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ENERGY TRAINING PROGRAM

Human Resource Development and Management

August 25-29, 1997
in
Jakarta, Indonesia

Sponsored by:
USAID Mission in Jakarta
USAID Center for Environment
and
P.T. PLN (Persero)

Designed and Implemented by:
Institute of International Education

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U S AGENCY FOR INTERNATIONAL DEVELOPMENT

INSTITUTE OF INTERNATIONAL EDUCATION

ENERGY TRAINING PROGRAM

August 12, 1997

ENERGY TRAINING PROGRAM
1996-1997 Completed and Future Activities in Indonesia

PROGRAM BACKGROUND

Indonesia's improving economy has spurred the demand for electric power Its electricity demand is projected to grow at an annual rate of 14 percent over the next five years, the fastest growth in the ASEAN region Rapid increases in energy demand is so critical that it has strained the resources of the Indonesian government and the state-owned utility (PLN)

In response to the urgent energy demands caused by rapid economic growth, the Government of Indonesia (GOI) is developing its legal and regulatory framework for private power development In order to implement these changes, the GOI has set-up and staffed a new directorate, the directorate of Private Power, within the Directorate General of Electricity and Energy Development (DGEED) GOI has also initiated a restructuring of PLN PLN has been split into three corporations namely Genco 1, Genco 2 and Transco In addition, there are three studies that are currently being conducted in relation with power sector restructuring Coopers and Lybrand is looking into the whole restructuring process, Price Waterhouse on the formation of the Java Bali Transmission unit, and Ernst & Young on the distribution company

The GOI is headed towards the right direction, however there is still much to be accomplished In order to provide assistance in developing Indonesia's policy options for power sector regulation and private power development, the USAID Energy Training Program (ETP) has and will offer both U S -based courses and in-country workshops in support of the GOI's restructuring of the power sector The following is a brief description of ETP's 1996-1997 training activities for Indonesia

1 Private Power Project Financing (May 28 - June 28, 1996)

This five-week program includes four weeks of U S -based training and a one-week study-tour It is designed for government officials and utility managers who are or will be involved in financing private power projects, including participants from the Ministry of Mines and Energy, the Directorate General of Electricity and Energy Development (DGEED), PLN, and

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Genco 1 and 2 This training will help utility and government officials understand the process of private power from conception to operation Participants will learn how to evaluate and analyze proposals for private participation in the power sector The course will enhance their financial analysis capabilities through hands-on training in financial modeling so as to better evaluate energy projects The most important aspect of closing international private power is the financing, thus, participants will learn the sources of financings and their differences, the requirements, and how to successfully evaluate various structures

The one-week study tour includes visits with Independent Private Power (IPP) developer, investment banks, multi-lateral organizations, state regulatory commission, architectural and engineering firms, major equipment supplier, and a utility with experience in dealing with IPP projects

2 Restructuring and Regulatory Reform of the Power Sector (June 17-21, 1996)

This one-week in-country workshop is hosted by DGEED It is divided into two sessions The first session provides a three-day policy overview of key issues, experience and options raised by electric utility industry restructuring This session is designed for high-level policy makers and senior executives from the Ministry of Mines and Energy, DGEED, PLN, Department of Monetary, Ministry of Finance and the electric utility Participants will learn about regulatory reform and how to develop a national power sector regulatory reform program The second session is a two-day follow-up on issues identified during the first three days It is designed for senior- and mid-level government policy makers and utility managers

3 Energy Efficiency in Process Industries (July 30 - August 1, 1996)

This three-day in-country workshop provides an overview of global energy consumption, production and trends for the future, demand side management, barriers to the introduction of energy efficient technologies and policies which may overcome these constraints It is designed for management-level technical personnel from the Indonesian public and private sector This workshop is offered in cooperation with the Center for Energy Studies at University of Indonesia

4 International Study Tour in Power Sector Restructuring, Regulation, and Privatization (October 18 - November 2, 1996)

This international study tour is organized for high-level officials from the Government of Indonesia and the state-owned electric utility, PLN, who are responsible for restructuring and privatizing Indonesia's energy sector The goal of the program is to provide the participants with an understanding and exposure to the experiences of different countries, specifically the United States, Argentina, and Chile, in power sector restructuring, regulation and privatization The

participants will meet with both regulators and electric utilities from each respective country In addition, participants will have the opportunity to attend the Fourth Department of Energy / National Association of Regulatory Utility Commissioners, National Electricity Forum The Forum will offer workshops and panel discussions on issues inspired by electricity industry restructuring

5 Sugar Industry/Cogeneration Project Development (November 21 - December 6, 1996)

This two-week in-country course is divided into two modules of policy and implementation The policy segment focuses on cogeneration options in the sugar mill, and is intended for decisions makers from the 11 state-owned sugar mill companies, Ministry of Agriculture, Ministry of Finance, Ministry of Mines and Energy, and PLN The implementation module is intended for technical mid-level managers from the state-owned sugar mill companies This segment will provide participants with the skills required for biomass waste-to-energy project development in the sugar industry It will focus on the aspects of biomass energy that differ from conventional power generation, primarily fuel supply, characterization, heating value combustion issues, environmental impacts, project design and financing, marginal costing, and power purchase agreements

6 Solar Home Systems Training (Phase I January 20-31, Phase II March 24-27, 1997)

This in-country program consists of two phases Phase I involves sending a U S instructor to Indonesia to work on-site with the Agency for the Assessment and Application of Technology (BPPT) technical staff and LSDE instructors, Phase II involves the offering of the actual workshop The goal of Phase I is to improve and enhance the technical and end-user manuals, design and develop the actual training program (Phase II), train the LSDE co-trainers, as well as supervise the installation of the SHS units

Phase II involves the LSDE co-trainers delivering the training, with the U S instructor serving as a resource person, to the supervisory technicians of the dealers who are or will be participating in the World Bank project The objective is to enable participants to understand photovoltaic operation and application, correctly install solar home systems to ensure their long-life and efficient operation, perform on-going troubleshooting, repair, and maintenance of systems, and educate end-users on SHS management The participants in Phase II will then act as trainers to train the technicians who will operate the anticipated 1000 or more service centers to be established by SHS dealers

7 Energy Efficiency Product Labeling Training and Study Tour (March 20 - April 11, 1997)

This U S -based, two-week training and study tour program is designed for participants from

Indonesia, India, and the Philippines It will provide participants with a working knowledge of the full range of technical requirements, such as standard setting, product testing activities, and institutional requirements, necessary for the implementation of workable, results-oriented energy efficiency equipment labeling programs adapted to their respective countries Program participants are public and private sector professionals who can affect energy-related choices in the setting of standards and codes for electrical equipment, their manufacturing, testing and certification, marketing, specification, procurement, and promotion They include representatives from technology development centers and NGOs working in the areas of consumer education and formation of public opinion

The program will examine the role of labeling in promoting the manufacture, marketing and purchasing of residential electrical equipment, refrigerators, air conditioners, lighting systems and motors Mechanisms for promoting and verifying compliance, including public information instruments and related institutional issues, as well as technical issues related to standards development and testing will be reviewed

The training component will consist of four days of intensive training designed to provide participants with the logical framework and tools for developing a results-oriented labeling program This component will address both institutional and technical subjects The subsequent study tour will revisit the subject of each training module from the perspective of different industry players such as policy and standard-setting organizations, testing laboratories, manufacturers and utilities

8 Management of Distribution Company - Customer Service (Part I June 16-20, 1997, Part II July 28 - August 1, 1997)

In response to a World Bank request to USAID/Indonesia, ETP designed a training program in management of distribution company, focusing on customer service techniques for PLN This one-week in-country course is offered in two parts Part I is intended for management officials from PLN's four distribution units on Java (Jakarta, West Java, East Java, Central Java) and PLN's Headquarters Distribution staff, Part II is intended for branch managers and deputy general managers of eight PLN regions outside Java The objective of this course is to provide PLN's distribution management with the skills required to run the four units as investment centers In particular, the course will focus on developing skills in customer service, economic/financial project evaluation, and cost of service analysis

9 Public Utilities Executives' Training (PUEC) at University of Idaho for 3 PLN participants (June 23 to July 17, 1997)

ETP supported three senior PLN managers to attend the 44th Annual PUEC course at the University of Idaho's Center for Business Development and Research The course is designed for top-level managers in the energy industry who face challenges arising from fundamental

transformations taking place in the energy sector worldwide To that end, course components are designed with the following objectives in mind to increase understanding of customer requirements, industry and company operations, new technologies and the dynamics of the business environment, to improve effectiveness in meeting the challenges of leadership and decision-making, and to develop a network of committed professionals who can serve as on-going resources

10 Renewable Energy Project Financing (July 21-25, 1997)

As PLN has now formally implemented the Small Power Program and has invited applications for grid supply projects (30 MW for Java and 15 MW outside Java), small renewable energy developers who will be responding to this solicitation will need training on how to finance projects This one-week in-country workshop will cover factors determining the financing structure (i e project scale, project complexity, project risk), financing mechanisms (i e build-own-operate, build-own-transfer, third party financing, debt equity swap, joint venture, leasing, cooperative or commercial credit), sources of financing and their differences (i e commercial banks, institutional investors, venture capital, private investors, multilateral development banks, regional and national development banks, credit guarantee programs, risk insurance programs), the requirements of project financing (i e private power legislation, responsive utility and regulatory environment, utility power purchase agreement formulation, pricing for utility power purchases, responsive project development regulatory environment), how to successfully evaluate various structures, how to implement small renewable energy projects, and case studies

11 Renewable Projects Bid Solicitation, Evaluation and Power Purchase Agreements (August 25-29, 1997)

This one-week in-country workshop will assist PLN officials in evaluating and analyzing renewable project proposals The workshop will cover all the preparations and steps a utility should use to ensure an efficient, transparent, and successful solicitation The workshop will demonstrate that initial requests for qualifications and for proposals must include the structure and planning for evaluation of bids, selection and negotiation Each step of a solicitation will be illustrated with examples of all the major documents and contracts from renewable projects Instructors will present the differing viewpoints of various parties throughout the process and show the potential for mistakes or abuse The workshop will culminate with class exercises in bid analysis, selection and negotiation

12 Human Resource Development (HRD) and Management (August 25-29, 1997)

In order to address the changes in Human Resource Development (HRD) systems that accompany restructuring, ETP will support PLN in establishing an HRD plan to accompany and support the process of restructuring This one-week course is intended for PLN's HRD management and

staff The course will provide participants with the skills to design and develop effective and efficient HRD systems It will explore integration of key, components into an effective HRD system The course will cover organizational strategies, innovative work practices, efficient technology-transfer systems, and succession planning When applied collectively and incorporated into a totally integrated system of human-resources management, these methods can speed corporate productivity

13 Introduction to Geothermal Drilling and Reservoir Completions (September 15-18, 1997)

ETP will support a total of 15 participants from PERTAMINA, PLN and MIGAS to attend this in-country course offered by Geothermal Resource Council The course will discuss costly problems related to geothermal drilling, devise solutions to them, and suggest actions to control costs

14 Environmental Modeling (World Bank Environmental Manual [EM] Model) (dates to be determined)

In response to World Bank's request to the Mission, ETP will conduct a one-week in-country training for PLN and the Ministry of Mines and Energy (MME) officials on how to use the World Bank's Environmental Manual (EM) Modeling program ETP will work closely with PLN and MME to collect the data necessary to run the simulation session of the course The course will provide participants with an opportunity to simulate the EM model using the data collected The EM is a computerized decision support system which identifies especially the tradeoffs between costs and environmental impacts of different energy technologies It can track down the emissions and costs, for example comparing the existing power supply system in a country, region or specific energy project to alternative options to deliver the same energy service (end-use), electricity for commercial customers, or process heat for industrial customers

15 Management of a Renewable Energy Association Training/Study Tour for APETINDO (2 weeks - dates to be determined)

This two-week training and study tour is designed for APETINDO board and committee members who are responsible for its organizational and operational development and growth APETINDO (acronym for Asosiasi Perusahaan Energi Terbarukan Indonesia) or Association of Indonesian Renewable Energy Companies was established in Jakarta, Indonesia on December 16, 1996 Its members consist of companies dealing with renewable energy development, such as wind, solar, biomass, hydro and geothermal

The training program will be divided into three parts The first part will be a two-three day training on "how to" operate a functional and well-organized trade association The second part will be meetings with similar U S renewable energy and non-renewable energy trade associations

and its members, energy and environmental trade organizations, non-governmental organizations (NGO's), professional associations, government agencies and multi-lateral organizations The goal of the meetings will be to exchange ideas on organizing and operating such an association, gathering member support, and providing member services and opportunities for networking and obtaining information

The third component of the training program will be implemented in the Netherlands, where the APETINDO delegation will attend presentations by Directors of NGOs, manufacturing companies, and the Energy Ministry at the Hague Exposure to the key organizations and institutions within the Dutch renewable energy industry will serve as the valuable European counterpart to the U S component

16 Environmental Management of Thermal Power Plants (2 weeks - dates to be determined)

This two-week in-country course will provide participants with functional knowledge of environmental issues directly impacting the power generation industry Participants will learn how to identify and prioritize environmental problems, implement practical solutions to minimize adverse impacts and achieve compliance with regulatory requirements, and establish an effective management system for tracking and improving plant environmental performance Specific issues involving plant air emissions, water usage, wastewater effluents, noise emissions, waste generation and disposal, and handling of hazardous substances will be addressed

The course will include discussions regarding the rationale for implementing environmental management systems, identification and prioritization of environmental problems, pollution prevention and control, process redesign options, compliance measures, economic analysis, and environmental auditing The course will conclude with instructions on how to establish and implement a comprehensive plan for environmental management of a thermal power plant The course is designed for thermal power plant managers and operators, and power generation company managers

17 Transmission Access, Power Wheeling and Economic Dispatch (1 week - dates to be determined)

This one-week in-country course will provide participants with an understanding of the latest developments in a competitive marketplace as it relates to operation and dispatch of a transmission company It will cover the technical and economic issues related to network access on system control, protection and security, interconnected operations, pricing, and power wheeling This course is designed for policy decision-makers from the generation, transmission and distribution companies who are or will be involved in expanding transmission access

U S AGENCY FOR INTERNATIONAL DEVELOPMENT

INSTITUTE OF INTERNATIONAL EDUCATION ENERGY TRAINING PROGRAM

HUMAN RESOURCE DEVELOPMENT (HRD) AND MANAGEMENT

August 25-29, 1997
Jakarta, Indonesia

Objectives

As PLN is undergoing major corporate developments, in particular its decentralization and creation of subsidiaries, business units and investment centers, significant strengthening of its human resource system (the Divisi Organisasi dan Sistem SDM) is required PLN will need advanced capability in areas of human resources planning, human resources development and human resources administration The goal of these changes is to ensure that PLN's SDM is capable of performing a proactive and professional role in support of a more complex and rapidly changing future This one-week course is designed to increase SDM staff's knowledge and skills necessary to improve PLN's human resources management system The course will cover the elements of an effective and efficient human resource system, including organization strategies, innovative work practices, efficient technological transfer systems and succession planning

Who Should Attend

The course is designed for management and staff of PLN's human resource division (SDM) responsible for carrying out the system of human resources planning and development in order to sustain achievement of PLN's objectives in an effective and efficient manner

Course Daily Schedule

Day 1, August 25

Morning
- Welcoming remarks
- U S Agency for International Development
- PLN
- Institute of International Education
- Instructors Introductions
- Participants Introductions
- Program Objectives and Overview

Afternoon
- The Roles of the HRD Manager
  - Support of HRM functions
  - Acting as an Internal Consultant
  - Interacting with Line Leadership
  - Leading the HRD/Training Function

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Performing the Roles of the HRD leader during changing times
A review of changing "paradigms "

Day 2, August 26 Assessing Corporate Needs

Support of HRM
- Strategic HR Planning
- Job and Organizational Structure
- Staffing, Recruitment
- Interviewing and Selection
- Compensation

Working with others The Disc System (studies in personalities and personal styles)

Day 3, August 27 Performance Management
Performance Expectations
- The leader's role
- Expectations
- Enablement
- Empowerment

Performance Observations
- Collecting Data
- Removing Biases
- Recording Observations

Performance Feedback and Development
- Mapping data
- Immediate and Formal Feedback
- Creating Developmental Feedback

Day 4, August 28 The HRD Functions
Defining Needs
- Job Analysis
- Audience Analysis
- Training Objectives

Program Presentation
- Design and Development of Materials
- Using Visuals Appropriately

- Presentation Skills

Program Administration
- The Role of the Administrator
- Testing and Revising Materials
- Use of Training Packages

Day 5, August 29

Presentations by Participants (video taped)
Advertising Programs
Playback and Evaluation
Building a Toolbox of Resources
Workshop Summary
Closing and Graduation Ceremonies

BIOGRAPHIES OF WORKSHOP INSTRUCTORS

Carl R Morey

Carl Morey is the former Group Vice President and member of the Operating Committee of Dayton Power & Light Company His responsibilities covered the issues in electric production, systems operating, fuels purchasing, corporate security, and personnel and labor relations For his accomplishments in electric power efficiency and availability, Mr Morey was awarded the International Institute of Industrial Engineers "Excellence in Productivity" award

In addition to his long career in electric production, Mr Morey also developed and managed the first Management Development Training Program for the Dayton Power & Light Company, designed to improve the management skills of middle and upper level managers The training program included units for both technical and administrative front line managers It also included a Professional Effectiveness Program designed to improve the interpersonal and leadership skills of professional staff He also developed an executive salary and incentive program that eventually included all employees of the Dayton Power & Light Co

Since his retirement, Mr Morey has been teaching course in Fundamentals of Power Plant Performance for General Physics Corp He also provides various consulting services, including a recent feasibility study for Hungarian Electricity Board to install a new generating capability and refurbish aging coal and oil fired steam plants

Donald L Willig

Donald Willig is an independent consultant in organizational development, training intervention, and work system modification His recent projects include evaluating and writing environmental policies and procedures for Columbia Natural Gas Transmission, providing work flow analysis, time management and meetings development training for the Central Bank of Kuwait, and offering problems solving skills training for a technical team from ADGAS, United Arab Emirates, rebuilding Japan Terminal following an earthquake

Before working on his own, Mr Willig served as Director of Credit and Collections, and later formed the Personnel Development Division at the Cincinnati Gas & Electric Company His responsibilities as Director of Training there included conducting initial needs analysis for management development program, developing a management training curriculum, establishing and maintaining a budget for training and educational assistance, staffing and directing complete audio/visual activities, and providing internal consulting services for other departments including nuclear training programs

ETP Course Coordinator

Ahmad Ghamarian, Ph.D

Dr Ghamarian has over 20 years of management, engineering and teaching experience in the energy and environmental sectors He has a broad knowledge of the U S energy and environmental industries He has extensive experience working in the energy sector of developing countries

At the Institute of International Education (IIE) he serves as Director managing the Energy Training Program (ETP) for the U S Agency for International Development (USAID) ETP provides practical training, industrial internships and study tours with U S industry and research institutes for professionals from energy and environmental sectors of A I D -assisted countries As Director, he is responsible for the leadership and oversight of the ETP and ETP buy-in projects In addition, he works closely with the USAID Office of Energy, Environment and Technology and USAID missions to determine the needs of AID-assisted countries with regard to energy and environmental issues Dr Ghamarian has served as Project Director for Egypt's Energy Manpower Development Project, Training Manager for Pakistan's Energy Planning and Development Project In Russia he developed and negotiated a training plan between Rao Ess Rossii, the Russian Ministry of Fuel and Energy, and the USAID

Dr Ghamarian came to IIE (1987) from the Exxon Research and Engineering Company in New Jersey, where he had served for five years (1981 - 86) as Staff Engineer He performed research and development and provided consulting to promote energy efficiency in Exxon's refineries and chemical plants worldwide Previously, he served as Project Engineer with the Combustion Engineering Company in Tehran (1973 - 76), working on the design of several power-generation projects for the Iranian onshore/offshore oil industry

His teaching experience has included assignments as Adjunct Assistant Professor at the New Jersey Institute of Technology, in the areas of energy and power (1981 - 86), and as Adjunct Associate Professor at The George Washington University, teaching Power Plant Engineering and Electric Utility Least Cost Planning (1987 - present) He has given numerous lectures and presentations for IIE's Energy Training Program He is the author or co-author of over two dozen technical reports and papers on energy and power that focus on efficiency and planning for sustainable development

He holds a B S in Electrical Power Engineering with a focus on Power Engineering from Arya-Mehr University of Technology, Tehran, an M S in Mechanical Engineering with a focus on Energy and Environment, and a Ph D in Mechanical Engineering with a focus on Energy Technology from The George Washington University, Washington, D C (1981)

He is currently a member of the American Society of Mechanical Engineers (ASME) International Advisory Committee and the ASME-Russian Academy of Sciences (RAS) Partnership Advisory Board He also served as a member of the Energy Systems Analysis Subcommittee from 1981 to 1986

U S AGENCY FOR INTERNATIONAL DEVELOPMENT

INSTITUTE OF INTERNATIONAL EDUCATION ENERGY TRAINING PROGRAM

THE ENERGY TRAINING PROGRAM (ETP)

The Energy Training Program (ETP) of the United States Agency for International Development (USAID) trains energy and environmental professionals from A I D -assisted countries (AACs) in how best to assess, utilize, and manage their energy resources ETP supports the program plans and activities of USAID's Center for Environment, the regional Bureaus and the overseas Missions

The Institute of International Education (IIE) manages ETP ETP works with AACs' energy and environmental sectors to assess their capabilities and identify training needs In response to their needs, the program develops courses in conjunction with the U S energy and environmental industry ETP ensures that participants receive practical, skills-oriented training in every program and access to modern technologies, methodologies, and management techniques Its staff closely monitor each training program to guarantee excellence

ETP covers the full range of conventional and alternative energy options available to AACs, with an emphasis on energy efficiency, environment, renewable energy, and privatization ETP has developed a two-pronged approach to training the Management-Level Training Program (MTP) and U S -based courses The MTP provides short-term, in-country workshops for senior management and policy makers These workshops are designed to increase understanding and build support for energy and environmental issues among key decision-makers The U S -based courses provide more in-depth, practical training This integrated approach is designed to strengthen the institutional capacity to plan and implement sustainable energy projects

To further enhance the effectiveness of training, ETP has established an Alumni Network, uniting its over 5,000 graduates The Network is served by the *ETP Digest, a newsletter which provides information on individual alumni accomplishments and upcoming training opportunities*

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USAID's CENTER FOR ENVIRONMENT

The U S Agency for International Development (USAID) allocates a significant portion of its assistance efforts to the wise management of environment and natural resources USAID has further underscored the importance of environmental issues by creating the Center for Environment The Center's mandate is to provide technical and programmatic leadership and support to the Agency and its domestic and international development partners in addressing global environment and sustainable development problems

Specifically, the Center provides technical support to USAID field missions and regional bureaus, identifies and analyzes critical environmental problems and the constraints to their resolution, guides Agency strategy in specific environmental areas such s global climate change and biodiversity, helps to ensure consistent excellence in technical capabilities and Agency programs, and synthesizes and disseminates data from technical and scientific research

The Center for Environment also collaborates with a wide range of partners -- host countries, non-governmental organizations, other U S government agencies, international organizations, and other donor countries -- to solve environmental problems on local, regional and global levels

INSTITUTE OF INTERNATIONAL EDUCATION (IIE)

IIE is the largest privately-operated, international education and training agency in the United States Since 1919, IIE has promoted international understanding and furthered international development IIE currently administers over 270 programs for government and private sponsors worldwide The Energy Training Program, under which this course in Human Resource Development and Training Management training program falls, is sponsored by the Office of Energy, Environment and Technology of the United States Agency for International Development (USAID)

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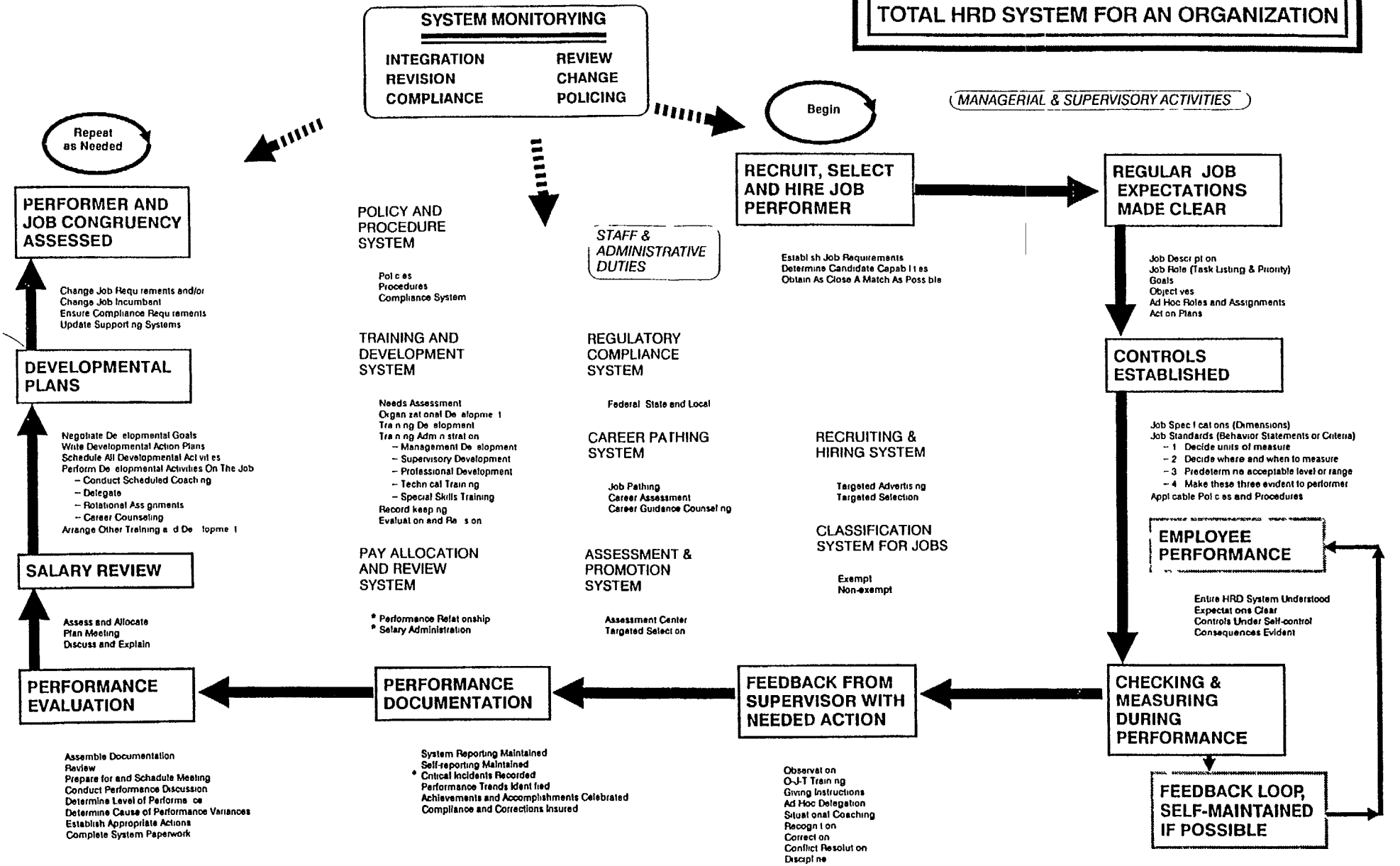
TOTAL HRD SYSTEM FOR AN ORGANIZATION



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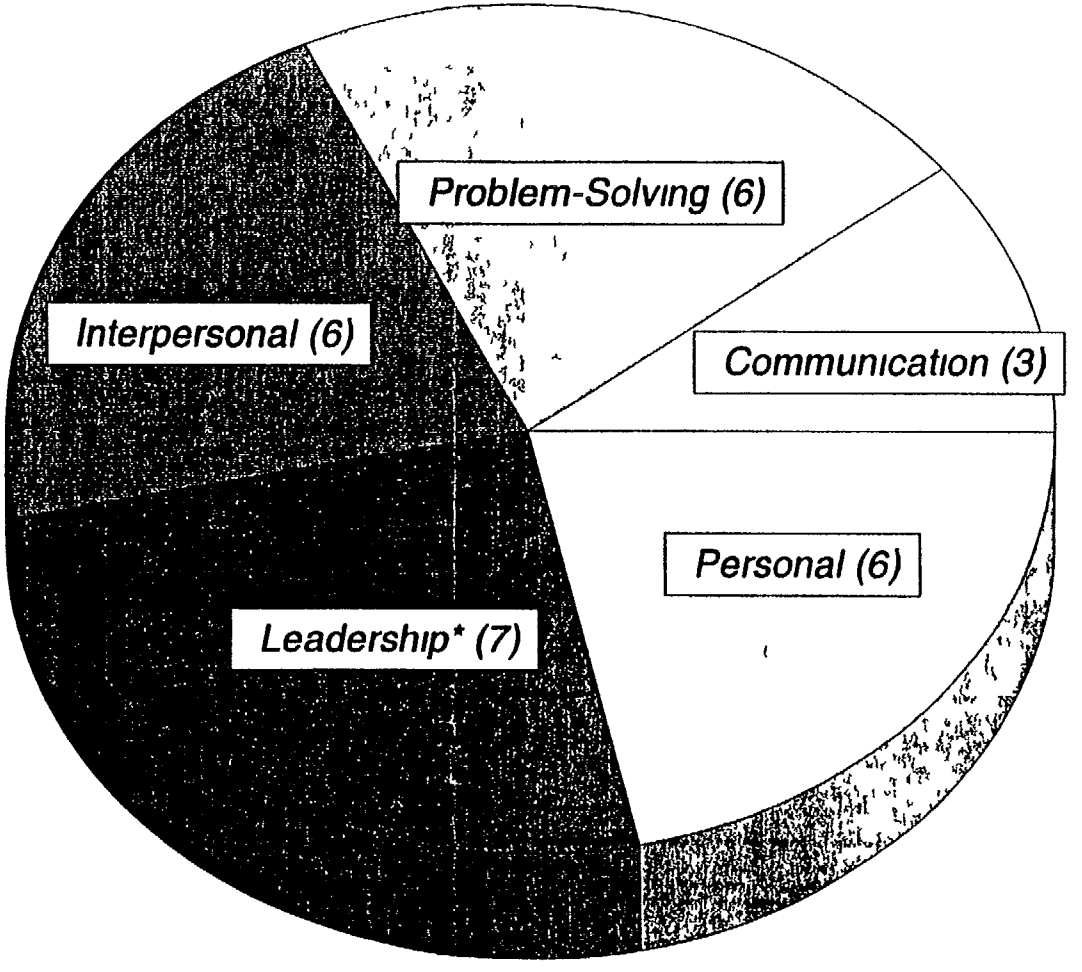
COMPETENCY SETS

A Total of 28 Competencies



*** Includes Supervisory or Managerial Competencies**

Human Resource Management

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Human Resource Management

Human Resource Management (HRM) can be defined as the function, in any organization, that facilitates the most effective utilization of human resources to achieve the objectives of the organization and the satisfaction of employees HRM is a necessary function Effectively performed, it can make the crucial difference between successful and unsuccessful organizations

The Various Names Assigned to The HRM Function

Terms such as personnel, human resource management, industrial relations, and employee development are used by different organizations to describe the unit, department, or group concerned about people The term human resource management is now widely used, though many people still refer to a personnel department We believe HRM reflects the increased concern both society and organizations must have for people

What Does HRM Include

HRM includes many types of services for employees and the organization

- ❒ Job analysis
- ❒ Human resource planning
- ❒ Employee recruitment, selection, and orientation
- ❒ Performance evaluation and compensation
- ❒ Training and development
- ❒ Labor relations
- ❒ Safety, health, and quality of work life

These activities are topics of the various parts of this program

The Characteristics of HRM

Four things should be stressed about HRM at the outset

1 **It is action oriented**

Effective HRM focuses on action rather than on record-keeping, written procedure, or rules Certainly, HRM uses rules, records, and policies, but it stresses action HRM emphasizes the solution of employment problems to help achieve organizational

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objectives and facilitate employee development and satisfaction

2 **It is individual oriented**
Whenever possible, HRM treats each employee as an individual and offers services and programs to meet the individual's needs

3 **It is worldwide oriented**
HRM must treat people fairly, with respect, and with sensitivity Thus, HRM practices in any region of the world must follow some basic principles

4 **It is future oriented**
Effective HRM is concerned with helping an organization achieve its objectives in the future by providing for competent, well-motivated employees Thus, human resources need to be incorporated into an organization's long-term strategies

A Brief History Of HRM

The history of HRM can be traced to England, where masons, carpenters, leather workers, and other craftspeople organized themselves into guilds They used their unity to improve their work conditions These guilds became the forerunners of trade unions

The field further developed with the arrival of the Industrial Revolution in the latter part of the 18th century, which laid the basis for a new and complex industrial society In simple terms, the Industrial Revolution began with the substitution of steam power and machinery for time-consuming hand labor Working conditions, social patterns, and the division of labor were significantly altered A new kind of employee, a boss, who wasn't necessarily the owner as had usually been the case in the past, became a power broker in the new factory system With these changes also came a widening gap between workers and owners

Drastic changes in technology, the growth of organizations and government concern and intervention concerning working people resulted in the development of personnel departments There is no specific date assigned to the appearance of the first personnel department, but around the 1920s more and more organizations seemed to take note of and do something about the conflict between employees and management

Early personnel administrators were called welfare secretaries Their job was to bridge the gap between management and operator (worker), in other words, they were to speak to workers in their own language and then recommend to management what had to be done to get the best results from employees

The early history of personnel still obscures the importance of the HRM function to management The personnel function was considered to be concerned only with blue-

collar or operating employees Peter Drucker, a respected management scholar and consultant, made a statement about personnel management that reflected its blue-collar orientation Drucker stated that the job of personnel was "partly a file clerk's job, partly a housekeeping job, partly a social worker's job, and partly fire fighting, heading off union trouble "

The Modern View of HRD

Today HRM functions are given much more respect When HRM strategies are integrated within the organization, HRM plays a major role in clarifying the firm's human resource problems and develops solutions to them It is oriented toward action, the individual, worldwide interdependence, and the future Today it would be difficult to imagine any organization achieving and sustaining effectiveness without efficient HRM programs and activities

For years the HRM function had not been linked to organizational success The role of HRM in the firm's strategic plan and overall strategy was usually couched in fuzzy terms and abstractions HRM was merely a tag-along unit with people-oriented plans, but was not a major part of the planning and strategic thinking process Today, because of the recognition of the crucial importance of people, HRM is increasingly becoming a major player in developing strategic plans Organizational plans and strategies and human resource plans and strategies are inextricably linked The HRM strategies must reflect clearly the organization's strategy with regard to people, service, and overall effectiveness The human resource manager is expected to play a crucial role in improving the skills of employees and the firm s profitability In essence, HRM is now viewed as a "service center" and not simply a "cost of operations "

What Should HRM Provide

The HRM function today is concerned with much more than simple filing, housekeeping, and record-keeping HRM must serve a prominent role in

- ❒ Analyzing and solving problems from a cost-oriented, not just a service-oriented, point of view
- ❒ Assessing and interpreting expenses or benefits of such HRM issues as productivity, salaries and benefits, recruitment, training, absenteeism, relocation, and nationalization of services
- ❒ Using planning models that include realistic, challenging, specific, and meaningful goals
- ❒ Preparing reports on HRM solutions to problems encountered by operations
- ❒ Training the human resources staff and emphasizing the strategic importance of HRM and the importance of making contributions to the organization's success The increased strategic importance of HRM means that human resource specialists must show that they make contributions to the goals and mission of the firm The actions, language, and performance of the HRM function must be measured,

precisely communicated, and evaluated The new strategic positioning of HRM means that accountability must be taken seriously

Why Top Management Struggles with HRD

One problem top management has in making strategic planning decisions regarding people is that all other resources are evaluated in terms of money, and at present, in most organizations, people are not There has been a push toward human resource accounting, which would place dollar values on the human assets of organizations Managers must learn to appreciate the value of their human assets These assets must be treated as the key to effectiveness HRM will assist in this process

HRM & Organization Effectiveness

All organizations must be concerned about their effectiveness The contributions HRM makes to organizational effectiveness include the following

- ❒ Helping the organization reach its goals
- ❒ Employing the skills and abilities of the work force efficiently
- ❒ Providing the organization with well-trained and well-motivated employees
- ❒ Increasing to the fullest the employee's job satisfaction and self-actualization
- ❒ Developing and maintaining a quality of work life that makes employment in the organization desirable
- ❒ Communicating HRM policies to all employees
- ❒ Helping to maintain ethical policies and behavior
- ❒ Managing change to the mutual advantage of individuals, groups, the enterprise, and the public

Who Performs HRM Duties

More and more organizations are employing HRM specialist These individuals have special training and/or experience in performing the specific tasks of the HRM functions

In addition to the role of HR specialist, operating managers (supervisors, department heads, directors) are involved in HRM activities since they are responsible for effective utilization of all the resources at their disposal The human resource is a very special kind of resource If it is improperly managed, effectiveness declines quickly

Operating managers spend considerable time managing people In the same way an operating manager is personally responsible if a machine breaks down and production drops he must see to the training, performance, and satisfaction of employees Research indicates that a large part of an operating manager's day is spent in unscheduled and scheduled meetings, telephone conversations, and solving problems that directly impact people The manager, through constant contact with many different

people, attempts to solve problems, reach decisions, and prevent future difficulties All of these items require good HRM skills

The Interaction of Operating and HR Managers

With two sets of employees (operating managers and HR specialists) making HRM decisions, there can be conflict Conflict occurs because operating and HR managers differ on who has authority for what decisions, or there may be other differences between operating and HR specialist The conflict between HR specialist and operating managers is most pressing when the decisions must be joint efforts on such issues as discipline, physical working conditions, termination, transfer, promotion, and employment planning Research indicates that operating managers and HR specialists differ on how much authority personnel should have over job design, labor relations, organization planning, and certain rewards, such as bonuses and promotions

Minimizing Conflict

One way to minimize the conflict between operating managers and HR employees is to show operating manager the benefit to using HRM techniques and programs Efforts to identify systems that provide line managers with operational benefits and produce positive results will lessen tension Working together can reduce unproductive conflict between operating managers and HR specialist

Another way to work out actual or potential conflicts of this type so that the employee is not caught in the middle is to try to assign the responsibility for some HRM decisions exclusively to operating managers and others exclusively to HR specialists Another approach is to train both sets of managers in how to get along and how to make better joint decisions This training is more effective if the organization has a career pattern that rotates its managers through both operating and staff positions, such as those in HRM This rotation helps each group understand the other's problems

The Role of the HR Manager or Specialist

When an organization creates specialized positions for the HRM function, the primary responsibility for accomplishing the HRM objectives described earlier in the chapter is assigned to the HR managers But the chief executive is still responsible for the accomplishment of HRM objectives At all levels in the organization, HR and operating directors must work together to help achieve objectives The HR director promotes the HRM function within the organization to employees and operating executives both

The ideal HR director understands the objectives and activities of HRM He has had some experience as an operating manager, as well as experience in HRM The ideal

HR manager has superior interpersonal skills and is creative It is vital that operating management perceives the HR manager as a manager first, interested in achieving organizational goals, and as a specialist adviser in HR matters second This makes the HR director a member of the management team and gives the function a better chance to be effective

HRM's Place in Management

How important is HRM in the top-management hierarchy? In the past, HRM clearly was not very important As in Drucker's statement, personnel, as it was called, was "work suitable for a file clerk " This view has changed Articles have proclaimed that HRM is the fast track to the top and HRM directors are the new corporate heroes In fact, HRM is advancing rapidly as a vital force in top management

What appears to be occurring is that an increasing number of organizations are recognizing that the HR department has a responsibility to be a proactive, integral component of management and the strategic planning process This new emphasis does not replace the competence required in counseling, consulting, industrial relations, or managerial control systems Instead, it is an orientation that states that HR department must do more than simply sit and listen when strategic management plans are nurtured and developed The department must determine a strategic direction for its own activities that will make it a proactive arm of the management team To accomplish this new role, HRM must ascertain specific organizational needs for the use of its competence, evaluate the use and satisfaction among other departments, and educate management and employees about the availability and use of HRM department services The long-range goal of any HRM strategic plan must be to build on the organization's strengths

As HR executives play an increasingly dominant role at the organization's strategic planning table they must educate the members of other departments or units about the human resource implications of various decisions Thus, the HR executive must be familiar with other aspects of the organization, production control, distribution, service, computer utilization, research, development and the environmental issues

HR staff can influence productivity by the sound application of HRM programs There are specific activities and practices that can improve individual performance and, consequently organizational productivity For example

- Recruitment and selection techniques can be used to attract and hire the best performers
- Motivational and compensation techniques can be used to retain employees and improve job performance
- Training and development can be used to improve job performance Training and development can be used to improve skill and competency deficiencies that, in turn, increase performance
- Assisting line operations to identified major productivity restraints such factors as

worker resistance to change, poor motivation, government regulations, and ineffective work rules

HRM & Geographic Location

The location of the organization influences the kinds of people it hires and the HRM activities it conducts A utility plant located in a rural area confronts different conditions than one located in an urban area For example, the work force in a rural area might be more willing to accept a bureaucratic organization style Recruiting and selection in rural areas will be different in that there may be fewer applicants Urban location might be advantageous for recruiting and holding professional workers Urban locations provide a bigger labor force but generally call for higher wages

The Impact of Education

Educational Factors such as the number of skilled employees available, attitudes toward education, and literacy level will impact HRM functions Educational deficiencies will lead to a scarcity of qualified employees, as well as a lack of educational facilities to upgrade potential employees

The Impact of Government

Political factors and political structures differ and can encourage or discourage HRM policies and procedures Political units also differ in degree of political stability Some countries are very nationalistic in their business practices and can impose strong requirements that must be integrated into HR policies and procedures

The Impact of Economic Factors

Economies differ in basic structure, inflation rate, ownership constraints, and the like impact the HR functions The nations of the world can be divided into three economic categories, fully developed, developing, and less developed In the fully developed nations managers will find fewer differences in educational, behavioral, economic, and legal-political factors than they are likely to encounter in developing or less developed countries

Lesser developed countries are the most difficult to work in because of significant constraints in all four factors To be successful in these situations, HR managers must learn all they can about the national scene in which they will be working Knowledge of differences among nations in educational, behavioral, legal-political, and economic factors is essential for the development of sound HRM policies and procedures An HRM manager with the wrong set of attitudes may try to create of doing things without considering the constraints in these four factors The more significant the differences,

the more likely they are to cause problems for the unperceptive manager

HR Management & the Internal Environment

The internal environmental influences of an organization (goals, organization style, nature of the task, work group, and leader's style and experience) involve characteristics and factors that are found within the organization Consider the following

An Organization Culture (Paradigms)

Organization culture refers to a system of shared meaning held by members that distinguishes the organization from other organizations The essence of an organization's culture is emitted from the firm's way of doing business, the manner in which it treats customers and employees, the extent of autonomy or freedom that exists in the departments, and the degree of loyalty expressed by employees about the organization Organization culture represents the perceptions held by the organization's employees Is there a sense of shared value? Is there a common value system held by employees? These are the kinds of questions asked to arrive at a picture of the firm's culture

Culture can have an impact on the behavior, productivity, and expectations of employees It provides a benchmark of the standards of performance among employees For example, it can provide clear guidelines on attendance, punctuality, concern about quality, and customer service

Joel Barker describes a culture as a series of values that dictate the way decisions are made and opinions are developed This collection of values and cultures are known as "paradigms "

All of us have expectations and an understanding of what the corporate culture of our organization is Sometimes, our expectations are realistic they relate well to the "real" world and what it presents to us Sometimes, our expectations are unrealistic out of ignorance of our own characteristics And sometimes, our expectations are fantasy they are imagined

How can we tell if we are relating well to the world around us? How can we make sure we update ourselves to adjust to a changing world? There are two things we can do First, we can understand the values and risks of our culture's pattern of thinking We'll call these patterns "Paradigms " Second, we can develop a process for critical evaluating these paradigms

What Are Paradigms

Adam Smith, in Powers of Mind, defines paradigms as " a shared set of assumptions The paradigm is the way we perceive the world The paradigm explains the world

to us and helps us to predict its behavior "

Joel Barker, in Future Edge, gives this definition
"A paradigm is a set of rules and regulations (written or unwritten) that does two things
(1) it establishes or defines boundaries, and
(2) it tells you how to behave inside the boundaries to be successful "

Barker goes on to provide a list of some of the things that become paradigms for us We've added a few to his list and deleted a few

Paradigms in The Workplace

- ❒ Absolutes
- ❒ Addictions
- ❒ Assumptions
- ❒ Beliefs
- ❒ Customs
- ❒ Doctrines
- ❒ Expectations
- ❒ Habits
- ❒ Laws
- ❒ Methods
- ❒ Models
- ❒ Policies
- ❒ Practices
- ❒ Predictions
- ❒ Prejudices
- ❒ Principles
- ❒ Procedures
- ❒ Regulations
- ❒ Routines
- ❒ Standards
- ❒ Systems
- ❒ Theories
- ❒ Traditions
- ❒ Values

We can conclude that paradigms are the assumptions or expectations we hold about ourselves and the world around us Paradigms are what we think and what we believe about how things work Paradigms are self-fulfilling prophecies and SFP's are paradigms

Paradigm Examples

Consider the **"law of gravity "** It certainly establishes or defines boundaries, it tells us that what is unsupported will fall We know how to behave inside this boundary in that we build buildings with strong support for the roof and we avoid jumping from high places

Consider the **theory of electricity** We use the pattern of electron flow, with resistance, to light our paths and heat our food Because we can predict the flow of electrons from source to ground, we insulate wires for our own protection and we avoid direct contact with "hot" buses or wires

Consider the use of established procedures Procedures allow different people access to a common computer system and common files by following uniform instructions Procedures demonstrate when the job is done **"right"** and when it's done **"wrong "**

Paradigms are Useful

Paradigms, as we can see, are very useful They allow us to make our lives controllable and predictable They help us to build on the past in order to make the future Paradigms provide us the power to solve problems

Paradigms are Common

All around us are sets of principles and accumulations of assumptions that we use in our lives We may not be consciously aware of them, but we encounter them and we use them At times, we are victims of them We must understand our paradigms in order to use them effectively

Our Paradigms are Different

Each of us comes into the group, the team or the organization with a unique set of paradigms We have developed our own principles, values and beliefs Our unique perspectives on situations are useful for viewing problems differently and collectively solving them

Collections or Sets of Paradigms are the Organizational Culture

When we collectively believe things and operate on these beliefs, we establish our organizational culture We collectively apply our paradigms to predict and control our own behavior and the behaviors of those around us

Paradigm Prison

Paradigms are not always good for us They may run their course and be unable to help us solve our problems But, in some cases they limit our thinking and our ability to create needed changes The can create a virtual prison It prevents us from proceeding

Paradigm Life-cycle

Barker says it this way, "Every paradigm will, in the process of finding new problems, uncover problems it cannot solve " In other words, the paradigm doesn't allow or doesn't explain the actual problem circumstances A step-by step illustration of the life cycle might include these elements

- ❒ The established paradigm begins to be less effective
- ❒ The people who are affected by the paradigm begin to lose trust in the old rules, the old ways
- ❒ Distrust in the old way increases and discontent grows
- ❒ Someone has to come up with a new paradigm that offers a solution to the problem
- ❒ If the new paradigm offers a workable solution, it gains acceptance
- ❒ The new paradigm becomes the established paradigm

Paradigm Resistance

Everyone doesn't readily accept new paradigms There are several reasons

- ❒ People who choose to accept new paradigms, especially at the early stages, will not have sufficient evidence and support for their thinking to convince everyone
- ❒ Those who are successful at a new paradigm will gain a new way of viewing the world and a new set of rules to apply to it Others won't understand this
- ❒ The new paradigm puts everyone back to zero where experience is of little value and where knowledge is only gained by experiment and new experience
- ❒ People who practiced the old paradigm, who had great advantage by knowing and practicing it well, lose much or all of their power
- ❒ Therefore, practitioners of the old paradigm will inevitably resist a change to the new paradigm

Paradigm Paralysis

People who hold strongly to their paradigms can become quite inflexible Barker calls it "Paradigm Paralysis a terminal disease of certainty " The symptoms are evident in these kinds of remarks

- ❒ That's impossible
- ❒ We don't do things that way around here
- ❒ We've tried that before and it didn't work
- ❒ It's against policy
- ❒ Get real!
- ❒ We've always done it this way
- ❒ That's wrong!

Four Key Ways We Impact Relations With Our Feelings

There are four key words which illustrate how our expectations show up in or show through our behavior They are Climate, Input, Output and Feedback Let's look at each one and examine the significance of our expectations in them

Climate

"Climate" describes the tone and mood that we set for our relationships with others It doesn't take team members long to figure out whether we are "approachable" or not

Input To Them

Team members need input from us on plans, procedures and other activities They need advice and instruction They need directions and suggestions We cannot hold back on necessary information which will help them But do we?

Output From Them

We also have to recognize the value of what others can offer We need to give them plenty of opportunity to submit ideas, suggestions and alternatives Getting them to provide information means that we have to encourage their output and accept it in a positive vein The degree to which we do will determine the response we are likely to get **How much output do we expect them to be capable of? How much do we expect to ask for?**

Feedback

Feedback to others must be provided The feedback must not only be accurate, it must be timely Interestingly enough, many people learn what we expect of them by the feedback we provide If we are reluctant to provide feedback because we believe it isn't needed, or that it will be resented, we will have given others every reason not to care simply because we **apparently** do not care If we care, **we will let them know where they stand with us**

Our Inaction Reveals Expectations

Now, if we believe that a simple solution to the problem is to avoid it by avoiding all communications, we are mistaken When we fail to interact with others, we are communicating a set of expectations anyway We are saying "You are not worthy of my time, you don't deserve my input, your output is not worthwhile, you are on your own with no feedback (positive or negative) from me " We cannot avoid communicating expectations

Exercise

Consider the impact of the following items on the Human Resources of your Organization

- Nature of the Tasks Performed
- Degree of Physical Exertion Required
- Degree of Environmental Unpleasantness
- Physical Location of Work
- Time Dimension of Work
- Human Interaction on the Job
- Degree of Variety in the Task
- Task Identity (wholeness in a job)
- Task Differences and Job Design
- Work Group

What does your organization want from it's employees?

An effective group is one whose

- ❒ Members function and act as a team
- ❒ Members participate fully in group discussion
- ❒ Group goals are clearly developed
- ❒ Resources are adequate to accomplish group goals
- ❒ Members furnish many useful suggestions leading to goal achievement
- ❒ Most effective work groups are small (research indicates that 7 to 14 members is a good range), and their members have eye contact and work closely together

An effective work group will help achieve the goals of the organization It is in the manager's interest to make the groups effective It is also in the interest of employees, because effective groups serve their members' social needs

Strategic HRM: An Important Key to Success

There is now little disagreement with the position that the HRM function is a vital contributor to the organization's mission HR managers are becoming more involved in the establishment of the strategy formulation and implementation in the organization A strategy indicates what an organization's key executives hope to accomplish in the long run There is also an intermediate and a short-term strategy position in any organization

Strong HRM leaders follow specific patterns in creating strategic HR plans There are five practices that must be incorporated into these decisions

- ❒ Leaders define the HRM role in terms of the function's participation in business decisions and in the implementation of business strategies
- ❒ Leaders focus the current resources devoted to the HRM function on important problems before they add new programs or seek additional resources
- ❒ Leaders' HR staffs initiate programs and communication with line managers
- ❒ Leaders' line management share the responsibility for HRM programs
- ❒ Leaders' corporate staffs share responsibility for human resource policy formulation and program administration across organizational levels

Strategic planning by an organization leads to informed, purposeful actions By articulating a clear common vision of what the organization exists for, now and in the future, a strategic plan provides direction and a cornerstone for making important HRM decisions The planning process when applied to HRM activities expands awareness of possibilities, identifies strengths and weaknesses, reveals opportunities, and points to the need to evaluate the probable impact of internal and external forces

How well we **Plan** will determine, for the most part, how effective we are in any of the activities we perform or that we have our personnel perform

Why Plan

There are many reasons why we must approach our job with planning We may lose sight of this if we have heard comments like this one made by one manager "A good manager is one who can jump from crisis to crisis without losing his\her footing, any fool can plan " The real fact is that good managers use planning to help them move **effectively** from crisis to crisis, **and to reduce the number of crises** which are likely to occur

Avoiding Crisis

It is very easy to slip into the "crisis mode" of managing In effect, this is "letting things happen" instead of "making things happen " It is a sign of poor managerial methods

Without an effective planning effort, we become very active in ineffective action We add fuel to the "fires" that we must put out, and we help ensure that there will be an ample supply of crises available to jump to With effective planning, we ensure that our actions will be effective When we handle crises, we keep the cost of handling to a minimum We correct some of the deficiencies in the system and we ensure ourselves enough time to think before we have to act again

Acting Effectively and Efficiently

If we want **to act effectively**, we need to **plan effectively** To achieve the objectives of our job, we must plan well Also, to achieve needed results with the most effective use of resources requires solid planning We must **plan for efficiency** to **act efficiently**

What All Plans must Include

It has been said that there are three central questions in any planning effort

Where are we now?
Where do we want to get to from here?
How do we get there?

These questions define the common elements of any planning we want to do Here's how

1 An Analysis of the Situation
2 Specific Results Expected
3 Strategy and Action Steps Needed

An Analysis of the Situation

Where we are now is of vital concern when we go to plan This means that we look over the present situation to see what the important factors are, **before** we prepare a work schedule for our next planning cycle (the length of your planning cycle will vary depending on the nature of your job) First,we must look at tasks where work is continuing and recognize the resources that are committed to these items Next, we must look at what tasks will have to be done and establish a priority for completion of these items Our view must take into account the needs of our customers, our group and the resources we have available

Our planning effort must "take stock" of where we are now The analysis of the present situation will reveal two things

- those things which are to be left alone because of continuing action or no action needed, and
- those things which need to get done or where change is needed (a plan must be developed)

Specific Objectives

Once we know where we are, we focus the planning and organizing effort on some **specific target** Why? **If we do not know where we are going, all roads will lead there!** We need to set **specific objectives or end results in the plan** We have to look ahead and decide just what it is we want to accomplish as a result of our action The objectives are the purpose of the activity

The second element of a plan is objectives They answer the questions What do we want to accomplish? and, Why? We have to **think results** each time we want to plan an action This element is absolutely essential if we are to include the third element

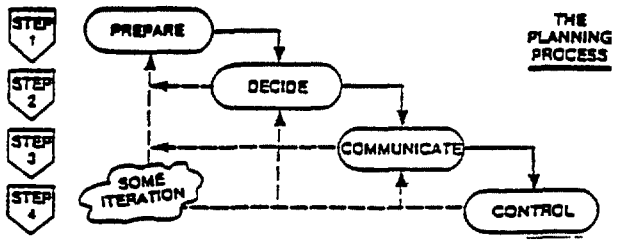
Strategy and Action Steps

We then establish **where we're going** The missing link is **how we get there** This element is where the detailed part of the planning is defined In effect, **strategy and action steps** are merely answers to the basic questions represented by, **who**, **what**, **why**, **when**, **where**, and **how**

What Is Needed?
Who Is To Be Involved?
When (What Is The Priority/The Time Frame?)
What Communications Are Needed?
What Procedures Are To Be Used?

The Planning Proces

The Planning Process is a categorization of the basic steps that we should complete in developing and implementing plans We should recognize that there are certain basic parts in the planning process for any planning task we may be working on The process can be visualized as having four basic steps



Each step is a prerequisite to the next step, and will normally be done in the sequence we see here

Prepare

The "prepare" step is the first phase of planning any effort We need to get ready to plan In other words, we need to plan our planning This means several things First, we should pin down just what the objectives are When objectives are too general or don't identify the results we are after, they provide no basis for making choices and reaching decisions In defining objectives we are determining the end results that we **want** to achieve We are developing a picture of what we would like to accomplish with our plan We are also considering the things we might accomplish "along the way "

Working Smart

Effective planning takes a lot of "smarts" in the form of personal practices and habits Let us pinpoint a good many of them as they apply to the first of the four steps in the planning process

Prepare Practices

a Set aside adequate time for planning what we want to accomplish
b Get key people involved at early stages to assure needed inputs and personal commitment to the plans
c Pin down the objectives in terms of specific end results and auxiliary objectives that are directly related to our mission
d Identify the kinds of information needed to support our plans and our INPUTS to the overall planning system
e Get somebody started at filling in the informational gaps (for example, give people in a Division plenty of lead time for an information request)
f Lay out how people will be involved in the planning activities (meetings, due dates on assignments, advance briefing, etc)
g Set time targets for completion of various phases of the planning process

h Touch base with higher management early in the process and keep them informed
i Keep others informed of project status through the planning stage

Our effectiveness in the "decide" step depends to a large extent on how well we have done the job at the "prepare" step of planning

Decide

The decide phase of the planning process boils down to making final choices and spelling out **who, what, where**, and **when** Action planning is, after all, just that! Planning is a function that produces action But the right action means looking at alternatives and weighing the likely consequences

The "decide" step of the planning process requires looking at alternative strategies, having criteria for choices, anticipating the likely consequences, and spelling out the action plan We will decide **who** is going to do **what**, **when** they are going to do it and **where**

Alternative strategies are the possible types of action which might be taken to handle a situation

Decide Practices

a Identify all reasonable alternative strategies that might be employed in achieving objectives
b Emphasize the consensus approach where personal commitment by others will be needed for the planning job itself and for implementation of the plan
c Negotiate priorities with higher management
d Keep the planning effort in focus so it does not get off the track Avoid spending time hashing over things that cannot be controlled or changed
e Document things along the way to avoid re-covering the same ground and to keep the final documentation job from becoming a monumental task
f Do not insist on the ideal solution, which may be impossible to define or not worth the extra time and effort required
g Anticipate the likely effects, both good and bad, of various strategies
h Button up the final choice, leave no loose ends, make sure everybody understands what has been decided
i Work out the necessary details on who, what, when, where, why, and how (5 W's and H)
j Brief higher management and others on alternatives that were considered and their effects (explain the rationale for the decisions)

Communicate

An action plan requires implementation Implementation depends largely on how well the plan is communicated Communicating the plan requires not only that we determine to whom the communication should go, but also which medium to use

Should a briefing be held just for organization, or should key people from other departments also be involved? If a major new project is to be launched, is a formal presentation with audio-visual aids in order? Sometimes, several communication methods need to be used For example, a written announcement or memo might be backed up with open discussion at a meeting which will stimulate two-way communication Feedback is direct and immediate Many of the methods and procedures developed and used in ASST are for communication purposes The high degree of work integration between various departments dictates structured communications However, paperwork does not always get the communication job done Personal contact is often required

Who Should We Communicate with

In communicating a plan we should ask ourselves first, "Who **has to** know?" Obviously, the people who are going to be involved in implementing the plan must have solid information In addition, we should ask, "Who **should** know?" Here is where communication oversights are most likely to occur Our own people, people in other departments not directly affected, and some of our peers, who are not specifically involved, should possibly be informed We often overlook many people who may be interested in or affected by a plan

Communicating the action plan needs to be planned There are many times, for example, when the grapevine is likely to get ahead of an official announcement How many times have we found that we have had to interrupt our own schedule and call a hurry-up meeting, answer some hectic phone calls, or get out a clarifying memo, because things have been garbled through the grapevine

The broader the scope of the plan, the more important this communicating step becomes Formal annual plans, for example, require preparation and a number of basic decisions as to format and content They also require communications in each step of the process Several steps need to be taken to communicate to the people whose involvement and understanding are essential for success

Communicating the plan itself is the third step

Communicate Practices

a Identify the audience for the plan (who needs to know, who will be directly affected, who has an interest and may react even though only indirectly affected or seemingly not affected at all)
b Develop the appropriate means and methods for communicating (formal presentations, informal briefing, audio-visual aids, etc)
c Brief the people who will be communicators at all levels Give them a chance to ask for information in light of the questions they know are bound to come up
d Look for feedback that indicates how well the plan is understood at all levels
e Keep higher management informed on the communication activities

Control

Control is the fourth and final step of planning Controls need to be planned as well as applied Basically, this means setting checkpoints in advance

Set Check Points

Checkpoints tell how plans are progressing at appropriate places and times Ideally, they give early warning of variances while there is still time to take corrective action These checkpoints are best determined during the planning step The plan should include **what** to check, **where** to check it, **when** to check it, and **how** to check it It should also include **who** will check All of these items need to be spelled out before implementation begins If we know about critical checkpoints, we should bring these up

Control Practices

a Key checkpoints are needed Make sure there will be timely feedback that spots potential problems as well as verifies progress
b Let the people who will be asked to make progress reports know when and where this will be done This prompts them to act and also avoids unnecessary resentment
c Allocate time to the problem areas where help is needed
d Follow up as planned and as has been indicated to others This keeps people in tune with priorities and expectations on the project or plan Follow-up prompts others to follow through on their part of the job
e Keep higher management informed of difficulties encountered in a plan and the need for corrective action
f Take remedial action promptly when problems are spotted
g Adapt or modify the plan as necessary to meet its objectives

Good planning includes "prepare," "decide," "communicate," and "control " Any improvements we can make in each of the steps will provide us a payoff for our planning efforts If we can improve in all four steps, our results will be even more dramatic

Planning is not easy work A lot of it is necessarily laborious Sometimes it may seem frustrating both because progress is not always steady and because the actual results are usually not immediately seen However, it is a function that applies to each of us

How People Fit in to Our Plans

People are certainly an important factor in achieving plans, but they are not the only factor Four factors are necessary for achieving results

RESOURCES = all of the facilities, equipment, materials, supplies, tools-of-the trade, finances (including cash), time, information, and people (human resources) that are needed

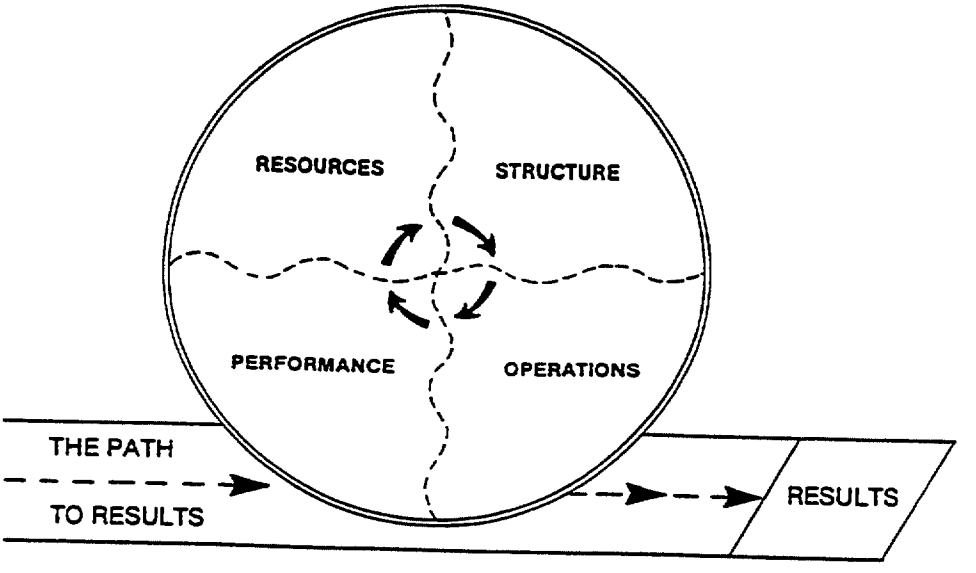
STRUCTURE = the organization's way of defining **who** is supposed to do **what**, structure also defines **when** and **where** each action is to be taken

OPERATIONS = the methods and procedures for taking action in the organization, this includes machine operations and procedurized methods of operations that people perform, **How** the work is done

PERFORMANCE = what people do

Getting the four factors together

For our operations to function effectively, we must consider all four factors together People, equipment, material, information, money and time (**resources**) have to be available and they have to be applied (**structure**) to specific functions and tasks (**operations**) Someone has to start or entirely do (**performance**) the necessary actions We can show these factors together in a simple graph



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Completion of our plans are dependent upon the four interrelated factors When everything works as it is supposed to, we tend to take the organization of these factors for granted We only tend to notice the organization when it has deficiencies which interfere with people getting the results we want

The impact of missing factors
Whenever there is a problem in one or more of the factors, we will get something less than optimum results In fact, the relationship of these items can be summarized in some simple principles

Principles Involved
There are some principles for us to keep in mind as we attempt to analyze the factors to uncover deficiencies It may help if we keep the four factors in mind as we look at these principles

a **Interdependence** We already know that the four factors are interdependent This leads us to the first principle In a stable system, **a deficiency in any one factor will cause a discrepancy in one or more other factors**

An example will illustrate If we are missing a **resource** (some input is not put in), it will either affect **structure**, the ability of a machine to function properly (operation), the **procedures** to be followed (operation), or the ability of a person to **perform** (performance)

b **Impact** Because the factors are parts to a whole, we have another principle If **a deficiency** is not corrected or compensated for, it **will produce a similar or worse deficiency in the organization's results**

For instance, if the Supervisor fails to inform a person to attend a meeting in his or her stead, the objective of having someone at the meeting to represent the Supervisor's interest will be thwarted The desired results will not be achieved

c **Ideal** In a stable organization, **the ideal way to correct a deficiency is** to completely correct the deficiency **within the factor where it exists**

The ideal way to correct a **resource** deficiency is to obtain that **resource** The ideal way to resolve a **performance** deficiency is to identify the cause of that deficiency (e g lack of knowledge) and appropriately correct it (e g training)

d **Dynamics Organizations are seldom stable** We must recognize that our organization is seldom stable It changes and shifts from moment to moment Deficiencies in one factor will trigger discrepancies in other factors and there will be backlash This simply means that we should not expect to act as if we could keep all variables constant or "all other things equal " We will have to

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choose strategies that are aimed at a moving target

e **Correction** Correction is desired over compensation However, we will not always have direct substitutes to take away the deficiency For instance, if we have an experienced person sick, we cannot always find an equally knowledgeable replacement When the piece of equipment breaks down, we may not have another immediately available We have to be realistic we can't always fix what's wrong

f **Compensation** It is likely to be necessary to compensate for the original deficiency by altering one of more other factors Compensation is possible in other elements for most situations, even though this compensation may not fully correct for the deficiency in results For instance, if there is a shortage of time (**resource**) for completing a report, we may be able to alter the **structure** by assigning additional people (who normally do not do the job) This, of course, affects their **performance** Where we did not clarify duties (**structure**) with the employee, he or she may exercise initiative (**performance**) on the questionable items, instead of letting them slip through the cracks

All of us do this sort of juggling of factors on a regular basis without giving it much thought Again, the point is we want to examine requirements necessary to achieve the results we want (Completion of our plans)

Summary:

The idea of incorporating HRM activities and plans into the organization's strategic plan to cope with changes is not new Each organization can adopt a specific form of strategy that best fits its goals, environments, resources, and people The matching of an organization's strategic plan, employee characteristics, and HRM activities is important for achieving desirable organizational end results and quality products and services

The days of viewing the personnel or HRM area as only a highly specialized and technical staff activity are over Human resources are vitally important to the firm's success, and the HRM function must be involved in all aspects of an organization's operation The end results of having quality products and/or services means that employees must be performing at an optimal level so that the overall strategy and goals can be achieved The HR unit must make everyday contributions to the organization Thus, the HRM programs must be comprehensive, adaptable with the organization's culture, and responsive to employee needs This means that management creativity and action must be exerted to match an organization's overall strategy with its HRM programs, activities, and talents

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PLANNING QUIZ

Review each of the following statements and indicate whether it is true or false by circling the appropriate letter T (TRUE) or F (FALSE)

1 Effective planning is impossible in most of our jobs because we are primarily reacting to customers and others

T or F

2 Planning is anticipatory decision-making (i e making decisions prior to any action)

T or F

3 Planning is hopeless and fruitless if it is done in spite of or contrary to the desires, objectives and policies of higher management

T or F

4 A plan must include a design or procedure for evaluating and checking on progress toward the desired objectives

T or F

5 In planning, some degree of formality (writing things down) is necessary

T or F

6 Planning is the same thing as budgeting

T or F

7 An organization like our's cannot do an effective job of planning without assigning specific planning responsibilities to a planning professional

T or F

8 Planning requires the establishment of job and goal priorities

T or F

9 Many planning efforts fail because specific time targets for completion of the various phases of the plan have not been set

T or F

10 Planning is the function of looking into the future and guesstimating what will happen

T or F

Strategic Human Resource Planning

Strategic planning refers to an organization's decision about what it wants to accomplish (its mission) and how it wants to go about accomplishing it Although HR planning is important for developing a strategic plan, it is perhaps even more critical to the implementation of that plan Thus, once the strategy is set, the HRM function must do its part to ensure the strategy's success, thereby helping the organization to achieve its objectives

There are many roles for HRM in helping the organization to implement its strategic plan For example, recruitment and selection are responsible for ensuring that the organization has the necessary kinds of skills available for accomplishing its objectives Likewise, compensation will help the organization to maintain a competitive advantage by retaining high-quality employees As a result, HRM policies must complement the strategic plan if it is going to be successful

Reasons for Human Resource Planning

All organizations perform human resource planning, either formally or informally The formal employment planning techniques are described in this chapter because informal methods are typically unsatisfactory for organizations requiring skilled human resources in a fast-changing labor market It is important to point out that most organizations do more talking about formal employment planning than actual performance Therefore, personnel and employment planning as an HRM activity is in Stage II of development, or early development

The major reasons for formal employment planning are to achieve

- ❒ More effective and efficient use of human resources
- ❒ More satisfied and better-developed employees
- ❒ More effective employment opportunity planning

More Effective and Efficient Use of People at Work

Human resource planning should precede all other HRM activities For example, how could you schedule recruiting if you did not know how many people you needed? How could you select effectively if you did not know the kinds of persons needed for job openings? Careful analysis of all HRM activities shows that their effectiveness and

efficiency, which result in increased productivity, depend on human resource planning

More Satisfied and Better-Developed Employees

Employees who work for organizations that use good human resource planning systems have a better chance to participate in planning their own careers and to share in training and development experiences Thus, they are likely to feel their talents are important to the employer, and they have a better chance to utilize them This situation often leads to greater employee satisfaction and its consequences lower absenteeism, lower turnover, fewer accidents, and higher quality of work

More Effective Planning

Many government units are increasing demands on organizations to employ citizens and become less reliant on international sources Organizations are required to maintain complete records about the flow and utilization of applicants and workers They must also be aware of the representation of employees by type in the various departments and jobs in certain locations Government and internal utilization reports are much easier to complete if there is thorough HR planning

In sum, effective human resource planning ensures that HRM activities and programs will be built on a foundation of good planning Proper planning should cut down on the number of surprises that occur involving human resource availability, placement, and orientation Not having the right person in the right place at a particular moment is a surprise and usually a problem These kinds of surprises can be reduced through effective personnel and employment planning

Who Performs the Planning?

Effectiveness in HRM activities requires the efforts and cooperation of HRM and operating managers One of the most significant factors affecting planning involves the goals of the controlling interests in the organization If planning and effective utilization of human resources are not a significant goal for the organization, employment planning will not be performed formally, or it will be done in a slipshod manner If the goals of top management include stable growth, employment planning will be less important than if the goals include rapid expansion, diversification, or other factors with a significant impact on future employment needs

Government policies are another important factor in planning Requirements for employment opportunity and promotion call for more HR planning for target groups and special categories The conditions in the labor market also have a significant impact on the amount and type of employment planning done in an organization Unemployment and the availability of skilled workers will impact many HRM functions

The types of people employed and the tasks they perform also determine the kind of planning necessary Need for unskilled employees does not have to be planned two years ahead, but computer salespersons, for example, need years of training before coming on track Planning for highly skilled employees usually requires more care and forecasting

The Expert-Estimate Technique

The least sophisticated approach to employment planning—yet the one most frequently used—is for an "expert" to forecast the employment needs based on experience, intuition, and guess The HR manager may do this by thinking about past employment levels and questioning future needs This method is an informal system The expert-estimate technique can be more effective if the experts use the Delphi technique

The Delphi technique is a set of procedures originally developed by the Rand Corporation in the late 1940s Its purpose is to obtain the most reliable consensus of opinion of a group of experts The Delphi technique consists of intensive questioning of each expert, through a series of questionnaires, to obtain data that can be used to make "educated" forecasts The procedures are designed to avoid direct meetings between the experts in order to maximize independent thinking

A person who serves as intermediary in the questioning sends the questionnaires to the experts and asks them to give, for example, their best estimates of employment needs for the coming year The intermediary prepares a summary of the results, calculating the average response and the most extreme answers Then the experts are asked to estimate the number again Usually, the questionnaires and responses tend to narrow down over these rounds The average number is then used as the forecast

A forecast by a single expert is the most frequently used approach to forecasting employment It works well in small and middle-sized enterprises that are in stable environments However, the Delphi technique improves these estimates in larger and more volatile organizations

The Trend-Projection Technique

The second technique is to develop a forecast based on a past relationship between a factor related to employment and employment itself For example, in many utilities construction related to employment needs or modification of system or grid activity will directly impact staffing needs

Trend projection is a frequently used technique, though not as widely used as expert estimate or unit demand Trend projections are an inexpensive way to forecast employment needs

The Unit-Demand Forecasting Technique

The unit (which can be an entire department, a project team, or some other group of employees) forecast is a bottom-up approach to forecasting demand Headquarters sums these unit forecasts, and the result becomes the employment forecast The unit manager analyzes the person-by-person, job-by-job needs in the present as well as the future By analyzing present and future requirements of the job and the skills of the incumbents, this method focuses on quality of workers

Usually, the manager will start with a list of the jobs in the unit by name This list will also record the number of jobholders for each job The manager evaluates both the numbers and skills of the present personnel Consideration is given to the effects of expected losses through retirement, promotion, or other reasons Whether the losses will require replacement and what the projected growth needs will be are questions the manager must answer and project into his calculations in determining net employment needs

A manager's evaluation that is based on the present number of employees has two assumptions built into it

(1) that the best use has been made of the available personnel, and

(2) that demand for the product or service of the unit will be the same for next year as for this year With regard to the first assumption, the manager can examine the job design and workload of each employee The manager may also attempt to judge the productivity of the employees in the unit by comparing the cost per product or service produced with those of similar units in this organization and in others Past productivity rates can be compared with present ones, after adjusting for changes in the job, or subjective evaluations can be made of the productivity of certain employees compared to others In addition, it may be necessary to base employment needs on work force analysis, with adjustments for current data on absenteeism and turnover

The unit analyzes its product or service demand by projecting trends Using methods similar to the trend techniques for the organization, the unit determines if it may need more employees because of a change in product or service demand Finally, the unit manager prepares an estimate of total employment needs and plans for how the unit can fulfill these needs

In larger organizations, an HR executive at headquarters who is responsible for the employment demand forecast will improve the estimates by checking with the HR and operating managers in the field If the units forecast their own needs, the HR executive would sum their estimates, then this becomes the forecast

What happens if both the bottom-up and top-down approaches are used, and the forecasts conflict? In all probability, the HRM manager reconciles the two totals by averaging them or examining more closely the major variances between the two

Steps that must be included in HR Planning

Before an organization can do an effective job of managing its human resources, it must understand its needs These needs must be carefully analyzed A structure approach to this analysis can be extremely helpful

Steps in evaluating HR needs

1. HR Inventory

An HR inventory is simply an organized collection of data on the current manpower situation Most such inventories focus on the characteristics of the people and the jobs within the organization However the inventory also includes the data related to recruiting practices, promotion, transfers, resignations and other losses, any of which have a major effect on the organization's people and its jobs

2. HR Audit

A manpower audit involves the analysis and evaluation of the results of the manpower inventory against certain predefined standards as to what constitutes sound manpower practice These standards may be derived by either statistical or judgmental means and may, in some instances, contain certain elements of both In combination with the manpower inventory, the manpower audit provides a systematic means of making a complete appraisal of the 'current state' of the organization's manpower situation Additionally, it offers a way of identifying existing manpower problems before they reach the 'crisis' stage and when opportunities to employ imaginative solutions still exist

3 HR Projections

Manpower projections are a critical part of the manpower planning process They give the forward planning of manpower its 'practicable' dimension These projections must relate to degree and sophistication of the technology required and both to the demand, or the amount and quality of manpower needed to carry out the organization's business plans, and the supply that is currently available That which can be made available within the current workforce, and that which must be recruited from elsewhere These demand and supply projections must be available both by type of job and type of person to be immediately useful in making important manpower decisions and in solving immediate and future manpower inventory problems

4. Decision Making

The most critical part of the manpower planning process is the way in which the data

and insights derived from the inventory, the audit and the projections used to develop realistic manpower objectives In a sense the manpower objectives are general statements of the new directions which the organization's manpower efforts should take Although I have no set rules for developing manpower objectives, a logical starting point is to identify the major quantative and qualitative changes required to correct existing problems and to meet the organization's future work plans effectively Once manpower targets have been established, alternative methods of achieving them can be identified

5. Feedback and Adjustment

The purpose of feedback is to make information available to management on the organization's progress toward the achievement of its manpower targets and objectives and to indicate the location of problems and the type of corrective action needed to solve them This step facilitates the modification and updating of the established manpower plan of the organization's overall general planning and review process

Specific Manpower Planning Applications

Manpower planning and analysis have application to almost every phase of an organization's activities involving people There are, however, some areas that are central to the basic task of making effective use of the organization's human resources The following seem to be the more significant of these

Staffing Levels

Staffing levels involve the evaluation and appropriateness of the number of employees in a particular unit relative to the amount and value of the production of the unit This area is central to manpower planning and one which has great deal of management interest because of its direct impact upon the company's operating efficiency and profitability Manning levels can provide a basis for

a Evaluating functional manning in the organization by comparing total manpower to appropriate standards based upon output, unit costs or other significant variables

b Evaluating manpower levels by category compared to the manning of similar operating and staff units within the same organization or in comparable organizations in other companies

c Defining the impact of such key factors as age distribution, education, training, experience, foreign language capability, and sex upon performance, productivity and profitability

d Identifying trends in key activity areas and comparing them with statistical or judgmental indices to predict the impact of changes in work load, plant expansion, product demand, etc

Talent Utilization

This relates to the effectiveness with which an organization uses the skills available to it Effective talent utilization has important implications for both manpower level and employee satisfaction Ultimately, it is the measure of the fit between an employee's qualifications and the requirements of his or her job A study of this element might include

a The measure and evaluation of the adequacy of support manpower for technical and professional staffs and the establishment of appropriate ratios over time for comparison between the functions or various elements of the organization

b An analysis of the use made of employees with scarce skills both within and outside their areas of specialization to identify particularly effective or ineffective patterns of utilization

c A comparison of the type and level of initial assignments of newly-hired employees, by educational level, prior experience, pay and output to determine how effectively and economically these new people are being utilized

Training and Career Development Planning

This is a crucial part of any manpower planning effort because the effectiveness of the future workforce is so very dependent upon the way in which the current workforce is trained and developed Within this area, manpower planning and analysis is more concerned with the construction and maintenance of effective systems for the total organization than with the training and career plans for the individual Consequently, in this area we might

a Project, on the basis of job growth, employee potential, changes in job structure, resignations and planned separations the prospective number of promotion opportunities available in the organization for specific time periods in the future

b Compare the future promotional opportunities with recent trends and with replacement plans to identify promotional surpluses and shortages in various job categories within the organization

c Develop guidelines for expected job progression by age, experience, and performance and potential ratings for typical job categories to assist in the establishment and evaluation of development plans

d Establish a series of inter-connected career paths which provide broad experiences and multiple opportunities for movement between the various functions of the organization and the upward mobility to support the secession plans

e Develop guidelines for the numbers of people needed in the key technical, professional and managerial jobs at the various salary grade levels by age, education, experience, ability and potential in order to develop appropriate succession plans for each such position within the organization

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Manpower Allocation

Manpower allocation involves the determination of the appropriate balance of talent among the various functions and subsidiaries relative to the importance of their mission and long range plans to assure that the organization is making the most economic and productive use of its human resources Manpower allocation involves some difficult judgment which management may not be prepared to make in the early stages of manpower planning Traditionally, this element is given a lower priority or sometimes ignored unless there are glaring misallocations of talent between the functions and subsidiaries Building the
element into the plan however, does allow us to

a Analyze the workforce profiles with respect to age, education, skills, performance, mobility and potential and to make comparison of our allocation of these resources between the various operating and staff functions throughout the organization
b Examine the comparative staffing and performance of selected functional units as a basis for the reallocation of resources and determining input needs

Separations

The movement of personnel out of the organization can result in the loss of critical resources thus, increasing recruiting and training costs At the same time, selective separation can be a relatively painless way of dealing with surplus manpower and creating promotional opportunities This element of manpower planning therefore, gets a lot of management attention if it helps us to

a Determine the impact of separations upon workforce quality, operating efficiency, manpower costs, succession plans, and the costs of recruiting and training replacements
b Identify supervisory practices, operating conditions, personnel policies or environmental factors having either a positive or negative influence on the separation rates of employees with critical skills who are high performers and with high potential for development
c Investigate and identify any of the key characteristics of applicants such as education, previous employment, job movement, age, status and pay as related to separations

Internal Supply of Manpower

This element covers a range of issues relating to the organization's ability to realize its current and future business plans from within its own workforce We are able to

a Identify existing manpower problems such as serious age gaps, skills shortages and education needs relative to current operating requirements and future business plans
b Compare projections of anticipated internal supply to fill key jobs to meet future requirements

c Determine the internal sources of technical and managerial skills required to staff near term projects and meet the requirements of long range business plans

Recruiting

Recruiting is a particularly important area for manpower planning because of its impact upon the quality of the organization's future workforce The administration of specific recruiting programs lies largely outside the manpower planning sphere However, the tie-in between recruiting plans, recruiting costs and recruiting results are fruitful areas for study Specific applications might include

a The development of 5-year projections of hiring needs and the definition of changes in the quality of candidates required for future expansions of the business and new technological applications

b The evaluation of recruiting results in terms of performance, potential and upward mobility of candidates as related to source, grade point average, degree, age, sex and career objectives

Specifics of Manpower Planning

Manpower Planning interprets the manpower implications of the Business Plan and identifies the skills needed and the actions required to eliminate critical manpower shortfalls as the organization moves into the future The Manpower Plan interacts with other elements of the organizations human resources management strategy and its planning processes The development and maintenance of a manpower planning system in an organization must be coordinated with the other human resources planning needs We may summarize this unit by looking at manpower planning from the perspective of Inputs, Actions Required and Critical uses

MANPOWER PLANNING

Manpower planning interprets the manpower implications of the business plan and identifies the skills needed and the actions required to eliminate critical manpower shortfalls as the organization moves into the future Thus, the manpower plan stimulates other plans and actions in recruiting, training and succession planning needed to address the projected gaps

Key Inputs

- Manpower policies and objectives
- Strategic plans
- Business plans
- Skill inventories
- Succession plans
- Turnover projections
- Retirement projections

Key Actions

- Review business forecasts
- Analyze staff utilization and productivity
- Analyze transfer, promotion and resignation history
- Review succession plans and alternatives
- Identify skill gaps and needs
- Assess age and service profiles and needs

Critical Uses

- Departmental and company plans
- Annual recruiting plans
- Manpower budget revisions
- Training objectives and priorities
- Succession plans

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Action Decisions in Human Resource Planning

After the HR planning system has analyzed both the supply of and demand for future workers, these two forecasts are compared to determine what, if any, action should be taken Whenever there is a discrepancy between these two estimates, the organization needs to choose a course of action for eliminating the gap

No matter how good the HR planning system is, an exact match between supply and demand forecasts is rare Even when overall estimates are similar, there are frequently important gaps in certain subgroups These data become inputs to facilitate decisions about training, promotion, demotion, and similar decisions

INCIDENT 1:

Currently you train new employees through a combination of in-house programs and on-the-job assignments Recently you have assigned new employees to one of your experienced employees You have told this employee to let new employees stick with him while he does his work

Lately, your experienced employee has felt like these people are a hassle and he doesn't want to be responsible for them He says he doesn't know all the things they should do

Some of the new employees seem like they have caught on well but others are not learning quickly enough Business is building and you need good people now

How will you handle this situation?

INCIDENT 2:

Jim is a Supervisor in new Maintenance He and four other supervisors report to the manager Jim's group has a record of high productivity and customers that are very complementary, but you have noticed two things you are concerned about First, Jim ties up critical people that should be available to all supervisors for assignments He doesn't allow other supervisors to use key people who should be available, he always has the "good ones" working on something This causes delays for other supervisors and their customers Second, he doesn't always do paper work the way he should In fact, normally it takes Jim three to five days after a job is completed to get the paper work done

Yesterday, Jim took people assigned to Andy so his group could complete a "rush" job When Andy confronts Jim, Jim says, "Oh, what's the worry, my job was the most important one, even you know that!" Andy is not a happy

How will you handle this situation?

What could be done to prevent this situation?

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Job Analysis and Design

Today's energy companies require a diverse mix of technical, administrative, and managerial workers to perform the complex tasks of the organization Consequently, organizations must have a systematic way for determining which employees are expected to perform a particular function or task The cornerstone of the organization is, therefore, the set of jobs performed by its employees These jobs, in turn, provide the mechanism for coordinating and linking the various activities of the organization that are necessary for success As a result, studying and understanding jobs through the process known as job analysis is a vital part of any HRM program

What is the Purpose of Job Analysis (JA)

Job analysis provides answers to questions that are critical to the successful completion of tasks performed in an organization Through this effort coordination is possible Once jobs are defined, employees can be hired and trained to conduct specific tasks Through JA the modern utility can define critical work conditions such as

- How much time is taken to complete important tasks?
- Which tasks are grouped together and are considered a job?
- How can a job be designed or structured so that employee performance can be enhanced?
- What kinds of behaviors are needed to perform the job?
- What kind of person (traits and experience) is best suited for the job?
- How can the information acquired by a job analysis be used in the development of HRM programs?

Job Analysis Vocabulary

Before discussing the specific process and techniques involved in job analysis, the language of job analysis should be learned Although many of these terms are often used interchangeably by people who are unfamiliar with job analysis, the expert will use them more precisely in order to avoid confusion and misinterpretation

The following definitions are consistent with those provided by the U S Employment Service and the U S Office of Personnel Management

Job analysis
The process of gathering, analyzing, and synthesizing information about jobs

Job description
The principal product of a job analysis It represents a written summary of the job as an identifiable organizational unit

Job specification
A written explanation of the knowledge, skills, abilities, traits, and other characteristics (KSAs) necessary for effective performance on a given job

Tasks
Coordinated and aggregated series of work elements used to produce an output (e g , a unit of production or service to a client)

Position
Consists of the responsibilities and duties performed by an individual There are as many position in an organization as there are employees Job A group of positions that are similar in their duties, such as a computer programmer or compensation specialists

Job family
A group of two or more jobs that have similar job duties

Job Dimensions
The specific behaviors necessary to perform a job

Competencies
The specific expertise an individual must possess to be competent to perform

The Steps In Job Analysis

A JOB AS A SYSTEM

Our beginning point in analysis is to look at JOBS

Jobs are More Than Responsibilities

The method of analysis we use begins on familiar ground with the idea of jobs All of us have jobs to do Our Organization hires people to do jobs Some of us get machines to do jobs We have "Job descriptions " Bosses often make job assignments All of these uses of the term "jobs" are okay for our discussion What we are going to do is learn how to analyze our jobs, the jobs of people, and the jobs of the machines that we use

Each time that we have a job to be done, we are actually recognizing two ingredients in jobs performance and results Jobs consist of some action being taken by people and/or machines in order to produce some end results In other words, we recognize that we have to have some work action in order to achieve results, we are primarily interested in having results, but we cannot have them without action (the performance)

Jobs Consist of Performance/Results

We take a large step in improving our analytical abilities merely by thinking of all jobs as a **set of performance and results** A performance/result statement will be called a **task.** If the statement is only an action or only a result, it cannot be called a task

We do have to be careful because it is quite common to fall into three easy traps 1) to think of jobs in terms of "responsibilities" or 2) to think in terms of "performance" only or 3) to think in terms of "results" only We want to think in terms of "tasks" for purposes of analyzing them To distinguish among the four terms, we will use some definitions

- ❒ **Responsibility**
  A description of why a job exists, the reasons or purpose for a job Responsibilities may be stated in terms of actions, results or traits Responsibilities usually encompass several tasks or none at all

- ❒ **Performance**
  A description of what is actually done in order to fulfill the responsibilities of a job Performance is specific behavior or action and is described with an action verb

- ❒ **Result**
  A description of the effects of performance in the job Result describes what you have after the action has been taken the product of the performance, the observable outcome

- ❒ **Task**
  A statement of a performance and its result

Our problem is to be able to segregate statements of responsibilities, performance and results For instance, a manager is **responsible** for "maintaining morale of his or her people " However, that phrase does not describe what managers do They may perform any number of actions in order to accomplish that responsibility They might "answer employee questions," "give each employee praise when it has been earned," "train employees in the skills of their jobs" and so on

Results describe the state of the situation after performance for example, "the employee has all questions answered satisfactorily," or "the employee is fully competent in all tasks for the job "

From these examples, we should be able to sort out tasks from general responsibilities and from statements which show only performance or only results Consider each of these statements and decide, whether it is a **task, results, performance or responsibility**

(1) Maintain a neat appearance
(2) Talk to customers
(3) Type all outgoing letters
(4) Complete a new account form according to procedures
(5) Think
(6) Train an operator to properly operate the computer terminal
(7) Negotiate a suitable payment plan for the delinquent account
(8) Communicate thoroughly
(9) Be honest
(10) Supervise employees

Check against these answers

(2) and (5) are performance only
(9) is a description of a state, we cannot tell if someone is honest unless we observe them doing something
(1), (8) and (10) are responsibilities Each one is very unclear about what is actually done and none of them describe outcomes or results
(3), (4), (6) and (7) are tasks, the performance and results are evident in the statements

Tasks Are Performance/Result Statements

To further help us describe tasks accurately, we can use these guidelines
Tasks answer the questions

- ❒ What are you going to do?
- ❒ What do you want to accomplish by doing it?

Tasks take time and have specific controls, standards or deadlines (Responsibilities are ongoing)

- ❒ Tasks are observable (can be seen or heard) Even where the performance is mental (e g decide) the result of the performance is observable, or it can be made observable

- ❒ Any legitimate responsibility can be broken down into the tasks which are necessary to accomplish it

- ❒ Sometimes the result of the task may be commonly understood without being stated (e g "Plant a tree" implies a series of observable results which are usually well known to persons who have that task to do

Similarly, "Copy this report for me" is the assignment of a task which implies the result, a legible copy)

Analysis Can Be Done At Three Levels

Our first step is to describe a job in terms of its tasks Tasks are performance/result statements The process of describing jobs in terms of major tasks is called Job Analysis a Job Analysis

The procedure for completing a Job Analysis is

Step 1 Select a job position, no described by a job title or job description

Step 2 List all of the major tasks that a person in the position would normally be expected to do

An example of a Job Analysis follows

Position Departmental Secretary

Tasks

- ❒ Types all outgoing correspondence
- ❒ Answers unattended phones (Handles the caller's concern)
- ❒ Prepares and/or maintains correspondence files
- ❒ Determines what office supplies are needed Orders office supplies Inventories office supplies
- ❒ Verifies budget charges
- ❒ Prepares departmental budget report
- ❒ Obtains service on office equipment
- ❒ Distributes incoming mail
- ❒ Prepares manager's correspondence (including editing)
- ❒ Arranges accommodations, facilities and travel arrangements for departmental meetings
- ❒ Maintains departmental project log

Whether or not we nil agree with this description of a departmental secretary's job is not important What is important in doing a job analysis is that

- each statement should make sense,
- each statement cannot be a broad, general statement (like, "Have good customer relations"), but specific performance needed to achieve such things as good customer relations
- each statement should represent one and only one significant task related to the job's purpose, not an insignificant task (like, "clean up your desk at night") and not multiple tasks
- all significant tasks of the job should be listed

From a complete listing of tasks (Job Analysis), we can go to the next step of our analytical process, that of Task Analysis This will be explained in the Training Guide

Job Analysis Must Include

HR managers, specialists, and managers in general know that job analysis has many uses Some of these individuals now believe that there is no longer even a choice about whether job analysis should be conducted All job analysis must include an analysis of the important work behaviors required for successful performance Any job analysis should focus on work behavior(s) and the tasks associated with them

A good job analysis will have to provide the following if it is going to achieve the desired results

1 It should yield a thorough, clear job description
2 The frequency and importance of task behaviors should be assessed
3 It must allow for an accurate assessment of the knowledge, skills, abilities, and other characteristics (KSA) required by the job
4 It must yield information about the relationship between job duties and these KSAS That is, it must clearly determine which KSAS are important for each job duty In addition to helping organizations satisfy their legal requirements, job analysis is intricately tied to HRM programs and activities

Who Should Conduct Job Analysis

Regardless of who collects the information, the individuals should thoroughly understand people, jobs, and the total organizational system They should also have considerable knowledge about how work is expected to flow within the organization

At an even more general level, the job analyst needs to understand how HRM fits into

the overall structure and mission of the organization There is a growing acknowledgment of the need to match human resource activities with an organization's strategic planning Modern organizations must learn to adapt and be willing to change when necessary The very nature of the jobs performed by employees might have to change as a part of this adaptation process Thus, in many cases, job analysis should not be seen as a "snapshot" of the job but must also be able to predict what the job will look like in the future Therefore, the job analyst cannot just be knowledgeable about the current nature of the job Strategic information about the organization's plan for the future is also essential

Organizational Charts

The job analyst has to select the best methods and procedures available to conduct the job analysis However, even before this selection is made, an overview of the organization and jobs is required An overview provides the job analyst with an informed picture of the total arrangement of departments, units, and jobs

An organization chart presents the relationship among departments and work units The line functions (the individuals performing work duties) and staff functions (the advisers) are spelled out

A typical organization chart for a utility shows the vertical levels in the organization and the various departments It provides the job analyst with a general picture of what departments exist and the hierarchy and formal communication networks in the organization Emphasis is placed on the word general A chart shows the way the organization is supposed to be arranged The actual arrangement of the organization and the flow of communication are often different from the plan on the chart However, even a partial view aids in forming a broad conception of the organization

Process Chart

A process chart shows how a specific set of jobs are related to each other A job analyst would be interested in the flow of work to and from the performer in a process With the help of organization and process charts, the job analyst should be able to begin identifying which specific job analysis techniques will be most suitable An analysis of a managerial position may, for instance, require using different procedures and sources of information than an analysis of a semiskilled labor position In addition, the purpose and focus of the analysis will help to determine which data collection technique should be utilized

Compensation and Salary Administration

Compensation is the HRM function that deals with every type of reward that individuals receive in return for performing organizational tasks It is basically an exchange relationship Employees exchange their labor for financial and nonfinancial rewards Financial compensation is both direct and indirect Direct financial compensation consists of the pay an employee receives in the form of wages, salary, bonuses, and commissions Indirect financial compensation is called benefits and consists of all financial rewards that are not included in direct financial compensation Typical benefits include vacation, various kinds of insurance, and so on

Non-financial Rewards

Nonfinancial rewards like praise, self-esteem, and recognition although not discussed in this text are also factors that affect employee satisfaction with the compensation system Levels of employees' productivity can be related to nonfinancial rewards as well A more comprehensive study of compensation would include a special section on nonfinancial rewards

HRM & Compensation

Compensation is one of the most important HRM functions for the employer, too Compensation often equals 50 percent of the cash flow of an organization, and, for some service organizations, it is an even larger percentage It may be the major method used to attract employees as well as a way to try to motivate employees towards more effective performance Compensation is also significant to the economy For the past 30 years, salaries and wages have equaled about 60 percent of the gross national product of the United States and Canada

Historically, compensation systems including benefits management have been concerned with ensuring that people were equitably paid, that wage rates were competitively set, and that benefit plans were appropriately administered Since the cost of labor is so high, there is increased pressure to maximize the payoff from each dollar invested in employee compensation and benefits

An organization's Compensation and Salary System is designed to provide a coherent and consistent grade structure and salary system across the functions of the organization Compensation generally means what the organization is giving something in exchange for the work done by the employees In order to run our business successfully we need to establish such levels and systems of compensation that will enable us to attract retain and motivate well qualified and productive employees At the same time, we must avoid increasing the costs of operations to an unacceptable level

What's In It For Me (WIIFM)

From the employee's point of view, pay is a necessity in life It's What's in it for Them " The compensation received from work is one of the chief reasons people seek employment Pay is the means by which they provide for their own and their family's needs For people with instrumental attitudes toward work, compensation may be the only (or certainly a major) reason why they work Others find compensation a contributing factor to their efforts Pay can do more than provide for the physiological needs of employees, however What a person is paid indicates his or her worth to an organization

The Impact of Compensation

The essential determinants of satisfaction with the compensation system in any organization have been summarized by Edward E Lawler III, who states in his article, "Worker Satisfaction, Job Design and Job Performance" that each employee completes a pay satisfaction equation for himself or herself Pay satisfaction, according to Lawler, "is basically determined by the difference between pay and the person's belief of what their pay should be " If employees find themselves with substantially similar duties and responsibilities as co-workers who, because of seniority or education, have higher paying job classifications, they typically are going to be dissatisfied with their pay

The Impact of Dissatisfaction

Research has shown that pay dissatisfaction leads directly to restrictions on quality and quantity of work produced Inequities inhibit the organization in accomplishing its mission as efficiently as possible Yet this is precisely the case when arbitrary time-in-grade requirements are used as the basis for pay rather than job worth in terms of quality and quantity of productivity and level of responsibility

What are your thoughts on compensation? To provide a framework for our further discussion of this subject, let's define for your organization's "key characteristics for its compensation system"

Objective of Compensation

The objective of the compensation function is to create a system of rewards that is equitable to the employer and employee alike The desired outcome is an employee that is attracted to the work and motivated to do a good job for the employer Compensation should be

- ❒ Adequate Minimum governmental, union, and managerial levels should be met
- ❒ Equitable Each person should be paid fairly, in line with his or her effort, abilities, and training
- ❒ Balanced Pay, benefits, and other rewards should provide a reasonable total reward package
- ❒ Cost-effective Pay should not be excessive, considering what the organization can afford to pay
- ❒ Secure Pay should be enough to help an employee feel secure and aid him or her in satisfying basic needs
- ❒ Incentive-providing Pay should motivate effective and productive work

- Acceptable to the employee The employee should understand the pay system and feel it is a reasonable system for the organization and himself

Compensation Decisions and Decision Makers

Pay can be determined absolutely or relatively Some people have argued that a pay system set by a single criterion for a whole nation or the world (that is, the absolute control of pay) is the best procedure Since absolute pay systems are not used, however, the pay for each individual is set relative to the pay of others Pay for a particular position is set relative to three groups These are

- Employees working on similar jobs in other organizations (Group A)
- Employees working on different jobs within the organization (Group B)
- Employees working on the same job within the organization (Group C)

Both general managers and HR specialists are involved in making compensation decisions Top management makes the decisions that determine the total amount of the firm's budget that goes to pay, the pay form to be used (time pay versus incentive pay), and other pay policies Top management also sets the pay strategy, that is setting the firm's compensation higher than, lower than, or equal to competition

Exercise

Spend about ten minutes noting what you consider to be the key characteristics of the compensation system for your organization One of the characteristics you should consider is, "is the system seen as fair by employees" After you have noted your list of characteristics we will discuss these items

Key Characteristics in a Compensation System

Let's add some items some have already in visioned Is your organization's system

- Fair
- Defensible
- Distinguish between HIGH and LOW performers
- Provide Motivation
- Reward Additional Responsibility
- Easy to Administer
- Accepted by Employees
- Competitive in the Market
- Flexible
- Supportive to Other Human Resources Management Programs

We can conclude that these are the Basic Principles that should be followed in setting an organization's salary policy Now, what elements can we, or must we, build into a compensation system to achieve these principles?

Job Design

A very basic item in our organization of work in industry and government is the grouping of tasks into what we refer to in human resources management as jobs The systematic process of doing this is called job design Job design is the pre-determination of the activities to be performed, including the duties, tasks and job responsibilities to be carried out, the equipment, machines and tools to be used, and the required interactions with others In most organizations, these activities have not been very clearly defined in advance In general, both the job content and job responsibilities grow out of someone doing the job over a period of time

If this process of job design has not taken place, then the job specifications needed to provide the guidance for recruiting someone qualified to do the new job are not available This results in an assumed specification which is based upon either an inaccurate or incomplete definition of the activities to be performed

Job Analysis

In most organizations the salary system is applied on the basis of an analysis that is done after the job becomes fully operational This process is referred to as job analysis A job analysis is the systematic investigation required to define the job content, the physical environment in which the job is performed, and the minimum qualifications needed to do the job effectively

The categories of information usually obtained in a job analysis includes

- What activities are performed
- How they are performed
- In what sequence they are performed
- Why they are performed
- The machines used
- The tools used

- The equipment used
- With whom and for what purpose the incumbent must interact
- The physical and social working conditions
- The education, training, skills and abilities required

Creating a Job Description

All of the facts recorded and summarized in job analysis are put into a formal document called a job description or position description The label used on the job description is called the "job title"' Petroleum Engineer, Power Distribution Specialist and Secretary are examples used in industry and government Job descriptions usually define the qualifications needed to perform the job effectively These qualifications are called job specifications and are used as the minimum standards for the recruiting, selection and promotion processes

The job description is also the basic document used in the job evaluation and the fob classification elements of the compensation system

Job Evaluation

Job Evaluation, is a systematic procedure to determine the relative worth of jobs in a particular organization Basically, job evaluation involves gathering information about jobs and then comparing them, using specially constructed scales The result of this comparison is a hierarchy of jobs based on the extent to which each job contributes to the organizations effectiveness The hierarchy is used to establish and justify different levels of pay for the various jobs in the organization

There is no easy, precise way to determine the exact contribution that each job makes to overall effectiveness A key concern in job evaluation is to identify job factors that are considered to be of value and to determine systematically the degree to which each is present in each job As an example, in the worksheet which you have just completed on your Secretaries job Language Fluency is considered to be of value in clerical jobs Responsibility, level of contacts made, typing skill and working conditions are factors that are commonly considered appropriate for determining the relative worth of jobs

Techniques Used to Evaluate jobs

There are various evaluation techniques that are widely used today Among the most popular are the point system, the factor comparison system, and the ranking method However, the results of any job evaluation, regardless of the technique used, must lead to a classification of each job into its proper place in the organizations salary structure
The salary structure provides the frame-work within which the individual salaries are administered

Job Evaluation

Job evaluation is intended to determine the relative worth of a job A systematic comparison of the worth of one job to another eventually results in the creation of a wage or salary hierarchy

Job evaluation is the formal process by which the relative worth of various jobs in the organizations is determined for pay purposes Essentially it attempts to relate the amount of the employee's pay to the extent that her or his job contributes to organizational effectiveness

It is not always easy to determine the worth of all jobs in an organization The fact is that job evaluation involves making judgments that are subject to errors on the part of job evaluators Since computing exactly how much a particular job contributes to organizational effectiveness is difficult, proxies for effectiveness are used These proxies include skills required to do the job, amount and significance of responsibility involved, effort required, and working conditions Compensation must vary with the differing demands of various jobs if employees are to be satisfied and if the organization is to be able to attract the personnel it wants Job evaluation is widely used The reasons for using job evaluation include

- To establish a systematic and formal structure of jobs based on their worth to the organization
- To justify an existing pay structure or to develop one that provides for internal equity
- To provide a basis for negotiating pay rates when a firm bargains collectively with a union
- To identify to employees a hierarchy of pay progression
- To comply with equal-pay legislation
- To develop a basis for a merit or pay for performance program

Involving Job Holders in a Program

Once an organization decides to use job evaluation, a series of decisions must be made to ensure its effectiveness The first step in using it effectively, is for management to involve employees in the system and its implementation **Most experts** emphasize that job evaluation is a difficult task that is more likely to be successful if the employees whose jobs are being evaluated are involved in the process Employees should be allowed to express their perceptions of the relative merits of their jobs compared to others This participation affords an opportunity to explain the fairly complicated process of job evaluation to those most directly affected by it, and it will usually lead to better communication and improved employee understanding

The Job Evaluation Committee

After the program is off to a cooperative start, usually a committee of about five members evaluates the jobs Ideally, the committee includes employees, managers, and HR specialists All members should be familiar with the jobs to be evaluated

Job evaluation is usually performed by analyzing job descriptions and, occasionally, job specifications Early in the process, it is imperative that job evaluators check the availability and accuracy of the job descriptions and specifications It is usually suggested that job descriptions be split into several series, such as managerial, professional/technical, clerical, and operative It makes sense in writing job descriptions to use words that are keyed to the job evaluation factors

Another essential step in effective job evaluation is to select and weigh the criteria (compensable factors) used to evaluate the job Although there is not a lot of research in this area, it appears that the results are the same whether all factors or just a few factors are considered, especially

if the job evaluation is carefully designed and scaled Typical of the most frequently used factors for job evaluation are education, experience, amount of responsibility, job knowledge, work hazards and working conditions It is important that the factors used be accepted as valid for the job by those being evaluated

Once the method of evaluating the job is chosen, the evaluators do the job evaluations Basically, those familiar with the jobs tend to rate them higher, especially if they supervise the jobs It seems useful for each committee member to evaluate each job individually Then the evaluators should discuss each job on which the ratings differ significantly, factor by factor, until agreement is reached

Common Evaluation Methods

The four most frequently used job evaluation methods are

- Job ranking
- Factor comparison
- Classification
- The point system Job evaluation systems

Ranking of Jobs

The system used primarily in smaller, simpler organizations, is the ranking of jobs Instead of analyzing the full complexity of jobs by evaluating parts of jobs, the job-ranking method has the evaluator rank-order whole jobs, from the simplest to the most challenging

Sometimes, this is done by providing the evaluator with the information on cards The evaluator sorts the jobs into ranks, allowing for the possibility of ties If the list of jobs is large the paired-comparison rankings, whereby each job is compared to every other job being evaluated, can be used The evaluator counts the number of times a particular job is ranked above another, and the one with the largest number of first rankings is the highest ranked There is no assurance that the ranking thus provided is composed of equal-interval ranks The differential between the highest job and next highest job may not be exactly the same as that between the lowest and next lowest If the system is used in an organization with many jobs, it is clumsy to use, and the reliability of the ratings is not good Because of these problems, ranking is probably the least frequently used method of job evaluation

Classification or Grading System

The classification or grading system groups a set of jobs together into a grade or classification Then these sets of jobs are ranked on levels of difficulty or sophistication It is a job-to-standard comparison, which solves many of the problems of simple job ranking First, the job evaluator decides how many categories or classifications the job structure has to be broken into Typically, there are around 8 with the number varying from 5 to 15 The most publicized example of a classification system is the United States Office of Personnel Management General Schedule It has 18 grades with 10 pay steps within the pay grades This classification system is used for making compensation decisions for over 3 million federal employees

The second step is to write definitions of each class The definitions provide the production standards upon which the compensation system will be built Once the classes are defined, jobs to be evaluated are compared with the definitions and placed into the appropriate classification

This method of job evaluation provides specific standards for compensation and accommodates any changes in the value of individual jobs A job classification system can be constructed quickly, simply, and cheaply It is easy to understand and easy to communicate to employees Classification does have drawbacks, however It is more detailed than job ranking, and it is assumed that there is a rigid relationship between job factors and value As a result, especially in large firms, jobs are forced to fit into categories that are not entirely appropriate Feelings of inequity can result Deciding how many classifications there should be is also a problem If there are too few classes, it will be difficult to differentiate job value and resulting wage levels Too many classes make writing definitions almost impossible

The Point System

The greatest number of job evaluation plans use the point system It is the most frequently used because it is more sophisticated than ranking and classification systems and it is relatively easy to use

Essentially, the point system requires evaluators to quantify the value of the elements of a job On the basis of the job description or interviews with job occupants, points are assigned to the degree of various compensable factors required to do the job For example, points are assigned based on skill required, physical and mental effort needed, degree of dangerous or unpleasant working conditions involved, and amount of responsibility involved in the job When these are summed, the job has been evaluated

Many point systems evaluate as many as 10 aspects or sub aspects of each job The aspects chosen should not overlap, should distinguish real differences between jobs, should be as objectively defined as possible, and should be understood by and acceptable to both **management** and employees Because all aspects are not of equal importance in all jobs, different weights reflecting the relative importance of these aspects to a job must be set These weights are assigned by summing the judgments of several independent but knowledgeable evaluators Thus, a clerical job might result in the following weightings education required, 50 percent, experience required, 25 percent, complexity of job, 12 percent, responsibility for relationships with others, 8 percent, working conditions and physical requirements, 5 percent

Once the weights are agreed upon, reference to a point manual is appropriate Experience required by jobs varies, as does education A point manual carefully defines degrees of points from first (lowest) to fifth, for example Experience might be defined in this way
These definitions must be clearly defined and measurable to ensure consistency in ratings of requirements from the job description to the job evaluation The preliminary point manuals must be pretested prior to widespread use

An advantage of the point system is that it can be easily interpreted and explained to employees On the other hand, it is a time-consuming process to develop a point system

Factor Comparison

The factor comparison method was originated by Eugene Benge Like the point system, it permits the job evaluation process to be done on a factor-by-factor basis It differs from the point method in that jobs are evaluated or compared against a "benchmark" of key points A factor comparison scale, instead of a point scale, is used Five universal job factors used to compare jobs are

- Responsibilities The money, human resource, records, and supervisor responsibilities of the job
- Skill The facility in muscular coordination and training in the interpretation of sensory requirements
- Physical effort The sitting, standing, walking, lifting, moving, and so on
- Mental efforts The intelligence, problem solving, reasoning, and imagination
- Working conditions The environmental factors such as noise, ventilation, hours, heat, hazards, fumes, and cleanliness

The evaluation committee follows six formal steps in examining jobs

First, the comparison factors are selected and defined The five universal job factors will be used in working through an example Factors, of course, could differ across executive, supervisory, and operating employee jobs

Second, the benchmark or key jobs are selected These are common jobs found in the organization's labor market Often a committee is used to select from 10 to 20 benchmark jobs

Third, the evaluators rank the key jobs on each of the compensation factors The ranking is based on job descriptions and job specifications

Fourth, job evaluators allocate a part of each key job's wage rate to each job factor The proportion of each wage assigned to the different critical factors depends on the importance of the factor Each evaluator first makes an independent decision Then the committee or group of evaluators meets to arrive at an apportionment consensus about assigning money values to the factors

Fifth, the two sets of ratings (the ranking and assigned wage), are compared to determine the evaluator's consistency

Sixth, a job comparison chart displays the benchmark jobs and the money values each job receives for each factor The chart is used to rate other jobs as compared to the benchmark jobs These jobs would be placed in an appropriate position in the chart

The factor comparison method has some advantages and disadvantages One advantage is that it is a step-by-step formal method of evaluation Furthermore, it permits you to see how the differences in factor rankings translate into dollars and cents Probably the most negative aspect of the factor comparison method is its complexity Although the method is easy to explain to subordinates, it is difficult to show them how such a system is developed There is also the issue of subjectivity Despite the systematic nature of the factor comparison method, it still relies on a committee or a group of evaluators' subjective judgment Of course, subjectivity is also a

problem with each of the other job evaluation methods

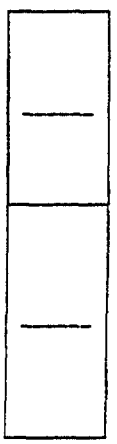
Pay Classes, Rate Ranges, and Classifications

After completion of the job evaluation, the pay-structure process is completed by establishing pay classes, rate ranges, and job classifications A pay class (also called a pay grade) is a grouping of a variety of jobs that are similar in terms of work difficulty and responsibility If an organization uses the factor comparison or point system of job evaluation, this is accomplished by use of pay-class graphs or point conversion tables

Salary Calculations

Salary Ranges

The range spread between the minimum and the maximum salary of a particular group is intended to permit the organization to reward the employee for both individual performance and for the experience gained within a single group Typically, the range spread is a local policy decision but normally is around 40% to provide the flexibility to reward merit and experience



Checkpoints	Type of Employee Who Should Be Paid at This Level	Top Rates For Various Performance Levels
MAXIMUM		Top rate to be paid holders of jobs in this grade (to be paid only to outstanding employee)
4th Quartile	Employees whose performance is consistently outstanding sustained over extended period	Top rate to be paid above expected employee
3rd Quartile	Employees whose performance is well above expected level sustained over extended period	Top rate to be paid acceptable employee
MIDPOINT (Competitive Average)	Employees whose performance is marginally acceptable or those who have acceptable performance who are still learning the remainder of the job	Top rate to be paid marginal performers
2nd Quartile	Employees whose performance is unacceptable or very new (minimally qualified) employees who are clearly in a learning capacity in the job	Typical hiring rate
1st Quartile		
MINIMUM		

As you see the salary groups overlap which permits an experienced employee in a lower level position to receive a salary at, or above the level of that received by an inexperienced employee in a higher classification group If in our administration of the salary system, we have done an effective job in our evaluations and job classifications, we should have achieved our basic objective of a fair and equitable salary system for our organization

The only piece of the salary administration job that remains, is that of looking at our structure in terms of how it measures up against our competition in the labor market In an industrial organization we normally do this by periodically participating with other companies in comprehensive salary surveys In these we collect salary data on "bench mark", or key, jobs in each salary group in from fifteen to twenty comparable organizations These data enable the

survey team to establish the midpoint of the ranges and thus, each participating organization can check their current salary structure against the new norms and make any adjustments that might be dictated by current salary policy

In many government agencies a similar process, managed by one of the government departments, usually the department of personnel, is done periodically to assure pay equity across the government

Compensation and Employee Performance

Increasing payroll costs of the 1990s and competition in the global marketplace have caused managers throughout the world to search for ways to increase productivity by linking compensation to employee performance High performance requires much more than employee motivation Employee ability, adequate equipment, good physical working conditions, effective leadership and management, employee health, safety, and other conditions all help raise employee performance levels But employees' motivation to work harder and better is obviously an important factor A number of studies indicate that, if pay is tied to performance, the employee produces a higher quality and quantity of work

Not everyone agrees with this—some researchers argue that if you tie pay to performance, you will destroy the intrinsic rewards a person gets from doing the job well Intrinsic rewards are powerful motivators too, but the research on them has been limited to only a few studies The importance of money to employees varies among individuals If the organization claims to have an incentive pay system and in fact pays for seniority, the motivation effects of pay will be lost The key to making compensation systems more effective is to be sure that they are directly connected to expected behaviors

In sum, theorists disagree over whether pay is a useful mechanism to increase performance Because of individual differences in employees and jobs, it seems more fruitful to redirect this research to examine

(1) The range of behaviors that pay can affect positively or negatively,
(2) The amount of change pay can influence,
(3) The kind of employees that pay influences positively and negatively, and
(4) The environmental conditions that are present when pay leads to positive and negative results

It can be said that performance-based compensation programs are viewed by organizations as anything from a miracle cost-reallocation process to a time-consuming waste of resources All of these views have merit In order to implement such a program, it is paramount that managers keep in mind that the overall goal of a performance-based compensation system is to develop a productive, efficient, effective organization that enhances both employee performance and motivation The pay for performance program must, therefore, be driven by performance-oriented systems and processes rather than by the organization's compensation system and processes

The point is that, although compensation in the form of pay for performance has intuitive appeal, it is extremely difficult to perfectly fit a pay for performance system together A realistic and achievable performance-based compensation system can be implemented if it is based on a five-

phase performance cycle The five phases are

1 Information sharing Development of an open communication between the supervisor and his or her employees
2 Performance contracting The goals of each broad area of job accountability and specific measures of performance must be discussed and mutually agreed upon Performance measures must be relevant, specific, controllable, obtainable, and practical
3 Performance reinforcement The supervisor must periodically evaluate the employee's performance and give feedback so that behaviors can be adjusted before the annual performance evaluation
4 Periodic performance evaluation Actual achievement is compared with the goals set in phase 2 above The performance evaluation should focus on actual job performance, review of relevant accountabilities and performance measures, and actual achievement of these goals
5 Performance recognition Inform the employee immediately of the recognition (monetary and/or non-monetary) that result **from the review of his or her performance during the last review cycle**

Management's Special Obligation in Pay for Performance

Developing a system that shows employees that pay is tied to performance requires a number of managerial skills

- First, managers must be able to allocate pay on the basis of merit Any merit pay increase must be meaningful, not a token, if it is to be motivational

- Second, managers must be willing to specifically discriminate among subordinates, in terms of rating and rewarding performance

- Third, the manager must communicate the pay system at the time of employment in terms of initial pay, expected long-term pay progressions, and pay adjustments This information should be communicated by the manager, who also informs the employee what performance levels are required to obtain the pay increases

- Finally, managers must have the ability to discuss the pay for performance linkage with subordinates

One reason why organizations have failed to tie pay to performance for their employees is that it requires quite a bit of effort and commitment by management Overcoming resistance to change is quite difficult A more simplified strategy is to conduct business as usual or not to work on creating a pay for performance perception among subordinates

The Need for an Equitable System

The first step in the direction of creating a pay for performance work culture is to develop performance evaluation systems that are considered equitable, meaningful, and comprehensive by both managers and employees When pay rewards cannot be linked to measurable performance, management has a problem That is, if performance measures are poorly

developed, employees will have difficulty perceiving the connection between pay and performance Thus, if compensation is to have any influence on motivation, it is extremely important to develop accurate measures of performance

Linking pay to performance has become simpler than was originally thought due to computer technology Modern spreadsheet programs used on personal computers have made it possible to take performance evaluation ratings and directly transform them into projected pay increases These pay increases can be costed out accurately and subsequently tied to the firm's overall financial strategy Note, however, that this linkage is predicated on a performance evaluation system that is in place and is adequately communicated to and accepted by employees

Compensation and Salary Administration

Compensation and salary administration provides a coherent and consistent grade structure and salary system across the functions of the organization

Key Inputs Policy and Pay Orientation

- Job descriptions
- Job grading system
- Job classification system

Key Actions

- Review responsibilities
- Review job specifications (incumbent's
- qualifications)
- Review span of control
- Review reporting structure
- Compare comparable positions
  - Within
  - Outside

Critical Uses

- Manpower plan and budget
- Establishing new positions
- Setting grades and salary scales
- Organization planning
- Career planning
- Job rotations
- Limits of authority guidelines

Hiring the Right Employees

Selection is the process by which an organization chooses from a list of applicants the person or persons who best meet the selection criteria for the position available, considering current environmental conditions Although this definition emphasizes the effectiveness aspect of selection, decisions about whom to hire must also be made efficiently and within the boundaries set forth in any political setting Thus, there are actually multiple goals associated with an organization's selection process

At a basic level, all selection programs attempt to identify the applicants who have the highest chance of meeting or exceeding the organization's standards of performance In this case, however, performance does not refer simply to quantity of output It can also involve other objectives such as quality of output, absenteeism, theft, employee satisfaction, and career development

The Internal Environment

The nature of the organization doing the selecting affects the process it uses The private sector may use a set of standards developed to identify the "best" candidate This would be a candidate who possesses the specific KSA for the job and/or demonstrates the competencies required for the given job Selection in some political settings does not favor the most qualified candidate Instead, candidates can be selected on the basis of political patronage or family standing The patronage system gives jobs to those who have worked and supported political units

Nature of the Labor Market

The second circumstance affecting the selection process is the labor market within which the organization must function A large supply of applicants can significantly complicate the selection decision since the organization has many people from which to choose When there are relatively few applicants, the decision can actually be quite simple However, a limited supply of applicants can also reduce the overall effectiveness of selection decisions and increase the training required to produce competent workers

Those who work in human resource management evaluate the effects of the labor market on selection decisions by using a selection ratio

Selection ratio = (number of applicants hired)/(total number of applicants)

When the selection ratio gets close to 1 1, it is called a high selection ratio Under these circumstances, the selection process is short and unsophisticated, although it may not be effective As the number of applicants increases relative to the number who are hired, the selection ratio is said to be low With a lower selection ratio for example 1 2, the process

becomes more detailed A ratio of 1 2 also means that the organization can be more selective in its choice than when the ratio is 1 1 It is, therefore, more likely that employees who fit the organization's criteria for success will be hired It is also likely, however, that the organization will have to invest more time and money in the select **ion decision when the ratio is 1 2**

The Immediate Environment and Selection

Operating managers view the selection process differently that HRM In some departments, a high-performing employee may be someone who is rarely absent, in other departments, the key aspect of employees' overall performance may be their accident rates Thus, while it is HRM's responsibility to set selection objectives, these will not always correlate perfectly with optimal levels of performance for all operating units

Matching Candidates with Jobs

At the core of an effective selection process is an identification of the abilities, skills and knowledge as well as other personality characteristics necessary for performance The goal of selection is, therefore, to match applicant characteristics to job requirements Job analysis plays a crucial role in this matching process Conducting effective pre-employment interviews also has a major impact on the employment process Up-to-date job specifications are essential for determining what kind of an applicant the organization should hire

Selection Criteria

If a selection program is to be successful, the employee characteristics stated in the job specification must accurately summarize what is necessary for effective performance on the job This is where the role of job analysis in selection becomes most apparent since an accurate list of characteristics can only be generated after the organization has conducted a thorough job analysis The criteria typically used by organizations for making selection decisions can be summarized in several broad categories education, experience, physical characteristics, and other personal characteristics

Basically, the characteristics listed in the job specification should describe current employees who have performed well in the position to be filled If this list of desired characteristics is too long, however, it may be impossible to find an applicant meeting all of the selection criteria On the other hand, without a list of criteria, it is quite likely that many of the wrong kinds of persons will be hired An effective selection process needs to find a compromise between these two extremes, using the most critical criteria for making the actual selection decisions

Characteristics or Dimensions List

Achievement Orientation
Focuses energy toward task and goal accomplishment and is accountable for own actions and their consequences

Analysis
Identifies key issues and relevant, cause-effect relationships from a base of information

Customer Orientation
Identifies and anticipates customer wants and needs and takes action to ensure customer satisfaction

Decision Making
Makes decisions in a timely manner, with appropriate involvement, reflecting sound, logical judgment on the facts and constraints

Delegation/Development
Uses the human resource effectively by developing all employees to their full potential and by delegating tasks to the appropriate level

Ethics
Aligns oneself to act ethically and morally in all circumstances, while understanding and promoting the value of diversity in employees

Flexibility
Maintains effectiveness in changing circumstances by adapting style and managing change

Information Gathering
Asks appropriate questions and actively listens in order to solicit and understand information needed for decisions or problem solving

Interpersonal
Establishes and maintains appropriate relationships by courage and sensitivity in assertive, cooperative behaviors

Leadership
Works with individuals to create and achieve the shared vision of the organization through commitment

Measurement/Control
Establishes effective measurement and feedback methods to ensure result achievement and continuous process improvement

Negotiation
Secures win-win agreements on decisions and courses of action by successfully managing agreement and conflict

Oral Communication

Expresses ideas clearly in individual and group situations by appropriate verbal and nonverbal methods

Organizing

Uses the structure, authority, strategies, resources and systems of the organization or position for efficient goal accomplishment

Participation

Works productively with other people to define and achieve group goals, with cooperative and congenial relationships

Performance Management

Provides pertinent feedback to others while recognizing desired performance and correcting the deficiencies c/es

Personal Productivity

Manages time and resources in appropriate priorities to ensure task accomplishment as well as timely team contributions

Persuasiveness

Uses appropriate persuasive strategies and tactics to gain understanding, acceptance or agreement on ideas and plans

Planning

Translates vision and goals into relevant objectives and accomplishable plans of action for self and/or others

Presentation

Presents ideas effectively in formal settings, including public speaking and the appropriate use of audio-visuals and demonstrations

Proactivity/Innovation

Employs originality, imagination and creativity to make unsolicited improvements and to solve novel problems

Problem Solving

Identifies, analyzes and resolves problems with actions that prevent their recurrence and/or reduce their negative impact

Self Development

Identifies own strengths and weaknesses and learns new knowledge and skills to increase value to self and organization

Specialized Knowledge

Uses relevant specialized/professional knowledge to make technically correct decisions about operations and processes

Stress Management

Maintains spiritual, mental and physical wellness to cope successfully with predictable life and Job occurrences

Systems Thinking

Gathers information from stakeholders inside and outside the organization and ensures that decisions and actions impact them appropriately

Team Leadership

Leads teams to accomplish team tasks and goals by facilitating, partnering and synergizing

Written Communication

Expresses thoughts, ideas and facts in writing to convey understanding
and to provide effective documentation

The Recruiting Effort

Recruitment is the process of finding qualified candidates for existing and anticipated vacancies in an organization and encouraging those selected to accept a job offer
Selection is the process of choosing, from among the qualified candidates, those that will be offered employment

Developing a Recruiting Plan

Each year, an organization must create a Recruiting Plan This plan is used as an outline of the annual program to secure needed skills at the appropriate level It also provides key input to the HR plan, the career development system and the training plan In addition, once proper resources are identified, resources can be allocated based upon the needs of the various departments, or functions, of the business The objective is to maintain an appropriate balance of talent across the entire organization

Recruiting & Selecting the Right Employees

Recruiting and selection together, are two facets of human resources management that supply the life blood of the organization Manning is the process required to assure that the "life blood", or talent supply available to the organization reaches all parts of its "body" based upon real needs

Normally the responsibility for developing and managing the annual recruiting plan is assigned to HRM It is responsible for designing and implementing a recruiting plan that will meet the organization's personnel need and which will comply with all government requirements

In its recruiting role, the Human Resources Management Department is somewhat like the Purchasing Department of an organization The Purchasing Department keeps track of the inventory of raw materials, spare parts and supplies, the equipment needed for the construction and start-up of new plant and the replacement requirements for depreciated and obsolete equipment, and they manage the procurement process to keep supplies consistent with all these needs of the organization and its technical specifications

The HRM function keeps track of the staffing inventory, turnover, critical skills in the workforce, the manning forecasts for new plant and equipment, the inventory of staff nearing retirement age and those that are technologically obsolete, and they manage the recruiting processes to keep the supply of manpower consistent with the organizations need for talent They are responsible for development and maintenance of the Annual Recruiting Plan

On the following page is an example of a worksheet for use in Forecasting Recruiting Requirements This form illustrates some of the dimensions of the process involved in developing an Annual Recruiting Plan

Recruiting Requirements Forecast for 19 ___ Worksheet

Turnover Rates Per Year:

- ❒ Professional Employees _%
- ❒ Salaried Technical Employees _%
- ❒ Clerical Employees _%
- ❒ Wage Employees _%
- ❒ Management Staff _%

Average Number of Promotions Per Year Professionals Technicians & Clerical Employees

- Management Staff
- Projected Retirements
- Professionals
- Technicians (Salaried)
- Clerical Employees
- Management Staff

Average Number of Dismissals

- For Cause (Disciplinary)
- For Unsatisfactory Performance

Planned Additions for New Plant & Expansions

- Professionals
- Technicians
- Clerical Employees
- Management Staff

Factors that Impact Recruiting

Many factors within an organization can affect the success of the recruiting program An organization projects a certain image in the community, or in the country as a whole That image will be a definite influence upon the organizations ability to attract the qualified applicants in the labor market National public relations efforts and community involvement can increase public understanding and acceptance of the organization and its image as an employer, and thus make a dramatic impact upon the success of their recruiting effort

Impact of News Media

An organizations relations with the press, local trade schools and colleges and the universities, professional societies and labor unions, on a national level, can also be critical to the public's perceptions of the organization and thus, its success in attracting well qualified applicants

Impact of the Corporate Culture

Subtle elements in the norms or culture of an organization are also very important Since many people hear about job opportunities from friends or relatives already working in the organization, attitudes about it are passed along through the local informal network As an example, if current employees are upset with the leadership style of their managers or annoyed by what they perceive as lack of recognition for their efforts, their casual comments will reflect this and may discourage their friends from seeking employment there

The Impact of the Community

Other factors in the external environment influence recruiting success in a variety of ways Most obviously, the condition of the labor market affects the supply of qualified applicants If a company cannot find enough skilled applicants in the immediate area, it may need a regional or national search program This can increase recruiting costs significantly Competition from other companies and government organizations can reduce the pool of qualified workers or raise salary expectations beyond what the organization is willing, or able, to pay

Why Promote From Within When Possible

Whenever possible, most organizations fill all vacancies above the entry level from within through promotion or reassignment From the organization's perspective, the major advantage of recruitment from within is that the employee is already known Their capabilities have already been assessed His or her performance in the job is usually much more predictable than that of someone from the outside In addition, less company orientation and general training will be required, and less time will be needed for the person to adapt to the work environment

The Impact of Promotions on the Employees

From the employee's perspective, promotion or job opportunities from within, can be a significant boost to morale and increase self esteem and career growth opportunity
In some cases however, the balance of talent may be upset by filling a position from within An

unplanned move can upset the career management system momentarily by the filling of a critical vacancy in one department and thus, creating an equally critical gap in another In such cases, the best course for the organization may well be, to recruit immediately from the outside

Keeping in Touch with the Market

Even for large organizations, an over-reliance on recruitment from within may have harmful consequences Without occasionally bringing in new blood from the outside, management may become stagnant and out-of-touch with the competition and the marketplace

Finding Qualified Candidates

Finding qualified applicants from the outside is the most difficult part of the recruiting and staffing process A wide variety of methods or recruiting strategies may be needed, depending upon the volume of an organizations need

Recruitment Methods

In the United States, industrial firms and government agencies keep in close touch with the universities and trade schools and most send recruiting teams to interview members of the graduating classes Most firms also advertise vacancies within the organization and use newspaper, radio and television advertising Some firms give employees cash bonuses for referring external candidates that are eventually employed in key vacancies

Once the organization has decided it needs additional or replacement employees, it is faced with the decision about how to generate the applications necessary for filling its labor needs The organization can look to sources internal to the company and, if necessary, to sources external to the company Most organizations have to use both internal and external sources for generating a sufficient number of applicants Whenever there is an inadequate supply of labor and skills inside the organization, it must effectively "get its message across" to external candidates It is here where the organization's choice of a particular method of recruitment can make all the difference in the success of the recruiting efforts
Consider the following methods

Internal Recruiting

- Develop skills inventories for identifying internal applicants for job vacancies
- Post jobs and allow bidding
- Develop an employee driven career management system
- Encourage inside referrals of friends & family
- Offer "finder's fees" in the form of monetary incentives for a successful referral

External Recruiting

- Encourage local walk-ins
- Media advertising
- Employment databases

- Employment agencies and search firms
- Special-events recruiting
- Summer internships
- Coop Education systems

Employee Leasing

Employee leasing involves the payment of a fee to a leasing company that performs all the HRM recruiting, hiring, training, compensating, and evaluating The employee leasing firm is paid to provide a ready-made labor pool Small and medium-size firms find advantages in the employee leasing arrangement because they do not have to become involved in HRM and other administrative activities Employee leasing is similar to the temporary help arrangement, but under leasing the employees are not temporary

Many leasing firms have employment areas they specialize in Many companies specialize in supplying labor to utility companies on the international scene

Temporary Employment

One of the most noticeable effects of the downsizing epidemic of the 1980s and the labor shortages of the 1990s has been the rise in organizational use of temporary help Historically, temporary employment agencies were only seen as sources of semi-skilled clerical help during peak work periods The picture today is much different Using temporary agencies is, in fact, seen as one of the more effective solutions to the labor shortages of the 1990s

The major advantages of "temporaries" include relatively low labor costs, an easily accessible source of experienced labor, and flexibility in responding to future changes in the demand for workers The cost advantage of using temporary help stems from the fact that the organization fringe benefits, training, or a compensation and career plan The temporary can move in and out of the firm when the workload requires such movement A disadvantage of hiring temporary help is that these individuals do not know the culture or work flow of the firm This unfamiliarity detracts from the temporary's commitment to organizational and department goals

HRM Cost/Benefit Analysis Of Recruiting

Many aspects of recruitment should be evaluated These items should include

- The effectiveness of recruiters against goals
- Sources of recruits
- Job acceptances ratios
- Advertising
- Quality of hire

Human Resource Management Selection Criteria

If a selection program is to be successful, the employee characteristics stated in the job specification must accurately summarize what is necessary for effective performance on the job This is where the role of job analysis in selection becomes most apparent since an accurate list

of characteristics can only be generated after the organization has conducted a thorough job analysis The criteria typically used by organizations for making selection decisions can be summarized in several broad categories education, experience, physical characteristics, and other personal characteristics

Basically, the characteristics listed in the job specification should describe current employees who have performed well in the position to be filled If this list of desired characteristics is too long, however, it may be impossible to find an applicant meeting all of the selection criteria On the other hand, without a list of criteria, it is quite likely that many of the wrong kinds of persons will be hired An effective selection process needs to find a compromise between these two extremes, using the most critical criteria for making the actual selection decisions

Formal Education

An employer selecting from a pool of job applicants wants to find the person who has the right abilities and attitudes to be successful These cognitive, motor, physical, and interpersonal attributes are present because of genetic predisposition and because they were learned in the home, at school, on the job, and so on Most employers attempt to screen for abilities by specifying educational accomplishments

Employers tend to specify as a criterion a specific amount (in years) of formal education and types of education For the job of accountant, the employer may list as an educational criterion a bachelor's degree in accounting The employer may even prefer that the degree be from certain institutions, that the grade point average be higher than some minimum, and that certain honors have been achieved To be legal, educational standards such as these must be related to the performance of successful accountants at the firm In addition, care must be exercised not to employ standards that are higher than is actually required by the job All else being equal, an organization typically prefers more education to less and higher grades to lower ones However, it must always be aware of the consequences of using unnecessarily high standards that might exclude too many minority group members from being hired

Experience/Past Performance

Another useful criterion for selecting employees is experience and past performance Many selection specialists believe that past performance on a similar job might be one of the best indicators of future performance In addition, employers often consider experience to be a good indicator of ability and work-related attitudes Their reasoning is that a prospective employee who has performed the job before and is applying for a similar job must like the work and be able to do the job well Since loyalty to the job and the organization are both important and tenure with the company implies these, the tendency for many organizations is to hire from within before seeking applicants from outside the organization

One way to measure experience within the organization is to provide each employee with a seniority rating which indicates the length of time he or she has been employed in the organization In the military, the date of rank is an equivalent seniority measure Seniority can be measured in various ways as total time worked for the firm or time

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worked for the firm on a particular job or in a certain unit If an organization has discriminated against minority group members, retroactive seniority can be awarded by the courts as part of the settlement of a case

Physical Characteristics
In the past, many employers consciously or unconsciously used physical characteristics Many times, these practices discriminated against groups of qualified candidates Organizations should use caution when screening candidates with regard to their physical characteristics Any such use of these items should be job relevant

Personal Characteristics and Personality Type

The final criterion category is a catch-all that includes personal characteristics and personality types Personal characteristics include marital status, sex, age, and so on Some employers have, for example, preferred "stable" married employees over single ones because they have assumed that married persons have a lower turnover rate On the other hand, other employers might seek out single persons for some jobs since a single person might be more likely to accept assignments in certain environments

Age, too, has sometimes been used as a selection criterion Our suggestion would be that minimum and maximum age restrictions for jobs should only be used if they are clearly job-related Age should be used as a selection criterion only after very careful thought and consideration

Certain specific aptitudes and/or skills can also be considered part of this criterion category Although education and past experience are often used as measures of ability, many organizations also try to assess whether applicants possess certain aptitudes For example, a successful applicant for pilot training in the military does not need actual flying experience Rather, the military uses spatial relations aptitude as one criterion for pilot selection

Many employers also prefer to hire persons with certain personality types Some jobs such as being a police officer may require extensive, systematic personality testing using a variety of standardized measures Other jobs may require essentially no consideration of an applicant's personality Many jobs fall between these extremes As with other personal characteristics, selection using one or more aspects of personality should always be based on whether it is really a necessary characteristic for high performance

The Role of Operating Departments in Staffing

Although HRM generally is assigned the responsibility for the planning and coordination of an organizations recruiting and manning effort, the functional departments have final responsibility for staffing The managers of the line depart-

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ments having the vacancy are involved in the recruiting process and, in most cases, make the final decision on selection from among the qualified candidates referred by HRM

The recruiting teams involved in "Campus Recruiting", that is, those teams visiting Universities and Trade Schools will, in most cases, include managers and professionals from the line and staff departments having vacancies The graduates that are given the highest ratings by the campus recruiting teams are usually invited to visit the organization for additional interviews by the supervisor of the unit having a vacancy and by the Department head and perhaps a Director If the people involved in the interviews reach a consensus to select the candidate, then a firm offer is usually made in writing by the HRM

Recruiting And Staffing

Recruiting plan outlines the annual program to secure needed skills at the appropriate level and provides key input to the staffing plan, the career development system and the training plan

Key Inputs

- Staffing Inventory
- Skill requirements
- Timing of recruiting actions
- Job specifications

Key Actions

- Review job descriptions and job specs
- Check staffing budget
- Review skill inventories
- Review succession plans
- Identify internal and external recruiting sources
- Interview and select candidates
- Check references
- Make offers

Critical uses of Staffing plan and budget

- Recruiting budget
- Career placement
- Planning of orientation and training actions

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The Interview Process

There's probably no manager nor an HRM Specialist who has a perfect record in hiring or promoting the right people for a job The selection of employees is difficult and entails a degree of risk-taking It is unlikely that a perfect hiring or promotion record can ever be attained However, it is possible to increase our chances of making the right decisions by improving our interviewing techniques and evaluating methods

This guide is prepared for those who are directly involved in the hiring or promoting of personnel The guide takes a "nuts and bolts' approach It outlines the interviewing process and lists the kinds of questions we should ask of applicants and how we should phrase them It provides a means for evaluating and comparing applicants In short, the guide contains information that can help us improve in the interviewing and selection of personnel These are important decisions to make and the time we invest in studying the guide will be more than repaid

How to Use the Guide

By following these suggestions, we will be able to obtain a good return for the time we invest

1 The first few pages describe the purposes of an interview We want to keep these in mind as we read other sections
We should study the diagram (which outlines the interviewing process) and then remove it from the book We should keep the diagram in front of us as we read the text which outlines the process The idea is to get a good mental picture of what has to happen

2 The next section of the guide describes the Structured Interview

3 The next section is to help us establish the job requirements

4 The fourth section is interview preparation

5 The fifth section is about observing and recording behavior

6 Finally, the guide describes how to compare candidates

We should try out the techniques explained in the guide the **very next time** we interview

and we should continue to improve on them each time we use them

The information contained in the guide has solid and practical suggestions that can help us, but it will have little value if we do not use it

The Purposes of the Interview

A hiring or promotional interview is a discussion between someone representing the organization and a prospective job holder It is a mutual exchange in which, ideally, both the interviewer and the candidate participate freely The interview should not be viewed as a contest in which one party tries to outwit or best the other person

An understanding of the purposes of an interview will help us do a better job of interviewing

PURPOSE 1 **Learn Enough About the Candidate to Make a Decision**

This is probably the most important purpose of the interview, but it is also one which is often slighted The primary reason is that many management people are inclined to do most of the talking It is a common mistake In order to gain a solid impression of the candidate's point-of-view and attitudes, we need to encourage the candidate to talk We cannot learn about the candidate while our jaws are flapping

PURPOSE 2 **Provide Information Which Will Help the Candidate Determine if He or She is Interested in the Job**

An accurate picture of such things as job activities, the standards of performance expected, the conditions to be faced, and the benefits to be received helps the candidate determine if he or she should accept the job If a person goes into a new job without a clear idea of the nature of the work and its responsibilities, that individual may not last long

Of course, hiring and promotion decisions are high risk management decisions Both the manager and the candidate who accepts a position are taking a chance Neither can be absolutely certain that things will work out However, a good interview in which both we and the candidate are equally involved will greatly reduce the possibilities of the wrong decisions

PURPOSE 3 **Create a Feeling of Goodwill on the Part of the Candidate**

It should be obvious that we want to create a good impression on the candidate we like However, we also want the candidates who are not hired or promoted to leave the interview with a good impression of us and the company They do talk about their experience with other people We can help or hurt our reputation by the impression we make during the interview Particularly we want those we hire or promote to feel good enough to recommend us to friends and acquaintances

Requirements of the Interviewer

The person who conducts employment interviews should have three basic qualifications These are requirements for us

a **Know the Job Requirements**
We must have a good grasp of the requirements of the position for which a person is being interviewed We can't "size-up" a candidate's qualifications very accurately or talk intelligently about what the position requires without this background

b **Have an Understanding of the Behavior of People**
We should be sensitive to the feelings of the person being interviewed and we should be able to detect attitudes and points-of-view which will affect job performance

c **Know How to Conduct an Interview**
The third requirement is that we know how to conduct an interview Some individuals have acquired the ability to interview However, interviewing is a skill that can be further developed, regardless of how well we have done in the past We will want to improve our interview techniques

The Interviewing Process

Selection of the right people to fill job openings has always been important to the success of an organization It is probably even more so today Organizations striving to become more efficient, reduce costs, decrease turnover and have a more satisfied work force need good hires One of the best ways to reach these ends is through an accurate selection process

What Does it Cost to Hire an Individual

Also, there is no question that good selection practices save an organization money Selection costs are increasing Many organizations do not realize how much it actually costs them to get a new employee All outlays must be considered The time of line & staff operations involved in the selection process, the cost of operating the job without an individual in the position, overtime, poor quality of work and the training expenditures and other expenditures of new employees

Training Cost & New Hires

Training costs have never been insignificant However, as organizations and technology have become more complicated, the cost of training a new hire prior to becoming productive, has become a significant cost of doing busines It is estimated that even at the lowest job level, it costs a company at least $5,000 00 Training expenditures can be

easily wasted in early turnover because of a lack of ability to learn, poor motivation to work, or lack of interest on the job All of these things can be corrected through good selection practices Once an individual is on the job, productivity is usually the key to gauging his or her success Research has consistently shown vast differences in the productivity of individuals employed in the same job The output of the best employee is often three to six times that of a poor employee working under the same circumstances Highly qualified employees reach productivity standards earlier and go on to achieve higher ultimate goals

Keeping Good Employees

Retention of employees is becoming more and more critical It takes a very long time to get to know how to really get things done, or whom to see when there is a problem When individuals with several years of service leave, a great deal of important knowledge goes out the door with them Selection goals should not only stress initial success, but job retention also

For all these reasons, good selection is important and it is a good investment Fortunately, the accuracy and fairness of selection decisions can be improved More accurate selection is an inexpensive way to improve operating results

The Problem With Selecting the Right Person

Good selection is not easy It takes a little more effort than most of us are now putting into the cause We need to recognize that a little more effort now pays off in many benefits later In addition to its positive affect on the organization, good selection leads to happier, more satisfied employees, because they are doing a job for which they are qualified from which they can feel a sense of achievement and where they can see long range potential

The selection process we will use consists of several components We begin with the dimensions of the job, we involve two or three managers in the process, we learn how to observe and record behavior, we use standardized objective conditions of evaluations, and we will use a formalized procedure for integrating the data from multiple interviewers in making a decision

Let's contrast the way we may typically handle our selection duties to the process we recommend in this guide There are several comparison points

1 **Limited Data Search**
Often, we do not seek information on all the important dimensions of a job The lists of target dimensions managers use vary considerably and the definitions of the dimensions differ widely A good selection process will provide a mechanism whereby all those involved in the selection decision have a clear and specific understanding of the target dimensions for which they are responsible in the selection process This is the only way that a system can work

2 **"Magic Indicators"**

We tend to rely too heavily on one or a few elements of the selection system Because of limited experience with any of the various possible inputs in the selection decision, we tend to use only a small portion of the information sources open to us For instance, we use a "personality test" or "grade level " Other possible sources of selection information are the following

- Oral or written tests,
- Behavior simulations,
- Interviews with several supervisors or managers,
- Medical exams

3 **Jumping To Conclusions**

We tend to not organize the information we have about a candidate It is not uncommon for us to spend considerable time on the various components of selection, such as interviews, yet still know little about a candidate This is because various components of the selection system overlap or duplicate Some overlap is beneficial, however, it should be structured in such a way so that redundancy of information is reduced and reliability of data is increased

4 **Misinterpretation**

We tend to misinterpret data Many of us try to be amateur psychiatrists Sometimes we are right, but many times we are wrong We need to use reliable methods of interpretation Our guidelines will be 80% reliable, 80% of the time

5 **Biases**

Our judgment may be affected by our own biases or stereotypes We may have certain biases about race, creed, color, religion, age, or other characteristics of people who are like ourselves These biases or stereotypes may be known or unknown Either way, they affect our decisions and we should reduce them in the selection process

6 **Halos/Horns**

We tend to permit one dimension, favorable or unfavorable, to influence our judgment of other dimensions This is known as the halo effect It is very easy to become so impressed by one area of an individual's accomplishment that the lack of accomplishment in other areas may be overlooked We also tend to allow one bad dimension to taint our judgment of all dimensions (horns effect)

7 **First Impressions Last**

We tend to make quick decisions on candidates The decision can be based on a first impression, a hand shake, a review of the individual's work record, or a comment from one of our colleagues The accuracy of the selection interview is diminished because our ability to obtain additional facts are diminished by premature decisions It is absolutely critical to delay decisions until all facts are gathered

8 **Nitpicking**

We tend to be more alert to negative information We are not evaluated on the good

men or women who are passed over While it is natural to avoid filling a position with someone who fails, this tendency may result in an over-emphasis on trying to determine negative examples and under-emphasis on positive examples Thus, we may accurately avoid filling a position with someone who may do a poor job, but we miss obtaining an important candidate who would do the best job We need to look for strengths as well as weaknesses

9 **Haste Makes Waste**
We tend to let ourselves be affected by the pressure to fill the position It may seem there is always pressure to fill a position but, in fact, the length of time the position has been open is only relative to the importance of filling the position properly with a good candidate

10 **Comparisons**
We tend to let other candidates affect our decisions We often make decisions relative to a group of candidates rather than to job needs We may find ourselves taking the best of a bad lot rather than continuing the search to find a really appropriate candidate who has the capabilities of doing the job

11 **Poor Interviewing Skills**
We tend to use our existing ability to interview and select candidates This means that the results achieved by inexperienced or incapable managers results in the selection of inexperienced or incapable employees It is essential that we learn and practice the necessary elements of the process prior to getting involved in hiring the people to fill important positions We need to expand our knowledge and skills if we are to improve our decisions

It does little good to describe these common problems Such responses from us are all very human, very natural and very hard to change Certainly, reading about them will not bring about change

Common Problems in the Interviewing Process

Our primary hope is to alter the structure of our selection system to minimize the problems Here is how

- ❒ We will identify exactly what the dimensions are we are seeking The first step is to produce a list of the dimensions and train all interviewers in their definition The interviewers are then required to report, on special forms, observations on each of the assigned dimensions

- ❒ We will try to build in as many elements as possible to cover the spectrum of data collection opportunities

- ❒ We will make the interviewers who are responsible for each element have a specific subset of the dimensions they are to seek Overlap will occur where we plan for it to occur

- We will observe behavior, not make psychiatric interpretations The entire process is built on identifying and recording behavior which can be used to predict future behavior In the process, we will not ask if they know how they would handle a situation, we will ask them either to handle it or tell how they have actually handled it We will record their behavior

- After we have gone through all the exercises and recorded behavior, we will meet to share data and make an overall judgment on a **consensus** basis We can balance out each other's biases and stereotypes

- We will reduce the halo and horns effects because we will use multiple managers who make independent observations They see the person in different situations Their observations are aimed at specific dimensions

- We will use a procedure to delay decision making Each interviewer will know that his or her responsibility is to observe behavior relative to some of the dimensions He or she will know that only partial information is available and the temptation to make an overall judgment is substantially lessened The interviewer knows that his or her job is to get information on the dimensions, that is all At a meeting to share data and make decisions, each interviewer will report his or her observations, discuss each dimension and reach consensus Only after all dimensions have been covered is a profile established and a decision made

- The discussion procedure where behavior is observed by several managers, then compared and contrasted, provides for a thorough coverage of each dimension, both positive and negative It is very difficult to emphasize the negative more than the positive in the process

- Pressure to fill an immediate position usually comes from the managers to whom the person will report These managers are involved in the process, thereby distributing the responsibility and reducing the pressure

- Evaluations that we make in the process are all relative to standard, agreed-upon, understandable criteria, not relative to the people assessed together Interviewers compare each applicant to the requirements of the job rather than to each other

- The process will involve the managers who have to "live" with the results of selection in each step of defining the dimensions, determining the selection elements, conducting the interviews, observing the behavior, comparing data and making a decision

To make the assessment method work, there are four essential ingredients

1 Identify the dimension for the job to be filled
2 Organize the selection process into a system and define the selection elements
3 Observe and record the behavior in the elements using past behavior to predict future behavior
4 Compare the data recorded by each member of the selection team and make a decision on the basis of "fit" in dimensions

The rest of the material provided is broken into those four areas We will treat them sequentially in much the same way as you will implement them On the following chart, we have prepared an

THE INTERVIEWING PROCESS

STEP 1

PREPARING FOR THE INTERVIEW

a Review
- Job activities
- Job knowledge
- Success factors (dimensions)

b Arrange room

c Examine recorded information

STEP 2

OPENING THE INTERVIEW

a Give warm greeting

b Explain how interview will be conducted

STEP 3

INVOLVING THE CANDIDATE

a Select questions (School, experience)

b Use
- Open ended questions
- Encouraging statements
- Clarifying questions
- Closed ended questions

STEP 4

DESCRIBING THE JOB

a Describe job & its benefits

b Encourage & answer questions

STEP 5

CLOSING THE INTERVIEW

a Explain next action

b Indicate how and when selection will be made

c Say polite "goodbye"

STEP 6

EVALUATING & SELECTING

a Rank requirements

b Rate candidates

c Select

d Inform

Establishing Dimensions

The first and most critical step in developing a selection system is defining those variables on which the applicant is to be evaluated, that is, the important **dimensions** of success for the job They are better referred to as "dimensions of job success" rather than characteristics of an applicant because we should be interested in determining what makes people succeed or fail in a job By developing a list of the characteristics of a successful person in a job, we tend to only consider the positive aspects Organizations really seek individuals with combinations of strengths and weaknesses which can make them successful, not the perfect candidate Thus, the term **"dimension"** implies an area of concern, not a level of performance

A **dimension** can be defined as those aspects of an individual that lead to success or failure in the position A list of **dimensions** should be developed for each job category for which candidates are being considered In addition, prior to setting up a selection system to fill a specific job the unique characteristics of that specific job should be considered and the appropriate adjustments made in the **dimensions**

The following are **not** examples of **dimensions,** college graduate, five year experience, membership in a professional organization These are indications of the presence or absence of a **dimension** In most jobs the organization is not interested in the amount of experience The organization wants to know if the person can do the job Experience may be an indication of this, but it also may not be as indicated by the many five-year people who do a poor job Because of the importance of **dimensions** as the foundation of a selection system, the task of obtaining information o dimension should not be taken lightly A mistake in determining the appropriate dimensions can invalidate the total selection process

How to Determine Dimensions

If an organization has well written job descriptions, they will be a help in identifying the **dimensions** sought Unfortunately, most job descriptions are written for compensation or other purposes and are of little value

We can determine the most difficult aspects of the job, tough decisions, most stressful situations faced, most physically demanding situations, amount of time spent in major activities, what people in the job actually have to know and the amount of skills necessary by talking to the people that are actually in the job or observing them actually in the job

What we must think of in determining dimensions is what people in the job actually do, what do they have to **know** and what kinds of people are **successful or not successful** in the job From that, we determine the minimum qualifications needed, not what is preferred We also consider the job requirements in the future, career opportunities, **dimensions** for logical lines of advancement, the training opportunities available, the salary level, the working conditions, the organizational climate and other work requirements of the job It is important to note that **dimensions** must include the total job, not

just the administrative, managerial or personality aspects

Another important source of information on which to base the **dimensions** is discussions among the managers or supervisors who are responsible for the job While this description may tend to be rather complicated, in most cases where managers themselves would be responsible for doing the **dimension** analysis, the **dimension** analysis is not difficult A middle manager and some subordinate managers are usually involved, or a higher manager and some middle managers From two to six individuals can be concerned They should have no difficulty in doing an excellent job analysis They probably will not have to interview incumbents because many of them are probably recent incumbents in the target level positions themselves Thus, the supervisor's meeting is all that is required It will probably take them around four to eight hours to go through the various steps in coming up with a list of **dimensions**

Having good definitions of the identified dimensions is the next extremely important step The people involved must be able to communicate accurately with each other about the **dimensions** sought As an aid to establishing a list of **dimensions,** we are providing two things One is a list of the **dimensions** for job families The second is a series of generic dimensions that may apply to jobs

At this point we will issue two warnings One is, do not start with the list of **dimensions** and ask people to check off the important ones If this occurs, too long of a list will be developed, the **dimensions** will be those from the list, not necessarily those from the job The reasons for the list are to provide examples and definitions for purposes of clearing up the process for the managers that have to implement it Some of these may be used, but the **dimensions** of the job should be determined first and then selection of the definitions and words to describe the **dimensions** last Secondly, it is also important to note that some of the important **dimensions** of a job may not be incorporated in this list

The key in this part of the process is that the managers involved reach an operational definition of the **dimensions** for the job that all of them can live with Another important factor to consider is that the lists here are for motivational, attitudinal, administrative, supervisory and managerial aspects of the jobs and do not include technical dimensions The organization involved will find it relatively easy to describe the technical dimensions of the job which would be highly specific to a particular job in an organization The most obvious example of this type of **dimension** would be programming ability for a computer programmer, typing ability for a typist, and similar kinds of specific technical skills

Coming up with a list of usable **dimensions** should include a five-step process that involves all the managers that will be used in the interview process

1 Determine the activities or duties that are performed by the person in the job for which candidates are being sought As an example, the materials show the kinds of activities and duties that a person at the station would perform

2 Take these activities and duties and consider the **dimensions** that are required to

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perform these duties This may be accomplished one or both of two ways The first way is to identify the **dimensions** that are obviously needed for successful completion of those activities The alternative is to determine the dimensions that are obviously lacking or that the lack of, leads to failure on the job

3 Establish a list of critical **dimensions** In this situation, similar dimensions required in similar activities are combined

4 Develop an operational definitions for each of the **dimensions** A list of **dimensions** and their definitions or operational definitions is provided

5 Prioritize the needed **dimensions** This is extremely important because at this point, there may be anywhere from ten to forty dimensions Unless the group of managers who will use the **dimensions** put them in priority, they will be considering less important **dimensions** in their evaluations rather than the more important ones and will burden themselves down with too many **dimensions** to effectively handle By putting the **dimensions** in priority, emphasis can be placed on the dimensions that are most critical to successful completion of the job

Make of Buy Needed Dimensions

An added element at this time is to decide upon "make or buy" **dimensions** This simply means that some **dimensions** of jobs can be taught on the job and some can be bought in the candidate, equally as true, some cannot be bought and the process of teaching them on the job would be time-consuming, expensive or even impossible The managers involved need to make decisions on each **dimension**

Let's illustrate In hiring an Engineer you will look for a person who can verbally communicate, obviously you will want to look for ability in the candidate to orally communicate (one dimension) and persuasive ability/salesmanship (another dimension) but you will not necessarily look for plant knowledge/technical (a third dimension) in present behavior This latter **dimension** you would normally expect to establish by training the candidate after hiring There are times, however, that you may require this as current behavior, this you must decide

Similarly, you may wish to hire a machine operator with complete technical dimensions in terms of setting up, operating and troubleshooting a specific piece of equipment, at other times you will want to train the candidate

Job Requirements

There are several things included in job requirements It is important to have these defined and documented since these are the basis for selecting It is not particularly difficult to develop a job profile, but it does take time However, once completed, it can be used repeatedly

Determining Job Requirements

The requirements for jobs can be divided into the three basic categories of

a Job Activities (What the person does)
b Job Knowledge (What the person needs to know)
c Behaviors of Job Success (What indicates the person will succeed)

Job Activities

Here the specific things the employee does in the position are listed We don't have to include all details, but we do want to document the activities Here, our ability to do a "Task Analysis" is vital We must reduce the job to its specific actions and results that will be expected

Job Knowledge

There are a number of requirements that are more or less common, but they do need to be identified

- ❒ Read, Write, and Do Basic Math
  The person applying for the job should be able to read, write, and do math at a level we would expect from a fair-to-good high school student

- ❒ Knows Plant
  A knowledge of the various aspects of station operation is important knowledge

- ❒ Knows How to Deal With Others
  An understanding of what leads to satisfaction or increased tension In addition, the person needs to know about such things as meetings, schedules, solving problems, etc

- ❒ Understands Company Policies and Procedures
  There are a number of policies such as what to do when an accident occurs, how to do paperwork, when to contact the Manager and others that a person will have to understand

Behavioral Success Factors

This category refers to the behaviors that have been shown that it takes for a person to succeed This category is quite important since these factors are things we will be looking for during the interview

There are several to consider

- ❒ Treats internal customers in a way that makes them want the person to come back

- ❒ Can explain the job and company policies to others in a way they can understand and believe (An effective communicator)
- ❒ Is punctual for scheduled tasks and comes to work everyday
- ❒ Exercises a good degree of initiative Goes ahead and does a job that the person knows should be done Does not require close supervision or being "checked up" on
- ❒ Works long and hard Will work extra hours when business demands it
- ❒ Takes pride in the appearance of the work area Helps keep it neat and clean
- ❒ Will listen to what the boss and other employees say
- ❒ Maintains composure Does not become easily flustered during hectic rush days or by quick changes in alignments
- ❒ Cooperates and makes an effort to get along with all employees, managers and others

The Interview

The interviewing process and the techniques used for interviewing candidates consists of six steps Each interview will normally require 30 minutes of preparation (STEP 1) and an hour or more to complete (STEP 2-5) Then, there is another half hour to evaluate (STEP 6) It will probably follow this sequence

Step 1 **Preparing for the Interview**
Step 2 **Opening the Interview**
Step 3 **Involving the Candidate**
Step 4 **Describing the Job**
Step 5 **Closing the Interview**
Step 6 **Evaluating the Candidates**

Each of these steps is described in some detail on the following pages

Preparing for the Interview

In preparing for the interview we should review the requirements of the position, arrange an interview area, and study the candidate's background information

a **Review Job Requirements**
A review of the job requirements refreshes our minds as to what we are looking for in an applicant and guides our questioning A job description is helpful, but in the absence of this documentation, we can jot down key areas Later, this will help us describe the job to the applicant

b **Prearrange the Interview Area**
This simply means having a room ready for the interview Ideally, we should have a writing desk for ourselves and a chair available for the candidate If possible, telephone calls should be held The idea is to give the candidate the correct impression that we are expecting them and we are ready for the interview

Be sure to use the candidate's name during the interview because it greatly enhances the chance of gaining information Find out during the warm-up what the candidate prefers to be called, assumptions in this area can be negative to the candidate Remain neutral during the interview Don't show surprise, shock, horror or offer advice The interviewer should stop the session when enough information has been gained

c **Examine the Record**
The information we have on record should be obtained and we should examine **it before** we begin an interview We are wasting our time if we read it as the person sits in front of us This practice also tends to make the individual uncomfortable Furthermore, information contained in the record does not need to be asked for during the interview, although it will provide

clues as to some of the questions we may ask

Advance preparation does not need to be a long process, once we have job requirements documented, but it is quite valuable in an interview of 30 minutes or more Preparation keeps us focused on job requirements as we ask questions and listen We are less likely to be unduly influenced by one particular fact good or bad We are more likely to ask the right questions and say the right things

Opening the Interview

The primary purposes of the opening are to put the candidate at ease and to set the stage for the main part of the interview A person who is tense will not interview well Here are some suggestions

- **Give a Warm Greeting**
- **Explain How the Interview Will Be Conducted**
- **Involving the Candidate**

  The most critical part of the interview takes place in this step We want the candidate to do most of the talking in the first 60 to 75 percent of the interview When the candidate talks, we will be developing impressions about the person's ability and willingness to perform In the last ten minutes, we will explain the job and give the candidate a chance to ask questions That's not a precise formula, of course, but it does outline where to invest our time

What Subjects to Ask About

Due to time limitations, it is quite important that we organize the **order of our** questions so we cover the most critical areas Work experience is probably the most essential areas We should start with the most recent job and work back However, we don't want to go back to a point in time where the experience is meaningless

Education or job training should follow work experience Of course, in instances where the person is newly out of school and has little work experience, education may be the area with which to start The third area of discussion, if there is time, would center around career ambitions, and other interests

What Question Techniques to Use

The questioning techniques to draw the applicant out and to test or clarify meanings fall into these categories

- ❒ Open-ended Questions
  - Encouraging Statements
- ❒ Clarifying Questions
  - Closed-ended Questions

Questioning Pattern

There are several examples of open-ended questions, encouraging statements, clarifying questions, and closed-ended questions later in the materials Obviously we won't ask that many questions in one interview We will limit ourselves to several and concentrate on the subject areas of experience and education

Generally speaking, there is a pattern (but no precise **formula)** to use in asking the various types of questions This pattern is

Open-Ended Questions (To get the candidate talking about a specific area)
Encouraging Statement (To stimulate the candidate to continue talking about a particular subject)
Clarifying Questions (To confirm understanding or correct a misunderstanding of something the candidate has said)
Closed-Ended Question (To obtain a response to fill the gaps)
(To get specific information)

In other words, the various questioning techniques may be interwoven during the interviewing

Don't Signal Answers We Want

In some instances we may unintentionally give the applicant strong clues as to how they are to answer questions It would be a rare individual who would not pick up these signals and then tell the interviewer what he or she wants to hear Here are some examples

"You're not afraid of a little hard work, are you?"

"I like a person who is punctual Will you have any trouble getting to work on time?"

"There will be time when others get on your nerves, particularly at the end of a hectic day Do you think you can handle the pressure?"

The candidate's answers are predictable We will want to avoid asking questions that telegraph the "right" answers

Describing the Job

We can mention the title of the position at the start of the interview and describe it briefly However, we don't want to explain the job fully and what we expect from the person, too early in the discussion If we explain the job in detail at the outset, there's a good chance that the candidate will be able to pick up clues as to what we want (or don't want) to hear and tailor his or her answers accordingly Furthermore, as noted earlier, if time runs short, we want to reduce the time for explaining the job, but protect the time the candidate does the talking

There are two parts to Step 4 First, we explain the job and then we give the candidate an opportunity to ask questions

a **Describe the Job**

Our description will center around job requirements, benefits, and the company However, rather than shifting abruptly from asking questions, it is a good practice for us to make a transition statement For example, we might say, "You've done a nice job of answering my questions, now I think this might be the point to describe the job and to answer any questions you might have "

Job Requirements

- ❒ Job Title
- ❒ Whom the person reports to
- ❒ Major tasks and responsibilities
- ❒ Where work locations will be
- ❒ Work schedule (hours and days)
- ❒ People they will be working with

Benefits

- ❒ Pay rate (if changed)
- ❒ Employee benefits (if changed)

The Organization

- ❒ Promotion policies and possibilities (advancement from within)

We should be careful not to be "selling" the position to the person We will probably interview a number of people and will not know which of the candidates are the best ones We want to display some enthusiasm for the job, but we do not want to raise false expectations

Of course, we should describe the less desirable parts of the job along with the good parts, to give the person a clear idea of what he or she is getting into The individual who feels he or she has been given a "con" job, may not give the job a fair trial

Answer Questions

The candidate may have some questions which we may not have answered and which are important to the individual We might say, "We have covered quite a bit of ground in a short time and while I've tried to touch on most aspects of the job and its benefits, there can easily be some things I've missed What **questions** do you have that I can answer for you?"

Closing the Interview

The conclusion of the interview is intended to end the interview politely and to inform the candidate about what will happen next

To illustrate, we might say, "I think I have all of the information I've asked for and it appears that you have your questions answered As I am sure you realize, we are interviewing a number of candidates We expect to have all the interviewing done in the

next four days (or whatever interval of time) We will contact everyone by telephone We do appreciate your taking time for the interview and I have enjoyed talking with you Extend a sincere appreciation for his/her involvement and conclude the meeting

If the candidate asks what his or her chances are, we might answer with the statement, "I can see why you would be interested in knowing However, we are interviewing several people and we want to consider the qualifications of all candidates before attempting to make any decision We are trying to be as objective as possible " This is a non-committal statement However, if we are quite interested in the candidate, we might make a little stronger statement To illustrate, we could say, "You do appear to have the necessary qualifications and I am interested However, we do have several more candidates to talk to In all fairness to them we will reserve the decision until the interviews are completed "

Evaluating and Selecting

We will be evaluating the responses of the candidate throughout the interview We will be "reading" the candidate and forming judgments as to the person's qualification to successfully handle the job

Our knowledge of the requirements of the position and our experience in supervising people will be of primary value to us We learn to interpret A few examples will illustrate what is meant by interpreting

Example 1

The candidate organizes thoughts well and expresses him or herself clearly The individual provides complete answers to questions without undue questioning This probably indicates a person who is a good communicator and one who has a high degree of self-confidence The candidate is likely to come over well to others

A person who is hesitant and responds only with short answers, one **that we have** to pry words from, is probably not a good communicator The person is likely to act in the same manner with others

Additionally, a person who chatters aimlessly and goes from one point to another in a random fashion may not be able to communicate well on job matters

Example 2

The candidate who expresses the opinion that an employee should miss a day's work only if he or she is ill gives us an indication that he or she is likely to be conscientious about showing up for work everyday The person who indicates that he or she takes a day off whenever possible may not be very dependable

Example 3

The individual who listens to our questions thoughtfully, and who may even ask a clarifying question or two before responding, is probably a good listener The one who

has to be asked two or three times will probably have as much difficulty understanding our instructions on the job

Example 4
The candidate who appears to be overstating his or her accomplishments is likely to be one who is not going to live up to his or her claims

Example 5
The person who seems to have no clear idea as to the kind of work he or she would like to do or who shows little interest in the job responsibilities, and a lot of interest in the possible pay, might be one who may not give the job a fair trial He or she may be using this as an opportunity to find out what kind of work he or she likes to do

We have to use judgment in assessing the chances of the candidates succeeding in the job By asking pertinent questions in the appropriate manner, we can obtain solid impressions of the person being interviewed

It is difficult to keep all of the factors in mind in comparing candidates Therefore, a structured method is needed for recording impressions of the person being interviewed

Checking References
Checking the references meets with mixed results Personal references such as friends, teachers, ministers and the family doctor will produce the expected good reports They will speak highly of the candidate However, some candidates will list references expecting that they won't be checked The references which generally help the most in making a hiring decision are those of past employers Ideally, the person to talk with is the candidate's former supervisor

When we call references, we will still have to use good questioning techniques to obtain significant information, since general questions tend to provide only general responses We want to confirm the impressions and to check the **"hunches"** that we have developed Sometimes, we get a "signal" that something is not right and we would like to see if this impression is correct or not

Informing Candidates of the Decision
Hiring decisions should not be strung out over a lengthy period of time We should try to complete the interviews and make our decision within a week or two and avoid going past four weeks We should call the selected candidate soon after the decision is made and offer the person the job We will want to confirm the date and time the person is to report, where the person is to report, whom he or she should ask for, and other details It is also a good practice to meet with the individual to work out these matters in a face-to-face discussion

If the candidate declines the job offer, we should ask politely for the reason This information might be helpful to us in subsequent interviews Also, notify candidates who were not selected The message would go something like, "We have filled the

opening with a person whose qualifications seemed well suited

Questioning Techniques

The interviewer should be master of the interview The attitude of the job candidate and the value of the information secured can be controlled by skillful questioning It must be remembered that there are two candidates present in most interviews The real candidate and the candidate as presented by her or himself Certainly, the candidate wishes to present her or himself in the most favorable light, or at least as he or she feels the interviewer would like It is the interviewer's job to distinguish between the two, the real from the make-believe Good questioning techniques can help the interviewer make this distinction Before discussing good questioning habits, it is helpful to point out some of the more common errors in questioning that an interviewer may make Here are six of them

1 Questions that can be answered by merely "yes" or "no "

2 Unimaginative, run-of-the-mill questions for which the candidate has long since prepared ready-made answers

3 Leading questions which suggest the "proper" answer to the applicant For example, "Selling can be pretty tough, can't it?" "I suppose you left the Ajax company for more money?" "You like close detail work, don't you?"

4 Questions or comments that are non-neutral and reveal the interviewer's attitudes For example, "That's a good reason to change jobs " "I thought he did a good job What did you think?" "What has been your experience in dealing with some of the rebel rousers downtown?" In line with this, there are certain comments that can suggest an unfavorable attitude on the part of the interviewer through a remark made by the candidate Such questions could be embarrassing to the candidate and create obstacles for the further voluntary expression of his ideas They also could result in defensive or other emotional reactions of his or her part that surely minimize the effectiveness of the interview For example, "That wasn't the best thing in the world to do, was it?" "That wasn't a good reason to quit a job, was it?"

5 Questions that are already answered on the record They serve no purpose and waste valuable time

6 Questions that are not related to the task at hand For example, "What did you think of that Ballgame last night?" "How was the weather out your way?" One school of thought is that a question can help establish a friendly atmosphere and offer a means to gradually move into more profitable areas However, to most candidates, such an approach only postpones inevitable conversation and may, in fact, intensify the natural apprehension on the part of the candidate rather than minimize it His feeling may well be, "Let's get on with it The suspense is killing me "

Now let's turn to some more sample questions of the type that will not only enable the interviewer to avoid these pitfalls, but will also assist the candidate to express his or her ideas and feelings fully, in a frank and honest manner A number of questions that follow will be non-directive in nature and quite simple They permit the candidate to discuss those subjects with which he is more familiar or that he feels are most important From this point, the interviewer can guide the interview into such areas as are advisable

Certainly, a person's work experience is important and is a natural and easy place to start the interview Some key questions here might be

1 One of the things we want to talk about today is your work experience, would you tell me about your present job?

2 What do you feel were your major responsibilities in your last job?

3 In your last job, what were some of the things that you spent the most time on? And how much time did you spend on each?

4 What are some of the things on your job you feel you have done particularly well, or in which you have achieved the greatest success and why do you **feel this** way?

5 What were some of the things about your job that you found difficult to do, and why do you feel this way about them?

In addition to knowing what the candidate does on the job, it is vital to know how he feels about what he does The response of the candidate to the type of question as follows may well reveal such feelings and attitudes

1 How do you feel about your present job?

2 What are some of the problems you encounter in doing your job? Which frustrates you the most? What do you do about them?

3 How do you feel about the progress you made with the company?

4 In what ways do you feel your present job has developed you to take on even greater responsibility?

5 What would you say was the most, or least promising job you have ever had, and what are your reasons for feeling this way?

6 What do you feel has been your greatest frustration or disappointment on your present job, and why do you feel this way?

7 What are some of the reasons you had for leaving your last job? (Always look

for more than one reason for a voluntary resignation)

8 What are some of the things you particularly like about your last job?

9 What is your general impression of the last company for which you have worked?

10 Most jobs have pluses and minuses What are some of the minuses in your last job?

11 Do you consider your progress on the job representative of your ability, and why?

12 Where would you rank this job with other jobs you have held? What are some of your reasons for so ranking it?

13 How many hours do you feel a person should devote to his job?

14 What do you feel a satisfactory attendance record should be?

The way the applicant feels about people, his co-workers and supervisors, has an important part in determining his job success Here are the kind of questions that will help the interviewer explore this area

1 What kind of person is your supervisor?

2 What are some of the things about which you and your supervisor have disagreed? How were these resolved?

3 What do you feel were your supervisor's greatest strengths?

4 In what areas do you feel your supervisor could have done an even better job?

5 How do you feel about the way you or others in the department were treated by your supervisor?

6 In what ways has your supervisor helped you to further develop your capabilities?

7 What are some of the things your boss did that you particularly liked or disliked?

8 How do you feel your supervisor rated your job performance? What evidence do you have to support your conclusion?

9 What did he feel you did particularly well? What were the major criticisms of

your work? How do you feel about the criticisms?

10 What kind of people do you like working with? What kind of people do you find it most difficult to work with? How have you successfully worked with this type of person?

It is necessary for the interviewer to know what the candidates job objectives are, what he is looking for or wishing to avoid, in a job or career Here, again, proper questions can be of great help in obtaining such information For example

1 What are some of the things in a job that are important to you, and why?

2 What are some of the things you would like to avoid in a job, and why?

3 What do you want from your next job that you are not getting from your present job?

4 What is your overall career objective? What are some of the things, outside of your job, that you are doing, or that you plan to do, that will assist you in reaching this objective?

5 What kind of position would you expect to progress to in five years? Ten years?

6 What are your current salary expectations? How have you arrived at this figure? What would you consider satisfactory progression from this point?

It is valuable to know how a person regards himself To learn more about this, the interviewer might ask such a question as

1 How would you describe yourself?

2 As a person, what would you consider your greatest strength?

3 As a person, what do you feel you could most improve upon?

4 Are there certain things you feel more confident in doing than others? What are they and why do you feel as you do?

5 What are some of the things that motivate you?

ASKING QUESTIONS

To be an effective interviewer, a manager must gain information from the candidate relevant to the position being filled To do this, questions must be asked that produce answers which contribute to the knowledge of the candidate's skills and abilities

Some hints on effective questioning

1 Avoid leading questions

2 Avoid gathering non-relevant information

3 Follow-up questions until you are sure you understand - beware that you don't come on like an interrogator

4 Emphasize the present versus the past, most recent experiences are more likely good indications of the future

5 Explore in depth that part of the candidate's background most relevant to the job

6 Vary the construction and phrasing of questions

7 Avoid,'Yes/No' questions, they only cause you to ask follow-up questions

8 Start with broad questions then narrow down to specific

9 Use comments instead of questions, e g "I can imagine there were some really tough problems in that kind of job " instead of "What was the hardest part of that job?" This helps minimize the interview from becoming an interrogation

Some examples of leading versus non-leading questions

Leading (Poor)Non-Leading (Good)

- ❒ Do you enjoy working with people? What part(s) of your job give you satisfaction?

- ❒ Will you take courses required for ?
  What do you plan to do to get ready for the position? What is your role in the future?

- ❒ You learned a lot about people in the military don't you
  What did your service experience do for you that is relevant to this job?

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Questions Related to Job Dimensions

1 **Oral Communication Skills**

- What different approaches do you use in talking with different types of people?
- How do you evaluate the effectiveness of these approaches?
- Tell me about the preparation for and results of meetings you have been responsible for conducting

2 **Impact·**

- Have you been called upon for spontaneous presentations?
- What has been your reaction?
- How has your audience reacted?
- How do you determine reactions?
- What is your reaction to meeting a lot of new people?
- What do you do to capture people's attention when you first meet a new class
- (group)?

3 **Listening Skills**

- How much of your job involves listening?
- How do you show others you are listening?
- What do you think the role of listening is in good training?
- What counseling process do you use?
- How do you evaluate your listening effectiveness?
- Would you summarize for me the subjects we have discussed in the last five minutes?
- When is it necessary for people to repeat things to you?

4 **Oral Presentation Skill**

- Have you done any public speaking lately? Why?
- What was the result?
- What do you do to prepare for speakers or presentations?
- Thinking of the last presentation you made, did you meet your objectives?
- What kinds of questions were asked?
- Did you have to side step any? Why?
- What kind of feedback do you get?

5 **Written Communication Skill**

- What report that you have recently prepared was the most challenging? Why?
- What kind of writing have you done?
- Tell me about it content, format, reaction
- In your job, who usually does the writing? the presenting?
- What script or speech writing have you done? Examples?
- Would you quickly sketch out a brief script on the subject for me? (Give raw data, pencil, script form)

6 Technical Translation

- What technical writing have you done? Examples?
- How do you go about writing instructions that must stand by themselves?
- What role does graphics play in your past technical writing or presentations?
- Who has done what parts?

7 Development of Subordinates

- What do you find most useful in developing subordinates?
- How do you identify subordinates' needs and potentials?
- If you are promoted tomorrow, do you have a replacement?
- What did you do to help develop him or her?
- How many of your subordinates will be ready for promotion in the next year?
- To what extent do subordinates participate in decisions you make?
- How do you determine problems in your work area?
- How do you determine priority for action?
- Tell us about some of the people who have become successful as a result of your management
- How are you helping your subordinates develop themselves?
- Describe the strengths and weaknesses of your two strongest subordinates and your two weakest subordinates
- For each, what developmental action have you taken?

8 Knowledge & Utilization of Organization's Resources

- What organizational resources (services) do you most commonly use?
- What type of training or information about these resources do you give to your subordinates?
- How do others use your area as a resource?
- Whom do you do work with to accomplish your objectives?
- What do you do when faced with a problem you can't solve?
- What departments have you found to be most helpful in helping you solve problems? Why?

9 Evaluation Process

- How have you evaluated projects (or development) you have been responsible for?
- How important is feedback of the employees' feelings?
- In what ways have you justified the cost of projects?
- What part does the opinion of management have in evaluation of projects?
- How do you evaluate your part in projects?
- How have you been involved in budgeting programs? What was considered?

10 **Creativity**

- What innovative ideas have you seen generated by others recently?
- Can you think of a recent problem where old solutions didn't work?
- How did you solve it?
- Under what conditions do you display imagination and innovation in your work?
- How much opportunity do you have for innovation in your present position? Why or why not?
- What have you done to reorganize the work organization where you work?
- Give me an example of how you have overcome an obstacle that stood in your way?

11 **Motivation for Work**

- What factors do you consider most important in evaluating yourself and your success?
- Why did you choose your career?
- Give me some examples of experiences on the job that you have found most satisfying? Least satisfying?
- What has been the most important event or person in your own development? Why? Describe when you have worked the hardest and felt the greatest sense of achievement?
- What about your job turns you on? off?
- Give me an example of where your work goals and personal goals **were in conflict** and what you did?

12 **Salesmanship/persuasiveness**

- What was the best idea you ever sold to your superiors?
- Why did they buy it?
- What have you found to be the best way to get others to accept your ideas?
- What has been your most satisfying experience in presenting a new idea to someone? Why?
- Your most disappointing experience in presenting a new idea to someone? What did you do?
- Have you ever tried to sell your superior on an idea that was not accepted? Why wasn't it? What did you do?
- What was the toughest "selling" job you ever did?

13 **Adaptability**

- Give me an example of where you have had to change your approach because of circumstances?
- What is the toughest situation you ever faced? How did you handle it?
- This position requires working variable hours to accommodate three shifts - does this create any problems for you?
- What is the most significant change you have made in your career? Why? Give me an example of an operating policy you were in disagreement with and what you did about it?

- How do you presently allocate your time to various job activities?

14 **Sensitivity**

- What kinds of problems do others bring to you? How do you handle them?
- What are the major training (development) needs of the people in your present department?
- Have you recently made an unpopular decision? What was the reaction of others? How did you feel?
- When have people wasted your time with unnecessary problems? Explain examples?
- What are people you work with proud of?
- If I asked your superior to describe your greatest weakness, what would it be? Would it be any different if I asked a subordinate or a colleague? How do you know they would respond that way?
- How do you determine the feelings of your employees?
- When selling an idea, how do you determine when you are pushing too hard? How do you decide when to back off?

15 **Initiative**

- How do you get your work assignments?
- If you have flexibility to determine your own, give me an example of one you've started recently
- Have you found any way to make your job easier or more rewarding?
- Give me an example of where you have influenced new directions or anticipated problem
- List the new ideas and suggestions you have made to your superior in the last 6 months Explain the most significant one
- How many projects have you started on your own in the last year? What has prompted you to do so?
- How do you personally influence the productivity or efficiency of your organization? How do you get others to generate new ideas?
- Do you feel more comfortable with a preset work plan or general goals? Why?

16 **Planning and Organization**

- How do you schedule your time? Set priorities?
- What do you do when your time schedule is upset by unforeseen circumstances?
- How would you improve the planning system in your organization?
- What did you do to get ready for this interview?
- How do you determine those aspects of your job that require written reports?
- Do you have short-term and long-term plans for your organization? Explain?
- What kind of scheduling method do you use?
- How have you identified and overcome resistance to change in your organization? Tell me how you have adjusted to instances of sudden constraints on your operations
- How do you determine what constitutes top priority in your organization?

17 **Problem Analysis**

- How do you stay attuned to potential problems?
- Describe the biggest problem you have faced in the last 6 months and how you handled it
- Do you follow any particular procedure when confronted with complex problems? What are the essential elements? Why?
- How do you involve others in problem-solving?
- How do you separate training needs from other kinds of problems?
- What do you do to separate problems caused by a deficiency of knowledge versus a deficiency of execution? Explain your most successful problem-solving experience Explain a problem you have not been able to solve Why hasn't it been solved?

18 **Ability to Learn**

- What have you done in the last year to improve your own abilities?
- What weakness have you recently overcome? How?
- When you find a need to learn about something new, how do you go about it?
- What new abilities have you developed in the last year?
- What has been the most significant learning in your position as ?
- What different subjects/jobs have you learned/taught in your career?
- How much does an instructor have to know about the area they teach?
- What kinds of questions have your employees asked that you couldn't answer?
- What did you do?

19 **Energy**

- How do you catch up on accumulated work after an absence or vacation?
- When do you do your best work? Why?
- How many hours do you devote to your work in an average week?
- When did you last feel thoroughly exhausted? Why?
- What are good reasons to postpone things?
- What do you do for exercise and/or recreation?
- How many tasks do you like to tackle at one time?
- What do you do in your spare time?

20 **Stress Tolerance**

- How does stress on the job affect your performance?
- How do you relax and ease work tensions?
- Under what conditions do you work best?
- What is your reaction when others lose their temper or become irritated? Examples?
- Describe the reasons you last lost your temper? The outcome?
- What is the highest pressure situation you have been under in recent years - how did you cope with it?
- Do you feel pressure in your present job? Explain?

- Do you find it necessary to take work home? Why or why not? What situation has caused you feelings of frustration/impatience?

21 **Organizational Sensitivity**

- Describe a recent project you completed What effect did it have on the organization? How can you tell?
- How do you communicate the content and objectives of a new policy or program to the employees?
- What role does training fill in changing on-the-job behaviors?
- What is the most significant impact you have had on an organization? How did you do this?
- How has your own behavior affected employees' behavior? Why?
- What have your done to get employees' feelings and opinions in line with your project?

22 **Flexibility**

- Describe your most difficult role
- Describe the project that took you the longest time to complete
- What aspect of supervision do you have the strongest convictions about?
- What styles do you use with cooperative associates? With uncooperative associates? Why?
- Describe your best employee and worst How do you handle them differently? Why? What kinds of working conditions are not acceptable to you? Why?
- Give an example of a favorite idea/project of yours that was denied by your superiors - what did you do?

23 **Leadership**

- What are some of the practices you use to motivate employees?
- How frequently do you work with groups to accomplish tasks? What do you do to prepare? What is your role?
- What sort of a leader do your subordinates feel you are? Are you satisfied?
- How do you handle problems through an established chain of command?
- Do you feel you work better in one-to-one or group situations? Why?
- How do you evaluate the success of a meeting you conduct?
- Did you ever feel you had an important impact on a group to which you belong?
- How did you achieve that impact?
- How do you get people to work together who don't care for each other? Examples?

24 **Work Standards**

- In your position, how do you define doing a good job?
- How do you judge the performance of those you work with?
- What are the standards of success in your job?
- What standards of performance do you use in your training/development program?
- How do you control your departments budget?

- How far are you willing to compromise your job standards to help others do their work?
- Are you satisfied with your departments performance? Why or why not?
- What is the most important contribution you have made to your organization?

25 **Resilience**

- Describe the last time you were disappointed? Why and what did you do?
- What place does your own failings have in your work effectiveness?
- Describe a situation where you had a suggestion (important to you) rejected
- How do you bridge your attention to your work with attention to your personal life?
- Can you give an example of a conflict and what you did about it?
- Give an example of sharp criticism from an employee/superior Your reaction?
- Give an example of a goal you desired but have been forced to abandon Your feelings?

26 **Tenacity**

- What is the biggest obstacle you have had to overcome to get where you are today?
- Describe in experience where you were too persistent The outcome? What would you change?
- Can you think of some results you achieved because you persisted for a long time?
- Explain?
- Why are you interested in changing positions now?

27 **Career Ambition**

- What part of your job interests you the most?
- In what ways are you now capitalizing on your strengths?
- In what type of advancement are you interested?
- If you had more spare time, what would you do with it?
- What are your goals for the next 5 years?
- In what ways have you been preparing for the future in the last year?

31 **Use of Delegation**

- Who is "minding the store" while you are here? How was he or she selected? Why?
- How will you know how well he/she performed?
- Did you make a formal announcement to your subordinates concerning the responsibilities of the person you left in charge?
- Explain your biggest mistake in delegating
- Explain your biggest mistake in not delegating
- What don't you delegate?
- What keeps you from delegating more?
- Describe the type of decision-making that you delegate to your subordinates
- Describe your criteria for delegating assignments

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- If the degree of delegation varies among subordinates, explain how and why
- When did you have a major problem requiring staff help? What action did you take?
- Why did you ask particular people to assist you?
- How much overtime do you put in per week?
- How do you familiarize yourself with the current situation in your organization after being away for several days?
- How did you get other people to help you with function?
- Could you cite an example in your own experience where you have been faced with delegating authority and/or responsibility? How did it work?

32 **Decisiveness**

- What was your most difficult decision in the last six months? What made it difficult?
- How do you go about making an important decision affecting your career?
- What was the last major problem that you were confronted with? What action did you take on it?
- When faced with a business decision how long does it usually take for you to make up your mind?

The Selection Decision

Research on the traditional personal interview has demonstrated several things Validity is very low, meaning that interview scores are not related to job performance The same interviewer may ask candidates different questions over time and interviews conducted by different people may bear almost no resemblance to each other Interviews are highly subjective, unstandardized and open to bias In the event of a lawsuit, the traditional interview is highly vulnerable to legal attack and almost indefensible in the event of such an attack

Given that the elimination of the employment interview is unlikely, it is essential that methods for improving the interview should be utilized Recent research has suggested that a "structured" format is useful for interviews In a structured interview, all candidates are asked the same questions in the same order The questions in a structured interview are job-related, and answers for the scoring key are determined in advance The structured interviewing process has the following characteristics

- It is developed based on job requirements and job duties critical to successful job performance
- It consists of four types of questions job knowledge, situational questions, job sample/simulation and worker requirement questions
- It may include oral, written and physical sections, with the same job requirements measured in one or more sections
- Sample answers are predetermined Answers of applicants are rated according to the sample answers
- The interview is administered by a committee consisting (ideally) of three people familiar with the job
- Standardized application rules ensure each candidate has exactly the same opportunity

Observing and Recording Behavior

The principal upon which this entire process is based is that we use behavior to predict behavior This truism has guided managers throughout the ages in that the behavior in one situation usually predicts behavior in another situation Obviously, there are many exceptions, but almost all managers would agree that in the general, this old saying is true

All of the elements involved in review, questioning and simulation that are included

in our recommended process are aimed at uncovering behavior in the applicant's past which can be used to make a logical prediction of future behavior Thus, the task of the interviewer is to obtain as much factual information as possible about past behavior in the areas which have been targeted as necessary for successful performance on the job in question In other words, all elements of the selection process are conceived of as devices to uncover examples of behavior which can guide in predicting future behavior

The principal advantage of a behaviorally oriented approach to a selection system is that it minimizes the skill needed to project future behavior It takes many, many years of intensive education to be able to make adequate psychoanalytic projections On the other hand, almost any manager is capable of projecting behavior to new situations once it has been identified

This step is involved in looking for behavior and adequately recording that behavior for a decision

Multiple Person Interview

Most of the behaviors will be observed and recorded in multiple person interviews It is within this part of the selection process that the majority of data for making a hiring decision will be collected

There are two general alternatives which may be considered for this step One is simply a sequential series of interviews by each of the members of the assessment group The other is pairing of the interviewers

When interviews are conducted by pairs of interviewers, several advantages can be gained, with one person acting as an interviewer and the second as observer/recorder

- The interviewer can be less concerned about getting everything down and more concerned with the good flow of the interview, the non-verbal behavior of the applicant and pursuing important items requiring follow-up questions

- The observer/recorder can be less concerned with the plan and flow of the interview, and more concerned with recording the needed data on past behavior of the applicant

- Working together, two people see and hear the applicant in response to the questions asked and situations which arise These two views, two ways of seeing the data, are a valuable comparison when making decisions and judgments about dimensions

- By setting up some simple cueing so that the applicant does not feel like a ping

pong ball, the interviewers can be sure to follow up on questions and cover all important areas

- After a practice session, most managers find the paired approach more effective It tends to help keep the interviewers aware of both their role in the process and the key "do's" and "don'ts" of the whole process

Still, the decision of whether to interview in pairs or sequentially must be made by the managers involved based on time, geography and other factors Regardless of the decision, planning the interview is probably the most important step

Research has overwhelmingly indicated that preplanned interviews are more effective in successfully predicting future performance Pre-interview planning assures that the manager will focus on information relevant to the job under consideration and will seek information on each of the defined dimensions Planning gives the interviewing manager confidence in her or his ability to handle the interview There is no need to worry about the next question to ask, so the manager can concentrate on what the applicant is saying Planning gives direction to the interview, thereby making maximum use of available time The manager is able to concentrate the interview time on information areas most important to decision making

Planning provides time to think through the phrasing of non-leading questions Planning prevents the manager from repeating questions already answered on the record Planning assures that all time periods of the applicant's adult life are covered Unaccounted for periods that may be very important are exposed Pre-interview planning gets the manager psychologically ready for the interview His or her mind is taken off work problems so that maximum insights can be gained from the interview

Most managers do not plan for interviews Their excuse is usually a lack of time But this is not a valid excuse when they intend to spend an hour to and hour-and-a-half with an applicant Lack of planning can cause many inefficiencies, such as allowing digression into unfruitful areas, asking inappropriate, unproductive questions that waste far more time than proper planning would take In general, it is better to shorten an interview slightly and do some pre-planning than to use all the available time interviewing

After a manager gains experience in preplanning an interview, preplanning should take from 15 to 30 minutes depending upon the number of dimensions sought and the applicant's work history The ideal time to plan for an interview is right before the interview The major advantage of preplanning right before an interview is that the planning allows the manager to unwind from the pressures and other distractions of the job and develop the proper psychological set for the interview This set is important as it allows the manager to effectively use information produced early in the interview Interviewers that jump from their job into an interview often find their minds are still on their job problems halfway into the interview

Preplanning immediately prior to each interview in a series of interviews is equally as

important If no pause is inserted between candidates, an interviewer often finds himself thinking about the previous applicant well into the interview with another candidate

If planning cannot be scheduled prior to each interview, then plans should be developed for several interviews in advance A more careful writing out of the interview questions will be required as the questions will not be as fresh in the mind of the manager

There are many ways to plan an interview We suggest the method shown below because of its simplicity It can be shortened or lengthened to fit almost any interviewing situation This means that it can also apply to screening interviews as we've discussed earlier in this step The process employs ten critical steps found to be important in handling a selection interview successfully and requires planning how each of the critical steps will be handled

The ten critical steps are.

1 **Put the participant at ease**
2 **Explain how the interview will be conducted**
3 **Trace educational history**
4 **Trace job history including military experience**
5 **Explore motivation, career ambition, interests**
6 **Ask a question to gain time to check the interview plan**
7 **Ask additional non-leading questions**
8 **Describe the job**
9 **Close the interview**
10 **Complete the evaluation forms**

The main portion of the interview dealing with educational and work history in general (questions dealing with motivation, career ambition, etc), should be planned first, leaving room for the introductory and closing steps This enables the manager to structure these areas to reinforce or supplement information planned for in the major portion of the interview The sequence of areas to be covered in the interview are educational history, previous job history, current job, plans for the future, miscellaneous and follow-up questions, and a description of the position

The sequence of starting early in a person's life and working toward the present is preferable for a number of reasons

1 By discussing education and early work history first, most candidates are put at ease so that they can then talk about more personal subjects such as their current job situation, interests, health, and so on

2 It is easier to follow changes in dimensions, such as independence, initiative and judgment over the person's career

3 Current behavior is the most important, so it is good to have it near the end of the

interview where it can be easily recalled by the interviewee

The discussion of the details of the job for which the applicant is applying should be held until after the question portion of the interview, so the information will not bias the answering of questions Delaying the description of the job allows the manager, who is certain a candidate is not qualified, to stress those job requirements that the candidate obviously does not possess, thus preparing the candidate for a later rejection

Holding the discussion of the position until the end of the planned interview also helps insure that the emphasis of the interview will be on finding information about the candidate, where it should be, rather than on selling the person on the job

A pad of lined paper is a helpful aid in planning Different pages of the paper will be used for each critical step and one page will be used for each major event in the applicant's history For example, the following might be the page headings of a candidate

Page 1 Put the participant at ease and explain how the interview will be conducted

Page 2 Educational background

Page 3 First job or first year or so

Page 4 Second job or next year or so

Page 5 Third job or next year or so

Page 6 Fourth job or next year or so

Page 7 Gap in applicant's past experience record

Page 8 Next job or next year or so

Page 9 Current job

Page 10 Motivation and career ambition

Page 11 Interests and other questions

Page 12 Questions or questions to gain time to check the interview plan completely through

Page 13 Describe the job (and person's reactions)

Page 14 Close the interview

In actual fact, many managers soon commit some critical steps to memory and thus skip

them in planning (such as explaining how the interview will be conducted and closing the interview) Interviewers also find that they can quickly memorize transition comments appropriate for introducing each of the major background Areas This eliminates writing out these comments and aids the flow Until such comments are memorized, key reminder points should be written out

The majority of the planning effort is focused on developing appropriate questions to bring out all dimensions After the major headings are put on the pages, the manager looks at the list of dimensions sought and determines questions that can be asked under each heading that will provide the information on the dimensions Information on some dimensions can be obtained while discussing many areas of the applicant's life For example, information on initiative can be obtained by asking questions about how each major life change came about Other dimensions are more difficult and can be obtained while discussing only one aspect of the individual's history For example supervisory style can only be sought while discussing those jobs where the individual was a supervisor

When writing a question on a page, an attempt should be made to insert the question where it would be most appropriate in a sequence of questions on that subject If it would be best at the beginning, then the question should be written at the top of the page If in the middle of the sequence, then in the middle of the page, and if at the end, at the bottom of the page

Career Development Knowledge

A good starting point for managing careers is establishing the primary objective for such an activity Why do we want to manage careers? The answer is usually viewed from the organization's perspective and it is **To hire, develop and retain people who will accomplish the organization's goals and objectives**

There is nothing inherently immoral or disgusting about this objective The problem is that such a view may be somewhat naive and short-sighted Here's why

We may have an organization that has a fairly clear mission and pretty specific operating objectives But, we also have individuals who have needs and goals of their own While most employees recognize the importance of trying to accomplish what the organization desires, they can't help but be influenced by their own desires and wants

Can management sit back and say, "Well, that's their problem?"

Of course they can And, many managers have held this view But it seems to be rather limited and restrictive when we consider the motivation of individuals Most of us would want to see some opportunity for satisfying our selfish goals in the process of achieving the organization's goals Most of us would **prefer** to see personal rewards and achievements as some part of the formula for Career Development Most of us are likely to have our attitudes influenced by the amount of opportunity we see

What Is Career Development

It seems only fair that management's efforts to manage people's careers ought to represent some sort of a balance between what the organization needs and what the individual desires This means that management should strive for some mutuality between what they desire to have for the organization and what the individual wants to have for him or herself A picture might consist of these elements

The ideal situation should be an attempt to match individual needs to organization objectives, personal achievements to overall goals, and an employment career with the organization's long-term mission

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Matching Of Organization and Individual

We should be able to see a more balanced view that defines our job in terms of the organization and the individual employee This view carries with it some strikingly different requirements than the idea of "Plugging in employees where they can do the most good " When we keep both the organization and the individual in mind, we see responsibilities like

- ❒ Determine the organization's objectives
- ❒ Determine the individual's needs
- ❒ Decide upon the organization's goals and Assess the individual's desired achievements
- ❒ Establish what the organization's long-range mission is and
- ❒ Establish what the individual wants as a career

Then

- Identify the individual's abilities, and
- Use those abilities to the MUTUAL benefit of the organization and individual, plus develop those abilities to satisfy the longer range needs of the organization and the ambitions of the individual

Create A Mutual Fit

This two fold perspective of career development forces the manager to see his or her job as more of a "balancing act" of what is done to the job and what is done to the person It becomes less of a situation of trying to get the employee to fit the job, in much the same way as a shoe salesperson "shoehorns" a foot into the shoe that is available

Some may object, saying, "You can't change the **job content** to fit the person " And, they may have a good case for describing "jobs" that have concrete responsibilities and fixed duties What they may not see is that it may not be necessary to change the **job content** to match a person It is likely to be necessary, however, to change the **job context.** Nearly every aspect of **job context** can be changed (managed) without sacrificing **job content** Simply stated, job **content** refers to WHAT is done and its priority, **job context** refers to HOW it's done and its environment

By managing the individual's competency and the job's context, in unison, managers can achieve significant benefits for the organization, while enhancing the rewards to the individual

- ❒ The ORGANIZATION gets INCREASED PRODUCTIVITY because the individual gets increased job satisfaction, improved motivation, more efficient use of talent, more satisfying application of abilities and more opportunity for achievement

- The ORGANIZATION gets MORE PROFIT because there is an inherent decrease in turnover, a more effective application of training dollars, a more efficient matching of candidates to openings and a more responsive work group for changes that occur

These potential benefits warrant some real effort toward achieving the mutual fit between individuals and jobs

Use a Mutual Process

Creating a mutual fit requires some rethinking of the process It is not enough to speculate about what an individual's career aspirations are It is equally insufficient to dictate what those career goals should be There is the traditional conflict in thinking when it comes to career development Should management determine what is good for each person and set the course for each one's career? Or, should management allow, encourage and support the participation of each person in the process? The former view assumes that managers are all wise and all knowing, subordinates are ignorant and just waiting to be told what to do

Stephen Vincent Benet described the dilemma as a part of a military model, planning done by the officers, as follows

> *If you take a flat map and move wooden blocks on it, strategically, the thing looks well, the blocks behave as they should*
>
> *The science of war is moving live men like blocks And getting the blocks into place at a fixed moment*
>
> *But it takes time to mold your men into blocks*
>
> *And flat maps turn into country where creeks and gullies hamper your wooden squares*
>
> *They stick in the brush, they get tired and rest, they straggle after ripe blackberries, and you cannot lift them up in your hand and move them*
>
> *It doesn't stretch the analogy too far to apply it to the task of managing careers*

Robert E Tannehill, in his book on **"Job Enrichment,"** offers another vivid picture of some of management thinking Consider what an employee might be "shooting for" in life Without a specific career goal we can have an unhealthy motivational situation Just shooting arrows without having a target is a meaningless, routine and very boring activity Because it is pointless, we would expect the individual to lose interest quickly, or begin to invent his own target which may not be useful to the organization, although it might relieve the boredom for the archer

But if we establish a career target, we immediately change the motivational climate (Remember, we are using a target that represents a MUTUAL fit between what the organization wants and what the individual wants)

Now the archer has specific, understandable and challenging career goals, he or she can get feedback on performance because he or she can see how his or her efforts achieve desires, and he or she is able to get interested in the task at hand without anyone else directing or controlling efforts

But in most organizations, jobs are not that way We often find practices that get in the way, work systems are over-structured and the people themselves cannot understand or relate personal goals to the organization's goals, communications are bad, so mutuality is never established We might characterize that situation by showing the archer standing on one side of the hill, while the target is on the other side of the hill, out of sight

Now the archer, deprived of feedback, may get very resentful of being placed in this sort of position He or she is expected to perform well, but is unaware of how what he or she is doing relates to the goals He or she is likely to quickly become alienated from the work and the rest of the organization He or she becomes bored, angry, or in some cases, will simply lose interest He or she may quit the job mentally, so to speak, but keep coming to work every day to get paid If he or she is political, however, and wants to keep the job, it shouldn't surprise us to see him or her begin to concentrate on effort, or "looking good," because if you can't get attention through results, you want to be sure others are watching you for other reasons

Bring in supervision, give them the task of "motivating" people to try harder, be more effective, etc In our situation, here, we might characterize this effort as locating the supervisor on top of the hill where he or she can direct the efforts of the archer Usually, however, these efforts to provide feedback are not too successful

The archer is now dependent on the supervisor He or she finds it difficult to use this feedback, however, and it isn't too long before the archer's alienation and resentment on the job is transferred to the supervisor, particularly if he or she suspects the supervisor doesn't really care about his or her success or if he or she loses credibility in the supervisor's ability to even see the target

The employee may feel dependent on someone who wouldn't be able to notice the results even if they were good! With that breakdown in confidence, it shouldn't surprise us that the archer might be tempted to let a stray arrow fly in the direction of the supervisor!

Instead, we should attempt to change the situation for the archer and put him or her into a healthy motivational situation, where the archer can see the career goals, get feedback on progress, and be directly involved in trying to achieve successful performance of something that is inherently important

But what about the supervisor? What role does he or she play? We can portray this by

having the supervisor working with the archer, setting goals, training, coaching and counseling, making sure feedback is there, getting better arrows, a better bow or adjusting the target as necessary to maintain a challenging situation for the archer He or she also reinforces and rewards the archer's behavior when it seems to contribute to successful achievement for the organization and the individual

This new role is essential in the **mutual process** of establishing career goals for the individual that are compatible and consistent with the work goals of the organization

Personal Commitment

The new role of the manager in career development is not an easy one to fill It will take some deliberate sensitivity, some specific objectives to focus on, and large doses of patience Let's explore each of these three requirements to see what they mean to us

Sensitivity

We may be tempted to feel, by habit or fear, that we have a good command of the situation in which our people perform We may feel that we know what it takes to be competent and we know what the job situation is all about In reality, we may be very naive, we may be operating from myths and folklore To demonstrate sensitivity, we may have to reassess some of the realities of the world of employees and update some of our thinking

There is a "Myth-Reality" questionnaire as a part of this session To review our sensitivity, we should complete it The disparity of the items in the "Myth-Reality" questionnaire demonstrate that MANAGERS PROBABLY DO NOT KNOW WHAT IS BEST FOR EACH EMPLOYEE If we have sensitivity we will find out what **they** think, and what **they** want

Managers Should Be Sensitive

Do unto others as **they** would have you do unto them Sensitivity is essential for understanding the job context in which employees work

- ❒ We have to be sensitive to the job environment the setting of the job can have a large influence on the motivation and actions of employees

- ❒ We have to be sensitive to the formal structure of the organization in terms of policies, procedures, forms, position descriptions, reward systems and communication methods each of these can conflict with our career development goals for an individual, or with the individual's personal aspirations

- ❒ We have to be sensitive to the organization's culture that unwritten set of values,

beliefs, expectations, assumptions, mandates and norms that act as a powerful force to influence behavior and direction

We have to be sensitive to peer group values and pressure that may work for or against our development efforts We have to be sensitive to our own inadequacies, biases, interpretations and motives as we try to do what's best for subordinates To achieve the career development results we desire, we will have to be sensitive enough to identify each of these items and take deliberate action to manage it Each one provides a new opportunity to control the direction of our efforts and to reduce the likelihood of interference What we will want is a series of planned action steps to compensate or adjust

Objectives

The second element of personal commitment is objectives **having a clear view of desired results clearly in mind as a focal point for all developmental efforts** We would notice that "having objectives" is essential, but using the objectives is the critical part Here's how it works, in four easy-to-see ingredients

- ❒ Set specific career development objectives with each employee
- ❒ Pursue each objective for each employee with full, undivided attention
- ❒ Limit developmental activities to those that will, predictably, achieve the desired objective
- ❒ Totally shift from one activity to another when that is required for achieving the objective

For this to work, managers really have to be interested in the development of their employees Otherwise, the objectives and activities won't hold their interest A Manager's attitude toward employees is probably the most important factor in successful development Each manager is familiar with the jobs of employees Each is familiar with many technical aspects of the work, and managers have been through many of the problems employees face What managers know and understand, they can relate to, and describe, in rather precise terms However, large communication barriers arise if employees do not feel that their managers really want to help them develop **They must feel that we are interested in their development and that we want them to develop Otherwise, they will likely see our efforts as trying to find fault** They can become defensive about the way they are doing their jobs, and find a lot of reasons for not developing

Perhaps we can clarify again by referring to the sports world There, coaching is a word that is descriptive also of the relationship between coach and players The coach wants the team members to play well and to win against the competition Victory brings rewards to both the players and the coach Successful coaches are those who convey this

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"winning team" attitude to their people For us as managers, we will find it necessary to convince our people that we are primarily concerned with them winning We cannot convey that if we are in it **only** for our own gain

When employees see that we are sincere in wanting to help them, their receptivity to our style is high, and an open exchange can result We simply need to focus on our objectives with the right motives, to have a good chance for success at developing employees

With attitudes in tune with objectives, the action-planning and implementation stages of development remain They are taken care of best by using a five-step process

Jointly, with the Subordinate

- ❒ Define the desired change, specifically relating it to the job context
- ❒ Determine which people, skills, organizational structures, operating systems, and management orientations need to change
- ❒ Quantify the level of effort and resources needed to bring about each of these changes
- ❒ Develop an action-plan and timetable for holding each party's focus on the elements involved in the change effort
- ❒ Begin steadfastly implementing the change, monitoring progress closely and making necessary adjustments along the way

Patience and Persistence

Development takes time! How much? Well, informal surveys of managers tend to support the findings of researchers involved in the study of changing organizations

TIME INTERVAL	AMOUNT OF CHANGE
8 to 12 months	5 - 10%
1 to 4 years	10 - 19%
4 to 7 years	20 - 38%

These figures are extremely important because they represent changes that are decided upon and agreed upon They represent the amount of change that can be expected, as a percentage of total behavior Notice that the range stops at a theoretical 38% These studies show that it is highly unlikely that an individual or an organization will change more than about one-third The reason is simple changes beyond this magnitude would require substantial changes in the spiritual and psychological make-up of individuals That kind of traumatic change is rare, normally occurring in less than 1 in 1000 people in each year and to only 1 in 40 in their lifetimes

So, we have to be practical If we want to see a 10% change in the behavior of an

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employee, we will have to dedicate the appropriate amount of developmental effort for a year or more If we want a 20% change, we should be prepared to continue our efforts for 3 to 5 years

Our patience and persistence will show up in several ways

- A capacity for reappraisal that allows us to rise above the pressures of day-to-day activities and evaluate our role in the development process When one manager, who had been involved in the development and instruction of a new supervisor backed off to reappraise her role, she was amazed to discover that her tight hold on the reins actually prevented the supervisor from embracing her new strategy She immediately began **working through,** rather than **over** the supervisor

- A commitment to re-assessment that leads us to analyze the sources of developmental difficulties and to address them in terms of the organization's realities and our strengths This characteristic, while similar to the first, goes beyond individual analysis to the objective realities of the organization For example, after one manager meditated on a serious developmental problem, he gained the insight that his own independent coaching rather than the organizations formal training might be more suited to the employee especially since his budget for seminars had been cut

Confidence in the goals for the future is also a byproduct Confident people are patient people, and patient people marshal! strong confidence behind their goals (Those who lack faith in themselves, their goals, and their organizations are always impatient) Because patient and persistent managers have confidence in their goals, they are prepared for the fact that it will take years to effect lasting changes

Patience helps make good decisions in the proper place, at the right time Patience functions as a timer to make sure events unfold in logical sequence

Make Decisions That Are Pertinent Now
That means having the patience to put off a decision that the boss or the subordinate is pleading with you to make right now, but that in your judgment need not be made until certain events and circumstances have occurred When someone insists that you must answer "yes" or "no" right now, you should usually answer "no "

Never Make Decisions Prematurely
That doesn't mean patient managers don't act quickly or experiment with solutions to problems, but it does mean that they don't act hastily or experiment prematurely

Make Decisions That Can Be Carried out
Managers who make decisions their organizations can't support are not only impatient, they are foolish Patient managers carefully pursue strategies their organization can implement, focusing on changes they know their people can successfully make

Never Make Decisions Others Should Make
In emergencies and crises, impatient managers can't resist making decisions for their employees But when we make a decision someone else should make--even a strategically sound one--it adversely affects the development process

Patience and persistence include the appropriate application of time and temperament to the development situation

Needs Assessment

Developing a Manager, a Customer Service Supervisor or a Maintenance Engineer requires a needs assessment We look for different weaknesses and strengths in performance in each case For the most part, we are working with employees and specialists who are required to exercise a number of technical skills in carrying out their work They have duties or areas of responsibility that are usually well-defined Our development efforts require a particular approach that fits our particular employees and these conditions

Managers who are successful at development practice the "divide and conquer" technique That is, instead of trying to develop all of an employee's capabilities at once, they pinpoint their attention on one or two areas where improvement can be made, and concentrate their efforts there When these have been developed, they move on to one or two more, and so forth This means that we should take an overall look at the employee and decide where the improvement will have the most direct results One approach is to consider the employee by looking at these factors

- ❒ Knowledge of the job
- ❒ Skills in performing the job
- ❒ Personal factors

Appropriately, we will divide-and-conquer the three factors

Knowledge of the Job

Knowledge refers to the general background an employee has to have for the work he or she is doing The concepts of planning the work, using technical knowledge, being aware of policies and procedures, knowing job priorities, and having an understanding of the job responsibilities are some common examples Of course, the knowledge required for each job will vary, but the idea is to identify the key areas of necessary knowledge

In each job there will be several "need-to-know" areas (i e anyone who does the job **absolutely** has to know these things) There will be a number of less important knowledge areas we would also think about We don't ignore these "nice-to-know" areas, but we reserve these for another time after the critical areas have been handled We concentrate on the need-to-know areas first, if improvement is needed there

Skills in Performing the Job

Job knowledge is a prerequisite to performance, but skills are also needed Each position requires a set of skills Some skills are manual, as in operating a terminal or going through the sequence of steps to start up a unit, but many skills are mental For example, if the employee is inept at troubleshooting a common problem, we know there is an immediate payoff if we show her how to diagnose common problems she encounters

Personal Factors

The third factor is one that centers around personal factors which will affect a person's performance A person may have the necessary knowledge and skills, but his or her overall performance may be diminished by personal factors For example, a person who waits to be told what to do requires more direction than one who exercises initiative As managers, we have to spend more time with him or her than with the others If this time investment is too great, it becomes a real burden on us We can't ignore this As another example, an employee may be handling the technical parts of the job well, but displays a negative attitude about the organization from time to time, which has a negative effect upon other employees or even customers He or she may be getting the work done, but we can't overlook the harm he or she may be causing by this bad attitude We may be able to develop the employee on how to separate personal feelings from the requirements of the job These personal factors are not necessarily skills, but they are still of great importance

For another example, we may have an accounting clerk, with many years experience, who can handle a wide range of jobs expertly However, suppose she is difficult to get along with, is quick to criticize the work of others, and displays a superior attitude As a result, the employees with whom she works become upset and their productivity suffers As managers, we may have to settle many small disputes The clerk may be producing a good level of work herself, but the cost of her services (loss of productivity of other employees) may be high Development will be required to help her overcome her personality weaknesses and develop her interpersonal skills

Most of us have a good idea of the strengths and weaknesses of each employee The data we have on their day-to-day work helps us develop a clearer picture of their capabilities and we are able to spot areas where improvements can be made It is at this point that we will decide what we think is reasonable to achieve in a developmental discussion with the employee We will make these improvement areas into specific objectives Our objectives should reflect real needs When we determine what we need to accomplish, we are going to have a better chance of getting some meaningful development

Discuss Improvement Needs

In a developmental discussion, we should concentrate on one, two, or three improvement areas If we try to cover too much and build a long shopping list, the employee is likely to be overwhelmed It is better to pinpoint an area or two where improvement can be

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made That means we should take an overall look at the employee and decide where the improvement will have the most direct results One approach is to consider the 28 dimensions of a job and select specific dimensions to work on

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DIMENSIONS & COMPETENCIES BRIEF DEFINITION

Achievement Orientation *Focuses energy toward task and goal accomplishment and is accountable for own actions and their consequences*

Analysis *Identifies key issues and relevant, cause-effect relationships from a base of information*

Customer Orientation *Identifies and anticipates customer wants and needs and takes action to ensure customer satisfaction*

Decision Making *Makes decisions in a timely manner, with appropriate involvement, reflecting sound, logical judgment on the facts and constraints*

Delegation/Development *Uses the human resource effectively by developing all employees to their full potential and by delegating tasks to the appropriate level*

Ethics *Aligns oneself to act ethically and morally in all circumstances, while understanding and promoting the value of diversity in employees*

Flexibility *Maintains effectiveness in changing circumstances by adapting style and managing change*

Information Gathering *Asks appropriate questions and actively listens in order to solicit and understand information needed for decisions or problem solving*

Interpersonal *Establishes and maintains appropriate relationships by courage and sensitivity in assertive, cooperative behaviors*

Leadership *Works with individuals to create and achieve the shared vision of the organization through commitment*

Measurement/Control *Establishes effective measurement and feedback methods to ensure result achievement and continuous process improvement*

Negotiation *Secures win-win agreements on decisions and courses of action by successfully managing agreement and conflict*

Oral Communication *Expresses ideas clearly in individual and group situations by appropriate verbal and nonverbal methods*

Organizing *Uses the structure, authority, strategies, resources and systems of the organization or position for efficient goal accomplishment*

Participation *Works productively with other people to define and achieve group goals, with cooperative and congenial relationships*

Performance Management *Provides pertinent feedback to others while recognizing desired performance and correcting deficiencies*

Personal Productivity *Manages time and resources in appropriate priorities to ensure task accomplishment as well as timely team contributions*

Persuasiveness *Uses appropriate persuasive strategies and tactics to gain understanding, acceptance or agreement on ideas and plans*

Planning *Translates vision and goals into relevant objectives and accomplishable plans of action for self and/or others*

Presentation *Presents ideas effectively in formal settings, including public speaking and the appropriate use of audio-visuals and demonstrations*

Proactivity *Employs originality, imagination and creativity to make unsolicited improvements and to solve novel problems*

Problem Solving *Identifies, analyzes and resolves problems with actions that prevent their recurrence and/or reduce their negative impact*

Self Development *Identifies own strengths and weaknesses and learns new knowledge and skills to increase value to self and organization*

Specialized Knowledge *Uses relevant specialized/professional knowledge to make technically correct decisions about operations and processes*

Stress Management *Maintains spiritual, mental and physical wellness to cope successfully with predictable life and job occurrences*

Systems Thinking *Gathers information from stakeholders inside and outside the organization and ensures that decisions and actions impact them appropriately*

Team Leadership *Leads teams to accomplish team tasks and goals by facilitating partnering and synergizing*

Written Communication *Expresses thoughts ideas and facts in writing to convey understanding and to provide effective documentation*

The different dimensions listed here, as examples, might make the determination of improvement needs seem complicated In actual practice, it really isn't If asked at this moment to list one area for improvement for each of our employees, we could probably do so We may not have any kind of a formal dimension list or competency profile to

compare an employee against, but because of the mental picture we have of the person's work, we can spot areas where improvements can be made

Set Objectives

Setting objectives refers to determining needs We should decide, with the employee, what is reasonable to achieve It is usually better to establish a realistic objective than to take on a larger improvement goal This way, the development can be a "success experience" for the employee and for us It makes it easier to do it again, the next time

The opening of the discussion is important in setting the tone of the session As noted, our attitude of helpfulness is a critical factor If our employees see that we are sincerely interested in their development, this will come through A good practice is encouraging the employee to suggest how he or she feels about improvements, and by encouraging him or her to give examples

Often, we will feel uncomfortable about a developmental discussion We need to keep in mind that the common ground between ourselves and our employees in **the work** that they are doing We should feel free to discuss the various aspects of their jobs with them It's a part of our responsibility What's more, the employees will want to talk about their work and will usually appreciate our interest It is interesting to note that an employee will often be more critical of him or herself (in a positive sense of the word) then the supervisor will be

An important point to keep in mind is that when an employee brings up a way in which she feels she should improve, then we will feel more open in discussing it If we start the session by listing a number of areas where we feel changes are appropriate, and itemize how these changes are to be made, the employee may be taken aback and possibly could become defensive Therefore, by having the employee start talking at the outset, we set the stage It becomes a discussion in which we are both involved

Here are some additional points to consider

- ❒ We need to consider the improvement of good performers Development means more than just looking for weaknesses, it also means helping a person to do better, even those things that he or she may already be doing well Those of us who can turn the average performer into an above-average performer will have discovered a key to success

- ❒ We should not be afraid to aim for high standards Improvement goals have to be realistic and reachable, but asking an employee to stretch can have a positive motivational effect

- ❒ While we will do a lot of listening, we should also reveal our own expectations Frequently, we try to be so tactful that the employee doesn't ever get the point Development is a give-and-take situation in which there is honest exchange If

we hold back, our employees may respond in kind In addition, we should be prepared to take suggestions from our employees

- We may discover that some of our supervisory practices need improvement It takes a mature person to react positively to these suggestions from employees The suggestions that we make for personal improvement should be worthwhile and related to the employee in terms of how these will help him or her do a better job We avoid playing the role of a judge We are the coaches who want to help our team members play a better game and thereby become more valuable members of the team

- We will need to obtain a commitment from the employee We will strive for an agreement with the employee on areas for improvement We will get specific about how the development is to take place and what we are to do to make it possible (resource allocation, time commitment, coaching etc) This leads to greater commitment on the part of the individual in his or her desire to improve

The whole process of discussion should conclude with specific developmental objectives that represent what the organization needs and what the employee needs

The Career Discussion

In his book, **How to Conduct Effective Interview,** Walter Mahler gives some good guidelines on holding a career discussion We've added some of his work here

What is a Career Discussion

A career discussion can be defined as a discussion between a superior and a subordinate about the latter's future It might be more accurate to say the discussion is about the subordinate's future occupational situation Let's put the career discussion in perspective with other types of boss-subordinate discussions

Performance management has to do with performance Emphasis is placed upon a variance between what is expected and what is being realized Both superior and subordinate engage in "problem solving the variance "

Counseling interviews have to do with an inappropriate behavior or attitude The behavior could be inappropriate in terms of a negative effect upon performance, or in terms of the rules of the organization Here again, emphasis is placed upon both the superior and subordinate jointly being concerned about the inappropriate behavior

What Career Discussions should Accomplish

Career discussions provide the same joint opportunity In this case the subordinate has certain "virtues" The organization has certain positions requiring a wide variety of

"virtues" They may need the abilities of a subordinate in the near future, they may not The subordinate is also in competition with others The career problem can well be thought of as a match of the subordinate to the requirements of an available position The superior can be of real help in assisting the subordinate to look at the requirements, to look at the probabilities of advancement, and to plan to achieve as optimum results as possible

A career discussion can be considered successful when

1 Both superior and subordinate share in a deliberate effort to be realistic about the latter's future

2 The subordinate is realistic about his or her future

3 The subordinate establishes future plans which are appropriate

4 The subordinate appreciates the interest and concern manifested by the superior

Career Discussion Principles

It is particularly important to thoroughly review some career discussion principles before conducting career discussions

Almost All Individuals Have a Strong Concern About Their Future

In survey after survey, employees at all levels of the organization report that it is very important for them to have an opportunity to advance Two out of three say it is "very important " Only 6 percent do not say advancement is important It is very rare that individuals indicated a lack of career concern

In discussing factors impacting upon satisfactory performance, we made mention that an executive was responsible for securing results and, in the process, providing for the need satisfaction of subordinates involved One need, common to most of us, is to progress in one's chosen area of endeavor Managers are certainly concerned about their careers So are subordinates at each level of an organization

This concern means that it is quite unlikely that we can avoid career discussions for long At some time, confrontation on career questions must be faced If advancement is one of the more important needs of our employees, then we must be skillful in taking this into account as we seek to motivate performance and to retain capable personnel in the organization

Managers Don't Want to Talk about Their Subordinates' Futures

In survey after survey, managers indicate that they would like to talk with their superior about their careers This is true at all levels of management Yet seldom, if ever, have they had such a discussion with their subordinates Why this strange paradox? Why don't managers do unto others as they would have others do unto them?

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Several reasons probably account for this strange situation One is a misconception about what a career discussion is Managers often expect subordinates to want to know definitely about their advancement opportunities Since they are either unable or unwilling to be precise, managers avoid having a discussion Other managers avoid such discussions because they don't know how to do it in an effective manner In some instances, the situation is a delicate one Some managers are uncertain about their own next move It is even worse if they sense they are not going to move Discussions with a subordinate about the latter's future can certainly be difficult under such circumstances

Career discussions are most likely to be avoided when the manager knows that the subordinate is not likely to be able to move, either because of lack of opportunity or because of lack of competitive abilities

It Is Not Necessary or Desirable to Tell Individuals About Promotion
Survey results were given to a top-level executive They showed that each of his subordinates wanted to have a career discussion The executive said, "Why, one man is 64 What questions could he have? In any case, I'm not going to tell a man he will be promoted Neither am I going to tell him that he will not be promoted So, what would we talk about? I don't think a career discussion is necessary "

The executive well illustrated the importance of this principle **It is not desirable to tell individuals they will be promoted until a decision has been made and the move is about to be made** To promise a promotion is dangerous, since final decisions are always made at one or more levels above a given executive The subordinate knows that the best an executive can do is give a strong recommendation Of course, subordinates would not be displeased to be told that they will be promoted But, they would be greatly upset if a promised promotion went to someone else So we would argue that it is not necessary to tell individuals they will be promoted

It is undesirable to tell individuals they will never be promoted Slamming the door, with finality, isn't desirable It certainly doesn't help sustain motivation to continue to perform well In addition, even though the odds are extremely long, an individual should be left with some hope Occasionally, we have seen surprisingly long odds eventually come through It is also **unnecessary** to tell individuals they will never be promoted In the next principle we will suggest that there is merit in individuals beginning to look at the probabilities somewhat realistically It helps them plan their relationship with a given organization It also influences one's external decisions pertaining to such things as standard of living, pursuit of educational opportunities, and retirement

We have stressed two things one need not do in a career discussion This still leaves plenty of room to implement the other career discussion principles

A Primary Outcome Should Be an Increase in Realism
This is a most important principle It defines one critical outcome to be achieved in a career discussion The superior isn't telling subordinates they will or will not be promoted The executive is assisting subordinates in looking at their career situations in

an objective manner, in a realistic manner

A subordinate can benefit from knowing the requirements and realities of the job situation A supervisor can share this knowledge, or with a subordinate, ferret out this type of data Subordinates can benefit from an analysis of their assets

Here a supervisor can do two things

- ❒ Encourage subordinates to analyze themselves against the job
- ❒ Help subordinates by sharing his or her own assessment of present abilities and future opportunities

There are two other types of questions which it is difficult to be precise about How likely are openings going to occur? How tough is the competition? If the supervisor has some basis for providing an input on these two questions, fine If not, this opportunity to assist the subordinate in being realistic will have to be passed

Notice that this principle puts the superior and subordinate on the same side of the table--both looking, as realistically as possible, at abilities versus possibilities, and abilities versus competition

Career Discussions Are More Productive if They Precede Critical Decisions
Trying to talk calmly with individuals who are upset because they have just missed out on a promotion isn't likely to produce an objective or a productive discussion However, if career discussions are avoided, then they inevitably take place at critical decision times

So, an investment in career discussions should be made when critical decisions are not imminent Subordinates who either have an opportunity to go to a higher level job, or believe they have, can benefit from a career discussion Individuals who are not on top of their current position will, of course, be getting performance interviews, not career discussions Individuals who are not likely to go further, and who have accepted this, may only need a career discussion to avoid obsolescence

A Career Discussion is Important Without Promotion
A career discussion can help individuals identify strengths early in their careers so they can begin to do something about them These discussions help assure a continuity of talent and increase the likelihood of getting people to reach their optimum level of effectiveness

Some observers of business organizations say that companies promote individuals up and up, until they fail (The Peter Principle) Going one step too far can be a disaster for both the individual and the organization Career discussions can help individuals gracefully accept the likelihood that they aren't going any higher It can help them gain other satisfactions, to offset the prospect of limited future progress

Career Discussions Are a Tangible Indication of Concern
If time goes by and no one talks to you about your career, the vacuum gets filled with

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anxiety You may assume you have no future At this point the grass may seem greener somewhere else So your one and only career discussion may well be an exit interview! Many managers have found that periodic career discussions, particularly with impatient individuals, have resulted in their taking a longer time perspective One doesn't have career discussions just to minimize turnover However, reduced turnover is a "fallout" benefit as often as not

Career discussions which lead to self-development action and to appropriate placements and transfers can yield a dividend for the individual and for the company So career discussions help the subordinate, they help the organization, and they help the superior Let's begin to do more of them and do them effectively!

Self Management of Career Development

Employees need to take charge of their own careers When done properly, this process will not only benefit the individual, but the organization as well

First, let's understand that the effective development and use of the human resource can be focused in either of two directions 1) toward the individual **competence** of the performer or, 2) toward the **context** of the job We can successfully influence either or both of these focal points, but we use different strategies

Individual Competence and Job Content

When we address our competence, we are addressing our ABILITY to do the job Generally speaking, we do so with the intent of improving some aspect of ability the knowledge aspect, the skill aspect, or the personal (attitude) factors that affect whether knowledge and skill are applied to the job

Most of us understand this focus of development It generally includes TRAINING, LEARNING, COACHING and PERFORMANCE FEEDBACK What we may not understand is that we can influence JOB CONTENT (the actual tasks we do) so that we can influence our own attitudes We will address that issue in this program

Individual Motivation and Job Context

Job context is another matter When we address it, we are looking at

- ❒ Our Potential
- ❒ Our Desires and Motives
- ❒ The Job Itself Its Opportunities
- ❒ Outside Influences

Since we may have had limited exposure to these four factors of Job Context, we will emphasize all four of them in this session of the program

We will try to approach each step from a very practical viewpoint We'll try not to

introduce any theories or procedures that are not useful to your job We will try to learn and practice each skill by viewing it from a personal career-assessment viewpoint

Job Context Is Culture

Since job context is culture, this program is also about culture change In order for us to see what culture change is about, we will begin with a definition or two

Edgar H Schein is generally recognized as the initiator and expert in the field of studying organizational culture In his book, **Organizational Culture and Leadership,** he defines culture as follows

Culture a pattern of basic assumptions - invented, discovered or developed by a given group as it learns to cope with its problems of external adaptation and internal integration - that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to those problems

Benjamin Tregoe and three co-authors, in their book, **Vision in Action,** have helped us convert Schein's definition into a usable format They say

For our purpose, culture is the pattern of norms, values, beliefs and attitudes that influence individual and group behavior within an organization These norms, values and beliefs originate with the founders of the organization and are further shaped and honed over time by succeeding senior executives and other stakeholder groups These values filter down through the organization and are further refined and modified in the day-to-day priorities and actions of all the managers and employees in the business They circle back up the organization and reinforce and refine the thinking of senior managers

We can summarize what culture is and what it means to us in these key points

Culture is what maintains and reinforces the desired norms and patterns of behavior - "the way we do things around here "

Culture is both a cause and an effect of organizational behavior

The culture of your organization today is a reflection of your choices about your own behavior and your choices about which behaviors of others you reward and punish Culture can unify an organization and provide the company with a competitive advantage Culture can also strangle you with habits and values that no longer fit the business environment

The desired culture emerges when all organizational elements "fit" with one another The business plan, the organization structure, the policies, the reward system, communication patterns and content, the work processes, and group and individual behaviors must be mutually reinforcing

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Members of the organization will test every decision that is made against their own understandings of the desired culture How organizational leaders respond to these tests will determine whether the old-culture practices are replaced or not

Hinckley and Associates, consultants who have been working with this subject, define organizational culture within four dimensions

Let's examine the four dimensions

❒ **Specific Behaviors**
Generally, we do not notice the vast majority of behaviors which we ourselves and others exhibit Incidents of specific behaviors are noticed when they include or arouse strong positive or negative feelings These incidents are quickly interpreted by those involved, and by others who hear about them, to assign meaning to what has happened The ability to describe specific behaviors accurately is not a common skill The interpretations of noticed behavior are the result of habitual ways of thinking, inculcated by the organization's culture

❒ **Patterns of Behavior**
When we observe or hear about several incidents, involving the same person or group, which seem to be similar in some important ways, we become aware of a pattern of behavior Our thinking habits lead us to skip over an accurate description of the pattern and convert it to a characteristic of the person or group This is an attribution process which, for example, causes a manager to be talked about as "autocratic" or "participative" rather than as someone who listens poorly or very well Once the attribution has been made, we tend to interpret subsequent incidents as simply confirmation of that attribute, rather than examining them open-mindedly

❒ **Norms Guiding Behavior**
Norms are unwritten rules which prescribe the acceptable and unacceptable patterns of behavior The norms prescribing unacceptable behavior are usually easier to surface We have all had the experience of violating a norm unwittingly and receiving subtle or explicit feedback on our behavior We learn the norms during our early months as employees and "teach" them to others in many ways They serve the important purpose of enforcing shared patterns of behavior for all organization members This simplifies the task of understanding and communicating with each other At the same time, most cultures include norms that prescribe analyzing or criticizing the organization, thus maintaining the status quo

❒ **Fundamental Beliefs and Assumptions**
The fundamental beliefs and assumptions of every organization are not "visible" nor in the day-to-day awareness of organization members The organization's experiences with solving ill-defined and difficult situations results in a learned code of conduct (at the level of norms and patterns of behavior) for handling all

similar situations This learning occurs over time and is passed on unconsciously The principles implicit in this code of conduct become the operative beliefs and assumptions which form the heart of the organization's culture They provide a consistent philosophy which governs thinking and action about everything that affects or involves people inside and outside the organization At the most fundamental level, these beliefs and assumptions become convictions about the nature of human beings in general and about the characteristics and dynamics of human organizations (or at least this one)

So we have a **Culture** We have beliefs, values, norms and attitudes **about how to do things around here** That **is the context** in which we work

Empowerment

A key concept of an effective culture (context) is that the culture empowers the people in it But, what exactly is empowerment?

Judith F Vogt and Kenneth L Murrell tell us about empowerment in their book entitled, **Empowerment In Organizations**

The deeper meaning of empowerment involves a creative act that frees a person, a group, an organization, even a total society, to behave in new ways Empowerment provides options, degrees of freedom not allowed before It creates and is created by the concept Argyris (1982) calls double-loop learning In the first loop, empowerment breaks the frame that holds thinking in one groove and asks us to look fully and consciously at our current actions and how they are affecting us But double-loop learning is not simply breaking free to see or feel something differently, it is also, in the second loop, taking the responsibility to stay attuned to the results of new behaviors and processes and to cooperate with others in their further development The single-loop action is less an action than a reaction, to help empower others without also helping them see the consequences of their power is, in reality, not to be empowering at all

So in looking at the pictures presented here, readers should consider how these empowering processes might affect them and their organizations On the first floor are pictures of empowering methods focused on individual managers The second floor of the exhibition contains pictures of organizational empowerment On both floors, pictures are arranged in "rooms" that relate to the general forms and specific actions empowerment can take educating, leading, mentoring/supporting, providing, structuring, and actualization

The process of **educating** as an empowerment act takes advantage of Francis Bacon's assertion that **information is power, providing information to others is thus an empowering act** Moreover, except in a zero-sum political world, education is as beneficial to the manager and the organization as it is to the individual, for well-informed people create a more accurate picture of the situation

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and can make better business decisions Educating, of course, goes beyond simple information sharing It also implies helping others learn to use and effectively create further, more useful information, with all the resulting advantages to the organization

The second form of empowerment is effective **leading** Leadership **that excites, energizes, motivates, and liberates others is the essence of empowerment** Leaders whose ego strength allows them to empower others to exceed even their own records help the organization benefit from everyones' talents

Mentoring/supporting actions can also help build another's competence and self-confidence This form of empowering is generally more personal and is based on a **closer emotional attachment** than leading The person who serves as a mentor can also gain increased power from seeing others do well and from providing a **model** of success for the organization When members of an organization play the mentor role for one another, the net result is likely to be increased power for the system as a whole

The fourth form of empowering, called **providing** is very often overlooked Providing is finding and supplying others with the **resources** necessary for their success To empower a carpenter, one must provide the best tools, to empower a computer specialist, one must provide the latest in hardware and software Of course, it is not always possible to have the best and latest of everything, but it is clear that a company that invests money in limousines for its executives instead of in the best tools for its employees has chosen not to empower its workers A capable person - even one with an education, good leadership, support, and the power to create a good product or service - is limited by the resources available

The fifth form of empowerment to be pictured, **structuring,** is probably the most complicated to explain A person is only as **powerful as the structure will allow him or her to be.** All the participative management in the world will not procure an empowered organization unless the structure also allows for it In the United States, for example, the Constitution provides a structure of empowerment for the political system Although it may have faults, it can be improved through amendment (a double-loop process) **Structuring** primarily pertains to **organizational arrangements and procedures,** but it can also pertain to an individual's job or work life Job descriptions and specifications can be empowering structures if they represent a good fit between the person and position and if they allow for growth and development in terms of new and creative ways of empowering

The final form of empowering builds on all five of the previous which come together as the **actualized** spirit in which the individual performs at a high level the work he or she is best prepared to do

Participative Management is a Cornerstone

This program is also about one of the culture factors participative management To understand this important part of culture, we will borrow from Ruth Joffe's work

What Is Participative Management

It is a style of managing others which seeks to involve and utilize the wisdom, talent, experience, and diversity of the entire workforce to reach the business objectives It is a move away from autocratic practices towards establishing collaborative working relationships or "partnerships" with employees

- ❒ Assumes that everyone's ideas can be valuable, regardless of rank or experience
- ❒ Means that identifying problems and posing solutions will likely happen throughout the organization, not just at the top
- ❒ Means that mechanisms and structures, which allow good ideas to emerge, need to be planned or provided
- ❒ Means that you will have to invite input and encourage people to think, consider, and reflect on the wisest course or best choice possible
- ❒ Means that employees who will implement or who will be affected by decisions, policies, and procedures should have a real opportunity to influence them
- ❒ Means that employees have to learn that it's okay to give input
- ❒ Means that you have to learn how to listen
- ❒ Means that "managing the business" becomes every employee's responsibility
- ❒ Does not mean that everyone must participate equally
- ❒ Does not mean that everyone has to decide everything together
- ❒ Does not mean that everyone should or will want to be involved in everything
- ❒ Does not mean that your manager or supervisor must relinquish his or her authority
- ❒ Does not mean that no one is accountable

And, a critically important one

- ❒ Does not mean everyone gets his or her way!

Douglas McGregor, in **The Human Side of Enterprise,** gives us some important understandings of participative management

Participation is one of the most misunderstood ideas that have emerged from the field of human relations It is praised by some, condemned by others, and used with considerable success by still others The differences in point of view between its proponents and its critics are about as great as those between the

leaders of Iron Curtain countries and those of the Free World when they use the term "democracy "

Some proponents of participation give the impression that it is a magic formula which will eliminate conflict and disagreement and come pretty close to solving all of management's problems These enthusiasts appear to believe that people yearn to participate, much as children of a generation or two ago yearned for Castoria They give the impression that it is a formula which can be applied by any manager regardless of his skill, that virtually no preparation is necessary for its use, and that it can spring full-blown into existence and transform industrial relationships overnight

Some critics of participation, on the other hand, see it as a form of managerial abdication It is a dangerous idea that will undermine management prerogatives and almost certainly get out of control It is a concept, which for them, fits the pattern of "soft" management exclusively It wastes time, lowers efficiency, and weakens management's effectiveness

A third group of managers view participation as a useful item in their bag of managerial tricks It is for them a manipulative device for getting people to do what they want, under conditions which delude the "participators" into thinking they have had a voice in decision making The idea is to handle them so skillfully that they come up with the answer which the manager had in the first place, but believing it was their own This is a way of "making people feel important" which these managers are quick to emphasize as a significant motivational tool of management (It is important to note the distinction between making people feel important and making people important)

Naturally, there are severe critics of this manipulative approach to participation, and they tend to conceive of all participation as taking this form

A fourth group of managers make successful use of participation, but they don't think of it as a panacea or magic formula They do not share either the unrestrained enthusiasm of the faddists or the fears of the critics They would flatly refuse to employ participation as a manipulative sales device

Among all of these groups is a rather general but tacit agreement -incorrect, I believe - that participation applies to groups and not to individuals None of them appears to view it as having any relationship to delegation After all, it has a different name! Many of the strong proponents of delegation have no use whatsoever for participation

In light of all this, it is not surprising that a fair number of thoughtful managers view this whole subject with some skepticism

The effective use of participation is a consequence of a managerial point of view

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which includes confidence in the potentialities of subordinates, awareness of management's dependency downwards, and a desire to avoid some of the negative consequences of emphasis on personal authority It is consistent with Theory Y - with management by integration and self-control It consists basically in **creating opportunities under suitable conditions for people to influence decisions affecting them** That influence can vary from a little to a lot

It is perhaps most useful to consider participation in terms of a range of managerial actions At one end of the range the exercise of authority in the decision-making process is almost complete and participation is negligible At the other end of the range the exercise of authority is relatively small and participation is maximum There is no implication that more participation is better than less The degree of participation which will be suitable depends upon a variety of factors, including the problem or issue, the attitudes and past experience of the subordinates, the manager's skill, and the point of view alluded to above

Let us suppose that a manager has made a decision which will affect his subordinates The circumstances are such that he feels that he cannot permit them to share in making this decision, but he is concerned to have them accept it with the best grace possible He might hold a discussion in which he would inform them of the decision and reasons for it, and give them an opportunity to raise questions about it His purpose would be to test the decision to see if it is acceptable If he finds that it is strongly resented, he may be tempted to modify it rather than to risk the possibilities that it may be sabotaged If it is not strongly resisted, his subordinates have at least had an opportunity to understand why he has made the decision and to clarify any aspects of it which are obscure Such a discussion as this - when held under circumstances that permit genuine interaction - involves a limited degree of participation

A slightly different situation might arise when a superior, having made a decision, would discuss with his subordinates the best way of implementing it Often the implementation of a decision can occur in various ways, and it may make relatively little difference to the superior which of these alternatives is chosen, so long as the decision is carried out The subordinates can have a voice in this matter which under some circumstances can be quite important to them Such a situation involves somewhat more participation

A third example involving still more participation would be the situation in which the superior discussed a pending decision with his subordinates before making it final Under these conditions he would be ready to consider modifying his proposed decision or substituting another for it, depending upon the considerations which arose in discussion The decision would still be his to make, but he would make it in the light of the discussion

A still greater degree of participation would be involved if the superior were to

present to his subordinates a problem facing him with the request that they help him find the best solution to it He would not necessarily commit himself in advance to accepting any solution agreeable to them, but the understanding would be that if they could find a solution which he felt to be workable he would accept it

Finally, there are some situations in which it is a matter of relative indifference to the superior which of several alternative decisions are made These may be ones in which management has only a small stake and subordinates have a large one Under these conditions the superior might say to his subordinates, "I will accept any decision which is agreeable to you "

Any of the above examples could occur at any level of an organization Participation is not confined to the relationship between a first-line supervisor and his workers It can occur between a president and his executive committee Moreover, since there are many managerial decisions which affect a single subordinate, it is equally applicable to the individual or to the group The kind of participation which will be utilized will vary depending upon the level of the organization as well as upon the other factors mentioned above

The superior who is considering the use of participation will examine his strategy and the reasons for it in advance If his subordinates are unaccustomed to having any influence on decisions affecting them, he will be unlikely to present a major issue to them on the first occasion, or to give them complete freedom of choice He will be careful to indicate clearly the limits within which he is prepared to have them influence the decision In making use of participation under these circumstances, he recognizes that he is beginning what mav be a lengthy process of growth and learning for his subordinates, and for himself as well He will plan to have them learn to crawl before they attempt to walk or run

Since one of the major purposes of the use of participation is to encourage the growth of subordinates and their ability to accept responsibility, the superior will be concerned to pick appropriate problems or issues for discussion and decision These will be matters of some significance to subordinates, otherwise they will see little point in their

Of course, there are some risks connected with the use of participation All significant managerial activities involve risk, and this is no exception The usual fear is that if employees are given an opportunity to influence decisions affecting them, they will soon want to participate in matters which should be none of their concern Management who express this fear most acutely tend to have a very narrow conception of the issues which should concern employees If management's concern is with the growth of employees and their increasing ability to undertake responsibility, there will of course be an expectation that employees will become involved in an increasing range of decision-making activities

In any event, there are now so many instances of the successful use of participation which has not in any discernible way weakened management's ability to manage that I can see little basis for anxiety over the issue of management prerogatives The only conclusion I would draw is that the management who are primarily concerned to protect their power and authority had better leave the whole matter alone

It is apparent that participation in the term discussed above is quite consistent with the general theoretical approach of this whole volume In view of the interdependence characteristic of industrial organizations there is reason for modifying the typical unilateral nature of the decision-making process Participation, used judiciously, and in many different ways, depending upon the circumstances, offers help along these lines It is a process which differs very little from delegation in its essential character In fact, participation is a special case of delegation in which the subordinate gains greater control, greater freedom of choice, with respect to his own responsibility The ideas involved in these two concepts are not mutually exclusive, but complementary Participation is not a panacea, a manipulative device, a gimmick, or a threat Used wisely, and with understanding, it is a natural concomitant of management by integration and self control

Now, how does all of this tie together for our discussion of DELEGATION and DEVELOPMENT?

An organization's culture is the shared understanding of an organization's employees how we do things around here These beliefs, values, norms and philosophies determine how things work They define expected standards of behavior, speech, presentation of self and "shoulds "

Corporate Culture and Career Management

Career management is the process of assessing and matching individual and organizational needs and goals, present and future Through increased self-awareness and knowledge of a range of career options (besides upward mobility) employees become more active in developing and implementing realistic career goals Self-managing employees who are enthusiastic and productive workers increase corporate profits

Career development is the other half of the career management equation While much is written about individuals' career management responsibilities, the literature has had little to say about the impact of culture and the inclusion phenomenon Career development books and seminars teach valuable techniques for identifying skills, analyzing interests, values and needs, establishing career goals, and planning strategies to reach those goals Training and development

professionals have placed most of their energies into assessing and matching employee skills, knowledge and abilities with the job competency needs and future requirement of the organization We have not given enough attention to the other critical match that affects career success An individual employee's motivations and personality with that of the organization's culture

When a "mismatch" occurs, an employee may not be able to accomplish his or her job tasks and will have little chance of "inclusion " This often results in confusion, frustration, loss of morale and decreasing work effectiveness But, a cultural mismatch does not mean that all is lost Some people intuitively decode cultural cues, others need assistance in understanding the normative expectations of the organization People can and do adapt to cultures, if the mismatch is not too severe Although it is the nature of culture to allow for a certain amount of latitude and eccentricity, if there is a severe mismatch, attempts to alter behavior to fit the culture may not be desirable The change may be too enormous to achieve and may cause serious stress A change in functional culture would be a more effective strategy An employee who is a misfit in one piece of the organization might be a perfect fit in another

An understanding of the relationship between individual motivation, culture and the phenomenon of inclusion is critical to your ability to be effective in your organization

How Effective Are You

- ❒ Are you sensitive to the nuances of culture in your organization? Are you designing and delivering programs and services that meet the needs of different functional cultures in the organization?

- ❒ Are you helping yourself by assessing and understanding what you want and need?

- ❒ Are you helping the organization to understand the impact of cultural expectations on your job effectiveness?

- ❒ Are you helping to match job content to your virtues?

- ❒ Are you helping change the culture the context of the work?

And what about your overall career? Strategizing for career success (by whatever your personal definition), is like a game the organization is the game board, you must decode the rules to play the game successfully When you do, not only will you succeed, but your organization will succeed as well

Your Responsibilities

Every employee, by accepting the position, is charged with some responsibility for

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effectively using their time and talent to achieve the organization's goals and fulfill its mission This responsibility necessitates that you do several things

- ❒ Identify or learn the mission and purpose of the organization,
- ❒ Acquire or establish the goals,
- ❒ Translate goals into specific tasks or programs,
- ❒ Identify the requirements of knowledge, skill and attitude that the tasks require (the present and future jobs of the organization),
- ❒ Determine if you have the required knowledge, skills and attitudes,
- ❒ Implement ways of overcoming any deficiencies you have which hinder or prevent you from fulfilling your functions

Do You Fulfill Your Responsibilities

If you do, then this effort will not be viewed by you or your organization as "organizational disloyalty" or "sabotage "

Performance Management

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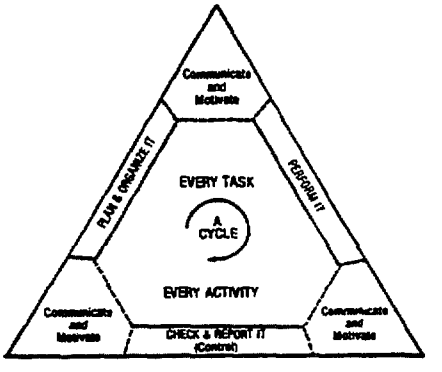
Performance Management

This module is about Performance Management (PM) PM is the process we use to manage the work done by others in an effective and efficient manner Most often the work performed by the people we are responsible for can be described as a series of actions and results The actions taken and the corresponding results are called "tasks " We can better understand tasks and the way work is performed, if we break them down into some component parts We'll use a "task triangle" as a model to illustrate the functions necessary in any task production task, distribution task, office task or managerial task

The Task Triangle
A Task triangle has three distinct parts



- Someone has to decide what task to do and arrange the necessary resources (plan and Organize It),
- Someone has to do it (Perform It),
- Someone should check to see that the results are consistent with what was wanted (Check & Report It)

If we perform an activity within our own job responsibilities, we may handle all three functions ourselves without giving them much thought If, however, the task involves assignments or delegation or contracting to a subordinate, we have to consider the new relationship

- ❑ Will the subordinate perform it and I check the results?
- ❑ Will planning be a joint process before the subordinate performs and I check?
- ❑ Do I expect the subordinate to take the initiative for handling the whole thing and reporting results?

- ❑ Is some other arrangement appropriate perhaps involving other managers or internal/external customers?

The added factors of the Manager-performer relationship bring complexity to the otherwise simple process Let's see how this complexity affects us and our organizations

Creating A System for Satisfactory Performance

It only requires a momentary review of basic "managing" principles to realize that the performance of our personnel is quite dependent upon how clearly we have defined WHO is to do WHAT We can amplify that point by showing how the Task Triangle fits the typical Manager-performer relationship To do so requires that we isolate each stage, in sequence

Establishing Performance Expectations

The "plan & organize" step of task completion must clarify what is expected Typically, this means providing answers to some questions which are likely to arise in our minds and in the minds of our people

The Manager's Perspective

We are going to need answers to questions like these

- What are my goals?
- What has to get done?
- What are the priorities?
- Who will be involved?
- What coordination is needed?
- What communication is needed?
- When it comes to a subordinate's performance, how good is "good enough?"
- How good do employees have to be to rate "satisfactory?"

From The Employees' Perspective

The questions that have to be answered in this stage are much more personal They all stem from the basic question **What is expected of me?** The detailed questions might resemble the following

- What are my responsibilities, duties, activities or accountabilities?

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- What end results are expected of me?
- What are the priorities? Why?
- What are the standards, criteria and rules?
- What does it take to satisfy the Manager?
- Will pleasing the Manager also please the organization?
- Will these results please our customers?
- What happens if I achieve the goals?

Each question that is answered satisfactorily will increase the clarity of expectations for performers Each question left unanswered will be an area in which the Manager, performer or both will guess or use trial-and-error Such a process reduces the odds of getting satisfactory performance

Making Performance Possible

Let's look at the performance stage from both of the perspectives We will assume that expectations are in place Then, when it comes to actual performance, Managers and performers have some new concerns which require answers

The Manager's Perspective

As managers, we are likely to worry about answers to questions like these

- How do I get my personnel to perform?
- What procedures and methods do I want them to follow?
- How do I approach them?
- How do I develop their knowledge and skills?
- How do I motivate them on a continuing basis?
- How can I influence them to do what needs to be done?
- How do I identify whether the job is proceeding satisfactorily?
- What do I do if I am not getting the desired performance?

Our Employees' Perspective

Our personnel are more likely to view their performance of the job from a pretty narrow "how to-can do" point-of-view The questions that warrant answers will likely relate to the following

- How do I perform my job?
- What must I be able to do?
- What procedures and methods must be followed? Why?
- How can I tell if I'm doing okay?
- How can I improve my performance abilities?

Answers to the performance questions are an ongoing concern Each day is a new challenge for satisfactory performance that will meet the expectations Satisfactory performance is possible only when there are satisfactory answers to the concerns of both managers and employees

Providing Performance Feedback

At some point, either the performance or the results of performance have to be checked against the expectations The reasons for checking are somewhat different between Manager and personnel although both will see the same need to "take stock" of what performance has achieved

The Manager's Perspective

As far as we are concerned, the reason for checking can be summed up in a question relating to "bottom line" did we achieve the needed results? If everything points to a "yes" for this question, little else would seem to matter However, there are two possibilities which create the need for asking and answering some more questions If results are satisfactory, we will want to know what was done to achieve them in order that such satisfactory results can be repeated If results are not satisfactory, we will want to pinpoint the cause and identify a solution for this problem The related questions include

- How and when do we check?
- What financial results were achieved?
- What level of performance does this represent?
- Were our performance expectations adequate and appropriate?
- If not, how should they be changed?
- Was performance adequate and appropriate in all other ways?
- If so, what recognition or reward is appropriate?
- If not, what correction is necessary?
- What problems exist?

- What are their causes?
- How can deficiencies in results be remedied?
- How can deficiencies in results be prevented in the future?
- Can the timing or method of "checking & reporting" be changed to detect problems and adjust performance to correct them sooner?

Our Employees' Perspective

Our employees are likely to be somewhat more personal with questions like these

- How can I tell if I have done well?
- What parts of the job did I do poorly?
- What's in it for me as a result of my performance?
- What are my future possibilities now?
- Where do I stand in the eyes of my Manager?
- What has to change? Why?

It should be evident that the checking and reporting process will serve as feedback that will alter future expectations, or performance, or both In other words, there is a cycle from expectations, through performance to feedback As the feedback becomes more and more accurate and timely, the whole process moves closer and closer to continuing satisfactory performance from all personnel who are responsible for the organization's results

When Should a Performance Management System Be Used

Now, a very important point needs to be made
This system, **Performance Expectations, to Performance and Performance Feedback**, needs to exist in all Manager-to-Personnel relationships The questions are there whether they receive attention or not and whether they get satisfactory answers or not The key to good performance is to explicitly address the three ingredients

Achieving Satisfactory Performance

It is not enough that we consider our own questions in isolation We must consider the questions and the needs of our employees Similarly, our employees need to see each ingredient from our view as well as their more personal side, this leads them to define appropriate levels of initiative The most important reason for examining both sides of the issue is to determine what can be done to insure that our expected results are achieved

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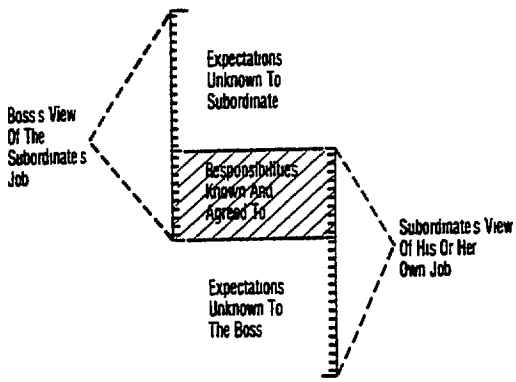
Get Agreement and Understanding On Expectations

Frustration is high and motivation is low when performers are not sure what we expect them to do in fulfilling their job or contract responsibilities The questions center around the range of responsibilities, the amount of authority they have to act on their own, job priorities and the standards of quality and service expected

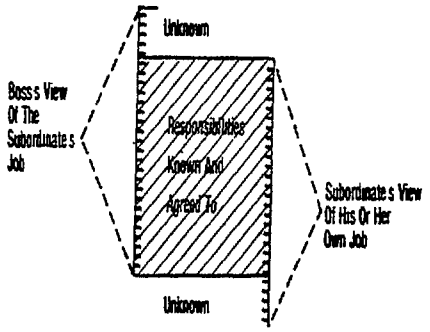
One of the primary purposes of a position description, job description, or contract is to clarify the responsibilities of the performer However, it is difficult to keep such descriptions up-to-date and comprehensive enough to encompass the day-to-day dynamics of a position Furthermore, descriptions on paper cannot really define many of the methods of performance measurement

Regular face-to-face exchanges are necessary to transmit a clear picture of expectations

The significance of the problem can be illustrated by two simple diagrams Our view of the Performer's job responsibilities and the Performer's view of his or her own position are represented by the vertical lines on the outside of the diagrams In Diagram 1, the area of responsibility "know-and-agreed-to" represents a little over twenty percent of the total This is too low and yet we see this relationship develop in organizations that are not attending to performance management in a structured way In the manager's eyes, the performer will be working on the wrong things The performer will be wondering why we are upset or why we don't define more clearly what is wanted We often refer to these as **"communications" problems** In the absence of a means to integrate our perceptions with those of the performer, the problem will persist



What is needed is a situation as illustrated in Diagram 2 on the next page The "know-and-agreed-to" area is almost 80 percent A good meeting-of-the-minds is indicated between the Manager and the performer Even though total agreement does not exist, there is usually not a problem as long as some critical responsibility or high priority task is not involved in the unknown or disagreement areas



We should notice that this process of face-to-face exchanges does more than clarify our employee's expectations It also enlarges our perception about the employee's "real world" and the employee's perceptions about us Advances made here in seeing each other's views will ease communication problems

Make Consequences Evident

Our employees' expectations about the nature and the extent of the rewards available are important to their motivation They want a clear-cut idea of what they can work toward Other concerns include what a person has to do to get a raise in salary rate, or how to merit higher responsibilities In addition, responsibilities themselves may also be viewed as a reward Certain types of performance carry more prestige than others, or a person may simply be eager to enlarge his or her personal skills Sometimes, involvement in or full responsibility for decisions can be a reward to those who have the initiative

From our view, we may need to explain to all employees what can realistically be expected in the way of compensation, work assignments and promotions or opportunities It may involve letting them know what it takes to get there and showing them that they have a lot to do with their own career development

Explaining what personnel can expect also necessitates talking about the consequences of non-performance or poor performance Whatever corrective actions we may use, we should make explicit There should be no surprises about coaching, correcting, discipline or termination All personnel should be conditioned to expect accurate feedback, good or bad, as their performance warrants Knowing the consequence can serve as a valuable steering device in preventing unsatisfactory performance

When Should Expectations Be Shared

Making expectations explicit involves two-way conversations in which the PERFORMANCE EXPECTATIONS, PERFORMANCE and PERFORMANCE FEEDBACK ingredients are covered

These conversations should take place under several circumstances

- When our relationship is first established (i e A new employee is hired or an existing employee is promoted)

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- When our expectations change or the organization's expectations change
- When the performer shows concern about what is expected
- When the performer's results do not meet our expectations
- When the products, job procedures or methods change
- As a regular control process to compare expectations and to correct misunderstandings
- When application of rewards, recognition or corrective action seems appropriate

There needs to be an ongoing relationship between managers and their personnel to gain a meeting-of-the-minds on what is expected By doing this, we get them to do what we want and they find out what it takes to do the job, and to please us at the same time

Important Factors About the PM System

The Performance Expectations to Performance to Performance Feedback Model indicates some important points **First**, and most importantly, is the idea that the performance system is directed toward accomplishing positive results As we and our personnel look forward, we set our sights on what is to be accomplished (in as exact terms as possible) Then, we establish how these results are to be achieved and the responsibility each of us has toward achievement In addition, we set checkpoints and standards along the way so that when a variance occurs, adjustments can be made This process (looking ahead) goes a long way toward insuring that the desired results will become reality

The **second** factor indicated by the model is that it is a joint-venture It is not a matter of us "doing it" to our personnel Both we and they have a great deal at stake The process, therefore, includes understanding, agreement, trust and honest effort from both sides - all along the way With a dialog (not a monolog) between us and our personnel, there can be no "surprises" when performance feedback time comes around It isn't a matter of "guessing what the final score will be" because both parties have a copy of the "scorecard" (the expectations and standards to measure progress) And, progress is measured along the way, using performance management system tools

The **third** point is more philosophical Properly applied, performance feedback is an opportunity for us to clarify the "written or unwritten contract of performance," so that all employees including us benefit from working together in order to produce, distribute, sell and service our energy products in an efficient manner

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Performance System Requirements

EXERCISE #1:

What are the necessary elements of a good, performance feedback system from a manager's perspective?

Performance System Requirements

EXERCISE #2:
From an employee's point of view, what are the necessary elements of a good performance management system?

EXERCISE #3

1 Describe how you found out what your organization expects of you in your present position

2 What would you change about the method used to communicate expectations to you?

3 How do you convey your expectations to your employees?

Performance Expectations

Defining Expectations

If an organization is going to be all that it can be, everyone must perform at peak efficiency Employees must know and understand what the organization expects Once expectations are clear, employees help the organization achieve its mission through accomplishment of departmental, group and personal goals

How Do Employees Know What to Do

Management must reveal its expectations to employees through a structured method We believe this process can best be described through a five step process described by the acronym **GOALS**

Sharing G-O-A-L-S The objective of the GOALS process is to define, as clearly as possible, what the organization expects from each employee, and what employees can expect from their teammates The GOALS process should answer questions such as

- What should each employee be trying to accomplish?
- What should each employee be striving to achieve?
- Each employee should have clearly defined targets on which to focus his/her efforts
- Targets are goals that are to be attained within a specific time frame

The GOALS process permits us to breaks these targets into pieces we can digest quite easily
G - General Goals
O - Objectives, Specific
A - Activities, Routine
L - Long-term Programs or Projects
S - Special Assignments

Going one step at a time, we can find these items in our job situations

G - General Goals

To determine an employee's goals, we must consider several factors First, we will **consider the specific responsibility** for goal achievement **that is assigned** by the organization's management Such goals should be explicit. Goals employees are going to be held accountable for must be identified and documented in a Performance Plan Identification should appear in the "Performance Objectives for the Coming Year "
All such goals should be as specific as possible and measured by quantifiable or qualifable standards

O - Objectives

Results are best achieved when decisions, actions, and activities are guided by objectives that are clearly stated and understood Employees need to know, understand and commit to accomplish their objectives

Each employee needs to think through the purpose of his or her positions and ask, "What end results should I be striving for?" Such objectives should be specific and measurable There needs to be agreement between employees and the management of the organization on what an employee plans to accomplish Discussions should produce understanding and insight into each other's responsibilities Objectives must be stated in a way that spells out these benchmarks, so there is a method for evaluating what is happening

Objectives should work for us This means that we look at objectives as "tools" that we use in directing the efforts of Employees in the organization A good performance objective will meet a number of stringent requirements to be useful Thinking in terms of results first and activities as the means for achieving results is a matter of conditioning one's mental processes This may be the toughest part in getting launched properly in the objectives-based approach to evaluation But unless our objectives tell us what result should occur, they won't do the job for us

Be Specific

Objectives have to paint a perfectly clear picture of what results are going to look like To aim for "a more efficient operation" points to nothing in particular Reducing scrap requires a specific figure

Point to Method of Achievement The Action Required

If our objectives are well developed results oriented, specific, realistic, etc they will point to what must be done to achieve them This provides the guidelines for the "how "

Setting Priorities

How do your organization's professional employees establish priorities in their Jobs?

What events or issues can alter the priorities established for job holders?

State Priorities
Some things are more important than others Some things are more immediate Priorities are essential for the simple reason that we may need to make choices on where time will be spent and what needs to be done first, second and so on

Provide a Basis for Measurement and Evaluation
Unless we agree upon clear benchmarks, there is no basis for evaluating progress as we go along We can't wait until the end of a project or the end of an accounting cycle to see what has happened We need checkpoints at various stages to make sure that what ends up has met the various targets and criteria

Generally, objectives are better and more useful when reduced to quantitative terms It is better to target on a 10 percent reduction in cost rather than merely state that costs should be reduced It is better to state that a job is to be achieved within a certain specific time frame rather than say it should be completed "as soon as possible " However, some parts of the job do not lend themselves as easily to objectives in terms of specific figures There is nothing wrong with qualitative statements as long as they are stated in specific enough terms for us to be able to evaluate progress

Assigning Weights to Objectives
Various weights can be assigned to Performance Objectives Weights should reflect several factors We can rely on the method we use for setting priorities to determine weights for objectives, goals and long and short term assignments The weight of each item included in this section must be assigned at the time the Objective is assigned The following factors should be reflected in our weighting process

- Importance Relative to typical Accountabilities
- Urgency Time and Time responsiveness
- Sequence Done in lieu or after normal duties as time permits

A - Activities of A Routine Nature

Employees perform a multitude of routine duties each day Studies in this area conclude that Employees perform hundreds of tasks each year While Employees do so much, many of these duties are similar The performance of these similar activities and duties are a significant measure of personal and professional achievement for Employees It is important to simplify such a list of total duties performed by Employees to those that are performed by individual Employees

Deciding which of the activities is more important is a judgment based on the purpose of each employee We need to keep an eye on how each activity fits into the total responsibilities
To make certain Employees are doing the right things, we use a simple three-step process

STEP 1 Employees should review their Position Description and all other relevant documents

STEP 2 Employees group and then prioritize the activities in some form of rank order From this process 5-8 primary activities of the job will be identified

STEP 3 Employees meet with Managers and reach agreement about the "Position Requirements" of the job and which are the more important These items are documented in Section "A" (Position Requirements)

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L - Long Term Projects

There are times when employees do things that are not part of their routine job If these projects are significant, we must consider them in the Performance Plan Long-term projects may require special consideration Commitments must be defined so that everyone understands what is involved in such projects As guidelines for our consideration, we need to look for any project or task force which meets all of the following criteria

Non-routine The activity involves activities or actions which are not normally a part of the individual's job

Coincident The project is done at the same time as routine duties and does not replace the employee's routine duties It is above and beyond regular duties

Long Term The project extends beyond one performance-review, accounting or budgeting cycle so that it cannot be assessed by periodic end results or budget variance

Significant The project occupies a significant amount of the individual's time In other words, the employee's performance in the project can be shown to represent a significant part of the total job

We will want to identify, quite specifically, the involvement of any employee in long-term projects or task forces We will want to reach an understanding of how it affects routine duties and the overall expectations that the organization has regarding performance We will also want to make certain that the organization should be doing this activity Our test should be how this effort supports the organization's interest

S - Special Assignments

There is one final category of expectations which periodically occupies our time and energy This category involves special assignments Such assignments may be made in addition to regular duties for a short period of time These items must also be evaluated if significant to the work being performed by Employees All special assignments should be documented We can contrast "special assignments" with "long-term programs or projects" in that the special assignments are completed within a business cycle and can be completely evaluated by determining whether the employee achieved the desired objectives of the assignment We are referring to assignments which come up during a business cycle The most important factor is clarifying whether the assignment is to be performed with regular duties or in lieu of them

Documenting G.O.A.L.S.

Regardless of the source, our Performance Objectives will be of value if we "**4-GET**" them

- ❑ **GET them down!** Goals have to be written or noted somewhere if they are to serve a useful purpose They have to be visible

- ❑ **GET them good!** Goals should be evaluated against some stern criteria
  Are they realistic?

Are they achievable?
Are they manageable?
Are they "musts" or just "shoulds"?

- ❑ **GET them communicated!** Goals need to be exposed to the light of meaningful conversation Discussions with practice area managers and peers help in the screening and clarifying process

- ❑ **GET commitment!** As a product of our discussions we need specific accountabilities assigned and agreed upon

Effective and appropriate evaluation requires an understanding of what an employee does and how it is done To build a successful organization, we must understand the "Performance Objectives" and the "Position Requirements" for each job and job holder In addition, each employee should understand how he/she is perceived in the organization and have a clear understanding of pending performance expectations

If we use the **G-O-A-L-S** process, we will be well on our way to having a goal-oriented organization

G = GENERAL GOALS ("Get" Them)

1 **Get** them down!

2 **Get** them good!

3 **Get** them communicated!

4 **Get** commitment!

Identify the primary goals for yourself and your organization for the upcoming year

Developing Objectives for Goals

Develop an "Objective" picture of the goal by describing all quantitative and qualitative results you would like to see, when the activity is finished

It might help to answer these questions

- ❑ What would I expect to see as evidence that the goal was achieved?
- ❑ What factors will I look at and what will they look like when goal activity is finished?
- ❑ How will I know I've accomplished the goal (what will I see)?

Objectives "Picture"

Goal:
I expect to see

Objectives "Picture"

Goal.
I expect to see

Objectives "Picture"

Goal:
I expect to see

Objectives "Picture"

Goal:
I expect to see

L = Long-term Projects

( ) **Non Routine** (not regular activities)

( ) **Coincident** (done in addition to regular activities)

( ) **Long Term** (goes more than one business cycle)

( ) **Significant** (takes a significant % of time)

( ) **Benefit** (Does this activity have value to the organization)

List any known long-term projects or task forces which will involve you in the coming year and meet all four criteria above

S = SPECIAL ASSIGNMENTS

1 "With" or "Instead Of" regular duties

2 Time frame/Deadline

3 Results Expected

4 Developmental Purpose

5 Does this Assignment Benefit the Organization

Identify special assignments to be assigned to this year Identify each of the five categories of information as shown above

Special Assignment·

( ) With or ( ) Instead of regular duties
Time frame/Deadline:

When to be started _____

When to be completed/due_____

Results Expected:

Purposes·

Value to the organization:

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Objectivity V s Subjectivity

From your experiences, how can your organization's PM system be structured to avoid biases and prejudices that compromise the purpose of the system as a "developmental" tool

Observing Performance

Once employees have been enabled (trained) and empowered (provided the resources to do a job) it's time for performance to occur As we have already indicated, employees do many different things on an ongoing basis It's our job to make certain that the things we observe and evaluate are relevant to our organization's success as well as to the success of the job holder In fact, there are some significant requirements on what to evaluate in a good PM System

What Should Be Observed

Any performance that will be considered in our Performance Management System should be observable We could say that events and outcomes need to be "sense-able " Let's look at these factors closely Why

We Need to Observe Performance

From a strictly functional point-of-view, observing performance and providing feedback is a control function that is part of each manager's job It should be apparent that just "checking" is not the whole story While we are checking, we will want to have five major objectives in mind

- Performance Improvement
- Recognition
- Compensation
- Development
- Improved Working Relationships

As we examine each objective, we will notice three concepts They are shown here to reduce the likelihood that we will have misconceptions about our performance feedback responsibilities

First, to "judge" performance is not the process of "inspecting" people much as one would inspect parts on an assembly line or sides of hanging beef Our purpose is not to stamp a grade or label on the subordinate, nor is it our intent to tag the individual as ACCEPT or REJECT A Manager described the struggle to recognize this concept "When I first began to evaluate my people I guess I did it like my teachers used to do to me in school At the end of a term, I was given a test Whatever grade I got was to be with me for life I was always perturbed that I never got any feedback after an exam to let me know what I hadn't learned or what I needed to learn There was just a grade, pass or fail I've resented that approach because it didn't help me get ready for the next one Yet, when I started evaluating employees, I did the same thing That's all I knew Even though I didn't like it, I didn't know any better I viewed it as giving them a grade "

Instead, performance feedback is a "living-breathing" process which is **future** oriented as much as it is **past** oriented In addition to the question, "How is it going?", feedback includes, "What does that

mean for the future?"

Secondly, judging performance is a process that involves the boss **and** subordinate The boss determines how well the subordinate meets expectations The individual being evaluated is encouraged to take appropriate responsibility for planning and appraising his or her own contribution to the job and company This concept expands the questions to three

- How is it going?
- What does that mean for the future?
- What do **we** need to do about it?

The **third** overall concept regarding performance observation and feedback is that it goes well beyond the function of control It relates to and impacts upon many of our other functions as managers It includes planning, organizing and motivating and all of their details Here's how performance management impacts the job

Performance Improvement

Continuously, the organization and all of its employees should be striving to make the good performance be better and to make the better performance be best It follows, then, that when a boss evaluates a subordinate, he should do so with the intent of identifying where improvement can be made These improvements may relate to performance or to the subordinate's behavior as it relates to the other job activities or to other people (customers, other managers, other employees, etc)

We don't want to let this "organization view" blind us to the value to the subordinates themselves of seeking areas of improvement. Many principles of positive motivation are involved People like to be competent, they find little satisfaction in their work if they can't do it well While no one likes to have his or her weaknesses pointed out, most people respond very favorably once they know In effect, employees need to have assistance in identifying areas requiring attention Otherwise, they can't or won't improve and will probably find the job to be quite frustrating

Performance Improvement Objectives

For performance that is less than satisfactory, the objective is to make it satisfactory For performance that is at an acceptable level, the goal is to get that performance to an exceptional level For performance that is exceptional, the goal is to display that exceptional performance in broader responsibilities As an organization reduces its cost of doing business, the individual will profit by increased competence, pride in accomplishments and added flexibility in future assignments among more competent and highly motivated employees

Recognition of Past Performance

Recognition If we use our **cognitive** powers to examine what the word "recognition" means, we will see an important item **"RE COGNITION"**
"RE" means "again, over"
"COGNITION" means "thinking, knowledge"
"RECOGNITION" **to think over or to know again**

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One of the objectives of performance feedback is to think over or to know again the performance of the past. In this sense, it means to re-think **all** of the performance of the individual, both good and bad We will want to recognize each employee for every important action that has taken place since we last dialogued This involves breaking the job into its component parts and identifying how the employee performed in each part

Performance Feedback is to provide the employee with **praise** for the performance which was good and to provide **constructive criticism and correction** for that which was not good If we do this by going through the critical dimensions of the job from first to last, we can gain several advantages

Objectivity Instead of Subjectivity

Managers have a tendency to make an overall assessment of an individual From that point on, it becomes a matter of trying to find reasons or examples to "justify" the overall assessment This is very subjective and unfair It is much more equitable to withhold any overall assessment until we have gone through each part of the job focusing on one aspect at a time

Ease of Discussion

When we are discussing feedback, with specific references to what was or wasn't done in each area of responsibility, we will find ourselves much more confident and open We will be discussing **facts** instead of **opinions** Any misunderstandings between us and the employee can be resolved by verifying the facts of the situation, instead of arguing about who is "right" or "wrong "

Respect from Subordinate

Contrast the feelings of an employee who has been classified as "UNSATISFACTORY" to those of one who has a chance to look at and discuss each part of the job based on what actually occurred In the first case, the individual is very likely to become defensive He or she will probably meekly accept or ignore the judgment of the boss or strongly resist and contest what the boss says

On the other hand, with appropriate recognition at each step of the discussion, the person has much less chance to become defensive The feedback will "add up" based on its factual elements The employee is likely to gain a great deal of respect for this approach and for the Manager

Clear Path for Future

If performance feedback meets the objective of "recognition," it means that both we and our people **KNOW** exactly what is and is not acceptable for the future This becomes the basis for any future plans in a very specific and concrete way

Compensation

The third objective of performance feedback is to make a direct relationship between performance and compensation This follows most organizations' philosophy of "pay for performance " While the actual amount of pay for a given level of performance is controlled within the compensation plan, this objective requires re-consideration by each of us It goes well beyond the idea of just meeting

demands

- ❑ At the start, we have to be sure that we and our people reach a clear understanding and agreement on exactly what is expected in the job These expectations may be in the form of tasks, duties and responsibilities There should be little difference of view as to what the job is

- ❑ For each major responsibility or accountability, we need objectives or targets which define what end results are to be achieved in order to be considered acceptable, or better than acceptable

- ❑ For each objective or target, we must reach agreement upon the method that will be used to keep track of progress and to measure results This may include criteria or standards of performance

- ❑ At the end of the observation period, we will have to measure the performance in terms of actual performance compared to expectations

When expectations are achieved, it is worth it for us to pay for those accomplishments When the expectations are not achieved, it is a losing proposition for us and our customers

Development

When we look forward to our own future, as well as that of our organization , we can see the importance of this objective It is not enough to simply do the job and do it again next year Organizations are not static As the world changes, so must the way we do business And, so must employees performing various duties in the organization Examples

- ◆ People get older and retire, they must be replaced
- ◆ Service and distribution system requirement change
- ◆ People leave for various reasons, new people must be moved in to take over
- ◆ Emergencies occur regularly, someone must be ready to handle each of them

We need to focus some attention on the known and probable requirements of the future With these in mind, it is necessary to make plans and preparations to meet those requirements Translated into questions, this objective requires us to decide

- ◆ What knowledge and skills are we likely to need in the future?
- ◆ Who, working for me, has the ability and potential to acquire that knowledge and those skills?
- ◆ What do we have to do (in terms of work assignments, training, education, etc) to get potential people ready?

In a very practical way, this comes down to the performance feedback job For instance

- ◆ What does the Manager do to prepare for a back-up if the person in charge of an in-service is absent because of illness?
- ◆ What does a Customer Service Manager do to make sure there is a qualified person to take customer calls?
- ◆ What does the Manager do to make sure everyone is ready to implement an on-line, computerized, Human Resources System?

The performance feedback process is a continuing cycle directed to the objectives mentioned above It is also a process which relates to some practical benefits for us

The CITE Process

The process that we will use to observe and record behavior is based on the acronym, CITE It might be helpful for us to see what the word "cite" means Webster's says "v t to summon officially to appear in court, quote"

We want to see that our PM process is aimed at making what we do **accurate** When we make statements about our people and their performance, we want them to be as accurate as quotations When we use those statements as performance feedback, we want our conclusions to be able to stand up in court That way, what we do will be valid and helpful It is not a complex or cumbersome process It is simply an organized description of the things we already do or should do

C Circumstances Identified

As we monitor the performance of any performer, we will be able to identify incidents of behavior which reveal the job dimensions Each time that we recognize a situation that seems to be a significant part of the person's performance, we will want to make note of it. We begin by describing the circumstances surrounding the situation We might find it easiest to do so by answering the questions which are applicable

- ❑ What was expected of the subordinate?
- ❑ How were the expectations communicated?
- ❑ Where there any special conditions (crisis, emergency, etc) which could be expected to affect performance?
- ❑ What preceded and led to the incident?
- ❑ What was the incident related to or caused by?
- ❑ What was the environment like at the time of the incident?

I Incident Recorded

The recording of the incident itself is a function of filling in the "5 W's & H "

- ❑ **Who** was involved?
- ❑ **What**, exactly, did they say and do?
- ❑ **When** did the incident occur?
- ❑ **Where** did it happen?
- ❑ **Why** did it occur or why did the person do what they did?
- ❑ **How** did they proceed (i e what process, method, procedure or sequence of actions)?

T Talked About With The Performer

Any time that an incident is observed and recorded with the intent of using it to assess the person's performance, the person should be made aware of it at the time This is not because we are avoiding "secrets" or because of legal requirements Instead, it is a practical matter of giving performance feedback to the performer at the time Here we mean RE-COGNITION as we defined it earlier Then, as a record of the performance feedback that we give to the subordinate, we note answers to these questions

- ❑ What was said to the subordinate?
- ❑ What was asked of the subordinate?
- ❑ What was the subordinate's reaction to the feedback?

E Evaluated At The Time

With the incident fully reported, it is important for us to evaluate it on its own merits This means to compare the facts of the incident to the duties involved and decide upon the level of performance that is represented The evaluation of the incident should be noted as a part of the record This helps prevent a "slip" of memory in the event that future incidents trend toward better or worse We might consider the following examples

Example of an "Effective" Significant Incident

(An incident of "Written Communication" for a Engineer)

C One of his customers had demonstrated a need for special considerations for service delivery

I The Engineer wrote a letter to get the matter approved
The letter made reference to the items required and gave specific facts to support the proposed solution

The proposed solution was well-prepared with facts, easily understandable and covered all possible alternatives

T I specifically thanked the Engineer for his thorough preparation of the recommendation and told him I was going to make a record of it

E I consider this to be a nearly perfect example of effective written communications

Example of an "Ineffective" Significant Incident

(Buyer on "Decision Making" and "Accuracy")

C The Buyer is responsible for ordering the items necessary for her customers She also has the responsibility for doing whatever she can to insure that they are delivered on time

I The Buyer ordered the items properly, but she did not keep herself informed about some critical needs As a result the items were not delivered on time and the customer ran out I had to rush materials to keep the customer in operation

By not knowing the status of her critical items, she let her ineffectiveness cause an unnecessary problem If she would have kept herself informed about these items, steps could have been taken to eliminate the delay

T The Buyer was advised that normally effective performance would have been to set up a check on these critical items to determine their status, evaluate the effect of any delays, try to eliminate the delays and inform people not likely to know about these situations She said that she didn't know it was her job to follow-up

E The Buyer exercised poor judgment and did not use sufficient initiative in this matter In effect, she dropped the ball

Keeping Visible in Operations

A recent book, In search of Excellence, makes reference to "Visible Management" or "Management By Wandering Around (MBWA) " Lest we draw the erroneous conclusion that this means wandering around aimlessly, let's look at what this Session is trying to tell us Managers wander around in order to find out what is going on They check on performance and results They monitor what's happening

But excellent managers are not passive They are actively collecting relevant data and actively using that data to alter performance We can know what to look for We can make effective use of the data we collect so that we influence behavior toward more excellent results At the same time, we will be taking an important step toward effective performance feedback in the overall But, we do have to sight and CITE behavior

Cite Behavior

The fundamental principle of performance feedback is that we should determine the performer's actual performance as it relates to the critical requirements of the job The requirements include those dimensions which have been shown to make the difference between success and failure in carrying out the job

It does little good to spell out expectations in detail and then determine actual performance by trying to recall, at the end of a year, what the performer did This kind of global assessment of performance will violate every principle of control that we know to be important

Requirements When Observing Performance

We require specific procedures for making a systematic analysis of the good and bad examples of performance There are several specific requirements for what we do as we attempt to monitor actual performance

1 The Requirements of Observing Behavior

First of all, we can all recognize that the recording of **facts** about performance is going to be preferable to interpretations, conclusions or opinions based upon some general impression General impressions are notorious for being highly biased in favor of, or in spite of, the performer Similarly, we should be able to agree that we should limit our recording of information to those behaviors which competent observers would agree have a **significant effect upon the results** of performance

We will isolate four important criteria which will help us meet these fundamental requirements We will use the four criteria as we observe the behavior of our people in their attempts to carry out their duties

a **Typical Vs The Exception**
Our observations should be **typical** of the individual's performance This criterion means that we will have to relinquish some of the ease of our past managerial practices For the most part, we tend to manage by the "**management by exception**" principle The principle states that we will want to "leave well enough alone" until we see behavior or performance which

varies significantly from the norm In other words, we only pay attention when something is done which is awfully bad or awfully good We look for unusual incidents, and, unfortunately, we tend to focus on the bad ones Employees recognize this tendency as they illustrate in comments like, "The only time you hear anything is when you do something wrong" or "One 'gotcha' will cancel out a hundred 'atta-boys' "

What we want to do is make sure that our observations are truly typical of performance We want to ensure that we are not just catching the peaks or the valleys We know, for practical reasons, that we cannot watch what our people are doing all of the time We know that we will have to sample their performance by looking at specific behaviors We have to ask How safe are our generalizations of the whole of performance from our sample?

We can conclude that the generalization will be as accurate as the representativeness of the sample So, we have to pay attention to our sampling methods We will have to look for samples (or examples) with each normal job variation that occurs

- ❑ When people work with new products or promotions over time (time is the variable), we will want to sample the performance with each product or promotion situation
- ❑ If the person does routine tasks most of the time, and has special assignments thrown in, we will want to sample the routine and the special
- ❑ Where the person has to work in different market areas (from new product life cycle to dead product life cycle), we will want to observe behavior in the different market areas
- ❑ Where customers vary from easy to obnoxious, we will want to sample with different customers

What we want to end up with are samples which are valid enough for us to make sensible and accurate decisions on them

b Objective Vs Biased

Our observations should be objective as well as typical This simply means that we have to reduce the bias which we will have a tendency to build in Because of our own beliefs and self-fulfilling prophecies, we will tend to pay attention to behaviors to confirm our biases

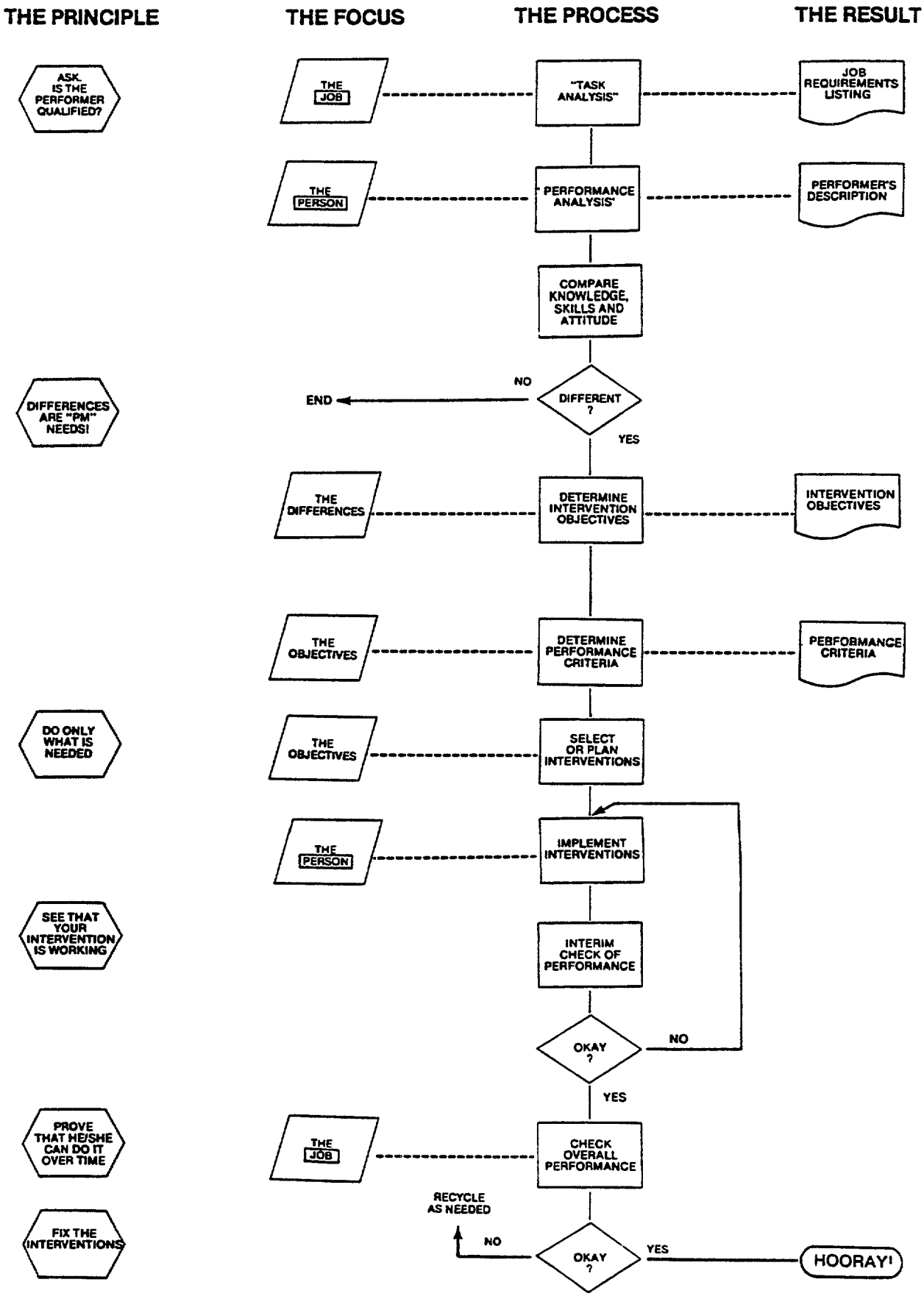
The biggest concern about hidden biases is that they will exist unless we specifically address them to control them There are positive and negative biases which have been called **"halo or horns" biases**

Halo biases occur when a boss hangs a halo over the observation of performance of a favored subordinate The effect is that the boss doesn't find a problem, because he or she isn't looking for one

Halo Possibilities

- ❑ Subordinate has good past record of performance,
- ❑ Subordinate is compatible with boss's personality,
- ❑ Recent outstanding sales by subordinate,
- ❑ Subordinate has one irreplaceable asset,
- ❑ Subordinate's faults are unseen because they are the same as the boss's,
- ❑ Subordinate never complains and is never complained about, therefore the boss doesn't pay any attention

THE "PERFORMANCE MANAGEMENT" SYSTEM



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Horn biases occur when a manager sees a problem because he or she wants to see a problem
Horn Possibilities

- ❑ The boss is a perfectionist,
- ❑ The subordinate is a personal irritant,
- ❑ The subordinate is the oddball, the nonconformist,
- ❑ The subordinate sells the less profitable product lines,
- ❑ The subordinate is guilty by association he or she hangs around with the wrong people,
- ❑ Recent unsatisfactory incident occurred which involved the subordinate,
- ❑ The subordinate has traits different from the boss's,
- ❑ The subordinate does it differently from the way the boss did or would

Any of these possibilities cause the boss to look for confirmation and verification of conclusions that have already been drawn The boss observes and records the aspects of behavior that "fit "

We need to recognize a simple fact any foregone conclusion can be **proven** by waiting for the behaviors which prove it! What we need to do is check ourselves to see that the observations we make are representative of what our people actually do

c **Comprehensive Observations**
Our next requirement is to insure that our observations are comprehensive This means that we have to observe performance in the full range of job duties that make up the job

d **Significant Behaviors**
Another criterion is worth exploring in some depth It has to do with the relevance of the behavior we observe We have to ask and answer the questions

- ❑ Does the behavior materially affect the results or desired results?
- ❑ What is the extent of the effect of the behavior, in a positive or negative way, on the outcome?
- ❑ What percentage of effect (results) would change if the behavior changed?

This kind of soul-searching will help us to eliminate arbitrary conclusions we might make about cause-effect relationships We want to make sure we aren't attempting to categorize performance by whether the individual wears facial hair, how he or she dresses, the color of ink that he or she writes with, and other non-relevant items

There may be times when dress is important or when blue ink will not copy on a copying machine By attention to the significance of the behavior, we can use our observations objectively

Overcoming The Bias Tendencies

There are some valuable things that we can do to help ourselves in making our observations complete and accurate enough

a **Timeliness**
A necessary condition is that behaviors or results be evaluated, classified and recorded while the facts are still fresh It is desirable that we perform our recording operations at the time of the observation so that all requisite facts can be determined and checked

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b Memory

We may make note of observations that we have previously made This is usually satisfactory if the incidents are fairly recent We can improve our memory for such situations by paying attention, in advance, to the behavior that we wish to observe

c Data Collection

We should not overlook the need for and value of data collection methods to enhance our own observations We can ask others who are familiar with the situation We can ask the performer By the use of good, open-ended questions, we can do so without creating undue defensiveness

In our data collection conversations, we should explain our purpose, state that we are interested in what the performer said and did, state that we are interested only in significant data, and indicate that we do not need judgments or opinions

Our position should be one of neutral, unbiased acceptance of what the observer has to say We can use reflective questions and follow-up questions to insure our own understanding
After we have collected data from another person, we can evaluate its usefulness by answering questions like these

- ❑ Was the actual behavior reported?
- ❑ Was it observed by the reporter and not hearsay?
- ❑ Were all of the relevant facts given?
- ❑ Was the behavior significant?
- ❑ Has the observer made it clear why he or she has drawn conclusions about the behavior?

d Quantity

There is no simple formula for determining the number of behaviors or incidents that should be observed and recorded We must decide if what we have are representative, typical and comprehensive We can suggest some minimum standards for our observations

We can test to see if new observations are producing different results or evaluations If they are, we have not yet achieved a representative sample of typical behavior Over a year, we should have at least 3 or 4 examples of behavior for every key duty of the job Where there are problems in performance, we should have more, so that we have sufficient information for our conversations with the Associates/Employees

Recording Behavior

What we need to be able to do is summarize and describe data in an efficient manner so that it can be used effectively for feedback purposes Our concern should be with the completeness, detail and validity of our statements We want to record our observations in a way that makes accumulation of data easy, makes drawing conclusions about performance possible and allows comparison of data on the same dimensions over a period of time

Formal Performance Feedback

Performance Evaluation Depends On Standards

Proper feedback must reflect some qualitative or quantitative measures At this point, it is necessary to introduce a few more words of explanation of how we will use the term "standards " As we have defined it, standards can apply to different parts of a person's job We may have Input standards, Job Structure standards or Process standards These standards are expressed as

- Operating standards
- Performance standards
- Cutoff standards or limits (usually as "Shalt Not" rules)
- Output standards, also commonly referred to as
  - Goals of performance
  - Desired end results
  - Objectives all of these terms describe some aspect of standards of performance

Three Conditions For Standards

To get started on the same foot, we should have the same view and understanding of what "standards" are a definition might look like this A standard is a

1) Predetermined acceptable level or range
2) Based upon measuring or evaluating,
3) With a quantitative and/or qualitative unit of measurement

Predetermined Acceptable Level

The first principle of standards is that they are predetermined This means that a decision is made before performance as to what level of performance will be considered acceptable This serves two very important purposes

First of all, predetermined standards tell the performer what level of performance to aim for Without these standards, the performer is left with the decision as to what will be acceptable The performer's guess may not be the same as what is needed by the organization or by the boss

Secondly, predetermined standards give the performer a chance to build in a feedback loop during performance The performer checks performance against the standard as work progresses and makes the necessary adjustments along the way Without these predetermined standards, the performer finishes the job and waits for an evaluation of results Then, it's too late to build excellence into the

work

Measuring or Evaluating Performance

Performance must be measurable Ideally, the measuring is done continuously during performance so that adjustments in performance are possible at any time Sometimes, it is not possible to measure while the performer is doing the job so evaluation of results is used For example, it would be ideal to measure the accuracy of someone's calculations (in their head) before they write errors onto the form Unfortunately, we can't see inside their head So, we have to wait until after their calculation is done and the result is revealed in order to evaluate the accuracy Sometimes we are able to sample the performance This serves to provide evaluation somewhere between the ideal (continuously) and least desirable (after the results are in)

Quantitative or Qualitative Unit of Measurement

Measuring performance implies that there is a unit of measurement by which performance or results are measured In many cases, we are quite familiar with units of measurement for performance For example, how many feet and inches did the high jumper jump? How many points did the team score? How many games did the team win? How much energy we produced last year? Units of measure are how we keep track of performance, how we keep score Some units of measure are not as straightforward as these quantitative examples Some performances can only be measured in qualitative terms Though it is more difficult to evaluate with qualitative measures, it is necessary

We will simplify our task a great deal by defining that all qualitative measures that we use must be observable In other words, we will establish that any unit of measurement that can not be sensed (e g , heard and/or seen) will not be acceptable In practical terms, this means that we can define behaviors (actions of subordinates) which are acceptable or not, but we will not be able to describe standards in terms of "attitudes" or "mentalities" or "personalities " We will have to have some way of making our measurements relate to what is observable (That is, attitudes are not observable Have you ever seen one? What color is it? What shape? How big? However, we can establish that "failure to answer the phone, using abusive language, willfully destroying property," for example, would constitute evidence of a bad attitude)

Standards Are/Are Not Inherent

Some standards are obvious to the performer If they are not obvious on the first time, they are on subsequent attempts For instance, we have all heard of the safety oriented performance standard, "Don't play with fire " For the person who doesn't know what that means, one case of unacceptable performance (i e playing with fire and getting burned) will surely convince him or her to handle fire more carefully

Where Standards Come From

For our supervisory purposes, however, standards of performance are seldom inherent in the work or obvious to the performer The standard has to be deliberately established This is done by

1) Deciding on a unit of measurement
2) Determining where, when, and how to measure, including how often
3) Predetermining an acceptable level or range

4) Making certain that the three (preceding) factors are evident to the performer, this is feedback

These four items make up the process of establishing performance feedback in terms of standards of performance To illustrate the four items, we will look at an operation example and draw conclusions which will help us use the process

Applying Standards to Jobs

Now, let's examine the process as it applies to our jobs and our efforts to monitor the performance of our subordinate's and our work units The first requirement is to make observable the element of performance that we are interested in WHAT WE ARE ABLE TO OBSERVE

- See (size, shape, color, movement)Hear (sound, noise)
- Feel (texture, temperature, vibration)
- Taste,
- Smell

WHICH WE MAY EXPRESS AS

- ❑ Linear (height, width, length, design)
- ❑ Surface (area)Volume (quantity, capacity)
- ❑ Mass (weight)
- ❑ Time (interval)
- ❑ Rate (Speed or volume to time)
- ❑ Pressure temperature

How Much Should be Done (Quantity)

In many of our on-the-job situations, the quantity of work that should be accomplished depends upon the assigning supervisor's judgment. There are so many variables that we have to develop a "feeling" for the length of time it should take to handle a job and we should communicate this to our people

Are the Priorities and Sequences Being Followed?

Effectiveness depends upon recognizing and working on the most important things first When an individual or a group spends their best time and effort on the little things, or less important jobs, then productivity suffers Subordinates can easily learn to fill the hours in the day by doing a lot of little chores It is our responsibility to make sure they understand what has to be done first, that is, what is most important or urgent

The Use of Materials, Supplies, Parts and References

The cost of items that are ruined or wasted through poor work or careless practices probably cannot be accurately measured, but it is sure to amount to many thousands of dollars a year Often, the inefficient use is caused by supervisors who do not exercise good controls Also related to this problem is the practice of "hoarding" certain materials or supplies, beyond immediate needs, for fear of running short This builds a heavier investment in inventories and encourages waste

Follow Policies, Rules and Regulations

Following established policies, rules and regulations depends on leadership Not getting to work on time, being absent and not calling in, "borrowing" supplies for home use, bending guidelines, without authorization, not following safety procedures, and taking liberties with accepted practices are just some examples They must be dealt with when they occur

Determine Where, When and How to Measure

While a specific set of controls (such as corporate policies) would be the same for all subordinates, there are usually differences which affect our measurement practices Our evaluations and the way we use them should be tailored to the activities that we do They have to fit our situation to be truly effective Some evaluations are quite formal Examining a subordinate's time schedule is a formal control, but one which is very commonly used in on-the-job situations in some departments Here are several general approaches to checking and evaluating

Personal Observations

There is little question that we should spend a large part of our time in "eyeballing" the work of the people we direct. We should check what the people are doing or the work that they have completed on a regular basis How often we check will depend upon the complexity of the work, the experience of the people, the importance of the work, or the critical nature of the job For an inexperienced subordinate working on an important project, we would probably watch every move very closely On the other hand, we may ask an experienced person, who has been assigned a routine job, if he got it done, and we might not look at it

Formal Controls

Paperwork can also be used for evaluation Requisitions for materials and tools, completed forms, time cards, work schedules, and the like are documents we can check and evaluate They give us some good insights into how much work is being completed and how well it is being done To some extent, written policies, procedures and reports fall into the paperwork category Of course, we have to know these well, but we may also have to refresh our memory to see if there is indeed an exception and what the implications are Written reports or recommendations from subordinates allow us opportunity for evaluating content as well as presentation ability

Timing of Control

Ideally, our follow-up should take place at a time when we can take effective action Finding out that something has gone wrong, after it is too late to do anything about it, tells us that an error has been made and who is responsible, but there is not much we can do except try to avoid the same mistake in the future What we want to do is check the progress of work at a time when we can still take corrective action

The Process of Formal Evaluation:

The process of coming up with a rating of each subordinate is fairly easy We will have done all of the hard work during the year as we observed behavior, made note of significant incidents and evaluated them At this point in time, there should be no "surprises" for us or for our subordinates It's a matter of compiling what has already been evaluated and discussed It consists of seven simple steps

1. Converting Incidents To Behavior Statements.

Our first effort should be to convert the record of incidents we have observed to behavior statements for Position Requirements (the critical duties performed), Performance Competencies (the characteristics of a performer) and for Performance Objectives for the current period

An incident of a subordinate presenting a formal proposal to management for a new system may have given us opportunity to evaluate the subordinate on Oral Communication, Written Communication and Technical Knowledge We may have also seen performance relative to an objective or a position requirement We will want to come up with a descriptive behavior statement for each Competency, Requirement or objective as applicable

What Good Statements Include

A good behavior statement has two elements the action and the standard that was applied Consider several examples of behavior statements from the example of the proposal presentation

- ❑ The written proposal was well organized and finely detailed
- ❑ The oral presentation was not consistent with the written material The subordinate did not handle questions well, had to delay and look things up Poor preparation
- ❑ Technically speaking, the report was accurate and thorough

We want to make clear and concise statements which demonstrate
what behavior was observed
what our evaluation of the behavior was

2. Mapping Behavior Statements.

If we have done a good job of observing and recording behavior over a period of time, we will have a minimum of 3 behavior statements for each Performance Competency and Position Requirement (the more, the better) We also should have collected information about objectives accomplishments as applicable To see the relationship between observations, we should plot them on a Behavior Map in a way that is consistent with a set of scaler statements This plotting may be in writing or by mental effort

It is unlikely that all behaviors will fall clearly at one place on the Behavior Map Instead, there will be some statements of better behavior and some of a less satisfactory nature Mapping the statements gives us a fair picture of overall performance in the dimension

3. Competencies Ratings

To derive a rating, we simply calculate where the predominant number of behavior statements appear on the map We draw an imaginary vertical line to the top of the map and mark the appropriate rating box 4 Performance Objectives for the Current Period

If all goals, objectives, programs, projects or assignments are within the parameters of the job and require only the normal job competencies, they can be fairly evaluated in the ratings for Position Requirements and Performance Competencies There are two conditions which, if present, warrant an evaluation beyond these factors

- First of all, if the subordinate is required to do any program, project or assignment in addition to the normal job duties, we should itemize and evaluate these efforts

- Secondly, if the subordinate works on projects or assignments which require different capabilities from what is normally required, we should identify the added dimensions or standards involved and evaluate accordingly

Generally speaking, these two exceptions to normal evaluations will not account for more than about 20% of the overall evaluation If they do, we should certainly justify this, but we should also consider a serious question If the subordinate is that much different, should his/her job be re-evaluated or re-classified?

Whether we find that G-O-A-L-S exist outside the job parameters or as an integral part, we will want to document G-O-A-L-S achievements in terms of results achieved and/or consequences Some examples will help to illustrate

- If the Accounts Payable Manager had an objective "to reduce the aged accounts by 11 days, on the average," and the results were a reduction of 13 days in average account age, both of these items should be clearly documented

- If the Analyst completed the special project that had been scheduled, and it was on time, and it reduced overtime in the user department by 400 hours per month, all of these relevant details should be listed

- If an Engineer dropped the ball on his or her part of an assignment to get data together for a government report these facts should be noted

- If the supervisor filled in for us while we were gone on 4 weeks of leave, and no major problems were evident when we returned, we will want to document this

5. The Ratings

There are five possible ratings in typical Performance Systems They are, from worst to best

Unsatisfactory

This is the lowest performance category It includes the noticeably less-than-acceptable performance of those whose work in terms of quality and quantity of output is obviously below minimum job requirements, even when close supervision has been provided This category describes a level of

performance which should significantly improve within a reasonable period if the individual is to remain in the position

Requires Improvement
This is a rating that should be assigned to performance that does not fully meet job requirements in all key areas of responsibility The individual may demonstrate the ability to complete most assignments, however, there may have been a number of occasions where expected results were not achieved, where more than normal supervision or direction was required, where time schedules were missed or activities were not carried to full completion The need for further development and improvement is clearly recognized There tends to be about 5 to 15% of the population in this category

Competent
A rating of fully competent should be assigned to those whose demonstrated performance clearly meets all the requirements of the position in terms of quality and quantity of output It is good solid performance normally expected of those who have the necessary education, training and relevant experience to enable them to effectively perform in a consistently reliable and professional manner Although minor deviations may occasionally occur, the overall level of performance meets or may slightly exceed major job requirements The bulk of employees (60 to 75% of total population typically fall in this rating category)

Exceeds Expectations
This rating should be assigned to those who noticeably exceed the expected results in the position, especially in the key areas of responsibility The individual consistently demonstrates truly outstanding achievements in terms of quality and quantity of output As an overall rating, it is reserved for the relatively few (10 to 15%) usually effective employees who use their valuable experience, exceptional abilities and energy to produce added value to their jobs

Outstanding
Performance of this caliber is extremely rare It is a rating that should be reserved for those who clearly and consistently demonstrate extraordinary and exceptional accomplishments in all major areas of responsibility Results are far in excess of the requirements of this position and may indicate the possibility of promotion or higher level responsibilities It is reserved for that small percentage of employees (about 5%) whose performance is seldom equaled by others who hold positions of comparable scope and responsibility

6. Deriving An Overall Rating

In order to derive the overall rating, we have to know two basic items of information the first is the ratings for each competency area and the level of Position Requirement performance These items should be accessed individually and then collectively While exception can and will occur, we can make some general guidelines for overall ratings

- Performance ratings for Position Requirements should be given the heaviest weighting Individuals who perform all job requirements and meet the standards for quality and quality of work required should receive at least a Competent rating The accomplishment of additional goals, objectives and assignments in addition to the normal job can increase the rating by a level Performance Competencies should be either a 4 or 5 in each competency area if performance met all position requirements All 5s should be documented and challenged A majority of 5s can increase the rating by a rating level

- If an individual does not satisfactorily fulfill all of the Position Requirements for his/her job, we must question why If lack of performance is due to lack of opportunity to perform these duties, the condition should not be held against the individual Likewise, if performance did not occur in the period, performance above the competent level cannot be assumed unless previous performance would merit such a rating Performance Competencies should be considered carefully in this event Also, the weighting of objectives should be increased as appropriate

- New performers in job classifications should not be given any advantage in their rating because of their limited time on the job They should be compared to job requirements If these individuals are lacking competency in two or more job requirements, a competent rating is not justified The compensation system should take care of these individuals who are on a learning curve Our obligation is to provide growth opportunities We can use Performance Competence to increase the rating Proper documentation should be presented

- Senior employees in job classifications should not be given any advantage in their rating because of their senior status or above market value pay Competency is relative to the job, not an individual's pay or pay scale

- Special assignments, goals and other worked performed out of an individuals normal responsibilities should be considered heavily if they consume 25% of an individuals time If these duties consume 50% of an individuals time, they should be evaluated equal with Job Requirements and can enhance ratings as much as two levels if temporary duties are clearly performed in an extremely competent manner and at a elevated position in the organization

- Work performed at a level clearly below competent, should be rated appropriately If more than three Position Requirements or Performance Competencies are below competent, the ratings should be documented and discussed with the second signature before the interview

Conclusions

The rating scales for performance may be said to coincide, in a general way, with the overall ratings The rating scale on all categories are from worst to best and thus produce the equivalent of four possible ratings If normal job duties account for all or nearly all of the overall rating, we might conclude a relationship like this

- If a performer's ratings are predominately in the "worst" category, we can conclude that the overall rating is Unsatisfactory
- If the behavior on dimensions are almost all at the top of the "best" category on all scales, we may conclude that the person's performance is probably Commendable
- Where the subordinate's ratings are dominantly on the lower half of the scale, but not worst, we would probably derive a Requires Improvement rating
- Where they are on the upper half of the scales, but not all in the best category, we would conclude Fully Competent

7. Justification

It almost goes without saying that we have to justify any and every rating that we select We will say it anyway The whole PM System of observing and recording representative behavior is a process of

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justification In any subordinate's situation, we should be prepared to prove and validate our ratings by reference to specific behaviors If challenged, we should be able to show that our observations were accurate and standards and conclusions were fair

Developing Strategies for Feedback

Communicating feedback effectively is more an art than a science There are basic guidelines to follow and skills to master as we describe in the FIRM method later in the session, but there is considerable room for the individual approach What one manager does and says might work very well, but be entirely wrong for another What's more, our subordinates all have individual differences which we have to take into account

The point is that there is not just one way to handle feedback situations We can develop our skills in ways that are more natural to us and still be consistent with sound communication techniques For purpose of explanation, there are three general strategies Each of the three is useful and has merit when applied to the proper situation We will look at each

Telling Approach

In the telling approach, we will generally take the initiative in leading the discussion between ourselves and the subordinate We guide the exchange along a path that we want to follow and a route which will cover the things that we are interested in talking about The employee may express his or her opinions and provide feedback where needed, but we are very much in control of the exchange We may respond to the comments and questions of the subordinate, but we will keep the discussion concentrated on the subjects that we have chosen In the telling approach we are usually giving the subordinate a considerable amount of our views

The advantage of this approach is that it permits us to lay out clearly our thoughts, opinions and the actions that we want the subordinate to take Our ability to explain and to sell ideas is an asset in this situation It is usually less time-consuming than the other techniques The telling approach does not encourage the subordinate to reveal his or her feelings We may get our subordinate to agree with us, but we will not know how he or she really feels The subordinate is likely to hold back information or to tell us what he or she thinks we want to hear As a result, the exchange is limited Yet, there are times that the telling approach is not only appropriate, but also mandatory

Asking Approach

This is the process of skillfully listening to the subordinate and encouraging him or her to talk about performance and underlying feelings The subordinate is given the major role in defining performance and what is to be done about it We attempt to keep the employee talking by asking open-ended questions, restating ideas, clarifying feelings, and attempting to understand why these feelings exist We encourage the person to come up with answers, plans or solutions

Cooperative Approach

The cooperative approach fits somewhere in between the telling and asking approaches This is intended to use the advantages of the two others while minimizing their disadvantages It means that we and our subordinates play an active and positive role during the communications In counting the

number of words each speaks, there would be more of an even balance between the subordinate and ourselves The cooperative approach is characterized by its give-and-take

We Need a Method for Feedback

We have four specific objectives for our feedback

Awareness

It is entirely possible that the subordinate may not be aware of the satisfactory or unsatisfactory aspect of the behavior **Our first objective is to create this awareness** One principle is that a problem cannot be resolved unless it is **recognized** as a problem The other principle is that of significance The subordinate may not view the behavior as being significant or important We need to let it be known that the performance counts, that it matters Ignoring the behavior is the same as saying that it doesn't matter

Change or Maintain

With awareness or correction opportunities it is necessary **for the subordinate to recognize that a change of behavior is necessary** Gaining this recognition **is the second objective** The subordinate must have a commitment to improvement if resolution of the problem is to be possible

Plan of Change or Follow-up

In our function to get the subordinate to recognize the need for change and to establish a method of achieving this change, it naturally follows that the **third objective is to derive a plan** of change which will make behavior or performance acceptable The plan should be authored, insofar as possible, by the person with the problem However, the plan must meet the criteria we establish, as managers, for being acceptable It should spell out WHO is going to do WHAT, WHEN, and HOW to achieve the change Reinforcing desired behavior is also in need of a plan Reinforcement is not needed for every example of good performance, but systematic follow-up with comment is needed

Respect

Finally, our feedback sessions should have as **an objective that the subordinate has gained respect for us as the boss** In other words, we want our results to show that the subordinate does not see us as someone to fear, someone to hate, someone to blame, or someone to use as a scapegoat, but rather, someone who is trying to be helpful The subordinate should conclude that the boss is vitally concerned about his or her interests and future Of course, it will help immeasurably if we **are** vitally concerned about our subordinates' interests and futures

Behavioral Maps & Evaluation Forms

PROBLEM SOLVING

FIELD, PLANT, AND SHOP SUPERVISION

- Unable to identify or solve problems that occur in the performance of the job
- Identifies problems but requires frequent assistance to solve them
- Identifies and solves problems with occasional assistance from others
- Identifies problems and successfully eliminates or prevents problems with virtually no assistance from others

Identification

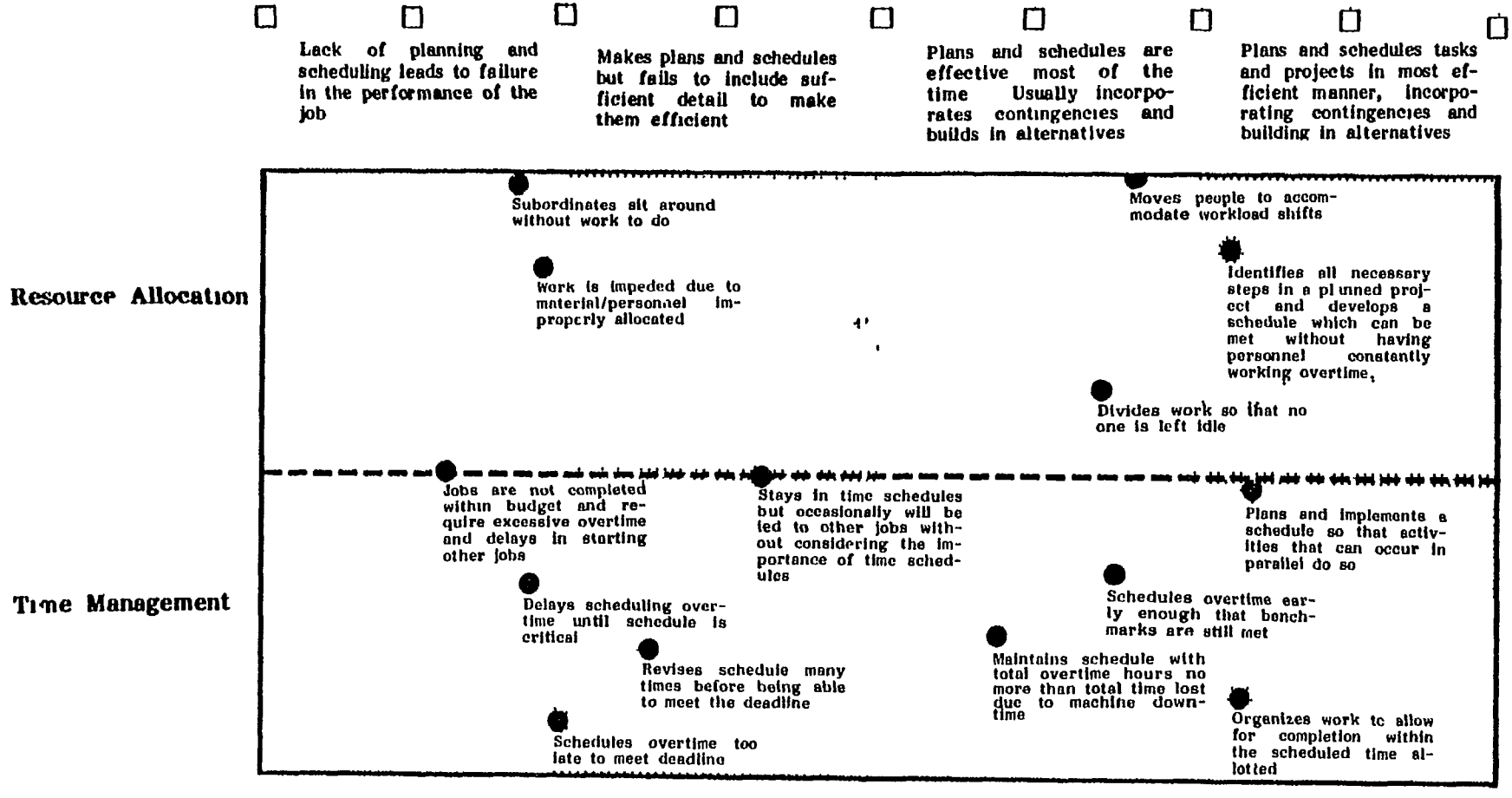
- Guesses what caused problem rather than researching problem and obtaining answer or solution
- Does not define problem before trying to solve it
- Recognizes potential problem areas
- Points out potential problems that a corrective action for another problem may cause

Solutions

- Rarely considers alternative solutions
- Does not know where to begin to solve a problem
- Can identify that a problem exists but has no solution to correct the situation
- Problems solved with the occasional assistance of others
- Recognizes problems or potential problems and successfully eliminates or prevents the problem with very infrequent help from others

PLANNING & SCHEDULING

FIELD, PLANT, AND SHOP SUPERVISION



ORAL COMMUNICATIONS

FIELD, PLANT, AND SHOP SUPERVISION

	Unable to express ideas clearly and concisely Makes no effort to clarify misunderstandings	Sometimes has difficulty expressing ideas clearly and concisely and clarifying misunderstandings	Expresses ideas clearly and concisely most of the time Can clarify misunderstandings when asked	Always expresses ideas clearly, concisely and effectively Solicits feedback to insure understanding and clarifies misunderstandings
Diction	Describes the problem in such technical terms that most people cannot understand the situation Speaks too softly and avoids eye contact	Talks in monotone	Expresses the same thought in two or three different ways	Explains practices and procedures to subordinates in various ways to insure proper understanding and compliance
Effectiveness	Leaves out some details in orally explaining job to subordinate causing errors and lost time Subordinate cannot complete job assignment based on oral instructions of supervisor	Explains well but does not explain with examples and/or diagrams so that full understanding may not be present	Crew have few errors in jobs received by radio	Oral job assignment instructions lead to correct completion of the task by subordinates

INTERPERSONAL SKILLS

FIELD, PLANT, AND SHOP SUPERVISION

	Responds inappropriately to others and makes little attempt to improve person-to-person working relationships	Responds appropriately to others most of the time, but occasionally fails to cooperate with others	Responds appropriately to others and always cooperates to accomplish tasks	Consistently responds appropriately to the needs of others Assists in resolving conflicts and elicits cooperation from others
Sensitivity	Is not responsive to others needs Allows telephone calls to interrupt when a visitor is in the office	Is courteous but at times doesn't show consideration and responsiveness which results in complaints from customers and subordinates	Does not show anger publicly Explains the reasons behind a decision	(Makes a point to discuss non-work activities with subordinates showing an interest in them as people) Aware of the personality differences between team members and organizes the team to prevent possible conflict
Cooperation	Seldom cares about other people's problems, does own job but unwilling to help others Co workers try to avoid working with this person		Assists others in their work when requested to do so	Receives commendations for helpfulness from other departments

DECISION MAKING

FIELD, PLANT, AND SHOP SUPERVISION

	Never makes decisions in a timely and sound manner Constantly requires assistance	Seldom makes decisions in a timely and sound manner Frequently requires assistance	Makes timely decisions which are usually correct, resulting in positive outcomes Rarely needs assistance	Independently makes timely decisions that are logical, practical and sound with positive results
Timeliness	(Impedes flow of work by "sitting on" decisions)			Makes a prompt decision once information has been gathered and presented Makes decisions in time to keep the work flowing
Self-Reliance	Cannot make a decision Identifies problems but does not decide on or recommend a course of action	Does not make a decision independently	Independently decides on course of action	
Judgement	Makes decisions based on hearsay	Makes a decision based on experience not considering new developments	Decisions are based on company policies and procedures	Considers alternative approaches

ACCURACY

FIELD, PLANT, AND SHOP SUPERVISION

	Work is untidy, incomplete and inaccurate with frequent avoidable errors	Work is neat and accurate most of the time Occasional errors made when project is large or complex	Work is almost always error free, neat and presentable Seldom needs major redoing	Work is consistently complete, error free, orderly and attractively presented
Error Rate	Does not make all necessary checks and follow-ups	Is normally accurate but on larger projects review is necessary by someone else.	(Uses proper forms and completes correctly)	(Rarely has work returned for corrections) (Working under pressure and time constraints work is still accurate)
Checks Work	Skips task of checking orders if other job pressures develop thereby sacrificing accuracy	Sometimes doesn't proof-read reports for errors Requires assistance in determining the correctness of results	If work does not meet standards, makes sure it is corrected Checks that all work passes written code	

SAFETY AWARENESS

FIELD, PLANT, AND SHOP SUPERVISION

	Frequently fails to enforce safety rules and lacks awareness of unsafe conditions in the work environment	Sometimes fails to enforce safety rules and procedures Has some difficulty identifying unsafe conditions	Enforces safety rules and procedures and rarely fails to identify unsafe conditions	Highly skilled in identification and prevention of unsafe conditions Strictly enforces safety rules and procedures
Enforcement	Does not enforce safety rules Tends to "look the other way "	Actions performed are effective and relatively safe but are not always in the correct sequence as outlined in company policy and procedures	Follows the correct sequence of procedures in an emergency situation	Strictly enforces safety rules and procedures
Identification	Does not spot unsafe conditions in working environment	Spots obvious safety hazards but does not identify potential safety problems		Decisions include consideration of safety factors and the protection of people and equipment

Human Resource Development

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Human Resource Development

HRD often referred to as Training, is extremely important for new or present employees Training is, in short, an attempt to improve current or future employee performance The following specific points are important to know about training

- Training is the systematic process of altering the behavior of employees in a direction to increase organization goals
- A formal training program is an effort by the employer to provide opportunities for the employee to acquire job-related skills, attitudes, and knowledge
- Learning is the act by which the individual acquires skills, knowledge, and abilities that result in a relatively permanent change in his or her behavior
- Any behavior that has been learned is a skill Therefore, skills improvement is what training will accomplish Motor skills, cognitive skills, and interpersonal skills are targets of training programs

The Effects of Training Should Be Measured

The processes and training offered should be tested to confirm that it produces the desired end result Typical challenges should include

- Training validity should be established through a post program evaluation Did the trainees learn skills, or acquire knowledge or abilities during the training?
- Transfer validity Did the knowledge, skills, or abilities learned in training lead to improved performance on the job?
- Intraorganizational validity Is the job performance of a new group of trainees in the same organization that developed the program comparable with the job performance of the original training group(s)?
- Interorganizational validity Can a training program that has been validated in one organization be used successfully in another firm? These questions (goals) result in different evaluation procedures being employed to examine what, if anything, training and development have accomplished

Learning Theory and Training

Since training is a form of education, some of the findings regarding learning theory logically might be applicable to training These principles can be important in the design of both formal and informal training programs The following is a brief summary of the way learning

principles can be applied to job training

The Trainee Must Be Motivated to Learn

In order to learn, a person must want to learn In the context of training, motivation influences a person's enthusiasm for training, keeps attention focused on the training activities, and reinforces what is learned Motivation is influenced by the belief and perceptions of the trainee If a trainee is not motivated, little can be accomplished in a training program

The Learning Must Be Reinforced

Behavioral psychologists have demonstrated that learners learn best with fairly immediate reinforcement of appropriate behavior The learner must be rewarded for new behavior in ways that satisfy needs, such as pay, recognition, and promotion Standards of performance should be set for the learner Benchmarks for learning will provide goals and give a feeling of accomplishment when reached These standards provide a measure for meaningful feedback

The Training Must Provide for Practice of the Material

Learning requires time to assimilate what has been learned, to accept it, to internalize it, and to build confidence in what has been learned This requires practice and repetition of the material

The Material Presented Must Be Meaningful

Appropriate materials for sequential learning (cases, problems, discussion outlines, reading lists) must be provided The trainer acts as an aid in an efficient learning process

The learning methods used should be as varied as possible It is boredom that destroys learning, not fatigue Any method—whether old-fashioned lecture or programmed learning or a challenging computer game—will begin to bore some learners if overused

The Material Presented Must Be Communicated Effectively

Communication must be done in a unified way and over enough time to allow it to be absorbed

The Material Taught Must Transfer to the Job Situation

The trainer must do her or his best to make the training as close to the reality of the job as possible Thus, when the trainee returns to the job, the training can be applied

immediately

As each aspect of training program design and implementation is discussed, you will see how these learning theory principles are applied Training and management development are closely related to many HRM activities For example, performance evaluation provides the data needed for training Employment planning decisions may also dictate the need for added training

The Foundation of Training

The most important determinants of training are the task to be done and the employees' abilities and attitudes If the current employees have work ethic attitudes and the skills needed to do the jobs, training may not be too important for the organization More often, because of conditions in the labor market, the organization is losing some employees to other enterprises that provide better rewards

Job Tasks Are Not Static

It is also unlikely that the task demands are stable More frequently, because of volatile technology and market conditions, the jobs are changing, requiring more training so that employees can meet current effectiveness standards For example, when computers are introduced or new production or operating techniques are instituted, employees must be retrained

How Management Views HRD

The goals of management also affect training and development For example, organization development programs are likely to be chosen by managers who feel that full development of employees is an appropriate enterprise goal The implications are that employee training is a major undertaking for employers The five most popular types of training are new orientation, performance appraisal, leadership, interpersonal skills, and new equipment orientation

Where Are Classes Held

The corporate classroom is now a growing business Engineers can take classes that could lead to a master's degree Students can now attend classes at their worksite, watch satellite transmissions, and talk with professors via telephones or electronic mail

Considering The Cost of Training

HR executives and other managers now realize how important and large the commitment to training is becoming The consensus accounting model reported by the American Society for Training & Development helps firms assess the costs and benefits of their training and development programs The consensus model consists of four steps

1 Establish an organization-specific definition of training
2 Determine all training cost categories
3 Calculate training costs
4 Determine costs effectiveness of training need to be looked at, and training program evaluations must determine if the program has made a specific contribution to the organization's goals

The Need for Management Support

For training to be effective, top management must support it in an open manner Employees must see that top management is supporting training personally and financially As with other HRM activities, both operating and HR managers are involved in training

Establishing Training Objectives

Perhaps the single most important element of a training system is the establishment of training objectives There must be a reason for this, and that is where we begin

What Objectives Accomplish

Training exists to create change If nothing is going to change, there is little point in training If where we are is where we want to be, we don't have a need to train If the status quo is okay, we have no reason for looking at what we need to train on If we can say that what we are doing now is successful, and we want to continue it, then we have little need to train

However, our operations are rapidly changing, and the world around us is changing If we are to cope with these changes, we have a need to plan some changes of our own By creatively training, we have the thope of meeting and using these changes to our advantage In other words, we have to train in order to "keep up" with the changes around us

We Need a Plan To Create Change

We will have to plan in order to create the changes which we would like to initiate Change is seldom progress unless it has been thoroughly thought out Thinking-it-out is part of our training responsibility In summary, training is needed if we are to have

Effective performance

By the people who must perform

For desired change

Just accepting these three principles gives us the kind of philosophy we need in order to do some practical training

Reasons For Objectives

By basing our training efforts on the principles we've just listed, we can now assume that we are looking at training from the same viewpoint It has often been said that the three central questions in any effort are

- **Where are we now?**
- **Where do we want to get to from here?**
- **How do we get there?**

These questions define the common elements of any training we want to do Here's how

An Analysis of the Situation

Where we are now is of vital concern when we go to train It means that we look over the present situation to see what the important factors are, before we prepare to train We do Task Analysis and Audience Analysis to find out where we are in terms of knowledge and skills We express our results as training objectives

What we are doing is gathering information to help us "size up" the situation We have to check things out before we can go on to the next element of the training system

We Must Analyze the Current Situation

Sometimes we forget that an analysis of the present situation is necessary to our training effort For example, we jump into a training session before we analyze the mood, the recent work habits, the peers, and the attitude of trainees Our plan for training the employees falls apart because we didn't consider where we were starting from What is worse is the tendency to give employees training without consideration of what their present skills are We end up "going over their heads" or "boring them to

death " We wonder why we have failed It is because we do not have a basis for deciding where we are

Therefore, all training must "take stock" of where we are now The analysis of the present situation will revealtwo things--those things which are to be left along (not training needed), and those things which need to be changed (training needed) We separate the two by subtracting objectives of performers from objectives of the job

Creating Objectives

Once we know where we are, we focus training efforts on some specific target **If we do not know where we are going, all roads will lead there!** (And, it is quite likely that all elements of the organization are running down them) This is just another way of saying that we need to set **specific objectives in terms of end results** We have to look ahead and decide just what it is we want to accomplish as a result of our training The objectives are the purpose of the activity If we have no purpose, we don't need the training

Objectives Inspire Trainees

Objectives also provide a powerful source for motivation, inspiration, and coordination To be effective, objectives must be specific, they must be communicated, and they must be understandable to everyone who is involved in the training

Let's look at a couple of examples from everyday life Suppose I want to hold a meeting with some people Suppose I haven't given much thought to what I want to accomplish in the meeting How can I prepare myself for the meeting? How can I have the others prepare? What will I tell them if they ask why we're having the meeting? What will we do in the meeting if we don't know what we are supposed to accomplish? How will we know when we have been meeting long enough, if we don't know when we are supposed to stop?

Now, suppose I want to give an instruction to someone (an Electrician, for example) for a work assignment I know **what** I want to see done---to repair the control circuit on the conveyor so that the conveyor works again When I give the assignment to the Electrician, I know why I can steer him to where he will work because I know where the conveyor is I want fixed I can advise him of how he will know when he is finished---when the conveyor is working again I can even **clheck** if he is done by simply watching for the conveyor to begin running, or to go find out why it isn't yet running

Terminal Training Objectives

Sometimes we think we are training, but we fail to focus on end results We don't have a clear idea of what we want to see accomplished One thing is for sure---we can't achieve results very well if we don't know what we're looking for If the desired end

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result is fuzzy in our minds, it will be even less clear to those who are to be involved in our training sessions

Clear training is accomplished through terminal objectives These items answer the questions

- ❒ What do we want to accomplish? and,
- ❒ Why?

We have to **think results** each time we want to plan training This element is absolutely essential if we are to include the third element

Developing a Strategy and Action Steps

Let's bring the three elements together with a simple diagram We start with **where we are.** We then establish **where we're going.** The missing link **is—how we get there**

THE THREE ELEMENTS OF TRAINING		
1 WHERE WE ARE →	3 HOW WE GET THERE →	2 WHERE WE ARE GOING!

This element (How We Get There) is where the real "work" part of the training effort is In effect, **strategy and action steps** are merely answers to the basic question, how

In most instances training people to do a work activity requires the completion of a number of tasks When done in the right order or sequence, the job gets done more efficiently and safely Many of the activities that we train people on have well-defined methods or procedures that have been developed over a period of years Most of us learned these through on-the-job experience We simply teach trainees the procedures which exist

In other cases, the HOW of doing the work is not obvious The idea is to include, in any plan, a detailed description of the action steps which are necessary to get **from where we are to our terminal objectives** It means thinking the action sequence all of the way through, and building in alternative strategies to ensure that trainees reach the terminal objectives

Testing Objectives

We will want to test our training strategies for the following characteristics

- Each one has a test question
- Objectives are the common language of training
- Everything we do is based on them

In a Job Objectives Listing, we list what performers must be able to do to perform the job satisfactorily In Audience Analysis, we list what they can presently do When we subtract what they can do from what they need to be able to do, we get what we need to train them to do

In effect, we use objectives because they are the only basis by which we can see where we are, see where we want to get, and keep focused on our target while we are getting there With these points clearly in mind, we can define Training Objectives in terms of some specific criteria

Criteria of Training Objectives (GAS)

We already know that the common language of our objectives, so far, is the term "able to " Job Objectives state **"must be able to."** Our question is, "Able to WHAT?" To answer that question, we will use the help of three things from our I-P-O analysis model We can always remember the three elements with the acronym GAS

Objectives don't run without GAS

❒ Given (G)

In I-P-O analysis, we identified that every operation or process requires some input Inputs are what is **given** They are the conditions or things which have to be present when the performer is to do the operation

When we analyze tasks, we identify what is **given** because it can be assumed to exist too easily For instance, we may say to a typist, "Can you type?" If he or she says "Yes," we might assume that we can plop such a person right down and get our typing done This can prove to be completely wrong It is entirely possible and quite probable that we will get a different answer to our question if we supply what is **given** Look at these different examples

Can you type, given a manual typewriter?

Can you type, given an electronic word processor that operates only in the memory mode?

OBJECTIVE STATEMENT

GIVEN ———— ACTION ———— STANDARD

Can you type, given letters that are written out longhand?

Can you type, given notes that are in shorthand?

In other words, the task or operation to be performed (typing) can mean quite a different process depending on the conditions under which it must be done **Whatever the performer is given will dramatically affect what the performer is able to do** We can hardly afford to assume the **given**

In another part of our training system, we need to know the given in order to have the right training materials available (e g Can you imagine trying to teach a lineman how to climb poles without "hooks?")

Finally, we need to know the given in order to test the trainee's ability to perform as needed For instance, many computer terminal or keyboard operators would have great difficulty operating terminals or keyboards from different manufacturers because of differences in keys, codes, and procedures So, every time we refer to Training Objective, we will not assume what is given We will make the given explicit

❒ Action (A)

It is pretty clear by now that an objective needs to state the **action** (the actual performance) that is expected of the performer A review of the element of Task Analysis will remind us of what an **action** must look like in statement form

For operations which are physical actions that are observable, we will normally use the verbs which describe what the performer does For operations which are not observable (mental operations) or for decisions, we will have to state Objectives in terms of what the performer would have to do to indicate that the performance has been done For instance, if the performer must add figures (a mental activity) we would have to state an action to show that the adding has been done This might be to write the sum, to state the sum, to enter the sum through the keyboard, etc

We can conclude that the statement of an objective must include an **action** (a performance) **which is observable or an action which makes the performance observable**

❒ Standards (S)

The third criterion for stating a Training Objective is that of specifying the **standard(s)** which must be met by the performance In other words, the objective states the level of performance that is necessary in order to be considered acceptable Completely defined, it means this

A standard is **a predetermined acceptable level or range of performance** based upon measuring or evaluating with a qualitative or quantitative unit of measurement

- **Predetermined Acceptable Level**

The first principle of standards is that they are predetermined This means that a decision is made **before performance** as to what level of performance will be considered acceptable This serves two very important purposes

First of all, predetermined standards tell the performer what level of performance to aim for Without these standards, the performer is left with the decision as to what will be acceptable The performer's guess may not be the same as what is needed in the job Secondly, predetermined standards give the performer a chance to build in a feedback loop during performance The performer checks performance against the standard as work progresses and makes the necessary adjustments along the way Without these predetermined standards, the performer finishes the performance and waits for an evaluation of results Then it's too late to build excellence into the work

- **Measuring or Evaluating Performance**

Performance standards are necessarily based on some form of evaluation of the performance Ideally, the measuring is done continuously during performance so that adjustments to performance are possible at any time Sometimes, its is not possible to measure while the performer is doing the job so evaluation of results is used For example, it would be ideal to measure the accuracy of someone's calculations (in their head) before they write errors onto a balance sheet Unfortunately, we can't see inside their head So, we have to wait until after their calculation is done and the result is revealed in order to evaluate the accuracy

Quantitative or Qualitative Measurement of Training

Measuring performance implies that there exists unit of measurement by which performance or results are measured In many cases, we are quite familiar with units of measurement for performance For example, how many feet and inches did the high jumper jump? How many points did the team score? How many games did the volleyball team win? How much profit, in dollars, did we make last year? Units of measure are how we keep track of performance, how we keep score

Some units of measure are not as straightforward as these quantitative examples Some performances can only be measured in qualitative terms For instance, how "nice" does an employee have to be to a customer to be considered "nice enough?" How antagonistic can a subordinate be before it is considered to be insubordination? How

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neatly does a person have to dress to qualify as passing the "good business dress" code?

Even though it is more difficult to evaluate with qualitative measures, it is necessary We will simplify our task a great deal by defining that all qualitative measures that we use **must be observable** In other words, we will establish that any unit of measurement that cannot be sensed (e g heard and/or seen) will not be acceptable In practical terms, this means that we will not be able to describe standards in terms of "attitudes" or "mentalities" or "personalities " We will have to have some way of making our measurements relate to what is observable (That is, attitudes are not observable Have you ever seen one? What color is it? What shape? How big? However, we can establish that "failure to answer the phone, using abusive language toward a customer, willfully destroying property," for example, would constitute evidence of a bad attitude)

Standards Are/Are Not Inherent

Some standards are obvious to the performer If they are not obvious on the first time, they are on subsequent attempts For instance, we have all heard of the standard, handle fire safely For the person who doesn't know what that means, one case of unacceptable performance (i e playing with fire and getting burned) will surely convince him or her to handle fire more carefully As another example, the standard for filling a cup with coffee is pretty obvious when the cup is full, stop One mess to clean up will make it more obvious

For training purposes, however standards of performance are seldom inherent in the work or obvious to the performer The standard has to be deliberately established This is done by

- Deciding on a unit of measurement
- Predetermining an acceptable level or range
- Making certain that these factors are evident to the performer, in the statement of the objective

Model Standards

The kinds of standards we may need to state with performance may be in any of the following areas These guidelines will help us determine which standards apply to a particular task or operation

Authority Limits

Is approval or authority needed in order to begin or complete the task? For example, purchase order approval limits

(What Are the **Authority/Approval** Requirements?)

Timeliness

Is there the likelihood that the task could be performed too soon or too late, out of sequence or out of priority? If so, are any ill effects or problems likely? For instance daily work and report deadlines

(When Is the **Task to Be Done**? What **Priority**?)

Safety

Is there a significant risk that someone could be injured in the normal performance of the task? For instance, handling of "live" equipment, first aid procedures involving customers

(What are the **Safety** procedures for the task?)

Quantity

Is it important that the task be performed a certain number of times, or that a certain amount of output be produced within a specified time? Could it be done too slow or too fast?

(**How Much** Is Enough?)

Quality

Are there specifications which must be satisfied in the process or by the end results? Are there criteria the performer must meet? Is a specific degree of accuracy required? For instance, does it balance? Is it readable?

(**How Good** Does it Have to Be Done to Be Satisfactory?)

Procedural

Are there specific procedures or methods showing HOW the task is to be done? Would failure to follow procedures result in risks or misuse, abuse, damage or waste to property or material? For example, security and audit procedures

(What are the "**How to**" procedures?)

Policy

Are there stated policies or rules covering the performance of the task? Like operating policies or visitor policies

(Which **Policies/rules** apply?)

Professional

Are there specific principles, ethics or "codes of conduct" which cover the performance of the task? For example, customer contact practices or dress codes

(Which **Principles/ethics/guidelines** apply?)

Model Training Objectives

Here are a few examples

- Given a torque wrench, will tighten rocker arms within the range of 20-30 psi
- Given a backhoe, will be able to safely dig a trench to meet job and OSHA specifications
- Given a CRT and a code index, will be able to access a data entry screen without prompting an invalid code,"lockout" condition

So, we know how to state an objective, but we do not necessarily know how to state a relevant objective

Sources of Training Objectives

We could go on all day stating objectives which look good and which meet the criteria of a training objective However, they may have nothing to do with what is needed for a training course To solve this problem, we will look at three probable ways of finding and establishing relevant training objectives

1. New Development

When we are developing new training materials we will be working from the results of Task Analysis and Audience Analysis

a Deriving Objectives

The Task Analysis produced a JOL (Job Objectives Listing) which shows all of the operations and decisions that a performer must be able to perform for the tasks and job to be done satisfactorily From the JOL we subtract the items that a performer is already able to perform, as shown in our Audience Description That leaves us with statements of operations and decisions that the performer **has yet to become able to do** These are the basis for Training Objectives

We take the statement of observable operations and they become the **action** part of our training objectives We add the given by referring to the inputs of the Task Analysis We then add **standards** to the action from the information we gathered in Task Analysis

For operations and decisions which are not observable, we decide upon an **action** which will make them observable We then add the appropriate given and standards

b Objective Hierarchy

In deriving Training Objectives, we will find the hierarchy of steps from Task Analysis to be of great value The hierarchy shows us the sequence of steps and shows the relationship of steps to tasks This sequence and hierarchy becomes the basis for an Objective Hierarchy Statements of tasks become the basis for Terminal Objectives Statements of steps become the basis for Interim Objectives For example

Task· To replace a battery

Terminal Objective Given a car with a faulty battery, and a new battery, will be able to safely replace the faulty battery

Steps

1) To disconnect the old battery
2) To remove the battery bracket
3) To lift out the old battery
4) To set the new battery
5) To install the battery bracket
6) To connect the new battery

Interim Objectives

1) Given a wrench of the proper size, will be able to loosen and remove the cables from the battery terminals
2) With the wrench, will be able to loosen the retaining bolts from and remove the battery bracket, etc

In other words, steps to the task are the actions which lead to the accomplishment of the task Interim Objectives are the objectives which lead to the accomplishment of terminal Objectives

Interim Objectives also give us prerequisites They tell us what must be learned and done before we can learn and do other things They show us the sequence of training Interim Objectives are very valuable to us because they allow us to divide our training in building block segments Consider the following example

2. Existing Materials

Realistically, we may not always develop training from the ground up We may be asked to update existing material to make it conform to our training system When this is the case, we are often presented with training materials in the form of leader's outlines or reference texts that show no objectives Our job is to extract the given, action and standards from the existing material

3 Existing Tests

Sometimes, we will only have access to the written tests which are used to test or qualify people in jobs We will not have the training materials because the training is done from memory by presently qualified employees When faced with such a situation, we will derive the objective in terms of the **given, actions and standards** that apply to the test

Summary on Training Objectives

Training Objectives define what we will have to GIVE our trainees as resources for them to learn the job (from Given)

Training Objectives let us know and the trainees know what they are learning to do and what they will be able to do when training is concluded (from Action)

Training Objectives let us know and the trainees know the level of performance that is expected of them in performance of the actions This allows them to monitor and adjust their learning practices and it allows us to monitor their progress and provide (feedback and assistance as needed (from Standards)

Where Objectives Come from

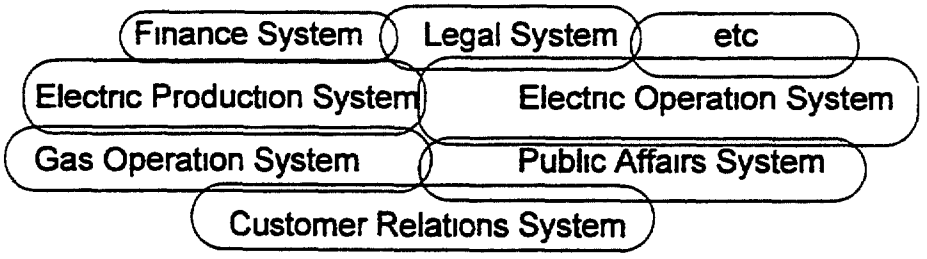
As stated previously, our training objectives come from a comparison of two factors

1 What is required to perform? To collect this information we will need to conduct a Task Analysis This is our method of defining the tasks that must be performed by a job holder The next module of this program will be dedicated to Job/Task analysis

2 We must determine what an audience already knows about the tasks to be performed If the audience already knows who should do what, when, where, why and how, training is not needed However, if there are gaps between what the audience knows and can do and what the job requires, we create our objectives Module Three of this program is dedicated to Audience Analysis

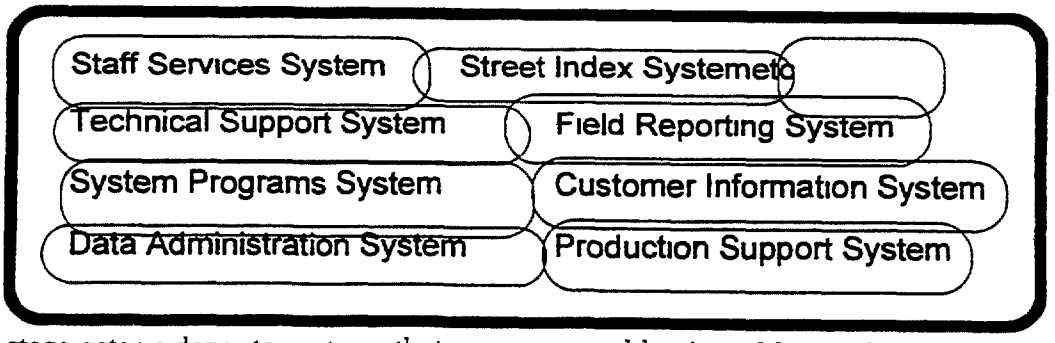
Task Analysis

Our key to establishing an effective HRD system is our ability to look at work areas as "systems " A system, according to the dictionary, is a **"combination of parts in the whole, an orderly arrangement according to a body of principles, a method of transacting business "** By these terms, we should have little difficulty visualizing all of our organization as a "huge system " Within that big system are a multitude of progressively smaller systems or subsystems We might view it as follows



The overall system is a combination of parts which are systems in and of themselves **We may be used to calling the parts "divisions" or "departments."** Each one exists as a system with a purpose that supports and contributes to the purpose of the overall organization We might also notice that **each system interlocks with other systems** in order to make up the whole The parts do not exist in isolation, they are interdependent, interdependency is part of the definition of system

Of course, looking at the overall system is not of much practical value for us Individually, we are not likely to be responsible for the whole organization We will have **to narrow our focus to progressively smaller systems until we get to those we work in** Let's do it in stages with this example



This stage gets us down to systems that are recognizable **An additional step gets us**

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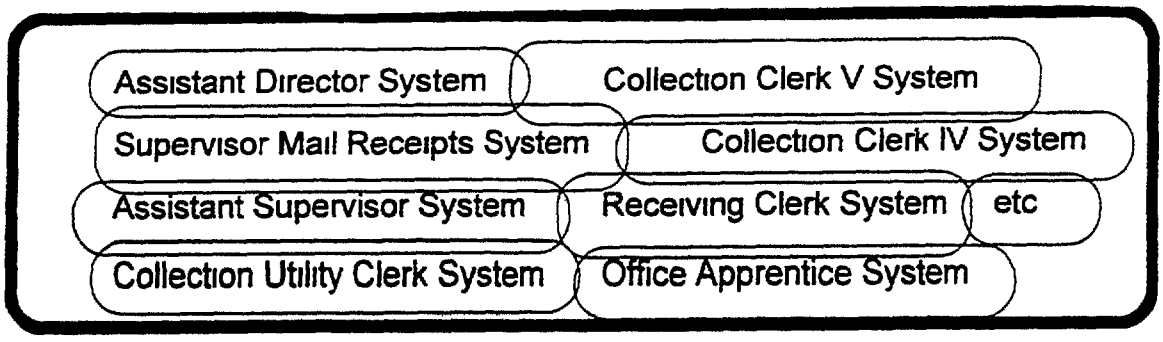
down nearer the job level



Understanding Jobs and Tasks

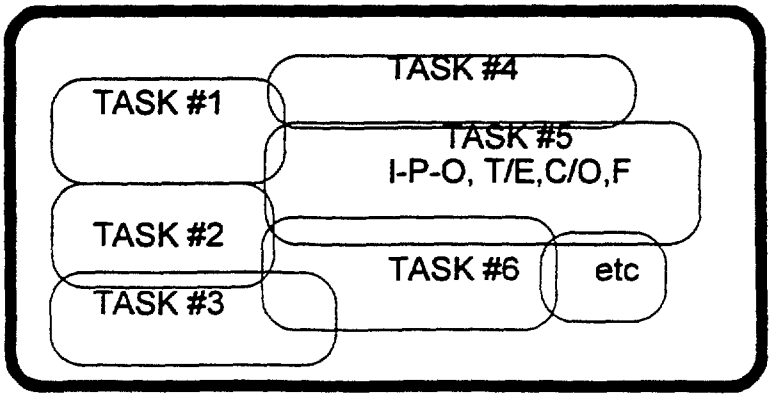
At this point, we should be getting the idea behind this entire program **What we are trying to do is take a closer look at systems and their elements until we get down to the factors we can do something about.** Here is how we will progress

- We will begin at the individual job level We will perform a **Job Analysis.** Job Analysis is where we isolate each job's tasks
- We will break each task into the sequence of steps that are necessary to complete it, this we will call **Task Analysis**
- We will divide each task into its elements Inputs, Processes, Outputs, Trigger Events, Cutoffs and Feedback This we call TASK DETAILING
- We will analyze each element to the level that is necessary to identify what we will need to do to get someone to do it properly

Insofar as possible, we will use everyday language and keep the introduction of new terminology to a minimum Where we do use new terms, we will do so to avoid confusion over different perceptions and views We will define each term as we go An overview of our focus would look like this

A Job as a System

Our beginning point in analysis is to look at JOBS



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Jobs are More Than Responsibilities

The method of analysis we use begins on familiar ground with the idea of jobs All of us have jobs to do Our Organization hires people to do jobs Some of us get machines to do jobs We have "Job descriptions " Bosses often make job assignments All of these uses of the term "jobs" are okay for our discussion What we are going to do is learn how to analyze our jobs, the jobs of people, and the jobs of the machines that we use

Each time that we have a job to be done, we are actually recognizing two ingredients in jobs performance and results Jobs consist of some action being taken by people and/or machines in order to produce some end results In other words, we recognize that we have to have some work action in order to achieve results, we are primarily interested in having results, but we cannot have them without action (the performance)

Jobs Consist of Performance/Results

We take a large step in improving our analytical abilities merely by thinking of all jobs as a **set of performance and results** A performance/result statement will be called a **task.** If the statement is only an action or only a result, it cannot be called a task

We do have to be careful because it is quite common to fall into three easy traps 1) to think of jobs in terms of "responsibilities" or 2) to think in terms of "performance" only or 3) to think in terms of "results" only We want to think in terms of "tasks" for purposes of analyzing them To distinguish among the four terms, we will use some definitions

- **Responsibility**
  A description of why a job exists, the reasons or purpose for a job Responsibilities may be stated in terms of actions, results or traits Responsibilities usually encompass several tasks or none at all

- **Performance**
  A description of what is actually done in order to fulfill the responsibilities of a job Performance is specific behavior or action and is described with an action verb

- **Result**
  A description of the effects of performance in the job Result describes what you have after the action has been taken the product of the performance, the observable outcome

- **Task**
  A statement of a performance and its result

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Our problem is to be able to segregate statements of responsibilities, performance and results For instance, a manager is **responsible** for "maintaining morale of his or her people " However, that phrase does not describe what managers do They may perform any number of actions in order to accomplish that responsibility They might "answer employee questions," "give each employee praise when it has been earned," "train employees in the skills of their jobs" and so on

Results describe the state of the situation after performance For example, "the employee has all questions answered satisfactorily," or "the employee is fully competent in all tasks for the job "

From these examples, we should be able to sort out tasks from general responsibilities and from statements which show only performance or only results Consider each of these statements and decide whether it is a **task, results, performance or responsibility**

(1) Maintain a neat appearance
(2) Talk to customers
(3) Type all outgoing letters
(4) Complete a new account form according to procedures
(5) Think
(6) Train an operator to properly operate the computer terminal
(7) Negotiate a suitable payment plan for the delinquent account
(8) Communicate thoroughly
(9) Be honest
(10) Supervise employees

Check against these answers

(2) and (5) are performance only
(9) is a description of a state, we cannot tell if someone is honest unless we observe them doing something
(1), (8) and (10) are responsibilities Each one is very unclear about what is actually done and none of them describe outcomes or results
(3), (4), (6) and (7) are tasks, the performance and results are evident in the statements

Tasks Are Performance/Result Statements

To further help us describe tasks accurately, we can use these guidelines
Tasks answer the questions

- ❒ What are you going to do?
- ❒ What do you want to accomplish by doing it?

Tasks take time and have specific controls, standards or deadlines (Responsibilities are ongoing)

- ❒ Tasks are observable (can be seen or heard) Even where the performance is mental (e g decide) the result of the performance is observable, or it can be made observable

- ❒ Any legitimate responsibility can be broken down into the tasks which are necessary to accomplish it

- ❒ Sometimes the result of the task may be commonly understood without being stated (e g "Plant a tree" implies a series of observable results which are usually well known to persons who have that task to do

Similarly, "Copy this report for me" is the assignment of a task which implies the result, a legible copy)

Job Analysis Can Be Done At Three Levels

Our first step is to describe a job in terms of its tasks Tasks are performance/result statements The process of describing jobs in terms of major tasks is called Job Analysis

a Job Analysis

The procedure for completing a Job Analysis is

Step 1 Select a job position not described by a job title or job description

Step 2 List all of the major tasks that a person in the position would normally be expected to do

An example of a Job Analysis follows

Position Departmental Secretary

Tasks

- ❒ Types all outgoing correspondence
- ❒ Answers unattended phones (Handles the caller's concern)
- ❒ Prepares and/or maintains correspondence files
- ❒ Determines what office supplies are needed Orders office supplies Inventories office supplies
- ❒ Verifies budget charges
- ❒ Prepares departmental budget report
- ❒ Obtains service on office equipment
- ❒ Distributes incoming mail
- ❒ Prepares manager's correspondence (including editing)
- ❒ Arranges accommodations, facilities and travel arrangements for departmental meetings
- ❒ Maintains departmental project log

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Whether or not we agree with this description of a departmental secretary's job is not important What is important in doing a job analysis is that

- each statement should make sense,
- each statement cannot be a broad, general statement (like, "Have good customer relations"), but specific performance needed to achieve such things as good customer relations
- each statement should represent one and only one significant task related to the job's purpose, not an insignificant task (like, "clean up your desk at night") and not multiple tasks
- all significant tasks of the job should be listed

From a complete listing of tasks (Job Analysis), we can go to the next step of our analytical process, that of Task Analysis

Task Analysis

The process of Task Analysis involves describing each task in terms of the steps needed to complete the task For example, we might analyze one of the tasks of the secretary

Task Type all outgoing correspondence

Task Analysis (Task Steps)

- ❒ Type letters from draft copies or from dictating equipment
- ❒ Proofread the typed copy
- ❒ Correct any spelling or grammar errors
- ❒ Submit letters to originator for approval and signature
- ❒ If approval not received, make needed changes
- ❒ Upon approval, select appropriate envelope and forwarding method
- ❒ Address envelope
- ❒ Insert correspondence
- ❒ Apply postage, if necessary
- ❒ Deposit in outgoing mail container

The Task Analysis should itemize all of the steps that are a significant part of the task

The Sequence of Steps

Sometimes these steps will be in a necessary sequence For instance, a letter has to be

typed before it is proofed and signed, before it is inserted into an envelope We will want to complete our Task Analysis by putting steps in sequence, where this is appropriate

At times, the steps are not in sequence, but are done in any random order For example, it may not matter whether the envelope is prepared before or after the letter is proofed or signed The steps are done at different times, but not necessarily in a fixed sequence Our third step should leave us with only one unanswered question How do we know if we have broken it down in enough detail?

Task Detailing

The amount of detail that we need is dependent upon the purpose of our analysis **The Job Analysis** level may be satisfactory for explaining the job to an experienced secretary who is filling in for ours, who is on vacation The **Task Analysis** level may be necessary for training a new employee on the department's procedures, assuming that the employee has some secretarial training A much more detailed level will be needed (the **Task Detailing** level) if we have **to teach a neophyte** how to type Task Detailing requires another step in analysis To explain what these terms mean, let's begin with an example of a task step being detailed into operations and decisions

Task Step **Type letter**

Task Details (Operations shown with "O", Decisions "D")

(D) Locate red "ON-OFF" switch

(O) Turn typewriter on by pressing "ON" side of red switch

(D) Determine type of paper needed for correspondence (plain, inter-office, letterhead)

(O) Obtain necessary paper

(O) Insert paper under platen of typewriter from rear, face down

(O) Turn platen in direction of top-back, bottom-forward

(D) When leading paper edge reaches index guide, stop

As we can see, Task Detailing is really getting a job down to the nitty-gritty We are including it in our analysis skills because it is necessary when we train new employees how to do tasks, or determine why some operation isn't working the way we want it to

Task Detailing is like Task Analysis in that we have to be careful to put operations and decision in the proper sequence, when needed We would normally complete the process of Task Detailing by merely listing the operations and decisions There may be times, however, when we will need to change our method of detailing in order to accommodate "loops" and "branches", or to test and prove that we have accurate operations, decisions and sequence Our test or proof of Task Detailing is in Task Flowcharting

Task Flowcharting

To be able to flowchart a task is an added skill that has value It allows us to visually display the operations and decisions of steps in a task Flowcharting is not difficult It simply means that we substitute some standard symbols for words in a structured way

Please refer to the flowcharting conventions at the end of this module

The tests of whether our flowcharts are of good quality are

- ❒ Does it make sense?
- ❒ Can it be followed through to a logical conclusion along every path and every branch?

- ❒ Is there a way out of every loop?
- ❒ Does it include every decision which is likely to be a part of the steps in the task?
- ❒ For every operation, has the "What if ?" test been performed and accounted for? This means, What do we do if the operation fails? What alternative, if any, it there?

If we become skilled at Task Flowcharting, we can use it instead of Task Detailing to get tasks and steps down to their most detailed level

When to Break Jobs down by Analysis

It is evident to most people that these analyses can be a great deal of work We will want to invest the time that is necessary in doing analysis, but we do not want to waste our time on unnecessary detail It is helpful to have some idea, ahead of time, as to what level of analysis is appropriate Fortunately, there are some guidelines which are fairly accurate and generally applicable The guidelines relate to the reasons we have for doing an analysis in the first place

Organizing - Job Analysis

When we are concerned with making "organizing" decisions, we will probably want to analyze jobs into tasks This is done by Job Analysis A complete listing of tasks allows us to combine or separate tasks, prioritize tasks, or isolate tasks We could use this information in order to

- ❒ Prepare new Job Descriptions
- ❒ Review Job Descriptions to see that they accurately describe what the job performer does (actions) and is accountable for (results)
- ❒ Reduce "overloading" in some jobs, we remove dissimilar tasks
- ❒ Eliminate "underloading" in some jobs, we add similar and related tasks
- ❒ To plan and schedule jobs or tasks in a project Here it is essential that tasks be prepared in explicit terms in order to schedule and sequence activities
- ❒ Make "job enrichment" decisions by adding to jobs the tasks which expand or challenge capabilities, the tasks which give the performer more control of job results, and the tasks which make "whole" jobs This may include "vertical loading" (more responsibility and authority) or "horizontal loading" (more tasks of a related nature in the flow of work)
- ❒ Establish job priorities so we might manage our own time and that of our people We want the more important tasks identified or rank-ordered
- ❒ Do an effective job of delegating Delegating does not mean to "dump" responsibility, instead, Job Analysis is used to accurately identify the tasks which are being delegated Job Analysis also helps decide which should be delegated
- ❒ Give effective instructions and information These are most effective when we make clear the performances that are needed and the results that are expected
- ❒ Conduct "Performance Management " Here we use the breakdown of the job into tasks to accurately identify what is done well, what is adequate, and where weaknesses in performance exist This, in turn, makes our intervention plans and expectations for improvement much clearer
- ❒ Change job structure A careful analysis of all of the necessary tasks will insure that necessary results don't"slip through the cracks " This careful analysis is especially important when jobs are reassigned across department or division lines, or when reassignments are made up and down the hierarchy

Organizing includes making decisions about who will do what It is most helpful to know what must be done (tasks) in order to organize in an efficient and effective manner Otherwise, an organization can arbitrarily assign unclear responsibilities to incapable people or to those who are already overloaded with priority work

Procedures - Task Analysis

Procedures are the "how to" of any organization Whether they are informal (carried

around in peoples' heads) or formalized in a comprehensive "procedures manual," they define exactly how jobs are to be done Many procedures are necessary because of safety, security or legal reasons They are essential Other procedures define the steps of doing tasks These can be discovered by a thorough Task Analysis The results of the Task Analysis may be used to

- ❒ Prepare new procedures in a formal way
- ❒ Review and update formal procedures
- ❒ Identify flaws or gaps in the processing of work or work flow
- ❒ To spot job conditions that interfere with work or work flow
- ❒ Train new employees in how to do jobs Train existing people in how to handle new tasks Determine specific knowledge or skill deficiencies
- ❒ Implement new policies or systems
- ❒ To establish practice and feedback opportunities

Task Analysis identifies the necessary sequence of steps so that tasks are done in the most efficient, safe, and secure way Task Analysis is a very useful skill for those of us who have to give others procedures or who have to live with the procedures that others originate

3. Mechanization or Troubleshooting - Task Detailing

There are times when we may have to dig deeper into tasks and steps Task Detailing may be in order Task Detailing breaks tasks into their individual operations and decisions Task Flowcharting is a suitable substitute which involves doing the same thing We will need to know about task details when we have the following things to do

- ❒ When we want to mechanize, computerize or otherwise automate a task or a job
- ❒ When we are called upon to assist in troubleshooting an automated system
- ❒ If we are involved in programming a computer or an access terminal
- ❒ To train someone new in the details of the task To pinpoint the source of improper incentives
- ❒ To design job aids or training aids
- ❒ To establish proper incentives
- ❒ To design forms for data collection or data transfer To audit existing forms for accuracy and relevance For any type of paperwork simplification project To define report format or forms
- ❒ To troubleshoot equipment or hardware problems
- ❒ To create or update procedures to reflect partial automation

Task Detailing and Task Flowcharting are our ways of getting down to the nitty-gritty of jobs When it is necessary to get to the level of the person or machine that does the job, we do Task Detailing

Levels Correspond in a General Way

We have probably recognized that lower levels of an organization are closer to the day-to-day work than their bosses Lower levels have to know more of the details There is a close relationship between the levels in an organization and the level of analysis skills that are likely to be required The following chart illustrates the relationship

SKILLS MAY CORRESPOND TO LEVELS

SKILL USED	TYPE OF DECISION OR ACTION	MANAGER LEVEL
JOB ANALYSIS	Organizing Delegating Evaluating	UPPER
TASK ANALYSIS	Procedures Training Implementation	MIDDLE OR STAFF
TASK DETAILING	Computerization Mechanization Paperwork Troubleshooting	FIRST LEVEL SUPERVISOR OR OJT EMPLOYEE

There are bound to be many exceptions to this chart, but the principle will hold true in most organizations

How to Analyze

We do have another practical factor to consider We need to decide whether the analyses are always done by ourselves, or by others, or by some combination We can choose by examining the possibilities and their respective advantages and shortcomings

There are five basic possibilities

- ❒ **Simulation of the job.**
- ❒ **Content Analysis**
- ❒ **Observation of someone doing the job**
- ❒ **Interviewing those doing the job.**
- ❒ **Surveying the job performers with a questionnaire**

These methods get more complex as we move from simulation to surveying We will want to use the method that is least complex and yet gives us the information we need

Simulation

In this method, we try to mentally put ourselves in the place of the performers and describe them as they are (The real danger here is that we may be describing them as we perceive them) If we have done the job they are doing, and we know them quite well, we may be able to describe them and their jobs very accurately for our purposes

Content Analysis

Content analysis is the process of reviewing all of the documentation associated with a job in order to determine what the job is Formal job descriptions, policies, procedures, forms, formats, specifications, books or articles about similar jobs and other such "content" are analyzed The risk is that we only get a "theoretical" view of how the job is done

Observation

In this method, we observe performers at work, doing the jobs we need to analyze If we see them having difficulty or doing things we don't understand, we can ask questions We fill in all of the blanks by simulation The problem is, we can't see mental activities and we may fill in incorrectly

Interview and/or Focus Group

A fourth method is to conduct interviews in which we get performers to describe the job and how they do it This takes time and they may not be completely honest However, we can verify and it is likely to define how the job is **really** done The best way to interview is "one on one " This way we can control the tendency of performers to concur ("Me too") on inaccurate statements

Surveying

The final method serves the same purpose as an interview, but gets to more people, faster It is limited in that it does not include getting reactions and asking follow-up questions

Generally speaking, we will want to start with simulation and go to the more complex ways only as we need them We recognize that in Simulation, we would be doing the analysis in our heads In Content, we do it by reading and viewing documentation In Observation, we would be observing and following-up with questions In Interviewing, we get the performers of the job to answer questions like the following We should note that the more we involve the performers of the job in the process, the more likely it is that we will get accurate information We will find out the way the job **really is done,** rather than the way we think it **should be** done

- ❒ **What do you do?**
- ❒ **How do you do it?**
- ❒ **Why?**
- ❒ **Why else?**
- ❒ **What preparations do you make?**
- ❒ **What signals you to start?**
- ❒ **How do you know when you have done it well enough?**

- ❒ **Where does the (input) come from?**
- ❒ **Where do you get what you need in order to do the job?**
- ❒ **What do you produce?**
- ❒ **What happens before you get the job?**
- ❒ **After? What resources do you use? What reference material? How do you check the work?**
- ❒ **Who else checks?**
- ❒ **What do you look for when you are checking?**
- ❒ **Show me what a good job looks like**
- ❒ **Demonstrate that for me**

- ❒ **Run through the job, step-by-step**
- ❒ **What difficulties do you have doing the job?**
- ❒ **What aspects of the job do you not understand?**

These questions, and others like them, will produce the information we need to prepare task lists, task steps, task details or flowcharts

Summary of Task Analysis

To make effective interventions, we have to make our actions specific We have to isolate the areas where action is appropriate We need the skills of job analysis We need to be able to break things down in order to see where we want to make changes

Every other profession in the world does the same thing Doctors diagnose their patients by making point-by-point checks, separating blood, tapping spinal fluids, measuring brainwaves, etc Dentists look inside the jaw and teeth with x-rays Lawyers pick apart the evidence and research the common law to develop their strategies Mechanics tear down the carburetor, or engine, or transmission in order to find the problem and fix it, or, they may use electronic analysis equipment to "see inside" the parts

If we are to become skilled at managing performance, we need to become skilled at deciphering how jobs are done The better we can "see inside" the jobs which are within our responsibility areas, the better we will be able to apply appropriate techniques with pinpoint accuracy to achieve the performance levels we desire

Audience Analysis

For any audience or potential audience of a training program, it is valuable to have a "feel" for the people who will attend There are two significant benefits to understanding our audiences

1 We will know that the content of any train should address itself to the difference between what performers are able to do when they come to the job and what they are required to do to perform the job satisfactorily Therefore, providing relevant training involves finding out what the performers are able to do now

2 If training is needed, it will help in the design of training and its presentation, if we can target our words, materials, presentations and administrative practices to the specific trainees In other words, we want to create a fit between the training and the trainee

We already know what we expect to gain by analyzing an audience for the first purpose We need a fairly accurate description of the knowledge and skills of the performers We know that we can compare this to the JOL we develop in a Task Analysis

How to Describe an Audience

To make our job of Audience Analysis somewhat easier, we are going to jump ahead to extract the criteria from the design and presentation sessions While we will not go into them in depth, we will illustrate them sufficiently well so that we can decide what information we need to know about the audience

First, in the design of training, there are six basic requirements for the selection or development of training materials These requirements are shown on the next page

The training should have	Regarding the Audience
1 An Adequate **Explanation**	——for the trainees
2 **Language** That is Understandable	——by the trainees
3 **Examples** That are Appropriate	——to the trainees
4 Skills and Knowledge That are **Relevant**	——to the jobs of trainees
5 Adequate **Practice**	——related to the difficulty of learning that trainees are likely to practice
6 Appropriate **Feedback** and Feedback Mechanismas	——for the caliber of trainees and their attitudes

In the presentation, our techniques, media, and strategies will be selected based on

1 The trainee **attitude toward** the training **subject**

2 The trainee attitude toward the trainer, the Company, the job, and the training learning **environment**

3 The needs, concerns and interests of the trainee which can be appealed to and met for purposes of explanation and persuasion

4 The **language** preferences and abilities of the trainees

5 The **reading ability,** attention span and thought process (logic or intuitive) of the trainees

6 The **physical characteristics** and abilities of trainees as related to manual skills

7 The **time availability** and time pressure of trainees

8 The **"turn-ons" and "turn-offs"** of the trainees

To make decisions in design and presentation, we need information on these areas Obviously, we can't come up to a potential trainee and ask, "How much practice are you going to need in class in order to be able to perform?" We will have to have some other way We have these ways from which to choose

Methods of Conducting Audience Analysis

There are four ways to conduct an Audience Analysis

- Simulation of their job
- Observation of them doing the job
- Interviewing them
- Surveying them with a questionnaire

These methods get more complex as we move from simulation to surveying We will want to use the method that is least complex and yet gives us the information we need

Simulation

In this method, we try to mentally put ourselves in the place of the performers and describe them as they are (The real danger here is that we may be describing them as we perceive them) If we have done the job they are doing, and we know them quite well, we may be able to describe them and their jobs very accurately for our training purposes

Observation

In this method, we observe them at work, doing the jobs for which we are considering training If we see them having difficulty or doing things we don't understand, we can ask questions We fill in all the blanks by simulation

Interview

A third method is to conduct interviews in which we get them to describe the job and themselves as they see themselves

Surveying

The fourth method is to serve the same purpose as an interview, but gets to more people, faster It is limited in that it does not include getting reactions and asking follow-up questions

Generally speaking, we will want to start with simulation and go to the more complex ways only as we need them However, to demonstrate what should be included in our search for information, we will use the Interview method We recognize that in Simulation, we would be answering the questions in our heads In Observation, we would be answering the questions by observing and following-up

What We Look for in Audience Analysis

We will approach our search for information by looking at six areas

Knowledge and Skills

We need to know what knowledge and skill the person has Since we are already familiar with Task Analysis, we know what we are after We find out by getting answers to questions like this

What do you do?
How do you do it?

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Why?
What else?
What preparations do you make?
What signals you to start?
How do you know when you have done it well enough?
Where does the (input) come from?
Where do you get what you need in order to do the job?
What do you produce?
What happens before you get the job?
After?
What resources do you use? What reference material?
How do you check the work?
Who else checks?
What do you look for when you are checking?
Show me what a good job looks like
Demonstrate that for me
Run through the job, step-by-step
What difficulties do you have doing the job?
What aspects of the job do you not understand?

These questions, and others like them, will produce a listing of what the person does We can compare it, later, to what others say and to a JOL we derived some other way

Interests in Life

To determine where the interests of trainees lie, we would ask questions along this line

What part of the job interests you most?
What do you do in your spare time?
What are your goals with the organization?
When do you plan to accomplish your career goals?
What are your hobbies? What organizations are you participating in?
What reading materials do you read?
What do you do on vacation?
What civic activities do you participate in?
What sports interest you? In which do you participate?
What are your priorities in life?

Apparent Motivation/Incentive Response

To find our what the performers like or dislike in terms of motivation, we might ask

What factors do you feel are most important in evaluating your success in the job?
What aspects of the work do you like?
What bothers you about the job?
What aspect of the job provides the most excitement and challenge to you?
Why do you do this work?
What turns you off?
What problems do you have in getting the work done?
Where are your biggest obstacles?
Describe your most satisfying achievement
What kind of people do you respect?
What aspects of working relationships do you particularly like? Dislike?
What has been your most frustrating event in this job?

Probable Attitude

Searching for information about attitudes will usually be limited to attitudes about the company, the job, training in general, and the proposed training specifically

What company training have you been involved in? How helpful has it been?
What do you particularly like about classroom training? On-the-job training?
How helpful are others when it comes to learning new jobs?
What criteria would you use to describe "good training?"
Where has training let you down in the past?
What can training help you on?
What training is needed by others in your department? Why?

Physical Abilities

We would need to know about physical capabilities when the training is in an area requiring specific manual skills or physical qualifications We might ask

When do you do your best work?
What seems to tire you our the most?
What do you do for exercise?
What aspects of the job are the most stressful for you? Why?
What parts of the job can you not do?
What are your physical limitations?
What handicaps or injuries do you have which interfere with your work?

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What jobs can't you do?
What jobs can you do?
When do you feel your best?
How many hours a day do you work?

Education and Experience

This area is where we find out information about performers' general background, knowledge and experience Questions like this work well

What is your educational background?
What were your easiest subjects?
Which were the most difficult?
What training have you received?
What jobs have you held?
Which equipment have you operated? Describe how you did that job
What aspect of that job presented problems for you?
What do you do to develop your own abilities?

We will use these examples to further define what we are looking for and how we look for it We will continue using the interview method as our way of demonstrating what is needed

Data Gathering

We can make our data gathering efforts more productive by paying attention to three stages of our fact-gathering conversations We will have to prepare adequately, conduct appropriately and follow-up religiously Here is how it will work to our benefit

Preparing

It wouldn't hurt us to review some of the basic elements of planning as we prepare for a fact-gathering interview In effect, we will want to "think through" each interview situation before we get involved in it This applies equally as well to a serious, two-hour, face-to-face meeting as it does to a two-minute phone conversation Rather than detail the elements of planning, we will make the assumption that each of us has enough of a grasp of those elements to follow along Here we will concentrate on the peculiarities of fact-gathering situations

Setting Objectives

There is little point in entering into a fact-gathering conversation if we have not decided what we want to find out It is essential that we know what we are after before we take up someone else's time Usually, this is a simple matter of asking and

answering the 5 "W's" and the "H"

WHO Who will I get information from?
WHAT What information do I need?
WHEN At what time and for how long will I require this other Person's attention? Is there a "better" time?
WHERE Will I call, or go see the person, or have the person come to me?
WHY Do I have a good reason for bothering this individual? Can I adequately explain my reasons?
HOW Do I know how I will proceed?

A piece of paper is a handy resource for planning an interview When we put down notes of our objectives (as stated above), we are much more likely to accomplish them with ease

Ridding Ourselves of Apprehensions

The next step is to rid ourselves of the apprehensions which inhibit us Here is a handful of the more common situations

"I might miss something that someone else would catch " We probably will And, someone else will surely miss some of the things that we will pick up This doesn't mean that there is anything wrong with either of us Interviewing is not an exact science It is an art and a skill which are imperfect at best We need only to work from our plans and do our best

"I might never loosen the individual up and get him to talk " This is an uncomfortable feeling, but one which usually exists only in ourselves The usual social amenities and a moment or two of small talk are enough to put most people at ease to get them started They will gain momentum as the interview progresses The one or two people, who never seem to relax, are that way because of what is in them, not because of us

"I get distracted I can't seem to concentrate on everything at once When I'm finished, I feel confused about where the information leads and I'm afraid I may have overlooked or forgotten something " It is hard to try to do so many things at once Put the other person at ease, get information, record or remember it, evaluate the data while trying to assess our progress, and decide what to do next Part of the problem is that we may be concerning ourselves with the other person's impression of us We should be relying on our interview plan and let it make the impression for us If we do, we will seldom do as poorly as we fear

If we can give some thought to our own anxieties, we can recognize them for what they are and reduce their inhibiting effects

Brainstorming Questions

In a fact-gathering interview, we are trying to create an atmosphere of acceptable neutrality that will encourage the fullest development of information from another person in the shortest possible time We can accomplish this by some creative thinking as a part of our preparation We should allow our minds to explore various possible questions which are likely to elicit the information we are after

Suppose, for instance, that we are attempting to get information for training someone to handle a technical problem We may already know that person is at fault We might ask questions in a variety of ways

What is the matter with you?*
How could you do such a thing?*
How long have you been around?*
When did you first notice the problem?
How do you check what you do?
Would you give me a chronological breakdown of what you have done so far?
Etc

* Obviously, the ones marked with an asterisk are not very good questions That is why we brainstorm

It is not a matter of whether the question is right or wrong, but rather, it is a technique for thinking of the proper phrasing of a question in a way that considers the other person's likely reactions, and encourages the response we desire

When we brainstorm various possibilities, we can come up with better questions to meet each information-gathering situation

Arranging the Interview

The final part of preparation is arranging for the interview Sometimes this is as easy as picking up the phone On other occasions, it is a matter of scheduling a convenient time to get with other people Either way, we should be prepared to explain the time commitment we require This is not always easy

Because of the differences in the personalities and vocabularies of the people from whom we collect facts, our interviews will differ widely as to the speed in which material is covered Some people can click off answers in short, well-organized sentences and come right to the point Others are of the type who, when asked what time it is, will tell us how his or her watch was made Still others will be reluctant to talk or elaborate on the areas of which we seek information Yet, we are responsible for getting facts from these people and we have only limited time We must control the pace of the interview

We need to establish a rough timetable and explain this timetable to those involved Of course, these time appropriations will be approximate and we will have to be flexible to meet the needs of each situation

Being prepared to explain the time commitments we require includes being prepared to justify this imposition on others We need to have our reasons (the whys and wherefores) well-rehearsed before we make contact The principle is simple, if we cannot sell others on the need for sharing job information with us, we aren't likely to acquire much useful information for training

With good preparation, we can have successful conducting of fact-gathering interviews

Conducting Interviews

The actual procedure for conducting an interview that is intended to gather information consists of six sequential steps

Putting the Other Person at Ease

Just because we intend to conduct our fact-gathering interviews in a friendly, non-threatening manner does not mean that others will not be nervous or will not see it as threatening Some people may even feel that their entire careers are resting upon what they tell us They often attach special importance to what they have to say with someone listening and hanging on their every word

Nervousness causes others to misinterpret our questions and our nonverbal cues A simple question about why something was done may be given all kinds of obscure and unintended interpretations In addition, nervousness may cause people to hide information that is crucial to our purposes

The only cure for the other person's nervousness is warm, friendly, supportive and objective interviews

Friendly conversation may help (talking about weather or some common interest we hold with the person), but this should not be used to the extent that valuable interview time is wasted Generally, time and patience will reduce nervousness If our interviews are conducted in non-threatening areas

One of the worst things that can happen is for us to be nervous and show it Our nervousness and that of the person we are talking to will reinforce each other Prevention of this situation is our responsibility Only complete and thorough preparation will prevent nervousness on our part

Explaining the Project Purpose

One of the first things from our mouths should be an explanation of the purpose of our inquiry This will not be difficult if we have prepared thoroughly We will be ready to explain the nature of our training analysis and the reasons that we need specific information It is very risky to assume that the other person knows

Explaining the Procedure

Shortly following our explanation of purpose should come an explanation of our procedures This is simply a matter of telling the other person what we are going to be doing For instance, when a trainer is trying to uncover the causes of a technical problem when talking to a Mechanic, he might say

"What I need to do is establish the extent of the problem I'll be asking you some questions on how you spotted the problems and what actions you have taken so far As we go along, if you have any question of me, please feel free to interrupt "

Other people should not have to guess and speculate on where we are heading with our questions They should know This helps them focus in on the information we need and it helps us keep control of our fact-gathering process

Exploring the Other's Interests

It is important to note that fact-gathering interviews are conversations with PEOPLE All others have things on their minds Whenever the opportunity arises, we need to allow them to express their ideas, feelings, interests and opinions as they bear on the subject under investigation

We should not hesitate to capitalize on the "ego's" of the people to whom we are talking This can be done in non-manipulative ways For one, we can show interest and enjoyment in the interview with such positive comments as, "That sounds interesting," or "Tell me more about that," or "What other ideas do you have?"

We can provide positive reinforcement by the kind of comments we make These can increase the openness of the interview and encourage the other person to respond We might say such things as, "That sounds logical to me, what did you do next?" We might comment, "That was a good job," or "I like how you handled that "

We can also ease the impact of negative information to keep the conversation going We must not show feelings of surprise, shock or horror at what we hear We may even play down unfavorable information with such comments as, "I had the same problem," or "I appreciate your identifying the weaknesses in your approach and doing something

about it "

We do have to maintain a certain degree of neutrality Uncontrolled favorable reactions will give the other person leading clues to guide his or her answers We may only hear what the person knows we like to hear The words we use to control the situation are not as important as our tone of voice We can often convey more real acceptance and interest with the way we say, "hmm," or restate a point, than we can with the most careful encouragement or well phrased reassurance

Asking Questions

To get to the heart of the matter, the quality of our information-gathering efforts is directly proportional to the caliber of our questions Our interviewing is aimed at gaining information relevant to the training problem or the training project being handled Therefore, we must ask questions which contribute to our knowledge and understanding All questions do not do that We will want to look at some specific questioning techniques

Start with broader questions, then narrow down to specific
- Vary the construction and phrasing of questions
- Ask follow-up questions until the information is understood

Explore, in depth, those items which are most relevant
- Emphasize the present or near-present versus the past
- Use comments and phrases as questions, instead of questions

Developing Appropriate Question Skills

Use Open-ended, Avoid Closed-ended Questions

Open-ended questions tend to open up the other person's mind and encourage him or her to express what is there (e g What happened?) Closed-ended questions tend to limit the other person to a "Yes or No" answer and do not generally produce any new information (e g Do you understand the equipment?)

Use Behavioral, Avoid Hypothetical Questions

Behavioral questions cause other people to describe actual events, actual experiences, actual feelings or specific reasoning (e g What did you do? Why did you do that?) Hypothetical questions cause the other person to speculate about what might have happened or what could happen They tend to produce hypothetical answers (e g What will you do if it fails? What would happen if everybody did that?)

Use Non-leading, Avoid Leading Questions

Non-leading questions tend to produce the facts or the reasons for the facts They are truth seekers (e g How did you arrive at that conclusion? When did it happen?) Leading questions telegraph the answer or response that is desired or they "give away" the response that the person "knows we want to hear " They lead people into providing only what we already knew (e g You didn't forget the procedure, did you? Don't you agree that it is pretty bad?)

Use Reflecting, Avoid Judgmental Questions

Reflecting questions "mirror" the person's own words, or our understanding of the other's words, and serve to encourage the individual to keep talking (e g Are you saying you followed directions? If I understand you, you're feeling concerned about this?) Judgmental questions express our own views about what is good or bad, right or wrong about a situation They are expressions of opinion and tend to steer the other person to agree or argue with us, instead of providing us with further information (e g You're kidding? Of course, you gave him a piece of your mind, didn't you?)

Use Continuing/silence,

Continuing questions allow the other person to continue thinking and talking in order to arrive at the truth behind actions or possibilities for alternatives Silence, coupled with good continuing questions, allows the other person time to think and talk (e g Oh? And ? Please continue?) Interrogating consists of rapid-fire questions, stringing questions together, and attempting to verbally corner the other person into a predetermined answer It is sometimes called "brow-beating" or intimidating (e g Let's get to the bottom of this, and make it quick, what happened? Knock off the excuses and get to the point, you didn't do as I told you, did you?)

A good combination of open-ended behavioral, non-leading, reflecting, and continuing/silence leads to a good fact-gathering interview It is well to note that statements can be used as questions when we use a questioning tone of voice and similar mannerisms

Closing the Interview

Pacing the interview to avoid wasting time and bringing the interview to a close are related functions Both depend upon how well we have prepared ourselves, how clear our objectives are, and how well we got the information we were after

To speed up the pace of an interview, or to get back on track, we have to get the other person to talk less Some of the better techniques for doing this include

Ask a question about the next area
Narrow the focus of the questions, get more specific
Repeat the question if the person may rambled and forgotten the question
Tell the other person we have enough information on that area

With particularly talkative people, we need not be afraid to interrupt a monologue to get them back on track We have to be careful that we are not putting off a closing because we have found someone who fit our personal liking A business like approach will earn us respect and good information in the future Continuous rambling, either because we do it or because we allow it, will earn us a reputation of being a good "socializer" (politely put)

We should keep an interesting phenomenon in mind Interviewers who stick to the point and keep other people talking about what they can contribute, find that others "learn a lot" from the interviews They are pleased with having participated Well they should be, because they have listened to the greatest people in the world (themselves) expound on interesting subjects In other words, if we give other people half a chance, they are usually quite willing to help us They get the added bonus of hearing themselves talk, while we get the information we are after

Following-Up

The conclusion of an interview is not the end, however We still have two important tasks to perform to round out our interviewing skills The first of these is making sure we have the data we were after

Completing the Analysis

Once we have completed a conversation in which we obtained information, we should be checking to see what we have gained This is easier if we thoroughly prepared for the interview and if we have taken good notes during the conversation It is a simple matter of comparing our notes to the objectives we had at the start

Should we spot gaps in our information at this point, we will be wise to go back to the individual and seek clarification If we find data which is contradictory or doubtful, we should go back to get verification It may be necessary to find other sources for verifying the information we have received

When all is said and done, we are the ones who will be making decisions or preparing training based on the information we have It is up to us to judge the validity of the data we have This is another factor which dictates note-taking It does no good for an interview to produce information if that information is not recorded To perform this function, it is almost mandatory that we take notes during, and immediately after, and interview of any length It is safe to say that no one can remember all of the

information brought out in an interview without taking notes

When we feel we have completed our fact-gathering, we have one more step to perform

Acknowledging Help

The final step is the sound practice of giving credit where it is due When others have given us information to help us do our jobs, a kind "Thank You" is in order This recognition is graciously accepted by most people and it serves to pave the way for future situations where we will need help again It also gives them good reasons for having a good attitude about training

As knowledgeable as we may be, none of knows it all We are perpetually dependent upon other people for information to do the jobs at CO&E Getting facts from others is not an easy task or one to be handled haphazardly It requires that we thoroughly develop our skills of interviewing

Preparing Useful Descriptions

A useful description of a target audience (Audience Description) will arrange the information we have in a way that fits our later needs

The first part of an audience description is very similar to a JOL (Job Objectives Listing) It itemizes the abilities of the performer in terms of tasks and steps and the standards as the performers perceive them

Then, our Audience Description provides a summarized view of the target group under each of the remaining headings, as we described them earlier in the session

GENERAL INSTRUCTIONS

Fact-gathering situations are common occurrences for trainers Some of these situations require that we have some well-developed skills in questioning Quite often, we do not get the answers we need, or we do not draw out the facts in a way that will help us decide what to do

This exercise is a skill building exercise to help us develop the ability to ask effective questions We will practice recognizing the difference between several types of questions so that we can ask effective ones

INEFFECTIVE		EFFECTIVE
CLOSED-ENDED	vs	OPEN-ENDED
HYPOTHETICAL	vs	BEHAVIORAL
LEADING	vs	NON-LEADING
JUDGMENTAL	vs	REFLECTING
INTERROGATING	vs	CONTINUING & SILENCE

As we look at the various questions we should remember that statements can be used as questions if we use a questioning tone of voice We should also remember that tone of voice, in some cases, can change an effective question to ineffective or vice versa

CLOSED-ENDED vs OPEN-ENDED

Closed-ended questions tend to limit the responses of the other person Open-ended questions tend to allow the person to express what is on his or her mind

Indicate which of the following questions would be considered closed-ended or open-ended by placing a "C" for closed or an "O" for open in the blank beside each question

1 Why were you doing that procedure today?_____

2 Did you forget the proper parts again?_____

3 What happened?_____

4 How do you recommend that you solve this problem?_____

5 How do you know when you will be finished with the job?_____

6 Haven't you been told not to do that?_____

7 Please explain what you just did?_____

8 Didn't you check the guide?_____

9 Is this job too tough for you?_____

10 What do you intend to do about it?_____

11 Have you failed to follow instructions again?_____

12 What caused the problem?_____

13 Which tools are you going to use for this job?_____

14 Don't you know how to do your work?_____

15 Am I getting through to you?_____

16 Do you understand?_____

17 What questions do you have?_____

HYPOTHETICAL vs BEHAVIORAL

Hypothetical questions cause the other person to speculate about what might have happened or what could happen, they tend to produce hypothetical answers Behavioral questions cause the person to describe actual experiences, actual feelings, or specific reasoning

Indicate which of the following questions are hypothetical, and which are behavioral by putting an "H" for hypothetical or a "B" for behavioral in each blank

1 What would happen if everybody were as absent-minded as you are?_____

2 What did you do?_____

3 If you were I, what would you do?_____

4 I suppose you think we can let this go on forever, huh?_____

5 Why do you suppose the other people do their jobs properly?_____

6 Describe how you came to that conclusion?_____

7 Which specifications did you use?_____

8 Why did you do that?_____

9 When are you ever going to learn?_____

10 What do you think your boss would say if she found out?_____

11 What would it take to make you a "believer"?_____

12 What did I tell you?_____

13 When did it happen?_____

14 Where are you going?_____

15 How do you expect the company to put up with you?_____

16 What do you think will happen if you try the alternate procedure?_____

17 What options do we have?_____

18 According to your thinking, what is next?_____

19 Where might you have gone wrong?_____

LEADING vs NON-LEADING

Leading questions telegraph the answer or response that is desired, or they "give way" the response the other person knows we want to hear At other times, leading questions give the other person convenient excuses for his actions Non-leading questions cause the person to come up with the answers They tend to produce the truth

Indicate which of the following are leading or non-leading by putting an "L" for leading or a "N" for non-leading in each blank

1 Didn't you check the alarm panel this morning?_____

2 Don't you agree that that was pretty bad?_____

3 What's the reason for this?_____

4 How do you plan to handle it? _____

5 What indicated to you that you should do that?_____

6 Did your boss let you get away with it?_____

7 Is this machine causing you problems again?_____

8 I suppose you're going to say it's my fault, huh?_____

9 When can I expect an answer from you?_____

10 It's that bearing again, isn't it?_____

11 Good grief, you didn't forget again, did you?_____

12 Are those other people causing you problems?_____

13 Explain your interpretation of the procedure _____

14 Aren't you just a little bit lazy?_____

15 You don't expect me to believe that, do you?_____

16 Why do you feel that you are right and I am wrong?_____

17 When did it happen?_____

18 Where were you when it occurred?_____

19 Give me your view of the situation?_____

20 Don't you agree that you have it resolved?_____

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JUDGMENTAL vs REFLECTING

Judgmental questions express our views of what is "right or wrong," "good or bad " They are expressions of our opinion and tend to steer the other person to agree with us rather than getting the facts Reflecting questions "mirror" the person's own words, and serve to encourage the person to continue talking

Indicate which of the following are judgmental versus reflecting by placing a "J" for judgmental or an "R" for reflecting in each blank (You may assume that all quotations are from the other person)

1. You didn't really do that did you?_____
2. You didn't "think it was important?"____
3. Let's see if I understand you correctly--you're saying that you feel there is nothing you can do about the situation?_____
4. What you're saying is that you don't know what to do next about the situation?_____
5. That was pretty stupid, wasn't it?_____
6. Isn't that about the dumbest thing you've ever heard?_____
7. Tell me why you feel that way?_____
8. If I understand you correctly, "The unit broke down at 10 00 A M ?"_____
9. Slipping up again, aren't you?_____
10. You say that you believe it really happened last night?_____
11. Of course, you told him about it, right?_____
12. You say you "don't feel like it," is that what I heard?_____
13. You say you are concerned?_____
14. I can count on your honesty on this, can't I?_____
15. You're kidding?_____
16. So, you think it's because of my faulty procedure, huh?_____
17. Are you saying that you feel frustrated by it?_____

INTERROGATING vs CONTINUING & SILENCE

Interrogating consists of rapid-fire questions, stringing questions together and attempting to verbally "corner" the other person into admitting fault or feeling bad It is sometimes called "brow beating " Continuing questions allow the person to continue thinking and talking in order to arrive at the truth behind actions and the possibilities for a workable solution Silence, coupled with good continuing questions allows the person time to think and talk

Identify which of the following are interrogating or continuing & silence by putting an "I" for interrogating or "C" for continuing & silence in each blank

1 And, what happened next?_____

2 I am going to stay here until you make a clean breast of this whole thing?____

3 Oh?_____

4 And ? _____

5 I want to know when, where why, and who you let this happen?_____

6 Let's have your side of the story, then we'll talk about what to do about it?_____

7 Tell me more about your last comment _____

8 So, how did you react?_____

9 Why?_____

10 Well?_____

11 Let's get to the bottom of this, and make it quick?_____

12 continue please ? _____

13 No more beating around the bush, did you or did you not violate that rule?_____

14 Knock off the excuses and get to the point?_____

15 First of all, you knew it was wrong, but you did it anyway How can you sit there and tell me that you didn't understand the instructions? They were as clear as the nose on your face Weren't they?_____

FACT-GATHERING INTERVIEW

You will be conducting a fact-gathering interview to prepare an Audience Analysis It will be your purpose to conclude

1) exactly what the person you interview does in his or her job,

2) what he or she plans to do as career goals,

3) what he or she is now doing for developing him or herself

You will be required to give the interviewee a summary of your conclusions

You will have some time to prepare for the interview You may use the attached form to assist you in your preparation Then, when you are given the signal, you will conduct your interview while an observer makes notes on the process you use When you ar finished, the observer will assist you and the interviewee in evaluating your interview skills

INTERVIEW FORM

1 What will you say or do to put the interviewee at ease? (Make notes for yourself)

2 Ho will you explain the purpose of the interview? (Make notes for yourself)

3 What will you say about the interview procedure you are going to use? (Make notes for yourself)

4 What questions will you use? (Brainstorm some questions which will lead you into the major parts of your interview Make sure that they are effective types You may use as many additional sheets as necessary)

Selection and Design of Training Materials

We will use a brief review of the training system to this point in order to see what our selection and design of materials must do

First of all, we know that we have an audience for our training Therefore, we will want to select and design the materials so that it meets the abilities and attitudes of the audience

Secondly, we know that training objectives bridge the gap between present knowledge/skill of the trainees and the knowledge/skill requirements of the job This means that our training material must begin at the present knowledge and skill levels and build on them in a logical way

Thirdly, we have already seen that our goal is to make the materials "lean and meaningful " This simply means that we do not want to waste the trainees' time with irrelevant or "nice-to-know" information Instead, we will want to focus on what the trainees "need-to-know" in order to be able to do the performance called for

Using these three principles we can look at the requirements which they place on the training materials we select or design

Requirements of Material

We will begin by defining that there is no magic formula to tell us what training materials should look like We will not get into the issue of whether audio-visuals are the best way We will not contest the many views of what format, type style, printing, and paper color is best Instead, we will stipulate that our training materials must meet the following criteria

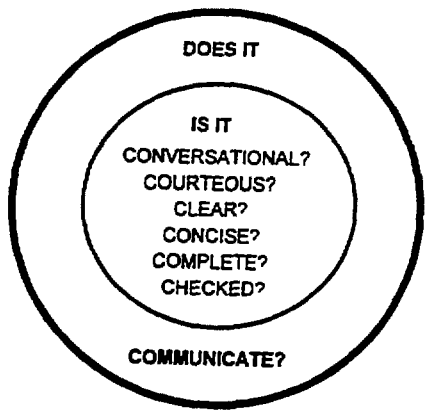
Adequate Explanation

The first requirement is that the **material adequately explain the information that it is intended to convey to trainees** This requirement must be looked at from the trainee's point-of-view and capabilities Often, the material is adequate for the trainer who already knows the subject but it is "over the heads" of trainees

The way we ensure that we are judging material according to the trainee's view is by comparing it to what we know about the trainees

Since we have already derived Training Objectives from a comparison of trainees to the job, we will first see that each item of materials relates to the known knowledge and skills of the audience of trainees If it assumes knowledge or skill which we know does not exist, we will have to backtrack to provide the missing knowledge and skill areas If it repeats what the trainees already know (aside from some intentional redundancy), we will screen out the unnecessary repetition which is apt to bore the trainee

Our next step is to look for gaps in the material itself We will check it against the "Circle of Seven C's "



COMMUNICATE	the idea is to get a message across
CONVERSATIONAL	write it like we would say it
COURTEOUS	say "please", and "thank you" and other ordinary courtesy words
CLEAR	get to the point, and stick to the point
CONCISE	keep it short and sweet and simple (KISS principle)
COMPLETE	don't leave anything important out
CHECKED	check for the other six C's before deciding we have finished

Understandable Language

The next requirement is to remove understandable language Particularly, this means building on the technical language capabilities of the trainees Where new terminology is used, it should be related to known terms and defined at the outset Words should be used which explain concepts and procedures in their simplest terms Acronyms (letters to substitute for titles) should be kept to a minimum unless their use on the job is essential We should be careful of introducing and using unnecessary "eze"-words, like "computereze" or"legaleze "

Appropriate Examples

We may be familiar with the idea that "a picture is worth a thousand words " This is one of the justifications for visuals of various forms in the training process Along the same lines is the practice of using examples and illustrations which allow the trainee to mentally picture the new material Examples, incidents, cases, and demonstrations should relate to the audience's background and the training objectives Training materials are most efficient when the trainees do not have to "translate" foreign examples to their own job situations Let's illustrate We will want to use office examples for office people, power plant examples for power plant people and distribution department illustrations for those in distribution

Relevant Skills and Knowledge

We then test our materials against the specific skill and knowledge areas of the Training Objectives If there is a mismatch here, we will correct it, we will make all materials relevant to what the trainee needs to know in order to be able to do the job Anything that the person does not have to know to do the job is deleted Any skill which is not used on the job is omitted

Adequate Practice

The materials should provide practice for any skill which is to be developed The practice has to be sufficient for ensuring that the necessary dexterity is developed, information and procedures are memorized, timing is adjusted and competency is achieved Where actual practice is not practical, practice of as many subskills as possible is included

We should be able to see that the trainee **has done** the job satisfactorily in the training We do not want to just hope that the trainee can do it

Appropriate Feedback

Equally as important as practice is **feedback to the performer on the adequacy of performance** Practice without feedback can cause trainees to develop the wrong skills It is our task to see that performance is carefully monitored during practice and that encouragement and correction are built into the materials The principles of managing performance cover this dimension of materials in detail

By applying these criteria, we can determine the adequacy and relevance of training materials in most situations This is because we are often working from a solid foundation of knowledge about the job and the trainees When we are in some doubt about the trainees, and the job, or both, we will want to build in some developmental testing of materials

Developmental Testing

Developmental testing is **testing of the materials rather than testing of trainees** To do developmental testing we will want to follow the following guidelines

Population

The population of trainees we select for developmental testing

- should be members of our intended (or target) audience,
- number of tryout trainees should be 3 - 12, so we can communicate with all of them,
- should range from lowest ability level to highest in audience

Facilities

The developmental testing should be done in an

- informal atmosphere,
- free from distractions,
- with arrangements as close as possible to intended instruction

Procedures

It is our responsibility to see that these points are made clear

- materials, not trainees, are being tested,
- materials are experimental, trainees are helping developers find mistakes,
- need to take pre-test to see if a trainee knows everything he or she needs to in order to take the program,
- urge trainees to make or give comments for any questionable item,
- ask them to guess, if they can't think of answers,
- explain time limits,

- explain that the rest of the directions are given in the material

Administrator's Job

The person doing the developmental testing must

- be thoroughly acquainted with the unit being tested,
- note time for beginning and end of each session and any breaks taken,
- observe trainees for signs of puzzlement, boredom, fatigue and note these,
- take advantage of opportunities to encourage trainees to comment, being careful not to discourage trainees,
- interrupting trainees only when they can't proceed on their own,
- if interrupting trainees, try to alter material on the spot,
- if on-the-spot alterations fail, explore the difficulty with trainees using open-ended questions,
- be on the alert not to inadvertently teach the trainees while exploring a difficulty with them and forgetting to alter materials,
- interview the trainees about all difficulties at the end of the tryout session,
- make careful notes of exact words of trainees, their identity, and item numbers the of program which provoked their feedback

Careful attention to these steps will provide the information that is necessary to recycle in the training system and to make the needed revisions

Optional Materials

A number of the in-class training techniques are used in interpersonal skills and attitude-change development programs

The Case Method

One widely used technique is the case method A case is a written description of a real decision-making situation in the organization or a situation that occurred in another organization Managers are asked to study the case to determine the problems, analyze the problems for their significance, propose solutions, choose the best solution, and

implement it More learning takes place if there is interaction between the managers and instructor The instructor's role is that of a catalyst and facilitator A good instructor is able to get everyone involved in solving the problem

The case method lends itself more to some kinds of material (for example, business policy analysis) than to well-structured material It is easier to listen to a lecture and be given a formula than to tease the formula out of a case, for example With good instructors and good cases, the case method is a very effective device for improving and clarifying rational decision making

The instructor using the case method must guard against (1) dominating the discussion, (2) permitting a few people to dominate the discussion, or (3) leading the discussion toward his or her preferred solution As a catalyst, the instructor should encourage divergent viewpoints, initiate discussion on points the managers are missing, and be thoroughly prepared

Variations on the Case Method

One variation of the case method is the incident method In the incident method, just the bare outlines of a problem are given initially, and the students are assigned a role in which to view the incident Additional data are available if the students ask the right questions Each student "solves" the case, and groups based on similarity of solutions are formed Each group then formulates a strong statement of position, and the groups debate or role-play their solutions The instructor may describe what actually happened in the case and the consequences, and then everyone compares their solutions with the results The final step is for participants to try to apply this knowledge to their own job situations

Role Playing

Role playing is a cross between the case method and an attitude development program Each person is assigned a role in a situation (such as a case) and asked to play the role and to react to other players' role playing The player is asked to pretend to be a focal person in the situation and to react to the stimuli as that person would The players are provided with background information on the situation and the players There is usually a brief script provided to the participant Sometimes, the role plays are videotaped and reanalyzed as part of the development situation Often, role playing is done in small groups of a dozen or so persons The success of this method depends on the ability of the players to play the assigned roles believably If done well,
role playing can help a manager become more aware of and sensitive to the feelings of others

Although role playing is a cross between the two, comparison of the general forms of role playing and the case method suggest a few differences between the two

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The In-Basket Technique

Another method used to develop managerial decision-making abilities is the in-basket technique The participant is given materials (typically memos or descriptions of things to do) that include typical items from a specific manager's mail and a telephone list Important and pressing matters, such as out-of-stock positions, customer complaints or the demand for a report from a superior, are mixed in with routine business matters, such as a request to speak at a dinner or a decision on the date of the company picnic four weeks hence The trainee is analyzed and critiqued on the number of decisions made in the time period allotted, the quality of decisions, and the priorities chosen for making them In order to generate interest, the in-basket materials must be realistic, job-related, and not impossible to make decisions on

Management Games

Essentially, management games describe the operating characteristics of a company, industry, or enterprise These descriptions take the form of equations that are manipulated after decisions have been made

In a typical computerized management game procedure, teams of players are asked to make a series of operating (or top-management) decisions In one game, for example, the players are asked to decide on such matters as the price of the product, purchase of materials, production scheduling, funds borrowing, marketing, and R&D expenditures When each player on the team has made a decision, the interactions of these decisions are computed (manually or by computer) in accordance with the model For example, if price is linearly related to volume, a decrease in price of X percent will affect the volume, subject to general price levels Players on the team first reconcile their individual decisions with those of the other team members prior to making a final decision Then each team's decision is compared with those of the other teams The result of that team's profit, market share, and so forth is compared, and a winner or best team performance is determined

Looking Glass is a management game that is used to permit individuals to operate or participate as managers in the simulation of a hypothetical glass manufacturing company with 4,000 employees and $200 million in annual sales Executives from leading U S companies have Looking Glass to provide a picture to participants of their management style Looking Glass was developed at the Center for Creative Leadership, a non-profit think tank in Greensboro, North Carolina

Another management game used to develop managers is Simmons Simulator, Inc , a make-believe high-technology multinational firm with $3 billion in annual sales It is used to train top managers at IBM in the company's corporate planning process Financial Services Industry is a game that simulates a business day in which managers grapple with planning decisions that are influenced by technological change and

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government deregulation of the financial industry Management games emphasize problem-solving skill development

Hard evaluation evidence is scarce on whether Looking Glass, Simmons Simulator, or Financial Services accomplish the desired outcomes A major concern is to rigorously assess whether participation in management games means that the manager is a better performer back on the job

Advantages of games include the integration of several interacting decisions, the ability to experiment with decisions, the provision of feedback experiences on decisions, and the requirement that decisions be made with inadequate data, which usually simulates reality The main criticisms of most games concern their limitation of novelty or reactivity in decision making, the cost of development and administration, the unreality of some of the models, and the disturbing tendency of many participants to look for the key to win the game instead of concentrating on making good decisions Many participants seem to feel the games are rigged, so that a few factors or even a single factor may be the key to winning

Behavior Modeling

A development approach for improving interpersonal skills is behavior modeling, which is also called interaction management or imitating models The key to behavior modeling is learning through observation or imagination Thus, modeling is a "vicarious process" that emphasizes observation

One behavior modeling approach begins by identifying 19 interpersonal problems that employees, especially managers, face Typical problems are gaining acceptance as a new supervisor, handling discrimination complaints, delegating responsibility, improving attendance, effective discipline, overcoming resistance to change, setting performance goals, motivating average performance, handling emotional situations, reducing tardiness, and taking corrective action

There are four steps in the process

1 Modeling of effective behavior—often by use of films
2 Role playing
3 Social reinforcement—trainees and trainers praise effective role plays
4 Transfer of training to the job Behavior modeling has been introduced into many organizations

The Training System Approach

There are obviously many ways to formulate training It seems though that successful models have some common characteristics

1 A conceptual lecture
2 A demonstration of the skills being taught (sometimes on video)
3 A rehearsal period for practicing the behaviors
4 A feedback and reinforcement period for refining the behaviors
5 Participants entered into contracts and committed themselves to the newly acquired skills on the job
6 A follow-up discussion on how things were going on the job

These six phases can be used to covered critical incidents selected by trainers or by participants Behavior modeling offers a number of promising possibilities in organizations One especially important need in organizations is to develop effective leaders Modeling appears to offer some promise for leadership skills development, if used in conjunction with videotape methods The participants can view their style, behaviors, strengths, and weaknesses and learn from this personal, first-hand view A person who sees herself or himself in action has a vivid reminder that she or he can benefit from practice

Outdoor-Oriented Programs

Cases, games, modeling, and role plays are still popular, but an increasingly popular form of development are the outdoor or real-life action-oriented programs Leadership, teamwork, and risk-taking are top-priority items in the outdoor-oriented programs The programs conducted in remote areas combine outdoor skills with classroom seminars Most of the programs have taken their cues from Outward Bound programs originated in the early 1960s River rafting, mountain climbing, night searching, team competition, boat races, rope climbing, and problem-solving exercises are popular types of outdoor training

Teamwork and trust are objectives that outdoor programs attempt to achieve Do these outdoor programs work? When a participant returns to the office, is he or she more team-oriented? To date, there is no set of studies available that indicate that these programs are effective There is also the issue of whether an organization has to fight to send or encourage a person to participate in a program that requires some athletic ability, the enjoyment of the outdoors, or risk-oriented exercises

Which Development Approach Should Be Used?

Deciding on the development approach or combination of approaches must be done on

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the basis of weighing various criteria The choice can be made on the basis of the number of managers to be developed, the relative costs per manager for each method, the availability of development materials in various forms (including the instructor's capabilities), and the employees' relative efficiency in learning In general, it is true that the more active the manager, the greater the motivation to learn The probability of success is higher in that instance If there are only a few instructors, individualized programmed instruction may be considered If none of the managers is capable of giving certain instructions, outside instructors may be contacted, or movies or videotapes might be used Finally, the method used should reflect the degree of active participation desired for the program

Inevitably, the question as to the effectiveness of each form of development or training must be answered There are studies to support the effectiveness of all methods, if a method is appropriate for the particular program in question, it should be used

The classic debate continues about which development approach or technique is best There are those who favor a combination of approaches, while others prefer a humanist or behaviorist array of techniques The techniques of behaviorism include behavioral modeling, role play, positive reinforcement, and simulations The preferred techniques of the Carl Rogers humanist approach to development include self-assessment, visualization, and guided reflection There are also advocates of cognitive approaches who believe that lectures, discussion, readings, and debates are the best approach to use

Selecting Off-The-Training

Many training companies have spent significant time and effort creating training programs for clients Many of these programs are available for purchase by organizations facing similar needs This effort can be a great benefit to organizations if decisions are based on the right criteria

In the Tool Box Section of this program, you will find a method for evaluating programs already designed that may be usable for your needs

Dimensional Training

Training can be selected to meet specific training needs based on job dimensions Once dimensions have been identified, individual competencies are compared to the model Training is then selected for individuals based on the Gaps between needed competencies and present competency of individuals

A series of such programs are included in the Toolbox

The Role of The HRD Specialist

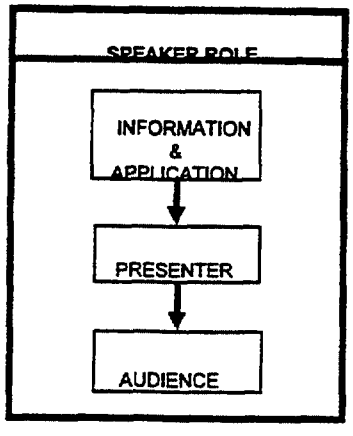
HRD specialist perform four unique roles in conjunction with training programs Each one consists of a series of activities To understand the roles, we will use the four elements of presentation situations

Each presentation situation consists of four elements:

The relationship of these four elements will change in the different roles of the presenter Of course, this assumes that information and application are selected and/or designed in accordance with the role In other words, the presenter roles we are describing here do not include the functions of "developing" the material Instead, the roles relate only to what a presenter does after a presentation is designed Obviously, by understanding the roles and their activities, we will be able to design the materials to fit

Speaker

The first and most classic role of a presenter is that of delivering **instructions and information** In this function, our primary purpose is to convey the information and application to the audience In effect, we are the mediator (the go-between) between information and audience Diagramed, it might look like this



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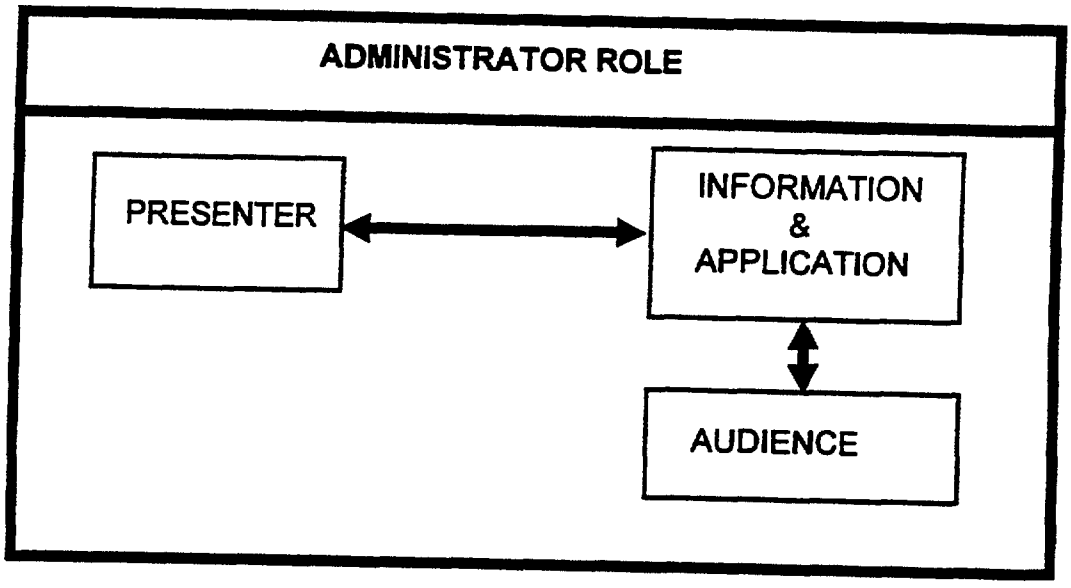
The typical activities we perform in the **speaker role** are

- telling the audience new information, knowledge,
- answering audience questions,
- giving examples, illustrations or demonstrations,
- asking the audience questions to check understanding,
- explaining things that are not in written materials,
- showing the audience how to apply the new information they have learned

Administrator

The next classic role of the presenter is that of arranging for the presentation It does not involve much interaction between presenter and audience Usually, it involves arranging information or application It may involve some "accounting-for" activities as well It makes the diagram look like the following, where the presenter focuses attention on getting all the information and application (and related media and materials) ready for and delivered to the audience

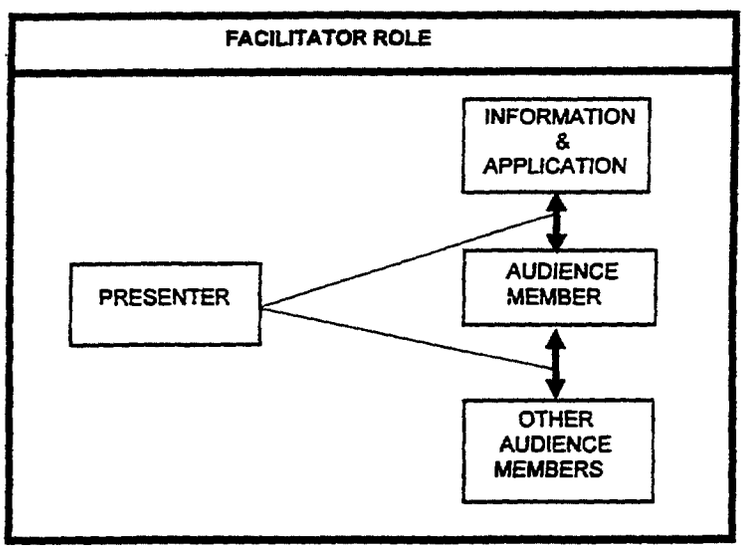


Typically, this function includes some or all of these activities

- acquiring, scheduling or allocating materials, facilities, samples and/or props,
- getting or operating audio-visual equipment,
- administering tests or"program evaluations,"
- scheduling or guiding tours,
- solving scheduling problems,
- overcoming facility or equipment obstacles,
- keeping records,
- conducting evaluations,
- compiling reports

Facilitator

The third function may not be as obvious as the previous two It is primarily concerned with the interaction between audience members, or the relationship between audience members and information/application Diagramed, it would look like this



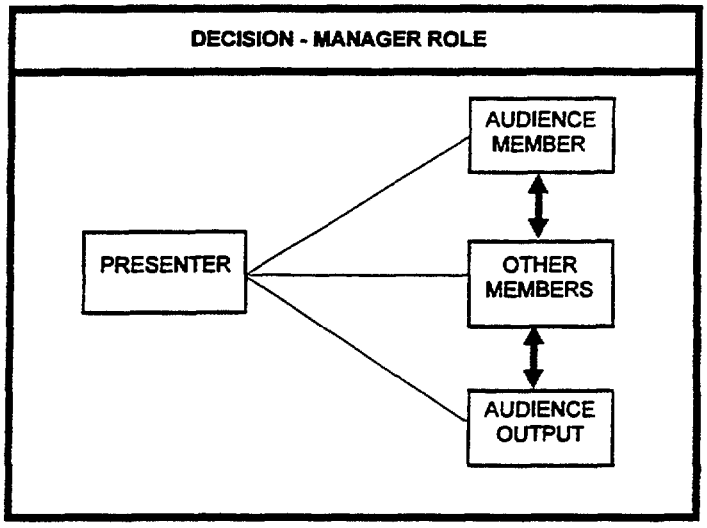
The facilitator is managing the environment in which the audience is supposed to accomplish its purpose The facilitator is enabling, empowering and encouraging the audience to perform their own tasks The function becomes clearer when it is expressed as activities

- coaching the audience on techniques and procedures,
- correcting the audience's errors or improper behavior,
- encouraging the audience members with reinforcing comments,
- counseling the audience to draw out problems and to uncover solutions,
- providing the audience with feedback on their performance level,
- devising methods of having the audience
  - read or research material,
  - experiment with procedures or materials (where this is okay to do),
  - identify feedback mechanisms that work,
- facilitating the interaction among audience members,
- resolving conflicts among audience members,
- modeling the actions and relationships desired of audience members,
- removing unnecessary obstacles to communication

In effect, the facilitator is not delivering a presentation, but is arranging it so that the audience processes its own information The presenter, in this role, is trying to influence the audience to accomplish its purpose

Decision-Manager

The fourth and final role is that of being responsible for an audience's output In this case, the presenter is in charge of the decision process that an audience uses to produce some desired output The output may be a decision, a negotiated solution, a newly created set of information or application instructions, a consensus policy or procedure, or a plan



The decision-manager will perform a variety of activities to insure that the audience produces the desired output

- providing the audience with a decision process to follow,
- keeping the audience on-track,
- checking the quality of the audience's output,
- providing or deriving criteria for evaluating the audience's output,
- evaluating the audience's progress or lack of progress
- assisting the audience in resolving its process problems,
- adjusting the pace and timing of the audience's activities

The four roles show some overlap and interdependency However, we will want to remember that each one has an essentially different focus The four points-of-focus

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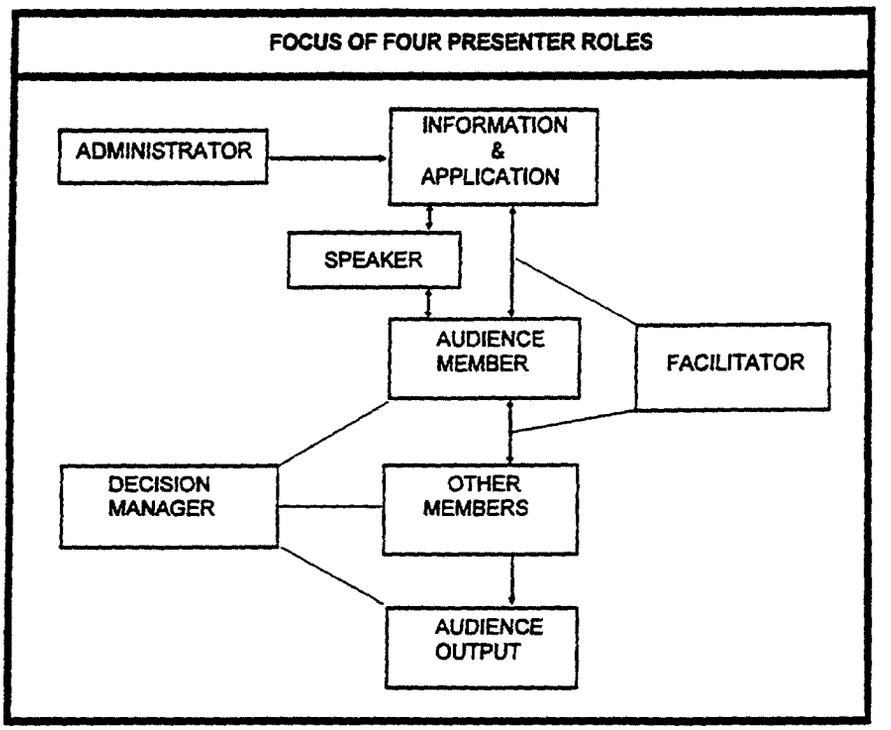
are more evident in this combined diagram



- Administrator focuses on arranging the "things" of presentation
- Speaker focuses on delivering information and application to the audience
- Facilitator focuses on the audience as individuals and the relationship among individuals or the relationship of individuals to their information or application
- Decision-manager focuses on getting a quality product (output) from the audience

First of all, we have to decide which of these functions we should perform, and which we should consider as priority The decision is important because it determines what activities we will perform

Then, the degree of success that we have as presenters will be quite dependent on our skills in the activities of the four roles

In conclusion, this portion of the program is based upon placing emphasis on three of the roles We know that we must perform the Administrator role, but most of us could do so without much additional concern or training effort We will concentrate our time on the other three roles wherein we are likely to have much more at stake in the outcome speaker, facilitator and decision-manager

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Special Skills Required by HRD Specialist

There are a number of special skills that are required for HRD specialist to perform well We will study them individually, but use them collectively

#1: Audience Orientation

Each of us has a choice for points-of-view when we consider ourselves, as presenters, and our audiences First, we can view ourselves as being more important, we can strive to impress the audience, we can "show and tell " On the other hand, we might view our audiences as being more important, here, we work to involve the audience, we "give and take " Our choice of views will have a large impact on what we do and how we do it Our choice is very important

There are a number of ways to illustrate the difference between **Presenter Orientation and Audience Orientation**

First Is Focus

The presenter-oriented person is focusing on him or herself This person spotlights his or her own ability, background, reputation, talent or technique He or she is placing emphasis on the self As a result, this presenter is concerned with

- ❒ pride (How will I come across?)
- ❒ personal appearance (How do I look?)
- ❒ personal presentation (How will I sound?)
- ❒ personal performance (How will I do?)
- ❒ personal experience (What have I done?)
- ❒ personal preference (What do I like?)

Are any of these items unimportant? Obviously not Indeed, we need to give each of them some attention But, are these items the more important?

The audience-oriented presenter doesn't think so He or she looks through a different lens that brings the audience into sharp focus He or she highlights their backgrounds, their egos and their situations Consequently, the audience-oriented presenter is concerned with

- ❒ Audience purpose (Why have **they** come here?)
- ❒ Audience perception (What are **they** looking for?)
- ❒ Audience reception (What will **they** tune in to?)
- ❒ Audience performance (What will **they** do?)
- ❒ Audience experience (Where are **they** coming from?)
- ❒ Audience preference (What do **they** want?)

These are the more important items The reasons are profoundly simple a presenter who loses his or her audience is no longer a presenter, he or she becomes a "would-be" leader without followers When we lose our audience, we have failed Therefore, we must focus on the audience in order to keep them focused on the subject and/or the purpose of our presentations

Strategy

Contrast the presenter-oriented and audience-oriented strategies

a Presenter-oriented

- ❒ Make a good first-impression
- ❒ "Impress force fit them to your mold "
- ❒ Talk **to them, tell** them
- ❒ Let them know that you know what you're talking about
- ❒ Impress them
- ❒ If they don't respond, dazzle them with the dance and baffle them with the bull (maneuverability)
- ❒ Build in razzle dazzle jokes, stories, tricks, gimmicks, games and "shock treatment "
- ❒ Quit when **you're** finished

Audience-oriented

- ❒ Establish rapport
- ❒ "rap-port rap in their port "
- ❒ Talk **with** them, **trust** them
- ❒ Know them and let them know you **know them**
- ❒ Involve them
- ❒ If they don't respond, change your approach until they do (flexibility)
- ❒ Build in assumption checks and reception checks by asking and interacting
- ❒ Quit when **their** reception stops

Thought

There is a significant difference between the moment-by-moment thought process of the presenter-oriented and audience-oriented persons Let's get "inside" their heads to see how this difference is manifested

a Presenter-oriented

"I'm so nervous I've got to do a good job with this audience I'd better polish my presentation to perfection I'll practice again and again, practice makes perfect I'll work all of the bugs out I'll use all the 'right' words

"O my it's time! I'm on They're looking at me no smiles they're going to be tough This first story will knock 'em dead Oops they didn't laugh Well, I'll keep going, stiff upper lip, you know I can't falter smile at them, break the ice Good grief! That guy is looking away those two are talking about me hurry up, get them back! Bring out the great slides that'll sock 'em Damn, the bulb blew Now what? I'll blame the equipment I'll tell them it was the A-V

Specialist's fault I'll never be able to do a good job now why do these things always happen to me? I'll just read it to them I wish I were elsewhere Oh well almost done Just a few more points to convince them And, I've got to get in the 'clincher '

"Thank goodness that's over I wonder if the applause was real or if they were just being 'nice ' No I did great It wasn't my fault that stupid bulb blew out It would have ruined a lesser person Besides, if they didn't buy what I said, it's because they are narrow-minded ignoramuses I did a good job in spite of the pressure they put on me I mean, they were so 'cool' you could feel it I hope I don't get another bunch like that again Oh well next time I'll have them eating out of my hand "

b Audience-oriented
"In order to prepare my presentation, I need to take three actions set my objective, analyze my audience and develop my method

Set My Objective
The theme of my presentation should be strategically developed to accomplish some purpose Therefore, I must establish the objective in order to create a worthwhile message

There is little point in my preparing a presentation if I have not decided what I want It is essential that I know what I am after, before I take up someone else's time I will ask and answer the 5 'W's' and the 'H'

- **WHO** Who will get the information?
- **WHAT** What information do they need?
- **WHEN** At what time and for how long will I require this person's or this group's attention?
- **WHERE** Where will I make the presentation?
- **WHY** Do I have good reasons for bothering this individual or group? Can I adequately explain my reasons?
- **HOW** Do I know how I will proceed?

This piece of paper is a handy resource for my preliminary planning I will put down notes of my objectives so I am much more likely to accomplish them with ease

Which do I want to accomplish?

- To **provide** my audience with **information** that is of value to them and their needs

- To **persuade** my audience to follow some course of action or choose some alternative

- To offer **solutions to their problems for** which I have knowledge and insight

My objectives clearly define the outcomes that I anticipate as a result of my presentation effort

Analyze My Audience

"In order for me to present effectively, I had better size up my audience

- Who will receive the message?
  Are they experts in their field?
  Do they know my subject and language?
  Are they familiar with the problem or issue I am going to address?

- What are their likely attitudes toward my subject?
  Will they be interested? Will they be indifferent? Will they be negative or even hostile? Are they going to have preconceived notions or bias toward my subject? Is there tension?

- What is their attitude toward me and my job, department, or company?
  Are they receptive? Are they indifferent? Are they negative or even hostile? Do they know me and my company?

- What needs, concerns or interests should I appeal to?
  Are costs an important consideration? Do they need answers?
  Do they need technical data? Are they having problems I can help resolve?

In light of the answers I find to these questions, what points should I include and emphasize, what points should I minimize or avoid?

My Method

"Now that I have a 'feel' for the people who will attend, I will be able to find two significant benefits in understanding my audiences

- First of all, I know that the **content** of my presentation should be based on what my audience members know when they come to my presentation

- Secondly, it will help my **design** of my presentation if I target my words, materials, presentations and practices to this specific audience In other words, I want to create a fit between the presentation and the audience

Here I am delving into the attitude area of the audience so I will know how to treat them in my actual presentation First in my **design,** I will try to meet these six basic requirements

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- I will provide an **adequate explanation** for their background
- I will use **language** that they understand
- I will offer **examples** that match their experience
- I will use **illustrations and demonstrations** that are relevant to their purpose for being at the presentation
- I will arrange adequate **involvement** so they will be committed to the out some of the presentation
- I will use appropriate **feedback** mechanisms to test and adjust to their reception level

In my **presentation,** my techniques, media, and strategies will be selected based on

- Their **attitude toward my subject,**
- Their attitude toward me, my Company, my job, and the presentation **environment,**
- Their needs, concerns and interests which I can appeal to and meet for purposes of explanation and persuasion,
- Their **language** preferences and abilities,
- Their **reading ability,** attention span and thought process (logical or intuitive),
- Their **physical characteristics** and abilities as related to any necessary manual skills,
- Their **time availability** and time pressures,
- **Their 'turn-one' and 'turn-offs'**

"Now that we're here, audience, I'll do my best to serve you I believe that you're here in much the same way as you would be in a fine restaurant waiting for a fine meal My function is to **serve** you that fine meal and to make sure that I don't do anything that would interfere with your appetite for it, your consumption of it, or your digestion of it afterwards No, I'm here to enhance those I know what you want from me

- I won't waste your time,
- I know who you are,
- I am well organized,

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- I know my subject,
- Here is my point,
- I am finished

"Thank you for your compliments I am very pleased that I was of service to you "

#2 Belief a Self-Fulfilling Prophecy
One of the key ingredients in effective presentations is the development of "sensitivity" to how people feel, how they think, and how they act Part of the process is developing a sensitivity to ourselves and then looking at the impact of our actions on the reactions of our audiences

Understanding why people act as they do is so important, in determining what we can do in presentations, that we give it the status of a separate principle This principle covers an important aspect of human behavior--the influence that beliefs and expectations have upon our presentations

We will begin with a statement of this principle **expectations influence our behavior and our presentations, they influence audience reactions**

The Self-fulfilling Prophecy
"Self-fulfilling prophecy" is a term used to describe an important phenomenon It applies to all of us Stated in its simplest terms, it means this

People will tend to so things, consciously or unconsciously, **to confirm the beliefs or impressions they have therefore, they will end up fulfilling their own prophecies**

The concept can be illustrated by an example from the field of education
I Q scores have been recognized as a standard predictor of how well children will do in school **Those with higher I Q 's outperform those with lower scores** (This is the prophecy or prediction)

To test the effects of the self-fulfilling prophecy on teachers, researchers set up situations where some I Q scores were correctly given to teachers and some were reversed for various pupils The teachers did not know that some of the scores had been switched **Sure enough, the pupils with higher scores outperformed those whom the teachers thought had lower scores The prophecy** which was in the minds of the teachers **was fulfilled** The experiment was repeated numerous times at different schools with the same results

Here is why it worked the way it did in the experiments Our expectations become our prophecy or prediction of what will happen Since what we expect to happen affects our actions, we will often get the results we expect Thus, we have a prophecy which we have fulfilled Researchers have found that **what makers is what we think is true about ourselves and others** It will be our prophecy about people This is extremely

important in our attempts to present to audiences Let us examine how and why

If we believe that people are basically negative and that we constantly have to entertain or amuse them, that is what we are likely to do For those who are not, they will resent this type of treatment and they will resist our "con game " We will have stifled any interest they may have had in the subject or the objective of the presentation

In effect, we will see our prophecy fulfilled This is not because that was the way all people were, but because that is what we have made them through our own actions

The dynamics of the self-fulfilling prophecy may be represented as follows

THE SELF-FULFILLING PROPHECY
Our **EXPECTATIONS** help determine
Our **ACTIONS**, which, in turn, determine
Our **RESULTS**, which are likely to fulfil
Our **EXPECTATIONS**

For example, one presenter believes that audiences do not have any good suggestions on how to improve the work or work procedures When someone comes up with a poorly thought-out idea, it is easy for the presenter to see what is wrong with the idea He typically says, "Look I've been at this for years Until you've been around as long as I have, keep your silly ideas to yourself You don't know what you're talking about " It doesn't take long for others to realize that ideas are not wanted They stop bringing up ideas, they stop coming up with ideas, they stop looking for opportunities for improvement They won't even respond when the presenter asks for ideas on a problem Thus, the presenter's prophecy is fulfilled

The presenter has failed to recognize that he or she may have mishandled the situation Instead of turning people off, the presenter might have used the opportunity to inform the audience on how to carefully evaluate an idea. Then, they might have reconsidered, and come up with a way of getting around the flaws in the original suggestions

Let us take the opposite case Let us suppose that we believe audiences want to work with us When we present, most people will respond by a conscious effort to meet our requirements Even if there is a contrary individual in the group, we have only to exert more effort with the one who has demonstrated a need for it The result is that most of the others will appreciate the freedom and respect we show Since they are cooperating, they appreciate the opportunity for participation and involvement

The idea of a self-fulfilling prophecy begins with a set of beliefs or expectations An

individual holds this set of expectations and, in order to be consistent, will act out the expectations What the person expects of him or herself and others, and the way he or she relates to others, will largely determine the caliber of his or her presentations

The self-fulling prophecy process consists of three parts Let's examine the three parts

Making predictions
The first part of self-fulling prophecy is a prediction Somehow, a prediction is made about some future action All of us are quite familiar with predictions that we make For instance, we predict the weather, we forecast budget needs, we schedule people to different job duties, we plan a move from one location to another so that we can make a smooth transition in the work Making predictions is our way of arranging for the future Most of us are more comfortable with a predictable future because we then feel we have control over what we can do Most of us resent and resist unexpected changes and problems Predictions apply to two key aspects of our presentations

Predictions About Ourselves
We make predictions about ourselves When we were very young, we began making predictions about ourselves We may have said things like "I want to be a nurse," "I am going to be an engineer," or"I plan to make a good living in a good job " These predictions about ourselves provide us with a clear path for controlling our own actions They become goals for our achievement They become targets to reach

Predictions About Other People
Similarly, we make predictions about other people These predictions provide us with a focus for our relationships with others For example, we may have predicted that a particular teacher was the "helpful kind", then, we asked the teacher for help On the highway, we predict what other drivers are going to do and we try to act in ways that will allow all of us to get where we are going In presentations, we predict how the audience members will react and respond to our requests or our actions

These predictions lead to the second key part of self-fulfilling prophecies

Acting on Predictions
Once we have predictions clearly in mind, we tend to act accordingly This makes a lot of sense to us from a purely logical point of view Logic is based on the "if then" principle where a preceding fact is followed by a succeeding action or reaction For example, if I have predicted that I want to be an engineer, **then** I will take engineering courses to earn an engineering degree If I have predicted that I am going to become a top-notch speaker, **then** I will hang around speakers, practice speaking and study speech

This kind of acting on predictions applies to our relationships with audiences If I predict that you will think my fishing trip is going to be boring, **then** I will do something else so I do not have to talk about it If I predict that my boss will reject my

idea, **then** I will not give my boss my idea If I suspect that the supervisor in another department won't honor my request, **then** I will arrange to have a higher authority order the supervisor to do what I need, instead of presenting the supervisor with the justification for my request

Our actions will be based on our predictions about ourselves and others We take action to produce results that are consistent with our predictions

Producing Results

Our actions produce results which move toward the targets or predictions we have had in mind One action may not get all of the way to a predicted outcome, it may take numerous actions For example, I may have to go to school for a number of years, taking a great number of courses, to fulfill my goal of becoming an engineer You may have to spend hundreds of hours in training and hands-on experience to gain the competence that you expect of yourself

While it may not occur in one fell swoop, the cycle is repeated in all aspects of our lives we make predictions, we act on them, we get results that move toward or achieve our expectations

How the Self-fulfilling Prophecy Shows up

The self-fulfilling prophecy principle continues to be in operation, even when we do not give it conscious thought Therefore, we are normally acting in ways which help confirm and support the basic expectations and beliefs we hold about ourselves and our audiences

The Self-Fulfilling Prophecy and Self

Something happens in everyone's mind to cause them to live out their view of themselves This is described as "self-concept" People tend to act out the part in life that they picture in their minds When this principle is examined for people who make presentations, an interesting set of facts is uncovered

The better presenters seem to be able to create a set of higher expectations for themselves and to get others to co-operate to achieve those expectations Weaker people are not able to get this level of results from audiences We will want to know what the difference is between these kinds of presenters so we can learn how to get the reactions we desire

One of the first things is that the better presenters have a good deal more self-confidence than their weaker counterparts This is more than just cockiness It is a sincere and honest belief in their own ability This confidence in self is the foundation for having confidence in audiences In spite of the fact that many of us have been told, "Don't judge everyone else by yourself!" we all tend to do so If we feel weak, unable, frustrated, and powerless in accomplishing results, we will convey this to our audiences If, on the other hand, we feel comfortable and assured in our own ability, we

will come across with considerably more force in dealing with other people

Our own track record will also affect our prophecies about ourselves and others If we have a record of failures or mistakes, we will have great difficulty getting others involved in higher expectations They will doubt our credibility If we have a solid record of accomplishments, we will have credibility to support what we present to others

Confidence in our own ability and establishing our own success are key ingredients toward making the self-fulfilling prophecy work for us in our presentation efforts

The Self-Fulfilling Prophecy and Others
We may have a variety of beliefs and expectations about others For the sake of illustration, we will examine two opposite points-of-view which show up in a person's expectations of audiences People generally have one of two distinct views of audience members The first view we will describe goes like this

Audiences are basically nonproductive and non-cooperative
Contrast that first view with this one
Audiences are basically productive and cooperative.

Self-fulfilling prophecies are not limited to what we expect of audiences They also apply to what we expect of ourselves We can view ourselves as incapable and frustrated, with little to contribute, or we can see ourselves as capable and concerned, with something significant to contribute If we feel that there is little we can do to improve our presentations, we will see few results because we will not be doing much to get results If we feel that we can make significant improvements in our presentations by improving our presentation practices, we will change our practices, and they will gradually pay off The caliber of goals and expectations we hold for ourselves will set the pace for the reactions we get from our audiences

#3: Confidence

Confidence is belief in one's self Some of confidence is merely an act-of-the-will, a positive self-fulfilling prophecy But, the larger part of confidence is not imagination, it is experience confidence is earned

When we do something with confidence, we do it with faith in ourselves, we **really** believe in ourselves This implies a bona fide reason for the belief How do we achieve a legitimate view of ourselves as capable presenters?

Confidence Comes From Competence
The first step toward bona fide confidence is competence We do have to know what we are talking about and we do have to be able to perform that which we are demonstrating It is awfully hard or believe in yourself when you know that you

don't know what you're doing

Competence Must Be Developed
Competence in action is very similar to muscle-tone in physical development To achieve good muscle-tone, we have to eat, digest and draw strength from quality food, then, we have to exercise the muscles to use the energy drawn from what we have eaten In competence, we have to read or study and digest the knowledge and information we need about the subject, we need to choose quality resources, then, we need to rehearse and apply what we've studied until we're skilled at interpreting and applying it

An athlete who won't eat and exercise will fail at the game A presenter who doesn't develop competence in a subject will fail in front of the audience One author has reduced this idea to word pictures

Incompetence.
Those who quickly read a subject and give a presentation like eating and regurgitating it onto the audience

Competence
Those who develop knowledge and skill and experience, then give a presentation like eating and drawing strength from it and feeding the audience

Fear is Born of Ignorance and Uncertainty
The opposite of confidence is "without faith " Our common term for it is fear Our question should be "What are you afraid of?"

If we are afraid of what we might say, we need to learn what to say If we are afraid of what they might ask, we need to rehearse the possible questions and answers

- To eliminate fear, we will have to develop competence and confidence
- Feel it, don't fake it
- Present it, don't pose it
- Deliver it, don't describe it
- Experience it, don't exhale it
- To be believable and convincing, we have to be able to give a **personal** account of the subject We have to own it as a personal experience
- To qualify ourselves to an audience, we have to **qualify ourselves**

- To make a subject reasonable to the audience members, we must have **reasoned** it out ourselves

- To successfully share with the audience, we will have had to **partake** ourselves

Competence Provides A Payoff
When we present upon a foundation of competence standing firmly on what we know we eliminate the dreaded diseases that plague the pretender The pretender has to hide his or her ignorance, this produces defensive behavior in front of the audience

Competent Characteristics
DESCRIPTIVE This is what is available for you to choose from

- ❒ **CONVERSARIAL** We've got a common problem to discuss, to understand and to resolve
- ❒ **REASONABLE** I've reasoned this out and we can discuss the reasons and justifications from all angles
- ❒ **DRAMATIC** Let me illustrate and demonstrate the risks and benefits of each alternative
- ❒ **OBJECTIVE** We can view and review your concerns and questions in light of the facts
- ❒ **DE-PERSONALIZED** I've experienced this, this is the way I see it How do you see it?

Nervous is Natural
Some anxiety is to be expected in each new presentation situation There is the unknown, there is the possibility of the unexpected But anxiety is only a form of energy We can turn that energy into preparation or "stage fright " The choice is ours

#4: Intent.. The Voyage's Destination

We may want to view each presentation as a "voyage with a specific purpose (a definite destination) " If we do, we can use this imagined journey as a method for directing our action and the actions of the audience

First, let's be sure we see the two major elements of a presentation in terms of the "voyage" picture Presentations have CONTENT and INTENT The INTENT is the purpose, objective or "destination " The CONTENT is the "path traveled" to get to the destination, it is the road or method or means to the end

The starting point for any journey is the decision on the desired destination We cannot begin to determine the path until we know where we want the path to lead In presentations, we need to know our objectives

There are two terms used to describe objectives 1) End Objectives and 2) Auxiliary Objectives To be sure we understand what they mean, let's use a familiar example

to explain

All of us have probably used a road map When asked how we use a road map, we usually will answer that we have to know **where we are, where we are going,** and then decide **which route to get there** Well, when we are deciding where we are going, we are deciding the end objective

Suppose I am in the U S and I want to get to Africa to visit a friend Africa is my **end objective;** that's where I want to be as a result of my trip With that in mind, I can look at the map to pick a route How many different possible routes do you suppose there are? Probably thousands Which one will I choose?

Well, it depends It depends upon what I want to accomplish along the way Things I want to accomplish along the way are **auxiliary objectives** They may not be as important as the end objective, but they can influence my choice of routes For instance, if I want to also stop to see relatives in London, it will affect the route If I want to see Paris, it will affect route, time, and costs If my son is stationed in the Mid East and wants me to stop by, it will affect route, time, costs and feelings Whatever I decide my **auxiliary objectives** are will have a big impact on how I go on my trip to Africa Of course, my decisions will also be based on constraints, like how much time I have, how much money I have, and what the other people have to say who are affected by my objectives

In defining objectives for a presentation, we are determining the end results that we **want** to achieve We are developing a picture of what we would like to accomplish with our presentation

In many instances, a compromise of objectives is required By setting objectives at the outset, we can more easily make distinctions between the right compromise and the wrong compromise By setting the **right** objectives, we prevent the possibility of settling for less than we should

Objectives also provide a sound basis for the decisions we will make while developing and selecting media and methods In addition, the determination of objectives helps resolve differences when several people are involved in a presentation Furthermore, objectives will help prevent biases or prejudices that we may have toward various presentation ingredients

The first thing we will want to do is to define the results that we want to see from any presentation We need to describe what we want **to see** as the end results, and what we want **to avoid** as outcomes This description will help us choose the better alternatives for our presentation We can also test our objectives to see that they are practical We do this by answering these questions

- ❒ Are the Objectives Relevant for the Audience?
  Does each objective pertain to the audience and the problem situation we are addressing If not, the objective should not be included

- ❒ Are There Any Known Requirements or Stipulations that Affect the Objectives?
  In many instances, there are uncontrollable criteria that will have a bearing on our objectives Their impact can be substantial We will want to include any requirements, that we know about, that our presentations will have to meet For example, we may have to include items that the boss requires

- ❒ Are There Any Constraints Which Affect Objectives?
  Constraints are those things which might hinder, limit or even eliminate an objective Constraints are such things as cost, shortage of equipment, lack of appropriate facilities, time, mechanical or technical limitations We have to design our presentations within the constraints

Recognizing constraints, at this point, will keep us from pursuing objectives that can't be reached or are too impractical to attain

The auxiliary objectives we would like to see achieved should be given the same test questions, but with one additional question

- ❒ Is the auxiliary objective desirable and possible or will the additional effort or investment make the task too great? We don't want to include it is the auxiliary objective makes the task too great

  If possible, we may want to rank the objectives in order of importance This forces us to consider the relative value of each one and helps us decide what we can and cannot compromise when we make our presentation

  So, we make presentations with INTENT in mind This should cause us to do two important activities

Use the INTENT to determine CONTENT
We select the objectives because they should determine what we think, feel, say and do We want to conclude only that CONTENT that is useful in achieving our INTENT

Use the INTENT to get the audience to go on the journey.
We use the objectives to sell the audience the tickets for the trip This strategy is based on some sound reasoning First of all, few people like to be led around blindfolded Audience members went to know where we are taking them BEFORE they commit themselves to going with us

In addition, by sharing the objectives of the journey with the audience, we can get them to organize our presentation materials as we go They will know the desired outcome

and the auxiliary objectives They will be able to see where information fits and where arguments lead

Also, by sharing the journey's objectives with the audience, we will be able to draw upon their abilities and energies They will be able to contribute relevant responses (Incidentally, by knowing the desired result, they are less likely to lead us down irrelevant "side trips" during our presentation)

To make this principle work effectively for our presentations, we will want to do several things

START the presentation by defining the INTENT
SHARE the "map" with the audience
Use the map to stay on track.
Maintain your outcome, not your position.
Make the INTENT "personal" to the audience

Specify, to the audience

- how this will affect you
- what you will be able to do
- what problems of yours you'll be able to solve
- how you feel when you get there
- how you will know that you've gotten there
- how you can apply it
- how you will be better off for having taken the journey
- Bon Voyage!

#5 Irreducible Minimum

For every subject we present, there is an irreducible minimum hat we must present That is, there is a minimum quantity of information that we must provide in order for the audience to understand the subject or perform the task There are several important points in this principle Each point illustrates a different kind of situation for the audience

Audience Performance

When we want an audience to do something, we have to provide enough information, instruction, direction and structure for them If we don't, they will be confused and frustrated They will not respond appropriately, because we will not have provided sufficient information

Persuasion

The second case is where are trying to persuade the audience toward a particular point-of-view Here, the irreducible minimum is more of a process

- ❒ Argument thesis

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- ❒ Evidence
- ❒ Summary or Conclusion
- ❒ Call for decision

The thesis is the formal proposition which we plan to prove by argument It tells the audience where we are headed and what we plan to accomplish

The evidence is presented as an argument consisting of truths or premises that are linked by the rules of logic A deductive argument will begin with a general principle or "law" and support the reasoning that leads to predicting a specific case An inductive argument will present an hypothesis and support it with reliable statistics drawn from observation of specific cases In deductive reasoning, the argument follows the "rules" of logic and the scientific laws of the subject under investigation In inductive reasoning, the argument follows the "rules" of probability theory and statistics In both situations, the irreducible minimum is defined by the "reliability" of the evidence in mathematical terms

The conclusion of an argument is based on truth tables (deductive) or probability (inductive) It represents a calculated prediction about the future based on the evidence of the past

The call for a decision asks the audience to concur with the "truth" (deductive) or the likelihood (inductive) of the conclusion Where the audience chooses not to accept the conclusion, they are required to refute it with true and reliable evidence to the contrary

Selling

Where it is the case that we need to sell the audience an idea or an object, we have another process to satisfy with a minimum of information

- ❒ Need
- ❒ Desired Results
- ❒ Feature
- ❒ Benefit
- ❒ Commitment

The first essential step is to have the audience agree that they have a real or perceived need for the idea or object We may do this by asking them to reveal needs or by suggesting known needs and getting their concurrence By getting the audience to buy into the need, we have made a strong case for the remainder of our presentation (they **want** to hear how to satisfy the need)

The second step of selling is getting the audience to describe its desired outcome or results We do this also, by either asking questions that produce an affirmation or by presenting results that we suspect they desire and getting their confirmation By getting the audience to declare what the desired results are to look like, we have created a clear description of what we will provide to satisfy the needs

3t 1

The third and fourth steps are related to each other In the third, we explain how a feature of our idea or object provides for the specific need the audience has Then, fourthly, we demonstrate the benefit of the idea or object to the audience We do this by identifying the audience's desired result that is satisfied by a feature of the idea or object we offer

The final step is asking for a commitment Here we get the audience to agree to an action or action plan, on their part, that represents their acceptance It may be approval of a recommendation, a decision, a conclusion, a signature on a negotiated instrument, etc

An irreducible minimum in selling is affirmation or confirmation of each of the steps

Explanation
Where our presentation is "for information purposes only," we will want to prepare our irreducible minimum in a different way We will want to prepare **ourselves with full** information on the subject, but give the **audience** only the **minimum** Then, we will be prepared to offer answers for questions, illustrations for confusion, and proof for doubts Visually, we might show it like this

All that we have rehearsed that is beyond the-heart-of-the-matter is reserve power for us

Conclusion
We can apply the irreducible minimum to these cases by making reference to some well-worn truisms about brevity, with sufficiency

Keep it lean and meaningful

Audiences are used to 20-second or 30-second television "spots," get to the point and get out

- ❒ K I S S (Keep it short and simple)

- ❒ Follow the shortest path, the shortest distance between two points (beginning and outcome) is a straight line You can always take audience members on excursions later, after you've achieved your outcome

Audiences always want to follow the path of least resistance

- ❒ Shoot for "short," but don't make the bridge so short that it fails to cover the span
  - the span between instruction and action,
  - the span between thesis and conclusion,

- the span between need and commitment, or
- the span between question and answer

❒ Take all of the slack out of the rope before you start to pull (or you will spend your time taking up slack and you will jerk your audience along)

Present "need to know", forget "nice to know "

❒ "To be witty is not enough One must possess sufficient wit to avoid having too much of it "
❒ "Wisdom consists in not exceeding the limit " Elbert Hubbard

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#6 Memorable Methods

Our presentations are much more likely to be effective is they include methods that are designed to excite the audience's memory There are several reasons for this

How Memory Works

First of all, memory follows a four-part pattern People remember when they

- Will to (Want to)
- Attend to (Pay attention to)
- Relate it (Refer to something already remembered)
- Title it (Label the information as a file)

These four elements create the memory acrostic W A R T

Since people remember on the basis of these four factors, we will be wise to incorporate methods that address all four

❒ We should include references in our presentation that the audience will want to see and hear These are references to what we know they want and need

❒ We should include references that the audience will pay attention to Since we know that people attend to information that confirms their own beliefs and values, we will want to refer to their known beliefs and values

We should include things the audience already knows This way, we are giving them reference points for new information

❒ We should include appropriate labels for new information so the audience members can file it for recall Where possible, we will want our labels to relate to the outcome (desired results) of the presentation

Visualization

Second, we need to recognize that ears tend to trigger only limited memory What we

want to strive for is visualization We can do this by providing word-pictures, by providing visual representations and by furnishing actual visual reproductions Each additional dimension increases the likelihood that memory will be enhanced We want our presentation to IMPRINT so the audience will REPRINT when it is appropriate to recall

Repetition

Third, since memory is enhanced by repetition, we should build redundancy into our presentations We need to do this in a way that is not childish or patronizing

Reduction

Fourth, we should recall that memory is a function of reduction For instance, the memory factors are reduced from four factors to four letters, W A R T To get an audience to remembers a one-hour presentation, we should reduce it to a key theme and reduce the key theme to a phrase or word that "pops out" in the audience members' minds Where possible, this should be a relevant item that is of significant benefit to the audience

Media

Finally, we should select and use media to make the message memorable Presentations may require media of varying types in order for us to be effective Part of our effort includes giving consideration to the media we may require and the way we will use them There are several possibilities We should include a mental rehearsal of the use of the medium so that the analysis is detailed The comments with each of the items shown below will help us in our selection

Language (As a medium of communication)

- ❒ Avoid excess verbiage
- ❒ Stay away from long, complex sentences
- ❒ Define terms or phrases the audience is not likely to understand
- ❒ Be careful about jargon that people cannot grasp or which requires excessive time to explain or to digest
- ❒ Restate key or complex ideas

While brevity is to be treasured, some ideas or points require repetition or elaboration before they are understood A multimedia presentation often accomplishes this

Visual Aids (Slides, Charts, Diagrams, Photography)

Visual aids are intended to supplement and emphasize points in our presentation They should not be a crutch or detract from the presentation

Select the key items for visual presentation Having too many visuals can be distracting We should make visual those items that represent something definite and important

- ❒ Fit the aids into the presentation plan

- ❒ Plan comments ahead of time
- ❒ Use visuals that are easy to understand

Complex models and "busy" visuals just complicate the process of communications They make memory difficult

- ❒ Be sure visuals will be readable by people in the back of the presentation room
- ❒ Size and coloring are significant We need to experiment Use darker colors (black, blue) and make lettering 1" high for each 20 feet from the visual your audience members my be
- ❒ Have visuals arranged in order, ahead of time
- ❒ Prepare to comment when the visual is exposed
- ❒ Pace the use of visuals
- ❒ Talk to the audience, not the visual

While we will gesture toward aids, we will want to make our points to the audience, particularly the significant points That means that we will have to **know** our aids before we make our presentations

Exhibits, Samples, and Models
Exhibits, samples, and models which can be used in demonstrations are dramatic and appealing They energize more of the senses and enhance memory

- ❒ Make sure the items operate smoothly
- ❒ Have a neat arrangement
- ❒ Have props in clear view of the audience
- ❒ Reveal when addressed
- ❒ Let people examine after the presentation
- ❒ Focus attention on the audience

Reference Material
Reference material is distributed for the purposes of clarifying or supplementing our presentations There are some key points to keep in mind

- ❒ Advance study

- ❒ Have enough materials for all participants
- ❒ Distribute before speaking if it is needed at the start of the presentation
- ❒ Distribute when needed in the presentation
- ❒ Distribute after the meeting
- ❒ Clarify where attention is to be given

Media Selection Guidelines
There are also some practical considerations for the selection of media for a presentation Consider these five criteria

Criterion #1 Cost
Consider the costs of the media Then decide upon the media which gives all of the advantages that you can afford

Criterion#2 Function Matching
Consider the function of the audience in the situations you are referencing in the presentation The media should match, as closely as possible, the conditions of the situation

- ❒ Does the function require/provide audio stimulation and/or audio discrimination? Use an audio medium
- ❒ Does the function require/provide visual stimulation? Use the medium that matches
  written/printed?
  graphic pictorial?
  motion?
  color discrimination tasks (e g matching ink or color samples, spotting discoloration)?

Criterion #3 FORM and TIMING
Consider the form and timing of the presentation carefully The media should be easy to use, available when and where needed, and as interactive as possible The decision represents a compromise of audience, location, mode and timing along a continuum (Mark all four scales and find the average score on the scale It points to the appropriate media)

CONSIDERATIONS

Number in Audience

Individual — *Large Group*

1 2 3 4 5 6 7

Location

Variable — *Fixed*

1 2 3 4 5 6 7

Mode

Self-examination — *Presenter-led*

1 2 3 4 5 6 7

Timing

Flexible varied — *Fixed limited*

1 2 3 4 5 6 7

MEDIA

1 2 3 4 5 6 7

Printed **35mm** **Audio** **Video or Film**

Criterion#4 AUDIENCE

Consider the ability and motivation of the audience Unskilled and semiskilled tend to reflect lower reading/writing skill levels and suggest moving toward the audio-visual media. Skilled and professional level audiences tend to indicate higher reading/writing skills Those in manual jobs are more likely to respond to audio-visual stimulation Those involved in "brain" work will tend to accept the need for digging out the information in more detailed form

Criterion#5: TYPE OF PERFORMANCE

Consider what must be done by the audience to apply the information to their lives Use the principles of "recursiveness" It is stated as Use the method you're trying to teach, to teach the method you're trying to use

#7· Selflessness

There is the story told of a father and daughter who went fishing As the young child watched her father put the worm on the hook, she rebelled She couldn't see how her father could be so cruel, in spite of his explanation of the reasons Instead, she chose to let her self-views control her behavior She began her fishing without any bait on the hook Needless to say, she caught nothing

The moral to the story should be clear YOU CAN'T "SELL" FISH IF YOU'RE SELFISH You must offer the fish something of interest to them something they desire something they would like to sink their teeth into

Many presenters are like the young lady in spite of the reasonable explanations to the contrary, they try to hook audiences on presentations that are of no interest to the audiences These presenters try to sell people on selfish ideas or views

We should understand a few basic things about ourselves and our audiences If we approach our audiences with the thought that we will get something from them without giving them something, we are mistaken Audiences look for their own

outcomes They don't dislike presenters, for the most part, but they have to see something in it for themselves before they'll "bite" on what the presenters say

It is understandable that presenters would think selfishly because audiences think selfishly The key is that a selfish audience will ignore a selfish presenter The audience can afford to be selfish, the presenter cannot

Outcomes and Objectives

Whether we found out in preparation, or by involving the audience at the start, we should know their desired outcomes Once we do, we should make these outcomes visible to the group Visible objectives keep reminding the audience of how important their desires are These visible outcomes indicate to the audience that the presenter is putting their needs first

The real value of having self-objectives in front of the audience can be seen by considering what happens when audiences do not feel that their needs are being met

- They feel resentment toward the presenter
- They feel remorse about anything the presenter has "forced"them to buy or buy into
- They feel the need to get revenge for "using" them to satisfy the presenter's selfish goals
- The best path of presentation is to be self-less in exhibiting the audience's outcomes Then, we merge our objectives into theirs, to show that they are getting everything they had hoped for

4 **Rights**

Audiences have rights We might call them "consumer rights " What we need to do is remember that our audiences are our consumers We do not want to infringe on their rights We do not want them to have to assert their rights, or fight for their rights Instead, we want to respect their rights We do so in two ways

DON'T

First, we do not offend the audience by off-color stories or by racial, ethnic, religious or sexual jokes that serve to put down any class of individual We do not presume to have the right to ridicule any person in the audience or any person the audience members may affiliate with We do not use "questionable" language or visuals in our presentations We do not stereotype the audience or its members

DO

Second, we give the audience the "license" to think, feel and react They already have the right to do so, but we need to explicitly assert their right for them We can do this in several ways

- ❒ We can instruct the audience that we will present them with all sides of an issue and let them choose
- ❒ We can tell them to ask questions at a specified time or at "any time" during the presentation
- ❒ We can express a range of views or feelings which demonstrate that it is "OKAY" to have such opinions
- ❒ We can ask for their thoughts, feelings or reactions
- ❒ We can receive defensive reactions in a neutral tone

In conclusion, we will express selflessness to the audience by reversing the selfish concepts we might hold

- **Acceptance**
- **Achievement**
- **Recognition**
- **Status**
- **Rights**

This is how we can be selfless

#8: Word Pictures

One author has suggested that "the best way to keep an audience on rack is to lay the track for them" He further suggests that you should "picture your presentation in your mind then paint the picture for the audience " The author uses these illustrations to emphasize the value of **word pictures** to the audience

Developing word pictures in our presentations involves two elements
IMAGE-ination
VISUAL-ization

Let's learn each of them by understanding "Imagination" and "Visualization "
Imagination
It is not always easy to draw the borderline between daydreaming and imagination Daydreaming leads nowhere while imagination leads to a destination Without imagination, there would not be any progress in our attempts to solve new and "different" problems Whoever develops an invention is searching for something new that does not exist at the present time It exists only in the mind of the inventor, it is a product of his or her imagination Imagination is one of the strongest and most important forces in our efforts to present ideas Instead of imagining and then inventing, we will be imagining and then presenting

This does not mean that imagination is equally powerful in all human beings Just as we differ in our ability to observe or to concentrate, so the degree of imagination of which we are capable differs widely There are people whose mental eye permits them to "see" everything they are thinking, almost as clearly as if it were in front of them There are others who mental images are always blurred and inaccurate, and who must rely much more on their experience than on their imagination To sharpen our own mental images (imagination), we need practice in creating mental pictures, models and concepts

The effect of this practice will be great When we read a newspaper, magazine, or book, the impression on our brain cells will be much deeper because we form clear mental pictures as what we are reading Words are almost meaningless if they are not translated mentally into pictures

People who combine a vivid imagination with creative ability and good taste are rare and therefore highly valued That is why people pay big fees to motion picture directors, to the architects who design and build houses, to the interior decorator who takes care of draperies, furniture, and lighting installations, to the artist who creates advertising, paintings, sculptures, music or new products These people are able to picture an image in the mind and translate it into reality

Reproductive or Creative

There is a distinction between reproductive and creative imagination William James calls imagination "reproductive," "when the copies are literal " He means when our mental eye visualizes the same items which our natural eye noticed in reality, he speaks of "creative" imagination," "when elements from different originals are recombined so as to make new wholes "

In both cases, the distinction between eye-minded and ear-minded people enters the field As far as "reproductive" or receptive imagination is concerned, the eye-minded person will have no difficulty in visualizing a building or a room or a person he or she has seen previously, while the ear-minded person can easily reproduce mentally a melody he or she has heard We can add the motor-minded person who imagines and feels the movements of muscles while thinking or doing athletic exercises

Visualization

Once we have trained our imaginations, we can begin the process of visualizing ideas This means to convert ideas to pictures We will want to **visualize** it before we try to **visual-ize** it We do this by one or more of three methods

- ❒ SIMILE
- ❒ METAPHOR
- ❒ ANALOGY
- ❒ **Direct Simile/Analogy**

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CATEGORIES OF METAPHORS

MAJOR CATEGORY	SUBCATEGORY	EXAMPLES
Restoration (Put back in proper state)	Medical	Ills Rash Cancer Wound Cut
	Theft	Stolen Robbed Missing
	Repairman	Broken down Failed Burned out
	Cleansing	Clean up Dirty Contaminated
Journey (Travel)	On Land	Barriers Maze Obstacle Course Clogged channels
Unification (Put together)	Family	Home Offspring Care
	Shepherd	Flock Lead Tend
	Sports	Team Out-of bounds Groundrule
Creational (New)	Edifice	Foundation Planks Floor Walls
	Weaver	Fabric Weaving Thread Pattern
	Musical composer	Disharmony Symphony Melody
Nature (Natural)	Light Dark	Sheds light Eclipse Dull Bright
	Physical phenomena	Whirlwind Oasis Desert Mountains
	Biology	Cobra Monster Bacteria Muscles Cells

#9: Rehearsal

If you were a singer, you would want to practice every note of a new song, **before** you went in front of an audience to sing it If you were an actor, you would want to learn all of your lines, **before** you stood on stage to perform Why would it be any different for your presentations?

A singer's fame rises and falls with audience reactions, an actor's ability is assessed by the public's perception, our careers are made or destroyed by the impressions we make in our presentations Therefore, it is mandatory that we rehearse our presentations

We should notice that "rehearse" is derived from Old French words

re = again
hercer = to harrow
A harrow is an implement used by farmers to finally prepare the soil for planting A harrow smooths and evens out the soil So, to rehearse is to smooth and even out the raw materials of our presentations so that the seeds of thought that we want to plant in the audience will grow and bloom and bear fruit

"Rehearse" is NOT DERIVED FROM "re-" and "-hearse" as if we had to "die" each time we get in front of an audience and "die a thousand deaths" when we anticipate the experience We will admit that "hearse" is derived from Latin "hirpex", meaning "harrow", and that facing the Grim Reaper may be a harrowing experience But, our presentations should not bring us funeral fear

There are two major components of effective rehearsal PAPERWORK and PRACTICE

PAPERWORK

If a presentation is worth the effort, we will want to put EVERYTHING down on paper

We want to think it through every word

- ❒ We want to write it out so it looks right, and edit it out so it sounds right
- ❒ We want to punctuate each presentation point
- ❒ We want to polish every presentation plateau (each presentation paragraph) so we draw our audience along, step-by-step
- ❒ We want to document every punch (emphasis) and every pause (for emphasis) so our delivery is **real** This is like adding the music to the lyrics in a song

We want to cue every prop and every action

- ❒ We want to parallel every visual so that "sight" and "sound" are synchronized, they should be like two train tracks, laid side-by-side, firmly fixed with respect to each other and heading parallel toward the destination

We want to build bridges between our presentation ideas so we don't leave the audience stranded as we leapfrog among unattached lily-pads of thought

- ❒ We want to review and repeat to keep the theme in focus, or to bring the presentation to a comprehensible close

After we have everything on paper, we begin the process of **reduction** Reduction is needed to get the presentation from a complete script to a practical presentation format of notes

- ❒ We reduce paragraphs to topical sentences
- ❒ We reduce sentences to key clauses and pertinent phrases
- ❒ We reduce clauses and phrases to words and word-pictures
- ❒ We reduce words and word-pictures to acronyms, acrostics, and audio-visuals

The idea of reduction is simple we DO NOT want to read a presentation nor sound like we are reading it (except where it is regally essential that we quote or cite specific case material) We need to **know** our presentations well enough that a series of letters, or words, or illustrations, or pictures will cause us to recall all of the thoughts we had and all of the points we wanted to make

How much reduction is necessary? Well, rehearsal is like falling in love, you'll know! When **you know** that you know your presentation, you're ready

PRACTICE

Most experts recommend that a presenter rehearse a presentation four or five times, **after** it is known It is reported that Abraham Lincoln gave all of his speeches several times, aloud, to himself

An obvious reason for "dress rehearsal" is to practice the time and timing of the presentation Some people think a presentation through much more rapidly than they actually present These people need to do their practice "live" so they can learn what to eliminate in order to get the presentation within the limits of time Those people who, in actual presentation, fly through what took them hours to rehearse will want to do

their "live" practice in order to add appropriate pauses, interactions and recapitulations

- ❒ Practice with demonstration props
- ❒ Practice at viewing visuals from the audience's position to make sure visuals are visible and verbiage is readable
- ❒ Practice at standing, starting, shifting positions, stopping and exiting
- ❒ Practice at asking for whatever commitment is needed
- ❒ Practice at anticipating answers, responding to questions and caring for audience concerns
- ❒ Practice at receiving approval, receiving applause and expressing appreciation

Finally, it is essential that we practice our voice projection To do this, we should use an audio tape recorder to tape the presentation so we can hear and "see" what we sound like For voice projection, we practice each of the **P I C T U R.E** elements until we project what we want projected

THE P.I.C.T.U.R.E.

Our words and sounds and non-verbal signals create pictures and perceptions in the minds of others When we control what we send, we control what others receive and perceive

P = Pitch
Our voice pitch may be anywhere from very low (deep) to very high (shrill) We create an impression with pitch We can control it to make the impression we want to make Higher indicates insincerity lower is more believable

I = **Inflection·**
We can make our statements rise at the end, to set a positive and optimistic note, or we can speak monotone Trailing off displays pessimism and negative connotations Inflection indicates concern real interest in the subject We need to accent our words, punch our points and pause at proper times

C = **Courtesy**
We convey respect and acceptance when we add social politeness, etiquette, and protocol to our communications Words like "please" and "thank you" are obvious Addressing people with their preferred names is another important ingredient Asking instead of demanding is also a useful technique Where formality is an established procedure, we will do well to learn and use the appropriate terms and titles

T = **Tone**
We probably do more in picture creating by our tone than by any other single element Our tone will usually reveal our own emotional state Therefore, it can range from friendly to hostile, from calm to excited, from interested to unconcerned An easy way to recall the proper tone is to remember "phone tone" the way we speak to our dearest friends when we call on the phone With emotions, **control** them and then convey them

U = **Understandability**
Our words and statements can make sense or sound like nonsense We can improve understandability by organizing our thoughts before we speak, by rehearsing important messages, and by careful diction Speak in their language, to their level Avoid patronizing

R = **Rate**
We may speak from very slow to very fast Our rate of speech conveys a sense of patience or impatience to our listeners Rate can also display seriousness (making good use of time) versus wasting time The best advice is probably to adjust our rate to the rate of the other person's speech when it's positive, and to slow down when the other person is negative

E = **Enunciation**
We need to make our speech distinct and clear We can do this by learning and using the proper pronunciations, by articulating with lips, teeth and tongue, and by maintaining a face-up-and-forward stance toward the other person

We may want to tape ourselves with a video recorder to examine and "harrow" our behavioral projections as well

Of course, our practice may not make our presentations perfect, but it will surely make them more professional To insure against slip-ups in speech, snafus in staging and the other "banana peels of Murphy's Laws," we will practice to prevent them

10· Stage Presence

To understand what "stage presence" is, think of places where you are most comfortable Is it your own home, your own office, your own car? For most people, these are the locations of feeling "at ease" with the surroundings

What is common about these situations? Is it not the word "own?"

Own the Stage

To have stage presence, you have to feel that you **own the stage**

- ❒ it is yours,
- ❒ you have every right to be there,
- ❒ you have authority and power there,
- ❒ you are in command, in charge,
- ❒ you are doing what you are supposed to do there,
- ❒ you are familiar with it it fits like an old pair of shoes, a comfortable chair or your "experienced" bed,
- ❒ you know it like you know the back of your hand

Become familiar with every part of the room or auditorium, arranged as it will be when you use it, if possible

- ❒ Sit or stand everywhere, become an audience member so you know what it looks like to everyone
- ❒ Check out the set and the stage Know where everything is, where it comes from and where it goes
- ❒ Know where the controls are for
  - lighting,
  - heating/air conditioning,
  - sound,
  - audio-visuals

- ❒ Check out all equipment for proper operation and have backup equipment or a contingency plan for every item

Get into position and rehearse your position as well as your delivery (if possible)

Be **up for Our Audience**

There are several "UPS" that ADD UP to stage presence

- ❒ If you're standing, STAND UP!
- ❒ If you're sitting, SIT UP!
- ❒ Get your HEAD UP!
- ❒ SPEAK UP!
- ❒ Keep your EYES UP!
- ❒ LIGHT UP!
- ❒ BE UP!

Take Charge of Your Audience

Stage presence includes some assertiveness to manage the facilities and the audience members Up front, we have to let people know that we are in charge of the presentation Some of this we can "arrange" ahead of time, but some of it requires that we "give direction" to the audience and "stage hands," regardless of their affiliation

- ❒ Arrange the seats or seating so it is most conducive to your presentation methods
  - Conference style for a conference,
  - Auditorium style for viewing and hearing,
  - Team style for teamwork or workshop with small group,
  - Side-by-side for problem-solving, decision-making or proposal presentation

- ❒ Arrange the audience according to your needed seating arrangements
  - Move them to the front
  - Pack them together
  - Rearrange sub-groups or cliques who might disrupt your presentation
  - Handle the handicapped who may have difficulty seeing or hearing from certain locations

- ❒ Adjust the equipment, seating or audience, to compensate for seeing or hearing problems that arise

Face Your Audience

It is very easy to slip into body postures and gestures that do not keep the audience as the center-of-your-attention To prevent this from happening, be careful to "square up" your body, shoulders and eyes to your audience when you're directing remarks to them and when you're trying to listen

- ❒ Position your visuals before you open your mouth, then face the audience, not the visual

Write what you have to write, then give the audience your attention again

- ❒ Shift your eye contact to the entire audience Do this regularly so you don't lose anyone

- ❒ Stay in clear view of your entire audience at all times

- ❒ Move to address different sections of your audience Work in non-synchronous cycles so you don't "ping pong" them to death

- ❒ Stay alert to audience responses and react to those that are important to the success of your presentation

Stage presence comes from the competence of knowing how to handle everything you have to handle Confidence comes from competence and preparedness

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Evaluation & Revision of Programs

Evaluation of training is nothing more than checking to see if the Training Objectives for any training activities have been achieved A criterion test item is an item that measures whether an objective has been achieved or not To create a criterion test item, we need only match the Given, Action, and Standard of the Objective

Given

To test a performer, we simply arrange to provide all of the conditions which we have stated in the objective We **give** the performer what they have to be **given** in order to be able to do the action that is required

However, there is one fly in the ointment While we are training people, we may not have access to all of the materials and tools that the performer must use on the actual job

We may have to use "the closest possible" substitute Suppose, for example, we are obliged to train people on how to use computer terminals Suppose we use five different kinds of terminals throughout the company and they are equipped differently It may not be practical for us to equip the training room for all five terminals We may have to be satisfied with one that provides most of the same features as most of the others

We may have to simulate Many actions that we require trainees to learn will not be used except in special situations For instance, if we are training someone in CPR (Cardio-Pulminary Resuscitation), we will not give trainees real heart attack victims to practice on Instead, we will test their ability to perform CPR by simulation using "Annie" which allows us to tell if the trainee has the skills of CPR Similarly, we train people how to diagnose problems or handle crises by simulating the conditions which would exist

In testing, **we want to make the conditions as close as possible to the conditions of the actual job** If we cannot give the trainee the exact resources, we use those that are closest in their features If we cannot let the trainee use the real equipment of the real situation, we simulate

Where the job requires performance under a variety of conditions, we will probably

want to test under a similar variety of conditions

Action

In testing, we want the trainee to perform the action that is called for in the objective Considering the notes we have just made about what is given or simulated, this ought to be pretty straightforward At times it is

However, there are times when we do not merely want the performer to do what the objective says Let's go back to a point we learned in objectives in order to see why We will recall that some operations and decisions that are required of the performer cannot be observed In those cases, we specified actions in the objective which would make the operation or decision observable This leads us to make an important distinction in order to make tests of the action for two types of objectives

Objective States Main Intent

Where the action stated in the objective is the observable action that is required to perform the job, we need only repeat this action in the test If the trainee can do it in the test, we can conclude that the trainee can do it on the job

Objective Makes Main Intent Observable

There we have the action in an objective only to make it observable, we have to recognize that doing the action may or may not indicate that the performer could do what is needed on the job For example, suppose we need to have the trainee capable of multiplying In the objectives, we put in an action of writing the answers to multiplication problems If we give the trainee a problem and he or she writes the correct answer, can we conclude that he or she multiplied correctly?

Maybe and maybe not We may say, write the answer for 2 X 2 and the trainee writes "4 " The trainee may have added or counted fingers instead of multiplying Since the action of the objective is only an indication of the desired intent, the test item is only an indication of ability

Where we find objectives with actions to indicate our desired abilities, we will want to be careful We may need to sample more than one such indication to get assurance that the underlying ability is present In effect, we will want to test all around the main intent to be sure that it is there The better the test item, the closer it approximates that main intent

Standard

It is very easy to include the standards from objectives in the test items in most cases

We simply measure the performance of the trainee with the standards stated Our conclusion will be as straightforward

Did the trainee meet the standard?

YES or NO

If this seems hard or cold, it is the only way criterion testing can work The trainee can either do what is necessary or not If the trainee can do what is required, the trainee is competent If the trainee cannot do what the job requires, he or she is not yet competent

Uses of Test Items

Once we see how to get a match between test items and objectives, we may apply the test items in a number of ways

Pre-Test

We may not use test items for Terminal Objectives as"Pre-Tests"to see if the trainee needs training at all If the trainee can achieve the terminal objectives, he or she does not need to learn what the training course provides

We may use test items for testing the abilities that our Audience Analysis indicated was existing This would typically be called "pre-requisite testing " We would prepare objectives and criterion test items for all of the abilities that we are assuming to be present in the trainees as they enter training This serves as an excellent verification of our Audience Analysis

We may use test items for Interim Objectives in either of two ways First, we may use them to skip portions of a training program Suppose the program was designed for new employees However, we were not able to run the class until after the employees were on the job for a while In that time, they may have picked up some of the basic knowledge or skill areas

Secondly, if we use test items of Interim Objectives, we will be able to separate the trainees into those who already can achieve and those who can't To get everyone to the same level, we can have the capable ones coach the others

Interim Evaluations

Criterion test items for Interim Objectives are the way we check our progress during a training program As each Interim Objective and its material is supposedly finished, we check to see that the trainee is ready to go on to the next step Obviously, where the

trainee cannot yet do the performance called for by the I interim Objective, we have to adjust the training and do the repetition or review that is needed to get there

We may also use Criterion Test items on Terminal Objectives to see if the trainee is ready for qualification as competent What we are doing is testing the trainee's ability to put together all of the skill and knowledge factors of Interim Objectives If we see that the needed performance is not yet achieved, we will build in the necessary practice and review that is needed

Post-Test

A Post-Test is a test of the Terminal Objectives It tells whether the performer has learned or not If not, some recycling will be used to identify and correct the deficiencies

All of our testing efforts are evaluations of progress which can be used as feedback for the trainee so that the trainee knows what success has been achieved and what has yet to be done It also serves as feedback to the Trainer so the Trainer knows what to do in adjusting the training so that trainees succeed

If we have all trainees succeed, we have successful training If we do not have all trainees succeed, we make adjustments so they can succeed If they still do not succeed, we use the data from the various tests to evaluate

Below are a number of objectives and a number of test items Select those test items which are criterion test items and identify the objectives for which they serve as relevant tests

Evaluation and Revision of Training

We have already seen that the final stage of the training system is based on the idea that we and our system are not perfect We recognize that we can have deficiencies at any of the stages in the system Therefore, we build in a way of locating and correcting deficiencies

Criterion Matrix Competency

To evaluate training, we establish a matrix of criterion test items and trainees We list the items along the "y" axis (vertical) of the matrix and allow a space for each trainee along the "x" axis (horizontal) We then indicate whether the trainee accomplished the test item It is shown on the next page

A quick glance at the complete matrix will help us pinpoint the deficiencies which exist or which probably exist When we look at the, we will want to do so in a sequence of steps which move from most likely cause of problem to least likely and from the most practicable solution to the more complex and difficult remedy

Practice/Feedback Inadequate

The first place to look for a deficiency is in the easiest area to correct, practice and feedback We will look at test items which are not achieved by a significant percentage of trainees We will identify if they are skill areas If so, we may suspect that there has not been enough practice with good feedback for the trainees to become skilled The remedy is to provide more practice and feedback

Material/Instruction Inadequate

When the deficient test item is a knowledge area, we will suspect that there is a deficiency in the material or its delivery to trainees We will examine this by reexamining the material against the criteria for good material If necessary, we will reevaluate the assumptions we have made about the trainees This will normally require only a partial audience analysis in the specific area of the matrix deficiency

Test Inappropriate

When we find no serious gap in the practice/feedback element or in the materials/instruction, we will call the test item itself into question Does it measure what it is supposed to measure?

Objectives Irrelevant

Our next potential area of fix is the objective itself Trainees often fail to achieve objectives which are not relevant to the overall task and job We need to examine the objective to see that it is a need-to-know area If so, we will have to determine if some prerequisite objective (and knowledge/skill) is required to achieve this objective

Trainee Incapable

Only after we have thoroughly explored the four preceding areas would we question the trainee's capability to learn The reason is simple this is a drastic step for which there are only serious consequences It assumes that our training has been adequate

When we do find that a trainee is not representative of the audience for which the training is designed, we will have to make an economic decision as to whether remedial training is practical If so, we will set about developing that remedial training If not, we will have to take steps to remove the trainee from the job in which the skills are needed

Revision Process

We do want to use common sense in making revisions This means that we will make only the revisions that are necessary and we will be systematic in making them so we can track our success

First of all, we will make revisions in the same sequence as our examination

1) Practice/Feedback
2) Material/Instruction

3) Test Item
4) Objective
5) Trainee

For any inadequate test item we will only make revision to one item at a time and then we will reevaluate For instance, if we suspect deficiencies in practice/feedback as well as deficiencies in material/instruction we will only change practice/feedback Otherwise we would not be able to tell if the practice/feedback or the material/instruction revision solved the problem

We continue the cycle of evaluation and revision until we achieve the point where all job incumbents are capable of achieving all objectives (knowledge and skills) that are needed to satisfactorily perform the job Then we will know that we have done our jobs

Training Exercises

Model Training Programs

The Basics of Managing P-O-C-C-M

Planning, Organizing, Controlling, Communicating and Motivating

Format: This program is presented in workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive special instruments to guide resource allocation and to control resource utilization

Audience: Managers, Supervisors and professionals with project management responsibilities

Methods: This program provides participants with a comprehensive overview of the "total management" job Basic principles of Planning, Organizing, Controlling, Motivating and Communicating are identified and demonstrated

PLANNING· Managers will learn the planning principles and how to apply them to their jobs

ORGANIZING Managers will learn how to establish structure and effective day-to-day organizing practices

CONTROLLING Managers will learn why control is needed and how to make it work

COMMUNICATING. Managers learn and practice the practical elements of oral and written communications to achieve their goals

MOTIVATING Managers will learn the practical application of motivational theories

Outcomes: Participants will

- Identify the three underlying principles of planning (Where I am, Where I'm going and How do I get there)
- Learn and apply the four key elements of each planning effort (Preparing, Deciding, Communicating and Controlling)
- Identify the resources necessary to carry out plans
- Determine how to establish the organization structure and appropriate authority levels to accomplish work
- Learn to build controls into their plans and practices so that they can meet their goals and spot their problems
- Learn to develop policies and procedures needed to complete plans
- Identify and practice the four major ingredients of the basic communication process and apply to their written and oral interactions
- Practice effective questioning and listening techniques

Length: There are five modules in this program, each module consist of eight instructional hours Program length can be modified to fit program time frames from one to five days

What do I do next?

Setting Work Priorities

Format:

This program is presented in workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive prioritizing guides to assist in prioritizing personal and group activities and efforts

Audience:

Managers, Supervisors and professionals responsible for setting priorities for groups and self

Methods:

This program is designed to produce effectiveness through setting priorities To be effective, managers must spend their time and effort doing the things which count most In addition, manages must organize the resources they control, so that the proper resources are available to do the important tasks at the proper times

Participants will learn to set priorities based on the interrelation of four factors

- ❒ The **Purpose** of their job
- ❒ The **Importance** of events they manage and perform
- ❒ The **Urgency** of events they manage and perform
- ❒ The **Sequence** of events they manage and perform

Outcomes:

Participants will

- Develop an understanding of the reasons for priorities
- Identify the three factors to consider when setting priorities
- Understand how to set priorities using sound criteria
- Apply priority setting to their whole-job level
- Develop the ability to manage interruptions

Length:

This program is designed in an eight hour format It can be presented as a stand alone program or included as a module in effective planning programs It can also be used in tandem with the Time Mastery Program (TMP)

Seems like the more I do, The more there is to do!

Mastering our time

Format.

This program is presented in workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive a customized guide and time log to evaluate the utilization of their time

Audience:

Managers, Supervisors and professionals responsible for their own personal effective and efficient behavior

Methods:

Do you have enough time to do everything you would like to do? If so, you are in the minority of our hectic society Most of us have problems doing everything that we would like to do This is true in our business life as well as in our personal life It seems that there are always things to do, places to go and meetings to attend, but not enough time to do it all

Many managers and professionals experience significant distress in their lives because of all the things they must do, can't do, want to do and have to do This program is designed to help participants understand three important elements of self-management

- ❒ How much **Time** managers have
- ❒ How to work **Effectively**
- ❒ How to work **Efficiently**

Outcomes:

- Participants will develop an understanding of the basic facts about time
- Participants will identify and understand "Myths and Rumors" about time
- Participants will develop an understanding of "effectiveness "
- Participants will develop an understanding of the characteristics of professionalism
- Participants will learn to set priorities for jobs they perform
- Participants will evaluate their personal practices
- Participants will identify ways to correct deficiencies in their personal practices
- Participants will identify and prepare a plan for getting rid of time-wasters
- Participants will classify time-wasters or obstacles according to the degree of control they have
- Participants will develop strategies and tactics for successfully managing specific time-wasters or obstacles
- Participants will learn how to develop and analyze a time log

Length:

This program can be designed as a one, two or three day program

Seems like We Don't Make Progress in Meetings!

Managing Meetings

Format·

This program is presented in workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive practical guides which can be used in managing their meeting efforts

Audience:

Managers, Supervisors and professionals responsible for attending and managing meetings

Methods:

Every organization has its slurs, criticism, and jokes about ineffective and useless meetings and committees Still the fact remains that managers and professionals spend in excess of sixty percent of their time in meetings, project teams, or on-the-spot small group conferences

Many meetings can be eliminated or their frequency reduced, but since meetings are a part of managerial and professional activity, efficient and effective meetings must be a goal of any organization

If managers are to produce more effective meetings, there are some key points that need to be grasped and put to use The **first** is to understand **the process of effective meetings** The **second** is the **concept of shared responsibility for results** in meetings

This program helps participants use a structure to develop effective meetings

- ❒ Step 1 Agenda
- ❒ Step 2 Preparing Ourselves
- ❒ Step 3 Preparing Materials
- ❒ Step 4 Time and Place
- ❒ Step 5 Preparing Participants

Outcomes:

- Participants will learn to plan for meetings
- Participants will learn to analyze Meeting Situations
- Participants will learn how to Test the Need for a Meeting
- Participants will learn how to conduct meetings
- Participants will learn how to summarize and move forward

Length:

This program can be presented in a one or two day format

Getting the Things You Want!

Negotiate for Success

Format: This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive a "Negotiations Survival Kit" and special diagnostics to support "Win Win" negotiations

Audience: Managers, Supervisors, Professionals

Methods: Participants are provided with a conceptual model for negotiating the purchase and sale of services and products Once the model is developed, participants have several opportunities to practice using the model to develop the skills necessary to successfully negotiate

Knowledge, know-how is provided by information and instruction Proficiency in performing the actions and reactions involved in negotiating is provided through practice using the model and feedback provided to participants

Outcome: Participants will

- Develop the ability to recognize when negotiating is taking place (and when it isn't)
- Be able to conduct goal-directed negotiating sessions to achieve spe objectives
- Develop the ability to identify the negotiable and non-negotiables
- Study and formulate strategies using their power, positions, rules and standards, and the negotiation process
- Develop the ability to implement strategies in the face of the strategies and tactics employed by their counterparts
- Learn to apply negotiation skills into their everyday work activities in a natural and comfortable way so that they become a way of life

Length: There are four modules in the program, each is approximately two hours in length More opportunities for application are available through a two day form of this program

Getting Along As An Organization!

Handling Conflict in the Work Place

Format:

This program is presented in a workshop format featuring lectures, case studies group discussions and role play opportunities Participants will receive Conflict Guides to evaluate the sources and solutions for conflict in organizational and interpersonal settings

Audience:

Managers at all levels responsible for developing and maintaining harmonious work relationships

Methods:

Conflict can be defined as a condition where one set of feelings, attitudes, values, ideas, actions or opinions comes into contact with a different set of feelings, attitudes, values, ideas, actions or opinions The word conflict causes us concern because it brings to mind visions of an actual battle between people, or at least a tense situation where two or more people are at odds with each other

Conflict in the work place has a cost to an organization and to the individuals involved This program is designed to deal with conflict brought about through work conditions such as

- Change in the Work Place
- Incomplete or Inaccurate Information
- Inconsistent Objectives
- Poor Work Preparation and Communication
- Poor Implementation Procedures
- Failure to Plan Alternatives
- Unclear Relationships
- Differences in Work Group Values
- Differences in Individual Values and Attitudes
- Misconceptions of Motives

Outcome:

Participants will

- ❒ Identify methods of managing conflict
- ❒ Learn the risks and/or advantages of the common methods of handling conflict
- ❒ Learn to correct destructive methods of handling conflict.
- ❒ Identify, adopt and implement constructive methods of managing differences
- ❒ Learn the elements of the problem-solving approach to managing conflict
- ❒ Practice resolving differences in ideas, objectives, values, beliefs and interests
- ❒ Learn to utilize the unique capabilities and viewpoints of their people
- ❒ Be able to reduce or eliminate destructive forms of conflict

Length:

This program can be designed as a one, two or three day format

How to Build Successful Teams

Team Building

Format: This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants will receive special diagnostics to evaluate their team relations Additionally, specific guides will be provided to accelerate team effectiveness and efficiency

Audience: Managers, Supervisors, Professionals and others at any level in organizations where teams exist or where team activities are being consider

Methods: This program has been specifically designed to assist organizations in creating a participative approach to management Cultural and organizational issues identified and evaluated Through this effort, the organization is able to describe itself and its purpose As a direct byproduct of this effort, the management team generates a much higher level of trust for upper management, peers and subordinates

The ways and methods that decisions are made in the organization are enhanced and resources are utilized more effectively and efficiently

Objectives:

- To Get Decisions Made Where the Knowledge and Background of Several Individuals are Vital
- To Get Commitment to Decisions and Policies
- To Exchange Information and Points-of-View
- To Coordinate On-Going Activities and Projects

Outcome: Participants develop an understanding of their role

- Emphasis is placed on developing harmony in relations
- Participants develop a commitment to viewing situations from an organizational viewpoint rather than from a singular point of view
- The authority granted to positions is reevaluated
- Team members develop a sense of responsibility for the results of others
- Appropriate meeting structures are developed to achieve the open and frequent exchange of ideas in teams and with associated professionals

Length: There are four modules in the program, each is approximately two hours in length More opportunities for application are available through a two day form of this program

Managing Change in the Work Place

Introducing Change to the Work place

Format:

This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive special guides designed to support implementation of change in an effective and efficient manner Additionally, stress is studied and evaluated through special diagnostics applicable to individuals and organizations

Audience:

Managers and Professionals at all levels responsible for introducing and measuring the impact of change

Methods:

Services and products provided by organizations are changing rapidly to meet customer demands Individuals within organizations must recognize their role as change agents in this environment

Through this program participants will

- Learn the concepts and strategies of effective change management
- Identify the various roles performed in change situations
- Learn to evaluate the impact of changes on self and others
- Learn to understand and anticipate reactions to change and the reasons for these reactions

Outcome:

Participants will

- Identify methods of managing change
- Learn the risks and/or advantages of the common methods of handling change
- Learn to predict the response to change
- Learn and practice applying models to implement change in a constructive method
- Learn to utilize the unique capabilities and viewpoints of their people

Length:

This program can be designed as a one, two or three day format depending upon the depth and breadth of applications desired

Structuring Your Organization For Results

Developing an Appropriate Organizational Structure

Format: This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants will receive special tools to assess their organizations

Audience· Managers, Supervisors and Professionals

Methods: Managers and professionals must make conscious decisions about how organizations will operate These decisions become the basis of the Structure that determines the functions and relationships of departments and employees There is neither a totally RIGHT nor totally WRONG structure that an organization can choose to use Instead, the structure must provide its employees with proper authority and responsibility to achieve objectives

In this program Managers learn how to evaluate the Structure options available to achieve results The pros and cons of organizing options are explored and evaluated based on employee maturity (Experiences and Ability), tasks to be accomplished, relationships to be served and integration into the existing organization Factors considered in this program are

- Organizing options
  - ❒ Scaler, Matrix, Integrative and Project Based
- The Authority delegated to individuals
  - ❒ Functional, Procedural and Advisory
- The Ways and Means of Implementing a Structure
  - ❒ Formal, Forms, Policy/Procedure and Temporary (Ad- hoc)

Outcomes: Participants will

- Learn how to organize and properly implement the work
- Determine how to establish the organization structure and appropriate authority levels
- Learn to evaluate the major factors that should be considered in making organizing decisions
- Reduce trial-and-error organizing decisions and replace them with soundly principled decisions
- Use appropriate levels of delegation and the corresponding policies and procedures that are needed to make their organizations function effectively
- Develop appropriate communication channels and media for operational success

Length: There are four modules in the program, each is approximately four hours in length One day and three day formats can be offered as well

We Don't Feel Good! What's Wrong?

Managing Our Stress

Format:

This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive multiple diagnostics to evaluate their stress levels, causes and solutions

Audience:

Managers, Supervisors, Professionals and other members of organizations who suspect unacceptable levels of stress in individuals or the organization

Methods:

Stress can be defined as force or system that places strain on a body When stress levels start to build in an individual's life, it can cause serious health conditions to develop This program is about Stress Management

Everyone faces outside forces that produce stress In many cases these items can be removed or limited through a sound management system

This program has been developed to held individuals manage stress through a six step process

- Recognize stress
- Identify the stress as good or bad
- Identify the stage of stress reaction
- Pinpoint the stressor (determine if it is internal or external)
- Identify which part or parts of the human system are involved in the stress (and need to be involved in the stress management)
- Develop goals, methods, and action-plans for managing the stress

Outcomes:

Participants will be able to

- ❒ Define stress
- ❒ Identify causes of stress in their lives
- ❒ Determine whether stress is good or bad
- ❒ Develop reasons for stress management
- ❒ Develop the ability to manage their personal stress

Length:

There are four modules in the program, each is approximately four hours in length One day and three day formats can be offered as well

Why Can't My People Do Their Jobs!

The Delegation Process

Format:

This program is presented in a workshop format featuring lectures, case studies, group discussions and role play opportunities Participants receive a delegation guidebook for proper implementation of the principles of the program in their work units

Audience:

Managers, Supervisors and Professionals who delegate and assign work to others

Methods:

One of the key roles of managers in any organization is the development of the human resources assigned to them This program focuses on how managers can develop their staff through the process of delegation

To use the delegation process effectively, managers must understand and be able to apply several factors This program presents participants with a model for delegation and opportunities to apply the model to their work situations

The model includes

- Defining Projects, Activities and Task to be delegated
- Providing individuals with the proper authority
- Establishing the needed relationship to achieve the desired results
- Establishing the initiative you expect to be exercised
- Providing special data training and information needed for success

In addition to the delegation model, a system approach to delegation is used This system includes

- How to Identify Activities to be Delegated
- How to set Priority Activities in light of other assignments
- Agree On and Establish Controls, Authority and Relationships

Outcomes:

Participants will

- ❒ Complete a "Delegation Opportunities or Obstacle" assessment for their position and the key positions reporting to them
- ❒ Learn how to make wise decisions to develop a match between position requirements and personnel
- ❒ Learn to develop a developmental plan for themselves and their personnel
- ❒ Be able to get Employees to assess their strengths and weaknesses and plan their own development

Length:

There are four modules in the program, each is approximately two hours in length Two and three day formats can be offered as well

What Am I Supposed to Do?

The Leadership Challenge

Format:

This program is presented in workshop format featuring lectures, case studies, group discussions and role play opportunities Special diagnostics are used to evaluate managerial and leadership competencies Leadership styles are identified and evaluated based of conditions and staff maturity

Audience:

Managers, Supervisors, professionals with project management responsibilities and team leaders

Methods·

This program is intended to help participants develop a clear mental picture of their job the unique roles they play and the duties they must perform Materials are divided into three modules

Module #1 The Unique Roles that Managers and Team Leaders Play

In this session, six critical roles of management are reviewed

Module #2 Leadership Styles, Options and Practices

Three aspects of leadership are reviewed in this module

- ❒ **Leadership Styles and Employee Responses**
- ❒ **The Impact of the Leader's View on Work Issues**
- ❒ **The Impact of What Leaders Do (Models)**

Module #3 Managing the Work System

This module provides participants with a comprehensive overview of the "total management" job Basic principles of Planning, Organizing, Controlling, Motivating and Communicating are identified and demonstrated

Outcomes:

Participants will

- Develop a clear list of specific job responsibilities
- Learn, evaluate and understand the impact of various leadership practices on the company culture collectively, and on employees individually
- Apply the four key elements of each planning effort to actual work settings (Preparing, Deciding, Communicating and Controlling)
- Develop methods for identifying the resources necessary to carry out plans
- Evaluate and develop controls into their plans and practices so they can meet goals and spot obstacles
- Evaluate and learn to develop policies and procedures to support performance in the work system
- Learn and practice key elements of the communication process

Length:

This program is the foundation for other programs designed to achieve effective and efficient organizational leadership To accomplish all of the learning objectives for this program, 40 hours (Five Instructional Days) is required Program content and delivery methods can be modified to fit available time frames

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 16	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM:**
Job Analysis	**ANALYSIS SKILLS**	Performance Management/I
Resource Analysis		Planning & Scheduling/IV
Structure Analysis		Planning & Scheduling/V
Operational Analysis		Problem Solving Process/II
Performance Analysis		Performance Management/III

PROGRAM TRAINING OBJECTIVES. Participants will be able to

1 Analyze jobs into tasks, steps and or details for further analysis

2 Complete an analysis of **resource** requirements and/or deficiencies

3 Complete an analysis of **structure** requirements and/or deficiencies

4 Complete an analysis of **operational** requirements and/or deficiencies

5 Complete an analysis of **performance** requirements and/or deficiencies

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 16	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Individual Motivations	**CAREER DEVELOPMENT**	Resource Management/I
Career Assessment		Resource Management/II
Assess Job Opportunity Factors		Resource Management/II
Career Planning		Resource Management/IV
Career Discussions		Resource Management/IV

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Complete an interview and analysis to determine a person's motivations

2 Assess the degree to which the job satisfies these motivations

3 Plan the actions needed to reduce or eliminate job context gaps

4 Complete a career discussion with superior or subordinate

5 Derive a developmental action plan for the individual

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 2 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Change Management	**CHANGE MANAGEMENT**	Stress Management/III
Culture Change		Oral Communications/I

PROGRAM TRAINING OBJECTIVES Participants will be able to .

1 Understand their roles in change situations

2 Recognize the impact of change on self and others

3 Understand the reactions to change and the reason for those reactions

4 Utilize the concepts and strategies of effective change management

5 Derive an effective change plan

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Coaching Skills	**COACHING SKILLS**	Modified MEPS Material
Correcting Skills		
Developmental Planning		

PROGRAM TRAINING OBJECTIVES **Participants will be able to.**

1. Identify the situations of subordinates that require the coaching process
2. Practice performing minor and major coaching discussions
3. Derive corrective action plans for unacceptable subordinate behaviors
4. Follow up on coaching to ensure continuous performance improvement
5. Use and derive appropriate coaching checklists

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 1 - L
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Questioning Skills	**COUNSELING SKILLS**	Advanced Communication/II
Listening Skills		Advanced Communication/II
Interviewing Skills		Modified MEPS Materials
Grievance Handling		Advanced Communication/V
Discipline		Advanced Communication/VI, VII

PROGRAM TRAINING OBJECTIVES Participants will be able to .

1 Conduct a fact gathering interview with subordinates and/or witnesses

2 Identify the criteria, considerations and justifications for actions

3 Prepare accurate and acceptable documentation

4 Demonstrate proper handling of face-to-face situations

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Inductive Reasoning	**CREATIVE THINKING**	Interpretive Skills/III
Ideation		Written Communication/IV
Brainstorming		Problem Solving Process/VI
Brainwriting		Problem Solving Process/VI

PROGRAM TRAINING OBJECTIVES **Participants will be able to**

1 Conceptualize new ideas and alternatives by using imagination

2 Suspend judgment on self to generate ideas

3 Establish action plans for developing insight from outsight

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Inductive Reasoning	**CRITICAL THINKING**	Interpretive Skills/III
Statistical Knowledge		Performance Management/V
Testing Paradigms		Interpretive Skills/III
Testing Assumptions		Teambuilding Session Modified

PROGRAM TRAINING OBJECTIVES Participants will be able to. . .

1 Synthesize data elements to derive valid conclusions

2 Interpret descripritive statistics for valid conclusions

3 Establish methods of collecting valid data

4 Use the ABCDE process to test assumptions

5 Use the PMIA process to expand paradigms

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 3 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Questioning Skills	**DATA GATHERING SKILLS**	Advanced Communications/II
Listening Skills		Advanced Communications/II
Feedback Skills		Oral Communications/III
Data Organization		Interpretive Skills/III
Data Reduction		Interpretive Skills/I
Problem Identification		Problem Solving Process/I
Observation Skills		Ability To Influence/V

PROGRAM TRAINING OBJECTIVES· Participants will be able to . .

1 Ask appropriate open-ended fact gathering questions

2 Accurately observe facts about a situation

3 Accurately interpret data to derive useful information

4 Prepare appropriate records of relevant facts

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Decision Process	**DECISION MAKING**	Problem Solving Process/III
Decision Methods		Teambuilding Session Modified
Pro-Con Analysis		Problem Solving Process/VI
Cost-Benefit Analysis		Problem Solving Process/VI
Matrix Analysis		Problem Solving Process/VI
Forecasting Skills		Problem Solving Process/III
Assessing Impact		Problem Solving Process/III

PROGRAM TRAINING OBJECTIVES Participants will be able to .

1 Involve the involved parties in the appropriate decision method

2 Follow the decision-making process

3 Justify the decision alternatives on cost and impact

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **4**	FORMAT **GBC**	DESIGN PRIORITY **1 - S**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Initiative Levels	**DELEGATION/INITIATIVE**	Resource Management/III
Delegation Audit		Resource Management/III
Delegation Process		Resource Management/III
Making Assignments		Planning & Scheduling/I
Changing Structure		Planning & Scheduling/V

PROGRAM TRAINING OBJECTIVES. Participants will be able to. .

1 Identify when delegations or assignments are needed

2 Establish the authority, initiative and relationships needed

3 Negotiate the delegated task or assignment with the performer

4 Establish the recording/reporting methods for evaluation

5 Evaluate the results and adjust to correct variances

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 0 5	DESIGN PRIORITY 3 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Job Analysis	**DETERMINING CUSTOMER REQUIREMENTS**	Performance Management/I
Task Flowcharting		Performance Management/I
Task-to-Process Conversion		Problem Solving Process/VI
Deriving Operational Definitions		Problem Solving Process/VI
Establishing Requirements		TQM Materials Modified
Deciding Measurements		Performance Management/V

PROGRAM TRAINING OBJECTIVES **Participants will be able to**

1 Determine who internal/external customers are for each task

2 Determine performance criteria applicable to each task

3 Negotiate with internal/external customers on requirements

4 Establish appropriate measurements to ensure compliance

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **8**	FORMAT **3RB - 1 0**	DESIGN PRIORITY **3 - N**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM.**
Recognize Cultural Differences	**DIVERSITY & ETHICS TRAINING**	(New Material for CG&E)
Understanding Legal Requirements		
Understanding Ethics Guidelines		
Ethics Process		

PROGRAM TRAINING OBJECTIVES **Participants will be able to**

1 Determine the value of effective working relationships

2 Establish relationship constituencies and their needs

3 Apply legal and policy guidelines

4 Use the MORES process to decide upon ethical actions

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 3 - N
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Rhetoric	**EDITING/PROOFREADING SKILLS**	(New Material for CG&E)
Diction		
Grammar		
Technical Translation		
Style		
Mathematics		
Proofmarks		

PROGRAM TRAINING OBJECTIVES: Participants will be able to .

1 Detect errors in rhetoric, diction, grammar, mathematics or technical translation

2 Properly mark proofed materials

3 Make appropriate corrections and inform/educate others with justification

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 3 - L
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Financial Accounting	**FINANCIAL MANAGEMENT**	(New Materials for CG&E)
Financial Management		
--- --- Planning		
--- --- Budgeting		
--- --- Forecasting		
Recordkeeping		
Interpretation		
Strategies		
Justification		

PROGRAM TRAINING OBJECTIVES **Participants will be able to. . .**

1 Understand the accounting principles applicable to the job

2 Prepare budget justifications (zero-base) for all plans

3 Maintain financial control over responsible areas

4 Ensure value-added task performance

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 24	FORMAT 3RB - 1 5	DESIGN PRIORITY 2 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Self-concept knowledge	**INTERPERSONAL SKILLS**	Ability To Influence/I
Sensitivity/Courage		Ability To Influence/I
Behavior understanding		Oral Communications/II
Understanding emotions		Ability To Influence/I
Nonverbal Behavior		Ability To Influence/IV
Assertiveness		Ability To Influence/I
Others-concept knowledge		Oral Communications/V

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Act assertively in relationships with others

2 Reduce or eliminate active and passive agressive behaviors

3 Practice positive nonverbal behaviors

4 Control the climate, input, output and feedback of communications

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **12**	FORMAT **3RB - 1 0**	DESIGN PRIORITY **1 - M,N**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Understanding Styles	**LEADERSHIP**	Teambuilding Session Modified
Understanding Practices		Modified MEPS Material
Leadership Methods		(New Material for CG&E)

PROGRAM TRAINING OBJECTIVES. Participants will be able to. . .

1 Identify leadership situations, factors and reactions

2 Identify the leadership style appropriate to a situation

3 Implement leadership in the appropriate styles

4 Continually reassess leadership practices

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Feedback Skills	**LEVELING SKILLS**	Oral Communications/III
Exposure Skills		Oral Communications/I
Leveling (Assertiveness)		Oral Communications/IV

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Express ideas, opinions and perceptions openly

2 Listen to and respect the ideas, opinions and perceptions of others

3 Provide positive or negative feedback to others in non-defensive, non-threatening ways

4 Discuss and resolve action requirements from feedback

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **4**	FORMAT **GBC**	DESIGN PRIORITY **1 - S**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Meeting Roles	**MEETING SKILLS**	Presentation Skills/III
Meeting Methods		Presentation Skills/III
Meeting Planning		Presentation Skills/III
Handling Obstacles		Presentation Skills/VI

PROGRAM TRAINING OBJECTIVES Participants will be able to. .

1 Plan and prepare for effective meetings

2 Fulfill assigned meeting role Recorder, Observer, Facilitator

3 Demonstrate the functions necessary to progress to meeting objectives

4 Appropriately handle obstacles that predictably occur in meetings

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 2 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
How Memory Works	**MEMORY SKILLS**	Interpretive Skills/I
Memory Process		Interpretive Skills/I
Memory Techniques		Interpretive Skills/I

PROGRAM TRAINING OBJECTIVES· Participants will be able to .

1 Improve confidence in their memory abilities so attitude isn't an obstacle

2 Develop or adapt memory techniques for the short and long term

3 Demonstrate recall of pertinent and complex information

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **16**	FORMAT **3RB - 1 5**	DESIGN PRIORITY **1 - M,N**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Negotiation Process	**NEGOTIATION SKILLS**	Ability To Influence/I
Negotiation Style		Ability To Influence/I
Strategy Development		(New Material for CG&E)
Tactical Approaches		(New Material for CG&E)
Win-Win Philosophy		(New Material for CG&E)
Overcoming Obstacles		(New Material for CG&E)

PROGRAM TRAINING OBJECTIVES Participants will be able to

1. Determine negotiable and non-negotiable items
2. Manage the negotiation process with the counterparty
3. Apply appropriate strategies and tactics for predictable responses
4. Maintain the relationships when encountering obstacles
5. Derive creative, win-win resolutions for issues and interests

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Job Breakdown	**ON-THE-JOB TRAINING**	Modified MEPS Materials
Instruction Formation		Modified MEPS Materials
Practice & Feedback		Modified MEPS Materials

PROGRAM TRAINING OBJECTIVES Participants will be able to. .

1 Consider the learning process in selecting and providing training techniques

2 Practice the training process through all five steps

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 12	FORMAT 3RB - 1 5	DESIGN PRIORITY 2 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Voice Projection	**ORAL COMMUNICATIONS**	Oral Communications/II
Expression		Oral Communications/II
Rhetoric		Written Communications/I
Diction		Written Communications/II
Congruity		Oral Communications/V
Speaker Role		Presentation Skills/IV
Listening Skills		Oral Communications/III

PROGRAM TRAINING OBJECTIVES **Participants will be able to**

1. Project pitch, inflection, courtesy, tone, understandability, rate and enunciation
2. Say what they mean (intent) and mean what they say (diction)
3. Actively listen
4. Ensure two-way feedback in conversations
5. Demonstrate congruity between verbal and nonverbal elements

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **8**	FORMAT **GBC**	DESIGN PRIORITY **3 - M,N**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Cross-functional Triads	**ORGANIZATIONAL AWARENESS**	Modified MEPS Material
Culture Analysis		(New Materials for CG&E)

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Identify the natural tendencies and risks in lateral relationships

2 Develop strategies for managing the risks

3 Develop effective lateral relationships

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TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM.**
Rational Persuasion	**PARTICIPATION SKILLS**	Teambuilding Sessions Modified
Conveying Feelings		
Consensus Skills		
Task & Maintenance Functions		

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Participate by effectively presenting their own ideas and concerns

2 Demonstrate collaboration by using others' input

3 Reach consensus conclusions while avoiding "groupthink" concurrence

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS	FORMAT	DESIGN PRIORITY 1 - (DDI)
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
	PERFORMANCE APPRAISAL	(DDI) Shared Perf Mgmnt

PROGRAM TRAINING OBJECTIVES. Participants will be able to .

(See SPM program)

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **16**	FORMAT **3RB - 1 5**	DESIGN PRIORITY **1 - M**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Performance Management	**PERFORMANCE MANAGEMENT**	Performance Management/IV
Modeling		Performance Management/IV
Performance Systems		Performance Management/Intro
Self Fulfilling Prophecy		Oral Communications/I
Culture Change		Oral Communications/I

PROGRAM TRAINING OBJECTIVES Participants will be able to. .

1 Follow the 7-step performance management system

2 Appropriately involve others in input, decisions and implementation

3 Model the performance and behaviors desired of others (walk the talk)

4 Apply a positive self-fulfilling prophecy in interactions

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT 3RB - 1 0	DESIGN PRIORITY 2 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Styles Analysis	**PERSONALITY & THINKING STYLES**	Oral Communications/V
Adaptability		Oral Communications/V
Diversity Appreciation		Oral Communications/V
Thinking Styles		Interpretive Skills/IV
Flexibility		Interpretive Skills/IV

PROGRAM TRAINING OBJECTIVES· Participants will be able to

1 Understand the personal and thinking styles typology

2 Accurately observe and discern the styles of others

3 Adapt verbal and nonverbal communications to meet the needs of others

4 Develop team effectiveness by capitalizing on diverse strengths

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **16**	FORMAT **3RB - 1 5**	DESIGN PRIORITY **1 - S**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Planning Process	**PLANNING & ORGANIZING**	Planning & Scheduling/II
Forecasting Skills		Planning & Scheduling/II
Futuring Skills		Planning & Scheduling/I
Organizing		Planning & Scheduling/I
Scheduling		Planning & Scheduling/V

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Apply the seven basic organizing principles to the planning task

2 Develop action plans to achieve goals and/or accomplish programs

3 Assign and schedule work tasks to fulfill the plans

4 Communicate plans and contingencies to all involved/affected

5 Coordinate planned activities with the appropriate pattern

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 16	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Presentation Preparation	**PRESENTATION SKILLS**	Presentation Skills/III
Presentation Skills		Presentation Skills/II
Administration Skills		Presentation Skills/I
Audience Analysis		Written Communications/V
Roles of Presenters		Presentation Skills/I

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Prepare adequately for a presentation

2 Arrange the necessary administrative factors for the presentation

3 Make formal presentations following the ten principles

4 Analyze the audience for a formal presentation

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 3 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Priority Setting	**PRIORITY SETTING**	Planning & Scheduling/III

PROGRAM TRAINING OBJECTIVES: Participants will be able to

1. Identify the priority criteria that govern importance
2. Set priorities that are consistent with the criteria
3. Allocate interruptions to their proper position in priority

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 32	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Identify Problems	**PROBLEM SOLVING**	Problem Solving/I
Determine Involvement		Problem Solving/I, VI
Describe Problems		Problem Solving/I
Identify Cause-Effect		Problem Solving/II
Set Objectives		Problem Solving/III
Identify Constraints		Problem Solving/III
Select Solution		Problem Solving/III
Plan and Implement		Problem Solving/IV
Evaluate and Adjust		Problem Solving/IV

PROGRAM TRAINING OBJECTIVES Participants will be able to. . .

1 Recognize and prioritize problem indications

2 Correctly determine the Cause-Effect relationship

3 Decide solutions that meet the objectives and constraints

4 Plan and implement the chosen solution

5 Evaluate and adjust to ensure satisfactory solutions

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TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT GBC	DESIGN PRIORITY 1 - L,N
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Reading/Scanning	**RESEARCH SKILLS**	(New Materials for CG&E)
Speedreading		Interpretive Skills/I
Comprehension		Oral Communication/III
Library Skills		(New Materials for CG&E)
Classification		Interpretive Skills/III

PROGRAM TRAINING OBJECTIVES Participants will be able to

1 Locate needed information for relevant tasks

2 Extract information from source in usable form

3 Classify information for application to relevant tasks

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 8	FORMAT GBC	DESIGN PRIORITY 3 - N
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Risk Identification	**RISK MANAGEMENT**	(New Material for CG&E)
Risk Probability		
Risk Reduction		
Alternative Evaluation		
Management Strategies		

PROGRAM TRAINING OBJECTIVES Participants will be able to . .

1 Identify the risks inherent in innovation decisions

2 Take the necessary steps to minimize or eliminate risks

3 Prepare strategies to manage contingencies on known risks

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS	FORMAT	DESIGN PRIORITY 2 - (CG&E)
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
	SAFETY TRAINING	(CG&E Specific)

PROGRAM TRAINING OBJECTIVES. Participants will be able to

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 16	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Persuasion Strategies	**SALES ABILITY/ PERSUASIVENESSS**	Advanced Communication/I to IV
Approach Skills		Ability To Influence/III
Presentations		Presentation Skills/II

PROGRAM TRAINING OBJECTIVES Participants will be able to.

1 Identify other party's needs, problems and desired results

2 Relate features and benefits of proposed ideas, services

3 Overcome objections due to lack of understanding or misunderstanding

4 Gain overall win-win agreement and commitment

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TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS **16**	FORMAT **3RB - 1 5**	DESIGN PRIORITY **3 - M**
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Indentify Stressors	**STRESS MANAGEMENT**	Stress Management/Intro
Identify Symptoms		Stress Management/I
Identify Causes		Stress Management/II
Develop Coping Strategies		Stress Management/IV
Implement Coping Skills		Stress Management/IV

PROGRAM TRAINING OBJECTIVES. Participants will be able to

1 Displace distress with eustress

2 Determine controllable causes for stress situations

3 Develop coping strategies for priority stressors

4 Implement coping skills at a reasonable rate

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 16	FORMAT 3RB - 1 0	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM.**
Group Process Skills	**TEAM LEADERSHIP**	Teambuilding Session Modified
Facilitation Skills		Presentation Skills/V
Decision Manager Skills		Presentation Skills/VI
Goal Translation		Teambuilding Session Modified
Team Formation		Teambuilding Session Modified
Leadership Patterns		Presentation Skills/V
Involvement Methods		Problem Solving/VI

PROGRAM TRAINING OBJECTIVES. Participants will be able to . .

1 Identify the direction, objectives and goals of the work unit

2 Translate the goals into implementable tasks, with assigned responsibility

3 Establish the appropriate involvement mechanism for shared commitment

4 Work with the team in appropriate ways to ensure achievement

5 Develop team members' skills in leadership roles

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS	FORMAT	DESIGN PRIORITY 3 - (FRAN'L)
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM.**
	TIME MANAGEMENT	(Franklin Institute)

PROGRAM TRAINING OBJECTIVES Participants will be able to

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 4	FORMAT GBC	DESIGN PRIORITY 1 - M
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM**
Visioning Process	**VISIONING/GOAL ACHIEVEMENT**	Teambuilding Session Modified
Goal Achievement Chain		

PROGRAM TRAINING OBJECTIVES **Participants will be able to .**

1 Prepare relevant unit vision, mission, objectives and goals

2 Translate successive levels to programs and tasks

3 Communicate to all constituencies

4 Institute practices and procedures needed for goal achievement

TRAINING PROGRAM SPECIFICATION SHEET

COURSE HOURS 20	FORMAT 3RB - 1 5	DESIGN PRIORITY 1 - S
KNOWLEDGE & SKILL	**PROGRAM TITLE**	**DERIVED FROM·**
Rhetoric	**WRITTEN COMMUNICATIONS**	Written Communications/I
Intent (Diction)		Written Communications/II
Technical Translation		Written Communications/II
Grammar		Written Communications/III
Nonlinear Brainstorming		Written Communications/IV
Audience Analysis		Written Communications/V
Theme Preparation		Written Communications/V

PROGRAM TRAINING OBJECTIVES. Participants will be able to

1 Create and/or compose words correctly

2 Select and use language to achieve understanding

3 Construct grammatically correct sentences and apply conventional punctuation

4 Establish audience preferences and written communication objectives

5 Create and prepare original writing

The Human Resource Toolbox Management

July, 1997

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UNDERSTANDING "PROCESS"

There are three basic ways to work with people and situations for the effective coordination of resources and the accomplishment of results

1 **Procedures Only**

One way of applying resources, particularly people (human resources) to tasks for goal accomplishment is by using lock-step procedures Let's use some simple examples from everyday life

- Think of how you start your automobile There is a strict set of steps you must follow
- Society gets people to drive vehicles according to a set of uniform procedures These are called "the rules of the road " They range from stripes between lanes to signs and signals Each indicator (line or sign) directs drivers in what to do The family of lines and signs make up a set of "procedures "
- Similarly, many of us are the victims of computers Whether we are at the keyboard, or in the act of completing necessary input forms, we know that "there is a place for everything and everything in its place " Any attempt to enter different formats or different codes produces an "ERROR" message Computers operate on the basis of lock-step "procedures" exactly the way they are programmed to operate

With "procedures only," people must learn the steps and follow the steps They are reminded by visible instructions It is very impersonal If anyone goes the "Wrong Way" or makes a "Format Error," he or she is intercepted and corrected or pays the consequences of this violation of procedures Procedures, however, serve us well They provide a **common way** for multiple parties to live with each other (as in the "rules of the road") They permit and enable any number of people to provide input to one terminal or system

2 **All-knowing Leadership**

A second way of applying resources is through all-knowing leadership The "leader" may be called a boss, a supervisor, a parent, a manager, a chairperson, a facilitator or other such title Here's how it works The "leader" is assumed to know what he or she is doing Then, the leader shares instructions with those who are to follow It is very much a matter of "doing what you're told to do " In some cases, it is even more strictly, "Do it my way or else," "My way or the highway," or "Yours is not to question why, yours is but to do or die "

All of us have worked or lived with all-knowing leadership of this type In these circumstances, the followers (performers) are not expected to do much thinking for themselves They seldom need to know the reasons for actions or their purposes They simply perform the steps they are instructed to perform In case of anyone failing to follow the prescribed procedures, it is the all-knowing leader's job to detect and correct the fault

All-knowing leadership serves us well They instruct us on things where we are ignorant They relieve us of the burden of having to know everything They coordinate the efforts of many people toward common goals

SO FAR

Much of life is based upon these first two methods of performance From traffic lights to traffic cops from telephone procedures to tell-the-boss procedures we diligently follow and perform Life is relatively simple in either circumstance it is very structured it is very orderly it is very predictable

There are however some weaknesses in these two methods

- First of all life is not that simple much of what we have to do is very complex it requires complex coping methods few procedures or individuals have what it takes
- Then too, life is not all that predictable Things change on a "real time" basis Adaptation and variation are essential coping ingredients, performers have to **think** for themselves
- Life with others is not very structured People are emotional as well as rational, and their actions or reactions do not follow prescribed courses Flexible methods are needed to manage the milieu

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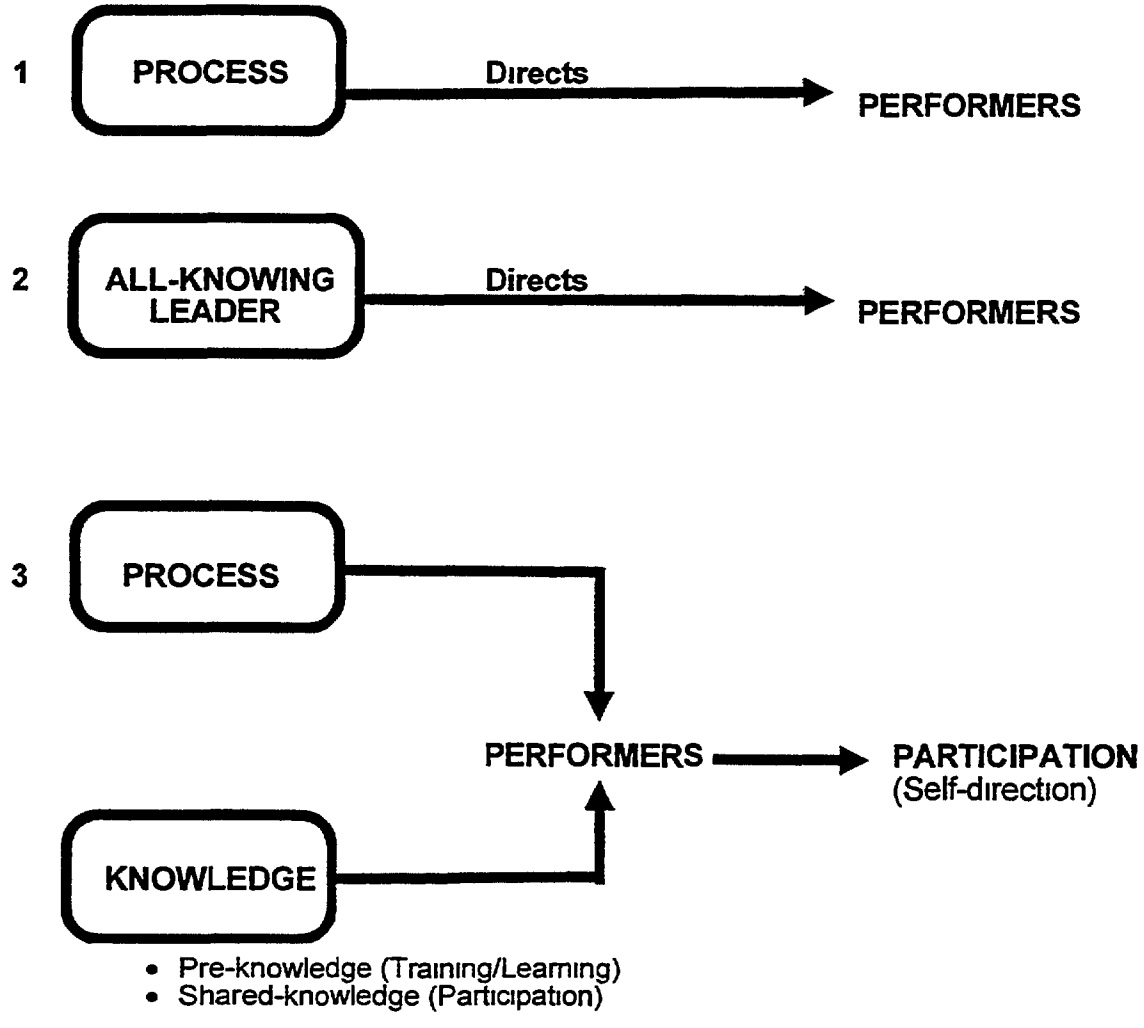
3 Participative Methods

Participative methods require procedures and knowledge Where people are interdependent for actions and results, common **procedures** are needed

If the situation requires two or more persons to perform coordinated actions, the people require a procedure a **process** The process directs the individuals to perform similar or compatible actions in an acceptable timeframe If the process is not predetermined, it must be negotiated among the people Otherwise, each will do his or her "own thing" and the necessary coordination will be absent Where people's individual abilities or attitudes are involved, **participation** is necessary to reveal and share the knowledge that each has

Contrast the idea of individual participation with all-knowing leadership If anyone is expected to think about, cope with and adapt to varying circumstances, he or she must be knowledgeable as knowledgeable as the all-knowing leader In effect, the individual participant must be capable of doing what the all-knowing leader would do under the circumstances This is accomplished by pre-knowledge (training/learning) and by shared-knowledge (participation)

CONCLUSION



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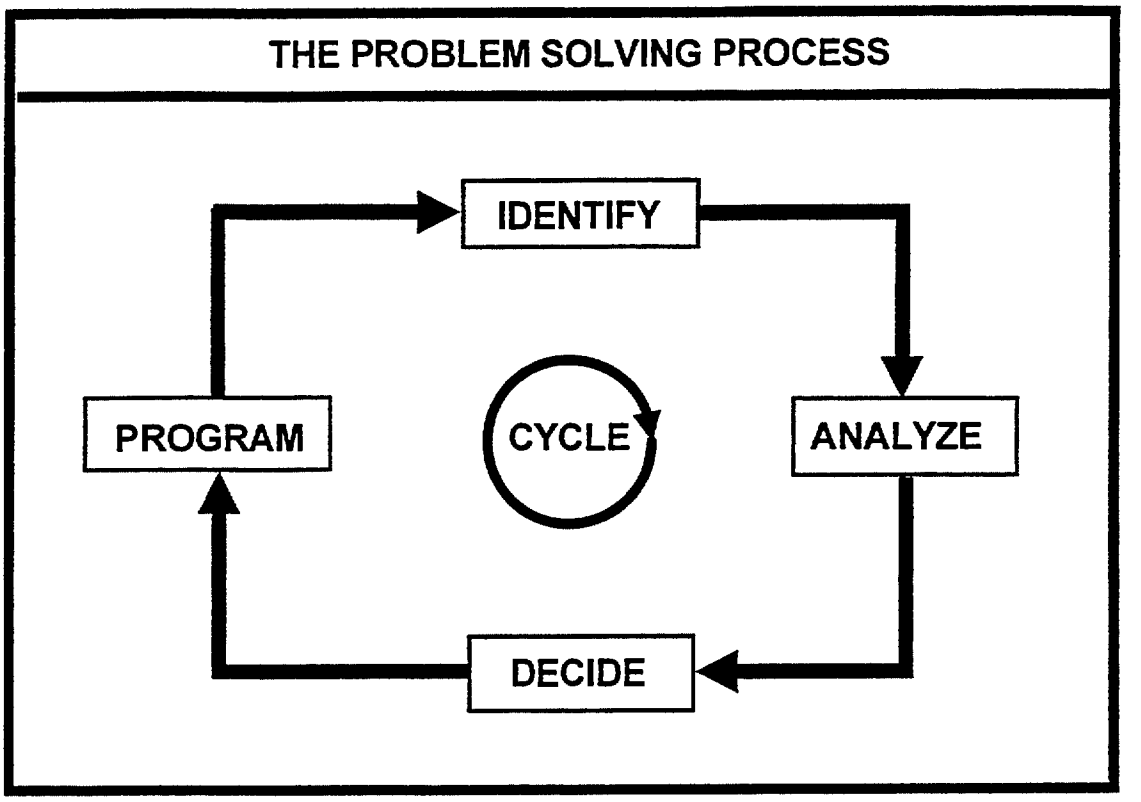
PROBLEM SOLVING PROCESS

The Problem Solving Process (PSP) consists of four stages Identify, Analyze, Decide and Program



The process of solving problems is as future-oriented as it is past-oriented We may **identify** problems, **analyze** them, **decide** upon a solution and **program** the solution into effect We may also monitor the **program** in order to **identify** new problems

The process is never ending We continually improve and continuously look for more areas to improve

SPECIAL NOTE on ANALYZE STAGE

After you have an **Issue** or **Problem** accurately **Described**, and you DO NOT know the CAUSE, proceed with **BASIC ANALYSIS** or **OPERATIONAL ANALYSIS** Choose as follows

- **BASIC ANALYSIS,** if members of the team have a good deal of knowledge and **experience** in the subject of the issue or problem, or if the problem is a **"people" problem**, that is subjective in nature
- **OPERATIONAL ANALYSIS,** if your team members **do not have** experience in the subject, and if the problem or issue is **operational** in nature (i e mechanical, electrical, hydraulic, physical, chemical or procedural)

Applying the two analysis methods requires somewhat different steps and techniques

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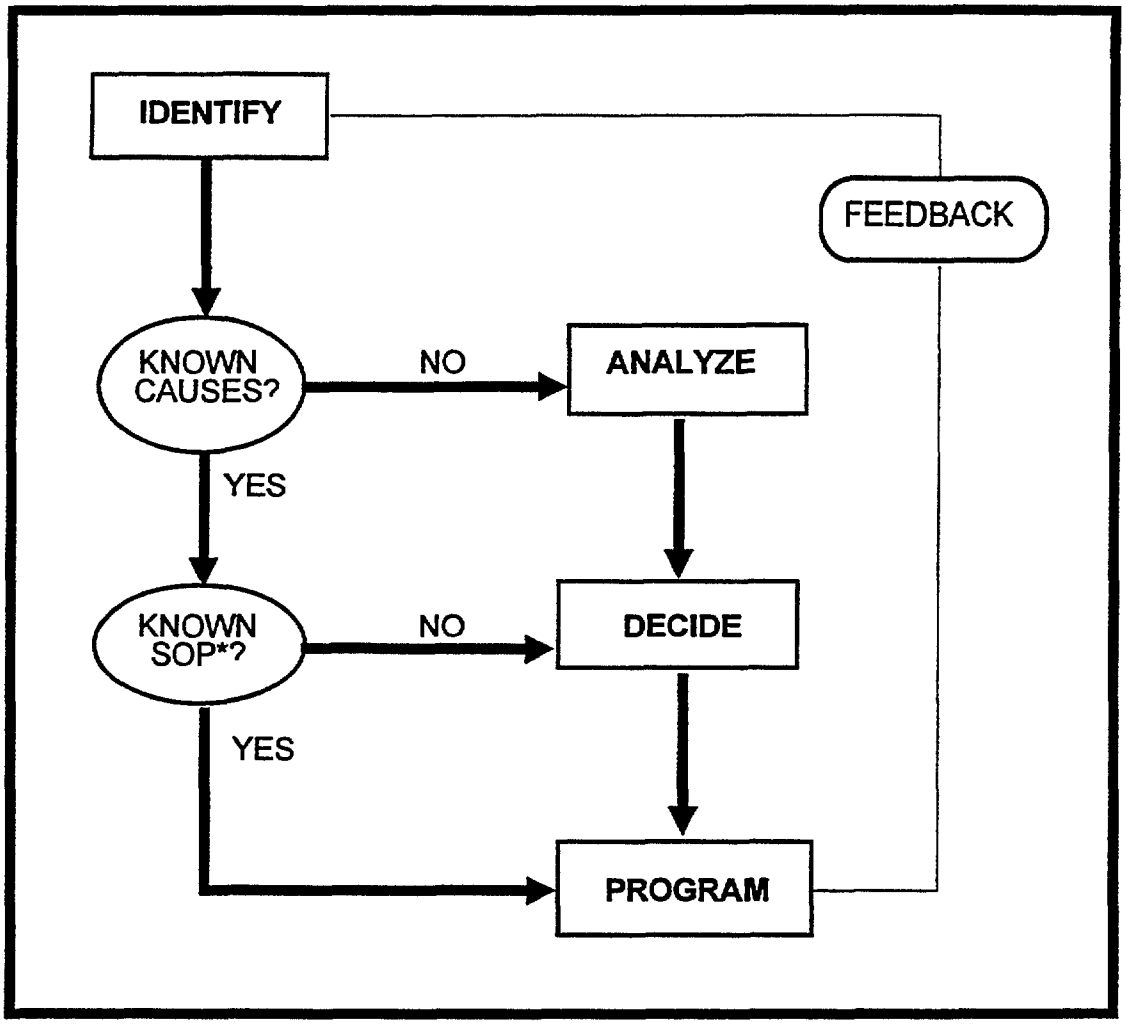
PSP FLOWCHART

OBJECTIVE. To get to an effective solution as efficiently as possible.



CONCLUSION

You may use two, three or four stages of the process

NOTE

In team and organizational problem-solving, different individuals or groups may complete separate stages

* SOP = Standard Operating Procedure

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THE PROBLEM - SOLVING PROCESS, OA

IDENTIFY → ANALYZE → DECIDE → PROGRAM

1 RECOGNITION

- What is undesirable?
- What is observable?
- What is my responsibility?
- How would I state the condition?

2 PRIORITY

- Is the situation urgent?
- What predetermined action, if any, is needed?
- What importance is the problem?
- When should it be addressed?

3 INVOLVEMENT

- If the responsibility is **mine**
  - Is Approval needed?
  - Is Help Needed?
  - Is Development Needed?
  - Are Others Affected?
- If the responsibility is **others**
  - Is my help needed?

4 EFFECTS (DESCRIPTION)

- **What** has occurred?
- **When** did it happen?
- **Where** is it located?
- What is the **scope** of the situation?
- What is **okay**? What is working as it should?

(Write down all of these FACTS!)

5 ELEMENTS

- What elements will be looked at?
  - Inputs
  - Processes
  - Outputs
  - Trigger Events
  - Cutoffs
  - Feedback

6 LIMITS

- Where will your investigation go?
- What will be included in the investigation?
- Which processes? Why?

7 CAUSES

- What might be the CAUSE or CAUSES of the problem?
  - Inputs
  - Trigger Events
  - Cutoffs
  - Processes themselves

8 TEST

- What will be done to test each of the possible CAUSES?
- Why?
- How? Arrange tests in order
- Have you accounted for **all** of the EFFECTS?

9 OBJECTIVES

- What are the **end** objectives?
- What are the **auxiliary** objectives?
- Are all objectives relevant to C/E?
- Are they within my control?

10.CONSTRAINTS

- What **specifications** must solutions meet?
- What **constraints** will affect solutions?
- Have they been converted to **objectives?**
- How important are each of the objectives? (Rank or Weight)

11 ALTERNATIVES

- What alternative solutions will resolve all causes?
- Have they been clarified and simplified?
- Have they been combined into meaningful sets?

12 SELECTION

- Which alternative(s)
  - meet objectives?
  - satisfy specifications?
  - fit constraints?
- Which alternative(s) will provide the best solution?

13 PLAN

- What are the **5 W's & H** for the selected solution?
- What is the sequence of tasks?
- What contingencies can be planned?
- What checkpoints will be needed?

14 ASSIGN

- What are the individual task assignments?
- Who will do each one? When?
- Do they have the knowledge and authority?
- What relationships and initiative are needed?

15 IMPLEMENT

- How do I expedite the assigned tasks?
- How do I coordinate with other tasks in the schedule?
- How do I follow up on variances?
- How do I correct variances or implement contingencies?

16 EVALUATE

- What was successful to be used elsewhere?
- What was unsuccessful, to be re solved?
- What needs to be recorded or reported for future reference?

THE PROBLEM - SOLVING PROCESS, BA

IDENTIFY → ANALYZE → DECIDE → PROGRAM

1 RECOGNITION
- What is undesirable?
- What is observable?
- What is my responsibility?
- How would I state the condition?

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- Is the situation urgent?
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- If the responsibility is **mine**
  - Is approval needed?
  - Is help needed?
  - Is development needed?
  - Are others affected?
- If the responsibility is **others'**
  - Is my help needed?

4 EFFECTS (DESCRIPTION)
- **What** has occurred?
- **When** did it happen?
- **Where** is it located?
- What is the **scope** of the situation?
- What is **okay**? What is working as it should?

(Write down all of these FACTS!)

5 DIFFERENCES
- How is it different from
  - Similar items?
  - Experience?
  - Specifications?
  - Dimensions?

6 CAUSES
- What has caused the effects?
- How could the effects have come about?
- Why have the indications appeared?

7 PROVE
- Does **each** effect have a likely cause?
- Does one cause account for all effects?
- Are there any effects without causes?
- What are the multiple causes?

8 CHECK
- Have **all** effects been accounted for by the causes?
- Are the conclusions sound?
- Is testing required?
- How?
- Did I match **all** effects with causes?

9 OBJECTIVES
- What are the **end** objectives?
- What are the **auxiliary** objectives?
- Are all objectives relevant to C/E?
- Are they within my control?

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- What **specifications** must solutions meet?
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- How do I expedite the assigned tasks?
- How do I coordinate with other tasks in the schedule?
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- How do I correct variances or implement contingencies?

16.EVALUATE
- What was successful, to be used elsewhere?
- What was unsuccessful, to be resolved?
- What needs to be recorded or reported for future reference?

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IDENTIFY

This program is designed to provide us with problem-solving skills Since it is, we would do well to complete an overview of the "basic" problem-solving skills to see where we are advancing In order to do so, we will take a close look at the Problem Solving Process

WHAT IS PROBLEM-SOLVING?

All of us come face-to-face with a variety of problems on a fairly regular basis Some problems are more of an annoyance than a real problem For instance, most of us have been in the situation where a pen has run out of ink or a zipper is stuck Some problems cause us more concern For example, a fuse blows in the house and the lights go out, the car runs out of gas on our way to work or the items we need for a job cannot be found Some problems are really serious, like when the computer is "down," or someone "blows up" and leaves us several jobs to do by ourselves In all of these problem situations, we react to the situation in some predictable way There are several common reactions to problem situations, depending on their seriousness

- At times, we ignore the situation and continue on with what we are doing,
- In some circumstances, we make note of the problem and bring it to someone else's attention so they will solve it,
- At times, we take steps to solve the problem

It is when we take deliberate steps to handle a problem that a problem-solving process becomes involved We may never have thought about using a "process," but that is what we do We normally follow an orderly mental path that moves us from an **awareness** of the situation to a deliberate attempt to **collect** some **information** We **think** over the facts that we can uncover and **make** some sort of **a decision** about what can be done We **take the action that** we feel **will resolve the problem** and we often **check** to be sure that we get the **results** we want Nearly everyone follows a process like this All of us have a lot of "know how" about how to resolve problems

But, the process, when it is analyzed, reveals some discrete steps of analysis and decision It all begins with an **awareness** of a situation

Before any of us would apply any sort of a "problem-solving process," we would have to decide that a "problem" existed Well, **what is a problem?** Throughout the Problem-Solving Process and this program, we will base all of our work on the foundation that a problem must be **identified** Identification is our first major challenge

"IDENTIFICATION" begins with **four** process **steps** These steps are the actions that most of us would take in any problem situation, when we think about it That is the point we need **to consciously think about the things we do when we are attempting to solve problems** By giving situations some deliberate thought, we can see that most situations are a little more complex than they first appear We can also see that we are more likely to "start off on the right foot" when we systematically consider each situation through a series of steps

1 RECOGNITION

We can only know that we have a problem if we become aware of some situation that isn't right When we do, we give it a **quick look** This **quick look** at the situation should provide us with enough information within a few seconds or minutes, that we can move in an appropriate direction

First of all, we have to recognize the situation as being a problem We have to see, hear, feel smell, taste or measure what is going on We do this by giving the problem situation our full attention When we think about the many kinds of situations we can run into, we can understand how important it is for us to "sense" the problem with all of our senses

- We might **smell** a gas leak or smoke

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- We might **feel** vibrations that are unusual
- We might **hear** a cry for help
- We might **see** a dangerous obstacle in the road
- We might **taste** something spoiled in our food
- We might **observe** the pressure gauge dropping

By focusing our full attention, all of our senses, on a situation, we can quickly observe enough to help us decide if something requires our attention

If the situation presents a problem, it will meet three conditions

WHEN DO WE USE THE "PROBLEM SOLVING PROCESS?"
When All Three Of These Conditions Exist. . . • **SITUATION NOT DESIRABLE** • **INDICATIONS ARE OBSERVABLE** • **DECISION IS REQUIRED**

a Undesirable

A problem can only exist when the situation is different from what it ought to be There are several ways of saying this that will help us mentally picture the first condition

- A problem exists when there is a DIFFERENCE between what IS and what OUGHT TO BE
- A problem exists when WHAT IS HAPPENING is not WHAT SHOULD BE HAPPENING
- A problem exists when there is a GAP between WHAT WE PLANNED and WHAT WE ARE GETTING
- A problem exists when some PROCEDURE is NOT PRODUCING the RESULTS we NEED

Whenever the situation is exactly the way we want it to be and the operation is working the way it is supposed to, we do **not** have a problem Whenever something goes wrong, we have the first condition for having a problem

NOTICE This condition requires that we have some concept of WHAT OUGHT TO BE in mind Comparing WHAT IS to WHAT OUGHT TO BE is a critical part of what this process is about.

b Observable

We might think for a moment beyond the first condition There are a lot of situations around us that are not "exactly the way they should be " Does that mean that anything that is even the slightest bit out of the ordinary is a problem? For us to be practical, we have to say, "No!"

There are thousands of situations around that are not exactly the way they should be, but many of them do not deserve our problem-solving attention Somehow, the **indications of the situation have to be strong enough to get our attention** To illustrate this condition let's begin with an old philosopher's question "If a tree falls in the forest, and there is no one around, does it still make a sound?" The answer, of course depends upon the definition of "Sound" that is used If "sound" is defined as "the frequency of sound waves that can be heard," we would conclude that sound is generated However, if "sound" is to mean "the impressions made on the ear by the vibrations of air," we have to say that without an ear there is no sound

A similar dilemma faces us concerning problems Is there a problem if no one can be aware of the situation? We conclude that there is no problem We can only have a problem when the situation produces sufficient **observable indications** to reveal the problem Here is an example or two

Suppose I am driving down the road with only fifteen pounds (psi) of air in my car's tires The ride is smooth I have no reason to suspect that I have a problem because the situation isn't significant enough to attract my attention Now, suppose I load five hundred pounds of luggage, family and pets into my car As I go to get into the car, a nearly flat tire catches my eye Now, I have a problem, because the indications are sufficiently observable to catch my attention

Another type of situation may be significant enough to attract our attention at the start For instance, I am cutting a carton open with a knife The knife slips and cuts into my hand The indications of a problem are immediate I feel some pain and the blood begins to run across my hand The indications have attracted my attention

There may be many "potential problems" around us, many "accidents just waiting to happen," but they are not problems unless we can **observe** the indications To observe means to see, hear, feel, smell, taste or to detect with some sort of instrument Sometimes, we simply wait for indications to come to our attention Other times, we go looking for problems by inspecting or checking for indications As soon as we detect a symptom, we have met this condition

NOTICE This condition requires that we KNOW WHAT WE ARE LOOKING FOR when we observe the situation Otherwise we will not see the very indications of a problem "Getting to know-what-we're-looking-for" is also part of what this process is about

c Decision

The first two conditions show that an undesirable situation has attracted our attention At this point, we will have to decide whether it keeps our attention or not We could easily choose to ignore the problem indications to pretend that they don't exist If we do so, we do not recognize the situation as a problem If we decide, instead, that the situation requires our attention, we will want to begin a deliberate process to handle the situation in the most appropriate way This will involve using some or all of the "PROBLEM-SOLVING PROCESS " Our decision will usually be based on our responsibility If we are **responsible** and indications are **observable**, we have a problem If we are not responsible it is likely that we won't become aware of the situation and its indications

We should be able to see that there may be hundreds of situations lurking around that do not meet these conditions In some cases, **there is nothing evident**, the indications are hidden Since we don't know about them, the only way we could ever do anything about them is to **purposely search for problems** For instance, high blood pressure is called the "hidden killer" because people can walk around for years without any detectable indications or symptoms They don't know they have a potential problem because problem **indicators are only evident if** they **look for them** by checking their blood pressure

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We may walk past potential problems because the **indications are not significant to us** We have our minds on other things and we fail to see the signs that are there For example, an employee may miss a brief period of erratic readings without detecting a trend If detected, they may have triggered a search to find the cause Since they were not detected, the employee may go blindly on his way assuming that everything is in order The point is, the symptoms were **detectable**

We can choose to ignore signs of problems For example, a supervisor on the way to a scheduled meeting may walk past an incomplete assignment The supervisor has seen it, but assumes that it will be detected and corrected by someone else To him it is a problem, but he has **decided to ignore** the symptoms The problem is **observable** For responsibility purposes, we have to conclude that the supervisor has a problem

d Statement

If a situation meets all three conditions, we must recognize it as a problem Then, if anyone else is to be involved in the problem, we have to convey to them a statement of the problem that we recognized All we have to do at this point is indicate what was **undesirable**, **observed** and what our **decision** is

2 PRIORITY

Our observation of a situation may cause us to conclude that the situation is top priority This means that it is a problem that requires **immediate action** It may also mean that our action will be directed to a solution We may not have time to go into a lengthy process to solve the problem To decide whether a problem requires immediate action, it will help if we review some priority guidelines

To define **priority**, we will say that it is a matter of **"putting first things first."** This means a conscious decision to do one action before doing another, for some good reason When we establish priorities among all of the situations we might handle, we should use a priority setting process

a Urgency

In the first step of priority setting, it is necessary to sort out the top priorities (i e skim off the cream of the crop) These will be the actions which will be considered priority **regardless of what else there is to do** The criteria for making this selection are related to the concepts of **"irreversible consequences"** and **"time "** Each one will be explained with an example

- **IRREVERSIBLE Consequences Principle**

  The few events or actions for which this principle applies will be readily apparent in most cases We simply ask ourselves if I fail to act, is it likely that irreversible consequences will occur which are not acceptable? When we conclude that such consequences are likely, we have no choice but to act For example If I do not do something to vent some highly volatile materials, a serious explosion is likely I would make venting a priority If I observe another employee missing an important step and he or she cannot see a dangerous mistake approaching, I would step in, immediately If I see an enraged person taking a weapon toward another, my priority would be to seek restraint of the angry person If I see that a situation is likely to seriously damage $90,000 worth of equipment, I must put a halt to the situation

  Let's consider three examples of the irreversible consequences principle

  In the first situation, we consider **safety/security** Where there is a risk to ourselves or others the task of making the situation safe will take priority over other tasks The reason is evident People cannot work effectively if they have been seriously injured Accidents can cause loss of limb or life for ourselves or others There is no way of reversing such losses They must be prevented by giving priority attention to safety/security practices

Another concern of safety/security is not related to personal injury, but to the **potential damage to property** When a situation is leading to the imminent loss of productive capability or to property damage, we will have to take immediate action to prevent the damage

Shortly behind safety/security comes **service** Providing or restoring service to customers is a priority Not getting service can cause serious physical, financial or emotional harm to customers It is up to us to reduce the effects of untimely service as much as possible

Another category of irreversible consequences can be seen in the need to **follow** the **direction** of higher management In addition to the fact that higher management often make decisions for safety/security and service reasons, they also decide on the basis of the economic well-being of the company, for the most advantageous position among alternatives, and in order to coordinate efforts among Departments and Divisions Failure to give the proper priority to the direction set by higher management can cause confusion and ill will in the organization Paying attention to this factor can help us insure that work is well-coordinated

Generally speaking, the principle of irreversible consequences means **adverse consequences** In other words, we take priority action to reduce a risk of danger or damage

Sometimes though, irreversible consequences means a missed opportunity This aspect of the principle is similar to the time or timing principle

- **Time or Timing Principle**

  The idea of using time as a criterion for priorities is as old as time itself We are all familiar with the futility of "closing the barn door after the horse is gone" or "buying fire insurance after the building has burned to the ground "

  Timing is a most important element in establishing priorities We want to take great care to **handle those things which must be done at or by a critical deadline** Here, we assume that timeliness is the primary concern, and that there are not practical alternatives open to us (once again, the irreversible consequences idea) if we do not take action

  Most priorities which result from this sorting process will be of the "urgent" nature They will be created by emergencies Most of these priorities will be pretty clear when they arise They should signal us to take immediate action

b Importance

We all know that the priorities we start a day with may not last for long New conditions will often dictate new priorities For our purposes, we simply will want to look at each new condition in comparison to what we already have We will want to take care of tasks in the **sequence** of importance It is a matter of considering a series of factors which will uncover the true nature of the interruption

- **Impact**

  We need to know if the interruption or situation is more important than what we already have to do

- **Probability**

  We may have to consider probability We try to assess whether the problem which has arisen is of a unique (one-of-a-kind) nature (like a minor error) or a sign of troubles to come (like a failure of three components in a row) If it is an isolated incident we may work around it However if it appears to be a symptom of big things to come we will want to shift our efforts toward the larger problem

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- **Patch/Solve**

  Where it is evident that a "quick fix" can handle the interruption, so that we can proceed as planned, we will want to do so Where such stop-gap measures are not likely to be effective we will have to take more time out to work on it

- **Solve/Prevent**

  When it is necessary to interrupt our job priorities to give our attention to a problem that has arisen, we still have to decide whether to just solve it, or to develop a more permanent approach to preventing it from becoming a problem in the future Since prevention is usually a decision which takes more time and effort, we will want to decide cautiously We will want to consider the frequency of the problem and its ill effects upon our priorities Constant headaches deserve preventive action Obvious, once-in-a-lifetime situations will not require the same degree of our effort For instance, we would make it priority to work on a problem of repeated equipment failures to find the CAUSE, rather than a vandalism tire-slashing which has only occurred once in five years

A Final Word on Assessing Priorities

We should involve our immediate supervisor in any priority setting that is not within our normal job responsibilities They should be familiar with the process and we should be able to discuss any of these items with them By attention to the observable indications, we can decide, rather easily, if they make the situation intolerable In some problem situations, it may not be necessary to take immediate action Or we may see that there is no crisis, no danger, no cause for alarm, we have time to report or examine the problem

We may also conclude, by focusing our attention on the problem indications, that all of it was a false alarm There really is no serious problem and we can go on to other things Our **preliminary look** has indicated that what appeared to be symptoms of a problem are not important enough for us to bother with

If we decide that the problem is worthy of our attention (either with or without some immediate action), we should be ready to determine who should be involved in addressing the problem

3 INVOLVEMENT

An accurate initial investigation will allow us to make another, very important consideration Since we are aware of the problem, and are already engaged in the situation, we must determine whether we can handle it completely on our own or if someone else should be involved We also need to determine if we should stay involved To determine our involvement, we can answer a series of six questions

a Responsibility Self

First, we decide if the responsibility is ours If it is, we answer a few more questions

- **Is Approval Needed?**

  Our preliminary investigation may reveal that our priorities have to change as a result of the problem This change of our work priority is not something we want to take lightly In nearly all cases, others will be affected by the change in plans In addition to the added work that is to be considered, there may be other tasks waiting which are higher priority Some people may need approval to resolve the problem that has come up Seeking and getting approval is a much easier process when the report identifies the problem in terms of a clear accurate problem statement

- **Do We Need Help?**

  If we can see that we are not qualified, or that we do not have the expertise to handle a specific problem, we have to get help We do not want to have others recreate

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the problem or dig out the facts that we have already uncovered To get assistance with as little difficulty as possible, we simply get the qualified people involved by giving them a complete "problem statement "

- **Do We Have the Ability?**

  Even where the responsibility is ours, we have to consider other questions We need to ask ourselves if we have the knowledge skill and expertise to handle the problem In many cases, we will have the responsibility and all of the qualifications that are necessary In some cases, we will not be qualified Then, we will have to look for help in documentation or training

- **Are Others Affected?**

  When we can see that other people are affected by the problem situation, or are likely to be affected, we will want to get them involved When others are to be involved, we will communicate the "problem" to them and work with them through the rest of solving the problem

b Responsibility Others

We will often come upon problem situations that we can see are outside of our responsibility They are clearly someone else's job Many of the procedures of the company are designed to help us communicate this type of problem to the responsible people For illustration purposes, an employee may note potential trouble conditions to the Supervisor In each case, where we are involved, we will want to get the "problem statement" communicated to the responsible people We will not have met our own responsibility if we have not done this well

- **Is Our Help Needed?**

  We may determine that a problem is someone else's responsibility We do have to be careful that we do not just dump the problem situation on them without our assistance We may be the only ones who are in a place to help We may be the only ones with the knowledge, experience, or education to figure out the problem When this happens, we will want to stay involved as much as is needed If this creates a priority problem, or a problem of job definition, we will want to resolve it as a part of our responsibility

Getting involved in a problem and getting uninvolved are serious steps If we handle this aspect of problem identification poorly, we will compound the problem situation, serious problems will not be handled because someone drops the ball When we handle this step well, we reduce frustrations and help build the cooperation that makes problems seem more like opportunities

4 EFFECTS (DESCRIPTION)

The preliminary investigation of the situation will give us the basis for making decisions about our action If and when the situation is serious enough for us to continue our problem-solving process, we will need the facts from this preliminary investigation We do not want to assume that we **should do a thorough analysis** and we do not want to assume that **no analysis** is needed Instead, we want to **make sure** that our quick look at the problem situation is a good enough look to allow us to make a few more decisions A helpful way of insuring this is to **think through** or **write out a problem description**

What is a "**problem description**"?

Our problem description will normally be based only on the indications that we readily observed in the preliminary attention that we focused on the problem We will call these indications, EFFECTS

Our problem description should identify, in as short and clear a way as possible, what the problem situation is What we conclude should be factual (based on what we observed)

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and not opinion (what we think it means) At this point in the problem-solving process, we do not want to jump to too many conclusions, we will have plenty of time to do that later We want our problem description to be an accurate record of what has happened

Considerable elaboration on the desirable and undesirable EFFECTS is usually required in order to uncover clues to the CAUSE The omission of even a small EFFECT can mean overlooking an important clue By doing a thorough job in this step, we can keep ourselves targeted on relevant information and we can avoid a wide search which may lead down many blind alleys We want to draw tighter and tighter boundaries around the problem until we pinpoint the EFFECTS which reveal the CAUSE In the process, we want to categorize the EFFECTS as desirable and undesirable It is important to note that desirable EFFECTS can be as important to identifying CAUSES as undesirable EFFECTS

We can describe EFFECTS by answering a series of questions under five headings

a **What?**

- What symptoms indicate that there is a problem?
- What are the observable conditions? (What did we and others see, hear, feel, smell, taste or measure?)
- Under what conditions do indications appear? What was the environment or circumstances like at the time of the operation?
- What were the inputs? What came together for the operation?
- What was the operation? What was done? What was not done?
- What were the results of the operation? What were the outcomes and consequences? What were the outputs?
- What were the conditions at the time of the operation? Immediately before and after the operation?

b **When?**

- When were the symptoms or conditions first noticed?
- Were they repeated? Were they the same each time? What changed?
- How long has the condition existed? When noticed? For how long?
- What caused the operation to begin? What caused it to stop?
- Did the symptoms or conditions show up in a sequence (one EFFECT followed by one or more EFFECTS)?
- Do the symptoms or conditions appear in a pattern? How frequently? Is it predictable or intermittent?
- Could the symptoms have existed before they were noticed? For how long?

c **Where?**

- Geographically, where do the symptoms appear? Is there more than one location?
- Where within or on the object are the symptoms observable?
- At what stage in the process do they occur?
- Where did we see, hear, feel, smell, taste or measure the symptoms?

d **Scope?**

- How many objects or areas have the indications of a problem? Are all affected?
- Is the whole of the object affected or only parts? What parts?

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- Is there a trend to the conditions or symptoms? Are they staying the same, worsening or improving?
- What inputs or outputs are affected?

e **What's Okay?**

- What conditions are the way they should be?
- What parts or portions are unaffected? What inputs were okay?
- What indications are favorable?
- What conditions are desirable?
- What processes worked right?
- What outputs or results are the way they should be?

In describing EFFECTS, we take great care to identify the indications, symptoms, or conditions which exist We are careful not to speculate about what we cannot observe (see, feel, hear, smell, taste or measure with a measuring device) For more complex problems, our observations of EFFECTS may take place over an extended period of time For instance, we may take regular readings on temperature and pressure in order to describe EFFECTS which can vary over a period of time

When we have described EFFECTS, we have the **facts** for our analysis We will have **identified** the problem We make sure we write down all of these facts for use in the later stages of PSP

Now, we have a couple of diversions to take in order to understand the Problem-Solving Process and our use of it

THINK ABOUT HOW TO SOLVE IT

There are five basic ways of solving problems They are

- Have someone show you the answers

  There is nothing particularly wrong with having someone show you except that you cannot always find someone handy who knows the answers

- Find the answers in documentation

  There is nothing particularly wrong with finding documented answers except that it assumes that the problem has been faced before and that someone wrote down the appropriate solution What if it is a new problem, or no one bothered to document the answer?

- Use the "Barnyard Mechanic" method wherein you tear it apart and try to reassemble it

  The Barnyard Mechanic always runs two risks

  – you may damage it while trying to tear it apart,

  – things do not always go together in the reverse order of taking them apart

- Use the "Trial-and-Error" method in which you guess what the solution is and try it to see if it works

  The "Trial and Error" approach is far too risky because it does not identify the cause of the problem and because it does not consider the potential risk involved (For example, imagine trying to learn to fly an airplane or defuse a bomb by the trial-and-error method)

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- Use the "Problem-Solving Process "

  A systematic Problem-Solving Process is the more efficient and least risky approach, when you don't know the solution, when there is nobody around who knows, and when the answer isn't well documented

The Problem-Solving Process is based on some key principles

The CAUSE/EFFECT Relationship

If we are to use any part of the "Problem-Solving Process" effectively, we will have to develop an understanding of the concept of Cause/Effect (To help us keep track of the discussion from this point on, we will capitalize **CAUSE** and **EFFECT**)

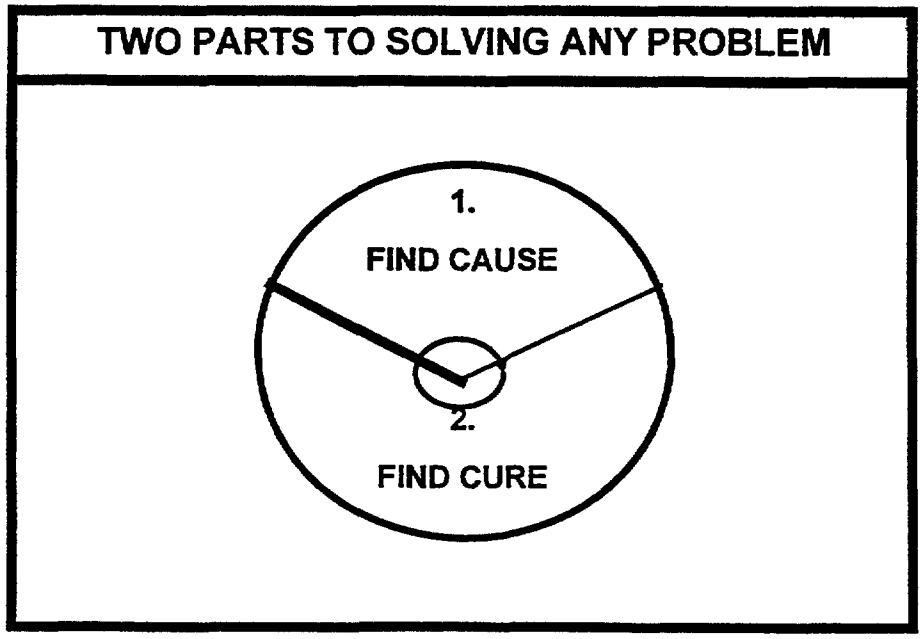
If a tire on the car goes flat, something must have **CAUSED** it to go flat Was it a nail? Does the valve stem leak?

If an employee is "burned out," there must have been something to make him or her "burn out " Was it the supervisor's practices? Was it the employee's lack of learning and studying that led to incompetence and stress? What was the **CAUSE**?

When a collar on a bearing breaks off, something must have CAUSED it Was it the mechanic who put too much force on it? Was it faulty metal?

When we see, or hear, of feel indications or symptoms of a problem, we are observing **EFFECTS** They may signal to us that there is a problem, but they do not tell us **why** the problem exists, or how it came about Something had to happen to **CAUSE** the indication or symptoms that we observe If we are to be successful at solving problems, we have to identify the **CAUSE** that is behind the **EFFECTS** For example, I may be "running a temperature " This is an observable symptom I am not likely to have much success by merely trying to treat the symptom I may be able to eliminate the symptom for a while by bathing in ice water, but if I do not treat it with antibiotics to kill the bacteria, the **EFFECTS** will not go away By finding the **CAUSE** first, I have a lot better chance of finding a lasting cure

We can show the **CAUSE/EFFECT** principle, as it applies to solving problems, by a simple diagram



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As this diagram illustrates, we stand a much better chance of finding a cure if we will find the **CAUSE** first Our approach, then, in the "PROBLEM-SOLVING PROCESS," is to look past the observable **EFFECTS** until we find the underlying **CAUSE**

We do have to recognize that the **EFFECTS** we observe in any situation may be the result of a combination of factors There may be several contributing **CAUSES** For instance, a weak heart may result from eating the wrong foods, lack of exercise, stress, smoking and an inherited arterial disease It is not likely to be cured unless all of the significant **CAUSES** are treated

Because observable **EFFECTS** can result from a single **CAUSE** or multiple **CAUSES**, we will use the term "**CAUSE/EFFECT** Relationship" (**abbreviated C/E**) to show that we want to identify the **CAUSE**, whether one or more than one

ASSESS COMPLEXITY

Making an assessment of the complexity of a problem simply means recognizing that the problem situation falls into one of **four possible categories** These categories are based on our ability to specify **CAUSE** and/or CURE at this point in the process Deciding upon a category involves answering three questions The action that we should take next is based on the answers to the three questions

- Is the C/E known?
- Is there an SOP solution available?
- Is the SOP satisfactory?

To understand what the four categories mean, we have to be working in the same language We have to understand the terminology

- **C/E**

  We introduced the expression C/E earlier and indicated that it means "**CAUSE/EFFECT** Relationship " We can now say that we will have established the C/E (**CAUSE/EFFECT** Relationship) when we are reasonably certain that we have identified the **CAUSE or CAUSES** of all of the symptoms of the problem It means that we can say that we know what made the situation the way it is We can predict that where the same kind of **CAUSE** conditions come together, there will be the same observable **EFFECTS** that we see in the problem situation

  If we cannot say, with reasonable certainty, that we know what CAUSED the present situation, then we cannot say that we have established the **CAUSE/EFFECT** Relationship (C/E)

- **SOP**

  SOP refers to **Standard Operating Procedure** We can say that we have SOP's for handling a problem when we have procedures, methods, forms or practices already in place to take care of the problem situation For example, a problem exists when we have an employee absent or an assignment incomplete In either case, the C/E is known or reasonably certain and there are established procedures for handling it In a computer system there are standard procedures for correcting a voltage interruption problem There is an SOP for a tardiness problem and another SOP for an input error on forms

  SOP's usually exist where we have recurring problems with known **CAUSES** Most official procedures are simply SOP's for things we know will happen

First, let's show the four categories of problem situations in a table and then explore what each one means

CATEGORIES OF PROBLEMS				
CATEGORY	C/E KNOWN?	SOP?	SOP OK?	ACTION
#1	YES	YES	YES	PROGRAM
#2	YES	YES	NO	ANALYZE
#3	YES	NO		DECIDE
#4	NO			ANALYZE

a **CATEGORY #1 C/E KNOWN — SOP'S APPROPRIATE**

In this condition, the C/E is known and there are established Standard Operating Procedures or known solutions for resolving the problem In other words, we know from experience what is wrong and what to do about it **Why go through steps in Problem-Solving?** There is no need Many of our everyday problems fall into this category

ACTION — Apply the SOP's or known solutions, PROGRAM the SOP

b **CATEGORY #2 SOP's NOT ADEQUATE**

In this condition, the C/E is known, but the SOP's or known solutions are not satisfactory In some instances, the established method really does not solve the problem Some SOP's do not keep up with changing conditions They are outdated and no longer meet needs Where SOP's are not adequate, we want to continue in the problem-solving process

ACTION — Go to ANALYSIS (the next stage) to confirm the CAUSE

c **CATEGORY #3 C/E KNOWN — NO SOP's**

In this condition, the C/E is known, but there are no SOP's or known solutions Problems will arise that have not been experienced previously and there are no established solutions However, if we are confident that we know the **CAUSE**, there is no need to do a complete ANALYSIS

ACTION — Go directly to the DECIDE stage of PSP

d **CATEGORY #4 C/E NOT KNOWN**

Then, there are times where the C/E is not known There are many instances where we don't have ready answers and the CAUSES are hidden Rather than go through a lot of trial-and-error, we make a structured analysis In short, further analysis will help us reveal the C/E

ACTION — Go to ANALYSIS

The idea behind deciding on the complexity of the problem is to help us insure that we **do not waste any more time than necessary** on the problem-solving process Where SOP's exist, and do the job, we want to use them We do want to exercise some caution, however We will be inclined to continue to use SOP's that are out-of-date We will be prone to use SOP's to replace equipment on a routine and frequent basis when **we should find out why** the equipment needs to be replaced so often We need to give as much attention to using the problem-solving process to improve our effectiveness as we do to using SOP's to improve our efficiency

Based upon the IDENTIFY stage of Problem Solving, we will do one of three things

- Employ SOP's and PROGRAM the solution to resolve it,

  – or –

- Go directly to the DECIDE stage of PSP

  – or –

- Go to the ANALYZE stage to define the C/E,

There are two methods of concluding the C/E of a problem BASIC ANALYSIS and OPERATIONAL ANALYSIS BASIC ANALYSIS is **deductive** in its reasoning and OPERATIONAL ANALYSIS is **inductive** in its reasoning This process will provide us in-depth knowledge and skills about deductive and inductive reasoning

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ANALYZE

When we ANALYZE, we will have determined that the C/E relationship is unknown and that an analysis is merited By following the ANALYZE process, we systematically place boundaries or limits around the problem so that the true CAUSE reveals itself The time and expense of trial-and-error can be greatly reduced, if not totally eliminated

We deliberately **do not attempt to define solutions during the ANALYZE stage** Furthermore, by disciplining ourselves not to think "solutions," we are more likely to deliberately seek the clues that lead to the CAUSE

ANALYZE consists of two separate methods **Basic Analysis** (BA) and **Operational Analysis** (OA) We begin with BA However, there are times when BA will not be adequate for the problem we are investigating BA is a basic tool and one that is simpler to apply in most instances It is the logical one to start with If BA does not meet our analytical needs, we will not have invested excessive effort that other analytical tools may require For example, a part may fail an excessive number of times The equipment and expertise required to determine the CAUSE are very specialized If the CAUSE can be detected using a simpler analytical means, this would be a logical step before determining that a more elaborate analysis is justified

In addition, OPERATIONAL ANALYSIS is a separate process OA is a trouble analysis process However, if BA does the job, the process of OA, which will deal with more detailed technical and mechanical causes, would not be necessary

BASIC ANALYSIS

Most of us are accustomed to **combining** things in the work situation In BASIC ANALYSIS, it is important to **separate** various items in a systematic manner A breakdown is needed We are going from the general to the specific We, begin with all of the EFFECTS that we described in IDENTIFY

To make the CAUSE evident, we will have to compare the EFFECTS of a normal or good situation with the EFFECTS of the problem situation

5 DIFFERENCES

Differences are those things which are unique to the problem situation as we **compare** it **to what we know to be right or normal** Differences have to exist, to some degree, and we have to search until we find them **Within the differences lie the clues** to the CAUSE However, we try not to think CAUSE at this point to prevent jumping to premature or incorrect conclusions that shortcut our analysis When a possible CAUSE pops into our minds, we should jot it down so we do not lose it We just want to be sure that we don't let an inspiration keep us from making a good analysis of all differences

The differences may be quite simple or quite complex At times, it requires a technically trained person to detect a difference

It is also important to keep in mind that a minor difference can provide an important clue When we can't detect differences, it often means we have not adequately described and separated the EFFECTS

We can be guided in our search for differences by making **four basic comparisons** We ask, **"What is different, unique, special, peculiar, odd or unusual about the problem situation when compared to the following?"**

a Similar

Compare the problem's EFFECTS to those of similar or identical objects, plans, processes, procedures, or performance areas which are functioning normally

b Experience

Compare what we observe to the knowledge and experience that we have from past practices or methods that indicate normal functioning Here is where a good memory is very helpful

c Specifications

Compare EFFECTS to established standards or specifications which are accepted norms

d Dimensions

Compare the dimensions such as height, weight, speed, thickness, temperature, wear, density, location, etc of the problem to the normal

We may employ one or several of the comparisons

6 Cause

In determining the probable CAUSE, we want to discover **what could have created the differences that we have detected** Some changes must have been introduced or introduced themselves to have produced the differences We have to track these down

Of course, this is not a random search The CAUSE should be one that could have created the differences We look for the probable CAUSE by answering these questions

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a **What?**

What might have caused the differences?

b **How?**

How could the differences have been introduced?

c **Why?**

Why do the differences exist?

There are times when it is difficult to obtain facts and data about what CAUSE may have produced the differences There are several reasons for this

- The **people** involved in the situation **may fail to reveal** that something has been done, they may feel that the less said, the better
- The CAUSE of the differences **may have been seen as an improvement** and people may feel that it could not have produced the differences
- The CAUSE may be **hidden from view** There simply may not be any **discernable** CAUSES for the differences
- The CAUSE may have **come about very gradually** or is so small that it is overlooked
- The **evidence** of the CAUSES **may have disappeared**

In these situations, we may have to rely on educated assumptions as to the CAUSE, based on our knowledge and experience We will identify these possibilities and proceed just as if the CAUSE were known

However, we should take to heart a word of **caution** about assumptions If the risk for implementing the wrong solution is great, assumptions are not a good basis for decisions We should continue our search until the true CAUSE is found, or until the risk becomes more than reasonable

In addition, we may find that BA is not adequate for the problem We may have to turn to some other method of analysis

7. **Prove**

Even though we are well along in our BA at this point, we want to consider CAUSES as **tentative**, until we have proven or disproven them We still want to avoid going through unnecessary trial-and-error attempts to identify CAUSES

In the Prove/Disprove step, we compare the EFFECTS of the probable CAUSE to the EFFECTS we have defined If a probable CAUSE would produce all of the specifications described in EFFECTS, it is highly likely to be the true CAUSE We may find that there is no need to prove/disprove other CAUSES Therefore, we work on the most likely CAUSE first

On the other hand, a CAUSE may not quite produce the problem EFFECTS We may even have to go back and review differences to generate more "possible" CAUSES

We should not ignore **assumptions** about CAUSE We should **consider them and prove them** Normally, we consider assumptions last

Disproving a CAUSE is just as important as proving This helps us narrow down the search We should be willing to discredit any CAUSE, we must not try to make a favored CAUSE fit

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The guidelines used in Prove/Disprove the C/E are

a **All**

The probable CAUSE that could have produced all of the EFFECTS we observed is likely to be the true CAUSE

b **None**

A probable CAUSE that does not produce the same EFFECTS in similar objects, plans, processes, procedures, or performance areas is **not likely** to be the CAUSE We can place it low on the list or eliminate it from consideration

c **Some**

A CAUSE that contained too many exceptions (that is, the CAUSE may have produced some EFFECTS, but not others) is not a highly likely CAUSE or not the only CAUSE

Where each of several probable CAUSES could have produced some of the EFFECTS, it is likely that there are multiple CAUSES

At this point we list the CAUSES which could produce any of the EFFECTS Usually, the CAUSE will boil down to one major CAUSE or to a limited number of CAUSES

8 **Check**

In this last step of BA, we double check to verify our facts, data, and conclusions We verify in two ways

a **Verify**

First, we check to see if the information we have is true and if the conclusions we have drawn are **logically sound** We may re-examine the data We may check with others who are involved or knowledgeable about the problem

b **Match**

In this effort, we check the probable CAUSES to see that they could reproduce **all** of the EFFECTS (all of the **bad** effects as well as all of the **good** effects) When we have CAUSES that account for **all** of the EFFECTS, we have the CAUSES of the problem

If we cannot demonstrate certainty of the CAUSES, we should use other ANALYSIS methods

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OPERATIONAL ANALYSIS

OPERATIONAL ANALYSIS is an analytical tool that is applicable to all OPERATIONS which are performed **by people or machines according to a logical method or procedure** OPERATIONS are described in terms of people doing things or machines doing things OA assumes that the clues to the CAUSE of a problem are somewhere in the OPERATION which displays the symptoms If not, the clues can be found in an interdependent OPERATION

There are times when OA will not be an appropriate analytical tool for the problem being investigated A simpler and more basic tool may be adequate This is available as "BASIC ANALYSIS (BA) " BA is applicable to problems which are not OPERATIONAL problems On the other hand, there are situations where neither BA or OA are adequate Sometimes the process, expertise and analytical equipment that are required to determine CAUSE are highly specialized For example, a corrosion problem may require a chemical analysis to determine CAUSE This may include such complex equipment as a spectrophotometer for spectrum analysis The point is that the analytical means should be only as complex as necessary to determine the CAUSE

We are examining OA because many of the problems we face are OPERATIONAL problems (problems in what we do or in what machines do) OA is usually appropriate for mechanical and technical problems OA is very useful even when sophisticated test gear is needed to help determine CAUSE

Most of us are accustomed to synthesizing (pulling together) things in the work situation In OA we will do the opposite we will separate elements so that we can do a more thorough analysis It is very much like using a powerful magnifying glass or microscope to examine something It narrows our focus to only a small portion of the item, but it makes the detail much clearer We look much more closely But, unlike BA, we will go from the specifics of the parts to general conclusions

Operational Analysis consists of four steps which are designed to reveal the CAUSE of the problem We will **have to do all four of these steps** to solve any problem These steps may appear to be very **similar to** the steps of **BA, but** they are **decidedly different**

The OA process assumes that we have described the EFFECTS which are evident in the problem situation It is needed because the clues to the CAUSE are in the EFFECTS We have to have the facts

First, in OA, is to IDENTIFY the **elements** of the situation we are investigating We will see that the CAUSE is to be found in one of the elements So, we break the operation down into its elements so we can pinpoint the source of the CAUSE

Next, is the step in which we set the limits for our search We decide based on the EFFECTS exactly where we are going to look for CAUSES We have to **isolate** or **localize** the problem

Then, we **propose** possible CAUSES for the EFFECTS that we have observed There is a special way of doing this that is much more scientific than guessing We have to figure out what might have caused the problem We **hypothesize**

Finally, we **test** the possible CAUSES in order to conclude the actual C/E (CAUSE/EFFECT Relationship) We have to confirm, verify or prove the CAUSE

Our basis for analysis is a simple model called an I-P-O model The I-P-O model is terminology used to describe any OPERATION of people or machinery It is probably easiest to think of OPERATION in terms of actions or processes Each OPERATION is a description of an action or process that produces some results for us

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Examples of people actions

- Writing (such as writing a letter)
- Kicking (such as kicking a football)
- Turning (such as turning a valve handle)

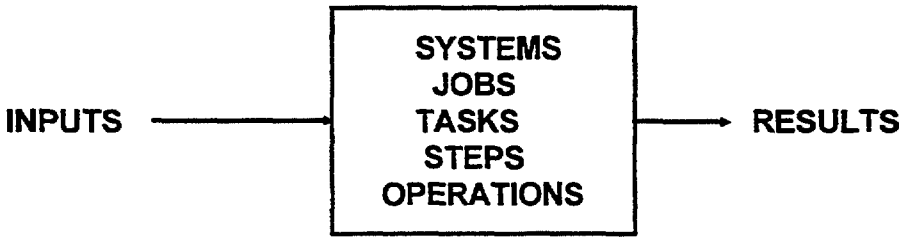
Examples of machine actions

- Pumping (such as a water pump)
- Hoisting (such as a hydraulic hoist)
- Pulverizing (such as pulverizing coal)

We might easily diagram the action-result statement as follows

All of us know, however, that our equipment or people do not operate on the basis of magic We do not get action without some investment of people, time and other input When we add the concept of input to our diagram, we produce a picture which says "With inputs, our action will produce results "

Now, we want to expand this principle The principle applies whether we are talking about systems, jobs, tasks, steps or operations - any level of breakdown that we might need for our analysis purposes For example "With inputs, the system will produce results "



To avoid confusion with our definition of tasks as "action-result" statements, we will adopt new terminology that allows us to apply the diagram to any action We will use the terms "Inputs, Process and Outputs " We will add multiple arrows to indicate the possibility of more than one input and more than one output We will call our diagram the "I-P-O Model " This model will become the basis for our analysis

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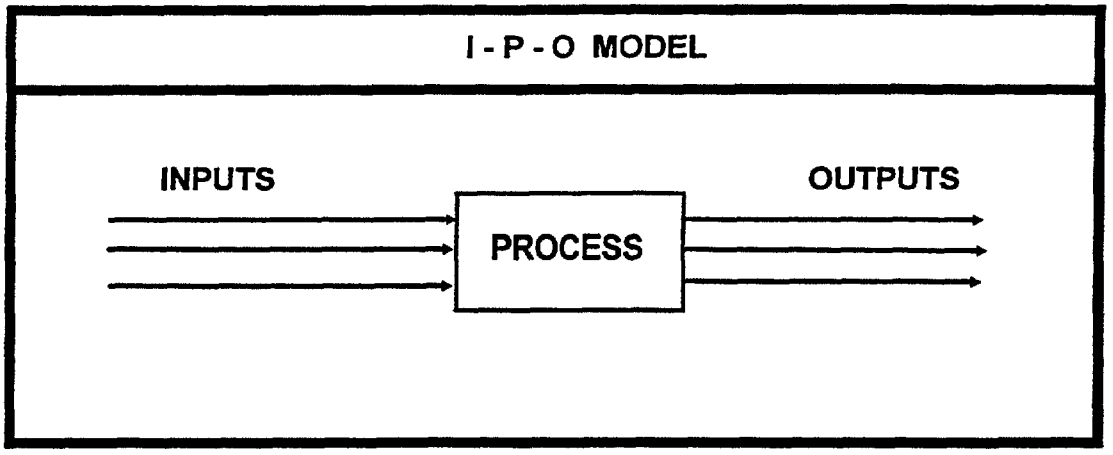

- **INPUTS** are those resources that are needed to perform the process
- **PROCESS** is the action or the function
- **OUTPUTS** are the results of or products of the process

Example of a people **OPERATION,** writing a letter

- **Inputs**
  - someone
  - a pencil or writing instrument
  - a piece of paper
- **Process**
  - is writing
- **Output**
  - a written letter

Example of a machine **OPERATION,** pumping water

- **Inputs**
  - a pump
  - power to run the pump
  - water into the pump
- **Process**
  - is pumping
- **Output**
  - water moving out of the pump

Sometimes, OPERATIONS show up in chains or series Consider this oversimplification of an automobile engine

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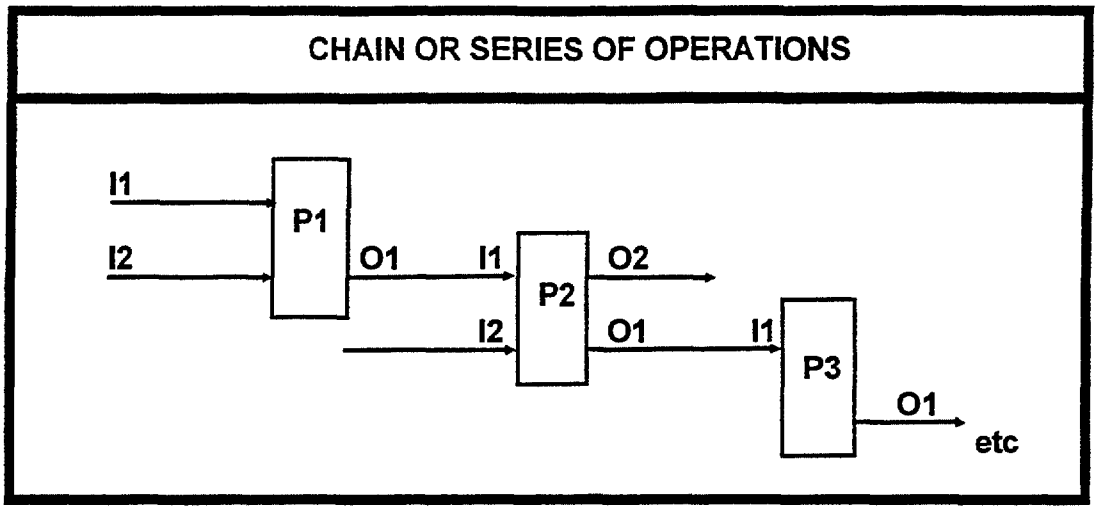
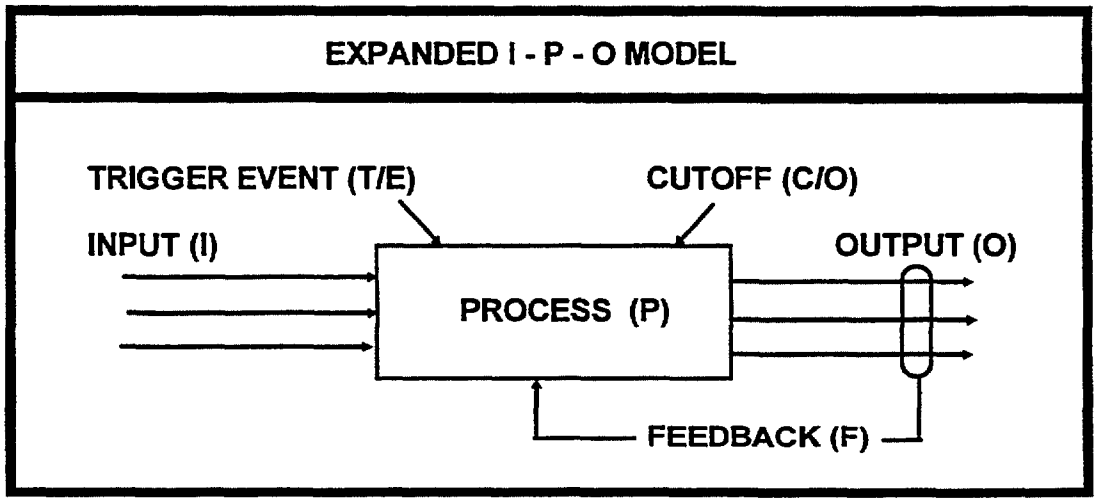


- INPUTS to the carburetor (P1) are air (I1) and gasoline (I2) The carburetor vaporizes the gasoline to produce gas vapor (O1), the OUTPUT
- This OUTPUT, in turn, becomes and INPUT (I1) to the cylinder where a spark (I2) enters Combustion (P2) takes place The OUTPUTS are force (O1) on the piston and exhaust (O2) The piston forces the crankshaft to turn (P3)
- When a car is running, there are hundreds of interdependent OPERATIONS (chains) taking place When a car does not run (problem), it is necessary to find out which OPERATION is the source of the problem CAUSE

With the basic model in mind, we can introduce a few more items of terminology which are necessary for PROCESSES to produce the OUTPUTS we desire, even when the necessary INPUTS are present An expanded I-P-O Model will help us identify additional elements



INPUTS (I)

INPUTS are all of the things (people, materials, machines, equipment, supplies, time, information, etc) which come together in order for the OPERATION to take place

- Who?

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- What machines?
- What materials?
- What ingredients or components?
- What conditions?

TRIGGER EVENTS (T/E)

Something must exist or happen to signal the person to begin or the machine to start the process This "something" is the TRIGGER EVENT

- What are the signals or indicators which are supposed to start things?
- How does the process know when to begin?
- What triggers the action? What begins the function?

PROCESS (P)

Within the OPERATION, either some part of equipment or machinery, or some person, is performing an act or function The act or function may be described by **active** verbs (grind, push, pull, pump, compress, cut, mesh, splice, lift, etc) or by **passive** verbs (hold, contain, support, limit, reduce, connect, span, etc) Active verbs usually describe processes, passive verbs usually describe functions

- What function does it serve? What is the action?
- What is the person expected to do? What is the component's function?
- What has to happen? What is supposed to be taking place?
- What is the purpose?

CUTOFF (C/O)

Within the OPERATION, some event must signal the conclusion or termination of the PROCESS

- What tells the PROCESS to stop?
- How does the PROCESS end?
- When is it finished?
- What signals or indicates that there has been enough PROCESS? Too much?

OUTPUTS (O)

Something is the end result or outcome of the PROCESS Something is either produced by or left over after the PROCESS has been performed

- What are the OUTPUTS, outcomes, results?
- What is produced or made?
- What is left over?
- What are the byproducts?
- What are the effects or products, good and bad?
- What are the consequences?

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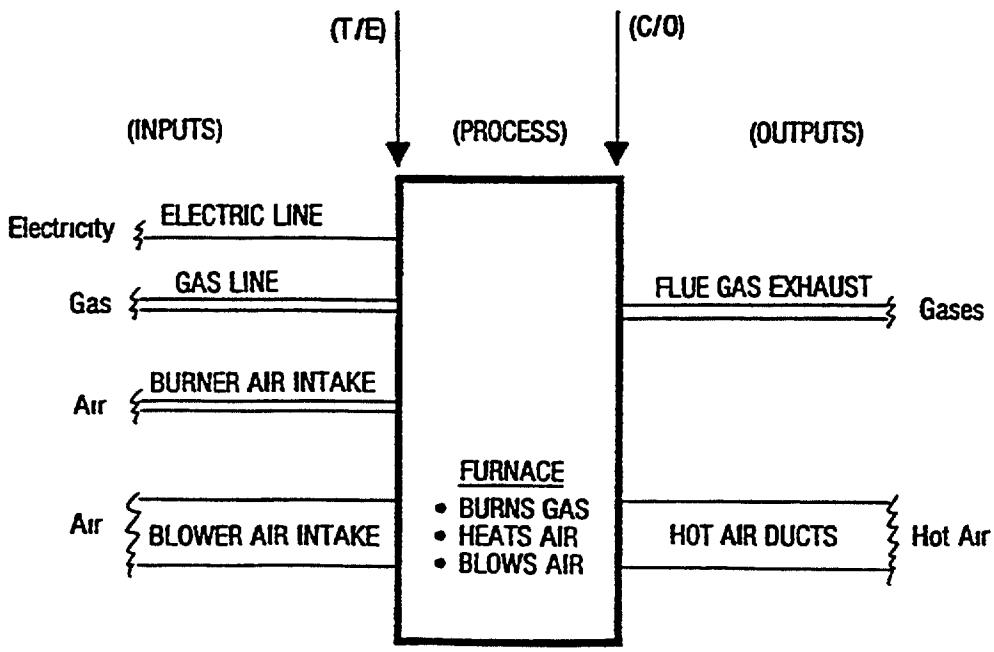
FEEDBACK (F)

When there is some measuring or monitoring of the OUTPUT or results of an OPERATION, it is called FEEDBACK The FEEDBACK may not be used by the OPERATION itself, it may be used to regulate or control other interdependent OPERATIONS in a chain or series The FEEDBACK may be used by the OPERATION itself When it is, it is called a FEEDBACK "loop " The results of the measuring or monitoring are used as T/E or C/O signals for the PROCESS, or they may be used to regulate or control the PROCESS itself

At this point, it is necessary to be sure that all elements of the OPERATION we are investigating are identified That means to list every I, T/E, P, C/O, O, and F Then, the real process of establishing C/E (the CAUSE/EFFECT Relationship) can begin

EXAMPLE OF I-P-O APPLIED TO EQUIPMENT

All of us are familiar with the operation of a furnace that is used as a home heating system For example, we will say that it is a gas-fired, forced-air type of furnace To keep the example as simple as possible, we've taken some liberties with design to make it match our I-P-O model



Suppose we want to start our furnace This implies that we have something in mind as a reason for starting it We want the furnace to produce heated air We want the hot air to be blown around the house so that it warms up the house

For that to happen there has to be some INPUT Electricity flowing in order to run the blower gas and air flowing in to burn, colder air coming into the blower a flame or igniter to start the gas burning

We have some expectations about the operations which take place in the furnace These are the PROCESSES burns gas, heats air, blows air

If we have all of our do's and don'ts, we can heat our house with the furnace It will require that we turn the furnace on (T/E) every time we want heat and turn it off (C/O) every time we get the house warm enough This performance on our part may get to be annoying and weary after a

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while of running over to the furnace to turn it on or off every few minutes To solve our problem, we introduce a new requirement We want the furnace to operate automatically

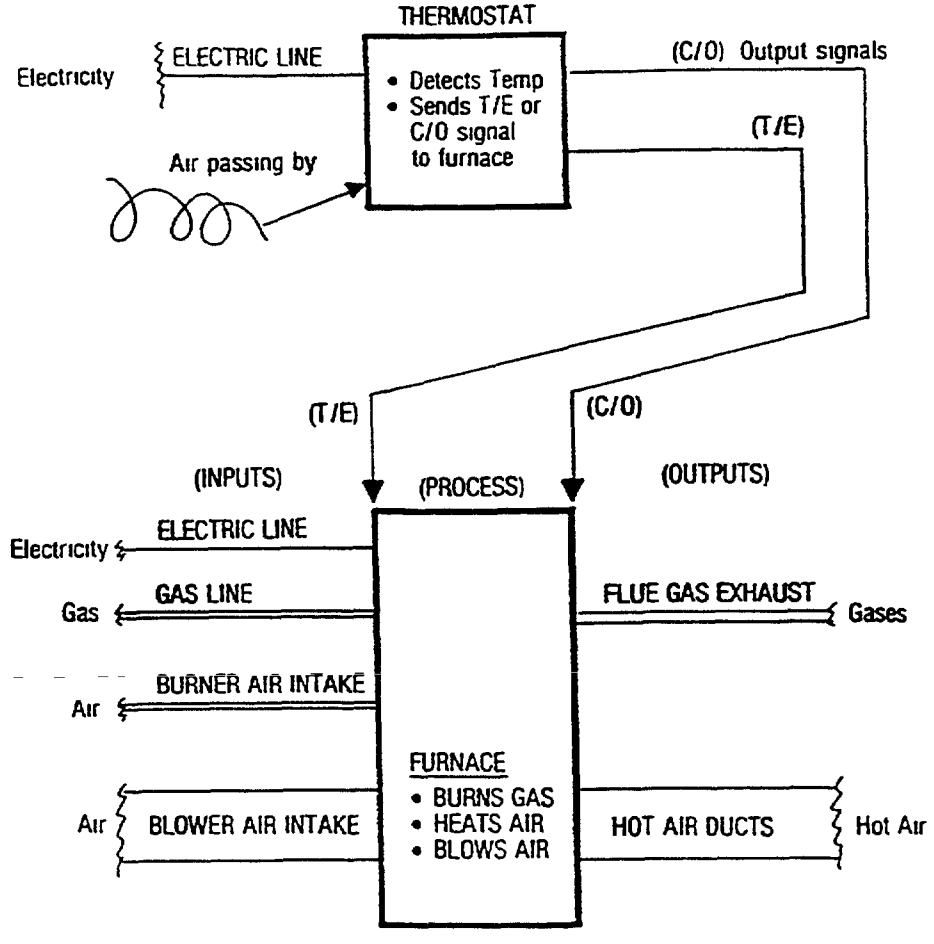
Operating automatically means that we want the furnace to "know" when to start (T/E) and stop (C/O) Since furnaces do not have any sense, they cannot operate satisfactorily for us We have to set up an interdependent operation

Since we are describing a furnace and heat (or the lack of it), we adopt a universally accepted unit of measure to describe how hot or how cold we want the furnace to keep the air in the room, in number of degrees of temperature Since the temperature can vary in the house we decide to measure the temperature at a point near the center of the living area We determine that we want to monitor the temperature continuously (the ideal way to monitor performance) We decide that we can measure temperature with a thermometer Being energy conscious, we decide that we want the air heated to a temperature of 68 degrees, give or take a degree

This step of the process makes things a little more difficult It means that our method of measurement (thermometer) has to be able to relay its readings to the furnace An ordinary thermometer won't do that We have to change equipment in order to get feedback to the furnace A thermostat is just the type of equipment we need (Notice, this is a whole new operation we have introduced in order to give feedback to the furnace) The thermostat now operates to replace us when it comes to starting and stopping the furnace The furnace now operates automatically to provide acceptable output

There is one final illustration we want to draw from this example By putting in "automatic," we have created a FEEDBACK loop which monitors the temperature of the air (output of furnace) and signals the furnace whether to continue to perform its function or not

Our overall system for the furnace would look like the revised diagram that follows



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5 Elements

This is the step of OA which is designed to make the source of the CAUSE observable, thus making the CAUSE reveal itself Each OPERATION has a limited number of defined/definable ELEMENTS which fit into the categories of

— INPUT (I)	— TRIGGER EVENT (T/E)
— CUTOFF (C/O)	— PROCESS (P)
— OUTPUT (O)	— FEEDBACK (F)

The idea is to look closely at the ELEMENTS in order to identify them, thereby locating the source of the CAUSE

a Inputs (I)

What are all of the Inputs?

b Trigger Events (T/E)

What are the Trigger Events?

c Process (P)

What are the Processes?

d Cutoff (C/O)

What are the Cutoffs?

e Outputs (O)

What are the Outputs?

f Feedback (F)

What are the Feedback loops used as T/E or C/O?

Any element that is not identified is an element that cannot be checked Therefore, we create our own checklist of elements We can check them all at once or we can do one element at a time We can do OA on one element or we can do one step of OA on all elements It doesn't matter as long as we identify **all** elements, check **all** elements, and find **all** the true CAUSE or CAUSES

6 Limits

An analysis has to begin somewhere In OA, we are using a "rifle" approach as opposed to a "shotgun" approach Therefore we begin the process of looking for a CAUSE by setting limits or parameters for the search This concept is very similar to setting "limits" that are necessary for "local" anesthetic to numb a certain area for surgery

We set limits by first identifying the source of the problem

a Source

As a part of describing EFFECTS, we located them From our description we can answer such questions as

- Where did I see the indications?
- Where is the sound coming from?
- What is the location of the vibration?
- Which parts look worn?

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We concentrate on localizing the problem

b Operation

The next step is to identify the OPERATION (**active or passive function**) that is near or nearest the indications We are looking for the OPERATION or OPERATIONS which could contain the indications or symptoms We know that the CAUSE is somewhere in the OPERATION or in an interdependent OPERATION

c Limits

For a systematic OPERATIONAL ANALYSIS, we set the limits of our search to **a single Operation** Where we have more than one OPERATION that is near the indications, we include all of the OPERATIONS in our search, but we do so **one at a time** The reasons for this will become more apparent as we move to the next step of OA

d (If Necessary) Expand

When the CAUSE cannot be found in a single OPERATION (assuming OA is completed) the search is expanded to include the next related OPERATION in the chain Deciding upon an interdependent OPERATION to analyze is a matter of answering these questions

- What is the OPERATION dependent on?
- What happened just ahead of this in the chain?
- Where does the INPUT come from? Where does OUTPUT go?
- What other OPERATION has to occur for this one to occur?
- What OPERATION could be feeding back to this one?

Normally, this expanded search will be limited to interdependent OPERATIONS those OPERATIONS which share INPUTS or OUTPUTS with the OPERATION at the source of the indications Only after all interdependent OPERATIONS have been analyzed does the search expand to OPERATIONS which are not considered to be interdependent The assumption for doing so is based on the principle of "unexpected side EFFECTS " In other words, we will have already analyzed the **normal** (those we would expect to have an EFFECT) OPERATIONS and not found the CAUSE We expand the search to examine **abnormal** OPERATIONS (those we would not expect to have an EFFECT) When we do so, we use proximity (nearness) as our criteria

7 Causes

Let's review the steps and logic of OA up to this point

For every EFFECT, there is a CAUSE or a combination of CAUSES If the EFFECT comes from an OPERATION, the CAUSE is to be found somewhere in the OPERATION elements

Furthermore, **undesirable** EFFECTS come from some **undesirable** variance in one or more of the elements OA systematically examines each element to determine which has a variation that produces the undesired EFFECTS

a Known

In this step, we make up statements of the possible relationship between a variation in an element and the EFFECTS We begin with **known** variables

A possible cause is **the underlying reason** or **explanation for** something It is proposed for purposes of examination or testing

CAUTION Possible causes are not statements of fact They are made up of the possible relationship between a variable in an element and an EFFECT They become statements of fact only when they are tested against reality and shown to be true

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We do not determine possible causes by guessing Instead, we propose vanations in each of the elements that we have identified and we predict the EFFECTS of that variation The formula is

If this element _____
is varied in this way _____
Then the EFFECTS will be _____

For example If the **indicator light** (T/E) is **burned out**, the operator **will not know** to adjust the output

Or If the **"idiot light"** (C/O) is **burned out**, in the car the driver **will not know** to shut the engine off

Possible causes are created by filling in the blanks in our **"If then "** statements

To determine possible causes we will

- Take the first element that is identified
- Begin with a variance that **has occurred** or is **known to be possible** in that element
- Predict the EFFECTS of that variation

When the possible cause has been determined it is tested If the CAUSE is not confirmed, we generate additional possible CAUSES We move from one known variance to another in the element and then we move to the next element

b Unlikely

When we have exhausted possible CAUSES based on **known variations** in the elements, we begin to propose CAUSES based on **unlikely** variables (those items which are normally considered to be constants) In other words, our possible CAUSES become "what if " statements instead of "if " statements

For example, a possible CAUSE on a **known** variable might be

> **If** we increase the temperature of the fluids, **then** we will create an increase of pressure in the sealed tube

A possible CAUSE of an **unlikely variable might be**

> **What if** the cold temperature outside causes the tube to shrink, resulting in an increase of pressure of the fluid in the sealed tube (In this case, the size of the tube would **normally** be considered a **constant**.)

c Complex

If possible CAUSES on single variables do not produce the CAUSE, we look for more complex CAUSES These are derived by combining variations in an element (e g increase temperature and speed) or combining variations in elements

Our logic statements of complex CAUSES are like this

If this element _____ is varied in this way _____ **and** in this way _____ **and** this element _____ is varied in this way _____ **then**, the EFFECTS will be _____

The intent of this step of OA is to

- take each element
- one at a time,
- make up each possible variance,

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– predict its possible EFFECTS

and speculate that there is a CAUSE/EFFECT Relationship

8 Tests

Possible causes which are not yet tested and proven are **nothing more than conjecture or opinion** They may even be ridiculous Those which are tested and proven provide CAUSES

a Tests

Therefore, we need to test our possible causes against reality Two forms of test are appropriate **logical** and **measurable**

- **Logical**

  First of all, we need to examine each possible CAUSE By using our own knowledge and experience or by consulting with those who are knowledgeable about the OPERATION, we may be able to mentally test possible CAUSES If a CAUSE is known to be impossible, we can discard it and move on We will be able to see that some proposed CAUSES are ridiculous, silly, or totally impractical We do have to exercise caution however; many CAUSES are hidden in possible CAUSES which are considered to be silly by problem-solvers We will want to have evidence to show that the possible CAUSE is illogical or impossible At least, we want evidence that it is highly unlikely before we discard it

- **Measurable**

  Our possible CAUSE is a speculation about the C/E **A test of a possible CAUSE is an arrangement which makes the C/E observable**

  Measurable tests are not always easy to perform They range all of the way from simple observation (look and see) to complex test equipment For each measurable test, the following questions need to be answered

  – What level of effort is needed to test?

  – What is the risk of performing the test?

  – How much time will it take to test?

  – What is the cost of performing the test?

  – Is it worth it?

  – What authority or ability is needed?

  – Is approval needed for the test?

  We will want to decide upon a test that meets the practical criteria of timeliness, cost, ability, approval and reasonable risk We cannot have the test costing more (in materials, time, effort or money) than the problem

  Normally, we will **select test methods beginning with the easiest and lowest risk** and moving gradually toward the more complex Insofar as possible, we will choose test methods which simulate conditions without the risk of going "live " We will test the possible CAUSES which are testable in practical terms before we look at those which are impractical to test

  It is important to note that **new** measurable **tests are likely to be needed** While these may be simple variations of existing measuring or monitoring methods, they are new tests The traditional measures or indicators are apparently not adequate or they would have identified the CAUSE of the problem

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b **Decisions**

After we have arranged tests, we have to look at and use test results to make decisions about C/E We need to do three things

- **Recording**

  We will need a practical way of collecting and classifying results of tests Recording facts over a period of time may be the only way of creating a variation that equates to the CAUSE (where time is a variable) In addition, the CAUSE is often hidden in the results which need to be analyzed and interpreted

- **Interpreting**

  Sometimes the results of testing have to be "massaged" to reveal their true meaning We will want to **arrange and rearrange the test results into different visible forms** so that **patterns, trends, and true meanings are revealed** This may involve the use of charts, graphs and checklists for the data It may involve verifying doubtful data by repeating the tests

  Interpretation may include sorting data according to the amount of influence each factor has on EFFECTS Measurable tests of complex CAUSES should show the proportionality among variations

- **Concluding**

  Our test must serve the purpose of making the C/E observable When we achieve EFFECTS (desirable and undesirable) from our tests which match the described EFFECTS of the problem, we have developed a CAUSE/EFFECT Relationship We will have completed the OPERATIONAL ANALYSIS

NOTICE In this step we prove a theory or hypothesis or we disprove it. This process will help PROVE

CAUTION!

There are two extreme positions which we have to guard against when we test possible CAUSES (hypotheses)

- **Procrastination**

  Procrastination is the habit of putting off a decision or an action Some people are tempted to go on testing and testing possible CAUSES, but they don't have the gumption to draw any conclusions They may say, "But, I need more information " Of course it is important to find the true C/E, but there may never be a perfectly clear set of facts

- **Self-Fulfilling Prophecy**

  Another tendency of some people is called the self-fulfilling prophecy It simply means that they have their minds made up **before** they start testing and they only look for the facts which support their pre-drawn conclusion Some may say things like, "I don't care what it shows I **know** what caused it "

NOTICE This kind of biased thinking will **not** help us improve our problem solving skills Instead we have to look at the facts in an unbiased and objective way This process will help us remain OBJECTIVE

With the CAUSE or CAUSES identified we can decide what to do about a cure, the rest of solving problems

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KNOWN VARIATIONS IN INPUTS

The first step in proposing CAUSES from variations in INPUTS is to determine that each and every INPUT that is needed is available (in whole) for the PROCESS Availability can mean several possible things, so our purposes are served best by thinking in terms of several possible questions

ARE THE **RIGHT** INPUTS AVAILABLE

- In the **right** quantities as needed for the process
  - Is the input rate too slow or too fast?
  - Is there only a partial amount?
- At the **right** time
  - Is input too early or too late?
  - Is it according to the right priorities?
  - Is it out of sequence?
- In the **right** location for the process
  - Are they where they need to be?
  - Can they be obtained, moved, delivered?
- In the **right** quality
  - Are inputs up to spec?
  - Are they accurate?
  - Do they meet minimum qualifications or standards?
  - What leeway is there in quality or accuracy?

We may propose that INPUT deficiencies are

- The needed input isn't present or has run out,
- There is not enough input, too much, too soon, too late,
- There is a faulty input procedure, (e g the input oriented wrong, is upside-down, or backwards, etc)
- The input doesn't meet the required specifications

These are all "POSSIBLE CAUSES" of problems

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KNOWN VARIATIONS IN T/E, C/O, F

We have already seen that T/E C/O, or F are intended to make it clear when a person is to start doing an OPERATION, continue doing it stop doing it, or alter the way it is done T/E, C/O, or F must define when each machine OPERATION in needed in terms of starting, running and stopping We may propose that T/E, C/O, F deficiencies are

- T/E or C/O signal doesn't exist,
- T/E or C/O signal is short circuited, particularly if a feedback loop is used,
- T/E or C/O signal exists, but is not detectable because of being
  - too soon/too late,
  - too large/too small,
  - too fast/too slow,
  - constant,
- T/E or C/O device is
  - inoperative,
  - adjusted too sensitive or not sensitive enough,
  - out of position,
- F signal doesn't exist
- F signal path is interrupted or broken,
- F signal goes to the wrong place

These are all "POSSIBLE CAUSES" of problems

KNOWN VARIATIONS IN MACHINE PROCESSES

We might want to note that once we have a machine that is known to function properly, we will seldom find deficiencies in the machine process It will more often be that the deficiency exists within INPUTS, T/E, C/O, F or the human operator who failed to follow proper operating procedures "Bad" machines usually present themselves pretty clearly with plagues of problems Therefore, we will want to look to other elements than the process itself for our CAUSES However, there are predictable variations in PROCESS that exist We may propose that PROCESS deficiencies are

- The wrong machine (without the capabilities that are needed), damaged or broken, worn,
- adjusted out of specifications out of synchronization or out of alignment
- machine parts or components of the wrong specification

These are all "POSSIBLE CAUSES" of problems

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DECIDE

The **Decide** Stage consists of four steps

9 OBJECTIVES

It is not possible to come up with "perfect" solutions to very many problems Sometimes, we are lucky even to come close to the target Of course, it helps to know where the target is The clearer the target is, the more likely we can make decisions and choose actions that will get us there This is the principle that explains the "Objectives" step of PSP Simply stated, it means that the specific end results of the cure are established before any search for the parts of the cure is undertaken

There are two terms used to describe objectives 1) **End Objectives** and 2) **Auxiliary Objectives** To be sure we understand what they mean, let's use a familiar example to explain

> All of us have probably used a road map When asked how we use a road map, we usually will answer that we have to know where we are, where we are going, and then decide which route to get there Well, when we are deciding where we are going, we are deciding the **end objective** Suppose I am in Cincinnati and I want to get to Santa Fe, New Mexico to visit a friend Santa Fe is my **end objective**, that's where I want to be as a result of my trip With that in mind, I can look at the map to pick a route How many different possible routes do you suppose there are? Probably thousands Which one will I choose? Well, it depends It depends upon what I want to accomplish along the way
>
> Things I want to **accomplish along the way are auxiliary objectives** They may not be as important as the end objective, but they can influence my choice of routes For instance, if I want to also stop to see relatives in Denver, it will affect the route If I want to see the Grand Canyon, it will affect route, time, and costs If my son is stationed at White Sands and wants me to stop by, it will affect route, time, costs and feelings Whatever I decide my auxiliary objectives are will have a big impact on how I go on my trip to Santa Fe Of course, my decisions will also be based on constraints like how much time I have, how much money I have, and what the other people have to say who are affected by my objectives

In defining objectives we are determining the end results that we want to achieve We are developing a picture of what we would like to accomplish with our solution

In many instances of solving problems, a compromise solution is required By setting objectives at the outset, we can more easily make distinctions between the right compromise and the wrong compromise By setting the right objectives, we prevent the possibility of settling for less than we should Objectives also provide a sound basis for the decisions we will make while developing and selecting alternative solutions In addition, the determination of objectives helps resolve differences when several people are involved in a discussion Furthermore, objectives will help prevent biases or prejudices that someone may have toward various alternatives

How can we define objectives? The first thing we can do is to define the results that we want to see from any solution We need to describe what we want **to see** as the end results and what we want **to avoid** as consequences This description will help others choose the better alternatives We can also test our objectives to see that they are valid and practical We do this by answering these questions

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- **Are the Objectives Related to the C/E?**

  Does each objective pertain to the C/E of the problem situation we are addressing? (If not, the objective should not be included)

- **Is the auxiliary objective desirable**

  Will the additional effort or investment make the task too great? (We don't want to include it if the effort to attain the auxiliary objective is greater than the effort to attain the end objective)

- **Are The Objectives Within Our Control or Influence?**

  Here we are asking if we have the authonty to act to accomplish the objectives we are after, or if we can influence others to take action If an objective is outside of our control or influence, we should not include it

10 CONSTRAINTS

Possible constraints are so significant to Problem-Solving that they need attention Therefore, we want to

- Identify Constraints
- Compare Constraints to objectives to see if objectives must be eliminated
- Challenge the Constraint if it is not compatible with the objectives (Is it real or imaginary?)
- Remove or Overcome the Constraint, if possible

Then and only then, we consider

- Altering or modifying the objectives so the constraints no longer have an effect
- Drop the objectives if the challenge of a constraint is real, can't be removed, or the objectives can't be modified

We identify and handle constraints as follows

- **Are There Any Known Specifications that Affect the Objectives?**

  In many instances, there are specifications such as size, time, physical characteristics, and equipment options that will have a bearing on objectives Their impact can be substantial We will want to include any specs or standards that we know about that solutions will have to meet

- **Are There Any Constraints Which Affect Objectives?**

  Constraints are those things which might hinder, limit or even eliminate an objective Constraints are such things as cost, shortage of materials, lack of skilled personnel, time, mechanical or technical limitations We may have discovered constraints when we were testing possible causes Recognizing constraints at this point will keep us from pursuing objectives that can t be reached or are too impractical to attain

- **Conversion**

  Add the specifications and constraints, stated as objectives

- **Importance**

  If possible, we may want to rank the objectives in order of importance This forces us to consider the relative value of each one and helps others, later, decide what they can and cannot compromise when they consider alternatives

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11 ALTERNATIVES

Alternatives are the possible types of action which might be taken to resolve a problem situation Just like in our mental trip to Santa Fe, our problems have numerous possible solutions By deliberately developing a number of alternatives in this step, even those which at first glance do not look promising, we can stimulate creativity It helps remove mental blinders It increases the likelihood that a better solution will be found

What can we do? There are three things we can do in deciding the solution to our problems

a List

First of all, we can list the possible solutions we think of In this listing, we attempt to make no distinctions as to practicality, workability, or importance of alternatives We don't want to qualify the alternatives, as we list them, since this tends to bog us down and often prevents ideas from seeing the light of day That type of screening can be done later

b Clarify

Once our alternatives are listed, we can then go over them to see if any should be expanded to make sure an alternative is complete, or restated if not completely clear

c Combine

We should then combine our ideas as clear sets or options for consideration in the decision step

12 SELECTION

In this step of the DECIDE stage, we use a process that will help select the alternative that is most likely to produce optimum results

a Screen Alternatives

It begins with "**screening**" the alternatives Generally speaking, a few alternatives will usually emerge as the more promising Screening means taking a fairly quick look at the alternatives to see if any should be eliminated There are three screens considered If an alternative doesn't pass the "screen," it is discarded

- **Objectives Screen**

  Does the alternative contribute to objectives?

- **Specifications Screen**

  Can the alternative meet the required specifications?

- **Constraints Screen**

  Will the alternative be possible in view of constraints?

If an alternative will not clearly meet the above questions, it will be removed from consideration If an alternative does satisfy the screening questions, at least partially or to a reasonable degree, it is left in for further evaluation

b Evaluate Alternatives

After **screening** comes **evaluation** Evaluation involves comparing and combining alternatives to come up with the "**best solution under the circumstances** "

- **Pro-Con Evaluation**

  This is used when the problem is **not complex** and there are a **limited number of objectives and alternatives** to consider Keeping the objectives in mind, it involves listing the pros and cons of each alternative The alternative, which on the balance

gives the greater advantages over disadvantages, is selected Such things as finances human resources, materials, time, effort to implement and maintain, impact on other operations, side effects, consequences of a wrong solution, and probability of success are considered

- **Cost-Benefit Evaluation**

  In some problem situations a **large number of quantitative factors** have to be considered It is difficult to make meaningful comparisons Therefore, a **matrix** tool is used to list the alternatives, estimated costs, potential gains and losses, and the probable gains and losses for each Then the alternative is selected which will provide the greatest probable gain against the projected costs

- **Objectives-Solution Evaluation**

  In problem situations in which there are **many qualitative factors** to consider and the P-C is inadequate for analysis, O-S analysis is used It is a more complex method that involves "weighing" the factors that are important in the decision

There are two steps in selecting alternatives

1 In the **screening**, we make sure we have already screened out any alternatives that won't meet our needs

2 In the **evaluation**, we provide a record of all of the advantages and disadvantages, benefits and costs, or potential gains and losses that we know about Mostly, this means being honest with ourselves about the pluses and the minuses of any ideas we have for solutions

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PROGRAM

The selection of an alternative makes many people feel that a burden has been lifted from their shoulders and that they are home free They are relieved at reaching a decision However, in many instances, the remaining steps of implementing the solution and checking to see if it has solved the problem are of equal importance In fact, a good solution may fail to achieve optimum results because attention was not given to "Programming the Solution " The Program stage follows a logical sequence of steps By mentally pursuing this sequence, we can help avoid many errors that often are made in getting the cure in place

13 PLAN

Planning means determining **what** has to be done, **who** will do it, what **resources** are needed, **when** and **where** the solution will be implemented, and **how** it will be implemented (**Why** is provided by the objectives) Planning is **thinking things through** before action actually commences We may find it necessary to re-examine objectives or alternatives while doing this stage Additional information or conditions that were not perceived earlier may come to light The Problem-Solving Process is not a rigid process but a dynamic one It is not unusual for us to have to go back and forth through the process

a Sequence

There are several points to consider in developing a logical sequence

- What actions will be needed?
- What are the key steps?
- What time, machines, tools, equipment, material, supplies and skills will be needed?
- What procedures, drawings and specifications will be needed?

So, perform the following tasks from your answers

- Make a list of the action steps in a logical sequence with indication of which of the steps appear to be the key ones in implementing the solution
- Identify the resources which will be required to complete the action steps
- Prepare a schedule which defines when each of the steps will be completed
- Schedule and develop any new written procedures or policies that are required with the action steps

b Contingencies

The idea behind contingency planning is to look ahead to see what might hinder implementation of the solution Then make plans to remove the obstacles, or reduce their effects Back-up plans are often worth the effort it takes to develop them If we do not examine or prepare for contingencies, we will have to knowingly accept the responsibility of something going wrong that we knew could go wrong

- Are there any competing key events taking place that will affect the scheduling of a plan?
- Where are problems likely to arise, based on our past experience?
- What negative effects might be caused by implementing the solution and where might these occur?
- What can be included in the action plan to prevent or minimize the impact of potential obstacles?
- What back-up plans or arrangements are worth our spending time to develop? (Where are the risks really serious?)

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c Checkpoints

Checkpoints tell how plans are progressing at appropriate places and times Ideally, they give early warning of variances while there is still time to take corrective action We will develop these checkpoints during the planning step The plan should include **what** to check, **where** to check it, **when** to check it, and **how** to check it All of these items need to be spelled out before implementation begins

- What are the critical steps in the plan that we must watch, ones where failures can have a major effect?
- What methods should we develop for monitoring progress of the implementation of the plan? (We may know these from our tests of possible causes)

14 ASSIGN

The successful implementation of a plan often depends on our giving the right assignments to the right people and in our communicating the assignments effectively There are usually a number of things that we know that will be very important to anyone involved in the plan We will help insure complete and accurate plans if we will share any answers that we have to the following questions

- What responsibilities should be given to which people, in implementing the plan?
- What authority will each person require to act?
- What knowledge or skill will people require?
- Is training necessary for people to handle their responsibilities properly?

Quite often, our passing along what we know can make the difference that makes plans successful

- Clarify, confirm and coordinate assignments
- Clarify the authority the work relationships and the initiative of the people involved, the key areas to watch, and the progress reports that we require

15 IMPLEMENT (THE PLAN)

In the Planning step, we are attempting to look ahead to everything that we need to do In the Implementing step, we put the plan into action There are several things that we must do

In many instances, we are the ones who will implement the solution and we may have been involved in its determination We know the situation, and the task of implementing is merely beginning the **who** will do **what** and **when** actions of the plan In other instances, a greater coordination effort is required We may have to

- Expedite actions as scheduled in the plan
- Coordinate when modifications of the plan need to be made and when contingency plans should be employed

Follow-up is a key function Someone has to

- Monitor progress check those things that we had planned to check
- Make sure that the recording and reporting of progress are taking place as planned

We will likely make some adjustments or modifications to the plan to make it work

Here, someone is responsible to

- Examine the situation when variances arise
- Take corrective action

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- This might be a modification or adjustment to the plan or it may be turning to contingency plans
- Check to see that the corrective action or contingency plan is working

Implementation works best if we will do these things

- Make sure that everyone understands the "5 W's and the H" about any work assignment, that is
  - **Who** is to DO **what, when, where, why** and **how**;
  - **Who** is to REPORT **what, when, where, why** and **how**

If anyone does not understand, we need to provide clarification

- Check the things we are supposed to check by paying close attention to the observable EFFECTS of our actions (in the same way we would examine problems or test possible causes)
- For each problem that comes up in implementing the solution, handle it
  - according to the contingency plan that was made,
  - or, according to the problem-solving process

16 EVALUATE (THE SOLUTION)

The last step of the problem-solving process is for evaluating the effectiveness of the solution Sometimes a solution, despite our best effort, does not work or does not produce the required results We may need to make some adjustment or come up with a new solution

If anticipated **results have been achieved** by the solution, we have no need to monitor it further We will not spend any more time on it than necessary If documentation has been made, we can summarize it and place it in the file for future reference The information may be useful in handling other problems

At times, **results may be better than we expected** We then try to discover why, since this information might have application elsewhere

If anticipated **results have not been achieved**, someone should

- See if some adaption, modification, or fine tuning of the solution will obtain the results we seek
- Try an alternative identified earlier in the process
- Take a new direction, which amounts to going back through the process from the beginning

The most important thing that we can do for evaluation is the thing that has been mentioned several times we can record and/or report our actions and our progress along the way If we have made good records of the process, the track record is already in place This makes it very easy to use the information for the investigation of future problems or for establishing a new SOP for handling routine and repetitive situations

CONCLUSION

The problem-solving process is primarily a mental process that requires our concentration and effort It's hard work, but work that has a payoff There are times when we may intuitively and quickly come up with brilliant solutions However for the most part, we develop good solutions to problems that were not encountered previously by using a systematic approach When we have developed the structured problem-solving approach as a mental habit, we will see that our analytical abilities have increased

TWO WAYS TEAMS WILL RESPOND

STAGES OF PROBLEM SOLVING PROCESS	WHAT TO DO IF YOU KNOW THE ANSWERS	WHAT TO DO IF YOU DON'T KNOW THE ANSWERS
IDENTIFY **What is the problem?**	1. Accurately *record* the answers, in detail ↓ 2. Accurately *report* the answers in the format that is appropriate for your team ↓ 3. Upon approval, *communicate* the decision and plan to all persons who are involved in or affected by the plan ↓ 4. *Participate* in implementing and following up as planned	1. Decide where you can get the answers (i e who has input) ↓ 2. Decide how you will gather the input from those involved ↓ 3 Gather the input ↓ 4. Compile the information ↓ 5. Analyze the information to gain answers to the questions ↓ 6. Use your analysis to complete the process ↓ 7. Now that you know, complete those four steps ↓
ANALYZE **What is the cause or reason?**		
DECIDE **What should be done about the situation?**		
PROGRAM **How will the solution be implemented and evaluated?**		

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TEAM APPLICATION of IDENTIFY

If your team is responsible for **Identifying problems**, follow these specific steps

1 Establish the **area** in which you will identify problems, such as

- Division or Department
- Location
- Responsibilities of a Job
- A piece of equipment
- A specific procedure or form

2 Decide if **BENCHMARKING** is desired (Is someone else good enough in this area to be used as an example? If so, go learn from them)

3 **BRAINSTORM/BRAINWRITE** what the people involved believe the problems to be In each brainstorm/brainwrite session, be sure to specify the **area** clearly so people have a clear focus for their efforts

4 If you are **not** sure of whether you have problems or not, develop the **desired** state by one of these three methods

- **CHECKSHEET**

  Establish, by brainstorm or brainwrite, exactly what an ideal situation would be like Organize it into a **CHECKSHEET** Go collect data from the job, with the **CHECK-SHEET** Compile the **CHECKSHEETS** to determine if there are any problems and to determine their scope

- OPERATIONAL DEFINITIONS, plus
- PSTP WORKSHEET

  Take a PSTP WORKSHEET and enter one of the tasks involved Complete the top of the worksheet by analyzing the task to determine all **Resources** and **Sources** as well as all **Results** and **Users**

  Then, involve the **Process Owner** (whoever does the task) with the **Source** and/or **User** to establish

  – Resource Requirements

  – Result Requirements

  Use the eight OPERATIONAL DEFINITION categories as guidelines to establish "customer" requirements for both Resources and Results

  Finally, compare the Resource and Result Requirements to the actual job situation and list every area that is not what it should be

5 After you have developed a list of problem areas, combine and clarify them until you're satisfied that you have clear and distinct **problem statements** for each

6 If there are 15 or less items, RANK ORDER or WEIGHT them by importance

7 If there are more than 15, use MULTI-VOTING to put the list into priority

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8 You may substitute the NOMINAL GROUP TECHNIQUE for Steps 3-7 if the group is not cooperating well, is not focusing clearly on the **area**, or is too argumentative for group processes

9 If you are unable to reach agreement on **problem statements** on the issues and, therefore, unable to decide importance, use the ISSUE IDENTIFICATION process **Problems** are **issues**

10 Use ISSUE IDENTIFICATION to determine who is involved (stakeholders) in each **issue** **Issues** are **problems**

11 Identify the priority of all **problems** or **issues**

12 Select the top priority **problem** or **issue**

13 Involve the appropriate people or their representatives

14 Using an I - P - O WORKSHEET or PSP WORKSHEET or other documenting method, record an accurate **Description** of the **problem** or **issue**

15 Reach CONSENSUS on the best **Description** of the **issue** or **problem** you can arrive at Be sure to address all five categories of questions in the **Description**

TEAM APPLICATION of ANALYZE-BA

1 Use **BRAINSTORM/BRAINWRITE** to get team members to identify all of the **Differences** between the problem situation and other situations, using BA Step 5

2 Use **BRAINSTORM/BRAINWRITE** to get team members to list **all** possible CAUSES for the EFFECTS listed in **Description** and **Differences** It may be helpful to use the **PSP WORKSHEET** to keep track of all EFFECTS and CAUSES and to ensure that all are accounted for

3 If you cannot identify CAUSES for all EFFECTS, you may have to use other tools, as follows

- **C/E DIAGRAMS**

  Construct a **C/E DIAGRAM** with backbone and major categories Then, **BRAINSTORM/BRAINWRITE** specific CAUSES and write them into the appropriate category It may be necessary to use a separate **C/E DIAGRAM** for each major EFFECT

- **CONTROL CHARTS**

- **SCATTER DIAGRAMS**

- **TREND CHARTS**

  If you cannot find CAUSES it may be necessary to collect data from the job situation over a period of time See the specific instructions for doing so

- **MORPHOLOGICAL ANALYSIS (Matrix)**

  If there is complex data, you may need to arrange it in matrices in order to analyze it and determine relationships To do so, **classify** the data into major categories Then, subdivide each category into an appropriate number of sub-categories Position related sub-categories as the axes of a matrix and plug in the data

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For example, to analyze the results of a survey (such as an Employee Opinion Survey), use the sub-categories of levels (Manager, Superintendent, Supervisor and Bargaining Unit Employee) as compared to Divisions Departments or Sections

The matrix will isolate where to look for CAUSES

4 Record all possible CAUSES It is helpful to use the **PSP WORKSHEET**

5 Prove that you have a realistic and probable CAUSE for every EFFECT

6 Remove possible CAUSES that could not have caused all of the EFFECTS or that could not have existed with some of the EFFECTS By a process of elimination, make sure the remaining CAUSES could have produced all of the EFFECTS

7 Reach **CONSENSUS** that your data is reliable and your CAUSES are accurate and complete

TEAM APPLICATION of ANALYZE-OA

1 **BRAINSTORM/BRAINWRITE** the **Elements** of the task or operation that is being analyzed for CAUSE

2 Record the information on the **I - P - O WORKSHEET**

3 Set the **Limits** of your search by isolating your search to the most likely elements Mark these on your **I - P - O WORKSHEET**

4 If necessary, use the other tools as listed under TEAM APPLICATION - BA

5 Perform **Tests** on each possible CAUSE until you find a CAUSE or CAUSES that could produce all of the Desirable and Undesirable Characteristics listed on the **I - P - O WORKSHEET**

TEAM APPLICATION of DECIDE

When it is time for your team to make **Decisions**, follow the **DECIDE** stage in sequence Use the **Tools/techniques** as follows

1 Make certain that everyone is clear on the **area** in which decisions are to be made If it is a particular **problem** or **issue**, restate the problem **Description** and **CAUSES** so the group has clear focus If it is a VISION or MISSION or GOAL statement from **VISIONING**, make sure that everyone has all of the related statements visible

2 **BRAINSTORM/BRAINWRITE** the **Objectives** the members of the team or their constituencies desire

- On the **PSP WORKSHEET**, make sure there is an **Objective** for every CAUSE and EFFECT The **Objective** may be, "Leave alone, okay as is "
- On **VISIONING**, make sure each **Objective** is compatible with and a part of the higher order elements, such as GOALS and MISSION

3 Reach **CONSENSUS** that the Objectives are stated in the best possible way and that they are relevant and controllable

4 Using **BRAINSTORM/BRAINWRITE**, develop a complete list of all **Constraints** Also use **"BOX" IDENTIFICATION**

5 Convert each **Constraint** into an **Objective** statement For example, "The project must be completed within the $21,000 budget " Reach **CONSENSUS** on all final statements

6 Add all **Constraint Objectives** to the list of **Objectives**

7 **RANK ORDER** or **WEIGHT** all **Objectives**

8 Using the **Objectives** as your focus, **BRAINSTORM/BRAINWRITE Alternative** solutions or actions that could be part of the solutions

9 Continue creating and listing until **Alternatives** have been identified to take care of all **Objectives** It is helpful to keep track on a **PSP WORKSHEET** for **problems**

10 Combine and clarify **Alternatives** into final sets or statements

11 Screen the **Alternatives** by the **Objectives** Eliminate any **Alternative** that does not contribute to an **Objective** or that is not possible within the **Constraint Objectives**

12 If there are a large number of Alternatives, reduce the number by a **MULTI-VOTE** process As an alternative, use the **NOMINAL GROUP TECHNIQUE**, or portions of it Reduce the number of alternatives to a manageable number before final selection

13 Select the appropriate TOOLS/TECHNIQUES for making the final decision

- **PRO - CON ANALYSIS**

  For simple problems with obvious advantages and disadvantages among **Alternatives**

- **COST - BENEFIT ANALYSIS**

  For quantitative comparisons among **Alternatives** This method is not useful if there are qualitative factors, unless combined with **PRO-CON ANALYSIS**

- **OBJECTIVE - SOLUTION ANALYSIS**

  Use this method for complex Alternatives with qualitative and quantitative elements Develop a **MORPHOLOGICAL ANALYSIS** (Matrix) with the **Objectives** as one axis and the **Alternatives** as the other

TEAM APPLICATION of PROGRAM

When a solution has been decided upon, it has to be converted into a plan The plan describes

Who,

will do **What,**

When they will do it

Where they will do it

Why they are to do it

and **How** they are to proceed

Then, the plan has to be implemented and evaluated

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So, if you are involved in developing a **PROGRAM** for a decision, try to follow these steps

1 **BRAINSTORM/BRAINWRITE** all of the tasks that are likely to be necessary in the selected solution Answer all of the "5W's and H" in your team efforts

2 If the tasks are new, or significantly different from what people are used to doing, complete a **JOB ANALYSIS** to the appropriate level **Job Detailing** will be needed if there are new procedures

3 Prepare **FLOWCHARTS** from the **JOB ANALYSIS** to ensure that the tasks are complete and that there are no gaps or closed loops in the steps

4 Complete a **RESOURCE ANALYSIS** to determine and obtain all resources that are required for the **PROGRAM**

5 Reach **CONSENSUS** that the **Plan** is complete and is sufficiently detailed to be communicated to everyone who will be involved

6 **BRAINSTORM/BRAINWRITE** who is to be involved in implementing the **Plan** Don't make assumptions and don't leave any tasks unassigned

7 If necessary, complete a **STRUCTURE ANALYSIS** to determine everyone else who will be affected

8 Make certain there is a good communication method to get all needed information to everyone who is

   - involved,
   - affected

9 Monitor implementation to ensure that everyone is doing everything that was included in the **Plan**

10 Evaluate by collecting data on what happens This is similar to **IDENTIFY** in the use of several tools

   - **CHECKSHEETS**
   - **CONTROL CHARTS**
   - **PARETO CHARTS**
   - **SCATTER DIAGRAMS**
   - **TREND CHARTS**

11 If you have to observe performers in the implementation stage, and you desire to establish whether their jobs are efficiently designed or not, you may need to use **WORKFLOW DIAGRAMS**

12 From the data you collect, determine what is effective and where it is effective Use **MORPHOLOGICAL ANALYSIS** as needed

PROCESS RELATIONSHIP TO TOOLS/TECHNIQUES

There are 16 steps in the Problem-solving process There are 31 tools and techniques that may be used In some cases, the tools or techniques can be used in nearly all of the steps

To help make sense of the relationship the following pages show the tool/technique that you are likely to find useful at each step in the process

Please note that tools/techniques apply to the numeric steps (1, 2, etc), and not to just the sub-items under each step

To distinguish tools from techniques, use the following legend

- Tools (Forms and charts)
- ¤ Techniques (Methods)

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PROCESS	TOOLS/TECHNIQUES
IDENTIFY	**ISSUE IDENTIFICATION**
1 RECOGNITION	¤ Benchmarking
a Undesirable	¤ Brainstorm/Brainwrite
b Observable	• Checksheets
c Decision	¤ Operational Definitions
d Statement	• PSTP Worksheet
2 PRIORITY	¤ Multi-vote
a Urgency	¤ Nominal Group Technique
• Criteria	• Pareto Charts
• Action	¤ Rank Ordering
b Importance	¤ Weighting
• Sequence	¤ Issue Identification
3 INVOLVEMENT	¤ Issue Identification
a. Responsibility Self	
• Approval	
• Help	
• Development	
• Others Affected	
b Responsibility Others	
• Help	
4 EFFECTS (DESCRIPTION)	¤ Consensus
a What?	• I - P - O Worksheet
b When?	• PSP Worksheet
c. Where?	
d Scope?	
e What's Okay?	

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PROCESS	TOOLS/TECHNIQUES
ANALYZE (BA)	**BASIC ANALYSIS**
5 DIFFERENCES	¤ Brainstorm/Brainwrite
a Similar	
b Experience	
c Specifications	
d Dimensions	
6 CAUSES	¤ Brainstorm/Brainwrite
a What?	• Cause-Effect Diagrams
b How?	• Control Charts
c Why?	• Impact Diagram
	• Morphological Analysis
	• PSP Worksheet
	• Scatter Diagrams
	• Trend Charts
7. PROVE	• PSP Worksheet
a. All	
b None	
c. Some	
8 CHECK	• PSP Worksheet
a Verify	¤ Consensus
b Match	

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PROCESS	TOOLS/TECHNIQUES
ANALYZE (OA)	**OPERATIONAL ANALYSIS**
5 ELEMENTS	¤ Brainstorm/Brainwrite • I - P - O Worksheet
a Input	
b Trigger Event	
c Process	
d Cutoff	
e Output	
f Feedback	
6 LIMITS	• I - P - O Worksheet
a Source	
b Operation	
c Limits	
d Expand	
7. CAUSES	¤ Brainstorm/Brainwrite • Cause-Effect Diagrams • Control Charts • Morphological Analysis • Scatter Diagrams • Trend Charts
a Known	
b Unlikely	
c Complex	
8. TESTS	• I - P - O Worksheet ¤ Consensus
a Tests	
• Logical	
• Measurable	
b Decisions	
• Recording	
• Interpreting	
• Concluding	

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PROCESS	TOOLS/TECHNIQUES
DECIDE	
9 OBJECTIVES	¤ Brainstorm/Brainwrite
a End	¤ Consensus
b Auxiliary	• PSP Worksheet
c Relevance	¤ Visioning
d Control	
10 CONSTRAINTS	¤ "Box" Identification
a Specifications	¤ Brainstorm/Brainwrite
b Constraints	¤ Consensus
c Conversion	• PSP Worksheet
d Importance	¤ Rank Ordering
	¤ Weighting
11 ALTERNATIVES	¤ Brainstorm/Brainwrite
a List	• PSP Worksheet
b Clarify	
c Combine	
12 SELECTION	¤ Consensus
a Screen	¤ Cost-Benefit Analysis
b Evaluate	¤ Impact Diagram
• Pro-Con	¤ Morphological Analysis
• Cost-Benefit	¤ Multi-vote
• Objective-Solution	¤ Nominal Group Technique
	¤ Objective-Solution Analysis
	• PSP Worksheet
	¤ Pro-Con Analysis

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PROCESS	TOOLS/TECHNIQUES
PROGRAM	
13 PLAN	¤ Brainstorm/Brainwrite
a Sequence	• Consensus
b Contingencies	• Flowcharts
c Checkpoints	¤ Job Analysis
	¤ Resource Analysis
14 ASSIGN	¤ Brainstorm/Brainwrite
a What?	• Delegation Worksheet
b Who?	¤ Structure Analysis
• Knowledge	
• Authority	
• Relationships	
• Initiative	
c When?	
15 IMPLEMENT	
a Expedite	
b Coordinate	
c Follow-up	
16 EVALUATE	• Checksheets
a Success	• Control Charts
b Exploit	¤ Morphological Analysis
c. Problem	• Pareto Charts
	• Scatter Diagrams
	• Trend Charts
	• Workflow Diagrams

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PSP REPORT FORMAT, WITH BA

IDENTIFY

1 **AWARENESS**

What is the problem?

2 **PRIORITY**

a Is the problem important enough to solve?

b Why?

3 **INVOLVEMENT**

a Who has information regarding the problem?

b Who needs to be or is involved in handling the problem?

4 **EFFECTS (DESCRIPTION)**

a What facts do you have?

- **WHAT?**
- **WHEN?**
- **WHERE?**
- **SCOPE?**
- **WHAT'S OKAY?**

b How do you accurately state the problem now that you've identified all the EFFECTS?

ANALYZE

5 **DIFFERENCES**

a What is different when EFFECTS of the problem situation are compared to EFFECTS of similar **Projects, Plans, Processes** or **Practices?**

b What is different when the problem EFFECTS are compared to **what you know from** your own **education** and **experience?**

c What is different when the problem EFFECTS are compared to **known standards and/or specifications?**

d. What is different when the problem EFFECTS are compared to **normal dimensions of the situation?**

6 **CAUSES**

Consider all three questions as alternate ideas for your brainstorm

a What might have caused the differences?

b How could the differences have been introduced?

c Why do the differences exist?

7 **PROVE**

Which of the probable CAUSES could have produced some or all of the EFFECTS?

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8 CHECK

a Are conclusions based on sound and reliable evidence?

b What data must be re-examined or verified?

c Who can verify or confirm the information or re-examine it?

d What does re-examination show?

e What stimulations can be set up to test the probable CAUSES in a low -risk way?

f What do the tests reveal?

g Have you accounted for all of the EFFECTS (good and bad) with the CAUSES?

DECIDE

9 OBJECTIVES

a What are the primary objectives that the solution must satisfy?

b What auxiliary objectives should be included?

c Are all listed objectives relevant to the C/E?

10 CONSTRAINTS

a What known specifications must the objectives meet or be compatible with?

b Are all listed objectives compatible with the specifications?

c What known constraints affect the objectives?

d Are all listed objectives possible within the known constraints?

e Are all listed objectives possible within your control or influence?

f If influence of others is necessary for any objective, what must be done to achieve the objective?

g Write the specifications or constraints as additional objectives

Rewrite the screened objectives, including constraints, in order of importance, with "absolutely essential not to be compromised" first, and then all others in declining value or significance

11 ALTERNATIVES

a What are all of the possible alternatives for solving the problem?

b Review the alternatives combine, clarify and expand as necessary

12 SELECTION

a Does each of the alternatives contribute toward achievement of one or more objectives?

b Does each alternative meet required specifications?

c Does each alternative either overcome constraints or remain possible within known constraints?

d What are the remaining alternatives that meet the screening criteria of "a-c"?

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e Which is the best method or methods of deciding among alternatives?

_____ P-C (Pro - Con Evaluation)

_____ C-B (Cost - Benefit Evaluation)

_____ O-S (Objective - Solution Evaluation)

f Show your evaluation of alternatives

PROGRAM

13 PLAN

a What sequence of action steps is needed?

b What resources are needed?

c What schedule or sequence should be followed?

d Are any written policies or procedures needed?

e What might go wrong?

f What can be done to reduce the impact of possible obstacles or to prevent them?

g What back-up and contingency plans should be prepared to handle the possible obstacles?

h What are the critical steps in the plan that must be watched carefully?

i What procedure will be used to monitor progress during implementation of the plan?

14 ASSIGN

a Who will be involved in implementation?

b What authority levels or responsibility levels must be made explicit?

c What working relationships must be established or maintained for implementation?

d What are the methods that will be used for communicating the plans and assignments to all who are involved or affected?

15 IMPLEMENT (THE PLAN)

a What kind of feedback is needed to monitor progress?

b What recording and/or reporting is needed?

c What is the method that will be used to insure that variances are detected and corrected?

d How will you know that implementation is complete and is successful?

16 EVALUATE (THE SOLUTION)

a Which anticipated results (objectives) are being achieved?

b Which are not?

c Why not?

d What is to be done to correct the solution?

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PSP REPORT FORMAT, WITH OA

IDENTIFY

1 **AWARENESS**

What is the problem?

2 **PRIORITY**

a Is the problem important enough to solve?

b Why?

3 **INVOLVEMENT**

a Who has information regarding the problem?

b Who needs to be or is involved in handling the problem?

4 **EFFECTS (DESCRIPTION)**

a What facts do you have?

- **WHAT?**
- **WHEN?**
- **WHERE?**
- **SCOPE?**
- **WHAT'S OKAY?**

b How do you accurately state the problem now that you've identified all the EFFECTS?

ANALYZE

5 **ELEMENTS**

What elements will be looked at?

- INPUTS
- PROCESSES
- OUTPUTS
- TRIGGER EVENTS
- CUTOFFS
- FEEDBACK

6 **LIMITS**

a Where will your investigation go?

b What will be included in the investigation (which processes)?

c Why?

7 **CAUSES**

What might be the CAUSE or CAUSES of the problem?

a Inputs

b Trigger Events

c Cutoffs

d Processes Themselves

8 TEST

a What will be done to test each possible CAUSE?

b Why?

c How?

(Arrange Tests in the order they will be performed)

d Have you accounted for all of the EFFECTS (good and bad) with the CAUSES?

DECIDE

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b What auxiliary objectives should be included?

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b Which are not?

c Why not?

d What is to be done to correct the solution?

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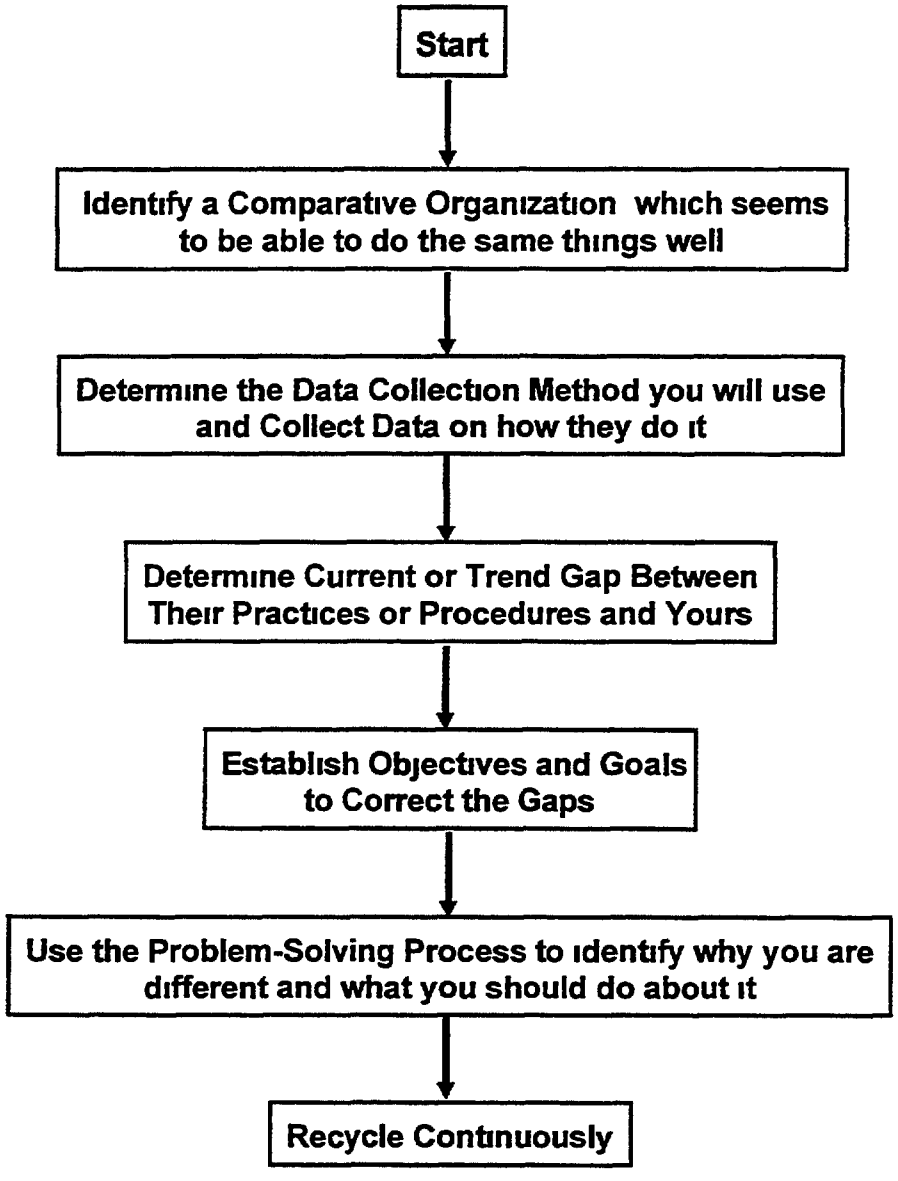
BENCHMARKING

Benchmarking is a process of setting improvement targets for the Problem-Solving Process based on the industry's best practices The best present and future levels that can be identified become the targets for future standards of performance



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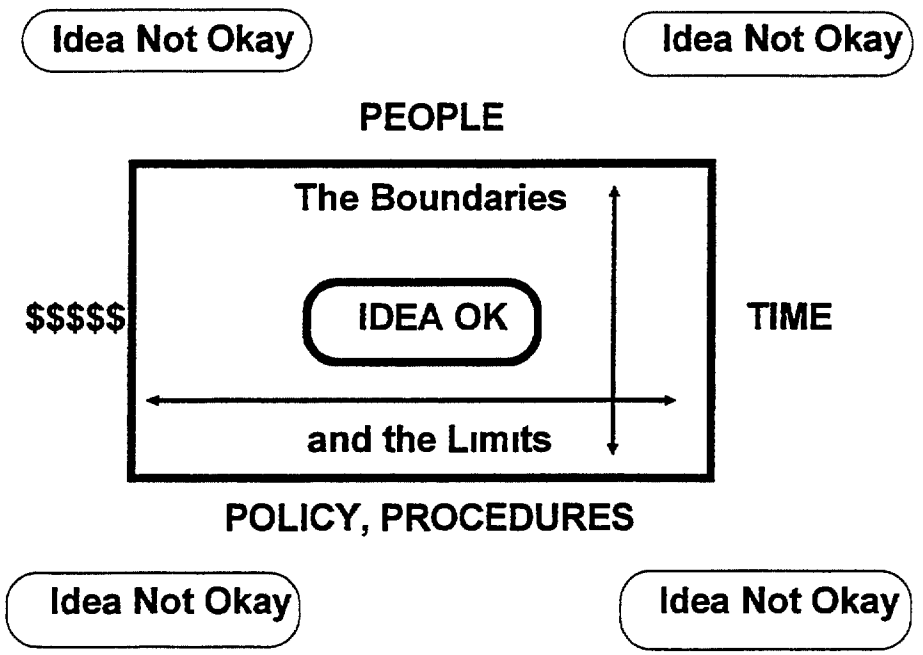
"BOX" IDENTIFICATION



The idea of identifying the "box" is to recognize the reality of constraints that are imposed on our solutions, over which we have no control Obviously, if we can negotiate and alter the constraints, we will do so If we can't, we have to make sure that any solution we decide upon is possible within the constraints

Normally, there are four types of constraints

- **MONEY**

  There are limited dollars budgeted, allocated or available We must select solutions we can afford

- **PEOPLE**

  Human resources are almost always limited We have to decide upon solutions that are possible within the people and capabilities we have available

- **TIME**

  There are deadlines, due dates and scheduled timeframes that our solutions must meet

- **POLICY, PROCEDURES**

  There are laws statutes regulations specifications policies rules procedures, methods, contracts and other criteria which impose limitations on our solutions It is up to us to decide upon solutions that are safe acceptable, moral ethical and legal

The four types of constraints serve to define a "box" of boundaries and limits If our solutions fit within these limits, they are **okay** If they are outside the limits, they are **not okay**

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BRAINSTORM/BRAINWRITE

Quite often, in the process of joint problem-solving, it is necessary to use one another's unique perspectives on a situation It is important that we understand good techniques for involving people We have several occasions for getting people to share their views, ideas, opinions, experience, perceptions and feelings about a situation For example, we need the involvement of others whenever we are

- Completing Job Analyses
- Defining Result (Customer) Requirements
- Defining Resource Requirements
- Establishing Measurement Techniques
- Identifying Problems
- Analyzing The Causes of Problems
- Creating Alternatives for Decisions and Solutions
- Planning and Implementing Solutions

Whenever we want others to be involved, we should remember four principles

1 PEOPLE DO NOT LIKE TO HAVE THEIR INPUT CRITICIZED OR JUDGED ARBITRARILY

Therefore, we want to **defer judgment** until we get all ideas or views out

2 WE TEND TO LIMIT OURSELVES TO IDEAS AND VIEWS WE HAVE EXPERIENCED

Therefore, we need to open up to give ourselves freedom to search for new, creative or different input It is easily proven that **quantity breeds quality**, the more ideas or perspectives we get out, the more likely it is we will achieve a better understanding and/or a better solution

3 WE CAN'T VIEW AND DISCUSS ITEMS THAT ARE NOT READILY VISIBLE TO EVERYONE

Therefore, we must **make all input from people visible and readable**

4 WE WANT TO USE BOTH FORMS OF PEOPLE'S IMAGINATIONS

- REPRODUCTIVE (from experience)
- CREATIVE (never experienced)

Therefore, we build upon ideas or input from others by showing variations and by creating "spinoff" or "piggyback" ideas

The process of getting people to open up is referred to as BRAINSTORMING or BRAIN-WRITING

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BRAINSTORMING

Brainstorming is a group process in which one or two "recorders" write down all ideas on a board or easels so everyone can see them **Brainstorming** works well in small groups where everyone has enough "air time" and people don't have to "wait in line" with their ideas

BRAINWRITING

In **brainwriting,** everyone participates at all times Each person records his/her own ideas on a sheet of paper or an easel sheet Then, after a few minutes of individual **brainwriting,** participants exchange papers

There are two basic ways to do this

- Put papers into a pool where anyone can reach for one when ready
- Exchange papers in some systematic rotation

The cycle of pool/rotation is repeated several times so that everyone sees and adds to several other peoples' ideas Each time a person gets a new paper, he/she writes all new ideas onto it, including ideas he/she may have seen on other papers To conclude, the group may develop a composite list to ensure that good ideas are not lost

CONCLUSION

Begin any brainstorm/brainwrite by defining, clearly, the area in which you need input or ideas Make sure everyone knows the focus for the effort

GROUNDRULES

Whenever we use one or more other persons to gather input, information, opinions, needs, views, ideas or experiences, we must establish these groundrules to be followed by everyone involved

1 NO CRITICISM OR JUDGMENT IS ALLOWED!

(We can always judge or evaluate later)

2 ALL IDEAS AND VIEWS ARE DESIRED!

(Anything goes, even "strange" ideas often produce or trigger "quality" ideas)

3 QUANTITY IF NEEDED FROM ALL!

(On average, each individual generates one third of a group's results, if given a chance)

4 BUILD ON OTHER PEOPLE S IDEAS

(When someone else's idea causes you to think of a variation or combination, get it out and written down)

5 DOCUMENT ALL IDEAS IN A VISIBLE WAY

(You can't do #4 if you can't see others ideas)

BOLTS OF LIGHTNING

FOR A BRAINSTORM/BRAINWRITE

Do not limit yourself in **quantity** in any way

- Vary the quantity from none to zillions
- Vary the size from miniature to massive

Do not limit yourself to **experienced appearance**

- Vary size
- Vary shape
- Vary composition

Do not limit yourself to **present wholeness**

- Break it into its components
- Consider components individually
- Consider new combinations

Do not limit yourself to **present environments**

- Change perspectives
- Change locations
- Change direction of view
- Change geographics
- Change climate or conditions
- Change surroundings

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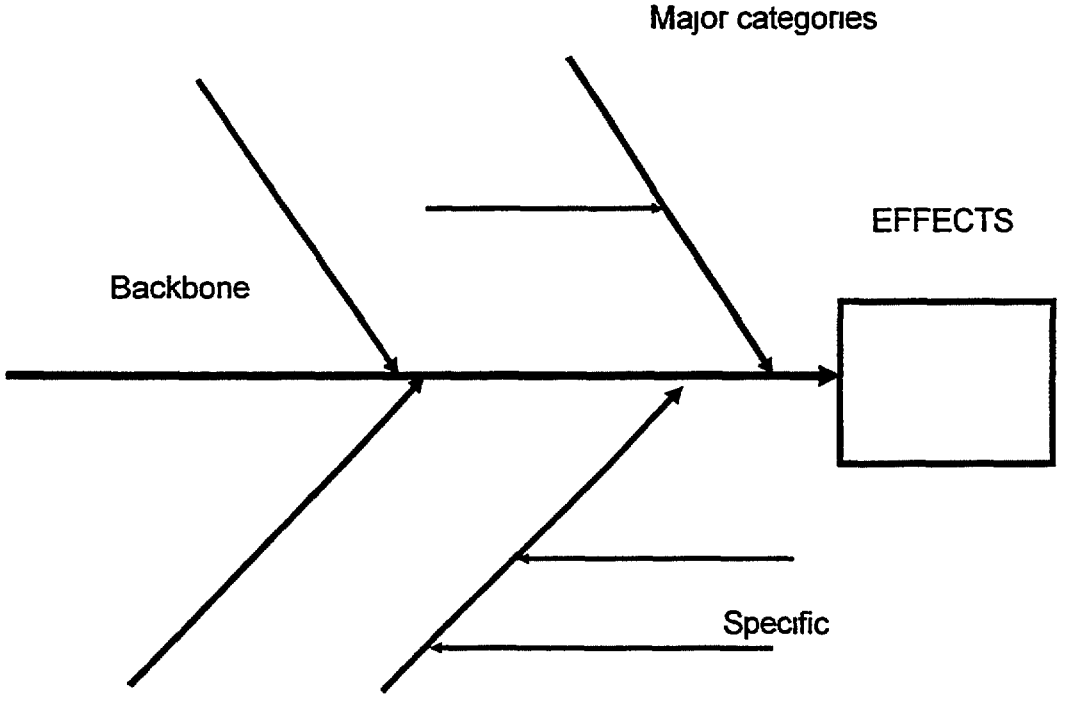
CAUSE-EFFECT DIAGRAMS

A cause-effect diagram is used to convert a brainstorm of possible causes into classifications of possible causes It also assists in further brainstorming The C/E diagram is also called "fishbone" because of its shape and "Ishikawa" because of its inventor

To construct a C/E diagram, you put in the **EFFECTS** and the **backbone** Then, you add **major cause categories** off the backbone After the major cause categories are in place, identify **specific possible causes** It is not necessary to label the parts as we've done here



An example, with some typical categories, is shown on the next page

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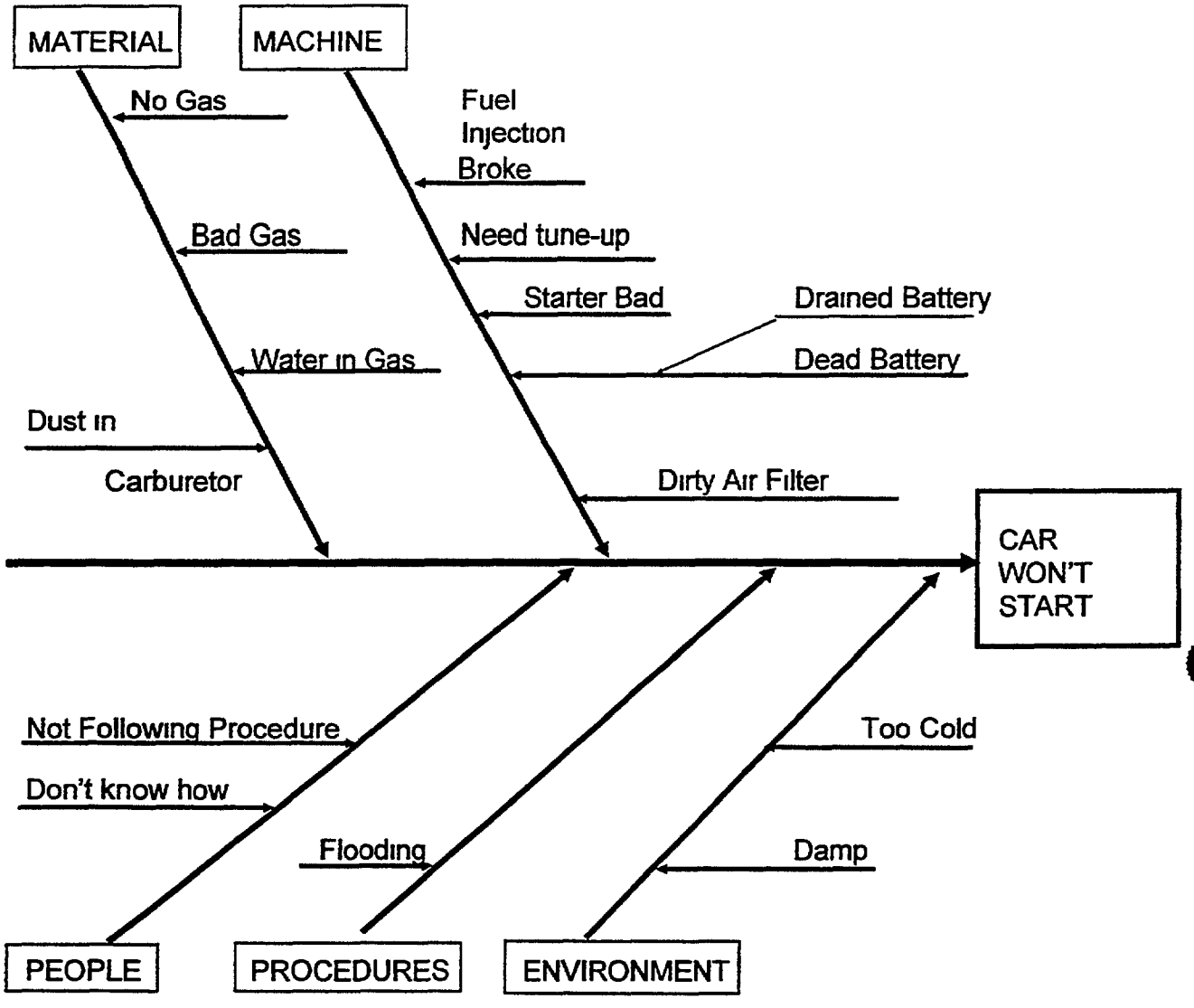
MATERIAL
MACHINE
No Gas
Fuel Injection Broke
Bad Gas
Need tune-up
Starter Bad
Drained Battery
Water in Gas
Dead Battery
Dust in Carburetor
Dirty Air Filter
CAR WON'T START
Not Following Procedure
Don't know how
Flooding
Too Cold
Damp
PEOPLE
PROCEDURES
ENVIRONMENT

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CHECKSHEETS

Checksheets are forms that are designed for specific situations in order to collect data They involve, most often, the recording of subjective data They may include diagrams if the person using the checksheet is to record **location** data

Here is a subjective checksheet for monitoring how well a new clerk handles the telephone-answering task

Sample Telephone Answering

____ Picked up before fourth ring

____ Identified company name

____ Identified self and department

____ **Asked caller questions**

____ Name

____ Organization

____ Phone Number

____ Message

____ **Recorded information on phone pad.**

____ Name

____ Organization

____ Phone Number

____ Message

____ Call back protocol

____ **Courteous manner**

____ Greeting Hello or Good Morning, Afternoon, etc

____ Pleasant Tone

____ Salutation Goodbye, etc

____ Answered caller questions

____ Delivered phone message to proper place

____ Recorded date

____ Recorded time

CONSENSUS

It is one thing to create a bunch of interesting ideas and opinions It is something else to screen, evaluate, combine and restate ideas into practical alternatives or solutions

How does a team make decisions about things?

1 DECISIONS BY THOSE IN AUTHORITY

Sometimes, we turn to those who have "position power " We let them decide for the group In matters of policy, this is usually an appropriate way to proceed

2 DECISIONS BY THOSE WHO KNOW

Often, we rely on people with specialized knowledge or relevant experience As long as the person is a credible, believable expert in a particular decision area, it is appropriate for us to have decisions made by knowledgeable people (This is a key reason for involving customers in determining their own needs and for involving process owners in every aspect of improvement affecting their processes)

3 COMBINED DECISIONS AMONG TEAMMATES

There are times that decisions need to be made, but are not policy (authority) and the answer isn't clearly the result of a specialist's knowledge or experience In these cases, we use a group process called **consensus** We define it as follows

CONSENSUS is a group decision in which

- everyone has had a fair chance to influence the decision,
- everyone agrees on the conditions or circumstances of the decision,
- everyone agrees on an alternative or solution that is chosen because it is THE BEST ONE UNDER THE CIRCUMSTANCES

We should not confuse consensus with decisions by minority (vocal or dominating few), decisions by majority (popular vote, democracy, etc) or unanimous consent (everybody likes it)

We should also not confuse consensus with feelings The "best decision under the circumstances" may not be **liked** by anyone in the group, or it may be **loved** by everyone "Liking" or "feeling good about" are not conditions of consensus

USE CONSENSUS WHEN . .

- It is not a clear-cut matter of law, science or unchangeable policy
- It is not the subject of experience (trying to recount what already happened)
- It involves two or more people with different views, ideas or opinions
- It deals with uncertainty, such as forecasting or predicting future impact
- It involves interdependence between people
- Acceptance and commitment are desired from the persons involved

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GROUNDRULES

A CONSENSUS decision is a decision in which **all** group members have **had a fair opportunity to influence** the decision **and all** agree that it is the **best decision under the circumstances** In other words, based on what is known, the group agrees that it has done its best, all group members agree to this **"best choice among available alternatives** "

CAUTION *AVOID ARGUING FOR YOUR OWN VIEW!*

1 **Present** your view in a **logical** manner

2 Follow the **"Rational Persuasion"** groundrules

3 **Listen** to all other views and rationale

4 **Learn** from all other people and their views

5 **Reconsider** your original views in light of what you've learned

CAUTION *AVOID ADOPTING A WIN-LOSE STANCE!*

6 **Break deadlocks** and **stalemates** by considering alternatives

- **alternative views** or combinations of views,
- alternative **criteria** of selection,
- an alternate **process** or method,
- alternative **solutions** or variations on solutions

CAUTION *AVOID AGREEMENT WITHOUT SUBSTANCE!*

7 **Explore** the **reasons** for agreements

8 **Seek out differences** of view

CAUTION *AVOID CONFLICT-AVOIDANCE TECHNIQUES!*
(e g Majority voting, averaging, flipping coins, trading, etc)

9 **Involve everyone** in the process

10 **Ask/poll** each person for input/views

CAUTION *AVOID DOMINATION AND SUBMISSION*

11 Challenge any **unsubstantiated** input/view

12 Challenge **domineering** or **submissive behaviors** of others

13 **Yield only** to "Rational Persuasion "

14 **Agree only** for similar or complementary reasons

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RATIONAL PERSUASION

In participative efforts, each person has a position to protect and present Your **position** is your perceptions, views, ideas, opinions and interests You are more likely to get others to understand and accept your position if you present your position in a format that includes

1 **CLAIM or STATEMENT**

- what you believe is fact or substance

2 **DATA or SOURCE**

- where you got your claim or statement,
- what evidence you have

3 **WARRANTS**

- why others should believe or accept it,
- the rules, principles or premises you used to draw conclusions or accept data
  - logic,
  - statistical data,
  - survey results,
  - valid samples,
  - etc

4 **REBUTTAL**

- what may cause your claim not to be as stated
  - limitations,
  - qualifiers,
  - assessing the plausibility
- other possible interpretations or conclusions

Most people do fairly well at the first three steps They are persuasive, but they do not create trust and they do not develop commitment from others To be **fair**, we have to objectively describe our own position by all of its advantages **and** disadvantages

CONVEYING VIEWS

Whenever you have feelings, emotions, ideas, opinions, views or perceptions about the relationships or processes in the group, follow these steps

1 Be **explicit** about what's going on inside you, **label** your feelings or opinions ("I'm feeling ", "I believe ")

2 Talk **with feeling**, consciously, while **keeping control**, send **congruent messages**

- Establish **eye contact**
- Control voice **pitch** (low)
- Control voice **tone** (feelings)
- Control voice **rate** (slow)
- **Enunciate**

3 Be **specific** about your emotions, your opinions, your feelings

- **When** they occurred
- **Likely cause** or trigger-event
- **Relevant** circumstances

4 Avoid blame, use **A-B-C** principle

Actions or situations and events **do not** produce Consequential feelings

Actions, filtered by Beliefs or expectations, produce Consequential feelings

Therefore, **identify your Beliefs** or **expectations**, **instead of blaming** Actions, situations or events

5 **Check it out** with others ("So, how do you feel?")

6 **Provide an alternative** for resolving feelings (e g "Could we use the checklist to avoid these diversions?")

7 **Build upon** constructive feelings (e g "I feel certain we can resolve this equitably ")

Self	Others
* Security	* Acceptance
* Optimism	* Respect
* Confidence	* Concern

In most cases, people who vent their feelings or emotions will do so without steps 6 and 7 As participants in any joint problem-solving or team effort, we owe it to ourselves and others to derive a **rational** way of dealing with our **emotional** reality

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F•I•R•M

TO EXPRESS YOURSELF, BE **F•I•R•M!**	HERE IS WHY AND HOW **F•I•R•M** HELPS	*TO HELP ANOTHER GET IT OUT,* GET **F•I•R•M!**
F = Describe the **facts** of the situation clearly Describe what has happened up to this point	These are the **facts** of the situation (what has happened) They help us to be accurate and they demonstrate that the best solutions come from a rational and logical approach	**F =** Ask for specific, concrete **facts**, ask for a description of what happened
I = Express your own **ideas**, **opinions**, **feelings** and /or **reactions** to the facts of the situation	These are the **feelings** about the situation, expressed with ownership We have full disclosure, and openness We control and convey what we think and feel We level with each other	**I =** Ask what their **ideas** are regarding the situation, ask what they **think**, ask how they **feel**, ask for their **concerns**
R = State what the **requirements** are (exactly what you want or need to have done about the situation)	These are **expectations** and **solutions** for the situation (what needs to happen) This is where we make it explicit WHO should do WHAT about the situation WHEN and HOW they are to do it	**R =** Ask for their **requirements**, ask for their solutions, ask what they think needs to be done
M = Give the **motives** for each party, the benefits to them and/or to you (Why it should be done)	These are the **values** and **benefits** of doing "R " This is where we make it matter by demonstrating the benefits and/or consequences of the solution and actions, to each party	**M =** Ask for their **motives**, ask how it might benefit them, ask what they stand to gain Ask them "Why?"

CONTROL CHARTS

A control chart is a running record of information about a job or situation It can be used to track any variable that is quantified (Variable Chart) or any dimension or characteristic that can be classified in binary terms (Attribute chart)

A control chart indicates the range of variation in a system. The boundaries of the range are marked with statistical control limits that differentiate **special causes** from the causes that produce normal variation, called **common causes**

- **Special Causes**

  Special causes are identified when data points fall outside the statistical control limits It should be fairly easy to track down and correct special causes

- **Common Causes**

  Common causes are identified when data falls within the statistical control limits To correct common causes it is necessary to make fundamental changes in the process itself

Since the use of control charts involves statistical background and several specific calculating skills, learning it is not possible within the timeframe of this program Contact OWL,INCORPORATED for further information on control charts

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C-B ANALYSIS (COSTS AND BENEFITS)

PROJECT ALTERNATIVES TO IMPLEMENTATION

Here we predict or forecast what is likely to be required to implement an alternative

↓

QUANTIFY SOLUTION AND COSTS

At this point we calculate the costs of implementing an alternative

↓

QUANTIFY SOLUTION BENEFITS

We calculate what the potential gains or losses will be for each alternative in this step

↓

→ POTENTIAL GAINS AND LOSSES TIMES PROBABILITY

This figure is a calculation on a percentage basis of the likelihood of a loss or a gain happening

↓

ESTABLISH C-B RELATIONSHIPS

Comparisons are made between the costs and the benefits of each alternative Those which are not acceptable (the gains do not outweigh the costs) are discarded

↓

ACCEPTABLE?

↓

◇ → NO → DISCARD

YES

↓

RANK ORDER ALTERNATIVES IN C-B EFFECTIVENESS

Sample Situation

A homeowner is considering taking money from savings and investing in storm windows and ceiling insulation The figures used in the example are $900 for installing storm windows and $630 for insulation Interest is based on 12 percent compounded annually The inflation rate on the cost of energy is calculated at 10 percent annually The annual energy cost starts at a rate of $1100 It is estimated that storm windows will save 10 percent on energy costs and insulation 10 percent on energy costs

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PROJECTED ENERGY COSTS	ALTERNATIVES	POTENTIAL GAINS OR LOSSES		PROBABLE GAINS OR LOSSES
For 10 years		Interest earned if money not spent, but invested for 10 years	Money saved on fuel bills if storms and/ or insulation bought	Total Cost For 10 years
$17,527	A Without Storms or Insulation	$3,222 - (on $1,530)	-0-	$17,527
			Total	- 3,222 **$14,305**
$17,527	B With Storms only	$1,326 (on $630)	$1,750	$17,527 - 1,326
			Total	- 1,750 **$14,451**
$17,527	C With Insulation only	$1,895 (on $900)	$1,750	$17,527 - 1,895
			Total	- 1,750 **$13,882**
$17,527	D With both Insulation and Storms	-0-	$3,500	$17,527
			Total	- 3,500 **$14,027**

On a Cost-Benefit basis the alternatives would rank "C" first, "D" second, "A" third, and "B" fourth If costs were the only consideration then the $630 spent for insulation and the $900 left in savings would be the alternative to choose However, the homeowner may feel that costs are not significantly different Then other factors would come into play Comfort level or having the money in the savings available for a contingency might take on significance

The probability is the same for all options and is high Therefore, all potential gains are realized Otherwise the potential gains or losses would be multiplied by the percentage

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DELEGATION WORKSHEET GUIDELINES

To delegate effectively (as delegator or delegate), we must incorporate four specific ingredients in the delegation process

1 The specific **task** to be delegated

2 The **type** of **authority** needed

3 The type of **relationships** needed

4 The **level** of **initiative** required

1 Jobs are More Than Responsibilities

Each time that we have a job to be done, we are actually recognizing **two ingredients** in jobs **performance** and **results** Jobs consist of some **action** being taken by people and/or machines **in order to produce some end result** In other words, we recognize that we have to have some work **action** in order to achieve **results**, we are primarily interested in having results, but we cannot have them without action (the performance)

We take a large step in improving our delegation abilities merely by thinking of all jobs as a **set of performances and results** A performance/result statement will be called a **task** If the statement is only an action or only a result, it cannot be called a task

We do have to be careful because it is quite common to fall into three easy traps 1) to think of jobs in terms of "responsibilities" or 2) to think in terms of "performance" only or 3) to think in terms of "results" only We want to think in terms of "tasks "

- **Performance** a description of **what is actually done** in order to fulfill the responsibilities of a job Performance is specific behavior or action and is described with an action verb
- **Result** a description of **the effects of performance** in the job Result describes what you have after the action has been taken the product of the performance, the observable outcome
- **Task.a statement of a performance** and its **result,** a performance-result

Our problem is to be able to segregate statements of responsibilities, performance and results For instance, a manager is **responsible** for "maintaining morale of his or her people " However, that phrase does not describe what managers **do** They may perform any number of actions **(tasks)** in order to accomplish that responsibility They might "answer employee questions," "give each employee praise when it has been earned," "train employees in the skills of their jobs" and so on

Results describe the state of the situation after performance For example, "the employee has all questions answered satisfactorily," or "the employee is fully competent in all tasks of the job "

To further help us **describe tasks** accurately, we can use these guidelines

- Tasks answer the questions
  - What are you going to do?
  - What do you want to accomplish by doing it?
- Tasks **take time** and have specific **controls, standards** or **deadlines** (Responsibilities are ongoing)

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- Tasks are **observable** (can be seen or heard) Even where the performance is mental (e g decide) the result of the performance is observable, or it can be made observable
- **Any legitimate responsibility** can be **broken down into the tasks** which are necessary to accomplish it
- Sometimes the **result** of the task may be commonly understood **without being stated** (e g "Plant a tree" implies a series of observable results which are usually well known to persons who have that task to do Similarly, "Copy this report for me" is the assignment of a task which implies the result, a legible copy)

2. Authority

The next factor, authority identifies who is allowed and/or authorized to perform certain tasks It concerns determining the scope of decision-making power and the freedom-of-action needed to get the work done

Each person needs to know when they are free to act By the same token, each one should know when initiative is **not** called for, and asking or reporting to the manager is needed The biggest problem we may have in establishing the right amount of authority to go along with responsibility is failing to recognize that there are three basic kinds of authority that can be delegated Organizations have tended to be a little ambiguous on this point

a Functional (Deciding WHO, WHAT, WHEN and WHERE)

Functional authority is the strongest type of authority that can be delegated to an individual Functional authority is the **right to decide WHAT** is to be done, plus **WHEN** and **WHERE** it is to be done It includes the **right to command** that is, the right to direct someone else to act (**WHO** IS TO DO IT) Functional authority is normally the kind of authority we would delegate to a supervisor for use in directing the activities of employees Functional authority is often called "line" authority

Functional authority is not without its limits Typically, we would look at the activities and functions that are needed in a job Then we will delegate to the person in that position, the freedom to decide and act whenever questions arise within the person's scope of activities, up to certain limits or on certain tasks

b Procedural (Specifying HOW)

Procedural authority is different It is the **right to specify HOW** something is to be done Many people may retain procedural authority when dealing with various activities They can stipulate **how** the activities are to be handled in terms of certain quality specifications Accounting people may have procedural authority for the processing of accounting paper-work. They can specify **how** information is to be presented on what forms and according to what procedures

Procedural authority should not be confused with functional or line authority Let's illustrate the Lawyer might say, "I can't tell you **to** write to a vendor or **when** to write What I can tell you is that **if** you write to them, you **must do so within the policy specifications** that are laid out "

c Advisory (Identify WHO, WHAT, WHEN, WHERE, HOW and WHY)

Advisory authority is the third category This type of authority is sometimes called the "**power of decision without the power of command** " It simply means that the person with advisory authority can decide what is best and then advise, recommend, suggest or sell this decision to someone else but cannot command or demand that the decision be followed This is the type of authority that many specialists have They decide what is needed, based on their expertise However, they must have their plans approved by

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someone with functional authority before proceeding This usually requires a great deal of "sales ability" to justify the decision with **WHY**

3 **Relationships**

Organization charts and management procedures cannot specify all particulars in the job situation Relationships aren't always easy to see or achieve Good organizing normally requires each position in an organization to be designed to contribute a separate and distinct stage or function to the work being done The idea of relationships is that all functions interact in such a way as to combine efforts toward the common goals and objectives While the two ideas appear to be in contradiction, it is important to realize that both "differences in duties" and "good working relationships" are required This leads to the question, however "How do we achieve good relationships in our organizing effort?"

To answer the question, we will have to consider three degrees of working relationships

a **Information Transfer**

The lowest degree of working relationships may be properly called **information transfer** This simply means that two positions will be required to transfer information There is no real coordination of effort required nor is there any need for joint decision-making The relationship between people on a lateral basis is incidental it happens, but is not significant to the functioning within each position The relationship is one of passing information along, without need, normally, for consultation or decision-making that alters any responsibilities

b **Coordination**

The next higher level of working relationships is called **coordination** In this case, what one position does can have a moderate effect on the work activity or priorities of the other This level of coordination goes well beyond just a transfer of information At times, there is a real need for negotiation Agreements are reached which can change timeframes and directly affect the tasks someone works on Everyone's schedules can be altered All of this may be done purely on a lateral coordination basis without the involvement of any higher authority

c **Collaboration**

Other types of work may require an even higher level of working relationships This is called **collaboration** In these situations, substantive issues are decided on a lateral basis People from various functions or locations work together to handle a particular project or task The chain-of-command is all but forgotten and problems or decisions are handled by the people involved, regardless of their status in the formal organization All, or nearly all, of the operational decisions are made along the way This process works well if decisions about What, When and How are made on a collaborative basis among the people involved

The right level of relationships is a key factor It helps determine the authority required and the necessary capabilities of the people involved

4 **Initiative**

Most management people are familiar with the art of delegation Delegation is the process of giving to people the responsibility to handle a task or a set of tasks The degree of latitude we give people in handling that work will vary, but for the most part, we want people to do things that we do not have time to do In most cases, we do not just dump responsibilities, nor do we want to give such close supervision that people function as "gofers" (Go for this, Go for that) We want each person to exercise initiative, but we still have to maintain the appropriate degree of control

We must remember a basic rule about how initiative works

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Depending upon what we do, the responsibility will either remain with us, or will fall upon the shoulders of the delegatee, or will be ignored by everyone

There is a direct relationship between the amount of responsibility we delegate and the amount of initiative delegatees exercise We cannot delegate responsibility to anyone who is unwilling to accept it In this case, they drop the ball They cannot exercise initiative if we will not relinquish authority In this situation, we drop the ball Where there is an opportunity, but it is not examined, both sides have dropped the ball (or more accurately, neither has bothered to pick it up the responsibility for action has not been accepted by either)

That leads to some questions

- When is it the delegator's job?
- When is it the delegatee's duty?
- How can we tell the difference?

We can begin to answer these question by some examples which relate to who has the ball

Generally speaking, we can identify several possible levels of initiative-delegation when it comes to dealing with opportunities Each may be appropriate for different tasks We can help ourselves and our organization by operating at the appropriate level Indeed, if we are to delegate effectively, it is essential that we operate at the appropriate level

a Lowest Level Wait for Assignments

People may, at times, wait until they are told what to do This is the lowest degree of initiative, and they dutifully wait until the manager outlines what he or she wants them to do The possibilities for decisions lie primarily with the manager We should not be surprised that the manager makes all decisions without much input or ideas from others

Of course, there are times when this level of initiative is appropriate

The most serious drawback of this level of initiative, however, is that managers seldom can see the opportunities or problems that delegatees can see Managers are too far removed from the nitty-gritty of the jobs They operate from second-hand information which does not reveal opportunities and often hides problems They are often shielded from the real problems that those who are where the "action is" can see

d Second Level Ask for Instructions

In the next level of initiative, delegatees go to managers to ask what they are supposed to do and how they should go about handling it They are calling attention to the fact that they are around and willing to perform, but they are leaving all decisions up to the manager Again, we should not be surprised that the manager's decisions look like his or her ideas and that the "status quo" will be fairly well protected

Again, this is the proper level of initiative in some situations We do have to be careful that we don't allow it when we should be at a higher level It suffers the same drawback as was true of the lowest level delegators may be ignorant of what is wrong and what can be improved

c Third Level Investigate, Recommend, Seek Approval

In the third level of initiative delegatees explain what they want to do supply the manager with the necessary background information and then carry through on the decisions made by the manager At this level delegatees are assuming more of the initiative and we are much more likely to see decisions which reflect their thoughts and views of problems We are making sure that good opportunities do not get passed by or forgotten

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At this level, delegatees have to "justify" their decisions and "sell" their ideas Without good sales skills, they are likely to be told "NO "

d **Fourth Level Urgent Action, Immediate Report**

If delegatees operate at the fourth level, they take the action that they feel is appropriate and then inform the manager immediately Often, this will be a sensitive area There are many times they can make on-the-spot decisions to handle situations or improve operations This is more likely to be in "emergency" situations or "urgent" priority tasks

This level often requires after-the-fact "sales ability" as delegatees report actions and the reasons for them They may need to convince managers of the soundness of their decisions or the wisdom of their actions

e **Highest Level Full Responsibility, Regular Reporting**

At the highest degree of initiative, delegatees make decisions and act on our own to complete the task They only report to the manager in a general way at regular times, like at the end of the day, or at weekly meetings They have a high degree of authority to make decisions and to act They only report in order to keep managers abreast of what is going on

We need to have people in our organization operate at this level of initiative more often It is the level of initiative that is most likely to produce the most results It is an appropriate level for most routine tasks

This level of initiative also requires that delegatees be able to "sell" managers on the decisions they have made and the actions they have taken Delegatees need to "justify" and "be justified" in their actions

It boils down to this If delegatees don't exercise initiative, the burden falls upon the manager They are forced to become directly involved in all of the work Obviously, in order to be effective and get some of the things done we know should be done, we want to operate at levels 3, 4, and 5 In level 1 and 2, delegatees do not function with enough initiative for effective delegation

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DELEGATION WORKSHEET

DELEGATEE _____

1 TASK to be delegated

_____

_____

2 AUTHORITY TYPE

( ) Functional [Limits _____]
( ) Procedural
( ) Advisory

3 RELATIONSHIP DEGREES POSSIBLE

a Information Transfer _____

b Coordination _____

c. Collaboration _____

Relationships Needed With Whom?	Degree Needed		
_____	( ) a	( ) b	( ) c
_____	( ) a	( ) b	( ) c
_____	( ) a	( ) b	( ) c
_____	( ) a	( ) b.	( ) c.
_____	( ) a	( ) b	( ) c.

4 INITIATIVE LEVEL DESIRED

( ) **Wait** for assignment of the task
( ) **Ask** for instructions to do the task
( ) **Recommend** and seek approval for task
( ) **Take action, report** results **immediately**
( ) **Take action, report** as part of normal **routine**

5 TIMEFRAME

( ) **One-time only Due date** _____
( ) **Time span** _____ **to** _____
( ) **Ongoing and continuing**

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6 DESIRED RESULTS OR PERFORMANCE CRITERIA (What do you expect as results? What level of results? What criteria will you use to evaluate performance?)

_____

_____

_____

_____

7 DEVELOPMENT PLANS (Knowledge or skills needed by the delegatee to be able to complete the task and joint plans for acquiring them by training, coaching, etc)

_____

_____

_____

_____

8 RESOURCE REQUIREMENTS (What information or other resources does the delegatee need access to? Who are knowledgeable contacts for assistance, if needed?)

_____

_____

_____

_____

9 KNOWN OBSTACLES (What are likely impediments the delegatee needs to be aware of and overcome?)

_____

_____

_____

_____

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DESCRIBING PROBLEM SITUATIONS (EFFECTS)

What?

- What symptoms indicate that there is a problem?
- What are the observable conditions? (What did we and others sense or measure?)
- Under what conditions do indications appear? What was the environment like?
- What were the inputs? What came together for the operation?
- What was the operation? What was done? What was not done?
- What were the results of the operation? What were the outcomes and consequences?
- What were the conditions at the time of the operation? Immediately before and after?

When?

- When were the symptoms or conditions first noticed?
- Were they repeated? Were they the same each time? What changed?
- How long has the condition existed? When noticed? For how long?
- What caused the operation to begin? What caused it to stop?
- Did the symptoms show up in a sequence (one EFFECT followed by others?)
- Do the conditions appear in a pattern? How frequently? Is it predictable or intermittent?
- Could the symptoms have existed before they were noticed? For how long?

Where?

- Geographically, where do the symptoms appear? Is there more than one location?
- Where within or on the object are the symptoms observable?
- At what stage in the process do they occur?
- Where did we see, hear, feel, smell, taste or measure the symptoms?

Scope?

- How many objects or areas have the indications of a problem? Are all affected?
- Is the whole of the object affected or only parts? What parts?
- Is there a trend to the symptoms? Are they staying the same, worsening or improving?
- What inputs or outputs are affected?

What's Okay?

- What conditions are the way they should be?
- What parts or portions are unaffected? What inputs were okay?
- What indications are favorable?
- What conditions are desirable?
- What processes worked right?
- What outputs or results are the way they should be?

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FLOW CHARTS

Flowcharts are a useful tool to understand processes or operations They make the entire process make sense by showing the sequence of operations and the relationship of operations to each other They also demonstrate the decisions that are involved in the process and what happens in each direction a decision leads

You construct flowcharts by following flowcharting conventions That way, everyone can understand the flowcharts that result

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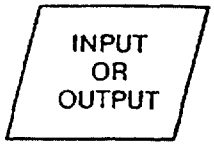
TASK FLOWCHARTING CONVENTIONS



This symbol indicates a necessary input for an operation or the output from one

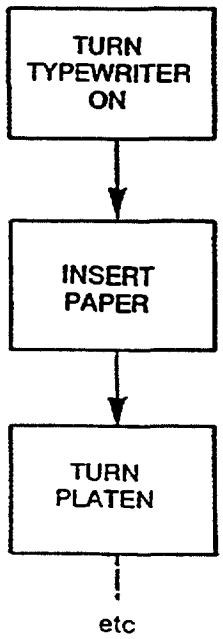
This symbol indicates any processing function (a defined operation) which is an action that causes a change in results

This symbol denotes a choice between alternatives

This indicates the beginning or end of a sequence of operations/decisions

OPERATIONS:

We would have no trouble flowcharting a sequence of operations For instance



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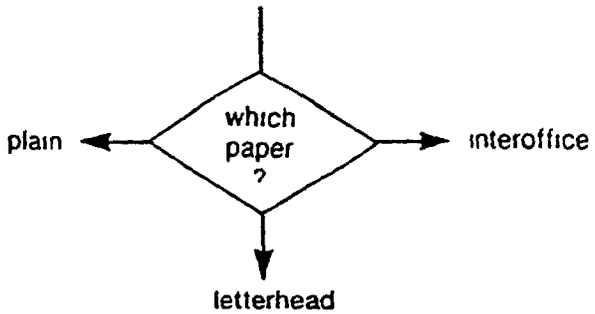
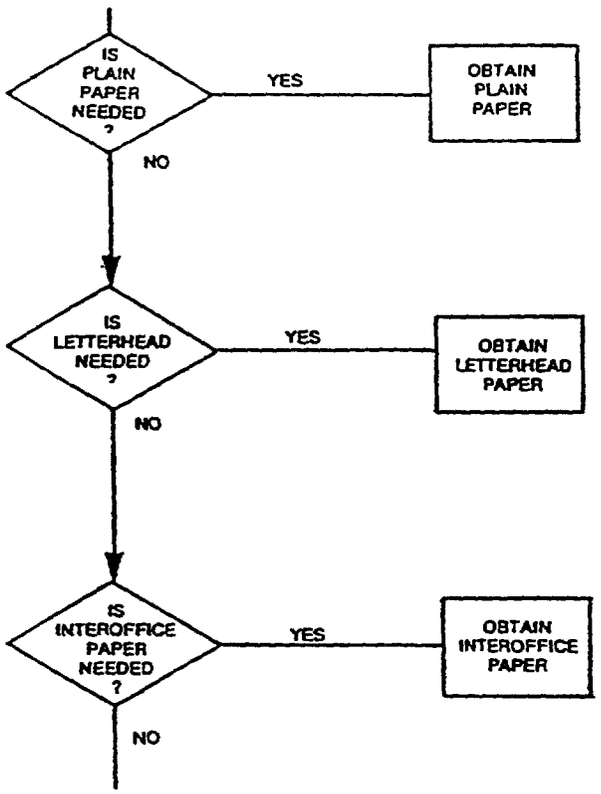
DECISIONS:

However, as soon as we introduce the idea of a decision (choosing between alternatives), we have to be able to show what happens with each alternative For instance



Up to three alternatives seem to be possible with our symbol Beyond three, our symbol might begin to look like a spaghetti factory To solve the problem, we convert all decisions into binary (2-part) decisions Continuing with the same example, the decisions and their consequences are much more readily illustrated



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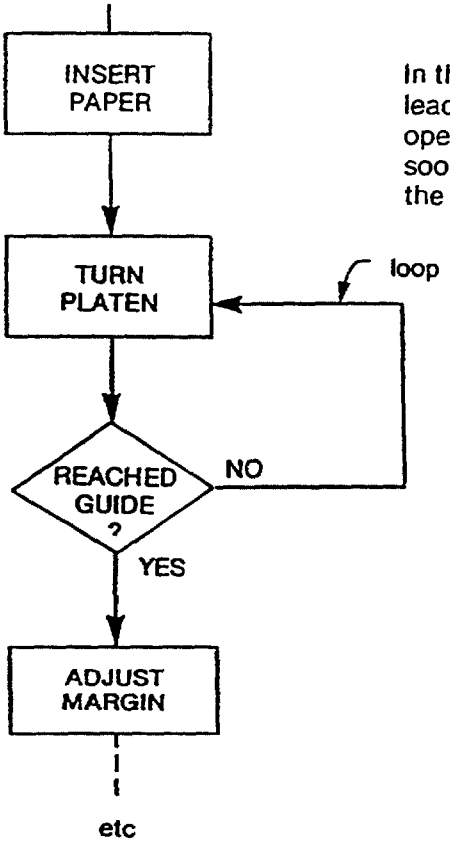
BRANCHING.

Whenever we have alternatives, this is called "branching ' That simply means the same thing as coming to a "Y" in the road, we have to choose which branch we want to follow

There is also the possibility that we may need to continue an operation or repeat an operation until we meet some predetermined limit or standard For example, we might use the previous operation example that read

- Insert paper
- Turn platen
- When leading edge reaches index guide, stop

Flowcharted, it might look like this



LOOP.

In this situation, a loop is a branch which leads back to an operation or series of operations We "get out of the loop" as soon as the decision can be answered the other way

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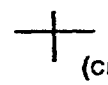
OTHER CONVENTIONS.

We should use standard conventions (practices) when we flowchart so that our flowcharts can be correctly interpreted

- Symbols are normally connected with solid lines ———
- If there are no arrows indicating direction, flowcharts are read from top to bottom and from left to right *Arrows indicate a different direction* and are always required for a different direction They may be used on all lines, but are not necessary for down or right directions
- To reduce the number of lines on a flowchart, loops and branches may be con nected by *on page connector* symbols with a common letter or number used to indicate connecting points

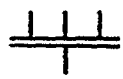
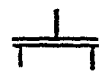
- Off-page connectors use this symbol with a common letter/number to indicate connecting points

- Lines *may cross* (indicating no connection) or merge (indicating two or more incoming lines joining at one outgoing line)

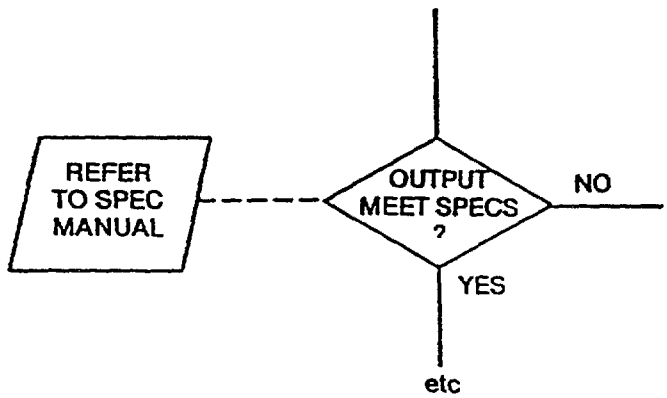

(cross)

(merge)

- Two or more simultaneous operations may be shown as beginning or ending by a double line with appropriate incoming or outgoing lines

(e g  or )

- Additional remarks may be added to an operation or decision by using a dotted line connected to the appropriate symbol For example



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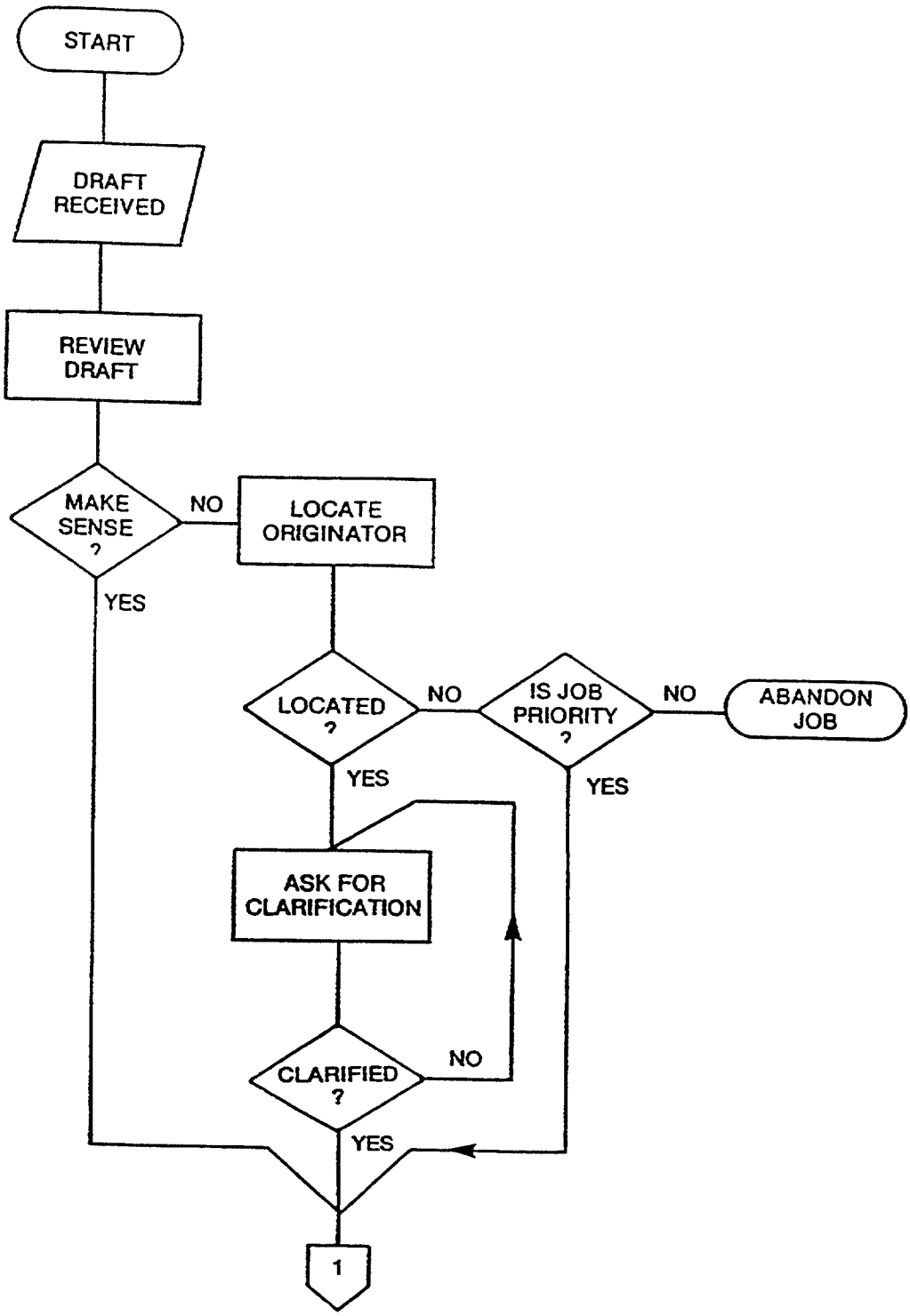
SAMPLE

TASK A SECRETARY TYPING A LETTER



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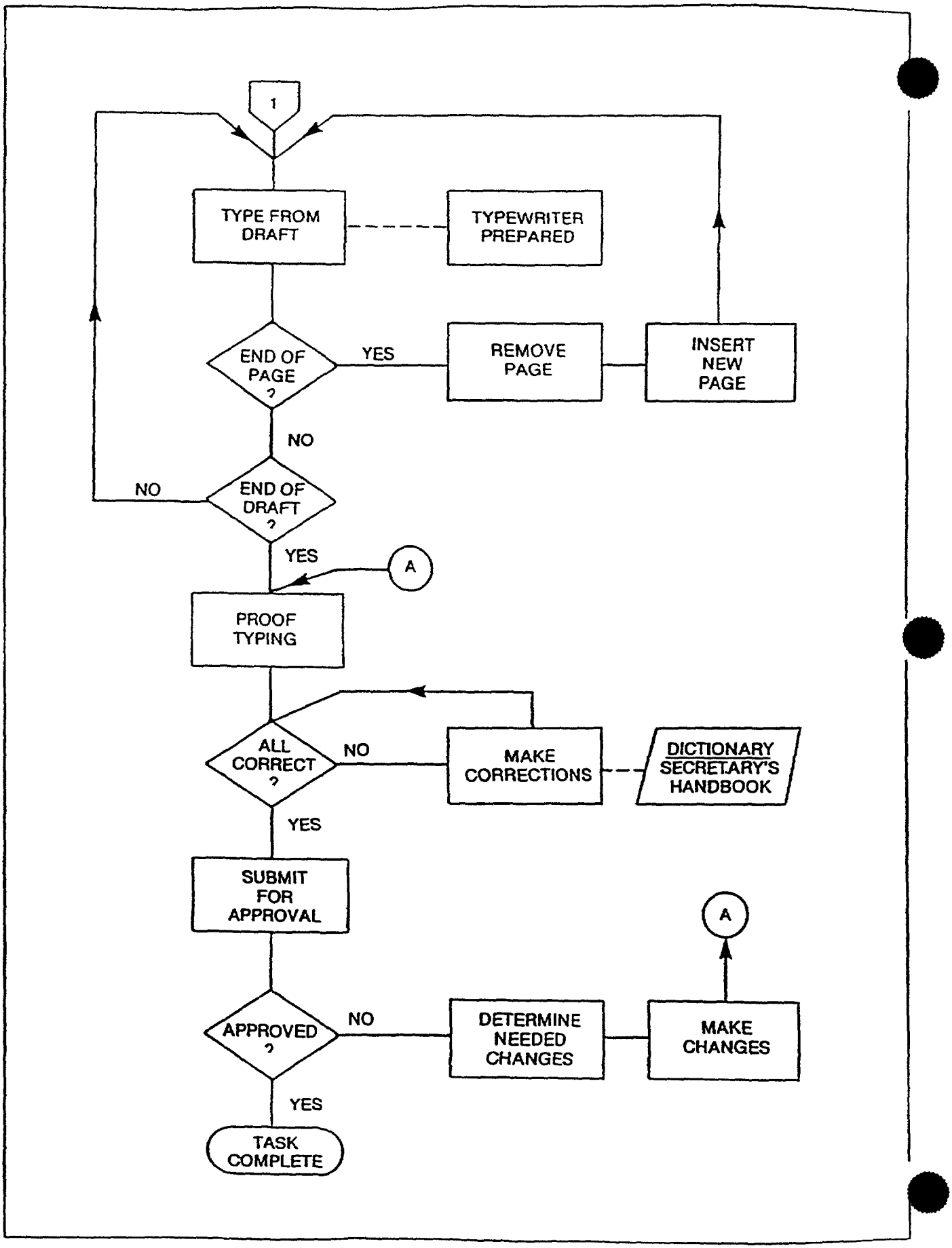
1
TYPE FROM DRAFT
TYPEWRITER PREPARED
END OF PAGE ?
YES
REMOVE PAGE
INSERT NEW PAGE
NO
END OF DRAFT ?
NO
YES
A
PROOF TYPING
ALL CORRECT ?
NO
MAKE CORRECTIONS
DICTIONARY SECRETARY'S HANDBOOK
YES
SUBMIT FOR APPROVAL
A
APPROVED ?
NO
DETERMINE NEEDED CHANGES
MAKE CHANGES
YES
TASK COMPLETE

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I - P - O WORKSHEET

An I-P-O worksheet is used with Operational Analysis (OA) to keep track of all elements of an operation in order to find the CAUSE

To use the I-P-O whorksheet, follow these steps

1 List the **Task** or **Operation** you want to **ANALYZE**

2 List the **Desirable Characteristics** and **Undesirable Characteristics** of all EFFECTS in the spaces provided at the right side of the form

3 List all **Inputs** that are involved and/or needed for the operation This includes all resources

4 List the **Trigger Events** that are necessary for every process in the operation

5 List every **Process**

6 List two categories of **cutoffs**

- **Normal**

  Normal cutoffs are those cutoffs that are designed to stop the processes

- **Abnormal**

  Abnormal cutoffs are those things we can identify from experience or logical deduction that **could cause** the process to stop We list everything that seems like a possibility as a cutoff

7 Begin to apply OA (Steps 6-8) to each item on the worksheet It is always best to do so in a systematic way in the sequence

- Inputs
- Trigger Events
- Processes
- Cutoffs

Continue the OA steps until you find variations that could produce **ALL** of the EFFECTS listed

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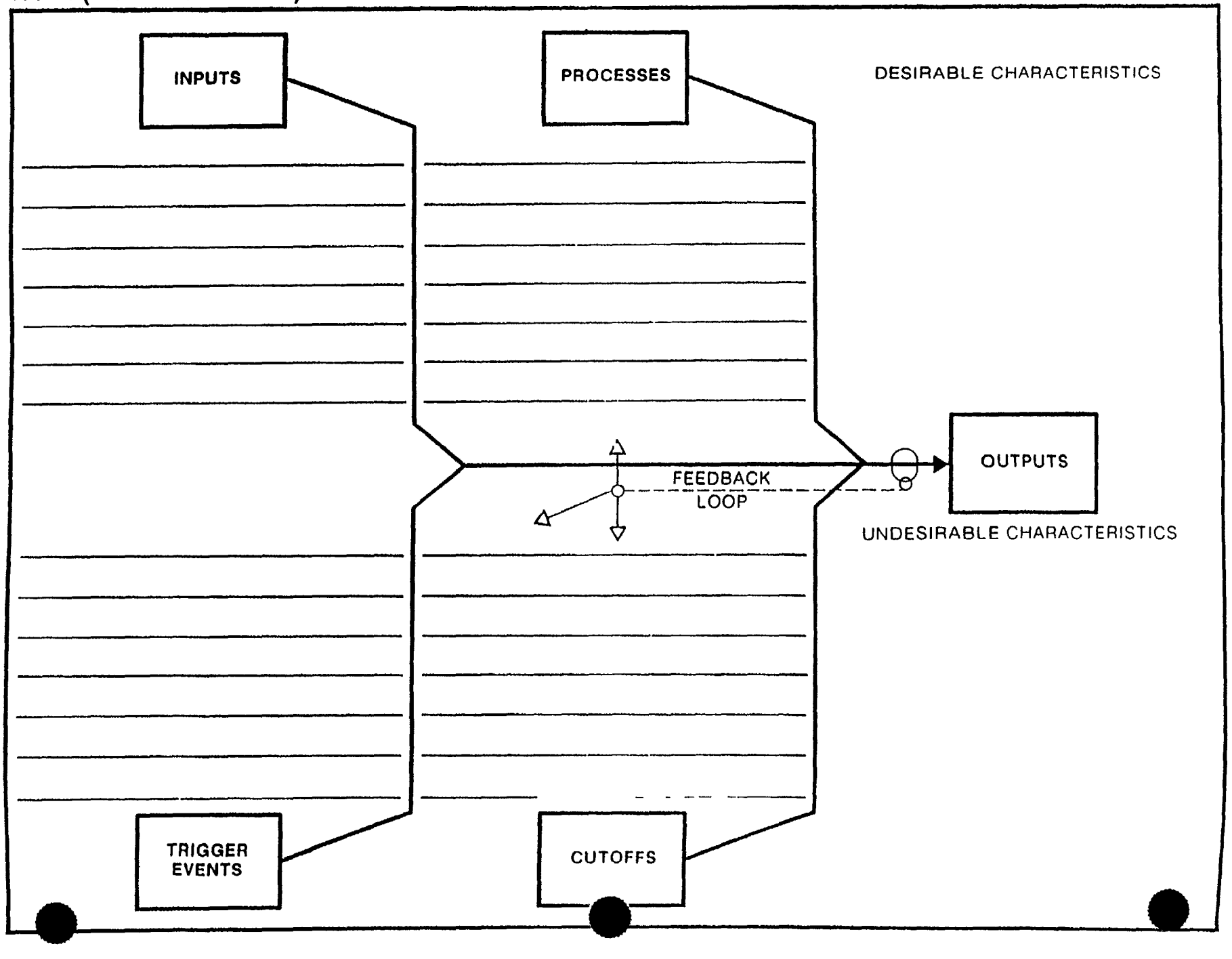
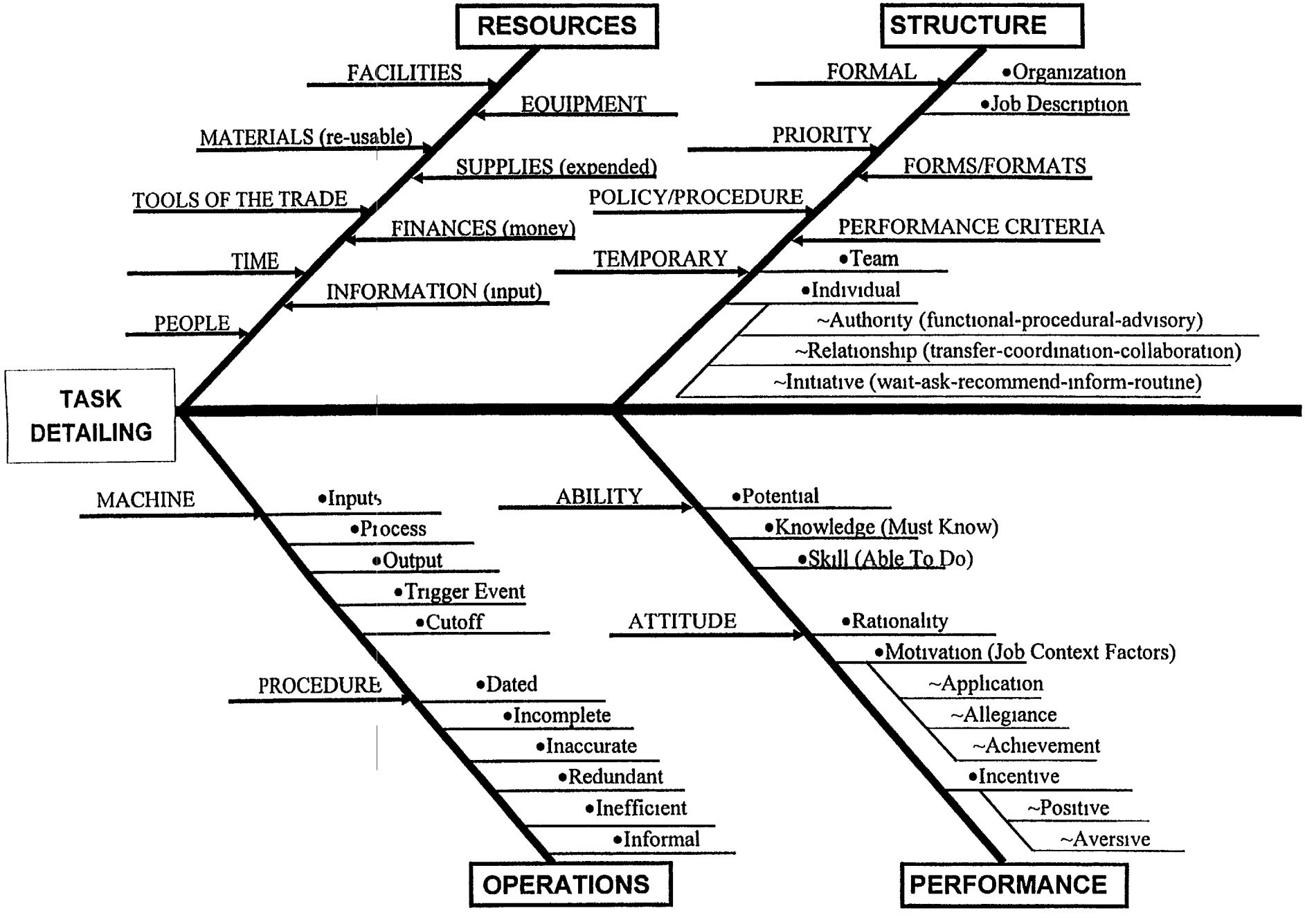
TASK (ACTION/RESULT) OR OPERATION



IMPACT DIAGRAM *Task/process:* _____



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ISSUE IDENTIFICATION

1 Identify the **Issues**

- What issues affect or involve the stakeholders?
- Have the issues been defined and redefined?
  (To get the situation in explicit form or identity that allows stakeholders to communicate about it and eventually resolve it)
- Have the issues been classified?
- Have the issues been prioritized?
- Have the issues been verified with constituencies?

2 Identify The **Stakeholders** on Each Issue

- Who has information on the issue?
- Who will be affected by the decision?
- Who must be involved in implementing the decision?

3 Establish The **Legitimacy** of Stakeholders

- Who perceives themselves as having the right to participate?
- Who is perceived as having the right to participate?
- Who has the capacity/capability to participate?
  - Have stereotypes been challenged and tested?
  - Have constituencies been identified?
  - Have methods of representation been devised?
  - Has flexibility been built in to add stakeholders or improve representation?
  - Have different levels of participation for different stakeholders been established? [See "Issue Classification"]

4 Identify The **Resources** The Parties Need for The Problem-solving Process

- Time interval and schedule is it possible for all stakeholders to participate?
- Can everyone afford to attend and participate?
- What can be done to alleviate unfair costs or impossible schedules?
- What facilities and materials are needed?

ISSUE IDENTIFICATION PROCESS

When an organization begins a participative effort, it has an important objective in mind

TO GET THE RIGHT PEOPLE WORKING ON THE RIGHT ISSUES

Therefore, it follows a deliberate process

1 The Steering group contacts constituencies to identify issues
   - The following methods may be used
     - Focus groups
     - Survey
     - Interview
     - Formal reporting methods
     - Informal reporting
   - Each party **identifies** what it believes to be the **issues** or **problems** that need attention

2 Each party **presents** its **issues** to the steering group

3 The steering group **clarifies** and **documents** all issues
   - Use "Issue Testing" to assess the accuracy of issue identification

4 The steering group **identifies** the **stakeholders** for each issue
   - Use "Issue Classification" to determine stakeholder involvement

5 The steering group **assesses** the **priority** of issues, by impact, and develops a rank-order listing of issues
   - Use "Constituency Rating" to assess individual issue impact

6 The steering group **establishes** the team and its agenda for dealing with one issue or a related set of issues that it has selected

7 The team **convenes** to resolve the chosen issue and **perseveres** until the issue is resolved (including multiple meetings) or until it is agreed that the issue is unimportant or unresolvable

8 The steering group **isolates the next priority issue and/or team** to the agenda

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ISSUE TESTING

Assess each **issue** for its total **value** as an issue **Value** is a product of **certainty** and **criticality**

CERTAINTY

Assess each **issue** on its **certainty** for being **factual** and/or on its **certainty** of **occurring** in the future (i e **probability**)

CRITICALITY

Assess each **issue** on how much it is **likely to affect** the desired outcomes of the organization

CERTAIN	**10**	+	+	+	+	+	+	+	+	+	+
	9	+	+	+	+	+	+	+	+	+	+
	8	+	+	+	+	+	+	+	+	+	+
	7	+	+	+	+	+	+	+	+	+	+
	6	+	+	+	+	+	+	+	+	+	+
	5	+	+	+	+	+	+	+	+	+	+
	4	+	+	+	+	+	+	+	+	+	+
	3	+	+	+	+	+	+	+	+	+	+
	2	+	+	+	+	+	+	+	+	+	+
UNCERTAIN	**1**	+	+	+	+	+	+	+	+	+	+
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**

NONCRITICAL ⟷ **CRITICAL**

Process

1. Assess **certainty** of each issue
2. Assess **criticality** of each issue
3. Multiply **certainty** factor by **criticality** factor Calculate the product
4. Weigh each issue by the **product**.
5. Base decisions on **higher value**

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ISSUE TESTING WORKSHEET

1 **Calculate the value** of each issue

2 **Rank order** the **issues** from higher to lower value

ISSUE	CERTAINTY x CRITICALITY = VALUE	RANK ORDER OF RESULTS (Higher Value)
#1	_____	_____
#2	_____	_____
#3	_____	_____
#4	_____	_____
#5	_____	_____
#6	_____	_____
#7	_____	_____
#8	_____	_____
#9	_____	_____
#10	_____	_____
#11	_____	_____
#12	_____	_____
#13	_____	_____
#14	_____	_____
#15	_____	_____
#16	_____	_____
#17	_____	_____
#18	_____	_____
#19	_____	_____
#20	_____	_____

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ISSUE CLASSIFICATION

There are four types of issues that involve a variety of stakeholders The issues are classified by the degree and type of involvement of the stakeholder

1 **IDENTIFY ONLY** (Stakeholders used for the "Identify" stage only)

In this category, the **stakeholder is involved for input only** Examples include

- ☐ Issue identification itself
- ☐ Problem identification
- ☐ Needs Analysis
- ☐ Market research
- ☐ Preliminary policy analysis

The involvement of stakeholders in this type of issue serves to

- Acknowledge interdependence,
- Establish trust,
- Clarify the limits of the problem's scope

2 **DECIDE ONLY** (Stakeholders used to generate alternatives and choose among alternatives)

In this category, the **stakeholder is asked to share creative thinking** Examples include

- ☐ Creating Vision or Mission
- ☐ Recommendations on Priorities
- ☐ Proposed Policies/Procedures
- ☐ Suggestions for Goals or Objectives
- ☐ Alternative Strategies and Tactics
- ☐ Possible Solutions to identified issues

Creative input serves to

- Create possibilities for decisions or actions,
- Generate ownership of programs, policies or projects by stakeholders,
- Stimulate interest and commitment by stakeholders,
- Ensure understanding of environment by policy-makers

3 **PROBLEM-SOLVING** (Stakeholders do it all Identify, Analyze, Decide, Program)

This category of issues **involves the stakeholders in all stages of problem-solving or decision-making** Examples include

- ☐ Goal Setting
- ☐ Operational Problems
- ☐ Resource Exchanges
- ☐ Establishing Roles
- ☐ Planning
- ☐ Multiparty Contracts
- ☐ Schedules
- ☐ Formal Agreements

This level of involvement and negotiation serves to

- Produce consensus among stakeholders,
- Maximize commitment,
- Optimize implementation,
- Reduce unforeseen obstacles

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4 **PROGRAM ONLY** (Stakeholders are involved only in "Implementation")

In this category of issue, **one party holds unilateral authority** for a decision that impacts other parties Examples include

a Decisions mandated by law or governmental agency

b Decisions caused by outside forces

c Where one party has 100% control of resources, without interdependency

d Where policy or contracts establish unilateral authority

Involvement of stakeholders in this type of issue serves to

- Develop understanding in stakeholders,
- Redefine issues or change strategies to allow for other categories of involvement,
- Broader or narrower definition of problem,
- Minimize negative impact on stakeholders,
- Reschedule effects of decisions to reduce negative impact,
- Improve implementation plans,
- Maintain relationships in spite of negative impact

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ISSUE CLASSIFICATION WORKSHEET

ISSUE or PROBLEM STATEMENT _____

_____

_____

_____

_____

PRIMARY STAKEHOLDER, CONVENER OR RESPONSIBLE PARTY

_____

CLASSES OF ISSUES

1 Stakeholder is involved for IDENTIFY ONLY (To get input)

2 Stakeholder is involved for DECIDE ONLY (To get good ideas)

3 Stakeholder is involved in ALL STAGES (To own whole issue)

4 Stakeholder is involved AFTER DECISION in PROGRAM ONLY (To implement)

OTHER STAKEHOLDERS (Individual or Group)	CLASS (1-4)	Constituency Rating

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CONSTITUENCY RATING

Assess each issue for its **impact** (a product of **outcome** and **effect**) **on each constituency**

OUTCOME

Assess each **issue** on its probable **outcome** to the constituency on the continuum from **little** opportunity or threat to **significant** opportunity or threat to their position

- If it's a real **opportunity** to enhance position, assign it a **+** value
- If it's a real **threat** to the position, assign it a **-** value

EFFECT

Assess each **issue** on the likely **strength** of is effect from **very strong** effect to **minimal** effect

		1	2	3	4	5	6	7	8	9	10
SIGNIFICANT	10	+	+	+	+	+	+	+	+	+	+
	9	+	+	+	+	+	+	+	+	+	+
	8	+	+	+	+	+	+	+	+	+	+
	7	+	+	+	+	+	+	+	+	+	+
	6	+	+	+	+	+	+	+	+	+	+
OUTCOME	5	+	+	+	+	+	+	+	+	+	+
	4	+	+	+	+	+	+	+	+	+	+
	3	+	+	+	+	+	+	+	+	+	+
	2	+	+	+	+	+	+	+	+	+	+
LITTLE	1	+	+	+	+	+	+	+	+	+	+

MINIMAL ← → **VERY STRONG**

EFFECT

Process

1. Assess each issue for **outcome** Assign plus or minus value
2. Assess each issue for **effect**.
3. Determine impact by multiplying **outcome** and **effect**
4. Weigh each issue by the **product** (impact)
5. **Calculate** impact **for each constituency**
6. Base decisions on **impact across constituencies**

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CONSTITUENCY WORKSHEET

1 Calculate the **impact** of each issue for each constituency

2 Add the **impact** for all constituencies

3 **Prioritize** (rank) by total impact

	ISSUES									
CONSTITUENCY	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10
A	___	___	___	___	___	___	___	___	___	___
B	___	___	___	___	___	___	___	___	___	___
C	___	___	___	___	___	___	___	___	___	___
D	___	___	___	___	___	___	___	___	___	___
E	___	___	___	___	___	___	___	___	___	___
F	___	___	___	___	___	___	___	___	___	___
G	___	___	___	___	___	___	___	___	___	___
H.	___	___	___	___	___	___	___	___	___	___
I	___	___	___	___	___	___	___	___	___	___
J	___	___	___	___	___	___	___	___	___	___
TOTAL	___	___	___	___	___	___	___	___	___	___
RANK	___	___	___	___	___	___	___	___	___	___

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JOB ANALYSIS

Since most of us are already in business producing results, we do not have to start with some form of generic research Instead, we simply define what we presently do in terms of ACTION-RESULT statements This is a definition of our jobs in terms of the tasks we perform

There are three levels of "Job Analysis" possible Each of these is stated in commonly accepted language as follows

JOB ANALYSIS

- To state a **job** in terms of the major **tasks**

TASK ANALYSIS

- To state each **task** in terms of the **steps** that are necessary for task completion

TASK DETAILING

- To state each **step** in terms of the most finite mechanical or human **operations**

Regardless of the level of analysis we use, each level is stated as action-result statements

WHICH LEVEL SHOULD I USE?

It is evident to most people that these analyses can be a great real of work. We will want to invest the time that is necessary in doing analysis, but we do not want to waste our time on unnecessary detail It is helpful to have some idea, ahead of time, as to what level of analysis is appropriate

1 **When To Do Job Analysis Level**

When we are concerned with making "organizing" decisions, we will probably want to analyze jobs into tasks This is done by Job Analysis A complete listing of tasks allows us to combine or separate tasks, prioritize tasks, or isolate tasks We could use this information in order to

- Develop a Process Flowchart for all processes
- Prepare new Job Descriptions
- Review Job Descriptions to see that they accurately describe what we actually do (actions) and what we are accountable for (results)
- Establish job priorities We want the more important tasks identified or rank-ordered
- Delegate effectively Job Analysis is used to accurately identify the tasks which are being delegated Job Analysis is necessary for establishing authority, relationships and initiative levels
- Give effective assignments and instructions These are most effective when we make clear the **actions** that are needed and the **results** that are expected
- Reduce "overloading" in jobs, we remove dissimilar tasks
- Eliminate "underloading" in jobs, we add similar and related tasks
- Make "job enrichment" decisions by adding to jobs the tasks which expand or challenge capabilities, the tasks which give performers more control of job results, and the tasks which make "whole" jobs This may include "vertical loading" (more responsibility and authority) or "horizontal loading" (more tasks of a related nature in the flow of work)

2 When To Do Task Analysis Level

Processes are the "how to" of any organization Whether they are informal (carried around in peoples' heads) or formalized in a comprehensive "procedures manual", they define exactly **how** jobs are to be done Many processes are necessary because of safety, security or legal reasons Other problems are the steps of doing tasks These can be discovered by a thorough Task Analysis The results of the Task Analysis may be used to

- Prepare Product/Service-to-Process conversions
- Prepare new procedures in a formal way
- Review and update formal procedures
- Identify mechanized processes that cannot be observed
- Identify flaws or gaps in the processing of work or work flow
- Train new people in how to do jobs
- Train existing people in how to handle new tasks
- Implement new policies or systems

Task Analysis identifies the necessary sequence of steps so that tasks are done in the most efficient, safe, and secure way

3 When To Do Task Detailing Level

There are times when we may have to dig deeper into tasks and steps Task Detailing may be in order Task Detailing breaks tasks into their individual operations and decisions Task Flowcharting is a suitable substitute which involves doing the same thing We will need to know about task details when we have the following things to do

- When we want to measure individual processes
- When we want to mechanize, computerize or otherwise automate a task or a job
- When we need to chart processes or process results
- When we are called upon to assist in troubleshooting a mechanized system
- If we are involved in programming a computer or an access terminal or learning a new job that has been programmed into one
- To train someone new in the details of the task
- To design job aids, training aids or checksheets
- To design forms for data collection or data transfer
- To audit existing forms for accuracy and relevance
- For any type of paperwork simplification project
- To define report format or forms

Task Detailing or Task Flowcharting are our ways of getting down to the nitty-gritty of jobs When it is necessary to get to the level or the person or machine that does the job, we do Task Detailing

If we are to become skilled at improving the way things are done in our jobs, we need to become skilled at deciphering how they are done The better we can "see inside" our jobs, the better we will be able to apply appropriate techniques with pinpoint accuracy

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MORPHOLOGICAL ANALYSIS

Morphological Analysis is nothing more than making a **matrix** in order to keep track of data It is very useful in the ANALYZE, DECIDE and PROGRAM stages

There are several examples of the use of matrices in this section They are

- Control Charts
- O-S Analysis
- Pareto Charts
- Scatter Diagrams
- Trend Charts

The idea is to create a matrix **every time** you need to relate any two factors or variables

Developing a matrix is relatively simple It involves using "classification" skills Suppose, for example, there have been a number of operating errors recorded in the past few days If I were to classify time by **shifts**, I could isolate the errors to the shift on which they occurred, as follows

The matrix uses a 24-hour clock notation

	SHIFT		
TIME	**7 00 - 3 00**	**3 00 - 11 00**	**11 00 - 7 00**
0921	X		
1136	X		
0844	X		
1601		X	
1124	X		
1703		X	
0717	X		
0915	X		
1149	X		

In a similar way, I could relate any number of things to where or when they occur I could relate data by section, by level, by date, by job classification, by age by experience and on and on

Morphological Analysis is a great way to determine the **scope** of a problem or the source of CAUSES

It's also a great way to prepare budgets or schedules needed in plans

MULTI - VOTING

After any brainstorm/brainwrite, there is always a need to take all of those "great ideas" and reduce them to a **practical few** It may also be necessary to reduce the practical few to a **prioritized** list that identifies which is first, which is second, and so on until the last

Multi-voting is the method to use It works like this

1 Complete the brainstorm/brainwrite by listing all clarified and combined ideas so they are visible to all participants

2 Instruct each participant to select the most important ones from the list It is good to prescribe a specific number

Number of original ideas*	Pick most important
15 - 25	3
25 - 50	5
50 or more	7

*If less than 15, the group usually should rank order the items(seek consensus)instead of multi-vote

3 Each participant notes his/her selections

4 The leader should point to each item on the list and ask for a show of hands from those who voted for it The leader records this "vote" for each item

The results produce a limited number of items that are subjected to further discussion and consensus

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NOMINAL GROUP TECHNIQUE

The nominal group technique (NGT) is a variation of **brainwriting** combined with a variation of **multi-voting** Here is how it works

1 Each participant generates his or her own brainwrite list, without access to information from other participants

2 The leader then conducts a round-robin polling of all participants to develop the overall list

3 The leader asks for clarification of all ideas, going through them one at a time Ideas may be combined if there is consensus, if any disagreement, they stay on the list as separate ideas The Leader numbers or letters (preferred) all ideas

4 Each participant is given index cards for voting (3, 5 or 7 cards based on quantity of ideas 15-25, 25-50, over 50) On each card the participant writes the number or letter of the idea he or she feels is most important in the center of the card (one idea per card)

5 Each participant then determines **how important** each item is by weighting it on a scale of 1 to 10, where "1" is least important or relatively unimportant and "10" is most important or relatively very important The participant records this number on the edge of the card

6 All cards are collected and sorted by "idea number or letter "

7 The leader posts

- the number of votes for the idea (the number of cards)
- the weights for each vote

The resulting weights are added and the priority totals are posted by the ideas

8 The priority ideas (3, 5 or 7) are discussed, to clarify ideas and to reduce widely divergent voting weights caused by misunderstandings

9 A final vote is taken from all participants on the priority ideas

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O-S ANALYSIS (OBJECTIVES AND SOLUTIONS)

IDENTIFY

1 Recognition

The problem statement is Bruce is making errors

The Manager of Computer Information Systems had a new system that he wanted Jacque, one of his most experienced Analysts, to undertake The project would require about 18 months to complete and the Manager wanted Jacque to start preliminary work as soon as possible To give Jacque the necessary time, the Manager took the responsibility for the software maintenance of payroll from Jacque Jacque had developed the software for the payroll system and knew it inside and out It is was running smoothly and Jacque was becoming bored with the responsibility and was eager for the new assignment

The Manager gave another Analyst, Bruce, the responsibility for the maintenance of the payroll system Bruce was not familiar with the system and was less experienced than Jacque He agreed to take on the project Bruce saw it as an opportunity to learn The Manager told Bruce that he would get his training from Jacque In addition, the Manager told Bruce that he himself would also be available if Bruce needed help, although the Manager did not know the system as well as Jacque The Manager felt that Bruce would have little difficulty learning the system

2 Priority

However, in the two months that Bruce has had the assignment he has made two errors that required a considerable amount of overtime to correct The errors were corrected However, the Manager did not want further mistakes to be made and decided to look into the situation It was fairly high priority

3 Involvement

The Manager had full responsibility for the department and, in this situation, did not have to consult with his boss or people outside of the department

4 Description

In investigating the situation, the Manager found these EFFECTS

- Bruce could have avoided the two errors if he had turned to Jacque for advice
- Bruce has not been turning to Jacque for support to any great degree
- The system is more complicated than Bruce thought and he is not catching on to it as quickly as the Manager thought he would
- Bruce knows some things about the system, but is lacking in some areas
- Bruce has not been coming to the Manager for assistance
- Jacque responds to Bruce only when Bruce asks for help
- Jacque is engrossed in her new assignment and does not voluntarily meet with Bruce
- Jacque's priority is the new assignment In short, it appears that Jacque and Bruce did not develop any kind of a structured method for Bruce's training This is a bit puzzling to the Manager since other Analysts will usually work this out between themselves in similar situations

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ANALYZE

5 Differences

The Manager then looks for DIFFERENCES Normally, in situations of this sort, the Manager would meet with the two Analysts and discuss with them how the training should be done The Analysts would be very much involved in the decisions, but with the Manager's approval and support The Manager did not do this with Bruce and Jacque since he felt that the two could work it out together This was the difference

6 Causes 7 Prove 8 Check

The basic cause, as the Manager saw it, was his own failure to set up the situation properly To check his conclusions, the Manager talked with Bruce and Jacque individually In brief, he learned from Bruce that Bruce had talked with Jacque about the training Jacque apparently told Bruce that the system was simple and that anyone could learn it now that the system was functioning smoothly Jacque said she would give Bruce help when needed No structure for the training was established However, when Bruce did go to Jacque for advice, Jacque seemed preoccupied with her own work and was somewhat impatient when Bruce asked for detailed information As a result, Bruce was reluctant to go to Jacque and tried to learn as much on his own as he could That's why the two mistakes were made In addition, Bruce did not come to the Manager since it was his impression that Jacque was the expert and that the Manager, while making the offer to help, did not really want to be involved When the Manager talked with Jacque, he learned that Jacque felt her first priority was her project and that Jacque thought Bruce would have no difficulty in picking up the system The probable CAUSE was confirmed

DECIDE

9 Objectives

In considering the situation, the Manager determined that his objectives in order of priority were

- Protect the payroll system that was developed by Jacque and running smoothly (Don't compromise for training purposes)
- Develop Bruce's capabilities to handle the software maintenance of payroll (The Manager still felt Bruce could learn)
- Have Jacque continue working on her new project (At least to some extent)
- Maintain a good level of commitment and morale on the part of Jacque and Bruce
- Do this with a minimum of time commitment from the Manager, Jacque and Bruce

10 Constraints

The only real constraint on the Manager was the requirement for getting the job done with existing people Therefore, all alternatives would have to fit this limitation

11 Alternatives

With these objectives in mind the Manager considered these alternatives

- (1) Have Jacque work with Bruce on a full time basis until Bruce had the knowledge to keep the system functioning smoothly
- (2) Have Bruce come to him (the Manager) for assistance and not involve Jacque In effect, the Manager would take over the training
- (3) Send Bruce to some special training program that would give him the knowledge he would require

- (4) Let Bruce continue as he has with the expectation that trial and error would make the lessons stick
- (5) Remove Bruce from the assignment and try to find another Analyst internally or from the outside who could take over the system
- (6) Have Jacque train Bruce on a regular basis (so much scheduled time a week) Bruce would go to Jacque between scheduled times when he faced a problem Jacque's priorities would be protection of the system and Bruce's development

12 Selection

The Objective-Solution method is used to select the alternative in this case The Manager had screened out alternative (5) since it did not fit his objectives

		Relative Worth	ALTERNATIVES									
			# 1		# 2		# 3		# 4		# 6	
Objectives			**Index**	**Wgt**	**Index**	**Wgt**	**Index**	**Wgt**	**Index**	**Wgt**	**Index**	**Wgt**
A	Protect System	10	10	100	7	70	3	30	3	30	9	90
B	Train Bruce	8	10	80	7	56	5	40	9	72	9	72
C	Jacque on new Project	6	1	6	10	60	10	60	10	60	6	36
D	Morale and commitment	4	1	4	5	20	6	24	5	20	7	28
E	Time	1	1	1	1	1	7	7	6	6	5	5
				191		**207**		**161**		**188**		**231**

The Manager then gave each objective a number starting with the lowest one Protecting the system had the highest ranking The Manager then went through alternative 1 and gave each of the objectives a fulfillment index rating using the "odds in 10" (the possibility of this objective being reached by the alternative) He then multiplied the fulfillment index by the priority number to obtain the weighted figure The weighted column was then totaled

The alternative which came out with the highest weight was 6

Obviously, the Manager had to use judgment in determining the fulfillment index In alternative 1, the Manager felt that objectives A and B would be achieved well since Jacque and Bruce would be working almost in partnership However, Jacque would have little time for her new project Furthermore, neither Jacque nor Bruce would like this arrangement It would also take a lot more time In alternative 6, Jacque would spend time with Bruce on only those areas in which Bruce needed help, meet with him on a regular basis, keep an eye on the system, and still have some time for her new project There might be a bit more risk to the system with alternative 6, but the Manager felt this was a reasonable one to take

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OPERATIONAL DEFINITIONS

Every time that a dimension of a specification or a problem exists, it is necessary for the parties involved to reach **operational agreement** on what constitutes "good or not good" in that dimension

There are three basic ways that dimensions apply

ABSOLUTE

- the presence of absence of any "On-off" dimension (all or none)

RELATIVE

- the degree of a dimension as "Compared to," somewhere between 0 0% and 100% of some objective characteristic

SUBJECTIVE

- the subjective assessment of an "I think " dimension, usually by the use of a standardized checksheet

Sources and Process Owners should establish Resource Requirements, Process Owners and Users should establish Result Requirements They should reach consensus on **operational definitions**

Some universal requirement categories follow

MEASUREMENT DIMENSIONS

In every case, the User is our "customer " Sometimes, our customer is internal (i e within our own organization) Other times, the customer is an ultimate customer, external to our organization It doesn't matter whether the customer is internal or external we need to be pleasing our customer meeting their needs, first time, every time

Juran calls quality criteria the "fitness-for-use" criteria and he demonstrates several examples David Garvin of Harvard Business School suggests eight quality dimensions we can use as guidelines for developing operational definitions

1 PERFORMANCE

capability of performing basic **function** as intended

EXAMPLES

Product/Service	Function
Airplane	Flight
Automobile	Transportation
Television	Picture/Sound
Lawn Service	Grow Grass, Not Weeds
Accountant	Accurate books
Paycheck	Draw Funds From Bank
Maintenance Request Form	Identify Needed Maintenance
Bulb	Provide Light

Most of these quality measures are absolutes the product or service either provides the function or it doesn't A failure in "performance" is considered a "complete failure" If we were weighting the criteria with relative weights **performance** criteria are always "10 "

2 FEATURES

supplements to the basic function providing related beneficial functions

EXAMPLES

Product/Service	Add-on Features/Benefits
Airplane	Reading lights to read by Air vents for comfort Seat belt for safety
Automobile	Air conditioner for comfort Radio for enjoyment Cruise control for easing leg strain
Television	Stereo sound for enjoyment Automatic fine tuning for better reception Remote control for ease of operation
Lawn Service	Pesticides for pest control Aeration for better growth Herbicides for weed control
Accountant	Tax service to meet IRS requirements Reports to inform owners, shareholders Audit to increase credibility
Paychecks	Direct deposit to expedite draw Detail stub to inform recipient MICR to automate banking transaction

Most of these are also considered absolutes or "10" on a scale of 1 to 10

3 RELIABILITY·

probability of malfunctioning or failing within a timeframe

EXAMPLES

- Mean time to first failure
- Mean time between failures
- Failure rate per unit time
- Downtime per timeframe
- Average response time (for response to service request)
- Missed appointments per unit time
- Mean waiting time (e g number of rings)

Reliability is relative to time A lower probability of failure is considered better a lower response time is considered better It is unlikely that any product will last forever or that any service response will be instantaneous

Say

4 CONFORMANCE

degree to which a product or service meets established standards

EXAMPLES

- Underwriters Laboratory (UL)
- Good Housekeeping Seal
- OSHA Requirements (Safe)
- EEOC Requirements (Valid)
- Engineering standards, measurements
- Generally Accepted Accounting Practices
- Other legal, ethical or moral standards with a commonly accepted basis

Conformance requirements are those which Deming suggests require "operational definitions", many of which are already in place

5 DURABILITY

the amount of use one gets from a product before replacement is more economical than repair

EXAMPLES

- Life expectancy in terms of
  - hours of use (e g bulbs)
  - cycles (machine operations)
  - take-offs/landings (airplanes)
  - miles (tires)
  - years (roofing materials, paint)
- Life expectancy of organizational strategies
  - will it be meeting needs today and tomorrow?
  - will your ideas withstand the test of time?

Durability is usually a trade off between product characteristics and economics It is relative As repair costs go up, replacement is more feasible If replacement costs rise, repair makes more economic sense For example, repairing an old microwave oven for $200 doesn't make much sense when a new one costs only $139 Many electronic products (especially personal computers) do not have high durability when the opposing factors are considered

6 SERVICEABILITY

the speed, courtesy, competence and ease of maintenance and repair

EXAMPLES

- Duration of downtime
- Complaints per unit
- Mean time between complaints
- Mean time between service calls
- Number of repeat calls on same problems

- Availability of service personnel mean response time
- Repairability ease of getting to components for repair (teardown time)
- Mean time it takes to repair
- Complaints on service personnel

All of these translate into how "hassle free" the circumstances of needed maintenance and repair are

7 AESTHETICS.

the appeal of the product or service to the five senses

EXAMPLES

- How it **looks**, e g
  - color trueness or match
  - cleanliness
  - absence of dents, scratches, marks
  - appealing (food or personal appearance)
- How it **sounds**, e g
  - bass and treble
  - pleasantness
  - absences of noises, rattles, squeaks
- How it **feels** (touch), e g
  - texture
  - absence of roughness
- How it **tastes**, e g
  - fresh
  - flavorful
  - absence of foreign tastes
- How it **smells**, e g
  - pleasant
  - aromatic

Many of these are subjective and can only be assessed by deriving operational definitions and using checksheets that reflect these definitions

8 PERCEIVED QUALITY

inferences made about products or services from advertising, public image, brand name, place of manufacture, etc

EXAMPLES

- Percentage recognizing brand, trade name
- Advertisement memory/recall
- Presence or absence of folklore
- Generic "branding" (Kleenex, Xerox, Frigidaire)

- Industry standard for comparison (IBM)
- Reasons for contact or purchase
- Prior experience

Most of these criteria require market research involving customer surveys, panels or focus groups
Quality is determined by changed perceptions over time, e g "MADE IN JAPAN"

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PARETO CHARTS

Pareto charts (named after Alfredo Pareto, a mathematician) are used at any time that it is necessary to separate the "**vital few**" from the "**trivial many** "

A Pareto chart is a frequency distribution chart arranged in ascending or descending order

Several examples follow to demonstrate the construction and value of Pareto charts

MASSAGING DATA

Quite often, we use the term "average" to describe things Many of us do so without quite realizing what we are talking about For example, suppose the boss is measuring how much work three Electricians do in an hour (Call the Electricians A, B and C)

- A handles 1 run/connection
- B handles 4 run/connections
- C handles 10 run/connections

Average is determined by adding the total number of run/connections and dividing by the number of people who did them Average is also called "the mean "

Number of run/connections divided by Number of Electricians
=15/3 = Average or mean of 5

- Did anyone run an "average number of run/connections"? **NO!**
- Don't all three Electricians have an average of 5 run/connections per hour? **YES!**
- Should we conclude that everyone should be able to do an average amount of work every hour (5 run/connections)? Why or why not?

No Because average is an after-the-fact number that is derived after the results are in Averages do not provide us with useful data for predictions because there are seldom any inputs or processes that are average They are above or below average, but not exactly the mean The data describes EFFECTS not CAUSES, and is not useful for predictions

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MASSAGING DATA

In addition to mean, there are two more terms used to describe numbers in a group when we massage them or arrange them

MEAN is the average (as we have seen)

MEDIAN is the **middle number** in a range of numbers or a plotted distribution of numbers

MODE is the most frequently occurring number in a set of numbers

Consider the following collection of data on the number of wooden poles that had to be replaced last year because of damage from automobile accidents All locations with replacements are listed

LOCATION	*NUMBER OF REPLACEMENTS*
M	*3*
N	*1*
O	*1*
P	*2*
Q	*6*
R	*1*
S	*1*
T	*11*
U	*2*
V	*2*

What is the mean number of replacements per location? **3**

What is the median? **2**

What is the mode? **1**

How many replacements can we expect at location W next year? Why? **????**

We don't know because the numbers are not predictive The data only tells us to do something about locations T and Q It does not tell us the CAUSE

(USE THE NEXT PAGE TO REVIEW THE PLOTTED FIGURES)

MASSAGING DATA

OCCURRENCES (Place one "x" for each occurrence)

11	*x*									
10	*x*									
9	*x*									
8	*x*									
7	*x*									
6	*x*	*x*								
5	*x*	*x*								
4	*x*	*x*								
3	*x*	*x*	*x*							
2	*x*	*x*	*x*	*x*	*x*	*x*				
1	*x*	*x*	*x*	*x*	*x*	*x*	*x*	*x*	*x*	*x*
LOC	*T*	*Q*	*M*	*P*	*U*	*V*	*N*	*O*	*R*	*S*

RESULTS (Show where the two intersect)

11	*									
10										
9										
8										
7										
6		*								
5										
4										
3			*							
2				*	*	*				
1							*	*	*	*
LOC	*T*	*Q*	*M*	*P*	*U*	*V*	*N*	*O*	*R*	*S*

The crew who discovered this problem went to location T and found that it was on a curve at the bottom of a hill They recommended moving the pole on a new right-of-way about ten feet from its location Their solution was implemented and there have been no replacements since

MASSAGING DATA

Here is the data on the number of replacement tires used on the ten vehicles in one district last year These are field replacements and are not related to tire wear or mileage

Vehicle Inventory #	*Number of Tires*
#621	*0*
#622	*1*
#623	*0*
#624	*0*
#625	*0*
#626	*4*
#627	*2*
#628	*0*
#629	*1*
#630	*3*

What is the mean? **1 1**

What is the median? **Artificial median 5 (Between two middle numbers)**

What is the mode? **0**

Since all tires are the same size, how many tires should the district keep in inventory for the year? **Don't know!**

How many tires can the district expect to use on vehicle #624? **0** On #626? **4**

There is no evidence to suggest that it will be any different from the past The data doesn't reveal CAUSE, it only shows where to look for CAUSE

(USE THE NEXT PAGE TO REVIEW THE PLOTTED FIGURES)

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MASSAGING DATA

OCCURRENCES (Place one "x" for each occurrence)

4	x									
3	x	x								
2	x	x	x							
1	x	x	x	x	x					
0	x	x	x	x	x	x	x	x	x	x
	626	630	627	622	629	621	623	624	625	628

RESULTS (Show where the two intersect)

4	*									
3		*								
2			*							
1				*	*					
0						*	*	*	*	*
	626	630	627	622	629	621	623	624	625	628

In the real story, the drivers of 626 and 630 were the best in the district They follow the rule of getting the vehicle at least 4 feet off the highway In the country, this often puts them into the trashy ditch or fence row, producing flat tires Interestingly, these were the only two drivers in the district without an accident for the year You see, data can be very misleading if you do not know the CAUSE

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MASSAGING DATA

Following are the data on the number of repairs that have been made on a number of small motors in the plant over the last year

Motor #	A1	A2	A3	A4	B1	B2	B3	B4	C1	C2	C3	C4	D1	D2
No Repairs	0	4	1	12	2	1	0	0	6	3	2	0	5	1

If we rearrange the data on this graph, in order from most repairs to least repairs, we have

No Repairs														
12	*													
11														
10														
9														
8														
7														
6		*												
5			*											
4					*									
3					*									
2						*	*							
1								*	*	*				
0											*	*	*	*	*
Motor #	A4	C1	D1	A2	C2	B1	C3	A3	B2	D2	A1	A1	B3	B4	C4

What does the picture tell you?

Find the CAUSE of A4, C1, D1, A2, and C2 repairs

MASSAGING DATA

Considering that there are 14 motors, each motor represents 7 1% of the total motors

There were 37 repairs, so each repair represents 2 7% of the total repairs

			CUMULATIVE		
No. of Motors	**% of Motors**	**Repairs No**	**(Worst)%**	**Repairs No.**	**(Best)%**
1	7 1	12	32 4	0	0
2	14 2	18	48 6	0	0
3	21 4	23	62 1	0	0
4	28 5	27	72 9	0	0
5	35 6	30	81 0	1	2 7
6	42 7	32	86 5	2	5 4
7	49 8	34	91 8	3	8 1
8	56 9	35	94 5	7	13 5
9	64 0	36	97 3	7	18 9
10	71 1	37	100	10	27 0
11	78 2	37	100	14	37 8
12	85 3	37	100	19	51 3
13	92 4	37	100	25	67 5
14	100	37	100	37	100

Which motors should be replaced if the budget only allows for four new motors?

A4, C1, D1 & A2

Why not replace four at random?

The average is 2 7% of repairs per motor, a random replacement can only hope to get a 10 8% change

Why not A1, B3, B4 and C4? **No change in the number of repairs**

We may conclude

There were a total of 37 repairs on 14 motors Does that indicate an average of 2 64 repairs per motor is what we can expect (the mean or average)? Does that show that we should expect 4 repairs per motor (the median)? How about 1 repair per motor (the mode)? The Pareto principle shows that we will have to use judgment The majority of repairs were done on only a small

percentage of motors By contrast, the majority of motors had only a small percentage of repairs Since each motor represents 7 1% of the total, we can show results two ways One is in **the order of most repairs**

We can conclude that only about 30% of the motors account for about 70% of the repairs Or, we can show it in **order of least repairs**

We conclude that about 70% of the motors account for only about 30% of the repairs

The Pareto principle is also called the "70 - 30 Rule " We can apply it to nearly all aspects of our business For instance

- 70% of repairs come from 30% of motors
- 70% of our time is taken by 30% of our problems
- 70% of cases of tardiness are logged by 30% of employees, etc

The Pareto principle means that we will have to be careful in viewing data which distorts the true picture We will want to be sure we separate the **vital few** from the **trivial many** in looking for problem causes and solutions

- By replacing the proper four, according to a measurement of repair frequency, we can expect to reduce our repairs by 72 9% That's a real bonus of effective problem solving
- By replacing the motors at random, without the standard, we might well replace the four which do not require repair and we will have reduced our repairs by 0%, even by putting in four new motors

In actual fact, the faulty motors had been repaired by a certain repair shop They were the only ones to fail, repeatedly The solution was to change vendors

SUMMARY OF "MASSAGING DATA" EXERCISE

One interesting factor about problems is that the information we need to solve the problem is right in front of us we just cannot see it We may have to arrange and rearrange the same information in order for the C/E to be revealed or the solution to become evident

Quite often, we are faced with calculations, measurements or readings off of scales and gauges Each figure may not make much sense The collection of figures may not make much sense until we organize them in ways that reveal a "picture" of what is happening

The significance of mean, median and mode become very apparent after we massage data The importance of the "Pareto" principle (70 - 30 rule) also becomes evident

When we have problems on the job, we may only be able to find causes and solutions by massaging data along a time line, according to trends in readings, by comparing one element to another and by various forms of plotting

When it is not our responsibility to compare data but only to collect or record it on forms, we should take our responsibility very seriously If we do not collect accurate data, it will not be possible for someone else to massage it

PSP WORKSHEET

A PSP Worksheet is used with Basic Analysis for two purposes

- to keep track of our facts
- to ensure we find good solutions

Complete the PSP Worksheet as follows

- **EFFECTS**

  List all EFFECTS, using one line for each EFFECT To ensure enough room to work out the other columns, it is helpful to put one EFFECT on every-other line

- **CAUSES**

  Brainstorm possible CAUSES for each of the EFFECTS List the possible CAUSES on consecutive lines of the CAUSES column

Make sure that there is listed a possible CAUSE for every EFFECT (This is Step 7 of BA)

Then, complete step 8 of BA to ensure that the CAUSES could cause **ALL** of the EFFECTS Cross off any possible CAUSES that don't match

- **OBJECTIVES**

  Determine what your objectives are They fall into two categories

  - Desirable Effects

    For each desirable effect, the objective is to "**leave it alone** " Don't do anything that would cause the desirable effects to change or disappear

  - Undesirable Effects

    For each undesirable effect, specify exactly what effects or results you would like to see instead

- **ALTERNATIVES**

  Finally, for every CAUSE that is a part of the problem (those you have not crossed off) and for every OBJECTIVE that requires a change, create alternatives

  The alternative is only useful if it fixes the CAUSE and achieves the desired OBJECTIVE You may require a combination of alternative ideas until you take care of **all** CAUSES and **all** OBJECTIVES

  If you can't think of or find alternatives that take care of **all** CAUSES and OBJECTIVES, and you've done your best, settle on the best compromise among the alternatives you've considered

PSP
WORKSHEET

2 → 1 → 3

"MAKE A MATCH"

CAUSES	EFFECTS	OBJECTIVES (etc)	ALTERNATIVES

PSTP WORKSHEET

We use a PSTP Worksheet to identify "Internal and External Customer" requirements or standards

After analysis to the appropriate level (whether Job Analysis, Task Analysis or Task Detailing) we move to Product/Service-To-Process Conversion for each task

Use one PSTP sheet for each task

- **PROCESS** List the task under "process"
- **RESULT** List each output, result, consequence or tangible outcome of the process
- **USER** List the recipient of each result
- **RESOURCE** List each resource that is required as an input for the process
- **SOURCE** List the normal source and contingency or backup source for each resource
- **RESULT REQUIREMENTS** By a joint effort between the user and the Process Owner, define all Result Requirements These are your customer's requirements
- **RESOURCE REQUIREMENTS** By a joint effort between the Process Owner and the Source, define all Resource Requirements In this case, you are the customer, and these are your requirements

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PRODUCT/SERVICE TO-PROCESS CONVERSION

SOURCE	RESOURCE	PROCESS	RESULT	USER

RESOURCE REQUIREMENTS	RESULT REQUIREMENTS

PRO-CON PROCESS

1 List the alternatives, using the objectives as guidelines

2 Alternatives which do not meet the requirements of objectives should not be included

3 Test each alternative by predicting what is likely to happen if it were implemented

4 List the pro's and con's of each in terms of such things as cost, impact, risks, and benefits

5 Choose the alternative which appears to give the maximum advantages and minimum disadvantages

A suggested way of handling the sorting out of alternatives is to construct a simple three-column form, similar to the following, using as much space as needed

Alternative	Pro's (Advantages, Benefits)	Con's (Disadvantages, Costs, Risks)
1		
2, etc		

RANK ORDERING

Rank ordering is a way to force decisions on **importance** among several alternatives It can be used effectively for up to fifteen items or so Beyond that number, it is best to use Multi-vote or Nominal Group Technique to reduce the number of ideas so they can be grasped and processed

The instructions are very simple

- Mark the most important item "1 "
- Mark the next most important item "2 "
- Continue until the last item is numbered as "n of n" where "n" equals the number of items

Agreement among individuals is reached by following the Consensus groundrules

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RESOURCE ANALYSIS

We use Resource Analysis to determine if Resource deficiencies caused a problem and/or to program the needed Resources

A RESOURCES DEFINED

In our analysis, we will need to know how to recognize resources or resource deficiencies To assist us in doing that, we will look at resources as nine categories of items Any of these, or a combination of them, may be needed for a particular task or operation

1 **Facilities**

By facilities, we mean the buildings, furnishings and normal work environment that is needed For distilling water, we would expect to have a condenser For producing steam, we would expect to have a boiler For a computer terminal (on line) we would expect to have a mainframe computer in place, somewhere, that is accessible by cables or communication (telephone & data) facilities

Normally we will be concerned with analyzing facilities to uncover deficiencies only when we are looking at new and changed job tasks In these situations, we do analysis to define the facilities which must be put into place or made accessible For routine tasks and jobs, we can assume that facilities (the desk and other furniture, for example) are in place When we know that we have a problem in process or performance, we will want to check the facilities to see if they are present and appropriate

2 **Equipment (Machines)**

We will examine the area of equipment whenever the task or operation is wholly mechanized or when the performance of an employee is dependent upon some machine Machines may be of the mechanical variety or they may be hydraulic, electro-mechanical, or electronic Larger types of equipment may consist of all of these types of parts

We look at equipment in our analysis in order to determine if it is compatible in its capabilities with what the task requires Then, we investigate to determine if there is any form of machine malfunction which affects results

3 **Materials (Re-Usable)**

Materials are those items which might be used time after time in the performance of a task An example would be a pen and pencil set Similarly, an electronics technician might use a volt-ohm meter or a resistance tester with probes, as test materials A nurse might use a thermometer or a stethoscope All hand tools would fall into this category of resources

We examine materials in our analysis because materials, like equipment, often are inappropriate to the task are missing altogether, or are defective in one or more specifications

4 **Supplies (Expendable)**

Supplies are used up in the performance of the task For office people, supplies would include such items as paper stamps envelopes forms and typewriter ribbons For mechanics, we might include parts, lubricants, welding rods and various sealing compounds

The idea of analyzing the supply category is to look for supply needs that are not met When supplies are missing or are inadequate, processes are affected and results are deficient

5 **Tools Of The Trade**

Every profession has its own sources of technical data which are essential to performance Blueprints, specifications, catalogs price books material lists, reference manuals, policy or procedure manuals, guidelines, and other elements fit into this category of resources We analyze this area to check for the existence of the "tools" and the degree to which they are timely and accurate

6 **Finances (Money)**

Most of us will be affected by concerns for finances in one of two ways we either have to have budgeted dollars as resources or we have to have cash At times, we may require both We analyze finances as a source of deficiencies because budget allocation of funds or the availability of cash have to have sources If these sources aren't present or timely, tasks may be held up or prevented

Some of us may be involved in creating a source of funding and/or acquiring the funds from that source When this is the case, (as in procuring a loan for a new building program) the availability of the resource may determine whether numerous tasks, jobs and projects are carried out

7. **Time**

Time is an often-ignored resource In many situations, it is not even considered as a vital ingredient Assignments are made which exceed the capacity of the machines Performance assignments are expected of people when it is recognized that the added burden makes the situation impossible Providing time, on the other hand, is a matter of properly organizing a working schedule for jobs or tasks that are needed

"Lead time" is another important consideration where there is an interdependency among tasks Real coordination is called for

We analyze time as a resource to make sure that the appropriate interval of time is available, at the right time slot, in coordination with other schedule elements

8 **Information (Data Input)**

Information, as a resource, is similar to time, it is not considered as a part of the planning and scheduling efforts of many Yet, many tasks are totally dependent upon receiving information from others When we consider all of the information collection devices (forms) which flood our organization, we can surely see how many operations are based on the flow of data Routings are often complex

We examine information in order to spot gaps, overlaps and voids in the information flow of a job We evaluate the completeness and accuracy of the communication channel as well as the message We examine the timeliness with which data reaches performers, particularly when this information constitutes the trigger event or control for a task or operation

9 **People (The Human Resource)**

Whenever a task is not fully automated, we will find a need for a human performer Identifying the WHO in the task is a normal planning and scheduling activity Often, it is done well, at times, it is done poorly

The more common difficulty in assigning and allocating people to jobs is that managers and supervisors assign "whomever is available" This becomes the source of many resource deficiencies

Having someone to do a task is less than half of the battle The real struggle is **having someone who is qualified to do the job** In Resource Analysis, we identify the qualifications that are needed for a task Then, we attempt a match between available persons and these criteria Whenever there is a mismatch, there is a human resource deficiency

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For any task, there may be other required resources which do not fit conveniently into these nine categories In Resource Analysis, we list and examine them There is nothing magical about the identification of them or their being grouped into categories Rather, this identification is essential for the Resource Analysis process

B RESOURCE ANALYSIS PROCESS

The steps that we take to complete a Resource Analysis will follow a simple pattern Basically, the intent is to 1) Analyze the element, 2) Identify any deficiencies, and, 3) Determine and take an action which will correct the deficiency

Resource analysis uses seven steps to accomplish these three objectives Of course, we cannot begin the use of the seven steps until we have prepared a thorough analysis or breakdown of the task or operation in question These items are prerequisites Assuming that they are completed, we can begin this process

1 Identify The Resources Needed

The first step is to accurately describe all resource requirements for the task or operation The degree of specificity here is critical This is the time and the place for us to go into great detail to itemize all items required for the process We do not want to make any assumptions or take any ingredients for granted

The best approach is to systematically examine each of the nine categories of resources to determine if any are applicable to the task or operation Any that are applicable are spelled out in considerable detail

- What resources are needed?

2 Determine Quantity Requirements Or Deficiencies

After identification of the required items, we look closely at the situation which requires the resources and we ask Are each of these available in the right quantities for satisfactory performance of the task? If the task is a routine, repetitive task, we are asking if the required amount is normally available If we are examining a unique and rarely performed function, we are asking the question in a absolute mode If we are dealing with a specific problem that we are trying to solve, we are asking, "Was each resource available in the proper amount for satisfactory performance?"

- For routine tasks

  Are the required amounts normally available?

- For unique or one-of-a-kind tasks

  Are the required quantities available?

- For solving problems

  Were the required amounts available?

3 Determine Location Requirements Deficiencies

There are many times that resources are available, but they are not at the location where they are needed This step is intended to identify such dislocation deficiencies We simply answer one of these questions

- For routine analysis

  Are the resources where they should be for proper performance?

- For solving past situations

  Were the resources where they were supposed to be for satisfactory performance?

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4 **Determine Time Requirements Or Timeliness Deficiencies**

Resources that are available should be scheduled to arrive at the location where needed and when needed We don't wait until they are needed to order them We think ahead Having resources on hand too early can also present a problem So, we ask and answer some questions

- Are/were the resources in place at an appropriate time for satisfactory performance?
- Are/were any available too soon so that they interfere with proper performance?
- Are/were any too late so that performance is/was delayed or is/was impossible?
- Does the situation present a timeframe for arrival and staging of resources that makes it impossible to have all resources in a timely manner?

5 **Determine Quality Specifications Or Deficiencies**

Problems are caused by resources which do no meet the specifications needed for a task We have already identified how the lack of the proper qualifications will hinder the performance of the human resource Similarly, machines with the wrong specs, parts of the wrong size, or "old issue" forms can have negative effects of performance or operations We need to know

- Are the resources up-to-par in terms of any defined or definable
  - specifications,
  - criteria,
  - standards,
  - qualifications,
  - issues,
  - tolerances?

6 **For Deficiencies, Identify Resource Substitutes**

The ideal way to correct a deficiency is to correct it within the factor in which it is found Nowhere is this more true than in the resource factor The ideal way to correct a broken machine is to replace it with a working machine The best way of handling a "wrong issue" form is to substitute the "right issue" of that form The best option open to us for dealing with a situation in which a qualified performer is ill, is to replace that performer with another qualified performer

In order to complete this step, we will examine the possibility of two types of corrective actions within resources One is a direct replacement and the other is a substitute

a Direct Replacement

A direct replacement is made whenever it is possible to eliminate the faulty or deficient resource and put in its place a like resource that does not have the fault or deficiency

b Substitute

There are many times that substitution is possible Examples will help clarify this

Suppose I am about to make a cake and I realize that I have no cake mix (pre-mixed ingredients) I may be able to substitute ingredients that are not pre-mixed, I make it from "scratch "

While writing a letter, I find that my pen runs out of ink Since I have no refill for it, I have to look for another way I may find that it is perfectly okay for me to substitute a pencil for the pen

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According to my schedule, I may not be able to allocate 4 hours to a project this week By substituting a different timeframe (next week), I can arrange to fit it into the schedule

If the computer is "down" and I cannot get a printout that I need for a report, I may be able to have the data input documents delivered to me Note that this is a substitute resource, but it also requires changes in performance We will find that this is not unusual when we do not have direct replacements

There is another form of substitution that is possible in some situations For instance, if I have a performer who lacks qualifications, I may be able to get satisfactory performance by allocating additional time Or, when the calculator breaks down, I may substitute the pencil and paper method of calculation (Again, this calls for a change in the type of performance that is needed)

7 Identify Non-Resource Compensation

Where the attempt to correct a deficiency by replacement or substitution within the resource factor does not fully correct the situation, changes or alterations in one or more other factors will be needed We have just seen some examples of minor changes Let's look at some illustrations of other factors where there is no partial substitute in resources

a Structure for Resources

There are two typical situations which cause change in structure to compensate for deficiencies in resources One is where we change the definition of jobs because of different qualifications of people Suppose one employee, who is supposed to do a chemical test, does not know how We may not have time to teach the employee Instead, we compensate by temporarily assigning the task to someone who can handle it

The other example is when we change the starting or stopping of the task because of a resource deficiency For example, without the computer working, we may change the starting time and time-when-due of all of the reports In the interim, we assign all those who were to be working on the reports to some other tasks

There are other compensations in structure for resource deficiencies (like delaying a project until the next budget cycle) that are too numerous to mention The point is, we can compensate for known resource deficiencies by altering WHO is to do a task, or WHEN it is done, or WHERE it is performed These are all functions of structure

b Operations for Resources

It is not easy to find direct compensations for resources within the operations element because most operation changes will also necessitate some change structure or performance or both However, we can illustrate the operation portion of some compensations

- Because manual performance of a routine task takes too long, we convert the task to machine operations
- Because data input by the mail is not timely we provide computer access via a terminal and a telephone line so that the data can be obtained promptly
- Where new equipment is not available to meet the specifications that were in use, we may change the specifications or the procedures so that a different way of doing the task allows use of the different equipment
- Then there is the classic make-or-buy option Suppose we cannot buy the parts or supplies that we need, we may make them by setting up the procedures and machine operations that are needed

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c Performance for Resources

Compensating for resource deficiencies by altering performance is very common The process is not always done with deliberate thought and evaluation, it is often a reaction (sometimes emotional) to the situation When given due consideration, substituting performance for deficient resources can be quite productive

- For example, I may be driving down the road when I get a flat tire on the car Because of this resource deficiency, I may change my performance from "driving" to "changing tires " If I find that the spare is flat, I may change again to the task of walking to the nearest source of tire repair Note that a thorough Resource Analysis (examining the spare) beforehand may have eliminated the need for the emergency shift in performance
- Where there is not time for a performer to complete a task, yet the task must be done by a specific deadline, we amy require other persons to help the original performer While this is a change of resources and structure, it is new performance for the others
- Where machines break down, we often compensate by doing the operations manually (by human performance)

d Combinations

In most situations, deficiencies in resources are likely to be overcome by adjustments in resources, structure, operations and performance Many of the examples we have already given illustrate this fact The process of compensation for deficiencies can be complex this should remind us to keep it as simple as possible by looking for direct replacements or substitutes in resources whenever possible

SUMMARY

Deficiencies in resources affect the process of human performance or machine operations and are likely to show up as deficiencies in results The best and easiest way to handle resource deficiencies is to correct them with appropriate resources This involves accurately identifying the deficiency, by analysis, and then looking toward solutions What we are striving for is accomplishment of the "5 RIGHTS" for satisfactory results

Resources Analysis enables us to pinpoint when one or more "rights" produce wrongs

TASK (ACTION/RESULT) OR OPERATION

(1) WHAT INPUT(S) ARE NEEDED? (In other words which specific resources are required Indicate them below)	ARE THEY AVAILABLE IN THE **RIGHT** (Mark Y or N) (2) Amount?	(3) Place?	(4) Time?	(5) Quality?	(6) IF NOT WHAT RESOURCES CAN BE SATISFACTORILY SUBSTITUTED? (Write in the substitute resources)
• FACILITIES					
• EQUIPMENT (Machines)					
• MATERIALS (Re-usable)					
• SUPPLIES (Expendable)					
• TOOLS OF THE TRADE					
—References					
—Policies					
—Procedures					
—Specs etc					
• FINANCES					
—Budget $ s					
—Cash					
• TIME					
• INFORMATION (Data input)					
• PEOPLE WITH WHAT QUALIFICATIONS					
• OTHER					(7) IF NONE LOOK TO OTHER ALTERNATIVES IN STRUCTURE OPERATIONS OR PERFORMANCE

SCATTER DIAGRAMS

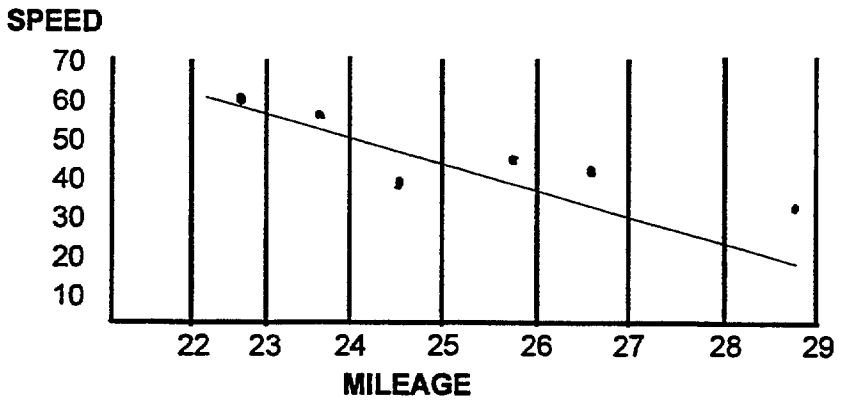
Scatter diagrams display the relationship between two variables or elements We use Scatter diagrams to determine the pattern of the relationship, if any

To use a Scatter diagram, we collect our data, then, we plot it according to the two axes (variables) of our data

Suppose, for instance, we have been keeping track of our gas mileage and our speed on a long trip We stop every 2, 3 or 4 hours and calculate our average speed We also fill up the tank and determine how much fuel we used Our data might look like this

After a little arithmetic to determine mileage, we can plot a relationship between speed and mileage (miles/gallons)

STOP	Speed	Mileage
1	61	22 7
2	47	25 8
3	39	24 6
4	58	23 8
5	44	26 6
6	32	28 8



Then, we draw a "best fit" line among the pattern of dots we have displayed from our data What does the line show? It shows a very strong correlation between speed and mileage As speed goes down, mileage goes up generally There is one notable exception

On Scatter diagrams, we can have several relationships

- Positive Correlation (As A goes up, B goes up)
- Negative Correlation (As A goes up, B goes down)
- No Correlation (There is no discernable pattern)
- Non-linear Correlation (Where the pattern forms a curve positive correlation changes to negative correlation or vice versa)
- Multiple Cause Correlation (There are two or more discernable patterns)

Scatter diagrams are helpful for determining cause We do have to be careful about jumping to C/E conclusions from correlations For example, there is a positive correlation between age and wages, but age doesn't cause wages

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STRUCTURE ANALYSIS

We use Structure Analysis to determine if Structure deficiencies have caused a problem and/or establish Structure in the PROGRAM stage

The purpose of Structure is to make it clear **to each performer**

- **what** they are **to do,**
- **when** they are to **start** doing it, **continue** doing it, and **stop** doing it,
- **where** they are to be when they do their jobs,
- **why** they are to do what they do

In addition, Structure has to make it clear **to each performer what** they are **to monitor and report.**

Finally, Structure must define **when** each **machine operation is needed** in terms of starting, running and stopping

For us to analyze Structure, we have to begin by looking at the ways Structure exists in the company

A RECOGNIZING THE DIMENSIONS OF STRUCTURE

There are four basic ways that organizations use to identify who is to do what We are familiar with all of them, but we may not have viewed them as parts of "structure " Therefore, we will get a clearer view of each method or dimension before we attempt analysis

1 Formal

The more obvious form of Structure is the formal organization structure that is shown on organization charts It is based on the organizing principle of "departmentation" or departmentalization " Thus, the organization is divided into divisions, departments, sections and jobs The breakdown is shown on an organization chart and the jobs (job positions) are usually described by "job descriptions" or "position descriptions " These formal documents serve to define who is to do what For example, the Accounting Department does accounting work, the Engineering Department does engineering work and people in Gas Operations operate the gas distribution system

We should recognize that organization charts and job descriptions define Structure in only a general way They are intended to be long-term definitions of responsibilities or accountabilities and are seldom explicit down to the task level Therefore, organizations use other ways of getting down to the nitty-gritty

2 Forms

The second dimension of Structure is provided by forms, formats and reports A form (or format) is a traveling document which transfers or conveys information from one person to another However forms also entitle or obligate the person who handles them to take certain actions Let's consider a common example, the personal check When someone writes a personal check, he or she is passing authority to another to present the form (check) for payment at a bank If properly authorized, the check gives a Teller the right to disburse the amount of money shown on the check from the drawer's account

There are many other examples of forms and procedures which entitle or obligate the originator, bearer, or receiver-in-due-course to take certain actions Whenever there are voids, gaps, inconsistencies, or ambiguities concerning the form, there are problems in getting the right tasks done on time

As a general rule, the answers to such questions as who, what when, where and why should be spelled out 1) **on the form itself**, whenever possible 2) the next best alternative

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is that they are spelled out in some **format which accompanies the form** 3) lastly, they should be clearly spelled out **in a readily available reference**, such as a job aid, policy manual or written procedure The idea is to make the structure clear to the person who sees the form

3 **Policy/Procedure**

A third dimension of Structure is provided in policies and procedures As a general definition, we might say that "policies" are pre-made decisions and "procedures" are the "how-to" of actions or decisions This dimension is based on the principle of "procedural authority" that was discussed earlier It means that a policy spells out who can and cannot make decisions or take actions The procedure, in turn, specifies exactly how the decision is to be made or how the action is to be taken by those who have ben authorized to do so by policy

As an example, we might consider a purchasing policy and its related procedures They spell out who may originate a Purchase Order and the dollar limit that may be purchased Similarly a discipline policy and procedure identifies the requirements for originating discipline with an employee Quite often such a policy or procedure will spell out who is to be involved, what approvals are required, what legal technicalities have to be observed and what recourse is available

The company uses policies and procedures to define how repetitive tasks are to be handled This formalized type of structure reduces the number of times that performers indiscriminately act This type of structure also serves to establish uniformity and consistency

- Feedback Structure

  Feedback, on the quality and quantity levels of output, is often used as trigger events or control for operations or performance Structure must provide feedback to the performer when there is not a feedback loop within the same operation Therefore, the procedures of a task should spell out the source of feedback and what to do as a result of the feedback Where there is no path for feedback to the performer, there is a Structure deficiency

4 **Temporary**

Our organization uses another way of providing Structure It is particularly appropriate for non-repetitive types of tasks and we call it "temporary structure "

Temporary structure is provided on projects or assignments that are given to the performer We normally give these projects or assignments by the process of delegation or instructions Our analysis must be viewed as an audit of the quality of the delegation or the instruction-giving process

Temporary structure also applies to

- Task Teams
- Project Teams
- Project Control Centers
- Committees

Temporary structure must spell out answers to these questions

- Who is involved? What is the membership of the team or committee?
- Who has authority? What type?
- What are the goals or objectives?
- What is the timeframe of operations?
- Who has the ability to commit for their departments/units?

- Where is participation required on the scale from "mandatory" to "voluntary?"
- Where will meetings be held? When?
- What results are expected?
- What procedures are to be used?

B ANALYZING THE DIMENSIONS

It should now be obvious that an analysis of Structure will have to address the dimension which contains the deficiency This is not difficult All that we need to do is follow a simple five-step procedure

1 Complete A Task Analysis

We would not begin a Structure Analysis unless we had some indication of a new task or a task is not being performed satisfactorily or at all When we have such a indication, we begin in the same way that we begin most analyses We begin with a Job/Task Analysis

Typically, a problem will arise within a system or an information flow, or a work flow, or a project We begin to investigate In order to identify and prevent possible deficiencies in Structure, we have to break the system or project down to the procedural level It is at this level that we will be able to locate potential deficiencies in Structure

We will have as a result of the Job/Task Analyses, a listing of all of the steps that are involved

2 Identify Resource Flow

We have to identify the inputs that are needed in order for the person or persons involved in doing the work to be able to perform the work activities There can be a significant difference in the types of input for various work For example, a power plant worker may need 1) Material, 2) Tools, 3) Procedures, 4) Work Order A Planning Analyst may require 1) 5-year Forecasts, 2) 1-year Forecasts, 3) Current data 4) General Research Data, 5) Interpretations of Conditions, 6) Corporate Goals

Then we identify the source of each input This means to identify from whom the input is obtained These sources should be identified by unit or position, not necessarily be the names of individuals All sources should be identified whether the input is obtained on a formal or nonformal basis For example, a mechanic may get his tools by asking the Foreman for them (nonformal) A worker may get his supplies by filling out a Storeroom requisition (formal) A Buyer may get a purchase request by a Purchase Requisition (formal) or a telephone request (nonformal)

Next, we identify the outputs that result from the activities This is similar to identifying inputs and may include such thins as finished assemblies or units, paperwork, reports, completed "programs" on the computer, updated files or even "recommendations made to boss "

Finally, we identify to whom the outputs are forwarded This is similar to sources of inputs For outputs that are distributed it is satisfactory to show such things as "Report to Planning Committee" or "all Division Directors "

With this background information, we are ready to move to the next step of Structure Analysis where we begin to see the source of authority for decisions

3 Identify Source/Location of Decisions

The third step is to identify where all functional and procedural decisions are made This step means identifying the positions in the organization which normally make the decisions that control the person doing the activities Sometimes decisions will relate to specific activities At other times, decisions are made affecting the work as a whole, rather than an individual activity

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There are two categories of decisions, functional and procedural The position making the decisions may be the same one

To illustrate identification of decision-makers consider these examples A production unit may have functional decisions made by the Foreman or jointly by the Foreman and Planner Procedural decisions for standards may be made by the Engineer and for quality by a Quality Assurance Inspector

It is important to identify all who are directly involved in decisions, but not those who are only indirectly or rarely involved This process of identifying the source of decisions prepares us for spotting gaps in the information flow from decision-makers to job performers

4 Identify Relationships Needed

Then, we identify the relationship that is needed between the doer of the activity and

- the one(s) from whom Input is obtained,
- the one(s) who makes decisions about activities,
- the one(s) who receives the Output

We are making certain that we know what is needed before we begin an attempt to see what could be missing

5 Analyze Degree of Structure That Is Explicit

Structure Analysis is a matter of determining the degree to which the implicit is made explicit We do the analysis by comparing what we have found to be needed against what is provided by the organization We make no assumptions, **assumptions are deficiencies in Structure** Instead, we systematically examine the dimensions of Structure to find the places that do not clearly spell out who is supposed to do what and when

We should remember that we are looking at what the organization does to provide information to the performer for each of the steps of the tasks we are examining In doing so, we will recognize a deficiency whenever any of the following situations arise

- Start, stop or feedback indication doesn't exist,
- Start, stop or feedback signal is short circuited, particularly if feedback loop is used,
- Start, stop or feedback indication exists but is not detectable by the performer because of being
  - too soon/too late,
  - too large/too small,
  - too fast/too slow,
  - constant,
- Start, stop or feedback device (mechanical) is
  - inoperative,
  - adjusted too sensitive or not sensitive enough,
  - out of position

These situations are usually accompanied by remarks like the following

"It's not my job "

"I don't remember you saying to do it "

"Someone was supposed to do that!"

"He knew it was his job or at least he should have known!"

"How can it be confusing, it's perfectly clear to me?"

"They should know better!"

"Why can't they remember what they are supposed to do?"

"That's nowhere near good enough, what's the matter with those people?"

All of these kinds of comments reflect deficiencies in Structure which are not being addressed There is a large amount of room for improved planning and scheduling by improving Structure In most cases, this **will not include** changes in organizational Structure Therefore, most of the necessary improvements can be made without concern for high level approvals, manpower plans, re-organization, hiring or layoffs, and similar major items

a **Are Job Duties Clear?**

We begin by looking at the formal organization Structure We ask and answer a series of questions

- How do tasks break out across positions and departments?
- Who is responsible for each task?
- Who reports to whom?
- Are the any tasks which are
  - unassigned?
  - ambiguous?
  - duplicated?
- Are there any reporting channels which are
  - irregular?
  - broken?
  - undefined?
- What informal relationships are necessary to get the job done?
- Which are actually used? Are they contrary to stated policy or practice?
- What approvals are needed for completion of the task?
  - are they appropriate?
  - what criteria are spelled out for gaining the necessary levels of approval?
  - are they applied uniformly and consistently?
  - are there alternatives when an authority is not available for approval?
  - what are the allowable exceptions?

HAVE THE ANSWERS TO ALL OF THESE QUESTIONS BEEN MADE EXPLICIT TO THE PERFORMER **BY DOCUMENTATION AND DISCUSSION?**

DOES THE PERFORMER UNDERSTAND? **ARE YOU SURE?**

b **Are Forms, Formats or Reports Structured Adequately?**

Where there is a form, format (on computer systems a prompting "screen") or report, we examine how accurately and completely the responsibilities for use of the form are spelled out We may do this analysis by simulation (answering the questions in our heads), but it is much safer to do the analysis by observation or interview of performers who use the form This is accomplished by having two or more people answer the questions independently Then, their answers are compared to each other and to the

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prescribed answers Any answer which shows a difference represents a Structure deficiency

- Where is the (form, format, report) to be obtained or where does it come from in order to get to the performer?
- When does the performer concern him or herself with it? Why?
- Should the performer look for it or take action if it doesn't come? What action?
- What does the performer do if it is not in its normal place?
- What tasks does it trigger?
- What parts is each performer responsible for? Why?
- What information does each performer get from it? Add to it?
- What does the performer do if the information is not available?
- What verification of information is needed? How is verification done?
- What approval or authorization is needed?
  - whom? what limits?
  - what alternatives are valid?
- What happens to it when the performer is finished?
  - what copies?
  - what routing?
  - what filing?
  - what follow-up?

HAVE THE ANSWERS TO ALL OF THESE QUESTIONS BEEN MADE EXPLICIT TO THE PERFORMER **BY DOCUMENTATION AND DISCUSSION**?

DOES THE PERFORMER UNDERSTAND? **ARE YOU SURE**?

c Are Policies/Procedures Appropriate?

When we analyze policies and procedures, we compare what is called for in the policy/procedure to what we have found to be necessary in the Job/Task Analysis We analyze policies and procedures that are formal in informal, written and unwritten We are most likely to find deficiencies by observation or interview of the performers who do the tasks Quite often, deficiencies occur in the performer's understanding or interpretation of the policy/procedure This is still a Structure deficiency

We ask the following questions about the policy or procedure We compare our answers to what is needed or what actually is done

- What does the policy or procedure call for the performer to do in the way of tasks, operations? Why?
- When?
- How often?
- What authorizations or approvals are required?
- What alternatives are to be followed if problems are encountered?
- What relationships with others are required?
- What specific feedback is provided to the performer **for each performance**?
- How does the performer recognize the feedback?

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- What is the performer to do as a result of the feedback?

HAVE THE ANSWERS TO ALL OF THESE QUESTIONS BEEN MADE EXPLICIT TO THE PERFORMER **BY DOCUMENTATION AND DISCUSSION?**

DOES THE PERFORMER UNDERSTAND? **ARE YOU SURE?**

d Are Assignments Clear and Complete?

Temporary Structure is provided when responsibilities are delegated, orders are given, assignments are made or projects are scheduled To do a thorough analysis of the temporary Structure, we might repeat all of the questions we saw under the previous three headings If we understand this principle, we can audit temporary Structure by adequate answers to the following questions

- Have the reasons for the assignment been spelled out?
- Has the assignment been given clearly, in the language of the performer?
- Has the necessary background information been provided?
- Are the desired end results clearly spelled out?
- Is the timing of the assignment made clear
  - starting time?
  - priority?
  - interval, due date, or deadline?
- Are new or changed relationships between the performer and others spelled out?
- Are problem-solving, decision-making authority identified? Alternatives?
- Are reporting requirements specified?
- Are feedback mechanisms built in?
- Was the performer's level of understanding corrected? **Are you sure?**

SUMMARY

We analyze Structure to prevent or uncover potential deficiencies in the way starting, stopping or feedback indications reach a performer We can repeat a statement made earlier "It does not matter that these things may be perfectly clear to everyone else in the world It only matters that they are clear to the person or persons who have to perform the task "

The solution to any lack of understanding or misunderstanding is to make the Structure explicit by documentation and discussion

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TREND CHARTS

Trend charts are the same as Scatter diagrams They get their name because our purpose in creating certain charts is determine if there is a pattern or trend to the data

After a trend has been established, we can use it to make predictions We look for these types of trends

- Trend up
- Stable
- Trend down
- No discernible trend random variation

The chart that follows is a multiple cause correlation (in this case 2 causes)

The probability of a trend continuing is a function of the number of data samplings in the trend Generally speaking, we need a minimum of three cases (pieces of data) to establish a trend We can begin to make predictions at that stage Our probability increases as more pieces of data fit the pattern

We can use these guidelines to help us spot when a trend exists or when "special" causes exist

- Within 1 Standard Deviation of the mean
  - run of 7 cases in a trend
- Between 1 & 2 Standard Deviations
  - 4 of 5 cases
- Between 2 & 3 Standard Deviations
  - 2 of 3 cases
- Outside 3 Standard Deviations
  - any 1 case, or more

VISIONING

Visioning is a process that empowers persons in an organization to pull together When there are problems of coordination, mixed priorities, and inter-group conflict, Visioning is needed Visioning consists of Mission, Vision, Objectives, Goals, and Programs

Any part of an organization especially newly formed teams, should begin with visioning

MISSION

The mission statement is a short paragraph conveying the identity and direction of the organization The Mission clearly states why the organization exists what its ultimate point or purpose is

VISION

The **Vision** is a one page document summarizing the visioning results which includes

- The Vision statement or one sentence summary statement
- A visual which pictorially communicates the Vision
- A slogan which communicates the Vision and elicits emotion and commitment
- Brief definition or details which convey the major themes or dimensions of the Vision

The Vision conveys a state of excellence rather than a future time The Vision is written in present tense to imply that immediate corrective action is needed for the Vision to be reality The target audience for the Vision is its creators and not the stakeholders However, it should not be kept confidential but shared with the stakeholders The Vision is not necessarily different from the Mission in the topics covered nor the direction conveyed

OBJECTIVES

Objective statements are general but brief statements for each key dimension important in describing what or where the organization intends to be The dimensions my address stakeholders, resource areas, values, actions or attitudes but should only include the few most important ones Objectives are general in nature and do not include measures or targets except in non-specific terms

GOALS

Goals are statements of desired results

They include

- Measurable Targets
- Stretch Objectives
- Time Horizon

The set of stated goals for an organization, if accomplished, should allow it to reach its stated Mission and Objectives Goals define results and not activities A goal for one organizational level may be an Objective or even the Mission of a lower organizational level

PROGRAMS

Programs are statements of activities to be performed They include a definition of what is to be done, by when and with what resources Since there are generally no corporate programs, the programs of departments divisions and other lower organizational units cause corporate goals to be achieved

WEIGHTING

Weighting is a process that helps discriminate among ideas or alternatives by increasing the arithmetic differences in the values of the ideas or alternatives

We use two forms of weighting

REVERSE RANKING OF OBJECTIVES

The "Reverse Ranking of Objectives" is achieved by reversing the numbers of the ranked objectives to give the highest ranked objective the highest weight

Objectives In Rank Order	Reverse Rank or Weight
1	6
2	5
3	4
4	3
5	2
6	1

CALCULATING RELATIVE WORTH

On your list of objectives, indicate the relative importance of each one Use a scale of 1 to 10 where "1" is least important and "10" is most important.

It is helpful to assign a number "10" to an objective that is obviously the most important and a number "1" to an objective that is obviously least important This creates a scale Then, assign numbers to the remaining objectives using the scale as the reference

You may have several objectives that are of the same relative importance Therefore, you will assign them the same number It is not necessary that you use all numbers in the series

For example, you may have these objectives for a new car purchase you desire to make

Mid size	10
Front Wheel Drive	10
Maintenance service	7
Warranty	5
Sound System	2

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WORKFLOW DIAGRAMS

A workflow diagram is a representative picture of the movement of items in a process

We can create a workflow diagram for anything that moves However, they are most helpful when we are trying to find the CAUSES of inefficiency or when we are trying to plan for efficiency Typically, workflow diagrams help the most in analyzing the flow of

- Paperwork
- People (movement to get the job done)
- Materials or parts (such as in parts set up for manufacturing)

To construct a Workflow diagram, begin with a foundation that describes the flow area This may be

- Floor plan
- Plant layout
- Map
- Wiring or piping diagram
- etc

Trace the flow of the subject item on the foundation If necessary, use codes and legends to differentiate overlapping routes

After tracing, look for unnecessary or excessive movement and overlapping or retraced routes Try to eliminate these by redesigning the process into a more efficient flow

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GROUP DECISION METHODS

We can improve decision-making by recognizing **when** to involve a group and **how much** to involve the group in making the decision

When a group of two or more people is gathered for the purpose of making a decision, there are five basic ways to arrive at the desired end We should be careful to note that each way is not inherently good or bad, indeed, each method can be most appropriate for a given situation

Let's take a brief look at each of these methods and illustrate each one with an example that shows the method being used in an appropriate situation

1 Decision of the **Authority**

There are situations where we will conduct a meeting with one or more other people for the purpose of getting some input on a problem Once we have heard the discussion, we may make the decision or make a recommendation for a decision In such situations, the decision is made by the **authority** The other people who are involved are in the input part of the process, but not in the actual decision-making A leader cites such a case

> "We were having some difficulty getting the time records processed in time to get the paychecks out on schedule I had a clear picture of what had to happen, but I needed some information on just where we were getting bogged down I called the accounting people together and asked some questions about the work flow As soon as the problem became clear, I redesigned the procedure to have the week end on Thursday The problem was cleared up in a couple of weeks and has not occurred again "

Decisions by the authority in the group are appropriate **when policy or procedure is clear**, the **person in authority has the needed information** and the **end result is not a matter of opinion or debate** It is worth noting that "authority" here includes the full meaning of authority Decision-by-authority can be from this position of functional authority or from the authority that is derived from specialized knowledge or influence

When we choose to use this method of making decisions with a group, we should recognize some important factors In the first place, ultimately, **we will be accountable for every decision** In any event, authority includes accountability Even though we have made a decision or recommendation with the help of a group, we are accountable for the accuracy and timeliness of the information used to make the decision Thus, when we use the resources of one or more other persons to lead to a decision (though it is actually made by us from a position of authority) we are responsible

2 Decision by a **Minority**

The second type of decision is one made by a minority of those involved An employee illustrated this type of decision-making in an example It seems that the employee and a Material Specialist were in a group meeting with a vendor, working on the final specifications for a new purchasing contract for cleaning supplies A decision was called for on the quantity requirements Between them, the employee and Material Specialist made the decision for the company and advised the vendor representatives of the result Even though much discussion took place, and numerous calculations were made, the decision was made by a minority of the people present

This type of decision in a group is quite common **Where only a minority of people in the group have the technical knowledge and/or responsibility for the decision**, it is appropriate that they make it As decision-managers, we must know who the key players are We must also know how and when to elicit a decision from them for the group

3 Decision by the **Majority**

The democratic process of group decision-making is very common and well-known to most people It is a process of getting a vote on what is desired, by the majority of people involved It is recognized that everyone will not necessarily "have his or her own way," but the process does consider the input and choice of the majority

We have to know when to involve a group of people in a voting process We have to be careful to separate the vocal minority from the majority And, we need to know when the criteria rule out a democratic process Generally speaking, this is **not a very helpful method of making decisions in business**

4 Group **Consensus**

This type of group decision-making literally means "the consent of the group" It is not the same thing as unanimous agreement Rather, it is the situation where communications have been sufficiently open and the group climate is such that everyone feels that he or she has had a fair chance to influence the decision The decision is a "best alternative" that the members of the group can agree is workable and that they can support Group consensus **involves** a significantly larger amount of **time** than the other methods in order **for the group members to hear everyone, discuss differences and raise objections Situations which are not clear-cut** lend themselves to this approach

5 **Unanimous** Consent

The perfect kind of decision might be unanimous consent It may, at times, be desirable to try to seek such unanimity, but it is not likely that it will be achieved For the most part, true consensus will be enough We won't dwell on this form of decision-making because, in most situations, **it will prove to be highly inefficient or even impossible**

WHEN CONSENSUS IS APPROPRIATE

Of all of these methods for making decisions in a group setting, one requires a special set of skills and guidelines— group consensus

Group consensus is more appropriate in several circumstances

1 **When the Use of Different Knowledge Areas are Required**

The effective pooling of the capabilities of a wide range of experts, who are experienced in different areas, can lead to sound decisions The knowledge, capability and experience of each person is at least a little different from the others in the group When it is desirable to use this difference in capability to improve a decision, the consensus approach is a useful tool This is particularly true at the outset of new projects where a great deal of coordination and cooperation are essential

Consensus is often an appropriate technique for people involved in the design or modification of products or facilities Final design is usually drawn from the requirements indicated by a combination of inputs from operating experts with some adaptation to meet cost and safety standards There is rarely a clear-cut solution that one area of expertise can produce Instead, the knowledge and experience of several individuals must be brought to bear on the problem

Situations don't have to be this technical to utilize the capabilities of a group An individual indicated a case that is an appropriate fit

> We were trying to establish a training program on the computer for new people The manager and I have a great deal of knowledge of the requirements and problems of the job But so do the employees themselves So we got them together in a group to outline what should be included in the training We've got a much better design because of this and they accept the need for training better too

The question is - Do I need to draw upon the knowledge and experience of others to make a good decision?

2 **When Dealing with Uncertainty**

The second consideration is the degree of uncertainty in the factors surrounding a decision Generally speaking consensus works well when uncertainty is high When there are a number of unknown factors, or variables that involve a number of people we might apply the consensus approach This situation will exist in many long-range planning situations It may be necessary to bring together historical data, projected needs and significant changes that are anticipated At times it is appropriate to reach a consensus decision while considering resource availabilities and business cycles

3 **When We Need to Reach Workable Agreement**

By **moving closer and closer to true consensus**, we can see not only an increase in the number of persons who **favor a decision** but we can generally see **more who will commit themselves to its implementation** Getting as many people into the act as possible is good for motivational reasons People tend to support decisions in which they have had some say Even when the final decision is not exactly what some might prefer, they tend to support it This is partially because they have had an opportunity to air their objections or concerns and to have these considered and deliberated

What the group attempts to do, in consensus, is to come up with a solution which each member can accept on the basis of logic and feasibility Two things happen 1) all of the members actually make use of the intelligence and insight of everyone **before** the decision is reached, and 2) the process cuts to a minimum the number of people who still cling to "solutions" which have been eliminated for good reasons A person can say, **"It is not a perfect answer, but it is one that will work and that I can live with "** In effect, the group reaches operational agreement

4 When Others Should Be Involved?

Deciding whether or not to use a consensus approach also includes giving some thought to who will be involved in the decision-making group There is no absolute way of determining who should be included, but we might try to answer these questions in our minds

- Who has the information that is needed for the decision?
- Who has the technical competence or skills needed to make or implement the decision?
- Who has responsibility or accountability for the decision or its implementation?
- Does the decision directly affect the person's job?

When we consider the factors we have described, we can decide if we want to use a consensus approach If we do decide to use consensus, we will want to apply the consensus guidelines and groundrules that are in the groundrules section of this guide

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FOUR TYPES OF TEAM (PARTICIPATIVE) EFFORTS

Within an organization, it is possible to have up to four types of teamwork or participative efforts The four types fit into two major categories which help define some similarities between the types

NATURAL ACTION TEAMS

Natural action teams derive their name from the fact that they are performing the "natural" (normal) work "actions" (jobs) of the members There are two types of **natural action** teams I FUNCTIONAL, II CROSS FUNCTIONAL

Functional and cross functional are similar in that they are both **natural action** the normal job **Functional** teams operate **within** the **organization's departmental boundaries** whereas **cross functional** teams are, by their very nature **interdepartmental Functional** teams follow the **chain of command**, the organization's lines of authority, **cross functional** teams are "matrix" in that formal lines are crossed and "position" is replaced with "**expertise**" as the source of authority

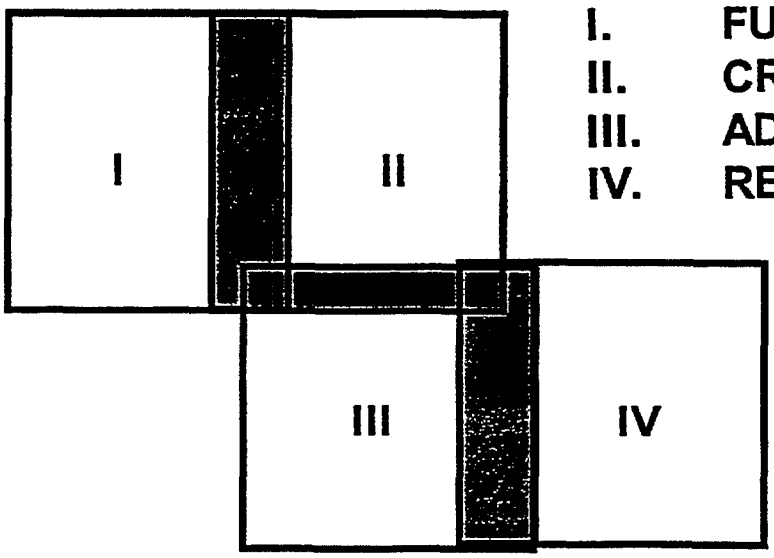
Both types of **natural action** teams use participative methods **to improve the way the normal job is performed**

TASK or PROJECT TEAMS

Task or project teams derive their name from the fact that they exist for the purpose of carrying out a specific task or project There are two types of **task or project** teams III AD HOC, IV REPRESENTATIVE

Ad hoc and representative teams are assembled to work on specific **tasks or projects**, both have the specific purpose for their existence, both operate in addition to and outside of the normal job functions The **general rule for** assembling an **ad hoc** team is to obtain **members who have the needed knowledge and skills** for the whole task or project In the **representative** team, the key factor is **representation**, each person is chosen as a **representative for a constituency**, with individual expertise being a secondary criterion

Neither **task or project** team is involved in performing the normal job Instead, both types of **task or project** teams use participative methods **to make decisions or solve** problems that are **beyond the scope of the participants' normal duties**



I. FUNCTIONAL
II. CROSS FUNCTIONAL
III. AD HOC
IV. REPRESENTATIVE

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THE FOUNDATION FOR ALL PARTICIPATIVE EFFORTS

A great deal of the conflict over participative efforts can be eliminated by establishing a foundation **the organization which establishes teams (participation) does so to enhance its position and further its existence** It does not do so to eliminate itself

There is a commonly held desire (or fear) that the organizational structure will disappear with the implementation of participative methods Nothing could be further from the truth Here's why

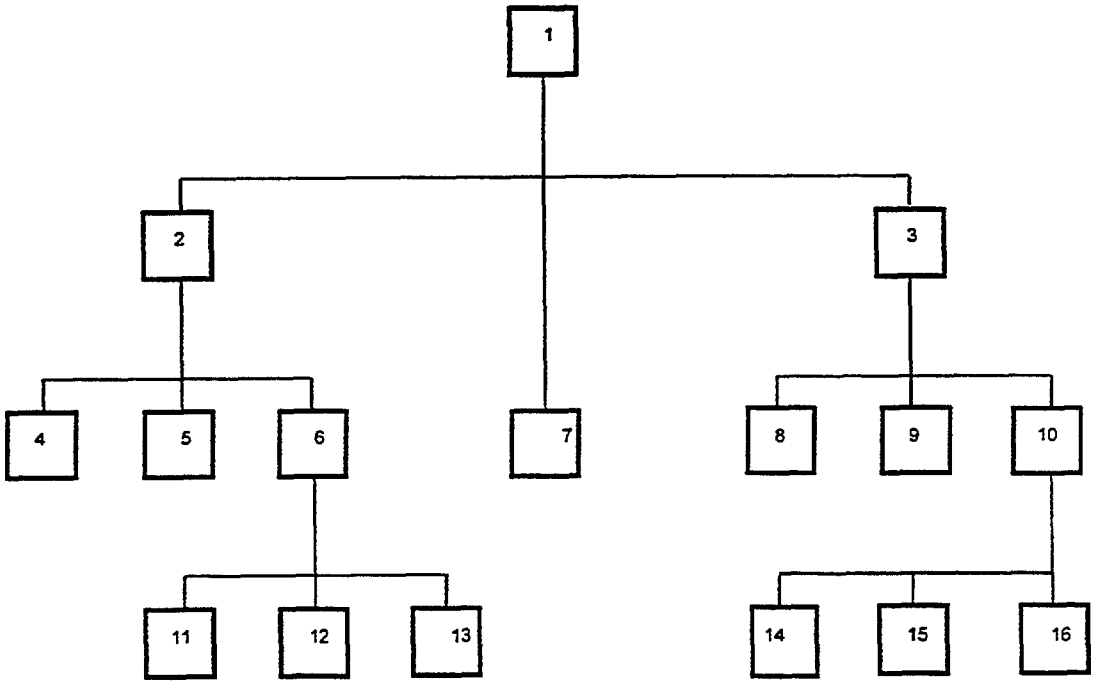
The organizational principle of "**departmentation**" is as sound today as it was centuries ago It spawned the saying, "In the best of organizations, form follows function " Organizations derive their form (are **departmentized**) because there are separate functions to be performed We divide our organizations into departments, divisions, sections, units, groups, shifts and crews because of the functions We group similar functions together; we separate dissimilar functions The formal organization chart clearly reflects the division of functions

And the reason for an organization having levels in a hierarchy is the equally sound organizational principle of "**span of control** " According to this principle, each person can only control (pay attention to and coordinate) so many people and functions This is as old as Jethro's advise to Moses when Moses attempted to have a "flat" organization and do it all himself

> "This thing that you do is not good both you and these people who are with you will surely wear yourselves out For this thing is too much for you, you are not able to perform it by yourself Moreover, you shall select from all the people able men, such as fear God, men of truth, hating covetousness, and place such over them to be rulers of thousands, rulers of hundreds, rulers of fifties and rulers of tens So it will be easier for you, for they will bear the burden with you " — Exodus 18 17,18,21,22

Finally, on the most practical note, the Board of Directors is not at all likely to do away with all officers and managers of the organization during our lifetime

In conclusion, **look for the presence of the organization in every team or participative effort.** Teams and participation must be seen as different forms for the same functions They must exist in and support the organization



I FUNCTIONAL TEAMS (Participation in the normal job)

The first thing to recognize about **functional** teams is that there is no change to the organization Each superordinate and subordinate pair in the organization is a team Each subordinate supervisory level is a "linking pin" to the next subordinate level

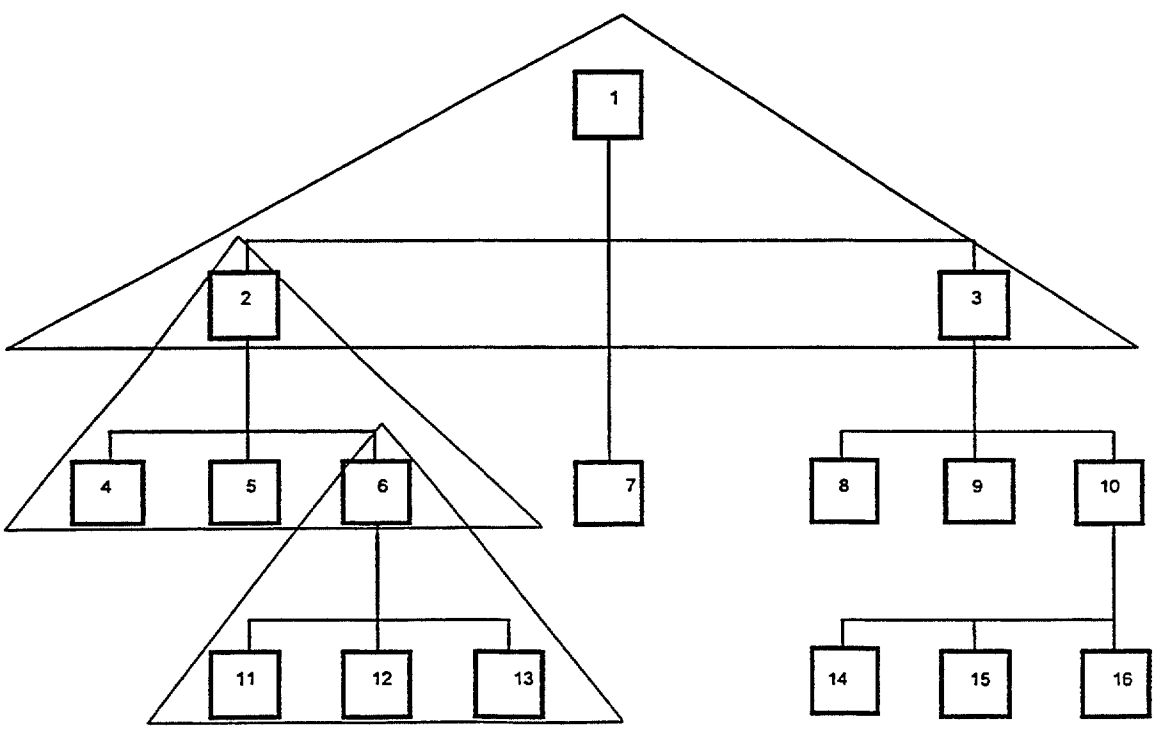
Membership is each of these teams is inherent with the position If you take a job in the organization, you're a part of a functioning work group Your job function is no different after teambuilding or participation than it was before Thus, membership is **not voluntary**, it is inherent

WHAT you do does not change Instead, **HOW** you do it is very likely to change In functional teams, the purpose of teambuilding or participation is **to improve the way you do your normal job** Theoretically, this can happen in two ways

- Give people more voice in their work. People are more likely to be motivated to do the job if they have some say-so about the factors of the job, if they
  - use their own knowledge and experience,
  - control their own methods,
  - creatively resolve their own problems
- **Use group, rather than unilateral, processes** Group processes tend to produce better decisions and provide better solutions because
  - perceptions and experiences are shared,
  - synergy is derived from group effort,
  - more potential obstacles can be anticipated and resolved

Bottom line, it comes to this membership in a functional team is not a matter of choice The only choice a functional teammate has is whether to improve his or her methods

Functional teams may simply improve their ongoing relationships or they may meet specifically to analyze and revise their work procedures



△ = Functional

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CROSS FUNCTIONAL (Normal networks)

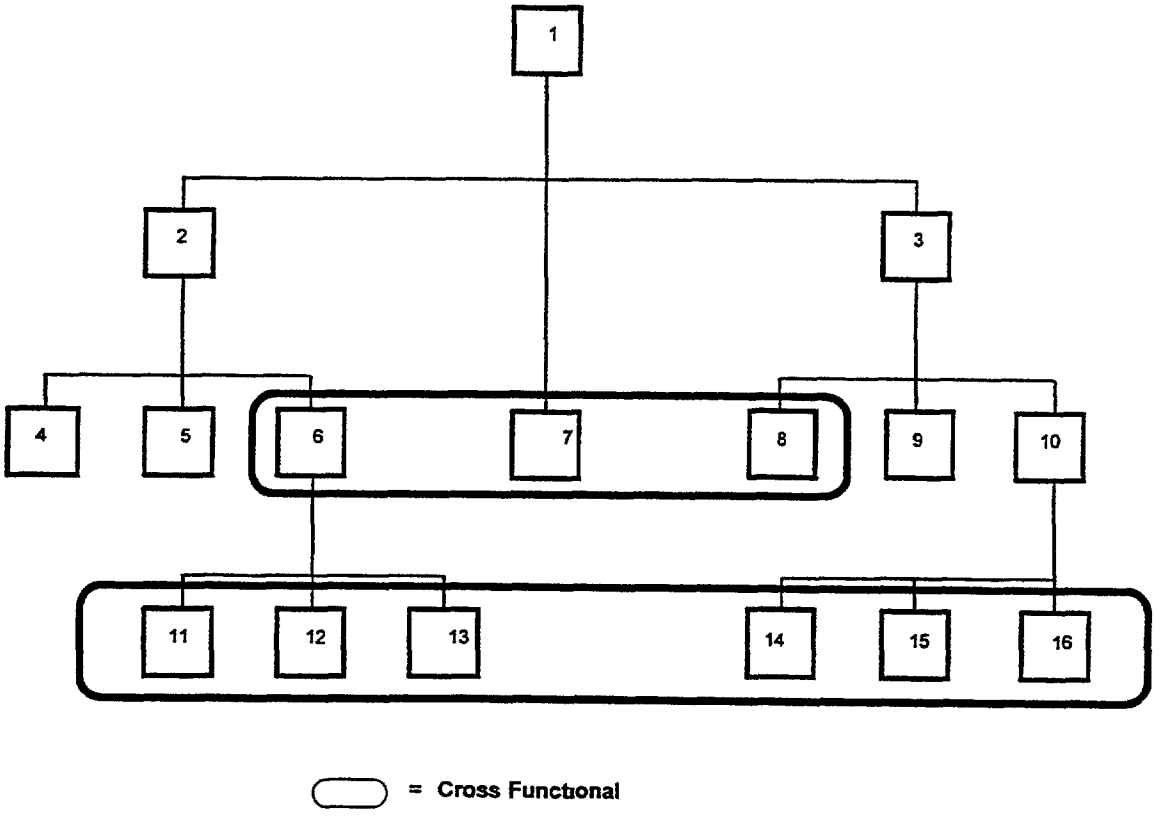
A cross functional team is a **normal network of interdepartmental relationships** Typically, each person must regularly deal with 5 to 8 other people in the normal course of doing the job For example, a Customer Service Representative may have to deal with someone in Accounts Receivable, a Collector, the Cashier's office and a Field Service Representative the Shift Supervisor may have to deal with people in Planning, Maintenance, Technical Services, Materials Handling and Plant Services

Again, membership in this team is part and parcel of the job, it is **not voluntary** It is not a matter of "becoming a team," but a matter of becoming a winning team

Cross functional teams can simply coordinate and collaborate to get the day-to-day job completed They may also schedule special meetings to evaluate and improve their methods

Some confusion exists between cross functional and ad hoc teams This need not be the case Any cross functional team that identifies an issue regarding the member relationships or methods, and sets about the task or project of improvement, meets much of the definition of an ad hoc team In this case, the effort is more accurately called "cross functional" because the participants are required to work together anyway and the improvement is the normal job

Cross functional (lateral) relationships may exist at any level of the organization, and they may even bridge levels Cross functional teams are sometimes called "matrix" because of this overlapping of vertical and horizontal lines



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III AD HOC (For a specific purpose)

Ad hoc teams are **task or project teams** The task or project is **not a normal part of the members' jobs**

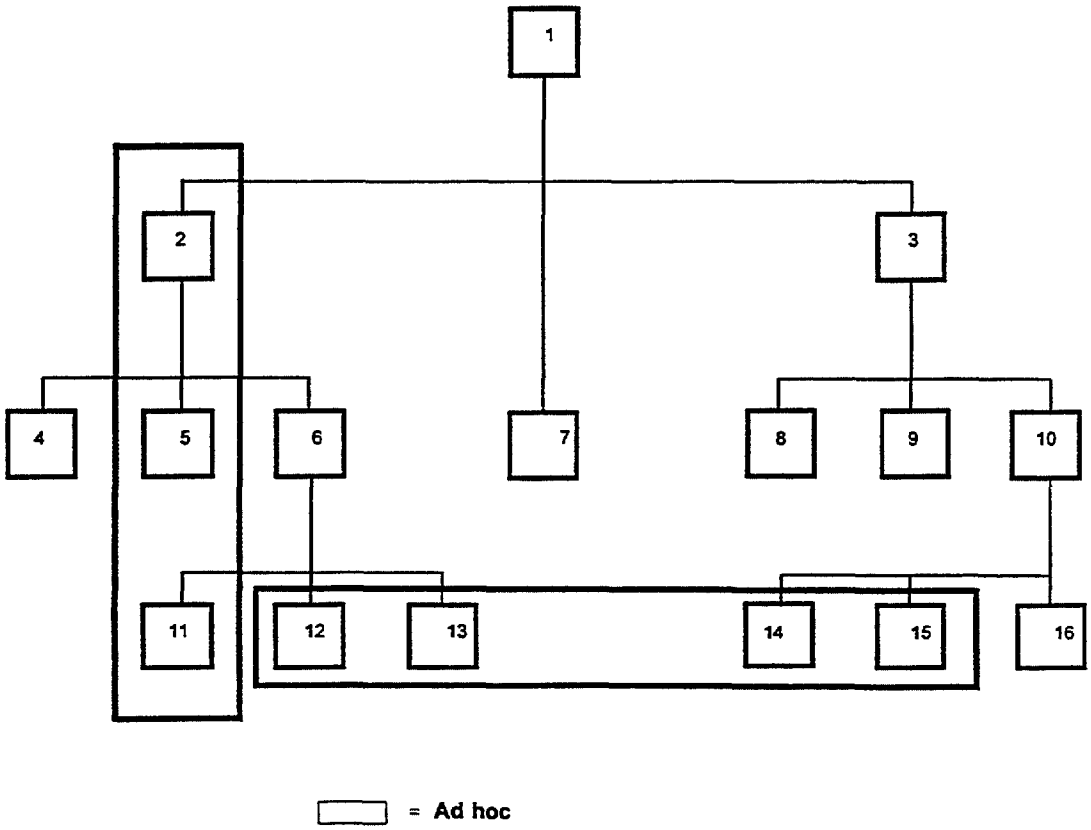
Usually, participation in an ad hoc team is **voluntary** Each individual is invited to participate in the task or project that goes beyond the call of duty Each is usually asked because he or she has **a special talent or skill the team needs** for its task or project

Ad hoc teams may be composed of individuals from a vertical or horizontal slice of the organization or some combination

Consider some examples of ad hoc teams

- The Controller, the Manager of Accounts Receivable and a Collections Representative may assemble for the task of preparing testimony in a pending court case
- Several workers from several crews may meet periodically to train and retrain as a Fire Brigade to be ready for such an emergency
- Several people from all shifts in a continuous operation (computers or generating station or Dispatching) may meet to develop a more effective shift-to-shift communication method (Note that this is quite similar to a cross functional team except that designing communication methods is not normally the job of these people)

Ad hoc tasks may be **short team** (a problem) **or long term** (Fire Brigade) Ad hoc projects may be small (a few hours) or large (a few man-years)



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IV REPRESENTATIVE (People with constituencies)

A Representative Team also has a **task or project** to perform However each member of the team is much more than just a participant **Each team member represents a constituency** To perform his or her team function, **the representative must ensure that the constituency's desires and needs are fairly presented to the team** Each representative must decide what is good for the constituency not just vote his or her own conscience Sometimes, the **whole** team represents **all** constituencies

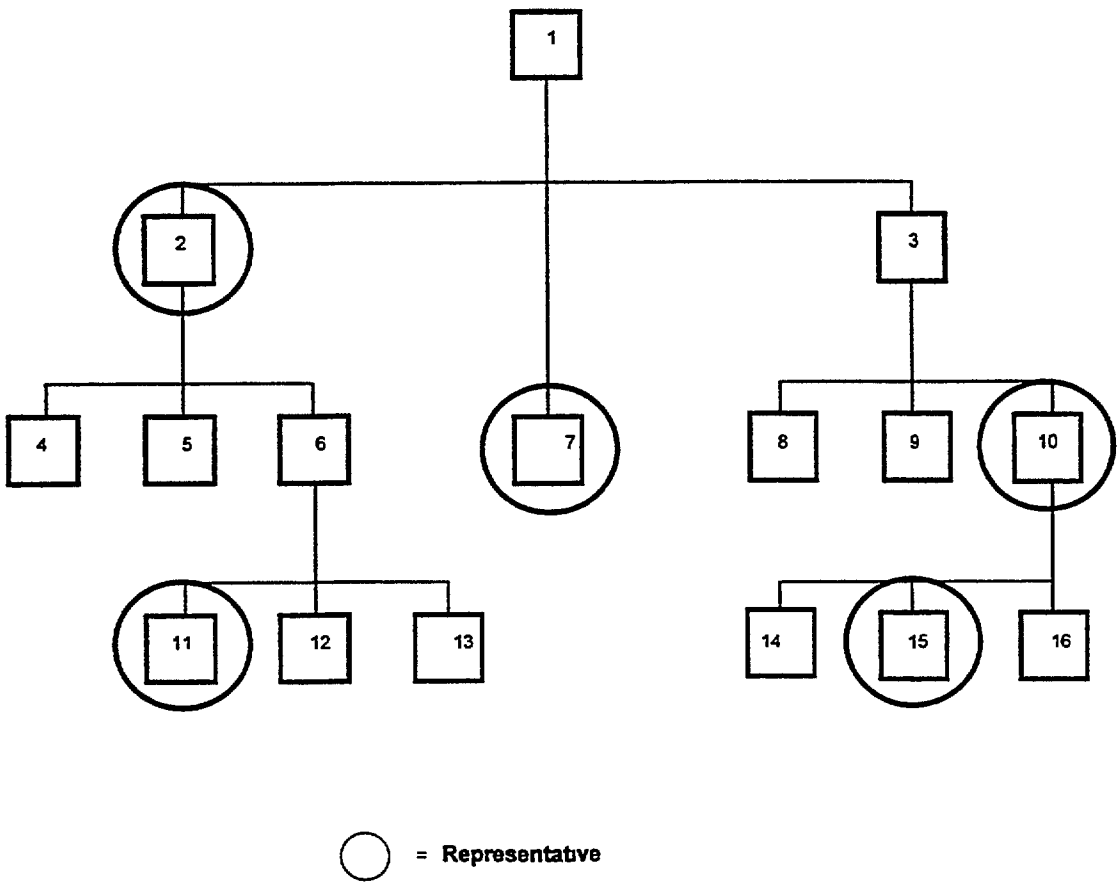
Usually, membership is **voluntary** constituencies generally do not want to be represented by anyone who does not want to be a representative

Selection of persons for a representative team may take several forms

- People may volunteer simply because they want to be involved on the team's work
- Constituencies of the organization (divisions, levels, labor grades, sexes, age groups, etc) may ask their own kind to represent them
- The organization may ask for volunteers and assign them the responsibility for certain constituencies
- Volunteers for a project may have to identify who their constituencies are and how they are to be fairly represented

Representative teams not only require the **participative skills** of other teams, but they also need **skills of representation** These include such actions as conducting focus groups, preparing and administering surveys, or negotiating terms and conditions all methods of involving and representing constituencies

When the members of a representative team do not have the expertise they require to complete the task or project, they owe it to their constituencies to obtain the needed abilities from outside parties



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APPLIED TO AN ORGANIZATION

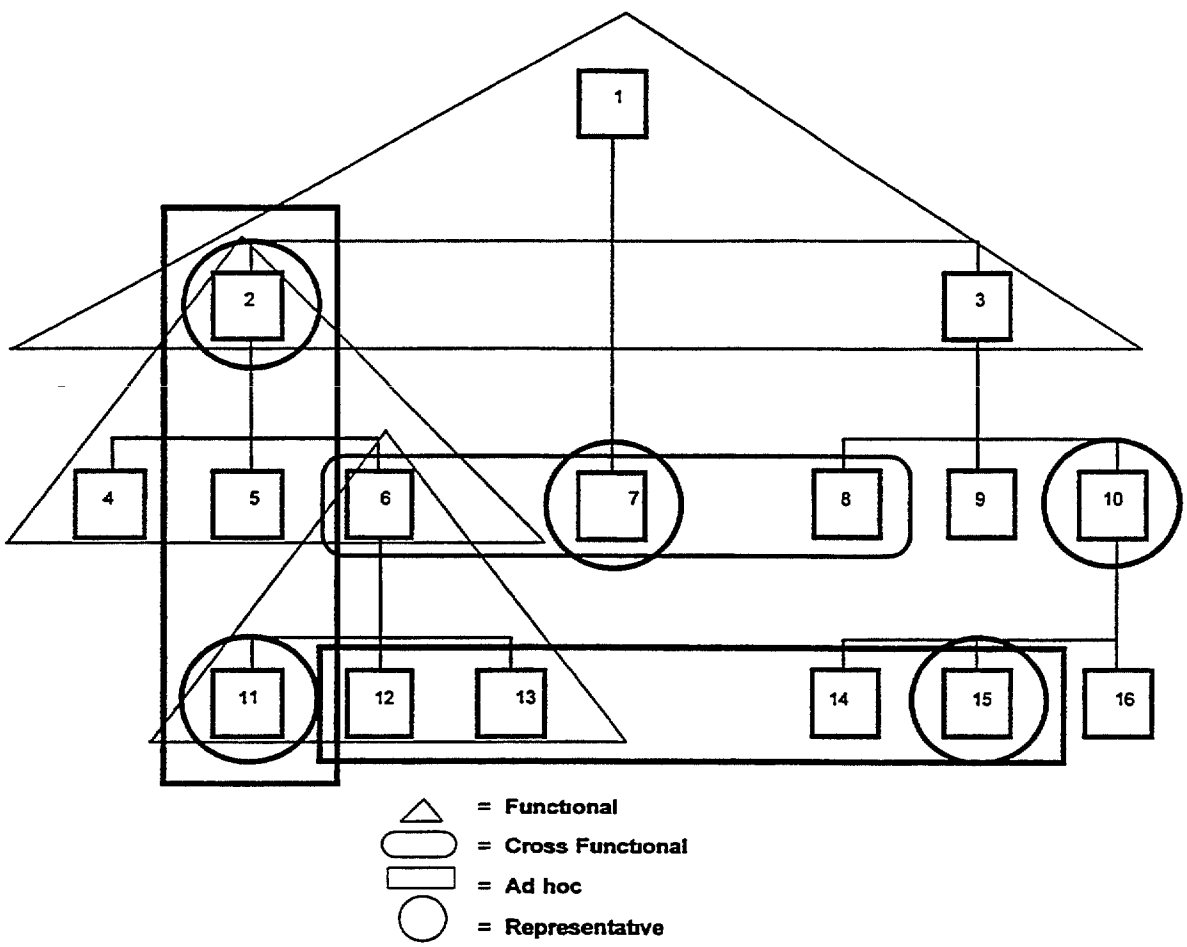
When we apply all four types of teams or participative efforts to an organization, it can be quite confusing We are not sure where one effort stops and the next one starts Where an individual is supposedly a member of more than one "team " it is easy to lose sight of priorities and the proverb, "No man can serve two masters," comes quickly into play

In addition to the multiple roles expected of individuals, there is real frustration over where traditional authority ends and team process begins Some members of the organization can adopt the false belief that **all** decisions must be acceptable to **all** Others can be equally as wrong in the belief that "nothing has **really** changed," that the authority of "position power" is simply given a new name

The confusion of mixed loyalties and the frustration of power struggles are compounded by the real lack of knowledge and skill on the part of participants

Somehow, the organization must make sense of the muddled terminology and techniques

We will try to make it easier by describing each type of team (participative) effort and by providing examples We will pinpoint the differences in processes and practices We will show where knowledge and skill areas overlap and where they are divergent



SDWT TASK LIST

ACTIVITY	Team Now	Team Later	Team Leader	Management
1 Assign workers to jobs	☐	☐	☐	☐
2 Anticipate technology shifts	☐	☐	☐	☐
3. Attend managers' meetings	☐	☐	☐	☐
4 Bring in concerned citizens to discuss community problems	☐	☐	☐	☐
5 Bring in customer feedback	☐	☐	☐	☐
6 Bring in information from headquarters	☐	☐	☐	☐
7 Bring in technical training from community college or vendor	☐	☐	☐	☐
8 Broker team members out in community service projects	☐	☐	☐	☐
9 Budgeting	☐	☐	☐	☐
10 Buffering the team from corporate pressure	☐	☐	☐	☐
11 Building communication linkage	☐	☐	☐	☐
12 Call Engineering when needed	☐	☐	☐	☐
13 Call for Maintenance help	☐	☐	☐	☐
14 Choose team leader(s)	☐	☐	☐	☐
15 Complete production	☐	☐	☐	☐
16 Conduct team performance appraisals	☐	☐	☐	☐
17 Continuous process improvement	☐	☐	☐	☐
18 Coordinate work flow	☐	☐	☐	☐
19 Cross-functional teaming	☐	☐	☐	☐
20 Determine and plan for needed overtime	☐	☐	☐	☐
21 Handle discipline on team	☐	☐	☐	☐
22 Ensure that quality/work standards are met	☐	☐	☐	☐
23 Equipment maintenance and repair	☐	☐	☐	☐
24 Equipment purchase	☐	☐	☐	☐
25 Evaluate competitive products and services	☐	☐	☐	☐
26 Evaluate market trends	☐	☐	☐	☐
27 External customer contact	☐	☐	☐	☐
28 Facility design	☐	☐	☐	☐

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ACTIVITY	Team Now	Team Later	Team Leader	Management
29 Forge alliances with other organizations	☐	☐	☐	☐
30 Getting resources for the team	☐	☐	☐	☐
31 Hiring team members	☐	☐	☐	☐
32 Hosting customer visits	☐	☐	☐	☐
33 Housekeeping	☐	☐	☐	☐
34 Introducing team members to key external contacts	☐	☐	☐	☐
35 Inviting vendors to provide training on the equipment they've sold	☐	☐	☐	☐
36 Making compensation decisions	☐	☐	☐	☐
37 Managing suppliers	☐	☐	☐	☐
38 Maintain area records and documentation	☐	☐	☐	☐
39. Monitor safety	☐	☐	☐	☐
40 Plan and lead work team meetings	☐	☐	☐	☐
41 Product modification and development	☐	☐	☐	☐
42 Production scheduling	☐	☐	☐	☐
43 Quality responsibilities	☐	☐	☐	☐
44 Respond to customer complaints	☐	☐	☐	☐
45. Respond to intra-company complaints	☐	☐	☐	☐
46 Schedule and carry out changeover	☐	☐	☐	☐
47. Schedule vacations	☐	☐	☐	☐
48 Sign (authorize) work orders	☐	☐	☐	☐
49 Solve problems between teams	☐	☐	☐	☐
50 Solve technical problems when they arise	☐	☐	☐	☐
51 Sponsor joint vendor/team projects	☐	☐	☐	☐
52 Train each other	☐	☐	☐	☐
53 Train new employees	☐	☐	☐	☐
54 Troubleshoot equipment	☐	☐	☐	☐
55	☐	☐	☐	☐
56	☐	☐	☐	☐
57	☐	☐	☐	☐
58	☐	☐	☐	☐

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PARTICIPATION REQUIREMENTS

Each person who is involved in a participative effort has some serious responsibilities

Methods of problem solving and decision making in groups assume that all the involved parties actively discuss the issues surrounding the decision The group pools the knowledge and experience of all its members Any final decision must be supported by each member of the group The ideas and feelings of all the members are integrated into a group decision Several people work together on a common problem generating a common solution rather than producing a "we-they" stand-off

As you might imagine, decisions by groups are usually difficult to attain and will consume more time than other methods of deciding an issue As the energies of the group become focused on the problem, the quality of the decision tends to be enhanced Research indicates, in fact, that this approach to problem solving and decision making results in a significantly higher-quality decision than other methods such as the use of majority power (voting), minority power (persuasion), and/or compromise

In any joint problem-solving process, **each group member is asked to**

1. **Prepare** his or her **own position**, as well as possible, **prior to meeting** with the group (but to realize that the task is incomplete and that the missing pieces are to be supplied by the other members of the group)
2. Recognize an **obligation to express his or her own opinion** and **explain it fully**, so that the rest of the group has the benefit of all members' thinking [Be F•I•R•M]
3. Recognize an **obligation to listen** to the opinions and feelings of all other group members and to **be ready to modify one's own position** on the basis of logic and understanding [Get F•I•R•M]
4. **Avoid conflict-avoidance techniques** such as voting, compromising, trading, or giving in, just to keep the peace
5. **Realize that differences** of opinion **are helpful**, in exploring differences, the best course of action will make itself apparent

There should be a general feeling of support from all members before a group decision is made Take the time you need to listen for understanding, consider all members' views, make your own view known, and be reasonable in arriving at a group decision

WHAT WE HAVE TO DO!

1 **LEADERSHIP MAKES CHANGES FIRST**

- Start at the top - TOP MANAGEMENT, work down WALK the TALK!
- Unlearn MBO, MBR and MBE practices
  - **Management by Objectives**, where objectives are arbitrary "areas of responsibility" with general goals
  - **Management by Results**, where emphasis is only on results, not on the process that produces the results
  - **Management by Exception**, where we only attend to the significantly good and bad, we don't attend to what is in control This is focusing on "special causes" (5 to 15% of problem) versus "Common Causes" (85 to 95% of problem)
- Learn Problem-Solving processes, techniques and tools

2 **START FOR SUCCESS IN PARTICIPATIVE EFFORTS**

- Identify potential problems or processes to work on
- "Cherry pick" the starting projects
  - Best chance of success
  - Most needed
  - Capability to do
  - Desire to do (volunteers)
- Remember, success breeds success

3 **ESTABLISH A SUPPORT SYSTEM**

- Develop or obtain training
- Develop coaches or coaching skills
- Set up communication methods
- Establish a steering and/or coordination committee
- Develop the needed processes, methods
- Determine the groundrules
- Make technical and process help available
- Develop reward and publicity methods

4 **BEGIN TO TRANSFORM THE STRUCTURE AND CULTURE**

- Identify policies and practices that restrict continuous process improvement
- Eliminate MBO, MBR, MBE practices and procedures
- Define directional elements
  - Vision
  - Mission
  - Objectives/Goals
  - Roles
- Differentiate past practice from desired practice

5 **EDUCATE AND TRAIN EVERYONE**

- Participation and Involvement, what it is
- Techniques
  - Constituency Representation
  - Brainstorm/Brainwrite
  - Multivote
  - Nominal Group Techniques
  - Consensus
  - Problem Solving Process
  - Meetings
- Technical Knowledge and Skills
  - Processes (how they work, why)
  - Groundrules
  - Sanctions
  - Roles
- Whole-person Skills
  - Rational Persuasion
  - Emotional (Creative) Interaction
  - Leveling get out the solutions people have [F•I•R•M]
  - Conflict resolution

6 **REWARD THE EFFORT**

- Communicate progress and successes
- Reward successful attempts
- Reward appropriate efforts
- Publicize efforts
- Celebrate

7 **EXPAND THE EFFORT GRADUALLY**

- Repeat project screening
- Revise (continuously improve) process as needed

8 **REMEMBER THE PRINCIPLES OF PARTICIPATIVE PROBLEM-SOLVING**

- Use Objective data instead of Opinion
- Understand it before you attempt to change it
- Unless you change Process, Results won't change
- Proactive (upstream) change, instead of Reactive (downstream) problem-solving
- Involvement, to create ownership, instead of imposition
- Develop critical mass through volunteers, key opinion leaders, and informal network leaders
- Court followers by Leading and Modeling

TEAMBUILDING ACTIVITY CHECKLIST

For a team to be effective, it must establish each of these elements by specific effort (Note some activities for certain types of teams only)

GOALS

1 Determine your team's **mission** ( )

2 Establish your team's **vision** ( )

3 Establish **goals**

- a Company or organization-wide ( )
- b Department-wide ( )
- c Division-wide ( )
- d Section-wide ( )
- e Team or cell ( )
- f Individual job or position ( )

4 Establish **objectives** for **goals**

- a Decide priorities ( )
- b Establish target dates ( )
- c Assign responsibility for objectives ( )

ROLES

1 (FUNCTIONAL) Establish **Job Activity Profiles**

- a Do **Task Analysis** by job position ( )
- b Set **priorities** (primary, secondary, tertiary) on tasks ( )
- c Conduct **delegation** review of each task ( )
- d **Delegate** by task ( )

2 (CROSS FUNCTIONAL) Establish **interdependency** requirements

- a Do **Task Analysis** by job position ( )
- b Do **Structure Analysis** by task ( )
- c Establish **Result Requirements** for each task ( )
- d Establish **Resource Requirements** for each task ( )
- e Establish improvement **procedures** for each task ( )

3 (AD HOC OR REPRESENTATIVE) Define **project tasks**

- a Do **Task Analysis** for all team tasks ( )
- b Do **Structure Analysis** by task ( )
- c Do **Resource Analysis** by task ( )
- d Do **Operational Analysis** by task ( )
- e Do **Performance Analysis** for team ( )

4 (ALL TEAMS) Define team or meeting **roles**

a Chairperson/Leader ( )

b Member/Alternate ( )

c Mediator/Facilitator ( )

d Recording Secretary ( )

e Process Observer ( )

PLANS

1 Prepare **plans for all objectives (job or team)**

a Identify Tasks ( )

b Sequence Tasks ( )

c Establish Responsibilities ( )

d Determine Schedules ( )

e Allocate Resources ( )

f Establish Communications ( )

g Determine Controls and Checkpoints ( )

h Establish Reporting/Recording Requirements ( )

2 Establish **performance criteria or service standards** for **tasks** ( )

3 Establish **performance measurement methods and schedule** ( )

4 Establish **performance feedback loops or methods and schedule** ( )

5 Establish **processes** to be used

a Issue or Problem Identification ( )

b Issue or Problem Classification ( )

c Priority Setting ( )

d Problem Solving ( )

e Decision Making ( )

f Conflict Resolution ( )

g Team Meetings ( )

h Goal Setting ( )

i Goal Tracking & Updating ( )

j Planning ( )

k Plan Tracking & Updating ( )

l Communicating ( )

m Feedback to Self & Others ( )

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GROUNDRULES

1 Establish **groundrules** for relationships ( )

a Representation of stakeholders ( )

b Role definition ( )

c Generating input, ideas, opinions ( )

d Rational persuasion ( )

e Conveying feelings, opinions, ideas ( )

f Decision methods ( )

g Meeting requirements ( )

h Negotiations ( )

i Communication methods ( )

j Documentation requirements ( )

k Confidentiality requirements ( )

RELATIONSHIPS

1 Develop **relationship quality** ( )

a Self-assessment of practices ( )

b Assessment by others of practices ( )

c Joint definition of relationship problems ( )

d Joint resolution of relationship requirements ( )

2 Establish relationship **quantity** ( )

a Decide appropriate level of communications needed ( )

- 0 = None at all ( )
- 1 = Ritual (greetings, acknowledgements) ( )
- 2 = Current Events (superficial) ( )
- 3 = Factual ("Just the facts, Ma'am") (Work) ( )
- 4 = Feelings (Perceptions, views, opinions, ideas) ( )
- 5 = Expectations (Beliefs, values, principles) ( )
- 6 = Total Intimacy [Reserved for "special times"] ( )

b Develop appropriate **assertiveness (leveling)** skills ( )

- **Courage** to speak up, come forth, confront ( )
- **Sensitivity** to "read" others consider, react accordingly ( )

c Develop appropriate **communication** skills ( )

- **Exposure** ( )
- **Feedback** ( )

3 Establish relationship **methods**

a **Media** ( )

- Face-to-face, one-on-one ( )
- Phone ( )
- Written ( )
- Meetings ( )

b **Level of Involvement.** ( )

- Input only ( )
- Creative Input ( )
- Joint problem solving ( )
- Unilateral decision ( )

c **Schedule and procedures** ( )

- Information Sharing Forum ( )
- Problem-Solving, Decision-Making Forum ( )
- Conflict Resolution Forum ( )

4 Establish relationship **accountability** ( )

a Sanction ( )

b Confront ( )

COMMITMENT

1 Personal **contract** of change for good of team ( )

2 Bilateral or Multilateral **contracting** ( )

3 **Self-development** activities ( )

4 **Team Development** activities ( )

THE JOINT PROBLEM-SOLVING PROCESS

BEFORE A PROBLEM CAN BE SOLVED

1 Begin Dialog Among The Interested Parties

- Provide incentive to all parties for joint problem-solving by demonstrating their interdependence and their collective problem-solving ability
- Get agreement to convene

2 Develop A Common Definition of The Need For Processes and Groundrules

3 Gain Commitment to A Process

- Does the present situation fail to serve my interests adequately?
- Will collaboration produce more positive outcomes?
- Is it possible to reach joint, fair and agreeable resolution?
- Are the stakeholders and their power positions controllable by joint groundrules and sanctions?
- Will all other stakeholders participate and commit to the process?
  - What time or timing will help?
  - What incentives can be employed?

4 Reach Agreement on Groundrules

- Establish how the stakeholders will interact with each other and with constituencies
  - How alternative representatives will be seated
  - Meeting sites and times
  - Handling confidential items
  - Using outsiders
  - Roles and responsibilities in meetings
  - Handling communications
  - Handling documentation
- Reach Agreement on how decisions will be made

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IN ORDER TO RESOLVE AN ISSUE

1. Achieve Co-orientation on the Issue
   - Share perspectives of the problem from all stakeholders, establish its scope
   - Identify objectives (desired results) of parties in three forms
     - Same
     - Different, but not incongruous
     - Conflicting
   - Focus all parties commonly on the results that are to be achieved by the effort
2. Establish and Set Specific Agendas
   - Ensure the agenda reflects the breadth of the issues to be discussed for the stakeholders who are involved
   - Establish place or time for parties to caucus with constituencies (before, during or after meetings)
3. Organize Subgroups
   - When should committees or task forces be used?
     - When the number of issues is large
     - When time is short
     - When the number of stakeholders exceeds a reasonable number for effective proceedings (12-15 maximum)
   - When should caucuses be used by representatives with their constituencies?
     - When regular communications of proceedings and progress are essential
     - When trust is being built
     - When constituencies are large and representation is difficult
4. Conduct Information Search and Determine Cause/Effect Relationship
   - Understand and reach agreement on the facts supporting the problem definition
   - Mutually examine relevant data
   - Obtain technical advice on controversial input
   - Select a panel of experts to evaluate information
   - Use expert witnesses selected jointly by the stakeholders
   - Determine Cause/Effect Relationship
5. Explore Alternatives
   - Agree on technical specifications or outcomes that must be met
   - Invent options that satisfy own interests and counterparty's interests (encompassing alternatives)
   - Use subgroups to prepare multiple alternatives
   - Prepare draft alternatives that are submitted to the whole or representative group for review and revision

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6 Reach Consensus on Solutions

- Gain commitment to a single alternative or a bundle of alternatives
- Reach agreement in principle, and assign the planning function to a subgroup or third party, reconvene to review plans
- If necessary, use a mediator to construct alternative packages in "shuttle diplomacy" among stakeholders
- Finalize the plan of implementation

AFTER JOINT PROBLEM RESOLUTION

1 Communicate with Constituencies
- With stakeholders, devise a persuasive communication package
- Caucus or negotiate with constituencies and reconvene

2 Gain Support of Implementors
- Share the plan
- Work out difficulties
- Retain flexibility
- Utilize contingencies

3 Establish Structure for Future Actions
- Provide follow-up for self-executed plans
- Establish monitoring and control mechanisms for implementation by others
- Reconvene to monitor progress
- Revise structure as needed
- Ensure that implementors are involved in the planning
- Keep at least some of the original stakeholders involved for continuity
- If necessary, create or turn over to steering group to manage implementation

4 Monitor Progress and Ensure Compliance
- Update the plan to changing conditions or changed policies
- Confront non-compliant parties
- Resolve non-viable alternatives or plans
- Educate new representatives and allow time for them to get up to speed
- Apply sanctions if necessary

5 Exploit Accomplishments
- Celebrate successes with participants
- Publicize extended use of solutions
- Reward contributors
- Re-enlist successful contributors in future efforts

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GROUNDRULE AREAS

A group reaches agreement on how the stakeholders will interact with each other Groundrules address very basic issues that are normally taken for granted or ignored in relationships However, groundrules are necessary if a group is to be a viable unit Most members support and follow these groundrules Persons whose behavior deviates from the groundrules are pressed by colleagues to keep in line and in the extreme case, removed from the group if they will not do so Groundrules stating how group members should behave are created to ensure that valued qualities will be achieved Responsible members exert social pressures to support these groundrules and do a number of things to increase the influence of their pressures

REACH AGREEMENT ON APPLICABLE GROUNDRULE AREAS

1 What is the **role** of representatives?

How are they selected?

Do they represent the views of a constituency?

Do they have authority to take binding action on behalf of their constituency?

Can an alternate serve in a representative's place?

2 Is there a **deadline** or **timeframe** for the process?

What is the timetable for meetings?

What happens if a timely agreement is not reached?

3 What are the **agenda** requirements?

When is it due?

Who does it go to?

4 What are the **meeting** specifications?

Where will meetings be held?

Which roles are needed?

What are the requirements for each role?

5 What **processes** will be used?

How will they be decided upon?

What will be done to evaluate them for effectiveness?

Will process observers be used?

6 How will **agreement** be determined?

Which decision **method** will be used?

Must all parties reach agreement on all issues before decisions are presented to sponsors or others?

7 How will a **record** of the proceedings be kept?

What will be recorded? By whom?

Who will have access to it?

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8 How will **information** be handled?

How will communications be handled?

Who will speak to members of the constituencies?

When and in what form will information be released?

What information will be kept confidential? How?

9 What will be done to **ensure that groundrules and processes are followed**?

What rewards?

What sanctions?

10 Will any parties receive **compensation** and/or reimbursement for expenses for their participation?

How?

OVERALL GROUNDRULES

To implement a philosophy of joint problem-solving, we recommend an unconditionally constructive strategy as defined by Roger Fisher and Scott Brown in "Getting Together " It works best if you make an individual commitment (contract) to implement the strategy Therefore, each element is worded as a personal contract statement I will do only those things that are both **good** for the **relationship** and **good** for all parties, whether or not the other parties reciprocate

1 **Rationality**

Even if they are acting emotionally, I will **balance emotions with reason**

2 **Understanding**

Even if they misunderstand me, I will **try to understand them**

3 **Communication**

Even if they are not listening, I will **consult them before deciding** on matters that affect them

4 **Reliability.**

Even if they are trying to deceive me, I will neither trust them nor deceive them, I will **be reliable**, I will be **trustworthy**

5 **Noncoercive modes of influence**

Even if they are trying to coerce me, I will neither yield to that coercion nor try to coerce them, I **will be open to persuasion and try to persuade them**

6 **Acceptance**

Even if they reject me and my concerns as unworthy of their consideration, I will **accept them as worthy of my consideration, I will care about them, and I will be open to learning from them**

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CRITERIA FOR ACCEPTING GROUNDRULES

Groundrules are **necessary** to play the game

Groundrules are **developed by** the parties and **for** the **parties**

They should be **tested** by each party

They **must be acceptable** to the parties

INTEGRITY

- Will you like yourself in the morning?
- Will your friends and associates approve?
- Is it worthy of publicity and history?

RECIPROCITY

- Is it okay for all parties to use?
- Would it be acceptable in other relationships?
- Would you accept it if it were a hidden agenda?

LEGITIMACY

- How would it be ruled on by an expert in these matters?
- Would it stand up as legal, ethical, moral?
- Could it be adopted as a social standard?

UTILITY

- What will its impact be on each party?
- How will it affect the outcomes?
- Will its application be perceived as "fair" by all parties and constituencies?

ECONOMY

- Are there alternatives that would produce similar results at less cost?
- Do other alternatives produce less ethical and moral ambiguities?
- Is it the best-known way of dealing with rational and emotional elements?

After groundrules have been learned and used they should be **retested** against these criteria As soon as a group can come up with a **better way**, it should revise its groundrules accordingly

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STEERING COMMITTEE OR COORDINATION DUTIES

A PROACTIVE IDENTIFICATION

1. Solicit input from all employees on issues and concerns
2. Decide what issues need to be addressed
3. Coordinate annual "Visioning" activity (Vision, Mission, Objectives and Goals)
4. Coordinate preparation of plans to carry out goals
5. Lay out organization-wide program and identify all projects and programs in it
6. Ensure that Steering Committee and team activities are consistent with the company's
7. Submit planned programs and projects for approval
8. Prepare and administer a budget for all non-functional activities (Not in Section budgets)
9. Monitor and report progress on goals and projects

B ISSUE CLARIFICATION

1. Define and publish the responsibilities and roles of the Steering Committee and teams
2. Establish and publish the processes to be used for issue identification and selection
3. Establish and publish the uniform procedures (processes) to be used by teams for their work
4. Establish the training requirements for the Steering Committee and all team types
5. Research issues to see if team action is warranted
6. Set priorities for issue list
7. Classify issues into the four types
8. Define the scope of assigned issues and define the authority a team will have
9. Negotiate "the box" of limits and constraints on issues

C MONITORING & ASSISTANCE

1. Assign responsibility to teams by negotiation with individuals and Sections
2. Guide and advise teams on what is needed
3. Assist teams in recommendations and/or presentations
4. Run "interference" for teams with Section heads and external departments
5. Oversee action of teams
6. Approve or disprove recommendations from teams on an issue basis (where operating and budget constraints have been defined or negotiated)
7. Ensure recognition and celebration for completed projects

D ONGOING

1. Represent employees to the organization (a communication channel)
2. Represent the organization to employees (a communication channel)
3. Initiate recommendations on non-team issues
4. Guide and advise on what is needed [to make process work and/or to achieve goals]
5. Ensure that decisions are executed and implemented after approval

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DUTIES OF TEAMS

DUTIES OF TEAMS, WITH PROBLEM-SOLVING STAGES

1	Identify Scope Of Project	[IDENTIFY]
2	Establish Resource Requirements	[IDENTIFY]
3	Collect Data To Identify Problem	[IDENTIFY]
4	Document Problem Indicators	[IDENTIFY]
5	Interpret Problem Information	[ANALYZE]
6	Identify Special Causes	[ANALYZE]
7	Identify Common Causes	[ANALYZE]
8	Develop Solutions For Special Causes	[DECIDE]
9	Develop Solutions For Common Causes	[DECIDE]
10.	Prepare To Implement Solutions With Tests And Measures	[PROGRAM]
11.	Follow Up To Ensure Improvements	[PROGRAM]

DUTIES OF TEAM LEADERS

1 Explain The Team's Purpose

2 Explain Project And Its Scope

3 Explain Or Develop Team Groundrules

4 Establish Roles

5 Provide Or Arrange Training

6 Direct Project Efforts With Processes

7 Provide Or Arrange Process Feedback

8 Provide Or Guide Reports For Steering Committee Or Coordination Group

DUTIES OF TEAM MEMBERS

1 Prepare You Own Position, As Well As Possible, Prior To Any Team Meeting

2 Attend All Required Meetings And Functions

3 Fulfill Your Obligation To Be F•I•R•M Express Your View, Explain Yourself Fully

4 Fulfill Your Obligation To Get F•I•R•M Listen To Other Views, Modify Your Own Position Based On What You Learned Offer Solutions To Deadlocks

5 Avoid All Conflict-avoidance Techniques such as Voting Compromise, Concessions (giving In) or Trading

6 Manage All Differences

- Use Only "Rational Persuasion"
- Follow Conveying-views Groundrules
- Use Conflict Management Process

7 Support Team Decisions Especially After The Meeting Is Over

FACILITATOR ROLE

The facilitator is someone who provides assistance and methods so the parties, **themselves**, can reach agreement

- Provides processes and groundrules that facilitate communications and decisions
- Uses processes and groundrules to ensure that a decision is reached
- May function as "process observer" and "groundrule enforcer "

The facilitator should perform the following activities **unless** and **until** the parties do them on their own

1 **Assess Overall Readiness To Collaborate**

- Determine interests of parties
  - identify stakeholders
  - identify their interests
  - identify external influences
  - identify time requirements
  - identify political context
  - identify desired outcomes
  - identify alternative solutions
- Assess self-interest
  - absorb information from all stakeholders
  - recognize and call attention to similarities and differences
  - envision new alternatives
  - prevent deadlocks

2 **Get The Parties To The Table**

- Exert leverage work with conveners
- Heighten awareness of costs of stalemate use bilateral interactions
- Create standards of fairness make proactive attempts

3 **Minimize Resistance**

- Create a safe climate
- Display empathy
  - ask parties for their conditions
  - ask parties for process or ways to improve process
  - bundle and unbundle issues, interests and alternatives
  - get agreements-in-principle
  - review cost of non-agreement

4 **Ensure Effective Representation**

- Ensure that appropriate stakeholders participate

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- Assist less-organized stakeholders to select a representative
  - provide process for representation
  - help parties determine positions and interests
  - help parties present positions and interests

5 **Establish An Appropriate Climate**

- Dampen or remove violent interactions
- Establish and enforce groundrules

6 **Model Openness, Optimism, and Perseverance**

7 **Design And Manage The Processes To Be Used**

- Insist on processes
- Insist on groundrules
- Educate on these
- Get consensus on these
- Encourage alternatives
- Enforce groundrules
- Stick to processes
- Work with parties between meetings, without violating trust

8 **Manage Data**

- Serve as repository for information
- Arrange communication methods
- Identify other third parties who are needed

9 **Get Consensus**

- Transmit information
- Repropose concessions or compromises
- Formulate solutions
- Highlight consequences of nonagreement

FACILITATORS ACT AS MIDWIVES, MINISTERS, MAGISTRATES AND MYTH-MAKERS

Midwives are **not involved** in the conception of ideas or issues, the burden of incubating ideas or carrying issues the labor of bringing ideas or solutions to life, the responsibility of developing ideas or solutions, or the obligation of living with the results, they simply help the parties deliver

Ministers listen a lot and counsel on occasion

Magistrates wear the striped shirts, carry the whistle and blow it on groundrules violators

Myth-makers envision agreements and make them real in the eyes of the parties **until they become real**

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PROCESS OBSERVER ROLE

A **process observer** assists a group/team in its work by performing any of three types of "process interventions " These types might be labeled **conceptual-input**, **coaching**, and **process-observation** Each type will be considered in terms of its objectives, its timing and its form or style

CONCEPTUAL-INPUT INTERVENTIONS

Objectives

A **conceptual-input** intervention is intended to provide members of a group with an "organizing principle" to help them see, clearly, distinctions between typical behavior and less traditional but more effective behavior Conceptual inputs also tend to be easily remembered and can, therefore, be referred to in the future When a process observer intervenes in this way, he is providing the group with a new vocabulary and a conceptual system that is quite explicit and is shared and understood by all group members Examples of conceptual-input interventions are all of the areas of "groundrules" and "processes" in this guide

Timing

A **conceptual-input** intervention can be used at any time during a process—as long as the group has defined this as a role of the Process Observer For maximum effectiveness and impact, the intervention should come immediately after a transaction between members that clearly illustrates the undesirable consequences of dysfunctional or ineffective behavior

Form or Style

A **conceptual input** should be as brief and succinct as possible Words and phrases that are comprehensible to the members of the group should be used It is best to have agreement on the groundrules and processes at the start of the group's functioning If not, the Process Observer needs to get this agreement at the time of the intervention

COACHING INTERVENTIONS

Objectives

A second type of process intervention aims at facilitating the acquisition of desirable, functional habits of interacting Such **coaching** interventions are intended to assist members of a group to get into the habit of using new behaviors that they have said they want to practice For example they may have agreed to use a set of groundrules or a specific process

Timing

Coaching interventions are most effectively made either (a) during the early, standard-setting phases of the process or (b) just after a conceptual input has been made that provides a justifiable theoretical framework for the coaching efforts In either instance, **coaching** interventions should be discontinued as soon as the group's members demonstrate that they can employ the new behaviors without assistance (or when some members begin systematically to perform the coaching function for other members)

Form or Style

Coaching interventions should use up very little of the group's "air time " They should be suggestions rather than demands or reprimands And they should be quite precise and not at all ambiguous No one should have to guess what the Process Observer is aiming at

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PROCESS-OBSERVATION INTERVENTIONS

Objectives

A **process-observation** intervention may have numerous objectives, including, the following

1 It can heighten the group members' awareness of the distinction between the content and process dimensions of transactions occurring within a group Example illustrate both what topics or issues the group is working on (the "content") and how the group seems to be operating—i e , topic jumping and avoiding explicit, group-level decision-making (the "process")

2 Another kind of **process observation** might be intended to heighten the group's awareness of the implications and consequences of its members' actions Example a topic jump might have contributed to the creation of a group norm that, in this group, it is okay to jump from one topic to another and cut off another person A **process observation** can also be used to highlight implications and consequences by pointing out how the group is affected when needed task and maintenance functions are not being performed, or what happens when different group decision-making procedures are employed

3 A **process observation** also provides an observable model (example) of functional behaviors that demonstrate how a group's movement in the direction of its objectives can be facilitated Example the Process Observer might model paraphrasing, double checking, personal feedback, and helping another person experiment with new ways of behaving Or the Process Observer might model tracking-summarizing, stating the issue, expressing feelings and expectations, and asking for opinions and information

Timing

A **process-observation** intervention is likely to be most effective during the early phase of the process When any **process observation** has been modeled once or twice, the Process Observer should refrain from making further such interventions This gives group members more opportunities to experiment with and to practice performing these facilitative functions To the extent that they do this, they acquire increased self-sufficiency This tends to preclude their becoming dependent on the "expert" to perform such functions If the group members do not assume responsibility for performing these functions after they have been modeled once or twice, the Process Observer might keep track of the implications and consequences of this failure Then, during a "stop action" or some other designated process session, these data could be fed back to the group along with a question "What, if anything, do we want to do about this situation?" This explicitly invites and allows the group to negotiate a contract among themselves (a) to insure that needed functions are used when they would be most relevant and (b) to avoid the unnecessary, undesired consequences that have been observed to follow nonperformance of the functions

Form or Style

In style, **process observations** should be personalized, invitational, and not punitive But—almost by definition—this class of interventions usually takes a bit longer than others The Process Observer is attempting to draw a verbal portrait of dynamic, constantly shifting group processes in order to help the group members see what is happening "right now" and also to model behavior that the members themselves might attempt at some future time To get this double message across adequately, sufficient care and time must be taken

CONCLUSION

Saul Alinsky's "iron rule"—"Don t ever do anything for people that they can do for themselves"—applies If one or more group members have the skills and knowledge to act in a functional and objective manner they are entitled to opportunities to use such skills and knowledge The Process Observer should let them do it If they do not possess such resources they may require assistance in acquiring them However excessive "assistance" on the part of the Process Observer leads to dependency and indifference or apathy In order to be as effective as possible the Process Observer must learn the fine line between not enough and too much help

RECORDING SECRETARY ROLE

There are four key items necessary for concluding and completing most meetings which have significance The Recording Secretary should ensure that these four are complete, if the Chairperson doesn't

1 **Summarizing**

Be sure all participants are clear on what happened at the meeting In some cases, this can be done by summarizing the events just before adjournment and using the summary in the minutes

For informational or skill-building meetings, it is a good practice to prepare summary sheets in advance and hand these out at the close of the meeting

For discussion or decision meetings, summary sheets, listing the main points covered and any conclusions reached, should be prepared and distributed as quickly as possible — not more than a day or two — after the meeting

2 **Action Planning**

When a meeting has resulted in the decision that someone is to do something, this action should be well planned before the meeting adjourns **Action planning includes WHAT is to be done and WHEN it is to be done**

It is quite helpful to specify the results that are to be obtained and/or the specifics that are to be reported back to the participants at the meeting This makes the action planning concrete and everyone leaves with a good sense of what is next The time frame should either be a specific interval (such as the time until the next scheduled meeting) or a due date (deadline) for the action

3. **Fixing Responsibility**

Meetings are notorious for coming to decisions of "we are going to" or "someone should " without fixing responsibility If this isn't done formally, many items will go unattended, while everyone thinks that "someone else was supposed to do that "

Every action item should have a name assigned as the person primarily responsible for seeing that the action is taken This person is the one to be held accountable Joint responsibilities may be assigned, but someone should be spelled out as the primary contact or reporting person

4 **Minutes**

Meetings which result in significant decisions and/or action plans should be followed by "minutes" or reports The person responsible for keeping the minutes during the meeting is responsible for seeing that all agenda items are covered, action plans are identified, and accountability is fixed for each discussion item

Minutes are a blow-by-blow account of what went on at the meeting They are an excellent tool for ongoing, problem-solving meetings, because they reduce the backtracking that is required without a good track record The format of minutes should resemble this,

- Agenda item described
- Discussion summary
- Action steps and dates
- Responsibility

Where it is not necessary to record the minutes of a meeting, a report of the conclusions should still be entered into the record or circulated

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Some "recording secretaries" insure that minutes are complete and accurate by forwarding a draft copy to key people for revision before issuing the final minutes This may be a useful idea, but it can lead to a serious problem post-editing of the meeting Post-editing allows people (particularly those with authority) to put down what they **wanted** to happen at the meeting, rather than what **actually happened** It is better to have someone accountable for taking and issuing minutes Changes or corrections to the minutes are made by official action of the group or by an addendum to the minutes with the author's name thereon

For regular meetings or scheduled consecutive meetings of a formalized group, it is good to formalize the meeting procedures This means to take some of the group's time to decide the specific ways the group will formalize such things as agenda setting, taking minutes, summarizing, making decisions, etc

One-of-a-kind meetings will not normally require this formality However, if it is a decision-making meeting to resolve some vital issue, the formality may prove to be worthwhile

MEETING CHECKLIST

BEFORE MEETING

1 DETERMINE THAT A MEETING IS NECESSARY

a **Is** a meeting the **best medium**? [vs letter, memo, call, one-on-one contact] ( )

b Is it clear what the meeting's **purpose/objective** is? ( )

c Is **everyone** who is involved/affected going to be **available**? ( )

d Can you establish an appropriate **time** and **place**? ( )

2 PREPARE ALL ATTENDEES FOR THE MEETING

a **Inform** everyone of the **time** and **place** ( )

b **Inform** everyone of the **purpose/objective** ( )

c **Disseminate** a detailed **agenda** ( )

d **Advise** everyone of **what to do** to prepare ( )

e **Identify or provide** all needed **resources** ( )

f **Did everyone acknowledge** that they would attend? ( )

g **Will each** one **complete** his/her preparation? ( )

h Is **everyone ready** for the meeting? ( )

3 GET THE FACILITIES AND PROPS READY

a Was it clear **who** was supposed to prepare these? ( )

b Are the **facilities** arranged as needed? ( )

c Are the **props, materials** and **supplies** ready? ( )

4 MAKE THE MEETING METHODS CLEAR TO ALL

> Be ready to answer each of these questions at the **start** of the meeting, or, get the group to answer them as the starting activity

a Is the meeting for **information or decision-making**? ( )

b Which **decision method** is to be used? ( )

c Does everyone **know** the decision-method **groundrules**? ( )

d Are the decision-method **groundrules visible**? ( )

e **What** decision-making/problem-solving **process** is to be used? ( )

f **What** will be done to make the **process steps visible**? ( )

5 MAKE THE MEETING ROLES CLEAR TO ALL

> Be ready to answer each of these questions at the **start** of the meeting or get the group to answer them as the starting activity

a Who is the designated **chairperson/leader**? ( )

b Is there an additional designated **facilitator**? **Who**? ( )

c Is there a designated **recording secretary**? **Who**? ( )

d Is there a designated **process observer(s)**? **Who**? ( )

e Are the responsibilities for each **role** agreed upon? ( )

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MEETING CHECKLIST

DURING MEETING

1 CLEARLY DEFINE THE TEAM'S TASK OR PROBLEM

a Have the **task/problem stated or acknowledged** by everyone ( )
b **Ask/poll** each person **for input/information** ( )
c Did each person **provide input/information?** ( )
d Did everyone **listen** to and acknowledge others' input? ( )
e Did team members **clarify input** and relate it to the task? ( )
f Did team members **coordinate and combine ideas?** ( )
g Get the team to **agree upon** a common definition of the **task/problem** ( )
h Have the **task/problem** statement **written/posted** for team use ( )

2 GET THE TEAM TO ESTABLISH THE DECISION CRITERIA

a Explore the **possible causes** of the problem ( )
b Conclude the **probable causes** of the problem ( )
c **Verify or prove** the causes ( )
d Ask/poll team members for **desired end results** (objectives) ( )
e **Screen** desired results **for relevance** to cause ( )
f **Prioritize or weight** desired results ( )
g Identify **resources available** or **resource constraints** ( )
h Identify **known specifications** or **requirements** ( )
i Get the team to **agree** upon all decision criteria ( )
j Have the **decision criteria written/posted** for team use ( )

3 GET THE TEAM TO PROPOSE ALTERNATIVE SOLUTIONS

a Make the change explicit from **definition** to **getting solutions** ( )
b **Ask/poll** team members **for alternatives** ( )
c Were brainstorming/brainwriting **groundrules followed?** ( )
d Were **all ideas visible** to all team members? ( )
e Did the team **review all ideas** to clarify or expand? ( )
f Did the team **combine ideas** into sets of alternatives? ( )
g Get the team to **agree to conclude the search** for alternatives ( )
h Have all final **alternatives written/posted** for team use ( )

4 HAVE THE TEAM EVALUATE THE ALTERNATIVES

a Make the change explicit from **idea getting** to **evaluation** ( )

b Have **alternatives screened** by decision criteria ( )

c Get the team to **combine ideas into final possibilities** ( )

d Get **pro's and con's listed** for each alternative ( )

e Get **costs and benefits listed** for each alternative ( )

f Have each **alternative tested for workability** and side effects ( )

g **Prioritize final alternatives** by value ( )

h Get the team to **choose** and **agree upon** a solution ( )

i Have the final solution **written/posted** for team use ( )

5 GET THE TEAM TO PLAN IMPLEMENTATION

a Make the change explicit from **decision** to **planning** ( )

b Get the team to **list all action steps** needed (5 W's & H) ( )

c Were the action steps **sequenced?** ( )

d Were the action steps **scheduled?** ( )

e Was **responsibility assigned** for each action step? ( )

f Have the team identify **predictable obstacles** ( )

g Have the team identify **contingencies** for the obstacles ( )

h Have the complete plan **written/posted** for team use ( )

i Get the team to prepare **communication of the plan** to other parties ( )

6 GET THE TEAM TO DEVELOP A FOLLOW-UP PLAN

a Make the change explicit from **implementation** to **follow-up** ( )

b Have specific **measures** or **criteria** developed for each action item ( )

c Have specific **checkpoints/dates** set for each criteria ( )

d Have specific **follow-up responsibilities** assigned ( )

e Have specific **recordkeeping tasks** determined ( )

f Have the recordkeeping tasks **assigned to individuals** ( )

g Make plans on **what to do with follow-up data** ( )

h Get everyone to **agree** upon **what to do** with **results** ( )

MEETING CHECKLIST

TO CONCLUDE MEETING

1 MAKE THE STATUS OF THE TEAM'S PROGRESS CLEAR

a Identify **where you are on** the **agenda** ( )

b **Summarize discussion** on each agenda item ( )

c Have you concluded **where you are in** the **process** on each item? ( )

d Have you identified what **action items** are yet to be completed? ( )

e Have you established **dates** for when each is to be completed? ( )

f Have you determined **who is responsible** for each action item? ( )

g Have the **time** and **place** been set for the **next meeting**? ( )

h Have the team **review all conclusions** for understanding and agreement ( )

2 HAVE THE TEAM EVALUATE ITS PROCEEDINGS

a Was the meeting **purpose/objective achieved**? ( )

b Is a **change** in purpose/objective necessary? ( )

c Were the meeting **groundrules followed**? ( )

d Are **changes in groundrules** necessary? ( )

e Were the meeting **roles** fulfilled? ( )

f Are **changes in roles** necessary? ( )

g Does this MEETING CHECKLIST indicate the need for **changes**? ( )

h Get the team to **agree upon** all necessary **changes** ( )

3 MAKE THE NECESSARY DOCUMENTATION COMPLETE

a Have **formal "minutes"** recorded ( )

b Make sure **each** agenda **item is described** or referenced ( )

c Have each **issue's discussion summarized** ( )

d Have the **action items** and **due dates** spelled out ( )

e Have **responsibilities assigned** for each action item ( )

f Review the **minutes and reach** agreement on wording ( )

g Set the **minutes' distribution and due date** ( )

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MEETING ROLES

As soon as anyone becomes a member of a team (of any type) and attends a meeting, he or she accepts these meeting roles

The members of an efficient and productive group must provide for meeting two kinds of needs—what it takes to **do the job**, and what it takes to **strengthen and maintain the group** What members do to serve group needs may be called **functional** roles Statements and behaviors which tend to make the group inefficient or weak may be called **nonfunctional** behaviors or **dysfunctional** behaviors

Each participant should perform the functional roles or see that someone does

A **TASK ROLES** (functions required in selecting and carrying out a group task)

1 **Initiating Activity** proposing solutions, suggesting new ideas, new definitions of the problem, new attack on the problem, or new organization of material

2 **Seeking Information** asking for clarification of suggestions, requesting additional information or facts

3 **Seeking Opinion** looking for an expression of feelings about something from the members, seeking clarification of values, suggestions, or ideas

4 **Giving Information** offering facts or generalizations, relating one's own experience to the group problem to illustrate points

5 **Giving Opinion** stating an opinion or belief concerning a suggestion or one of several suggestions, particularly concerning its value rather than its factual basis

6 **Elaborating** clarifying, giving examples or developing meanings, trying to envision how a proposal might work if adopted

7 **Coordinating** showing relationships among various ideas or suggestions, trying to pull ideas and suggestions together, trying to draw together activities of various subgroups or members

8 **Summarizing** pulling together related ideas or suggestions, restating suggestions after the group has discussed them

B **MAINTENANCE ROLES** (functions required in strengthening and maintaining group life and activities)

1 **Encouraging** being friendly, warm, responsive to others, praising others and their ideas, agreeing with and accepting contributions of others

2 **Gatekeeping** trying to make it possible for another member to make a contribution to the group by saying, "We haven't heard anything from Jim yet," or suggesting limited talking time for everyone so that all will have a chance to be heard Polling others

3 **Standard Setting** expressing standards for the group to use in choosing its content or procedures or in evaluating its decisions, reminding group to avoid decisions which conflict with group standards (Standards may be groundrules or processes)

4 **Following**· going along with decisions of the group, thoughtfully accepting ideas of others, serving as audience during group discussion

5 **Expressing Group Feeling** summarizing what group feeling is sensed to be, describing reactions of the group to ideas or solutions

C **BOTH TASK AND MAINTENANCE ROLES**

1 **Evaluating** submitting group decisions or accomplishments to comparison with group standards, measuring accomplishments against goals

2 **Diagnosing** determining sources of difficulties, suggesting appropriate steps to take next, analyzing the main blocks to progress

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3 **Testing for Consensus** tentatively asking for group opinions in order to find out whether the group is nearing consensus on a decision, sending up trial balloons to test group opinions

4 **Mediating** harmonizing, conciliating differences in points-of-view, creating win-win solutions

5 **Relieving Tension** draining off negative feeling by jesting or pouring oil on troubled waters, putting a tense situation in wider context

D TYPES OF NONFUNCTIONAL OR DYSFUCTIONAL BEHAVIOR

1 **Being Aggressive** working for status by criticizing or blaming others, showing hostility against the group or some individual, deflating the ego or status of others

2 **Blocking** interfering with the progress of the group by going off on a tangent, citing personal experiences unrelated to the problem, arguing too much on a point, rejecting ideas without consideration

3 **Self-Confessing** using the group as a sounding board, expressing personal, nongroup-oriented feelings or points-of-view, bringing up irrelevant matters

4 **Competing** vying with others to produce the best idea, talk the most, play the most roles, gain favor with the leader

5 **Seeking Sympathy** trying to induce other group members to be sympathetic to one's problems or misfortunes, deploring one's own situation, or disparaging one's own ideas to gain support

6 **Special Pleading** introducing or supporting suggestions related to one's own pet concerns or philosophies, lobbying

7 **Horsing Around** clowning, joking, mimicking, disrupting the work of the group

8 **Seeking Recognition** attempting to call attention to one's self by loud or excessive talking, extreme ideas, unusual behavior

9 **Withdrawal** acting indifferent or passive, resorting to excessive formality, daydreaming, doodling, whispering to others, wandering from the subject

In using this classification, we need to **guard against the tendency to blame any person** (whether ourselves or another) who falls into "nonfunctional behavior " It is more useful to regard such behavior as a symptom that all is not well with the group's ability to satisfy individual needs We need to be alert to the fact that each person is likely to interpret such behaviors differently For example, what appears as "blocking" to one person may appear to another as a needed effort to "test feasibility " What appears to be nonfunctional behavior may not necessarily be so, for the content and the group conditions must also be taken into account

E IMPROVING MEMBERS ROLES

Any group is strengthened and enabled to work more efficiently if its members **will do three things**

1 **Become** more **conscious** of the role functions needed at any given time, **fulfill** these **roles**

2 **Become** more **sensitive** to and aware of the degree to which **you can help** to meet the needs through **what you do**, "between any two of us, there is one of us I can control "

3 Undertake **self-training to improve your range** of role functions and the skills in performing them

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WARNINGS & REALITIES

There are some real possibilities for failure in participative efforts

1 **Some** stakeholders are **unwilling to participate**

2 **Some** stakeholders **lack the knowledge and skills** needed for asserting their positions (rational or emotional elements)

3 **Some issues** are 100% cost and are **purely distributive** in nature, so concession or compromise are essential

4 **Some** parties **favor** a "political" **stance that retains unilateral power** despite joint losses

5 Dealing with **emotional** matters **requires high levels of skill** that some do not have

6 **Designing processes** is **difficult** and time-consuming

7 Some issues have sufficiently **high emotional stakes** that a skilled **third party** is **needed** for convening and mediating the processes

Even where the attitudes of stakeholders are favorable, some "groupthink" problems may occur

1 **Illusion Of Invulnerability**

excessive and unrealistic optimism or ignoring risk, "We can't be wrong!"

2 **Collective Ignoring Or Discounting Of Warnings**

not considering what others may do or what may go wrong

3. **Inherent Morality**

an unquestioned belief in the group members' integrity, thus ignoring moral and ethical consequences of their decisions

4 **Stereotyping Of Others, Inside Or Outside The Group**

prejudging others' ideas or views (halos or horns)

5 **Pressuring Dissenters**

requiring conformity and unquestioned loyalty to the group or its process

6 **Self-censoring**

individuals withhold doubts and counter-arguments

7 **Illusion Of Unanimity**

assuming that silence is consent or concurrence is consensus (also known as "Abilene Paradox")

8 **Stopping Information Flow**

shutting off any channels that produce information contrary to the group's position or past practices

9 **Self-appointed Mindguards**

tendency of group members to ensure and enforce group cohesiveness in the face of any disagreement

GROUPTHINK SAFEGUARDS

Even when members of a group have "**good intentions**", they can run into group dynamics that are counterproductive Irving L Janis suggests these practices to ensure consensus instead of concurrence

1 **CRITICAL THINKING everyone** is a critical evaluator of the group's work

- air objections and doubts,
- accept criticism of ideas, views,
- practice what you preach (leader),
- discourage soft-pedaling (smoothing) conflicts

2 **DO NOT PROSELYTIZE** avoid stating preferences or expectations at the outset

- use unbiased statements of the problem or task,
- use unbiased statements about resources or limits,
- conduct open inquiry,
- explore, impartially, a range of alternatives

3 **ENSURE PARTICIPATION** see that differences of status do not hamper participation

- divide into subgroups, work independently, then come together to resolve differences,
- use independent groups to work on same question or problem
  - each with different leader,
  - each with same groundrules,
  - each with same role

4 **ENSURE CONSTITUENCY REPRESENTATION** each member discusses group's deliberations or conclusions with own work group and then reports back

5. **USE OUTSIDE EXPERTISE** use one or more qualified colleagues or outside consultants to meet with the group on an irregular basis to challenge core members on their process or results

6 **REALITY TEST IDEAS** spend significant time exploring potential obstacles or voiced warnings, then, construct alternative scenarios to compensate

7 **ASSIGN SAFEGUARD ROLES** regularly assign a group member to one of the safeguard roles, rotate assignments among members

- Devil's advocate challenge agreements,
- Angel's advocate challenge disagreements,
- Cassandra's advocate extend/explore warnings

8 **HOLD "SECOND-LOOK" MEETINGS** reconvene for the purpose of

- expressing doubts,
- investigating warnings,
- predicting obstacle probabilities,
- predicting potential negative impact,
- rethinking entire issue

9 **GROUP, KNOW THYSELF** set aside time to examine the processes used and the individual/ collective behaviors of group members (metameeting)

TEAM MAINTENANCE CHECKLIST

For a team to maintain itself, it must **establish methods** for **repeating** teambuilding activities when it is timely to do so The team **must also build in review** mechanisms so that it can make appropriate changes in its proceedings

GOALS

1 **When** will you **review** your **vision?** ( )
2 **When** will you **review** your **mission?** ( )
3 **How** will you **track progress** on your **goals?** ( )
4 **How** will you **update/revise goals?** ( )
5 **How** will you **reassess the priorities** on your **objectives? When?** ( )
6 **What** will you **document** about **progress? When?** ( )
7 **What** will you **report** about status? **When?** ( )

ROLES

1 **When** will you **review** the **Job Activities Profiles?** ( )
2 **How** will you **determine** that a **job has changed?** ( )
3 **How** will you **periodically review procedures?** ( )
4 **When** will you **repeat** the **delegation review?** ( )
5 **How** will you **monitor** each team's effectiveness? ( )
6 **How** will you **change role** expectations? **When?** ( )

PLANS

1 **How** will you **track progress** on **plans?** ( )
2 **What** will you **document** about programs? **When?** ( )
3 **What** will you **report** about **status? When?** ( )
4 **How** will you **hold** responsible people **accountable?** ( )
5 **How** will you **review** your **processes? When?** ( )

GROUNDRULES

1. **How** will you **review** your **groundrules? When?** ( )
2 **When** will you use **Process Observers?** ( )
3 **How** will you **review performance against standards?** When? ( )
4 **How** will you provide **performance feedback?** When? ( )
5 **How** will you **review** the **standards themselves?** When? ( )

RELATIONSHIPS

1 **When** will you **reassess yourself** and your practices? **How?** ( )
2 **When** will you **reassess** your team's practices? **How?** ( )
3 **How** will you **detect relationship problems?** ( )

4 **How** will you **reassess** your **communication levels**? When? ( )

5 **How** will you **reassess** your **relationship methods**? When? ( )

6 **How** will you **reassess** your **scheduled forum effectiveness**? When? ( )

7 **How** will you **reassess** your **sanction methods**? When? ( )

COMMITMENT

1 **When** will you **review** your **personal contracts**? ( )

2 **When** will you **review bilateral contracts**? ( )

3 **What** will you do to track the **developmental activities** you have planned? ( )

4 **How** will you **determine development progress**? When? ( )

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Human Resources System

- Manpower planning
- Compensation and salary administration
- Recruiting and manning
- Performance evaluation
- Career development
- Training plan
- Management succession plan

Human Resource Issues To day

- Size of work force
- Structure of organization
- Education and skills of hiring pool
- Technology changes in all areas
- Computerization and new

Strategic Planning

- Scan the environment
- Identify the organization values
- Articulate a vision
- Define the mission
- Set goals
- Select strategies

Critical Issues

- National, state or local regulations
- Rulings by energy regulatory bodies affecting your organization
- Any major board or council changes
- Major repairs or purchases of costly new equipment

- New technological developments
- Substantial change in any commodity used by the organization
- Loss of key personnel

- **Adequate facilities and equipment**
- **Adequate, flexible power supply**
- **Financial stability**
- **Management accountability**

Basic Principles of Salary Policy

- Fair and defensible
- Competitive
- Distinguish individual performances
- Provide motivation
- Reward increased responsibility
- Easy to administer
- Accepted by employees
- Be flexible
- Be supportive of other company programs

Objective of a Compensation System

- Stimulate-Motivate
- Improve performance
- Increase volume
- Competitive-Retain
- Reward added work
- High salary for more responsibility
- Morale satisfaction

Keys for Success

- Clear vision and mission
- Strong leadership
- Responsive to external demands
- Pro-active customer service
- Active community support

Elements of a Salary Program

Techniques

- Job Analysis
- Job Description
- Job Evaluation
- Job Classification

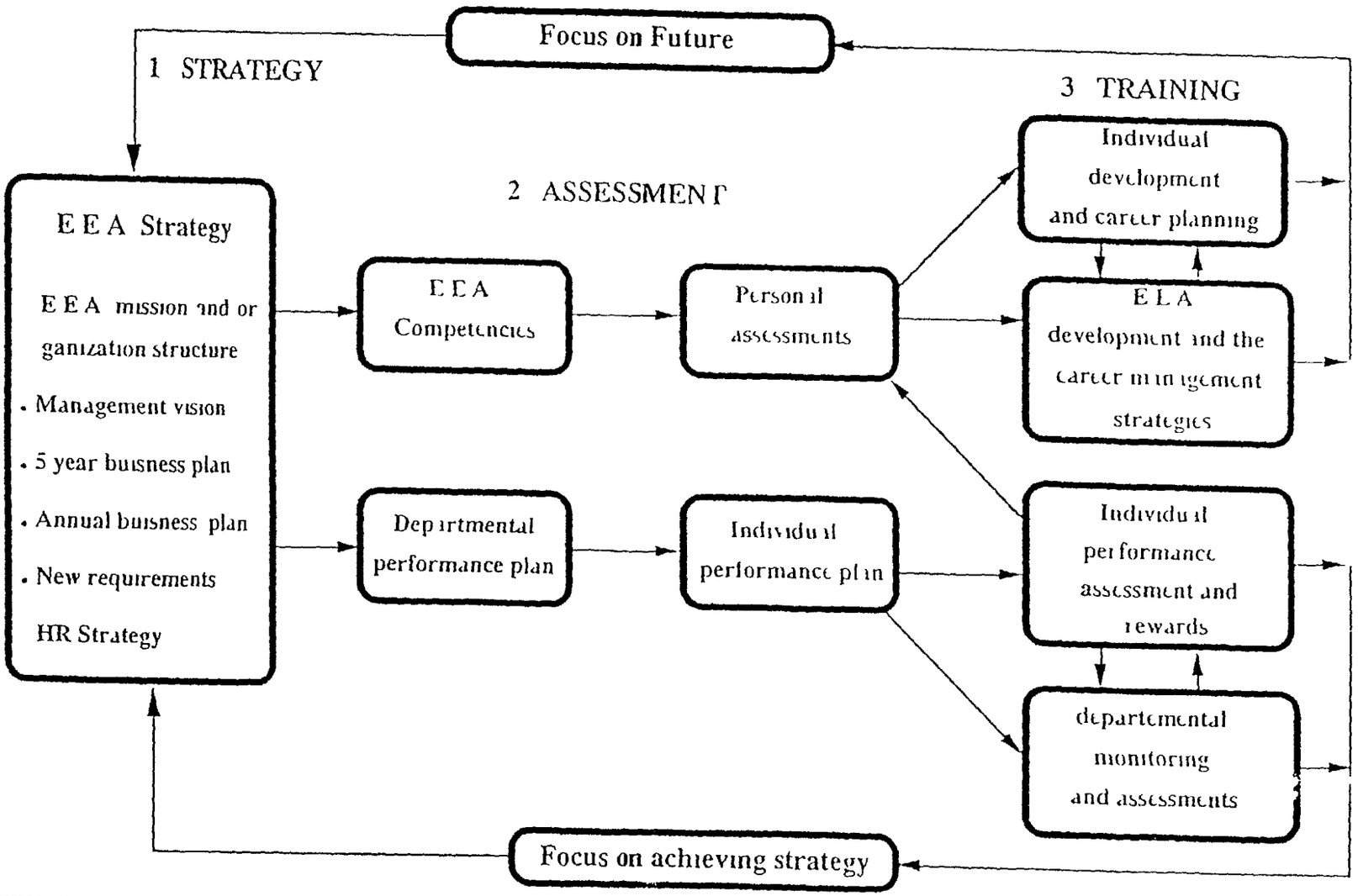
Objectives

- To determine job facts
- To record job facts
- To determine relative job worth
- To construct

Human Resource Issues For Tomorrow

Becoming a strategic partner
Becoming an administrative expert
Becoming an employee champion
Becoming a change agent

HUMAN RESOURCE SYSTEM



Training And Development

The focus of training is on skills in action

Training is not for knowing more but for behaving differ-ently

Training and Development Needs Assessment

Training needs always relate to:

- **Job performance**
- **Career development planning**

To be effective training must be planned in terms of:

- **real needs**
- **of the employees and**
- **the organization**

Real needs are:

knowledge and skills required for employee to be a fully effective performer in current job; or in next planned assignment

Training and Development Needs Assessment

- Review performance deficiencies
- Review career development plans
- Review long range business plans

- **Review hard data by function**
- **Interview top management**
- **Interview sample of employees**

Needs Assessment

Review Long Range Business Plans

- Technological changes
- Changes in operation
- Organizational changes
- New business lines

- Expansion of markets
- Profitability and budget changes
- Changes in competition
- Dropping business lines
- Increasing capacity
- Significant tax changes
- New government regulations

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Needs Assessment
Review hard data by function

- Employee turnover

- Accident rates and safety performance

- Costs of accidents
  in lost time
  in equipment repair or replacement costs

- Slick leave usage

- Maintenance costs

- Utilities costs
- Inventory costs trends

- Disciplinary cases

- Personnel costs
- Deviations from budget

- Fuel cost trends

- Employee benefits costs

Training Plan

The training plan identifies the internal training and development actions and external programs needed to equip employees at every level of the organizations with the knowledge and the skills required to be fully effective in their current job and to prepare them for their next planned assignment.

Key Inputs

- Business Plan
- Manpower Plan
- Career development plans
- Training policies
- Training legislation
- Calendars of planned internal and external training systems
- Training plan and budget targets

Key Actions

Complete annual assessment of organization's training needs and priorities

- Review programs and facilities
- Design additional learning systems as needed
- Develop training plan and budget
- Provide training resources
- Monitor progress and train-

6D

ing effectiveness

- Monitor utilization of training on the job
- Manage training budget
- Critical Uses
- Manpower plan and budget
- Recruiting plan

Training For Organizational Excellence

1. Clear vision of the goal and mission of training.

2. Tightly linked to organizations objectives.

3. Line management commitment and involvement.

4. Excellent management practices within the training function.

5. Emphasis on practicality.

6. Use multiple sources to assist.

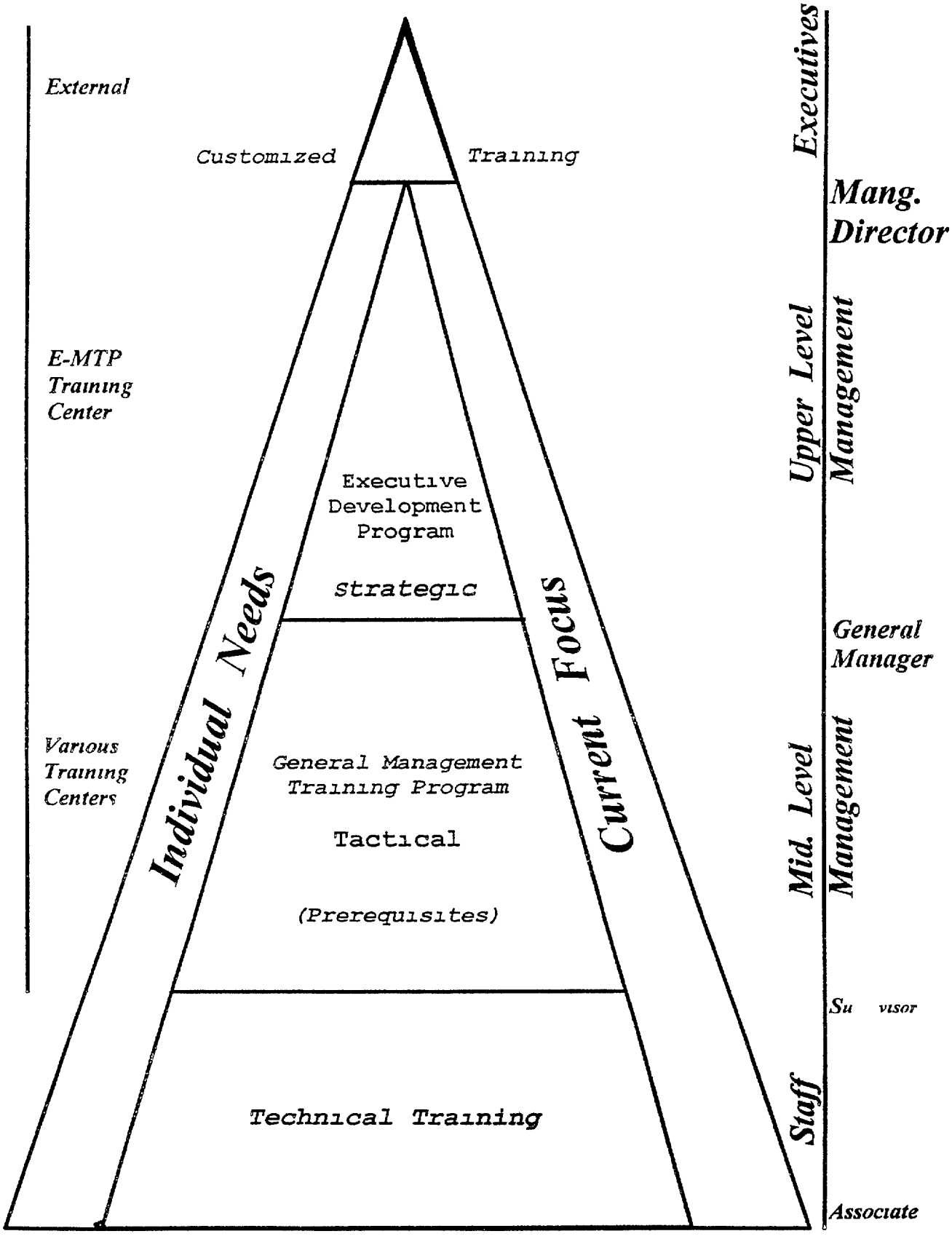
7. Consistent delivery (Quality).

8. Sense of urgency.

9. Achieve critical mass.

10. Evaluation of results.

Training Model



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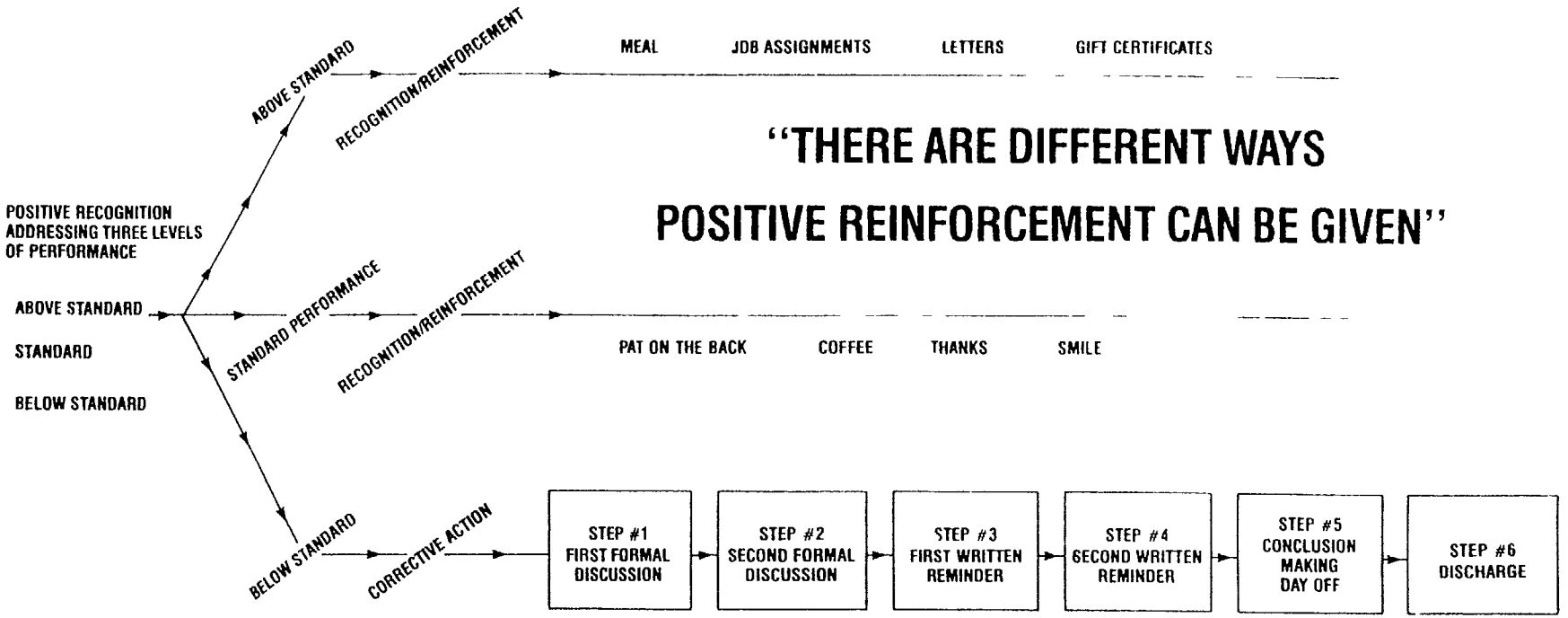
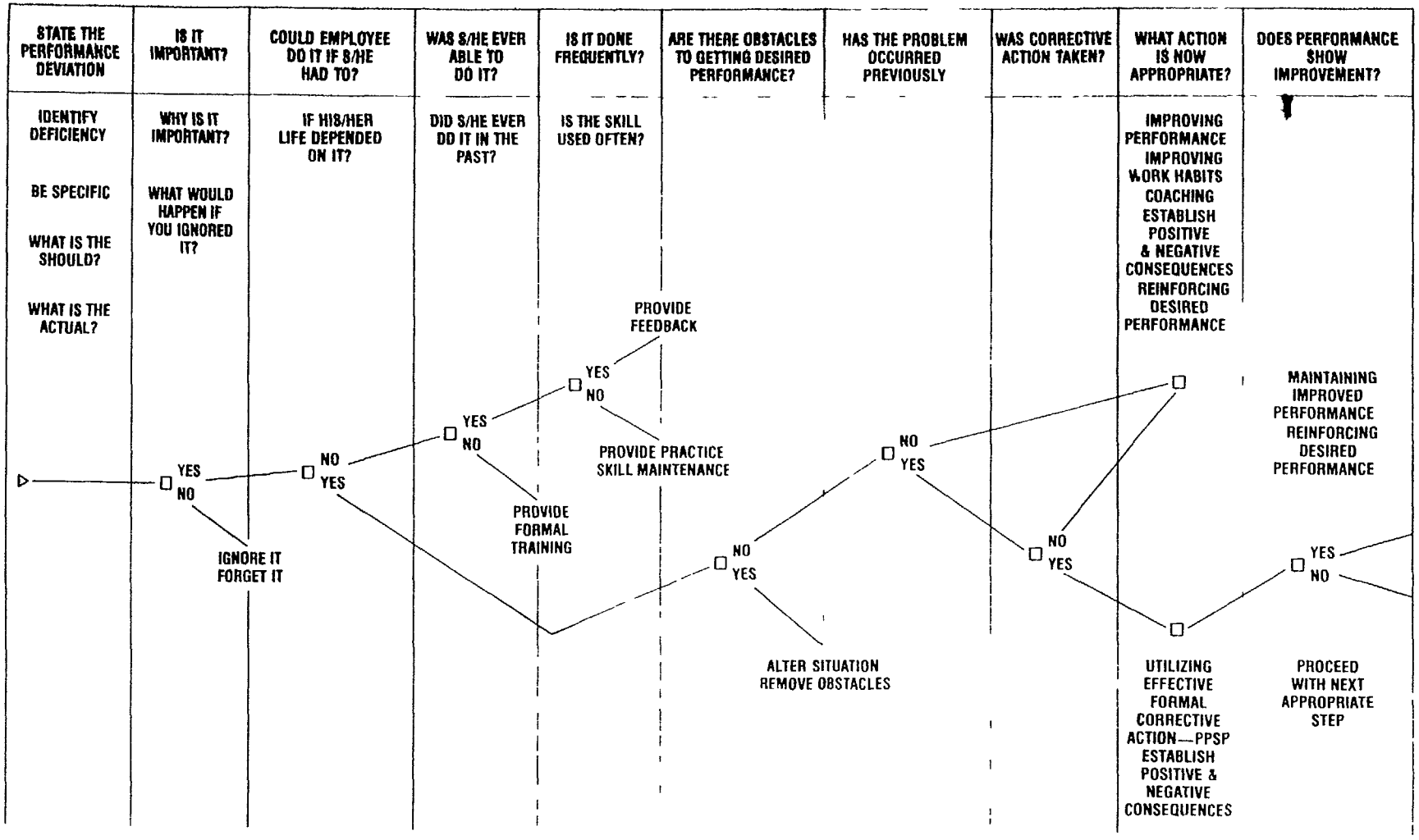
PEOPLE TO PEOPLE SOLVING PROBLEMS (P.P.S.P.)



"THERE ARE DIFFERENT WAYS POSITIVE REINFORCEMENT CAN BE GIVEN"

THE DECISION TREE



PERFORMANCE OBJECTIVES AND EVALUATION

DP&L

EMPLOYEE Carl R. Morey

CURRENT POSITION Vice President Energy Production

Job Description

Date Written

Last Reviewed

Period Covered By Objectives From January 1, 1982 To December 31, 1982

Objectives Approved By

Supervisor Signature

Employee Signature

Quarterly Reviews	Date		
1st			
2nd			
3rd			
4th			

List Principal Accountabilities

I All DP&L-operated electric generating stations will have been managed to produce the results required to support corporate objectives.

II All CCD and CD Generating facilities will have been monitored to cause their management to operate and maintain these units in a manner to allow DP&L to obtain the results necessary to meet its corporate goals

III The Steam Division will have been managed in a manner causing it to be profitable while meeting Steam sales, fuel, O&M, manpower, capital and Steam losses goals

IV The Vice President of Energy Production will have coordinated, allocated resources and monitored the implementation of Quality Management for the division

V Energy Production will have been involved in design or installation or operation of various Computer Information Systems.

VI Will have coordinated and monitored the Five Star Safety Program Implementation for the Corporation

VII The Vice President - Energy Production will have provided required corporate reporting to ensure proper monitoring of conformance to standards

VIII Contribute to internal and external industry and community programs

IX Labor Relations and Security areas will provide required corporate-wide services

ACCOUNT ITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	IDARDS	PROGRESS REVIEW AND ACTION PLANS	RATING
I	A J M STUART STATION (DP&L Share)	45			
	Generation 4,524,441 mwh		Cp	4,746,603 mwh	Cm
	Operating Avail 79 6%		Cp		--
	Equivalent Avail 69 5%		Cp		--
	Thermal Eff 100 9		Cp	101 0	Cp
	Coal consumed 1,957,000 tons		Cp	2,106,000 tons	Cm
	Avg consumed price 43 40$/ton		Cp	39 59$/ton	Cm
	Generation 4,954,881 mwh		D		--
	Oper Avail 83 8%		D	85 5%	D
	Equivalent Avail 78 0%		D	84 1%	D
	Thermal Eff 101 7		D		--
	Coal delivered 2,125,000 tons		D	2,295,019 tons	Cm
	O&M Budget 16,200,000 $		Cp	15,900,000 $	Cp
	Blanket Budget 1,300,000 $		Cp	928,000 $	Cm
	Capital Budget 7,300,000 $		Cp	3,930,000 $	D
	Manpower Budget 632		Cp	559	D
	B O H Hutchings Station				
	Steam Units				
	Operating Avail 91%		Cp	91 9%	Cm
	Equiv Avail 84%		Cp		--
	Thermal Eff 91 4		Cp	91 9	Cp
	Gas Turbines				
	Start Reliability 92%		Cp	90 9%	F
	Thermal Eff 67 9		Cp	56 7	F
	Steam Units				
	Operating Avail 93%		Cm		--
	Equivalent Avail 88%		Cm	90 5%	D
	Gas Turbines				
	Start Reliability 95%		Cm		--
	O&M Budget 7,200,000 $		Cp	6,910,000 $	Cm
	Blanket Budget 400,000 $		Cp	152,000 $	Cm
	Capital Budget 1,117,000 $		Cp	143,000 $	Cp
	Manpower Budget 181		Cp	149	D
	Coal consumed 498,000 tons		Cp	525,788 tons	Cm
	Avg consumed Price 58 31$/ton		Cp	57 18$/ton	Cm

C ıllen Station				
Commercıal Operatıon 10-1-82		Cp		
Commercıal Operatıon 8-1-82		D	6-30-82	D
Constructıon Budget	396,700$	Cp	277,103 $	
Generatıon	598,272 mwh	Cp	282,836 mwh	
Operatıng Avaıl	80%	Cp	67 1%	
Equıv Avaıl	75%	D	65 9%	
Thermal Eff	97 2	Cp	79 7	
Coal consumed	244,000 tons	Cp	116,272 tons	
Avg consumed prıce	56 85$/ton	Cp	49 55$/ton	Cm
O&M Budget	1,500,000 $	Cp	3,492,000 $	
Blanket Budget	200,000 $	Cp	0	
Capıtal Budget	57,800,000 $	Cp	80,781,000 $	
Manpower Budget	202	Cp	179	D
D F M Taıt Statıon				
Deactıvate #5 Unıt	03-01-82	Cp	3-3-82	Cp
Deactıvate #4 Unıt	10-01-82	Cp	9-30-82	Cp
Decrease manpower ın stages with no forced layoffs				
Manpower - March 82 -	137,	D	125 3-1-82	D
July 82 - 127, Oct 82 - 84		D	116 7-1-82	D
Feb 83 - 74, March 83 - 36,		D	69 10-1-82	D
Oct 83 - 15		D	59 12-31-82	D
Coal consumed	158,000 tons	Cp	81,672 tons	Cp
Avg consumed prıce	62 50$/ton	Cp	58 59$/ton	Cm
Reduce stockpıle to zero by 10-1-82		Cp	10-7-82	Cm
Oper Avaıl 4 & 5	71%	Cp	85 2%	D
Equıv Avaıl 4 & 5	66%	Cp	83 4%	D
Thermal Eff 4 & 5	92 4	Cp	79 4	F
Deactıvatıon Budget	1,700,000 $	Cp	672,845 $	D
O&M Budget	5,500,000 $	Cp	3,981,267 $	D
Blanket Budget	100,000 $	Cp	52,000 $	Cm
Oper Avaıl T P	92%	Cp	100 0%	D
Equıv Avaıl T P	90%	Cp	94 3%	D
Thermal Eff T P	66 6	Cp	33 1	F

ABILITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	STANDARDS	PROGRESS REVIEW AND ACTION PLAN	RATING
	E Total System				
	System send out 11,366,369 mwh		Cp	10,712,454 mwh	F
	OVEC Purchases 137,926 mwh		Cp	153,702 mwh	Cp
	Emergency purchases 72,904 mwh		Cp		--
	Thermal Eff 96 0		Cp		--
	Operating Avail 78 4%		Cp		--
	Equiv Avail 68 9%		Cp		--
	O&M Budget 30,400,000 $		Cp	30,283,000 $	Cm
	Emergency Purchases 38,641 mwh		Cm	7,972 mwh	D
	Thermal Eff 96 9		Cm	97 6	Cm
	Oper Avail 82 3%		Cm	83 5%	Cm
	Equiv Avail 72 8%		Cm	79 9%	D
	Develop semi-annual industrial comparison study for performance monitoring			Done but requires improvement	
	F Ensure delivery to and operation of the LRT to result in Maximum Dumping Cost to DP&L of 1 82 $/ton		Cp	1 42 $/ton	D
	Operate and maintain unit trains to average 15 loadings per month		Cp	16	Cm
	Procure and deliver oil at an average delivered price of 1 11$/gallon on a system-wide basis		Cp	97¢/gallon	Cm
	Provide fuel and fuel inventories consistent with Long-Range Plan		Cp	Done	Cp
II	A Generation 1982	20			
	Miami Fort 2,020,592 mwh		Cp	2,035,785 mwh	Cp
	Beckjord #6 717,198 mwh		Cp	873,954 mwh	Cm
	Conesville #4 524,726 mwh		Cp	579,430 mwh	Cp
	East Bend #2 953,363 mwh		Cp	838,860 mwh	F
	Total 4,215,879 mwh		Cp	4,328,029 mwh	Cp

ACCOUNT ABILITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	STANDARDS	PROGRESS REVIEW AND ACTION PLANS	RATING
	Manpower				
	January 64		Cm	67	Cp
	December 61		Cm	55	D
	Avg Coal consumed price 54 09$/ton		Cp	55 62 $/ton	Cm
	Third St generation 29,210 M LBS (Limited to January & February)		Cm	75,475 M LBS	Cp
IV	Establish Quality Program Time Table by 1-1-82	5	Cp	Done	Cp
	Monitor Programs Progress on Quarterly Basis		Cp	Done	Cp
	Monitor Administrator Reports monthly		Cp	Done	Cp
	Communicate Program Progress Quarterly or as requested		Cp	Done	Cp
V	Energy Dispatch System	5			
	Complete Factory Acceptance Test by 1-1-82		Cp	6-82	F
	Install & operate by 12-31-82		Cp	3-31-83	F
	Budget 9,937,000 $		Cp	9,389,000 $ Projected	Cm
	Energy Resources Information System				
	Interim Fuel Management System - First Subsystem by 12/1/82		Cp	Not Done	F
	NCR Conversion of Fuel System - Last Quarter of 1983		Cp	11-1983	Cp
	AGE - Phase I Monthly Reports by 9-1-82		Cp	Done	Cp
VI	A All areas audited by 7-1-82	5	Cp	Done	Cp
	B Follow-up Audits one year after base audit		Cp	On Schedule	Cp
	C All Energy Production areas to i ove one star during year		Cm	On Schedule	Cm

ACCOUNTABILITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	S	AI	PROGRESS REVIEW AND ACTION PLANS	RA
	B Operating Availability 1982					
	Miami Fort 83 0%		Cp		89 2%	Cm
	Beckjord #6 65 4%		Cp		81 6%	Cm
	Conesville #4 54 1%		Cp		70 1%	Cp
	East Bend #2 75 3%		Cp		75 6%	Cp
	Total 69 5%		Cp		81 7%	Cm
	C Equivalent Availability 1982					
	Miami Fort 74 5%		Cp		85 7%	Cm
	Beckjord #6 48 5%		Cp		70 0%	Cm
	Conesville #4 45 7%		Cp		53 3%	Cp
	East Bend #2 66 3%		Cp		71 9%	Cm
	Total 58 8%		Cp		74 3%	Cm
	D Thermal Efficiency 1982					
	Miami Fort 99 1		Cp		99 6	Cp
	Beckjord #6 92 6		Cp		97 4	Cm
	Conesville #4 96 4		Cp		98 6	Cp
	East Bend #2 93 6		Cp		95 1	Cp
	E O&M Budgets 1982					
	Miami Fort 6,500,000 $		Cp		5,730,304 $	Cm
	Beckjord #6 3,800,000 $		Cp		5,032,080 $	F
	Conesville #4 2,500,000 $		Cp		1,848,424 $	Cp
	East Bend #2 3,400,000 $		Cp		4,622,163 $	F
	F Blanket & Capital Budgets 1982					
	Miami Fort 5,200,000 $		Cp		2,131,000 $	F
	Beckjord #6 4,000,000 $		Cp		1,484,000 $	F
	Conesville #4 200,000 $		Cp		75,000 $	F
	East Bend #2 2,900,000 $		Cp		1,623,000 $	F
III	Steam Division					
	Steam Revenue 8,234,000 $	5	Cp		8,426,957 $	Cm
	Steam Generated 1,236,969 M LBS		Cp		1,449,209 M LBS	Cm
	Fuel Burned 3,931,000 $		Cp		4,293,233 $	Cm
	Steam losses 15%		Cp		23 2%	F
	Operating Avail 95%		Cp		84 7%	F
	O&M Budget 2,300,000 $		Cp		2,092,000 $	Cm
	Blanket Budget 200,000 $		Cp		159,000 $	Cm

ABILITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	S ARDS	PROGRESS REVIEW AND ACTION PLANS	RATING
	D Provide reporting on a quarterly or as requested basis		Cp	Done	Cp
VII	A Prepare quarterly Energy Production presentations for ER Board Committee meetings and Management Review meetings	5	Cp	Done	Cp
	B Prepare and obtain approvals of 1983 budgets for approved schedules		Cp	Not Done On Time	F
	C Complete Performance Appraisals and conduct interviews as scheduled and ensure subordinates conform to standards		Cp	Done	Cp
VIII	A Participate as member of Kiwanis, EEI, ECAR, C of C , EPRI and Speakers Bureau	5	Cp	Done	Cp
	B Make one external presentation and one political contact quarterly		Cp	Done Not Done	Cp F
IX	A Submit Long-Range Security Plan for approval by 7-1-82	5	Cp	Not Done	F
	B Administer and coordinate employee identification and card access system		Cp	Done	Cp
	C Negotiate fair contract settlement in timely fashion		D	12-16-82	F
	D Communicate Labor Relations trends quarterly			Done	Cp
	E Communicate negotiations proceedings monthly or as required		Cp	Done	Cp
1932X					

ACCOUNTITY	MEASURABLE PERFORMANCE OBJECTIVES	WEIGHT	DARDS	PROGRESS REVIEW AND ACTION PLANS	RATING

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