# Contents

LIST OF FIGURES      xv  
LIST OF TABLES       xvii 
LIST OF EXHIBITS     xix  
LIST OF CASE STUDIES xxix 
LIST OF PERFORMANCE SUPPORT TOOLS xxiii 
ACKNOWLEDGMENTS     xxv 
FOREWORD—THE PRACTICE OF PERFORMANCE IMPROVEMENT, BY JUDITH A. HALE xxvii 
FOREWORD—FUNDAMENTALS OF PERFORMANCE TECHNOLOGY, BY DALE BRETHOWER xxix 
FOREWORD—PERFORMANCE IMPROVEMENT INTERVENTIONS, BY WILLIAM W. LEE xxxiii 
INTRODUCTION        xxxv 

SECTION 1: PERFORMANCE IMPROVEMENT AND THE PERFORMANCE IMPROVEMENT/HPT MODEL  1  

CHAPTER 1           
OVERVIEW OF PERFORMANCE IMPROVEMENT  3  

CHAPTER 2           
PERFORMANCE IMPROVEMENT/HPT MODEL—AN OVERVIEW  41  

CHAPTER 3           
CHANGE MANAGEMENT   61  

CASE STUDY 1.1      
BOUTIQUE MARKETING COMPANY  81  

CASE STUDY 1.2      
STRATEGIC PERFORMANCE MANAGEMENT IN GEORGIA EDUCATION  89  

CASE STUDY 1.3      
REDUCING MUNICIPAL STRIFE THROUGH ENGAGEMENT  95  

COPYRIGHTED MATERIAL
CASE STUDY 1.4
   AMWAY CORPORATION: DRIVING CONSISTENT, STRATEGIC
   PERFORMANCE OF DISTRIBUTORS GLOBALLY 103

CASE STUDY 1.5
   USING HUMAN PERFORMANCE TECHNOLOGY (HPT) TO
   SELECT PROJECTS THAT YIELD RESULTS 111

SECTION 2: PERFORMANCE ANALYSIS 121
CHAPTER 4
   OVERVIEW OF PERFORMANCE ANALYSIS 123
CHAPTER 5
   ORGANIZATIONAL ANALYSIS 133
CHAPTER 6
   ENVIRONMENTAL ANALYSIS 145
CHAPTER 7
   GAP ANALYSIS 155
CHAPTER 8
   CAUSE ANALYSIS 163
CASE STUDY 2.1
   THE BLAKE COMPANY/MUTSCHLER KITCHENS 179
CASE STUDY 2.2
   PHYSICIAN PERFORMANCE REPORT ACCURACY AND TIMELINESS 185

SECTION 3: INTERVENTION SELECTION, DESIGN,
   AND DEVELOPMENT 193
CHAPTER 9
   INTERVENTION SELECTION 195
CHAPTER 10
   LEARNING INTERVENTIONS 243
CHAPTER 11
   PERFORMANCE SUPPORT INTERVENTIONS 281
CHAPTER 12
   JOB ANALYSIS/WORK DESIGN INTERVENTIONS 291
CHAPTER 13
   PERSONAL DEVELOPMENT INTERVENTIONS 313
CHAPTER 14  
HRD INTERVENTIONS  325

CHAPTER 15  
ORGANIZATIONAL COMMUNICATION INTERVENTIONS  363

CHAPTER 16  
ORGANIZATION DESIGN AND DEVELOPMENT  373

CHAPTER 17  
FINANCIAL SYSTEMS INTERVENTIONS  395

CHAPTER 18  
INTERVENTION DESIGN  407

CHAPTER 19  
MAKING THE BUSINESS CASE  423

CHAPTER 20  
INTERVENTION DEVELOPMENT  443

CASE STUDY 3.1  
NO ROOM FOR ERROR  451

CASE STUDY 3.2  
ACQUISITION OF WESTFORD BANK BY SPRING HARBOR BANK  459

EXHIBIT 3.1  
INFORMATION TECHNOLOGY COMPANY ALIGNS WORKFORCE TO BUSINESS STRATEGY AND DIRECTION  465

SECTION 4: INTERVENTION IMPLEMENTATION AND MAINTENANCE  473

CHAPTER 21  
INTERVENTION IMPLEMENTATION AND MAINTENANCE  475

CHAPTER 22  
TECHNIQUES FOR IMPLEMENTATION AND MAINTENANCE  489

CASE STUDY 4.1  
CHURCH PENSION FUND: THE GREAT MODEL  509

CASE STUDY 4.2  
ST. LUKE LUTHERAN CHURCH AND SCHOOL  517
| Figure 1.1  | Anatomy of Performance               | 17  |
| Figure 1.2  | Mager's Performance Analysis Flowchart | 21  |
| Figure 1.3  | Beyond HPT: Factors and Contributors to Performance Improvement and Value Creation | 23  |
| Figure 1.4  | Framework for Colon Panama's Transformation | 28  |
| Figure 1.5  | The Four-D Model                     | 30  |
| Figure 2.1  | The Performance Improvement/HPT Model | 43  |
| Figure 2.2  | Performance Improvement/HPT Model: Performance Analysis Phase | 45  |
| Figure 2.3  | Performance Improvement/HPT Model: Intervention Selection, Design, and Development Phase | 48  |
| Figure 2.4  | Performance Improvement/HPT Model: Implementation and Maintenance Phase | 51  |
| Figure 2.5  | Performance Improvement/HPT Model: Evaluation Phase | 53  |
| Figure 2.6  | Pershing's Performance Improvement Process Model | 55  |
| Figure 2.7  | HPT Model: Appreciative Inquiry Approach | 57  |
| Figure 3.1  | Performance Improvement/HPT Model | 62  |
| Figure 3.2  | Managing the Change Process | 68  |
| Figure 3.3  | Adoption Curve | 72  |
| Figure 4.1  | Performance Improvement/HPT Model: Performance Analysis Phase | 124 |
| Figure 5.1  | Performance Improvement/HPT Model: Organizational Analysis Component | 133 |
| Figure 5.2  | Grant and Moseley Customer-Focused Performance Analysis Model | 135 |
| Figure 6.1  | Performance Improvement/HPT Model: Environmental Analysis Component | 145 |
| Figure 6.2  | Variations on Rothwell's Environments of Human Performance | 146 |
| Figure 7.1  | Performance Improvement/HPT Model: Gap Analysis Component | 155 |
| Figure 7.2  | Performance Gap Analysis with a Reasonable Goal | 156 |
| Figure 7.3  | Kaufman's Definition of Need | 157 |
| Figure 7.4  | Rothwell's Six-Cell Gap Analysis | 157 |
| Figure 8.1  | Performance Improvement/HPT Model: Cause Analysis Component | 163 |
| Figure 8.2  | Gilbert's Behavior Engineering Model | 165 |
Figure 9.1. Performance Improvement/HPT Model: Intervention Selection Component 196

Figure 9.2. Intervention Selection Process 200

Figure 10.1. Learning Interventions 243

Figure 11.1. Scope of Performance Support Interventions 281

Figure 12.1. Job Analysis/Work Design Interventions 292

Figure 13.1. Personal Development Interventions 313

Figure 14.1. Talent Management Interventions 326

Figure 14.2. Individual Growth Interventions 345

Figure 14.3. Organizational Growth Interventions 352

Figure 15.1. Organizational Communication Interventions 364

Figure 16.1. Organization Design and Development Intervention Components 373

Figure 17.1. Financial Systems Interventions 395

Figure 18.1. Performance Improvement/HPT Model: Design Component 408

Figure 19.1. Business Case: An Iterative Process 426

Figure 19.2. RSVP 433

Figure 19.3. Example of Project Management Gantt Chart 440

Figure 20.1. Performance Improvement/HPT Model: Intervention Development Component 444

Figure 20.2. Intervention Development Process Model 447

Exhibit 3.1. Figure 1. ProQuest Talent Management Model 467

Exhibit 3.1. Figure 2. ProQuest Organizational Competency Model 469

Exhibit 3.1. Figure 3. ProQuest Individual Contributor Progressive Expectations Map 470

Exhibit 3.1. Figure 4. ProQuest Leadership Progressive Expectations Map 470

Figure 21.1. Performance Improvement/HPT Model: Implementation and Maintenance Phase 476

Figure 22.1. The Consulting Process 494

Figure 23.1. Performance Improvement/HPT Model: The Evaluation Step 530

Figure 23.2. Flow of Evaluation Decisions: Why to How 531

Figure 23.3. Geis and Smith Evaluation Model 533

Figure 23.4. Dessinger-Moseley Full-Scope Evaluation Model 535

Figure 24.1. Performance Improvement/HPT Model: Evaluation Phase 546

Figure 24.2. Dessinger-Moseley Confirmative Evaluation Model 556

Figure 24.3. Equation for Confirming the Value of a Performance Intervention 557

Figure 24.4. Moseley-Solomon Confirmative Evaluation Model 557

Figure 24.5. Preliminary Checklist for Confirmative Evaluation 558
List of Tables

Table 1.1. Theoretical Foundations of Performance Improvement 10
Table 1.2. Leading Contributors to Performance Improvement and Performance Technology 11
Table 1.3. Early Leaders 14
Table 1.4. Thomas Gilbert's Behavior Engineering Model 14
Table 1.5. Rummler's Nine Performance Variables Matrix 16
Table 1.6. The Organizational Elements, Related Results, and Definitions 17
Table 1.7. Examples for Each of the Organizational Elements 18
Table 2.1. Overview of Intervention Categories 49
Table 3.1. Change Management Theory Models 64
Table 4.1. Defining Performance Analysis 125
Table 4.2. Anatomy of Performance 126
Table 4.3. Principles of Performance Analysis 126
Table 4.4. Linking Basic Analysis Techniques to Purpose 128
Table 4.5. When to Use Specific Analysis Techniques and Tools 129
Table 5.1. Various Strategic Planning Definitions 134
Table 6.1. Corporate Social Initiatives 147
Table 8.1. BEM Adapted to Cause Analysis 166
Table 8.2. Cause Analysis Tools 167
Table 8.3. Gilbert's Behavior Engineering Model—Environmental Support 168
Table 8.4. Gilbert's Behavior Engineering Model—Repertory of Behavior 173
Table 9.1. Summary of Gap and Cause Analysis Conducted After Intervention Implementation 202
Table 10.1. Self-Directed Learning Guidelines 261
Table 10.2. Action Learning Guidelines 263
Table 11.1. Performance Support Tools/Job Aids: Traditional and Expanded Views 282
Table 12.1. Suggestions for Selecting Safety Engineering Interventions 300
Table 12.2. TQM Toolkit 304
Table 12.3. Human Performance and Six Sigma: Parallel Constructions 307
Table 14.1. Employee Development Overview 329
Table 15.1. Dispute Resolution Do's and Don'ts 370
Exhibit 3.1. Table 1. ProQuest Accountability Parameters: Philosophy and Principles 467
Exhibit 3.1. Table 2. Elements of Talent Management: Details 468
Table 21.1. Stages of Moseley and Hastings’ Model 478
Table 21.2. Steps for Designing an Intervention Implementation Process 480
Table C.4.1. Cause Analyses for Communication Performance Gaps 519
Table 23.1. Kirkpatrick’s Four Levels of Evaluation 532
Table 23.2. Kaufman-Keller-Watkins Adaptation of Kirkpatrick Model 534
Table 23.3. Full-Scope Evaluation: Type, Purpose, and Timing 535
Table 24.1. Traditional and Alternative Formative Evaluation Methods 549
Table 24.2. Advantages and Disadvantages of Alternative Formative Evaluation Methods 552
Table 24.3. Tasks to Perform During Confirmative Evaluation Phases 558
Table 24.4. Timing and Purpose for Type One and Type Two Meta Evaluation 562
List of Exhibits

Exhibit 1.1. The Practitioner's Voice: Sustainability 24
Exhibit 1.2. Sustainability in Action 27
Exhibit 10.1. The Practitioner's Voice: Action Learning 264
Exhibit 10.2. The Practitioner's Voice: Technical and Non-Technical Learning 265
Exhibit 10.3. The Practitioner's Voice: Interactive Technologies 267
Exhibit 10.4. The Practitioner's Voice: Online or e-Learning 271
Exhibit 11.1. The Practitioner's Voice: EPSS 286
Exhibit 11.2. The Practitioner's Voice: Expert Systems 289
Exhibit 12.1. Job Enlargement Scenario 296
Exhibit 12.2. The Practitioner's Voice: Continuous Improvement 306
Exhibit 13.1. The Practitioner's Voice: Feedback 315
Exhibit 14.2. The Practitioner's Voice: Employee Development 330
Exhibit 14.3. The Practitioner's Voice: Health and Wellness 340
Exhibit 14.4. The Practitioner's Voice: Key Performance Indicators 348
Exhibit 14.5. The Practitioner's Voice: 360-Degree Feedback 350
Exhibit 14.6. The Practitioner's Voice: Succession Planning 353
Exhibit 15.1. The Practitioner's Voice: Social Media 371
Exhibit 16.1. The Practitioner's Voice: Teams 375
Exhibit 16.2. The Practitioner's Voice: Problem Solving 378
Exhibit 17.1. The Practitioner's Voice: Financial Intelligence 396
Exhibit 18.1. Three Examples of Customization 412
Exhibit 19.1. RSVP: An Example 434
Exhibit 19.2. Building Capacity: An Example 435
Exhibit 19.3. Implement for Sustainability: An Example 436
Exhibit 19.4. Meeting the Challenges: An Example 437
Exhibit 22.1. The Practitioner's Voice: Employee Development 500
Exhibit 22.2. The Practitioner's Voice: Project Management 504
Exhibit C.4.1. Criticality Ranking of Communication Performance Gaps 522
Exhibit C.4.2. Summary of Recommendations 523
Exhibit 24.1. Team Roles in a Confirmative Evaluation 561
# List of Case Studies

## Section 1

<table>
<thead>
<tr>
<th>Case Study 1.1.</th>
<th>Boutique Marketing Company (Appreciative Inquiry)</th>
<th>81</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Study 1.2.</td>
<td>Strategic Performance Management in Georgia Education (School Improvement)</td>
<td>89</td>
</tr>
<tr>
<td>Case Study 1.3.</td>
<td>Reducing Municipal Strife Through Engagement (Performance Improvement/HPT Model)</td>
<td>95</td>
</tr>
<tr>
<td>Case Study 1.4.</td>
<td>Amway Corporation: Driving Consistent, Strategic Performance of Distributors Globally (Performance Improvement/HPT Model)</td>
<td>103</td>
</tr>
<tr>
<td>Case Study 1.5.</td>
<td>Using Human Performance Technology (HPT) to Select Projects That Yield Results (Change Management)</td>
<td>111</td>
</tr>
</tbody>
</table>

## Section 2

| Case Study 2.1. | The Blake Company/Mutschler Kitchens (Performance Analysis) | 179 |
| Case Study 2.2. | Physician Performance Report Accuracy and Timeliness (Gap and Cause Analysis) | 185 |

## Section 3

| Case Study 3.1. | No Room for Error: Saving a Multi-Office Dental Practice in Michigan (Business Case) | 451 |
| Case Study 3.2. | Acquisition of Westford Bank by Spring Harbor Bank (Design-Development) | 459 |

## Section 4

| Case Study 4.1. | Church Pension Fund: The GREAT Model (Intervention Maintenance) | 509 |
| Case Study 4.2. | St. Luke Lutheran Church and School (Intervention Implementation) | 517 |

## Section 5

| Case Study 5.1. | ABC Automotive Company—Dealership Sales and Marketing Academy (Predicting Outcomes) | 571 |
| Case Study 5.2. | Community Healthcare Association of the Dakotas: A Five-Level Evaluation Model (Five-Level Evaluation Model) | 577 |
List of Performance Support Tools

Performance Support Tool 1.1. Appreciative Inquiry Discussion Guide 32
Performance Support Tool 2.1. Initial Pre-Project Situation Description 60
Performance Support Tool 3.1. Change Management Planner 79
Performance Support Tool 3.2. Change Management Evaluator 80
Performance Support Tool 5.1. Typical Questions for an Organizational Scan 137
Performance Support Tool 5.2. Organizational Analysis Survey 140
Performance Support Tool 7.1. Sample Priority Matrix 162
Performance Support Tool 8.1. Probing for Environmental Support Drivers or Causes 171
Performance Support Tool 8.2. Probing for People's Repertory of Behavior Drivers or Causes 178
Performance Support Tool 9.1. Intervention Selector 203
Performance Support Tool 9.2. Intervention Priority Chart 208
Performance Support Tool 9.3. Intervention Action Planner 212
Performance Support Tool 9.4. Intervention Selection Tool 213
Performance Support Tool 10.1. A Knowledge Management Primer 246
Performance Support Tool 10.2. Knowledge Management Assessment Tool (KMAT) 248
Performance Support Tool 11.1. When to Use Standard PST or Job Aid Formats 283
Performance Support Tool 11.2. To EPSS or Not? 285
Performance Support Tool 11.3. Documentation or Standards? 288
Performance Support Tool 12.1. Job Analysis Survey 293
Performance Support Tool 13.1. Feedback Checklist 316
Performance Support Tool 13.2. Coaching Skills Self-Assessment 318
Performance Support Tool 14.2. Organizational Retention Assessment (ORA) 333
Performance Support Tool 14.3. Issues to Consider When Planning for Retirement 342
<table>
<thead>
<tr>
<th>Performance Support Tool</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>14.4</td>
<td>How Motivating Is Your Organization?</td>
<td>346</td>
</tr>
<tr>
<td>14.5</td>
<td>How Do Individual Managers Approach Leadership?</td>
<td>355</td>
</tr>
<tr>
<td>15.1</td>
<td>Planning a Suggestion System</td>
<td>367</td>
</tr>
<tr>
<td>16.1</td>
<td>Evaluating Team Attitudes</td>
<td>376</td>
</tr>
<tr>
<td>16.2</td>
<td>Problem-Solving Worksheet</td>
<td>380</td>
</tr>
<tr>
<td>16.3</td>
<td>Benchmarking Planner</td>
<td>384</td>
</tr>
<tr>
<td>16.4</td>
<td>Diversity Quotient Assessment</td>
<td>388</td>
</tr>
<tr>
<td>16.5</td>
<td>Ethical Dilemmas in the Workplace</td>
<td>391</td>
</tr>
<tr>
<td>17.1</td>
<td>Responsibility Center Analysis</td>
<td>398</td>
</tr>
<tr>
<td>17.2</td>
<td>Assessing Strategic Alliances</td>
<td>404</td>
</tr>
<tr>
<td>18.1</td>
<td>Bidder Selection Matrix</td>
<td>416</td>
</tr>
<tr>
<td>18.2</td>
<td>Design Document Template</td>
<td>418</td>
</tr>
<tr>
<td>18.3</td>
<td>Stay Focused: A Guide to Successful Intervention Design</td>
<td>420</td>
</tr>
<tr>
<td>19.1</td>
<td>Performance Improvement Feasibility Study Outline</td>
<td>431</td>
</tr>
<tr>
<td>19.2</td>
<td>Template for a Business Case</td>
<td>438</td>
</tr>
<tr>
<td>20.1</td>
<td>Outputs Matrix for Step 1: Prepare for Development</td>
<td>449</td>
</tr>
<tr>
<td>21.1</td>
<td>Evaluating Sustainability from a Change Management Perspective</td>
<td>487</td>
</tr>
<tr>
<td>22.1</td>
<td>Process Consulting Planner</td>
<td>495</td>
</tr>
<tr>
<td>22.2</td>
<td>Assessing Employee Development Success Standards</td>
<td>498</td>
</tr>
<tr>
<td>22.3</td>
<td>The Maintenance Evaluator</td>
<td>503</td>
</tr>
<tr>
<td>23.1</td>
<td>What the Performance Improvement/HPT Practitioner or Evaluator Can Do to Integrate Full-Scope Evaluation into the Performance Improvement Process</td>
<td>542</td>
</tr>
<tr>
<td>24.1</td>
<td>When to Conduct a Confirmative Evaluation</td>
<td>560</td>
</tr>
<tr>
<td>24.2</td>
<td>Focusing the Meta Evaluation: What’s the Goal?</td>
<td>564</td>
</tr>
<tr>
<td>24.3</td>
<td>Planning the Formative, Summative, and Confirmative Evaluation of a Performance Improvement Intervention</td>
<td>569</td>
</tr>
</tbody>
</table>