VOLUME 2

THE ENCYCLOPEDIA OF HUMAN RESOURCE MANAGEMENT

HR FORMS & JOB AIDS

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FORMS INCLUDED IN THIS VOLUME

INTRODUCTION TO VOLUME TWO

Human resource management in the 21st century impacts an organization at all phases of the business. From the strategic planning phase of knowing the current and available skill capacity of its labor force to knowing the operational effectiveness of each department and abilities to carry out new applications and processes, human resource management impacts the organization. At every stage of the business cycle, leaders need and want to know: "Do we have the talent to get to achieve our goals?" Human resource departments have evolved into the linchpin for implementing annual business goals, but before an HR department can do that well, they must first be able to provide daily operations.

HR forms are tools that allow organizations to process daily HR transactions. HR forms include everything from job posting requests, job applications, salary adjustments, and computer password assignments to organizational performance assessments, project completion reviews, and position terminations and promotions. Effective HR departments ensure the forms they use are necessary and serve a purpose that adds value somewhere along the line.

This volume will provide HR professionals with a tool to use in building HR forms. These forms can be used to process HR transactions and measure HR effectiveness. The volume presents forms that can be downloaded, modified, and used by your organization today. The volume also presents a view of HR forms that will allow you to plan for HR audits and compliance activities, as well as provide reporting on HR effectiveness. This volume is the first comprehensive source of HR forms used across core HR areas and shows how HR programs can be integrated into each other through the use of transaction mapping.

In this volume we present a new view of HR that organizes HR department functions, commonly recognized activities in those functions, and examples of forms and processes used by each role. Robert K. Prescott, Tom Horvath, and Steve Steckler developed the model of HR, the Human Resources Impact Guide (HRIG). The HRIG has been used successfully by HR leaders and organizations globally as a structured approach to evaluate both the entire HR organization and individual functional HR processes (such as training and development, compensation, etc.) and yield important input regarding HR's capabilities, capacity, and resourcing related to achieving overall mission and delivering on accountabilities and responsibilities.

HR leaders have described the HRIG as a powerful opportunity to determine the extent HR is aligned to the business and is focusing on the "right things, at the right time with the right level of priority and capability." HR leaders have used the HRIG as part of a self-assessment. The survey can also be completed by business leaders and used as a source of "senior client or customer feedback." A number of HR leaders have asked HR professionals working for them to complete the HRIG as part of HR organization and team alignment and planning sessions. Over the years, a number of separate applications in the use of the HRIG have evolved.

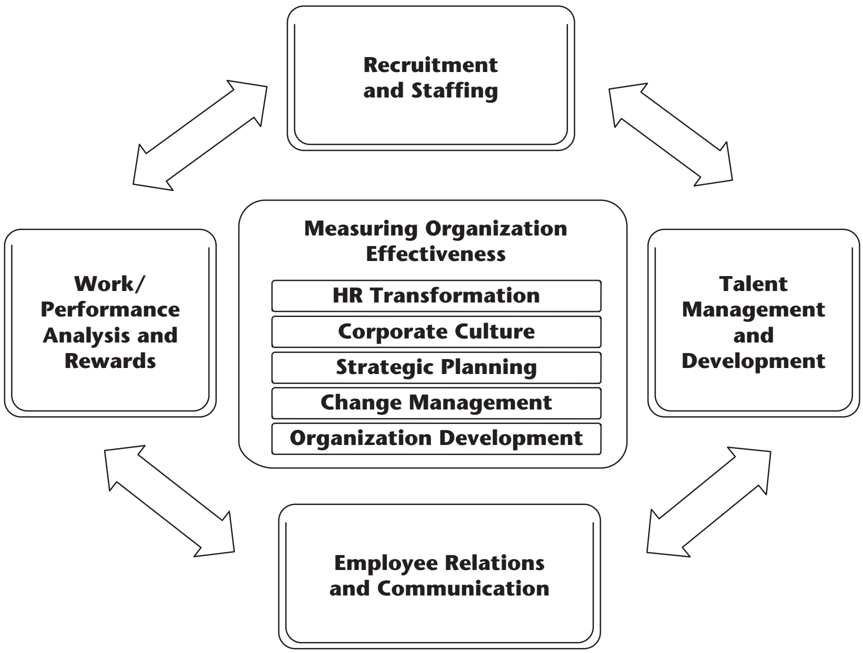
For this volume of *The Encyclopedia of Human Resource Management*, the HRIG model has been modified. The original HRID model is included and fully discussed in the final section: Additional Resources.

The Human Resources Effectiveness Diagram (HRED) is a modified model created by Aileen G. Zaballero and is based on the HRIG model created by Robert K. Prescott, Tom Horvath, and Steve Steckler. It was designed to provide HR leaders with an objective, comprehensive, yet easily applied assessment of both the effectiveness and relevance of their HR goals. The intent of this diagram (see Figure I.1 and Figure I.2) is to support the HR function in meeting current and anticipated business strategy challenges. The HRED Model is the framework used to organize Volume Two of *The Encyclopedia of Human Resource Management*.

Multiple Applications

- *Priority and Assessment:* Starting with the current business strategy and expectations for the HR organization and conducting a current state analysis of the overall HR organization. In this application, existing capabilities are assessed against both importance in actually supporting the business and the ability or

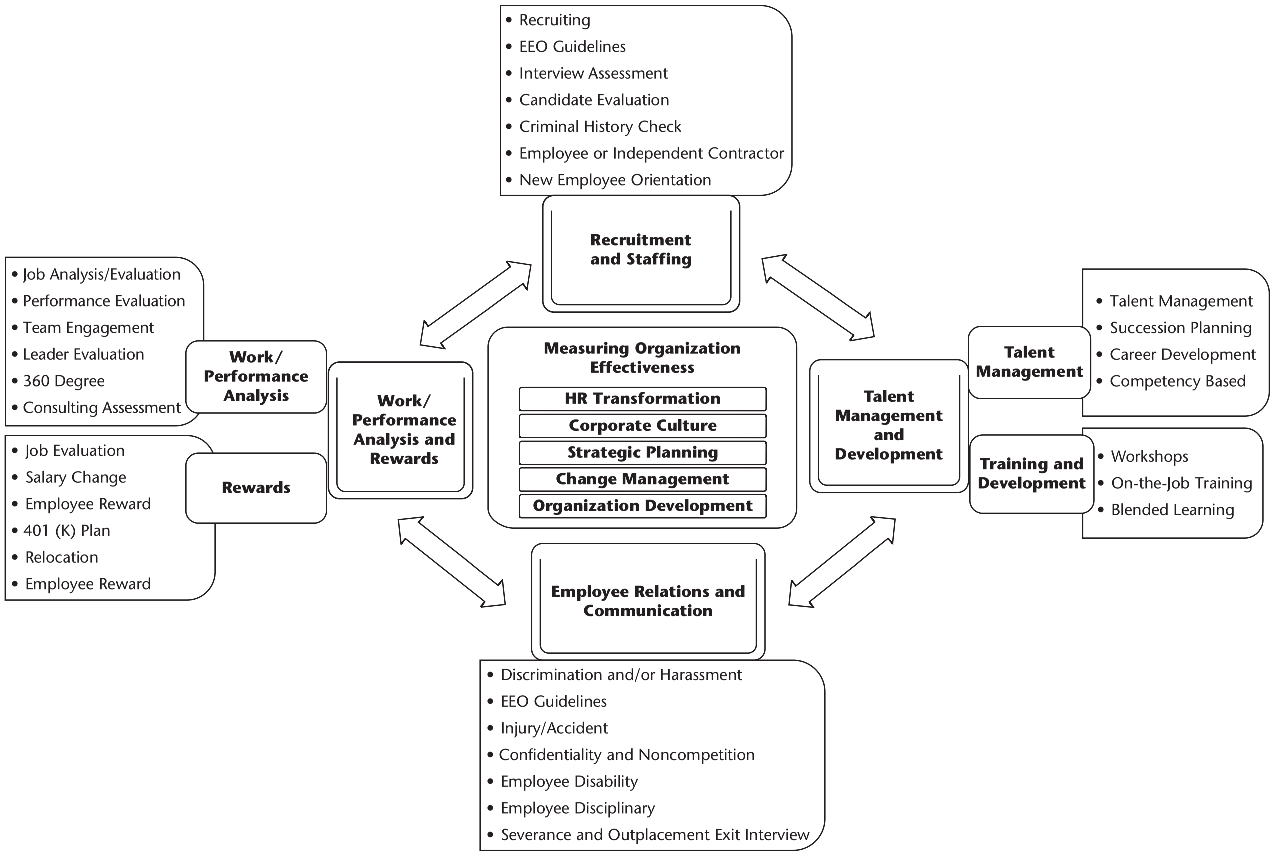
FIGURE I.1. HRED Model



effectiveness in delivering these capabilities. The starting point of this application is based on the current business strategy and what is expected of us. Are we focused on the right HR areas? How effective are we at delivering on the top-priority ones?" This application can also be used without a clearly articulated or precise business strategy if sufficient general business knowledge exists. This application of the HRED (modified HRIG) can also help crystallize the HR strategy by starting with the existing "what" and "why" of current HR actions and activities. Thus, is a strategic planning tool.

- *Level of HR Operating Focus:* Using the HR transformation questions that are included in the HRED (modified HRIG) for each of the major HR processes, along with completing the priority and effectiveness sections, the level of strategic focus that each of the key HR processes has can be assessed. The starting point for this application is an opportunity to take stock of the level that the HR organization is operating. "Are we really strategic or just tactical?" The output of this assessment can help refocus HR actions and activities.

FIGURE I.2. Expanded HRED Model



- "*Auditing*"*:* The HRED (modified HRIG) can be used to conduct an audit of each HR process (function/sub-function) to ensure that there is clarity regarding objectives, strategic goals, and best practices. The starting point for this application is "an opportunity to ensure that there is both clarity and understanding within and between each of the parts of the HR organization to achieve a common mission and exploit potential synergy. This process will enhance the alignment of the HR function within itself."
- *Future Planning and Resourcing:* The HRED (modified HRIG) can be applied as a scenario-planning tool to determine what new priorities, current or new competencies, and resources will be needed based on likely or possible business strategy change scenarios. The HRED can also help identify what are or should be the core HR competencies going forward if there is an option for alternative sourcing or outsourcing. The starting point is to be better prepared to respond to changing business and financial conditions and to be more proactive to meet the future. In this scenario, the HRED serves as a business integration framework.
- *HR Transformation:* The HRED (modified HRIG) can be used as a "reverse engineered" assessment to provide a foundation to functionally reorganize and redeploy HR. Once the priority and effectiveness assessments are completed against the business strategy and resourcing requirements, and each of the major HR functional or sub-functional units and key processes is factored in, a new HR organization design structure can be developed. HR can be organized around what capabilities are most needed and what functions and sub-functions should be "packaged together." The starting point for this application is "How can we re-launch HR less as a grouping of discrete, separate functions or sub-functions and more closely around an integrated organization focused on what and how we should deliver and have impact?" Finally, the HRED works to focus the HR function on a true business partnership within the organization.

In summary, the HRED (modified HRIG) is a multi-faceted diagnostic tool for use by the various members of the HR community in shaping the modern HR function. The HRED is a comprehensive approach to modern human resource management. It can be used in multiple scenarios utilizing a strategic, operational, or transactional mindset. Overall, this valuable tool is a guide for those who want to create maximum value for the organization.

Volume Two is composed of five parts based on the functional areas of HR. A reader can use the material as a comprehensive overview of white papers and forms for all areas of HR, or can read only those chapters that apply to his or her current business needs. The goal is to be a resource for building and using effective HR forms and tools. The following questions will help you build better forms:

- How will the form improve my HR process?
- What is the goal of the form?
- What is the form's function?
- Who will be using the form?
- What fields are absolutely necessary and which fields are optional?
- What happens after the form is submitted?

By answering these questions, you will know how the form will help your department achieve both compliance and measurement of goals.

The five parts of the HRED model that frames this volume include:

1. Recruitment and Staffing,
2. Talent Management and Development,
3. Work/Performance Analysis and Rewards
4. Employee Relations and Communications
5. Measuring Organization Effectiveness

Each part contains white papers and forms. The purpose of each white paper is to provide an authoritative document that helps frame a specific concept. The goal is to educate and support HR professionals and practitioners to make better decisions.

The purpose of each form, the intended audience, and suggested uses are presented. Each form addresses a critical business process for an HR function. Forms can be used as is or modified. While each form reflects a good working model that can be used immediately, we encourage readers to modify forms as needed or desired.

The final section of this volume contains additional resources, including an explanation of the HRIG model on which the HRED model is based.

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

PART ONE

RECRUITMENT AND STAFFING

Recruitment and staffing are responsible for identifying and providing candidates for an organization's open positions. Those in this role ensures the organization has people with the right skill and competency set to move into open positions. This section of the book first covers what is meant by *potential*. Both in recruitment of open positions and the development of their employees, organizations must be able to recognize the potential of their human capital. We then present some forms used in the recruitment and staffing process. We begin with a requisition for posting a vacant position and conclude with a new employee orientation checklist. Recruitment and staffing forms provide employee information that is used throughout that employee's career within the organization and provide a new employee's first impression of how the organization engages employees.

The purpose of recruitment forms is to ensure the organization complies with good hiring procedures, to keep a record of all employee information, to ensure the recruitment process complies with EEOC guidelines, and to begin the process of integrating new employees into the workforce. The seven forms found in this part of the book provide tools for you to use when obtaining approval for recruiting for a position, when ensuring that interviewing questions comply with EEOC guidelines, when assessing and evaluating candidates' job-based skills, when conducting a criminal history check, when reviewing a new employee orientation program, and when determining whether positions are classified as employee or independent contractor.

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WHAT IS POTENTIAL?

William J. Rothwell

Some special terms are used in succession management and in talent management. As is true of any specialized terminology, it is intended to facilitate communication and economize expression. Still, the terms can be confusing. One such term is "potential." What does potential mean? The information that follows is intended to answer that question.

Background Information

To define the term "potential," we first make some assumptions:

- *Assumption 1*: Doing a good job at one level of the organization's chain of command is no guarantee that an individual will do a good job at the next level. Reason: the performance requirements at each level—supervisor, manager, or executive—are distinctly different. To be a good executive requires competencies different from those required of a manager. Hence, success at one level does not guarantee success at the next level. Therefore, potential for promotion is different from performance on a current job.
- *Assumption 2*: *Performance* refers to a worker's success in his or her current job and at his or her current level of responsibility. *Potential* refers to a worker's capability to be successful at higher levels of responsibility. Neither term is related to personal relationships—such as how much the boss likes the

person. Instead, performance is related to how productive an individual is in achieving measurable results, and it can be objectively measured once the desired outputs of the job are clarified. Potential is related to how well an individual objectively measures up to the requirements of the next higher level on the organization's chain of command (organization chart).

- *Assumption 3*: Great care should be taken in assessing potential for the simple reason that managers view the world through their own biases. It is a commonplace of selection theory that those who make selection decisions tend to measure applicants against themselves. That is called the *like me bias*, which means we tend to favor people who are like us. Hence, men prefer men; women prefer women; Chinese people tend to prefer Chinese people; and engineers tend to prefer engineers. Assessing potential requires due diligence to avoid this temptation for the simple reason that the business may need people with different characteristics to meet future competitive conditions.
- *Assumption 4*: Organizational leaders should take special care in assessing potential for the simple reason that potential is what is required for the organization's future leadership.

So What?

Why is the definition of potential important?

Consider: organizational leaders have only so much time and money to devote to development. Like any investment, investing in people should be well-advised and well-considered. Investing in the development of some people is more likely to pay off than investing equally in everyone.

For this reason, then, knowing who has potential for promotion makes it possible for organizational leaders to spend their training and development dollars wisely by investing in those who are likely to benefit the organization most in the future. These individuals are identified as High Potential (HiPo), a term often used in talent management and succession planning.

RECRUITMENT AND STAFFING FORMS

Recruitment Request Form

Purpose

This form is used for external hiring and is filled out by the department that sends the request. The request form is usually combined with a job description and salary information, and human resources is responsible for approving and examining the request.

Intended Audience

Primary user: Hiring supervisors

Secondary user(s): Finance and Human Resources

How to Use the Form

1. All information should be provided by the hiring department and should be aligned with the job description and pay level.
2. Human resources is encouraged to examine the completed form to look for any unusual requests.

Recruitment Request Form

Section 1: Information Required for All Hiring Actions			
Department Name:		Department ID:	
Position Title:		Position Level:	
Employment Status: ❑ Regular ❑ Temp w/benefits ❑ Temp w/o benefits			
❑ Full Time	❑ Part-Time:	Hours/Wk:	Months:
Desired Start Date:			
Qualifications Include: ❑ Degree: ❑ Work Years: ❑ Other:			
Application Deadline:	❑ Date:	❑ Until Finalists Selected	❑ Until Filled
Section 2: Salary Information			
❑ New Position (Regular)			
❑ New Position (Temporary)	Benefits: ❑ Yes ❑ No	Hourly Rate:	
❑ Replacement-Incumbent			
Budgeted Salary Amount:	or Budgeted Salary Range:		
Does this amount exceed the compensation of current employees in the same department and job title? ❑ Yes ❑ No			
Check One:	❑ Post a predetermined salary on the job announcement.		
	❑ Post a salary range on the job announcement.		
	❑ Do not post salary on the job announcement.		
Section 3: Position Information			
❑ New Position (Regular Status) Job Descriptions:			
❑ New Position (Temporary with or w/o benefits) Job Description:			
❑ Replacement-Incumbent Job Description:			
Section 4: Signatures			
Hiring Manager:	❑ Approved ❑ Disapproved	Date:	
Director:	❑ Approved ❑ Disapproved	Date:	
VP/Budget:	❑ Approved ❑ Disapproved	Date:	

EEO Interview Guidelines

Purpose

Although under federal laws no interview questions are expressly prohibited, once the potential employer possess information that is protected by federal law that information can be used in making a hiring decision. The Equal Employment Opportunity Commission (EEOC) disfavors direct or indirect questions related to areas protected by federal law such as age, color, national origin, race, religion, sex, age, and disability.

The following information can be used to determine allowable questions to ask in a pre-employment interview.

Intended Audience

Primary user: Hiring supervisors

Secondary user: Human Resources

How to Use the Form

1. Use as a reference tool in developing interview questions.

EEO Interview Guidelines

Item	Prohibited Information (Cannot Be Used to Disqualify Candidates)	Lawful Information (Can Be Used to Disqualify Candidates)
Age	Age, birth certificate. Any inquiry for purpose of excluding persons over forty. Inquiries as to date of graduation from college or high school.	Whether candidate meets minimum age requirements. Requirement that candidates submit proof of age after hired.
Arrest Record	Any inquiry relating to arrest.	None.
Conviction Record	Inquiries regarding convictions that do not relate to performing the particular job under consideration.	Inquiries about actual convictions that relate reasonably to performing a particular job.
Credit Rating	Any inquiries concerning charge accounts, credit rating, etc., that do not relate to performing the particular job under consideration.	Inquiries about credit rating, charge accounts, etc., that relate reasonably to performing the particular job in question.
Education	Disqualification of a candidate who does not have a particulate degree unless employer has proven that the specific degree is the only way to measure a candidate's ability to perform the job in question.	Inquiries regarding degrees or equivalent experience regarding courses relevant to a particular job.
Disabilities	General inquires that would elicit information about disabilities or health conditions that do not relate to job performance.	Whether candidate has any disabilities that would prevent him or her from doing the job.
Marital and Family Status	Childcare problems, unwed motherhood, contraceptive practices, spouse's preferences regarding job conditions. Inquiries indicating marital status, number of children, pregnancy. Any question directly or indirectly resulting in limitation of job opportunity in any way.	Whether candidate can meet work schedule. Whether candidate has activities, responsibilities, or commitments that may hinder meeting attendance requirements (should be asked of candidates of both genders).
Military Record	Discharge status, unless it is the result of a military conviction.	Type of experience and education in service as it relates to a particular job.
Name	Inquires to determine national origin, ancestry, or prior marital status.	Whether candidate has ever worked under a different name.

(*Continued*)

Item	Prohibited Information (Cannot Be Used to Disqualify Candidates)	Lawful Information (Can Be Used to Disqualify Candidates)
National Origin	Lineage, ancestry, descent, citizenship. National origin of spouse or parents.	Whether candidate is legally eligible to work in the United States.
Organizations	Inquiries about membership to determine the race, color, religion, sex, national origin, or age of candidates.	Inquiries that do not elicit discriminatory information.
Race or Color	Complexion, color of skin, height, or weight where it is not related to the job.	None.
Gender	Gender of applicant, where gender is not a bona fide occupational qualification (BFOQ)	Candidate's previous job-related experience.
Work Experience	Inquiries of protected class members based on generalizations about class.	Candidate's previous job-related experience.

Source: Equal Opportunity Commission

Interview Assessment Form

Purpose

This form is recommended for use by the interviewer during the interview sessions. It can also be used for candidate screening over the telephone. Using the form brings an objective structure to the interview process and allows interviewers to compare different candidates' performance after the interviews.

Intended Audience

Primary user: Hiring supervisors

Secondary user(s): Learning and Development representative

How to Use the Form

1. Contact the interviewee(s) via telephone, email, or in person before the interview sessions.
2. Interviewers are encouraged to prepare specific questions related to the job duties and should avoid questions that may be inappropriate or illegal.
3. Interviewers should return the form to HR after the interview sessions.

Interview Assessment Form

Employee Conducting the Interview: ______________________ ID: ______________

Candidate Name:		**Position:**	**Date:**
Contact Details	Phone: ( )	Email:	
Department:		Interviewer Names: 1. 2.	

Category	**Rating**				
	Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Presence	☐	☐	☐	☐	☐
Attitude	☐	☐	☐	☐	☐
Education and Qualifications	☐	☐	☐	☐	☐
Relevant Experience	☐	☐	☐	☐	☐
Relevant Knowledge	☐	☐	☐	☐	☐
Confidence and Assertiveness	☐	☐	☐	☐	☐
Visionary Skills	☐	☐	☐	☐	☐
Administrative/Managerial Skills	☐	☐	☐	☐	☐
Team Spirit	☐	☐	☐	☐	☐
Conciliator/Mediator	☐	☐	☐	☐	☐
Analytical Ability	☐	☐	☐	☐	☐
Strategic Planning	☐	☐	☐	☐	☐
Ability to Express Ideas	☐	☐	☐	☐	☐
Motivator	☐	☐	☐	☐	☐
Organizer	☐	☐	☐	☐	☐

Problem-Solving Skills	☐	☐	☐	☐	☐
Communication Skills	☐	☐	☐	☐	☐
Community Connections	☐	☐	☐	☐	☐
Computer and Tech Savvy	☐	☐	☐	☐	☐
Leadership Skills	☐	☐	☐	☐	☐
Fit with Organization	☐	☐	☐	☐	☐
Overall Score					
Comments:					

Candidate Evaluation Form

Purpose

This form is recommended for use after the interview sessions, and it should be completed by the interviewer(s). This form can also be used after candidate screening via phone. Using the form can bring an objective structure to the interview process and allow the interviewer(s) to compare candidates' performance during the interview sessions.

Intended Audience

Primary user: Hiring supervisors

Secondary user(s): Human Resource business partner

How to Use the Form

1. Complete this form following an employment interview.
2. Compare the information contained in the forms of those candidates interviewed for the same position to provide a comparison of the candidates.
3. Interviewers should return the form to HR after the interview sessions.

Candidate Evaluation Form

Applicant Name: Position:

This form is a guide to evaluate the applicant's qualifications for employment. Check the appropriate numeric value corresponding to the applicant's level of qualification and provide appropriate comments in the space below.					
Rating Scale: **5 = Outstanding** **4 = Excellent—exceeds requirements**					
3 = Competent— acceptable proficiency **2 = Below Average—does not meet requirements** **1 = Unable to determine or not applicable to this candidate**					
	Rating				
	5	**4**	**3**	**2**	**1**
Functional Technical Skills					
Candidate's Understanding of the Position Assess candidate's knowledge of the position and its requirements.					
Relevant Background/Special Skill Set Explore the candidate's knowledge and past working experiences in training.					
Professional Impression Consider self-confidence, maturity, and presence to assess the candidate's level of professionalism.					
Time Management/Priority Setting					

(*Continued*)

Interpersonal/Communication Skills Assess ability to express ideas and thoughts clearly, as well as experiences involving team settings and customer orientation.					
Organizing/Planning					
Customer Service					
Perseverance/Drive for Results					
Action Oriented/Learning on the Fly					

Recommendation:

☐ Hire ☐ Possible Interest ☐ No Hire

Overall Evaluation:

Please summarize your perceptions of the candidate's strengths and any concerns that should be considered:

Criminal History Check Authorization Form

Purpose

This form is used for checking candidates' criminal history, and it can help human resources to make selection decisions. However, it is not always necessary to check the criminal history of a candidate.

Intended Audience

Primary users: Human Resource and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Remember to confirm with the applicant to release the authorization. If the applicant refuses, it is inappropriate to check without his/or her permission.
2. All the contact history and information should be saved and regarded with the highest level of confidentiality.
3. Before conducting the history contact the Human Resources Department. Often it is the responsibility of the Human Resources Department to conduct criminal history checks and to maintain and update files.

Criminal History Check Authorization Form

Applicant Information

Applicant Name:

Gender:

Date of Birth:

Place of Birth:

Social Security Number:

Driver's License Number:

Address:

Residency History Check

City	State	ZIP Code	From/To

I hereby authorize the [company name] to check my background history. I certify that the information provided in this form is true, and I understand that any false information I provided herein will void my application for employment and may result in termination.

Signature: ______________________ Date: ______________

Human Resource Use Only

Date of receiving request: ______________ Date of receiving request: ______________

______________________ ______________________

Job number HR representative's signature

PLEASE SEND THIS FORM TO HUMAN RESOURCE DEPARTMENT.

Employee or Independent Contractor Status Check

Purpose

The IRS looks at twenty factors to determine whether someone is an employee or an independent contractor. As stated by the IRS, this twenty factor test is not the legal test used for determining worker status, but rather an analytical tool. The legal test is whether there is a right to direct and control the means and details of the work. A list of the twenty factors is presented below.

Intended Audience

Primary user: Human resource and management professionals

Secondary user: Employees and supervisors

How to Use the Information

1. Review job description of individual position in question.
2. Review the information contained in the IRS's Twenty Factor Test for Determining Independent Contractor Status.
3. Make determination.

The IRS's Twenty-Factor Test for Determining Independent Contractor Status

1. *Instructions*—A worker who is required by the other person's instructions as to when, where, and how work should be done is ordinarily an employee.

2. *Training*—Requiring a worker to attend training, work with an experienced employee, or other such methods indicates that there is control over the means of how the work is to be accomplished.

3. *Integration*—When the success or continuation of a business depends on the performance of certain services, the worker performing those services is subject to a certain amount of control by the owner of the business.

4. *Rendering of personal services*—If services must be rendered personally, the results of the work are controlled by the employer.

5. *Hiring, Supervising, and Paying Assistants*—If the employer hires, supervises, and pays assistants, control is exercised.

6. *Continuing Relationships*—A relationship that is on a continual basis between the employer and works indicates an employer-employee relationship.

7. *Set Hours of Work*—The establishment of the setting of hours of work by the employer indicates control.

8. *Full Time Required*—When a worker must devote substantially full-time hours to an employer, the employer has control over the worker's time. Independent contractors are free to work when and for whom they choose.

9. *Doing Work on Employer's Premises*—Work that is done on the employer's premises suggests that the employer has control over the worker.

10. *Order of Sequence Set*—Workers who are not free to perform work using their own pattern but rather follow established routines and schedules of the employer are said to be under the control of the employer.

11. *Oral or Written Reports*—Requiring the worker to submit regular oral or written reports indicates control over the worker.

12. *Payment by Hour, Week, Month*—Independent contractors are usually paid straight commission or by the job. Paying a worker by the hour, week, or month indicates an employer-employee relationship provided this is not just an agreed-on method of convenient payment.

13. *Payment of Business and/or Traveling Expenses*—While employers can reimburse independent contractors for these types of expenses, the usual payment of these expenses is typical of an employer-employee relationship.

14. *Furnishing of Tools and Materials*—Providing tools and materials to the worker indicates an employer-employee relationship.

15. *Significant Investment*—If the worker performing the services invests in facilities and these are not usually maintained by employees, this indicates an independent contractor relationship.

16. *Realization of Profit or Loss*—A worker who can realize a profit or suffer a loss as a result of his or her own work is generally an independent contractor.

17. *Working for More Than One Firm at a Time*—A worker performing more than de minimis services for a number of unrelated firms or persons simultaneously indicates that the work is that of an independent contractor.

18. *Making Service Available to the General Public*—A worker making his or her services available to the general public on a regular basis indicates the relationship is that of an independent contractor.

19. *Right to Discharge*—The right to discharge a worker by an employer indicates the relationship of an employee-employer.

20. *Right to Terminate*—If the worker has the right to end the relationship with the principal at any time without incurring a liability, this indicates an employer-employee relationship.

Who Is an Employee? Determining Independent Contractor Status

By definition, independent contractors are self-employed. Because they are not considered to be employees, independent contractors are not covered by labor, employment, and related tax laws. It is tempting for employers to reclassify employees as independent contractors to avoid paying benefits, taxes, and other liabilities. Determining whether or not a worker is an employee or an independent contractor is key in avoiding mishaps.

To help make the delineation between employee and independent contractor, the IRS uses the "twenty-factor test" above, whereby it assesses the degree of control the employer/company exercises over the way in which the work is performed. If the employer/company exercises a higher level of control, the worker is deemed to be an employee. For independent contractors, employers do not have to pay FICA (Social Security and Medicare) and FUTA (federal unemployment insurance) taxes, and they do not have to withhold federal income taxes for these individuals. The IRS has increased enforcement on these cases because it has lost billions in tax revenue due to misclassification of employees as independent contractors.

Additionally, the economic realities test is used by courts to determine whether the worker is economically dependent on the business. This test typically makes it harder for an employer to classify a worker as an independent contractor. The economic realities test is used to determine employee status under the Fair Labor Standards Act (establishing a minimum wage), Family and Medical Leave Act (entitling workers to unpaid leave under certain circumstances), and the Worker Adjustment and Retraining Act (providing for advance notice in event of plant closings and mass layoffs).

Source: Department of Labor, www.irs.gov/pub/irs-pdf/p1779.pdf

New Employee Orientation Checklist

Purpose

Prior to an employee beginning work, prepare the department for the new employee. Prepare the work area by ensuring the employee will have all necessary supplies and equipment to perform his or her job duties. Prepare the staff by informing them that a new employee will be joining the department and when.

Intended Audience

Primary users: Human Resource and management professionals.

Secondary users: Employees and supervisors

How to Use the Form

1. Assess what training the new employee will need. Select and assign an appropriate trainer.
2. Welcome the new employee, introduce him or her to the staff members he or she will be working with.
3. Assign a knowledgeable and reliable employee to assist the new employee.
4. Make sure the employee receives a tour of the work facility and meets other employees in the company. Include a basic overview of the organization's departments and what they do and are responsible for. Make sure to include the locations of the restrooms, lunch area, etc.
5. Establish your working relationship with the new employee. Discuss company and department policies and procedures. Describe any office protocols.
6. Explain job responsibilities to the new employee. Explain how his or her job fits in with the department and with the organization. Discuss goals and objectives.
7. Set a reasonable pace for the orientation.
8. Keep the new employee in mind at all times.
9. Follow up on the new employee's progress. Make sure the employee is having a smooth transition into the workplace.

New Employee Orientation Checklist

Company's Logo	Company's Name		
Department Name:			
Employee Name:	Employee Position:	Employment ID:	Date of Employment:
Supervisor's Name:		Employment ID:	

Date: / /			
Before New Employee Arrives			
☐	Request office space, if necessary	☐	Request computer setup
☐	Request furniture, if necessary	☐	Request telephone and extension number
After New Employee Obtains ID Number			
☐	Request network ID and password	☐	Print necessary instructions
☐	Request email ID and password	☐	Request long distance phone call code, if necessary
☐	Request access to appropriate intranet folders and server	☐	Request voice mail password
Welcoming New Employee			
☐	Introduction to work group	☐	Post a notice on common lines to introduce new employee
☐	Tour department and important places	☐	Benefit orientation review with Human Resources
☐	Restrooms, break area, cafeteria, etc.		

(*Continued*)

Introduction to the Organization			
☐	History	☐	Tour of organization's important places.
☐	Mission of the organization	☐	Benefit orientation review with HR Dept.
☐	Provide copy of Employee Handbook.	☐	Provide employee benefit booklet.

Introduction to the Department			
☐	Purpose	☐	Organization of department
☐	Relation to other departments	☐	Procedures for leave, overtime, etc.
Introduction to the Job			
☐	Work space	☐	Injury prevention
☐	Work hours, breaks, attendance/ tardiness policy	☐	Reporting injuries
☐	Telephone number	☐	Job description
☐	Equipments, copier, fax machine, etc.	☐	Handling confidential information
☐	Mail	☐	Performance expectations/goals
☐	Emergency exits	☐	Promotions/transfers
☐	Safety/emergency procedures	☐	Duties and responsibilities
Training			
☐	Computer system and software	☐	Long-distance calls
☐	Telephone system and voicemail	☐	Photocopier code
☐	Staff common lines, classified folder, admin. folder, etc.	☐	Training opportunities

General			
☐	Time sheet/time card, if applicable	☐	Keys to office/building, if applicable
☐	Parking permit	☐	Purchasing procedures/check requests
☐	ID badge	☐	Bulletin board and newsletter

Employee's Signature: ________________________________ **Date:** / /

Supervisor's Signature: ________________________________ **Date:** / /

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PART TWO

TALENT MANAGEMENT AND DEVELOPMENT

Talent management is responsible for identifying the high potential employees in an organization. In this section, we address identifying high potentials and their various leadership styles. In addition, succession planning, career planning, career development, and a competency-based approach to human resource management will be explored. Several forms to support this process have also been included.

The second half of this section will focus on training and development. Training and development is accountable for developing individuals to optimize their ability to be most productive.

Learning programs are provided throughout all levels of the organization to ensure employees have the required skills, competencies, and tools to succeed in their jobs. This role ensures employees learn in multiple ways in both formal and informal learning environments. While managers often focus on training that leads to success in an immediate job, the training and development function measures itself by how well the organization equips employees at all levels of a person's career within the organization.

The uses for training and development forms range from administrative processing tasks such as reports about on-the-job training to client service satisfaction and needs analysis. The forms found in this part of the book include blended learning review, workshop evaluation, a training delivery checklist, and training evaluation. These forms enable a user to process, track, and review people participating in training and development programs, as well as check various elements of those training and development programs.

This section begins with identifying high potential (HiPo) and the importance of recognizing those individuals. We answer the question: "What does the term *talent* mean?" and explain the differences between *talent management* and *talent development*.

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WHAT IS A HIGH POTENTIAL (HiPo)?

William J. Rothwell

High potentials (HiPos) are sometimes called "high flyers" or "superstars." What does HiPo mean? We attempt to answer that question below.

Background Information

It is important to understand some background assumptions:

Assumption 1: Doing a good job at one level of the organization is no guarantee that an individual will do a good job at the next level. The performance requirements at each level—supervisor, manager, or executive—are distinctly different. To be a good executive requires competencies different from those required of a manager. Hence, success at one level does not guarantee success at the next level.

Assumption 2: Performance refers to a worker's success in his or her current job and at his or her current level of responsibility. *Potential* refers to a worker's capability to be successful at higher levels of responsibilities. Neither term is related to personal relationships—such as how much the boss likes the person. Instead, performance is related to how productive an individual is in achieving measurable results, and it can be objectively measured once the desired outputs of the job are clarified. Potential is related to how well an individual objectively measures up to the requirements of the next higher level on the organization's chart.

Assumption 3: Great care should be taken in assessing potential for the simple reason that managers view the world through their own biases. (See the earlier discussion under Potential.)

Assumption 4: Organizational leaders should take special care in managing HiPos for the simple reason that they embody the leadership future of the organization. Additionally, research suggests that HiPos may be as much as twenty times more productive than their "average" counterparts, and so the loss of one HiPo may be the equivalent of losing twenty people!

Of course, there is the old joke that the opposite of a HiPo is a PoPo—someone who is *pissed off and passed over*.

More seriously, though, the possible definitions of HiPos are those who:

- Are promotable to the next higher levels because they already meet competency demands of the next levels
- Are capable of promotion to two or more levels higher on the organization chart within five years, based on objective assessment such as an assessment center or a 360-degree assessment
- Are capable of being promoted to CEO at some time in their careers. (***Note:*** In some nations, it can be predicted with some certainty who will be in the pool of possible future CEOs based on family, political, or personal affiliations and the schools attended by the individual. For example, the royal family members of England do not start at the bottom and work their way up but are, instead, immediately eligible for senior positions based on their birthrights.)
- Are matched well to the organizational leaders' definition of a HiPo, which may be specialized. Indeed, an organization's leaders may define in advance what they regard to be essential to be considered a HiPo. Those people who measure up to those criteria are thus regarded as HiPos.

So What?

Why is the definition of a HiPo important?

Consider: organizational leaders have only so much time and money to devote to development. Like any investment, investing in people should be well-advised and well-considered. Investing in the development of some people is more likely to pay off than investing equally in everyone.

For this reason, then, knowing who are the HiPos makes it possible for organizational leaders to spend their training and development money wisely by investing in those who are likely to benefit the organization most in the future. In short, knowing who the HiPos are makes it easier to target development efforts effectively. It also shows organizational leaders how strong the organization's bench strength is so that they know when they must recruit from the outside if qualified internal candidates do not exist to fill current and future vacancies. One of the key steps to identifying HiPos is the management and development of talent.

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TALENT MANAGEMENT AND TALENT DEVELOPMENT: WHAT THEY ARE, AND WHY YOU SHOULD CARE

William J. Rothwell

Managers often use terms that have more than one meaning. That is the case with the terms "talent management" and "talent development." But what does the term *talent* mean? What are the differences between *talent management* and *talent development*? Why should you, as a manager, care about them? The following material addresses these questions.

What Is *Talent*?

The *Merriam-Webster Online Dictionary* defines *talent* to mean "the natural endowments of a person." It can also mean "a special, often creative or artistic aptitude" or "general intelligence or mental power" (www.m-w.com/cgi-bin/dictionary?va=talent).

The word *talent* has entered the management lexicon to recognize that not all people are created equal. Some people are simply more productive or creative than others. In the modern world, creativity is linked to the essence of competitive advantage—that is, innovation.

In management, talent can mean "the most productive people." It can also mean "the individuals most capable of advancement to higher levels of leadership responsibility" or "those whose special knowledge, creativity, and ability give the organization its competitive advantage."

In the modern world, the individual's ability to use his or her hands—physical prowess—is not prized. Instead, it is the individual's ability to think creatively. This ability to think creatively—to see what others have missed—yields competitive advantage.

It is what makes entrepreneurs found companies. It is what made Microsoft's founder Bill Gates the richest man in the world.

Talent means human capital. Talent means intellectual capital. But more than either of those, it means the best, most productive and creative people in an organization.

What Are Talent Management and Talent Development?

Are people born talented, or are their talents developed over time? (That is one version of the age-old question "Are leaders born or made?") The answer is "both." Talented workers are both born and made.

That poses special challenges for organizational leaders. Because the most productive people may be as much as twenty times more productive than their similarly trained, educated, and experienced peers, organizational leaders have a responsibility to "pick winners" through effective selection methods and "develop winners" by systematically grooming them. More than that, since 90 percent of an individual's development occurs on the job and through the work he or she does, developing talent also means managing talent on a daily basis. The challenge for managers who wish to realize the promise of talent management and talent development is to clarify what kind of characteristics distinguish superstar performers from average performers and then develop them.

Picking winners and developing winners is synonymous with talent management and talent development.

Why Care About Talent Management and Talent Development?

Managers have an obligation to get the best value for the money they invest on behalf of their organizations. That is as true for the human side of the business as it is for making investment decisions about machines, technology, or even capital. Systematically and strategically picking the best people and developing them to make them even more productive is not something to be put off until a rainy day.

It is not something that would be "nice to do" when time permits. It is, instead, *essential to gaining and sustaining competitive advantage*.

Conclusion

Successful organizations of the future will not be those with the most advanced technology or the most liquid capital. They will be those that are systematically managing and developing talent to gain and sustain competitive advantage. Unfortunately, today's managers—products of business schools that have repeatedly been criticized for not preparing managers to manage people—are ill-equipped to manage and develop talent. Smart leaders will see the need to do something about this problem and will implement talent management and talent development programs and will guide organizational efforts to manage and develop talent.

In addition to identifying talent, it is also key to recognize the potential leaders and various leadership styles. Explicit and implicit leaders can highly influence the direction of an organization as well as the organization's climate. The following section will discuss leadership.

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THE DIFFERENT LEADERSHIP STYLES

Aileen G. Zaballero and Jong Gyu Park

The debate about what makes a good leader has been going on for centuries. According to Plato, "The quality of leadership depends on a concerted social effort in which the education of promising youth assumes the key role in cultivating intellectual and moral virtues" (Bragues, 2007, p. 375). In 1513, Machiavelli wrote a book for incumbent and aspiring rulers to maintain power (Swain, 2002). In 1900s, Henri Fayol developed a general theory of management that became one of the most influential philosophies of management (Heames & Harvey, 2006). But one of the most significant contributions to defining the roles of leaders was Chester Bernard's theory of organization and the functions of executives. Bernard believed that the executive "carried out his functions in a cooperative and democratic manner rather than in a unilateral autocratic way" (Gehani, as cited by Heames & Harvey, 2006, p. 31).

Extensive leadership research began during World War II as an effort to develop better military leaders, which fostered the human relations movement (Kreitner & Kinicki, 2007). The Hawthorne studies identified individual needs, supportive supervision, and group dynamics as important contributors to job performance. Mayo and Follett wrote about employees as "complex combinations of attitudes, beliefs, and needs" (Kreitner & Kinicki, 2007, p. 8). And McGregor's Theory Y became the philosophical base for the modern view of employees as being responsible and creative (Kreitner & Kinicki, 2007). These studies "led researchers to identify patterns of behavior (leadership styles) that enabled leaders to effectively influence others" (Kreitner & Kinicki, 2007, p. 517).

Leadership Theories

Over the past few decades, a considerable number of studies have been conducted on various theories about what it takes to be an effective leader. These theories have practical value when used to better understand the characteristics of effective leaders and predict success.

Charismatic Leadership. Charismatic leaders motivate others to be enthusiastic and committed about their tasks. These leaders provide a clear vision and five employees the confidence to succeed. Charismatic leadership is thought to be individual personality traits that allow the leader to demonstrate extraordinary insight and inspire loyalty.

Transformational Leadership. Transformational leaders show members how important and valuable their work is. These leaders also help employees to exceed expectations by putting priority on organizational performance rather than self-interest. The employees are able to feel trust, admiration, loyalty, and respect toward the transformational leader. When leaders are able to anticipate, envision, maintain flexibility, think strategically, and initiate critical changes, they are considered to be transformational leaders.

Leader-Member Exchange (LMX). Leader-member exchange theory shows leaders how to develop symbiotic relationships with their followers. When followers share values and attitudes with leaders, the exchange is more favorable. When the relationship is favorable, usually the followers are more satisfied, more committed, and achieve greater results.

Servant Leadership. Servant leadership means leaders who listen to the needs of their followers carefully and try to help them become healthier, wiser, and more enthusiastic toward their work. Servant leaders do not dominate followers, but give them rights and responsibilities. Servant leaders are willing to sacrifice their own success while helping followers to develop their own competencies and accomplish their own tasks. Servant leaders trust followers and are honest and open and demonstrate consistent values.

Strategic Leadership. Strategic leadership is a leader's ability to anticipate, envision, maintain flexibility, think strategically, and initiate changes that will create a viable future for the organization. Strategic leadership is displayed by executives, top management teams, and board members who have overall responsibility for an organization's performance. Strategic leaders look to the future of the organization, helping organization members achieve desired performance.

Implications for Effective Leadership

The following implications for leadership come from the theories described above:

1. Leaders need to display integrity, being honest, trustworthy, and ethical. Great leaders also tend to have strong and charismatic personalities.
2. Humble and modest leaders receive more attention than heroic leaders do. People value leaders who are willing to reach out to those on other levels of the organization.
3. The relationship between leader and follower is very important. Effective followers are potential leaders themselves and contribute by supporting their leader. Face-to-face communication and personal networking are important.
4. No leader personality or traits fits all situations. Therefore, the most effective leaders focus on improving their styles and complementing other styles.

Because the leadership of an organization changes over time, it is important to consider succession planning that examines the organization chart both vertically and horizontally in order to identify successors for high-level positions, as the transfer of institutional memory is critical. The following section discusses the difference between management succession planning and technical succession planning.

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The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

THE DIFFERENCE BETWEEN MANAGEMENT SUCCESSION PLANNING AND TECHNICAL SUCCESSION PLANNING

William J. Rothwell

Say *succession planning*, and most managers think first of *replacement planning*. But they are not the same thing. While replacement planning assumes that positions on the organization chart will remain largely unchanged over time, succession planning focuses on developing people for future responsibility. Of course, the phrase *future responsibility* can actually be interpreted in more than one way. Individuals can be developed for promotion. Alternatively, people can be developed through receiving information about what others have learned from experience.

The reality is that interest in succession planning is largely driven by a globally aging workforce. About one in five senior executives in the Global Fortune 500 is currently eligible for retirement. When these executives leave their positions—and there is a correlation between income level and likelihood of taking retirement when eligible—their employers will lose not only employees who have successful track records but also their institutional memory. *Institutional memory* refers to understanding why past decisions were made the way they were.

Some institutional memory is also political, focusing on how to get things done in a unique organizational and national culture. Some institutional memory is technical, having to do with savvy about the proprietary technology of the business. In some organizations—high-tech firms, for instance—the institutional memory of engineers or other so-called "technical" workers may be as valuable, or even more valuable, than that of the senior executives.

For instance, suppose a cell phone manufacturer discovers that a high percentage of engineers who have worked on cell phone technology are retirement-eligible. The threat to the firm is profound: these engineers carry in their heads the collective wisdom gained over (possibly) generations of cell phone design and manufacturing. They will take that wisdom with them unless the organization finds practical ways to transfer their knowledge to their successors.

Consider another example. Leaders of pharmaceutical companies know that it can take many years to test, refine, roll out, and profit from a new drug. The investment in research and development accounts for most of the cost of a new drug. But suppose that most of the medical researchers working for a firm are retirement-eligible. When they leave, they take with them what they have learned from (possibly) years of experience about avenues of investigation. If no steps are taken to transfer their knowledge in practical ways, it is entirely possible that huge sums of investment funds will be lost.

Management succession planning focuses vertically on the organization chart. The goal is to prepare people for higher-level responsibility. Management succession has long been a focus. But technical succession planning looks horizontally at the organization chart. The goal is to transfer institutional memory from one individual to others over time. For some firms, it may be critically important for competitive advantage.

How do firms address technical succession planning so as to transfer institutional memory? There is no simple answer to that question, but one way is to encourage information sharing between those who have experience and those who are likely to succeed them. Another way is to focus attention on so-called technical competencies having to do with the unique technology of different functional areas of the business, and then find ways to develop them. A third way is to collect critical incidents and encourage systematic training and mentoring on how to address make-or-break situations that have come up in the past.

There are many ways to act on technical succession planning, but they require going beyond the familiar methods of management succession planning.

Both management succession planning and technical succession planning require understanding the career direction of employees. Many organizations have begun to sponsor career planning programs for their employees. The following section will discuss career planning and development.

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CAREER PLANNING AND DEVELOPMENT, AND WHY YOU SHOULD CARE ABOUT IT

William J. Rothwell

Many people wonder about the meaning of their lives. They don't know why they exist—or where they are going in the future. They have no clue what their lives hold in store, let alone what they want out of life. This confusion leads to difficulty in *life planning*, the process of deciding one's direction in life.

Living in Interesting Times

The Chinese have a curse: "May you live in interesting times."

And today's times are indeed interesting."

Social and business conditions don't make the quest for meaning or stability easy. Marriages break up; families lose touch with each other; and children move to other places to pursue their own opportunities. Family life in the first decade of this new millennium is complicated.

The same is true of business conditions. Business, and personal, bankruptcy rates remain high. Employee turnover, averaging about 14 percent in the United States in 2003, is likely to increase as business activity improves. Millions of jobs move to other countries. The result is that careers are more difficult to plan than in the past for the simple reason that business conditions are more tenuous than ever before. That means individuals must be sufficiently flexible to prepare for the average of five times they must change careers, not just jobs, over their working lives.

Getting the Terms Clear for Career-Related Issues

The term *career* has several different meanings. It can refer to the occupation for which you have been educated and trained; your job; your line of work or occupation; your specialty; or, in a religious sense, your "calling." *Career planning* is the process of formulating the direction of your career; *career assessment* is the process of comparing yourself to the requirements for making career advancement; and *career management* is an organization's efforts to help manage careers by laying out career paths that show relationships between jobs or levels on the corporate hierarchy and what training or other experiences and qualifications are needed to move forward—or upward.

Growing Interest in Career Programs

In recent years, many organizations have begun to sponsor career planning programs for their employees. That has not always been so. In the 1980s, when the first wave of downsizings hit corporate America and became all the rage, many first-rate career programs were eliminated for the simple reason that managers did not want employees to expect that they would have a career. But times have changed, and career management programs—sometimes called career planning and development programs—are making a decided comeback. And while there are many reasons for that, perhaps the most important one is that career programs are actually a *retention strategy*, a means to hold down voluntary turnover by giving people hope for the future and encouraging them to build their competencies in line with labor market and organizational needs. Being with a company for a long time is just not enough to guarantee success. Today's workers must learn and prepare themselves constantly if they are to remain employable and be considered for advancement opportunities in the future. And today's best-practice firms commit to career development programs as a way to retain first-rate workers, improve morale, and encourage people to develop themselves in line with the organization's future needs.

What Is the Individual's Responsibility in Career Planning?

It is *your* career, and so you have most of the responsibility for taking steps to decide what you want—and how you will achieve it. For that reason, individuals should follow a plan for their career efforts. Here are ten key steps for individuals to use:

- *Step 1*: Know yourself: Get clear what you like and don't like—and know what you want.
- *Step 2*: Gather information: Find out what career options exist that may dovetail with what you like.
- *Step 3*: Clarify what you know and establish clear career goals and milestones: Get clear on your key talents and what background, education, experience, training, and other characteristics may set you apart—and then leverage them.
- *Step 4*: Seek personal development, training, and education. On-the-job assignments give you experience, and what you learn develops you for performing your current job better and preparing for the future.
- *Step 5*: Network with others. There is some truth to the old saying that it is "who you know" and not so much "what you know" that leads to success. Find people who share your interests—and advertise your career goals so that others know what you want to do, why, and how you are qualified to do it.
- *Step 6*: Gain experience. Try out opportunities to build your competencies in line with what is needed for current and future success in your career.
- *Step 7*: Find a mentor or sponsor to help you. Go beyond networking to find individuals who have already succeeded in the career path you wish to pursue. Ask their advice on how you can prepare yourself. Then follow through and do what they tell you.
- *Step 8*: Decide how to pursue your career goals. Get the action steps that you will take very clear.
- *Step 9*: Find jobs—and don't be afraid to change jobs to build your competencies. Do not expect others to open doors wide. If you can't advance with your current employer, first talk to that employer about what you want to do to develop yourself in line with your career goals. But if your employer can't or won't help, then try to find an employer who will help.
- *Step 10*: Maintain flexibility. Timing and luck are indeed part of career planning. Bear that in mind. But recognize when opportunities arise and be bold enough to seize the advantage.

What Is the Organization's Responsibility in Career Planning, and What Are the Key Steps in Designing and Developing In-House Career Development Systems?

Organizations, as led by their managers, also have an important role to play in career planning and management. At a minimum, organizations should plan for their future talent needs, identify the competencies needed for success in all jobs and at all levels, and then sponsor training, education, and development efforts to help individuals realize their career goals while also meeting company needs. Managers who want to retain first-rate workers must commit to a planned effort to do so.

Managers should realize that organizational career management efforts do not just "happen." Nor is it wise to "assume" that talented people will succeed on their own without help. Like any other issue, career issues must be *managed*.

To establish an in-house career planning and development system to achieve that end, leaders of the organization should think in terms of taking a few important steps:

- *Step 1*: Clarify the organization's career philosophy. What specifically does the organization wish to achieve from career-related efforts? What is the philosophy on which such efforts will rest?
- *Step 2*: Gain commitment and clarify goals and objectives. Identify what measurable results are desired from the career program.
- *Step 3*: Design a program. Lay out a program that helps individuals meet their responsibilities. But also plan for the organization's future talent needs and make employees aware of the competencies essential for success in the organization.
- *Step 4*: Build support for the program. Don't expect everyone to greet a career program with open arms. Establish a plan to communicate about the program, share successes, and tell employees and managers alike what they stand to gain (and are gaining) from the program.
- *Step 5*: Roll out and implement the program. Pay attention to how the program is implemented. Follow-through is key.
- *Step 6*: Evaluate program results. Periodically document the results, both financial and nonfinancial, that the organization and its people have gained from the program. Then share that information with leaders and employees.

Conclusion

Career issues are becoming more important in the interesting times in which we live. While individuals have a responsibility in life and career planning, so do organizations and their leaders. One major reason that organizations should provide such programs is to retain the best (high potential) workers to meet future organizational talent needs.

Identifying and developing the employees of an organization is one function of human resource management (HRM). Utilizing competency-based HRM leverages the productivity of an organization by identifying the key differences between exemplary and average performers and then narrowing the gaps. Using a *competency model* describes everything done by a person who is successful in getting results by doing work. The following section will discuss competency-based human resource management.

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COMPETENCY-BASED HUMAN RESOURCE MANAGEMENT

William J. Rothwell

Leaders of organizations today are always looking for a competitive edge. In that quest, many organizational leaders have discovered a new, powerful way to reinvent human resource management: *competency-based human resource management*. But why is a new operating methodology needed for HR? What are competencies? Why is competency-based human resource management worth implementing? We address these questions next.

Why Is a New Methodology Needed for HR?

Job analysis is the foundation of all HR management. Job analysis is thus an operating system for HR, much like Linux is an operating system for a computer. The result of a job analysis is, of course, a *job description*, which literally describes the job that people do, and a *job specification*, which usually describes the minimum qualifications required of someone to be selected for a job.

The problem is that job descriptions are increasingly out of touch with today's working world. Job descriptions usually delineate what people do in a job. They tend to list work activities. But work activities change quickly in light of competitive conditions and technological change. Job descriptions usually do not clarify the *measurable work outputs*—that is, the final results—of the work and how it is measured. Instead, they focus on volatile work activities.

Additionally, job descriptions do not clarify what kind of person should do the work but instead speak in terms of the work activities that people do. When managers try to pick out people to do the work based on a job description, they have to translate what it says they should do (listed on the job description) and what kind of person is being chosen (not listed anywhere). As a result, managers often make mistakes in hiring.

What Are Competencies?

The term *competency* is sometimes a term in search of a meaning. The reality is that the best way to define a competency is as a characteristic of a successful performer. Competencies relate to the people who do the work, not, like job descriptions, to the work itself. Competencies lead to successful work results. Anything contributing to successful work results is thus a competency. A *competency model* is a narrative description of everything done by a person who is successful in getting results by doing work.

Competency models may be of two kinds. One describes the characteristics of a person who meets the minimum requirements. An example might be a person promoted from within. Selection may depend on picking someone who can adequately do what is required.

The second kind of competency model is tied to productivity improvement and competitive advantage. Research has shown that not all workers produce equal results. Some people are simply more productive than others. The most productive person in a job category is called the *exemplar*. Every job category or department has them. The exemplar may be as much as twenty times more productive than an average, but fully trained, performer in the same job category. That means that each exemplar may equal twenty workers!

If you ask, "How can that be? How can one person be as much as twenty times more productive than others?" then you are really looking for competency modeling to provide an answer. A competency model describes the most productive performer—the exemplar—and what makes that person so productive.

The stakes are high. If organizations could identify the differences between their merely successful and exemplary performers, then they might be able to achieve quantum leaps in productivity improvement. They might be able to save money by preserving productivity with fewer people.

Why Is Competency-Based Human Resource Management Worth Implementing?

If job analysis (and the resulting job descriptions) is the operating system for traditional HR management, then competency modeling (and the resulting competency models) is the operating system for *competency-based human resource management*. Competency-based HRM leverages the productivity of the organization by identifying the key differences between best-in-class (exemplary) and fully successful (average) performers and then narrowing the gaps.

Organizations can choose all or some of the following areas on which to focus their efforts:

- Career planning
- Compensation and benefits
- Orientation
- Performance management
- Recruitment
- Selection
- Training
- Workforce planning

The determining factor is prioritizing. The old adage that you cannot eat an elephant all at once, but you can eat an elephant one bite at a time applies here. It is not easy to transition from a traditional to competency-based approach. It must be done one bite at a time, perhaps one HR function at a time.

Conclusion

As the global economy spurs increasingly fierce competition, organizational leaders are thinking hard about what they can do to give their organizations a competitive advantage. Because people may be the most important resource, it makes sense to think how the management of people might be improved. Competency-based HR reinvents traditional HR (based on job analysis and job descriptions) to focus on leveraging the known productivity differences between average and best-in-class (most productive) performers.

In addition to attracting, retaining, and developing top performers, organizations must now look to the ethical decisions of their top leaders and performers. The following section will discuss values modeling.

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VALUES MODELING, AND WHY YOU SHOULD CARE ABOUT IT

William J. Rothwell

Values have to do with preferences, what we like or dislike. *Ethics* have to do with what we believe is right or wrong. Taken together, values and ethics encompass the dimension of morality, which is sometimes sadly lacking in modern management. After Enron, Global Crossing, WorldCom, and many other corporate scandals, corporate leaders have become focused on addressing ethical and values-oriented issues as never before.

So what is values modeling, and how does it relate to so-called *competency modeling*? Why is values modeling important? How is it carried out? And why is it worth thinking about? We address these key questions below.

How Does Value Modeling Relate to Competency Modeling?

As corporate leaders plan for their future succession and talent management needs, they must clarify what kind of people they want to occupy leadership roles in the future.

Historically, that has been the purpose of competency modeling. *Competencies*, themselves subject to much confusion, describe the type of people needed for the future. *Competency modeling* is the process of identifying the characteristics of people needed to meet an organization's future talent needs. Competency modeling is necessary to ensure that organizations avoid the well-known mistakes of cloning current leaders, which may not meet future organizational demands and strategic objectives, which may require people who are very different from the organization's current leaders.

But competencies center on the characteristics that lead to successful performance. They are centered on getting results. The trouble is that getting results and being ethical are not the same thing. Mixing them together can lead to confusion. Indeed, a stockbroker who breaks all the laws administered by the U.S. Securities and Exchange Commission may be the best performer, but he or she will not be successful for the simple reason that breaking the law—or being immoral—is not conducive to long-term success.

It is just not enough to mix values, ethics, and competencies together, as many organizations are doing now. Values and ethics are really constraints or limiters on performance rather than being elements of it, so they must be separately considered.

Values modeling applies the same research-based approaches to describing people that competency modeling does. The key difference is that values modeling centers on the ethics and values of performers rather than their output requirements.

Why Is Values Modeling Important?

Organizations can no longer afford to select, promote, or retain unethical leaders. But assessing people for ethics is not the same as assessing them for performance. Values and ethical standards must be based on actual ethical dilemmas facing organizations, rather than a list of such buzzwords as customer service, teamwork, and total quality.

Value modeling is essential for leaders because customers, suppliers, distributors, and stockholder expect moral and ethical leaders, as well as competent leaders. Only with ethical leaders will organizations inspire trust and stockholder confidence.

How Is Values Modeling Carried Out?

Values modeling can be carried out in the same way as competency modeling is. Instead of discovering the individual characteristics that are linked to successful performance and results—competency modeling—values modeling examines the individual characteristics that are linked to moral and ethical performance.

Some believe that competency modeling can be much the same as making a purchasing decision. Leaders can acquire competencies by buying them, buying and modifying them, or making them. If leaders *buy* them, that means they take them from other sources and simply plug them in their organizations. If leaders *buy and modify* them, they find similar organizations and adapt the competencies for use in their own organization's culture. If leaders *make* them, they build them from scratch by researching what their organization needs in the way of competencies and then hiring to fit them.

Values modeling can work the same way. Leaders may acquire values and ethical standards from other organizations; they can acquire them and then modify them for their own organization's culture; or they can seek them within their own organizations.

Once desired values have been determined, leaders can be assessed against them. The desired values can be used in making developmental recommendations and in making hiring, selection, and retention decisions.

Why Is Values Modeling Worth Thinking About?

Competency models are not enough for the simple reason that performance is not enough. Managers can be outstanding performers—and still be unethical or immoral. Organizations of the future cannot afford to have such leaders if they are to inspire shareholder confidence and avoid intrusive government regulation. Hence, it is essential that organizations begin applying value modeling approaches to supplement their competency-based approaches.

Conclusion

Think about it. Is it enough to have competent leaders who know how to perform? Or is it also essential to have moral and ethical leaders who serve as role models for those they lead? And if it is essential to have moral and ethical leaders, isn't it also important that those leaders behave in ways that are consistent with the laws, rules, and regulations of the societies in which they function?

I believe the answer to these questions is "of course." The answer is value modeling, which is essential now—and will grow even more important in the future.

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TALENT MANAGEMENT FORMS

Talent Management Form

Purpose

The Talent Management Form can be used by those seeking to manage talent or future executives. This form should be completed by the manager of a candidate for promotion. The items can be modified based on the situation.

Intended Audience

Primary users: Executives or HR officials in charge of talent management

How to Use the Form

1. Managers who want to nominate an employee for promotion complete the form and submit it to executives or HR professionals responsible for talent management.
2. Evaluate the nomination.
3. Keep a copy of the form as a supporting document for current selections or for future review.

Talent Management Form

General Information

Candidate's name: ____________________ Date of employment: ____________________

Title: ____________________ Department: ____________________

Appraisal History (Past Three Years)

Year	Official Record	Comments

Performance	Leadership	Development	Overall Rating

Recognition Awarded (During Entire Employment)

Year	Official Record	Comment

Special Contributions (Including Examples)

Leadership Competencies (Including Examples)

Career Needs (Including Examples)

Other Important Comments

Signatures

Candidate ____________________ Date ____________________

Manager ____________________ Date ____________________

Succession Planning Form

Purpose

Succession planning enables an organization to identify talented employees and provide training and development opportunities to prepare them for future higher level responsibilities. Some methods that can be used to ready employees for further advancement include 360-degree feedback, performance management systems, and mentoring programs.

Intended Audience

Primary user: Executives of the organization

Secondary user: Human Resources

How to Use the Form

1. Identify executives/managers coming up for retirement/job termination.
2. Identify competencies necessary for the position.
3. Determine possible choices for the position from within the organization.
4. Provide training and development opportunities for those individuals identified as potential organizational leaders.

Succession Planning Form

Department: ____ Date: ______________________

Name of person leaving position: ____

Estimated Date of Vacancy	Number of Staff Ready Now	Number of Staff Ready in One or Two Years	Name(s) of Potential Candidate(s)	Competencies Needed	Development Plan

Career Development Education Planning Form

Purpose

The Career Development Education Planning Form can be used by organizations that want a formal system for developing employees. This form will assist employees with educational strategies for career development. Using this form, employees can describe their career goals. An interviewer (or advisor) who may be a HRD professional or supervisor then provides expert advice. The interviewer should provide information about required competencies, knowledge, and skills for jobs in the organization, as well as internal and external education sources. To fill out this form, other HR evaluation results (performance review, competency assessment) can be utilized. The form can be added or modified based upon situations unique to an organization.

Intended Audience

Primary users: Human Resource and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Schedule an interview with the employee.
2. Utilize other HR evaluation results to fill out this form.
3. Clearly provide required competency, knowledge, and skill information for specific jobs.
4. Examine the career goals of the employee through in-depth discussion.
5. Set specific education plans based on discussed career goals and sign the form.

Career Development Education Planning Form

Employee: ______________________________ Interviewer: ___________________________
Department: ____________________________ Department: ___________________________
Title: ________________________________ Title: ________________________________
Position: ______________________________ Position: _____________________________
Tenure: _______________________________ Tenure: ______________________________

Level

E = Excellent: Significantly exceeds expectations
G = Good: Exceeds expectations
A = Average: Meets expectations
F = Fair: Partially meets expectations
P = Poor: Does not meet expectations

1. COMPETENCY OF CURRENT JOB

Common Competency	L*	Leadership Competency	L	Current Job Competency	L

*level

2. KNOWLEDGE AND SKILL OF CURRENT JOB

Knowledge	Expected L	Current L	Skill	Expected L	Current L

3. DEVELOPMENT STRATEGY

Area for Development	Goal L	Strategy

4. CAREER GOAL

Desired job/position: ____

Long-term goal (within 10 years): ____________________________________

Short-term goal (within 1 to 3 years): _________________________________

5. COMPETENCY OF DESIRED JOB

Self-evaluation/focus on short-term goal

Common Competency	L	Leadership Competency	L	Desired Job Competency	L

6. KNOWLEDGE AND SKILL OF DESIRED JOB

Focus on short-term goal

Knowledge	Expected L	Current L	Skill	Expected L	Current L

7. DEVELOPMENT STRATEGY

Focus on short-term goal

Area for Development	Goal L	Strategy

8. EDUCATION PLANNING

Expected Education Area	Course Title	I or E*	O or Off or B**

***Internal or External Education / ****Online, Offline, or Blended

9. COMMENTS ON LONG-TERM GOAL

Interviewer: Give advice for education and other strategies.

Employee: Self-development and other plans.

Employee's Signature ____________________ Date __________

Interviewer's Signature ____________________ Date __________

Department Head's Signature ____________________ Date __________

Competency Modeling Form

Purpose

Competencies are behaviors that reflect a person's knowledge, skills, and approach that are required for successful performance. The competency modeling form can be used to identify specific behaviors that support successful job performance.

Intended Audience

Primary users: Department managers and Human Resources

How to Use the Form

1. The form provides a common set of competency terms that can be used to describe types of behaviors required for successful job performance. The behaviors describe the observed actions by a person that are required in order to be a successful performer. The last column is used to identify the competencies and behaviors observed for a job. Each job will have a unique set of competencies and behaviors.

CONTRIBUTION LEVEL I

Competency	Behavior	Required in the Current Job
Customer Engagement	Addresses customer needs by involving the right people (resources) at the right time.	
Customer Engagement	Focuses questions to identify customer needs.	
Customer Engagement	Meets or exceeds customer service needs and reports barriers.	
Customer Engagement	Responds quickly and follows up with customers.	
Customer Engagement	Seeks feedback from customers.	
Decision Making	Addresses issues in a timely way.	
Decision Making	Considers the impact or consequences of actions and decisions.	
Decision Making	Use consistent rules and procedures in decision making.	
Decision Making	Use logic and common sense when making decision of taking actions	
Drive	Actively works in ways to accomplish desired results.	
Drive	Identifies what needs to be done and does it.	
Drive	Shows strong commitment to achieving results.	
Drive	Works until goals are completed.	
Growth	Accepts and uses feedback as a learning activity.	
Growth	Deals constructively with mistakes.	
Growth	Recovers quickly from challenges and setbacks.	
Growth	Seeks opportunities to develop new knowledge and skills.	
Improvement	Accurately reports process improvement data.	
Improvement	Carefully monitors the accuracy and quality of outputs, products, and services.	
Improvement	Makes suggestions to address problems and process breakdowns.	
Improvement	Suggests process and practice improvement ideas.	

(*Continued*)

CONTRIBUTION LEVEL I (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Integrity	Acts consistently within policies and practices.	
Integrity	Assumes responsibility for all actions.	
Integrity	Deals honestly with people.	
Integrity	Maintains confidential information.	
Integrity	Meets commitments.	
Intercommunication	Communicates clearly and concisely.	
Intercommunication	Keeps others informed.	
Intercommunication	Listens carefully to others.	
Intercommunication	Provides appropriate level of detail in communications.	
Job Performance	Asks questions to clarify assignments and priorities.	
Job Performance	Deals with high-priority work activities first.	
Job Performance	Makes sure work is done correctly.	
Job Performance	Surfaces problems and issues with speed and accuracy.	
Resourcefulness	Develops new approaches to achieve business results.	
Resourcefulness	Encourages and adopts new ways of looking at problems, processes, or solutions.	
Resourcefulness	Finds ways to extend and apply innovative ideas to enhance business results.	
Resourcefulness	Uses new technologies and practices.	
Resourcefulness	Utilizes new technologies, methods, tools, and practices.	
Team Work	Builds relationships by identifying and talking about common interests and priorities.	
Team Work	Engages others in an accepting and respectful way regardless of their personality or background.	
Team Work	Involves others as appropriate when issues affect them.	
Team Work	Remains positive and respectful even in difficult situations.	

CONTRIBUTION LEVEL II

Competency	Behavior	Required in the Current Job
Agility	Demonstrates flexibility and resilience in response to obstacles, constraints, adversity, and mistakes.	
Agility	Invites and incorporates feedback without becoming defensive.	
Agility	Readily and resourcefully adapts to changing needs, conditions, priorities or opportunities.	
Agility	Seeks opportunities to acquire new knowledge and skills.	
Analysis	Analyzes problems and issues from different points of view.	
Analysis	Breaks down problems into manageable components.	
Analysis	Gathers and analyzes the most critical information needed to understand problems.	
Analysis	Probes and looks past symptoms to determine the underlying causes of problems and issues.	
Analysis	Readily recognizes problems requiring attention.	
Business Acumen	Builds support for ideas among key decision-makers.	
Business Acumen	Ensures that positions address the needs and priorities of others.	
Business Acumen	Presents a persuasive rationale for positions.	
Business Acumen	Promotes or asserts positions and ideas with confidence and enthusiasm.	
Continuous Improvement	Analyzes challenges, problems, and process breakdowns to learn from them.	
Continuous Improvement	Ensures that outputs, products, and services are of high quality.	
Continuous Improvement	Identifies and communicates opportunities to improve processes and practices.	
Continuous Improvement	Uses appropriate metrics and data to monitor and improve processes and practices.	
Customer Focus	Accurately identifies customer requirements, expectations, and needs.	
Customer Focus	Addresses customer needs by involving the right people (resources) at the right time.	

(*Continued*)

CONTRIBUTION LEVEL II (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Customer Focus	Continually searches for ways to improve customer service and remove barriers to service.	
Customer Focus	Follows up with customers to ensure problems are solved.	
Customer Focus	Seeks feedback from customers to identify improvement opportunities.	
Delivery	Acquires the authority, support, and information needed to carry out work.	
Delivery	Anticipates and works to remove obstacles to achieving quality results in a timely manner.	
Delivery	Holds self accountable for complying with policies, procedures, and work requirements.	
Delivery	Prioritizes and balances time, actions, resources, and initiatives to ensure results are achieved.	
Innovative	Adopts and leverages fresh perspectives, breakthrough ideas, and new paradigms to create value in the market.	
Innovative	Encourages and adopts new ways of looking at problems, processes, or solutions.	
Innovative	Finds ways to extend and apply innovative ideas to enhance business results.	
Innovative	Utilizes new technologies, methods, tools, and practices.	
Integrity	Acts in accordance with stated policies and practices.	
Integrity	Does not cover up problems or blame others for mistakes.	
Integrity	Does not disclose confidential information.	
Integrity	Follows through on commitments.	
Integrity	Is honest and direct in dealing with people.	
Internal Relations	Appropriately involves others in decisions and plans that affect them.	
Internal Relations	Builds collaboration by identifying and conveying common interests and priorities (including removing barriers and breaking down silos).	
Internal Relations	Builds relationships with people across a variety of functions within the organization.	

CONTRIBUTION LEVEL II (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Internal Relations	Maintains positive relationships even under difficult circumstances.	
Internal Relations	Relates to others in an accepting and respectful manner regardless of their organizational level, personality, or background.	
Judgment	Applies accurate logic and common sense in making decisions and coming to conclusions.	
Judgment	Chooses courses of action or makes decisions that are consistent with policies, procedures, and rules.	
Judgment	Makes timely decisions on problems/issues requiring immediate attention.	
Judgment	Recognizes the implications and risks of actions and decisions.	
Measureable	Demonstrates an understanding of the use, interpretation, and impact of key quantitative/financial measures.	
Measureable	Draws accurate conclusions from quantitative information.	
Measureable	Uses quantitative information to guide actions and performance.	
Measureable	Uses the most appropriate financial and quantitative indicators to measure business performance.	
Organizational Communication	Communicates information clearly, concisely, and professionally.	
Organizational Communication	Listens carefully and attentively to others' opinions and ideas.	
Organizational Communication	Prepares and delivers coherent and credible presentations.	
Organizational Communication	Provides timely, relevant information to those who need it.	
Organizational Communication	Tailors communication style and content to the audience.	
Planning	Aligns personal work plans with plans and initiatives of own and other work units.	
Planning	Develops realistic plans (action steps, timelines) to accomplish objectives.	

(*Continued*)

CONTRIBUTION LEVEL II (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Planning	Identifies and obtains resources (such as funding, equipment, support) needed to accomplish objectives.	
Planning	Identifies risks and assumptions in plans.	
Production	Demonstrates a strong sense of ownership and a commitment to achieving meaningful results.	
Production	Initiates timely action to address important issues.	
Production	Pursues initiatives/efforts to successful completion and closure.	
Production	Puts in persistent efforts to accomplish desired results.	
Strategic Approach	Evaluates and pursues opportunities based on their fit with organizational strategies and priorities.	
Strategic Approach	Identifies efforts with the greatest strategic impact on the business.	
Strategic Approach	Identifies issues related to emerging customer and market needs.	
Strategic Approach	Pursues priorities that capitalize on strengths, increase potential benefits, and minimize risk.	

CONTRIBUTION LEVEL III

Competency	Behavior	Required in the Current Job
Accountable for Delivery	Anticipates and addresses obstacles, redirecting efforts to accelerate work or improve quality.	
Accountable for Delivery	Ensures one acquires the authority, sponsorship, support, and information needed to achieve established or emerging objectives.	
Accountable for Delivery	Holds self and team accountable for outcomes (for example, achieving goals and complying with policies and procedures).	
Accountable for Delivery	Prioritizes and balances time, actions, resources, and initiatives to ensure achievement of critical goals.	
Continuous Learning	Adapts to changing needs, conditions, priorities, or opportunities.	
Continuous Learning	Demonstrates flexibility and resilience in response to obstacles, constraints, adversity, and mistakes.	
Continuous Learning	Invites and incorporates feedback without becoming defensive.	
Continuous Learning	Seeks opportunities to learn from new discoveries, innovations, ideas, and ways of looking at things.	
Credibility	Acts in accordance with stated policies and practices.	
Credibility	Follows through on commitments.	
Credibility	Is honest and direct in dealing with people.	
Credibility	Protects confidential information.	
Customer Attention	Continually searches for ways to improve customer service, including the removal of barriers and providing solutions.	
Customer Attention	Ensures follow-up with customers to certify that the resolution of problems maintains customer satisfaction and loyalty.	
Customer Attention	Identifies and anticipates customer requirements, expectations, and needs.	
Customer Attention	Seeks and integrates customer feedback from a variety of sources to identify improvement opportunities.	

(*Continued*)

CONTRIBUTION LEVEL III (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Focus on Optimality	Analyzes challenges, problems, and process breakdowns to ensure that lessons are learned and improvements are made.	
Focus on Optimality	Demonstrates a strong sense of ownership and a commitment to achieving meaningful results.	
Focus on Optimality	Drives initiatives/efforts to successful completion and closure.	
Focus on Optimality	Focuses efforts on continuously improving the processes and practices that create the most value.	
Focus on Optimality	Initiates decisive, timely action to address important issues.	
Focus on Optimality	Optimizes and integrates processes and operations to ensure high quality and service.	
Focus on Optimality	Puts in persistent efforts to accomplish desired results.	
Focus on Optimality	Uses appropriate metrics and data to monitor and improve processes and practices.	
Focused Communication	Communicates information clearly, concisely, and professionally.	
Focused Communication	Listens actively, reflects, and summarizes others' comments to future understanding.	
Focused Communication	Prepares and delivers coherent, highly credible, and engaging presentations that have impact.	
Focused Communication	Proactively shares timely updates and information with relevant parties.	
Focused Communication	Tailors communication style and content to the audience.	
Focused Communication	Writes even technical concepts and information clearly and thoroughly for technical and non-technical audiences.	
Foundational Judgment	Chooses the best alternative(s) based on a review of pros, cons, tradeoffs, timing, and probabilities.	
Foundational Judgment	Evaluates the consequences and implications of alternatives, actions, or decisions.	
Foundational Judgment	Makes logical, rational, and integrative decisions and arrives at sound conclusions.	
Foundational Judgment	Makes timely decisions, balancing analysis with decisiveness.	

CONTRIBUTION LEVEL III (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Goal Oriented	Anticipates risks and builds contingency plans to manage them.	
Goal Oriented	Develops realistic plans (e.g., action steps, timelines) to accomplish objectives.	
Goal Oriented	Identifies, obtains, and allocates resources (e.g., funding, equipment, processes, staffing) needed to accomplish objectives.	
Goal Oriented	Translates business/function strategies into plans and objectives that are aligned and integrated (across work units).	
Open to Others	Builds a broad base of support among key decision-makers and influencers.	
Open to Others	Develops and articulates a compelling rationale for positions.	
Open to Others	Ensures that positions satisfy the needs, interests, and concerns of key stakeholders.	
Open to Others	Promotes or asserts positions with confidence and enthusiasm.	
Partner Development	Appropriately involves others in decisions and plans that affect them.	
Partner Development	Builds collaboration by identifying and conveying common interests and priorities (including removing barriers and breaking down silos).	
Partner Development	Cultivates a network of people across a variety of disciplines and functions within the organization.	
Partner Development	Maintains positive relationships even under difficult or heated circumstances.	
Partner Development	Relates to others in an accepting and respectful manner regardless of their organizational level, personality, or background.	
Quantitative Assessment	Critically evaluates the appropriateness of quantitative/financial techniques for the business issues being addressed (including the validity of assumptions).	
Quantitative Assessment	Demonstrates an understanding of the use, interpretation, and impact of key quantitative/financial measures.	

(*Continued*)

CONTRIBUTION LEVEL III (*CONTINUED*)

Competency	**Behavior**	**Required in the Current Job**
Quantitative Assessment	Integrates quantitative and qualitative information to draw accurate conclusions.	
Quantitative Assessment	Uses quantitative/financial information effectively to assess, manage, improve, and report business performance.	
Strategic Approach	Evaluates and pursues initiatives, opportunities, and priorities based on their fit with organizational strategies.	
Strategic Approach	Identifies efforts with the greatest strategic impact, balancing both short- and long-term concerns.	
Strategic Approach	Identifies issues related to emerging customer and market needs.	
Strategic Approach	Pursues priorities that capitalize on strengths, optimize potential benefits, and minimize risk.	
Systematic Analysis	Approaches problems or issues systematically, looking for connections, trends, and potential causes.	
Systematic Analysis	Defines issues clearly despite incomplete or ambiguous information.	
Systematic Analysis	Identifies the key issues in complex or ambiguous problems.	
Systematic Analysis	Integrates information from a variety of sources to arrive at a broad understanding of issues.	
Systematic Analysis	Probes and looks past symptoms to determine the underlying causes of problems and issues.	
Utilizes Innovation	Adopts and leverages fresh perspectives, breakthrough ideas, and new paradigms to create value in the market.	
Utilizes Innovation	Encourages and adopts new ways of looking at problems, processes, or solutions.	
Utilizes Innovation	Finds ways to extend and apply innovative ideas to enhance business results.	
Utilizes Innovation	Utilizes new technologies, methods, tools, and practices.	

CONTRIBUTION LEVEL IV

Competency	Behavior	Required in the Current Job
Apply Astute Judgment	Applies cross-disciplinary knowledge, information, and expertise to address critical issues.	
Apply Astute Judgment	Critically and logically evaluates the consequences and implications of alternatives, actions, or decisions.	
Apply Astute Judgment	Makes logical, integrative, and insightful decisions and comes to sound conclusions to deal with complex challenges.	
Apply Astute Judgment	Makes timely decisions, balancing analysis with decisiveness.	
Communicate with Impact	Communicates effectively to a wide variety of audiences at all organizational levels.	
Communicate with Impact	Communicates information clearly, concisely, and professionally.	
Communicate with Impact	Listens actively, reflects, and summarizes others' comments to ensure understanding.	
Communicate with Impact	Prepares and delivers coherent, highly credible, and engaging presentations that have impact.	
Communicate with Impact	Proactively shares timely updates and information with relevant parties.	
Communicate with Impact	Writes even highly technical concepts and information clearly and thoroughly for technical and non-technical audiences.	
Contribute to Function/Discipline Strategy	Evaluates and pursues initiatives, opportunities, and priorities based on their fit with organizational strategies.	
Contribute to Function/Discipline Strategy	Identifies issues related to emerging customer and market needs.	
Contribute to Function/Discipline Strategy	Identifies own and professional efforts with the greatest strategic impact, balancing both short- and long-term concerns.	
Contribute to Function/Discipline Strategy	Pursues priorities that capitalize on strengths, optimize potential benefits, and minimize risk.	
Derive Quantitative Implications	Draws deep insights, accurate conclusions, and ongoing implications from the integration of quantitative and qualitative information.	

(*Continued*)

CONTRIBUTION LEVEL IV (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Derive Quantitative Implications	Ensures the appropriateness of quantitative/ financial techniques for the business issues being addressed (including the validity of assumptions).	
Derive Quantitative Implications	Grasps the full meaning of key quantitative/ financial indicators (including patterns, trends, and interrelationships).	
Derive Quantitative Implications	Recognizes and uses subtle quantitative/financial patterns and trends to anticipate events, draw insights, and make projections.	
Develop Collaborative Relationships	Appropriately involves others in decisions and plans that affect them.	
Develop Collaborative Relationships	Builds collaboration by identifying and conveying common interests and priorities (including removing barriers and breaking down silos).	
Develop Collaborative Relationships	Builds connections and partnerships across industries, functions, and disciplines.	
Develop Collaborative Relationships	Maintains positive relationships even under difficult or heated circumstances.	
Develop Collaborative Relationships	Relates to others in an accepting and respectful manner regardless of their organizational level, personality, or background.	
Drive Functional/ Discipline Success	Demonstrates a strong sense of ownership and commitment to achieving meaningful short- and long-term results.	
Drive Functional/ Discipline Success	Drives initiatives/efforts to successful completion and closure.	
Drive Functional/ Discipline Success	Initiates decisive, timely action to address important issues.	
Drive Functional/ Discipline Success	Puts in persistent efforts to accomplish desired results.	
Model Agility and Learning	Constructively and resourcefully adapts to changing needs, conditions, priorities, or opportunities.	
Model Agility and Learning	Demonstrates flexibility and resilience in response to obstacles, constraints, adversity, and mistakes.	
Model Agility and Learning	Invites and incorporates feedback without becoming defensive.	

CONTRIBUTION LEVEL IV (*CONTINUED*)

Competency	Behavior	Required in the Current Job
Model Agility and Learning	Seeks opportunities to learn from new discoveries, innovations, ideas, and ways of looking at things.	
Optimize Execution	Anticipates and addresses obstacles, redirecting efforts to accelerate work or improve quality.	
Optimize Execution	Ensures one acquires the authority, sponsorship, support, and information needed to achieve established or emerging objectives.	
Optimize Execution	Holds self and team accountable for outcomes (such as achieving goals and complying with policies and procedures).	
Optimize Execution	Prioritizes and balances time, actions, resources, and initiatives to ensure achievement of critical goals.	
Optimize Systems	Analyzes problems and process breakdowns to ensure that lessons are learned and improvements are made.	
Optimize Systems	Develops and uses new metrics and benchmark data to monitor and improve processes and practices.	
Optimize Systems	Focuses efforts on continuously improving the processes and practices that create the most value.	
Optimize Systems	Optimizes and integrates processes and operations to ensure high quality and service.	
Perform Insightful Analysis	Approaches problems from a systems perspective, defining connections, linkages, and interdependencies.	
Perform Insightful Analysis	Defines complex issues clearly despite incomplete or ambiguous information.	
Perform Insightful Analysis	Focuses on the crux of issues and identifies high-leverage intervention points and strategies.	
Perform Insightful Analysis	Identifies the common core causes and issues underlying a variety of problems.	
Perform Insightful Analysis	Synthesizes information from a variety of sources or disciplines to arrive at a broader, deeper understanding of issues.	
Plan for Results	Anticipates risks and builds contingency plans to manage them.	
Plan for Results	Establishes appropriately aggressive, yet realistic plans (action steps, timelines) to accomplish objectives.	

(*Continued*)

CONTRIBUTION LEVEL IV (*CONTINUED*)

Competency	**Behavior**	**Required in the Current Job**
Plan for Results	Identifies, obtains, and allocates resources (funding, equipment, processes, staffing) needed to accomplish objectives.	
Plan for Results	Translates business/function strategies into plans and objectives that are aligned and integrated (for example, across work units).	
Product Innovative Customer Solutions	Continually searches for ways to improve customer service, including the removal of barriers and providing solutions.	
Product Innovative Customer Solutions	Ensures follow-up with customers to certify that the resolution of problems maintains customer satisfaction and loyalty.	
Product Innovative Customer Solutions	Gathers and internalizes rich customer feedback, using it to generate innovative solutions that fill core or future needs.	
Product Innovative Customer Solutions	Identifies and anticipates customer requirements, expectations, and needs.	
Pursue Innovation	Anticipates the evolution and future of the industry and how one's discipline can use this understanding to enhance competitiveness.	
Pursue Innovation	Generates and aggressively pursues fresh perspectives, breakthrough ideas, and new paradigms to create value for the organization.	
Pursue Innovation	Identifies long-term, future needs and opportunities for the discipline, function, and business.	
Pursue Innovation	Leverages leading-edge technologies, processes, tools, and practices to contribute to the organization's future.	
Use Influence Based on Expertise	Advocates for positions firmly, but appropriately, without pushing or compromising positions too much.	
Use Influence Based on Expertise	Builds a broad base of support among key decision makers and influencers.	
Use Influence Based on Expertise	Develops and articulates a compelling rationale for positions.	
Use Influence Based on Expertise	Ensures that positions satisfy the needs, interests, and concerns of key stakeholders.	

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

TRAINING AND DEVELOPMENT FORMS

On-the-Job Training (OJT) Reporting Form

Purpose

The OJT Reporting Form can be used by employees in any organization who need to report on the OJT programs they attend with regard to the course information, results, and other important aspects. This form can be used as a tool for evaluation of the effectiveness of OJT programs by HRD managers in the organization. The items in this form can be added to or modified as required.

Intended Audience

Primary user: OJT trainees in the organization

Secondary user: HRD managers in the organization

How to Use the Form

1. Let trainees fill in the form after returning from an OJT program.
2. Analyze the report.
3. Use the data for evaluation of the effectiveness of an OJT program.

On-the-Job Training (OJT) Reporting Form

General Information

Participant's Name: ________________________ Date of Training: ____________

Provider's Name and Location: ____

Training for the following tasks:

- ❏ Administration
- ❏ Basic process
- ❏ Rules and regulations
- ❏ IT application
- ❏ Best practices
- ❏ Service manuals
- ❏ Troubleshooting
- ❏ Other

Course Description

Objectives: ____

Major contents: ____

Reference material: ____

Important take-away: ____

Instructor (name, position, etc.)

____

____

Results

Observation: ______________________________

Testing: ______________________________

Follow-Up: ______________________________

Other: ______________________________

The training described above is significant and appropriate for proper service.

Signature: ________________________ Date: ____________

Training occurred as described.

Officer in charge: ________________________ Date: ____________

Blended Learning Program Review Form

Purpose

The Blended Learning Program Review Form can be used by organizations that want to assess current blended learning programs and their related support systems. This form allows the training organization to not only check necessary points to construct an advanced environment for blended programs but also to review the diverse aspects of systems that support blended learning programs. HRD professionals can add to or modify the form as desired.

Intended Audience

Primary users: Human Resource and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Decide appropriate subjects to fill out this form.
2. To discuss the results, appoint a review committee that includes diverse stakeholders such as HR/HRD professionals, instructors, students, other managers.
3. Based on the discussion, establish strategies to construct a better environment for blended learning.

Blended Learning Program Review Form

Name of Reviewer (*Optional*): ________________________________

Position: ____

Program Title: ____

Name of Instructor: ____

1 = Strongly Disagree
2 = Disagree
3 = Slightly Disagree
4 = Neither Agree Nor Disagree
5 = Slightly Agree
6 = Agree
7 = Strongly Agree
NA = Not Applicable

Please rate each item according to the scale above by writing the appropriate number in front of that item and then writing your comments. If you don't believe that a statement is applicable, write NA.

Institutional

1. The organization is well prepared and has a good infrastructure to support the program.
2. Related departments are effectively collaborating with each other to manage the policies and administrations for the program.
3. The organization has considered learners' needs in designing the program.

Comments

Pedagogical

1. Learning goals of the program meet with learners' perspectives.
2. Online and face-to-face are appropriately interwoven to accomplish the program's purpose.
3. The program's content is appropriate to meet with learners' needs and program's purpose.
4. Online and face-to-face activities contribute to construct knowledge and solve problems.

Comments

Instructional/ Interface Design

1. The specific syllabus of the program is provided (including a description of the course, course goals, materials, completion requirements with clear due dates, expectations for student performance, clear timeline for face-to-face and online activities, turnaround times for feedback, availability of instructor, rationale for blended delivery, minimum computer requirements, and instructor contact information).
2. The program design promotes interaction among learners and between learners and instructor.
3. The program is designed to facilitate online and face-to-face discussions based on the program's purpose and goals.
4. Friendly and supportive language is used in written materials.
5. The program allows learners to assimilate both online learning and the lectures equally well.
6. Clear, concise directions for assignments and assessments are given.
7. Additional materials are regularly updated.
8. Learners receive regular feedback on performance with enough time to adjust drafts of papers or projects.

Comments

Technological

1. Easy access to the server is provided.
2. Learners' security is guaranteed.
3. Appropriate technologies, including hardware and software for the program, are used.

Comments

Evaluation

1. The program has specific and descriptive criteria for evaluation of learner work and participation.
2. The program has an effective evaluation method to assess the performance of each learner.
3. A variety of assessments are performed frequently.
4. Grading system is clear.

Comments

Management

1. Learners can easily register for the program.
2. Learners frequently and effectively receive notifications about the program.
3. Online and face-to-face program schedules are managed well.

Comments

Learner Support/Resources

1. Tips for success are provided for blended learning.
2. Counselors/tutors are always available in person, via email, or on a chat system.
3. Prompt actions are taken in the event of technical problems.
4. Links to technical resources are provided (such as tutorials for using online learning, contact information for a help desk, and instructions on how to use specialized technology tools).
5. Guidelines for smooth and effective communication are provided.
6. Links to academic resources (such as libraries, bookstores, writing centers, and educational trainings) are provided.

Comments

Ethical

1. When developing the program, issues such as equal opportunity, cultural diversity, and nationality are considered.

Comments

Please provide a summary of your comments with a focus on suggestions.

Workshop Evaluation Form

Purpose

The Workshop Evaluation Form can be used by organizations that need to evaluate a specific workshop for employee to be educated. This form allows the organizations not only to review the whole workshop but also to evaluate multiple presentations and activities for education in the workshop. HRD professionals can use this form by adding or modifying the items in the form following the situation of their organization or the purpose and characteristic of workshop.

Intended Audience

Primary users: Human Resource and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Write specific and clear purpose(s) of the workshop.
2. Add some tables for presentation and activity fitting with the workshop.
3. Be able to write comments on answer at the right side column of each table.
4. Be able to fill out future comments and/or any suggestions in the last box.

Workshop Evaluation Form

Workshop Title: ______________________ Location: ________________ Date: __________

Period: ______________________________ Department: ______________________________

Title: _______________________________ Position: ________________________________

Purpose (*Please describe the purpose(s) of this workshop.*)

1. ____
2. ____

Please check the appropriate columns for each item below. Use the Comments column for additional remarks.

5	4	3	2	1
Excellent	Good	Average	Fair	Poor

General Conditions	5	4	3	2	1	Comments
1. Timing for holding this workshop						
2. Period						
3. Location						
4. Transportation						
5. Lodging						
6. Service *(food, Internet, customer service, etc.)*						
7. Overall rating of general conditions						

Presentation/Presenter(s)	5	4	3	2	1	Comments
1. Relevance to the purpose(s) of this workshop						
2. Clarity of objectives						
3. Appropriate time frame						
4. Well organized						
5. Expertise of the presenter(s)						

(Continued)

Presentation/Presenter(s)	5	4	3	2	1	Comments
6. Presentation skills/techniques of the presenter(s)						
7. Appropriate response of the presenter to questions						
8. Facilitation of presenter(s) for active involvement/discussion of participants						
9. Usefulness of presentation equipment						
10. Usefulness of presentation materials						
11. Use of practical examples						
12. Meeting in your educational needs						
13. Improvement of your learning						
14. Overall rating of this presentation						

Activity	5	4	3	2	1	Comments
1. Relevance to the purpose(s) of the workshop						
2. Clarity of objectives for this activity						
3. Appropriate time frame						
4. Well organized						
5. Expertise of the facilitator(s)						
6. Skills of facilitator(s) for active involvement of participants						
7. Usefulness of activity materials *(if applicable)*						
8. Meeting in your educational needs						
9. Improvement of your learning						
10. Overall rating of this activity						

Whole	5	4	3	2	1	Comments
1. Systemic program planning for the workshop						
2. Smooth process of the program						

Whole	5	4	3	2	1	Comments
3. Recommendation of the workshop to others 4. Overall satisfaction rating for this workshop						

If you have further comments and/or any suggestions, please write them below.

Training Delivery Checklist Form

Purpose

The Training Delivery Checklist Form can be used by HRD professionals in any organization and instructors of training programs who need to deliver training programs to check that things are prepared properly for effective implementation before and during a training program. Items can be added or modified for the situation.

Intended Audience

Primary user: HRD professionals in the organization

Secondary user: Instructors of training programs

How to Use the Form

1. Fill in course summary.
2. Fill in contact information.
3. Check the box if each item was properly prepared.
4. Share the marking status of the checklist with co-workers who prepare the program together.

Training Delivery Checklist Form

General Information

Title: ____________________

Instructor: ____________________ Number of Participants: ____________

Location: ____________________ Date and Time: ____________

Name: ____________ Phone: __________ Email: ____________

Venue: ____________________ Client: ____________

Assistant: ____________________ Other: ____________

Preliminary Preparation

- ❑ A set of all training documentation
- ❑ All presentation materials (slides, handouts, evaluation sheets, etc.)
- ❑ All operation materials (name tag, banners, signs, stationery, etc.)
- ❑ All equipment (laptop, projector, cords, etc.)
- ❑ All materials/equipment sent to the venue

Announcement

- ❑ Announcement and reminder of a program
- ❑ Policy about late arrival or no shows (if necessary)
- ❑ Participants' inquiry/request list

Participants' Material

- ❑ Course information (course outline, course description, schedule, prerequisite, etc.)
- ❑ Location information (parking, public transport, floor layout, lunch/refreshment arrangements, etc.)
- ❑ Ground rules and special arrangements (food, disability access, etc.)
- ❑ Contact information (venue, facilitator, instructor, etc.)

Travel

- ❑ Travel arrangements (flights, accommodation, rate, etc.)
- ❑ Subsidy policy and process (if applicable)
- ❑ Emergency contact

Venue

- ❑ Confirmation of training room booking
- ❑ Check on accommodation capacity
- ❑ Facilities (restrooms, tea/coffee facilities, evacuation plan facilities, etc.)
- ❑ Venue rules for food, drink, smoking, parking, etc.

Setting

- ❑ Check on size and space
- ❑ Room arrangements (chairs, table, screen, whiteboard, flip chart, etc.)
- ❑ Utilities (light, temperature, ventilation, controllers, etc.)
- ❑ Other (sign on doors, water glass for instructor, etc.)

Materials

- ❑ Participant information (name, organization, position, contact, etc.)
- ❑ All presentation materials (including extra copies)
- ❑ Back-up plan for presentation materials

Equipment

- ❑ Instructor's laptop/PC (check battery, presentation materials, projector connection, etc.)
- ❑ Internet connection (including IDs/passwords)
- ❑ AV equipments (projector, monitor, DVD, speakers, etc.)
- ❑ Other equipment (printer, laser pointer, remote controller, power cables, extension codes, etc.)

Other Supplies

- ❑ Stationery (pens, papers, markers, Post-it Notes, tape, staplers, etc.)
- ❑ First aid items
- ❑ Other

Training Evaluation Form

Purpose

The Training Evaluation Form can be used by HRD professionals in any organization who need to evaluate the effectiveness of the overall course, courseware, and instructor quality. This form can be used as a tool for communication about training programs between HRD professionals and trainees or stakeholders. The items in this form can be added or modified as needed.

Intended Audience

Primary user: HRD professionals in the organization

Secondary user: Trainees or stakeholders in the organization

How to Use the Form

1. Let the trainees fill in the form after a program is done.
2. Analyze the collected data.
3. Use the data for feedback discussion and future development.

Training Evaluation Form

General Information

Title: ______________________________

Instructor: ______________________ Date: ____________

Location: ______________________ Time: ____________

Course	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The contents were suited to my requirements.					
I am satisfied with the contents and the delivery.					
What I've learned will be helpful and applicable to my work.					
My overall rating of the course is good.					

Instructor	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Possessed sufficient subject expertise and teaching skills.					
Was effective in providing examples and real experiences.					
Was well prepared.					
Was friendly, passionate, and cooperative with participants.					
Overall rating of the instructor is good.					

Operation	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The environment was appropriate for the course.					
The preparation and support of the course were satisfactory.					
I'd recommend this course to others.					

Comments:

Client Service Satisfaction and Needs Analysis Form

Purpose

This form can be used by organizations that provide services to clients and want to evaluate satisfaction with those services. This form not only assesses clients satisfaction for a service received but also analyzes their need for the service and identifies future desired services. The results will enable organizations to provide better service for clients. HRD professionals can use the form by adding or modifying the items to reflect situations unique to their organization.

Intended Audience

Primary user: Human Resources

How to Use the Form

1. Decide what services should be included in this survey and when it should be given to clients.
2. Decide how to distribute the survey to clients (directly, email, and/or phone survey).
3. Willingly respond to client questions about the survey.
4. Decide on a meeting date to discuss the results.

Client Service Satisfaction and Needs Analysis Form

Name (optional): ________________________ Phone: _________________________________

Email: __________________________________ Service Received: ________________________

Date Received: ___________________________ Number of Times Received: _______________

Service Provider(s): ______________________ Person(s): ______________________________

Today's Date: ____________________________ Interviewer (or receiver): __________________

Please answer the questions and check the yes or no boxes below.

1. How did you find out about this organization?

2. Why did you receive this service?

3. Were you satisfied with the service? ❑ Yes ❑ No
   Why?

4. Were you satisfied with the service provider? ❑ Yes ❑ No
   Why?

5. Will you recommend this service to other persons? ❑ Yes ❑ No ❑ Unsure
6. If you need it, do you intend to receive this service here again? ❑ Yes ❑ No ❑ Unsure
7. Do you have any suggestions for the service provider?

8. Overall satisfaction ❑ Excellent ❑ Good ❑ Average ❑ Fair ❑ Poor

9. Do you intend to receive other services provided by this organization? ❑ Yes ❑ No

   Why?

10. Do you have other service needs that are not currently offered by this organization?

    ❑ Yes ❑ No

    What are they?

11. Comments and suggestions:

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

PART THREE

WORK/PERFORMANCE ANALYSIS AND REWARDS

Work/performance management is responsible for providing performance improvement programs for a company as a whole, as well as ensuring a system of individual employee performance. The performance management philosophy should be consistent throughout the organization, but customized for each department's or individual's needs. Performance management includes planning work, setting goals, offering feedback, performance reviews, and so forth.

The forms in this part of the encyclopedia are intended for (1) documenting a job's purpose, responsibilities, and deliverables and (2) providing a process for performance assessment. The forms include a position questionnaire, position profile deliverables and competencies, job analysis worksheet, job evaluation questionnaire, performance review and development plan, feedback for performance review and development plan, team engagement performance review, associate, manager, partner, and practice leader performance evaluation, and 360-degree feedback.

Performance management is the continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the organization.

Performance appraisals can serve many purposes, including:

1. Improving work performance
2. Administering merit pay

3. Advising employees of work expectations
4. Counseling employees
5. Making promotion decisions
6. Motivating employees
7. Assessing employee potential
8. Identifying training needs
9. Better working relationships
10. Helping employees set career goals
11. Assigning work more efficiently
12. Making transfer decisions
13. Making decisions about layoffs and terminations
14. Assisting in long-range planning
15. Validating hiring procedures
16. Justifying other managerial actions

The performance appraisal process is continuous. Employees should know what is expected of them in the performance of their jobs, be evaluated on how the job has been done, be provided opportunities for professional development to enhance their skills, and determine how performance can be improved.

There are many benefits of the performance appraisal process. They include:

- Motivation to perform is increased.
- Self-esteem is increased.
- Supervisors gain insight about employees.
- Definitions of job and criteria are clarified.
- Organizational goals are made clear.
- Supervisors' views of performance standards are communicated more clearly.
- Employees see direct relationship of performance to pay.

Some problems with performance appraisal include:

- Uncomfortable
- Time-consuming
- Not specific, general comments
- Ratings inflated
- Sends false message of success
- Creates false superiority
- Limits future development
- Hard to defend in court

The eight steps of an effective performance appraisal process Include:

1. Be prepared.
2. Conduct the meeting.
3. Identify performance gaps.
4. Find the root cause of performance gaps.
5. Plan to close performance gaps.
6. Re-examine performance goals.
7. Document the process.
8. Follow up consistently.

While there are no laws requiring an organization to carry out performance appraisals, if they are used, the organization is required to adhere to all laws that govern employment. For the purposes of the law, performance appraisals are recognized to be equivalent to any other employment assessment and thus prohibit the discrimination of any employee based on race, color, ethnicity, cultural affiliation, nationality, religion, gender, marital status, pregnancy, sexual preference, age, and/or physical disability. Employees are protected from employment discrimination through The Civil Rights Act of 1866, The Equal Pay Act of 1963, The Civil Rights Act of 1964, as amended, The Age Discrimination in Employment Act of 1967 (ADEA) as amended, The Rehabilitation Act of 1972, The Vietnam Era Veterans Readjustment Act, Executive Order 11246, as amended, and Americans with Disabilities Act of 1990.

To ensure a performance appraisal adheres to all Equal Employment Opportunity (EEO) laws and regulations, incorporate the following into your performance appraisal practices:

1. Make sure all assessments are based on measurable criteria.
2. Make sure assessments are based on objective criteria.
3. Make sure assessments are based on workplace-related behaviors, not personality.

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PERFORMANCE APPRAISALS: UNDERSTANDING, UTILIZING, AND UNLOCKING THEIR POTENTIAL

Danielle Evanoski

For members of the human resources community, when the topic of performance appraisals is discussed, it is usually in connection with a particular employee. Performance is defined as a particular action or deed; an appraisal can be defined as the act of estimating or judging the nature or value of something or someone (www.dictionary.com). Thus, it can be concluded that a performance appraisal is judging or estimating the value of an action or deed completed by an individual. Performance appraisals are a means for human resource professionals and managers to evaluate an individual's work and his or her overall contribution to the organization.

Types of Performance Appraisals

Deciding how to evaluate an individual's performance can be difficult. The first step is choosing how to evaluate. One must either evaluate based on a particular task, such as a project completed by an individual, or evaluate based on a compilation of work over a period of time, for example, a yearly review.

Uses of Performance Appraisals

A performance appraisal can gauge at what level an individual is performing and, as a result, provide useful information to human resources professionals to use in a variety of ways. Understanding whether someone is "over" or "under" performing, HR can then determine whether further training is an option or a reassessment of the individual's job is needed. Also, in relation to over/under–performing, appraisals permit an HR person to determine whether or not a monetary adjustment (raise) or a position enhancement (promotion) is warranted.

Performance Appraisals' Impact on the Individual and the Company

When implementing any type of measurement system, the human resource professional must weigh the pros and cons of its execution. An HR employee does not want to adversely affect anyone. Thus, HR must recognize the impact of performance appraisals at both the individual and organizational levels.

Benefits of performance appraisals at the individual level can be seen in the feedback process. An individual employee will receive both accolades for a job well done and constructive criticism for making personal improvements. The feedback process provides both encouragement and a plan for improvement. Feedback allows individuals to gauge their own performance and how it is meeting the expectations of management.

Some organizations may base their raises or promotions according to a person's success at a task or overall position achievement. In this case, performance appraisals allow HR to analyze whether expectations have been met. Furthermore, they permit employees to see how their achievements are measured and why they did or did not receive a particular outcome.

Human resource professionals can also rely on performance appraisals during economic downturns. When the tough question is asked about who is pertinent to the overall success of an organization, performance appraisals can be used to determine who will be retained and who will be eliminated.

Critique of Performance Appraisals

Depending on the human resource professional who evaluates an individual or the structure of the performance appraisal, the tool may or may not be appropriate to use to measure an individual. The evaluator must be unbiased in his or her approach, showing no favor or prejudice. The tool itself is also subject to criticism. The evaluator must question whether the appraisal accurately measures overall performance while eliminating personal biases. In addition to being checked for accuracy, the tool has to be assessed for its reliability and validity. It also must be legally sound in its measurement of skill or performance.

Conclusion

Once a performance appraisal is established as an accurate means to measure an individual's performance, it can be very useful for both parties. Performance appraisals can be used as a way to increase morale by providing positive feedback, a tool to assess abilities and need for training, a device to evaluate an individual's value to the organization, and a way to retain employees who are significant contributors to the success of a company.

In addition to attracting, retaining, and developing top performers, organizations must also look to the ethical decisions of their top leaders and performers.

WORK/PERFORMANCE ANALYSIS FORMS

Position Questionnaire

Purpose

The purpose of this form is to determine the duties and responsibilities required in a position.

Intended Audience

Primary users: Human Resources, job evaluation specialists, and management professionals.

Secondary users: Employees and supervisors

How to Use the Form

1. The information provided on this form can be used to make salary grade decisions, position assignments, position changes, and make employment decisions.

Position Questionnaire

Complete this Position Questionnaire and give it to your supervisor for review. Keep a copy for your records.

Employee Name: ________________________________ Job Title: __________________________

Employee ID Number: ___________________________ Department: ______________________

Supervisor's Name and Title: ____

Department Administrator Name: ____

Summarize below the main reason(s) your position exists. This statement should include the position's general function and overall level of responsibility.

What are the major results or outputs of your job?

Describe the duties and tasks you perform daily; weekly; monthly (check which one applies).

Duty/Task	Daily	Weekly	Monthly

List any machines, tools, equipment, materials, and work aids used in your job. Indicate the approximate percent of time spent on each.

Machines, Tools, Equipment, Materials, and Work Aids Used in Your Job	Approximate Percentage of Time Spent

Describe the nature of your responsibility for money, machinery, equipment, etc. What monetary loss can occur through an error?

What reports and records do you create or prepare as part of your job? What is their frequency?

Reports and Records	**Percentage of Time Spent**

How do you receive instructions for performing your job (oral, written, etc.)?

How is your work reviewed, checked, or verified?

Describe the nature and frequency of supervision you receive. (Include name(s) of those providing supervision.)

How many employees do you have directly reporting to you? What are their job titles?

Do you have full authority to hire, terminate, evaluate, and transfer employees under your supervision? Explain.

Describe the working conditions and the environment of your work, such as cold/heat, noise, fumes, dust, etc. Indicate frequency and degree of exposure. Include any dangers or hazards.

What experience, knowledge, skills, and abilities are needed to perform the job?

What is the minimal level of education (high school, two-year college, four-year college, etc.) required?

Signature ____ Date ____________________

Name (Print) ____

Supervisor's Signature ____________________________________ Date ____________________

Supervisor's Name (Print) ____

Position Deliverables and Competencies Form

Purpose

The Position Deliverables and Competencies Form is the first step in aligning jobs developed by the department manager to identify the tangible outputs and expectations of the position.

Intended Audience

Primary users: Human Resources, job evaluation specialists, and management professionals.

Secondary users: Employees and supervisors

How to Use the Form

1. The immediate manager should organize top-level and detailed information about the job in question.
2. Complete each section of the form to the best of your ability.
3. Send the completed form to the organization's HR department for evaluation and finalization.

Position Deliverables and Competencies Form

Business Title: ________________________ Title Code: ______________

Completed by HR EEO: ____

Completed by HR Department Representative: __________________________

Additional paper may be required.

General Summary: A one-paragraph summary of the reporting relationships for the position, the primary functions of the position, and expectations for the position**.**

Duties and Responsibilities: A detailed list of duties and responsibilities the person in the position performs in priority order from most important to least important.

Position Deliverable: Deliverables (products and/or services) of this position that are valuable to the organization and will be used to assess the person's performance.

Skills and Competencies: Observable behaviors that are required by the person performing the position in order to meet expectations.

Minimum Education and Training: Education, experience, knowledge, and physical requirements to begin performing the duties of this position.

Supervision Received: The level of daily supervision by the reporting manager.

Supervision Exercised: Title(s) of positions managed, FLSA classification(s), and level of supervision provided to others.

Environmental Working Conditions: In what type of work environment (for example, business professional, production, restaurant FOH, restaurant BOH) will the person provide services the majority of its time.

Although all aspects of this position may not be described, I certify that this is an accurate statement of the major responsibilities and the necessary minimum qualifications for the position. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

Business Unit Manager: __________________________ Date: ___________

HR Analyst: ________________________________ Date: ___________

Confidential Document

Job Analysis Worksheet

Purpose

The Job Analysis Worksheet can be used to analyze the responsibilities/duties of a specific job. This form can be useful to clearly understand a specific job and further to negotiate salary. HRD professionals can add or modify items based on situations specific to their organizations.

Intended Audience

Primary users: Human Resources, job evaluation specialists, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Distribute the form to employees who are currently working in the jobs to be analyzed. Ask them to do the following:
   - List the duties of the job in the first section.
   - Specify required knowledge, skills, and personal traits for each duty in the second section.
2. Both the reviewer and employee should sign the form.

Job Analysis Worksheet

Employee Name: ______________________________ Title: ______________________________

Department: ______________________________ Position: ______________________________

Duties	Percentage of Time	Essential Duty (X)	New Duty (X)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Duties	Required Knowledge	Required Skills	Required Traits of Employee
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Signatures

Employee's Signature: ______________________________ Date: ____________________

Reviewer's Signature: ______________________________ Date: ____________________

Department Head's Signature: ______________________________ Date: ____________________

Job Evaluation Questionnaire

Purpose

The purpose of the Job Evaluation Questionnaire is to provide a rigorous format for assessing internal value. This form is used in combination with a point system to rate jobs based on the total points scored through responses to the questions.

Intended Audience

Primary users: Human Resources, job evaluation specialists, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Distribute the form to employees who are currently working in jobs to be analyzed.
2. Ask employees to respond to each question honestly and accurately.
3. Both the reviewer and employee should sign the form.

Job Evaluation Questionnaire

Your Name: ______________________________ Title of Job Being Reviewed:________________

Today's Date: ____________________________ Location:________________________________

Reviewed by: ____________________________ Date: ___________________________________

(To Be Completed by Human Resources Department)

Reviewed by: _________________________________ Date:______________________________

Employee Number: ____

Job Code: ____

Introduction

The purpose of this Job Evaluation Questionnaire is to develop a clear understanding of each job at [your company name] and to ensure that each job is measured on the same basis to determine its relative value.

The job evaluation questions are based on common elements of a job. The performance of an individual in the job is not considered in this process—just the value of the job relative to other jobs at [your company name]. The objective is for the person filling out the form to select the answers appropriate for the job under review. The information collected in this manner will be used to determine the relative contribution on all jobs in the company on a consistent basis. Your responses will be compared to those of others holding the same or similar jobs in [your company name]. The questionnaire is divided into five sections:

Section A: Skills

Section B: Effort

Section C: Responsibilities

Section D: Working Conditions

General Instructions

When completing this questionnaire, consider how your job contributes to the overall goals and activities of [your company name]. Think about how you would describe your job to another person. Try not to overstate or understate your responses. Be straightforward and objective.

Read all of the answers for each question before selecting the response that best describes your job. Do not try to "guess the right answer." This is not a test; rather, we want you to inform us, to the best of your ability, about your daily tasks and responsibilities. Give us your best judgment of what you do day-to-day while carrying out your job at [your company name].

Please base your answers on typical assignments and responsibilities over an entire year.

Section A: Skills

The purpose of this section is to determine the SKILLS your job requires under the following headings:

- Knowledge
- Job-Related Experience
- Updating Core Knowledge
- Creativity and Innovation

1. Knowledge What is the *minimum amount* of related theoretical or technical knowledge required *to be hired or promoted* into your current job? It could be obtained through formal schooling, specialized training, or self-education. Consider specific course requirements and the need for any specialized knowledge your job may require you to have. Think about how this knowledge works in combination with the job-related experience you feel is required in Question 2 on the next page.

*Check the **one** box that best describes the minimum amount of knowledge required for your job.*

☐ 1. Require ability to read, write, and use basic language skills. May require ability to use arithmetic. Typically equivalent to *some* high school education.

☐ 2. Requires general knowledge of practices and procedures within a specific function. Some specific short-term practical training may be required. Typically equivalent to a *completed* high school education.

☐ 3. Requires working knowledge of a specialized field. May require operating knowledge of technical equipment/computers, *and/or* may require broad knowledge in administrative or marketing support, service, or basic financial areas. Typically equivalent to one or two years of community college.

☐ 4. Requires a broad knowledge of a specialized field such as programming, accounting, etc. Typically equivalent to three years of community college or university.

☐ 5. Requires a broad knowledge of a professional field. Typically equivalent to four years of university in such fields as business, computer science, etc.

☐ 6. Requires a thorough knowledge of a professional, business, or technical field plus an understanding of their interrelationship *or* an extensive knowledge of a specialized field. Typically equivalent to one or two years of graduate work.

☐ 7. Requires an extensive knowledge of multiple fields plus an in-depth understanding of their interrelationship *or* a mastery of a specialized field. Typically equivalent to a doctorate level of education.

2. Job-Related Experience What is the minimum amount of job-related experience required for someone to be hired or promoted into your current job? Remember to think about the experience required in combination with the minimum knowledge identified in Question 1.

"Job-related experience" is the experience required to *qualify* for your job, whether gained inside or outside of [your company name], and that directly applies to the day-to-day activities or responsibilities found in your current job. It does not include on-the-job experience gained after starting your current job.

Do not consider your own experience as necessarily being the minimum level to qualify for your job. In most cases, the experience doing the job is higher than the minimum required.

*Check the **one** box that best describes the minimum job-related experience your current job requires.*

☐ 1. Less than six months.
☐ 2. Six months but less than one year.
☐ 3. One but less than two years.
☐ 4. Two but less than three years.
☐ 5. Three but less than five years.
☐ 6. Five but less than seven years.
☐ 7. Seven but less than ten years.
☐ 8. More than ten years.

3. Updating Core Knowledge These questions measure the extent to which the core knowledge required to do your job changes and has to be updated. Core knowledge refers to those basic knowledge areas in your field or area of specialization you need to know in order to do your job. Do not consider additional duties or changes in procedures that use existing knowledge. Once you have learned your job, do you need further reading, personal study, ongoing training, attendance at seminars, etc., to keep up-to-date and maintain your effectiveness in your job? Use the following key.

Very little = Changes occur every five years or more.

Periodically = Changes occur every two to five years.

Often = Changes occur annually.

Continually = Changes occur more often than once a year.

*Check the **one** box that best indicates the updating of knowledge required to do your job.*

☐ 1. The core knowledge of my job changes *very little* over time.
☐ 2. The core knowledge of my job changes *periodically*.

☐ 3. The core knowledge of my job changes *often*.
☐ 4. The core knowledge of my jobs changes *continually*.

4. Creativity and Innovation This question measures the amount of innovative thinking and creative talents your job *typically* requires you to use in carrying out the responsibilities of your job. Use the following key.

Occasionally = 5 percent, but less than 25 percent of the time

Regularly = 25 percent, but less than 50 percent of the time

Primary = more than 50 percent of the time

Check the ***one*** *box that applies to your job.*

☐ 1. I am expected to make *minor* improvements in my own job when the opportunity arises.
☐ 2. My job *occasionally* requires me to improve either operating procedures, products, technology, services, policies, or programs.
☐ 3. My job requires me to *regularly* improve either operating procedures, products, technology, services, policies, or programs.
☐ 4. My job requires me to *regularly* improve and *occasionally* create either operating procedures, products, technology, services, policies, or programs.
☐ 5. The *primary purpose* of my job is to create either new or improved operating procedures, products, technology, services, policies, or programs.

Section B: Effort

The purpose of this section is to measure the effort your job requires under the following categories:

- Mental Demands
- Visual Attention
- Physical Demands

1. Mental Demands This question measures the mental demands required in your job. Consider such matters as precise details, concentrated attentiveness, problem analysis, conceptual thinking, and/or changing priorities.

*Check the **one** box that best describes the amount of mental demands required in your job.*

☐ 1. Infrequent and short duration.
☐ 2. Frequent periods of short duration and/or occasional periods of sustained duration.
☐ 3. Frequent periods of sustained duration.
☐ 4. Continuous sustained demands.

2. Visual Attention This question measures the visual attention required in your job. Examples of visual attention are intense reading, proofreading, data entry, visual inspection, and/or detail work.

*Check the **one** box that best describes the amount of visual attention required in your job.*

☐ 1. Infrequent and short duration.
☐ 2. Frequent periods of short duration and/or occasional periods of sustained duration.
☐ 3. Frequent periods of sustained duration.
☐ 4. Continuous sustained demands.

3. Physical Demands This question measures the physical demands required in your job. Examples of physical demands are stooping, reaching, pushing, walking, climbing, standing, kneeling, lifting, and/or fixed work position.

*Check the **one** box that best describes the amount of physical exertion required in your job.*

☐ 1. Infrequent and short duration.
☐ 2. Frequent periods of short duration and/or occasional periods of sustained duration.
☐ 3. Frequent periods of sustained duration.
☐ 4. Continuous sustained demands.

Section C: Responsibilities

The purpose of this section is to determine the responsibilities those in your position require under the following headings:

- Problem Solving
- Decision Making
- Impact of Decisions
- Supervision of Employees
- Organizational Responsibilities/Accountability
- Internal Contacts
- External Contacts

1. Problem Solving Problem solving usually involves the initial definition of the problem, identifying appropriate data/information requirements and sources, as well as collecting and analyzing this information and developing new solutions, concepts, or approaches.

What level of complexity does your job require you to use in resolving typical issues, situations. and day-to-day problems?

*Check the **one** box that best describes the level of complexity your job typically requires when solving problems or issues.*

☐ 1. Problem solving involves directly *following* established procedures, instructions, guidelines, and/or manuals.
☐ 2. Problem solving requires using *"common sense" based on past experience* to interpret and carry out relatively clear and straightforward instructions.
☐ 3. Problem solving involves *selecting the best solution(s)* from several alternatives that may already exist or are provided.
☐ 4. Problem solving usually involves the *development of new solutions or approaches* to problems that have been defined by collecting and analyzing information from several sources.
☐ 5. Problem solving regularly involves *all stages,* including the initial definition of the problem that is not obvious. Problems or issues at this level are usually complex.

2. Decision Making This question measures the extent to which decisions and independent actions are *typically predetermined by instructions, rules, policies, or precedent.*

*Check the **one** box that best describes the amount of freedom you typically have in making decisions in your position.*

☐ 1. In my job, I follow *clearly defined instructions.* Frequent supervision is provided by others.

☐ 2. In my job, I use *standard instructions, written manuals, and/or documents* for guidance. Occasional supervision is required by others. Decisions and actions are usually reviewed.

☐ 3. In my job, *projects and tasks are assigned*. Decisions are guided by established practices and precedents. Guidance is available, and results may be reviewed for completion.

☐ 4. In my job, *responsibilities and objectives are assigned with some latitude*. Decisions are guided by operating policies and guidelines for my area. General management guidance is provided and work may be periodically reviewed according to achievement of business objectives.

☐ 5. In my job, responsibilities and objectives are established with *considerable latitude*. Decisions are usually guided by corporate policies, established strategies, and plans. Results are reviewed based on established corporate objectives.

☐ 6. In my job, there is broad latitude for decision making governed only by the *company's long-term strategic goals and objectives.*

3. Impact of Decisions What impact does your job typically have on either the attainment of performance objectives, quality, profits, revenue, expenses, internal efficiency, employee morale, safety and/or the reputation of your company name?

A *functional area* is normally under direction of a manager or equivalent and consists of one or more than one related work units.

*Check the **one** box that best describes the impact of the decisions you are normally required to make.*

☐ 1. Decisions affect *my own job* with minimal impact on other jobs or work units.

☐ 2. Decisions affect *other jobs* inside or outside my work area with moderate direct impact on profits, revenue, expenses, efficiency, or other employees, usually with short-term consequences.

☐ 3. Decisions affect *my entire functional area or the internal operations and interaction of several areas of* [your company name] with considerable impact on profits, revenue, expenses, efficiency, other employees, safety, and/or reputation of [your company name] in the short term.

☐ 4. Decisions affect *major programs, objectives and the performance of* [your company name], *primarily in the short term* with significant impact on profits, revenue, expenses, efficiency, other employees, safety, and/or reputation of [your company name].

☐ 5. Decisions affect the *long-term corporate objectives, the strategic business position,* and the overall reputation of [your company name].

4. Supervision of Employees What type of supervisory responsibility for other employees of [your company name] do you have in your job?

*Check the **one** box which best describes the type of supervisory responsibilities required by your job, whether or not you have a supervisory title.*

☐ 1. In my job, I am responsible for my own work and am *not required* to supervise other employees.

☐ 2. In my job, I *occasionally allocate work, assign tasks, and/or provide training, orientation, and guidance* to other employees. I may be required to provide input on the performance of other employees.

☐ 3. In my job, I *normally allocate work, assign tasks, and/or provide training, orientation, and guidance* to other employees. I may be required to provide input on the performance of other employees.

☐ 4. In my job, I *supervise* other employee(s) and evaluate their performance. I am also responsible for *recommending* hiring, salary increases, promotions, discharges, and career plans to management.

☐ 5. In my job, I *supervise* other employee(s) and evaluate their performance. I am also responsible for *implementing* hiring, salary increases, promotions, discharges and career plans.

5. Organizational Responsibility/Accountability Your job may require you to be responsible/accountable for one or more tasks, activities, work units, functions, districts, divisions, regions or areas.

*Check the **one** box which best describes your job's organizational responsibility/accountability.*

☐ 1. In my job, I am responsible/accountable for clearly defined task(s) or activities.

☐ 2. In my job, I am responsible/accountable for the planning and control of a *single work unit.*

☐ 3. In my job, I am responsible/accountable for the planning and control of *more than one work unit.*

☐ 4. In my job, I am responsible/accountable for the management, planning, and control of a *functional area* consisting of one or more related work units.

☐ 5. In my job, I am responsible/accountable for the management, planning and control of *two or more functional areas.*

☐ 6. In my job, I am responsible/accountable for the management, planning and control of a *major organizational area*, including participation in the *strategic corporate business plan*.

☐ 7. In my job, I am responsible/accountable for the management, planning, and control of *more than one major organizational area*, including participation in the *strategic corporate business plan*.

6. Internal Contacts This question measures the purpose of contacts your job regularly requires you to have with other employees of [your company name].

*Check the **one** box that best describes the internal contacts you must have in order to perform your job.*

☐ 1. My job regularly requires me to *exchange information* with other employees in *my work area*.

☐ 2. My job regularly requires me to *exchange information* with employees in *other functional areas* of [your company name].

☐ 3. My job regularly requires me to *consult with and/or provide recommendations or advice* to other employees of [your company name].

☐ 4. My job regularly requires me to *coordinate* activities/projects with other employees of [your company name], which *may* require some negotiation, influencing, and obtaining of commitments.

☐ 5. My job regularly requires me to *negotiate with, influence ,and obtain commitment from* other employees of [your company name].

7. External Contacts This question measures the purpose of external contacts your job regularly requires you to have with people outside [your company name]. Some examples are customers, partners, subcontractors, suppliers, government departments and agencies, and the media.

*Check the **one** box that best describes the external contacts you must have in order to perform your job.*

☐ 1. My job does not regularly require me to have external contacts.

☐ 2. My job regularly requires me to *exchange information* with external contacts.

☐ 3. My job regularly requires me to *consult with* and/or provide recommendations or advice to external contacts.

☐ 4. My job regularly requires me to *coordinate* activities/projects of external contacts, which may require some negotiation, influencing, and obtaining of commitments.

☐ 5. My job regularly requires me to *negotiate with, influence, and obtain commitment from* other external contacts.

Section D: Working Conditions

The purpose of this section is to determine the working conditions under which your job must be performed using the following headings:

- Work Environment
- Travel

1. Work Environment This factor measures the surroundings or physical conditions under which the work must be done and the extent to which they can contribute to job dissatisfaction. Consider whether conditions such as the ones listed below are present, and the relative amount and continuity of exposure.

Dirt/Dust	Inadequate Ventilation
Noise	Temperature Extremes
Fumes	Confined Spaces
Adverse Weather	Safety Hazards
Lack of Privacy	Inadequate/Inappropriate Lighting
Frequent Interruptions	Dealing with Irate People

*Check the **one** box that best applies to your job.*

☐ 1. None of the above conditions is present.
☐ 2. Occasional exposure to one or two conditions from the above list, which makes the work environment less desirable.
☐ 3. Exposure to several conditions from the above list with no condition continuously present to the extent of being objectionable.
☐ 4. Exposure to any number of the above conditions, with one continuously present to the extent of being objectionable, or with several conditions present at various times to the extent of being objectionable.
☐ 5. Exposure to any number of the above conditions with several continuously present to the extent of being objectionable.

Note: If you answer at level 2, 3, 4 or 5, please circle the conditions you refer to on the list above.

2. Travel Do you have to travel for [your company name] in order to carry out the responsibilities of job?

Travel from your normal job location to other locations in or around the city to meet with clients, etc., should be considered when answering this question.

Check the ***one*** *box that best applies to your job.*

☐ 1. I do not travel for [your company name].
☐ 2. I *occasionally* have to travel for [your company name].
☐ 3. I have to travel for [your company name] *during the day* on a *regular* basis throughout the year.
☐ 4. I travel overnight for [your company name] *within North America* on a regular basis throughout the year.
☐ 5. I travel for [your company name] *within North America* on a **regular** basis throughout the year and *occasionally* outside North America.
☐ 6. I travel for [your company name] *within and outside North America* on a *regular* basis throughout the year.

Job Description Checklist

Purpose

The purpose of the Job Description Checklist is to provide a rigorous format for assessing employment positions and the work performed. A detailed job description has numerous benefits. For example, it establishes clear expectations and responsibilities, provides a basis for compensation, helps appraise the work performed, addresses legal requirements for employment, and supports career development opportunities for employees. Although it is not a common practice for employees to write their own job descriptions, it is often useful to obtain their input when writing a formal job description because it improves the accuracy of the job description, improves employee motivation, and leaves little room for misunderstanding or ambiguity for an employee to later claim that the job description does not exactly reflect the actual responsibilities.

Intended Audience

Primary users: Human Resources, job evaluation specialists, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The Job Description Checklist should be periodically reviewed by the employee and manager and should be updated as required.
2. Make sure the job description helps employees understand their jobs better.
3. Performance evaluation may be based on the job description.
4. Make sure the job description is in accordance with any legal requirements.

Job Description Checklist

1. List the name of the organization, if confidentiality is not required. Both the name and address of the company may be provided to clearly identify the employer hosting the job. Company letterhead may be used to easily provide this information.
2. Provide a suitable job title. A well-defined title is an indication of the content of the work and the level of responsibility.
3. Provide the date the job description was produced. This information is helpful when reviewing job descriptions periodically.
4. Provide Fair Labor Standards Act (FLSA) classification to clearly label whether the job is nonexempt (not exempt from requirements for minimum wage, hourly wage, time worked records, overtime policy, etc.). If the job is exempt, it should be clearly labeled as well.
5. Indicate the manager's or supervisor's job title to show who this position reports to.
6. Indicate whether anyone is supervised by the person in the position. If no one is supervised by this position, indicate this. If there is/are any direct report(s), it is useful to provide their job titles.
7. Indicate whether the job is full-time or part-time, required hours per week, the schedule, and benefits offered to the employee.
8. Include a brief summary of what the person in the job would do and be expected to accomplish.
9. Include all the essential and general functions and responsibilities of the position.
10. Include other responsibilities, for example, "responsibilities identified as needed by the employee and/or approved or assigned by the supervisor."
11. Have a blank for the employee that allows him or her to review and sign the job description. "Employee: I have reviewed this job description and agree it an accurate representation of the responsibilities of my job. I understand that as the organization's needs change, my job description may change."
12. Have a blank for the supervisor that allows him or her to review and sign the job description. "Supervisor: I have reviewed this job description and agree that is an accurate representation of the responsibilities performed by the person in this job."
13. List qualifications, type of education, and level needed to do the job, type and amount of experience required, licenses or certificates needed, etc. List preferred types and levels of education and experience if desired.

14. List what is mentally demanded of the employee in order to perform the essential functions, for example, "Demonstrated ability to work well with others."
15. List what is physically demanded of the employee in order to perform the essential functions. Examples include: Work forty hours per week, lift and move using proper techniques up to fifteen pounds, answer phone, and keyboard for most of the working hours.
16. Include special attendance requirements. If a particular job has unusual attendance requirements (late night, on call duty, etc.), the job description should include those requirements.
17. Include whether there is any unusual job stress. Job stress should be addressed in the job description so that applicants and employees have advance notice of special circumstances they may be required to handle.
18. Job descriptions should be regularly reviewed and updated.

Performance Review and Development Plan Form

Purpose

The Performance Review and Development Plan Form can be used to evaluate employee performance and to establish developmental strategies for performance improvement. This form allows both reviewers and employees to reflect on their performance, to better understand their work and the organization, and to examine developmental needs by including in-depth feedback from co-workers. To utilize the form well, reviewers are required to have advanced interview and communication skills. The form can be used with other HR evaluation forms to objectively review performance and thoroughly analyze developmental needs. HRD professionals can also add to or modify the items in the form to reflect situations specific to their organizations.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Schedule a time to conduct the review and analysis with the employee.
2. Objectively review the employee in a relaxed and comfortable atmosphere.
3. Allow the employee to provide feedback and also provide feedback to the reviewer.
4. Analyze developmental needs concurrent with reviewing the employee's performance.
5. Establish a development plan with a written summary of performance review.
6. Ask both the reviewer and the employee to sign the form.

Performance Review and Development Plan Form

Employee: ______________________ Department: ________________________________

Title: _________________________ Position: __________________ Tenure: __________

Reviewer: ______________________ Department: ________________________________

Title: _________________________ Position: __________________ How Long: ________

Rating Levels

5 = Outstanding: Significantly exceeds expectations
4 = Above average: Exceeds expectations
3 = Average: Meets expectations
2 = Satisfactory: Partially meets expectations
1 = Unsatisfactory: Does not meet expectations

Section 1: Performance Review

1A: Professionalism (professional attitudes of the employee in the workplace)		
Competencies	**Rating**	**Comments**
1. Maintains the consistency and standard of work, as well as a professional demeanor		If applicable, add any comments, including developmental or educational needs and factors that impede the employee's performance.
2. Is reliable and follows through on assignments, tasks, and responsibilities		
3. Is punctual for work and meeting time and gives appropriate notice for absences in advance		
4. Always seeks ways to improve workplace		
Overall Rating for Section (Sum of Ratings/4)		

1B: Initiative (positive and motivated attitudes to improve workflow and performance)		
Competencies	**Rating**	**Comments**
1. Self-motivated. Has a trustworthy attitude all the time.		
2. Self-directed learning. Seeks to learn new skills, information, and knowledge relating to his/her work and assignment.		
3. Knowledge sharing. Frequently provides insightful ideas to improve workflow and tries to offer new assignments.		
4. Problem solving. Effectively manages problems in the workplace.		
5. Flexibility. Appropriately handles internal and external changes for work.		
Overall Rating for Section (Sum of Ratings/5)		

1C: Understanding of Organization (understanding of organizational knowledge and relation to current work)		
Competencies	**Rating**	**Comments**
1. Thoroughly understands organization's history, missions, goals, and vision.		
2. Tries to enhance organizational knowledge.		
3. Understands current work activities based on organizational knowledge.		
4. Understands organization's activities based on the analysis of internal and external environments.		
5. Makes an effort to comprehensively understand organization's activities and current work.		
Overall Rating for Section (Sum of Ratings/5)		

1D: Quality of Work (skill and knowledge of work and management of work assignments)		
Competencies	**Rating**	**Comments**
1. Has required work skills and knowledge.		
2. Quickly and accurately conducts work assignments on budget.		
3. Manages multiple work assignments and meets deadlines.		
4. Uses sound judgment in decision making to perform work.		
5. Creatively performs work assignments and tries to improve work procedures.		
Overall Rating for Section (Sum of Ratings/5)		

1E: Teamwork(effectively working well together as a team)		
Competencies	**Rating**	**Comments**
1. Tries to assist and support co-workers.		
2. Handles conflicts with co-workers in appropriate, professional and positive manner.		
3. Establishes appropriate relationships with supervisors.		
4. Ability to work with co-workers in completing work assignments/projects.		
5. Positively involves team to complete work assignments/projects.		
Overall Rating for Section (Sum of Ratings/5)		

1F: Communication (ability to effectively express thoughts/feelings and share information/knowledge)		
Competencies	**Ratings**	**Comments**
1. Verbal/oral expression		
2. Written expression		
3. Appropriate self-expression in individual situations		
4. Appropriate self-expression in group situations		
5. Willingness to share information and knowledge with others		
Overall Rating for Section (Sum of Ratings/5)		

1G: Reviewer's Rating ONLY (leadership and supervisory ability)		
Competencies	**Ratings**	**Comments**
1. Ability to respond to concerns of co-workers		
2. Ability to coach co-workers for work improvement		
3. Ability to train and develop co-workers		
4. Ability to lead and encourage innovation and learning for the improvement of co-workers		
5. Ability to plan and organize work effectively		
6. Ability to use sound judgment in decision making		
7. Ability to maintain work quality		
8. Ability to control costs and maximize resources		
Overall Rating for Section (Sum of Ratings/8)		

Section 2: Summary of Performance Review

2A: Summary of Section Ratings

Transfer overall ratings for the sections above to the table below.

Section	1A	1B	1C	1D	1E	1F	1G	TOTAL
(Sum of Ratings/7)								
Average Rating								

2B: Performance Review Summary and Development Plan

Employee/Reviewer Comments
Compare to last review and analysis, provide highlights summary, overall accomplishments, strengths, and required improvement parts. Be sure to note whether or not there are some organizational/structural factors that impede the employee's performance.

Highlights and accomplishments

Strengths

Required improvement parts

Organizational/structural challenges

Development Plan
Make a list of developmental needs focused on the required improvement parts, check the time frame, and establish developmental strategies.

Developmental Needs	**Strategies** (*Education/training,mentoring/ coaching, organizational/structural efforts, etc.*)
Short-term	
1.	
2.	
3.	
4.	
Long-term	
1.	
2.	
3.	
4.	

Signatures
Employee's Signature* ______________________________ Date __________
Reviewer's Signature ______________________________ Date __________
Department Head's Signature ______________________________ Date __________

*Employee's signature represents that he or she has received and reviewed this form. It does not mean agreement with findings and comments.

Feedback for Performance Review and Development Plan Form

Purpose

The Feedback for Performance Review and Development Plan Form can be used by organizations that want to further assess the performance of employees by obtaining the feedback of their co-workers. This form can be used with the performance review and development plan form or any other performance review form. Since the aim is to obtain the views of co-workers on the performance of other employees, this is a useful tool for HR professionals. The items in this form can be modified based on situations specific to any organization.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The employee being reviewed completes the personal information section of the form and then distributes the form to appropriate co-workers (*who can be randomly assigned*).
2. Co-workers then complete Sections 1 and 2 on the referenced employee.
3. Submit the completed form to a specific person (for example, a supervisor, department head, or HR manager).

Feedback for Performance Review and Development Plan Form

Employee: ______________________________ Department: __________

Title: __________________________________ Position: __________

Feedback Provider: _______________________ Department: __________

Title: __________________________________ Position: __________

Performance Factors

- *Professionalism:* Professional attitudes of the employee in the workplace
- *Initiative:* Positive attitude and motivated to improve workflow and performance
- *Understanding of Organization:* Organizational knowledge, especially in and relation to current work
- *Quality of Work:* Skill and knowledge applied to management of work assignments
- *Teamwork:* Effectively working well together with others in teams
- *Communication:* Ability to express thoughts/feelings and share information/knowledge
- *Leadership:* Leadership and supervisory ability

Section 1: Performance Feedback

Please check the appropriate columns to indicate the employee's performance level for each factor.

Factors	Performance Level				
	Outstanding	Above Average	Average	Satisfactory	Unsatisfactory
1. Professionalism					
2. Initiative					
3. Understanding of Organization					
4. Quality of Work					
5. Teamwork					
6. Communication					
7. Leadership					
Overall Rating					

Section 2: Performance Feedback and Suggestions for Development

Objective and valuable feedback plays a pivotal role in improving individual or team performance. Please thoroughly consider all performance factors and discuss strengths and needs that you have had the opportunity to observe about this employee. Be sure to make suggestions and recommendations for further development of both strengths and opportunities. Refer to the following definitions.

Definitions

Outstanding: Significantly exceeds expectations

Above average: Exceeds expectation

Average: Meets expectations

Satisfactory: Partially meets expectations

Unsatisfactory: Does not meet expectations

Strengths that can be refined and extended:

Opportunities for growth and development:

Feedback Provider's Signature: ______________________ Date: ________________

Please return your written feedback before ___/___/_____ to the following person: ____

Name: ___________________ Title: _______________ Position: _______________

Team Member Engagement Performance Review Form

Purpose

Feedback from team members can be extremely valuable. Team members directly witness one another's performance. This form can be used with the Performance Review and Development Plan Form or as a specific performance review form. HR professionals can use the form as a tool to review the performance of employees. Items can be added or modified as desired.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The employee under review initiates the process upon completion of an engagement for a business client. The employee completes Section 1 of the form and then distributes the form to appropriate co-workers (*feedback providers who can be randomly assigned*).
2. Co-workers then complete Section 2 on the employee.
3. Submit the completed form to a supervisor, department head, or HR/HRD manager.

Team Member Engagement Performance Review Form

Name ________________________________ [Firm Name] ________________

This process is to be initiated by a team member upon completion of an engagement. The team member will answer questions in Section 1, then route the form to co-workers who observed their performance on the team, who will complete Section 2. After collecting the engagement performance review forms, the immediate supervisor will discuss co-worker comments with the team member, providing supervisory feedback.

An original of the form goes to the team member, with copies to the people in charge of team performance.

Section 1: To Be Completed by Team Member

Team Member: ______________ Reviewer: ______________ Date: ________

Description of Project: ____

List three things that you learned from working on this project:

1. ____

2. ____

3. ____

List three areas in which engagement performance could be improved:

1. ____

2. ____

3. ____

Section 2: To Be Completed by Fellow Team Members

Was the work completed in a timely manner and within budget? Provide details.

Comment on the effectiveness of communication throughout this engagement.

Comment on the team member's attitude and enthusiasm for work performed. Did he or she demonstrate a commitment to quality client service?

Comment on the strengths of the team member.

Identify any opportunities for performance improvement for the team member.

RATING BY AREA

	Exceeds Expectations	Meets Expectations			Needs Improvement
Displays technical competence	5	4	3	2	1
Asks questions and takes notes	5	4	3	2	1
Offers suggestions for engagement improvement	5	4	3	2	1
Takes ownership of assigned tasks	5	4	3	2	1
Displays good verbal communication skills	5	4	3	2	1
Displays good written communication skills	5	4	3	2	1
Identifies additional client service opportunities	5	4	3	2	1
Overall Rating	5	4	3	2	1

Supervisor signature: ____________________ Team member signature: ____________________

Associate Performance Evaluation Form

Purpose

Receiving feedback from associates can be extremely valuable. The Associate Performance Evaluation Form can be used by organizations that want to gather information from associates and co-workers regarding the performance of employees. This form can be used in conjunction with the Performance Review and Development Plan Form or as a separate form. The items on this form can be added to or modified based on specific issues relevant to an organization.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The organization requests that the associate to complete the form.
2. Submit the completed form to a supervisor, department head, or HR/HRD manager.

Associate Performance Evaluation Form

<table>
<tr><td>Report on:</td><td colspan="2"></td><td>Years of Experience:</td></tr>
<tr><td>Reviewed by:</td><td colspan="2"></td><td>Date:</td></tr>
<tr><td colspan="4">Associate Evaluation</td></tr>
<tr><td colspan="2">Approximate Hours:</td><td colspan="2">Period from: to:</td></tr>
<tr><td colspan="4">Assignments (Client):</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">Brief Description</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="3">In relation to the individual’s experience and the complexity of the assignments, do you consider the work the person did:</td><td>1. difficult
2. normal
3. easy</td></tr>
<tr><td colspan="4">Evaluation of Performance</td></tr>
<tr><td colspan="4">Considering the individual’s training and experience, evaluate him or her on each of the areas below based on performance for this assignment. Use the following ratings.
1 = Outstanding; 2 = Above average; 3 = Average or what would normally be expected of an individual at his or her level of experience; 4 = Requires improvement; 5 = Unsatisfactory.
Circle the number representing your rating in each category. Please provide comments for any rating above or below a 3.</td></tr>
</table>

Area	Description	Rating	Overall Rating
Technical	Satisfies all technical requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Demonstrates a consistency in technical issue identification.	1 2 3 4 5 N/A	
	Is able to use technical resources.	1 2 3 4 5 N/A	
Client Service	Satisfies all client service requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Is proactive in identifying effects of business developments and technical developments as they pertain to clients (i.e. applicability of new pronouncements, law changes, etc.).	1 2 3 4 5 N/A	
	Has regular contact with appropriate level client personnel (not just during the time of service).	1 2 3 4 5 N/A	
	Participates in client entertainment functions for the appropriate levels of client personnel.	1 2 3 4 5 N/A	
Administrative	Satisfies all administrative service requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Completes assignments in a reasonable time frame under the circumstances.	1 2 3 4 5 N/A	
Practice Expansion/ Business Development	Satisfies all practice expansion-business development service requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Begins a long-range process to identify people, organizations, and contact groups to be involved with, the objective of which is to create a contact base to gain business.	1 2 3 4 5 N/A	
	Based on the above ratings, are prospects for advancement to more difficult engagements:		1. Excellent 2. Good 3. Contingent 4. Doubtful

Semi-Annual Section			
Personal	Satisfies all personal requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Is aware of leadership competencies.	1 2 3 4 5 N/A	
Recruiting	Satisfies all recruiting service requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
Professional	Meets all professional requirements of associate.	❑ Yes	❑ No
	Progresses to senior in one to two years.	❑ Yes	❑ No
	Meets annual chargeable hours goal.	❑ Yes	❑ No
	Meets annual total hours goal.	❑ Yes	❑ No
Considering all evaluation reports and personal knowledge of individual, are his or her prospects for advancement to next level:			1. Excellent 2. Good 3. Contingent 4. Doubtful

Description of prospect for advancement:

1. Excellent prospects for advancement to more difficult engagements. No important weaknesses; typically, such an individual would receive a number of 2s and/or 1s in the preceding evaluation of performance.
2. Good prospects for further advancement. Typically, such an individual would receive a number of 3s or 2s in the preceding evaluation. Any weaknesses are considered to be minor and correctable.
3. Further progress is contingent upon overcoming certain deficiencies noted in the preceding evaluation section (explain in the Comments section).
4. Further progress is doubtful or unlikely because deficiencies noted are significant and are considered uncorrectable; person has not improved in weak areas. Typically, such an individual would receive a number of 4s or 5s in the preceding evaluation.

Comments

Comment on exceptionally outstanding or poor performances as reported in the evaluation of performance. Please give other concise information, if any, reflected elsewhere that will assist in appraising the individual. (Attach an additional sheet if necessary.)

Discussion		
As an important part of on-the-job training, it is firm policy that the individuals performance be discussed with him or her during the course of the period and in summary form at the end of the period. The completed performance report must be discussed and shown to the individual at a meeting for that purpose.		
Indicate specific matters discussed		
1. Work performed well:		
2. Areas that require improvement:		
3. Reviewee comments:		
4. Completed report shown to me and discussed:	Signature of Reviewee:	Date:
	Signature of Reviewer:	Date:
Reviewed by:		Date:

Manager Performance Evaluation Form

Purpose

The Manager Performance Evaluation Form can be used to evaluate managers' performance and to establish developmental strategies for their performance improvement. The form allows employees to reflect on their performance, to better understand their work and organization, and to examine developmental needs based on in-depth feedback. To best utilize the form, reviewers are required to have advanced interview and communication skills. The form can be used with other HR evaluation forms to review performance and analyze developmental needs. HRD professionals can also add to or modify the items in the form to reflect situations specific to the organization.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Schedule a time to conduct a review and analysis with the manager.
2. Objectively review the manager in a comfortable setting.
3. Allow the manager to respond to the reviewer's feedback.
4. Analyze developmental needs based on the feedback.
5. Create a development plan with the written summary of performance review.
6. Both the reviewer and manager sign the form.

Manager Performance Evaluation Form

Report on:	Years of Experience:
Reviewed by:	Date:
Approximate Hours:	Period from: to:
Assignments/Description:	
In relation to the individual's experience and the complexity of the assignments, do you consider the work:	1 = difficult 2 = normal 3 = easy

Evaluation of Performance
Considering the individual's training and experience, evaluate him or her on each of the areas below based on performance for this assignment. 1 = Outstanding; 2 = Above average; 3 = Average, what would normally be expected of a individual at his or her level of experience; 4 = Requires improvement; 5 = Unsatisfactory. Circle the number representing your rating. Please provide comment in comment section on back for any rating above or below a 3.

Area	Description	Rating	Overall Rating
Technical	Has effectively mastered all *manager* technical responsibilities and duties.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Becomes responsible for all technical issue identification on engagements and participates in issue resolution utilizing all resources.	1 2 3 4 5 N/A	
	Serves as the initial stage of technical review, responsible for the technical content of work papers, financial statements, tax returns, management letters, and other rendered products.	1 2 3 4 5 N/A	
	Supervises fieldwork and willingly serves in capacities other than manager if particular case may require it.	1 2 3 4 5 N/A	
	Performs audit areas and return preparation on complicated/large engagements.	1 2 3 4 5 N/A	
	Actively participates in peer review/ inspection process.	1 2 3 4 5 N/A	

Client Service	Effectively meets all client service requirements of manager.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Seeks to have and maintain close relationships with top client management.	1 2 3 4 5 N/A	
	Responds to clients with solutions to service-oriented needs such as scheduling, new projects, new technical pronouncements, and their effects on the client.	1 2 3 4 5 N/A	
Administrative	Meets all administrative duties of manager.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Maximizes economics of client engagements.	1 2 3 4 5 N/A	
	Has billing responsibilities and timely renders bills on engagements with firm economics employed.	1 2 3 4 5 N/A	
	Willingly accepts administrative/non-chargeable responsibilities such as recruiting and policy/procedure development.	1 2 3 4 5 N/A	
Supervisory	Meets all requirements of manager as to supervisory responsibility.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Is willing and able to supervise more than one engagement at the same time.	1 2 3 4 5 N/A	
	Responsible for on the job training of personnel.	1 2 3 4 5 N/A	
Practice Expansion/ Business Development	Actively participates in providing additional services to existing clients.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Leads or actively participates in industry service groups/marketing groups.	1 2 3 4 5 N/A	
	Prepares and participates in proposal opportunities, including service decisions and fee setting.	1 2 3 4 5 N/A	
	Develops limited new business dollars at acceptable profitability levels and demonstrates a continued emphasis to develop more.	1 2 3 4 5 N/A	

<table>
<tr><th colspan="4">Semi-Annual Section</th></tr>
<tr><td rowspan="3">Personal</td><td>Strikes a balance with business and non-business life, effectively setting limits.</td><td>1 2 3 4 5 N/A</td><td rowspan="3">1 2 3 4 5 N/A</td></tr>
<tr><td>Actively uses interpersonal competencies.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td>Actively uses leadership competencies.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td rowspan="3">Recruiting</td><td>Meets all recruiting responsibilities of manager.</td><td>1 2 3 4 5 N/A</td><td rowspan="3">1 2 3 4 5 N/A</td></tr>
<tr><td>Actively participates in campus and office interviews.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td>Willingly accepts casual recruiting tasks outside of normal business hours.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td rowspan="5">Professional</td><td>Has met all professional requirements of manager.</td><td>Yes</td><td>No</td></tr>
<tr><td>Progresses to principal by demonstrating technical competency, good business and management judgment and continued new business production and absorption.</td><td>Yes</td><td>No</td></tr>
<tr><td>Actively emphasizes team-oriented approaches consistent with firm strategies.</td><td>Yes</td><td>No</td></tr>
<tr><td>Meets annual chargeable hours goal.</td><td>Yes</td><td>No</td></tr>
<tr><td>Meets annual total hours goal.</td><td>Yes</td><td>No</td></tr>
<tr><td colspan="2">Considering all evaluation reports and personal knowledge of individual, are prospects for advancement to next level:</td><td colspan="2">1 = Excellent
2 = Good
3 = Contingent
4 = Doubtful</td></tr>
<tr><td colspan="4">Description of prospect for advancement:
1 = Excellent prospects for advancement to more difficult engagements and future partnership potential. No important weaknesses; typically, such an individual would receive a number of 2s and/or 1s in the preceding Evaluation of Performance.
2 = Good prospects for further advancement. Typically, such an individual would receive a number of 3s or 2s in the preceding evaluation. Any weaknesses are considered to be minor and correctable.</td></tr>
</table>

3 = Further progress is contingent upon overcoming certain deficiencies noted in the preceding evaluation section (explain in the Comments section). 4 = Further progress is doubtful or unlikely because deficiencies noted are significant and are considered uncorrectable; has not improved in weak areas. Typically, such an individual would receive a number of 4s or 5s in the preceding evaluation.
Comments
Comment on exceptionally outstanding or poor performances as reported in the Evaluation of Performance. Please give other concise information, if any, that would assist in appraising the individual (attach additional sheet if necessary).
Discussion
As an important part of on-the-job training, it is firm policy that the individual's performance be discussed with him or her during the course of the period and in summary form at the end of the period. The completed performance report must be discussed and shown to the individual at a meeting for that purpose.
Indicate specific matters discussed
1. Work performed well:
2. Areas that require improvement:
3. Reviewee comments:

<table>
<tr><td>4. Completed report shown to me and discussed:</td><td colspan="2">Signature of reviewee:</td><td>Date:</td></tr>
<tr><td></td><td colspan="2">Signature of reviewer:</td><td>Date:</td></tr>
<tr><td colspan="3">Reviewed by:</td><td>Date:</td></tr>
<tr><td colspan="2">Report on:</td><td colspan="2">Reviewed by:</td></tr>
</table>

Partner Performance Evaluation Form

Purpose

The Partner Performance Evaluation Form can be used by organizations that want to evaluate partner performance and to establish developmental strategies for performance improvement. This form allows both reviewers and partners to reflect on their performance, to better understand their work and the organization, and to examine developmental needs by including in-depth feedback. To utilize the form, reviewers are required to have advanced interview and communication skills. The form can be used with other HR evaluation forms to review performance and analyze developmental needs. HRD professionals can also add to or modify items on the form to reflect situations specific to their organizations.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Schedule a time to conduct the review and analysis with the partner.
2. Objectively review the manager in a comfortable setting.
3. Allow the partner to provide feedback and also provide the reviewer's feedback.
4. Analyze developmental needs concurrent with reviewing the partner's performance.
5. Establish a development plan to be attached to the written summary of performance review.
6. Both the reviewer and partner sign the form.

Partner Performance Evaluation Form

Approximate Hours:	Period from:	to:
Assignments/Descriptions:		
In relation to the individual's experience and the complexity of the assignments, do you consider the work:		1 = difficult 2 = normal 3 = easy

Evaluation of Performance

Considering the individual's training and experience, evaluate him or her on each of the areas below based on performance for this assignment. 1 = Outstanding; 2 = Above average; 3 = Average, what would normally be expected of a individual at his or her level of experience; 4 = Requires improvement; 5 = Unsatisfactory. Circle the number representing your rating. Provide comments in the Comments section for any rating above or below a 3.

<table>
<tr><th>Area</th><th>Description</th><th>Rating</th><th>Overall Rating</th></tr>
<tr><td>Technical</td><td>Has demonstrated technical competence and applied good judgment through present and prior levels with the firm.</td><td>1 2 3 4 5 N/A</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td>Client Service</td><td>Lives the high/strict client service ideals of the firm.</td><td>1 2 3 4 5 N/A</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td rowspan="3">Administrative</td><td>Responsible for decisions and decision-making processes on all aspects of the firm, including, but not limited to, staff compensation, asset purchases, promotion decisions, production, etc.</td><td>1 2 3 4 5 N/A</td><td rowspan="3">1 2 3 4 5 N/A</td></tr>
<tr><td>Signs all opinions or official statements of the firm.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td>Provide the backbone for vision, mission, core values, and philosophies.</td><td>1 2 3 4 5 N/A</td></tr>
</table>

Supervisory	Supervises technical and administrative staff as appropriate or provides systems to do so.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
Practice Expansion/ Business Development	Utilizing experience, judgment, and maturity, provides the bulk of business development in new client development, meeting new potential client in all walks of life.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Manages the practice to acceptable profitability levels to provide adequate income for partners and capital for investment in future needs/endeavors.	1 2 3 4 5 N/A	
Semi-Annual Section			
Personal	Strikes a balance with business and non-business life, effectively setting limits.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Actively uses interpersonal competencies.	1 2 3 4 5 N/A	
	Actively uses leadership competencies.	1 2 3 4 5 N/A	
Professional	Makes or participates in all hiring decisions in securing appropriate candidates with characteristics consistent with firm philosophies.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Practices, implements, enforces and develops firm philosophies, interpersonal competencies, visions, leadership competencies, and mission.	Yes	No
Comments			
Comment on exceptionally outstanding or poor performances as reported in the Evaluation of Performance. Please give other concise information, if any is reflected elsewhere that would assist in appraising the individual (attach additional sheet if necessary).			

<table>
<tr><th colspan="3">Discussion</th></tr>
<tr><td colspan="3">As an important part of on-the-job training, it is firm policy that the individual’s performance be discussed with him or her during the course of the period and in summary form at the end of the period. The completed performance report must be discussed and shown to the individual at a meeting for that purpose.</td></tr>
<tr><td colspan="3">Indicate specific matters discussed.</td></tr>
<tr><td colspan="3">1. Work performed well:</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3">2. Areas that require improvement:</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3">3. Reviewee comments:</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3"></td></tr>
<tr><td>4. Completed report shown to me and discussed:</td><td>Signature of reviewee:</td><td>Date:</td></tr>
<tr><td></td><td>Signature of reviewer:</td><td>Date:</td></tr>
<tr><td colspan="2">Reviewed by:</td><td>Date:</td></tr>
</table>

Practice Leader Evaluation Form

Purpose

The Practice Leader Performance Evaluation Form can be used by organizations that want to evaluate practice leader performance and to establish developmental strategies for performance improvement. This form allows practice leaders to reflect on their performance, to better understand their work and the organization, and to examine developmental needs by including in-depth feedback. To utilize the form, reviewers are required to have advanced interview and communication skills. The form can be used with other HR evaluation forms to review performance and analyze developmental needs. HRD professionals can also add or modify the items in the form to reflect situations specific to their organization.

Intended Audience

Primary users: Human Resources, Training and Development, and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Schedule a time to conduct a review and analysis with the practice leader.
2. Objectively review the practice leader in a comfortable setting.
3. Allow the practice leader to provide feedback and also provide the reviewer's feedback.
4. Analyze developmental needs concurrent with the practice leader's performance.
5. Attach the development plan to the written summary of the performance review.
6. Both the reviewer and practice leader sign the form.

Practice Leader Evaluation Form

Report on:	Years of Experience:
Reviewed by:	Date:
Approximate Hours:	Period from: to:
Assignments/Description:	
In relation to the individual's experience and the complexity of the assignments, do you consider the work:	1 = difficult 2 = normal 3 = easy

Evaluation of Performance

Considering the individual's training and experience, evaluate him/her on each of the areas below based on performance for this assignment. 1 = Outstanding; 2 = Above average; 3 = Average, what would normally be expected of a individual at his/her level of experience; 4 = Requires improvement; 5 = Unsatisfactory. Circle the number representing your rating. Please provide comment in comment section on back for any rating above or below a 3.

Area	Description		Rating	Overall Rating
Technical	Has satisfied all *practice leader*–level technical requirements.		1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Participates in all issue resolutions for tax or audit (as the case may be) with concurrence when needed from others.		1 2 3 4 5 N/A	
	Willingly serves in practice leader (or other capacity) when called upon to do so.		1 2 3 4 5 N/A	
	Provides timely, dedicated, and thorough impartial review services to engagement partners.		1 2 3 4 5 N/A	

Client Service	Has satisfied all practice leader client service requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Has close relationships with top client officers of most engagements.	1 2 3 4 5 N/A	
	Enforces high client service standards on engagement teams.	1 2 3 4 5 N/A	
	Projects a " whatever it takes" attitude toward client service.	1 2 3 4 5 N/A	
Administrative	Effectively meets all administrative criteria for practice leader position.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Maximizes economics of client engagements and accepts consequences and rewards associated with those economics.	1 2 3 4 5 N/A	
	Administers both self and client practice in a responsible manner and fiduciary capacity to partners and peers, including timely billing, collection, time reporting, etc.	1 2 3 4 5 N/A	
Supervisory	Meets all practice leader supervisory requirements.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
Practice Expansion/ Business Development	Meets all practice leader requirements in practice expansion/business development.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Actively solicits and receives new business at acceptable profitability levels with responsible attitude toward the firm's ability to provide quality services.	1 2 3 4 5 N/A	
	Maintains, directs, and controls (either by initial development or initial absorption) a portfolio of clients who pay rates comparable to the average collected rate of the firm.	1 2 3 4 5 N/A	
Semi-Annual Section			
Personal	Strikes a balance with business and non-business life, effectively setting limits.	1 2 3 4 5 N/A	1 2 3 4 5 N/A
	Actively uses interpersonal competencies.	1 2 3 4 5 N/A	
	Actively uses leadership competencies.	1 2 3 4 5 N/A	

<table>
<tr><td rowspan="2">Recruiting</td><td>Meets all recruiting responsibilities of practice leader.</td><td>1 2 3 4 5 N/A</td><td rowspan="2">1 2 3 4 5 N/A</td></tr>
<tr><td>Actively participates in campus and office interviews.</td><td>1 2 3 4 5 N/A</td></tr>
<tr><td rowspan="4">Professional</td><td>Proactively develops genuine relationships with peers and partners based on mutual respect and a cooperative/collaborative spirit.</td><td>Yes</td><td>No</td></tr>
<tr><td>Progresses to partner by relationship development, commitment to group philosophies, profitable business development, and effective leadership and interpersonal competencies.</td><td>Yes</td><td>No</td></tr>
<tr><td>Meets annual chargeable hours goal.</td><td>Yes</td><td>No</td></tr>
<tr><td>Meets annual total hours goal.</td><td>Yes</td><td>No</td></tr>
<tr><td colspan="2">Considering all evaluation reports and personal knowledge of individual, are prospects for advancement to next level:</td><td colspan="2">1 = Excellent
2 = Good
3 = Contingent
4 = Doubtful</td></tr>
<tr><td colspan="4">Description of prospect for advancement:
1. Excellent prospects for advancement to more difficult engagements and future partnership potential. No important weaknesses; typically such an individual would receive a number of 2s and/or 1s in the preceding Evaluation of Performance.
2. Good prospects for further advancement. Typically, such an individual would receive a number of 3s or 2s in the preceding evaluation. Any weaknesses are considered to be minor and correctable.
3. Further progress is contingent upon overcoming certain deficiencies noted in the preceding evaluation section (explain in the Comments section).
4. Further progress is doubtful or unlikely because deficiencies noted are significant and are considered uncorrectable; has not improved in weak areas. Typically, such an individual would receive a number of 4s or 5s in the preceding evaluation.</td></tr>
<tr><td colspan="4">Comments</td></tr>
<tr><td colspan="4">Comment on exceptionally outstanding or poor performances as reported in the Evaluation of Performance. Please give other concise information, if any is reflected elsewhere that would assist in appraising the individual (attach additional sheet if necessary).</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4"></td></tr>
</table>

Discussion		
As an important part of on-the-job training, it is firm policy that the individual's performance be discussed with him/her during the course of the period and in summary form at the end of the period. The completed performance report must be discussed and shown to the individual at a meeting for that purpose.		
Indicate specific matters discussed		
1. Work performed well:		
2. Areas that require improvement:		
3. Reviewee comments:		
4. Completed report shown to me and discussed:	Signature of Reviewee:	Date:
	Signature of Reviewer:	Date:
Reviewed by:		Date:

360-Degree Evaluation Form

Purpose

Increasing the number of evaluations offers a more balanced and comprehensive view of job performance. Feedback is provided by those individuals interacting with the employee on a regular basis. Their assessments are reliable, valid, and credible. The information provided by individuals with first-hand information about the employee's performance offers insight about work behaviors that the supervisor may not be able to observe.

HR departments are continuously searching for methods for improving the performance management process. The use of 360-degree performance appraisals offers a method of providing valuable feedback to individuals in the organization.

Intended Audience

Primary users: Employees of the organization

Secondary users: Supervisors and Human Resources

How to Use the Form

1. Determine employees to be evaluated.
2. Choose individuals to provide feedback.
3. Distribute evaluation forms.
4. Collect evaluation forms.
5. Human Resources compiles information from forms.
6. Supervisor meets with employee and shares feedback from the 360-degree process.

360-Degree Evaluation Form

Name: ______________________________ Department: ____________________

Name of feedback recipient: ____

Please return the completed form to: ______________________________________

By date: ____

Please check appropriate box below: _______________________________________

- ☐ Self. I am evaluating myself.
- ☐ Supervisor. I am evaluating the employee as his/her supervisor.
- ☐ Subordinate. I am evaluating my supervisor.
- ☐ Co-Worker. I am evaluating a co-worker within my department.
- ☐ Internal Customer. I am evaluating a co-worker /person outside my department.
- ☐ Other. I am evaluating a person who does not fit into the above categories

You have been identified by the person being rated in this evaluation as one of a number of individuals who can provide valuable input on his or her performance. Your individual responses will remain anonymous (unless you are the employee's supervisor); only composite information will be provided to the employee.

Instructions: Please indicate the rating that corresponds to the degree to which you observe this person demonstrating the listed behavior, according to the rating key below.

4 = A strength. The individual meets most and exceeds some of the behavior and/or skills expectations in this area.
3 = Appropriate skill level. The individual meets a majority of the behavior and/or skills expectations in this area for this job. There is generally a positive perspective toward responsibilities.
2 = Not a strength. The individual meets some behavior and/or skills expectations in this area but sometimes falls short.
1 = Least skilled. The individual consistently fails to reach behavior and/or skills expectations in this area.
NA = Not applicable or not observed.

Skills/Knowledge	A Strength 4	Appropriate Skill Level 3	Not a Strength 2	Least Skilled 1	Not Applicable N/A
1. Appropriately responds to the needs of customers.					
2. Builds and maintains productive relationships with all constituents.					
3. Demonstrates skills and knowledge of business.					
4. Demonstrates good judgment in carrying out all phases of work.					
5. Communicates effectively.					
6. Is an effective team member.					
7. Consistently timely and reliable.					
8. Demonstrates a pleasing disposition when dealing with others.					

Consulting Skills Assessment Survey: Self

Purpose

The Consulting Skills Assessment Survey: Self is designed to gather data, from an individual perspective, related to the quality of services provided to clients by internal consultants. The tool covers the broad array of behaviors, skills and competencies required to be an effective internal consultant.

Intended Audience

Primary users: Internal consultants within an organization.

Uses for the Form

Internal consultants can use the Consulting Skills Assessment Survey: Self to rate themselves on the services provided to clients they have served. A number of internal consultants have used the survey to enhance the quality of future consulting efforts.

Consulting Skills Assessment Survey: Self

The following questions address the quality of consulting services you provide to others in your organization. While some of the questions are generic to any manager, they are also specific to consulting efforts. For each question, please circle the number that best corresponds to your own self-evaluation.
Use the following scale:

Almost Never	Rarely	Sometimes	Often	Almost Always
1	2	3	4	5

As a consultant, I:

1.	Manage my time well.	1	2	3	4	5
2.	Provide services in the time expected.	1	2	3	4	5
3.	Provide services with the quality expected.	1	2	3	4	5
4.	Present myself professionally.	1	2	3	4	5
5.	Present myself with confidence.	1	2	3	4	5
6.	Use effective presentation skills.	1	2	3	4	5
7.	Show concern for the problems and/or challenges my client(s) face.	1	2	3	4	5
8.	Care about satisfying my client(s).	1	2	3	4	5
9.	Add value to my client's work.	1	2	3	4	5
10.	Demonstrate effective analytical skills.	1	2	3	4	5
11.	Demonstrate understanding of the technical requirements of my job.	1	2	3	4	5
12.	Effectively gather information and data relevant to the project or problem.	1	2	3	4	5
13.	Demonstrate the ability to distill information and data into a valuable summary.	1	2	3	4	5
14.	Demonstrate understanding of all aspects of a given situation.	1	2	3	4	5

15.	Work to define the consulting project accurately.	1	2	3	4	5
16.	Create a project plan that is sufficiently complete.	1	2	3	4	5
17.	Anticipate the needs and wants of others.	1	2	3	4	5
18.	Distinguish between the needs and wants of others.	1	2	3	4	5
19.	Anticipate the challenges my client might face or the needs that my client might have.	1	2	3	4	5
20.	Demonstrate creativity in meeting client needs or solving client problems.	1	2	3	4	5
21.	Demonstrate flexibility in my approach to analyzing and resolving problems.	1	2	3	4	5
22.	Keep my client(s) informed on the status of problems that are of concern to them.	1	2	3	4	5
23.	Am easy to communicate with.	1	2	3	4	5
24.	Communicate clearly and concisely.	1	2	3	4	5
25.	Accurately communicate the specifics of each particular situation.	1	2	3	4	5
26.	Effectively engage with other members of my client's organization.	1	2	3	4	5
27.	Take the initiative to learn my client's needs.	1	2	3	4	5
28.	Ask questions to elicit candid and truthful discussion.	1	2	3	4	5
29.	Professionally engage in difficult or uncomfortable discussions with my client when necessary.	1	2	3	4	5
30.	Demonstrate a willingness to resolve concerns or complaints.	1	2	3	4	5
31.	Demonstrate an understanding of my client's job challenges.	1	2	3	4	5
32.	Demonstrate the ability to function effectively within functional and cross-functional teams.	1	2	3	4	5

33.	Utilize a network of contacts and resources.	1	2	3	4	5
34.	Identify carefully considered options and alternatives.	1	2	3	4	5
35.	Demonstrate flexibility and responsiveness regarding my client's work schedule.	1	2	3	4	5
36.	Accurately and fairly determine the time by which my client needs particular deliverables completed.	1	2	3	4	5
37.	Notify my client(s) if a deliverable is not going to be completed according to the previously agreed-to schedule.	1	2	3	4	5
38.	Demonstrate an understanding of the impact on my client's customers if I do not meet their needs.	1	2	3	4	5
39.	Demonstrate an understanding of what constitutes success and/or failure.	1	2	3	4	5
40.	Demonstrate concern for the accuracy of my work.	1	2	3	4	5
41.	Demonstrate concern for cost when presenting solutions.	1	2	3	4	5
42.	Negotiate expectations with my client.	1	2	3	4	5
43.	Follow up with my client to ensure that I've met his or her expectations.	1	2	3	4	5
44.	Solicit feedback regarding my effectiveness.	1	2	3	4	5
45.	Provide my client(s) with honest and direct feedback.	1	2	3	4	5
46,	Am able to gain my client's trust.	1	2	3	4	5
47.	Am able to maintain confidentiality.	1	2	3	4	5
48.	Convey a sense of history regarding my department and its reputation.	1	2	3	4	5
49.	Adopt an effective approach to interpersonal relations.	1	2	3	4	5
50.	Am knowledgeable about my organization and industry or market sector and strive to provide impeccable customer service.	1	2	3	4	5

Consulting Skills Assessment Survey: Client

Purpose

The Consulting Skills Assessment Survey: Client is designed to gather data related to the quality of services provided to clients by internal consultants. The tool is designed to cover the broad array of behaviors, skills, and competencies required to be a successful and effective internal consultant.

Intended Audience

Primary users: Internal consultants, managers, and other end-user clients who enlist the services of internal consultants, and leaders who expect to interpret the results of those internal operations

Uses for the Survey

Internal consultants have used the Consulting Skills Assessment Survey: Client as part of a one-way assessment, receiving direct feedback from the clients they have served. The survey can also be completed by multiple clients of internal consultants as a multi-rater or 360-degree feedback mechanism. A number of internal consultants have used the completed surveys to enhance future team alignment efforts and planning sessions.

Consulting Skills Assessment Survey: Client

The following questions address the quality of consulting services provided to you by others in your organization. While some of the questions are generic to any manager, they are also specific to consulting efforts. For each question, please circle the number that best corresponds to your evaluation of others.

Use the following scale:

Almost Never	Rarely	Sometimes	Often	Almost Always
1	2	3	4	5

As a client, I received consulting services from others who:

1.	Managed their time well.	1	2	3	4	5
2.	Provided services in the time expected.	1	2	3	4	5
3.	Provided services with the quality expected.	1	2	3	4	5
4.	Presented themselves professionally.	1	2	3	4	5
5.	Presented themselves with confidence.	1	2	3	4	5
6.	Used effective presentation skills.	1	2	3	4	5
7.	Showed concern for the problems and/or challenges I faced.	1	2	3	4	5
8.	Cared about satisfying me.	1	2	3	4	5
9.	Added value to my work.	1	2	3	4	5
10.	Demonstrated effective analytical skills.	1	2	3	4	5
11.	Demonstrated understanding of the technical requirements of the process.	1	2	3	4	5
12.	Effectively gathered information and data relevant to the project or problem.	1	2	3	4	5
13.	Demonstrated the ability to distill information and data into a valuable summary.	1	2	3	4	5
14.	Demonstrated understanding of all aspects of a given situation.	1	2	3	4	5

15.	Worked to define the consulting project accurately.	1	2	3	4	5
16.	Created a project plan that is sufficiently complete.	1	2	3	4	5
17.	Anticipated the needs and wants of others.	1	2	3	4	5
18.	Distinguished between the needs and wants of others.	1	2	3	4	5
19.	Anticipated the challenges faced by me or the needs that I might have.	1	2	3	4	5
20.	Demonstrated creativity in meeting my needs or solving my problems.	1	2	3	4	5
21.	Demonstrated flexibility in their approach to analyzing and resolving problems.	1	2	3	4	5
22.	Kept me informed on the status of problems that are of concern to me.	1	2	3	4	5
23.	Were easy to communicate with.	1	2	3	4	5
24.	Communicated clearly and concisely.	1	2	3	4	5
25.	Accurately communicated the specifics of each particular situation.	1	2	3	4	5
26.	Effectively engaged with other members of my organization.	1	2	3	4	5
27.	Took the initiative to learn my needs.	1	2	3	4	5
28.	Asked questions to elicit candid and truthful discussion.	1	2	3	4	5
29.	Professionally engaged in difficult or uncomfortable discussions with me when necessary.	1	2	3	4	5
30.	Demonstrated a willingness to resolve concerns or complaints.	1	2	3	4	5
31.	Demonstrated an understanding of my job challenges.	1	2	3	4	5
32.	Demonstrated the ability to function effectively within functional and cross-functional teams.	1	2	3	4	5
33.	Utilized a network of contacts and resources.	1	2	3	4	5

34.	Identified carefully considered options and alternatives.	1	2	3	4	5
35.	Demonstrated flexibility and responsiveness regarding my work schedule.	1	2	3	4	5
36.	Accurately and fairly determined the time by which my needs for particular deliverables existed.	1	2	3	4	5
37.	Notified me if a deliverable was not going to be completed according to the previously agreed-to schedule.	1	2	3	4	5
38.	Demonstrated an understanding of the impact on my customers if they did not meet their needs.	1	2	3	4	5
39.	Demonstrated an understanding of what constitutes success and/or failure.	1	2	3	4	5
40.	Demonstrated concern for the accuracy of their work.	1	2	3	4	5
41.	Demonstrated concern for cost when presenting solutions.	1	2	3	4	5
42.	Negotiated expectations with me.	1	2	3	4	5
43.	Followed up with me to ensure that my expectations were met.	1	2	3	4	5
44.	Solicited feedback regarding their effectiveness.	1	2	3	4	5
45.	Provided me with honest and direct feedback.	1	2	3	4	5
46.	Were able to gain my trust.	1	2	3	4	5
47.	Were able to maintain confidentiality.	1	2	3	4	5
48.	Conveyed a sense of history regarding my department and its reputation.	1	2	3	4	5
49.	Adopted an effective approach to interpersonal relations.	1	2	3	4	5
50.	Was knowledgeable about my organization and industry or market sector and strived to provide impeccable customer service.	1	2	3	4	5

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

REWARDS FORMS

The topic of rewards encompasses all aspects of company-provided value, including compensation, benefits, recognition, work/life arrangements, and career development opportunities given to employees in exchange for job performance.

Rewards are frequently intangible, and yet they improve employee morale. Because of the truism that you get what you reward, organizations strive to reinforce positive and productive behavior. While budgets don't always allow for pay increases and promotions, recognition in the form of a simple "thank you" or a token gift like lunch, a pizza party, or gift cards can be used to acknowledge desirable behavior and good work.

The forms found in this part of Volume Two provide tools to use when rewarding employees based on job performance. Forms included are for job evaluations, salary changes, employee reward options, employee salary increases, relocation incentive payments, relocation expense reimbursement, and employee reward nominations.

Request for Job Evaluation Form

Purpose

This form can be used to collect information pertaining to employees' jobs. The information can then be used to determine the relative worth of jobs within the organization so HR can establish which employees should receive more salary. The job evaluation process contributes to ensuring that pay equity exists.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Request that the job incumbent complete the form to the best of his or her knowledge.
2. Supervisor/manager reviews the form to ensure accuracy.
3. Form is submitted to Human Resources for evaluation.

Request for Job Evaluation Form

Date:_________ Job Code: __________________ Job Title: ___________ Division: ________

Department: ____

Requestor's Name: _____________________________________

Requestor's Title: ______________________________________

Requestor's Recommendation:

Reason for evaluating the job:

Titles of other jobs affected and how these jobs will change:

Titles and grades (if known) of existing jobs from which internal candidates for this job can be drawn:

Titles and grades (if known) of existing jobs to which an incumbent of this job could progress:

Attach Job Description to Request Form

To Be Completed by Human Resources

Final Job Title and Salary Grade: _________________________

Human Resources Representative: _______________________ Date: ____________

Salary Change Form

Purpose

The purpose of this form is to notify Human Resources of requests for change in an employee's salary. This change could be requested because of merit, an increase in job duties and responsibilities, or a promotion/demotion.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Supervisor/manager completes the form and submits it to Human Resources.

Salary Change Form

Employee: _______________ Date of Hire: __________ Current Department: _____________

Current Position: ___________________________________ Current Job Level: ______________

Reason for Change (check one):

Annual Review ❑ Promotion ❑ Job Level Change ❑

New Position ❑ Other (fill in) ❑

New Department (if applicable): ________________

Current Salary $ ________ Date of Last Salary Review ________ Date of Last Evaluation ________

Performance Rating (check one):

Exceptional ❑ Commendable ❑ Needs Improvement ❑ Unacceptable ❑

Current Quartile:

First ❑ Second ❑ Third ❑ Fourth ❑

Amount of Increase: __________

Merit Increase ❑ Promotion Increase ❑

Annual merit increase = ________________ % ________________ %

Percentage annual merit increase prorated over ____________ months = _____________%

Special Salary Adjustment ________________ Amount of Adjustment ________________

To minimum of promoted salary range after promotion increase $ _________

To minimum of current salary range (prior to increase) $ _________

To annual pay **prior** to increase $ _________

Other $ _________

New Salary $ _______________ Total Increase % _____________ Effective Date___________

Comments: ____

____

____

Immediate Manager: ________________ Human Resources: _____________

Date _________ Date ________

Department Manager:_______________ President: _____________

Date _________ Date ________

Instructions for Completing the Salary Change Form

1. Complete the top portion of the form with all of the information requested on each employee receiving a salary change.
2. **Increase Amount.** All percentages should be rounded to one decimal point (2.0%, 3.0% , 3.5%, 4.0%).
   - **Annual merit increase.** The twelve-month increase recommended.
   - **Prorated merit increase.** The recommendation for a period of under twelve months or greater than twelve months. Only full months of service will be used in the calculation. Credit is received for an entire month only when the new salary review effective day is equivalent to or after the last salary review effective day. The annual increase amount is determined from the Merit Increase Matrix and is prorated using the following formula:
3. **Annual Increase Percentage**
   12 X # months = annual prorated percent
4. **Promotion Increase**
   - 5 percent should be filled in for all promotions. The promotion increase is applied prior to the merit increase in calculating the new salary. See below prior to calculating a merit increase.
5. **Special Salary Adjustments**
   - *To minimum of promoted salary range after promotion increase.* If, after calculating the promotion increase, the salary is below the minimum for the new range, indicate the dollar amount required to bring the salary to the new minimum before the merit increase is applied.
   - *To minimum of current salary range (prior to increase)*. If an employee's salary falls below the minimum for the current salary range, indicate the dollar amount the salary will be adjusted before the merit increase is applied, if any.
   - *To annual pay prior to increase.* If applicable, indicate the dollar amount the salary will be adjusted before the merit increase is applied. General salary adjustments usually occur to offset potential compression between employee salaries.

5\. **New Salary.** The current salary (or adjusted salary if any in number 4. above apply) plus the percent salary increase recommended, rounded up to the next full dollar (for example, $34,503.01 should be $34,504).

6\. **Total Increase.** The percent difference between the current salary and new salary, which takes all recommended increases into account.

7\. **Effective Date.** The first day the new salary begins. This date should coincide with the first day of a bi-weekly pay period.

8\. **Signatures.** All signatures are required. The salary approval will be communicated by Human Resources to the immediate manager, who may then communicate the salary information to the employee.

Grade Change and Salary Recommendation Form

Name: ___________________________ Social Security Number: ___________________________

New Appointment: ________________ Displacement/Demotion: _________________________

Promotion: _______________________ Grade Adjustment: _________________________________

Probation: ________________________ Other: ____

Current Position: _________________ Current Job Classification Grade: __________________

Seniority Dates

Current Salary or Rate of Pay:_______________ Job:_______________ System:_______________

Recommendations for the Position of: ____

Job Grade: _______________________________ Explanation: _______________________________

Annual Salary Recommended

Bi-Weekly: _______________________________ Percentage Increase: _______________________

Salary Range Information

Mid-Point: _______________________________ Average: __________________________________

Comparison with Others in Grade: ____

If Compression, Salary of Highest Paid Subordinate(s):_____________________________________

Input Information

Compensation Department: ____________________ Effective Date): ______________________

Director of Human Resources: ___________________ HRIS Entry: _________________________

Payroll Entry Date: _____________________________

Comments:

Employee Reward Options Form

Purpose

The Employee Reward Options Form can be used by any organization to request and/or approve reward options of employees in accordance with reward levels (for example, basic/bronze, intermediate/silver, and advance/gold), which are associated with organizational policy.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form is distributed to the employee.
2. The form is filled out by the employee.
3. After the employee completes the form, he or she submits it to Human Resources.
4. Human Resources makes a recommendation in accordance with organizational policy and sends the form to the administrator of the financial department.
5. The administrator of the financial department makes the final decision in accordance with an organizational policy.

Employee Reward Options Form

Employee Name: ______________________________________

Department/Group: ___________________________________

Job Title / Position: ___________________________________

Employee ID:______________________ Work Location: _____________________

Guidelines for Basic or Bronze (Company Policy Number __________)

Reward Level: Basic or Bronze (______ Points/Credits)

Reward Options: ______________________________________

Guidelines for Intermediate or Silver (Company Policy Number __________)

Reward Level: Intermediate or Silver (______ Points/Credits)

Reward Options: _____________________________________

Guideline for Advanced or Gold (Company Policy Number __________)

Reward Level: Advance or Gold (______ Points/Credits)

Reward Options: _____________________________________

Note: Reward options may change without any notice.

Submitted by: ___________________ ___________________ ___________
(Direct Supervisor) *Name* *Signature* *Date*

Approved by: ___________________ ____________________ ___________
(Director of HR) *Name* *Signature* *Date*

Approved by: ___________________ ___________________ ____________
(Administrator of Financial Department) *Name* *Signature* *Date*

HR Comments (if any)

Employee Salary Increase Form

Purpose

The Employee Salary Increase Form can be used by any organization to request and approve a salary increase of an employee who qualifies (promotion, performance excellence, retention, additional certificate/degree, etc.). This form can also be modified to use for other purposes.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form is distributed to the direct supervisor of the employee.
2. The form is filled out by the direct supervisor.
3. When the direct supervisor completes the form, he or she submits it to the director or vice president of the department.
4. The director or vice president makes a decision whether to approve the salary increase, signs the form, and sends it to the director of Human Resources.
5. The director of HR makes a decision about final approval in accordance with organizational policy.

Employee Salary Increase Form

Employee Name: ________________________________

Department/Group: _____________________________

Job Title/Position: _______________________________

Employee ID: ____________________ Work Location: ______________________

Reason for Salary Increase

Promotion ❑ Performance Excellence ❑ Retention ❑

Additional Certificate/Degree ❑ Employee Status Change ❑

Other Reason ( ) ❑

Note: Please attach any supporting documentation to justify a salary increase.

Current Salary: _________ Recommended Salary: _________ Percent Increase: _________

Effective Start Date: _______________ End Date (if temporary assignment): ______________

Recommended by: ___________________ ___________________ __________
(Direct Supervisor) *Name* *Signature* *Date*

Approved by: ___________________ ______________________ __________
(Director/
Vice President) *Name* *Signature* *Date*

Approved by: ___________________ ______________________ __________
(Director/HR) *Name* *Signature* *Date*

Comments

401(k) Plan Designation of Beneficiary Form

Purpose

The purpose of this form is to provide guidelines to employees and managers in any organization. In general, policies outline acceptable behaviors and expectations from employees. By using this template, any type of policy can be presented to employees to make sure they have read, understood, acknowledged, and agreed with the stated policy.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The form is distributed to the employee.
2. The employee signs the form indicating he or she has read, understood, acknowledged, and agreed with the policy.
3. The signed copy of the form is returned to proper person/department..
4. Another copy of the signed form may be retained by the employee for his or her personal records.

401(k) Plan Designation of Beneficiary Form

Participant's Name: ______________________

Regarding any amount payable under the **[*insert company name*]** 401(k) plan by reason of my death, I hereby select the following option applicable to my situation and designate the following beneficiary(ies): ____________________

____

Unmarried Participant

☐ I am not married and designate the following Primary/Contingent Beneficiary(ies) (revoking any prior designations made by me).

Married Participant

Note: The surviving spouse of a participant who is married on the date of death will be the primary beneficiary of the plan benefits, regardless of how this form is completed, unless the spouse consents to the participant's waiver of such right by signing at the bottom of the next page and having the signature notarized.

☐ I am married and designate my spouse as my Primary Beneficiary, as shown below. (I also designate the following Contingent Beneficiary(ies) shown below, if any.) This revokes any prior designations made by me.

OR

☐ I am married, and I hereby waive the right to have my spouse be the sole Primary Beneficiary of my plan benefits. I designate the following Primary/Contingent Beneficiary(ies) in lieu of my spouse (revoking any prior designations made by me). ***My spouse has signed at the bottom of next page, and the signature has been notarized.***

Primary Beneficiary(ies)

(A deceased Primary Beneficiary's interest will pass to the surviving Primary Beneficiary, if any.)

(1) Name: ______________________________ Relationship: ____________

Address: ______________________________ Percentage: _____________

____

____

(2) Name: ______________________________ Relationship: ____________

Address: ______________________________ Percentage: _____________

____

____

(3) Name: ______________________________ Relationship: ____________
Address: ______________________________ Percentage: ____________
____
____

Contingent Beneficiary(ies)

(If no Primary Beneficiary survives. A deceased Contingent Beneficiary's interest will pass to the surviving Contingent Beneficiary, if any.)

(1) Name: ______________________________ Relationship: ____________
Address: ______________________________ Percentage: ____________
____
____

(2) Name: ______________________________ Relationship: ____________
Address: ______________________________ Percentage: ____________
____
____

(3) Name: ______________________________ Relationship: ____________
Address: ______________________________ Percentage: ____________
____
____

EXECUTED this ___ day of _______20___
Signature of Participant: Signature of Witness:

______________________________ ______________________________

Below is spouse's consent to waive rights as sole primary beneficiary. This form must be completed and signed before the waiver is effective.

I hereby consent to the designation(s) made by my spouse to have my spouse's plan benefits paid to the above-named beneficiary(ies), The plan benefits have been explained to me, and I hereby acknowledge that I understand (1) that the effect of such designation is to cause my spouse's plan benefits to be paid to a beneficiary other than me; (2) that each beneficiary designation is not valid unless I consent to it; and (3) that my consent is irrevocable unless my spouse revokes or changes the beneficiary designation.
EXECUTED this ___ day of _______20___
Signature of Participant's Spouse: Signature of Notary Public:

______________________________ ______________________________

My Commission Expires on: ____________________

Relocation Incentive Payment Form

Purpose

The Relocation Incentive Payment Form can be used by any organization to gain approval for a relocation incentive payment in accordance with job title/position change, work location change, new employment, etc., associated with organizational policy.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The form is distributed to the direct supervisor of the employee.
2. The form is filled out by the direct supervisor.
3. When the direct supervisor completes the form, he/she submits it to the director or vice president of the department.
4. The director or vice president makes a decision about approval of the relocation incentive payment, signs the form, and sends it to the director of Human Resources.
5. The director of HR makes a decision about final approval in accordance with organizational policy.

Relocation Incentive Payment Form

Employee Name: ____

Job Title/Position: ____

Employee ID: ____________________ Relocation Date: _________________________

Start Date: ______________________ End Date: _______________________________

Employment Status:

❏ Full-Time Regular ❏ Full-Time Temporary

❏ Part-Time Regular ❏ Part-Time Temporary

Reason for Relocation:

❏ Job Title/ Position Change ❏ Work Location Change ❏ New Employment

❏ Other Reason

	Current	**New (if changed)**
Department/Group		
Job Title/Position		
Work Location		

Relocation Incentive Type and Value

❏ Monetary Incentive (Value $_________)

❏ Non-Monetary Incentive (Item:_______________ Value $__________)

Budget Number: _______________ Payment Date: _______________

Additional Comments (if any):

Requested by: ______________________________ Date: _______________________________

Approved by: ______________________________ Date: _______________________________

Approved by: ______________________________ Date: _______________________________

HR Comments (if any):

Relocation Expense Reimbursement Form

Purpose

The Relocation Expense Reimbursement Form can be used by any employee who requests that an organization reimburse relocation expense in accordance with company policy (job title/position change, work location change, new employment, etc.). Items may be changed as needed.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form is distributed to the employee; it is filled out by the employee.
2. After the employee completes the form according to the company guidelines, he or she submits it to a direct supervisor or the director of the department.
3. The director or vice president makes a decision for approval of the relocation expense reimbursement, signs the form, and sends it to the director of Human Resources.
4. The director of HR makes a decision for approval in accordance with organizational policy, signs the form, and sends it to the financial department.
5. The financial department makes a final decision for approval in accordance with organization policy.

Relocation Expense Reimbursement Form

Employee Name: ____

Department/Group: ____

Job Title: ____

Employee ID: _________________ Relocation Date: __________________

Start Date: ___________________ End Date: ________________________

Employment Status:

❏ Full-Time Regular ❏ Full-Time Temporary

❏ Part-Time Regular ❏ Part-Time Temporary, Etc.

Former Home Address ____

City: ___________ State: ______________ Zip Code: _________

New Home Address ____

City: ___________ State: ______________ Zip Code: _________

Pertinent Company Guideline for Relocation Expense Reimbursement (Policy Number: __________)

Total Amount of Covered Expenses: ($ ______________)

Travel and lodging: ($ ____________)

Meal payment: ($ ____________)

Transportation: ($ ____________)

Other ($ ____________)

Exceptional Payment Policy: ____

Repayment Policy (*Describe condition(s) under which the total amount of relocation expense must be repaid to the company*):

Vendor information (*Describe outside vendors regarding travel, lodging, and transportation that company has contracted*):

Others who need to be notified: ____

Moving Expense	Type	Total ($)
	Taxable	
	Subtotal Taxable Expenses	
	Non-Taxable	
	Subtotal Non-Taxable Expenses	
Grand Total Expenses		

Note: Please attach all of original receipts for moving expenses for verification.

Approved Relocation Expenses

Budget Number: ________________________ Date Paid: _______________

Submitted by: ___________________ ___________________ ___________
(Employee) *Name* *Signature* *Date*

Approved by: ___________________ ___________________ ___________
(Supervisor/ Director) *Name* *Signature* *Date*

Approved by: ___________________ ___________________ ___________
(Director of HR) *Name* *Signature* *Date*

Approved by: ___________________ ___________________ ___________
(Financial Department) *Name* *Signature* *Date*

Employee Reward Nomination Form

Purpose

The Employee Reward Nomination Form can be used by any organization to request and approve a reward for an employee in accordance with appropriate policy. This form can also be modified to use for other kinds of recommendations.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form is distributed to the direct supervisor of the employee being nominated for a reward.
2. The form is filled out by the direct supervisor.
3. When the direct supervisor completes the form, he or she submits it to the director or vice president of the department.
4. The director or vice president makes a decision for or against approval of the reward, signs the form, and sends it to the director of Human Resources.
5. The director of HR gives final approval in accordance with organizational policy.

Employee Reward Nomination Form

Name of Nominee: ____

Department/Group: ____

Job Title/Position: ____

Employee ID: ________________ Performance Level: _______________

Name of Nominator: ____

Summary of Job Description

Please also attach a full version of pertinent job description.

Check reason for the nomination below	Provide example or outcome
❑ Performance Excellence	
❑ Business Leadership	
❑ Innovation Technology	
❑ Customer Satisfaction	

*Reasons for nomination can be modified or changed according to an organization's policy.

Additional Comments (if any):

Nominated by: ____________________ __________________ __________
(Direct Supervisor) *Name* *Signature* *Date*

Approved by: ___________________ ______________________ __________
(Supervisor/
Vice President)) *Name* *Signature* *Date*

Approved by: ___________________ _____________________ ____________
(Director of HR) *Name* *Signature* *Date*

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Edited by William J. Rothwell

PART FOUR

EMPLOYEE RELATIONS AND COMMUNICATION

The following section focuses on employee relations, specifically: employee engagement; employee wellness; disability and inclusion; and mature workers.

Good employee relations and efficient communication are necessary to carry out effective work in organizations, so promoting a culture that values employees helps an organization to achieve its strategic goals.

Communication is the process by which information and understanding are transferred. Communication in an organization takes place between manager and employers, employees and other employees, and managers and other managers on a regular basis. It is important for messages to be shared not only downward, but upward as well. Many managers may resist feedback from employees because it may be negative or riddled with problems; however, dismissing feedback of this type may lead to missed opportunities for growth and improvement.

Managers communicate by sharing the organization's and their department's vision and mission with subordinates. Employees share concerns and offer better methods of accomplishing tasks. While this type of communication can occur on an informal basis, it is helpful to have regularly scheduled meetings dedicated specifically to work issues. Forms can provide a basis for these types of meetings by providing a channel to formally document information to be shared. Creating meeting agendas, clear communication channels, and facilitating difficult conversations can be especially helpful for business communication.

Listening actively is another key to successful communication. Active listening is the ability to take in the information being presented without immediate judgment. It means repeating back the message heard to ensure accurate understanding.

Communication happens in many formats, including face-to-face, email, phone, texting, and meetings. Organizations can designate the appropriate format for various formal and informal communications that take place. Utilizing new forms of technology can enhance organizational communication and expand engagement beyond the office walls. Work groups are no longer limited to geographic boundaries. Through technology, communication is much more diverse and flexible, which allows for virtual teams.

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WHAT ARE VIRTUAL TEAMS?

Hsin-Ling Tsai

Today's workplace is not only encompassing traditional organizational methods, but dealing with outside resources. Because of the development of Internet and Web 2.0 applications, more and more people are able to collaborate with others in different locations to accomplish their tasks. For employers, this means greater flexibility to hire talent worldwide. Employees have the opportunity for better life/work balance. However, virtual teams do create some critical situations for management.

A simple definition of a virtual team is a group of people who are physically separated, working and interacting electronically by phone, the Internet, and other communication tools. To manage a virtual team effectively and motivate members, traditional management must adopt new ways and rethink its business structure for recruiting and retaining virtual talent. It is essential for organizations to find creative ways to use technology to assist employees to collaborate efficiently, regardless of distance.

Tips for Successful Virtual Teams

Communicating with team members who are located in separate locations, offices, cities, and nations is difficult and more complicated than a traditional arrangement. Leaders must to be more creative and open to new tools that may enhance the trust, mobility, motivation, and efficiency of any virtual work team.

As with any team, virtual teams should establish ground rules for meetings. Biweekly meetings are suggested to keep projects on time. Email can provide a good method of communication among team members, who should receive updates and meeting minutes, as well as to-do lists, on a regular basis.

IP telephony or voice over Internet protocol (VoIP) can be helpful. Developed in the late 1990s, it provides an easier method for remote and distant workers to manage and receive messages and stay in the information loop.

Computer-mediated communication is any transaction created by two or more people who interact each other through separate computers or networked telecommunication system. Common forms of virtual communication include instant messages, email, chat rooms, text messages, web/video/audio conferences, list-servs, blogs, and RSS.

The web has grown from a scientific exchange to a global information exchange since the last century. In short, Web 2.0 has had a huge impact and the following may applications can be helpful for companies managing virtual teams:

1. *Doodle,* a simple, free Web 2.0 tool to help schedule meetings, plan appointments, and set up a simple pool. Doodle reduces the number of emails and can poll team members regarding availability.
2. *JotForm* is the first web-based WYSIWYG form builder. This free tool allows virtual team members to create forms and simple surveys collaboratively.
3. *Google Document* is a web-based word processor, spreadsheet, presentation, form, and data storage service offered by Google. This online collaboration tool allows distance workers to work on the same document simultaneously.
4. *Delicious*, a social book-marking web service, can be used for sharing, storing, and tagging. Virtual teams can utilize these social bookmark services to organize their teams' online resources and bookmark them with informal tags instead of the traditional browser-based system of folders.
5. *freeconference.com* is a telephone-conference tool to allow individuals to access and participate in meetings via telephone. This free conference call service features conference bridges and toll free conferences with as many as 250 participants per call.
6. *Mind42*, a collaborative online visual tool, can be used to brainstorm and plan ideas. Mind mapping is an effective way to illustrate concepts in a diagram form.

Conclusion

The workplace has become a more and more virtual environment. In today's rapidly changing world, a virtual workplace offers more opportunities to employers to attract talented people around the world and reduce the cost of facilities and travel. Technology provides ways for employees to work remotely with diverse interactions via technology and maintain some work/life balance. To face the organizational and managerial challenge of virtual teams, organizations must adopt the best technology for their virtual workforce to promote and create *employee engagement* as well as efficient operations.

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EMPLOYEE ENGAGEMENT, AND WHY IT IS IMPORTANT

Catherine Baumgardner and Jennifer L. Myers

Employee engagement (also called work engagement) has become a popular term in the business world over the past fifteen to twenty years. In the past few years, academia has begun to research the conditions for employee engagement. It can be defined in a number of ways and is often confused with "job satisfaction." In order to understand the difference, it is important to recognize that employee engagement goes much deeper than job satisfaction. Employee engagement is rooted in the employee's personal connections to his or her job and to the organization. Job satisfaction is more closely related to whether or not the employee has what he or she needs to do the job, rather than having an internal drive to do the job. We will define employee engagement here as *the extent to which an employee feels so connected to the work and to the organization that he or she is willing to give discretionary effort to the work at hand*. Everyday terms that describe engagement include passion, enthusiasm, connection, flow, and focused effort.

Employees who are engaged often describe their experience as feeling valued by the organization, having the ability to grow as a person, being challenged, seeing near-term results, working on something of long-term importance, and feeling energized by the work. Unlike burnout, where the employee feels completely drained and exhausted by the end of a task, engagement leaves the employee with more energy and hence produces more for the company.

Why Is Employee Engagement Important?

As the job market becomes more competitive, it is more important than ever for employers to engage employees at both the organizational and personal levels. An engaged employee is more productive, produces a higher quality product, and provides better customer service. Research has shown a direct correlation between employee engagement and customer satisfaction. In today's world, consumers have many choices, and a company not paying attention to employee engagement stands to lose its competitive edge.

It can also be argued that employee engagement provides a healthier workplace. When employees are happier and more energized by their work, absenteeism drops and conflicts decline. Employees are also more innovative and creative in an engaged environment, leading to more products and processes that meet or exceed customer expectations. This keeps the company on the cutting edge, rather than following the lead of others.

How Can Leaders Foster Employee Engagement?

It's not enough for a leader to say that he or she *believes in* employee engagement. Leaders must *understand* the basic principles behind employee engagement. A leader's primary role is creating and fostering an environment that attracts and retains people who are highly engaged in their work. People already highly engaged seek organizations in which they can demonstrate that engagement freely in an environment characterized by a clear sense of purpose, autonomy to do the job, resources to do the job, and the confidence and support of leadership. Engaged employees have the potential to make a substantial impact on a company's achievement of overall goals, both short- and long-term.

An environment that supports engaged employees must be created over time. Changes must be made in keeping with a culture that supports engagement; otherwise, employees move on. The engaged culture is characterized by leadership that encourages and supports employees and values their efforts, and in which work matters.

Conclusion

Would you rather have an organization in which employees have to be continually encouraged or one in which employees continually push the organization with their enthusiasm for their work and the company? Isn't it preferable to have people who are emotionally involved and committed to their projects and work outcomes?

In addition to companies creating an environment that supports and sustains that level of engagement; they have begun to use wellness and health initiatives as an employee perk in recent years. Although HR professionals often have different philosophies about what constitutes an employee wellness program (EWP), they tend to share the common goals of creating and maintaining a healthier workforce and saving on health-related costs.

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EMPLOYEE WELLNESS PROGRAMS

Shannon Oyewole and Kelsey Taylor

The *Harvard Business Review* defines an employee wellness program (EWP) as an "organized, employer-sponsored program that is designed to support employees, and sometimes their families, as they adopt and sustain behaviors that reduce health risks, enhance personal effectiveness, improve quality of life, and benefit the organization's bottom line" (Berry, Mirabito, & Baun, 2010).

EWPs include employee enlightenment and awareness programs as well as health promotion and disease prevention efforts (SHRM, 2011). The effectiveness of EWPs depends on program quality, sustainability, and management support. Subsequent sections cover why organizations should invest in EWPs, some recommended ways to establish them, and ideas for what to include in your company's program.

Why Employee Wellness Programs Are Needed

The diverse benefits of an EWP include a healthier workforce; decreased absenteeism; lower overall healthcare costs; fewer insurance, disability and workers' compensation claims; enhanced employee recruitment; better retention rates; increased productivity; and employees reporting greater feelings of pride and trust in their company and its leadership.

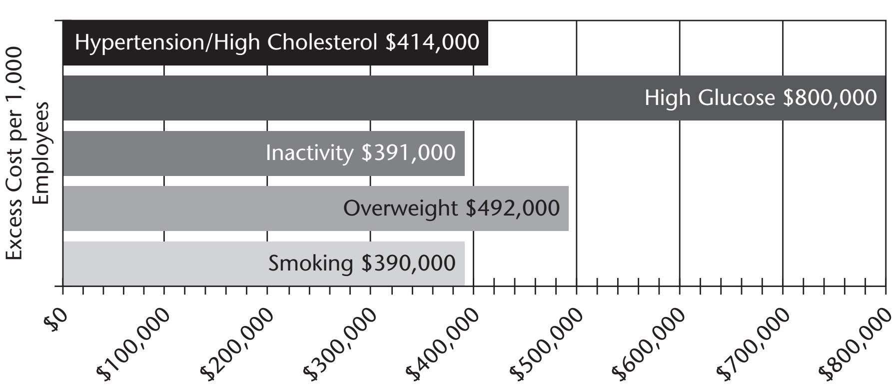
Most employers embarking on an EWP eventually recover their investment by saving on the costs of an unhealthy workforce. In fact, with employer-based insurance premiums increasing at twice the rate of inflation, it is becoming hard for companies to ignore the enormous health-related costs of the workforce.

The savings that an EWP can provide are quite significant. Various studies have placed the typical ROI for quality EWPs anywhere from a $1.5 to $6 return on every dollar invested. The findings of a 2009 *Harvard Business Review* study analyzing the ROI for ten large companies with EWPs reported up to $6.6 million in savings for a single corporation in one year (Berry, Mirabito, & Baun, 2010).

One of the biggest financial benefits of employee wellness programs is a more dedicated and attentive workforce. Companies with an unhealthy, unfocused employee population often experience a phenomenon known as "presenteeism," when employees are physically present at work but significantly less productive—losing focus, repeating tasks, or simply not completing work at all. Presenteeism is directly related to poor health, and its costs increase as an employee's weight increases. These expenses can easily exceed those of absenteeism or even direct medical expenses.

The cost of presenteeism for the most severely unhealthy employees amounts to over one month per year in lost productivity during paid work hours (Finkelstein, DiBonaventura, Burgess, & Hale, 2010). Just imagine getting an extra month's work out of certain employees at your company every year. This could be one advantage of implementing a successful EWP. Figure 4.1 shows the additional expenses that unhealthy employees can cost their employers.

FIGURE 4.1. AVERAGE ANNUAL EXCESS COSTS OF AN UNHEALTHY WORKFORCE (COMPARED TO HEALTHY INDIVIDUALS)



Data from Workplace Health Promotion (Chenowith, 2011)

Initiating an Employee Wellness Program

EWPs work and produce positive results for both employers and employees. Although the full process of creating such a program is too complex to be fully covered here, any EWP should possess four major components to achieve maximum effectiveness: (1) top management support; (2) health risk assessments; (3) employee incentives; and (4) program evaluations.

1. *Top management support*. If there is no leadership commitment, creating a successful program will prove extremely challenging. Not only is management support necessary for the initial resource investment, but top management must lead by example to make their enthusiasm and commitment evident.
2. *Health risk assessments*. Once company leadership has demonstrated their dedication to the program, health screenings or risk assessments can be conducted to identify areas of greatest need. This allows leaders to target the specific needs of the workforce.
3. *Employee incentives*. Because employee involvement in EWPs is entirely voluntary and may involve considerable lifestyle changes, it is helpful to offer some kind of incentive to participate, at least initially. Ideas for employee incentives include cash bonuses, gift cards, or free merchandise for completing specific programs; insurance premium discounts; free or discounted gym memberships; or friendly workplace competitions with fun prizes.
4. *Program evaluations*. It is always advisable to conduct regular evaluations of a new company program to ensure objectives are being met and to respond appropriately to changes within the organization. Such evaluations also allow participants to supply feedback on the program and give suggestions for improvement. This encourages program leaders to continually expand and improve upon the program, which in turn will further support employee engagement and interest in the program.

Possible Components of an EWP

The complexity of an employee wellness program may range from a single workplace change to an inclusive program offering a wide range of initiatives. When determining what types of projects to include, remember that the more comprehensive your EWP is, the more likely it is to be successful and result in substantial savings.

Some ideas for what might be included in an employee wellness program are presented in Table 4.1.

TABLE 4.1. IDEAS FOR EWP INITIATIVES

Fitness	Overall Health	Diet and Lifestyle
Free or discounted gym memberships	Health screenings/risk assessments	Free health coaching/ dietician visits
"Walking meetings"	Smoking cessation program	Stress management courses
Dance workshops	Vaccine clinics	Nutrition education program
Pedometer/10,000 steps program or competition	Employee assistance programs (EAPs) or counseling services	Flexible work hours to reduce stress and improve work/life balance
Morning yoga class	Back care courses	Nutritional facts in cafeteria
On-site fitness programs or facilities	Periodic (optional) physical examinations	Healthier cafeteria and vending machine options
Incentives for commuting by foot or bicycle	Company-wide health fairs	Weight management program discounts or reimbursements

Conclusion

It is important to enlist top management support and to evaluate the program as you go. Remember that a comprehensive EWP translates into a higher ROI and that the cost savings of EWPs often go beyond what can be easily calculated; many are very difficult to measure yet beneficial.

While maintaining your own wellness will always remain a personal choice, organizations are beginning to take a more active and preventative role in workforce health. Initiatives put forth by HR departments are having a positive impact by providing the tools for employees to reclaim their health and avoid preventable illness and injury. In addition to preventable measures to minimize injury and illness, organizations must also consider people with disabilities, emphasizing the person first and the disability second. We cover this topic next.

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The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

WHAT IS DISABILITY COMPETENCE, AND WHY SHOULD YOU CARE ABOUT IT?

Tammy Smith

Disability competence is defined as possessing the knowledge, abilities, skills, and attitudes required to provide superior and effective customer service to people with disabilities. Disability competence is concerned with the competence of service providers (business employees). Disability competence does not refer to assisting individuals with disabilities to develop areas of competence.

More specifically, disability competence is concerned with direct service delivery; on-site, website, and telephone communications; disability-inclusive marketing; modifying and adapting services; appropriately responding to any expressed unique need of each customer; offering disability advocacy; and providing reasonable accommodations, as required.

The Legislation

In 1990, the Americans with Disabilities Act (ADA) was enacted to protect the rights of people with disabilities within both the public *and* private sectors (ada .gov, 2011). Prior to 1990, disability legislation existed; however, this legislation only affected federally funded entities. The Americans with Disabilities Act was the first legislation that protected the rights of people with disabilities within privately funded businesses and organizations and is probably considered the first comprehensive civil rights act for people with disabilities. The act includes five titles that address an individual's protection within the areas of employment, transportation, public accommodations, communication, and miscellaneous.

The ADA requires that public buildings and services provide reasonable accommodations to people with disabilities in order to promote their full engagement in recreation programs and services. The definition of "public" means that privately owned membership clubs that offered any service to the public, such as wedding receptions or room rentals, are considered public under the ADA and must comply with ADA regulations. Furthermore, the ADA requires that public facilities not only need to provide physical access to programs and services, but *programmatic* access, as well.

When the ADA was enacted, many organizations responded by attempting to make their buildings and facilities more physically accessible and by ensuring that their personnel practices were non-discriminatory. Employment-related policies and procedures were evaluated and revised, ramps were installed, and doors were widened. Less effort, however, was directed toward programmatic access or ensuring that the organization's programs and services were accessible and usable by people with disabilities. As one person with a disability conveyed her experience, "I was able to get in the door, but that was it. I wasn't able to participate in any programs and/or use any of the provided services." This statement clearly demonstrates the need for employees to be competent and ready to offer reasonable accommodations in order to ensure that "customers" with disabilities are provided equal and rightful access to a business's programs and services.

Why Is Disability Competence Important?

One of the reasons that disability competence is important relates to an organization's need to comply with the standards outlined in the Americans with Disabilities Act. Organizations that want to avoid litigation should ensure that they not only offer physical access, but programmatic access, as well. Programmatic access means that employees are able to accommodate and facilitate the inclusion of their customers with disabilities in their programs and services. In other words, programmatic access can only happen if employees are disability competent.

The second reason that disability is important is because a large segment of our population is considered to have a disability of some type. For example, it is estimated that one in five people in the United States has a disabling condition as defined by the ADA. This represents approximately 20 percent of the U.S. population or forty-nine million people (U.S. Census, 2010). Additionally, individuals with disabilities have approximately $175 billion in discretionary spending power. This figure represents a lot of income that could be dedicated to recreation, tourism, entertainment, hospitality services, and other avocational pursuits if the programs are both physically and programmatically accessible. Without an organization's effort to offer programs and services that are welcoming to people with disabilities, organizations will not only be in violation of the ADA, but also miss a large and virtually untapped market segment.

What Are the Required Competencies?

In order for employees to be disability competent, they need to possess specific knowledge and skills to fully integrate customers who have disabilities, in the most normal manner and to the fullest extent possible. Some of the competencies might include an employee's ability to:

- Understand and recognize the characteristics associated with various types of disabilities
- Communicate effectively and appropriately with all people with disabilities regarding organization programs and services
- Market programs and services to people with disabilities
- Employ registration processes in a variety of formats to promote access
- Adapt and modify programs and services to "reasonably" accommodate individuals with disabilities
- Integrate an inclusive customer service policy in their organization's policies and procedures
- Ensure that procedures regarding safety of customers extend to include procedures to protect people with disabilities, such as evacuation procedures
- Evaluate inclusive practices on a regular basis to ensure adherence to inclusion policy
- Refer customers with disabilities to appropriate services if the customers needs cannot be met through reasonable accommodation

Disability competence is not something that many employees possess when they first enter the workforce. Through training and development, organizational commitment, and employee support, however, organizations can achieve the competence required to attract and fully engage internal and external customers with disabling conditions.

Another growing population, both employees and customers, are the mature population. It is no secret that the mature worker is going to retire from the workforce. What constitutes a "mature" worker, and why are these workers important to our economy? What do they offer that the new workforce does not? How will their retiring influence organization development of small and large companies? The following section will address these questions.

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WHAT IS A "MATURE" WORKER?

Dale Bradley Elwood

A mature male worker is usually above the age of forty-five, and a mature female worker is usually above the age of forty. The word "mature" implies not only age but also experience. Work experience can only be obtained through employment and time on the job. A mature worker also has acquired certain skill sets through education, training, industry certifications, and apprenticeship programs. These skill sets are valuable and irreplaceable when a mature worker decides to change employers or retire. Another term that comes to mind would be knowledge capital or human capital. Being involved with change, good or bad, on the job helps employees to mold the experience needed to build the knowledge and human capital that makes them a precious commodity for an organization.

Why are the mature workers important to the economy? Human and knowledge capital, specifically regarding work experience, are not innate characteristics. Losing years of experience is frightening to employers, but losing large quantities of experience because a generation is mature and wants to slow down can be devastating.

Mature workers have knowledge and skills that cannot be replaced easily. Young workers, however, have good health and minds that may be more receptive to new ideas. Younger workers can be trained to start the journey toward work experience and knowledge capital. The reality is that mature workers are going to retire and new employees are going to be needed.

Loss of the mature workforce is inevitable. The knowledge they have acquired cannot be easily replaced in the near term, so companies must plan ahead for the retirement of mature workers by finding new talent. Will it take time and effort to find and train new employees? The answer is yes, but it is necessary to begin now.

Conclusion

Mature workers are those over forty with experience and knowledge that are difficult to replace, so organizations need plans in place to recruit and train new employees. Human capital is a commodity that every business, large or small, needs to monitor for continuing success.

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EMPLOYEE RELATIONS FORMS

Employee Involvement Form

Purpose

The Employee Involvement Form is used by Human Resources and management professionals to survey employee participation in daily work activities. This provides feedback to help management plan any organizational changes needed.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees who might need to participate more

How to Use the Form

1. Employee fills out the form.
2. Employee proofreads the contents and make any changes necessary.
3. Employee returns form to supervisor.

Employee Involvement Form

Supervisor: ____________________________

Date: _________________

Department: _____________________

Employee: _____________________

Fill out the following form, checking the box that best fits in your case.

	Always	Sometimes	Never
I believe in the organization's mission and vision.			
I think of new ways to improve the organization, no matter how small.			
I share my ideas in department meetings.			
I spend my break hour with colleagues when I can.			
I practice a positive attitude, even when I'm having a bad day.			
I try to assist my colleagues, even if they don't ask for help.			
I feel I can relate to my supervisor.			
I feel I can relate to my colleagues.			
I'd rather work in a team than by myself.			
My supervisor stays involved with the department's work.			
I have conversations with my supervisor about work.			
I have conversations with my colleagues about work.			

Discrimination and/or Harassment Complaint Form

Purpose

Organizations strive to provide a work environment free of discrimination and harassment. If an employee is in a situation that he or she believes to be discriminatory or harassing, he or she can bring this situation to the attention of the organization by utilizing the following form.

The employee should read the organization's policy regarding this topic for specific information pertaining to discrimination and harassment before filling out the form.

Intended Audience

Primary users: Employees

Secondary users: Human Resources

How to Use the Form

1. The form can be used by employees who believe they are experiencing harassment or discrimination in the workplace.
2. The form provides documentation regarding harassment and discrimination in the workplace.

Discrimination and/or Harassment Complaint Form

Name:____________________ Date: ____________
Current Position Title:_______________ Department: _____________

I request that my complaint of discrimination and/or harassment be reviewed according to the organization's employee handbook. This complaint is based on the following areas of discrimination/harassment (check all that apply):

- ☐ Age
- ☐ Disability
- ☐ FMLA
- ☐ Gender
- ☐ National Origin
- ☐ Race, Color
- ☐ Religion
- ☐ Sexual Harassment
- ☐ Sexual Orientation
- ☐ Veteran Status
- ☐ Other ____

State the facts of the situation. Please include specific dates, locations, and names of others involved and/or witnesses to behaviors and actions. (Include additional sheet(s) if necessary.)

____

____

What remedy are you seeking?

____

____

Signature: ________________________________ Date: _____________________

Please return this form to the Human Resources Department.

Overview of EEO Guidelines

Purpose

Equal employment opportunity (EEO) legislation requires organizations to provide equal opportunities to all job applicants and employees regardless of color, national origin, race, religion, sex, age, veteran status, and disability.

The following overview of EEO laws provides descriptions of the laws that protect employees in pre-employment and employment situations.

Intended Audience

Primary users: Human Resources

Secondary users: Managers, executives

How to Use the Information

1. Use this information when writing interview questions.
2. Use this information as a reference when making decisions regarding policies and/or procedures that will impact employees.

Overview of EEO Guidelines

Equal Employment Opportunity is the right of all people and the responsibility of organizations operating within the United States. Employees are protected from employment discrimination through the enforcement of several laws and executive actions:

The Civil Rights Act of 1866

The Equal Pay Act of 1963

The Civil Rights Act of 1964, as amended

The Age Discrimination in Employment Act of 1967 (ADEA), as amended

The Rehabilitation Act of 1972

The Vietnam Era Veterans Readjustment Act

Executive Order 11246, as amended

Americans with Disabilities Act of 1990

In general, all of these laws and orders prohibit employment discrimination on the basis of race, color, sex, religion, or national origin. Executive Order 11246 also states the principle of Affirmative Action—positive steps that must be taken in some circumstances to increase employment opportunities for members of minority groups and for women.

Enforcement responsibilities for the various acts concerning employment opportunity have shifted over the years and are now undergoing a general consolidation. The net result of the changes being made will hopefully be greater simplicity and consistency of enforcement.

Civil Rights Act of 1866

This act protects all persons from discrimination because of their race or national origin. This law was enacted shortly after the abolition of slavery, but had little effect for its first hundred years. However, in recent years, individuals have won race discrimination suits under this act. It provides added protection in situations not specifically covered by the Civil Rights Act of 1964.

Enforcement: The Federal Court System

The Equal Pay Act of 1963

The Equal Pay Act gives men and women the right to earn equal pay for doing substantially the same work. Protection from sex discrimination in wages is guaranteed by this law. Pay differences that are legal under the Equal Pay Act are also valid under Title VII of the 1964 Civil Rights Act.

Enforcement: Equal Employment Opportunity Commission (EEOC)

Civil Rights Acts of 1964

The 1964 Civil Rights Act, as amended in 1972, generally prohibits all forms of discrimination on the basis of race, color, sex, religion, or national origin. Title VII, one section of the act, specifically prohibits discrimination in employment. Today, most discrimination charges are filed under Title VII, and it is viewed as one of the most complex collections of regulations and guidelines ever issued by the federal government. Naturally, it has been subject to many differing interpretations by the business community, enforcement agencies, and the courts. Title VII applies to all public and private employers with fifteen or more employees and covers labor organizations and employment agencies as well.

Enforcement: Equal Employment Opportunity Commission (EEOC) and the Department of Justice.

The Age Discrimination in Employment Act of 1967

The ADEA, enacted in 1967 and amended in 1978, protects persons over the age of forty from discrimination on the basis of age in any terms or conditions of employment.

Enforcement: Equal Employment Opportunity Commission (EEOC)

The Rehabilitation Act of 1973

Most government contractors and subcontractors are required by this act to ensure equal employment opportunities to persons having physical or mental handicaps that substantially limit one or more major life activities. This law protects those handicapped persons who are otherwise qualified for the jobs they seek and requires employers to make “reasonable accommodation” to their jobs.

Enforcement: Office of Federal Contract Compliance Programs (OFCCP), Department of Labor

Vietnam Era Veterans Readjustment Act of 1974

The Vietnam Era Veterans Readjustment Act requires government contractors and subcontractors to take "affirmative " steps to employ and promote qualified disabled veterans and Vietnam Era veterans.

Enforcement: Office of Federal Contract Compliance Programs (OFCCP), Department of Labor

Executive Order 11246, 1965 (Amended 1967)

The U.S. government buys and sells goods and services and, like other organizations engaged in such business activities, it places certain conditions on its purchases and sales. Executive Order 11246 makes it a condition of doing business with the government that there be no discrimination employment opportunities by the contractor.

The principle of "Affirmative Action" arises out of this order as well. Essentially, it means making special efforts to increase opportunities for minorities and women in all employment areas. The order originally applied only to minorities but was later amended to give the same protection to women. Affirmative Action programs seek to improve the minority and female representation in the workforce, and therefore permit consideration of the sex and race of qualified job applicants when making employment decisions. There has been much political and judicial controversy about this aspect of Executive Order 11246.

Enforcement: OFCCP, Department of Labor

Americans with Disabilities Act of 1990 (ADA)

This act prohibits discrimination on the basis of disabilities in hiring and in all terms, conditions, and privileges of employment. It is a comprehensive, anti-discrimination law aimed at integrating the disabled into the workforce. The ADA covers all employers, agents of employers, employment agencies, and labor unions with fifteen or more employees as of July 26, 1994. The ADA imposes an affirmative obligation on employers to make reasonable accommodations to the known disabilities of an applicant or an employee unless the employer demonstrates that this would constitute a hardship.

The ADA only protects individuals whose disability substantially limits one or more major life activities, who have a record of such impairment, and are regarded as having such impairment.

It is important to focus all employment questions on the ability to perform the requirements of the position. The main questions that an employer may want answered is whether the applicant can perform the required tasks with or without reasonable accommodation. It is not legal to ask whether the applicant has had or currently has any disability.

Enforcement: Equal Employment Opportunity Commission (EEOC)

Reporting of Injury/Accident Form

Purpose

This form can be used to record and report any injuries or accidents that occur during working hours. This is necessary to ensure proper notification and coverage of lost wages, hospital costs, etc. Based on the state's workers' compensation statues, there may be different regulations governing the amount and duration of lost income benefits, including provisions for medical and rehabilitation services.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Use the form to ensure proper procedures are followed in conjunction with the organization's policy regarding workers' compensation.

Reporting of Injury/Accident Form

Department: ___________________________
Name of Injured: ________________________
Occupation (Title): _______________________
How Long Employed: _____________________
Date of Accident: __________ Time: _______
Time Employee Started Work: ______am/pm _____ Shift:
At Employer's Premises: Yes ___ No ___
Address Where Accident Occurred: ________________________
Name of Physician: __________ Hospital: _______________

Describe injury/accident (be specific):

____
____
____
____

How did injury/accident occur? (What went wrong?)

____
____
____
____

Were there any witnesses? If yes, provide name(s):

____
____
____
____

Remedy to prevent similar accidents:

____
____
____
____

Action taken to prevent similar accidents:

____
____
____
____

Date: ________ Supervisor's Signature: ___________________ Title: ________

Confidentiality and Noncompetition Agreement

Purpose

The purpose of this form is to prohibit employees from sharing information about the organization with other organizations. The form is used to protect trade secrets and other information that could benefit a competitor.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form should be amended by adding the corporation and employee names and then signed by those employees possessing information about the organization that would be valuable to competitors.
2. Have the employee read the form. Explain the rationale for having him or her sign the form.
3. Have the employee sign the form.

Confidentiality and Noncompetition Agreement

[COMPANY], its successors and assigns ("Corporation"), and [EMPLOYEE] make the following agreement:

1. *Effective Date.* This agreement is effective as of ______________. Where necessary to carry out the intent of this agreement, specific obligations under this agreement shall continue after the date on which employee may cease to be employed by corporation.
2. *Proprietary Information.*
   a. Employee acknowledges that during employment with [CORPORATION] employee will come into possession of trade secrets, proprietary and confidential information of corporation (all of which will be referred to in this agreement as "proprietary information"), specifically including, among other things, the identity of clients and prospective clients of corporation; client files and detailed information concerning client needs and requirements; proposals designed to meet client needs or requirements; product designs and specifications, market surveys and forecasts; the identity of key vendors; the identity of key employees; pricing, cost, and margin information; and other financial information and records of [CORPORATION]. Employee acknowledges that the foregoing types of proprietary information are highly confidential to corporation, are valuable, give a competitive advantage to corporation, and could not, without great expense and difficulty, be obtained or duplicated by others who have not been able to acquire such information by virtue of employment with corporation.
   b. Employee understands and agrees that corporation's proprietary information shall not be removed from corporation's premises without the prior written consent of the president of corporation.
   c. Employee agrees that, both during and after employment with corporation, unless employee first obtains the prior written consent of the president of [CORPORATION], employee shall not communicate or disclose, directly or indirectly, to any person or firm, or use at any time, any of corporation's proprietary information, whether or not such information was developed or obtained by employee. However, employee may, where authorized and approved, use such information to further his or her employment duties with corporation. Employee shall retain all such proprietary information in strict confidence for the sole benefit of corporation.
3. *Non-Competition.*
   a. In consideration for employment, Employee agrees that, during the period of employment with corporation and for a period of three years after

employment with corporation terminates, whether such termination is voluntary or involuntary, employee shall not, directly or indirectly, either individually or on behalf of another person or firm within a fifty-mile radius of company offices:

i. engage, in any state in which corporation does business, in any business that is competitive with that of corporation (for purposes of this paragraph "any business" shall specifically include, without limitation, self-employment, employment with any other firm or entity, work as a consultant or independent contractor, or full or partial ownership of or any equity or financial interest in any firm or entity); or
ii. call upon, solicit, or sell or attempt to sell any products or services similar to or in competition with those offered by corporation to any person or firm that was a customer of corporation at any time during the employee's employment with corporation or that was solicited by corporation or otherwise had any contact with corporation during the six-month period preceding the termination of employee's employment with corporation.

b. Both parties agree that the restrictions in this section are fair and reasonable in all respects, including the length of time that they shall remain in effect, and that corporation's employment of employee, upon the terms and conditions of this agreement, is fully sufficient consideration for employee's obligations under this section.
c. If any provisions of this section are ever held by a court to be unreasonable, the parties agree that this section shall be enforced to the extent it is deemed to be reasonable.

4. *No Interference with Employment Relationships (Non-Solicitation of Employees).* Employee agrees that employee will not, either before or after termination of his or her employment with corporation, encourage, solicit, or otherwise attempt to persuade any other employee of corporation to leave the employ of corporation.
5. *Return of Proprietary Information.* Upon termination of employment, employee shall return all records, documents, and other written, printed, photographic, or physical materials of any type that belong to or pertain to corporation, including, without limitation, computer printouts, client lists or documents, client files, sales manuals, drawings, plans, blueprints, specifications, calculations, measurements and formulas of any type, billing information, financial information, all such data stored on electronic equipment, and all other documents relating to corporation then in employee's possession or under his or her control, and employee shall not make or retain any copies or extracts, including handwritten summations, of any such documents.

6. *Remedies.* Employee agrees that corporation would be irreparably injured in its business and would not have an adequate remedy at law if employee were to breach Sections 2, 3, 4, or 5 of this agreement. If any such breach or violation occurs, corporation will be entitled to an injunction (a) restraining employee from disclosing or using any proprietary information of corporation, as described in Section 2, from rendering services in competition with corporation, as set forth in Section 3, or from soliciting or pirating employees in violation of Section 4, and/or (b) requiring employee to return to corporation proprietary information pursuant Section 6. However, it is agreed that corporation's remedies, in the event of any such breach or violation, would be cumulative and that corporation could seek damages and other equitable relief in addition to injunctive relief. Employee also agrees that if corporation must pursue any legal action to enforce this agreement, corporation is entitled to recover from employee its actual attorney fees and costs of litigation.
7. *Severability*. Each provision in this agreement is separate. Where necessary to effectuate the purpose of a particular provision, the agreement shall survive the termination of employee's employment with corporation. If any part of this agreement is held to be invalid or unenforceable, the remaining portions shall remain in effect.
8. *Modification and Consent.* To be effective and binding upon corporation, any modification of this agreement and any consent under it must be made in writing and signed by the president of the corporation. Employee understands that this policy permitting modification or consent only by the president, in writing, may be changed only by resolution of corporation's board of directors.
9. *Miscellaneous.*
   a. Any notice under this agreement must be in writing and delivered personally or by registered mail to the last known address of the recipient.
   b. This agreement contains the entire agreement of the parties, and any and all prior agreement, representations, or promises are superseded by and/or merged into this agreement.
   c. This agreement shall be governed by the laws of [STATE]. The parties agree that, should any litigation arise out of, in connection with, or relating to this agreement, such litigation will be commenced only in the Circuit Court for [COUNTY, STATE], or in the United States District Court for the [DISTRICT], provided such court has subject matter jurisdiction. The parties specifically agree, however, that either of these courts shall have personal jurisdiction and venue over employee.
   d. Although this agreement was drafted by corporation, the parties agree that it accurately reflects the intent and understanding of each party and should not be construed against corporation if there is any dispute over the meaning or intent of any provision.

e. By their signatures below, the parties acknowledge that (i) they have had sufficient opportunity to, and have, carefully read each provision of this agreement, (ii) they have had the opportunity, if they so choose, to review the agreement with legal counsel of their own choice, (iii) they understand each provision, (iv) they are not under any duress, (v) they are not relying upon any representations or promises that are not set forth in this agreement, and (vi) they are freely and voluntarily signing this agreement and intend to be bound by it as a solemn contractual undertaking.

Dated: ___________
[COMPANY]: ____________________________ By: _____________

I have read this agreement carefully, understand it, and intend to be bound by it.
Dated: __________________________ Employee: _______________________

Upward Feedback Form

Purpose

The Upward Feedback Form is used to survey employee job satisfaction. A completed form provides simple and direct feedback to help management plan any organizational changes needed.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees who may require a more positive work environment

How to Use the Form

1. The employee circles numbers in the form to indicate agreement.
2. The employee proofreads the contents and makes any changes necessary.
3. The employee returns the form to a supervisor in sealed envelope.

Upward Feedback Form

Supervisor's Name: ____________________ Date: __________

Department: ________________________

Please answer as truthfully as you can. The information you provide will be used to make necessary organizational changes and will be anonymous.

Circle the number corresponding to your beliefs, using the scale below.

1 = Strongly Disagree; 2 = Disagree; 3 = Indifferent; 4 = Agree; 5 = Strongly Agree

Leadership	
My supervisor is aware of my professional skills.	1 2 3 4 5
My supervisor is aware of my personal needs.	1 2 3 4 5
My supervisor is available when I have an issue.	1 2 3 4 5
My supervisor is helpful when I have an issue.	1 2 3 4 5
My supervisor motivates me to do my personal best.	1 2 3 4 5
My supervisor considers my ideas.	1 2 3 4 5
My supervisor has made me aware of this organization's mission and vision.	1 2 3 4 5
I feel comfortable talking to my supervisor.	1 2 3 4 5
My supervisor is ethically fair.	1 2 3 4 5
My supervisor can admit his or her mistakes.	1 2 3 4 5
I find that my supervisor is open-minded.	1 2 3 4 5
I feel I can trust my supervisor with confidences.	1 2 3 4 5
I believe my supervisor does what is "right" to the best of his or her knowledge.	1 2 3 4 5
I feel I can talk to my supervisor about my ideas.	1 2 3 4 5
My supervisor encourages a positive working environment.	1 2 3 4 5
My supervisor congratulates a job done well.	1 2 3 4 5
Technical Skills	
My supervisor knows the skills that I have.	1 2 3 4 5
My supervisor is able to assist me when I need help.	1 2 3 4 5

Work Environment

I feel comfortable in my work environment.	1 2 3 4 5
My work environment is kept clean.	1 2 3 4 5
I am given sufficient time for lunch.	1 2 3 4 5
The job I have meets my expectations.	1 2 3 4 5
I feel a sense of belonging to this organization.	1 2 3 4 5
I communicate with my co-workers (including my supervisor) regularly.	1 2 3 4 5
The technology I work with (computers, phones, copy machines, etc.) is sufficient.	1 2 3 4 5
The technology I work with (computers, phones, copy machines, etc.) is regularly maintained.	1 2 3 4 5

Additional comments:

____

____

____

____

____

Reasonable Accommodation Checklist

A reasonable accommodation under the Americans with Disabilities Act is an attempt by employers to adjust, without undue hardship, the working conditions or schedules of employees with disabilities. The following checklist serves as an aid to ensure compliance with the Act. As part of the accommodation process, documentation that an employee has a qualifying disability is required. The ADA defines a qualifying disability as one that fits into one of the following categories:

- A physical or mental impairment that substantially limits one or more major life activities
- A record of impairment
- Regarded as having an impairment

Checklist

1. Ask the employee if there is any way that the employer can assist him or her in the performance of the job tasks. No ADA acknowledgment is necessary at this point.
2. Determine whether there is medical documentation or other reliable, objective information to conclude that the employee has a physical or mental condition that significantly impairs at least one major life function.
3. Unless there is an observable basis for concluding that the employee has an impairment that is affecting job performance, do not inquire about the need for an accommodation.
4. Be sure to have the employee sign a medical release form before requesting medical information.
5. Have the medical provider indicate what major life activity(ies) is/are limited.
6. Keep all medical information in a file that is separate from the employee's personnel file.
7. Indicate accurately in the job description which of the job functions are essential. (Non-essential job tasks may be reassigned to other employees for purposes of accommodations, but not essential job functions.) Write an updated job description, if necessary.
8. Determine whether the accommodation creates an undue hardship for the employer.
9. Discuss possible accommodations with the employee, medical providers, the supervisors who have knowledge of the work site and the job, EAP, and vocational or rehabilitation counselor, as appropriate.

10. Consider a waiver if necessary.
11. Determine whether the employee presently creates a "direct threat" to him- or herself or others in the performance of the job tasks.
12. Document the direct threat by identifying the risk caused by the limitation; the potential harm that could result; and the medical or observable facts whereon the risk is based.
13. Identify and document the reasonable accommodation or the reason no accommodation is needed.

Reasonable Accommodation Request Form

Purpose

The Americans with Disabilities Act of 1990 (ADA) makes it unlawful to discriminate in employment against a qualified individual with a disability. To be protected under the ADA, an individual must have, have a record of, or be regarded as having a substantial (as opposed to a minor) impairment. A substantial impairment is one that significantly limits or restricts a major life activity.

This form is designed to provide a method for compliance with the mandate for documentation and should be completed by the employee's diagnosing professional.

The form is used to assist employees in requesting a reasonable accommodation, that is, any change or adjustment to a job or work environment that does not cause an undue hardship on the department or unit and which permits a qualified applicant or employee with a disability to participate in the job application process, to perform the essential functions of a job, or to enjoy benefits and privileges of employment equal to those enjoyed by employees without disabilities. For example, a reasonable accommodation may include providing or modifying equipment or devices, job restructuring, allowing part-time or modified work schedules, reassigning an individual, adjusting or modifying examinations, modifying training materials or policies, providing readers and interpreters, or making the workplace readily accessible to and usable by people with disabilities.

Intended Audience

Primary users: Human Resources and management professionals.

Secondary users: Employees and supervisors

How to Use the Form

1. This form should be completed whenever an employee or applicant requests an accommodation, or it is apparent that a reasonable accommodation may enable an individual with a disability to perform the essential duties of a position or participate in the employment process. Copies of the completed form should be forwarded to the Human Resources department.
2. Completion of this from is voluntary. However, if there is no voluntary disclosure and documentation of disability, the organization will not be able to provide accommodations. None of the information supplied on this from will be used to discriminate against the individual in any manner. This information remains confidential.

Reasonable Accommodation Request Form

I ________________________________, wish to request reasonable accommodation for the following disability as defined by the Americans with Disabilities Act of 1990. I understand that [ORGANIZATION] may require a confirming examination or a doctor's letter before my request is considered.

Check all disabilities* that apply:

- ☐ ADD or ADHD
- ☐ Blindness
- ☐ Deafness
- ☐ Health-related impairment (please specify):

____

____

____

- ☐ Hearing impairment
- ☐ Learning disability
- ☐ Orthopedic/mobility impairment
- ☐ Psychological disability
- ☐ Visual impairment
- ☐ Other (please specify):

____

____

____

Suggestions for reasonable accommodation:

____

____

____

Submit supporting documentation by a qualified evaluator of your disability.

____ attached ____ to be submitted ____ previously submitted

What impact does your disability have in a workplace setting?

____

____

____

What accommodations have you previously used?

____

____

____

____

If you do not require any accommodation due to your disability, check below and sign the bottom of the form. You need not complete other section of the form.

☐ I do not require accommodation at this time. I realize that if I have future needs, I must provide documentation of disability if I have not already done so.

I understand that no accommodations will be made by the organization until acceptable documentation of disability is on file in the Human Resources office.

Employee Signature: ____________________ Date: ____________

Return to: ____
Human Resources Department

*__*Note:*__* [ORGANIZATION] reserves the right to request documentation if the evaluator believes more information is needed to appropriately assess your condition, functional limitations, and/or request for reasonable accommodation.

Employee Disability Verification Form

Purpose

The purpose of this form is for an employee with a disability to provide documentation regarding his or her disability. This is part of the process for qualifying a person with a disability for special accommodations.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Employee completes form and submits it to his or her physician.
2. Physician completes his or her portion of the form and signs it.
3. Employee submits completed form to Human Resources.

Employee Disability Verification Form

As part of the accommodation process under the Americans with Disabilities Act of 1990 (ADA), documentation that an employee has a qualifying disability is required. The ADA defines a qualifying disability as one that fits into one of the following categories.

- A physical or mental impairment that substantially limits one or more major life activities.
- A record of impairment.
- Regarded as having an impairment.

This form is designed to provide a method for compliance with the mandate for documentation and should be completed by the employee's diagnosing professional.

Employee Name: ______________________ Employee Phone: ____________

Diagnosing Professional: ________________ Phone Number: ______________

Professional's Title____

Professional's License Number ____________________ Date: _____________

Using the space below or by attaching a letter, please describe the diagnosis and how it fits into one of the categories above.

____

____

____

Please suggest accommodations relating to the above diagnoses (if any).

____

____

____

Professional's Signature: __________________________ Date: _____________

Employee Disciplinary Form

Purpose

Every employer expects employees to meet performance standards and behave appropriately in the workplace. Disciplinary or corrective action, if conducted appropriately according to company policies and guidelines, can help when communicating with an employee to improve unacceptable performance or behavior. In most cases, disciplinary actions are taken only as a last resort, when other methods such as coaching, counseling, performance evaluation, and others have failed to rectify the problem(s). In cases of serious misconduct, employers may decide to proceed straight to disciplinary action. The following form is an example that can be used to streamline the disciplinary action process both for the employer and the employee.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The form should be completed in detail by a supervisor or by the person taking the disciplinary action. It is very important that there be proof and/or detailed information to support company policy to protect the supervisor or the company against any kind of future dispute or litigation.
2. The form should be signed by the employee, supervisor, HR director, or other personnel, according to company policy.
3. The completed form should be retained by the appropriate department as directed by company guidelines.

Employee Disciplinary Form

Employee name: ______________________________ Date: ______________
Employee title or position: ______________ Employee hire date: ____________
Manager's or supervisor's name:________________________
Disciplinary action taken:

- ☐ Verbal warning
- ☐ Written warning
- ☐ Demotion
- ☐ Suspension
- ☐ Termination

Other: ___________________________
Reason for disciplinary action (attach additional sheet if necessary):

____

____

Rule or policy violated:

____

____

Prior disciplinary record (if any):

____

____

Signature of supervisor: _________________________Date: ____________
Signature of HR director: _______________________Date: ____________
Signature of employee:* _________________________Date: ____________
*By signing this disciplinary form, the employee acknowledges that he or she has read it, not that he or she agrees with the content.
Summary of the disciplinary meeting (to be completed by the supervisor):

____

____

____

____

Discipline Documentation Form

Purpose

The purpose of this form is to notify an employee of an incident that violates the organization's policies or practices.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. This form should be completed by a supervisor wishing to notify an employee of a violation of the organization's policies or procedures.
2. The supervisor should meet with the employee and discuss the items in the form.
3. The employee should make any desired comments and sign the form.

Discipline Documentation Form

Employee Information

Name of Employee: ____
Employee's Job Title: ____
Incident Information: ____
Date/Time of Incident: ____
Location of Incident: ____
Description of Incident:

____
____
____
____
____
____

Witnesses to Incident:

____
____
____

Was this incident in violation of company policy? Yes No
If yes, specify which policy and how the incident violated it.

____
____
____

Action Taken

What action will be taken against the employee?

____
____
____

Has the impropriety of the employee's actions been explained to the employee? Yes No
Did the employee offer any explanation for the conduct? If so, what was it?
Signature of person preparing report: _________________________

Disciplinary Warning Notice

Purpose

The Disciplinary Warning Notice provides employers with an opportunity to make employees aware of behavior that is not acceptable, a breach of policy, or an act or omission that has to be addressed. This notice can lead to a change in the employee's performance or at least make the employee aware of a deficiency in performance that needs to be remedied.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The supervisor completes the form indicating the problem on the form.
2. The supervisor, in conjunction with the employee, determines a course of action to take and also determines a timeline for this to occur.
3. A follow-up date for the employee and supervisor to meet to discuss progress should be determined.

Disciplinary Warning Notice

Employee:________________________________ Department:_________________
Meeting Date:____________________________ Supervisor: __________________

Level of Warning

☐ Verbal
☐ Written
☐ Suspension
☐ Termination

Statement of the problem. Describe in detail the performance issue(s) (e.g., violation of rules, work standards, practices, or unsatisfactory performance). Include dates and times.

____
____
____
____
____

Summary of corrective action (improvement plan) to be taken (define what is expected, how it should be accomplished, and in what timeframe):

____
____
____
____
____

Follow-up date (indicate when the performance in question will be reviewed again): _____________

Failure to meet and sustain expectations may lead to further disciplinary action, up to and including possible termination of employment.

Employee comments:

____
____
____
____
____

Employee's Signature: ___________________________ Date: __________________
Supervisor's Signature: __________________________ Date:__________________

Verbal Warning Checklist

Purpose

The Verbal Warning Checklist provides a means for employers to cover all bases when they want employees to be aware of behavior that is not acceptable, a breach of policy, or an act or omission that must be addressed.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The supervisor completes the form prior to having a discussion with an employee about behavior that is not acceptable.

Verbal Warning Checklist

- ☐ Talk to the employee privately, in an office, conference room, or other quiet area.
- ☐ State the specific problem in terms of desired performance and actual performance.
- ☐ Refer to previous casual conversations about the problem, if any.
- ☐ Give the employee a chance to respond and explain his or her behavior.
- ☐ Tell the employee the specific change in behavior that you expect.
- ☐ Have the employee confirm that he or she knows exactly what you expect.
- ☐ Indicate your confidence in the employee's ability to perform properly.
- ☐ Document the conversation.
- ☐ Ask the employee to sign your documentation.
- ☐ Set up a time to review the employee's performance in the future.

Severance and Outplacement Exit Interview Form

Purpose

The purpose of this form is to support organizations that conduct exit interviews and display caring and compassion. Exit interviews facilitate the understanding and experience of managing people and organizations. Hearing and handling constructive feedback can be a powerful development tool, and the results and analysis of exit interviews can provide relevant and useful data directly into the organization development processes.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. The form is distributed to the departing employee.
2. The employee completes the form before meeting the person conducting the exit interview.
3. The interviewer and departing employee discuss any issue according to company policy and culture.
4. The interviewer retains the completed form for record-keeping.

Severance and Outplacement Exit Interview Form

Name: ______________________ Date: ________ Title or position: _________
Supervisor's name: __________________________
Hire date: ________ Separation date: ________

Type of Separation

☐ Resignation
☐ Termination
☐ Leave of Absence
☐ Retirement
☐ Layoff
☐ Other: ____________________________

Reason for Separation

☐ Retiring
☐ Relocating
☐ Salary and pay
☐ Insurance and benefits package
☐ Health reasons
☐ Other: ____________________________

Could your separation have been prevented? Yes No
Comments:

____
____
____
____

Work Environment and Conditions

☐ Poor
☐ Adequate
☐ Good
☐ Excellent
☐ Not Applicable

Comments:

____
____
____
____

Salary and Pay

☐ Poor
☐ Adequate
☐ Good
☐ Excellent
☐ Not Applicable
Comments:

____
____
____
____

Insurance and Benefits Package

☐ Poor
☐ Adequate
☐ Good
☐ Excellent
☐ Not Applicable
Comments:

____
____
____
____

Relationship with Manager or Supervisor

☐ Poor
☐ Adequate
☐ Good
☐ Excellent
☐ Not Applicable
Comments:

____
____
____
____

Relationships with Co-Workers

☐ Poor
☐ Adequate

- ☐ Good
- ☐ Excellent
- ☐ Not Applicable

Comments:

____
____
____
____

Opportunities for Career Advancement

- ☐ Poor
- ☐ Adequate
- ☐ Good
- ☐ Excellent
- ☐ Not Applicable

Comments:

____
____
____
____

Opportunities for Training and Development

- ☐ Poor
- ☐ Adequate
- ☐ Good
- ☐ Excellent
- ☐ Not Applicable

Comments:

____
____
____
____

Typical Workload

- ☐ Light
- ☐ Just right
- ☐ Too much

Would you recommend this company as a good place to work? Yes No
Comments:

____

____

____

____

Do you have suggestions for making this company a better place to work?
Yes No
Comments:

____

____

____

____

Employee signature: ____________________ Date: __________

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PART FIVE

MEASURING ORGANIZATION EFFECTIVENESS

I received a phone call from a very famous CEO last year. He began the call by saying, "Dr. Rothwell, I hear you are a world-famous HR expert. My HR department is broken. Could you come fix it?" Naturally, I arranged an appointment and visited with him. It eventually led to an HR audit in which I compared that organization's HR department to best practice and recommended improvements. But it seemed that the major concern of that CEO boiled down to how long it was taking the HR department to recruit qualified applicants—the so-called *time to fill metric* (the lead time to fill positions).

One thing I learned from that call—and the subsequent consulting work that came with it—is that many CEOs are not happy with the service they have been receiving from their HR departments. That concern is not a new one. But it has led to the emergence of so-called *HR transformation* efforts.

What is HR transformation? Why is it important for organizations? Why should managers and HR professionals care about it? What are some choices in HR transformation?

The brief paragraphs below address these important questions.

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WHAT IS HR TRANSFORMATION?

William J. Rothwell

HR transformation is the process of fundamentally rethinking and rechartering the HR function/department in the organization. It means stepping back and asking, "Why do we have an HR department, and what results do we expect from it?" There is no one right answer to these questions. It all depends on the organization's business objectives and needs.

But one thing is clear about HR transformation: it means that HR professionals do not assume that there is "one right role for HR," as HR college textbooks might seem to imply. Instead, there are many choices for what HR can or should do—depending on the needs of the business and its people.

Why Is HR Transformation Important for Organizations?

Consider the following questions:

- Why does your organization have an HR department?
- What should HR do—and not do—in your organization now and in the future?
- What does your organization's HR department do especially well?
- What areas for significant improvement can you identify for HR? Why do you feel that they are especially important?

- If you could wave a magic wand and transform your HR department into anything you want, what would that be?
- How should the relative success of HR be measured?

If you want to start thinking about HR transformation, interview senior managers, middle managers, HR professionals, and a randomly selected group of workers about the answers to these questions.

Why Should Managers and HR Professionals Care About HR Transformation?

HR departments often face conflicting expectations from the different groups they serve—senior executives, middle managers, union representatives (when the organization is unionized), customers, suppliers, distributors, investors, and workers. In many cases, it is impossible for an HR department or function to satisfy all groups, simply because their expectations may conflict. Hence, managers and HR professionals should care about HR transformation simply because it is a way of revisiting what should be expected of HR and then clarifying that desired role. It can be made clear what is expected of HR—and what people-related roles should be expected of others.

What Are Some Choices in HR Transformation?

As noted above, there is no "one right choice" for HR transformation. But there are some common choices for what HR should do.

The first choice is that HR could focus on performance consulting. If HR professionals do that, they become the "go to" people to help operating managers address "people problems" they face in getting the organization's work done. If the HR department undertakes that role, then HR professionals become the in-house experts on analyzing problems with people and offering suggestions for ways to solve those problems. Examples might include recruiting, developing, positioning, and retaining the best people.

A second choice is that HR could focus on ethics. After the Enron scandal affected Wall Street firms, many organizations are looking at how ethics can be addressed so as to avoid the bad publicity resulting from scandals. If HR takes that role, then HR professionals become the "ethics cops" of their organizations. Their role is to establish and maintain a climate and culture that supports good ethics and the avoidance of scandals. HR professionals watch for corrupt people and practices.

A third choice is that HR could focus on talent management. Some experts predict that is the future of HR. Talent management is about recruiting, developing, and retaining the best people. People are becoming the only true source of competitive advantage in a global knowledge economy. HR should play a central role in establishing and maintaining that competitive advantage.

A fourth choice is that HR could focus on organization development (OD) and change management. People pose the biggest challenges in making change that stems from external environmental change. As change occurs, it is not technology or capital that prevents adaptation and innovation; rather, people can either be a root cause of problems or a root cause of competitive strengths to leverage. Some experts believe HR's future role is to help people anticipate, and react to, change.

Conclusion

We have just addressed several key questions: What is HR transformation? Why is it important for organizations? Why should managers and HR professionals care about it? What are some choices in HR transformation?

To recap, we defined HR transformation as a process of fundamentally rethinking and rechartering the HR function/department in the organization. Transformation is needed because many CEOs and other stakeholders are no longer pleased with the services they receive from their HR departments. For that reason, growing interest exists in rechartering HR, rediscovering what its role is and what it should be for the future. Another role we discussed for HR is performance management, encompassing measurement of employee and organizational effectiveness.

Measuring organizational effectiveness is the process of assessing how well an organization is at achieving its deliverables.

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ORGANIZATIONAL EFFECTIVENESS, AND WHY IT IS IMPORTANT

Yasser Binsiddiq and Hsin-Ling Tsai

To a very large degree, the business environment today isn't the same as it was some decades ago. A whole host of changes have taken place. In the midst of all of this change and transformation, corporations have had to acknowledge a number of steps they need to take to make their firms more efficient. What are some of those steps that can make an organization more "effective" or "efficient"? What are some of the key means, measures, or procedures that might be used to increase effectiveness or efficiency? These are concepts that will be covered in the following material.

What Is Organizational Effectiveness?

What exactly might an effective organization look like? The general consensus is that effective firms are able to both generate and sustain inherent financial and nonfinancial wealth that could be allocated among its stakeholders (Strassmann, 1985). From that point of view, organizations simply must find means by which they can be more sustainable, creative, and innovative.

What Is Organizational Efficiency?

One of the concepts that a number of people become confused about is the distinction between an organization being efficient and being effective. As was noted earlier, the focus of an *effective* organization is to generate or create financial and nonfinancial wealth for internal and external stakeholders (Strassmann, 1985). On the other hand, an *efficient* organization is concerned that its internal functions be the best possible. This indicates that organizational effectiveness is focused both on internal and external creativity and innovation, but efficiency is focused mainly on internal growth, sustainability and strength, with far less outward focus.

What Is Organization Development?

From the research, one can see why there is interest in the study of organization development (OD). For one thing, both effectiveness and efficiency are considered to be of paramount importance. Any firm that does not have a clear picture of its resources and the way such resources are being managed or coordinated might not be able to compete effectively. The attraction of the field of organization development comes from finding ways to increase both effectiveness and efficiency, which will lead to growth for the firm.

Company managers also have a keen interest in organization development because through its principles they will be able to apply the concepts of job redesign, strategic management, and many others.

Organization development teaches us that both employees and outside stakeholders often look to top management to put strategies in place to make the organization sustainable and more attractive to investors (Weihrich & Koontz, 2006).

There are a number of ways through which to increase both corporate efficiency and effectiveness:

1. *Focus on employee skills and training*. Employee skills should be continually improved. The more competent employees are, the more efficient and effective they are.
2. *Monitor performance and increase motivation*. Put necessary procedures in place to achieve that goal. One idea could be increasing motivation and reducing boredom through job rotation. At the same time, managers can manage conflict more effectively.
3. *Manage conflict*. Conflict could be managed by having more collaborative methods for doing the work and standard ways to ensure that all grievances are addressed, rather than letting them smolder.

Organization development principles must be used daily if an organization wants to expand its market or enter new markets. The more effective an organization is, the better its chance of being able to both capture and retain employees.

Practical Implications of Organizational Effectiveness

It is in the best interest of any firm to attain a high level of effectiveness and efficiency within a short time frame so it can acquire a competitive advantage in its marketplace. Through its efficient procedures, the leaders of an organization must "pay attention to the sense-making process of the organization members and managing change through collective sense-making" (Cheung-Judge & Holbeche, 2011, p. 37). Besides making the organization more sustainable and innovative internally and externally, top leadership can deal with any contingency if they are already running an efficient organization that is effective.

In addition, organizations must be ready to respond to change at all times. Change is often valued as a means of increasing business, but only an organization that is already effective can deal with the ramifications of change. In essence, the biggest implication of organizational effectiveness is that it makes a firm more competitive, on top of implementing change, managing its resources in the most desirable manner possible.

Conclusion

A number of both short- and long-term benefits come from running an efficient and effective organization. In the short term, the organization has a better chance to develop internal competencies and ensure that creative and innovative practices are always given priority. In the long run, an effective organization is eager to implement change that could have benefits, such as making the firm more lean, more competitive, and more desirable to invest in.

Organizational effectiveness includes all performance measurement at any level and the overall corporate culture of the organization, discussed in the next section.

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WHAT IS CORPORATE CULTURE?

Catherine Baumgardner

It has been said that one can feel the culture of any organization during the first encounter. How do the people interact with the customers? Are they attentive and focused on the customer's needs, or do they act as if the customer is not a priority? Are they easy to do business with, or does a customer feel like an inconvenience to the organization? Are people easygoing or uptight? Do people seem to have the latitude to make decisions or are they always checking with "the manager"? All of these are things that each customer assesses, whether consciously or subconsciously, when encountering an organization for the first time, and judges whether or not the organization will be a good place with which to do business. What are people experiencing? They are experiencing the organization's culture.

An organization's culture is made up of its collective history, beliefs, and experiences. Much as humans exhibit cultural behavior based on their own backgrounds and experience, so do organizations act based on the beliefs upon which they were founded and the nature of the people who work there. Every organization has a unique culture. The organization's awareness of its culture and how closely aligned the culture is with the needs of its customers are what determines whether or not an organization will be successful. The more closely aligned the organization is with its customers' values, the more successful it will be.

Why Is Corporate Culture Important?

An organization's values set the standard for how employees will behave in relation to customers. In a newly formed organization, the culture is based on the leadership and those that they hire. In more established organizations, the culture is inherited by new leaders and is either perpetuated because of a cultural match between the new leaders and the organization, or change efforts are put into place to forge a new culture. Culture is very difficult to change. Studies have shown that it takes four to six years to fully change the culture of an organization. With average CEO tenure at just slightly less than three years, cultural change efforts may never be fully realized before a new CEO is at the helm.

When a culture is strong, people are so aligned with the values and goals of the organization that they function smoothly and effectively. Because they are aware of the expected norms, they know what they need to do and what their boundaries are. When a culture is weak, the reverse is true. People are not clear about the values and goals and, as a result, there is a strong reliance on bureaucratic procedures and policies as well as "micro-management." Some of the outcomes of a strong culture include higher productivity; greater employee loyalty; better teamwork; and more "big picture" thinking on the part of employees.

Leadership plays a key role in building and sustaining the culture of an organization. The culture is supported by the way that the leader behaves, the ways in which employees are rewarded and recognized for exhibiting behaviors consistent with the cultural norms, and the ways in which decisions are made. It is therefore critical for leaders to understand the norms and values that drive their organization and how well they are aligned with those on the receiving end of their services or products. Failure to understand these can lead to breakdowns in the customer relationship and lower the profitability of the company over time.

Conclusion

Although little empirical research exists to tie organizational culture to organizational performance, most experts agree that, typically, organizations exhibiting a strong organizational culture are the most successful over time. They have a thorough understanding of their norms and values, as well as the impact on the consumers of their product or service. A strong culture is felt to have a significant impact on an organization's long-term economic performance.

If an organization's corporate culture is not congruent with business strategies, goals and objectives will not be met. The organization's strategic plan should plot a company's long-term direction, as we will cover next.

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STRATEGIC PLANNING, AND WHY YOU SHOULD CARE ABOUT IT

M.J. Zygmont and Daniela A. Feenstra

Strategy is another word for plan; it makes it sound very simple, but it is a complex and critical component of any organization that may determine success or failure. Most organizations believe that they have a strategy that will bring them the success they envision. Having a vision, a product or service, and a market is enough, right? No, it's not, but it's a beginning.

What does a company need to know that can help it achieve success and avoid failure? What is the process by which it gains strategic knowledge and uses it to its advantage? Who will be involved in this process? How will the organization monitor accountability? What advantage will this strategic process provide to the company?

What a Company Needs to Know

The saying goes that "the only constant is change." In today's dynamic business environment, an organization must be aware of the internal and external factors that influence outcomes, such as profitability, shareholder value, reductions in costs, and increased employee retention. Such knowledge allows an organization to create a plan that will encourage more efficient use of resources while providing flexibility to meet the challenges related to industry trends.

How an Organization Gains Strategic Knowledge

Environmental scanning is a process that an organization may use to gain strategic knowledge. One commonly used tool in environmental scanning is a SWOT analysis, a process through which an organization analyzes its strengths, weaknesses, opportunities, and threats. This allows for both an internal and external environmental analysis.

Internally, an organization needs to understand its strengths and weaknesses. Strengths include, but are not limited to, core competencies, financial position, and the value of its human capital. Weaknesses can often be found through an analysis of an organization's financial statements and data related to the efficient use of resources, including employee retention.

Externally, an organization must be aware of opportunities and threats. Opportunities are factors in the organization's industry that may, for example, allow it to grow in market share or breadth of offerings. Scanning the external environment provides an organization with the opportunity to gain first-mover advantage. Threats, on the other hand, relate to external factors that may keep an organization from reaching desired expectations if not recognized or addressed. These threats might include, but are not limited to, emerging competitors, competitors' strengths, government regulations, and the power of buyers and suppliers.

As this is a strategic process, involvement should begin at the highest levels of the organization, including the board of directors, but all levels of management must be involved. Clear communication is imperative. An action plan is frequently created to deal with the results of the SWOT analysis.

Advantages of Strategic Planning

Strategic planning can help an organization prepare for change. Organizations are organic in nature and function within a dynamic environment. Strategic planning encourages organizations to plan not only for what is, but also for what could be. Tools such as a SWOT analysis provide organizations with an overview of the environmental conditions they might use to exploit their strengths and opportunities and minimize their weaknesses and threats.

Organizations often assign tasks and responsibilities to different departments, functions, or geographic areas. One of the problems often experienced by large or growing organizations is a lack of synchronization among departments; for example, the marketing department may create a great marketing strategy, but one that is not in alignment with the work being done by the research and development department. Strategic planning provides organizations with a common vision that helps everyone work together and also provides a way for top management to monitor the overall organization. Strategic planning helps align the corporate-level strategy with the business-level and functional-level strategies.

At the end of any well-conducted strategic plan is a way to measure success. An organization can evaluate its plan and change or eliminate any activities that did not provide the desired results. Strategic planning encourages organizations to analyze the actions they take and provides a set of standards by which actions can be measured.

Conclusion

While having a strategic plan does not guarantee success, an investment of resources in the creation, implementation, and evaluation of a strategic plan may increase the likelihood of success. A strategic plan provides an organization with an objective picture of its position in the dynamic arena in which it operates. The plan may give an organization a competitive advantage as well as the opportunity to rapidly respond to change.

Communication is a key component of a successful strategic plan. Upper management must take personal ownership of the plan to assure that it is widely accepted and supported throughout the levels of the organization.

An organization may have vision, an excellent product or service, and a growing market, but without an effective strategic plan, it may not have the opportunity to exploit these.

Strategic planning is the process of creating change while gaining commitment from employees and other stakeholders necessary to make it happen. Change management is our next topic.

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WHY SHOULD YOU CARE ABOUT CHANGE MANAGEMENT?

Nai-Fen Su

Our lives change every day. Organizations, especially, change in order to cope with challenges from new competitors or transformational or strategic changes. Change management is a crucial and imperative issue in HR. What is change management? Why is it important? How can you successfully manage change? Knowing the answers to these questions is very important.

What Is Change Management?

In 1999 Worren, Ruddle, and Moore proposed that a new profession called "change management" had emerged from the world's large consulting firms. Many organizations came to believe that change could enhance their competitive capabilities.

Change management as it has been defined more recently means the process of helping a person, group, or organization change (Rothwell, Stavros, Sullivan, & Sullivan, 2009). Anderson and Anderson (in Rothwell, Stavros, Sullivan, & Sullivan, 2009) defined change management as "a set of principles, techniques, and prescriptions applied to the human aspects of executing major change initiatives in organizational settings. Its focus is not on 'what' is driving change (technology, reorganization plans, mergers/acquisitions, globalization, etc.), but on 'how' to orchestrate the human infrastructure that surrounds key projects so that people are better prepared to absorb the implications affecting them."

Additionally, various authors have proposed models for the change process:

- Kotter's strategic eight-step model for transforming organizations
- Jick's tactical ten-step model for implementing change, and
- General Electric (GE)'s seven-step change acceleration process model

Why Is Change Management Important?

Organization change means adapting to both internal and external forces, technologies, markets, and legislation to bring about new processes, restructure, deal with mergers and acquisitions. It often means changes in staff, policies, and procedures. Unfortunately, 70 percent of organizational change efforts fail. Why is this? Because many crucial elements in the change process are skipped. Rothwell, Stavros, Sullivan, and Sullivan (2009) point out six key trends behind organizational change—changed technology, increasing globalization, continuing cost containment, increasing speed of market change, growing importance of knowledge, and the increasing rate and magnitude of change in general. Many challenges come up during any change effort, so HR leaders must know how to overcome them.

Who Is Responsible for Successfully Managing Change?

The responsibility for managing change lies with management, who must help employees understand the reasons for change and ways of responding positively. Organizational changes are more likely to be successful if managers take these simple principles:

1. Understand the context in which the change occurs.
2. Identify the strategies, recipients, and organizational need for change.
3. Evaluate the climate for change and review the organization's past history with change.
4. Develop a comprehensive change plan.
5. Find and cultivate a sponsor who is a powerful and can facilitate driving the change process.
6. Prepare the target audience (managers from different departments and employees) for resistance to the change initiative.
7. Create the supportive culture (structure, measurement systems, reward systems, and development systems) necessary to help the change thrive.

8. Support leader teams and team planning to increase organizational cohesion.
9. Develop reward system that motivate and increase members' supportive behavior and commitment to change.
10. Continually and strategically communicate the progress of the change effort.
11. Measure progress.
12. Integrate lessons learned in the "new" organization to avoid making the same mistakes in the future.

Paradoxically, change is the only constant in today's fast-moving organizations. Managers always face the problem of changing organizations and the people in them. Whether the need is to change an assembly line or reorganize the organization, change is what is happening.

Organization development (OD) is one way to bring about change in organizations. It has been widely used by many companies in the United States. Of course, OD is not the only way to bring about change in companies, but it is a very topical issue now in the West.

The next section focuses on answering a few important questions about how to change organizations and, more specifically, how OD brings about change. It addresses the following questions:

- What are five approaches to change in organizations?
- What is OD?
- What is the OD approach to organizational change?
- What are the disadvantages and advantages of the OD approach?

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FIVE APPROACHES TO CHANGE IN ORGANIZATIONS

William J. Rothwell

There are basically five approaches other than OD to bring about change in organizations. It is worthwhile considering each of them.

Approach 1: Coercion

Autocratic managers know about coercion. One way to bring about change is to *order* people to make a change. In some companies, coercion is a management practice associated with punishment. If people are ordered to change and they do not do so, then they may be disciplined, demoted, or fired.

Coercion has the advantage of being fast. It is easy to order people to do things and punish them if they do not make the changes that a manager or executive wants them to make.

But coercion has the disadvantage of not being accepted by workers. People often do not like to make changes when they are forced to do so. Coercive managers find that people will resign and go to other companies where they are not threatened with punishment. The price of using coercive management, then, is usually higher turnover. Another disadvantage of coercion is that sometimes workers will sabotage a change when they are threatened with punishment. Sabotage can take many forms. Workers may, for instance, steal company products or money or discourage customers from buying company products or services as a subtle way to strike back at coercive, authoritarian managers.

Coercion is appropriate in times of emergency. When a ship is sinking, a ship's captain is well-advised to order his crew to abandon ship. In rare cases, such as a company going into bankruptcy, coercion may be the best approach to change to use.

Approach 2: Persuasion

Many managers know about persuasion. One way to bring about change is to sell people on the benefits of change. In companies, persuasion is a management practice associated with rewards. If people are sold on making a change and rewarded for doing it through higher salaries or promotions, then they have a personal stake in success.

Persuasion has the advantage of appealing to self-interest. People change because they see a personal benefit from doing so. They support the change for that selfish reason.

But persuasion has the disadvantage of being an unsure strategy. Some people do not believe that they will receive promised benefits from a change. They will then not be "sold" on making the change. Another disadvantage of persuasion is that it is expensive. People may have to receive pay raises or other benefits that are costly.

Persuasion is appropriate when the manager has access to the resources to make and keep promises. But when the resources are not sure, another approach to change should be selected because there is nothing worse than promising financial benefits that cannot be given later. Doing that destroys trust.

Approach 3: Law and Policy

Governments make laws to prohibit some behaviors and encourage others. Taxation policy, for instance, encourages businesses to do some things—and not to do others. The company equivalent of a law is a policy that regulates operation. If the policy is violated, the worker is punished or even fired.

In reality, law and policy are quite similar. They use a legalistic approach to change that forces compliance through a form of coercion. They are appropriate when people cannot be trusted to act for their own benefit or for the benefit of others.

Law and policy have the disadvantage of discouraging behavior. They should not be used when conditions change quickly—or when coercion will actually encourage people to defy authority. In the 1920s, for instance, alcohol was outlawed in the United States. But one unintended result was that people were actually encouraged to drink alcohol more, rather than less, because of the change in the law. That law was eventually changed because it did not achieve its intended result.

Approach 4: Leadership Change

People have great faith in leaders and heroes. Sometimes they believe that one great person can achieve results when groups of people fail to achieve them. One way to bring about change is to change the leaders. Nations do that, on occasion. In companies, if the board of directors loses confidence in the chief executive officer (CEO) to achieve results, they will fire him or her and hire someone new. In the same way, if a manager is failing, executives sometimes think that another manager may change the situation. So they make a leadership change by appointing a new manager.

Leadership change has the advantage of signaling a change to many people. People change because they want the new leader to reward them and not punish them.

But leadership change has the disadvantage, like persuasion, of being an unsure strategy. Sometimes leaders cannot change the situation. For instance, a company selling a product that customers do not like will not realize better performance if a new CEO is appointed. The reason, of course, is that the problem has nothing to do with the leader but with the product that is sold by the company.

Leadership change is appropriate when the old leaders or managers cannot change what they believe and refuse to change when conditions change. But it is an inappropriate strategy when the problems are caused by variables that are not under the control of the leader.

Approach 5: Debating

An uncommon approach to change is to debate the formal advantages and disadvantages. This approach has actually been used in companies that are considering major strategic changes—such as the purchase of a new company or the sale of an old company.

The approach works just like it does in formal college debates. Two teams are chosen. One team consists of a group favoring the change. The other team consists of a group that does not favor the change. The senior executives sit in the audience. The two groups rely on formal rules of debates, such as set periods for opening arguments, free argumentation, and closing arguments. The audience, consisting of company senior managers, is asked to keep open minds and even to ask questions of the two teams. By the end, all the advantages and disadvantages of a proposed change should have been thoroughly explored and a decision can be reached.

The debate approach has the advantage of getting the facts out quickly and efficiently, assuming both teams prepare. People change because they have had a chance to hear both sides of a carefully planned argument.

But the debate approach has the disadvantage of being only as good as the teams that carry out the debate. If one team forgets important facts, then the debate is not a good one.

The debate approach is appropriate when there are two clear-cut sides to a decision. Unfortunately, sometimes it is not that simple.

What Is OD, and What Is the OD Approach to Change?

How is OD defined? What is the OD approach to change? This section answers these questions.

A Definition of OD. Organization development (OD) is a change effort that is carried out in a participative way, involving those affected by the change, and that uses action research as a key roadmap for the change. While OD change efforts can be focused on individuals, most OD efforts are geared to changing groups or entire organizations.

First, OD focuses on group change. It thus differs from other change efforts, like training, that are directed toward changing individuals. Like training, however, OD seeks to bring about change by equipping people with new knowledge, skills, and attitudes. Unlike training, however, OD often seeks to create a new organizational culture. *Culture* can be understood to mean the often-taken-for-granted expectations of people in organizations about the right way to do things. Training is seldom able to change culture because it brings about change one person at a time, which does not create a *critical mass* (a sufficient number of people at one time) for change in the same way that OD efforts are intended to do.

Second, OD usually focuses on long-term change. It thus differs from training, which seeks short-term change by giving people new knowledge and skills that they can apply immediately on their jobs. Unlike training, however, OD focuses on changing groups or organizations. Since groups and organizations simply take longer to change than individuals do, OD efforts are often necessarily long-term. Some authorities have estimated, for instance, that, to install a large-scale change in a major corporation, timeframes of four to six years should not be considered unusual. Generally speaking, the larger the group or organization that is to undergo the change and the more radical the change effort, the longer it will take.

Third, OD often relies on assistance from external consultants. An *external consultant* is someone from outside the immediate area in which the change is to occur and whose role is to facilitate, rather than direct, the change effort. An external consultant may, for instance, be hired from outside the company. Alternatively, an external consultant may be brought into the setting from another division, such as the HRD department or the HR department. External consultants who do work in OD have a special name and are called *change agents* because they are agents of change.

Fourth, OD is inherently participative in nature. Individuals in the group or organization needing to change are involved in all phases of the change process. Often they define and frame the problems calling for change, reach agreement on the problems, define and frame the solutions that can be implemented to solve the problems, devise their own action plan for installing the change, take active roles in the installation effort, and play a major role in evaluating results.

The OD Approach to Change: The Action Research Model. So what is the OD approach to change? The answer can be found in the Action Research Model, the governing model for OD. It is shown in Figure 5.1.

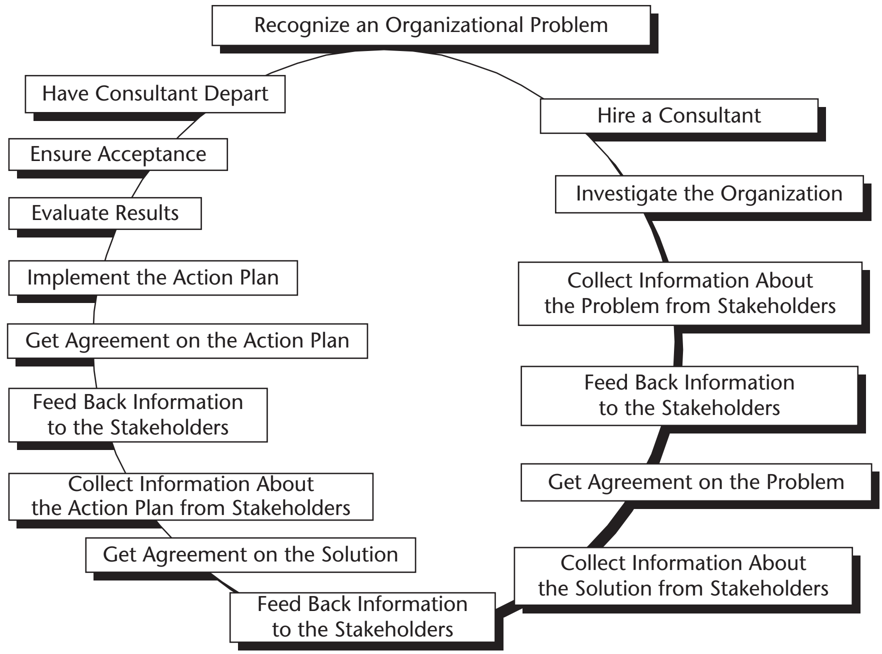
The first step in the Action Research Model is to recognize an organizational problem. No change can occur until someone—a CEO, a senior manager, or someone else—recognizes that a change is necessary. The manager who asks for help from a consultant is called the *sponsor*.

Take the case of XYZ company. The vice president of human resources knew that the company was plagued by too much turnover. Employees would not stay in the company. So he became a sponsor for an OD effort.

The second step in the Action Research Model is to hire a consultant. Most managers are familiar with consultants. But to be qualified in OD, a consultant must have special qualifications to know how to deal with the process of change rather than offer expert opinions based on credentials in a special area. The OD consultant is an expert in group process—that is, how group members interact—rather than in a subject area, such as management or accounting.

Is it always necessary to have an external consultant? That is an important question. Although managers can sometimes serve the role of OD consultant, that is usually not desirable. The reason is that people sometimes fear managers and do not tell them the truth. Often, someone from outside the organization—or at least from outside the immediate department or division undergoing the change—is needed. Consultants hired from outside the organization are, of course, *external con-*

FIGURE 5.1. THE ACTION RESEARCH MODEL



sultants. Consultants who help from inside the organization are *internal consultants.* Internal consultants may be part of a company OD unit, centered in the HR department. In the example, XYZ company's vice president of human resources hired an OD consultant to examine company turnover using the Action Research Model.

The third step is to have the consultant investigate the organization. If the consultant is hired from outside the organization, he or she must become familiar with what the organization does, how it is structured, and what people lead the organization.

In the example, the OD consultant hired by XYZ company began by requesting information about the company even while the consultant was on the phone with the vice president of human resources. He asked to see the organization chart, the company's annual report, any employee exit interview information, and the exact turnover statistics for the company and its industry. He received those to review before arriving at XYZ company.

The fourth step of the Action Research Model is to have the consultant collect information about the problem from the stakeholders. Unlike the earlier step in which the consultant collects information about the organization, the consultant in this step focuses on gathering the perceptions of key managers, workers, and perhaps even customers, suppliers, or distributors about the problem. It is important that the information be gathered from individuals rather than from many people at once.

In the example, consultant Chen Wei arrived at XYZ company and began interviewing many people. He talked to the vice president of human resources, the vice president for manufacturing, and also supervisors and workers in the company. He asked the same questions in all interviews so that he could compare the results.

The fifth step in the Action Research Model is to feed back information about the problem to the stakeholders. The consultant thus summarizes what he or she has learned and presents it to those who provided information. That includes not just managers but also workers who supplied information. One typical result of this step is that people react with shock. (It is an example of what psychologists call *cognitive dissonance*.) The managers and workers are surprised by how much difference of opinion exists about the problem. These differences of opinion are a driver for change, since they shock managers into realizing how much opinions vary on the subject.

In the example, consultant Chen Wei compiled the information he had received during the interviews. He heard that XYZ's company turnover was a problem. He also heard from the managers and workers a range of causes for it—including low salaries and authoritarian management practices. He then briefed the vice president of human resources about what he had learned from the interviews, although Chen Wei was careful *not* to name specific people he had interviewed. He then scheduled a meeting with all the people he interviewed and other interested people. He provided the group with a complete report on what he had found out, and he asked them to vote about the most important causes of the turnover. As expected, they were surprised about the many differences of opinion about the causes of the problem.

The sixth step in the Action Research Model is to gain agreement on the problem. Working with all the stakeholders, the OD consultant focuses on gaining agreement about what the problem is, what causes it, how important it is, and what will happen if the problem is left unsolved.

In the example, Chen Wei worked with the group he briefed to gain agreement on the nature of the problem, its cause, and its priority to the organization. By the time he left the meeting with the group, he had a clear sense of the problem as the group saw it.

The seventh step in the Action Research Model is to have the consultant collect information about the solution from the stakeholders. In this step the consultant gathers the perceptions of key managers, workers, and perhaps even customers, suppliers, or distributors about ways to solve the problem. It is important that the information be gathered from individuals rather than from many people at once.

In the example, consultant Chen Wei interviewed the stakeholders again about the most appropriate solutions to the problem. Following the same procedure as when he interviewed people about the problem, he interviewed people in XYZ company about possible solutions. As before, he asked the same questions in all interviews so that he could compare the results.

The eighth step in the Action Research Model is to feed back information about the solution to the stakeholders. The consultant thus summarizes what he or she has learned and presents it to those who provided information. That includes not just managers but also workers who supplied information. One typical result of this step is that people again react with shock. They are surprised with how much difference of opinion exists about the solution.

In the example, consultant Chen Wei compiled the information he had received during the interviews. He heard that the company should authorize a salary study, examine recruitment and selection practices, provide supervisory and management training to improve leadership quality in the organization, and many other possible solutions. As before, he briefed the vice president of human resources about what he had learned from the interviews. He then scheduled a meeting with all the people he interviewed and other interested people. He provided the group with a complete report on what he had found out.

The ninth step is to gain agreement on the solution. Working with all the stakeholders, the OD consultant focuses on gaining agreement about what the solution to the problem should be, why it addresses the cause of the problem, and why one solution is better than others.

The tenth step in the Action Research Model is to have the consultant collect information about the action plan to implement the solution from the stakeholders. This step works much like the earlier steps in collecting information about the problem and solutions. So too do steps eleven and twelve, in which the consultant feeds back information about the action plan to the stakeholders and gets agreement on the action plan.

The thirteenth step is to implement the action plan. It is important to emphasize that this step, like all the others, remains the responsibility of the *client*—that is, the stakeholders who will benefit from the change effort—and not the consultant. The consultant's role is to help the client group work together effectively to solve the problem that the stakeholders identified using the solution and action plan identified by the client group. The consultant's role in this step, as in others, differs from the traditional consulting role.

The fourteenth step is to evaluate the results. The OD consultant helps the stakeholders track the results of their solution and action plan. The OD consultant thus focuses attention on getting results. Of course, when the action plan is forgotten or when the problem is not being solved, the OD consultant draws the attention of the stakeholder group to the need for a mid-course correction.

The fifteenth step is to ensure acceptance of the change effort. One proof of an effective OD consultant is that the change effort continues after the consultant leaves. One way OD consultants ensure that happens is by training replacements to take their places when they leave the organization. (Of course, if consultants do not leave, the organization is said to be "addicted" to consulting help.)

The sixteenth and final step is to have the consultant depart the setting. At this point, the OD consultant has helped the stakeholders solve their problem by using their own action plan. At this time, it is appropriate to leave.

In the example, Chen Wei worked with the group he briefed to get agreement on the solution, the action plan and ways of measuring results. In this case, the company agreed to do a salary study and offer supervisory training to improve the quality of supervision in the organization. Chen Wei trained a person to act in his role after he left, thereby setting the stage for company acceptance of the change effort. The result of the OD intervention was that the turnover at XYZ company declined over the following months.

What Are the Disadvantages and Advantages to OD?

Managers who hear about the OD approach are often quick to point out its disadvantages. They are, to be sure, worth mentioning. But so are its advantages.

Disadvantages of OD. Managers complain that the Action Research Model, which is the basis of OD, is time-consuming and expensive. Many people must be involved over a long time to get results. Those are clearly disadvantages.

Of course, other approaches also have their disadvantages. If people are coerced to change and they do not agree with (or understand the reasons for) the change being made, they are not motivated. Worse yet, they may quit because they do not like coercive treatment. It will then be necessary to incur the expense of training replacements—assuming the right ones can be recruited at all.

Advantages of OD. However, the advantages of the Action Research Model outweigh its disadvantages when the goal is to achieve culture change by getting a group of people to "buy in" and "own" their own change effort. The power of OD, based on the Action Research Model, is that changes are more readily accepted by people than when less participative approaches are used.

Conclusion

Every manager faces the need to deal with organizational change. It is part of the manager's job. This section has described one approach that has been widely and successfully used in many ways to get "change that lasts." That is the key benefit of OD.

There are two distinct models when applying the OD approach to change: the Action Research Model discussed above and the Appreciative Model. The following section will discuss the latter model.

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
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ACTION RESEARCH FOR SUSTAINABLE CHANGE

Maria T. Kirby

Why Use a Participatory Approach to Organization Development?

Organizations are, by their very nature, complex configurations of resources, processes, and people. The individuals making up the organization develop cultures, habits, and interdependencies that tend to remain stable and are generally resistant to change. However, successful organizations must be able to respond to the various demands of their operating environments or risk irrelevance. There are many considerations with regard to organizational responsiveness and related change processes, but, arguably, at the heart of the challenge lies embedding behavior change within the "people" portion of an organization. One way to approach the process of changing behavior, while attending to the complexities and interdependencies of organization culture and work processes, is to involve the individuals who comprise the organization to be active participants in the change process. The principles of behavioral science hold that active participation in the planning and development of change generates buy-in and ownership for the process, which means that desired new behaviors will be much more sustainable. One fundamental approach to this participatory organization change framework has been termed "action research."

History and Overview of Action Research

The term "action research" embodies both the philosophy of participation and empowerment in a change process, as well as a general framework through which it can be accomplished. Broadly defined, action research is an iterative approach to organization change and development that involves engaging an organization's stakeholders in organization change and development efforts in a manner that is bottom-up and participatory. The literal interpretation implies both "action" and "discovery" within the same inclusive process.

Kurt Lewin, a German-American psychologist, is widely credited with coining the term in the 1940s. Lewin proposed action research to build on his theory that an individual's motivation to change was tied to his or her active participation in the change process. Lewin's original work included a cyclical three-step framework for organization change: planning for action, implementing the planned action, and reviewing the outcomes, also characterized as "unfreezing behavior," "changing behavior," and "refreezing behavior" (Rothwell, Stavros, Sullivan, & Sullivan, 2009).

The Evolution of Action Research

While the fundamental principles of action research remain relevant, applications of the approach have evolved as demands on organizations have evolved. Globalization and the rapid advance of technology require more speed and flexibility in organization change processes today. Organization change processes are increasingly nonlinear because operating environments are more dynamic and so organization change processes must take into account many interdependencies. Columbia University's Warner Burke has proposed an action research model that takes into account the need for external environment sensing, for internal communication to establish the need for change, as well as for the need for clear vision and direction from the change leader. Burke's 2002 model (Rothwell, Stavros, Sullivan, & Sullivan, 2009) is characterized as an "upward spiral," rather than a "series of steps" and includes pre-launch, launch, and post-launch phases. The learning of each phase becomes the foundation of future phases.

Applications and Connections to Other Initiatives

Organizations facing the need for change or development have multiple choices with regard to the approach to take. Action research is advisable in applications for which behavior and/or culture changes are desired. A very practical benefit of action research is that it and other participatory organization development efforts are generally viewed as providing more sustainable change, as the stakeholders within the organization have more ownership for and buy-in to the change process. Other options for change management include top-down implementations, which are typically more grounded in resource and structure changes than in behavior or culture modification. Organizations considering how to manage their change efforts should familiarize themselves with all change management processes and theories and chose the approach most suited to their desired cultures (Rothwell, Stavros, Sullivan, & Sullivan, 2009).

The Appreciative Inquiry Approach

The action research approach almost always engenders resistance, but that is the way almost all change efforts begin, especially when looking for problems, mistakes, and errors. The OD approach to change focuses on how the organization is deficient and assumes that the organization at its present state is not working. However, there is another way of beginning an organizational change effort, one that focuses on strengths and opportunities. This basic principle of affirmation is the focus of "appreciative inquiry," described in more detail in the next section.

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ACCENTUATING THE POSITIVE: LEVERAGING STRENGTHS TO ADVANTAGE

William J. Rothwell

Say the word *philosophy* and most managers instantly tune out. They believe that philosophy is one of those esoteric disciplines that focuses on such silly questions as "How many angels can dance on the head of a pin?" According to this bottom-line-oriented management view, philosophy is harmless at best—and impractical at worst.

But philosophy does matter. Consider: Does a manager choose to focus on what is right or on what is wrong? The answer to that question, while philosophical, has profound implications for the manager's subordinates and customers. And perceptions, like philosophy, also matter. How investors perceive management as capable to handle competitive challenges affects fluctuating stock prices in publicly traded companies.

Since the beginning of modern management with the publication of Frederick Taylor's book *The Principles of Scientific Management* (1911), the answer has been clear. Managers should focus their attention on differences between desired and actual results. That has also been interpreted to mean that organizations should focus on problems because it is simply more cost-effective for managers, who presumably have higher salaries and more knowledge, to focus their attention on narrowing deviations from desired and actual results. That is called management by exception—or simply exception management.

But, since 1990, new thinking has swept the management world. Instead of focusing on what is wrong, managers should focus on what is going right. That general view is called appreciative inquiry (AI). Why is AI so attractive? When should AI be used? What are some of AI's practical implications? How does AI build interest in change? This brief section of the book addresses these questions.

What Is Appreciative Inquiry?

Appreciative inquiry (AI) means just what it sounds like. "Appreciative" means "to appreciate," and "inquiry" means "to ask questions about." Hence, *appreciative inquiry literally means to ask questions about what is worthy of appreciation*. Because the term sounds so complicated, some people prefer to call it "positive change theory."

AI is much more than a philosophy of management. It is a philosophy of life. It is about what we choose to pay attention to. Do we focus on what is going wrong and try to solve problems? Or do we focus on what is going right and try to leverage these strengths to advantage.

Consider a few examples. When you turn on an international news channel such as the BBC or CNN, what is the lead story usually about? Is it good news or bad news? Typically, of course, most lead stories on these news channels are bad. You know what I mean: the latest bombing in Iraq, the latest explosion in Afghanistan, the latest missile test in Iran, or the latest scandal about some political leader. Few lead stories are about something positive.

The same principle applies to management. Do managers focus on what is going right with their workers—or do they notice what is going wrong and requires improvement? Do managers focus on what has gone well with their service to customers—or focus on the complaints they receive? We all know the answer. Problems usually receive the most attention.

Why Is Appreciative Inquiry So Attractive?

Appreciative inquiry can be like a breath of fresh air when experienced for the first time. Just consider what happens when managers focus on what is going wrong. What is the first thing that usually happens? They look for someone to blame. (Some people call that *blame storming*.) Pointing fingers may be satisfying. But it does not solve the problem, and it often leads to paralysis and low morale. People feel bad. And when people feel bad, they do not take action.

Consider: after the terrorist attacks on 9/11, Congress devoted two years to hearings to figure out what U.S. government agency to blame. Did that solve the problem? Of course not. It was just a show to convince people that Congress was doing something. But in reality, the United States did not become a safer place as a result of those hearings.

But AI does not start with what is going wrong. Instead, it focuses on what is going right.

When Should Appreciative Inquiry Be Used?

AI can be used in any situation—good or bad. But perhaps its best application is when an organization is successful. Success can be the biggest challenge for any organization, since it encourages workers and managers alike to become disinterested in improvement. (We have all heard the old saying that "We shouldn't fix what is going well.") But AI focuses on how strengths can be leveraged to advantage. AI goes well with a continuous improvement philosophy and permits decision-makers to realize a positive dream of the future rather than trying to "sell" change when workers do not see the need.

What Are Some Practical Implications of Appreciative Inquiry?

AI has many practical implications. Consider how AI may apply to management.

First, if managers choose to focus on what is going right, they may choose to ask this question: What are the key strengths of the organization? That question avoids blame storming and leads to identifying the *core competency of the business*, the one thing that the company does better than any other company in its industry. Once that core competency has been identified, managers and workers can be encouraged to consider how it may be intensified so that no other organization can ever achieve the same advantage.

Second, if individuals focus their career thinking on what is going right, they may choose to ask: What are my key strengths? What do I do better than anyone else does it?

That avoids the sometimes unproductive effort to overcome personal weaknesses—some of which may never be overcome. Instead, it focuses attention on what the individual is particularly talented at doing and then leads him or her to think about how to get even better at that.

If applied to the HR department, AI may focus on what the HR department does best and thereby pinpoint what HR service(s) it provides that should never be outsourced because they are done best by internal staff. That will most likely result in HR transformation, the process of rethinking and rechartering the role of the HR department.

AI also has applications for every facet of HR. It can focus on the strengths of applicants, the advantages of selecting individuals, individual strengths worthy of developing to advantage, and what value-added people bring to the organization, instead of focusing on what they are doing wrong. In coaching situations, for instance, individuals can be told what they are doing right and how they can build on these strengths.

How Does Appreciative Inquiry Build Interest in Change?

While various models have been proposed to describe how AI works, one way to conceptualize the approach is to use a four-step model:

- *Consider key issues*: What changes does the organization wish to make?
- *Encourage visioning*: What are the key strengths of the organization, and what would a positive dream of the future look like?
- *Build involvement and engagement*: Establish teams of managers and workers to develop feasible action plans to make the vision a reality.
- *Implement the vision*: Follow the Nike motto and "just do it."

Of central interest in AI is building a positive vision of the future after the key strategic strengths have been identified based on key themes emerging from storytelling. Workers and managers tell stories of times when they have been particularly motivated and successful. That gives clues to key elements of a vision to implement.

Conclusion

Appreciative inquiry—sometimes called *positive change theory*—literally means "to ask questions about what is worthy of appreciation." Appreciative inquiry can be like a breath of fresh air when experienced for the first time because there is no finger-pointing or blaming. AI focuses on what is going right and then poses questions about how those strengths can be leveraged in the future. Consider experimenting with the approach.

Whether to approach change from challenges or from strengths, it is still important to be able to identify and analyze problems in an organization. The following section will address ways to solve problems effectively.

The Encyclopedia of Human Resource Management: HR Forms and Job Aids
Edited by William J. Rothwell

HOW TO IDENTIFY AND ANALYZE PROBLEMS IN YOUR ORGANIZATION*

Bud Benscoter

How many times have you heard it said that one of the biggest challenges faced by American business is finding or developing people to solve problems effectively? A fact that's often ignored, though, is that problem identification and analysis are critical first steps to good problem solving, since successfully solving the *wrong* problem is worse than not addressing the real problems at all.

Here we present a format for identifying which problems to attack and how to analyze the impact they are having on your organization. The approach used is a six-step process called PRIAM, for PRoblem Identification and Analysis Model. While the model can be used by an individual working alone, it is also very effective with intact working groups that sometimes find it difficult to sort out the "trivial many" from the "critical few" issues on their plates.

By following this six-step process, you should begin to work on the problems that have the greatest impact on your business and lay a foundation for selecting the appropriate solution to yield measurable results. Happy hunting!!

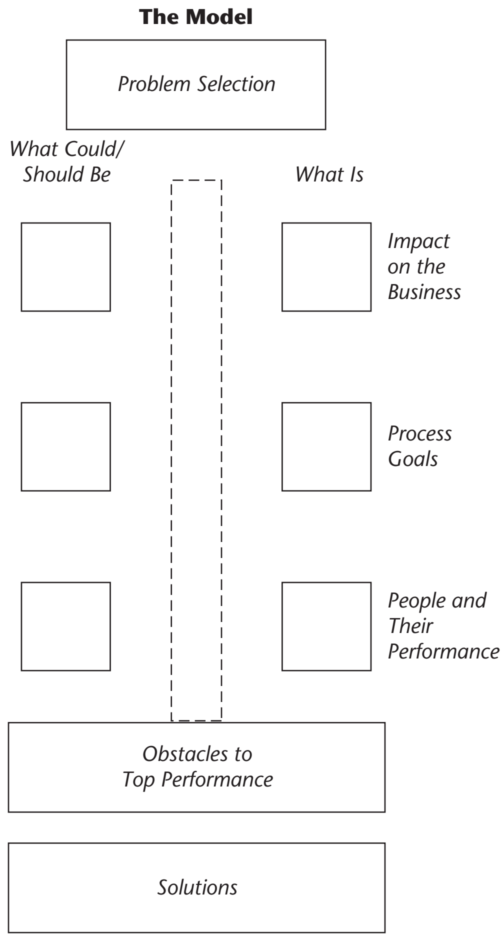
**Note:* A special thanks to James and Dana Gaines Robinson and to the late Thomas F. Gilbert for the inspiration their work provided in formulating the PRIAM approach.

The PRIAM Model

Figure 5.2 is a graphic representation of the model, which looks at four areas:

1. Impact on the business in terms of business metrics
2. Impact on business processes
3. Impact on worker performance
4. Obstacles to top performance

FIGURE 5.2. THE PRIAM MODEL



A "gap" is the difference between what IS happening and what SHOULD or COULD be happening.

For each of the impact areas, you'll be asked to think about the following:

- The "should" vision of the area of the model under investigation: What results should be happening that are not?
- The "is" of the issue: In terms of results, what is actually happening? What adverse impact is it having on business results?

You should find the model to be useful for improving not only conditions that are currently deficient, but also those that meet your standards today but will need to improve to meet the challenges of tomorrow. You can enter the model at different places and move around depending on where your analysis leads you.

Applying the PRIAM Model

Step 1: Select an Issue. The first step is to identify an issue. Your group may want to brainstorm potential issues and list them on a board or flip chart. When selecting an issue or a problem from the list you've developed, consider how you can separate the "critical few" from the "trivial many." The questions listed under Step 1 below get to the heart of what's causing "pain" in the organization, how the pain is measured, the benefits to solving the issue, and how "solvable" the problem is.

Step 2: Analyze the Issue in Terms of Impact on the Business. Look at the impact of your group's issue on the business (for example, lost revenue, reduced productivity, cost overruns, turnover). Issues that have greater impact are likely to deserve attention. From there, describe what the situation should (or could) be if the issue were resolved to everyone's satisfaction.

Step 3: Analyze the Process Issue. Process seems to be everyone's focus since the advent of business process reengineering. Recognize the impact that a poor process can have on our operations. To analyze the process issues, identify process goals, gaps between desired and actual process results, and any "disconnects" in the current process flow.

Step 4: Analyze the People and Their Performance. Describe what worker performance looks like now, then what it should or could look like if performance dramatically improved. Focus on performance and its outcomes as well as on behavior, attitudes, and morale.

Step 5: Analyze the Obstacles to Top Performance. More problems are caused by deficiencies in the work environment than by people in the workplace. The key to investigating problems within a process is measurement. A series of core questions in the list for Step 5 below are designed to identify obstacles to top performance. The questions relate to what is expected of people on their jobs, whether they're receiving timely, appropriate, and relevant feedback on their performance, and any incentives or disincentives to perform that may exist in the workplace. For each question, answer "yes" or "no." The questions that you answer "no" to should be areas of opportunity for improvement.

Step 6: Select Solution Criteria. You now have the information you need to identify possible solutions to the issue you selected in Step 1. Before doing so, ask yourself what requirements (such as cost, practicality, or cultural impact) any final solution must meet.

Questions for Step 1

- Is the issue causing pain in the organization?
- How do I know it's a "problem"?
- Who else sees this issue as a problem?
- How are business metrics impacted by this issue?
- What would happen if I did nothing about this issue?
- What will be the benefits to the company and/or the business unit if the issue is successfully addressed?
- Is the problem "leverageable," that is, can a significant improvement be made with a minimum of effort?

Questions for Step 2

- Describe, in economic terms, the current situation.
- Describe what the situation should (or could) be if the issue were resolved to everyone's satisfaction.

Questions for Step 3

- What are the goals of the process?
- If the goals are not being achieved, what is the gap between desired and actual process results?
- Can you "map" both the current and desired processes and identify the critical differences in terms of process efficiency, effectiveness, cost?
- Are there "disconnects" (gaps in process flow) in the current process?

- Is the process being managed cross-functionally?

Questions for Step 4

- *Current Performance:* Describe what worker performance looks like now
- *Desired Performance:* What should or could it look like if performance dramatically improved or changed. Try to focus on performance and its outcomes as well as on behavior, attitudes, and morale.

Questions for Step 5

(Answer "yes" or "no" for each of the following questions. The ones you answer "no" to should be examined more closely.)

- Are the goals and objectives of the work unit/process/job clear and well communicated to everyone?
- Do people know what's expected of them in their jobs? For example, are there job descriptions that include job expectations and performance standards?
- Do people receive relevant, timely, and appropriate feedback on their performance?
- Do people have the tools and resources needed to achieve top performance?
- Do people have good work processes?
- Do people have relevant and effective incentives for doing their jobs?
- Are incentives contingent on job performance?
- Is good performance rewarded?
- Is poor performance punished?
- Do people have the necessary skills and knowledge to do their jobs?
- Do people have the mental, emotional, physical, and psychological capacity to do their jobs?
- If other obstacles were removed, would people want to do well in their jobs?

Question for Step 6

- What criteria must your proposed solution meet for it to be acceptable?

As previously stated, finding the right model for improving the conditions of an is very beneficial. One such model is Six Sigma.

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WHAT IS SIX SIGMA?

Sohel M. Imroz

Six Sigma is one of the fastest growing business management strategies. It is centered around a powerful problem-solving and process-optimization methodology and has been credited with saving billions of dollars for companies during the past two decades. Developed by Motorola in 1986, Six Sigma became well known after General Electric's Jack Welch made it a central focus of GE's business strategy in 1995. This section contains a brief introduction to Six Sigma, its benefits, phases in the Six Sigma process, and steps and tools used in each phase. Although Six Sigma can be viewed as a quality program that is intended to reduce defects, but it is also a methodology that helps companies better meet their business needs.

The term "Six Sigma" is derived from the Greek letter *sigma*—a mathematical term that represents a measure of variation. According to Wikipedia (2011), "A Six Sigma process is one in which 99.99966 percent of the products manufactured are statistically expected to be free of defects (3.4 defects per million)." The most common Six Sigma methodology for projects is DMAIC. The DMAIC methodology is applied on existing processes that do not meet the Six Sigma quality requirements, and it is an activity that **D**efines, **M**easures, **A**nalyzes, **I**mproves and **C**ontrols the target processes (www.isixsigma.com/index.php?option=com_k2&view=item&id=1252:&Itemid=111). Although the techniques of Six Sigma are most often associated with manufacturing, they are also being applied extensively to many other industry sectors, such as IT services, law firms, transportation companies, chemical processing plants, energy supply facilities, financial institutions, healthcare providers, universities, government agencies, automotive and electronic assembly facilities, insurance providers, military organizations, textile production, and others (www.uniworldconsulting.com). Six Sigma focuses on identifying, enabling, and improving core processes in organizations. The typical processes include financial transactions, logistics and scheduling, order processing, customer call centers, design functions, inventory management, manufacturing processes, customer service, marketing and advertising, quality auditing and control, etc.

Benefits of Using Six Sigma

The primary objective of implementing Six Sigma is to provide customers the highest quality of service with the least possible cost to the company. Major benefits of using Six Sigma initiatives include improved quality by employing industry best practices, decreased total cost of products or services of the company, and reduced number of defects. Successful implementation of Six Sigma in organizations provides numerous other operational and financial benefits. Some of these benefits are as follows (www.adamssixsigma.com/benefits_of_six_sigma.htm):

- Systematic problem solving, strategic planning, better decision making, effective supply chain management, etc.
- Improved customer relations, time management, team building, safety performance, employee motivation, etc.
- Reduced cycle time, waste, and customer complaints.

The Six Sigma Process

The most common Six Sigma methodology for projects is DMAIC, which includes the following phases: *Define, Measure, Analyze, Improve,* and *Control.* The following section briefly describes these phases.

Define. The first phase in the DMAIC approach is to define the problem, core processes, project scope, goals and expectations, resources, and timelines. It is imperative that the problem be clearly defined in quantitative terms. For example, a good Six Sigma problem definition would be "There is a 20 percent decrease in sales during the past two quarters." Additional work is often required to adequately understand and correctly document the processes. The following table summarizes the steps and tools used in this phase (www.isixsigma.com).

Steps	Tools
Define Customers and Requirements (CTQs)	Project Charter
Develop Problem Statement, Goals, and Benefits	Process Flowchart
Identify Champion, Process Owner, and Team	SIPOC Diagram
Define Resources	Stakeholder Analysis
Evaluate Key Organizational Support	DMAIC Work Breakdown Structure
Develop Project Plan and Milestones	CTQ Definitions
Develop High-Level Process Map	Voice of the Customer Gathering

Measure. In this phase, the project manager quantifies and benchmarks the processes, using actual data to determine the root cause of the problem and demonstrates the effectiveness of the Six Sigma efforts. At a minimum, it is important to consider the mean or average performance and some estimate of the dispersion, variation, or standard deviation. Trends and cycles can also be very informative. Process capabilities can be calculated when the performance data is available. The following table summarizes the steps and tools used in this phase (www.isixsigma.com).

Steps	Tools
Define Defect, Opportunity, Unit and Metrics	Process Flowchart
Detailed Process Map of Appropriate Areas	Data Collection Plan/Example
Develop Data Collection Plan	Benchmarking
Validate the Measurement System	Measurement System Analysis/ Gage R&R
Collect the Data	Voice of the Customer Gathering
Begin Developing Y=f(x) Relationship	Process Sigma Calculation

Analyze. In this phase, the Six Sigma approach applies statistical tools to validate the root cause of the problem. Any number of tools and tests can be used. The objective is to understand the process at a level sufficient to be able to formulate options for improvement. The project manager should be able to compare various options to determine the best alternatives. It is important to distinguish the symptoms of the problem from the actual problem or root cause. The specific cause, which allows the apparent causes or symptoms to occur, is the root cause, and is often buried deep in the process. The following table summarizes the steps and tools used in this phase (www.isixsigma.com).

Steps	Tools
Define Performance Objectives	Histogram
Identify Value/Non-Value Added Process Steps	Pareto Chart
Identify Sources of Variation	Time Series/Run Chart
Determine Root Cause(s)	Scatter Plot
Determine Vital Few x's, Y = f(x) Relationship	Regression Analysis
	Cause and Effect/Fishbone Diagram
	Five Whys
	Process Map Review and Analysis
	Statistical Analysis
	Hypothesis Testing (Continuous, Discrete)
	Non-Normal Data Analysis

Improve. During this phase, a systematic approach is often needed to use the root cause analysis to develop a solution. The solution needs to be robust yet cost-effective. When the solution is not obvious, it is often the case that the actual root cause has not been found. Some experiments and trials may be required in order to find the best solution. Once the solution is approved, the next step is to create a plan that outlines what needs to be done (action item), who will do it (owner), and when each action item will be done (time frame). The following table summarizes the steps and tools used in this phase (www.isixsigma.com).

Steps	Tools
Define and Validate Monitoring and Control System	Process Sigma Calculation
Develop Standards and Procedures	Control Charts (Variable, Attribute)
Implement Statistical Process Control	Cost Savings Calculations
Determine Process Capability	Control Plant
Develop Transfer Plan, Handoff to Process Owner	
Verify Benefits, Cost Savings/Avoidance, Profit Growth	
Close Project, Finalize Documentation	
Communicate to Business, Celebrate	

Control. As part of this phase in the Six Sigma approach, the process is not considered complete simply when the solution is implemented and all the action items are done. Preventing reoccurrences of similar problems is also an important objective in this phase. In the control phase, additional verifications are conducted to make sure the solution leads to desired outcomes and the outcomes really solve the problem. Recognizing, appreciating, and rewarding team members for their efforts are also important in this phase. Upon successful completion of all five phases, the Six Sigma approach really starts to create phenomenal returns that can be translated in a very rapid fashion throughout the organization.

Conclusion

In today's world, organizations must meet the customer needs and requirements to remain in business. Organizations can stay ahead of their competition by providing quality service to consumers. It is essential for organizations to have an effective and efficient control system for all the internal processes that are aligned with industry best practices for operation. Six Sigma is a business management strategy that can help organizations reduce defects in regular operations and increase process efficiency, leading to higher profits and greater customer value to the organization. Hence, it is suggested that organizations should work toward implementing Six Sigma standards in their organizations to attain rich dividends.

Organizational effectiveness includes all performance measurement at any level and the overall corporate culture of the organization. The performance measurement and human resource metrics in this part of the book will enable an HR department to analyze its own level of effectiveness against agreed-on human resource metrics. The forms provide a quantitative means to determine the costs and benefits associated with various areas of HR. Information can be obtained on employee attitudes, employee turnover, employee skill levels, outsourcing costs, staffing costs, training programs, and promotions.

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MEASURING ORGANIZATION EFFECTIVENESS FORMS

Climate Survey

Purpose

A Climate Survey enables organizations to obtain employee input and satisfaction ratings. The goal is to obtain workers' perceptions and perspectives of an organization. The survey explores the attitudes and concern of the entire organization with the intent to work with employees to instill a positive work atmosphere. Through a climate survey, organizations can become more productive and serve as a basis for quality improvements. The analysis of this survey can identify areas of employee satisfaction and dissatisfaction to facilitate the creation of a positive work environment that addresses problems and facilitates a collective movement to solve those problems.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors who may need to improve performance

How to Use the Form

1. Decide what services should be included in this survey and when it should be given to employees.
2. Decide how to distribute the survey to employees (directly, email, and/or phone survey).
3. Willingly respond to employee questions about the survey.
4. Decide on a meeting date to discuss the results.

Climate Survey

A Climate Survey of Company X

Cover Letter

Dear Employee:

Your opinions about Company X are important. We would like to work in cooperation with you to identify specific issues and work toward companywide improvement over the long term.

Please take time to complete this survey. When you are finished, you may either submit it with your name or you may print it out and send it anonymously to [name].

Your opinions are important. Please take the time to complete this survey carefully.

Cordially,

Part I: Scaled Questions

Instructions: Under Column 1 below, you will find a list of issues that could be of concern in our organization. However, not all issues are equally important to all people. For each item listed, *rate how important it is to you* by marking a number in Column 2. Use the following scale:

5 = Very important
4 = Important
3 = Somewhat important
2 = Not very important
1 = Not at all important

Then, in the third column 3, *rate how satisfied with that issue you are* using the following scale:

5 = Very satisfied
4 = Satisfied
3 = Somewhat satisfied
2 = Dissatisfied
1 = Very dissatisfied

1. Issues	**2. Importance to You**	**3. Your Satisfaction Level**
1. Workers are given encouragement for finding new, more effective ways of doing things.	5 4 3 2 1	5 4 3 2 1
2. Workers are given opportunities to use their skills in their job assignments.	5 4 3 2 1	5 4 3 2 1
3. Workers are kept informed of what is happening by company management.	5 4 3 2 1	5 4 3 2 1
4. Supervisors and managers do an effective job of keeping workers informed about changes in work procedures.	5 4 3 2 1	5 4 3 2 1
5. Supervisors in this company pay serious attention to workers' suggestions for improvement.	5 4 3 2 1	5 4 3 2 1

6. The exchange of information among departments is appropriate.	5	4	3	2	1	5	4	3	2	1
7. There are enough employees in my department to do the work.	5	4	3	2	1	5	4	3	2	1
8. The morale in my department is good.	5	4	3	2	1	5	4	3	2	1
9. The quality of work performed in my department is good.	5	4	3	2	1	5	4	3	2	1
10. Relations among workers in my department are good.	5	4	3	2	1	5	4	3	2	1
11. Relations between workers and the manager in my department are good.	5	4	3	2	1	5	4	3	2	1
12. The turnover in my department is about what I would expect.	5	4	3	2	1	5	4	3	2	1
13. My job is challenging.	5	4	3	2	1	5	4	3	2	1
14. My job makes good use of my abilities.	5	4	3	2	1	5	4	3	2	1
15. I feel that my job is secure.	5	4	3	2	1	5	4	3	2	1
16. My chances for promotion encourage me to stay in this company.	5	4	3	2	1	5	4	3	2	1
17. Even though everyone would like to be paid more, I believe my pay is fair.	5	4	3	2	1	5	4	3	2	1
18. Pay increases in this company are clearly based on performance.	5	4	3	2	1	5	4	3	2	1
19. Compared with others in the company, I am paid fairly.	5	4	3	2	1	5	4	3	2	1
20. I believe I have a chance for promotion in this company.	5	4	3	2	1	5	4	3	2	1
21. I received a sufficient orientation to help me become familiar with the company.	5	4	3	2	1	5	4	3	2	1
22. I received a sufficient orientation to my department and job to become productive quickly.	5	4	3	2	1	5	4	3	2	1

(Continued)

1. Issues	2. Importance to You					3. Your Satisfaction Level				
23. I receive sufficient training and continuing education to keep my skills current and up-to-date.	5	4	3	2	1	5	4	3	2	1
24. Based on what I have seen, managers and supervisors in this company are trained to do their jobs effectively.	5	4	3	2	1	5	4	3	2	1
25. Supervisors and managers do a good job of explaining work expectations.	5	4	3	2	1	5	4	3	2	1
26. Supervisors and managers do a good job of providing recognition for a job well done.	5	4	3	2	1	5	4	3	2	1
27. I feel that women and minorities are treated fairly and equitably in this company.	5	4	3	2	1	5	4	3	2	1
28. If I have a problem with my supervisor, I know who to turn to for help.	5	4	3	2	1	5	4	3	2	1
29. I want to stay in this organization because I believe it is, generally speaking, a good place to work.	5	4	3	2	1	5	4	3	2	1
30. I do not plan to seek another job within the next year.	5	4	3	2	1	5	4	3	2	1
31. I find my job rewarding.	5	4	3	2	1	5	4	3	2	1
32. I receive appropriate performance evaluations on a regular basis.	5	4	3	2	1	5	4	3	2	1
33. Employee morale in my work group is about right.	5	4	3	2	1	5	4	3	2	1

Part II: Open-Ended Items

Instructions: Answer the following questions in the space provided.

1. What is the one thing that you *like most* about working here?

2. What is the one thing that you *like least* about working here?

3. What comments do you have for the betterment of the company?

Thank you for your participation!
Please email your completed survey to [*person and email address*]
OR
If you prefer to remain anonymous, print this survey out and place it [*instructions*].

Group Performance Measurement Form

Purpose

The Group Performance Measurement Form is intended to help HR and management professionals ensure quality production. This form is used to keep a record of employee attendance and performance output under the direction of supervisors in given departments.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors who may need to improve performance

How to Use the Form

1. Managers or supervisors write appropriate responses on the form, using extra forms as necessary.
2. They proofread the contents and make any changes necessary.
3. They return the form to Human Resources.

Group Performance Measurement Form (Weekly)

Department Information

Department: ____________________ Supervisor's Name: ___________________
Supervisor Contact Information: ________________ Email: __________________
Phone: __________________ Date: _____________

Overall Performance Status

Have all employees in the department reported to work this week? Yes No
Explain:
____
____

Has all work been completed according to schedule this week? Yes No
Explain:
____
____

Has there been any excess work completed or started ahead of schedule this week? Yes No
Explain:
____
____

Please read before completing the next sections.

Poor is defined as inacceptable for further employment.

Fair is defined as acceptable with further training required.

Average is defined as meeting performance expectations.

Good is defined as doing more than required.

Excellent is defined as doing more than required and potential for promotion.

Employee Performance Status

Name: ____

Employee Status (circle) Part-Time Full-Time Intern or Trainee
Number of hours reported this week: ______________________________

Performance output (circle) Poor Fair Average Good Excellent
What has this employee done to improve his or her department? NA
Explain:

____

____

What improvements can this employee make for personal performance? NA

Explain:

____

____

Other comments:

____

____

Employee Performance Status

Name: ____

Employee Status (circle) Part-Time Full-Time Intern or Trainee
Number of hours reported this week: _______________________
Performance output (circle) Poor Fair Average Good Excellent

What has this employee done to improve his or her department? NA
Explain:

____

____

What improvements can this employee make for personal performance? NA
Explain:

____

____

Other comments:

____

____

Employee Performance Status

Name: ________________________

Employee Status (circle) Part-Time Full-Time Intern or Trainee
Number of hours reported this week: __________________________________
Performance output (circle) Poor Fair Average Good Excellent
What has this employee done to improve his or her department? NA
Explain:

____

____

What improvements can this employee make for personal performance? NA
Explain:

____

____

Other comments:

____

____

Employee Performance Status

Name: ____
Employee Status (circle) Part-Time Full-Time Intern or Trainee
Number of hours reported this week: ______________________________
Performance output (circle) Poor Fair Average Good Excellent
What has this employee done to improve his or her department? NA
Explain:

____

____

What improvements can this employee make for personal performance? NA
Explain:

____

____

Other comments:

____

____

Department Performance Measurement

What topics were discussed at the weekly department meeting?

____

____

____

What new goals have been accomplished?

____

____

____

What new goals have been set?

____

____

____

Supervisor's Signature: ______________________ Date: ___________

Human Resource Metrics Form

Purpose

Human resource metrics are a quantitative means organizations can use to determine the costs and benefits associated with various areas of an HR capital management plan. HR metrics can offer organizations information on employee attitudes, employee turnover, employee skill levels, outsourcing costs, staffing costs, training programs, and promotions. This form is designed to be a starting point for human resource professionals and managers to begin to assess the cost to benefit ratio for their HR decisions.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. Complete this form by completing the calculations listed on the form.
2. Use the calculations to assess the cost to benefits ratio for human resource decisions.

Human Resource Metrics Form

$$\text{HC ROI} = \frac{\text{Revenue} - (\text{Operating Expense} - [\text{Compensation Cost} + \text{Benefit Cost}])}{\text{Compensation Cost} + \text{Benefit Cost}}$$

Human Capital Value-Added Index

$$\text{HR Value Added} = \frac{\begin{array}{c}\text{Revenue} - (\text{Operating Expense} - \\ [\text{Compensation Cost} + \text{Benefit Cost}])\end{array}}{\text{Total Number of Full-Time Equivalent Employees (FTEs)}}$$

HR Expense Ratio

$$\text{HR Expense Ratio} = \frac{\text{Total of All HR Expenses}}{\text{Total Operating Expenses}}$$

HR Revenue Ratio

$$\text{HR Revenue Ratio} = \frac{\text{Total Revenue}}{\text{Total Number of Full-Time Equivalent Employees (FTEs)}}$$

HR Expense Ratio

$$\text{HR Expense Ratio} = \frac{\text{Total of All HR Expenses}}{\text{Total Operating Expenses}}$$

HR Costs—Overall

$$\text{HR Costs Overall} = \frac{\text{Dollars Spent on HR}}{\text{Total Revenue Generated}}$$

Heath Care Costs (HCC) per Employee

$$\text{HCC per Employee} = \frac{\text{Total Heath Care Costs}}{\text{Number of Employees Receiving Heath Care Benefits}}$$

RECRUITING AND RETENTION METRICS

Key Position Vacancy (in Days)

$$\text{KPV} = \text{Number of Days That Key Positions Are Vacant}$$

Hiring Cycle

$$\text{Hiring Cycle} = \text{Number of Days Position Is Vacant}$$

Turnover Rate of First-Year New Hires

$$\text{Turnover} = \frac{\text{Number of New Hires Leaving During First Year}}{\text{Total Headcount}}$$

Involuntary Separation Rate—All Employees

$$\text{Involuntary Separation} = \frac{\text{Number of Terminated Employees}}{\text{Total Headcount}}$$

Voluntary Separation Rate

$$\text{Voluntary Separation} = \frac{\text{Voluntary Separation}}{\text{Total Headcount}}$$

Turnover Costs

$$\text{Turnover Costs} = \text{Termination Costs} + \text{Hiring Costs} + \text{Training Costs}$$

SAFETY AND TRAINING METRICS

Lost Time Due to Safety Incidents Ratio

$$\text{Lost Time Due to Safety Incidents} = \frac{\text{Number of Lost Hours}}{\text{Total Number of Hours Worked}}$$

Number of Monthly Safety Incidents

$$\text{Number of Monthly Safety Incidents}$$

Safety Training Hours Ratio

$$\text{Safety Training Hours} = \frac{\text{Number of Hours in Safety Training}}{\text{Number of Total Training Hours}}$$

Summative Evaluation Guide

The Summative Evaluation Guide is a tool for conducting summative (post-training) evaluation of a course or program that has been deployed in the field and is ready to be revisited. The guide provides a structured process for deciding:

- What organizational factors do I need to consider?
- What resources are available to help me make this decision?
- What questions should I be asking about this course or program?
- What criteria should I use to make a "keep it/revise it/drop it" decision?
- Who should be involved in the decision-making process?

Section One: How to Use the Guide

Here is the suggested process for using the guide:

1. Answer the organizational factors questions in Section Two.
2. Select the courses or programs that you intend to evaluate for purposes of revision or elimination.
3. Apply the questions in this guide for *each* of the targeted courses.
4. Develop a plan to collect data for courses with insufficient data.
5. Compile and organize your data.
6. Draft recommendations for each course.
7. Meet with relevant stakeholders to determine your next course of action.

Section Two: Organizational Factors

1. What courses are within the scope of this evaluation project (for example, one day, one week)?
2. What resources do we have to dedicate to course revision (instructional designers, consultants, field personnel)?
3. Are there certain "sacred cows" in the curriculum (courses that cannot be altered or dropped)?
4. Will the decision-making process be collaborative, or does one department or individual have the ultimate say on what courses are retained, modified, or deleted?
5. Will all parties be objective during this process?

Section Three: Data Collection

1. What data is currently available to help with the decision (for example, certification data, Levels 1 through 5 data, anecdotal data, performance data)?

2. What data collection methods will be used (survey, interviews, focus groups, observation)?
3. Who needs to be involved in the data collection process? Consider course participants, their peers, management and subordinates, suppliers, business partners, subject-matter experts, customers, and any key stakeholder group. (See the Stakeholder/Criteria Matrix at the end of this section for a suggested format.)

Section Four: Planning Considerations

These items refer to the planning process that was followed when the course or program under investigation was originally developed, as well as the relevance of the course to today's conditions.

Planning Considerations	**Yes**	**No**
The course is consistent with the organization's strategy.		
The course addresses company or business unit goals.		
The course supports other performance improvement initiatives.		
Business client requirements were identified before the training was designed.		
There was consensus around the need for the course before it was developed.		
If "yes" to the previous item, are these requirements still in effect for this client or client group?		
There is verifiable evidence that the solution would meet the client's business requirements.		
The business requirements were adequately defined.		
There is a direct correlation between the objectives and activities in the course and those business requirements.		
The course or program was based on sound theory.		
Current research supports the theory used to develop the course.		

Section Five: Training Design

This section asks you to reflect on several instructional design criteria.

Design Considerations	**Yes**	**No**
The intended objectives could be accomplished within the constraints of the target work environment.		
The course design is consistent with sound instructional design theory and practice.		
The training objectives are consistent with performance requirements of the job.		
The objectives take into consideration all of the necessary components of the task to ensure effective performance.		
The course incorporates effective motivational practices.		
The course facilitates understanding of the content.		
The course facilitates skill development.		
The course addresses physical, psychological, and interpersonal aspects of the learning environment.		
Time is effectively managed.		
The participant's manual is informative and easy to use.		
The leader's guide is informative and easy to use.		

Section Six: Evaluation Metrics

This section helps you to identify specific course or program metrics that have been collected over time.
Course offering data:

1. What was the actual attendance versus projected attendance (that is, how many people said they wanted the course and then failed to appear when it was offered)?
   Projected Attendance:_______________ Actual Attendance:_______________

Levels of Evaluation

Level 1: End-of-course evaluations (reaction)

Level 2: Learning (in-class written or performance tests)

Level 3: Transfer of learning to the job

Level 4: Impact on the business (such as increased sales or improved customer service)

Level 5: Return on investment (the financial benefits from the program exceeded the costs of the program)

Level	Item	Yes	No
1	There are sufficient quantities of evaluation forms to make an informed decision.		
	The data represents a cross-section of the target population.		
	The results meet or exceed the target evaluation level.		
2	There are sufficient quantities of evaluation forms to make an informed decision.		
	The data represents a cross-section of the target population.		
	The test items are valid and reliable measures of actual participant performance.		
	The results meet or exceed the target evaluation level.		
3	Skill and knowledge transfer is important with this course or program (if "no," move on to the last section of the guide).		
	Data exist on the application of these skills to the job (if "no," move on to the last section of the guide).		
	The data are valid and reliable.		
	There is anecdotal data to support or reject the occurrence of transfer.		
	Participants, their management, and the trainer/facilitator were involved before, during, and after training to facilitate learning transfer.		
	A performance baseline was established before the training was conducted.		
	Performance change was evaluated after the training was delivered.		
	The results meet or exceed the target evaluation level.		
4	Evaluation was conducted on the impact of the training on the business or organizational unit (if "no," move on the last section of the guide).		
	The results meet or exceed the target evaluation level.		
5	Evaluation was conducted on the return on investment for this course or program (if "no," move on to the last section of the guide).		
	The results meet or exceed the target evaluation level.		

Stakeholders/Criteria Matrix

Instructions: For each of the criteria listed in the left-hand column, check the box under any stakeholder who can provide data for the criterion. Blank columns are provided so you can add additional stakeholders relevant to your organization. ***Note:*** Not all of the criteria identified in the previous sections are included in this matrix, so feel free to modify it as you see fit.

Criteria/Stakeholders

	Course Participants	Participants' Management	Participants' Peers	Participants' Subordinates	Trainers/ Facilitators	Course Developers	Business Partners	SMEs	Others
Course consistent with business goals and strategy									
Supports other performance improvement initiatives									
Requirements for course still in effect									
Verifiable evidence that solution will meet client's requirements									
The course objectives can be accomplished within the constraints of the work environment									
Course design consistent with sound ISD theory									
Training objectives consistent with job requirements									
Course builds on participant's motivation									
Course facilitates skill development									

Course manages time efficiently									
Participant manual informative and easy to use									
Leader's guide informative and easy to use									
Delivery promotes attention, relevance, confidence, and satisfaction									
Level 1 data represents cross-section of target population									
Level 2 items are valid measures of actual job performance									
Performance change was evaluated after training									
The course has had an impact on the business									
Return on investment has been positive for this course									

References

Basarab, D.J., & Root, D.K. (1993). *The training evaluation process.* Norwell, MA: Kluwer Academic Publishers.

Phillips, J.J. (1997). *Handbook of training evaluation and measurement methods* (3rd ed.). Houston: Gulf.

HR Audit Checklist

Purpose

The purpose of HR audits is to determine the effectiveness of an HR department within an organization. Such audits should be a systematic and objective process to review regulatory and compliance issues in the workplace. The HR Audit Checklist provided here is not meant to be all-encompassing for every organization, but should be customized according to the purpose and needs of an organization.

Intended Audience

Primary users: Human Resources and management professionals

Secondary users: Employees and supervisors

How to Use the Form

1. HR executives and senior management should review the checklist periodically.
2. The checklist should be customized by every organization, determined by its scope, purpose, and needs.

HR Audit Checklist

Management Checklist

Are HR goals/policies aligned with organizational goals/polices?	yes ☐	no ☐
Are full-time and part-time hours defined?	yes ☐	no ☐
Are shifts defined?	yes ☐	no ☐
Is there open communication to and from the HR department?	yes ☐	no ☐
Is there any HR policies or guidelines?	yes ☐	no ☐

Hiring Checklist

Do job descriptions exist?	yes ☐	no ☐
Are job descriptions current and accurate?	yes ☐	no ☐
Are new applicants' background and references checked?	yes ☐	no ☐
Are turnover rates monitored?	yes ☐	no ☐
Is the employment relationship "at will"?	yes ☐	no ☐
Do new hires go through orientation?	yes ☐	no ☐
Is the cubicle, office, or other area ready for the new hire?	yes ☐	no ☐
Is the computer configured properly for the new hire to use?	yes ☐	no ☐
Does the new hire have access to necessary applications and systems?	yes ☐	no ☐
Does the new hire have an employee ID card for the premises?	yes ☐	no ☐
Have business cards been ordered for the new hire?	yes ☐	no ☐

Salary and Compensation Checklist

Are salary and compensation levels reviewed periodically?	yes ☐	no ☐
Is there a formal salary and compensation structure?	yes ☐	no ☐
Are working hours defined and documented?	yes ☐	no ☐
Are paid time off (vacation, holidays, etc.) structures enforced?	yes ☐	no ☐
Is the compensation plan communicated to all employees?	yes ☐	no ☐
Are payroll withholdings being done according to IRS regulations?	yes ☐	no ☐

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PART SIX

ADDITIONAL RESOURCES

The HRIG Model is presented on the following pages.

The Work Forms Chart provides many government websites that contain information and forms that are required by federal acts, statues, and laws. Visit these websites to ensure organizational compliance. A list of websites of organizations that have additional forms and information for HR purposes is also provided.

The final item is a list of forms from this volume that are available on the book's website.

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THE HRIG MODEL

The HR Impact Guide (HRIG) is a valuable tool intended to focus on a comprehensive approach to modern human resource management. It can be used in multiple scenarios utilizing a strategic, operational, or transactional mindset.

Such applications may include:

- An individual assessment by leadership in aligning HR operations to organizational strategy.
- A simple audit of the work processes within the HR function.
- A group/team planning tool for creating alignment of HR work within the function.
- A leadership/team tool for guiding integration efforts between HR and other business functions.
- A 360-degree audit of the HR function and other business functions.
- An assessment and tracking tool used in conducting HR due-diligence efforts during M&A endeavors.

Overall, this valuable tool is a guide for those who want to create maximum value for the organization. Use of this tool ensures a total approach to HR plans, practices and actions.

Recruitment	Training and Development	Performance Management	Compensation and Benefits	Management Development and Succession Pl.	Employee Relations and Communications	Organizational Effectiveness
Identifying Staffing Requirements	Needs Assessment	Goal Setting	Salary/Merit Plans	Individual Assessment	Employee Counseling and Coaching	Strategic HR Planning
Internal Recruiting	Training Design and Development	Performance Appraisal	Executive Compensation	Succession Analysis/Bench Strength Pl.	Diversity Activities	Organizational Structure Design
External Recruiting	Supervisory/Management Training Curr.	Career and Individual Development Planning	Expatriate/International Compensation	Executive Education	Work/Life Balance Programs	Organization Development
Selection Process	Technical Training Curr.	Termination Management	Benefits (Statutory and Non-Statutory)	Executive Coaching	Progressive Disciplinary Actions	Internal Consulting
Diversity Recruiting	Training Delivery		Relocation	High Potential Programs	Employee/Labor Relations	Cultural Alignment
Candidate Relations	Training Administration		Employee Severance/Outplacement		Safety Programs	Outsourcing Management
Orientation	On-the-Job Development		Retirement Planning and Pensions		Recognition Programs	Talent Management
Assimilation	Communication of Training/Dev. Opportunities		HRIS		Employee Communications	HR Due Diligence
Headcount Reporting and Control						HR Metrics and HCI

Function: *Recruitment*	Importance	Performance	Comments
Identifying Staffing Requirements: Determining the number of new and replacement positions needed and the status (full time, part-time, etc.)			
Internal Recruiting: All activities performed in obtaining people via internal sources, including job postings, mobility pools, etc.			
External Recruiting: Sourcing, screening, utilizing advertising, internet, college and professional recruiting opportunities, employee referrals, recruiters, search firms. Developing and tracking applicant pools.			
Selection Process: Systematic screening and interviewing, testing process. May include assessment centers, behavioral based interviews, reference and background checking.			
Diversity Recruiting: Sourcing a diverse pool of top-quality talent. Establishing a presence in organizations, schools, associations who have a focus/emphasis on diversity.			
Candidate Relations: Providing timely and accurate feedback to candidates, building relationships with candidates, marketing the "company's story," value proposition. Providing information on benefits.			
Orientation: Welcoming new hires and providing information on company culture, history, vision, values, work rules, products, services, customers, Enrolling new hires into benefits, payroll, and other systems.			
Assimilation: Longer-term follow-up program for new hires or newly promoted employees that "soft lands" them into a new position, new responsibilities, new job, new company. Includes specific key individuals to meet, projects to complete, and networking sessions. Promotes company cultural awareness. Includes feedback and can prevent derailment.			
Headcount Reporting and Control: Tracking headcount against budget and staffing projections, tracking salary and other employee costs, new job requisitions, job offers, actual hires.			

Function: *Training and Development*	Importance	Performance	Comments
Needs Assessment: Identifying and prioritizing individual and organizational needs (development, skills, knowledge).			
Training Design and Development: Design, development (often includes piloting) of training programs; management of consultants. Selection of learning methods. Ensuring effectiveness of programs.			
Supervisory/Management Training Curriculum: Creation of a set of instructional individual training programs with learning objectives centered on improving supervisory and management skills, abilities and effectiveness. Can include diverse number of learning approaches (classroom, distance, electronic, etc.).			
Technical Training Curriculum: Creation of a set of instructional training programs with learning objectives centered on improving current or future job-related technical skills and abilities (related to job knowledge, skills, technology, content, or domain knowledge, etc.).			
Training Delivery: Delivery of functional, supervisory, management, administrative and technical training (other than executive education). Includes classroom and online training.			
Training Administration: Individual course/ program registration, facility preparation/ administration, training program evaluation, and records-keeping.			
On-the-Job Development: Opportunities outside of the traditional classroom setting designed to achieve specific learning and development objectives. Can include special task force assignments, job rotations, special projects, mentors, external community assignments/memberships.			
Communication of Training Opportunities: Publicizing training offerings, meetings with supervisors/managers to identify appropriate candidates for training.			

Function: ***Performance Management***	**Importance**	**Performance**	**Comments**
Goal Setting: Process to determine and record specific individual performance targets. Can include any number of areas, including goals, objectives, key results areas, performance measures. Goal setting is usually the first step in a performance management system. Also can be part of management by objectives approach.			
Performance Appraisal: Assessment of individual performance. Should include both written and **verbal** feedback to employee. Can also include identified individual performance improvement areas and development planning goals, actions, and activities. Strategies for improvement can include training, coaching, mentoring, and other on-the-job development. Should be culmination of an ongoing performance feedback process that takes place throughout the performance period.			
Career and Individual Development Planning: Individual competency assessment, career tracking, career pathing, career planning workshops. Completion of an individual development plan and the associated career discussions. Can be longer term in focus. Can include discussion and planning for lateral movement as well as upward movement or career change.			
Termination Management: A process and set of procedures meeting legal and company policy criteria that allows for the termination of an employee from the company based on poor performance or violation of other ethical, legal or proprietary requirements, regulations, or policies. Termination for poor performance should be consistent with the stated performance management policy and should include a progressive discipline/warning process.			

Function: ***Compensation and Benefits***	**Importance**	**Performance**	**Comments**
Salary/Merit Plans: Salary structures, salary surveys, competitive analysis, job/position evaluation, establishing salary policy including competitive positioning, merit planning, budgeting, presentations, communications, administration, etc. Can also include policies regarding salary action connected to promotion or demotion.			
Executive Compensation: Administration and management of salary, incentive, bonus- and stock-based plans for senior leadership/ executive population. May also include plan design and management of executive perquisites.			
Expatriate/International Compensation: Managing international assignment policy and program, third country nationals and expatriates. Includes salary/cost of living adjustments, tax equalization, benefits, expatriate allowances, and reimbursements.			
Benefits: Design and management of "health and welfare" programs. Can include medical, dental, vision, legal, employee assistance programs. Includes administration of legally mandated benefit plans, workers' compensation, short-term disability (in some states), etc. Interfacing, negotiating, managing vendors, providers, outsourcers. Providing timely information on benefits and benefit changes to employees; responding to questions and inquiries.			
Relocation: Designing and managing programs to move employees from one company location to another, or to a client site. Can include temporary living expenses, housing allowance or home sales assistance, packing and moving of home furniture, transport of personal vehicles, per diem for food, tax gross-up. Can be for temporary or for long-term move, can be round trip or one-way ("permanent").			
Employee Severance/Outplacement: Managing downsizing, severance, and outplacement. May include internal or external career transition programs, resume writing, and interviewing skills workshops.			

Retirement Planning and Pensions: Designing and managing retirement planning process and programs. Can include pre-retirement planning and workshops, company pension plans, 401(k) plans, company matching formulas. Includes vendor selection and management. Timely communication to employees of current plans and programs and any changes.			
HRIS: All activities related to employee information collection, analysis and reporting, including automated and computerized systems. May include workforce information, payroll and benefits information. Selection and management of vendors and consultants.			

Function: ***Management Development and Succession Planning***	**Importance**	**Performance**	**Comments**
Individual Assessment: Assessment using systematic process of individual's current effectiveness and/or future advancement potential or promotability. May include behavioral-based interviewing, assessment center approach, testing, etc. Can include identification of strengths and needed improvement areas. May include assessment of what it will take to retain a key individual.			
Succession Analysis/Bench Strength Planning: Developing plans for the orderly replacement/staffing of key positions and/or senior levels of management. Includes identifying, developing, and placing high-potential individuals, coordinating cross-functional assignments, and creating and maintaining a database of individuals who are within the "plan." Can include identification of gaps, positions where openings will have to be filled via external recruiting. Organizational view of current management strength, near-term replacements, and identified actions needed.			
Executive Education: Programs that focus on developing executives for current and/or future challenges as leaders and managers. Can include internally developed and presented programs, university designed public programs, or customized programs. Usually multi-day in			

(*continued*)

Function: ***Management Development and Succession Planning***	**Importance**	**Performance**	**Comments**
length and often include recognized leaders/experts from consulting companies, academia, executives from other companies to speak on business and/or leadership related topics. Programs often include use of 360 feedback with executive coaching.			
Executive Coaching: Use of either an internal or external coach assigned to an executive to focus on increasing executive effectiveness in a specific area (communications, managing subordinates, executing strategy). Should include clear developmental objectives, measurement criteria, clarity around issues of confidentiality, duration of coaching relationship.			
High-Potential Programs: Identification of current employees who have either significant advancement potential or future promotability, usually to key positions or senior levels of management. Includes identifying these individuals and creating and managing special development plans and programs. Development activities often include special classroom programs, mentoring, coaching, rotations, task force leadership or membership, directed placements, 360 feedback.			

Function: ***Employee Relations and Communications***	**Importance**	**Performance**	**Comments**
Employee Counseling and Coaching: Responding to employee questions and concerns in the appropriate manner. Resolving issues between employees and supervisors. Can include referral to employee assistance service.			
Diversity Activities: Programs aimed at encouraging and developing a diverse workforce and management team in terms of race, religion, gender, sexual orientation, and physical limitations/challenges. Often presented as part of business case; diversity of customers and benefits of having diverse employees who can bring in varied perspectives to solve business challenges.			
Work/Life Balance Programs: Programs, policies, activities related to managing work and family life issues. May include fitness programs,			

on-site child care, elder care, flexible work schedules, job sharing, and telecommuting.			
Progressive Disciplinary Actions: Policies and actions that are related to disciplinary procedures and processes. Written policies that usually include graduated escalating steps and sanctions.			
Labor Relations: Plans in place for proactive labor negotiations, including assessments of labor demands and tactics to address each. Advance planning and labor negotiation team identified.			
Recognition Programs: Programs that recognize and appreciate employees via non-monetary rewards/awards. Can include company service awards, perfect attendance record, and individual and team accomplishment recognition.			
Employee Communications: Planned communications to employees on business results, leadership changes, acquisitions, structural changes, benefit changes, etc. Can include paper newsletters, company web postings/broadcasts, emails, broadcast voicemails, town hall meetings. Sometimes are two-way in nature and may include focus groups, "skip-level" sessions, etc.			

Function: ***Organizational Effectiveness***	**Importance**	**Performance**	**Comments**
Strategic HR Planning: Proactively linking HR plans to business strategy and objectives, including prioritization and resource allocation for HR programs to maximize impact and return for business. Usually includes identifying HR issues/implications/challenges created by business strategies/objectives and then having a well-thought-out HR response.			
Organizational Structure Design: Creating the organization's structure (reporting relationships, span of control, levels of management, groupings of units and numbers of employees) to most effectively support the achievement of desired business objectives and performance. Usually			

(*continued*)

Function: *Organizational Effectiveness*	Importance	Performance	Comments
represented by organization charts (lines and boxes) with various information on the chart. Factors in where the planning, leading, and doing should be done.			
Organization Development: The key work processes and behaviors necessary to successfully carry out all stages of the work from design to service/product delivery and the developmental requirements for each step.			
Internal Consulting: HR professionals trained and assigned to work proactively with line managers in addressing people management issues in line units.			
Cultural Alignment: Assessing the culture against the business goals and objectives and then, if necessary, strengthening the alignment. For example: Is the culture very adverse to risk taking while the business strategy calls for bolder moves and more risky decisions. Includes looking at company hiring, promotion, reward and recognition programs, and required leadership and employee behavior.			
Talent Management: Managing the overall process of attracting, developing, retaining, and focusing the people asset of the organization. Ensuring both current and future needs of the business are met with a competent, prepared, and action-oriented set of talent-rich people.			
HR Due Diligence: MR due diligence is typically used in merger and acquisition settings. This people-focused set of questions and subsequent plan of action is the process that will highlight and affirm the priority of the people issues in the merger process. During such a due diligence initiative, HR professionals can provide business guidance at all levels of potential organizational impact of people—strategic, operational, and front-line efforts. This process may also be used in conducting an internal HR audit.			
HR Metrics and Human Capital Impact: The HR function develops, keeps, and tracks a scoreboard that not only measures key HR activities but also the impact of key people management practices on overall organization performace.			

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WORK FORMS CHART

Name of Form	Type of Form	Website	Department	Description
M-746	I-129 Dictionary of Occupational Titles (DOT) Codes	www.uscis .gov	Department of Homeland Security	Three-Digit Occupational Groups Professional, Technical, and Managerial Occupations and Fashion Models
M-736	Optional Checklist for Nonimmigrant Religious Workers Filing Form I-129	www.uscis .gov	Department of Homeland Security	For nonimmigrant religious workers filing
I-905	Application for Authorization to Issue Certificate for Health Care Workers	www.uscis .gov	Department of Homeland Security	For any health care worker
I-924	Application for Regional Center Under the Immigrant Investor Pilot Program	www.uscis .gov	Department of Homeland Security	U.S. Citizenship and Immigration Services For regional centers under the Immigrant Investor Pilot Program

(*continued*)

Name of Form	Type of Form	Website	Department	Description
I -526	Immigrant Petition by Alien Entrepreneur	www.uscis .gov		For use by an entrepreneur who wishes to immigrate to the United States
I- 864	Affidavit of Support Under Section 213A	www.uscis .gov		To show that the applying immigrant has enough financial support to live without government welfare
I- 140	Immigrant Petition for Alien Worker	www.uscis .gov	Department of Homeland Security	To petition for an alien worker to become a permanent resident in the U.S. This form is filed on behalf of an alien, and not by the alien.
I -9 CNMI	Employment Eligibility Verification	www.uscis .gov	Department of Homeland Security	To verify the identity and employment authorization of each new employee (both citizen and noncitizen) hired in the Commonwealth of the Northern Mariana Islands after November 27, 2009.
I -9	Employment Eligibility Verification	www.uscis .gov	Department of Homeland Security	All U.S. employers must complete and retain a Form I-9 for each individual hired for employment in the U.S. This includes citizens and noncitizens. On the form, the employer must examine the employment eligibility and identity document(s) an employee presents to determine whether the document(s) reasonably appear to be genuine and relate to the individual and record the document information on the Form I-9.
I -129	Petition for a Nonimmigrant Worker	www.uscis. gov	Department of Homeland Security	For employers to petition for an alien to come to the United States temporarily to perform services or labor, or to receive training, as an H-1B, H-1C, H-2A, H-2B, H-3, L-1, O-1, O-2, P-1, P-1S, P-2, P-2S, P-3, P-3S, Q-1, or R-1 nonimmigrant worker. Employers may also use this form to request

				an extension of stay or change of status for an alien as an E-1, E-2, or TN nonimmigrant.
I-765	Application for Employment Authorization	www.uscis .gov	Department of Homeland Security; U.S. Citizenship and Immigration	For certain aliens temporarily in the U.S. who want to work
I- 360	Petition for Amerasian, Widow(er), or Special Immigrant	www.uscis .gov	Department of Homeland Security	This petition is used to classify an alien as (1) an Amerasian; (2) a widow or widower; (3) a battered or abused spouse or child of a U.S. Citizen or lawful permanent resident; or (4) a special immigrant, defined as one of the following: (1) a religious worker; (2) a Panama Canal company employee, Canal Zone government employee, U.S. government in the Canal Zone employee; (3) physician; (4) international organization employee or family member; (5) juvenile court dependent; (6) Armed Forces member; (7) Afghanistan or Iraq national who supported the U.S. Armed Forces as a translator; (8) Iraq national who worked for or on behalf of the U.S. government in Iraq; or (9) an Afghan national who worked for or on behalf of the U.S. government in Afghanistan

WEBSITES

www.astd.org American Society for Training and Development (ASTD), started in 1943, is the world's largest association dedicated to workplace learning and performance professionals. ASTD includes membership of more than one hundred countries. Members work in thousands of organizations of all sizes, in government, as independent consultants, and as suppliers.

www.shrm.org The Society for Human Resource Management (SHRM), founded in 1948, is the largest human resources industry professional association. SHRM includes a global membership of more than 250,000. The Society has members in 140 countries and offices in India and China.

FORMS AVAILABLE ON THE WEBSITE FOR THIS VOLUME

The following materials are available for download from
www.pfeiffer.com/go/Rothwell
password: professional

Recruitment and Staffing

- Recruitment Request Form, *Hsin-Ling Tsai and I-Pang Fu*
- EEO Interview Guidelines, *Karen Yarris*
- Interview Assessment Form, *Rashed Alzahmi*
- Candidate Evaluation Form, *Jed Lindholm*
- Criminal History Check Authorization Form, *Rashed Alzahmi*
- Employee or Independent Contractor Checklist, *Karen Yarrish*
- New Employee Orientation Checklist, *Rashed Alzahmi*

Talent Management

- Talent Management Form, *Taesung Kim*
- Succession Planning Form, *Karen Yarrish*

Grade Change and Salary Recommendation Form, *Jed Lindholm*
Employee Reward Options Form, *Woocheol Kim*
Employee Salary Increase Form, *Woocheol Kim*
401(k) Plan Designation of Beneficiary Form, *Sohel M. Imroz*
Relocation Incentive Payment Form, *Woocheol Kim*
Relocation Expense Reimbursement Form, *Woocheol Kim*
Employee Reward Nomination Form, *Woocheol Kim*

Employee Relations

Employee Involvement Form, *Mit Patel*
Discrimination and/or Harassment Complaint Form, *Mary Langendoerfer*
Overview of EEO Guidelines, *Karen Yarrish*
Reporting of Injury/Accident Form, *Stacey Preambo*
Confidentiality and Noncompetition Agreement, *Karen Yarrish*
Upward Feedback Form, *Stacey Preambo*
Reasonable Accommodation Checklist, *Stacey Preambo*
Reasonable Accommodation Request Form, *Keystone College*
Employee Disability Verification Form, *Keystone College*
Employee Disciplinary Form, *Sohel M. Imroz*
Discipline Documentation Form, *Chad Vail*
Disciplinary Warning Notice, *Leanne Kavulich*
Verbal Warning Checklist, *Mary Langendoerfer*
Severance and Outplacement Exit Interview Form, *Sohel M. Imroz*

Measuring Organization Effectiveness

Climate Survey, *William J. Rothwell*
Group Performance Measurement Form, *Jed Lindholm*
Human Resource Metrics Form, *Tracey Porter and Sharon Norris*
Summative Evaluation Guide, *Bud Benscoter*
Stakeholders/Criteria Matrix, *Bud Benscoter*
HR Audit Checklist, *Sohel M. Imroz*

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