore the internal categories of environmental scanning by considering such areas as state-of-the-art and alternatives, relationships between and among individuals including communication patterns, effective utilization of resources, opportunities for dialogue and idea exchange regarding political roles, and the effectiveness and efficiency of organizational structure. External categories such as political, economic, social, technological, and demographic trends should be evaluated as well. Environmental scanning empowers every employee to be observant and suggests changes that could have a positive effect on the organization.

**APPRECIATIVE INQUIRY (AI)**

**Definition:** Appreciative Inquiry (AI) is both a philosophy and a process to determine what is working successfully within an organization. It is systematic in approach and it brings out the best in people, in the processes that are crucial to their work, and in the dynamic environment in which accomplishment is primary.
**Scope:** Choosing a glass that is half full versus half empty is at the heart of the positive practice of Appreciative Inquiry. “By analyzing positive factors instead of focusing on problems, causes, and gaps, Appreciative Inquiry focuses on the achievement of the best possible outcomes and practices. . .of what is successful and working well.”

By asking positively-framed questions, the 4D framework of discovering what is working well in an organization; of dreaming about optimal performance and outcomes; of designing new and user-friendly systems for the organization; of destining or shaping, implementing, and sustaining potential growth, your mindset is positioned for a synergistic culture-based approach to success. The four phases of the AI framework are inextricably related so that the output of one phase becomes the input for the next.

**Workplace Implementation:** Within the Appreciative Inquiry framework, the performance improvement practitioner views the organization as high performing and capable, with all policies, procedures, and practices aligned with mission, goals, and strategies, and where optimal performance is achievable. By working with executive and managerial personnel, the practitioner becomes the organization’s Appreciative Inquiry spokesperson; provides examples of practical applications from a variety of situations, industries, and nonprofits; implements and monitors the 4D process; and can orchestrate the positive approach to change that will result. A useful
and practical framework can be drawn between Appreciative Inquiry and evaluation practices; this should be fertile territory for the performance improvement practitioner’s involvement.

OUTSOURCING

**Definition:** Outsourcing is the process of contracting out to another organization or transferring responsibility for an area of work that had been performed inside the organization to a source outside of the organization.

**Scope:** Most operational, nonstrategic human resource functions are outsourced. In organizations of 3,000 or more employees, nonstrategic functions such as wellness programs, reference checking, benefits and pension administration, and payroll processes are frequently outsourced. Employee-related outsourcing functions may include pre-employment testing, applicant screening, interviewing, equal employment opportunity (EEO) tracking, libraries, tracking continuing education units (CEUs), among others.

The drivers of outsourcing include downsizing or rightsizing, rapid growth or decline of business, globalization, increased competition, restructuring, and the inability of training arenas to exhibit value. The key to outsourcing success “. . .is to determine which functions to outsource, the extent to which they should be outsourced, and which ones to keep in-house.” The implications involved are quite significant both to the
organization’s bottom line and to internal and external worker-organization relationships.

**Workplace Implementation:** The performance practitioner assists the executive and managerial levels of the organization to be clear in their expectations and what they want to achieve from an outsourcing relationship. Helping key leadership determine what to outsource and the corresponding extent of outsourcing are crucial to maintaining those parts of the business of the organization that are most important to the organization as a whole. The practitioner is also positioned to evaluate the potential benefits of outsourcing and select and use appropriate external resources.

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**BENCHMARKING**

**Definition:** Benchmarking is the systematic process of comparing an organization to other organizations for purposes of identifying better work methods and determining best practices.

**Scope:** Through benchmarking, organizations compare themselves to the best industry practices in their field and sometimes outside of their field. Understanding best practices helps the organization’s leadership identify what must be changed within an organization to achieve its vision. Benchmarking helps define customer requirements, establish effective goals and objectives, develop true measures of productivity, and identify education and training needs for current and future employees. While
business processes and business practices are most often benchmarked, other areas such as physical products produced, services provided, or levels of customer satisfaction can be benchmarked. 13

**Workplace Implementation:** The performance improvement practitioner works with executive and managerial leadership in developing the benchmarking process steps for the organization through deliberate planning, careful analysis, well-conceived integration of findings, and successfully implementing action plans.14

The performance improvement practitioner also evaluates and monitors the benchmarking process. Performance Support Tool (PST) 16.3: Benchmarking Planner is a useful reality check while planning the benchmarking challenge.

**Performance Support Tool 16.3**

**Benchmarking Planner**

**Directions:** Complete the following questionnaire as a “reality check” while planning the benchmarking project.

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have the parameters of the benchmark study been determined?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Has a champion been identified?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Has a self-assessment been completed to understand the current situation within the organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have high-performing organizations been identified?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have partnership sharing opportunities (such as benchmarking networks) been investigated?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Has the benchmarking questionnaire been developed?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**BALANCED SCORECARD (BSC)**

**Definition:** The Balanced Scorecard (BSC) is a management tool that measures and manages an organization’s progress toward strategic goals and objectives.

The Balanced Scorecard is also called a performance measurement and management system and a strategic framework for action. It incorporates financial indicators with perspectives from the customer, internal business processes, and learning and growth.

**Scope:** Objectives and performance indicators are developed for each perspective and data are collected and analyzed. Kaplan and Norton, the architects of the Balanced Scorecard, have this to say: “The BSC provides managers with the instrumentation they need to navigate to future competitive success. . . .translates an organization’s mission and strategy into a comprehensive set of performance measures that provides the framework for a strategic measurement and management system. . . .”

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<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have standardized guidelines for the interview been developed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are existing benchmarking strategies available for adaptation or will it be necessary to create a unique strategy for the organization?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is it understood what is confidential and what should be discussed only in the context of the benchmark study and not with external sources?</td>
<td></td>
<td></td>
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</tbody>
</table>

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**Workplace Implementation:** The performance improvement practitioner may not be well versed in the “hard” financial measures of the Balanced Scorecard; however, the “soft” quantifiable operational measures provide opportunities for involvement in the Balanced Scorecard process. The practitioner monitors how the organization is perceived by its customers and their likes and dislikes, the areas in which an organization must excel and grow in order to maintain competitive strength, and areas in which an organization must improve and add value to maintain brand recognition and sustainable growth. The practitioner is positioned to assist the organization in developing goals and appropriate measures for each of the four perspectives.

**DASHBOARDS**

**Definition:** Dashboards are business intelligence tools that display performance indicators, present data and information at both summary and detailed levels, and assist decision makers to act on the information presented in the dashboard.

**Scope:** Many different businesses benefit from dashboards. The information is carefully selected to meet the information needs of the organization, useful in decision making and thoughtful reflection, and actionable to permit the organization to move forward using appropriate trend analyses and forecasting tools.¹⁶ "Modern dashboards meet business
needs in a practical and actionable ways when they can give quick snapshots of the big picture on one hand while offering detail on the other. . .dashboards must have as much business brain as technological muscle."17

Dashboards use a variety of data visualization tools like charts, grids, gauges, and maps to display data in a visually effective, user-friendly, efficient, and sophisticated manner with clarity and immediacy. An effective business dashboard is simple, instructive, and aesthetically appealing. It communicates with clarity and keeps distractors to a minimum. It organizes business information to support meaning and use. It incorporates the latest research in visual presentation of information.18

Performance dashboards are becoming the preferred way for busy executives to monitor key business metrics at a glance. They "translate the organization’s strategy into objectives, metrics, initiatives, and tasks customized to each group and individual in the organization. . .they let business people monitor critical business processes and activities, analyze the root cause of problems, and manage people and processes to improve decisions, optimize performance, and steer the organization in the right direction."19

**Workplace Implementation:** The performance improvement practitioner works with the information technologist in designing dashboards that have direct relevance to critical business activities. The practitioner customizes
the dashboard, assures easy administration, ensures plenty of support so that the dashboard can be efficient and trouble-free, keeps the design focused on business critical information, and limit the information to what is essential and necessary.\textsuperscript{20} The practitioner with graphic skills designs dashboards that show effective color use and have a visually appealing interface.

VALUES
Organizational values interventions help people succeed by supporting the “right” decisions; maximizing the significance of employee, supplier, customer, and client; encouraging workers to think globally; and treating people with respect and trust. Organizational values interventions include culture, diversity and inclusion strategies, globalization, localization, social responsibility, ethics, and decision making.

CULTURE/ORGANIZATIONAL CULTURE
Definition: Culture is a shared system of values, beliefs, and behaviors that characterizes a group or organization.

Scope: In business, culture is demonstrated in the way that things are done. Culture often originates from an organization’s mission and vision. It consists of the key values of the organization and the practices that support those values. Culture is pervasive; it virtually shapes and controls employee
behavior. Most of culture is unwritten and often is not discussed, except informally among close friends and colleagues. Culture change is the alteration or modification of an organization’s values, beliefs, or behavior system. Culture interventions redefine, clarify, emphasize, or create desired practices within a group. The goal is to influence both employee behavior and performance output.

Organizational culture is made up of the collective human behavior of employees, as witnessed through decision making, speech, writing, and actions that are based on mutual acceptance of values, myths, heroes, symbols, and artifacts. Organizational and individual values are the basic concepts and beliefs, the heart of culture. They are evidenced in standards, such as “if you do this, this will happen.” Heroes are the role models, the visionaries, the memorable people who “made it.” Representative organizational heroes include Thomas Edison as an inventor, Jack Welsh as an Information-Era chief executive officer, Alfred Sloan as a crafter of corporation structure, and Gabrielle “Coco” Chanel who revolutionized fashion with her many rows of pearls, little black dress, timeless, classic suits and accessories, and, of course, her fragrance Chanel No. 5.

Rites and rituals refer to the methods of celebrating successes, holidays, and customs relative to daily organization life, such as whether employees drink coffee in groups gathered around lunch tables or individually at their own desks. The wearing of academic regalia for
commencement exercises celebrates rites and rituals. *Symbols* are the posters, awards and plaques, lobby pictures and decorations, and organizational logo. And, finally, *Artifacts* include the annual report, newsletters, brochures, and “giveaways,” such as coffee mugs and ball point pens.22

**Workplace Implementation:** The performance improvement practitioner should be quite familiar with cultural issues since culture is an important component of The Performance Improvement/HPT Model. The practitioner is capable of assessing the culture and identifying strengths and limitations. The practitioner’s background in change management provides the experiences necessary to lead or support any cultural improvement initiatives. Furthermore, the practitioner leads efforts to conduct a culture audit of the organization. This is an analysis procedure that focuses on workers, work processes, and the workplace, and answers the question “How do we think about things or do things in our organization?”

**DIVERSITY/INCLUSION STRATEGIES**

**Definition:** Diversity refers to the physical and cultural human differences of age, ethnicity, gender, physical attributes, race, and sexual/affectional orientation. It also includes secondary dimensions like educational background, marital status, religious beliefs, health disabilities, and work experience. Inclusion refers to the degree to which the culture respects and
values diversity and is open to anyone who can perform a job, regardless of their diversity attributes.²³

**Scope:** Diversity is an element of organizational culture. Diversity means differences in employees’ ethnic, cultural, and religious backgrounds; education; values; attitudes; and gender. A diverse workforce enhances creative output because people are able to contribute from their varied experiences. Diversity can be viewed as an organizational asset that should be used to the fullest.

Maximizing the unique perspectives of individual employees from diverse backgrounds is a tremendous, potentially untapped resource. Diversity and inclusion strategies build productivity, innovation, and creativity and ensure business success. They are effective and sustainable when they:

- Directly align with and help achieve key business strategies and plans,
- Measure progress in ways that the Chief Executive Officer agrees are important to the business,
- Have the full support and engagement of the CEO and senior executive team, and
- Take account of your company’s organizational culture and readiness and capacity for change.²⁴

**Workplace Implementation:** Performance improvement practitioners lead diversity initiatives. They create teams and determine interventions that are
meaningful and specific to affect change in the organization. They track accomplishments against goals and expected outcomes; help the organization determine its diversity quotient, plan and deliver diversity training, and monitor implementation and follow up. Diversity requires sensitivity to people issues and the capacity to understand data and the impact of information on planning and reporting. Performance Support Tool 16.4: Diversity Organizational Assessment can assist practitioners in determining their organization’s diversity quotient.

**Performance Support Tool (PST) 16.4**

**Diversity Quotient Assessment**

**Directions:** Use the questions to determine your organization’s “diversity quotient.”

<table>
<thead>
<tr>
<th>Question</th>
<th>Always</th>
<th>Sometimes</th>
<th>Never</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are the <em>leaders of the organization</em> informed and supportive of cultural and diversity issues?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Has <em>input from all employees</em> been integrated into diversity planning?</td>
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<td></td>
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<tr>
<td>3. Does the diversity planning integrate the <em>core strategic objectives</em> of the overall organization?</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Is diversity viewed as an <em>advantage</em> and <em>essential</em> to good organizational operations?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5. Is a *self-assessment* used to help employees identify stereotypes and possible areas of personal challenge?
   - Always
   - Sometimes
   - Never
   - Not Sure

6. Does the diversity training build on the success of current diversity situations and cover major issues of all “protected” categories?
   - Always
   - Sometimes
   - Never
   - Not Sure

7. Is there a steering committee set up to facilitate open dialogues and discussion groups within the department?
   - Always
   - Sometimes
   - Never
   - Not Sure

8. Are members of management role models for diversity and culturally sensitive issues?
   - Always
   - Sometimes
   - Never
   - Not Sure

9. Are employees given scenarios or examples of sensitive situations to discuss and resolve so that they recognize diversity issues?
   - Always
   - Sometimes
   - Never
   - Not Sure

List the names of people who will serve as diversity resources, such as coaches or mentors for problem situation:

---

**GLOBALIZATION/LOCALIZATION**

**Definition:** Globalization is the process of achieving higher productivity and efficiency by identifying and focusing on an organization’s efforts and
resources in major world markets. It focuses on the ‘interdependency of transportation, distribution, communication, and economic networks across international borders.” Localization is the process of customizing and adapting a global application for a particular culture and locale.

**Scope:** The fundamental ideals behind globalization are free flow of commerce, capital, and labor, and the belief that individuals can significantly influence large social and economic systems. Globalization is accomplished in several ways. Outsourcing noncore activities, combining purchasing volumes, and centralizing key support activities are examples of globalization techniques. Production and distribution activities are often consolidated to create more efficient operations. Success is based on the ability to quickly adjust to the needs of the customer. For this reason, globalization is often more successful in smaller organizations.

Globalization affects employees, customers, and suppliers. It encourages people to attain a new awareness of both their organization and the world in which they live. Through this realization comes new opportunities for personal and professional advancement and satisfaction. Localization, on the other hand, of documents primarily includes:

- Translating text content, software source code, web sites, or database content;
- Adjusting graphic and visual elements and examples to make them culturally appropriate;
• Post-production quality control of content, systems and the integrated product; and
• A market focused on software, documentation (packaging information, technical booklets, user manuals, training equipment, etc.), web sites and applications.27

Workplace Implementation: As performance improvement interventions, globalization and localization require learning about and respecting customs, etiquette, workplace expectations, and the heritage of people with whom an employee directly or indirectly interacts. Performance improvement practitioners orchestrate these functions. They participate in the globalization efforts of their organization by using The Performance Improvement/HPT Model and this book to help analyze issues or activities in various locations, determine internal best practices, and help document common practices. They help with the implementation by using their skills in change management and process consulting.

In the localization arena, performance improvement practitioners determine cultural appropriateness. They also oversee the design and development of technical books and training manuals, monitor selection and use of training equipment, and work with information technology personnel to develop efficient and effective web sites.

SOCIAL RESPONSIBILITY
**Definition:** Social responsibility is a genuine interest and concern for the well-being of individuals that leads an individual to plan, think, do, and act in a socially responsible way, and to be a sensitive team member in personal and professional relationships. When it is applied to the corporate world, social responsibility “is a commitment to improve community well-being through discretionary business practices and contributions of corporate resources.”

**Scope:** Gantt, from Gantt Chart fame, believed that management had distinct obligations and responsibilities to the community at large, and that an organization which enjoys high profile, high productivity, and high profits, had a duty toward the welfare of society. There are social activities and initiatives that fulfill commitments to corporate social responsibility. However an organization responds to these social responsibility initiatives, the organization as an aligned system must remain ethical and be sensitive to its internal and external environment.

**Workplace Implementation:** Corporations are moving away from “doing good to look good”, “do good as easily as possible”, “doing well and doing good” to “doing all we can to do the most good, not just some good”. Corporate conscience tells us that we have a responsibility for our organization’s actions by encouraging and providing positive, ethical, and sensitive impact through the goods it produces, the services it provides and the customers with whom it forms partnerships. Sharing similar goods and
services, working on projects that employees and customers really care about, volunteering employee expertise and time, and forming strategic alliances with external partners are ways to implement and weave social responsibility into the fabric of the organization. The bottom-line benefits are many.

**ETHICS**

**Definition:** Ethics defines good and bad standards of conduct. Standards of conduct are cultural and vary among countries, organizations, incidents, and situations. Ethics is realizing what is right and wrong and then doing what is right.

**Scope:** Ethics support and help define the culture of an organization. Societal ethics, professional ethics, and individual ethics influence organizational ethics. Societal ethics are codified in a society’s legal system, its customs and practices, and in unwritten norms and values. Professional ethics are the moral rules and values that people use to control the way they perform. Individual ethics are the personal and moral standards used for interacting with others. When discussing the ethics of an organization, it is important to establish guidelines for the organization that everyone is aware of, willing to follow, and committed to enforcing.

Successful implementation of ethical standards requires that they be applied to every person within a group or organization, as well as outside individuals or groups that do business with the organization.
ethics management cultivate strong teamwork and productivity, support employee growth and give personal and professional meaning to work, and serve as a marketing and human relations beacon for the organization.³³

**Workplace Implementation:** Performance improvement practitioners assist organizations in developing an ethics policy by focusing on societal, professional, and individual ethics. They can create scenarios that help employees face sundry ethical dilemmas in the workplace. (See examples of scenarios in Performance Support Tool (PST) 16.5): Ethical Dilemmas in the Workplace. Practitioners encourage ethical thinking and practices and help employees realize that ethics is not a one-time experience; rather, it is continuous and permeates every aspect of the organization’s fabric.

**Performance Support Tool 16.5**

**Ethical Dilemmas in the Workplace**

**Directions:** Read each scenario and decide what is the correct approach for your organization or for an appropriate organization with which you are familiar. Share and discuss the results with your work group.

<table>
<thead>
<tr>
<th>Department</th>
<th>Scenario</th>
<th>What would you do?</th>
<th>Whom would you contact?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchasing</td>
<td>Purchasing decides not to conduct a fair bidding process but rather to predetermine awards and use the actual bidding as a “showcase” (a sham) to justify a decision</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department</td>
<td>Practice Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purchasing</td>
<td>Buyers accept substantial gifts of money, dinners, entertainment, or vacations to overlook errors or quality flaws</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staffing – HR</td>
<td>Recruiters ask inappropriate questions during pre-employment interviews about family status or family planning interventions, forcing interviewees to believe that if they resist answering the question they will not be seriously considered for the position</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restructuring – HR</td>
<td>Downsizing plans favor certain age groups and discriminate against protected employees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Compensation</td>
<td>Hourly workers falsified timesheets, often to cover “legitimate” needs, such as dentist appointments</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance</td>
<td>Finance department keeps two sets of books to disguise certain practices</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance</td>
<td>Accounts receivable insists on payment terms from customers that the organization would not be willing to pay out to its own suppliers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal</td>
<td>Employees are encouraged to photocopy materials that are protected by copyright because the organization lacks sufficient</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
funds to pay the copyright holder for use of the materials.

Any Department People watch and do nothing while one employee is singled out and treated unfairly or subjected to a form of harassment.

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DECISION MAKING

Definition: Decision making is the act of making judgments and drawing conclusions.

Scope: Decision making as an intervention involves placing values on ideas or options and determining resulting actions. This can lead to ethical dilemmas. Ethical decisions are not determined by a single moral standard, but they are influenced by gender, age, moral philosophy, education, work experience, organizational culture, stated and unstated codes of ethics, awareness and knowledge of the situation, rewards and sanctions, and opinions of significant others such as co-workers or peers.34

For example, one study found that younger males make more utilitarian decisions and older males make more legalistic choices. Women, on the other hand, tend to be more interested in fairness and justice.35 Executives are accustomed to creating directives, defining strategies, and expecting implementation from others and they often believe that decisions
are their privilege. Teams also make decisions and use a number of methods including consensus decision making to guide their thought processes. The concept of empowerment also extends to individual workers who should also be involved in the decision making process.

**Workplace Implementation:** Performance improvement practitioners play key roles in changing the decision making dynamics of an organization. Due to its systematic and thorough approach, The Performance Improvement /HPT Model relies on careful and honest decision making throughout. Decision making improvements often mean changes in organizational culture, such as viewing employees as partners with valuable information and insight and empowering them to make sound decisions based on solid evidence. Performance improvement practitioners can help establish a culture that encourages risk taking, innovation, and creativity and where new thinking is not about the dollars you invest. It is about the people you invest in.

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**Chapter 16: Organizational Design and Development Citations**

2. Shortell & Kaluzny, 2006, p. 182
5. Ubell, (2010, August), pp. 55;57
30 Kotler & Lee, 2005, pp. 2–18
31 Jones, 2007, pp. 45–47
32 Westgaard, 1992
33 McNamara, 1998
34 Hatcher & Aragon, 2000, pp. 179–185
35 Shea, 1988, p. 27

Chapter 16: Organizational Design and Development References


CHAPTER 17
FINANCIAL SYSTEMS INTERVENTIONS

Economic activity affects small and large businesses, interest and mortgage rates, the stock market, and the global marketplace. In a sense, it affects the world’s entire purchasing power. The financial system’s primary role is to move savings from one business or individual into investments for another business or individual. It is extremely important to have general familiarization with basic financial concepts to communicate with the finance division, or the accountant, or the marketing specialist, or with anyone in the organization concerned about money and its true cost.

All employees benefit by understanding the role of their job assignment in value creation for their organization. To be a key decision maker, the performance improvement practitioner assumes a proactive role in the organization’s financial planning. While it is true that the practitioner may not be directly responsible for orchestrating the organization’s financial systems, the practitioner must be ready and willing to use wise financial intelligence and judgment when implementing interventions and be involved in communicating the organization’s financial picture to employees, clients, stakeholders, and other audiences. The financial picture is pivotal to determining business, organizational, performance, and learning needs.
As performance improvement interventions, financial systems deal with economics and decisions tied to the financial aspects of business. The financial systems interventions considered here are summarized in Figure 17.1. The last three are multi-organizational arrangements and they are included here because of their bottom-line results. This chapter will provide information on definition, scope, and work implementation for these financial systems interventions. Listen carefully—the voice of the practitioner may also be heard.

**Figure 17.1**

**Financial Systems Interventions**

[Insert Figure 17.1 Financial Systems Interventions here]

**Exhibit 17.1 The Performance Practitioner’s Voice: Financial Intelligence**

```
THE PERFORMANCE PRACTITIONER’S VOICE

Financial Intelligence

“Performance practitioners need to know finance (not financials) in order to demonstrate their worth to business in the language that business understands. Financial intelligence helps employees and other personnel prove their value to the organization’s bottom line. . .Practitioners who possess finance competencies have a better chance to gain the attention of and rub elbows with top management and ultimately make a difference in the culture of the organization’s business functions.”
```
OPEN BOOK MANAGEMENT

Definition: Organizations that adopt open book policies present key financial documents, income and cash flow statements, balance sheets, inventory flow methods, ratio analysis, and so forth to their employees for thoughtful review, discussion, advice, and corrective action. Open book management occurs when everyone in the organization helps the business make money. Financial status is fully shared and employees become active participants in financial performance.

Scope: As an intervention, open book management improves team functioning and provides information to help employees understand issues and make better judgments. For open book management to be successful, the organization must be open and aligned, which means sharing financial information with employees to help them track financial data, learning the art and science of financial information, and showing them how knowledge of financial data helps them make a difference in their organization.

Although open book management takes many forms and is often practiced
differently, elements common to most of these interventions are open books, empowerment, planning and decision making, profit sharing, highly participative management, and weekly alignment meetings.2

**Workplace Implementation:** The performance improvement practitioner plays a crucial role in orchestrating open book management by reinforcing its purpose among employees, providing resources, spearheading discussions, leading and monitoring financial literacy training, and evaluating the entire process so that employees see the financial picture in the context of what is happening in the bigger global world of finance.3

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**PROFIT VERSUS COST CENTERS**

**Definition:** A profit or revenue center is charged with controlling costs and generating revenues; it has an expense and a revenue budget. A cost center is charged with managing costs; it has neither a revenue budget nor obligations to earn revenues.

**Scope:** Most companies are expected to make money or profit. By definition, non-profit organizations, on the other hand, do not make profits. However, internal departments of both profit and non-profit organizations can be cost of revenue centers.

An internal department as a cost center provides services without charging back the services to the department that received the services. An internal department that is a revenue or profit center charges back the

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Comment [J5]: 2 Burlingham, 1999, p. 3, Retrieved on-line

Comment [J6]: 3 Berman and Knight, 2006, p. xiii
services to the department receiving the services. Examples of profit or revenue centers are in-hospital laboratories, in-hospital pharmacies, hospital cafeterias, and cafeterias on military bases that service enlisted men, officers, and civilians. Some training departments are obliged to generate revenue by selling some form of product or services to external or internal customers. “Training organizations usually have three products they can sell externally: training programs, training facilities, and training expertise.”

A cost center is “overhead”. It is an organizational unit that contributes costs without offsetting the costs with revenue. Typical cost centers in organizations are administrative units, talent management departments, housekeeping services, maintenance and repair, and clerical and office pools. “Being a cost center does not make a unit any less important than any other unit in the organization.” Cost centers need to be lean, efficient, effective, and flexible.

To remain successful and maintain market share, organizations need to reduce costs and increase their revenue holdings. Profit versus cost centers as an intervention determines the best mode of service delivery relative to financial factors.

**Workplace Implementation:** In many instances, a cost center can become more responsive if it becomes a revenue center. As a cost center, there is no competition since the organization relies on the services
provided. When a cost center converts to a profit center, there is usually the opportunity to choose another provider outside the organization.

With training, for example, it is possible for a departmental manager to send employees outside of the organization to an external training organization or send the employees to the internal training department. This choice often leads training departments to increase their responsiveness. In other words, will a training or performance department be a cost or a profit center? When it is a cost center then the training department is an “overhead” expense. The performance improvement practitioner helps a training or performance department position itself to generate revenue by also selling the products or services developed for internal use to external customers, such as suppliers or customers. A department can “sell or license programs, . . . sublease training classroom space, . . . contract out experienced training staff to external clients.” The performance improvement practitioner conducts a SWOT analysis prior to offsetting training costs with revenue.

The performance improvement practitioner also assists financial personnel in developing a business plan that answers questions like these:

- What products or services are involved?
- Where is the business and why?
- Who is the competition and where is it located?
- How will the products and services be marketed and advertised?
- **What resources will be required?**

Performance Support Tool (PST) 17.1: An Organization’s Responsibility

Centers may be used to help the practitioner identifying those organizational units that are and should be profit (revenue) or cost centers and how to repurpose a training or other performance department from a cost center to a profit center.

**Performance Support tool (PST) 17.1**

**Responsibility Center Analysis**

**Directions:** Conduct an in-depth analysis of your organization to find its responsibility centers. Identify those organizational units that fit within each. Then answer the question.

<table>
<thead>
<tr>
<th>Responsibility Centers</th>
<th>Organizational Units</th>
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<tr>
<td><strong>Cost Center</strong></td>
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<tr>
<td><strong>Profit (Revenue) Center</strong></td>
<td>Organizational Units</td>
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</table>
How would a training or performance department repurpose itself from a cost center to a profit (revenue) center? Consider:

What:

Who:

When:

Where:

Why:

How:

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FINANCIAL FORECASTING

**Definition:** Financial forecasting is predicting future trends, events, and outcomes with business perspectives in mind, that is, profit, interest, supply, demand, and similar issues.

**Scope:** Financial forecasting is anticipating the future cash needs for a particular business. Financial managers use financial forecasts to help senior management determine whether their financial plans are aligned and
consistent with their business goals and objectives. Financial forecasts play a major role in planning business strategies, monitoring the organization’s financial affairs, and controlling and investing cash. Forecasts help management anticipate the financial positions of their businesses and make realistic and prudent business decisions. These activities help to increase profits and reduce risk and are, therefore, vital components in the continuing effort to make businesses successful.

Financial forecasting methods are scientific in nature; yet, financial forecasts do not guarantee desired results nor can they predict unexpected circumstances. Rather, financial forecasts provide road maps that measure the progress of businesses. Financial forecasts are living documents that are reviewed and adjusted to reflect current business opportunities, practices, and congruence with external markets.

Successful forecasting relies on solid judgment combined with objective analysis of available data. All variables, domestic, and global, must be reviewed to come up with a financial forecast that is accurate and reliable. Information for financial forecasts may come from various locations, such as the balance sheet, the income statement or cash-flow forecasts, or trend forecasts. Forecasting techniques can be classified into qualitative which uses expert judgments and opinions to predict the future and quantitative which uses mathematical and statistical rules and analyses of data banks to predict the future.
**Workplace Implementation:** Forecasting is one of the most important and complex tools a performance improvement practitioner can master because every organization needs to conduct financial forecasts. The wise practitioner should become proficient in at least two qualitative forecasting techniques such as Delphi (elicits expert opinions), and nominal group technique (group-based judgment forecasting method) and two quantitative techniques such as time series analysis (uses evenly spaced data points—weekly, monthly, quarterly, and so forth, to predict with historical data) and regression models (predict on the basis of dependent and independent variables). The performance improvement practitioner plays a crucial role in planning, gathering data, and monitoring financial forecasting processes.

**CAPITAL INVESTMENT AND SPENDING**

**Definition:** Capital investment refers to commitment or use of money and other assets made in anticipation of greater financial returns in the future, usually involving large sums of money. Capital spending involves risk-return trade-off analysis in order to secure long-term financial advantage.

**Scope:** Capital investments yield returns during future periods and may include property, buildings, equipment, and securities of other companies. Property may include the land on which the organization’s facilities are located. Equipment may include furniture, tools, computers, and machinery that the company uses to produce the goods that it sells to customers.
Resources and cash often are committed for long periods, so it may be difficult to reverse the effects of a bad decision. Uncertainty about return on investments is a risk factor.

**Investment Decisions.** To decide whether an investment or strategy should be pursued, the analyst must decide whether it has the potential of value for the firm’s stakeholders. To create value, the investment or strategy’s returns must exceed its costs. Determining which costs and benefits are relevant to the particular investment or strategy must also be determined. Capital invested in new products has a cost. To use capital, the organization has to pay for its use. Money invested in new products, equipment, or facilities could be diverted to other uses, such as paying off debt, making a pay-out to stockholders, or investing in stocks or bonds. These all result in economic benefits to the organization. Organizations normally take into consideration that the value of money will not be the same in the future; this is known as discounting the value of money primarily due to inflation.

**Funding Decisions.** Once management has decided to make an investment in property, plant, equipment, or working capital, a decision must then be made to fund the project. Funds that are invested in these types of endeavors may come from stockholders and/or bondholders. The capital budgeting problem is essentially balancing the benefits from these new capital expenditures with the costs needed to finance them. The cost of
this capital, adjusted to a minimum acceptable rate of return, plays an essential role in ranking the relative effectiveness of different types of capital projects and in establishing acceptable guidelines for project acceptance. A sound capital expenditure program will recognize the need to search for investment opportunities, conduct long-term planning, estimate future benefits from projects, appraise the state of the economy, establish guidelines for return on investment, and review all completed projects.

Many organizations experience uneven cash flows during the year. An example is department stores, which generate a large portion of their revenues during the months of November and December, resulting in a large cash inflow during the holiday season. In many instances, these large amounts of cash are not immediately needed to fund the operations of the organization. Many of the organizations may elect to put some of their excess cash into short-term investments until the cash is needed for operations. These investments usually produce higher earnings than those available from bank accounts, enabling organizations to increase their earnings.

The time value of money is a key concept in investment analysis. The time value of money refers to the fact that a dollar received today is more valuable than a dollar received one year from now. The dollar received today can be invested at some interest rate so that it will be worth more
than the dollar received one year from now, which cannot be invested until that time.\textsuperscript{7}

Most workers do not understand the strategies involved in deciding whether money should be invested in capital equipment, land, facility expansion, or securities. The company hires people and purchases new machinery to build products, products are sold to make money, and money pays the bills and gives people a paycheck. However, these investments must create value, which means that they must be able to produce a product that, when sold, will produce revenues that exceed the cost of the production of that product. These decisions are important, especially when one bad decision can bankrupt an organization or stress it enough financially that it can never fully recover. In other words, the decision to invest in new computers for training means that the organization believes that the value of workers training exceeds the cost of the computers and installation and maintenance of the computers.

**Workplace Implementation:** Overseeing the entire capital investment and spending practices of an organization resides with the accountants and the financial team. The performance improvement practitioner assists in the focusing phases of capital investment and spending and in monitoring, implementing, and evaluating the procedures. Beyond this, the following guidance is helpful:
• Know how the organization internally defines capital, and how this
definition or categorization is reflected on balance sheets and profit
and loss sheets;
• Understand and be able to articulate the larger concepts under which
capital investment and spending decisions are made;
• Read *The Wall Street Journal, Baron’s*, and other financial dailies
and/or quarterlies to increase business acumen and innovative capital
investment and spending practices and solutions.

CASH FLOW ANALYSIS/CASH FLOW FORECAST

**Definition:** Cash flow analysis is a financial tool or process used by
businesses and banks to determine the various sources and uses of an
organization’s cash, and to make accurate projections of cash inflows and
outflows for forecasting purposes.

**Scope:** Cash flow analysis provides information about the inflows and
outflows of cash during a specific period. The ability of a business to
generate cash is important because it affects the ability of the business to
pay its debt obligations and make a profit. Cash also enables the business
of the organization to replace old equipment, to expand product lines, and to
provide dividends to shareholders. Cash flow is the difference between
revenues—the amount of money taken in from the sale of a product or
service and the cost of the product or service that was sold. These costs
could include materials, labor, equipment, and overhead, among others. However, not all healthy businesses have a large, positive cash flow. Businesses that are experiencing extensive growth often use their excess cash to expand their production facilities, acquiring new equipment and labor and thus reducing the amount of cash on hand.

Cash flow forecasting is an essential forecasting tool because an organization must identify its financial cycles and ensure that adequate cash is available at all times to support its activities. During periods when cash outflows exceed cash inflows, short-term financing must be available to the organization. When the production-to-receivables-to-cash cycle is completed, short-term financing can be paid down.\textsuperscript{9} The cash flow forecast uses basic economic assumptions and forecasts of sales and production (in a manufacturing environment) to arrive at a schedule of the organization’s cash cycle. Cash outflows often exceed cash inflows, especially early in the business cycle, and it is at these times that organizations require short-term external sources of financing. A cash flow forecast provides the organization with a schedule of when the short-term financing is required throughout the year, and in what dollar amounts.\textsuperscript{10}

**Workplace Implementation:** The extent of many employees’ knowledge of cash flow analysis and cash flow forecasting is that they want the organization to have enough money in its bank account so that their weekly paycheck is covered on payday. However, cash flow plays a very important
role in the everyday running of the organization. Being able to pay its obligations in a timely manner is just one part of doing business. Cash flow also makes it possible to produce profitable products, to replace old or defective equipment, expand productive and profitable product lines, and provide dividends to shareholders to keep them happy.

Employees need to know how cash flow in their business operates. They may be in a business that has cycles, as in department stores, which get much of their revenues during the holiday season. If workers know how cash flow operates, they may be able to suggest areas where money could be saved when excess is at a minimum. Because these areas are in the domain of managerial accounting and financial management, the performance improvement practitioner may not be directly involved in their execution. However, the practitioner must become proficient in understanding business needs and functions.

The business needs of the organization drive performance needs, which drive the learning needs, which drive the workplace needs. Performance improvement practitioners analyze and use accounting reports provided by the finance department, monitor spending, and plan budgets based on data. They then use their understanding of cash flow and forecasting to help set tuitions, determine compensation for vendors and consultants and other folk, and help make analysis-based decisions relative to cost versus profit centers. The practitioner benchmarks successful
organizations to observe their cash flow analysis and forecasting activities and in the process asks myriad questions of an organization’s accountants and financial managers to gain a better understanding of these vital areas.

**MERGERS, ACQUISITIONS, JOINT VENTURES**

**Definition:** Mergers occur when two separate organizations combine operations to become one organization. Acquisitions occur when one organization acquires more than 50% of the voting stock of another organization, and controls that organization. Joint ventures are cooperative efforts by competitors for a specific purpose, such as developing a new technology, entering new markets, generating new products, or meeting customer demands quickly.

**Scope:** A substantial body of literature describes mergers and acquisitions and, to a lesser degree, joint ventures. Each strategy or alliance involves changes in the organization’s assets and activities. For purposes of this discussion, the three terms are treated collectively. Organizations engage in mergers, acquisitions, and joint ventures for these reasons:

- Provide improved capacity utilization
- Make better use of existing sales force
- Reduce managerial staff;
- Gain economies of scale;
- Smooth out seasonal trends in sales;
• Gain access to new suppliers, distributors, customers, products, and creditors;
• Gain new technology;
• Reduce tax obligations;
• Experience synergism in being privately and publicly held.\textsuperscript{11};

The Harvard Business School suggests that “most mergers and acquisitions fail. That’s because most acquirers don’t know how to think systematically about what they’re buying and what it might do for them.”\textsuperscript{12} In addition, there are often cultural conflicts when combining the organizations leading to reduced productivity and strained workplace environments.

**Workplace Implementation:** Performance improvement practitioners are trained to think systematically and to forecast cultural and other conflicts that may arise from a major change initiative. Often during mergers and acquisitions employee morale drops because of concerns about an uncertain future, the stress of change, and job losses. However, if employees know the ramifications of a merger, acquisition, or joint venture beforehand, they may be able to better position themselves in the new organization by acquiring additional training to reduce the risk of job loss.

The performance improvement practitioner minimizes the problems by conducting a cultural audit of both organizations and planning to optimize alignment as the organizations work to function as one organization. Only in
rare situations is the performance improvement practitioner directly involved in mergers acquisitions, and joint ventures. However, the practitioner plays a pivotal role in working with the organization’s personnel who are displaced by these alliances, however friendly or hostile. Specifically, the performance improvement practitioner can:

- Anticipate the changing organizational environment by conducting a thorough performance analysis as described in Section 2.
- Recognize channels of organization change efforts by focusing on the organizational mindset about change, change process, structures for managing change, personal responses to change, communication networks, environmental factors, financial boundaries, and client demands;
- Suggest interventions to enhance change outcomes;
- Monitor those people who are resistant to change efforts and provide appropriate support for them as they live through the mergers, acquisitions, and joint ventures with a focus on minimizing resistance, control, and politics; and
- Engage employees in completing Performance Support Tool PST) 17.2: Assessing Strategic Alliances

**Performance Support Tool (PST) 17.2**

**Assessing Strategic Alliances**
**Directions:** Indicate the strengths and limitations associated with mergers, acquisitions, and joint ventures. Share your ideas with colleagues to see if your views and theirs are similar. Discuss reasons for differences. Then, individually or collectively, answer the question that follows.

<table>
<thead>
<tr>
<th>Alliances</th>
<th>Strengths</th>
<th>Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mergers</td>
<td></td>
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<tr>
<td>Acquisitions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Joint Ventures</td>
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</tr>
</tbody>
</table>

Speculate on how employees feel about being involved in these alliances regarding:

- loss of knowledge of the organization
- loss of control
- loss of friends
- loss of physical location
- loss or organizational synergy
- loss of cultural compatibility
- other concerns

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**Chapter 17: Financial Systems Citations**

1. Proudfit, 1999
2. Burlingham, 1999, p. 3
Chapter 17: Financial Systems References


INTERVENTION DESIGN

The first two editions of Fundamentals did not discuss design of the performance intervention(s) as a discrete step in the selection, design, development phase of the Performance Improvement/HPT Model. This third edition of Fundamentals will discuss design and development separately; however, sometimes the discussion will blend both activities the way they are blended in the real world.

[Insert Figure 18.1 HPT Model here]

Note to editor: shade word Design in Select, Design, Develop Phase

DEFINITION AND SCOPE

Design is the "systems planning" activity of the intervention selection, design, and development phase. The performance improvement practitioner, functioning as intervention designer, developer, or both,"...finds or creates plans, materials, and media by which to transform that intervention selection decision into reality."¹ The purpose of the intervention design activity is to plan who, what, where, and when to create "learning and other interventions that help to address the specific root causes of human performance gaps"².

Inputs and Outputs

The inputs to the design process are the outcomes of the Performance Analysis and the Intervention Selection decisions. The output of the design
activity is a detailed plan or design document in which the designer describes how the intervention will look and feel and how it will happen in an effective and efficient manner. The design document includes performance objectives, process plans, detailed outlines for materials and media, and criteria for evaluating the results.

**Blended Process—Or Not?**

Rothwell suggests an intervention system design model that blends design and development. Design activities would include verifying the analysis of performer characteristics and competencies and work environment, and formulating performance objectives and methods for measuring performance objectives; development activities would include creating detailed project, communication, and marketing plans and making, buying, or buying and modifying materials and media to support implementation.³

On the other hand, Watkins’ “designing for performance” process blends design, development, and selection activities. The first step in this blended process is to align performance expectations with performance objectives. Then Watkins suggests “before choosing any interventions you must define the performance assessments linked to each performance objective.”⁴

The Performance Improvement/HPT Model presents each component of the intervention selection, design, and development phase as discrete
activities within the phase. Whether design (and development?) should earn its own ‘phase’ remains open for future consideration.

**FOUNDATION FOR SUCCESSFUL DESIGN**

The first four Performance Technology Standards (RSVP) (see Appendix A) provide a strong foundation for the performance improvement intervention designer. These guidelines have been expanded and reinforced over the years by practitioners in the field:

- Focus on the expected **results** generated during Performance Analysis Phase of the Performance Improvement/HPT Model. The design should be based on a comprehensive understanding of the situation and the expected results. Is additional analysis necessary? Are expectations clear? Are specific requirements or specifications clear?
- Use **systemic and systematic** design processes. The Instructional Systems Design (ISD) process is a good place to start. Formative evaluation should be an integral part of the design phase. The design should also plan processes and products to conduct summative, confirmative, and meta evaluation of the implemented intervention as needed.
- Add **value** to the performance improvement effort by aligning the intervention design with the expected results. The design should be feasible; it should be mindful of the human and other resources required to plan and map the intervention as well as implement, maintain, and evaluate the intervention. The design of a long-term intervention should be sustainable;
it should be adaptable and have built-in mechanisms to allow for change over time.

- **Partner** or collaborate with champions and other stakeholders during the design process. The design process should be collaborative. The intervention should have a sponsor who will champion the activities and be active in the design process along with other stakeholders. There will be challenges and unanticipated situations that arise along the way. Project team members, developers, implementers, or others associated with the effort may not continue to participate. The sponsor or champion will assist in securing the needed personnel, protect budgets and timelines, and generally stand behind the effort. A major issue is sustainability of the intervention effort. The champion will be able to represent the long term view so that the project will be sufficiently developed and implemented so that it will not disappear when the original funding and effort goes away.

### STEPS TO SUCCESSFUL DESIGN

The intervention designer follows in the footsteps of the instructional systems design (ISD) professional. However, “the instructional systems design model must be broadened to become the intervention system design model” because workplace performance improvement practitioners design both learning and nonlearning (sic) interventions. A successful design phase is a collaborative effort that is characterized by reflection, discussion, iteration, planning, revision, and finally approval.
The steps to successful design are based on ISPI Performance Standard 7” Be Systematic—Design, and on years of experience in the field as an instructional and performance system designer. Like the Performance Improvement/HPT Model they may be adapted to the situation and the designer. The steps include:

1. Verify and/or clarify the situation based on input from Performance Analysis Phase—performance gaps and causes, desired results, assumptions, environmental parameters, and so forth;
2. Identify and/or clarify all the elements or components of the intervention—strategies, processes, activities, materials, and so forth;
3. Create a performance goal and performance objectives for each element;
4. Identify criteria and/or metrics to evaluate the results;
5. Decide whether it is best to purchase, develop, and/or customize the elements of the intervention;
6. Create an action plan or design document that describes how to develop, implement, and evaluate the intervention;
7. Communicate design action plan to leadership and other stakeholders to seek approval, and
8. Initiate request for proposal process or begin internal development phase.

PST 18.3 at the end of the chapter is a guide and checklist which focuses the designer on the results for each step in the intervention design process. The rest of this chapter begins discusses intervention elements, performance objectives, evaluation criteria and metrics, options for developing the
Intervention in-house or by partnering with outside vendors or consultants, and the action plan or design document.

**INTERVENTION ELEMENTS**

Intervention elements are the components of the intervention that must be in place to implement the intervention. Elements may be processes or materials. For example, if the intervention is to conduct an informational meeting (Organizational Communication) then the elements may include (a) the process for selecting the attendees, (b) the content or agenda for the meeting, (c) the processes for scheduling, communicating with attendees, preparing the meeting room and/or electronic media, and so forth, and (d) the materials—agenda, visuals, script, documents, and so forth—needed to conduct the meeting and record the results. If the intervention involves a change in the reward structure for submitting a successful idea to the suggestion system the design may include outlines of both the informational and communication or marketing materials to be developed and the deployment plan for the materials including audience, media, timing, resource requirement, and so forth.

**PERFORMANCE OBJECTIVES**

“Performance objectives describe the results to be accomplished, the criteria that will define success, and the ways those criteria will be assessed” and
are “derived from the strategic goals of the organization and its partners.” They clearly describe what the performer must do to accomplish the goals that were defined during the Performance Analysis Phase of the Performance Improvement/HPT Model.

**Purpose**

Performance objectives serve a double purpose: they guide the design and development of the performance improvement intervention(s) and establish the criteria for evaluating the effectiveness, efficiency, impact, and value of the intervention during and after implementation. When performance objectives are established prior to selecting the intervention, they also guide the selection process.

**Describing Performance**

Langdon developed a “six-word lexicon. . .a set of work performance words arranged in a meaningful relationship to one another” to describe performance. The six words, which Langdon also called the “work syntax” or “performance paradigm” are: inputs, conditions, process, outputs, consequences, and feedback. Each of these words should be clearly described to make a complete performance objective:

- **Inputs**—What does the performer need to know or be able to do to accomplish the performance?
- **Conditions**—What factors influence how the performance is accomplished?
- **Process**—What does the performer need to do to initiate, conduct, and complete the performance?
• **Outputs**—What will the performer produce as a result of the performance?

• **Consequences**—What will happen if the performer fails to initiate, conduct, or complete the performance? What will happen if the performer succeeds?

• **Feedback**—How will the performer know whether the performance is a success or a failure?

**EVALUATION CRITERIA, METRICS, METHODS**

At this stage in the performance improvement process, evaluation should include formative evaluation of the design process and plans for:

• Formative evaluation of the development and implementation processes;

• Summative evaluation of immediate reaction, learning, and application development and implementation; and

• Confirmative evaluation of the long-term efficiency, effectiveness, impact, and value of the intervention and each element for interventions that extend beyond three months.

Chapters 23 and 24 contain information on each type of evaluation including various methods.

The methods, criteria and metrics for evaluating interventions or their elements will vary depending on the type of intervention or intervention element and the requirements of the organization. Criteria and metrics should measure the accomplishment of the desired results. Evaluation methods should be feasible in terms of the resources required and the value the outputs bring to the organization. For example, establishing metrics that require statistical analysis may involve hiring a statistician or acquiring...
statistical process software which will add time and cost to the evaluation process. If the organization is not committed to evaluation and/or making decisions based on the results of evaluation, a less costly method or different metrics should be selected.

OPTIONS FOR DEVELOPMENT
Once the intervention project is defined and clarified and the objectives and evaluation criteria are formulated there are a variety of development options available to the designer:

- Develop all the intervention processes and materials in-house,
- Purchase an intervention package from an outside vendor or consultant which contains all the elements of the intervention,
- Purchase an intervention package and customize it in partnership with the vendor/consultant or in-house, and
- Develop elements in-house and purchase elements from a vendor or consultant.

Table 18.1 provides three examples of situations where the purchased intervention package needed to be customized. In the case of customizing, the pricing of the materials and documentation reflect the degree of effort as well as the value of the vendor supplied input.

Table 18.1
Three Examples of Customization

EXAMPLE 1
An intervention involves new work processes which in turn require the
purchase of new equipment, tools, and software to implement the intervention. However, the manufacturer’s documentation may not meet specific user needs so some support documents or systems may be produced internally. In addition, some of the software may need to be customized to align with specific organizational standards or process requirements.

## EXAMPLE 2

A course on hydraulics might need a picture of the actual equipment in the documentation and the supplier of the materials or vendor might only have a generic picture. In that case, the vendor could come to the site of the hydraulics equipment and take a picture of the actual piece of equipment or the organization would send the vendor a digital picture. Then, once the specific picture is placed into the documents, they would be completely accurate. This may be particularly important in regulated industries.

## EXAMPLE 3

Customizing may mean adapting the materials to include a company logo, or cultural customs, or particular forms and policies. In that case to protect the copyright and trademarks of each party, a dual copyright is agreed upon which often means that the generic materials written and owned by the vendor retains the vendor copyright. The vendor is free to use the same generic materials with other customers. However, copyright for the logo, policies, and cultural customs or forms are retained by the organization contracting for the material. In that way, the vendor cannot use those customized materials to demonstrate their capability with other clients or potential clients.

### Feasibility

A decision to search for an outside vendor or consultant will involve internal approvals and budgets sufficient to fund the effort. Using external resources involves considerable management of and interaction with the vendor. It is important to plan time and commit to communicating and seeing interim examples. Using a turnkey approach or asking a vendor to provide an end
product without sufficient interaction is unrealistic in most cases and often results in disappointment. A feasibility assessment must be part of the initial planning process.

**Request for Proposals**

Requests for proposals are issued to vendors or suppliers of equipment, tools, software, performance support tools, materials and documents, workshops, and so forth. Known as an "RFP", the organization writes specifications for exactly what is needed for the intervention effort.

**RFP Contents.** The Request for Proposal includes organizational goals and overall expectations, anticipated measures of success or results, description of the requirements and specifications, target audience, and description of the scope of the project. There also should to be a statement about how and when the competing vendors will be notified as to whether or not they won the bid.

Major project design factors, including Gantt chart and report expectations should be documented. There should be clear descriptions of role expectations. Will subject matter experts provide insight, guidance, and content as needed? What is the process for securing organizational "know how", such as subject matter experts or participants to test simulations or other materials?

Cost targets are helpful so that the vendor has an idea as to whether a first class intervention is desired or a more modest version, whether a racing or mountain bicycle is expected. Whether the organization wants fixed price or single price for the entire project or whether the organization will accept
time on the project plus materials and expenses needs to be described. Time, materials, and expenses means charging all costs to the client including time of each person assigned to the project. Fixed cost can be a benefit if the entire project goes smoothly. Time, materials, and expenses can lead to more relaxed pace of work leading to a more expensive product. Often, when the extent of the development effort is difficult to predict, it is necessary to do time, materials, and expenses.

Quality expectations should be set; for example, as a result of the training everyone will be able to use the software package correctly or the vendor must re-train the concepts and materials. On training materials, the standard could be 90% of the people get 90% correct during a workplace simulation activity. On the other hand, that might not be a sufficiently stringent standard. Getting 90% of the information on a loan application would not be sufficient; in that case, it would probably be a 100% standard.

Invoicing needs to be described. It is best for the organization to pay based deliverables, such as vendor designs, prototypes, and materials that meet approvals. Perhaps, the first draft would be 25% of the price, second draft and pilot would be 25%, and final revisions, meeting quality standards, and implementation would be 50%.

**Cover Letter.** The RFP usually contains a cover letter inviting vendors to propose on the project. The cover letter usually includes a contact person for vendor question, and the exact date and time when the proposal is due, include the building, desk or office location and name of the person who will receive the proposals.
Pre-Bid Meeting. If the project is sufficiently large, there is usually a pre-bid meeting. Invitations are prepared and distributed to all potential bidders. The meeting allows all the bidders to hear the same introduction to the project and hear the responses to their own and other vendor’s questions.

Review-Revise-Approve Cycle. The approval process or review-revise-approve cycle needs to be planned and documented. For example, will the proposal be first screened for technical or content and later screened for price or will price be the key factor? If there is an approval committee, the people on the decision team or the job titles will help the vendor be sure to include information of particular importance to the approval team.

Many vendors want to know why they did not get the bid and their requests for explanation should be honored. It takes a great deal of time and effort to create a proposal and so the purchasing organization should respect the effort of the competing vendors by providing a helpful explanation.

Bidder’s List. It is best to qualify the bidders on a project. Each vendor has specialties, strengths in their employees, different rates of success, and customer satisfaction. The organization needing the vendor services should set up a selection process similar to hiring an employee. The organization needs to decide what is important and then request information in order to qualify for the bidder’s list. Common bidder’s criteria might include relevant experience of the overall organization and its staff, financial stability, size of the organization core staff and network of associates, reputation, and trust factors. Typically information from the vendor might also include resumes of
associates that are likely to be on a project, examples of previous projects, and list of references. Then, the organization should narrow the bidders to a manageable number. This is primarily because creating proposals is costly and time consuming. It is easy to ask so many vendors to prepare a proposal that the cumulative cost of the proposals exceeds the value of the work. Once the organization has determined a bidder’s list, then the organization selects vendors with the particular strengths that are needed for an intervention effort. Selection of the vendors for the bidder’s list should be by an internal team because it is difficult for one person to judge everything. The purchasing department in the organization is likely to be part of the team. See PST 18.1.

**Performance Support Tool (PST) 18.1**

**Bidder Selection Matrix**

**Directions:** Use this PST to rate vendors during the selection process

**Rating Scale:** 1 = Poor; 2 = Fair; 3 = Good; 4 = Very Good; 5 = Excellent

<table>
<thead>
<tr>
<th>Selection Criteria</th>
<th>Candidate 1 Score</th>
<th>Candidate 2 Score</th>
<th>Candidate 3 Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall appropriate experience</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experience related to this project</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality of samples</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organizations financial stability (if large project and high risk)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organizations ability to meet deadlines</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ability of the</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Proposal Selection Criteria and Weighting. Vendors are going to want to know how their proposals will be judged. To provide them with the information helps the vendors target their proposal appropriately. They need to know the criteria and the weighing. The organization may weight one aspect of the proposal more than another aspect. Content and innovativeness of the ideas may be more important than cost, or vice versa. Vendors need to know the priorities and how each criterion is weighted.

Vendor Guidelines. The RFP should help vendors to prepare a well defined document that matches what the organization requested. All aspects of the RFP need to be spelled out in the proposal. Nothing should be assumed. However, there are times when the vendor believes that they have a better idea or an innovative alternative. The vendor should include that after responding exactly to the organizations expectations. It is essential that the vendor also claim copyright of the proposal content and that the content is the sole property of the vendor unless they are awarded the work. It is imperative that the purchasing organization honor the ideas of each vendor and not combine the good ideas without providing fair compensation and recognition to each vendor.

ISPI Toolkit. The Development and Implementation section of the online ISPI Performance Technology Toolkit (2010) provides tools such as the
Customer Recommendations Report for providing feedback to customers "in an organized and consistent format", A Training Supplier Assessment to evaluate the capability and compare the value of outside vendors, and a Vendor Proposal Evaluation Instrument to evaluate vendor response to a proposal.

**INTERVENTION DESIGN DOCUMENT**

The major output of the intervention design activity is a detailed, comprehensive design document. The purpose of the document is to ensure that (a) the developer or development team has enough information to transform the design plan into a complete intervention package of "tangible products and services". and (b) the approvers will have enough detail to accept, ask for revision, or reject the development and implementation of the intervention. The design document must create confidence and gain support and approval from stakeholders including senior leadership, and the developer(s) who must produce the components of the plan.

The design document requires collaboration. As a result, preparing this document will probably be iterative as feedback from stakeholders is sought and received.

**Purpose-Based Content**

An intervention design document includes an executive summary and a detailed a discussion of each of each elements of the intervention. There may also be associated documents or figures such as Gantt chart and other project management tools, storyboards, prototypes, and sample resources.
Based on the two major goals of the design document the content requirements are:

1. To acquire the support of stakeholders who must approve the intervention plan prior to development and implementation the performance improvement practitioner must clearly identify why the intervention was selected, what is to be accomplished, how it will be accomplished, and how the results will be evaluated.

2. To provide a map for developing and implementing the intervention. the practitioner must provide enough detail for internal or external developers to produce all the processes and materials required to implement the intervention and align them with desired results and expectations.

The design document may be part of the Business Case (see Chapter 19) or a stand-alone document. The difference between a design document and a business case is that the design document provides a level of detail that may or may not be required to justify the intervention selection, but is necessary for developing the various components of the intervention.

A design document should be developed even when the processes and products required to implement the intervention are already available from external vendors or consultants. In this case the design document will be used as part of a request for proposals from potential outside suppliers.

The design document may also be used to describe how the ‘off-the-shelf’ product may need to be customized to meet the specific situation.

**Performance Support Tool (PST) 18.2**

**Design Document Template**
**Purpose:** The Purpose of this PST is to outline the contents of a typical intervention design document.

**Degree of Detail:** The degree of detail required varies with each organization and the needs of the intervention effort. For some large efforts, it may be necessary to have exact details which may include “storyboards” of illustrations and ideas for text, media, etc. For other design situations, the expectations may be more general. For example, for an online training program that included visuals, complex responses, and opportunities for further learning, there would be a need for storyboards and prototypes. In the case of a mentoring intervention, there would be a need for definition of the mentor—mentee relationship and other details of the mentoring selection and tracking, but probably not storyboards and prototypes. It may be that the development of full specifications, storyboards, and prototypes will be part of the development process.

**Use of Terminology:** Although each design document may use a variation in order of the headings, most if not all, of the headings should be covered. World needs to be considered because it is important to document cultural or language issues. Many times the intervention will be planned for several locations, some may span the globe. However, if the improvement effort is internal, there may or may not need to be a discussion of world characteristics that apply to the particular improvement effort. Workplace needs to be described so that leadership is fully aware of the current situation and developers can understand the context of the effort. Work and worker need to be explained in terms of job titles and roles, current skills, knowledge, and abilities, plus motivation and attitudinal issues if they apply.

**DESIGN DOCUMENT OUTLINE**

1. **Executive Summary**  
   Give a brief summary of the entire document in one page or less. The C-Suite executives may only read this part of the document! Stress the benefits of approving this intervention.

2. **Problem or Opportunity**  
   Define the opportunity and include the current situation, desired situation, gap, and cause based on the performance analysis.

3. **Results, Objectives, Evaluation Criteria/Metrics**  
   State the performance goals and objectives for each intervention and element. Use definite, observable, measurable terms. Align then with the desired results and match them to the evaluation criteria, metrics, and methods that will be used to measure accomplishment. A table format may be useful.

4. **Intervention(s) and Element(s)**  
   Why is the element important? What are the benefits? Who will be involved? What needs to be developed to implement the element? Where
and when it will be implemented? What change management actions are required for each element? How will each element be evaluated—method, criteria, metrics? A flowchart may help illustrate how the interventions and/or intervention elements integrate with each other. For example, a flowchart could show how the elements of a new skill development intervention will move the participant from the awareness level to the application level.

5. Development Plan
Include recommendations for developing in-house, purchasing, or customizing. Describe tasks, responsibilities, finances and other resources, timelines, and so forth required for developing the intervention package. Use project management tools such as Gantt Charts or spreadsheets to illustrate timelines, milestones, and so forth. Illustrations help stakeholders see the process at a glance and can be used later to report progress to the stakeholders.

6. Implementation Plan
Describe tasks, responsibilities, finances and other resources, timelines, and so forth required for implementing the intervention package. Use project management tools and illustrations (see #5).

7. Evaluation Plan
Describe tasks, responsibilities, finances and other resources, timelines, and so forth for evaluating the intervention package at the formative, summative, confirmative, and/or meta level. Use project management tools and illustrations (see #5).

8. Conclusion
Summarize the design document and ask for action. This section may include the directions for how to provide feedback and approve the design document or ask for revisions.

PST 18.3

Stay Focused: A Guide to Successful Intervention Design

Purpose: The purpose of this PST is to keep the performance intervention designer focused on results during the design process.

Directions: Use this PST as a guide during the design process and a checklist to verify that the results for each step in the design process are accomplished. You may not need or be able to accomplish all the results, or you may need to add results based on your specific situation. This PST is just a guide to get you started!

Note: The word “intervention” is used here to include both a single type of intervention such as performance incentives and blended interventions such as job redesign plus performance support tools plus incentives.
<table>
<thead>
<tr>
<th>Intervention Design Step</th>
<th>Results</th>
</tr>
</thead>
</table>
| 1. Verify/clarify situation | - Desired results clearly defined  
- Selected intervention clearly defined  
- Performance analysis results clear, complete, and unambiguous  
- Situation changes since analysis phase identified  
- Organization, leadership, and worker assumptions clear  
- Other. . . |
| 2. Identify/clarify all the elements or parts of the intervention—strategies, processes, activities, materials, and so forth | - Each element of the intervention clearly identified  
- Sequence or priorities identified if applicable  
- Feasibility assessment for each element conducted  
- Other. . . |
| 3. Write a performance goal and performance objectives for each element | - Goals aligned with desired results  
- Objectives include input, process, output, conditions, consequences, feedback as appropriate  
- Other |
| 4. Identify criteria/metrics to evaluate the results | - Criteria/metrics established for each goal and objective  
- Criteria/metrics feasible in terms of available resources  
- Criteria/metrics feasible in terms of organizational environment  
- Criteria/metrics aligned with desired performance results  
- Other. . . |
| 5. Prepare an action plan that outlines how to develop, implement, and evaluate the intervention | - Who will participate in development, implementation, and evaluation  
- When development, implementation, and evaluation will take place  
- What processes and materials need to be developed or |
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
</table>
| **6. Recommend whether to purchase, develop, customize the elements of the intervention** | purchased to accomplish the objectives of each intervention and each element  
|   | o What resources will be required to accomplish successful development, implementation, and evaluation  
|   | o What the development, implementation, and evaluation plans will include—who, when, where, what, why, how  
|   | o The plan will accomplish the desired results  
|   | o Other... |
| **7. Communicate design plan to leadership and workers** | o Vendor products identified that may be appropriate  
|   | o Vendor products identified that may need to be customized  
|   | o In-house development is feasible  
|   | o Issue a request for proposals from outside vendors  
|   | o Other... |
| **8. Initiate Request for Proposal Process or internal development phase** | o Communication includes rationale, design specifications, action plan, and recommendations  
|   | o Most appropriate method(s) of communication selected  
|   | o Review-revise-approve cycle initiated if appropriate  
|   | o Communication asks for commitment  
|   | o Other... |
|   | Development phase begins  
|   | or  
|   | Request for Proposals developed  
|   | Review-revise-approve cycle completed for proposals  
|   | Development or implementation partnership with outside vendor begins  
|   | Other... |
CHAPTER 18 INTERVENTION DESIGN CITATIONS

1. Rothwell, 2000, p. 71
2. Rothwell 2000 p. 89
3. Rothwell 2000 p. 72
5. Spitzer 1992; 1999; Rothwell 2000, and others
6. Rothwell, 2000, p. 71
7. Standards, 2011
8. Watkins, 2007a, p. 11
11. Rothwell, 2000, p. 71

CHAPTER 18 INTERVENTION DESIGN REFERENCES


Chapter 19

MAKING THE BUSINESS CASE

Business case methodology resides in management science; however it is rarely found in the best practices related to systems implementation, including performance improvement efforts. The business case process is “integrated with the organization’s procurement process” because purchasing expenditures for resources, human or non-human, are usually required to develop and implement the intervention. Business cases should be integrated into performance improvement initiatives because:

It is not enough to have a good idea; it is not sufficient to have totally appropriate and helpful intervention plans and designs. In many instances, the organization and decision makers want to know more. They want to know exactly what the performance improvement effort will cost, what will be the value of the benefit, how will the project affect other departments and individuals, and how will it impact the culture? Developing and documenting a business case will foster senior leadership support, accomplish the confidence of finance, and provide the justification needed by purchasing agents.

DEFINITION AND SCOPE
There are a number of definitions that are applicable to the performance improvement field. “A business case is a management argument supporting an investment or a procurement judgment. . . . An investment or procurement judgment assesses the value of a design.”³ It is also “. . . a recommendation to decision makers to take a particular course of action for the organisation, supported by an analysis of its benefits, costs, and risks compared to the realistic alternatives, with an explanation of how it can best be implemented”.⁴

The second definition adapts particularly well to the performance improvement mindset; the business case for a performance improvement intervention should present a specific, analysis-based recommendation for an intervention(s) addressed to people with the authority to make a decision at the organizational or major business unit level. The business case should include a cost-benefit comparison for realistic alternative interventions.

For some performance improvement practitioners, such as those working in the primary, secondary (K–12), or higher education arena, a business case may sound similar to a proposal. Educators often write proposals when they recommend adopting new curriculums, courses, programs, textbooks, or school equipment. Performance improvement practitioners may write proposals when they are seeking consultants or vendors to help design and develop intervention components (See Chapter
18). In the latter case, the proposal may or may not be part of the Business Case.

Business cases are usually written on behalf of champions and senior stakeholders. Sometimes, performance improvement practitioners write business cases for a single intervention or a combination of interventions since many needs or opportunities are complex. Highly structured business cases include background of the effort, expected business outcomes, options for alleviating the need or optimizing the opportunity, the gap between the current and anticipated end state, expenses, costs of the effort and estimated value, risks to implement or doing nothing, project timeframe, roles, and more.

**PURPOSE**

Business cases present the reason for the intervention, “and are used to prevent blue sky ideas from taking root without justifiable or provable value to the organization.” Whether the business case is a long, comprehensive document or a short business brief, the point is to justify the expenditure of money and capital resources to support a specific business need. For example, the business case for an enterprise-wide software upgrade will provide the costs of implementation and maintenance plus the benefit or value to the organization using discounted money calculations. It may also include plans for design, development, implementation, and evaluation of the upgrade.
The term *capital* is used when referring to investments, such as land, equipment, and buildings that are used to provide goods and services. They are not consumed while providing goods and services; they gradually depreciate or lose value due to usage, such as desks, chairs, or machinery. *Discounting of money* refers to money losing value each year, due to inflation and other economic factors. In other words, one dollar spent in one year may need a return of one dollar plus five cents the next year in order to break even.

A business case also “supports the adoption by a specific organization of a specific solution, and is centered around what people might actually do.” The purpose of the case is to convince decision makers that the tangible and intangible benefits of implementing the intervention outweigh the costs and risks, in other words, that the change is worth doing!

**RATIONALE**

“A business case is not an end in itself but a means to an end; rationally justified (and justifiable) investment decisions.” From a project management perspective. In addition to helping the decision makers make the right decision, the purpose of the business case is to provide documentation that will help mobilize and sustain the project [intervention], meet any compliance requirements, provide a “platform for managing the project” intervention development, implementation, and maintenance, and
provide a “baseline for measuring the project [sustainable intervention effectiveness, efficiency, impact, and results]”.

Looking at performance improvement intervention development, implementation, and maintenance from a project management perspective the reason for expending the resources and effort to develop a business case is clear: As the project [intervention] moves forward, particularly in its early stages when it still may be politically vulnerable and may well run into teething trouble, it is bound to be challenged to justify itself afresh and demonstrate that it is really going to deliver. By setting out a schedule of deliverables, benefits, and costs in the business case, the document becomes an authoritative reference point, both for the project [intervention] team and for the wider organisation, and reduces the chances of the goal posts being moved.

PERFORMANCE IMPROVEMENT PRACTITIONER ROLE
The business case process is gradual and iterative; it builds gradually as consensus develops when more details are decided and outcomes are more fully explained. The role of the performance improvement practitioner is to collect, analyze and synthesize information for the case during the Performance Analysis; select or design an appropriate intervention(s); develop a convincing business case that weighs the costs, benefits, and risks
associated with implementing the intervention; and facilitate the
development and acceptance of the case; develop, implement, and maintain
the intervention within the parameters set by the business case; and
evaluate the intervention in terms of alignment with the business case
objectives. (See Figure 19.1: The Business Case Process.)

Performance improvement practitioners collaborate with the
intervention team, which may be the same team that guided the
performance analysis phase as well. Business cases also include.
Practitioners may initiate, help collect and record discussion and other
feedback from informal and formal leadership including the intervention
sponsor, financial experts, purchasing agents, and/or representatives from
each department or organizational segment involved in the effort.

PERFORMANCE IMPROVEMENT PRACTITIONER COMPETENCIES

One of the major competencies for developing a business case is the ability
to analyze and synthesize information that surfaces during the Performance
Analysis phase in order to design and develop a business case that is
concise, complete, and compelling. The process also involves cooperation
and give and take among the stakeholders so it also requires negotiation
skills. In addition:

. . .people are more likely to be persuaded by someone who knows what
they are talking about and in whose intentions and abilities they have
confidence. . . . Do the work thoroughly, systematically and professionally and decision makers will be persuaded by your competence and expertise. Demonstrate integrity and show the positive energy and commitment to get behind your team and your task, and your decision makers will want to be persuaded.¹³

Building a case study may falter without project management skills and subject matter expertise, or access to subject matter experts (SME). Due to the complexity of some intervention projects, the business case document may involve discussions of whether to produce the interventions or buy the interventions through consultants or suppliers. Complex intervention projects may require the use of project management tables, Gantt charts, and other graphics that may also need to be included in a business case.

Competencies may include collecting and analyzing costs, revenue, benefits, and risks; understanding business strategy; managing and communicating with stakeholders throughout the business case process; writing and editing drafts and reports, managing a review/revise cycle; and facilitating a presentation.¹⁴ Presentations are important to establish context; verify compliance to expectations, standards, and regulations; and document future changes, so the performance improvement practitioner may need oral presentation design and communication skills.
THE BUSINESS CASE PROCESS

According to Veryard\textsuperscript{15} The business case is not a “static product”; it is a “process” of building the case and then adapting as more input is acquired: “The formulation of the business case is part of the solution process.” When the business case has been accepted it should be embedded into the development and implementation of the intervention and, as far as possible, should “remain true. . .and valid”. The basic process for making a business case is illustrated in Figure 19.1

Figure 19.1

Business Case: An Iterative Process

Content and Focus

Unfortunately, “Instead of a due diligence on an investment opportunity, business cases often deteriorate into pitch-and-forget sales tools.”\textsuperscript{16} Business cases are more effective if they are not just a set of claims but also include analysis to back up those claims and provide the decision makers with all the information they need plus compelling reasons why they should accept the recommended intervention. Statements regarding feasibility and sustainability are included to justify the proposed change.
**Format**

Usually a document is an important part of the business case. However:

“A business case should never be seen primarily as a document. . . . a business case is an analytically supported recommendation. In fact it could be a series of structured presentations to key decision makers supported by some key numbers and lots of dialogue and debate”.

In more formal organizations there may be a template or a set of specific requirements for developing the business case document and/or presentation.

**Issue of Integrity**

Credibility plays a big role in moving decision makers to accept a performance intervention, and integrity is a factor in establishing the credibility of the person or team that produces the business case and the goodness of the case itself. A good business case should be demonstrably legal; decent, that is, politically correct; honest; regarding issues of self-interest or bias; truthful regarding costs and benefits; convincing, that is, making a strong case for the change; and bold enough to present an “innovative argument” despite potential risks”. Gamble (2009) discusses ‘degrees’ of integrity which he labels strong, misleading, weak, and token. When the business case demonstrates strong integrity it is usually accepted, when it is misleading or weak the decision makers may make the wrong
decision, and token business cases may lead to revisions or outright rejection.\(^{18}\)

**Designing and Developing the Business Case**

The process of developing the business case should be "a learning experience with a minimum of thrashing about to gain agreement among the participants and a reasonable expenditure of time and resources".\(^ {19}\) The process should be gradual and requires agreement among the stakeholders.

The practitioner who is leading the design and development effort should:

- Identify and ask the right question to establish clear objectives and understand the nature of the intervention for which you are doing the business case;
- Clarify open-ended questions (no right or wrong answer) before asking close-ended questions (select right answer from options); and
- Identify and clarify prior decisions that may affect implementation.\(^ {20}\)

Clarifying the budget is one time when the practitioner needs to ask the right questions. Issues that may need clarifying are the process or acceptability of cost estimation, confidentiality, and access to and use of proprietary information. Determining whether the budget will be derived from bottom up or top-down is also critical. Bottom-up budgets are based on the cost of the intervention activities and deliverables; top-down budgets are based on the high level allocation of funds and reflect how management prioritizes the intervention in the context of available resources and
competing demands. Finally, questions must be asked to clarify the status of the budget. Is the budget fixed or variable through the life of the intervention?

**STEPS TO TAKE**

Some activities related to preparing the business case are iterative, some are parallel, and some are completed simultaneously. The steps to a successful business case include:

1. Define the task clearly and up front by asking the right questions of the right people and analyzing the responses
2. Build a coalition of leaders and subject matter experts
3. Select a shortlist of realistic alternative options—“If you understand the strategic space you are working in, and what you are really trying to achieve, structured, creative thinking will produce winning options.”
4. Identify and quantify the costs and benefits of each option
5. Assess how well each option will deliver costs and benefits
6. Develop a strong case for change that is accurate. Demonstrate that the recommended option is the best option because it is closest fit to the business strategy and delivers greatest benefits in most cost effective way
LEADERSHIP COMMITMENT

Leadership commitment is vital. A well-placed and credible supporter, sponsor, or champion should participate throughout the business case process and the business case should be compelling enough to mobilize and maintain the commitment of the major decision makers and senior leadership. It is important for the performance improvement practitioner to fully understand the concerns and priorities of each senior leader and key decision maker and include aspects of the intervention effort that support their priorities.

Throughout the effort, unanticipated occurrences arise leading to adjustments and possibly recommitment by senior leadership. By including the priorities of senior leadership in the beginning helps maintain leadership confidence though maintenance and sustaining the effort long term. For example, the project sponsor may receive a promotion and the new person in the position would not be aware of the need for the intervention. By building the confidence of several senior leaders, the other leaders can convey the importance of the project and encourage the new person to retain the role of intervention sponsor.

The sponsor or champion will assist in securing the needed personnel, protect budgets and timelines, and generally stand behind the effort. A major issue is sustainability of the intervention effort. The champion will be able to represent the long term view so that the project will be sufficiently
developed and implemented and not be vulnerable when the original funding and effort goes away. Sustainability is discussed later in this chapter.

FEASIBILITY

“Advocating a tough, risky option may be the right thing to do. Advocating it without understanding and explaining the risks and practicalities of implementation never is.”24 It is always essential to balance attractiveness with achievability and practicality.

The greatest ideas in the world need to be implementable or achievable; stakeholders need to believe that the idea makes sense. After brainstorming and thinking an idea through from an initial point of view, momentum increases as those involved visualize the idea and describe the value and outcomes of the idea. In fact, the first steps in assessing feasibility involve RSVP: defining desired Results, thinking in a Systematic and Systemic fashion, determining that there will be Value, and beginning to establish the collaboration and Partnering that will be part of the initiative. Whether the effort is a quality, instructional design, industrial engineering, leadership, or strategic planning effort, it is critical to anticipate the entire effort to determine if the effort makes sense and is feasible.

Feasibility Studies

A business feasibility study is “...a controlled process for identifying problems and opportunities, determining objectives, describing situations,
defining successful outcomes and assessing the range of costs and benefits associated with several alternatives for solving a problem. The Business Feasibility Study is used to support the decision-making process based on a cost benefit analysis of the actual business or project viability.25

Feasibility studies use deliberate processes to determine viability of the initiative: analyze the situation, enable the creation of recommendations and document limitations. The studies are detailed and document all aspects to determine whether the desired improvement effort is realistic. Feasibility studies help decision makers determine what projects will be effective and which are not likely to be successful.

**Planning Feasibility**

It is critical to plan carefully to secure champion and leadership support and sufficient resources so that the outcomes will be lasting. In addition, if consideration of sustainability and future support for the project is not considered during feasibility studies, it is very likely that the performance improvement effort will not be on-going. (See the discussion of sustainability later in this chapter.) Lack of long term leadership commitment can lead to skepticism and the belief that the performance improvement effort is merely a “flavor of the year” or annual priority. By resisting change, employees believe that the intervention effort will fizzle out and revert back to the “way we do things here”.
Feasibility planning includes four methods of advanced planning, structured, deductive, inductive, and narrated.26

**Structured.** Feasibility is considered when planning projects and covers the various aspects of projects, such as work-breakdown structure (WBS), project phases, critical pathing or optimal progress, linkages and ordering of the steps, and cost-benefit analysis. In other words documenting each step, sub-step, sub-sub-step, and so forth in the project. The project is described in phases, activities, tasks, and deliverables or milestones; so that objectives can be accomplished and unanticipated situations can be corrected as they occur.

Critical pathing, linkages between aspects and activities, and ordering of the steps make it possible to determine which steps need to be completed prior to other steps, which can be done simultaneously, which ones may be postponed for a while, and so forth. Cost benefit analysis determines at what point the costs of the project and the anticipated benefits will be equal, known as the breakeven point. It is a process to evaluate whether the anticipated effort would be worthwhile organizationally and financially.

**Deductive.** Backward or deductive planning occurs when the final outcomes are defined, such as desired results and gap between the current situation and the desired situation. Then the team needs to consider how to accomplish the final expectations in the most feasible way.
**Inductive.** Forward or inductive thinking occurs in pre-thinking while the exact end of the project has not been defined. It is also important for intermediary planning, such as to figure out the costs of aspects that are less defined. It is a process of visualizing interim situations. Most projects have many aspects that need to be integrated and future-looking descriptions of the intermediary stages help realize success as the project progresses.

**Narrated.** Descriptive writing is needed to define project scope, purpose, desired outcomes and goals, value-added, communication with collaborators and partners. Narratives enable all stakeholders to agree on the intentions, expectations, stages, costs and benefits prior to beginning the effort.

**Performance Improvement Feasibility Planning**

Performance improvement efforts are often viewed as projects, but are considerably varied in purpose, methods, and intended outcomes. Many projects have commonalities within industries, such as health care, manufacturing, non-profit social agencies, governmental or military, education, or retail to name a few examples. However, each project may use the Performance Improvement /HPT Model for planning the feasibility study. Feasibility is a consideration throughout the model. There is no one time that represents the culmination of feasibility; for example, formative evaluation is iterative and continues throughout improvement effort setting the stage for further work.
PST 19.1 provides the structure for feasibility studies. It is not entirely complete because it is generic. Each individual project will have unique considerations that will add aspects to the study.

**Performance Support Tool (PST) 19.1**

**Performance Improvement Feasibility Study Outline**

<table>
<thead>
<tr>
<th>Discussion of this topic. . .</th>
<th>Should contain this content. . .</th>
</tr>
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</table>
| **Performance Improvement**  | • Describe intended improvement, what will be the initial focus and the improvement to be sustained.  
• Describe benefits to each stakeholder.  
• Describe RSVP (results orientation, systematic approach, value added, and partnership and collaboration). |
| **Intended beneficiaries**   | • Identify and describe all stakeholders.  
• Describe champion (person who will shepherd the project, ensure resources, and minimize resistance within the organization.  
• Define all beneficiaries, including demographic factors and other relevant factors. |
| **Communications and Marketing Strategies** | • Discuss types of communications, such as newsletters, emails, videos, and marketing efforts.  
• Describe initial and on-going efforts needed to keep all stakeholders informed.  
• Determine feedback to and from stakeholders. |
| **Intervention Strategies** | - Since feasibility is iterative, it may be necessary to provide initial feasibility prior to determining interventions.  
- Determining strategic partnerships needed to implement intervention. |
|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| **Steps to Implementation** | - List of proposed key managers, responsibilities, experience, skills, and costs.  
- Resources – champion, financial, facilities, technology, equipment, and other. |
| **Financial Analysis**     | - Break-Even Analysis – short-term point—where the benefits equal the initial costs. If the project has a multi-year break-even calculation, then financial experts can adjust calculations for time based factors of money.  
- Cost Benefit Analysis – long-term benefit based on fixed and costs and benefits taking into consideration employee retention, quality improvements, ergonomics factors, environmental sustainability issues, government regulations compliance, etc. |

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**SUSTAINABILITY**

Sustainability refers to enduring over time supported by adequate emphasis, resources, and structure. It is an aspect of performance improvement intervention planning that organizations utilize when the interventions need
to be maintained for the long term. They are intervention efforts that are viewed as helpful to stakeholders and worth keeping in place.

“Sustainability isn’t a one-size-fits all strategy that a company can implement by following a set of rules. Rather, it springs from challenges each company faces in its own markets.” While there are some common elements in how companies accomplish sustainability, decisions are based on specific critical issues (see Chapter 5). Fromartz (2009) explained:

Sustainability is less a target than an approach, which is why it is continually being refined. As companies ramp up understanding, they also push the envelope of what can be accomplished. In short, learning more about what they do has led companies to change how they do it. Though it takes investment and commitment, the rewards are measured in energy cost savings, new product design, customer engagement and employee commitment. Together, all these attributes amount to the one thing any business understands: competitive advantage.

**SUSTAINABILITY IN THE PERFORMANCE IMPROVEMENT/HPT CONTEXT**

Sustainability is one of the most challenging issues in performance improvement. After following the Performance Improvement/HPT Model and creating a timely and effective solution using a carefully crafted combination of interventions that are determined to be successful in resolving the
problem, the effort could be discontinued or neglected, thus becoming ineffective. How could something that is meeting a recognized need and providing a positive resolution, be ignored or discontinued?

There are unfortunately many factors or circumstances that lead to discontinuing a seemingly very successful effort. Change in leadership is probably the most common cause: change in leadership may lead to a change in direction. Just when the project is implemented and progressing well, there can be an organizational change of emphasis leading to a situation referred to as “flavor of the year” or annual change of emphasis. When an organization has a history of beginning initiatives and then changing interests, there is a tendency of employees to wait and not take change seriously because they believe that the change is likely to be temporary. In other words, the employees become conditioned to resist change.

There are several strategies that can enable or encourage sustainability of performance improvement efforts. Applying the Performance Improvement /HPT Model is important to the long-term success of performance improvement efforts. Three other strategies are RSVP, capacity building, and implement for sustainability.

RSVP
It is critical to apply the first four Performance Technology Standards to sustainability planning. The four standards, known as RSVP, are Focus on results, be Systemic, add Value, and Partner with others.\textsuperscript{30}.

**Figure 19.2**

**RSVP**

[Insert RSVP Figure 19.2 here]

**Results.** Focusing on results and helping the clients focus on results is vital in sustainability planning. When there are identified problems and failures within the organization it is easy to agree on where to begin. However, it is not wise to begin without agreement regarding the results or desired outcomes. If the leadership and those who are affected by the effort have not defined and agreed to the meaning of success, then there will be differing ideas about what the end result should look like.

**Systematic Approach.** Look at situations systemically taking into consideration the larger context including competing pressures, resource constraints, and anticipated change. Gaining consensus on measures of tangible or intangible outcomes, such as production quotas, phones calls answered, project management timelines, sales productivity, or performance appraisals objectives met is the critical first step. To not have agreement means the effort has no clear destination, similar to taking a vacation.
without knowing exactly where you are going. While this may make sense for an informal family trip, it leads to disorientation in organizations. Within organizations almost everything is interdependent. The success of a disaster recovery effort relies on communications, portable medical facilities, food, water, shelter, search and rescue teams, and heavy equipment to dig through rubble. A successful computer software upgrade project relies on careful programming based on sound processes, strong help desk support, consistent and clear technical manuals, and concise and well designed training. The entire initiative needs to be aligned with the organization in order to be sustainable.

**Value.** Determining value is challenging because value includes tangible and intangible elements. On the *tangible* side, the highest level of evaluation includes determining the value of an intervention relative to cost benefit or the total costs of the intervention minus the total benefits. Determining the costs and the benefits of a long-term intervention may require many years of complex analysis. At a minimum, the analysis must take into account the discounted or changing value of money over time due to inflation or the anticipated increases in supplies, wages, rent, and so forth. In addition, profit making organizations may set internal rates of return or anticipated profit margins or establish an internal minimum acceptable rate of return or ‘hurdle’ rate that a manager or company is willing to accept before implementing an intervention.
Interventions also have *intangible* value. Just as brand image has value to marketing and sales, changes in organizational culture can increase employee retention or the ability to attract desired employees. Enhanced employee engagement and empowerment can make a great deal of difference for customer service.\textsuperscript{31} Opportunities for advancement can be motivational. Human capital literature can be very helpful in determining intangible value.

**Partnerships.** Utilizing partnerships or collaborations with clients and other experts is essential for sustainability. All too often, changes in leadership or changes in priorities are the most important reasons for discontinuing or dismantling change. When one single champion retains the vision and the energy and the champion moves on, then the effort can falter. Establishing a broad base of involvement enables the changes to be retained.

**Exhibit 19.1**

**RSVP: An Example**

A high tech U.S. manufacturing plant that had all areas and all shifts meeting quota and quality goals, except for one team. This manufacturing team seemed just like the other teams in education, training, and ability. The one difference seemed to be culture of origin and first language.

The performance improvement manager established a leadership team composed of the plant manager, human resources manager, lean manufacturing manager, operations manager, line
supervisor, and a member of the manufacturing team who was accomplished in the language of the manufacturing team and English. The performance improvement manager used the Performance Improvement/HPT Model as the basis to accomplish consistent quality and quota goals for this manufacturing team.

The effort was widely embraced by key leadership. In the end, there seemed to be a need for this group and the entire plant to better understand their role in meeting the company goals, vision, and mission. Key leadership conducted meetings with the various shifts and groups, including the target manufacturing team. Within a few weeks, their goals and quotas were met and retained since they could see the importance of their efforts and how their work was aligned with the entire process.

Not only was this first performance improvement effort successful, but the company is planning to use the Performance Improvement/HPT Model with other improvement projects in the same and other locations. Broad collaboration, with clear success measures, and applying a systematic process generated confidence to use the approach elsewhere.

Adapted from “Using the HPT Model to Identify and Resolve Issues for Foreign Workers in a Lean U.S. Assembly Plant: A Case Study”, an unpublished doctoral dissertation by K. Beish, 2011, Capella University, Minneapolis, MN. Used with permission.

**Building Capacity**
Due to the essential need to sustain and expand on school improvements, the Certification Standards for School Improvement explicitly covers capacity building as necessary for sustainability. For example, a great deal of research and observation has lead to the development of standards for
Kindergarten through grade twelve. However, the capacity concept can be
generalized to all performance improvement projects and it is already
common to many improvement efforts involved at the international
development level.

Capacity building is an approach to organizational development that
begins with understanding the inhibitors or obstacles to successful
performance and then focuses on how to build on the existing capabilities of
the organization to accomplish measurable and sustainable results. Not only
do those directly involved need to have considerable capacity and
understanding, but key leadership also need to have capacity in order to
make good decisions.

**Interventions.** The strategies or interventions for improvement need to
align with desired outcomes and measures of success. Improvement
professionals need to coach and provide feedback. In order to maximize
potential and see new possibilities in complex situations, it is important to
reflect on progress. It is essential to not only track progress of the
improvement project directly, but also confirm that key leaders are
developing capacity. Sharing improvements and success measures are
essential to build confidence in all constituencies associated with the effort.32

**Exhibit 19.2**

**Building Capacity: An Example**
Sometimes elements of improvement are retained over 30 years although the actual project is long forgotten. In the mid-1980s, a small city in Nevada was challenged with workforce legal battles. A performance improvement specialist applied a systemic HPT approach to create some new initiatives: the first city-wide management and training program, an employee recognition scheme, a suggestion and innovation program, an employee assistance (EAP) service, an arbitration procedure, etc. As a result, hundreds of thousands of legal savings occurred. (See Section 1 case study for more details)

After two years, the city manager departed and the arbitration piece was discontinued. But, the rest of the elements remained in one form or another. “This is a rare example of what can happen when a broad group of stakeholders is able to truly define needs, a capable leader presses forth to implement and support changes for a few years, and the interventions instituted actually begin to produce performance results (and reduced cost).”

Personal communication with Steve Kelly, March 6, 2011. Used with permission.

Implement for Sustainability

Performance improvement professionals need to assure that the wide variety of stakeholders remain committed to improving and sustaining the improvements throughout the life of the intervention. This means establishing and preparing for the transfer of ownership from the initial project team. It is essential to retain and also adapt measures of success while celebrating early accomplishments. This builds confidence and energy.
Report leading indicators of change in order to sustain new processes, recognize achievements, and gradually gain more support for long term transformation.

**Exhibit 19.3**

**Implement for Sustainability: An Example**

This example comes from Eastern Europe beginning in 1992. A major automobile manufacturer desired to enhance their sales and distribution from 5 dealership/service centers to a national headquarters and 80 dealerships throughout Eastern Europe. In the communist days, sales were based on customers ordering cars from binders with photos, who paid full cash up front, and waited 8 to 12 months for delivery. There were no test drives and sellers often took bribes to advance their delivery date. This effort involved training new dealers / owners in Western management techniques and building an effective sales and service force to sell and maintain vehicles in a competitive environment. Due to a comprehensive approach, by the mid 1990s, the import auto company had taken over first place by establishing a complete dealer network and had a cadre of several hundred successful sales representatives and capable service personnel.

This effort relied on clear objectives, trusted internal leaders, highly motivated staff, and excellent product with strong marketing support and fair compensation. “The key for any successful and sustained PI initiative. . .is the involvement of the leadership. This really needs to be more than ‘buy-in’, rather they need to be the initiators and drivers of the change. . .and seen as such by the workforce. The most usual situations when initiatives dissolve or do
not add value is when this leadership role is missing from the start, such as for HR or global HQ driven efforts, and ey leaders are changed, or over-ridden by broader cultural or political factors. Such changes as this make it very hard to sustain change, except when the middle level of leadership has begun to gain benefits from improved performance and will press forward."34

Based on a personal communication with Steve Kelly, February 28, 2011. Used with permission.

**CHALLENGES TO SUSTAINABILITY**

Clearly in a workplace world that changes rapidly, with unexpected competitive pressures and priorities, sustaining progress is challenging. Performance improvement efforts are often project driven with recognized beginning and end dates. Yet, the gains and the accomplishments need to continue.

**Establish Sponsorship**

Establishing a broad base of sponsorship is essential. All too often, the champion has received accolades regarding the positive impact of the improvement effort and is then assigned to new opportunities. Having a broad leadership foundation which includes representation from all aspects of the initiative enables the improvement effort to continue and adapt.

**Set Expectations**
Although sponsors and champions are pleased with the outcomes, the gains are often smaller in the beginning then later when momentum has added greater value. It is important to establish the expectation to measure and evaluate efforts on an ongoing basis. It is essential to publicize success stories in newsletters and other forms of communication establishing the expectation that the success is the new norm.

**Exhibit 19.4**

**Meeting the Challenges: An Example**

A sustained success on a global sales project happened because:

"The leader of the corporate learning organization, which owns the initiative, had a clear vision of the importance of this work and of what the solution needed to include.

This leader effectively communicated this vision and our progress to executive leadership at corporate and globally, and obtained their support for the effort.

This leader identified and assigned roles to internal and external team members that effectively leveraged their expertise.

The sales regions were actively included in the development and implementation of the curriculum architecture. They provided expert performers, subject matter experts, trainers, and even funding.

With strong executive support for the initiative globally, sufficient budget was provided to enable achievement of initiative’s evolving goals. This enabled the team to adhere to best practice in its efforts; no one had to “make do.”
The various regions were not compelled to all adopt the curriculum at the same time; the situations in their various markets guided adoption timeline. Similarly, the regions were encouraged to map the curriculum architecture against their existing curricula and leverage where possible. Further, all training was localized to each region.

- Finally, a significant contributor to sustainability is positive business results. The positive sales results achieved as the curriculum architecture began to be implemented played a strong role in reinforcing commitment to the initiative.”

Personal communication from Lisa Toenniges, March 12, 2011. Used with permission.

**PST 19.2.**

**Template for a Business Case**

**Purpose:** Business cases provide evidence of the value of interventions and document the important aspects of the intervention scenarios or options. They include financial considerations that involve working with financial experts and purchasing issues that involve purchasing agents within the organization. Performance improvement interventions require leadership support for sustained success and the business case represents current leader-supporters, reaches out to other leaders for support, and helps to sustain continuing leadership support. As they collaborate while the business case is prepared, many stakeholders develop consensus and partnerships that are maintained throughout the intervention life cycle and beyond.
Business Case Table of Contents:

Executive Summary

Introduction

Statement of the Gap and Measures of Success

Justification

Assumptions and Methods

Financial Metrics
Assumptions and Risks
Project Planning
Scenarios

Business Impacts

Conclusions and Recommendations
EXECUTIVE SUMMARY

The executive summary is often the only part of the business case that is read by senior leadership and those not directly involved in the case. It is written after the entire document has been crafted and present information succinctly.

INTRODUCTION

Statement of the Gap and Measures of Success. The opportunity or problem should be defined based on the performance analysis, including the gap and cause analysis. Goals and objectives are described in definite, observable, measureable terms. Baseline status which defines the current situation should to be documented. Definite results, goals, and objectives need to align with the desired state. Accomplishment of alignment will indicate success, known as measures of success.

Justification. Benefits of the intervention effort should include statements aligned with strategic direction and emphasis of the organization. The benefits are the value of accomplishing the project’s measures of success. Intervention efforts should demonstrate impact, including return on investment. The project could increase brand reputation, customer focus, culture, or innovative and excellent products or services. For example, an effort to empower customer call center representatives would provide an innovative new service option, and could please customers which would lead to improved brand reputation and making customers feel valued. This in turn could create a more positive culture.
for the entire call center. It is likely that there would also be a positive return on investment.

ASSUMPTION AND METHODS

Financial Metrics

Describe the types of measures that the business case is based on. It is likely that the performance improvement practitioner will work with someone from the finance department to determine which of these measures apply. The list below represents customary, generic measures for any organization.

Net cash flow

Net present value

Payback period

Return on investment

Discounted cash flow

Internal rate of return

Return on Assets

Price/performance ratio
Also, intangible measures should be documented, such as increased brand loyalty, improved collaboration, faster decisions, or higher ratings on annual employee cultural surveys.

**Assumptions and Risks**

List all assumptions taken for granted. Also, identify and define the consequences and risks of not implementing the interventions.

**Project Planning**

Projects need to be visualized in terms of tasks, responsibilities, financial and other resources, timelines, etc.\(^{35}\) It is important to anticipate and document the tasks that would be involved in the effort.\(^ {36}\) Project management software can be quite easy to learn because the software is an electronic performance support tool based on spreadsheet software. The software has artificial intelligence built in so that it is easy to create reports that track tasks on time, tasks delayed, contingency planning using critical pathing, plus resources over utilized, and so forth. Attaching Gantt charts, with milestones and timelines (See Figure 19.1) helps stakeholders see at a glance what is expected. Gantt charts are also helpful for documenting the importance of timing of resources to prevent delaying the effort.

**Figure 19.3**

**Example of Project Management Gantt Chart**

[Insert Figure 19.3 Gantt Chart here]
Scenarios

Scenarios provide narrative visualizations of the potential of the intervention project and the risks and consequences of not doing the intervention effort. Typically, more than one scenario is presented if there is more than one plan that is appropriate. Benefits and limitations of each scenario are presented.

BUSINESS IMPACTS

For each scenario, highlight the main outcomes and the benefits. It is also important to point out the downsides and risks of each approach. Charts and other graphics may be helpful to illustrate the features of each option.

CONCLUSIONS AND RECOMMENDATIONS

Summarize the main points of the scenarios and options along with the benefits and consequences of each choice. Recommendations should be concise and describe the optimal intervention scenario, as well as briefly describe the other scenario options.

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List of Citations

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CHAPTER 20
DEVELOPING INTERVENTIONS

The first two editions of Fundamentals did not discuss development of the performance intervention as a discrete step in the selection and design phase of the HPT Model. In fact, “…there is not always a well-defined distinction between design and development”\(^1\). In addition, very little has been written about development in the PI/HPT literature. This chapter will synthesize the available literature and provide guidelines for developing various types of performance improvement interventions.

Definition

The word development is sometimes used as an umbrella term that includes design and sometimes even implementation. According to Spitzer\(^2\) development is “…an extension of design. It prepares the design for implementation”. ISPI Performance Standard 8 state that “Development is about the creation of some or all of the elements of the solution. It can be done by an individual or by a team. The output is a product, process, system, or technology.”\(^3\)

Whether interventions are selected or designed, in whole or in part, there is a phase when the intervention needs to be developed prior to implementation. Development takes an “off-the-shelf” performance intervention package or an intervention design document or a combination and does whatever is required to “make it happen”. Development translates the intervention selection decisions into a program or product that supports action and change. It literally produces the intervention.

Scope

Rummler and Brache\(^4\) suggest that taken together, design and development “may include a broad range of actions” and the processes and materials required to support those actions, including “the process that will be used to evaluate the effectiveness of the treatment [interventions]”. Whether customizing a purchased or “off-the-shelf” team building program or working from a design document, the
performance improvement practitioner as the developer will be faced with a variety of development scenarios.

“Some interventions require extensive development...others require very little”[5] Spitzer provides the following examples: a new sales incentive program may only require an announcement containing details for earning the incentive and email follow-ups to encourage participation in the program, while setting up a new manufacturing system may include writing and producing procedures and job aids, setting up a performance measurement system, developing instructor and learner materials for multiple training program, writing and producing communication materials, and so forth.

The scope of development activities needs to be taken into account when selecting the most appropriate intervention. Developing new interventions “from scratch” is the most resource-consuming process. The resources needed for working with “off-the-shelf” packages vary depending on the degree of change required to make the package fit the solution.

New Intervention Packages. Performance intervention packages that require the most extensive development are those which are new to the industry or the organization and cannot rely on off-the-shelf products or programs. If the intervention is global and targets a wide variety of audiences with different languages and cultures development can be especially challenging.

Off-the-Shelf Packages.

When a large pharmaceutical company decided to reorganize their nationwide sales units into teams the company selected an off-the-shelf team building program with an accompanying train-the-trainer program so their internal training department staff could facilitate team building workshops. The company also decided to provide travel incentives to the sales teams who completed the training and met their target sales goals within the 12 months after the training. The company outsourced the administration and distribution of the incentives to an outside company. The internal performance improvement practitioner had minimal involvement; she acted as a liaison between the vendors and the
company, and worked with the internal training department and sales department to collect data on attendance, training evaluations, and sales performance.

On the other hand, when off-the-shelf interventions require customization of materials or even content to adapt them to the culture of an organization, customization may be done in house. A management consulting company purchased the same off-the-shelf team training program as the pharmaceutical company; however their in-house trainer developed the customized material and delivered the training.

**Environmental Impacts.** The extent of development required may also be further impacted by environmental issues. Developing a new intervention for a company with a strong corporate culture may require producing all new components or elaborating, building on, customizing, or otherwise changing existing components to meet the needs of the organization or audience. Updating an existing intervention may require the acquisition of new technology or the adaptation of existing technology to implement the intervention. At a minimum, development involves using technology to produce materials that support changes in performance as well as support change management, evaluation, communication, reporting, scheduling, and other activities required for successful implementation and maintenance.

**Purpose**

Silber states that the purpose of development is to “turn existing specifications for the performance solution into a product.”

Rummler and Brache look at design and development as as an important step in the HPT process and suggest “the objective of this step is to design and develop the recommended changes—treatments—that were specified as part of the analysis step.” The development step makes sure that everything is in place—scheduled, organized, supported, and validated—prior to implementation. After the selection
and/or design of an intervention, the purpose of development is to produce all the pieces and put them together before implementation.

Timing
From a linear perspective, development activities occur after performance analysis, intervention selection and/or design, and acceptance of the business case. Development should also occur just before intervention implementation and maintenance. However, in the real world, Spritzer suggests that development and implementation “...should be proactively considered during the design phase because effective intervention designs must always take account of implementation requirements”.

Concurrent design and development is also part of the rapid prototyping movement for just-in-time or right-now implementation of performance improvement interventions.

Practitioner Role and Competencies
Development skills are different and broader than design skills. Successful development may require collaboration with graphic designers, computer-or-video-producers, evaluators, statisticians, marketing experts, writers and editors, instructors, work redesign experts, salary or benefits experts, and others with specific skills to produce the various components of an intervention. Project management skills are essential for keeping the development activities on time and within budget. Communication skills are vital for working with a team of development professionals. ISPI Standard 8 (Appendix A) shows the iterative nature of development and the broad skills required of the performance improvement practitioner in the role of intervention developer.

GUIDELINES FOR SUCCESSFUL INTERVENTION DEVELOPMENT
Development is both an art and a science. It has a creative side and a systematic side. On the one hand the developer turns a task description into a performance support tool or job aid that separates nice to know from need to know, captures and holds the performer’s attention, and contains all the need-to-know information required to perform the task, and facilitates rapid on-the-job comprehension. On the
other hand the developer develops the components of an online learning simulation within the strict parameters set by the simulation system.

Developers must be able to stay focused on the objectives and the desired results of the intervention elements as well as the criteria or metrics that will be used to evaluate the elements. They also need to be consistent in the use of terminology and voice, especially when they are developing materials such as posters, training manuals, or business forms. All the materials for the intervention must have the same look and feel so the performance improvement practitioner or lead developer must monitor the development outputs.

Involving subject matter experts and other stakeholders in the development process is vital to the developer and helps to maintain commitment for the upcoming implementation phase. Content experts and expert performers can review training materials or supporting documentation for accuracy and/or appeal and provide feedback to the developer before final production makes it difficult to incorporate changes. This also gives the experts a sense of ownership and makes them more committed to the intervention’s success.

**DEVELOPMENT PROCESS**

Development may be conducted by one person or by a team which includes, at the very minimum, the performance improvement practitioner and a production person. Development teams may also include a person for scheduling activities and tracking delivery of the various components of the intervention. Spitzer\(^9\) suggests a five-step development process: (1) select the development team, (2) prepare the development plan, (3) develop and test the prototype, (4) revise the development plan as needed, and (5) produce the final intervention materials. The following list of steps builds on Spitzer’s five steps and adds steps based on ISPI Standard 8 and experience in the field. The steps also assume that a design document was completed during the design phase which includes a detailed development plan:
Figure 20.1

Intervention Development Process

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1. Prepare
   a) Gather the development plan in the design document, off-the-shelf product documentation, and standards or other requirements that will guide the development process;
   b) Select the development team—unless this was done earlier during design
   c) Review the development plan with the team
   d) Review the purchased intervention program or products or the intervention design blueprint
   e) Review the goals and objectives of the intervention
   f) Review what needs to be developed to implement, maintain, and evaluate the intervention
   g) Review of plan the resource requirements for development
   h) Sequence and organize the intervention delivery activities and materials for maximum effectiveness

2. Freeze the design document; no changes until the first draft is completed and reviewed

3. Develop
   a) Draft the processes and materials required to support the implementation of the intervention
   b) Revise the materials as needed

4. Test
   a) Validate drafts with content or performance experts
b) Test the intervention components with a “typical” audience, stakeholders, and/or other designers or developers

c) Make revisions as needed

d) Initiate review-revise-approve cycle as needed

5. Produce the complete performance improvement intervention package.

Throughout the development process the developer should conduct formative evaluations of the process and the products and make adjustments based on the results. During the pilot, the developer can also conduct an initial summative evaluation of the participant’s immediate reaction and observed or perceived changes in knowledge, skills, or attitude (See Chapters 23 and 24 on Evaluation)

FEASIBILITY, SUSTAINABILITY, CHANGE MANAGEMENT

During the development phase the developer should ensure that the development activities maintain the feasibility and sustainability standards established in the Business Case (see Chapter 19). For example, changes in resource requirements to develop computer-based materials may increase the original cost estimate or expand the timelines and require verification from a decision maker.

The developer should also pay special attention to creating the processes and materials related to the sustainability and change management strategies that are designed into a long-term intervention. The processes or materials that support sustainability will ensure that the intervention can be maintained and remain successful over its intended life cycle.

CONCLUSION

Intervention development is all about transformation—about turning a performance improvement intervention design into a real-life intervention. The development team, and it usually does take a team, creates whatever elements and components are needed to implement the performance improvement
intervention and accomplish the desire results. The first step in the development process—Prepare—lays the foundation for a successful development phase. PST 20.1 helps the performance improvement practitioner and the development team document the results they achieve during Step 1.

**PST 20.1**

**Outputs Matrix for Step 1: Prepare for Development**

**Directions:** Use this matrix to record the outputs of the Prepare step. Use a separate outputs matrix for each element of the intervention. If an element contains many different components you may want to use one matrix per component. For a clarification of the terms intervention *element* and intervention element *component* see the table below:

PST 20.1, Table 1

<table>
<thead>
<tr>
<th>Intervention: Incentive Program for Improved Performance</th>
<th>Components of this element could be . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elements of this intervention could be . . .</td>
<td></td>
</tr>
<tr>
<td>Information—provide information about the program to workers and leadership</td>
<td>• meeting agenda and slide show</td>
</tr>
<tr>
<td></td>
<td>• policy, procedures, forms for participation</td>
</tr>
<tr>
<td></td>
<td>• other . .</td>
</tr>
<tr>
<td>Motivation—encourage workers to participate and leaders to support incentive program</td>
<td>• message on organization’s web site or social networking system</td>
</tr>
<tr>
<td></td>
<td>• ‘tweets’ from current participants</td>
</tr>
<tr>
<td></td>
<td>• other . .</td>
</tr>
<tr>
<td>Performance Support—provide support for processes that need to be in place in order to implement the element</td>
<td>• policies, procedures, forms for selecting an outside vendor to provide incentives</td>
</tr>
<tr>
<td></td>
<td>• policies, procedures, forms for record keeping during incentive program implementation</td>
</tr>
<tr>
<td></td>
<td>• other . .</td>
</tr>
</tbody>
</table>

**OUTPUTS MATRIX FOR STEP 1: PREPARE FOR DEVELOPMENT**

Design Element:
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>What component(s) need to be developed to implement this element?</td>
<td></td>
</tr>
<tr>
<td>Are there any special requirements, standards, or constraints to development of this element?</td>
<td></td>
</tr>
<tr>
<td>What Design Document sections support development of this element?</td>
<td></td>
</tr>
<tr>
<td>If this is a purchased element, what user support is available? (Documentation? Technician? Training? Other?)</td>
<td></td>
</tr>
<tr>
<td>Who has the knowledge and/or skill to help develop the components of this element?</td>
<td></td>
</tr>
<tr>
<td>Who can provide leadership support for this element of the intervention?</td>
<td></td>
</tr>
<tr>
<td>What production tools or other resources are required to develop the intervention process and materials?</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>What are the timelines? Milestones? (prepare a separate Gantt chart or spreadsheet)</td>
<td></td>
</tr>
<tr>
<td>What is the budget for developing this element?</td>
<td></td>
</tr>
<tr>
<td>What is the communication plan for the development phase of this element? (Scheduled status reports? “Yellow flag” notices for potential time or cost overages? Other?)</td>
<td></td>
</tr>
<tr>
<td>Other...</td>
<td></td>
</tr>
</tbody>
</table>

**CHAPTER 20 INTERVENTION DEVELOPMENT CITATIONS**

1. Spitzer, 1999, p. 180  
2. Spitzer, 1999, p. 164  
3. *ISPI Standards*, 2011, p. 25  
4. Rummler & Brache, 1992, p. 44  
5. Spitzer, 1999, p. 181  
7. Rummler & Brache, 1992, p. 44

CHAPTER 20 INTERVENTION DEVELOPMENT REFERENCES


SECTION 3 EXHIBIT

Information Technology Company Aligns Workforce to Business Strategy and Direction

[Note to editor: Please put this Exhibit at the end of Section 3 with the Section 3 Case Study]

Talent management refers to integrated strategies to increase workforce productivity and growth through having the right people with the right skills, behaviors and aptitudes meet current and future business needs. Talent alignment drives your strategy around talent acquisition, talent assessment, talent identification, and talent development. You can’t have an engaged workforce without talent management.

Situation

ProQuest, an information technology company located in Ann Arbor, Michigan, focuses on aggregated information publishing and research support. ProQuest’s beginnings date back to its founding in 1938 as a pioneer in microfilm. Today, ProQuest creates specialized information resources and technologies that support researchers around the world. Early in 2007, ProQuest Company sold its largest business unit, ProQuest Information and Learning, to Cambridge Information Group (CIG). CIG’s focus for the remainder of 2007 was the integration of ProQuest Information and Learning and Cambridge Scientific Abstracts (CSA), which was previously competitor, under the Cambridge Information Group umbrella.
2008 kicked off with much of the tactical integration work complete and the organization turned its attention to aligning the workforce to the overall business strategy and direction.

Cambridge Information Group was intent on growing ProQuest, and, more generally, that part of the business which focused on facilitating and supporting research activities around the world, both organically and through further acquisitions. In order to do so, CIG leadership recognized the importance of having a talent strategy for the organization and the need to invest in the execution of that talent strategy.

**Talent Management Intervention**

As the new, consolidated ProQuest embarked on its talent management effort, it quickly became apparent that the organization would have to assess the similarities and differences between the standard talent management processes (performance management, compensation planning, recruiting, etc.) that had been employed by CSA compared to those employed by ProQuest Information and Learning.

The Human Resources (HR) team gathered feedback from various members of leadership as well as from the different field locations and then collaborated on addressing the primary issues to ensure standardization of practices and accountability at all levels for the talent imperative. There were three issues in particular that were identified as core to successfully moving forward with the talent management agenda:
• The organization lacked alignment on what talent management meant and who was ultimately accountable.
• There was confusion and inconsistency around how employees’ performance was measured and evaluated.
• There were data integrity and reporting issues hindering leaders’ abilities to determine and execute basic talent management processes.

Dialogue. The leadership team recognized that problems existed and engaged the HR team. Each senior leader provided input for addressing the issues in the context of ensuring a competent, informed and agile workforce for the future. The HR team then formulated a plan for addressing the issues, focusing on three specific goals: (1) align the talent strategy with the business strategy; (2) ensure accountability for performance and development; and (3) improve data integrity and availability to enhance consistency, speed and quality of people decisions.

Alignment. Accomplishment of these goals required on-going dialogue between the HR team and the senior leadership of the organization, as well as confirmation and calibration activities with the broader organizational population to avoid introducing something that was too high level and too overly-complicated. Through their analysis HR determined that alignment, or lack thereof, was at the root of the problem because the organization had just been formed and minimal work had been done to establish a unified talent culture among the various business units. The first order of business
was to create a model and elicit buy-in, particularly among the senior leadership, for definition and a philosophy supporting talent management. After several iterations, the exercise yielded a workable definition, philosophy and principles of talent management in the organization. From there a model was developed (Figure 1) which was intended to show the key elements of talent management and the continuous and inter-related nature of those elements. It provided a simple picture of what talent management encompasses and was supplemented with materials that explained each element in detail, from a process and activity perspective, so that every employee could understand his or her role in executing the model in day-to-day operations.

**Figure 1**

*ProQuest Talent Management Model*

ProQuest defined talent management as “Integrated strategies to increase workforce productivity and growth through having the right people with the right skills, behaviors and aptitudes meet current and future business needs.” They established the accountability parameters with the following philosophy and principles:
Finally, ProQuest defined the elements of the talent management model in terms of the core activities associated with each one, as shown in Table 2.

Table 2
Elements of Talent Management: Details
### Talent Assessment

With the “launch” of the common talent management platform accomplished and clear alignment of the talent management program linked to the business model and strategy, the HR team focused its attention on the talent assessment element and specifically, what personal success looked like in the context of organizational success. The business leadership was responsible for identifying the business priorities for any given year during the strategic planning process, but there was not a consistent translation of those business priorities to individual accountabilities across the business. Additionally, development planning and management were hindered by the organization’s multiple competency models and differing definitions of competencies for various groups of employees.
As a result of the merger of various business units into a single structure, there were multiple processes being employed to evaluate and differentiate performance. Within the ProQuest Information and Learning business unit itself, there was misalignment between the performance management process and the pay for performance philosophy creating confusion and inconsistencies in how performance was planned and assessed. To address this issue, the HR team revamped the process to standardize how performance objectives were aligned, cascaded, and finalized and introduced a common set of behavioral competencies for individual contributors and leaders (the two “categories” of employees based solely on whether they formally had people reporting to them or not) that aligned to the organizational values and competencies.

A standard performance management calendar was established to ensure consistent and timely planning and feedback and expectations were made clear through a balanced weighting between the performance objectives (what people accomplished) and the behavioral competencies (how people accomplished their goals). In defining the “how” with respect to the behavioral competencies, a tiered definition structure was put in place to help individuals understand how each competency related to the newly defined career path for individual contributors and leaders and how expectations grew along the hierarchical continuum.
Ultimately, the new framework and process were designed to achieve three primary outcomes from the performance management process: (1) all employees were provided goals that aligned their focus and efforts to the overall success of ProQuest; (2) development planning that was robust and two-dimensionally focused on excellence in role and preparation for future roles; (3) consistency in how employees were evaluated and rated to promote a pay for performance culture, where pay was differentiated based on assessed level of performance and behavioral competence. Figures 2, 3 and 4 show the organizational competency model and the alternative career paths for individual contributors and leaders along with the associated definition for each level.

**Figure 2**

**ProQuest Organizational Competency Model**

![ProQuest Organizational Competency Model](INSERT FIGURE 28.2)

Copyright by W. Tarnacki. Used with permission.

[**Insert Figure 3: ProQuest Individual Contributor Progressive Expectations Map here**]

![ProQuest Individual Contributor Progressive Expectations Map](INSERT FIGURE 28.3)

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[**Insert Figure 4 ProQuest Leadership Progressive Expectations Map here**]
Education and Communication Intervention

In order to effectively introduce the new organizational talent management model and restructure the process and framework for the performance management process, a great deal of time and energy were invested in education and communication to the global workforce. Materials were developed internally to allow for in-person and web-based delivery, presented to senior leadership for buy-in, and then “tested” with small focus groups from across the business to ensure both the materials and the concepts themselves were clear and comprehensible. Once all the input was incorporated and leadership signed off, everything was launched over the course of a few weeks so that all employees were on the same page within a reasonable period of time. A communications plan also was established with follow-up refresher messages delivered from HR and business leadership to demonstrate ownership and accountability.

HRD System Intervention

The final issue that remained was the lack of data integrity and analysis with respect to talent, resulting from the fast-paced growth and integration of various global business units into a single entity. This issue was that multiple
systems were not scalable to match the needs of the business as the organization grew globally. In addition, there was misalignment between the systems in place and their ultimate purpose, i.e., what defined “system of record” for the various aspects of the talent life cycle. The focus of this particular intervention was the systems associated with managing talent, not the systems associated with managing the day-to-day operations. The difference between the other two interventions and this one was the involvement of all CIG HR resources in the process of evaluating and selecting the appropriate system(s) based on everyone’s needs. In other words, the baseline expectation was to identify the appropriate systems that were scalable not only to match ProQuest’s growth expectations, but also Cambridge Information Group’s other businesses too. ProQuest elected to expand the scope to include a system that could facilitate implementation of and reporting on the core talent management processes of performance management, development planning, and succession. The resulting intervention was the selection and deployment of a new human resources information system (HRIS) for all of CIG and a new integrated talent management system for ProQuest. The keys to the selection process were consensus on “system of record” requirements in terms of the types of employee data that would have to be stored and could be extracted for reporting purposes, and alignment of the systems to the core talent management processes that had just been launched across the enterprise.
As was the case with the talent management model and strategy deployment, a comprehensive training plan was compiled to ensure complete and pertinent training to all areas of the organization. Various tools were employed, including web meeting forums, ProQuest’s intranet site, and SharePoint sites, to facilitate timely delivery in line with actual process timing to ensure real-time access to tools and job aids designed for each type of system user. These tools and training materials are reviewed and revised annually based on changes and enhancements to the systems themselves. The end result is an integrated talent management program aligned with the business strategy and owned by organizational leadership that is fully supported by relevant processes, systems, training, documentation and job aids.

**Lessons Learned**

1) Systems View: Taking and maintaining a systems view of things when identifying performance gaps and devising solutions is absolutely critical to ensuring on-going applicability of those solutions. Too often, organizations experience diminishing returns on their performance interventions because the scope was not scalable to adapt to growth and changes in organizational dynamics. In the case of ProQuest, if a systems approach had not been taken, then there would have been issues with different “translations” of the competencies in different geographic regions and the systems would not have been able to
accommodate interactivity and communication with other talent management systems amassed through acquisitions.

2) Electronic Systems are Tools not Solutions: Many organizations are convinced that a system, especially a talent management system, can solve their problems with respect to aligning talent to common objectives and consistently assessing, identifying, developing and rewarding their talent. It is imperative to solidify the model for managing talent across the organization and perfecting the processes associated with each element of that model BEFORE introducing a system that can help tie it all together. Systems can absolutely be beneficial in speeding up execution of processes and facilitating reporting, but if the overall strategy and processes are not accepted and owned by the business, then the system itself will only accentuate problems that already exist. Although ProQuest established the strategy, direction, and processes ahead of time, it might have been more effective to only take on one system of record launch at a time and allow for a full year of implementing the revised talent processes.

3) Alignment is Key: This is true in every sense of the word. Leaders must be aligned and accept responsibility for “owning” the talent strategy, just as they own the business strategy; expectations and rewards for employees must be aligned with the high level organizational goals and the values and culture of the organization;
and systems must be aligned with the processes and functions they are designed to support. Without alignment, any solution is doomed to be labeled a “flavor of the month” (transitory) or outright ignored, and the business will continue to suffer. The approach the ProQuest HR team took of involving senior leadership in problem identification and solution formulation, and utilizing focus groups to confirm the legitimacy and explicitness of the solutions reduced confusion and expedited deployment.

4) Plan for the Future but Act in the Moment: Like any gap assessment, the analysis performed to identify root causes is steeped in historical data and reflection versus projection. To large extent, this is unavoidable. The key for ensuring longevity of solutions is to make sure they are tested against macro and micro business trends with an eye on what future success looks like. Additionally, it is important to always think in terms of outcomes versus activities, which can be difficult since business professionals are typically motivated to solve problems quickly, rather than slow down and plan with a long-term end goal in mind. The problem is that without considering this at the outset, it becomes very difficult to measure success or failure over time. By involving senior leadership in the process, there was an immediate perspective on the validity of the talent strategy as it relates to the longer term business strategy and further iterations of
that strategy have called out a confirmative review as part of the business strategic planning process.

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SECTION 3 CASE STUDY

Topic: Business Case

Subject: No Room for Error: Saving a Multi-Office Dental Practice in Michigan

Author: Jeffrey E. McElyea, MS, MA President and lead consultant, Lucid Business Strategies, Shelby Township, Michigan, USA

Background:
A Michigan dentist built a very successful practice over a period of twenty-five years. As the practice became larger, the owner decided that he no longer wanted to practice dentistry full-time, but would rather hire associate doctors to fill his current role. The dentist would change his focus to purchasing under-performing practices and turning them into high-profit offices.

The client dentist located a practice that had been in operation fifteen years. Despite a very desirable location, solid patient base, and capable staff, the practice had been declining in production (sales) over the previous five years. After a brief negotiation, the dentist successfully purchased the practice.

Critical Business Issue:
After the purchase, the dentists asked the office manager and two key personnel from the first practice to work temporarily at the new office to
implement their systems and to reverse the trend of declining production.

Six months later production and operations at the new practice stabilized, but did not grow. The original practice began loaning cash to the new practice to help pay vendors and to make the loan payments to the bank for the purchase of the practice.

During the time the personnel worked at the new office, problems developed at the original practice. Patients began leaving the practice, causing a significant decline in cash flow. This, combined with the money that was loaned to the new practice, began to cause the original practice to struggle to meet payroll and pay their vendors.

In an effort to keep both practices financially viable, the dentist used all of his personal cash reserves and began taking out lines of credit until lenders would not extend any further credit. This doctor who had worked his entire career to build a successful practice and position himself for a comfortable retirement was now in a position of impending insolvency.

**Building the Initial Business Case**

The client’s original request was to “conduct a marketing campaign to attract new patients for both practices.” We needed to convince the dentist that conducting a performance analysis would be a better starting point than a marketing campaign; putting the solution first would not address the larger issues of why patients were leaving, why the financial condition of both
practices was deteriorating, and why the original practice began declining so rapidly after the acquisition of the second practice.

The consulting team began building a business case to demonstrate our point. We decided that we should build a business case for only the performance analysis, instead of a full performance improvement project, since it would be easier to get buy-in for this instead of trying to convince the clients to completely abandon their preferred intervention, the marketing campaign.

We began building the case by identifying the points that were important to the dentist and increase our chances of obtaining his buy-in. The points we agreed to make were:

1. To shift the dentist’s focus off marketing by pointing out that his real objective was to improve the business situation.
2. To clearly explain what a performance analysis is and what would be involved.
3. To emphasize that it was very important to be certain that the solutions would improve the business situation, and the only way to determine what was truly causing the challenges was a performance analysis.
4. That conducting a performance analysis would save money.
5. The performance analysis would be done quickly so that we could begin correcting the business problems as soon as possible.
6. The performance analysis would actually support his marketing campaign if marketing was the solution.

The consulting team assembled data from the practice’s financial statements, practice management software, and from similar projects the team had worked on in the past. We analyzed the data, prepared the business case presentation, and set an appointment to present the case to the dentist and the office manager.

The Presentation

The team decided that a case that was based on data had the best chance of convincing the dentist and office manager that performance analysis was the best approach. We decided that we would:

1. Present the data and lead the client through interpreting it, instead of presenting our opinions. In this way we would be collaborators rather than sales people.
2. Be certain to not say that a marketing campaign was wrong, as we had no data to support that statement, and we might alienate the client.
3. Relate everything to the client’s ultimate goal of improving their business situation.

We began our presentation by asking the dentist and office manager to identify their biggest concerns. They quickly identified cash flow, loss of patients, decline in production, and lack of new patients. Then we asked
what turned out to be the most important question in our entire engagement, “What happens if these challenges are not corrected quickly?” The response was: “We’re out of business!”

From this point forward, our presentation focused entirely on making sure we correctly identified causes and implemented solutions in the most expedient and cost effective way possible. We demonstrated what the cost of a marketing campaign would likely be, and asked, “How confident are you that a marketing campaign will correct all of your issues?” They answered, “We hope that it will be successful in bringing in new patients, and that will correct our cash flow issues.” We pointed out that even if that were true, it would not correct the long-term situation, as it would not address the problem of losing patients.

Next, we demonstrated how much the current problems had cost them. The challenges were costing the practice a minimum of $800,000 each year; the actual cost was more in opportunity costs because each practice should be growing each year. The dentist and office manager were unaware of this fact. This opened the door for us to present the concept of conducting a performance analysis.

We explained what a performance analysis was, and why we recommended it. We emphasized that we would analyze every facet of both practices and provide conclusive evidence to them about what was causing their
performance challenges. From there, we would work with them to decide the best courses of action. We explained that we could complete this analysis in less than 30 days. The dentist and office manager quickly agreed.

**Focus on Results**

Since small business owners are typically very results-oriented, we decided to not only identify the problems but also to create the performance goals. We agreed on and wrote specific goals for each of the following:

1. Identify the causes of the cash flow challenges.
2. Reduce the loss of patients.
3. Identify and eliminate the internal or non-marketing barriers to growth at both practices.
4. Increase the number of new patients.

**Systematic Analysis**

Given the gravity of the situation, it was imperative that the consulting team be as comprehensive as possible in analyzing the situation. They began with an extensive review of daily schedules, scheduling trends, billing records & processes, patient attrition, accounts receivable, profit and loss statements, and other such data. This was followed by structured interviews of every staff member of both practices. Patient satisfaction surveys were conducted, and interviews were conducted with new patients, current patients, and former patients.
Focus on Systems View

As important as it was to evaluate each individual practice, it was equally important to evaluate the impact of adding the second practice and the impact of the combining the challenges from both practices. The consulting team conducted a second round of interviews with staff members to understand the impact of the office manager covering both offices. They also evaluated data to understand the differences in how each practice performed when the office manager was at that location instead of the other. The key performance challenges were:

1. The division of the office manager’s time between practices made it nearly impossible to devote sufficient time to managing the key performance drivers of either practice. Each practice performed better on days that the office manager was at that location.

2. The office manager used to oversee the billing at the original office. When her time was divided between offices, these duties were delegated to other persons. These individuals did not have the knowledge to perform these duties and did not want to do them. Consequently, billing fell behind, collection calls were not made, the amount of accounts receivable more than doubled within 60 days. This almost stopped the inflow of cash coming into both practices.

3. The way in which patient records were entered into the practice management software made it extremely difficult to identify which
patients were past due for treatment so staff could not contact those patients to fill the dentists’ schedules.

4. Front desk personnel perceived that the economy made patients postpone treatment so they allowed the patients to leave the office without making their next appointment. This information was not entered into the practice management software, so there was no effective way to contact these patients to schedule their next appointment.

5. Front desk personnel began creating payment plans for treatment to help patients afford treatment. Approximately 25% of these patients did not make the agreed upon payments.

6. As production began dropping, management stepped up pressure on the staff to turn the situation around and fill the schedule. This caused the staff to over-schedule their day, which caused the staff to run behind appointments took two to three times longer than patients had anticipated. This caused patients to refuse to schedule their next appointment. Records indicated that both practices had more than doubled the attrition rate.

7. As cash flow became tighter, both practices stopped all external marketing efforts in an effort to conserve cash. This almost completely stopped the flow of new patients.
8. When patients needed major treatment, they needed help having
the procedures explained to them, and navigating insurance,
financial arrangements, and scheduling. The staff was unable to do
this, as they were extremely busy answering phones and checking
patients in and out. This meant that many patients left the practice
without this treatment being scheduled.

**Interventions**

The consulting team presented the findings from the analysis. The clients
agreed with the findings, especially since they were involved in conducting
the analysis. The consulting team then brainstormed interventions that we
collectively agreed could solve the business issues and achieve our
performance goals. These interventions were:

1. To assemble a triage team to address billing and collections, record
treatment plans in the practice management software, and recall
patients who were due for treatment.

2. Hire an office manager for the second practice.

3. Hire a dedicated billing and collections person and centralize billing
for both offices.

4. Identify and train a specific person in each office to present
treatment to patients, and gain their commitment to proceed with
the doctor’s recommendations.
5. Implement a daily scheduling template to maximize production and ensure that all patient appointments would start and end on time.

6. Locate external sources of financing for patients so that we could eliminate internal payment plans.

7. Develop and post a daily performance dashboard in an employee area to show the number of patients that left without appointments, amount of refused treatment, and so forth. Use these metrics in daily pre-shift meetings to understand the causes and to train the staff in methods of handling these situations.

8. Develop incentive programs for both staff and patients to reward referrals to new patients.

9. Design a “new patient experience” program to ensure each practice far exceeds the expectations of the patients.

10. Implement an extensive training program to script and standardize every facet of patient care and administrative procedures.

11. Implement an Internet Marketing strategy for new patients only after all other interventions are successfully implemented.

The dentist and office manager were in agreement that each of these interventions was needed; however they were hesitant to proceed with any of them, until they knew more information about cost and impact. As is often the case, we needed to build a second business case to prove the value of the interventions.
The Second Business Case—Feasibility

The consulting team began building the business case by identifying the costs associated with implementing each intervention. The cost of implementing all of the interventions was estimated to be $150,000. Our challenge now became to build a case that would convince the client that they could afford $150,000, and that it was a wise investment. It was time to collaborate with them once again.

We met with the dentist and office manager to reveal the costs associated with each intervention, and work with them to structure a way to afford this expense. We did this by:

1. Showing that the interventions would be implemented over time, so the cost could be spread out over a period of several months.
2. Prioritizing which interventions would have the greatest financial impact at the lowest cost. We would use the financial gains from these interventions to invest in the future ones.
3. Promising to track the results of every intervention vs. cost to determine an ROI for each, and to refine interventions that were not producing as expected.

The clients were still apprehensive, but were comforted by spreading out the implementation timeframe. They also felt comfortable knowing that we were evaluating every intervention, and would not be spending money that did
not show a positive ROI. They approved the interventions pending the results of the first implementation—assembling a triage team.

**Designing the Interventions**

The success of interventions was dependent upon the acceptance and buy-in of the staff members at each practice. Sustained success was dependent on the staff members seeing the interventions as being led by the dentist and office manager instead of the consultant team. The consulting team coached the clients on identifying a team of exemplary performers from both practices to work side-by-side with the dentist, and the office manager, and consultants and to lead the team through the process of implementing the interventions in their respective practice and creating solutions to any obstacles. A project plan was created to identify the steps, resources, and support material that would be required to develop each intervention.

**Developing the Interventions—Sustainability**

The same team that was involved in the design of the interventions worked to develop them. The team met once a week with the dentist and office manager to review the progress each had made, resolve, and provide input to each intervention. To ensure buy-in, the development team members were encouraged to discuss their intervention with other members of the team and to get their input. By the time the interventions were fully developed, every person in each practice was fully aware of the changes that were coming and had been involved in helping bring the interventions to life.
Implementing the Interventions
The interventions were implemented in phases. The first intervention implemented was the triage team. This team was comprised of exemplary performers from each practice and focused entirely on cash-generating activities. This intervention cost little to implement, as it was performed by the existing staff. This intervention was extremely successful—more than $20,000 in receivables that were previously thought uncollectable were collected, and more than 100 appointments were made with patients that had unscheduled treatment. The practices now had the cash to move ahead with other interventions.
The remaining interventions were implemented by the staff themselves. The managers, dentist, and consultants conducted a staff meeting to introduce each intervention. This was followed by daily 15-minute meetings to evaluate the prior day’s success and brainstorm solutions to any challenges that occurred. These meetings continued until the intervention was fully in place and became normal operating procedure.

Evaluating Results
Given the urgency of this engagement, it was critical to evaluate results literally on a daily basis to determine whether the cost of the intervention exceeded the results. Every intervention had its own evaluation metric, and method for measuring that metric. Each metric was analyzed daily. If the daily performance was less than our goal, the teams evaluated what caused
the under-performance and decided if an adjustment was needed or not. If an adjustment was required, it was done that day and introduced in the following day’s morning meeting. The teams also studied any unusually positive performances to decide whether something had occurred that we should take advantage of and implement as part of our systems.

The final results of this engagement were overwhelmingly positive:

1. Both practices were cash flow neutral in 60 days or less, and were positively cash-flowing in less than six months.
2. During the first 12 months production in the new practice doubled and production in the second practice increased by 20%.
3. The new practice averaged 35 new patients per month within 6 months; the existing practice averaged 30 new patients per month within 12 months.
4. Patient attrition for the 12 months following implementation was less than 10% at both practices.

It is important to evaluate not only results versus goal, but also the cost of the interventions versus the benefit gained. This project brought a return on investment of 6:1 in the first year of implementation.

**Lessons Learned**

1. A business case is an essential component of any performance improvement project—creating buy-in and demonstrating the feasibility of the proposed interventions.
2. More than one business case may be required. It is an iterative process—the first business case achieves sufficient buy-in to start a project, another may be required to continue the project.

3. Having the stakeholders implement interventions with consultant guidance greatly enhances the sustainability of the results achieved.

4. The business case demonstrates both projected and actual results and builds the credibility of the consulting team for future projects!

**Biography**

Jeff McElyea, MA, MS is the president and lead consultant of Lucid Business Strategies, a management consulting firm that applies the principles of performance improvement to help small business owners build successful enterprises. McElyea received his Master’s degree with high distinction in Performance Improvement and Instructional Design program from the University of Michigan, Dearborn. He also received his Master’s degree in Integrated Marketing Communications from Eastern Michigan University. He earned the Human Performance Improvement (HPI) certificate from ASTD. McElyea is the Past-President of the Michigan Chapter of ISPI, and a past board member of Greater Detroit ASTD. He has published articles in *The Performance Improvement Journal*, *ASTD Links*, and frequently contributes to business publications in S.E. Michigan. He may be reached at jmcelyea@lucidbusiness.com.
SECTION 3 CASE STUDY

**Topic:** Blended intervention during an acquisition.

**Situation:** Acquisition of Westford Bank by Spring Harbor Bank

**Author:** Alicia Stephens, M.Ed., Training and Communications Manager of a Michigan commercial bank.

**Background:**
Spring Harbor Bank is a domestic financial institution, with a focus in commercial banking services. The company, headquartered in Detroit, MI, has a strong footprint in Michigan, Ohio and northern Indiana. It employs approximately 7,000 associates and holds over $40 billion dollars in assets. The company’s competitive advantage lies within its ability to offer custom financial solutions, enabling it to compete with significantly larger institutions. The leadership manages its expenses by balancing the maintenance of these custom solutions with the economies of scale needed to achieve operational efficiency benchmarks.

**Situation:**
In an effort to diversify the company’s loan portfolio, Spring Harbor purchased Westford Bank, a small commercial institution headquartered in Atlanta, Georgia. This purchase (1) increased the geographic distribution of their customer base and (2) provided access to banking technology that would be a benefit to Spring Harbor’s existing employees.
In the last three years, Westford experienced severe employee turnover due to a significant percentage of their workforce entering retirement. As a result, the company had a relatively inexperienced sales force that struggled with their performance.

As a part of the due diligence process prior to the acquisition, Spring Harbor’s and Westford’s senior management teams made the following observations:

- Westford had a strong sales prospecting system. When interviewed, both seasoned and new employees attributed the system for identifying strong cross-sale leads. Despite lagging overall sales, their cross-sale ratios were best in class for a bank of their asset size.
- Spring Harbor’s sales prospecting tool was antiquated compared to the Westford technology.
- Westford did not have a strong sales training program.
- Spring Harbor’s sales training program was more developed than Westford’s, but was in need of a refresh to make it more applicable to the current sales environment.

**CRITICAL BUSINESS ISSUE:**

**What Was:**

After the acquisition was complete, Spring Harbor had two sets of employees with different sales philosophies. The Westford sales process was ineffective
for its inexperienced sales force and conflicted with Spring Harbor’s lending strategy.

Spring Harbors’ original employee base had strong sales, but lacked the data to execute strong cross-sells. In addition to these challenges, the company was carrying the cost of maintaining two different sales prospecting systems.

**What Should Have Been:**

Spring Harbor should have had a sales process which met the strategic goals of the company and created a support network for sales staff. Additionally, the company should have been on a single sales prospecting system, enabling them to operate within industry standard benchmarks for technology costs.

**FOCUS ON OUTCOMES OR RESULTS:**

Spring Harbor’s consolidated senior management team set out to project the financial impact of their desired end state:

- Increased sales of the Westford associates by 5% over the next 6 quarters.
- Increased cross-sale ratios of the original Spring Harbor associates by 7% over the same time period.
- Decreased technology costs of $1.7 million per year by eliminating one of the sales prospecting systems and implementing the surviving system company-wide.
The senior management team believed that this could be accomplished by creating a new sales training program that fit the needs of Spring Harbor’s joint team. They also planned to train all applicable employees on the legacy Westford sales prospecting system. This would provide Spring Harbor the data needed to improve its cross-sale ratios.

In order to ensure that these action items were appropriate, the senior management team set out to validate them using a systematic approach. They wanted to ensure that training and the expansion of the Westford system would actually bridge the performance gap. An incorrect assumption at this stage in the process could provide detrimental to the success of the initiative.

**FOCUS ON SYSTEMS VIEW:**

**Inputs:** The management team actively solicited feedback from the impacted employees and managers from both organizations. It was important to involve not only the sales force, but also the associates who would be key to a successful technical system implementation.

The feedback was collected by an electronic survey and by small group sessions conducted via webcast. Both collection methods focused on gathering data points regarding how the employees felt about the approach selected to achieve the desired outcomes and what they believed would ensure the initiative’s success.
**Process:** After the data was collected, it was analyzed by the senior management team. A small number of Spring Harbor and Westford employees representing all markets and lines of businesses were included in the exercise to maintain objectivity.

**Outputs:** The output of this exercise was a document that summarized the findings and included the highlights below:

- Spring Harbor associates had mixed feelings regarding the adoption of a new sales prospecting system. 40% had moderate to very positive feelings regarding the proposed implementation. The balance of the associates had varying levels of concern regarding their ability to learn the new system.
- Westford associates had a strong interest in adopting a new sales training program and process, but were concerned that Spring Harbor management would not adequately support it.
- Employees from both organizations believed that having onsite support during this transition period would help to alleviate anxiety.

**Constraints:**

The senior management team recognized that a major constraint of this initiative would be the diffusion and adoption of the changes to come. Additionally, implementing an onsite support strategy for every impacted location would be cost prohibitive based on the footprint of the combined company.
FOCUS ON VALUE:

The senior management team determined that this initiative required strong marketing to help generate employee and managerial support for the plan. The team produced a brief recorded presentation that focused on (1) increasing awareness of the desired end-state and (2) highlighting the value that it would add at an organizational level and employee level. Spring Harbor associates would have access to a state of the art sales prospecting system that would help them to increase their cross-sell ratios; Westford associates would have a new sales model that provided strong support to boost their overall sales.

The presentation also explained that a project team would be assembled to manage this process. This marketing piece was distributed to all impacted employees and was well received.

FOCUS ON ESTABLISHING PARTNERSHIPS:

In order to make sure the appropriate stakeholders were bought to the table, the senior management team nominated two associates, one from Spring Harbor and one from Westford, to act as executive project sponsors. Next, a project team was assembled. This team would include members of HR, training, communications, technical support and sales employees and managers from both banks. This group was carefully selected to insure that the interests of all lines of businesses were represented.
BE SYSTEMATIC IN THE ASSESSMENT OF THE NEED, OPPORTUNITY, OR CHALLENGE:

The project team understood that simply completing research to vet out the organizational impact of the action items was not enough; the workplace environment needed to be analyzed as well. This analysis would consider the impact of the changes to the individual workers, department policies and procedures, as well as how the sales trends would be reported to internal stakeholders and external stockholders.

Armed with this information, the project team believed that they could design a plan that would successfully close the performance gap. They scheduled a series of brainstorming sessions to look at this process from various points of view.

BE SYSTEMATIC IN THE ANALYSIS OF WORK, WORKER, WORKPLACE, AND WORLD VIEW TO IDENTIFY THE CAUSES OR FACTORS THAT LIMIT PERFORMANCE:

The output of the brainstorming sessions provided the project team a more holistic view of the initiative.

Worker Level – It would be key that each affected associate (1) understood how the new sales process and system implementation would change their everyday work and (2) directly benefited from changes.

Work Level – Managers and supervisors involvement would be needed to make required adjustments in their departmental policies and procedures.
**Workplace Level** – HR and training managers should be engaged to support the learning and change management process; technical expertise should be leveraged to ensure the company’s infrastructure would be appropriately supported.

**Worldview Level** – Spring Harbor’s leadership encouraged innovative solutions that reflected the integrity of company, as well as their commitment to “greener” business operations. The design of the program would have to take this into consideration as well.

**BE SYSTEMATIC IN THE DESIGN OF THE SOLUTION:**

After analyzing the data, the project team set out to design a program that would meet the educational needs identified, provide the associates the appropriate tools to perform their jobs, and leverage technology. These performance interventions would also look to minimize the amount of travel and paper consumed in support of the company’s “green” strategic vision. The new sales process would combine the best practices from the Spring Harbor program with an added coaching component to support new sales associates. The initial training would be delivered via webcast to accommodate the geographic distribution of the attendees. Each manager would be required to join their new associate on a series of sales calls. After these calls, the pair would use a provided checklist to help rate the success of the client interactions and to focus on areas of improvement. The
The program also would include quarterly educational webcasts on sales related topics, such as product training.

The sales prospecting system training would be delivered online. This self-paced program would include interactive simulations and feedback to boost knowledge transfer. Once the Spring Harbor associates became competent on this platform, they would have access to the information needed to improve their cross-sell ratios.

An email help line would be available to field system questions. Also, system SMEs from Westford would host quarterly calls to share best practices regarding the system. Frequently Asked Questions (FAQs) from the email help line would also be included as agenda topics during these events.

The project team included critical information in the design plan, such as the development timeline, required resources, technical considerations and who would approve each item. The team also obtained sign off from the project sponsors before development began.

**BE SYSTEMATIC IN THE DEVELOPMENT OF THE SOLUTION:**

Once the design of the program was approved, the project team was able to manage the development of the deliverables. By scheduling frequent review sessions of the products, the internal developers, project team and sponsors felt well informed and were able to quickly resolve differences of opinion. By using pre-established corporate templates for the online training and
program checklists, the development timeline was shortened without detracting from the quality of the product.

BE SYSTEMATIC IN THE IMPLEMENTATION OF THE SOLUTION

Due to the high impact of this initiative, the project team believed that it was critical to pilot this program. The project team wanted to assess the practicality and effectiveness of the program deliverables. It was very important that the pilot group was reflective of the diversity of the organization. Without this diversity, the team might miss critical data points in the feedback.

The pilot lasted for one quarter. This exercise revealed key action items that better positioned Spring Harbor to achieve its goals. Adjustments were made to the usability of the online course and to the contents of the coaching checklists.

BE SYSTEMATIC IN THE EVALUATION OF THE PROCESS AND THE RESULTS:

Early in the process, the project team understood that this initiative contained action items that had both short term and long term impact. Checkpoints conducted via small group session were established to analyze the following points of interest:

- The effectiveness of the sales training and the system training from a qualitative and quantitative perspective.
- The quality of the coaching program, email help line and quarterly webcast sessions.
Data points from managers and end-users were collected monthly during the three month pilot. The results were reported to the senior management team and project sponsors. Using this information, the project team created a list of revisions to make to the program prior to the company-wide rollout.

Once the program was implemented company-wide, data points were collected and reported quarterly to the appropriate stakeholders. This information was tracked carefully to ensure that the goals of the program were being achieved. In addition, the project team also documented important lessons learned and laid out a strategy to periodically evaluate the program’s value in the future.

Spring Harbor was pleased with the outcome of this initiative, as it positively influenced performance.

IDENTIFY 2–4 LESSONS LEARNED FROM THE CASE:

1. Invest the time to understand the diverse needs of your stakeholders.
   If you can clearly document their goals, concerns and motivations, then you will be better equipped to meet and/or exceed their performance improvement expectations.

2. If performance interventions are selected before an appropriate analysis of the situation has been completed, validate that those methods will actually close the performance gap before moving forward.
3. Diffusion and adoption of major changes can be a challenge. Level set
the expectations of your stakeholders early in the process. Investing
time in the upfront planning process will yield positive returns later.

Alicia R. Stephens, M.Ed., is a Training and Communications Manager for a
domestic commercial bank. She has an interest in corporate education
programs that support process and system training.
SECTION 4
INTERVENTION IMPLEMENTATION AND MAINTENANCE

[Insert Cartoon 4: Patient floating: “I told you to get the oxygen!”

CHAPTER 21
INTERVENTION IMPLEMENTATION AND MAINTENANCE

The performance analysis is complete and it has painted a credible portrait of the organizational and environmental parameters from the actual state of performance to the ideal state of performance; from what is to what should be. The gaps and their causes have been identified and prioritized. Appropriate, cost-effective, and sustainable interventions have been selected or designed. The interventions are ethically sound. So far, the performance improvement effort has been results-driven, systemic in scope, systematic in process, value-added in quality, and partnership-based. But the process is not complete until the performance practitioner considers the implementation and maintenance of interventions.

Figure 21.1
Human Performance Improvement (HPT) Model

[Insert Figure 21.1 Human Performance Improvement (HPT) Model here]

[Note to Editor: Shade in the Intervention Implementation and Maintenance box]

Change permeates the intervention implementation and maintenance phases. Implementation needs to include plans for (1) introducing the initiative, (2) consolidating and supporting the change effort, and (3) minimizing resistance. Measurement throughout implementation activities
will help monitor progress and clarify decisions for corrective actions to sustain the intervention over time. Establishing tracking systems that are designed to compare actual with ideal progress help people realize that interventions lead to results. Financial and nonfinancial metrics allow determination of the value of the change activities and enable performance improvement practitioners to calculate return on investment and return on expectations.

**INTERVENTION IMPLEMENTATION**

This chapter addresses implementation and maintenance. Since these two activities are often intertwined, the authors may use both terms while discussing what happens during this phase of the Performance Improvement/HPT Model.

**Definition and Scope**

“Implementation is the process of communicating, piloting, launching, monitoring, and modifying interventions. It’s intended outcome is the institutionalization of the planned intervention, resulting in long-term change within the organization.”¹ Although analysis and intervention selection and design are critical to the success of any performance improvement effort, actual changes in performance are incomplete until the intervention is implemented. As car-loving Detroiter say, “That’s when the rubber hits the road.” As interventions are implemented, changes begin to affect the
worker, the work, the workplace, and the world. Some changes are desired and anticipated, but much of the change occurs as people adapt to the interventions.

**Importance of Successful Implementation**

Intervention implementation is critical to performance improvement. It protects organizational investments, encourages and empowers employees, improves accountability, enhances the likelihood that interventions will target specific needs, helps supervisors maintain focus on the performance environment, and enables success. It helps the practitioners identify why successful implementation is important to the organization and which implementation model best suits the organization’s needs.

**MODELS LEAD THE WAY**

Models help performance improvement practitioners visualize implementation. Because each model has a different focus, taken together they provide optional approaches to successful implementation.

**Dormant—Cross-Functional Model**

An early and influential implementation model is a Cross-Functional Model suggested by Dormant. It focuses on information exchanges between developers and implementers. The team model “places implementation activities parallel in time with development activities (which) results in
benefits to the organization and the users, as well as to the developers and implementers.\textsuperscript{3}

**Hale—Sustainability Model**

Hale’s Implementation Model focuses on sustaining interventions by institutionalizing new behaviors. The model employs a multi-faceted implementation approach:

- Governance which includes establishing leadership structure, communication patterns, and platforms to revolve issues and clarify roles and responsibilities
- Attention which includes focusing on goals and status of interventions that are on management’s agenda for extended time periods;
- Measurement which includes tracking and reporting changes in indicators of success; and
- Self-regulation which includes generating tools and standards to monitor behaviors and rate of adoption.\textsuperscript{4}

**Moseley and Hastings—Four-Stage Process Model**

Moseley and Hastings developed the Intervention Implementation Process Model which leverages intervention selection and design by focusing on resources, strategic goals, competencies, and collective learning. The model consists of four stages of implementation with a variety of activities common to each step. Practitioners are reminded that each stage must be completed sequentially to facilitate change. \textsuperscript{5} (See Table 21.1)
## Table 21.1

<table>
<thead>
<tr>
<th>Moseley-Hastings Intervention Implementation Process Model Stage</th>
<th>Suggested Activities for Communication, Action, Auditing, and Feedback</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
<td>Publicize upper management support</td>
</tr>
<tr>
<td></td>
<td>Confirm stakeholder commitment</td>
</tr>
<tr>
<td></td>
<td>Secure resources</td>
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<tr>
<td></td>
<td>Conduct pilots</td>
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<tr>
<td></td>
<td>Assess intervention fit</td>
</tr>
<tr>
<td></td>
<td>Identify barriers to success</td>
</tr>
<tr>
<td></td>
<td>Provide directions for subsequent stages</td>
</tr>
<tr>
<td></td>
<td>Modify processes for future interventions</td>
</tr>
<tr>
<td>Doing</td>
<td>Market the intervention</td>
</tr>
<tr>
<td></td>
<td>Disseminate and launch the intervention</td>
</tr>
<tr>
<td></td>
<td>Identify transfer issues</td>
</tr>
<tr>
<td></td>
<td>Review ethical considerations</td>
</tr>
<tr>
<td></td>
<td>Provide direction for subsequent stages</td>
</tr>
<tr>
<td></td>
<td>Modify processes</td>
</tr>
<tr>
<td>Stabilizing</td>
<td>Align with the organization’s values and goals</td>
</tr>
<tr>
<td></td>
<td>Keep stakeholders informed</td>
</tr>
<tr>
<td></td>
<td>Fine tune the intervention</td>
</tr>
<tr>
<td></td>
<td>Assess the impact on work, worker, workplace, world</td>
</tr>
<tr>
<td></td>
<td>Provide direction for subsequent stages</td>
</tr>
<tr>
<td></td>
<td>Modify processes</td>
</tr>
</tbody>
</table>
Dublin—3I Change-Focused Implementation Model

Dublin’s 3I Change Implementation Model, an approach to sustainable implementation, ensures that the implementation of an organizational change becomes integral to the organization so that the change is sustainable. The model consists of three stages:

- **Inform or Awareness**—Generates an awareness about change using a consumer marketing approach consisting of branding, positioning, tagline creation, and so forth;

- **Involve or Engagement**—Focuses on knowing the change and engaging and internalizing it;
  - **Integrate or Commitment**—Ensures that change becomes embedded within the organization’s culture. Each of the stages is customized to fit the norms and expectations of the organization. It involves employees at all levels in planning the change, monitoring progress, making adjustments, and evaluating results. Since all performance improvement interventions imply change, this

implementation model is easily adapted to use during the intervention implementation and maintenance phase of the Performance Improvement/HPT Model.

**IMPLEMENTATION DESIGN**

In order for the implementation process to be successful, it must be carefully designed, creatively framed, and adroitly monitored. Addison, Haig, and Kearney suggest that these elements should be part of any intervention implementation design:

- Expected results clearly linked to the business,
- Extensive communication exchanges with stakeholder representatives,
- Active inclusion of affected employees,
- Visible support of senior management,
- Identification of all affected processes, and
- Careful consideration of the organization’s cultural norms.8

**Process Design Steps**

Swinney suggests general steps for designing an intervention implementation process. (See Table 21.2).

**Table 21.2**

**Steps for Designing an Intervention Implementation Process**
1. Identify Target Results
- Who is the target population?
- Under what conditions will they be expected to perform?
- What results are expected?
- How should success be measured?

2. Identify Potential Obstacles
- What conditions in the environment could interfere with desired performance?
- Who are the stakeholders and who will benefit if the performance improves?
- Who are the key influencers of the target population?
- Do the influencers agree that this performance is desired?
- Who influences the influencers?

3. Identify Expectations
- What are the expectations for members of the target population?
- For supervisors or influencers of the target population?
- For key members of the organizational hierarchy?

4. Identify Feedback and Reinforcement (sources of and recipients of):
- For members of the target population.
- For supervisors or influencers of the target population.
- For key members of the organizational hierarchy.
- Systemic (more powerful and effective if it is a built-in part of the work environment instead of a separate function)

5. Identify Skill and Knowledge Issues
- For the target population.
- For key influencers.

6. Map the Implementation Process
- Cross functional; include all influencers and support functions

7. Get Buy-in and Commitment to
- Modify as needed.
| the Process From Key Players                                                                 | • Use the language of the business, not the language of performance improvement.  
|                                                                                           | • Not necessarily a discrete step—“selling” the concept should start as early as Step 2 to get ideas from key players and influencers about what they could do or recommend to make things work. |

| 8. Test the Process                                                                         | • Alpha—internal; using other team members.  
|                                                                                           | • Beta—using various members of the target population or extended target population.  
|                                                                                           | • Pilot—stand-alone—as it would be expected to work in the real world. |

| 9. Revise as Needed                                                                          |
| 10. Monitor the System                                                                      |


When prodded for additional thoughts regarding implementation, Swinney offered these thoughts:

- Implementation design starts at the end of the analysis phase, and some might even argue it begins during analysis.

- A good implementation process can salvage an “ok” performance intervention or training project, but the best project in the world will not survive poor implementation.
• Implementation is a shared process. Performance improvement must be looked at within the entire organizational structure.
• You don’t need management support. You need management involvement. If managers don’t have an active role, you don’t have a good implementation plan.
• Implementation must be considered in the language of the work, not in the language of human performance.
• Pilot test the implementation process the same way you would pilot test a performance intervention. Will the implementation plan be successful the way it is designed?9

Feasibility Issues

Kirkey and Benjamin’s thoughts on feasibility analysis provided guidelines to consider prior to engaging in detailed design and development activities, and again before and during implementation.10 The guidelines are also applicable to implementing interventions by taking into account practical, political, and cultural considerations:

• Practical considerations focus on administering, preparing, communicating, accessing, supporting, timing, and continuing organizational context as well as environmental constraints and technology mediated solutions.
• Political considerations focus on appropriate leadership support, involvement of key stakeholders, the formal and informal power
structure, and the benefits and adverse consequences that may affect any or all participants.

- Cultural considerations ask how the implementation plan fits within the organization’s norms and values, stories, heroes and heroines, myths, and rituals. They consider audience deployment, the need for monitoring and intervening, and the impact that the implementation process will have on the organization’s members. And they address readiness for change. ¹¹

**Design for Sustainability**

Hale, in a document entitled “Sustaining Results: Adding Value to the Future”, lists ten steps for successful implementation that will last as long as the intervention is aligned with the need or opportunity:

1. Agree on the goals, scope, target audience, measures, critical mass
2. Set the baseline
3. Assess feasibility
4. Develop a strategy, game plan to actualize the goal
5. Identify and track leading indicators
6. Put an oversight structure in place
7. Sustain attention
8. Measure the rate of adoption and report
9. Shift ownership
10. Reward adoption ¹²
Additional steps to take during intervention implementation include monitoring change, providing meaningful and sufficient feedback, framing reinforcement options, and recording and celebrating successes and failures.

**Success or Failure?**

While it is important to capitalize on the successes along the way, it is far more important to reflect upon and learn from failures. Some reasons for implementation failure and derailment include a lack of a compelling vision or sense of urgency, leaders not accountable, failure to learn, insufficient communication, lack of a critical mass, insufficient change in the culture of the organization, insufficient infrastructure, disconnect between vision and action, and no outside perspective.

**VARIABLES AFFECTING SUCCESSFUL IMPLEMENTATION**

Of the many variables that potentially affect intervention implementation, three are discussed here—characteristics of the intervention, the organization, and interpersonal relations.

There are the characteristics of the intervention itself. Is the intervention routine or radical, technical or administrative, central or peripheral? These variables may require changes in employee behavior, organization structure, degrees of formalization, power issues, impact on work design, and individual, group, and team involvement.
There are the characteristics of the organization. What is the organization’s structure, history, and size? What strategies are employed? How does culture influence organizational learning? These variables direct the performance improvement practitioner to view the organization as a participative entity with open communication channels rather than one governed by rules, regulations, and ambiguity. The size of the organization and its place in history impact the strategies that are used. The values and beliefs of employees, influenced by culture and organizational learning, directly or indirectly impact how interventions are implemented and maintained.

There are characteristics associated with interpersonal processes. How are employees involved in the intervention? How do politics, communication patterns, and leadership styles influence intervention implementation? Involving employees from the get-go adds growth points to implementation success as do the frequency and direction of communication patterns. Organizational politics and its influence in decision-making, as well as the leadership styles of key personnel, add to successful intervention implementation.¹³ A performance improvement practitioner “ensures that interventions are implemented in ways consistent with desired results and that they help individuals and groups achieve results.”¹⁴

**IMPLEMENTATION STRATEGIES**
Rothwell believes that performance improvement practitioners play a pivotal role in helping the organization prepare to install an intervention. He goes on to say that the results of intervention implementation “usually are a clear sense of the desired outcomes...an action plan that enjoys the ownership of key stakeholders, and the assembly of talent necessary to implement the intervention.”

INTERVENTION MAINTENANCE

An automobile is an appropriate tool for traveling great distances, and re-fueling helps ensure an arrival at the destination. For purposes of this chapter, if we view the automobile as the intervention, then re-fueling is the maintenance. Intervention maintenance requires conscious and deliberate commitment by all those involved in the maintenance process. Careful monitoring of change dynamics will substantially influence sustainability and institutionalization.

Definition and Scope

Maintenance is “the process of continuing to use new skills over time, even when opportunities to practice are limited, and work constraints (such as time, pressures, stress, or lack of manager support) exist.”

The maintenance of interventions over time is not an easy process because it is filled with risk and reward, success and failure, and readiness and resistance to change. However, if the performance improvement
practitioner assumes leadership for planning, orchestrating, nurturing, guiding, maintaining and evaluating the interventions within the organization culture as well as its internal and external clients, sustainability will be realized.

**Sustainability**

Sustainability means endurance. Sustainability here refers to the extent to which a program’s legacy is continued over time. It is an engaging and synergistic journey, not a final destination. Organizations are beginning to engage and employ sustainability champions to guide their legacy. These change agent individuals are organized and possess an action-oriented mindset.

**The Sustainability Thinker.** The sustainability thinker, also known as the *change agent*, thinks systemically by looking at the larger picture or context including competing pressures, resource constraints, and anticipated change pressure points. The sustainable thinker’s work is guided by the value added dimensions of the interventions and their maintenance. And the wise sustainable thinker utilizes partnerships and collaborates with all stakeholders in the sustainable effort. The change agent, as sustainable thinker, is likely to scope out answers to questions such as these:

1. **Does the business of the organization continue to deliver value for all its constituents?**
2. Is the organization well-run with appropriate talent management to assure success for the long-term?

3. Do all stakeholders involved in the implementation process favor program continuation?

4. Is there an evidence-based need or a compelling case to continue the interventions?

5. How are authority and responsibility for program continuation assigned to achieve maximum accountability?

6. How do sustainability issues address budget continuation processes, procedures, and practices?

7. How are communication patterns and other issues regarding the change process resolved in a timely and effective manner?²⁰

8. How do collaboration and transparency transition to sustainable excellence?¹⁸²¹

There are also personality traits and leadership and business-related skills that will guide the sustainability thinker through both the implementation and maintenance of interventions. The personality traits include a thirst for knowledge, a strong sense of principles and work ethic, a willingness to share and celebrate success and praise. Leadership and business skills include understanding of the relationship between risks and rewards, talent for building team spirit and managing projects, and the ability to create new paradigms.¹⁹²²
In addition to the traits and skills already emphasized, the change agent must create a sustainability plan that begins with the performance improvement efforts which have been emphasized throughout this book.

**Institutionalization**

Embedding an intervention into an organization is institutionalizing it. "Institutionalization involves making a particular change a permanent part of the organization’s normal functioning. It ensures that the results of successful change programs persist over time."\(^\text{2023}\) The process of institutionalization is a four-task process involving communication, action, auditing, and feedback. The communication task publicizes successes through success stories, celebrations, and rewards. It also reaffirms the organization’s commitment to changes and resolves lingering issues involving stakeholder commitment and sustainability of the intervention over time. The action task requires support from the intervention sponsor, usually upper management, through both verbal and non-verbal communication. Enthusiasm and commitment for change must also be ongoing if the intervention is to be assimilated into the culture of the organization. Sufficient resources must similarly be appropriated and allocated to prevent backsliding.

The auditing task involves collecting and interpreting data to determine the success of the intervention at closing gaps, its alignment with the mission, values, and beliefs, and identifying barriers to success.
The feedback task brings closure to the implementation process. Here the emphasis is on successes, failures, and lessons learned. Processes are modified for future interventions. Feedback "lays the foundation for the confirmative evaluation process, which goes beyond formative and summative evaluation to judge the continued merit, worth, or value of a long-term intervention."2124

PST 21.1 raises general questions about the change management process. It is designed as a guide to focus thinking prior to intervention implementation or evaluate the process during and after implementation.

**Performance Support Tool (PST) 21.1**

**Evaluating Sustainability from a Change Management Perspective**

**Directions:** Answer the following questions and use the answers to analyze the effects of change on sustainability.

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the change expectation been thoroughly defined?</td>
<td></td>
</tr>
<tr>
<td>How will this change disrupt the current organization?</td>
<td></td>
</tr>
<tr>
<td>Does the organization have a history of implementation problems? Is so, describe.</td>
<td></td>
</tr>
<tr>
<td>Are the sponsors sufficiently committed to the project? If not, would education or replacing sponsors help?</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Does synergy exist between sponsors, employees, and change targets? If not, what can be done to improve relationships?</td>
<td></td>
</tr>
<tr>
<td>What resistance is anticipated?</td>
<td></td>
</tr>
<tr>
<td>Is planned change consistent with organizational culture?</td>
<td></td>
</tr>
<tr>
<td>Are employees sufficiently ready for change effort? Would training help?</td>
<td></td>
</tr>
<tr>
<td>Are the right people, right communication plan, and right measurements in place?</td>
<td></td>
</tr>
</tbody>
</table>

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**Chapter 21: Intervention Implementation and Maintenance Citations**

1. Moseley & Hastings 2005, p. 8
2. Steiner, 2009
3. Dormant, 1992
5. Moseley & Hastings, 2005, p. 10
Chapter 21: Intervention Implementation and Maintenance

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CHAPTER 22

TECHNIQUES FOR INTERVENTION IMPLEMENTATION AND MAINTENANCE

Intervention implementation and maintenance are as important as the previous stages of The Human Performance/HPT Model. Rothwell points out that, "A good solution that’s poorly implemented becomes a poor solution." In addition to the change management techniques that are used throughout the performance improvement process there are five typical methods of techniques for interventions implementation and maintenance:

1. Partnering, networking, and alliance building,
2. Process consulting,
3. Employee development,
4. Communication to develop support,
5. Change management,
6. Project management,
7. Feasibility, and
8. Sustainability.

This chapter explores each technique as it applies to successful intervention implementation and maintenance with the exception of
feasibility analysis techniques which are covered in Chapter 19: *Making the Business Case*. As it does throughout all the performance improvement/HPT model phases, RSVP—**Results**, **Systems view**, **Value**, and **Partnerships**—guide implementation and maintenance processes and techniques. (See Appendix A: Standards) Since partnership, networking, and alliance building work in tandem and should begin even before initiating any performance improvement effort, they will be the first technique discussed in this chapter. Listen carefully and you may also hear the *Practitioner’s Voice* discussing a technique.

**PARTNERING, NETWORKING, AND ALLIANCE BUILDING**

Partnering, networking, and alliance building allow individuals and organizations to team up with others who already perform the desired behaviors. These activities are ingrained in continuous improvement and professional development.

**Partnering**

ISPI Performance Standard 4 suggests working in partnership with our internal and external clients as necessary and required. Establishing a partnership is a relationship built on trust and cultivating strong relationships are critical to ensuring organizational results. Partnership building is also a collaborative effort that involves fact-finding, planning, and decision processes. “Partnerships provide not only a wealth of strategies to help us
achieve shared objectives but they also produce the criteria by which we and our partners will jointly measure the success of our ventures. In this way we are in motion with our partners.\textsuperscript{2} Solid listening and communication skills are paramount.

Gargiulo suggests key qualitative indicators for judging a successful partnership:

- Strength of the relationship including trust, dialogue, values, degree of reciprocity and level of respect;
- Flexibility in requirements, design, delivery, and measurement;
- Facilitation skills including process, communication, listening, managerial, instrument development, and other skills and abilities as well as personal qualities;
- Results orientation with focus and validation of the vision, mission, strategies, and critical business goals of the organization; and
- Business focus which shows benefits to organizational and individual success.\textsuperscript{3}

Among their many contributions to performance consulting, the Robinsons suggest the ACT approach to partnering with clients. ACT stands for gaining Access by establishing and gaining “face” time with clients; building Credibility or the client’s confidence in the consultant’s capability to know the “business of the business”; building Trust or the client’s confidence in the consultant’s integrity and reliability.\textsuperscript{4}
There are other things human performance practitioners do to build successful partnerships, such as being an integral part of the organization’s functional areas, getting to the executive table, supporting partner activities to celebrate successes and reinvent the partnership. The practices work for establishing internal as well as external partnerships.

**Networking**

Networking, or forming informal relationships with people who have common interests or experiences, is an essential part of getting work done. Networks have no formal structure and no obvious authority. They can consist of vast numbers of people including outsiders, peers, bosses’ bosses, and subordinates’ subordinates. Successful career models have vast contact networks, professional and community involvement activities outside their businesses, and encourage opportunities to be visible.

Individuals form their own personal networks based on integrity, trust, mutual benefit, and knowledge that can be shared. Networks are cooperative relationships with people who respond to questions or requests for information or assistance. Performance improvement practitioners need real-time or online networks to affirm direction and ideas. External networks provide examples or discuss similar experiences helping the practitioner anticipate change. Internal networks explain actions and rally support.

Networks depend on mutual advantage and must be nurtured and appreciated through reciprocation. Effective networking assumes political
sensitivity and trust that shared information will be used discreetly. Coleman says: “. . .networking is the single most valuable source of continued professional development. . .should always be a reciprocal arrangement. . .works best when human performance practitioners are willing to give as well as receive help and support. “8

Networks can be built and nurtured by joining professional associations, such as the International Society for Performance Improvement (ISPI), the American Society for Training and Development (ASTD), the Association for Educational Communications and Technology (AECT), the Society for Human Resource Management (SHRM), and others. A professional would not necessarily join all these organizations; it is best to select the organization(s) that fits personal career goals and leverages individual talent.

In addition, graduate schools, study groups, and alumni organizations provide opportunities for frequent contact with people of similar interests. LinkedIn and other online networks are an opportunity for people to connect and form business as well as social networks.9 Networking should be ingrained in the way professionals do things and, as such, it should be done all the time. Suggestions include creating contact lists, self marketing, networking, being diplomatic, polite, and respectful of others, and so forth.10

Alliance Building
Performance improvement practitioners should create and sustain alliances. These agreements increase service delivery capabilities and encourage the sharing of resources. For example, noncompetitive organizations in close proximity enroll each other’s employees into unfilled training seats on an equity basis. Each organization will have more training sessions filled to capacity, and each organization can offer greater educational variety to meet individual needs.

Networks are handy because they are readily accessed, informal, and personal. Alliances, on the hand, are based on the mutual benefit of all parties. They are more formal or more organized, and often have protocol, rules, and restrictions. Typically, alliances are limited in scope. Alliances are based on agreements relative to partnership participation, operations, and influence, but are non-conflicting organizations or entities. Each partner keeps autonomy, but needs flexibility to cooperate, as required.

A word of caution is in order, however. “Too often, companies enter into business with the wrong partner or for the wrong reasons, and they end up regretting this decision. Even when an alliance looks great on paper, cultural differences between the parties or mismatched expectations can undermine the arrangement.”

**PROCESS CONSULTING**
In this competitive, rapidly changing, global marketplace, the need for flexibility and the willingness to adapt are necessary for survival. In many cases, it is possible for departments or work groups to observe a need, analyze the situation to understand it better, brainstorm alternative solutions, and implement the most favorable idea with minimal discomfort. In those situations, change is welcomed because it alleviates outmoded practices.

Sometimes business practices and processes become entrenched because they involve many departments or include processes that have served well in the past. Often, the need to change is not obvious to all employees and, as a result, change may be resisted. Ambiguous situations, multi-departmental concerns, or problems with little agreement are often best suited for process consulting. As a result, process consulting can lead, at times, to significant reengineering.

**Definition and Scope**

Process consulting involves designing processes and jobs leading to significant organizational reengineering. It results in revising processes and often involves restructuring an entire organization. The process consultant is either an internal or an external person who responds to a problem, opportunity, or challenge.

Organizations change continually in subtle ways, and solutions to correct minor issues are implemented daily. However, there are times when
process consulting is needed to ensure that change is coordinated and sustained. Process consulting is usually spearheaded by one leader or team, such as a performance improvement practitioner, who works closely with a sponsor and a project team.

For smaller problems, work groups can accomplish change using traditional continuous improvement techniques. Process consultants, on the other hand, work in a mutual, collegial relationship on the bigger organizational issues. It is important that consulting recommendations are beneficial to employees.

Process consultants use specialized skills to observe and interpret group dynamics, bring insight to work process concerns, and manage the stress and ambiguity of change relationships. Performance improvement practitioners, as process consultants, observe interactions among and between various constituent groups such as executives, managers, and workers and, perhaps, customers or suppliers, create process flowcharts, and analyze policies, procedures, and work standards to identify or confirm work problems. In addition, they prepare for resistance and the frustration of people who do not welcome the change effort.

**Determining Performance Relative to Business Needs**

Frequently people fear process consulting efforts because they believe that chaos and anxiety usually come with major change, as well as the loss of
power and jobs. Employees become defensive because change efforts seem to imply that everything in the past was wrong.

Actually, process consulting is usually triggered by changes in stakeholder expectations, increased competition, or a need to increase productivity and maximize the possibilities available through technology. Typically, the results of process consulting are increased productivity, consolidated functions, or the elimination of unnecessary work.

**Consulting Phases**

There are many consulting approaches reported in the literature. The reader is encouraged to review the writings of Lippitt and Lippitt 14, Robinson and Robinson 15, Block 16, Weiss 17, Carucci and Tetenbaum 18, Biech 19, and Scott 20. This discussion highlights the work of Hale and Rummler, who have substantially changed the consulting landscape in the performance improvement field.

Hale’s work is a foundational resource that has influenced consultants worldwide. She models how to maintain integrity with facts, accept the perceptions of others, obtain useful information creatively, involve the clients throughout the process, and apply what is learned to help organizations and people become successful.21 Hale offers seven process consulting phases that document and communicate her approach. Figure 22.1: *The Consulting Process* is a detailed exploration into these phases.
Figure 22.1

The Consulting Process

[Insert Figure 22.1 The Consulting Process here]


Rummler’s work about serious performance consulting encourages us to become proactive and find opportunities for improving results. Serious performance consulting is different from “lite” performance consulting because serious consulting consists of closing the measurable gap between ‘is’ and ‘should be’, applying a systematic results improvement process, and a rigorous performance analysis.\(^{22}\)

Although no intervention implementation and maintenance project adheres rigidly to each of the approaches and phases listed here, using a similar overall process consulting plan promotes successful interventions. Performance improvement practitioners, as process consultants, listen and watch diligently, empathize with the entire workforce, and partner with the organization to achieve excellence and to institute exemplary processes and practices.\(^{23}\) PST 22.1: Process Consulting Planner can help the performance improvement practitioner focus on the objectives of a process consulting initiative.

Performance Support Tool 22.1
Process Consulting Planner

<table>
<thead>
<tr>
<th>Process Consulting Planner Consulting Objective</th>
<th>Initial Observations and Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe situation and improvement opportunities.</td>
<td></td>
</tr>
<tr>
<td>Why is the proposed process consulting project necessary?</td>
<td></td>
</tr>
<tr>
<td>List project team members and document executive-level support.</td>
<td></td>
</tr>
<tr>
<td>Sketch out consulting activities and sponsor’s expectations.</td>
<td></td>
</tr>
</tbody>
</table>

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EMPLOYEE DEVELOPMENT

Techniques for implementing and maintaining a focus on interventions may include techniques from the learning side of employee development. Most performance improvement initiatives require learning new skills and knowledge to implement and maintain them. Employee development is the organizational structure that supports such learning. Employee development involves acquiring knowledge, skills, and attitudes through a number of
learning techniques including (1) traditional instruction; (2) newer technology-oriented formats; (3) informally by means of mentoring, coaching, and on-the-job training; or (4) team participation.

**Definition and Scope**

Employment development enhances workforce capabilities in an organized manner to maintain competitive advantage and prepare the organization for anticipated knowledge and skills requirements. The knowledge era requires workers to continuously develop new skills due to advances in technology, improved processes to increase productivity, and the need to be competitive. Employee development is critical for succession planning and aligning leadership practices with business objectives.

**Learning Organizations**

Organizations are becoming *learning* organizations that encourage, support, and celebrate personal mastery of knowledge. Motivation to learn has come as tuition reimbursement; structured on-the-job training; performance support tools or job aids; handy online, mobile, or pocket guides; podcasts; webinars; or special assignments. In addition, formal instruction can be offered in traditional classroom settings or via newer online, mobile, or social media platforms that merge personal involvement with the convenience of learning at the worksite. A learning organization is committed to and practices the belief that individuals and teams can learn continuously and cooperatively to foster an organization’s competitive advantage. Senge
describes the hallmarks of learning organizations which include sharing the organizational vision, striving for individual excellence, team learning, creating common mental models, and applying systemic and systematic thinking to enhance the use of knowledge as a competitive strategy.\textsuperscript{25}

Learning organizations constantly strive to transform themselves by encouraging all employees to participate in decision making, and view management decisions as “experiments” rather than edicts. They link customers, suppliers, and the neighborhood community with employees to increase communication and cooperation, and produce a climate of self-development and inquiry. Organizational information, formerly viewed as confidential, is used to inform and empower people as accounting and control systems are opened up and designed to support employee inquiry. Employees are rewarded for ideas and actions that contribute to innovation and progress.

**Four Basic Techniques**

Four basic techniques are used to implement employee development learning initiatives: formal instruction, learning support, job experiences, and interpersonal relationships.\textsuperscript{26} Formal instruction can be traditional, classroom-based training, college courses attended through tuition assistance, distance learning events such as podcasts and webinars, videoconferences, self-study, and more. Topics may range from problem
solving to new product launch and audiences may range from executives to clerical or line workers.

Learning support may include conference participation; assessment such as performance appraisals, 360° feedback, and career inventories; and performance support such as embedded computer software help, telephone help desks, or corporate libraries. Job experiences may include on-the-job training, performance support tools or job aids, reference manuals, job rotation and special assignments, or team involvement. Interpersonal relationships may involve mentoring and coaching, online social or professional networking, informal suggestions, or advice received at lunch and breaks.

**Responsibility**

Both the employee and the organization are responsible for employee development. In most cases, employees are responsible for learning and implementing changes in the workplace as a result of the learning opportunity. Employees are also responsible for enrolling themselves in the learning activity. Organizations have the responsibility to provide learning opportunities, to provide sufficient information about future jobs, and to honestly appraise current performance, allowing people to make useful education and learning selections.

**Issues**
Questions can be raised about who should attend training, about establishing good relations between departments and the training and development providers, about working with requesting departments to see if an intervention will alleviate a problem or enhance competence, and managing vendors and consultants. All of the issues will advance and enhance the linkage between employee development and organizational success.

PST 22.2: Assessing Employee Development Standards will provide a useful tool to identify and assess various issues related to employee development interventions that impact either the results or the feasibility of the intervention.

**Performance Support Tool (PST) 22.2**

**Assessing Employee Development Success Standards**

**Purpose:** Use this PST to identify and assess various issues related to employee development interventions that impact either the results or the feasibility of the intervention.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Objectives and Target Population</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the employee development intervention meet objectives through clear links to job performance?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Will the employee development intervention benefit people and the organization?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Will management and workers endorse the employee development intervention and apply the learning?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the employee development intervention match learner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Characteristics?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the employee development intervention include balanced learning in cognitive (knowledge), affective (feelings), and psychomotor (manual skill) domains or procedures?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Design Integrity

<table>
<thead>
<tr>
<th>Design Integrity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the employee development intervention match findings of gap analysis and cause analysis?</td>
</tr>
<tr>
<td>Is the employee development intervention based on action learning?</td>
</tr>
<tr>
<td>Action learning means working on projects related to actual job issues.</td>
</tr>
<tr>
<td>Is the employee intervention interactive?</td>
</tr>
<tr>
<td>Is the employee development intervention modular?</td>
</tr>
<tr>
<td>Modular learning allows flexibility for scheduling employee development.</td>
</tr>
<tr>
<td>Does the employee development intervention contain a variety of learning strategies?</td>
</tr>
<tr>
<td>Variety should enable employees with diverse learning styles and sensory needs to have opportunities to learn effectively.</td>
</tr>
<tr>
<td>Does the employee development intervention focus on “need to know” and minimize “nice to know”?</td>
</tr>
<tr>
<td>Does the employee development intervention include accelerated learning features designed to simplify and enhance learning?</td>
</tr>
<tr>
<td>Accelerated learning features tap various parts of the brain to encourage learning.</td>
</tr>
<tr>
<td>Culture and Context</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
</tr>
<tr>
<td>Does the employee development intervention support</td>
</tr>
<tr>
<td>current organizational initiatives?</td>
</tr>
<tr>
<td>Does the employee development intervention accommodate</td>
</tr>
<tr>
<td>quality, health, and safety standards?</td>
</tr>
<tr>
<td>Does the employee development intervention include</td>
</tr>
<tr>
<td>language and illustrations compatible with the</td>
</tr>
<tr>
<td>organization’s culture and ideals?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cost and Usability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the employee development intervention available in-</td>
</tr>
<tr>
<td>house?</td>
</tr>
<tr>
<td>In-house training is usually targeted to the organization</td>
</tr>
<tr>
<td>and work environment, and supports the organization</td>
</tr>
<tr>
<td>because it is designed to meet the organization's needs,</td>
</tr>
<tr>
<td>be cost-effective, and minimize impact to cash flow.</td>
</tr>
<tr>
<td>Is the employee development intervention cost-effective?</td>
</tr>
<tr>
<td>Calculate costs: development, material purchase,</td>
</tr>
<tr>
<td>instructor/facilitator delivery, facility [location,</td>
</tr>
<tr>
<td>equipment, and food], and compare estimated total costs</td>
</tr>
<tr>
<td>against estimated value to organization and employees.</td>
</tr>
<tr>
<td>Some organizations also calculate participating employee</td>
</tr>
<tr>
<td>wages and benefits as an expense. Other organizations</td>
</tr>
<tr>
<td>consider employee development as a routine part of the</td>
</tr>
<tr>
<td>job and not an additional expense.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Quality Assurance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Was the employee development event designed by a team</td>
</tr>
<tr>
<td>containing a performance technologist or an instructional</td>
</tr>
<tr>
<td>technologist?</td>
</tr>
<tr>
<td>Was the employee development event designed by a team</td>
</tr>
<tr>
<td>containing a subject matter expert?</td>
</tr>
</tbody>
</table>
Does the employee development event contain a variety of pre-assessments and post-assessments that are job-related? (Evaluation tools should measure cognitive (knowledge), affective (feeling), and psychomotor (manual skills) outcomes).

Does the employee development event contain a reasonable quality standard? (A quality target of 90%/90% is recommended. That means 90% of the participants will score 90% or better on the post-assessment)

### Other Standards Based on Organizational Requirements

<table>
<thead>
<tr>
<th>Standards</th>
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<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

### Conclusions and Comments

Exhibit 22.1
The Performance Practitioner’s Voice: Employee Development

The Performance Practitioner’s Voice

Employee Development

“Employee development is defined by the needs of both the organization and the employee. The best employee development plan provides a review process at least once each year to ensure that the organization and
employee have the same expectations and to provide guidance to the employee for the future.
From an organization’s viewpoint, development can be seen as a method of linking employees to the company’s mission and ideals, assisting employees to maintain or update skills to provide efficient, effective products or services and maintaining certification or licensure from external regulating bodies. From an employee’s standpoint, development can be a benefit that helps with advancement (tuition assistance for an advance degree or enhancement of management skills) or learning that can make the current position more efficient and effective.
Some organizations also include mentoring and coaching with frequent feedback as methods for increasing employee skills and providing employee development and talent management. This can be especially useful for daily job functioning, promotion, leadership skills, and succession planning.
When an organization invests time and money to enhance their skills, employees feel that they are valued and contributing members of the team. Each employer must determine how employees can be encouraged to grow and learn to meet both personal goals and the organization’s goals. The organization’s culture, types of employees and their work ethic and management styles will determine a successful employment development system that works for all.”

Ireta Ekstrom, PhD, CPT
Instructional Developer
Central Michigan University
College of Medicine
Mount Pleasant, Michigan
USA

COMMUNICATION

Developing support through effective communication is the quickest, most basic technique for ensuring the success of the intervention implementation, and that the success can be maintained. Communication is critical for creating and sustaining a clear understanding of the organization’s direction and change efforts.
Communication focuses the organization on the positive value of intervention implementation, maintenance, and the inevitable changes that occur as a result of the intervention. It is like an old-fashioned elixir. It is good for this and good for that and it usually leaves a pleasant taste on the palate. In fact, nothing works well without it.

Communication is the glue that holds all of the pieces of a well-designed intervention together. Communication helps people understand what is happening and why it is happening. It gives them a chance to talk. It is the process of sharing thoughts and ideas to develop a common understanding. It is not necessary for people to agree with the idea. It is okay to disagree. However, communicators need to agree about what was actually said. Each communicator needs to be able to paraphrase, or repeat, the essence of what was said.

Frame of Reference

“The typical components of the communication process are the information source, the message, auditory and visual channels, noise, environment, and information receiver including the receiver’s cultural background and previous experiences, interpretation of meaning, and feedback.”

Communication involves understanding other’s frame of reference. People encode messages by putting feelings and ideas into the message and decode when they receive the message and internally translate the words or visual elements into personal meaning. Each participant in the communication
translates the messages differently based on his or her own frame of reference.

People understand verbal messages based on their unique experiences, educational background, race, sex, attitudes, personality, and values. Frame of reference influences everything. Effective communicators need to predict how the listener will receive a verbal or visual statement. It is not sufficient to use perfectly accurate and clear descriptions. If the receiver has no way of grasping the ideas or visualizing the experience, miscommunication will result. “The message that counts is the one received. . .Therefore, the burden of communication lies with you, the sender.”

Communication Patterns

Communication is more than words; it includes the entire body and its surrounding contextual environment. Communication patterns are not actual messages but the way the messages are carried. There are three basic patterns used to communicate messages: verbal (spoken or written language); paralanguage (tone, pitch, rate, volume, and emphasis); nonverbal (muscle movements, gestures, facial expressions, eye contact, appearance, posture).

Birdwhistell’s research shows that “probably no more than 30–35 percent of the social meaning of a conversation or an interaction is carried in
As a result, communicators should realize that 65–70 percent of the message comes from paralanguage and nonverbal means.

**Interpersonal Relationships**

Performance improvement practitioners establish trust and work closely with others. Without effective intrapersonal and interpersonal communications, resistance ensues and confidence is not established. Effective communication depends on the ability to make personal expectations clear and to understand and respect the beliefs, values, and attitudes of others. This requires empathy and understanding differences in people.

**Active Listening**

Active listening requires the ability to accurately absorb what the speaker is saying with an understanding of the speaker’s point of view. Effective listeners are able to paraphrase, or accurately restate, the speaker’s ideas and feelings using similar words. Good paraphrasing requires listeners to minimize the influence of personal values, past experiences, background, and educational level. Listening is an active process that focuses on the speaker’s message. It requires the listener to test the accuracy of understanding by questioning the speaker. Active listening involves a positive outlook towards the speaker’s message.
Change management is “any action or process taken to smoothly transition an individual or group from the current state to a future desired state of being.”³¹ By using change management techniques during intervention implementation and maintenance,² provides opportunities for the performance improvement practitioner to help organizations plan, adapt, communicate, evaluate, and manage change. Change represents a transition state and a critical mass of employees needs to be on board the change train or they will be left on the tracks in the station.

Chapter 3 contains a complete discussion of change management—definition and scope, purpose, and techniques. Chapter 4 explains some analysis techniques and tools that are useful for change management activities. Here are some highlights:

- **Visioning**—Varkey and Antonio suggest creating an implementation plan which challenges members of the organization to engage in visioning how the intended change will affect the people, culture, performance, technology, structure, workday, and processes of the organization.³² Read the discussion in Chapter 3.

- **Binder’s Six Boxes Model©**—This is an update of Gilbert’s Behavior Engineering Model that is effective for anticipating and pinpointing change-related behavior, and to develop an implementation plan that aligns performance improvement, supports management practices,
and communicates organization change efforts. Read about the *Six Boxes* in Chapter 4.

- **Sponsors and Change Managers**—Change management efforts involve individuals who fulfill the roles of sponsors and change managers. The sponsor is a true advocate of the intervention and has both the time and authority to make things happen. The change manager facilitates the change process and develops, leads, and supports the change effort throughout the organization. Read more about sponsors and change managers in Chapter 3.

- **Minimizing Resistance**—Dormant proposes five strategies to optimize intervention implementation and minimize resistance to change and new ideas. See the full explanation in Chapter 3.

- **Five Stages of Change**—Remember that change is a process, not an event, and it is accomplished in five stages; each stage has its corresponding strategy for gaining acceptance. Read about the stages in Chapter 3.

- **Monitoring Strategies**—When the intervention is implemented in the workplace, the human performance practitioner, along with the change manager, diligently monitors the process. Rothwell suggests asking questions that will help to focus the change management process. Questions are listed in Chapter 3.
PROJECT MANAGEMENT

Project management is the structure that supports successful intervention implementation and maintenance. Project management is also a technique for enabling successful change.

Definition and Scope

Project management is a "specialized management technique to plan and control projects. . .an appropriate way to bring about sudden, revolutionary, or purposeful change." Its origins are found in the U.S. government space program, and other arenas have since adopted the discipline. The European Commission, for example, uses project management for budget support and formulation. Other countries use project management to align multinational projects and plan alliances and joint ventures. The Association for Project Management in the United Kingdom (UK) promotes widespread use of project management for business, industry, health care, tourism, and so forth.

A project consists of multiple activities, involving myriad resources, and timely accomplishment. Quality, cost, and schedule drive the project. Projects have life cycles: they begin slowly, gain momentum, reach a climax, begin to decline, and, finally, are terminated. Project management techniques can be applied to any area of activity within an organization since "everyone wants high performance within a very short time, at minimum cost."
Success Factors

Successful management focuses and supports emphases on business, people, and control. Projects that engage critical business issues involve defining and focusing the targets and determining the benefits to business. People are the primary doers for successful project completion and project managers, sponsors and champions are held accountable for their actions. These individuals follow a course of action, assess risks, determine sufficient resources, and guarantee target completion.\(^{37}\)

While there are other areas that compete for the project manager’s time and resources, the manager must realize that some aspects will require more attention than others, but time, communications, and risks are the ones that require the most.\(^{38}\)

Performance Support Tool (PST) 22.3

The Maintenance Evaluator

The Maintenance Evaluator raises general questions about the intervention maintenance process. It is designed as a guide to focus thinking during maintenance activities and to evaluate the success of the maintenance efforts.

Performance Support Tool 22.3 MAINTENANCE EVALUATOR

Directions: Answer the following questions and then discuss them with your team.

<p>| Is implementation maintenance being accomplished in a timely and efficient manner? If not, why not? |  |</p>
<table>
<thead>
<tr>
<th>Question</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the implementation maintenance disrupting the organization?</td>
<td>If so, how so?</td>
</tr>
<tr>
<td>Does the organization have a history of maintenance problems?</td>
<td>If so, describe them.</td>
</tr>
<tr>
<td>Are the sponsors sufficiently committed to maintaining the interventions?</td>
<td>If not, would education and/or training help?</td>
</tr>
<tr>
<td>Does synergy exist among stakeholders, team members, and change targets?</td>
<td>If not, why not?</td>
</tr>
<tr>
<td>How will resistance be handled if/when it is encountered?</td>
<td></td>
</tr>
<tr>
<td>Is maintaining the interventions consistent with the organization’s culture?</td>
<td>Describe the plan.</td>
</tr>
<tr>
<td>Are organization members ready for maintaining the change effort?</td>
<td>If not, why not?</td>
</tr>
<tr>
<td>Are the right people, right communication plan, and right measurements in place?</td>
<td>Describe the positioning of each.</td>
</tr>
<tr>
<td>What evidence supports the sustainability of interventions?</td>
<td></td>
</tr>
</tbody>
</table>
“Project management can be approached through the answers to three questions. The answers enable both a novice and an experienced project manager to meet client expectations effectively.

The first question is “What are we going to do?” Answering this question provides you with the project details; it defines the project and identifies what will be part of the project work and what will be excluded.

The second question is “how long will it take?” To answer this question, match the project requirements with the activities need to produce them. Estimate the amount of time needed to complete each activity. Put the activities in order and assign a resource who will be responsible for completing each activity.

The third question is “how much will it cost?” Armed with the answers to the first two questions, assemble your material and resource costs, add your overhead. Be sure to include the time you will spend planning, organizing, and directing your resources during the project. Your project cost is the sum of these numbers,

Use this foundation to develop your quality plans, assess project risks, determine if suppliers are needed and establish a communication plan to help you guide your resources to meet the client’s requirements.
FEASIBILITY

Feasibility studies are essential techniques to use during the performance improvement process. The studies are triggered by the need to provide detailed and broad documentation of all aspects of a performance improvement project to determine whether the effort is realistic in terms of resources, cost-benefit, value, risk, and so forth. Feasibility is covered in Chapter 19: *Making the Business Case*. During intervention implementation and maintenance, the performance improvement practitioner monitors whether the results of the original feasibility study are still valid or whether the implementation process requires some adjustment and/or additional study.

SUSTAINABILITY

Sustainability of performance improvement speaks to legacy issues and the institutionalization of efforts over time. Sustainability efforts built into an intervention during design and development become part of the
maintenance process. Refer to Chapter 21 for a more detailed description of sustainability, including sustainability champions and change agents, sustainability thinkers, sustainability plans, and institutionalization.

**Chapter 22: Techniques for Intervention Implementation and Maintenance Citations**

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2. Gargiulo with Pangartar, 2006, p. 179


8. Coleman, 1992, p. 638

9. Bozarth, 2010


12. *How to Build Business Alliances*, 2010
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14 Lippitt & Lippitt, 1978
15 Robinson & Robinson, 1995
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17 Weiss, 2002; 2002; 2003
18 Carucci & Tetenbaum, 2000
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29 Hamilton, 1997, p. 13
Chapter 22: Techniques for Intervention Implementation and Maintenance References


San Francisco: Jossey Bass/Pfeiffer.


**Case Study:** Intervention Maintenance

**Situation:** Church Pension Fund, the GREAT Model

**Author:** Pat Rasile, MA, CPT, Operations Training Manager for Client Engagement, Church Pension Group Services Corporation

**Background:**

The Church Pension Fund (CPF) is a not-for-profit organization which provides pensions and other benefits and services to employees of the Episcopal Church. It contributes to their lifetime economic, physical, emotional and spiritual well-being.

CPF came into existence in 1914 and, until recent years, the business units of pension, medical services, and life insurance had team members answering client calls. In 2005, a centralized call center was chartered under the direction of a new Vice President of “Client Engagement” whose goal was to deliver excellent, compassionate, and consistent client service. One of CPF’s corporate goals is client focus, measured through client satisfaction studies.

**Situation:**

In 2006, Client Engagement (CE) implemented a reputable industry call strategy, which proved to be too cumbersome to use for the Client Engagement Representatives (CERs) as well as being unresponsive to
clients’ needs. In addition to its awkwardness, the CERs were frustrated with the strategy because it lacked easy-to-use performance support tools.

Managers of CERs were inconsistent with their evaluations and coaching, leading to sporadic feedback and, in some cases, undesirable performance. The culture at CPF was also problematic. There was little documentation provided on how policies, procedures, and practices were accomplished. Employees were not used to being held accountable for their performance, and there was resistance to change.

**Intervention:**

In 2007, after receiving the latest, and lower than desired, client satisfaction survey scores, the VP of Client Engagement called for a reassessment and redesign of the current call strategy, including its performance and management.

If successful, the right call strategy would increase client satisfaction and meet one of CPF’s key corporate goals, thereby showing the value of the new call center. It would also prevent current “call backs” from clients due to incomplete or inconsistent information. If prevented, the call center would experience increased productivity resulting in better service at lower cost.

If unsuccessful, CE could incur decreased client satisfaction, increased operational costs, and reputation risks for CPF. This possibility could potentially lead to lost business for CPF.
**Critical Business Issue:**

**What is:** Client satisfaction was lower than desired and the current strategy neither met client expectations nor needs. In addition, performance of the Client Engagement Representatives (CERs) was not where we wanted it to be and management of the strategy was ineffective.

**What should be:** Client satisfaction should meet desired results and the call center strategy should be focused on meeting our clients’ expectations and be easy for CERs to perform. Managers should be effective supports and champion mechanisms for the CERs to obtain and maintain desired and optimal performance levels. Clients should perceive and receive World Class Service by the call center.

**1. Focus on Outcomes or Results:**

The outcomes focused on both the external clients and the performance needs of the Client Engagement Representatives. The desired result was to:

- Achieve increased client satisfaction scores in service skills to support the corporate goal on client focus and show the effectiveness of the new call center
- Support a call strategy that was customized to the needs of CPF clients
- Engage all Client Engagement Representatives (CERs) in using the call strategy consistently and accurately
- Train the Client Engagement managers to evaluate CER performance consistently
The effectiveness was determined by client satisfaction in service skills as measured by client surveys. We partnered with an external vendor, The Center for Client Retention, to conduct the surveys. The effective and consistent performance of CERs was measured by the Quality Assurance manager, Call Center managers, and trainers through our Quality Program (call monitoring and evaluation).

2. **Focus on systems view:**

There were three main areas of foci: our clients, CPF as an organization, and the call center. Our current strategy was not providing our desired results. Client satisfaction top box out was only in the 70% range (top box equals the percent of clients who rated us a 5 on a 5-point scale with 5 being the highest). It was important to gather as much information on what our clients valued and design a customized call strategy.

Because CPF had recently implemented an organizational change effort that formed Client Engagement, there was a time-sensitive issue to show the value and effectiveness of the new centralized call center. We needed results as soon as possible.

The frustration and lack of commitment to the call strategy from the CERs was a huge concern. Because the current call strategy was cumbersome and frustrating, it was important to address their concerns and learn what currently worked and didn’t work. In addition, we needed to figure out how to effectively implement the change to such a resistant
culture, especially when it addressed accountability and measurement. Being more inclusive early in the analysis, design and development could help overcome this obstacle. Proper measurement, coaching, and performance management were the other key factors. We knew overall client satisfaction was also dependent on the work of other business units, but the immediate focus was on the call center and service skills.

3. **Focus on Value:**

By focusing on both the client and the CERs, we were able to design a strategy directly correlated with the CERs desired performance to the client needs and expectations. Clients received what they wanted, and the CERs were able to easily and effectively meet performance standards.

   The training and support materials were performance based and attainable on every level of experience. This allowed existing and new CERs to quickly obtain desired performance and deliver better service. Managers were able to successfully evaluate, coach, and manage performance.

4. **Focus on Establishing Partnerships:**

There were two main areas of foci: our clients and the CERs. We listened to our clients and made changes to deliver on their expectations and needs. We then listened to our CERs to determine the necessary support to help them better service our clients consistently. And we empowered both. The VP of CE was instrumental with her vision to facilitating the resources and influencing the project. We created a Quality Team consisting of the
Training manager, the Client Engagement managers and the Quality Assurance manager. The team provided input, conducted research, reviewed materials, provided consensus on the recommended solution, and designed the implementation strategy and evaluation.

The CERs provided in-depth feedback and presented new ideas, allowing us to customize the training and performance materials. Feedback during the implementation helped us increase the alignment of expectations between the CERs and their managers.

The Assistant Vice President (AVP) of Human Resources was kept in the loop, since this was a large training initiative and a change for the call center, not to mention the new approach in client service. HR also asked Client Engagement to develop a version for all CPF employees as an integral part of new hire orientation.

5. **Be Systematic in Assessment of Need, Opportunity, or Challenge:**

The fundamental need/opportunity was established by comparing CE’s goal of providing World-Class Service to the client survey results. It was imperative to find out two things. First, how our clients’ perception and definition of great service compared to what we defined as great and, therefore, measurable and second, how the current performance of the CERs compared to the desired performance.
The Quality Team gathered current data on client satisfaction, including overall satisfaction, and on individual service skills. Client verbatim and in depth analysis helped us learn exactly what our client expectations and needs were. We compared what our clients valued to the conclusions from industry standards on how organizations and individuals judge service and quality. It was important that we not only meet the spoken needs of our clients, but also that we consider other service areas which may represent their unspoken needs.

Call center managers and CERs were interviewed to learn their perspectives on the current strategy, performance levels, and what they felt or heard was important to our clients. We reviewed existing evaluations and listened to client calls to assess the current CER performance levels and ensure that the quality scores were consistent with their performance. We also used existing calls (using the current strategy) to find opportunities to meet the newly learned client expectations in order to build them into the design of the new call strategy.

We assessed the current measurements we had in place to recognize if we were placing enough “weight” on the specific areas voiced as being valued most by our clients. We evaluated the current process for assessing, coaching, and managing performance – including consequences for not utilizing the strategy to standard. Comparisons of evaluations were conducted by the Quality Team to see how well we were aligned.
6. Be Systematic in the Analysis of Work, Worker, Workplace, and World view to Identify the Causes or Factors That Limit Performance:

The biggest discovery was realizing that the current strategy did not have the right focus for our clients. There were service elements either missing or without proper emphasis. In addition, our client service was not “good enough” to reach our desired levels of excellent service. One key differentiator was compassionate service. Although the current call strategy was producing some results, we wanted to raise the bar.

The CERs were not fully executing the current call strategy. It was difficult to follow because it did not match the flow of our calls and it had too many areas to remember. Definitions were lacking and there was genuine ambiguity which led to inconsistency in both performance among the CERs and measurement among the managers. Coaching was neither executed regularly nor consistently. Support materials were ineffective. In addition, it appeared the CERs lacked some soft skills necessary to make a personal connection with our clients. Consequences for inadequately performing the strategy were not great enough to help overcome the obstacles of accountability and change.

7. Be Systematic in the Design of the Solution:

The recommendation was to create a new call strategy addressing the needs, desires, and values of CPF clients. The strategy would be
implemented with performance-based training and support materials, measurement, coaching, and proper management.

Our VP suggested we build the components of the call flow around the word GREAT (Greet, Research, Educate, Agree, and Thank). This was consistent with the principles of information mapping and would make it easy for CERs to remember and follow. And so, the GREAT Model was born. Each component had 2 to 5 parts within it, which correlated directly to a service or need of our clients. Emphasis was placed on the Educate component, since our clients valued this the most.

The training would include an online training introduction (which could be reused as refresher training), classroom training (including skill building), and support materials with examples to be used on the job. Both the CERs and managers would use the materials as a reference for performance and measurement, so that both parties would be in aligned. Evaluations would be conducted by the Quality Assurance manager, CE managers and Trainers, and would constitute 50% of the CER’s annual performance reviews. Formal coaching would occur on a weekly basis by the managers, and the Quality Team would meet weekly for calibration on a client call. In addition, managers would conduct informal “just in time” coaching where they would listen to a CER’s live call and provide immediate feedback. CERs would have the ability to appeal an evaluation to resolve a discrepancy on a particular call.
8. **Be Systematic in the Development of the Solution:**

The feasibility and workability of the solution were considerations throughout the project and were addressed regularly by the Quality Team. During development we established review points for the GREAT Model communication, training and support materials, evaluations, and appeal process. We applied a draft of the GREAT Model to real client calls to ensure that it covered all the service areas desired, and that the flow seemed natural.

The Training Manager worked with external consultants in the instructional design and development of the online tutorial, and was responsible for ensuring that the implementation was done on time and within budget. And at the same time, the Training Manager developed a version of the GREAT Model for the company-wide new hire orientation with the AVP of HR. He shared the full implementation strategy including measurement, coaching, and management, but HR did not secure buy-in from managers on anything beyond initial training.

9. **Be Systematic in the Implementation of the Solution:**

Implementation for the GREAT Model would have been a huge challenge, but by including the CERs from the very beginning, the transition was much smoother. We already had their buy-in to change to a more client-focused, easily-followed strategy. Now it was a matter of proving its value and providing the proper support.
The CERs were notified of the new strategy several weeks before the training and implementation and were given the support materials ahead of time. Advance review of the materials was at their own discretion. During the training session, a full explanation and rationale of the GREAT Model (tied to our clients’ wants, needs, and expectations) were delivered along with the performance support tools. The first step was getting agreement on the term “World-Class Service.” This was done with an exercise in which the CERs told us what it meant to them, and we were able to turn it around to show them that everything they wanted is exactly what our clients want – it all made sense.

Next was learning the strategy and deepening their service skills. The training was performance based, using exercises and scenarios, and using the support materials as they would on the job. The training focused on the “why, what, and how.” We also responded to feedback from the CERs, including suggestions for improvement, areas which needed clarity, or additional help in skill building. Because we trained managers ahead of time, they were a support mechanism during the training and continued to work and coach with the CERs during the early stages of implementation. So as not to distract the training, managers discussed evaluations with the CERs at a different time.

The measurement process was used to track and analyze individual and team performance and improvement. Based on scores, individual
coaching plans were created. The monthly averages were used to determine the CERs’ level of performance and related directly to their performance appraisals. CERs with consistently high scores were recognized among their peers and rewarded with either a salary increase and/or bonus, and CERs whose average scores consistently fell below the threshold were put on development or corrective action plans, which could lead to termination.

During the initial implementation we used competition to motivate the CERs. We awarded CERs who had the best call or were the most improved. After each evaluation, the call and score were published individually for each CER to see, review, and learn from. The appeals process gave each CER the opportunity to have their call reviewed or re-evaluated by the Quality Team.

To ensure that the Quality Team was consistent and fair in their evaluations, weekly calibration sessions were held where every team member evaluated the same call and compared scores. This resulted in one collective score for a CER by the entire team to count towards their performance management.

CE managers met with CERs weekly to review performance on their calls, and, more informally, provided immediate call feedback. Monthly reports were sent to the Quality Team and the CERs to track and monitor individual and team performance, showing both overall service and individual service areas within the GREAT Model. This information was used for both individual coaching plans and additional team skill building.
10. **Be systematic in the Evaluation of the Process and the Results:**

We continued to use The Center for Client Retention to conduct our client satisfaction surveys and benchmark our data. The results showed a steep improvement over the first 12–16 months of the GREAT Model implementation, with client satisfaction top box scores increasing from 78% to 88%. Client Engagement took the results and incorporated some additional process improvements. Six months later top box scores had improved to 93%. More importantly, we had our client satisfaction numbers in the 90s – reaching our desired client service levels. We continue to conduct surveys on a regular basis and use the data to measure and improve the service we deliver.

The internal measurement showed that the GREAT Model strategy immediately enabled the CERs to gain better control and take ownership of their calls, be more personable, educate our clients with accurate and complete information, and resolve problems more efficiently. CE internal call evaluations improved by 20% after the first month and 33% after 6 months. The current standard is 85% for proficiency. CERs who excelled were rewarded with the year-end merit increases and bonuses. CERs who fell below received coaching plans, extended corrective action, and when warranted, were terminated.

Managers are measured by their commitment to evaluating calls and providing feedback and coaching to the CERs, as well as their responsibility
for CERs’ overall performance. The Quality Team continues to meet for weekly calibration and to address any concerns about performance of the GREAT Model.

The solution had a tremendously positive impact on both client satisfaction and the CERs’ performance. Human Resources stopped introducing the GREAT Model during the new hire orientation. It was discovered that, without setting proper expectations and management, new hires (not in Client Engagement) were confused and didn’t use it. However, HR has remained supportive of the strategy.

**Lessons Learned from the GREAT Model:**

1. Knowing about your clients and asking about what they value most will allow you to customize your services to their needs.

2. Involving the people who actually do the performance and their managers gives you a better understanding of their needs and gives them a sense of ownership. This not only deepens the relationship they have with their managers but increases the implementation rate and employee job satisfaction.

3. Management needs to be aligned, follow through on commitments, and be a strong support system. Otherwise, no one will take them seriously.

4. If you are going to measure performance, have appropriate rewards and consequences.
5. Implementation goes beyond training. It is the end-to-end process from the introduction of the initiative to proficiency or desired result. Having check points during implementation, as well as during development, allows you to revise areas that are deficient so that you can improve and reach your desired outcome.

6. It is important to have proper metrics in place so that you can measure the extent to which you have reached the desired outcome. Proven success is always looked upon well by Senior Management.

7. Be patient and be professional in your working relationships and be passionate in your desire to orchestrate a change strategy.

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**Case Study:** Intervention Implementation

**Situation:** St. Luke Lutheran Church and School

**Author:** Keith Vieregge, Independent Consultant, Williams Industrial Services Group, LLC

**Background:**

St. Luke Lutheran Church is a congregation located in a suburb of Detroit, Michigan. The congregation is led by two pastors, assisted by the church office staff consisting of two secretaries. The congregation also owns and operates a Lutheran school with a preschool through eighth grade enrollment of about 140. The school employs eight teachers, one of which serves as a teacher and the principal of the school. Assisting in the administration of the school is the school secretary.

In general, the organization is well-established with many of its people having held membership in the church for many years. The school serves as an excellent means to serve younger families within the congregation and to attract new families to the congregation. Additionally, the church offers many opportunities for members to involve themselves in a variety activities oriented toward fellowship, instruction in the faith, and service to the church and the community.

**Situation:**

In recent years, the organization has encountered stagnation which the leadership fears could lead to a general decline in the church’s membership.
The school has already seen several years of declining enrollment. Although some of the decline could be attributed to a recent economic recession, feedback from membership and staff indicates systemic issues within the organization are also contributing to the situation.

Congregation members report they have little timely awareness of events and activities in the church. Frequent miscommunication or non-communication between various individuals or entities in the school and congregation has caused confusion and sometimes conflict within the organization. The staff spends much of its time “putting out fires” instead of focusing on their given jobs. In general, the staff is experiencing low morale and little satisfaction, while congregation members and school parents feel increasingly detached from the organization. Realizing these are serious problems in need of effective solutions, the leadership enlisted a consultant to identify the issues and their causes, and recommend a course of action that would resolve the issues.

**Intervention:**
During the initial meeting, the pastors and the principal (the team) described a number of issues spanning every aspect of the organization. It was apparent that the team was overwhelmed by the prospect of having to deal with so many issues at once. After some discussion, the consultant persuaded the team to narrow the scope of the project, concentrating on one area that they felt would be make the most impact on the organization’s
performance. The team decided to concentrate on matters pertaining to the organization’s communication systems and processes. With the scope of the project narrowed, the consultant developed a proposal for an assessment and analysis of the organization’s communication systems.

During the next two months, the consultant gathered data pertaining to organizational communications. He reviewed organization documents, including policy manuals, procedural documents, intra-staff memos, newsletters, worship bulletins, signage around and in the facility, and the organization’s web site. He sent out questionnaires to school parents, congregation members, and faculty. He conducted interviews with individual workers in the organization, including members of the governing boards of the congregation, pastors, principal, faculty, and secretaries.

At the conclusion of the survey activities, the consultant compiled the data and offered his preliminary findings to the team, and, after discussing the findings, the team accepted the preliminary findings. The consultant then performed a cause analysis for each of the identified performance gaps (Figure 1), and presented his analysis to the team. After they had reviewed the analysis, the consultant asked the team to consider each gap relative to the impact that closing the gap would have on the organization’s overall performance, and the level of time and other resources required to close each gap. Then, using a criticality matrix (Figure 2), the team members
rated each gap according to the priority they would assign to closing that
gap.

Figure1. Cause Analysis for Communication Performance Gaps

<table>
<thead>
<tr>
<th>Performance Gap</th>
<th>Causes</th>
<th>Recommendations</th>
</tr>
</thead>
</table>
| 1 The organization lacks strategic communications plan that aligns with the organization’s strategic plan. | • No deliberate, clearly articulated strategic plan  
• May lack some expertise required to develop a robust communication plan | • Develop an organizational strategic plan  
• Consult with marketing and graphic design talent to develop a robust strategic organizational communication |
| The pastors are often distracted by attending to concerns that are rightly the responsibility of others. | • Members are often unaware of where their concerns should be voiced  
• Member knowledge of who serves in which capacity is limited  
• The work and responsibilities of boards and other elected officials have little visibility among congregation members | • After elections, publish a directory of church officials and board membership  
• Develop a strategy for making the work and responsibilities of the boards known to the congregation  
• Pastors develop a strategy for kindly redirecting members to the appropriate group or person |
<table>
<thead>
<tr>
<th></th>
<th>Boards and individuals often do not report important information to the church or school offices.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Guidelines in the form of printed directions and job aids are not available to board members</td>
</tr>
<tr>
<td></td>
<td>• Feedback system for bringing accountability for board communication practices is not available</td>
</tr>
<tr>
<td></td>
<td>• Provide boards with guidelines that make clear communication expectations.</td>
</tr>
<tr>
<td></td>
<td>• Provide job aids in the form of examples of well-written minutes, announcements, etc.</td>
</tr>
<tr>
<td></td>
<td>• Develop a feedback system for alerting board members when communications are lacking</td>
</tr>
<tr>
<td></td>
<td>The church and school web site is underutilized.</td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------------------------</td>
</tr>
<tr>
<td>5</td>
<td>• Web site has not been consistently updated</td>
</tr>
<tr>
<td></td>
<td>• Web site design lacks functionality desired</td>
</tr>
<tr>
<td></td>
<td>by those who would use it</td>
</tr>
<tr>
<td></td>
<td>• Web site is not well publicized</td>
</tr>
<tr>
<td></td>
<td>• Web site is not integral to a robust</td>
</tr>
<tr>
<td></td>
<td>organizational communications plan</td>
</tr>
<tr>
<td></td>
<td>• Integrate the web site into communications</td>
</tr>
<tr>
<td></td>
<td>plan</td>
</tr>
<tr>
<td></td>
<td>• Web redesign that serves the organization’s</td>
</tr>
<tr>
<td></td>
<td>strategic goals and objectives.</td>
</tr>
<tr>
<td></td>
<td>• Develop a plan for ensuring the web site</td>
</tr>
<tr>
<td></td>
<td>can be updated easily and often</td>
</tr>
<tr>
<td></td>
<td>• Include the web address on all publications</td>
</tr>
<tr>
<td></td>
<td>The church marquis and the bulletin boards appear to lack attention to content and appearance.</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>• No clearly articulated goal or objective for the marquis to serve</td>
</tr>
<tr>
<td></td>
<td>• No known person in charge of the appearance and / or content</td>
</tr>
<tr>
<td></td>
<td>• Set standards that will align the content of marquis and BB’s with strategic goals and objectives</td>
</tr>
<tr>
<td></td>
<td>• Assign care, appearance, updating, etc. to an individual, board, or committee</td>
</tr>
<tr>
<td></td>
<td>Signage inside and outside the building does not adequately direct those unfamiliar with the facilities.</td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>• Some signs are weathered and difficult to read</td>
</tr>
<tr>
<td></td>
<td>• Signs that exist are not noticeable to newcomers</td>
</tr>
<tr>
<td></td>
<td>• Repair, repaint, or replace weathered signs</td>
</tr>
<tr>
<td></td>
<td>• Consider interior signs that mount perpendicular to the wall so one can read them as they look down the halls</td>
</tr>
<tr>
<td></td>
<td>• Post an easily recognizable directory by key entrances to the building</td>
</tr>
<tr>
<td>8</td>
<td>The church’s methods of communicating are not likely to reach inactive or less active members of the congregation.</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>• Current communications are only available to those who attend church</td>
</tr>
<tr>
<td></td>
<td>• Information on website does not consistently relay the most current information, as one would find in “News and Notes,” for example</td>
</tr>
<tr>
<td></td>
<td>• Develop a communication plan that includes objectives for reaching all the membership</td>
</tr>
<tr>
<td></td>
<td>• Web design that is updated easily and often</td>
</tr>
<tr>
<td></td>
<td>• Provide periodic mailings of congregation news and events (eg. Newsletter)</td>
</tr>
</tbody>
</table>
| The organization’s publications do not convey an identifiable organization brand. | • Organization’s logo has changed several times over the past years  
• Depending on when documents have been updated, different logos may be shown  
• Lack of organization-wide document formatting standards | • Develop a communication plan that includes standards for logo, colors, and formatting of church and school documents  
• Create templates for documents, which will standardize document look and feel throughout the organization |
|   | Many existing organization policy and procedure documents are in need of review and updating. | • In many cases, probably a result of the fact that the documents are not often referenced  
• No scheduled plan of review for these documents  
• Docs may not be relevant to what actually happens | • Review organization’s policies and procedures  
• Update documents, as necessary  
• Discard documents no longer needed  
• Create new documents to answer new needs |
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td>The organization’s internet connection is unreliable, particularly in the school.</td>
<td>• The cause of this is unknown at this time</td>
<td>• Acquire the services of someone competent to diagnose problems and resolve issue(s)</td>
</tr>
<tr>
<td></td>
<td>Intra-staff communication methods are often unreliable.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>• There is not a single prescribed method by which staff know they should expect to send and receive intra-staff communications</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Although the preferred method is email, unreliability of the system effectively discourages consistent use of this method</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>• Review options for intra-staff communications</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Select one method that all staff knows will be an acceptable means of communicating, and stick to it.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Diagnosis and resolution of reliability issues with email service</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>School communication is often untimely, unclear, or inaccurate.</td>
<td>• Writer is often rushed; last-minute completion.</td>
<td>• Schedule enough lead-time so communications are not completed in a rush.</td>
</tr>
<tr>
<td>---</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>• Frequent distractions and interruptions prevent concentration necessary for accuracy.</td>
<td>• Work on communications at a time when interruptions are minimal.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Principal sometimes find himself making schedules that others on staff are in a better position to decide.</td>
<td>• Compose communications at a time that will minimize distractions or interruptions.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Ask a reliable person to proofread docs.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Enlist faculty to create schedules or documents when they pertain to their own work.</td>
</tr>
<tr>
<td></td>
<td>Current methods of school-parent communications do not reflect communication preferences of many parents.</td>
<td></td>
<td></td>
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<tr>
<td>---</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Many parents would prefer the posting of school news on the school web site.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Several parents indicate a preference for personal communication via email and Power School</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Ensure web site redesign accommodates frequent posting and updating of school news</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Acquire the services of someone competent to diagnose internet connection problem and fix it</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Get parent email addresses at the start of the school year</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
|   | Staff follow-up communication with parents and each other is often insufficient. | • Unreliable internet connection makes access to email and “Power School” records unreliable  
• Unreliability of system is a disincentive to communication efforts | • Acquire the services of someone competent to diagnose internet connection problem and fix it  
• In the absence of a reliable connection, develop an alternative strategy as a work-around |
|---|---|---|
| 15 | Workers receive little formal timely and helpful feedback on their job performance. | • No formal feedback system  
• Informal feedback is not consistently timely or helpful | • Develop a feedback system that includes periodic worker reviews |
|   | Member information updates received by one office is not readily available to the other office. | School and Church operate from separate data bases | Consider combining data into a commonly shared data base  
In the absence of a common data base, develop a system for communicating updated member information between offices |
|---|---|---|---|
| 17 | Matters pertaining to personnel compensation are not always readily accessible to the business manager. | Sometimes compensation information has been stored in personnel files in school office and is not relayed to the business manager  
When special compensation arrangements are made, it is not always communicated to the business manager | Set a policy governing where compensation information should be stored and how compensation matters should be communicated to the business manager  
This should be addressed immediately, as there may be legal |
<table>
<thead>
<tr>
<th>Performance Gap</th>
<th>Low</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>1</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 The organization lacks strategic communications plan that aligns with the organization’s strategic plan.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 The pastors are often distracted by attending to concerns that are rightly the responsibility of others.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 The work and responsibilities of boards and other elected officials have little</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Business Manager**
- No policy governing how these matters should be handled

**Compliance Issues Involved**

*Figure 2. Criticality Ranking of Communication Performance Gaps*

In the chart below, shaded areas indicate the range of responses. The (X) indicates the average of all the responses.
<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Visibility among congregation members.</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Boards and individuals often do not report important information to the church or school offices.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>The church and school web site is underutilized.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>The church marquis and the bulletin boards appear to lack attention to content and appearance.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Signage inside and outside the building does not adequately direct those unfamiliar with the facilities.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>The church’s methods of communicating are not likely to reach inactive or less active members of the congregation.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>The organization’s publications do not convey an identifiable organization brand.</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Many of the organization’s policy and procedure documents have not</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The organization’s internet connection is unreliable, particularly in the school.

Intra-staff communication methods are often unreliable.

School communication is often untimely, unclear, or inaccurate.

Current methods of school-parent communications do not reflect communication preferences of many parents.

Staff follow-up communication with parents and each other is often insufficient.

Workers receive little formal timely and helpful feedback on their job performance from their supervisors.

Member information updates received by one office is not readily available to
the other office.

Based on discussions with the team and their rankings of the criticality of the gaps, the consultant developed a set of recommendations comprised of five “action areas,” summarized in Figure 3. For each action area, the consultant described the action to be taken, a rationale for taking the action, the steps required to achieve the action, and the performance gaps that each step would address. This approach was taken, in large part, as a way of quieting feelings of being overwhelmed that the team expressed. From the point of view of the team, presenting a plan of five action areas was much more manageable than dealing with 18 separate performance gaps. The approach also had the benefit of demonstrating to the team that many of the performance gaps were interrelated or shared common causes.

**Figure 3. Summary of Recommendations**

<table>
<thead>
<tr>
<th>Action Area 1</th>
<th>As soon as possible, the organization should develop a strategic plan that includes statements of the organization’s vision, mission, and values, strategic goals, and objectives.</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>compensation are not always readily accessible to the business manager.</td>
</tr>
</tbody>
</table>
Included in the plan should be goals and objectives for the organization’s communication systems.

**Action Area**

2. Take steps immediately to ensure reliable access to the internet and email.

3. Review organizational policies and procedures, particularly as they relate to organizational communication systems. Update existing documents and create new documents, as necessary.

4. As soon as possible, develop and initiate a feedback system for employees and those holding office in the church.

5. Reinstitute the mailing of a monthly (or some other regular interval) newsletter to the membership of the congregation.

The team enthusiastically embraced the recommendations and, as of this writing, is working with the consultant to design, develop, and implement a program of interventions aimed at effectively addressing each of the action areas.

**Critical Business Issue:**

**What is:** Existing policies and procedures do not adequately address the communication needs of the congregation. Consequently, frequent miscommunication, non-communication, and misdirected communication is resulting in frustration and confusion; and the absence of a strategic plan is
resulting in a general lack of direction among the membership, staff, and
governing boards of the congregation.

**What should be:** The organization has a strategic plan that is clearly
communicated to all boards, workers, and members. Supporting the
strategic plan is a communication plan that defines communication
expectations and procedures that facilitate communication between
organizational entities.

**Focus on Outcomes or Results**

The desired outcome of the project was to identify the causes of misdirected
communications, as well as inadequate intra-staff, school-parent, and
church-membership communications; and to develop recommendations for
addressing these communication issues.

**Focus on Systems View:**

At its core, a communication system has four basic components that need to
be considered:

- **Message encoded**—Policies and procedures should state communication
  expectations and processes for what, when, how, and to whom
  information should be communicated. Messages should align with and
  support the organization’s strategic plan.

- **Medium**—The print media, including the organization’s web site, should
  have a clearly recognizable brand that is attractive and inviting to the
reader. Internet access should be reliable so that email can be sent and received with confidence that the message will reach its destination.

**Message decoded**—Well-formed and purposeful messages attractively presented will help ensure that the message is “heard” by the intended audience. Up-to-date mailing and emailing lists ensure that the intended recipient receives the message.

**Noise**—Publications should be free of visual clutter and convey an organizational brand that sets the publication apart from other bulk mailings the membership may receive. The web site should also have a clean appearance that draws the eye to the main message of the page. Navigation should be simple and clear to encourage reading and further exploration of the web site.

**Focus on Value:**

The process of assessing and analyzing the organization’s communication systems focused on bringing value to the organization and its constituents in several ways. First, by collecting objective data the team was able to develop a clear, objective understanding of what was happening in the organization. This, in turn, allowed the team to understand the causes of the performance gaps. Finally, the recommendations provided an understandable blueprint for actions aimed at closing the communication gaps.
According to the clients, for them, the immediate value of the project was that the sense of being overwhelmed and paralyzed had been lifted. Despair had been replaced by hope, and there was an eagerness to implement the recommendations. Should they effectively implement the recommendations, the long-term value to the organization will include a sense of direction and purpose for the organization that is supported and driven by the organization’s communication systems, a better informed and more active membership, and greater worker productivity job satisfaction.

**Focus on Establishing Partnerships:**

Establishing partnerships took place on several levels. The consultant established a trusting partnership with the team by inviting their input and review of all aspects of the project. The principal, who had been the target of much criticism from faculty and parents, was initially resistant to participating in the project. As the project proceeded, however, his attitude shifted from resistance to eager participant and valued problem-solver.

Likewise, the faculty was invited to provide their insights into the identification and causes of communication issues, and to consider possible solutions to those issues. The discussions highlighted how the faculty, accustomed to working in isolation from one another, could benefit from frequent conversation and collaboration. In the future, partnerships between the governing boards, staff, and individual congregation members
will be necessary to establish strategic plan that will drive the congregation toward accomplishing their strategic goals.

**Be Systematic in the Analysis of the Need, Opportunity, or Challenge:**

By surveying each stakeholder group and interviewing individuals and groups within the organization, the consultant was able to establish multiple data points. The data collected was carefully examined in order to objectively establish the communication needs, opportunities, and challenges facing the organization. The data also provided valuable insight to the causes of identified performance gaps, as well as clues about possible solutions.

**Be Systematic in the Analysis of Work, Worker, Workplace, and World View to Identify Factors that Limit Performance:**

The consultant asked each worker interviewed to describe their work and to reflect on perceived barriers to their work. Many of the barriers identified were related to inadequate communication between the workers and their supervisor, or between the workers the people they serve.

Unreliable internet access for email was cited as a key barrier to prompt, effective communications. Workers reported that timely and relevant feedback on their job performance was virtually non-existent. As a result, they often felt isolated, left to decide for themselves how to perform
their jobs. Each person interviewed stated they would like some kind of regular performance review with their supervisor.

**Be Systematic in the Design of Solutions:**

Although the scope of the project did not include the development, implementation, or evaluation of solutions, the recommendations provide a blueprint for the design of solutions for closing communication performance gaps. The recommendations are the logical conclusion of a careful and systematic assessment of the current situation, including the identification of performance gaps and their causes.

Prior to settling on the recommendations, the consultant tested the ideas with several stakeholders in order to gauge how well stakeholders perceived they would work and how willingly stakeholders would embrace their implementation. As a result, the project team is confident that the recommendations provide a solid plan that will enjoy stakeholder support, and will effectively close the organization’s communication performance gaps.

**Be Systematic in the Evaluation of the Process and Results**

The project plan included an iterative evaluation plan for the processes and outcomes for each step of the project. During each of the data sweeps, the team evaluated each of the assessment instruments on the basis of their accuracy and their likely ability to achieve the data collection objectives for which they were developed. After each of the data sweeps, the team
evaluated the data to determine whether the information collected was valid and satisfied the assessment objectives. The team evaluated the findings to ensure they were supported by the data. Finally, the team evaluated and prioritized the final recommendations.

**Lessons Learned:**

1. Establishing a trusting partnership with clients and stakeholders early in the process was critical to uncovering critical information and issues that might otherwise remain undetected. At the beginning of the project, it seemed as if the principal would present obstacles to the assessment and analysis process. As his trust in the consultant and the process grew, he became an indispensable asset to the process, particularly in the identification of performance gap causes and the formulation of solutions. This will pay dividends well into the future, as his input and support will be a key to the successful implementation of many of the solutions.

2. Limiting the scope of the project and keeping the clients focused on defined objectives was more difficult than expected. The team had been anxious and overwhelmed for quite a while by a myriad of issues in the organization, and those feelings persisted at the beginning of the project. The consultant patiently and repeatedly directed their attention to the objectives of the project and demonstrated to them how applying the correct solutions to their communication issues
would have a positive effect on the entire performance of the organization. Over the course of the project, the team gradually became more relaxed and better-focused on the project objectives.

3. Involving the stakeholders in the process of developing and testing solution recommendations was an important component of gaining stakeholder buy-in and support for the recommendations. This was most noticeable among the faculty. One teacher remarked after a meeting with the consultant that at the beginning of the meeting she was dreading the process. Now she was very enthusiastic about the prospect of improvements to her work situation.

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SECTION 5

INTERVENTION EVALUATION

[Insert Cartoon 5: Track Meet: “What type of string did you use?” here]

CHAPTER 23

OVERVIEW OF EVALUATION

The International Society for Performance Improvement (ISPI) has long supported “the integral role of evaluation in performance technology and in the ongoing functioning of any organization.”¹ This chapter will discuss the definition, scope, and purpose of evaluation and will present several models of evaluation.

**Definition of Evaluation**

The definition of evaluation has not changed substantially since 2000 when the first edition of Fundamentals was published: what has changed is the scope of evaluation. In 2000, evaluation was defined primarily from a training and development or program evaluation perspective with definitions adapted for performance improvement (PI) and human performance technology (HPT) application. Today, evaluation concepts apply to all performance improvements activities and efforts.

Authors and practitioners in all fields still agree that “to evaluate is to place a value on or judge the worth of a person, place, thing, or event”²—with some variations:

- “In the context of performance, evaluation is still considered as a way to compare results with intentions and delve into the usefulness
of methods and resources so that we may move toward the required results.”

- “In the world of learning and performance, evaluation is the act of passing judgment on the value or a problem and its proposed solution.”

Scope of Evaluation

The term scope refers to range or possibilities and is open to a variety of interpretations. Russ-Eft looks at the scope of evaluation from the perspective of approaches to evaluation: “As evaluation expands into different contexts, the approaches to evaluation also expand” and she categorizes the approach as “outcome-based or process and systems based”. The evaluation models discussed later in this chapter provide examples of both approaches. For example, Kirkpatrick’s model is an outcome-based model and Brinkerhoff’s model is a process-based model.

Dessinger and Moseley discuss scope in terms of types of evaluation—formative, summative, confirmative, and meta evaluation—that may be applied to both outcome-based and process- and system-based approaches to evaluation. Formative evaluation is diagnostic and is “used to shape or mold an ongoing process. . .to provide information for improvement”. Summative evaluation focuses on the immediate effectiveness of a performance intervention after it is implemented. Confirmative evaluation
identifies and explains the long-term effectiveness, efficiency, impact, and value of the intervention. Meta evaluation is a process for “assuring and checking the quality of evaluation”. All four types of evaluation will be discussed in this chapter and in Chapter 24.

PURPOSE OF EVALUATION

Establishing the purpose of an evaluation is an up-front and vital part of the evaluation process. The purpose or “why” of any evaluation drives decisions regarding what to evaluate, when to evaluate, and how to evaluate. If the purpose is (a) explicit, that is, clear, specific, and detailed; (b) true or real and undistorted; (c) aligned with the organization’s mission and values, and (d) determined in advance by all the stakeholders, then the resulting what, when, and how will flow more smoothly and truly. (See Figure 23.2)

Figure 23.2

Flow of Evaluation Decisions: Why to How

[Insert Figure 23.2 Flow of Evaluation Decisions here]

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The purpose of evaluation varies depending on stakeholder needs and expectations and the specific context or issues involved. In broad terms, “the purpose of evaluation is to illuminate and improve the organization. . .[and] also to affect decision making”. For example, feedback from the evaluation of a performance improvement intervention
can help decision makers determine whether to maintain, change, or end the intervention based on its impact on the world, work, workplace, and/or worker.

Geis and Smith\textsuperscript{10} suggest that to provide effective and targeted feedback, the performance improvement practitioner or evaluator may focus the evaluation on one or more of the following purposes:

- Confirm that a particular intervention is being carried out as designed;
- Indicate the effectiveness of a treatment or intervention in order to describe whether to continue, expand, or eliminate the intervention,
- Audit the current state of affairs; and/or
- Determine whether the cost of an intervention is justified by its effects.

And earlier in this chapter it was stated that the purpose of evaluation in turn determines the type of evaluation—formative, summative, confirmative, or meta—will be used to evaluate a performance improvement intervention.

**EVALUATION MODELS**

Evaluation models from Instructional Systems Design (ISD) and program evaluation perspectives still form the basis for evaluating performance interventions, although new evaluation models specifically related to Performance Improvement /HPT are surfacing. The age of the model has little impact on its applicability today, perhaps proving that evaluation is an
“ageless” activity because it is based on theory and practice that only gets better with age. Here are some ageless models that are useful for the current practice of performance improvement.

**Kirkpatrick Evaluation Model (1959-present)**

The most well-known model of evaluation is the Kirkpatrick Four Levels Model. Kirkpatrick originally developed the four-levels in 1959 to help users establish criteria for evaluating training. Kirkpatrick later explains that, for simplicity’s sake, he uses the word “training” to include development. Today, Kirkpatrick’s model (see Table 23.1) is widely used by both Instructional Systems Design (ISD) and performance improvement practitioners because it provides a common language, a common tool, and an emphasis on targeted results that practitioners and their clients can both understand and adapt to evaluate a variety of performance improvement interventions.

**Table 23.1**

**Kirkpatrick’s Four Levels of Evaluation**

| Level 1—Reaction | Level 2—Learning | Level 3—Behavior | Level 4— Results |

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A visit to the Kirkpatrick Partners website\textsuperscript{12} shows the subtle evolution of the basic Kirkpatrick model. At Level 1 there is an emphasis on measuring positive reaction. Level 2 now measures learning of targeted knowledge, skills, and attitudes rather than changes in attitude, knowledge, and/or skills. Level 3 has shifted from measuring change in behavior to measuring on-the-job transfer. Level 4 now measures targeted results after training and reinforcement. The website also lists five foundational principles: begin with the desired results, identify and focus on return on expectations (ROE), partner with clients to maximize results, create value before demonstrating value, and develop a chain of evidence using all four levels to demonstrate value.

\textbf{Brinkerhoff's Six-Stage Model (1987-present)}

Brinkerhoff’s process model focuses on evaluating learning interventions, specifically training program evaluation. The original Six-Stage Model is iterative in nature, viewing evaluation as a cycle. Brinkerhoff states that his model “responds to the decisions necessary for programs to proceed productively and defensibly. . .enabling and facilitating quality efforts.”\textsuperscript{13} In performance improvement terms, the Six-Stage Model evaluates the following:

1. Needs and goals—the value and importance of the problems of opportunities that trigger the intervention
2. Design—the practicality, soundness, and responsiveness to the needs and goals

3. Operation—the “goodness” of the installation and implementation of the performance intervention in relation to the needs, goals, and design

4. Learning—the level of the user’s knowledge, skills, and attitude when he or she first uses the intervention on the job

5. Usage and endurance—how well the intervention achieves the intended results over time

6. Payoff—the return on investment from the implementation of the intervention

In his later work, Brinkerhoff and Mooney focus on how to evaluate HRD training programs in order to demonstrate their worth and value to the organization, determine results, implement and debug new programs, and refine existing programs. Brinkerhoff also aligns his approach to evaluation with Kirkpatrick’s levels of evaluation, discussed later in this chapter, and stresses that “level three is the most important and productive of all the levels of evaluation”.

**Geis and Smith Model (1992)**

Geis and Smith’s model uses the basic Instructional System Design (ISD) model also known as ADDIE—Analyze, Design, Develop, Implement, Evaluate. The importance of the Geis and Smith model (see Figure 23.3)
is that it reconfigures the traditional ADDIE model into ADDI/E to suggest a proactive, integrated approach to the evaluation of learning interventions. This model is helpful when deploying rapid intervention design techniques which compress the analysis, design, development, and implementation phases for right-now or just-in-time deployment of learning or other performance improvement interventions.

[Insert Figure 23.3 Geis and Smith Evaluation Model here]

Figure 23.3

Geis and Smith Evaluation Model

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Kaufman-Keller-Watkins Model (1996-present)

Recognizing the limits of the Kirkpatrick model, Kaufman, Keller, and Watkins\(^1\) offered an expanded version designed to fit the broader dimensions of the performance improvement environment:

We suggest that these levels (Kirkpatrick Level 1–4) are incomplete, however, in terms of assessing performance and consequences, and as such they have encouraged many to focus narrowly on evaluating training.... Including interventions other than training into the general evaluation design will require some modification to the four levels, while incorporating existing aspects of program evaluation. . . . We propose that the principles and processes of training evaluation be expanded to
consider all interventions associated with strategic and tactical planning, performance improvement, organizational development, customer satisfaction/total quality, and societal contributions.

Kaufman et al. offered an expanded version of Kirkpatrick’s model designed to fit the broader dimensions of the performance improvement environment (see Table 23.2).

**Table 23.2**

**Kaufman-Keller-Watkins Adaptation of Kirkpatrick Model**

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1</td>
<td>Input and Reaction—the availability and quality of human, financial, and physical resources (input) and the perceived acceptability and efficiency of method and processes (reaction)</td>
</tr>
<tr>
<td>Level 2</td>
<td>Acquisition—individual and small-group mastery and competence</td>
</tr>
<tr>
<td>Level 3</td>
<td>Successful Application—individual and small-group utilization within the organization</td>
</tr>
<tr>
<td>Level 4</td>
<td>Organizational Results—organizational contributions and payoff</td>
</tr>
<tr>
<td>Level 5</td>
<td>Societal Consequences—societal and client responsiveness, contributions, and payoffs</td>
</tr>
</tbody>
</table>

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**Dessinger-Moseley Full-Scope Evaluation Model—1997-present**

Originally Dessinger and Moseley expanded on the Geis and Smith Model, using spiraling concentric circles to represent “the proactive and iterative nature of evaluation” within the ADDI/E process. The original model evolved into the Dessinger-Moseley Full-Scope Evaluation Model (Figure 23.4). The concept of full-scope evaluation was used as the basis for
integrating the evaluation phase into the performance analysis, intervention selection, design, and development, and intervention implementation phases for the 2000 and 2004 versions of the HPT Model.

**Figure 23.4**

Dessinger-Moseley Full Scope Evaluation Model

[Insert Figure 23.4 here]

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The concept of full-scope evaluation is based on three types of evaluation—formative, summative, and confirmative plus a process called meta evaluation which literally evaluates the evaluation\(^\text{19}\) Full-scope evaluation is an integral part of the life cycle of a performance intervention, guiding the decision-making processes that occur during and after the analysis, selection or design, development, implementation, and, yes, evaluation phases of the PI/HPT Model. Table 23.4 describes each type of evaluation in terms of its purpose and timing within the Performance Improvement/HPT Model.

**Table 23.3**

**Full-Scope Evaluation: Type, Purpose, and Timing**

<table>
<thead>
<tr>
<th>Type (What)</th>
<th>Purpose (Why)</th>
<th>Timing (When)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Formative</strong></td>
<td>Diagnose and improve analysis, selection or design, and development</td>
<td>During Analysis, Selection, Design, Development and</td>
</tr>
<tr>
<td>Summative</td>
<td>Confirmative</td>
<td>Meta Evaluation</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-------------------------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>inputs, processes and outputs</td>
<td>sometimes</td>
<td>Validate evaluation inputs, processes and outputs</td>
</tr>
<tr>
<td>Summative</td>
<td>Confirmative</td>
<td>Meta Evaluation</td>
</tr>
<tr>
<td>inputs, processes and outputs</td>
<td>sometimes</td>
<td>Validate evaluation inputs, processes and outputs</td>
</tr>
<tr>
<td>Summative</td>
<td>Confirmative</td>
<td>Meta Evaluation</td>
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<tr>
<td>inputs, processes and outputs</td>
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<td>Meta Evaluation</td>
</tr>
<tr>
<td>inputs, processes and outputs</td>
<td>sometimes</td>
<td>Validate evaluation inputs, processes and outputs</td>
</tr>
</tbody>
</table>

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**Combs and Falletta Targeted Evaluation Model (2000-present)**

The Targeted Evaluation Model provides a flexible, six-step-approach to evaluating performance interventions. The model focuses on determining whether the intervention achieved the goals of the stakeholders. The six steps include identify and partner with the appropriate stakeholders, understand the intervention and its impact, ask the right questions, use the right evaluation tools and techniques, analyze data to reveal trends, and report results to the organization.20

The targeted evaluation process is stresses the use of project-management tools and techniques to keep the activities on time and within budget and to manage changes that occur during the
evaluation. The targeted evaluation process also help ensure the feasibility of the evaluation project by verifying up-front that the stakeholders support evaluation and the organization has the necessary resources to conduct evaluation.

**PREDICTIVE APPROACH TO EVALUATION**

Earlier in this chapter we discussed the expanding scope of evaluation in the workplace. Using evaluation to predict outcomes is becoming more and more popular as the need to resolve accountability requirements goes beyond government and education and into business, industry, and other sectors. Predictive evaluation, also known as predictive analytics, may not be perfect, but it is possible and it helps to reduce risk and uncertainty.

**Predictive Evaluation**

Predictive evaluation is an approach to evaluation that is driven by business data. It seeks to isolate business impact using predictive analytics to determine where and for whom the investments are having the greatest impact. The data may include predictions of successful intention, adoption, and impact; leading indicators of adoption or transfer; impact or business results; and recommendations for continuous improvement.²¹

**Foundations.** According to Basarab,²² Predictive evaluation is built on the work of Kirkpatrick and Brinkerhoff. Beresford feels that predictive evaluation is actually Kirkparick’s level 4 “as he would have wanted it to be;”
the level that allows evaluation of isolated impacts. Predictive evaluation actually goes beyond the Phillips’ survey-based methodology, or Level 5, to become the new business data-driven Level 6 which allows the practitioner to evaluate isolated impacts; for example, which populations—new hires or veterans—will succeed given this intervention?

Beresford also feels that, outside of the learning department, senior executives do not care about learning’s four levels of evaluation—they just want authentic business impact. For example:

When an organization’s budget comes under scrutiny, learning and HR professionals often find themselves vulnerable to cuts. They discover that their traditional and well-loved survey-based business impact and ROI results don’t pass muster with the CFO. Thus, many organizations are turning to their own company’s operational business data to show their value. Following a standard research protocol of test and control groups and prior and post performance, they evaluate the change business metrics over time. Using statistical methods, they can quantify and isolate the impact of their human capital investments. . . in a way that is credible in the C-suite.23

**Planning and Conducting Predictive Evaluation.** Basarab 24 provides tips, tools, and techniques for planning and conducting predictive evaluation. Predictive evaluation uses a combination of interview-survey and statistical analysis. Data from the performance analysis as well as documentation of
the design phase is collected and analyzed to help the evaluator understand the program being evaluated. Real-time and virtual meetings are used to collect data from company stakeholders. For example, a steering committee of 8–12 stakeholders is formed to meet and create an Impact Matrix. Company records also provide impact data. Methods for collecting participant data for predictive evaluation are self-reports including dashboard reports, surveys, questionnaires, interviews, and success stories from high performers. Predictive evaluation also requires statistical analysis of the collected data.

**Predictive Analytics**

Predictive analytics is making an impact in the field of evaluation because it brings a different methodology to learning evaluation, namely a research methodology familiar to the field of psychology. The idea of using current and historical data and statistical modeling to make predictions about future outcomes is commonplace in some fields such; for example, insurance premiums and credit scoring. This science of predictive analytics is finally making its way into the HR and learning space—and is greatly enhancing decision-making.

Organizations are using their own HR, training, and business performance data to determine if an initiative is working, that is, driving business results), and with whom and where is it working best. They can use the data to compare populations and situations; for example, to
determine which segments of employees—millennials or boomers, those working in small offices or large offices, and so forth—are benefiting most and least from an initiative, and by how much.

**Benefits.** Predictive analytics provides a degree of certainty that HR and training departments have never had before, enabling them to make data-driven decisions to improve future investments. They make it possible to be systemic, focus on outcomes, and access data beyond the training department. They increase the credibility of HR and training departments.

**Implementation.** Predictive evaluation is not for the faint of heart and it is not for a short-term or infrequent program. This sort of evaluation is typically reserved for highly visible, expensive initiatives where the organization will really want to know the results and will act on the information.

The basic steps for using predictive analytics are:

- Engage stakeholders—ideally up front during analysis or later if necessary; engagement leads to commitment; commitment leads to data access;
- Link everything through a needs assessment, performance map, or impact map;
- Ask stakeholders to establish outcome metrics—what metrics do they expect this initiative to impact?
Access and review related business data—getting access to data is key;

Use statistical methods to find out whether training is really responsible for a change in behavior; for example, if you have a group of people in the same environment and you know the demographics, you can do a regression analysis and isolate control factors before and after on both trained and untrained populations and over time.

Analyze and compare the outcome metrics of the populations.

Recommend action.

**Roles and Competencies**

The performance improvement practitioner needs to be aware of the possibilities that predictive analytics brings to the evaluation table and be able to articulate the benefits of it to the client. The practitioner also needs a basic knowledge of statistics and/or access to a statistician. In addition, the practitioner needs the credibility and political clout to approach a person with the power to access business data and support action once the results of the evaluation are communicated.

**INTEGRATING EVALUATION INTO THE PI/HPT MODEL**

When the Performance Improvement /HPT Model was first introduced in 1992 by Deterline and Rosenberg, the last step in the model was “evaluation of results”. Marc Rosenberg, one of the authors of the original Performance
Improvement /HPT Model, summarized the evaluation component of the Model and its purpose as follows: “After applying or implementing the PT solution, it’s important to monitor it to determine its effect on performance improvement and on the organization.”25

The current positioning of evaluation in the Performance Improvement /HPT Model illustrates the integration of evaluation into every phase of the performance improvement process—performance analysis, intervention selection and design, and development, intervention implementation, and evaluation itself. The revised Performance Improvement /HPT model (Figure 23.1) also suggests which type of evaluation to use during each performance improvement phase and what to evaluate. However, as Hastings 26 cautions: “We must allow process (formative), product (summative), and impact (confirmative) evaluation efforts to permeate the entire performance improvement process.”

Performance improvement practitioners should not think of evaluation as an afterthought or a one-time event: “. . .evaluation may occur at any time and with any frequency. The timing depends on the purpose of the evaluation”; for example:

During analysis one often carries out the activities earlier defined as evaluative: clarifying decisions to be made, collecting information, and feed it into the decision process. A good part of the needs assessment—of front-end analysis in general—is evaluation.”27
Rothwell also suggests: “Establish a framework for accountability during the selection and implementation phases and ensure the personal involvement of key decision makers in choosing bottom-line measures to demonstrate the value of their efforts.”28

**ROLE OF THE PI/HPT PRACTITIONER AS INTEGRATOR**

“The increasing responsibilities of professionals for the results, consequences and payoffs of their activities has lead us into a new era of professionalism. For the performance professional this era requires a renewed focus on the scientific basis for decision making. . .”29 Full scope evaluation is an ideal which, while it may not be appropriate for all interventions, helps to ensure the validity and reliability of the data upon which business decisions are based. Organizations subject to audits or governed by standards and regulations can benefit greatly from the integration of full-scope evaluation into their performance improvement efforts. PST 23.1 is a guide for the performance improvement practitioner or evaluator who is responsible for integrating full-scope evaluation into the PI/HPT process.

**Performance Support Tool (PST) 23.1**

*What the Performance Improvement/HPT Practitioner or Evaluator Can Do to Integrate Full-Scope Evaluation into the Performance Improvement Process.*

---

**Formative Evaluation**
1. Decide feasibility of conducting a formative evaluation:
   a. Do the organization and stakeholders need to validate the ‘goodness’ of the intervention analysis, selection/design, and development processes and outputs?
   b. Does the organization have the resources (time, money, expertise) and desire to support formative evaluation?
   c. If the answer is **yes** to both a and b, go to step 2; if the answer is **no** to either a or b, go to step 4

2. Establish purpose, goals, objectives, scope of the evaluation

3. Design, develop, and implement a formative evaluation plan that aligns with the purpose of the intervention and establishes criteria for revising, maintaining, rejecting, or replacing components of the intervention prior to full implementation.

4. Report findings to organization and stakeholders.

5. Change intervention as needed.

---

**Summative Evaluation**

1. Review the analysis outputs and outcomes to decide feasibility of conducting a summative evaluation:
   a. Do the organization and stakeholders need data on the immediate effectiveness, efficiency, impact, and/or value of the intervention?
   b. Does the organization have the resources (time, money, expertise) and desire to support summative evaluation?
   d. If the answer is **yes** to both a and b, go to step 2; if the answer is **no** to either a or b, go to step 4

2. Establish purpose, goals, objectives, scope
3. Design, develop, and implement a summative evaluation plan that aligns with the purpose of the intervention and the immediate data needs of the organization/stakeholders.

4. Report findings to organization and stakeholders.

5. Change intervention as needed

**Confirmative Evaluation**

1. Review the analysis outputs and outcomes to decide feasibility of conducting confirmative evaluation:
   a. Is it a long-term intervention?
   b. Do the organization and/or stakeholders need to confirm long term effectiveness, efficiency, impact, and/or value of the intervention?
   c. Does the organization have the resources (time, money, expertise) and desire to support confirmative evaluation?
   e. If the answer is *yes* to a, b, and c, go to step 2; if the answer is *no* to a, b, and/or c, go to step 4

2. Establish purpose, goals, objectives, scope

3. Design, develop, and implement a confirmative evaluation plan that aligns with the purpose of the intervention and the long-term data needs of the organization/stakeholders.

4. Report findings to organization and stakeholders.

5. Make life-cycle decisions: maintain, revise, reject, or replace intervention or components.

**Meta Evaluation**

1. Decide feasibility of conducting meta evaluation:
a. Do certification, standards, licensing, quality, or other external or internal accountability factors require meta evaluation?

b. Does organization have resources (time, money, expertise) and desire to support meta evaluation?

c. If the answer is **yes** to both a and b, go to step 2; if the answer is **no** to either a or b, go to step 6

2. Establish purpose, goals, objective, scope

3. Select a professional evaluator or performance improvement practitioner.

4. Select type of meta evaluation
   
a. Type One: monitor and evaluate the evaluation processes, outputs, and outcomes during each evaluation—formative, summative, confirmative

   
b. Type Two: Collect and evaluate the data from each evaluation—formative, summative, confirmative.

5. Design, develop, and implement meta evaluation.

6. Report findings to organization and stakeholders.

7. Make life-cycle decisions: maintain, revise, reject, replace intervention or components.

Source: Joan Conway Dessinger. Used with permission.

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**CHAPTER 23 OVERVIEW OF INTERVENTION EVALUATION CITATIONS**

1. Geis & Smith, 1992, p. 130

2. Van Tiem, Moseley, & Dessinger, 2000, p. 156


5. Russ Eft, 2010, p. 341
6. Dessinger & Moseley, 2004
8. Madaus, Scriven, & Stufflebeam, 1987, p. 16
12. Our Philosophy, 2011
16. Geis & Smith, 1992
17. 15 Kaufman, Keller, & Watkins, 1996, p. 9
19. Moseley & Dessinger, 1998; Dessinger & Moseley, 2004
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22. Basarab, 2011
23. Beresford, personal communication, August, 2011
24. Basarab, 2011
27. Geis & Smith, 1992, p. 138–139
CHAPTER 23 OVERVIEW OF INTERVENTION EVALUATION

REFERENCES


CHAPTER 24

PLANNING AND CONDUCTING EVALUATION

Evaluation is more than a phase of the Performance Improvement/HPT Model; it is the integrating force that proves the merit, worth, and value of the entire performance improvement effort. This Chapter is a guide to planning and conducting the four types of evaluation introduced in Chapter 23—formative, summative, confirmative, and meta evaluation.

[Insert Figure 24.1 Performance Improvement/HPT Model here]

[Note to editor: shade in the Evaluation Component]Not PROVIDED

The performance improvement practitioner and/or evaluator takes a leadership role in planning and conducting evaluation. During the evaluation phase, the performance improvement practitioner or evaluator is traditionally responsible for performing or monitoring seven major tasks1, whether the evaluation is formative, summative, confirmative, or meta:

- Establishing the purpose, goals, objectives, criteria, and scope of the evaluation;
- Establishing the feasibility of conducting the evaluation;
- Selecting the appropriate method(s) based on the purpose and context of the evaluation—social and political environment—and available resources such as time, money, and expertise;
- Collecting all the data that is feasible, available, and relevant;
• Analyzing the data using appropriate sound qualitative and/or quantitative methods; and
• Reporting the findings after first determining who needs to know, what they need to know, how best to inform them, and how often to keep them informed. This may also include setting up a review-revise-approve cycle for stakeholders.
• Making recommendations based on the evaluation results.

This chapter offers resources and guidance to the performance improvement practitioner or evaluator who is planning and/or conducting the four types of evaluation: formative, summative, confirmative, and/or meta. The author concludes that the practitioner or evaluator should really begin setting the stage for evaluation even before the planning begins.

**FORMATIVE EVALUATION**

Some performance improvement practitioners think of formative evaluation as a type of up-front analysis. Others consider it a continuous improvement or quality control tool. Planning formative evaluation depends on purpose, timing, and feasibility. Conducting an effective and efficient formative evaluation depends in large part on the goodness of the planning process.

**Definition and Scope**

By any other name, formative evaluation would be called continuous improvement or quality control. Originally coined to describe a “systematic
process of revision and tryout”\textsuperscript{2} to improve curriculum and instruction, formative evaluation has become a major technique for ensuring quality and consistency of performance improvement processes. Formative evaluation is diagnostic and is “used to shape or mold an ongoing process. . .to provide information for improvement. . .”\textsuperscript{3}

Formative evaluation is set apart from summative or confirmative evaluation because it is “a quality control method to improve, not prove. . .effectiveness”.\textsuperscript{4} The word \textit{improve} is key to understanding why formative evaluation is such an important tool in the performance improvement practitioner’s toolkit. “The immediate output of formative evaluation is an improved (performance intervention) package that provides consistent results.”\textsuperscript{5} The term \textit{performance intervention package} is defined as “any combination of products and procedures designed to improve the performance of individuals and/or organizations”.\textsuperscript{6}

\textbf{Purpose}

Formative evaluation is largely defined by its purpose. The general purpose of formative evaluation is to validate that the performance intervention package is:

- designed to do what the designers/developers promise it will do,
- grounded in the mission and values of the organization, and
- aligned with the objectives of the performance improvement effort.

\textbf{Timing}
Traditionally, formative evaluation begins during the analysis, design, and
development of the Performance Improvement/HPT Model. However, performance improvement practitioners are beginning to take a less
traditional look at when to conduct formative evaluation. Here are some of their views:

- Integrate formative evaluation with all four levels of Kirkpatrick’s Evaluation Model (see Table 23.1 in Chapter 23). Formative evaluation is usually associated with level one (immediate reaction) and level two (immediate knowledge and skill change) of Kirkpatrick’s model. Integrating formative evaluation with level three (on-the-job transfer) and level four (organizational results) “is consistent with current approaches to performance technology, and provides an opportunity for the designer to become knowledgeable about the workplace, and to use that knowledge to facilitate the transfer of learning from the classroom to the performance context”.8

- Consider formative evaluation as “an on going process for updating and upgrading the performance improvement package even after it has been implemented in the workplace”.9 This is similar to the process of maintaining and upgrading a computer system throughout its life cycle.

- Beer and Bloomer10 also discussed concurrent use of summative and formative evaluation during design, development, and implementation
as long as the intervention is *revisable* and concurrent use of confirmative and formative evaluation to evaluate relevancy and usefulness after implementation.

The concept of ongoing formative evaluation is consistent with the practice of *rapid design* which omits or shortcuts some of the up-front analysis and design activities and begins with a basic intervention package that is improved as it is implemented. The concepts of concurrent formative evaluation is consistent with the practice of *rapid design* which eliminates or shortcuts some of the up-front analysis activities and often begins with a basic performance improvement package that is revised as it is implemented.

**PLANNING A FORMATIVE EVALUATION**

Planning formative evaluation begins by working with the stakeholders to define and clarify major the intended purpose of the formative evaluation. The stakeholders should agree on the purpose first, since it drives how the evaluation is planned and conducted, then they can discuss the ongoing issue of feasibility. Feasibility analysis balances the resource requirements for conducting the formative evaluation against the purpose or reason why the evaluation is being conducted; is the goal of the evaluation and/or the use of the selected evaluation methodology worth the cost? (See Chapter 19 Business Case) As the evaluation expert, the performance improvement
practitioner or evaluator is positioned to offer alternative methods for making the formative evaluation as effective and efficient as possible while accomplishing the intended results. The practitioner or evaluator can use PST 24.1 at the end of this chapter to initiate dialog with the stakeholders, make decisions, and develop the basis for a situation-specific formative evaluation plan that is effective and efficient and will accomplish the desired results.

**CONDUCTING A FORMATIVE EVALUATION**

There are four traditional methods for conducting formative evaluation and eight alternative methods. Table 24.1 outlines Tessmer’s traditional and alternative methods and has been updated to include new and emerging technologies.

**Table 24.1**

**Traditional and Alternative Formative Evaluation Methods**

<table>
<thead>
<tr>
<th>Traditional Method</th>
<th>Alternative Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Real-time or online expert review</td>
<td>• Self Evaluation</td>
</tr>
<tr>
<td></td>
<td>• Panel Review</td>
</tr>
<tr>
<td>2. Real time or online one-to-one evaluation</td>
<td>• Two-on-One Evaluation</td>
</tr>
<tr>
<td></td>
<td>• Think-aloud Protocols</td>
</tr>
<tr>
<td></td>
<td>• Interviews</td>
</tr>
<tr>
<td>3. Real-time or online small-group evaluation</td>
<td>• Evaluation Meetings</td>
</tr>
<tr>
<td></td>
<td>• Journals</td>
</tr>
</tbody>
</table>
The four traditional methods are expert review, on-to-one, small group, and field test. The methods described below may be used to review the entire performance intervention package—products and procedures—throughout the entire performance improvement process. Thanks to new and emerging technologies for implementing these methodologies, formative evaluation can now be implemented using real-time or virtual activities.

**Expert Review.** A content or performance expert(s) provides information that aids in the selection or design of the intervention and/or reviews draft components of the intervention before implementation. The performance improvement practitioner or evaluator then “reviews the review,” clarifies any remaining issues, and revises the intervention.

**One-to-One.** A potential performer or user reviews draft components of the selected or designed intervention before implementation. The performance improvement practitioner or evaluator takes part in the review and revises the intervention as needed.

**Small-Group.** Potential performers or users review draft components of the selected or designed intervention before implementation. The performance
improvement practitioner or evaluator may or may not participate directly in the review, but is responsible for establishing what the group will focus on during the review, clarifying issues that arise during the review, and making the necessary revisions.

Field Test. The selected or designed intervention is tried out with target performers/users before full-scale implementation. This method is frequently followed by a debriefing session involving the practitioner or evaluator, who makes any necessary revisions.

Alternative Methods
Despite the usefulness and proven validity of traditional methods for conducting formative evaluation, Tessmer (1994, p. 5) lists two major factors that call for alternatives:

1. Special circumstances such as time or resource pressure, geographic distances, complexity of performance, or political goals, may require altering the basic methods; and

2. New Technologies such as computer and electronic communication technologies have created new tools for gathering and evaluating information that expand real-time methods for conduction formative evaluation.

The alternative methods help the performance improvement practitioner to customize traditional formative evaluation processes to fit the context in which the package was designed and will be implemented. No
matter which alternative is selected and implemented, the outcome is that the practitioner, in the role of evaluator, designer, and/or developer, guides the focus and criteria for the evaluation process and revises the performance improvement package based on the feedback. The following discussion is updated based on original suggestions from Tessmer\textsuperscript{12}; Thiagarajan\textsuperscript{13}, and other practitioners. They can be implemented using available real-time or online technologies.

**Self-Evaluation (Initial Debugging)**

The designer, developer, or several members of the design team try out and evaluate the intervention before presenting it to experts or performers for evaluation. This process is frequently called an *internal review* and is conducted before presenting material to the client for an external review-revise-approve cycle. For self evaluation to work effectively, the designer or developer should complete the following tasks:

- Develop a set of evaluation criteria. The criteria may be the same as or different from the criteria set for the expert, performer, or client review, but it should include all the items the client or external reviewers will focus on, plus any design or development issues that the design team needs to resolve.
- Set the intervention material aside for several days to gain distance from the intervention’s content and intent.
- Literally become the performer and try out the intervention.
• Record both positive and negative feedback.

**Panel Reviews**
The performance improvement practitioner directs and structures the evaluation process, preparing a set of questions to guide two or more groups of experts through their review of the performance improvement package. Ideally the experts review the package before meeting the practitioner so that they can focus on areas of concern during the meeting. The practitioner facilitates the meeting and records the outcomes. The panel review may take place in person or using video conferencing technology.

**Two-on-One Evaluation**
Two performers review the performance intervention package with the performance improvement practitioner. The performers discuss their reactions as they move through the processes and products that compose the package. The discussion may be conducted online using chat room or video conferencing technologies or in-person.

**Think-aloud Protocols**
This method involves only one performer at a time. The performer walks through the package and verbalizes all of his or her thoughts and reactions. The PT practitioner or evaluator prompts the performer to continue thinking aloud whenever the performer becomes silent. The ‘walk through’ may be conducted in real-time or online using video conferencing technologies.

**Interviews**
Interviews may be conducted, in person, by telephone or mobile technology, or online; using email, bulletin board, video conferencing, and chat room technology. The PT practitioner or evaluator can send, retrieve, analyze, and respond to the e-mail, or use a software program that automatically send questions, collects and analyzes responses to open or closed-ended questions, and even generates and distributes a customized report.

Using online technology, the practitioner or evaluator can post performance improvement package products, procedures, or issues that arise during design or development. Experts or performers then go into bulletin board area, read the postings, and react to the postings by leaving messages. Bulletin boards allow for ongoing dialogue among and between the PT practitioner or evaluator, the experts, and the performers. This technology is especially helpful during rapid prototyping when analysis, design, and development of the performance intervention package are conducted simultaneously.

Video conferencing technology and chat rooms allow the practitioner or evaluator to conduct real-time interviews with one of more experts or performers and to share the discussion for further analysis. Facilitation of real-time, online interviews requires practice. For example, when chat rooms contain more than two people the facilitator must set up protocols to keep the interview focused and allow respondents to complete their
responses before another respondent cuts in. The difficulty level rises exponentially with the number of people in the room.

**Evaluation Meetings**

Evaluation meetings bring together users and/or participants, designer, or evaluator to review and discuss the performance improvement package. Evaluation meetings may be repeated several times to validate revisions to the original package.

**Journals, Blogs, and Tweets**

Networking technology gives the PT practitioner or evaluator the option of gathering information from online journals, blogs, or tweets. The expert or novice performer records reactions to the intervention, and makes suggestions for improvement. The PT practitioner or evaluator may then follow up by using some of the computer interviewing methods discussed above.

**Rapid Prototyping**

Rapid prototyping is an alternative to full systematic design of performance intervention packages. The designer or simultaneously analyzes, selects or designs, develops, and implements the package components instead of working in a linear fashion. In the PT environment the sequence of activities may look as follows:

1. Analyze, select or design, and develop one component or more components of the performance improvement package.
2. Develop the support products required to implement the component(s).

3. Field tests the component(s) immediately with experts or performers.

4. Revise as needed.

5. Repeat the process until the entire performance improvement package is completed.

During rapid prototyping formative evaluation is similar to a pilot except the users or experts provide feedback during the initial implementation of the performance improvement package. Reviewer input is used to revise the prototype and, in time, to develop the final version.

**Advantages and Disadvantages of Alternative Methods**

Table 24.2. was updated from Tessmer\textsuperscript{14} to provide an overview of the advantages and disadvantages of the alternative methods of formative evaluation. Use of the various methods should be based on feasibility issues such as the

- need for the data to be collected,
- time and resources available, and
- level of support from the stakeholders.

**Table 24.2.**
Advantages and Disadvantages of Alternative Formative Evaluation Methods

<table>
<thead>
<tr>
<th>Method</th>
<th>Advantages</th>
<th>Disadvantages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-evaluation</td>
<td>• easy to conduct</td>
<td>• not rigorously</td>
</tr>
</tbody>
</table>
### SUMMATIVE EVALUATION

Formative evaluation helps the organization to determine whether or not to put the *soup* on its performance improvement *menu*; summative evaluation helps the organization determine whether or not to *keep* the soup on the menu. “When the cook tastes the soup, that’s formative; when the guest taste the soup, that’s summative.”¹⁵ During formative evaluation, the

<table>
<thead>
<tr>
<th>Method</th>
<th>Benefits</th>
<th>Drawbacks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Panel Reviews</strong></td>
<td>• insider’s viewpoint conducted</td>
<td>• sometimes don’t “see the forest for the trees”</td>
</tr>
<tr>
<td></td>
<td>• expert dialogue</td>
<td>• may move off task</td>
</tr>
<tr>
<td></td>
<td>• negotiated agreement</td>
<td>• less independence</td>
</tr>
<tr>
<td><strong>Two-on-One</strong></td>
<td>• performer dialogue</td>
<td>• no pace/time data</td>
</tr>
<tr>
<td></td>
<td>• performer agreement</td>
<td>• no individual opinions</td>
</tr>
<tr>
<td></td>
<td>• possible time savings</td>
<td>• dialogue distraction</td>
</tr>
<tr>
<td><strong>Think-aloud Protocol</strong></td>
<td>• data on mental errors</td>
<td>• intrusive</td>
</tr>
<tr>
<td></td>
<td>• process data</td>
<td>• awkward to use</td>
</tr>
<tr>
<td><strong>Computer Interviewing</strong></td>
<td>• access to remote subjects</td>
<td>• time-consuming</td>
</tr>
<tr>
<td></td>
<td>• continuous evaluation</td>
<td>• training required</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• equipment required</td>
</tr>
<tr>
<td><strong>Evaluation Meetings</strong></td>
<td>• amount of group info</td>
<td>• only easy changes made</td>
</tr>
<tr>
<td></td>
<td>• quick tryout and revision</td>
<td></td>
</tr>
<tr>
<td><strong>Computer journals, blogs, tweets</strong></td>
<td>• continuous evaluation</td>
<td>• hardware and software requirements</td>
</tr>
<tr>
<td></td>
<td>• environmental variations</td>
<td>• computer experience</td>
</tr>
<tr>
<td></td>
<td>• cost and time effective</td>
<td>• levels of users</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• no evaluator present</td>
</tr>
<tr>
<td><strong>Rapid Prototyping</strong></td>
<td>• assess new strategies</td>
<td>• time and cost to develop</td>
</tr>
<tr>
<td></td>
<td>• assess new technologies</td>
<td>• undisciplined design</td>
</tr>
</tbody>
</table>

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“cooks” who prepare the performance intervention package—analysts, designers, developers—both conduct and benefit from the evaluation. On the other hand, an external evaluator frequently stirs the pot during summative evaluation and the “guests” who are tasting the soup may be major organizational decision makers and stakeholders “who provide the political and economic support for the program or intervention”.16

**Definition and Scope**

Summative evaluation focuses on the immediate effectiveness, efficiency, impact, and value of the intervention when it is implemented. Basically, summative evaluation looks at the immediate results of a performance intervention package during implementation and gathers information that will be useful to the decision makers in the organization. The results being evaluated may include the following:

- What is the immediate or short-term reaction of the performers or other stakeholders to the intervention?
- What immediate or short-term changes in knowledge, skills, and/or attitude occur? To what degree do the changes occur?
- Are the intervention and/or resulting changes applied on-the-job by the performers and/or accepted by other stakeholders?

**Purpose**

Summative evaluation seeks to answer two major questions:
1. Did the performance intervention package solve, eliminate, or reduce the original performance improvement opportunity, problem, or gap?
2. Does the performance improvement package meet the needs of the organization?\textsuperscript{17}

Changes to the intervention may or may not take place based on this immediate feedback.

**PLANNING A SUMMATIVE EVALUATION**

Summative evaluation takes place during the implementation and maintenance phase of the Performance Improvement/HPT Model. In fact, Smith and Brandenburg refer to summative evaluation as “rear end analysis” as opposed to front-end or performance analysis.\textsuperscript{18} There are traditional steps to follow when planning a summative evaluation based on Smith and Brandenburg. The steps are:

1. Identify the decision maker and the stakeholders and conduct interviews to specify what decision(s) needs to be made and what data is needed to make the decision(s).

2. Translate decision(s) into targeted evaluation questions and ask the decision maker to validate the questions.

3. Analyze constraints, resources, and opportunities to determine what is feasible given the existing situation.
4. Make a plan:

- Select the evaluation strategies, standards, and participants or population.
- Specify instruments, procedures, and sampling strategies that will collect the required data.
- Specify administration plan requirements for staffing, scheduling, budgeting, and reporting.

5. Conduct a reality check to validate that the evaluation plan components are feasible and will accomplish the intended results.

6. Distribute the evaluation plan to the stakeholders as needed.

Use PST 24.1 at the end of this chapter as a guideline for planning a summative evaluation plan.

**CONDUCTING A SUMMATIVE EVALUATION**

Collecting and analyzing data is more formalized during summative evaluation than it is during formative evaluation. Summative evaluation may use some of the same tools as formative evaluation—interviews, observation, group processes, and surveys—to collect data on immediate participant reaction, on-the-job transfer, and/or organizational results and impact. However, summative evaluation uses assessment techniques to test and measure immediate changes in knowledge, skill, and/or attitude, and statistical analysis to establish significance and develop an objective basis
for decision making. Frequently an expert evaluator develops test questions and a statistician analyzes the test results.

New technology and software has improved the PT practitioner’s ability to collect, analyze, store, and distribute summative evaluation data\textsuperscript{19} Software such as SPSSX\textsuperscript{®} simplifies the use of statistical analysis techniques. Statistical analysis software can collect, analyze, and store data and prepare graphics and reports. There is also increasing use of computer and/or mobile technologies to deliver and evaluate the education, training and/or information required for performance improvement. Computer technology is also capable of facilitating interactivity between the participants and the materials and collecting data on whether the participants have understood and used the education, training or information to change their knowledge, skills, or attitudes, and their immediate reaction to the delivery content and strategy. Mobile technology has some interactivity and collection capability and is constantly increasing its potential.

**CONFIRMATIVE EVALUATION**

Thirty three years ago Misanchuk\textsuperscript{20} introduced confirmative evaluation as a logical next step to formative and summative evaluation of instructional materials or learners. Twenty six years later Seels and Richey (1994)\textsuperscript{21} suggested that “Quality control requires continuous evaluation including
extending the cycle beyond summative evaluation” and a decade after that Dessinger and Moseley \(^{22}\) moved confirmative evaluation into the realm of performance improvement with their book: *Confirmative Evaluation: Practical Strategies for Valuing Continuous Improvement*. Confirmative evaluation builds on the findings and recommendations generated during formative and summative evaluation. It enables evaluators to confirm the continuing worth of performance improvement packages and performers and helps organizations decide how to manage continuous performance improvement efforts.

**Figure 24.2**

**Dessinger-Moseley Confirmative Evaluation Model**

[Insert Figure 24.2 Dessinger-Moseley Confirmative Evaluation Model here]

[Note to editor: Original in *Confirmative Evaluation* by Dessinger Moseley, 2004, Pfeiffer, p. 23]

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**Definition and Scope**

The following definition of confirmative evaluation, although written for ISD practitioners, is easily adapted to the broader context of PT: “Confirmative evaluation is the process of collecting, examining, and interpreting data and information in order to determine the continuing competence of the learners (performers) or the continuing effectiveness of the instructional materials (performance improvement intervention).”\(^{23}\) Confirmative evaluation
“challenges us to jettison linear models and integrate evaluative process throughout every phase of (performance improvement).”

For further insight into what confirmative evaluation is all about, it is necessary to examine its purpose and timing.

**Purpose**

The major purpose of confirmative evaluation is to provide continuous quality control over the life cycle of the performance improvement package. Confirmative evaluation does this by placing a value on the endurance of the performance improvement package and by helping the decision makers establish what to do next.

Confirmative evaluation identifies, explains, and confirms the long-term or enduring efficiency, effectiveness, impact, and value of the intervention. It judges the actual and perceived value to the user in terms of competence and “usefulness” and the impact on the organization in terms of performance improvement, return on investment (ROI), and other measurable factors.

“Enduring or long-term effects” refer to those changes that can be identified after the passage of time and are directly linked to the performance improvement package. Figure 24.2. illustrates how the value of a performance intervention is equal to the continuing competence of the performers who participate in the intervention and the continuing
effectiveness of the entire performance improvement package including products and processes.

**Figure 24.3**

Equation for Confirming the Value of a Performance Intervention

[Insert Figure 24.3 Equation for Confirming the Value of a Performance Intervention here]

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In addition to confirming the competency of the performers and the effectiveness of the performance improvement package, there are two other reasons why performance improvement practitioners or evaluators should conduct confirmative evaluation. First, confirmative evaluation may be used to link the intervention to broader accomplishments that directly affect the organization and to establish actual costs and benefits. Second, long-term formative evaluation or confirmative evaluation not only supports and strengthens continuous improvement efforts within an organization, but can also “feed back valuable hypotheses to research in pursuit of a better understanding of human behavior, performance, and accomplishment,” helping to build a scientific base for PT.

**PLANNING AND CONDUCTING CONFIRMATIVE EVALUATION**

In 1997 Moseley and Solomon published a model of confirmative evaluation. The model divides confirmative evaluation into four processes: planning, doing, assessing, and improving. The focus of the model is on
continuous improvement driven by customer expectations. The model and its companion checklist are shown in Figures 24.3 and 24.4.

**Figure 24.4**

**Moseley-Solomon Confirmative Evaluation Model**

[Insert Figures 24.4. Moseley-Solomon Confirmative Evaluation Model here]

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**Figure 24.5**

**Preliminary Checklist for Confirmative Evaluation**

[Insert Figure 24.4 Preliminary Checklist for Confirmative Evaluation here]

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Moseley and Solomon \(^{31}\) suggest that the following tasks should be conducted during each phase of their confirmative evaluation model. The tasks are listed in Table 24.3.

**Table 24.3**

**Tasks to Perform During Confirmative Evaluation Phases**

<table>
<thead>
<tr>
<th>During this phase . . .</th>
<th>the evaluator will . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planning</strong></td>
<td>• focus the evaluation</td>
</tr>
<tr>
<td></td>
<td>• design the evaluation</td>
</tr>
</tbody>
</table>
Doing

- collect information
- use multiple information gathering techniques such as questionnaires, interviews, observations, focus groups, work sample analysis, performance analysis, context studies, peer-supervisor-self reports, cost benefit analysis, analysis of formative and summative evaluation data

Assessing

- organize data
- interpret data

Improving

- consider the impact, value added, and effectiveness
- recommend whether to continue, improve, or terminate the intervention

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**PLANNING CONFIRMATIVE EVALUATION**

Moseley and Solomon\(^3^2\) suggest that during the planning phase of confirmative evaluation the performance improvement practitioner or evaluator should partner with the stakeholders to focus and design the evaluation (see Table 24.3, row one). Questions to ask during the planning phase that help the PI practitioner focus and design the confirmative evaluation are outlined in PST 24.1 at the end of this chapter.

During the planning stage the performance improvement practitioner or evaluator will also determine when to conduct the confirmative evaluation, what resources will be required to conduct and support the confirmative evaluation; for example, people, materials, and cost. The
decision will also be made whether to develop or purpose or customize the 
evaluation materials.

Deciding when to conduct confirmative evaluation is a major planning 
task. There are two viewpoints on when to use confirmative evaluation. 
The first views confirmative evaluation as an extension of formative 
evaluation, and the second views confirmative evaluation as a separate and 
distinct form of evaluation that goes beyond formative and summative 
evaluation. PST 24.1 at the end of the chapter provides additional planning 
guidelines.

**Ongoing Process**

The first viewpoint stresses that confirmative evaluation should be “an 
ongoing process designed to ‘take a pulse’ before, during, and after an 
intervention is implemented. Confirmative evaluation must be woven into 
the fabric of an intervention. . . .”33 This viewpoint is in-line with the 
concept of “long-term formative evaluation,” which extends formative 
evaluation beyond implementation and summative evaluation. “Long-term 
formative evaluation is conducted after the newly installed intervention has 
been in effect for some time and after its novelty has worn off. Ideally this 
evaluation should be repeated every six months or so.”34

**After Implementation**

The second and more traditional viewpoint is that “the major element which 
distinguishes confirmative evaluation from formative and summative
evaluation is the time factor. Confirmative evaluation... takes place after implementation.”35 The heuristic, or rule of thumb, is that confirmative evaluation should take place three months to a year after implementation of the performance improvement package. The following guidelines suggest that confirmative evaluation should not begin until and unless:

- The criteria for the formative and summative evaluation phases have been met.
- Detailed assessment information on the participants is available.
- Instrumentation is available to assess the areas of possible effect and other intervening factors.36

**Resolving the Time Issue**

One way to determine when to conduct confirmative evaluation is to use these three criteria: criticality, complexity, and frequency37 PST 24.2 offers some heuristics or rules of thumb for determining when to conduct confirmative evaluation based on Hellebrandt and Russell’s criteria and best practices in the field. PST 24.1 at the end of the chapter provides additional planning guidelines.

**PST 24.2**

**When to Conduct a Confirmative Evaluation**

**Directions:** Gather responses from as many stakeholders as possible—performers, their supervisors, managers, customers, vendors, suppliers, and organizational decision makers, then use this PST to determine when to conduct the confirmative evaluation.

<table>
<thead>
<tr>
<th>Learning/Performance Factor</th>
<th>Rating</th>
<th>Confirm Every...</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Criticality: How critical is the performance to the success of the organization?</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ High</td>
</tr>
<tr>
<td>➔ 3–6 months</td>
</tr>
<tr>
<td>□ Medium</td>
</tr>
<tr>
<td>➔ 6–12 months</td>
</tr>
<tr>
<td>□ Low</td>
</tr>
<tr>
<td>➔ 12 months</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Complexity: How complex is the performance?</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ High</td>
</tr>
<tr>
<td>➔ 3–6 months</td>
</tr>
<tr>
<td>□ Medium</td>
</tr>
<tr>
<td>➔ 6–12 months</td>
</tr>
<tr>
<td>□ Low</td>
</tr>
<tr>
<td>➔ 12 months</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency: How often is the performance required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Regularly</td>
</tr>
<tr>
<td>➔ 3–6 months</td>
</tr>
<tr>
<td>□ Monthly</td>
</tr>
<tr>
<td>➔ 6–12 months</td>
</tr>
<tr>
<td>□ Annually</td>
</tr>
<tr>
<td>➔ 12 months</td>
</tr>
<tr>
<td>□ One time only</td>
</tr>
<tr>
<td>➔ Do not confirm</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency: How often is the performance intervention implemented?</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Regularly</td>
</tr>
<tr>
<td>➔ 3–12 months</td>
</tr>
<tr>
<td>□ Monthly</td>
</tr>
<tr>
<td>➔ 6–12 months</td>
</tr>
<tr>
<td>□ Annually</td>
</tr>
<tr>
<td>➔ 12 months</td>
</tr>
<tr>
<td>□ One time only</td>
</tr>
<tr>
<td>➔ do not confirm</td>
</tr>
</tbody>
</table>

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Conducting Confirmative Evaluation
Because long-term formative evaluation and confirmative evaluation are so similar in intent, Thiagarajan's\textsuperscript{38} guidelines for conducting long-term formative evaluation also apply to the process of confirmative evaluation, with some modifications based on best practices:

1. Collect data every six months or more or less, depending on the criticality of the intervention results.

2. Be as unobtrusive as possible; for example, incorporate data collection into ongoing activities such as performance appraisals or audits.

3. Focus on the typical effects of the package such as long-term productivity, return on investment (ROI), accountability or standards requirements.

4. Methods for conduction confirmative evaluation may include, but are not limited to, the following:

   - Checklists for desired or optimal performance;
   - Interviews with stakeholders;
   - Observation and/or performance tests;
   - Rating scales to quantify level of actual performance;
   - Assessment tests of knowledge and skill, pre- and post-intervention; and
• Review of existing information such as before-and-after data, safety reports, production reports, suggestions.

ROLE OF THE PERFORMANCE IMPROVEMENT PRACTITIONER/EVALUATOR

Confirmative evaluation requires a special perspective and strong analysis skills. One option is to use an “unbiased”, external evaluator, or external evaluation team, to determine whether or not the performers have maintained the level of competence they achieved after the performance intervention was implemented and whether or not the intervention itself still meets the original objectives. The external evaluator or team could partner with an internal expert who is familiar with the performance and/or the environment in which the performers function.

The performance improvement practitioner should be an active member of the evaluation team. The automotive example in Exhibit 24.1 shows how an internal performance improvement practitioner and outside observers and evaluators confirmed the effectiveness of a critical, long-term performance improvement intervention.

Exhibit 24.1

Team Roles in a Confirmative Evaluation
One task assigned to the field service managers at automotive dealerships is to appraise leased vehicles that have been turned in at the end of a lease. In this situation, the managers were not consistent in their appraisals, so, to minimize the variance between the appraisers, a performance improvement intervention was implemented. The intervention included classroom and hands-on training, performance support tools (PST), and incentives. The standards for performance were known. The evaluation plan called for formative, summative and confirmative evaluation.

The performance improvement practitioner led all the evaluation elements of the intervention plan. For the confirmative evaluation element, the practitioner designed and developed checklists which included a list of conditions, rating standards or criteria for desired performance, and a rating scale for each desired performance. The practitioner trained external observers to use the checklists and rating scale to conduct the confirmative evaluation.

Immediately after the initial implementation of the new inspection program, and again six months later, the trained observers watched the managers as they appraised a series of vehicles with preset conditions and recorded their observations on the checklists. An external evaluator used statistical analysis techniques to analyze the data and determine the continuing competence of the performers and the continuing effectiveness of the intervention. The evaluator submitted the report to the evaluation team and the team communicated the results with their recommendations to the intervention champion, who was also the project lead at the organizational level.

**META EVALUATION**

Meta evaluation is a process for “assuring and checking the quality of evaluations”.

Through meta evaluation, a professional evaluator or a trained performance improvement practitioner validates the formative,
summative, and confirmative evaluation processes and products. Meta
evaluation is especially important for long-term, strategic, performance
improvement interventions. Changes to the intervention may or may not
occur depending on the results of the meta evaluation.

Michael Scriven coined the term “meta evaluation” in 1969 and his
web site contains information and tools such as a meta evaluation
checklist. Meta evaluation has been around since then; however,
organizational buy-in to implementing meta evaluation is spotty at best
because of time, cost, and skill requirement constraints.

Definition
Meta evaluation stands apart from the three types of evaluation discussed in
the previous sections. Meta evaluation is the process of evaluating
formative, summative, and confirmative evaluation by literally zooming in on
the evaluation processes, products, results, and recommendations to take a
closer look at what happened and why. It is a quality control process that is
applied to the inputs, processes, and outputs of formative, summative, and
confirmative evaluation and to success stories and lessons learned. Those
who do implement meta evaluation find that it enables them to:

- Improve the quality of formative, summative, and confirmative
evaluation,
• Test whether or not the formative, summative, and confirmative evaluations delivered what they promised, and
• Increase the probability that evaluation results will be used effectively.  

**Scope**

There are two types of meta evaluation: Type One and Type. What sets the two types apart is timing and purpose, as shown in Table 24.4.

**Table 24.4**

**Timing and Purpose for Type One and Type Two Meta Evaluation**

<table>
<thead>
<tr>
<th>Type of Meta Evaluation</th>
<th>Timing and Purpose</th>
</tr>
</thead>
</table>
| Type One                | • Conducted **during** formative, summative, and confirmative evaluation  
                          | • **Guides** the evaluator through the planning, design, and implementation of all three stages of evaluation |
| Type Two                | • Conducted **after** the formative, summative, and confirmative evaluations are completed  
                          | • Provides **feedback** on the reliability and validity of the evaluation process, products, and results |

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**Type One Meta Evaluation.** Type One is very much like formative evaluation because it is concurrent and proactive. Many times an outside evaluator observes and analyzes the formative, summative, and confirmative stages of evaluation as they occur and makes recommendation for improving the evaluation process before the process is finalized.
Type Two. Type Two resembles summative evaluation because it places a value on the evaluation processes after they occur. Type Two is the most frequently used form of meta evaluation. It requires fewer resources like time, money, personnel, or materials, and can be tied directly to the bottom line of the performance intervention. Therefore, this chapter will focus on Type Two meta evaluation.

Purpose of Type Two
The concept of Type Two meta evaluation fits in quite well with the concepts of quality control and accountability. “Evaluators will be more likely to see their studies effectively utilized when they demonstrate that their work can stand the test of careful analysis and that they themselves are open to growth through criticism.”42

The specific purpose for conducting Type Two meta evaluation may vary, but usually involves placing a value on basic issues such as:

- Technical adequacy of the formative, summative, and/or confirmative evaluation processes and products.
- Usefulness of the formative, summative, and/or confirmative evaluation results in guiding decision making.
- Ethical significance of policies for dealing with people during formative, summative, and/or confirmative evaluation.
- Practical use of resources during formative, summative, and/or confirmative evaluation.
• Whether the formative, summative, and/or confirmative evaluations served the information needs of the client.
• Whether or not the formative, summative, and/or confirmative evaluations adequately addressed the goals and values of the performance improvement intervention and the organization.
• How well the formative, summative, and/or confirmative evaluation met the requirements of honesty and integrity.
• Other. . .as determined by the organization for which the intervention was implemented.43

PLANNING TYPE TWO META EVALUATION
The performance improvement practitioner or evaluator could rephrase the purposes stated above as questions and use the questions to focus the meta evaluations. PST 24.3 suggests questions to ask to help focus the meta evaluation. PST 24.1 at the end of the chapter provides additional planning guidelines.

Performance Support Tool (PST) 24.3
Focusing the Meta Evaluation: What’s the Goal?
Directions: Use these questions with the stakeholder to help decide the goal(s) or purpose(s) of the meta evaluation. Then stay focused on the goal(s) as you plan what to evaluate, how to evaluate, what resources will be required, when to evaluate, and how to communicate the results and recommendations.
<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical adequacy of the evaluation process and products?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Usefulness of the results in guiding decision making?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethical significance of policies for dealing with people?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Practical use of resources?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Whether it served the information needs of the client?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Whether it adequately addressed the goals/visions of the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>performance improvement package?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Whether it adequately addressed the goals/values of the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>organization?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>How well it dealt with situational realities?</td>
<td></td>
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<tr>
<td>Whether it met the requirements of honesty and integrity?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>How well it satisfied the need to truthfulness?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other?</td>
<td></td>
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</tbody>
</table>

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**CONDUCTING TYPE TWO META EVALUATION**
There are three basic methods for conducting a Type Two meta evaluation: review the documentation, do it again, or compare it to similar evaluations.44

**Review the Documentation**

The performance improvement practitioner or evaluator reviews the evaluation proposal, evaluation plan, status or other interim reports, and/or final report. The purpose of the review is to determine whether the reviewer agrees with the data collection, data analysis, conclusions, and recommendations of the original evaluator(s). Documentation review is particularly helpful when the outcomes of an evaluation are qualitative rather than quantitative. Qualitative outcomes are based on feelings and experience and the information is often gathered through interviews are self-reporting. Quantitative outcomes are based on more objective measurement and the information is often gathered using statistical methods.

**Do It All Over Again**

The performance improvement practitioner or evaluators reanalyze the quantitative data from the original evaluation to determine the reliability and validity of the data and the analysis techniques. The practitioner or evaluator may replicate all or part of the original evaluation or examine the effects of using different statistical procedure or asking different questions. Reanalysis is costly in terms of time and resources and is usually reserved for evaluation projects that involve major policy changes.
Find Others Who Did the Same Thing and Combine the Results

If an evaluation has been repeated in different settings, it is possible to gather together and integrate the results from all the evaluations. This is a statistical process that makes it feasible to draw general conclusions about the processes, products, and results of all the evaluations. The current popularity of internal or external benchmarking could be a selling point for implementing this method of meta evaluation; benchmarking compares internal performance to industry standards or practices.

ROLE OF THE PI/HPT PRACTITIONER OR EVALUATOR

The performance improvement practitioner or evaluator conducts the meta evaluation with input and support from the performance intervention stakeholders. The stakeholders should be involved in the meta evaluation, particularly if an outside evaluator conducts the evaluation. Stakeholders can help make decisions regarding the purpose for conducting the meta evaluation and can also help select the methods to use when conducting the evaluation. The services of an external evaluator, or an internal evaluator who has not participated in planning, designing, or implementing the performance improvement package, is generally preferred to gain a fresh perspective.

CONCLUSION: BUT ARE THEY READY?
This chapter has been all about planning and conducting the four types of evaluation. However, before the planning or conducting begins the practitioner or evaluator should really determine whether the organization is willing and able to do an evaluation. The *Full-Scope Evaluation Pre-Planning Inventory* is a performance support tool that is designed to be used with all the stakeholders to assess or audit the following:

- Does the organization have “the will and the resources” to conduct an evaluation?
- Is the failure or success of the performance improvement intervention really important to the organization? The stakeholders?
- What is the most effective and efficient way to evaluate the performance improvement intervention?45

The Inventory “…sets the stage for successful evaluation by exploring the environment in which the evaluation will take place and ensuring that the stakeholders…oughta and wanna evaluate”.46

__________________________

**PST 24.1**

**Planning the ____Formative ____Summative ____Confirmative Evaluation of a Performance Improvement Intervention**

**Directions:**
1. Check the type of evaluation you are planning.
2. Meet with the stakeholders and fill in the matrix below. The columns are labeled with the first three phases of ISPI’s Performance
Improvement/HPT Model. The rows are labeled with the issues that you need to address when planning a successful evaluation. Start with the first phase—Analysis—and fill in each cell.

3. The rows and columns also form the basic outline for an Evaluation Plan. The information may be supplemented with project management-type timelines and milestone charts and an executive summary.

<table>
<thead>
<tr>
<th>Performance, Analysis</th>
<th>Intervention Selection, Design, Development</th>
<th>Intervention Implementation, Maintenance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What do we want to accomplish in this phase?</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>When do we evaluate this phase?</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>What resources do we need to evaluate this phase?</strong> (people, time, materials, other)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
</tr>
<tr>
<td>What basic and alternative methods will we use to evaluate this phase?</td>
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<td>What data will we collect to evaluate this phase? How? Who will analyze it?</td>
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<td>What type of report do we need at the end of the evaluation? Who is our audience? What do they need to know?</td>
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<tr>
<td>What will it cost to evaluate during this phase?</td>
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SECTION 5 CASE STUDY

Topic: Predicting Impact

Situation: ABC Automotive Company—Dealership Sales & Marketing Academy: Getting to the Business Impact of Training

Author: Bonnie Beresford, MBA, VP of Client Services, Capital Analytics

Background:
ABC Automotive is a major automobile manufacturer with a global network of dealerships selling its cars and trucks. The Dealership Sales & Marketing Academy is responsible for the training and development of the U.S.-based dealership sales force of some 15,000 employees. The Academy’s sales curriculum is structured as a certification program, which is voluntary for dealership sales consultants. Certification is granted to sales consultants upon completion of the core curriculum; consultants maintain certification by keeping current on new products as the associated training rolls out. The Academy’s training offerings have historically focused on product information because corporate managers believed dealers would train their own staffs to their own sales processes. Courseware was delivered through a combination of Web and instructor-led courses.

Training is partially funded by the company. However, dealers must also pay for courses, making the need to offer high-quality training that will drive results an imperative for the Academy. If dealers do not see a return on their investment in the Academy’s offerings, they simply will not enroll their employees.

Situation:
A disappointing new vehicle launch led company executives to blame the Academy’s sales training for the lackluster sales. Tired of being the “fall guy” for sales shortfalls (and never
the “hero” for sales successes), the director of the Academy set out to understand the business impact of his curriculum. While data showed that trained salespeople outsold untrained ones by 35 vehicles per year, it was unknown how many of these 35 vehicles were actually attributable to training versus other variables, for example attractive financing, exciting products, new advertising campaign, and so forth. He established a Measurement Task Force with a charter to: a) determine the relationships between Training and Business Results and b) to improve the quality and relevance of the Academy’s services. The Measurement Task Force consisted of Academy representatives from Sales, Service, Parts and Technical training teams and the Academy’s long-term third-party training partner. The first order of business was to get the curriculum aligned with the needs of the retail audience – the personnel at the dealerships. Then it would be time to measure – and prove – the impact of the Academy’s training on business results.

**Intervention:**

Over the next year, the Measurement Task Force (MTF) led the Academy on a performance improvement journey. They sought to improve their internal processes, especially in front-end analysis, and then sought to improve the quality of courseware. Through improved courseware, the Academy believed they would drive dealership performance. Wrapped around this was the awareness that any performance improvement must be measurable. With the help of outside performance improvement experts, the MTF framed their charter, strategies and a game plan for turning the Academy into a performance-based organization with a culture of measurement. The plan included six key elements:

1. Standardized Measurement
2. Performance Mapping
3. Gap Analysis

4. Redesigned Curriculum

5. Measurement

6. Communication of Results

The Measurement Task Force gained some early wins by introducing Kirkpatrick’s four levels and implementing measurement standards for Levels 1 and 2. Results got department managers engaged in understanding how consistent, systematic measurement could improve the quality of their courses. Soon managers were asking for and talking about their “Level 1’s.”

Knowing that those initial measurement stages would not align the curriculum with business impact, the Measurement Task Force again engaged an outside performance improvement expert to assist in defining the required skills and associated performance gaps among the sales force. Eight sets of high-performing sales consultants participated in an iterative process to create a Performance Map. This enhanced task analysis adds valuable insights about the tasks, such as importance, difficulty to learn, frequency and risk of not doing it. A key finding of the mapping was the distinction between “Applied Selling Time” (when a customer is present) and “Unapplied Selling Time” (what a consultant does when no customers are in the dealership).

Based on the map, the Task Force conducted a gap analysis to determine areas of highest need and to help prioritize new course development. The analysis revealed that only top performers made effective use of “Unapplied Selling Time,” such as prospecting and having a daily game plan. Gaps were also found in some of the “Applied Selling Time” skills, especially around presenting the offer.
A new curriculum was structured to align with the Performance Map. Course development was prioritized based on needs identified in the gap analysis. Some courses in the new curriculum leveraged existing content while others required completely new content. Many of the skills-based courses called for live training to enable consultants to practice and get feedback on new skills. Knowledge-based courses were created for the Web and served as foundational pre-requisites for the live training.

As soon as a sufficient numbers of consultants had completed the new curriculum, the Measurement Task Force was ready to measure the impact. The performance metrics included sales volume, sales consultant retention, and customer satisfaction scores. In order to isolate how many of the 35 additional vehicles sold by trained sales consultants per year were actually attributable to training, the MTF utilized the services of Capital Analytics, a consultancy that specializes in isolating the impact of human capital investments. The approach considered sales consultant performance both before and after training to determine how performance improved. Untrained personnel were evaluated over the same time period to provide comparative data. Multivariate analysis, including general linear modeling, was used to isolate the effect of training on performance.

The measurement results were powerful. They isolated 15 of those 35 additional vehicles, showing that this gain could be attributed to the new curriculum versus other factors such as advertising, financing, or new products. Training also contributed to a dramatic increase in retention, especially among new hires—38% retention of untrained versus 98% retention of trained new hires.

With results like these, the Academy was eager to promote the benefits of training to the dealers and throughout the company. The combination of the Performance Map and the
business results guided future investment decisions. The impact of training on retention led the Academy to offer special incentives for dealers to train their new hires.

Today, the Academy has a repeatable process for determining needs, defining gaps and measuring impact. In addition to better serving their stakeholders, their work has won Excellence in Practice and Business Impact industry awards.

1. **Critical Business Issue**

**What is:** Sales training needs had been largely driven by corporate mandate rather than a formal needs analysis. Training’s contribution to the business in terms of sales performance was speculated but not known for sure.

**What should be:** The sales training curriculum should be driven by a task and needs analysis and aligned with the dealer and company goals. The relationship between training and those goals should be understood, measured and communicated to stakeholders.

2. **Focus on Outcomes or Results**

The Academy’s objective was to align training with business goals so that a revamped curriculum would intentionally impact business results, specifically sales volume, customer satisfaction and sales consultant retention.

3. **Focus on Systems View**

**Inputs:** The inputs for the needs analysis needed to come from the field; for example, from sales consultants. Insights from top performers would shape the new curriculum. Once launched, impact would be measured using data from the personnel, learning management and sales reporting systems.

**Process:** An iterative interview process created the Performance Map was created using an iterative process. The online gap analysis sent to all sales consultants and managers
determined areas of greatest need. This repeatable process helped prioritize curriculum development. The subsequent measurement process used existing company data to isolate the impact of training on performance.

**Outputs:** There were several key outputs, including the Performance Map and gap analysis, the new curriculum, and the quantifiable evidence of training’s impact.

**Constraints:** The marketplace does not stand still, and with the infusion of technology, in time the Performance Map will likely need updating and the gap analysis re-done. If the Academy wants to continue providing value-added training, the Map and associated curriculum must be kept current.

4. **Focus on Value:**

This entire initiative was all about the value of training. The Measurement Task Force's charter was to show relationships between Training and Business Results and to improve the quality and relevance of the Academy’s services. The mapping enabled the Academy to design the right training to fill the skill gaps. The business results illustrated the value to the organization and to dealers.

5. **Focus on Establishing Partnerships:**

The Academy realized that creating a culture of measurement and implementing a performance improvement/HPT approach would require a team effort. The formation of the Measurement Task Force built internal partnerships. Their training partner and other third party human performance improvement experts brought needed expertise to the team. Through these partnerships, the team gained a working knowledge of the tools of HPT.

6. **Be Systematic in Assessment of Need, Opportunity, or Challenge:**
ABC Automotive has a Dealer Council that includes a Subcommittee on Training. The Academy met with this engaged group of dealers to understand dealer perspectives on current training practices. Knowing that the company expected training to contribute to sales, the Academy was anxious to quantify training’s business impact. The establishment of the Measurement Task Force put a formal entity in place to get the curriculum aligned with dealer and company goals.

7. Be Systematic in the Analysis of Work, Worker, Workplace, and Worldview to Identify the Causes or Factors That Limit Performance

The Measurement Task Force designed a game plan and followed it. The Performance Mapping / Gap Analysis process provided a structured approach to define the key skills needed among the sales force. The Performance Mapping process included tasks and tools as well as importance, risk and difficulty of each task. Sales managers and trainers critiqued and refined the final Map.

8. Be Systematic in the Design of the Solution:

The new curriculum’s design was based on the Map. Priorities were determined by the biggest skill gaps (as defined by the gap analysis). The associated impact analysis was designed to use existing data and a standard research methodology (test and control groups). The Measurement Task Force actively participated with Capital Analytics in the design of the impact study.

9. Be Systematic in the Development of the Solution:

The Academy built the new curriculum according to priorities laid out by the gap analysis (unapplied selling time, followed by applied selling time skills). The Analysis, Design, Development, Implementation, and Evaluation (ADDIE) model is the standard approach
employed using the Performance Map and the Academy's new Level 1 and 2 measurement
standards. All courses were piloted (Web and live) to refine the content as needed. Online
tools were implemented to deliver the Level 1 and 2 instruments.

10. Be Systematic in the Implementation of the Solution:
New courses were announced to the sales force with the new year's certification program.
Trainers were engaged in extensive “train-the-trainer” sessions to learn the new content.
The Academy monitored enrollment rates and Academy managers and instructional design
teams keenly reviewed Level 1 results. Despite these new courses adding more
requirements to the certification program, the sales consultants’ response to the new and
targeted content was overwhelmingly positive.

11. Be Systematic in the Evaluation of the Process and the Results:
The measurement standards applied to all courses, enabling the Academy to compare
courses to each other over time. Reporting timetables were established for new courses to
provide rapid feedback on Level 1 and 2 results. Results of sales and retention of trained
vs. untrained sales consultants were tabulated each quarter in anticipation of the planned
impact study.

As a result of the statistical analysis, the Academy proved the value of their new curriculum,
as well as improved its deployment and impact. They could now confidently communicate
to the company and to dealers that training did indeed contribute to sales success and sales
consultant retention. They introduced a “90-day protection plan,” leveraging the new hire-
training-retention linkage. The plan encourages dealers to train their new consultants
sooner by lowering the risk of investing in the training.

12. Identify 2–4 Lessons Learned From the Case:
1. Engaging outside experts can bring needed perspective and capabilities. Be sure the chemistry is a good fit, leverage their expertise and learn from them.

2. Building a culture of measurement takes time, but it’s worth it: start small and share results. Making decisions based on data increases your credibility.

3. Measuring for business impact isn’t just to prove; it’s also to improve.

Bonnie Beresford (MBA) has extensive experience in measurement and evaluation, process improvement, training and performance support. As VP of Client Services at Capital Analytics, she leads consulting teams in evaluating and isolating the business impact of human capital investments. Bonnie holds a business degree from Central Michigan University and an MBA from Wayne State University. She is currently pursuing a Ph.D. in human capital management at Bellevue University in Omaha, NE. She can be reached at (248) 366–4507 or bberesford@capanalytics.com.
SECTION 5 CASE STUDY

**Topic:** A Five-Level Evaluation Model

**Situation:** The Community Healthcare Association of the Dakotas (CHAD) faced accelerating demands for more diversified, compliance-oriented training and technical assistance services. The consultant used collaborative processes to build a sustainable, outcome-based service model for addressing volatile changes associated with increased pressures for efficiency and effectiveness and for measuring the value of federally funded community partnership and collaboration services.

**Author:** Holly Burkett, Ph.D, SPHR, CPT, and Principal, *Evaluation Works*, California, USA

**Background:**

The Community Health Care Association of the Dakotas (CHAD) is the bi-state Primary Care Association for federally-supported health clinics in North and South Dakota. CHAD’s membership includes eleven health clinics, 4 in North Dakota and 7 in South Dakota. As the primary care association for two rural, frontier states with widely disbursed populations, CHAD serves a community health clinic network through consultation, technical assistance, training, resource development, financial management, and human resource advocacy for the purpose of increasing capacity and sustainability of community health clinics. Community Health Care Association of the Dakota’s (CHAD) mission is to lead the Dakotas in quality primary health care through public policy and community driven health services. Its vision is to be recognized and valued for its network of services and expertise that facilitates the missions of “safety net provider” CHC members.

**Situation/Opportunity:**
An expansion of health clinics in the Dakotas has created an accelerated demand for CHAD to provide its members with more diversified and compliance-oriented training and technical assistance services. In light of increased pressures for utility and efficiency and a political climate characterized by ongoing resource and budget constraints, the Board of Directors established strategic priorities around determining the value and payback of “partnership and collaboration activities” provided to network members.

**Intervention:**

The key objective of this two year consulting engagement was to create, implement, and standardize a sustainable, results-based evaluation model to ensure that CHAD’s “suite” of educational and Technical Assistance services were designed, delivered, and monitored to achieve desired results and make optimal use of resources.

In order to address those needs, the ROI process methodology™ was selected as the evaluation framework and results-based service model for this project. The ROI process expands upon Kirkpatrick’s four level framework for evaluation—reaction, learning, behavior, and results—to incorporate a fifth level of evaluation, which captures return-on-investment (ROI). The ROI process model also includes techniques for isolating the effects of a program and for capturing a sixth data measure, intangible benefits.

Solution implementation began with an organizational analysis consisting of extant data review and focused interviews with key stakeholders and select CHC network members. Work products, processes, policies, and procedures were also examined to identify enablers and barriers to technical service design and delivery.

A logic model approach was used to help program staff and key stakeholders define and document key interim outcomes for tracking the progress of Technical Assistance (TA).
initiatives, and to create shared understanding about how TA activities contributed to desired long-term outcomes, such as capacity building and improved patient care. Once service needs, objectives, outcomes, and influencing enablers and barriers were identified, project sponsors and stakeholders agreed to introduce the ROI process on a pilot basis. A comprehensive TA project, known as OC3, was chosen as the pilot program. OC3 curriculum helped members manage compliance issues related to federal regulations.

1. Critical Business Issue

**What is:** By 2015, it is estimated that health centers will double their current capacity to 40 million patients while facing estimated federal budget cuts of 1.3 billion dollars cuts nationwide. Given increased demands to double capacity while also bringing down costs, more and more funding sources are requiring evidence of demonstrable results to justify continued investments.

**What should be:** Utilization of an outcome-based evaluation framework ensures that decision makers have a durable, credible process for helping to focus on programs or services that provide the most value. The framework can also be used internally to measure the efficiency and effectiveness of community partnership and collaboration services and define continuous improvement opportunities.

2. Focus on Outcomes or Results:

Stakeholders identified key desired outcomes, including: (1) enhancing methods for collecting, organizing, and presenting data about outcomes; (2) increasing member utilization of the association’s support services, resources, and products; (3) increasing member satisfaction with technical assistance services; and (4) improving resource allocation by defining the services or products that add the most member value.

3. Focus on Systems View:
**Inputs:** Critical inputs for this project included analysis findings from: (1) review of extant data (mission, vision, strategic plans, site visit reports by funding sources, member satisfaction surveys, policies, and procedures); (2) individual and focus group interviews with key stakeholders; (3) work process observation and flow mapping; and (4) job/task analysis.

**Process:** Stakeholders participated in a logic model process to link immediate, intermediate, and ultimate outcomes with program activities and processes. Then a data collection plan was collaboratively developed to document expected outcomes and define the type of evidence needed to determine success. The plan also described what outcome and activity data would be collected; how it would be collected; when it would be collected; and who was responsible for collecting it.

**Output:** Several outputs were developed during analysis, design, development, implementation, and evaluation. These included a logic model; data collection, transition, communication, and implementation plans; training and education materials, job aids; data collection instruments; and reporting templates.

**Constraints:** Predominant barriers to internalizing a new service model included staffing, time, and budget issues. Evaluation planning and pilot project implementation plans incorporated experts’ input about expected and potential unexpected constraints to project success, along with suggested approaches to counter obstacles.

**4. Focus on Value:**

By emphasizing a collaborative process, the consultant brought value to the client in several ways. Collaboration activities provided stakeholders with a clear and realistic direction about the schedule, scope, and resource requirements involved with implementing and internalizing a results-based evaluation process; helped stakeholders make informed decisions; encouraged
shared ownership among stakeholders and CHC members; and helped participants focus on value-added aspects of the effort.

**Focus on Establishing Partnerships:**

Multiple partnerships were formed during the course of this two year consulting engagement. Collaboration was a critical component throughout each phase of analysis, solution design, development, implementation, and evaluation. Strategies that promoted partnerships and emphasized shared ownership for project success, included logic model development, data collection planning, transition planning (including communication planning and briefings), evaluation capacity building, and shared implementation of the ROI process pilot project.

6. **Be Systematic in Assessment of Need, Opportunity, or Challenge:**

The performance needs, opportunities, and challenges in this project were explored from multiple, systemic perspectives. For example, the perspective of project sponsors, stakeholders, members, staff were collected and integrated during all phases of the project.

7. **Be Systematic in the Analysis of Work, Worker, Workplace, and World to Identify the Causes or Factors That Limit Performance**

Evaluation planning including working with stakeholders, CHAD association community network members, and CHAD specialists from four functional areas to (a) define roles; (b) identify real or potential work, worker, workplace, or world challenges that might limit achievement of objectives; and identify possible countermeasures for addressing these barriers.

8. **Be Systematic in the Design of the Solution:**

Long-term outcomes are often difficult to measure using traditional evaluation methods. CHAD staff and the consultant worked together to design a logic model to link immediate, intermediate, and ultimate outcomes with program activities/processes. This approach helped staff to: stay
focused on outcomes; visualize relationships between inputs, outputs, and interim and long-term outcomes; graphically link association activities, services, and processes to desired outcomes; keep underlying assumptions and influencing factors at the forefront; and helped identify intangible benefits and long-term outcomes.

The process of developing the logic model provided a focal point for discussion and shared understanding about how ROI process implementation could be used to support, monitor, and measure assumptions. In addition, the solution design incorporated project management and change leadership strategies to address issues related to increased accountability, new work process demands, and new performance expectations.

9. Be Systematic in the Development of the Solution:

Implementing a results-oriented evaluation focus into the public service sector represents a fundamental and dramatic shift in business thinking, acting, and managing that requires moving away from a focus on activities and outputs to a focus on outcomes and results. Therefore, solution development included such planned-transition planning elements as: policy and purpose statements; infrastructures to support results-based efforts; communication plans and briefings with association members around their role in creating and field testing a results-based focus; protocol for field testing data collection instruments; establishing implementation project plans with specific, measurable, and achievable target dates and milestones; updated roles and responsibilities to include performance expectations; and enhanced performance support and feedback mechanisms.

10. Be Systematic in the Implementation of the Solution:
Leaders and staff worked with the consultant to purposely select pilot participants. Staff called each selected participant and explained the purpose and importance of the project. All who were invited agreed to participate voluntarily. A letter and email follow up was then generated. Post-training meetings were held to orient individuals to the Impact Questionnaire and the summative evaluation process. Participants were assured that they would receive evaluation results and that individual responses would be part of an aggregate report.

Following the pilot, action planning sessions were conducted with stakeholders to identify lessons learned and continuous improvement opportunities. This input was used in subsequent strategy development for sustaining and internalizing the ROI process.

11. Be Systematic in the Evaluation of the Process and the Results:

Implementation results were systematically collected, analyzed, and reported across multiple levels:

- **Level 1: Reaction; Planned Action:** 100 percent of participants indicated that OC3 participation was a worthwhile investment, identified planned actions they would take as a result of participation, and stated that they would recommend OC3 training to others.

- **Level 2: Learning:** Participants reported the highest success with the following learning objectives:
  - enhance methods for collecting and organizing data about agency outcomes
  - enhance methods for analyzing data relevant to client outcomes
  - increase awareness of partner networks.

- **Level 3: Application:** Participants assigned a high value to the use of (a) financial management, document control and medical record management tools; and (b) human resource materials for performance appraisals; and risk management analysis. Time and staffing constraints were
reported as the most common barrier and training and education being reported as the most valuable enabler.

**Level 4, Impact.** Specific work measures significantly influenced by application of OC3 tools and resources included:

- Compliance with funding (grant) requirements
- Cost control, cost conversions
- Operational performance
- Risk management
- Compliance with program requirements
- Customer (patient) satisfaction

The category of “improved compliance with funding requirements” was the most frequently reported business measure that was significantly influenced by the training intervention.

**Isolation and Data Conversion:** The evaluation strategy also included methods for isolating the program’s effect and then converting improvement data to monetary value. Data gathered in this step pinpointed the amount of improvement directly related to the project under review. Assumptions included: participants were credible sources of improvement data to senior management, unresponsive participants had realized no improvement, and cost benefits were factored on an annualized basis only.

Once the isolation factors were determined, the Level 4 impact data was converted to monetary value. In accordance with the ROI process methodology, these values were then adjusted to account for potential error and the impact of other influences. The business improvement value most relevant to stakeholders was an estimated cost benefit for prevention of grant incidents of $3,087.96 per incident. This and other values are typically used as cost benefit data and
compared to program costs in the final ROI analysis and calculation. However, for various reasons, it was ultimately determined by the staff that ROI calculations were not going to be captured for this pilot effort.

**Intangible Benefits:** Intangible benefits are those benefits linked directly to the program, but not converted to monetary value. Intangible benefits from the pilot of most interest to stakeholders included increased knowledge of operational and business issues and improved ability to complete a Health Care Plan with achievable, measurable goal statements. Improved personal effectiveness in (a) organizing and prioritizing work; (b) utilizing Association resources; (c) analyzing continuous improvement opportunities; (d) and implementing continuous improvement processes was also noteworthy.

**Reporting Results:** Upon completion of the pilot study, a one hour briefing was presented to executive sponsors, participants and board members. Results were also communicated to the Association’s member network on the agency’s Web site.

Finally, at a subsequent regional conference the CHAD’s Deputy Director and the consultant presented concurrent conference sessions in which the ROI methodology was introduced as CHAD’s newly adopted, outcome-based approach for meeting strategic health care imperatives on a national level and member needs on a regional level.

**Next Steps.** After completing the pilot evaluation project, CHAD’s Board incorporated the ROI process as an outcome-based service model by integrating it into subsequent strategic plans and executive board reports. However, despite dedicated efforts to maintain progress, many predictable and unpredictable challenges have compromised on-going attempts to fully internalize ROI as a standardized service strategy and business process for CHAD’ Technical Assistance function. The challenges include volatile changes in the health care and economic environment as
well as dynamic changes in the organization related to staff resource constraints, attrition of key sponsors, and conflicting priorities around allocation of resources, particularly those dedicated to evaluation of service outcomes.

Summary. Findings from the pilot implementation suggest that an outcome-based service model can be used as a continuous improvement tool for enhancing the sustainability of community health clinics and ensuring that federally funded partnership and collaboration services meet member needs.

12. Identify 2–4 Lessons Learned From the Case:

1. Effective adaptability and utilization of an outcome-based evaluation framework ensures that decision makers will have a durable, credible process for helping to focus on programs or services that provide the most value returned for resources invested.

2. Establishing a collaborative approach to defining and evaluating service outcomes adds value to partners and improves the potential for implementation success.

3. Context matters. Simply focusing upon the technical aspects of an intervention or its methodology without fully assessing the environmental, political, and cultural contexts in which the methodology is meant to function will deter efforts to implement and sustain the process.

4. Sustainability of the Return On Investment process is directly related to the quality of the planning, design, delivery, and follow up approaches used to implement it. Implementation plans must be manageable in scope, adequately staffed and funded, routinely monitored for progress or risk factors, and appropriately aligned with organizational needs.
5. Utility and sustainability go hand in hand. A results-based measurement system that has no utility will not be sustained. The use of results data for continuous improvement and institutional knowledge-sharing is a characteristic of sustainable ROI process implementation.

6. Building evaluation capacity and capability is an evolutionary, developmental process that takes time, commitment, constant reinforcement, and dedicated resources. For instance, under-estimating the “lead time” needed to create compatible infra-structures has proven to be a common barrier.

7. While there is no best way to sustain an outcome based service model in the face of omnipresent change, recognition of the change issues associated with sustainable implementation can help organizations target interventions and allocate resources to those leverage points that will have the greatest influence on its change adaptability and utility.

About the Author

Holly Burkett, Ph.D, SPHR, CPT is Principal of Evaluation Works in Davis, California. A certified ROI professional, she has over 20 years experience assisting public and private sector clients design and implement outcome-based systems and measures of program effectiveness. Recognized as an Evaluation Expert with the U.S. Department of Health and Human Services, Health Resources and Services Administration (HRSA) Office of Performance Review (OPR), she is a frequent conference presenter, workshop leader, and author on performance measurement issues. Sample clients include: The International Union Against Tuberculosis and Lung Disease; Apple Computer; Federation of State Medical Boards; and Kansas Association of the Medically
Underserved (KAMU). Former editor of the *Performance Improvement Journal*, her publications include the “Action Planning” chapter in the *ASTD Handbook of Measuring & Evaluating Training* (2010) and co-authoring *The ROI Fieldbook* (2006) with Jack and Patti Phillips and Ron Stone. She holds a PhD in Human Capital Development and a Masters degree in Human Resources and Organization Development (HROD) from the University of San Francisco. Holly can be reached at burketth@earthlink.net.
[Insert Cartoon 6: Bird flying with nest: “Don’t you think it’s time he learned to fly on his own?” here]

Source: Performance Improvement Interventions, 2001, ISPI/Wiley, p. 25
1. **Analyze and Apply Critical Judgment**
   1.1 Facilitate the collection, analysis, validation, corroboration, and interpretation of quantitative and qualitative data regarding the multiple factors impacting student, teacher, leader, and school performance.
   1.2 Demonstrate deep knowledge of the work of school improvement and transformation and the underlying research and best practices, particularly in improving curriculum, instruction, assessment, and facilitating solutions and breakthroughs.
   1.3 Present evidence so that conclusions and solutions are supported, and so that others have a clear model to follow.

2. **Facilitate Meaning and Engagement**
   2.1 Help others create meaning from findings, research, and inquiry.
   2.2 Help others comprehend the implications of their actions, recognize patterns, and accept new responsibilities.
   2.3 Build supportive relationships among stakeholders by initiating and sustaining dialogue between individuals and groups.
   2.4 Develop commitment so that people act in new ways, feel engaged, and believe change is possible.

3. **Focus on Systemic Factors**
   3.1 Focus on the systemic and interdependent factors in the school context that impact students’ learning, school improvement, and transformation efforts.
   3.2 Demonstrate use and alignment of a portfolio of improvement options and approaches.
   3.3 Ensure improvement and transformation efforts result in school teams and students demonstrating higher order thinking skills, collaboration, effective use of technology, and other skills that create value.

4. **Plan and record**
   4.1 Recommend methods, resources, high leverage, and high impact practices and information about what works to address the factors impacting performance.
   4.2 Facilitate development and recording of sound improvement and transformation plans with related action or project plans and progress measures.
   4.3 Facilitate the planning, recording, and communicating of the work ahead and the individual and team performance expectations; so that people’s efforts are aligned and focused on meaningful activities that are more likely to lead to the desired outcomes in support of student learning and school improvement and transformation.
   4.4 Document the practices and progress so that best practices can be replicated with fidelity, and taught and disseminated to others.

5. **Organize and manage efforts and resources**
5.1 Organize work tasks by breaking them down into feasible steps.
5.2 Effectively distribute work, responsibility and accountability, authority, and leadership so that people are empowered and feel that their time is respected.
5.3 Coordinate efforts, schedules, and human and financial resources in ways that lead to important, agreed-to outcomes with effective stewardship of resources, including time.

6. **Guide and focus collaborative improvement**
   6.1 Influence the behaviors and decisions of stakeholders within a personal circle of influence.
   6.2 Leverage the cooperation and support of others to influence a wider circle of stakeholders.
   6.3 Facilitate the collaborative development of clear mission, vision, purpose, values, goals, and performance targets.
   6.4 Provide relevant information and advice to support improvement, transformation, and sustainability.
   6.5 Model the behaviors of continuous improvement and 21st century school transformation.
   6.6 Facilitate or influence tough decisions needed to achieve needed changes and breakthroughs.

7. **Monitor accountability and adoption**
   7.1 Check purposely (keep an eye on) performance, conditions, and results by observing people’s behavior and interim results.
   7.2 Apply corrective action or refocus efforts, when needed, to reach the targeted performance and results.
   7.3 Address underperformance or lack of progress toward goals and performance targets using data and evidence.
   7.4 Recognize and communicate effort, improvement, and achievements.
   7.5 Ensure school improvement and transformation is aligned between schools and with the district office or management entity so that schools’ efforts support system-wide improvement without undesirable impact on other schools.
8. **Demonstrate organizational sensitivity**

8.1 Establish professional credibility, gain respect, and build trust.

8.2 Follow accepted rules of etiquette, precedence, or conventions appropriate to the context.

8.3 Demonstrate a high level of professionalism through appropriate dress, speech, written communication, and behavior.

8.4 Interact in ways that make people feel their roles, positions, and views are valued.

8.5 Behave in ways that increase the likelihood that people stay engaged and honor their commitments.

9. **Build capacity**

9.1 Use effective adult learning and performance interventions aligned to the desired outcomes and results.

9.2 Coach and provide feedback against clear criteria.

9.3 Ask questions that cause reflection so that others surface new possibilities and recognize self-imposed barriers.

9.4 Facilitate study, inquiry, and informed action that address complex challenges while working effectively with colleagues.

9.5 Facilitate sharing of learning that leads to improved practices, innovation, and positive change.

9.6 Facilitate adoption of defined and aligned practices in hiring, selection, assignment, development, and formative and summative performance evaluation that support improved performance of teachers, administrators, and staff.

10. **Implement for sustainability**

10.1 Ensure continuity of interventions, fidelity of execution of plans, and sustainability of gains and improvements.

10.2 Establish and transfer ownership.

10.3 Facilitate and celebrate quick wins to build momentum and confidence of stakeholders.

10.4 Track and manage leading indicators of behavior change and achievement, including adoption of improved practices.

10.5 Allow time and gain support for long-term, sustainable improvement and transformation to meet 21st century needs.
GLOSSARY OF TERMS

**Analysis**—Process of breaking complex concepts into smaller component aspects in order to increase understanding of underlying issues.

**360 Feedback**—This type of feedback is a multi-source assessment that taps the collective wisdom of those who work with an individual, including supervisors, peers, direct reports, and internal and external customers.

**Avatars**—Digital representations of computer user characters or images that represent one person in an interactive exchange.

**Acquisitions**—Acquisitions occur when one firm acquires more than 50 percent of the voting stock of another firm and, therefore, controls that firm.

**Action Learning**—Action learning builds opportunities for learning around real problems or opportunities. Members of the group share, question, experience, reflect, make decisions, and take action on an individual or group basis.

**Appreciative Inquiry (AI)**—AI is a philosophy and a process to determine what is working successfully within an organization. It is systematic in approach and it brings out the best in people, in the processes that are crucial to their work, and in the dynamic environment in which accomplishment is primary.

**Assumption**—Something that is taken for granted to be true.
**Balanced Scorecard**—The balanced scorecard is a management tool that measures and manages an organization’s progress toward strategic goals and objectives. It incorporates financial indicators with three other perspectives: customer, internal business processes, and learning and growth.

**Balance Sheet**—Shows how management invests resources in assets and how assets are financed by liabilities and owners’ equity.

**Benchmarking**—Benchmarking is a systematic process of comparing an organization to other organizations for the purposes of identifying better work methods and determining best practices. It helps define customer requirements, establish effective goals and objectives, develop true measures of productivity, and identify education and training needs for current and future employees.

**Benefits**—Benefits are the noncash portion of a compensation program intended to improve the quality of work life for an organization’s people.

**Blended Intervention**—A combination of intervention types that are integrated to improve performance. For example, an incentive and reward intervention might also include organizational communication, learning, performance support, and/or motivation interventions.

**Blended Learning**—This type of learning combines face-to-face instruction and learning with computer—mediated instruction; can be successful at a variety of levels.
Business Case—Framework for making decisions, explanation of benefits and costs, anticipated outcomes, and project factors associated with a performance improvement effort.

Business Plan—The formal planning involved in starting a new business, making an improvement or pursuing an opportunity. A business plan views the entire picture and describes all the related elements.

Capital—Capital is the source of long—term financing (investments and loans) available to an organization. Assets or resources available for use in the production of further wealth. Excess of assets over liabilities.

Capital Investment—Capital investment refers to commitment or use of money and other assets made in anticipation of greater financial returns in the future, usually involving large sums of money.

Capital Spending—Capital spending involves risk—return trade—off analysis to secure long—term financial advantage.

Career Development—Career development attempts to match the person’s abilities and interest to the person’s position and career plan with a focus on professional growth and enhancement of the work role.

Career Pathing—Career pathing is a planned sequence of job assignments, usually involving growth—oriented tasks and experiences, which people assume in preparation for future job opportunities.

Case Studies—In-depth accounts of an event or situation presented in story form and designed to seek justifiable answers or solutions to problems or
opportunities. The length of case studies may vary from one page to several hundred pages. Traditionally, they are learning tools rather than tools for implementing performance improvement. Participants may analyze the case individually, then discuss and analyze it as a group.

**Cash-flow Analysis**—Cash-flow analysis provides information about inflows and outflows of cash during a specific period of time.

**Cash-Flow Forecast**—A financial tool used by organizations and banks considering loan applications to analyze cash inflow and outflow cycles.

**Cause Analysis**—Cause analysis is the process of determining the root cause of past, present, and future performance gaps.

**Change Management**—Change management involves problem solving in a concerted effort to adapt to changing organizational needs.

**Certified Performance Technologist (CPT)**—Designation that the person applies performance technology or performance improvement principles and processes. The person has met the rigorous International Society for Performance Improvement (ISPI) Human Performance Technology (HPT) standards and code of ethics and has been judged by highly trained reviewers.

**Certified School Improvement Specialist (CSIS)**—Designation for the person who has demonstrated adherence to International Society for Performance Improvement (ISPI) school improvement standards and code of
ethics. The only proficiency—based credential for professionals engaged in improving student, teacher, and school leader performance.

**Classroom Learning**—Education or training delivered by a live instructor to a group of learners at a location separated from the actual work site.

**Coaching**—Assistance that managers give employees by evaluating and guiding on-the-job performance, or a more accomplished person provides to a novice person to help them improve what they do or say. Organizational coaching helps employees gain competencies and overcome barriers to improving performance. It involves one-on-one suggestions related to observable workplace situations, usually by a supervisor or manager. It can be formal and planned, or spontaneous and provided on the spot, when the situation calls for it. Coaching builds on the assumption that most employees are eager to do well, please their managers, and achieve position in an organization.

**Cognitive Ergonomics**—The study of the impact of the physical/sensory environment on mental (cognitive) aspects of work processes.

**Collaboration**—Collaboration is cooperation by working together for an improved quality of work life. It is also cooperating with others to achieve a desired output or outcome. Working creatively together towards a common goal.

**Communication**—The transfer of meaning between sender and receiver.
**Communication Networks**—The patterns that form when messages move from sender to receiver. They illustrate the relationships and interactions between and among individuals and organizations. The networks are either formal or informal and flow in a variety of directions, for example, top down, bottom up, or horizontally. They influence job performance and job satisfaction.

**Communities of Professional Practice**—They are individuals who join together with a specific and genuine shared interest in a discipline, a field of study, or some other organizing format to think about and share ideas, collaborate with one another, and learn from each others’ contributions, successes, and failures.

**Compensation**—Compensation is pay for work and performance, plus disability income; deferred income; health, accident, and liability protection; loss-of-job income; and continuation of spouse’s income when there is a loss due to a person’s relocation.

**Competencies**—Competencies are those characteristics or capabilities of an individual that result in successful job performance. They enable performance and include knowledge, skills, abilities, behavior, accomplishment, performance outcomes, motivation, determination, and proper attitude for the tasks involved.

**Competency Testing**—Competency testing examines current job knowledge and skills that will be needed for present and future performance.
Competencies in an employment test are representative of job tasks and equipment that are actually part of the job. Proximity to the real job is critical for the test to be legally sound.

**Confirmative Evaluation**—Confirmative evaluation provides information about the continuing competence and effectiveness of people to explain, confirm, or demonstrate the value of the performance intervention over time.

**Conflict**—is a natural condition which evolves when an individual, group, or organization hold and express opinions or ideas that do not match those of another individual, group, or organization. Conflict can range from a resolvable difference of opinion to all out war, depending on the degree of collaboration that is supported by the environment.

**Conflict Resolution**—Conflict resolution involves alleviating a disagreement between two or more people who share differing views. Another name for conflict management is dispute resolution.

**Content Management System (CMS)**—A collaborative space within a secure internet connection; allows access to digital files from practically anywhere.

**Continuous Improvement**—Continuous improvement is the ongoing, organization wide framework in which stakeholders (employees, customers, and suppliers) are committed to and involved in monitoring and evaluating...
all aspects of a company’s activities (inputs, process, and outputs) to continuously improve them.

**Corporate Universities**—A strategic learning structure for developing and educating employee, customers, and suppliers in order to accomplish business goals and strategies.

**Cost Center**—A center charged with managing costs. It has neither revenue budget nor obligations to earn revenues.

**Cost Targets**—The maximum amount an organization can pay for a product or service and still make a profit.

**Cultural Intelligence**—Global conscientiousness; ability to understand cultural background; accept and adapt to national, ethnic, vocational, and other differences.

**Culture**—Culture is a shared system of values, beliefs, and behaviors that characterize a group of organization.

**Culture Audit**—An analysis procedure that focuses on the world view, workers, work processes, and workplace, and answers the question “How do we think about things or do things in our organization?”

**Dashboards**—Dashboards are business intelligence tools that display performance indicators, present data and information at both summary and detailed levels, and assist decision makers employing them to act on the information they present.
**Decision Making**—Decision making means making choices, ideally based on structured problem solving.

**Design**—Create a plan or outline to accomplish goals and purpose based on evidence and analysis. Degree of detail depends on the situation, such as prototypes and story boards.

**Development**—Elaboration or fulfillment of design; creation, organization, and production of techniques and activities, including field and pilot testing.

**Dispute Resolution**—Dispute resolution involves alleviating a disagreement between two or more people who share differing views.

**Distance Learning**—A system for delivering instruction to learners who are separated by time and/or space. It is also known as distance education, distance training, and teletraining. Distance learning uses a variety of print (yes, print), computer, and telecommunication technologies.

**Distributed Learning**—A form of distance learning that adapts to and supports the expressed needs of the learner. While the terms distance learning and distributed learning often are used synonymously, there are operational distinctions between the two. For example, distributive learning has a just-in-time, just-for-me orientation.

**Diversity**—Diversity represents differences in gender, ethnicity, economic background, age, abilities, religion, culture, and sexual orientation. Many of these differences are known as “protected categories” in U.S. employment legislation and executive orders.
**Documentation (Job Specifications) and Standards**—Documentation and standards codify information to preserve it and to make it accessible in the workplace through descriptions, policies, procedures, guidelines, reference manuals, quality assurance plans, bylaws, articles of incorporation, partnership agreements, contracts, and letters of intent.

**Economies of Scale**—The term used for the cost savings that result when goods and services are produced in large volume.

**Education**—Education improves work performance in a focused direction beyond the person’s current job. The emphasis is on broad knowledge, understanding, comprehension, analysis, synthesis, and evaluation, and on transferring knowledge to future objectives, as well as to immediate job applications. Education also means preparing youth and others to be productive citizens through traditional and non-traditional academic approaches.

**Electronic Performance Support System (EPSS)**—Electronic performance support system is a highly sophisticated job aid, offering access to large databases of information designed to coach users via a user-friendly question-and-answer format. A familiar example is the help function in software.

**Emotional Intelligence (EI)**—The ability to identify, assess, monitor, and control emotions of self to guide thinking and impact effective actions of others.
**Employee Development**—Employee development involves acquiring knowledge, skills, and attitudes through employer—sponsored learning opportunities including (1) traditional instruction, (2) new technology oriented formats, (3) informally by means of mentoring coaching, or on—the—job training, and (4) by team participation.

**Employee Selection**—Employee selection is choosing the right person for the job.

**Empowerment**—Empowerment means enabling people to work to their highest levels by believing in them and establishing processes and systems that support their efforts.

**Enterprise Learning**—Any system that delivers instruction that is critical to the entire organization and must be disseminated to a large number of people dispersed over a wide geographic area.

**Environmental Analysis**—Environmental analysis is the process used to identify and prioritize the realities that support actual performance: organizational environment, world, workplace, work, workers.

**Environmental Scanning**—Environmental scanning is a strategic planning technique for monitoring trends in the external environment of an organization. It involves observing, assessing, and documenting economic situations, political events, technical developments and structural changes in similar organizations or industries.
**Environment Support Analysis**—Environment support analysis seeks to define causes related to information (data, information, and feedback), instrumentation (environmental support, resources, and tool), and motivation (consequences, incentives, and rewards).

**Ergonomics**—Ergonomics is the study of how physical laws of nature affect the worker and the work environment. The primary focus of ergonomics is the design or redesign of machines and tools to match the physical ability of the employee to use and react to the tools or machinery required for a job or task. Assessing and improving user friendliness and environmental factors, such as noise and lighting, fall within the scope of physical ergonomics.

**Ethics**—Ethics defines good and bad standards of conduct. Standards are culturally based and vary among countries, companies, incidents, and situations.

**Evaluation**—Systemic and systematic methodology to determine merit, worth, significance, or value based on goals and standards.

**Executive Development**—Executive development enhances senior management’s ability to create vision, values, and business strategies.

**Expectations**—What the organization and other stakeholders think or perceive will happen as a result of the performance improvement intervention. Expectations may or may not match reality.
**Expert Systems**—These systems fall under the computer applications category of artificial intelligence. They are composed of a knowledge base, an inference system, and a human machine interface.

**Explicit Knowledge**—Recorded information, for example, a written policy or procedure.

**Feasibility**—Determine whether effort or project can be successfully accomplished based on consideration of economic, legal, technical, cost-benefit, and scheduling issues. Is it logical and likely to succeed?

**Feedback**—Information provided by others designed to help people adjust their behavior, continue successful performance, or establish goals.

**Financial Forecasting**—Financial forecasting is anticipating the future needs for money and resources.

**Financial Systems**—Financial systems refer to the monetary affairs (income, reserves, expenses, and dividends) of an organization. They are usually summarized in an annual report that includes an income statement, balance sheet, cash—flow statement, and explanatory notes.

**Force Field Analysis**—A theory of change developed by Kurt Lewin as a way to see what is happening in an organization by reflecting the forces, driving and restraining, at work at a particular time. Select forces to add or remove in order to create change.

**Forecasting**—Anticipating the future using quantitative techniques, such as mathematical and statistical rules and analysis of past data to predict the
future plus qualitative techniques, such as expert judgment and opinions to validate or adjust predictions.

**Formative Evaluation**—Formative evaluation is conducted to improve the design, development, and implementation of performance interventions. It begins during the performance analysis, continues through the selection, design, and development of interventions and may extend into early intervention implementation. The purpose is to improve the inputs, processes, outputs, and outcomes of the phases.

**Games**—Experiential learning activities for two or more participants that contain elements of competition and fun. Games are frequently used in connection with training teams to solve problems and make decisions. They may bring an element of familiarity to the training by emulating popular board games or TV game shows.

**Gap Analysis**—Gap analysis describes the difference between current results and consequences and desired results and consequences.

**Globalization**—Globalization is a means of achieving higher productivity and efficiency by identifying and focusing on an organization’s efforts and resources in major world markets.

“**Goodness**”—A term used by ISD practitioners in the military to describe the quality of a process or product using **bad, good, better, best** as the descriptors.
**Green Workplace**—A green workplace is devoted to environmentally-sensitive green business initiatives and practices; it creates a climate of environmental awareness.

**Grievance Systems**—Grievance systems provide mechanisms for people of unions to dispute a decision that is believed to be in violation of a contract.

**Health and Wellness**—Health and wellness programs are designed to enhance employee morale and productivity and reduce absentee rates and health care costs.

**Human Factors**—See Ergonomics.

**Human Performance Technology (HPT)**—Human Performance Technology analyzes performance problems and their underlying causes, and describes exemplary performance and success indicators. HPT identifies or designs interventions, implements them, and evaluates the results. It is the systematic process of linking business goals and strategies with the workforce responsible for achieving the goals.

**Human Resource Development (HRD)**—Organized formal or informal activities within an organization designed to enhance human capital and improve individual or organizational performance or personal growth, such as career development, training, coaching, or mentoring.

**Human Resource Development (HRD) Interventions**—Conscious, deliberate, planned talent management, individual growth, and
organizational growth activities designed to improve organizational and human performance and solve workplace problems

**Human Resource Management**—Human resource management is a subcategory of human resources and refers to interventions such as staffing, compensation, retirement planning, health and wellness, and employee development.

**Human Resources**—Human resources refers to the people aspects of organizations.

**Implementation**—Execution or fulfillment of a plan or design; putting into action.

**Incentives**—Incentives link pay with a standard for performance, such as salary, differential pay, allowances, time off with pay, deferred income, and so forth.

**Inclusion Strategies**—Inclusion strategies refer to the degree to which the culture respects and values diversity and is open to anyone who can perform a job, regardless of their diversity attributes.

**Income Statement**—Shows all the revenues and costs with net income resulting as revenues minus costs.

**Indirect (support) functions**—Indirect means those organizational units who support and enable the direction operations to occur.
**Individual Growth**—A sub-category of human resources that focuses on the organizational need to encourage and retain high performance employees.

**Information Systems**—Information systems refer to the varied manual and automated communication mechanisms within an organization that store, process, disseminate, and sometimes even analyze information for those who need it.

**In-House**—Products or services that are designed and developed for the organization by an individual or team within the organization. The products and services may or may not be made available to other organizations after they are developed and implemented.

**Inputs**—Resources (money, people, time, materials) that are required to implement a process.

**Instructional Performance Support System (PSS)**—Helps workers initiate new performance or changes their actual performance until that performance is equal to or better than desired performance. May also support or replace learning interventions.

**Interactive Technologies**—Interactive technologies provide a channel for interactions between learner and instructor.

**Interface Design**—Interface design is the linkage between machinery (mainly computer) and processes to ensure smooth and easy, user—friendly functionality.
**Interventions**—interventions are conscious, deliberate, planned activities designed to improve organizational performance and human performance and to solve workplace problems. They can be targeted at society, organizations, departments, work groups, and individuals.

**Intervention Components**—Aspects or parts of an intervention element. Sometimes, the terms *component* and *element* are used interchangeably to refer to the aspects or parts of an intervention category.

**Intervention Elements**—Aspects or parts of the intervention that must be in place to create a complete intervention.

**Job Aids**—(also known as Performance Support Tools or PST). They provide just-in-time, on-the-job, and just-enough information to enable a worker to perform a task efficiently and successfully without special training or reliance on memory. They may inform, support procedures, or support decisions.

**Job Analysis**—Job analysis is a formal way of evaluating job requirements by looking at the job itself and at the kind of person needed to complete the job successfully. Job analysis collects information about duties, tasks, and responsibilities for specific jobs. It identifies, lists, and describes the tasks (job description) and performances (job specifications) required for successful completion of the job.

**Job Analysis Interventions**—They include the analysis process itself, plus the outputs of the process: job descriptions and job specifications.
**Job Description**—A written statement documenting the tasks and functions of a job. It includes what is done on the job, how it is done, and under what conditions it is done.

**Job Design**—The process of putting tasks together to form complete jobs. Job designers must consider how tasks are performed, the relationship of the job to organizational work, and employee—related issues such as challenge and empowerment.

**Job Enrichment**—A job design option that makes a job more rewarding and satisfying by adding tasks (horizontal job enrichment) or responsibilities (vertical job enrichment).

**Job Rotation**—Job rotation is a form of job enlargement that occurs when employees do numerous and entirely different jobs on a flexible, revolving schedule without disrupting the workflow. Job rotation usually involves cross training.

**Job Specifications**—A list of the minimum qualifications that a person must possess in order to perform a specific job successfully.

**Joint Ventures**—When two or more organizations join forces for a common purpose, such as exploring new technologies, pursuing new markets, generating new products, and others.

**Just-in-Time Learning**—This is a training design that takes place just before or concurrent with the trainee’s need to use a specific knowledge or skill; it can be real-time or virtual learning.
**Key Performance Indicators (KPIs)**—KPIs are quantitative performance measures that define the critical success factors of an organization, help the organization measure progress toward its organizational goals and objectives, and identify areas for organizational performance and improvement.

**Knowledge Capture and Management**—Knowledge capture and management is the process of acquiring, storing, and managing access to bodies of data, information, knowledge, and organizational experience that assist people in performing their jobs with efficiency and precision.

**Labor Relations**—Labor relations is the system of continuous relationships that exists between workers and management in regard to employee fair treatment, working conditions, wages, and other issues.

**Leadership Development**—Leadership development prepares employees to cope with changes through prioritizing, overcoming obstacles and assumptions, and initiating action.

**Lean Organization**—A lean organization maximizes customer or shareholder value while minimizing waste, thus creating more value with fewer resources using customary improvement approaches.

**Learning Management System (LMS)**—Software system used to manage and deliver learning content and resources to learners. They are generally web—based and provide anytime and anywhere access.
**Learning Organization**—Values and supports continuous improvement and lifelong learning for all members of the organization and aligns learning with the achievement of business goals. Learning is considered a competitive strategy and a broad, long-term intervention to achieve continuous improvement. Learning organizations involve the belief and practice that individuals and teams can learn continuously and cooperatively to foster an organization’s competitive advantage. Hallmarks of learning organizations are sharing the organizational vision, individual excellence, team learning, creating common mental models, and use of systematic thinking.

**Learning Technologies**—Methods or media that are designed and used to present information to learners. The two major delivery systems for learning technologies are instructor—led classroom and distance learning. Both delivery systems use computer technologies and wired or wireless telecommunication technologies to enable and enhance learning.

**Localization**—Localization is the process of customizing and adapting a global application for a particular culture and locale.

**Management Development**—Management development prepares managers to support the organization’s mission, strategy, goals, and objectives.

**Measurement**—Systematically determining or estimating dimension, quantity, and capacity in order to assign value
Mentoring—Mentoring is the offering of experience, emotional support, and guidance by an experienced person to a less experienced person.

Mergers—Mergers are when two separate organizations combine operations and become one company.

Meta Evaluation—Meta evaluation is the process of evaluating formative, summative, and confirmative evaluation by literally investigating the evaluation processes, products, and outcomes to take a close look at what happened and why.

Milestones—A project management term to describe points along a timeline where a delay or lag in meeting the milestone deadline would impact other project activities and/or the results of the project.

Motivation—Motivation encourages behavior. Motivation is the desire to accomplish tasks and can be intrinsic or extrinsic.

Networking—Networking means establishing patterns of interpersonal communication interactions to facilitate the dissemination and collection of information.

Non-Technical Learning—Soft-skills learning designed to change attitudes rather than to gain knowledge or skills.

Off-the-Shelf—Products or services that are prepared by and purchased from external vendors or consultants and are available to a variety of clients. Some products or services may be customized to suit a specific situation.
Online Learning—A system for delivering instruction to learners using internet or intranet technology. It is also called web-based learning, web-based training, e-learning, or distance learning.

On-the-Job Learning or Training (OJT)—A strategy to train new employees; defined by time, place, resources; can be formal or informal. Training or learning occurs on the job with someone experienced teaching the new person or the person being cross-trained how to accomplish the particular job task.

Open Book Management—Everyone in the organization helps the business make money. Financial status is fully shared and employees become active participants in financial performance.

Operations—Operations are the direct functions that are the lifeblood of the organization.

Operations Management—Operations management is the direction, coordination, and control of the inputs (raw materials), throughputs (what ever is done to the raw materials) and outputs (what ever is produced).

Organizations—A collection of people working together to achieve a common purpose and a specific set of objectives.

Organizational Analysis—Organizational analysis examines the organizational mission, vision, values, goals, strategies, and critical issues.
**Organizational Communication**—Organizational communication refers to the transfer of information and knowledge among employees, suppliers, and customers for the purpose of accomplishing efficiency and effectiveness.

**Organizational Design and Development**—Organizational design and development is a process that examines the operation and management of an organization and facilitates needed change in an effort to improve efficiency and competitiveness.

**Organizational Growth**—A sub-category of human resources that addresses the organizational need for long-term success.

**Organizational Values**—Organizational values help people succeed by supporting the “right” decisions, maximizing the significance of employee, supplier, customer, and client, encouraging workers to think globally, and treating people with respect and trust.

**Outcomes**—The results of a process.

**Outputs**—The end product of a process.

**Outsourcing**—Outsourcing is the process of contracting out or transferring responsibility for an area of work that had been or often is performed inside the organization.

**Overhead**—Organizational functions and activities that does not contribute directly to revenue.

**Partnerships or Partnering**—Working with others involved individuals and groups to accomplish performance improvement efforts.
**Performance Analysis**—Performance analysis identifies and clarifies the problem or performance gap by focusing on three areas: desired performance state, actual performance state, and gap between desired and actual performance. It looks at three levels—world (society, culture, social responsibility), workplace (organization, resources, tools, stakeholders, and competition), work (work flow, procedures, responsibilities, and ergonomics) and worker (knowledge, skill, capacity, motivation, and expectations).

**Performance Appraisal**—Performance appraisal is a structured process used by managers to provide feedback on an individual’s performance to encourage improvement. Performance appraisals also provide information for salary decisions and promotions.

**Performance Improvement (PI)**—Performance improvement analyzes performance problems and their underlying causes, looks at opportunities and challenges, and describes exemplary performance and success indicators. PI identifies or designs interventions, implements them, and evaluates the results. It is the systematic process of linking business goals and strategies with the workforce responsible for achieving the goals.

**Performance Intervention Package**—The package includes all the elements and components (processes, media, and materials) that are required to implement a performance improvement intervention. (See also Elements and Components)
Performance Objectives—Statements of the desired knowledge, skill, or attitude changes the individual should achieve and be able to apply as a result of the performance improvement intervention. A complete performance objective includes required inputs, process for achieving the change, outputs or proofs that change has occurred, outcomes or results, conditions that affect the process, and the consequences of success or failure.

Performance Standards—Concise statements that serve as a gauge for measuring accomplishment. The organization, the industry, workers, and/or government or other regulatory agencies set the standard or criteria that are used to guide the performer and evaluate the performance outputs and outcomes.

Performance Support Interventions—Performance support interventions affect the workplace, the work, and worker through planned change efforts based on knowledge and skills transfer. They can be instructional (when the problem is a result of a lack of knowledge) or non-instructional (to improve individual, group, or team performance; improve processes, products, and services; and guide business plans, deliverables, results, and success measures).

Performance Support Systems (PSS)—Integrate learning and doing and technology to help workers obtain the knowledge or skill they need to initiate new performance or improve existing performance. They support the
performer on-the-job and just-in-time. PSS may replace or enhance training.

**Performance Technology**—The science and art of improving people, processes, and performance.

**Personal Development Interventions**—Personal development interventions are planned work—related activities that are the employee’s personal responsibility. Individuals assume ownership of their success or failure.

**Preventive Maintenance**—Preventive maintenance is a proactive approach to equipment maintenance to avert breakdowns and failures.

**Pro Action**—Thinking ahead, planning for the future with creativity and commitment, and understanding the economic, political, and social climate sufficiently to inspire employee confidence.

**Problem Solving**—Problem solving is the structured process of defining the problem, gathering data about the situation and causes, considering alternatives, making choices, implementing choices, evaluating the new situation, and making adjustments based on evaluation.

**Process**—Activities conducted to accomplish a job, activity, or task.

**Process Consulting**—Process consulting results in revising processes and often involves reengineering or restructuring an entire organization.

**Profit (Revenue) Center**—A center charged with controlling costs and generating revenues, it has an expense and a revenue budget.
Quality—Quality is the predetermined standard of excellence that may be applied to a product or service to measure how closely the product or service conforms to the standard and satisfies the customer.

Quality Control, Management, and Assurance—Quality control, management, and assurance is the system used to ensure products and services meet customer needs and exceed customer expectations. It is also known as Total Quality Management (TQM).

Quality Improvement—Conducting business right the first time and every time.

Realignment—Realignment is getting the organization focused on its core competencies.

Reengineering—Reengineering is the radical redesign of processes for the purpose of extensive (not gradual) performance improvements.

Repertory of Behavior Analysis—Repertory of behavior analysis examines people-oriented factors that cause performance problems related to information (skills and knowledge), instrumentation (individual capacity), and motivation (motivation and expectation). The term was developed by Thomas Gilbert and is referred to as individual factors under cause analysis in the Performance Improvement/HPT Model.

Request for Proposal (RFP)—A detailed document sent to vendors early in the procurement process asking them to submit a proposal to supply a given product, program, or service.
**Responsibility Center**—Units, locations, or areas within an organization where costs occur and where costs are assigned.

**Restructuring**—Restructuring reorganizes the units or departments, usually resulting in a new organizational chart, new responsibilities, and may involve new reporting relationships.

**Retention**—Encourages employees to remain with an employer due to systematic efforts to create and foster a positive policies and practices meeting the diverse needs of the workforce.

**Retirement Planning**—Retirement planning helps people prepare for financial and legal issues, housing arrangements, and health and wellness following their working years.

**Review-Revise-Approve Cycle**—This process is used to gain feedback and required approval for the elements and components of a performance improvement package.

**Rewards**—Rewards are designed to change or reinforce behavior through techniques such as public recognition, gift certificates, or vacations and travel based on meeting sales quotas. Should be monetary or non-monetary incentives and not only used for quotas.

**Safety Engineering**—Safety engineering is continually evaluating materials and processes to eliminate or minimize hazards and conditions that cause accidents.
School Improvement—Efforts and outcomes of initiatives and projects that result in increased achievement scores, scholarship, preparation for citizenship, or general wellbeing and operation of schools. Elements or indicators of success or increase based on such factors as educational settings, curriculum, instruction, or learning environment.

Security Management—Policies, standards, procedures, and guidelines to protect assets, intellectual and physical property, and ensure safety.

Scope—The range of features and functions that categorize a performance improvement intervention.

Selection—Predicting the best candidate for a job. It involves such things as reviewing applications and resumes, interviewing and screening candidates, and making a final offer. See also Intervention Selection.

Self-Directed Learning—Self-directed learning is learning designed to master material independently and at the person’s own pace.

Simulations—Highly interactive experiential learning activities, that mirror reality and allow participants to manipulate equipment or situations to practice a task, for example, land a plane, troubleshoot electrical circuits, or decide how to handle a dispute between two employees. Simulations are useful when training requires a show and do approach and it is impossible to do it in the real world because of excessive costs or safety factors. They range in complexity from paper-based to computer-based simulations; from
simple linear video to interactive video; from role plays to sophisticated digital simulators.

**Six Sigma**—A systematic quality improvement process that is used on both the production and transactional sides of the business to design, manufacture, and market goods and services that customers may desire to purchase.

**Social Intelligence (SI)**—It is the ability to get along with others and it combines sensitivity to the needs and interests of others and practical skills of interacting with them.

**Social Learning**—Learning from each other. Capacity to observe, analyze, and understand social relationships through awareness, imitation, modeling and acting wisely.

**Social Media**—Use of web-based and mobile technology to communicate and share content. Includes the use of tweets, blogs, texting, email, multimedia messages, and a constantly expanding suite of Web 2.0 and mobile apps.

**Social Responsibility**—It is a genuine interest and concern for the well-being of individuals, to plan, think, do and act in a socially responsible way, and to be a sensitive team member in personal and professional relationships.

**Staffing**—The human resource management function that anticipates and fills open positions in organizations.
Stakeholders—Individuals or groups who will be affected by the results of a performance improvement intervention.

Standards—The principles or criteria for consistent, ultimate, superior performance outcomes or for how individuals and organizations conduct themselves (ethics). See also Performance Standards.

Statement of Cash Flows—Shows sources of all funds the organization acquires and how the funds are used.

Strategic Management—Strategic management supports the organizational vision through the day-to-day implementation of the strategic plan.

Strategic Planning—Strategic planning is the process by which an organization envisions its future and develops the necessary goals and procedures to achieve that vision.

Succession Planning—Succession planning is a systematic identification and development of employees, usually for senior management positions.

Suggestions Systems—Suggestion systems allow employees to increase workplace responsibility and accountability by offering ideas for improving products or services. Rewards are often provided for suggestions that bring positive results to the organization.

Summative Evaluation—Summative measures the effectiveness, efficiency, impact, and value of the immediate reaction, knowledge, skills, attitude change, and/or application of the intervention.
**Supervisory Development**—Prepares trainers, advisers, mentors, facilitators, coaches, leaders, behavioral specialists, etc. in critical competencies of a conceptual, interpersonal, technical, and political nature. Supervisory development enables front-line managers to establish work standards and enforce organizational policies and procedures primarily for non-management employees.

**Sustainability**—Sustainability means that a situation or object endures over time. It is the extent to which an environment or program’s legacy is successfully institutionalized.

**SWOT Analysis**—An analysis tool highlighting strengths, weaknesses, opportunities, and threats to an entity.

**System**—Connecting aspects of a complex whole; interconnectedness; interdependence.

**Systemic**—Affecting the entire situation as a whole instead of concentrating on the individual components or parts.

**Systematic**—Methodical or step-by-step procedures; acting according to plan; repeatable.

**Synthesis**—Combining unique elements or parts in new ways, creating different coherent whole.

**Tacit Knowledge**—Knowledge that resides in people’s heads. It is also referred to as know-how, rules of thumb, or heuristics.
Talent Management—Talent management focuses on core business functions (staffing, employee development, retention of employees, compensation and benefits, health and wellness, retirement planning, and labor relations). It requires a new mindset and a new way of thinking to achieve business success.

Team—A team is a group of people working together as a cohesive unit to accomplish a common goal.

Team Strategies—The strategies are the methods that people who are in a team experience work out in advance for accomplishing the objective at hand.

Teambuilding—Teambuilding is based on the philosophy that people work better and more creatively in groups than they do alone. It focuses on trust, collaboration, openness, and other interpersonal factors.

Technical Learning—Declarative procedural knowledge and problem solving associated with scientific and practical, job related activities

Technique—A procedure used to accomplish a job, activity or task.

Techniques used by the performance improvement practitioner include interview, survey, task analysis, pilot testing, and many others.

Tool—A job aid, document, form, or other print or computer based material used to help the performance improvement practitioner complete a task. An interview guide and report form is a tool for performing an interview during the Performance Analysis phase; (See also Performance Support Tool)
**Toolkit**—A collection of tools that the performance improvement practitioner can use to analyze, select, design, develop, implement, and/or evaluate performance improvement interventions.

**Total Quality Management**—It is a philosophy and a set of principles that set the stage for a continuously improving organization. (See also Quality Control, Management, and Assurance.)

**Training**—Training refers to instructional experiences provided by employers to help employees achieve changes in knowledge, skills, or attitude.

**Value Chain**—Composed of all the stakeholders (designers, suppliers, manufacturers, customers, etc.) who add value to or receive value from specific products or services.

**Vendors**—External consultants or others who provide a variety of products or services to organizations.

**Virtual Teams**—Virtual teams are teams of people who interact electronically, for example, a team of people working in geographically different sites to achieve common organizational goals.

**Wiki**—A wiki is a collection of Web pages that can be easily created and edited by the individuals who use them.

**Work**—What the worker must do on the job.

**Work Design**—Work design is a blueprint of job tasks structured to improve organizational efficiency and employee satisfaction.
**Work Design Interventions**—Include job design (rotation, enlargement, enrichment), human factors (ergonomics, safety engineering, PM) and quality improvement (TQM, continuous improvement).

**Workplace Learning and Performance (WLP)**—Refers to the integration of learning and other performance interventions to improve human performance and align it with individual and organizational needs.

**Work Methods**—Work methods are documents by which an organization defines what work needs to be done and how it will be accomplished.
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