A PRACTICAL APPROACH TO

PERFORMANCE INTERVENTIONS AND ANALYSIS

50 MODELS FOR BUILDING A HIGH-PERFORMANCE CULTURE

GENE E. FUSCH • RICHARD C. GILLESPIE

A Practical Approach to Performance Interventions and Analysis

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50 Models for Building a High-Performance Culture

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We dedicate this book to our wives,
Patricia Fusch and JoAnn Gillespie.
Without their support and encouragement,
this book would have remained
a concept in our minds.

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About the Authors

Dr. Gene E. Fusch's career has spanned both business and education. He has conducted research on performance effectiveness and has linked theory to real-world practice. He also has helped business school students reach their educational goals. As a leadership and organizational performance consultant, he has helped many organizations with performance improvement initiatives. His clients have included Alcoa-Intalco Works, ARCO, AT&T Cable Systems, Boeing, British Petroleum, Dri-Eaz Products, Georgia-Pacific, Hexcel Interiors, Multi-Care Healthcare Systems, National Transportation Training Directors, TOSCO Refinery, Washington State Department of Transportation, Whatcom EMS, US West Communications, and Yahoo!.

Richard C. Gillespie helps organizations realize their desired end results with leadership audits, change management initiatives, and financial turnarounds. Gerry Kingen, founder of the Red Robin and Salty's restaurant chains and current CEO of Salty's, calls Gillespie "master of the obvious" because of his ability to provide succinct and straightforward Work/Life Approaches to resolve complex business needs. Some of his clients have included Lutheran Universities and Colleges, the U.S. Forest Service, Weyerhaeuser, and John L. Scott Real Estate Corporation. In addition to consulting, Gillespie has served as president of Dri-Eaz Products and Chief Operations Officer for Salty's Seafood Restaurants.

Preface

Throughout our careers we have worked with numerous organizations and people to enhance their performance and success and help them attain their desired end results. To help you improve human performance at work or at home, the American Society of Training and Development (ASTD) and the International Society for Performance Improvement (ISPI) provide excellent human performance improvement models. Likewise, many excellent writers provide good examples and models to reduce the performance gap—the gap between desired end results and reality.

Gilbert (2007) provided a foundational model for human competence that many human performance technologists have expanded upon. Indeed, Binder (2009) built upon Gilbert's model to develop his Six Boxes approach to human performance. Stolovitch and Keeps (2004, 2006) in their popular works *Performance Ain't Training* and *Beyond Telling Ain't Training* built upon this performance improvement work. They have helped numerous organizations think about performance improvement rather than training for business challenges.

These pioneers, among others in human performance technology, have shown that enhancing the workplace culture can lead to performance improvement and the desired end results. An organizational leader often faces two challenges: what to do after a successful performance improvement initiative, and how to maintain an ongoing performance improvement culture.

Begin with the end results in mind:

- Envision a place where people strive for continuous improvement.
- Envision a place where people communicate clearly.
- Envision a place where people freely share information.

- Envision a place where people understand one another.
- Envision a place where people feel that they make a difference.
- Envision a place where people respect those they work for.
- Envision a place where people want to spend their time.
- Envision a place where people have fun every day.
- Envision a place where people share the rewards both financially and emotionally based on their contribution.

In our study of a company "dedicated to creating a positive working environment through encouraging fun and enthusiasm, sharing rewards and success, being honest, fair, and productive, committing to achieve ever higher levels of excellence, promoting personal and professional growth, behaving in ways that express value and respect for everyone," we found that the Work/Life Approach helps "create an environment in which all the people, employees, associates are working towards continuous quality improvement" (Caroline, personal communication, February 15, 2001) (Fusch 2001a, p. 81–82). Moreover, the organization enjoyed an "extraordinary workplace environment. People smile. It is an amazing thing" (Caroline, personal communication, February 15, 2001) (Fusch 2001a, p. 146–147).

This book provides clear step-by-step techniques and examples to help you create and sustain a workplace that fosters continuous performance improvement. Beginning with the desired end results, we build upon the work of Gilbert, Binder, Mager, and others to provide a successful model that analyzes business problems, identifies performance gaps, determines initiatives, and measures results. Then we share our Work/Life Approach as a performance intervention bringing about a positive impact on workplace cultures, organizational performance, and people's lives.

The foundation for this book comes from our professional careers in helping numerous organizations create a performance culture (a living endowment) and from our publications such as *Managing Is*

Everybody's Business (Gillespie, 1992) and *Work/Life and the Workplace* (Fusch, 2001a). This book provides practical, commonsense methods and ideas and suggests universal knowledge based on life experiences:

- The unique Work/Life Approach to managing people and oneself provides ideas that are useful for small, medium, and large businesses.
- The Work/Life Approach is designed to help businesses stay focused on their core values and to develop a healthy working culture that drives the company toward a vision of excellence.
- Work/Life fosters the idea that all businesses are in business to acquire wealth so that they can gain additional capital to grow and prosper and do so in Valuing Ways.
- Work/Life acknowledges that all people have their own social, economic, political, and spiritual beliefs, resulting in ongoing opportunities for both unity and diversity in normal, everyday interactions at home and work.
- The Work/Life Approach provides a set of Working Beliefs that foster unity without conformity and diversity without division, regardless of religion, race, creed, color, sex, or age.
- Helping businesses stay focused on their core Working Beliefs creates a healthy workplace when all is well and when it seems like nothing is as it should be.
- The Work/Life Approach deals with the fact that people can't separate the work they do to make a living from activities/relationships outside of their work. (We take our work home and take our home to work.)
- The same is true of bringing work elements into family life.
- The Work/Life Approach helps you deal with the reality that the diversity of these beliefs in the business working environment, in the home, and in the public arena ranges from harmony to chaos.

- The Work/Life Approach steps outside of these areas and provides a set of Working Beliefs that have the potential to foster a workplace that allows people to work together regardless of their differing social, economic, political, and spiritual beliefs.

All the chapters in this book work interdependently. In addition, each chapter stands alone as a ready resource for handling situational problems, possibilities, and unique circumstances. As you read this book and ponder the Work/Life ideas in light of your specific situation, ask yourself this question: If I do not accept these ideas, what is the alternative?

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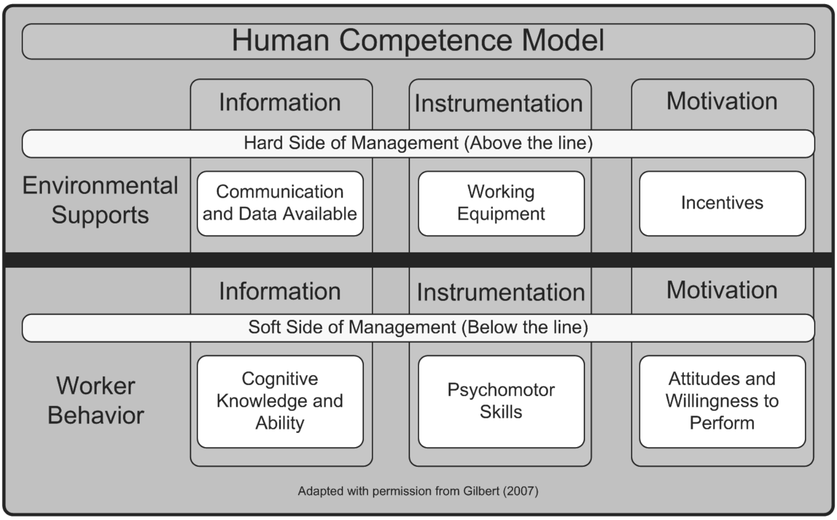
1

Creating a Living Endowment for Ensuring Performance

This book describes techniques to create a workplace where members of an organization continuously strive for performance improvement. Creating such a workplace often leads to dynamic leadership, empowerment, personal ownership, and a place where people want to be every day (Fusch, 2001a). Before we focus on techniques to create a feeling of utopia in the workplace, we'll discuss organizational performance from a human performance improvement perspective. Human performance has been at the forefront of many organizations in recent years. Dr. Thomas F. Gilbert (2007), who is referred to as the father of human performance technology, pointed out the significance of human performance to the organization through his Human Competence Model, shown in Figure 1.1.

Gilbert (2007) found two main factors affected human performance in the workplace: *environmental issues* and *worker behavior*. In Gilbert's Human Competence Model, environmental opportunities for improvement are above the horizontal center line, and worker behavior opportunities for improvement are below the line. We adapted Gilbert's model to clarify that environmental opportunities for improvement above the line fall under what we will call the *hard side* of management. Worker behavior opportunities for improvement below the line fall under what we will call the *soft side* of management. It is clear from viewing Gilbert's model that the hard side of management (above the line) deals with issues that can be changed by management decisions and changes in the workplace environment. It is also evident that worker behavior on the soft side of management (below the line) is under the worker's control.


Human Competence Model
Information
Instrumentation
Motivation
Hard Side of Management (Above the line)
Environmental Supports
Communication and Data Available
Working Equipment
Incentives
Information
Instrumentation
Motivation
Soft Side of Management (Below the line)
Worker Behavior
Cognitive Knowledge and Ability
Psychomotor Skills
Attitudes and Willingness to Perform

Adapted with permission from Gilbert (2007)

Figure 1.1 Human Competence Model

Gilbert (2007) further defined three subcategories for Environmental Supports and Worker Behavior: *information*, *instrumentation*, and *motivation*. Gilbert identified Information on the hard side of management as communication, data, and information available to the worker when needed to optimize workplace performance. Likewise, Gilbert defined Information on the soft side of management as the worker's knowledge and ability to take useful information and effectively perform required tasks.

In his second subcategory, Instrumentation, Gilbert described the hard side of management as having effective ergonomically correct working conditions and equipment to maximize workplace performance. The notion of effective instrumentation in the workplace environment has been evident ever since Elton Mayo's experiments at Western Electric Company's Hawthorne Works from 1927 to 1932. Mayo studied the effects of changing the physical work environment and adjusting work schedules. The changes resulted in a motivational effect not only for Mayo's test group, but also for externalities of the teams who emulated the test group on their own initiative (Mayo, 1949). Given that we have adequate instrumentation above the line, Gilbert (2007) noted that workers need the psychomotor abilities and skills on the soft side of management to perform a task.

In his third subcategory, Motivation, Gilbert pointed out that on the hard side of management, workers need motivation and incentives to want to perform. He noted that this needed to go beyond the basic monetary salary for workers to willingly perform at their best. It is interesting that Gilbert's final subcategory, Motivation, is on the soft side of management and is totally within the worker's control. *Workers have total power over their behavior to perform in the workplace.* However, any change, good or bad, above or below the line in any of the subcategories influences worker behavior to perform in the workplace. Gilbert's (2007) model provided a scientific framework to analyze worker behaviors and encouraged organizational leaders to look beyond training as the cure-all for lack of desired workplace performance.

Likewise, Binder (2009) worked to put a pragmatic "how-to" spin on Gilbert's work in what he coined Six Boxes. Boxes 1 through 3 are above the line (the hard side of management), and boxes 4 through 6 are below the line (the soft side of management). Binder argues that if you influence the first five boxes, box six will take care of itself. If you fail to influence the first five boxes, box six will be a chronic problem.

Indeed, box six (worker behavior) is paramount to workplace performance. Considerable research has been conducted on motivation, leadership influence, and why people decide to perform at a particular level. At a foundational level, Maslow (1970) maintained that the individual has needs, wants, and desires that, if left unfulfilled, may hinder self-esteem and self-actualization. On the surface, Maslow's findings make sense. People do have different levels of needs and fulfillment, and people in Western organizations tend to identify with their work. Think of one of the first icebreaker questions people use at social events when meeting someone new: "What do you do?" However, Maslow's hierarchy of human needs may fall short in motivating a worker to perform to a higher level.

Enhancing worker motivation and behavior in box six may be better illustrated by Vroom's expectancy-valence theory. It states that workers believe that performing will have certain desirable consequences (expectancy) and that they perceive their performance as a means to satisfy their needs (valence) (Vroom, 1959; Vroom, 1964; Mathieu and Martineau, 1997). Vroom further found that a worker's aroused motivation to perform was a "multiplicative function of strength of motive, the value of the incentive offered in the situation, and the expectancy that the acts will lead to the attainment of the incentive" (1959, p. 66).

As we influence the first five boxes with apparent incentives through information, instrumentation, or motivation, we affect the worker's attitude toward workplace performance. Building on Gilbert's (2007) Human Competence Model, let's look at a comprehensive organizational approach to performance.

Organizational Performance

In our ever-changing global economy, organizational leaders are striving to enhance workplace performance. With the realization that training is not always the best answer, the organizational performance profession began focusing on results-based interventions that are linked to the organization's strategic and operational plans. As a response to global competition in the past few decades, numerous academic and industry studies found that U.S. business focused primarily on activities instead of end results. One good example in the 1980s was the American automotive industry response to a loss in market share to the Japanese. It led to studying the organizational structure of the Japanese enterprise and a shift in focus toward performance improvement initiatives with measurable end results (Morgan, 1986; Nonaka & Takeuchi, 1995).

Following the trend toward focusing on performance improvement and measurable end results, human performance technologists supported by the International Society for Performance Improvement (ISPI) and the American Society for Training and Development (ASTD) began developing performance improvement approaches to help organizations improve workplace performance. We took into consideration current and past performance improvement strategies such as Gilbert (2007), Binder (2009), ISPI, ASTD, and other leaders in the performance industry. We recognized the critical need to integrate performance measurement, *real-time strategic and operational managing*, with the understanding that all businesses are in business to acquire wealth to gain additional capital to grow and prosper. This includes the absolute necessity of doing so *in Valuing Ways*. Our performance improvement model, shown in Figure 1.2, provides a comprehensive approach to analyzing the organization.

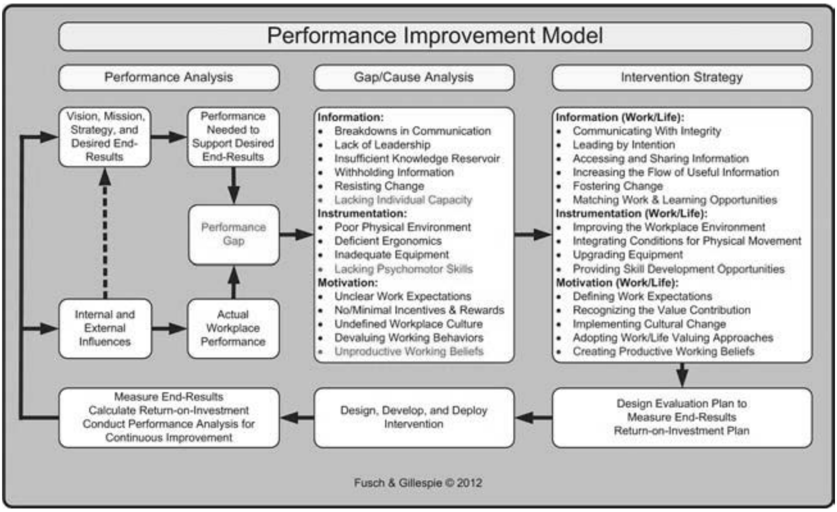
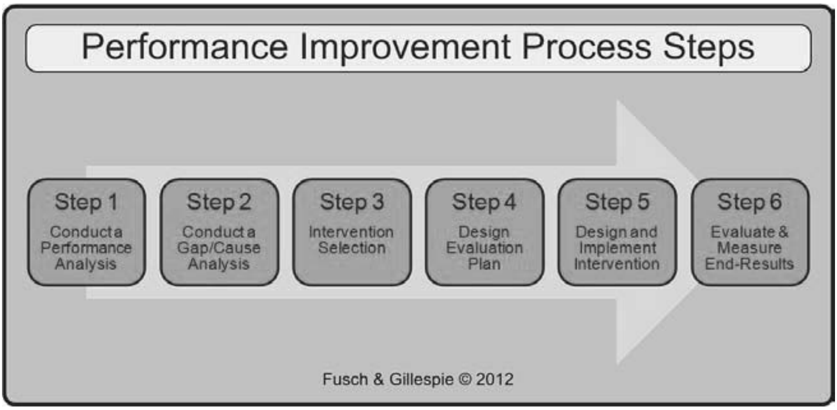

Performance Improvement Model
Performance Analysis
Gap/Cause Analysis
Intervention Strategy
Vision, Mission, Strategy, and Desired End-Results
Performance Needed to Support Desired End-Results
Performance Gap
Internal and External Influences
Actual Workplace Performance
Information:
• Breakdowns in Communication
• Lack of Leadership
• Insufficient Knowledge Reservoir
• Withholding Information
• Resisting Change
• Lacking Individual Capacity
Instrumentation:
• Poor Physical Environment
• Deficient Ergonomics
• Inadequate Equipment
• Lacking Psychomotor Skills
Motivation:
• Unclear Work Expectations
• No/Minimal Incentives & Rewards
• Undefined Workplace Culture
• Devaluing Working Behaviors
• Unproductive Working Beliefs
Information (Work/Life):
• Communicating With Integrity
• Leading by Intention
• Accessing and Sharing Information
• Increasing the Flow of Useful Information
• Fostering Change
• Matching Work & Learning Opportunities
Instrumentation (Work/Life):
• Improving the Workplace Environment
• Integrating Conditions for Physical Movement
• Upgrading Equipment
• Providing Skill Development Opportunities
Motivation (Work/Life):
• Defining Work Expectations
• Recognizing the Value Contribution
• Implementing Cultural Change
• Adopting Work/Life Valuing Approaches
• Creating Productive Working Beliefs
Measure End-Results Calculate Return-on-Investment Conduct Performance Analysis for Continuous Improvement
Design, Develop, and Deploy Intervention
Design Evaluation Plan to Measure End-Results Return-on-Investment Plan
Fusch & Gillespie © 2012

Figure 1.2 Performance improvement model

Our performance improvement model includes the organization's directions and movements, its end results, and the gap between its desired end results and its actual performance in both what is going well and what is not going well. We call this the *performance gap*. This chapter navigates each step of our model: performance analysis, gap/cause analysis, intervention selection, evaluation planning, implementation, and measuring end results (see Figure 1.3). The following chapters focus on continuous improvement for what is going well. They describe interventions to reduce the performance gap with practical, proven, how-to strategies that we call Work/Life Approaches.


Performance Improvement Process Steps
Step 1
Conduct a Performance Analysis
Step 2
Conduct a Gap/Cause Analysis
Step 3
Intervention Selection
Step 4
Design Evaluation Plan
Step 5
Design and Implement Intervention
Step 6
Evaluate & Measure End-Results

Fusch & Gillespie © 2012

Figure 1.3 Performance improvement process steps

Performance Analysis

Performance Analysis emerges from the needs assessment to analyze what is needed to meet the desired end results. Organizational performance requires a holistic vision of what makes an effective organization rather than ideas pieced together by managers with different perspectives. Later in this book we provide a logical picture of the elements of an effective organization. We begin by identifying a clear vision, mission, strategy, and goals (desired end results) for the organization. After we have a clear expectation of these points (who we are, what we do, and where we want to go), we identify what workplace performance is needed to support our desired end results. One of our favorite questions to ask when discussing an intervention is "How will we know when we get there?" Indeed, how *will* we know when we have met the desired end results? What performance will we need to realize our desired end results?

This is often not as easy as it sounds. Frequently we have visionary leaders who develop a great vision, mission, strategy, and end results but fall short in implementation. Likewise, all too often we have great operational leaders who have difficulty looking at the organization from a visionary perspective. This leaves either unclear performance expectations to support the desired end results or performance expectations with no clear idea of whether the end results are the best ones for the organization. Long before we deploy any intervention, we need to know what performance will be needed. The following analogy offers an example for a company called Western Boats.

Western Boats

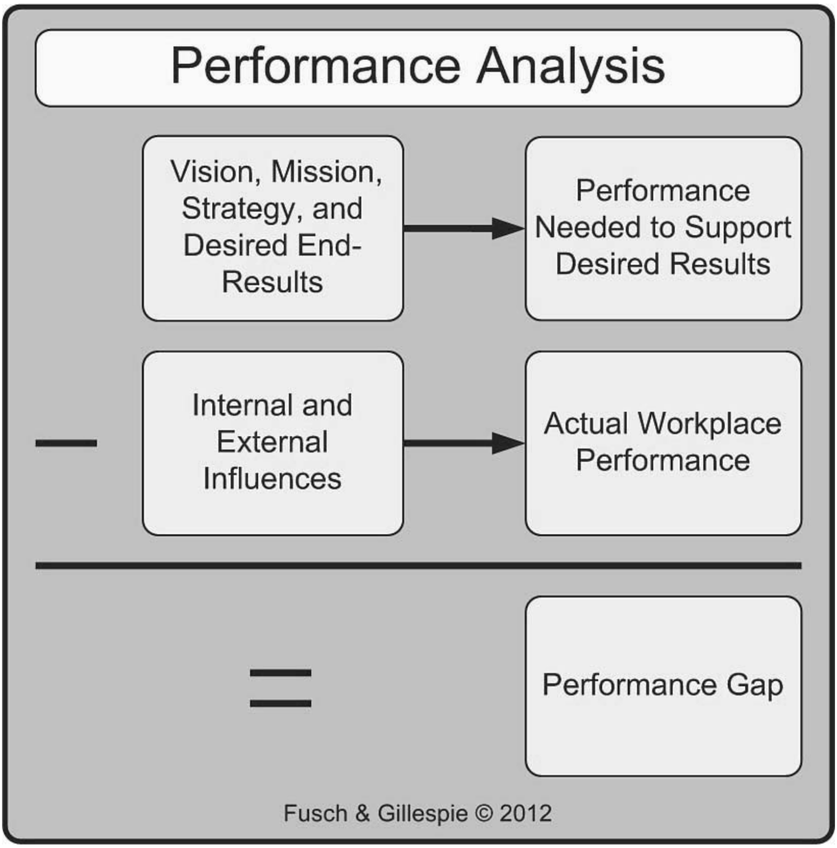
Western Boats currently manufactures 40 54-foot pleasure yachts each year. Company leadership found from a recent market analysis that people like their craft. With the proper strategy, the company could increase its market share. With this in mind, the company president sat down with senior leaders and stakeholders to develop a new vision, revise their mission, and develop a marketing strategy that would increase sales to 100 54-foot pleasure yachts per year. To meet this desired end result, performance must extend beyond the marketing and sales departments to affect the entire organization. Answering the following questions will help clarify the performance needs to support the desired end results at Western Boats:

- What performance is needed by the marketing team? How do we know when that level of performance is being reached?

- What performance is needed by the sales team? How do we know when that level of performance is being reached?
- What performance is needed by the shipping department? How do we know when that level of performance is being reached?
- What performance is needed by the production floor? How do we know when that level of performance is being reached?
- What performance is needed by the purchasing department? How do we know when that level of performance is being reached?
- What performance is needed by the inventory control warehouse? How do we know when that level of performance is being reached?
- What performance is needed by the billing department? How do we know when that level of performance is being reached?
- What performance is needed by the business office? How do we know when that level of performance is being reached?

It sounds simple and yet complex. The key is to determine at the individual, team, department, division, and organization levels what performance is needed to support desired end results. We introduce some of these methods later when we cover evaluation. Our experience has shown that each workplace environment has specific issues and concerns that must be addressed. We recommend using scientific methods to analyze each organizational environment. These may include qualitative research methods (focus groups, project teams, ad hoc committees, interviews, observations, questionnaires), quantitative research methods (performance indicators, production records, trend analysis, surveys, questionnaires), or a combination.

After we identify clear expectations for the needed performance, we identify and measure the actual level of workplace performance. This performance has a cause-and-effect relationship from internal and external influences. We examine these influences during a gap/cause analysis. At this point, we spend our effort identifying the actual performance indicators and perform a basic mathematics problem, as shown in our Performance Analysis Model (see Figure 1.4). The level of the needed performance for desired end results minus the actual workplace performance equals our performance gap.


Performance Analysis
Vision, Mission, Strategy, and Desired End-Results
Performance Needed to Support Desired Results
Internal and External Influences
Actual Workplace Performance
Performance Gap

Fusch & Gillespie © 2012

Figure 1.4 Performance Analysis Model

A systematic performance analysis need not take a lot of time, yet it should do the following:

- Analyze the organization's vision, mission, strategy, and desired end results.

- Link the desired performance to support the organizational strategic business plan.
- Determine a methodology to measure when the desired performance has been met.
- Analyze the internal and external environment. External factors could include economic conditions, competition, and customer and vendor relations. Internal issues could include equipment and technology, breakdowns in communication, resistance to change, and labor-management issues. All or only some of these considerations could be included.
- Link workforce performance with the environment.
- Determine the gap between the desired performance and the actual performance.

Western Boats, Part 2

Returning to our Western Boats analogy, it currently takes the laminating division 6.3 manufacturing days to lay up and fabricate a fiberglass hull. This equates to 40 hulls per year. The leadership's desired end result is to produce one hull every 2.52 manufacturing days. Thus, a gap of 3.78 manufacturing days exists between the current timeframe of 6.3 manufacturing days and the needed performance of 2.52 manufacturing days.

2.52 manufacturing days (Desired Performance)
–6.3 manufacturing days (Actual Performance)
<3.78> manufacturing days (Performance Gap)

We need to identify the cause of the performance gap. Western Boats probably has performance gaps in more areas than just the laminating division that limit the company's production output. However, this example helps simplify the performance analysis.

Gap/Cause Analysis

We have done the math and found that a gap exists between the performance needed to support the desired end results and the state of the actual workplace performance. Unfortunately, in the past, many organizations failed to analyze the cause of performance gaps. Some turned to training as a performance cure-all, and others ignored the cause of gaps. Gilbert (2007) found that managers frequently requested training when training was not the answer to improving human performance. Often we hear workers say something like "They sent me to (the same) training three times. But I already know how to do my job!" Robert Mager (Mager & Pipe, 1997), one of the early performance professionals, became well known for his gun test: If I put a gun to my subordinate's head, will he or she still be unable to perform as I would like? At the time, Mager was working with the military, which probably could relate to Mager's gun analogy. Strategic performance and training game developer Dr. Sivasailam Thiagarajan (aka Thiagi) came up with a more proactive example: If you ask someone if he could perform a task for a million dollars, and he says he could, it is not a knowledge or skill deficiency—it is a motivational deficiency. As we discussed with Gilbert's (2007) Human Competence Model, all too often the idea that training would "fix" people missed the mark when the cause of the gap was unrelated to worker knowledge or skills.

When it comes to identifying the performance gap, we must ask some key questions:

- What business indicators will we use to measure the performance?
- What performance is needed to create the desired end results?
- What is the actual performance?

- What leading causes are creating the gap between the desired performance and actual performance?
- Are the leading causes of the performance gap related to information, instrumentation, or motivational challenges?
- What will happen if we do nothing?

These questions help you analyze the causes of a performance gap. With our approach, we begin by thinking about the desired end results and looking for causes that have a definitive and doable intervention linked to them. Our model, shown in Figure 1.5, provides a small sampling of causes. The next chapter discusses the Work/Life Approach, with practical and effective interventions for reducing performance gaps.

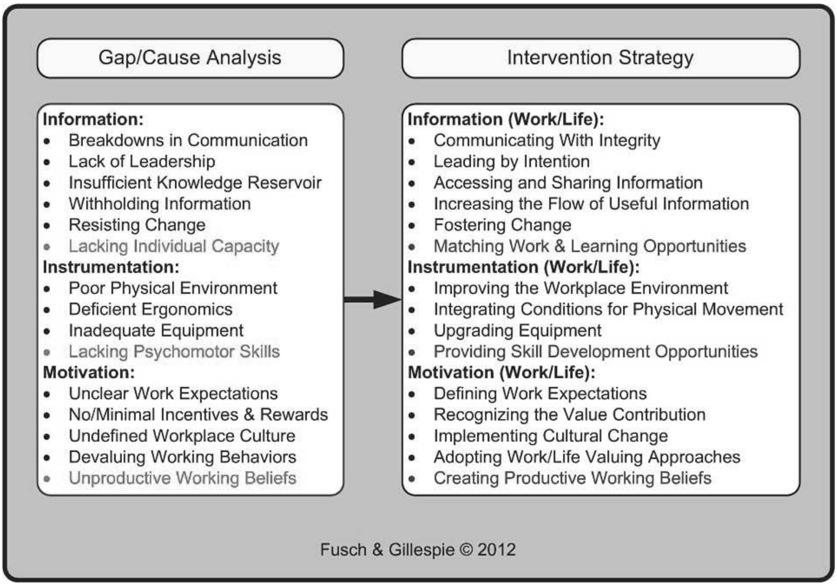

Gap/Cause Analysis
Intervention Strategy
Information:
Breakdowns in Communication
Lack of Leadership
Insufficient Knowledge Reservoir
Withholding Information
Resisting Change
Lacking Individual Capacity
Instrumentation:
Poor Physical Environment
Deficient Ergonomics
Inadequate Equipment
Lacking Psychomotor Skills
Motivation:
Unclear Work Expectations
No/Minimal Incentives & Rewards
Undefined Workplace Culture
Devaluing Working Behaviors
Unproductive Working Beliefs
Information (Work/Life):
Communicating With Integrity
Leading by Intention
Accessing and Sharing Information
Increasing the Flow of Useful Information
Fostering Change
Matching Work & Learning Opportunities
Instrumentation (Work/Life):
Improving the Workplace Environment
Integrating Conditions for Physical Movement
Upgrading Equipment
Providing Skill Development Opportunities
Motivation (Work/Life):
Defining Work Expectations
Recognizing the Value Contribution
Implementing Cultural Change
Adopting Work/Life Valuing Approaches
Creating Productive Working Beliefs
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Figure 1.5 Performance gaps and intervention strategies

Here are some of the causes of performance gaps on the organization-controlled hard side of management (above the line) in the Information subcategory:

- **Breakdowns in communication.** Lack of communication systems, breakdowns in communication from individuals failing to share information, departments and teams not talking to each other, too much useless information such as e-mails sent to everybody when only a small group or specific individuals need the communication.
- **Lack of leadership.** Managers who fall short in leadership skills, leading in the wrong direction, unclear expectations, no job description or a job description that does not match the job, too many managers with opposing directives.
- **Insufficient knowledge reservoir.** Lack of a viable knowledge management system or too much information without a system to identify useful information that workers need to perform well in their jobs. Or the right information is unavailable when needed.
- **Withholding information.** Lack of useful information for the workers who need it. Security measures in place that prevent access to those who need the information. Often kept in a division, group, team, or individual vault without sharing with others who would benefit from having the information.
- **Resisting change.** Given the plethora of research on change management and the human resistance to change, this cause may represent lack of vision, lack of resources, lack of knowledge, or complacency.

The performance-gap causes on the soft side of management (below the line) in the Information subcategory likely indicate that the workers do not have the necessary knowledge or abilities or are affected by other influences that impact their ability to process information.

The performance-gap causes on the organization-controlled hard side of management in the Instrumentation subcategory may include the following:

- **Poor physical environment.** An environment where the facility causes constraints in workplace performance. May include poor climate control, inadequate lighting, poor facility layout, and safety hazards. Potential hazards and dangerous chemicals with inadequate safety protocols. Frequent injuries or haphazard regard for worker welfare.
- **Deficient ergonomics.** A workplace environment where workers must perform physical actions that may cause fatigue or injury over time.
- **Inadequate equipment.** Equipment that is poorly maintained, is not functioning properly, causes hazards to workers, and fails to provide the best return on investment (ROI) for its use.

The performance-gap causes on the soft side of management in the Instrumentation subcategory likely indicate that the workers do not have the psychomotor skills, abilities, or competence to perform their tasks.

The performance-gap causes on the organization-controlled hard side of management in the Motivation subcategory may include the following:

- **Unclear work expectations.** It is common for workers to be hired or transferred without a clearly defined job role. All too often managers do not define their expectations or communicate them to their workers.
- **No/minimal incentives and rewards.** Lack of rewards, including compliments, recognition, and appraisals identifying positive contributions. Lack of opportunity for career development or advancement. Low pay and/or lack of a benefits package. Elimination of pay, benefits, or other rewards.
- **Undefined workplace culture.** A culture that is hostile or less than desirable. A culture where you must lose yourself to conform and survive.

- **Devaluing worker behaviors.** Leadership and/or coworkers who do not value positive worker behaviors.

The performance-gap causes on the soft side of management in the Motivation subcategory likely indicate problems in any of the other management categories. This affects the workers' attitude and willingness to perform.

Every organization has specific issues and concerns that cause performance gaps. The leading scientific methods to identify performance gaps include performance indicators, direct observation, worker interviews, exit interviews, focus groups, project teams, ad hoc committees, and questionnaires. Often results are better when an impartial third party who workers are comfortable with is brought in. As we discussed, all too often organizations omit the performance and gap analysis and immediately conduct a training project to improve performance. And all too often the training strategy selected may not be related to the actual cause of the performance problem, and the intervention may have been a costly mistake. An adage summarizes this perspective: "There's never enough time to do it right, and all the time in the world to do it over" (unknown author).

It is clear that the gap/cause analysis builds on the performance analysis and determines the cause of the gap between the desired workplace performance and the actual workplace performance. The gap analysis helps determine the criteria for the best intervention to obtain the desired performance.

Intervention Strategy

There is a direct correlation between the gap/cause analysis and an intervention strategy. An intervention strategy is an opportunity for change. The most effective implementation is an effective change initiative that produces the best end result for the lowest cost. Most companies move from analysis to implementation before designing an evaluation strategy. Before we design and implement an intervention, we must first design an *evaluation/measurement/return-on-investment strategy*. This section discusses the selection and rationale for potential interventions to reduce the performance gap and prepare for the next section on evaluation and measurement.

There must be a direct link between the performance gap and the intervention strategy for the desired end results to occur:

Performance-Gap Cause	**Intervention Strategy**
Breakdowns in communication	Communicating with integrity
Lack of leadership	Leading by intention
Insufficient knowledge reservoir	Accessing and sharing information
Withholding information	Increasing the flow of useful information
Resisting change	Fostering change
Lacking individual capacity	Matching work and learning opportunities
Poor physical environment	Improving the workplace environment
Deficient ergonomics	Integrating conditions for physical movement
Inadequate equipment	Upgrading equipment
Lacking psychomotor skills	Providing skill development opportunities
Unclear work expectations	Defining work expectations
No/minimal incentives and rewards	Recognizing the value contribution
Undefined workplace culture	Implementing cultural change
Devaluing worker behaviors	Adopting work/life valuing approaches
Unproductive working beliefs	Creating productive working beliefs

Numerous interventions may reduce the performance gap. However, for the growth of the organization and the well-being of its employees, you must select interventions that allow the organization to accomplish the desired end results with the best ROI. As we analyze the intervention, there is value in determining the organization's strategic plan and how the intervention will impact the culture today and tomorrow. Performance improvement leaders must decide whether to use in-house resources, do outsourcing, or use custom or off-the-shelf interventions.

Similar to a supply or merchandise inventory in organizations, performance leaders use an intervention inventory to help determine the best delivery method for a specific performance intervention. Because of the diversity of organizational needs and the complexity of different approaches, we use a 21-point inventory. It takes the form of a worksheet/questionnaire and helps you decide whether to use a specific intervention:

1. What desired end results will this performance intervention address?

   What desired change does this performance intervention intend to address?

2. Is there a political rationale for using one method over another?

   This may be an issue if the company markets a specific delivery medium and using another delivery method may have systemic repercussions.

3. List any special or unique parameters specific to this project.
4. Who is the audience?

   This question includes analyzing the type of worker (diversity and cultural concerns, younger versus older workers, accounting, sales, manufacturing, technical, management).

5. Will there be time for people to participate in the intervention?

   For learning opportunities, introduction to job aids, and so on. Will supervisors release subordinates from other duties to participate?

6. Motivation to participate.

   Will the employees worry that their work will pile up while they participate in the intervention? Answering this question may identify a need to promote the intervention. (This includes everyone from senior executives to hourly workers.)

7. What are the development time and cost for the intervention?
8. Who will need to develop the intervention?
9. What will the framework look like?
10. How will the intervention be administered? Delivered?
11. Is technology in place to support this intervention?
12. What additional technology will the organization need to implement this intervention?
13. What are the constraints in deploying this intervention?
14. What are the advantages of using this particular intervention?
15. What are the disadvantages of using this particular intervention?
16. Would another implementation method work better?
17. Would another approach bring similar results for less investment?
18. Will this strategy bring the desired end results?
19. How will you measure/evaluate the outcomes?
20. Who will support this performance intervention?
21. Will the primary stakeholders buy into it?

Review the following case study of a hypothetical resort, and use the 21-point inventory to consider potential training interventions. Although this case study is limited in details and triggers more questions, it helps you conceptualize how to use the inventory for other interventions.

Last Resort

This case study describes a resort on Cape Flattery in Washington State. It stands on the most northwestern corner of the continental United States. The resort owns 20 acres of what it calls the most fantastic views in the world. For years a local family with a history in Washington State dating back to 1897 owned and operated the resort as a 42-bed lodge. In 2007, a global conglomerate purchased the resort, and a major two-year construction project followed. Recently the resort was featured on the Travel Channel as a location that the rich and famous seek out. It offers eight meeting rooms that can each hold 300 people and three large rooms that can hold 2,000 occupants. The resort has 100 plush suites, 400 view suites, and 600 economy rooms. With a kitchen staff of 40, a hotel staff of 110, a conference staff of 10, and an administrative staff of 10, the company views its 170 employees as a vital part of its goal of 95 percent occupancy year-round. The company also wants the world to view the resort as the "Ritz Carlton of the Northwest" and feel like it is a home away from home.

Performance Analysis Findings

You are brought in as a performance improvement consultant to help the resort meet its goals. In your performance analysis you note that the resort was full to capacity during the peak season in the summer months and during the April conference season. However, during the rest of the year the resort booked few conferences, and 50 to 60 percent of the rooms were unoccupied. Your analysis identifies two major concerns. First, many of the 110 hotel staff (as well as the 40 kitchen staff) are inexperienced in customer service. They seem not to realize that every customer is valuable to the organization's vision, mission, and desired end results. Second, there seems to be a skills gap in the conference marketing team—primarily in networking with large organizations and professional associations.

Intervention Selection

Although you do not have all the information and data you need to make a precise intervention selection, work through the performance inventory, and write down what you know now and what you still need to know.

The remaining chapters will provide valuable insight and dynamic interventions. They describe the Work/Life Approach to creating a performance culture that fosters continuous improvement. Now we will move on to the next step in our performance improvement model—measuring end results.

Design an Evaluation Plan to Measure End Results and Your Return on Investment

We've already discussed selecting an intervention strategy to reduce the performance gap between the needed performance to bring the desired end results and the actual workplace performance. Now we will discuss designing an evaluation measurement strategy so that you know when the desired performance has been met. This section briefly discusses scientific methods to evaluate the results of the intervention and to measure the ROI. Let's start with a brief review of the origins of measuring the ROI for performance interventions.

In the beginning, intervention evaluation was most prominent in the training classroom when evaluation was desired. Unfortunately, most training evaluation encompassed and still encompasses what performance professionals call "smiley face evaluation." This is a brief questionnaire at the end of the training session that asks the participants if they liked the course, if they liked the facility, if they liked the instructor, and if the coffee and donuts were good. In other words, did they have fun, and do they want to do it again? From a measurement perspective, such a questionnaire tells us if we have workers who like to take time away from their jobs and sit in a classroom enjoying the presentation, facility, coffee, and donuts. What we do not know is if the training intervention had a positive impact on the desired end results.

Interest is growing in results-based performance improvement interventions that are linked to the organization's strategic plan. This is visible through the interest in going beyond the traditional four steps for evaluating training programs (assessing the reaction, learning, behavior, and results) and calculating the ROI for training (Kirkpatrick, 2006; Phillips, 1997, 2011). See Figure 1.6.

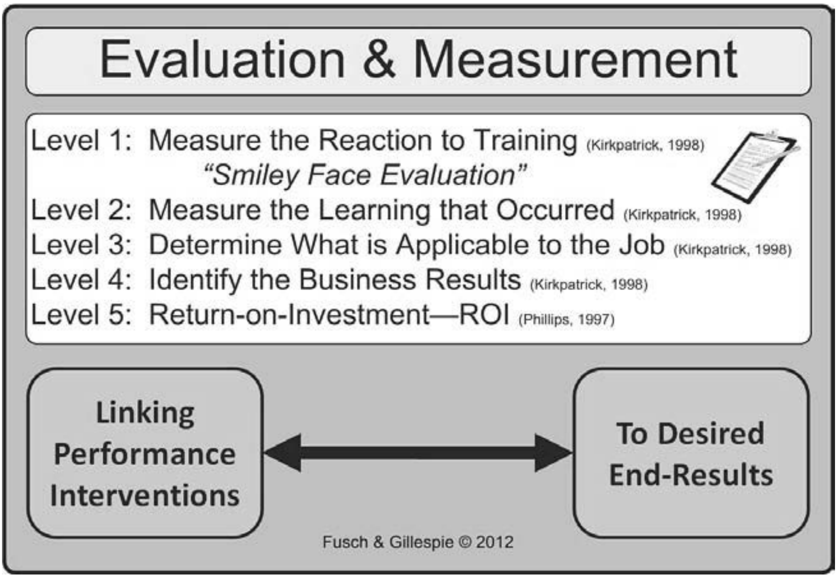
Evaluation & Measurement
Level 1: Measure the Reaction to Training (Kirkpatrick, 1998)
"Smiley Face Evaluation"
Level 2: Measure the Learning that Occurred (Kirkpatrick, 1998)
Level 3: Determine What is Applicable to the Job (Kirkpatrick, 1998)
Level 4: Identify the Business Results (Kirkpatrick, 1998)
Level 5: Return-on-Investment—ROI (Phillips, 1997)
Linking Performance Interventions
To Desired End-Results
Fusch & Gillespie © 2012

Figure 1.6 Evaluating and measuring training

We argue that an ROI strategy should always be employed before the design, development, and deployment of a performance intervention. Doing so ensures that the best intervention was selected and that the intervention is designed to bring the desired end results. Indeed, as Covey (2004) maintained that you should always begin with the end in mind, we too have always considered the desired end result before initiating any performance intervention. So to begin with the end in mind, we will walk through our five-step ROI process (see Figure 1.7).

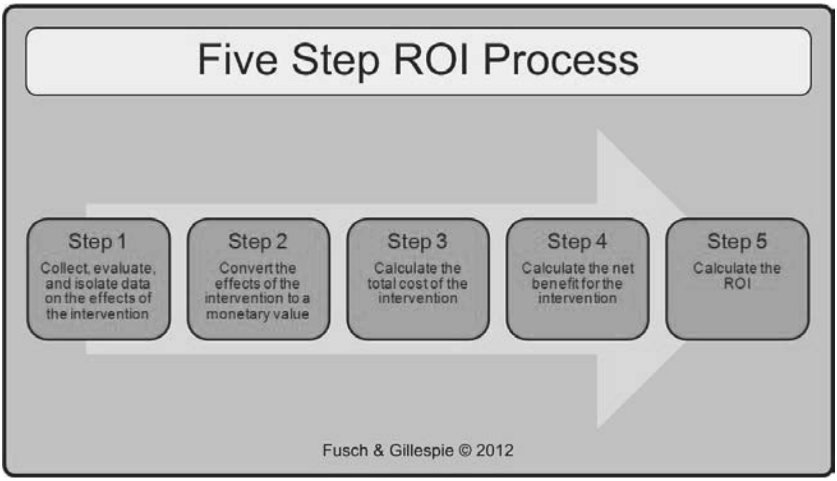
Five Step ROI Process
Step 1
Collect, evaluate, and isolate data on the effects of the intervention
Step 2
Convert the effects of the intervention to a monetary value
Step 3
Calculate the total cost of the intervention
Step 4
Calculate the net benefit for the intervention
Step 5
Calculate the ROI
Fusch & Gillespie © 2012

Figure 1.7 Five-step ROI process

Our ROI model involves five basic steps that seem simple yet are often complex. The following list discusses the steps and how to overcome barriers to conducting an ROI process:

1. Collect, evaluate, and isolate tangible and intangible data concerning the effects of a performance intervention.
2. Convert the isolated effects of a performance intervention into a monetary value.
3. Calculate the total cost of a performance intervention.
4. Calculate the net benefit of a performance intervention by subtracting the total performance intervention costs from the total performance intervention benefits.
5. Calculate the ROI by dividing the net performance intervention benefits from step 4 by the training program costs from step 3 and then multiplying the product by 100.

Figure 1.8 mathematically depicts the ROI process. We take the monetary value of the effects of performance intervention and subtract the cost of performance intervention to get the net benefit of performance intervention. Then we divide the net benefit of performance intervention by the total cost of performance intervention to calculate the ROI. Because we are used to looking at the ROI in percentages, we multiply the ROI by 100 to calculate the return-on-investment percentage, which we call ROI %.

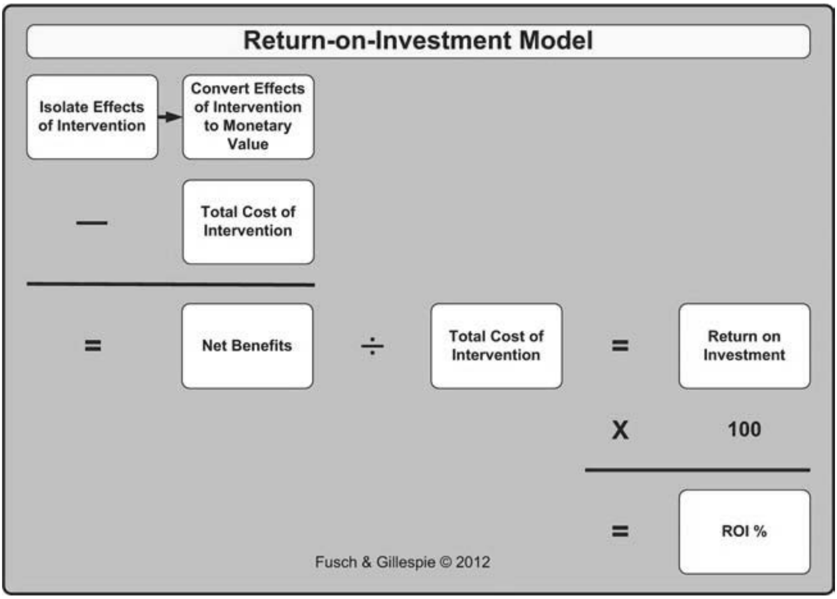
Return-on-Investment Model
Isolate Effects of Intervention
Convert Effects of Intervention to Monetary Value
—
Total Cost of Intervention
=
Net Benefits
÷
Total Cost of Intervention
=
Return on Investment
X
100
=
ROI %
Fusch & Gillespie © 2012

Figure 1.8 ROI model

The literature provides numerous case studies and detailed descriptions of the ROI process for determining the effectiveness of a performance intervention. As you can see from our model, the math and five-step ROI process appear linear and simple. However, sometimes distinct peculiarities hinder an organization's data collection for an ROI process. To overcome these barriers to data collection, we employ the scientific method of hypothetical-deductive reasoning to evaluate the effectiveness of the intervention. Appendix A provides more details on the methods we use to determine the program costs and to measure the effects of the performance intervention that may be used by organizations with similar issues. After we have a strategy in place to measure the desired end results, we can design, develop, and deploy the performance intervention.

Design, Develop, and Deploy the Intervention

We have analyzed our performance gap, decided on the best intervention to reduce the performance gap between the actual performance and the performance needed to obtain the desired end results, and designed a strategy to measure the performance intervention results. Now it is time to design/plan, develop/purchase, and deploy the performance intervention (see Figure 1.9).

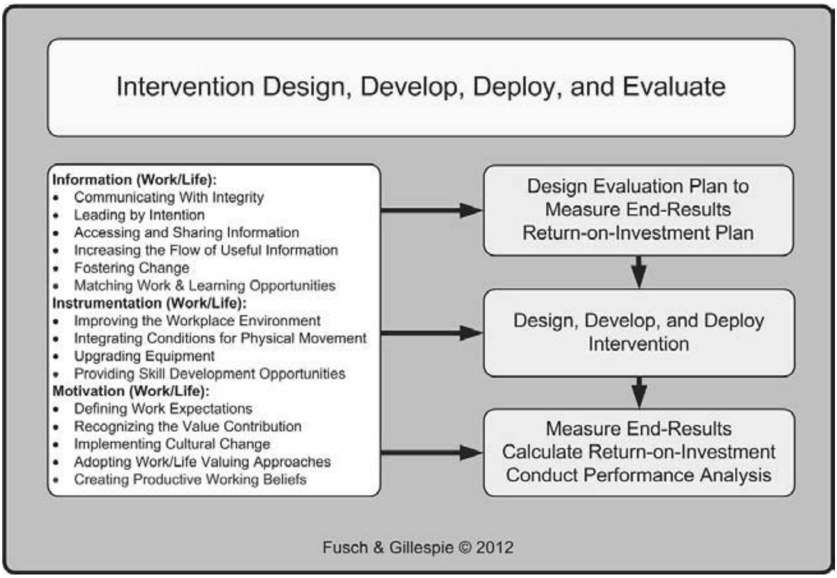
Intervention Design, Develop, Deploy, and Evaluate
Information (Work/Life):
• Communicating With Integrity
• Leading by Intention
• Accessing and Sharing Information
• Increasing the Flow of Useful Information
• Fostering Change
• Matching Work & Learning Opportunities
Instrumentation (Work/Life):
• Improving the Workplace Environment
• Integrating Conditions for Physical Movement
• Upgrading Equipment
• Providing Skill Development Opportunities
Motivation (Work/Life):
• Defining Work Expectations
• Recognizing the Value Contribution
• Implementing Cultural Change
• Adopting Work/Life Valuing Approaches
• Creating Productive Working Beliefs
Design Evaluation Plan to Measure End-Results Return-on-Investment Plan
Design, Develop, and Deploy Intervention
Measure End-Results Calculate Return-on-Investment Conduct Performance Analysis
Fusch & Gillespie © 2012

Figure 1.9 Intervention design, development, deployment, and evaluation

Reviewing our intervention selection inventory, we determine the best intervention. We figure out whether we can implement the intervention within the organization or if it would be better to purchase the services/products or partner with another organization(s) to deploy the needed intervention. At this point we implement the intervention and our measurement strategy.

Measure End Results and Calculate Return on Investment

In the Design Evaluation Plan to Measure End Results/Return on Investment step of our Performance Improvement process, we discussed how to plan and measure for ROI. At this point, while and after the performance intervention has been implemented, it is critical to measure the end results.

Perhaps more important to human performance professionals is that going beyond the basic evaluation to calculate the ROI allows you to strategically evaluate performance interventions. You also can provide management with solid information on the effects of the performance intervention vis-à-vis the company's strategic plan. Indeed, the greater concern for human performance professionals may not be whether to evaluate, but how to provide results-based data and reports to senior management to support their contribution to the organization's mission and/or strategic plan.

Conduct a Performance Analysis

In addition to identifying the ROI for the performance intervention, the comprehensive analysis provides the data for a new performance analysis to determine additional areas for performance improvement. Hence, we have come full circle. We have conducted a performance analysis, conducted a gap analysis, selected an intervention, designed an evaluation plan, designed and implemented the intervention, and conducted an ROI strategy to measure the end results.

Now that we have had a comprehensive discussion of performance improvement, we dedicate the remainder of this book to our Work/Life Approach to creating a workplace for continuous improvement with practical how-to performance interventions.

Summary

This chapter has described creating a living endowment for ensuring performance. We have discussed the critical need for integrating performance measurement, real-time strategic and operational managing, with the understanding that all businesses want to acquire wealth and gain additional capital to grow and prosper. This includes the necessity of doing so in Valuing Ways.

Our performance improvement model includes the organization's directions and movements, its end results, and the gap between its desired end results and the actual performance. This includes both what is going well and what is not. We call this the *performance gap*.

This chapter navigated each step of our model through performance analysis, gap/cause analysis, intervention selection, evaluation planning, implementation, and measuring end results.

The following chapters focus on continuous improvement for what is going well. They also provide interventions to reduce the performance gap with practical, proven how-to strategies that we call Work/Life Approaches.

Chapter 2 begins with the business results while continuously thinking about the desired end results. Chapter 2 introduces Work/Life Approaches:

- The Organizational Bill of Rights and subsequent tools provide clear direction and movement for everyone working within the organization.
- The Celestial Approach to Managing frees the people closest to the work to make decisions, identify concepts, and make dynamic decisions about everything a person or organization brings to a specific end result. Rather than using a two-dimensional hierarchy shown on an x-y axis, this approach metaphorically takes a

more elliptical/celestial view. It focuses on a specific task/idea/ intent that floats through the galaxy rather than focusing on a lockstep procedural hierarchy.

- The Communication System represents a flow of work where employees do not need to go to the boss for decisions and assignments. Instead, people work together, and decisions are made closest to the action.
- Several additional tips and strategies will help you realize your desired end results.

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