Figure 5.2 The GAPS! Map

Business Need: _____

(An operational goal for an entity measured in numbers. The need is typically written in a narrative manner.)

Employee Group: _____

(A specific group of people who share the same job or role.)

G

Go for the SHOULD

Business SHOULDs	Performance SHOULDs
List the operational metrics used to measure the business goals. Each metric should have a number.	List the specific, on-the-job behaviors that people in the employee group use to obtain the Business SHOULDs specific behaviors and not vague fuzzy descriptions.

A

Analyze the IS

Business IS	Performance IS
List the actual operational results have a number. There should be one IS result for each SHOULD goal noted above	List the actual on-the-job behaviors and practices that people are typically using now. Have at least one actual behavior for each SHOULD behavior noted above. But do not be limited to this list—people could be demonstrating other behaviors that are using time but providing limited value.

P

Pin Down the CAUSES

Factors External to Organization	Factors Internal to Organization *(Work Environment Needs)*		Factors Internal to Individuals *(Capability Needs)*
	Outside the Business Unit	Within the Business Unit	
Identify factors outside the control of anyone in the organization that directly impact upon the business results.	Identify factors within the control of the organization but outside the control of the client(s) accountable for the business results and employee group(s) focused upon.	Identify factors within the control of the organization and within the control of the clients(s) accountable for the business results and employee group(s) focused upon.	Identify skill, knowledge and inherent capability needs of people in the performer group focused upon.

S

Select the Right SOLUTIONS

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Figure 5.3 GAPS! Map for a Call Center

Business Need: Improve Customer Satisfaction

Employee Group: Customer Service Representatives (CSRs)

G — Go for the SHOULD

Business SHOULDs

- 90% of customers are "satisfied" or "very satisfied" with quality of service they receive
- 100% of customers' calls picked up within 5 rings
- A customer must call only once for a problem to be resolved

Performance SHOULDs

- Ask open and focused questions to clarify the customer's problem
- Assume "ownership" for resolving the customer's problem
- Demonstrate empathy as appropriate
- Follow up with customers to provide actions being taken to resolve the problem

A — Analyze the IS

Business IS

- 81% of customers are "satisfied" or "very satisfied"; trend line is evidencing a decline in ratings
- 88% of customers' calls picked up within 5 rings
- Number of customer calls for each problem resolved is 1.4

Performance IS

- Ask closed-ended questions too quickly, narrowing the focus of discussion prematurely
- Jump to solutions before problem is completely identified
- Rarely assume "ownership" for the problem; tend to transfer customer to another department and disconnect before customer is speaking with the appropriate person
- Empathy shown sporadically
- Follow-up with customers is inconsistent
- Defensive too frequently when the customer is angry

P — Pin Down the CAUSES

Factors External to Organization

- Customer expectations for service continue to increase, raising the standard by which CSR performance is judged

Factors Internal to Organization (Work Environment Needs)

Outside the Business Unit

- The database used by CSRs is not easily accessible requiring moves between multiple screens to obtain appropriate informaion

Within the Business Unit

- Insufficient authority to resolve problems independently; CSRs must seek permission to act
- Unclear expectations as to what "ownership" means and what actions the CSR should be taking to evidence this accountability
- Insufficient coaching and reinforcement from Team Leads

Factors Internal to Individuals (Capability Needs)

- CSRs lack skill in:
  - ✓Asking open and focused questions
  - ✓Managing customers who are angry

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Figure 5.4 GAPS! Map with Questions

	Business Need: What is the business need?	Employee Group: What work group(s) directly contribute to the achievement of this goal?
G *Go for the* SHOULD	(An operational goal for an entity measured in numbers.)	(A specific group of people who share the same job or role.)
	Business SHOULDs • What are the goals, objectives or standards? • What are the metrics that need to be achieved? • Is there any business unit/department meet goals? What are their actual results?	**Performance SHOULDs** • If the goals are to be achieved, what on-the-job performance is required of (*name of work group*)? • If there are star performers, what do they do more, better or differently to achieve these goals?
A *Analyze the* IS	**Business IS** • What are the actual results? • What are the actual results of typical regions/departments/ groups?	**Performance IS** • What do the individuals in the work group typically do? • What have you observed that leads you to believe people will benefit from (*the solution that has been mentioned*)?

	Factors External to Organization	Factors Internal to Organization (*Work Environment Needs*)		Factors Internal to Individuals (*Capability Needs*)
P *Pin Down the* CAUSES	• What are the reasons for the gap between your goals and your actual results? (*Question can yield internal and/or external factors.*)	Outside the Business Unit	Within the Business Unit	• How do the capabilities of the work group compare to the requirements of the job?
		• What are the reasons for the gap between what people in the work group should be doing and what they are doing? • If the (*solution suggested*) were implemented, what other reasons might still make it difficult for people to perform as needed? • If people in the work group were to develop the skills and knowledge needed, what are the other reasons why they still might not perform as desired?		
S *Select* the Right SOLUTIONS		*Do not ask questions regarding the design and/or implementation of the proposed solution.*		

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Figure 6.8 GAPS! Map with Information as Presented by Retail VP

Business Need:
Increase Gross Profit on Sales

(An operational goal for an entity measured in numbers.)

Employee Group:
Territory Managers

(A specific group of people with same job or role.)

G

Go for the SHOULD

Business SHOULDs

- Improve corporate profits
- Continue to meet revenue goals

Performance SHOULDs

- Negotiate sales to retailers with a goal of agreeing to pricing that is at the higher end of the range
- Use judgment when agreeing on price with retailers, considering factors such as volume of business the retailer is doing with Cool Age

A

Analyze the IS

Business IS

- Profits trending down

Performance IS

- Too quick to sell retailer at lower end of acceptable range
- TMs focus on revenue more than they focus on profit

P

Pin Down the CAUSES

Factors External to Cool Age

- Competitors charging lower prices for comparable products

Factors Internal to Cool Age (*Work Environment Needs*)

Outside the Business Unit (Outside Marketing and Sales Division)

Within the Business Unit (Within Marketing and Sales Division)

- Pricing guidelines provide a range of acceptable discounts
- TMs have some latitude in how they price to retailers
- Bonus based on meeting revenue, not profit, goal

Factors Internal to Individuals (*Capability Needs*)

S

Select the Right SOLUTIONS

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Figure 6.9 Cool Age GAPS! Map
Possible Questions to Ask the VP of Marketing and Sales

	Business Need: Increase Gross Profit on Sales	Employee Group: Territory Managers
G *Go for the* SHOULD	**Business SHOULD**	**Performance SHOULD**
	What are goals for gross profit on sales? You want to meet revenue goals. What are these goals?	*Are there any TMs who are successful at negotiating sales at the higher end of our range? If yes, what are they doing differently to accomplish this result?*
A *Analyze the* IS	**Business IS**	**Performance IS**
	You indicate that profits are trending down. What are the current results?	*Given what the most effective Territory Managers are doing to successfully negotiate sales at the higher end of the range, how does that compare to what the "typical" Territory Manager is doing?*

	Factors External to Cool Age	Factors Internal to Cool Age (Work Environment Needs)		Factors Internal to Individuals (Capability Needs)
		Outside the Business Unit	Within the Business Unit	
P *Pin Down the* CAUSES	*You indicated that our competitors are placing pressure on our pricing of products by selling comparable products at lower prices. Are there any other factors, outside of Cool Age, that challenge the accomplishment of our profit goals?*	*What factors, if any, within our organization make it difficult for Territory Managers to negotiate pricing with retailers as you need them to do?*	*If we successfully redesign the bonus plan so TMs are compensated in meeting the profit goals, are there any other factors that will still challenge TMs as they work to support these profit goals?*	*What is your assessment of the capability of our Territory Managers to perform as you need them to do?*
S *Select the Right* SOLUTIONS		*Do not ask questions regarding the design and/or implementation of the proposed solution.*		

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Figure 7.3 GAPS! Map Illustrating Logic of Proactive Interview Questions

G *Go for the SHOULD*

Business Need:
What is the business need?

(An operational goal for an entity measured in numbers.)

Business SHOULDs

(2b) What should be the results at the end of the year?

Employee Group: (6)
What employee group will most contribute to achievement of goal?

(A specific group of people same job or role.)

Performance SHOULDs

(7a) What must employees in this group do more, better of differently if they are to successfully support this goal?

(7b) Is there anyone currently achieving optimal results?

(7c) If YES, what do they do differently?

A *Analyze the IS*

Business IS

(2a) What indicators will be used to measure this goal and what are the actuals now?

Performance IS

(8) What are the major gaps between what you need employees to be doing on-the-job and what they are typically doing now?

P *Pin Down the CAUSES*

Factors External to Organization

(1) Why is this an important goal at this time? What are the driving forces behind this goal?

(4) What forces or factors outside the organization are going to challenge achievement of this goal?

Factors Internal to Organization *(Work Environment Needs)*

(1) Why is this an important goal at this time? What are the driving forces behind this goal?

(3) What strategies are being used to accomplish this goal?

(5) What about inside the organization? What factors will challenge achievement of this goal?

(9) What barriers, if any, challenge employees to perform as needed?

Factors Internal to Individuals *(Capability Needs)*

(9) What barriers, if any, challenge employees to perform as needed?

S *Select* the Right SOLUTIONS

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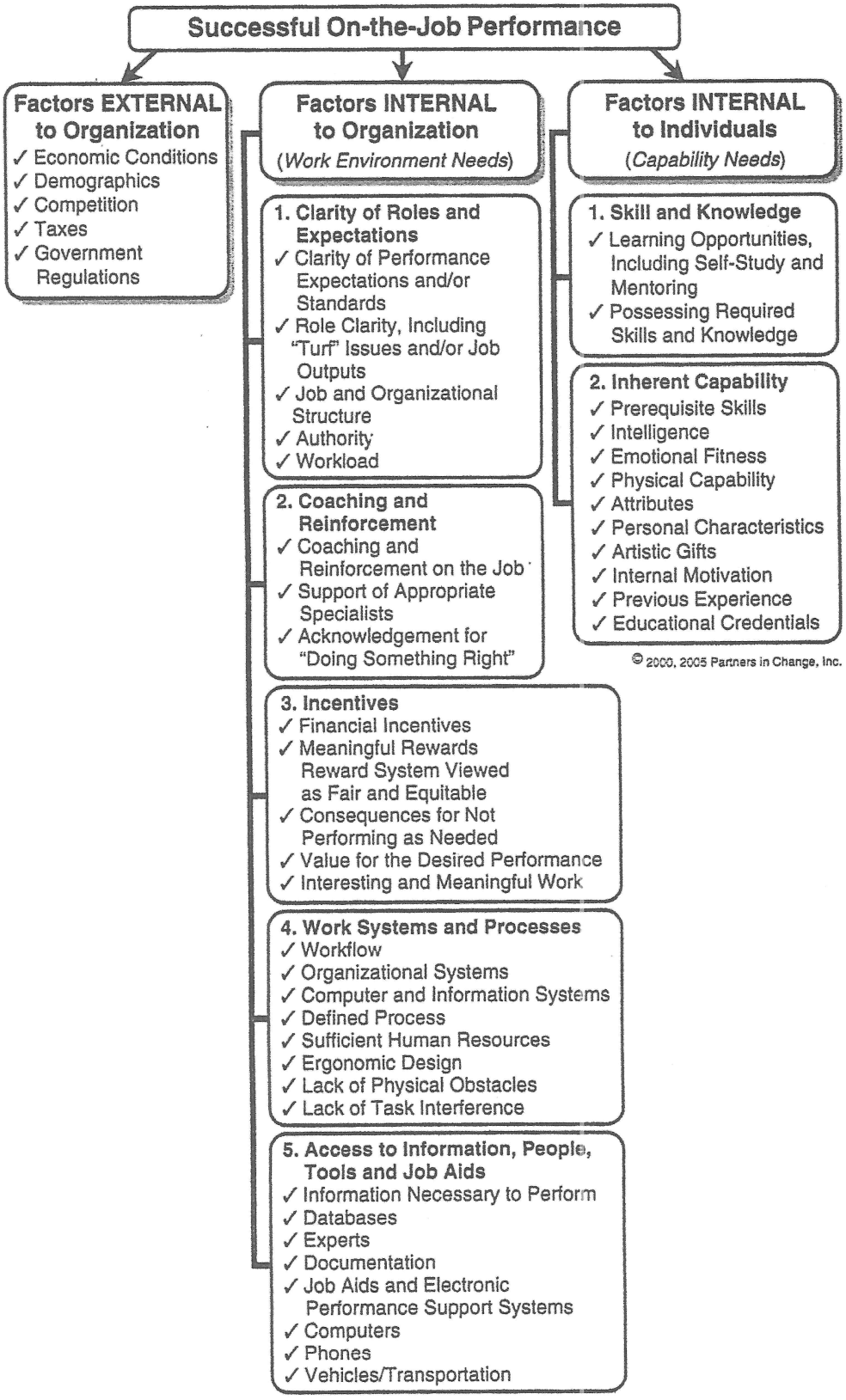
Figure 8.1 The Gap Zapper with Examples*



* Examples are stated as enablers to on-the-job performance.

Figure 10.1 HR Workflow Process for Strategic Projects

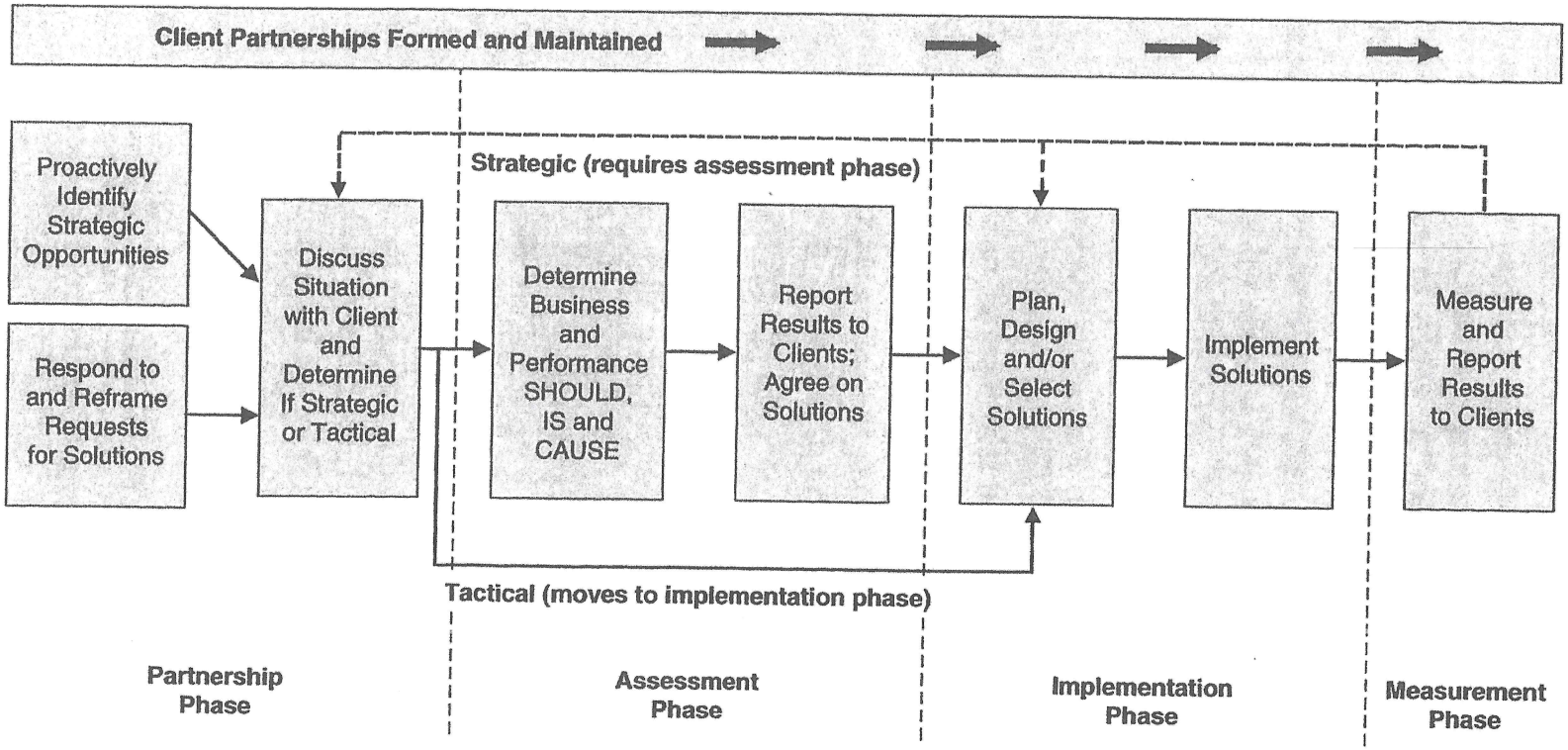


Table 3.1
Actions for Gaining Access to Clients with Whom You Have Limited/No Access

- Initiate contact with the client by asking for time to discuss business goals and challenges that the client is facing

- Send articles from journals and industry magazines that focus on items of importance to this client's business. Include a note indicating why you believe the item has relevance for the client.
- Initiate contact with the client, indicating you would like to learn more about the client's business. Ask the client how you can increase your knowledge of the business. In essence, ask your client to become your coach.
- Volunteer to serve on high-visibility projects and task teams that are important to this client.
- When in meetings with the client and others, ask questions that expand the thinking and discussion of the group.
- Leverage current relationships with other managers to assist you in gaining access to the client.
- Publicize your "wins." Ask your clients, with whom you work, to market the results to their peers.

Table 3.2
Actions for Transitioning a Sustained Client from a Tactical to Strategic Relationship

- Be alert to information from various parts of the organization that has impact upon your client's business unit. Send this information to your client, indicating that you would like to discuss the implications of this with your client.
  "Essentially I indicate that I am hearing some things from Operations that could have implications for what we are doing in Sales, and I would like to discuss these implications with the client."
- Ask to attend the client's staff meetings as an observer, so you gain greater insights into the business. When in these meetings, expand thinking of the group by asking thought-provoking questions.
- Provide guidance to the client during a crisis.
  "The results from an opinion survey were very distressing to my client, so I offered suggestions that might be used to close the gaps."
- In discussions, keep focus on the business results that are needed rather than on the tactics to be implemented. Help clients to avoid the "jump to solution" approach.
- Offer suggestions about how you can help on a project or business situations in which you are currently involved.
  "On the redesign project, I indicated how I could help with the work flow analysis; I had worked on a similar project at a different site."

Table 4.1
Business Information SBPs Need to Know and Understand

Knowledge about the Specific Organization You Support

- The business model for the organization. How are revenue and profits generated? How does the organization provide value to its customers?
- Operational metrics that are used to measure the health of the organization, including the goals and actual results. Some of the most commonly used metrics are revenue, return on assets, gross margin, market share, customer satisfaction, cost of sales, and cost of production.
- The balance sheet for your organization, indicating assets, liabilities, and equity.
- The strategic plans and initiatives implemented to support the organization's goals and requirements. Also key is knowledge of the strategic planning process used by your leaders.
- Core processes that are used to fulfill the organization's mission and achieve the results needed (i.e., order fulfillment process, sales and marketing process).
- The values and cultural norms that are not only stated but supported through behavior.
- Profile of the customers for the organization's products and services.
- Level of maturity of the business and its products/services. Is it an organization with cutting-edge products, or are products mature? Is the market just forming or commoditized?
- Primary competitors and the various competitive pressures that the organization is facing.

Knowledge about the Industry Your Organization Supports

- The marketplace within which your organization competes.
- Organizations that are the key players in this market.
- The differentiators of your organization from others in the same industry.
- Forces and factors that are impacting upon your marketplace. These are factors that are outside the control of your organization but can challenge success.
- Governmental regulatory requirements of the countries in which your organization has presence.
- The primary market segments that are sources for current and future customers for your industry and organization.
- The financial and nonfinancial benchmarks for organizations in the industry that are/can be used for comparison.
- Global factors that impact upon the industry.

Table 7.1
Checklist to Prepare for a Proactive Conversation

Obtain as much of the following information as possible prior to conducting a proactive conversation with your client. Check off each item as you obtain it for each specific client.

(✓)

_____ 1. Organization chart for the client's business unit/function.

_____ 2. Most current business plan for the client's business unit/function.

_____ 3. Demographic information regarding the employees within the client's span of control (number of employees by job groups, geographical location of employees).

_____ 4. Information about the product(s) and service(s) provided by the client's business unit/function.

_____ 5. The customers (internal and/or external) for these products and services.

_____ 6. Organizations that directly compete with the business unit/function.

_____ 7. Alliances, joint ventures, acquisitions, and/or divestitures that are occurring and are relevant to the client's organization.

_____ 8. The operational metrics that are used to measure the results from the client's organization—both what they are and the current results against goals.

_____ 9. Other items of relevance such as recent hires, promotions, placement of key people within the division or function.

_____ 10. Suggestion: Send an e-mail to the client with a list of the questions to be discussed in the meeting so your client has an opportunity to prepare his or her thoughts ahead of time.

Table 8.1
Assessment Options

Type of Assessment	*Information Provided*	*Question Answered*	*Applications*
	SHOULD Assessments		
Performance Model	Describes performance as it should be if business goals are to be achieved. Generally focuses on a specific job or role.	What must employees in the job do more, better, or differently to achieve the business goals?	• Orientation to job • Role clarity across jobs • Establish performance standards • Coach incumbents • Pay-for--performance compensation systems
Competency Model	Describes skill, knowledge and attributes required for successful performance in support of business goals. Often focuses on a category of employees, such as all first-line supervisors.	What skills, knowledge, and attributes do employees need if they are to perform effectively in support of business goals?	• Recruitment and selection systems • 360° feedback systems • Succession planning • Career planning • Coach incumbents • Performance management systems • Pay-for-skills compensation system
Process Model	Describes the workflow required to accomplish results in support of business goals.	What is the optimal flow of steps or activities to accomplish a specific output or goal?	• Redesign workflow • Establish output goals • Establish input requirements

			• Determine work environment requirements • Determine staffing requirements
	IS/ACTUAL Assessments		
Gap Analysis	Describes current employee performance, compared to SHOULD performance, identifying both strengths and gaps.	What practices are, and are not, currently being used by employees?	• Identify practices that must change • Identify practices to reinforce • Provide focus for areas to probe in a cause analysis • Identify competencies to enhance and reinforce • Prioritize where to begin work to enhance performance
	CAUSE Assessments		
Cause Analysis	Identifies factors within the organization and within the employees that are impacting upon desired performance.	What are the reasons for the performance gaps?	• Select appropriate solutions to improve performance • Identify the organization function to be involved in solution implementation • Focus resources where greatest return is possible

Table 8.2
Sources of Data and Data Collection Methods

Assessment Approach	*Reliable Data Sources*	*Reliable Methods of Data Collection*
	SHOULD Assessments	
Performance, Competency and Process Models	• **STAR Performers** • **Managers of STAR Performers** • Direct Reports of STAR Performers • Customers of STAR Performers • Peers of STAR Performers • Literature[1] • Subject Matter Experts[1] • Internal or External Benchmarking[1]	• Observation • Interview (focus group or one-on-one) • Documentation Review
	IS/ACTUAL Assessments	
Gap Analysis	• **Typical Performers** • **Managers of Typical Performers** • Employees of Typical Performers • Customers of Typical Performers • Peers of Typical Performers	• Observation • Interview (one-on-one interviews are preferred) • Questionnaire • Documentation Review
	CAUSE Assessments	
Cause Analysis	• **Performers**[2] • Managers of Performers[2]	• Interview (focus group or one-on-one) • Questionnaire • Observation (for tangible barriers/ enablers)

BOLD = Source group(s) that should be used if available.

[1]Indicates a reliable source of information where there are no STARs within the client's organization.

[2]Both STAR and typical performers.

Table 10.1 Characteristics of Traditional and Strategic HR Functions

TRADITIONAL HR APPROACH	*STRATEGIC HR APPROACH*
1. *Results Focus*	
• Focus is on the solution that is implemented; the solution (i.e., training) becomes the end goal.	• Focus is on what people need to do; the solution is viewed as a means to the end of enhancing workplace performance.
2. *Reactive* ***and*** *Proactive Engagement*	
• Focus is primarily on reactive entry; frequently work in a fire-fighting mode.	• Focus is on the important, not just the urgent. Work is identified both reactively and proactively. Projects are longer term in time frame and directly connect to a business goal.
3. *Client-In Rather Than HR-Out*	
• Majority of work focuses on HR initiatives such as designing and implementing HR systems across the corporation.	• Majority of work focuses on client-initiated needs as they relate to the client's business and workplace performance requirements.
4. *Solution Neutral*	
• Biased to a solution during initial discussions.	• Solution neutral during initial discussions.
5. *Multiple Solutions*	
• Rely on single solutions (generally the department's specialty).	• Facilitate access to multiple solutions, both within and outside the HR department.
6. *Clients and Accountabilities*	
• Can work independently of client partnerships. Accountability for success is segmented with HR owning quality of HR solutions and clients owning the business results.	• Partnered to a client who is active in the project (i.e., owner of the business need that is being supported). Accountability is shared; both HR and clients own accountability for performance and business results from the initiative.
7. *Front-End Assessment*	
• Front-end assessment is optional. Work environment barriers to desired performance are rarely identified.	• Front-end assessment is required. Performance gaps and causes for gaps are identified.
8. *Measurement of Solutions* ***and*** *Results*	
• Evaluation of solutions typically occurs.	• Evaluation of solution occurs together with measurement of the performance and operational results obtained.

Table 10.2 Competencies Required for Success of an SBP

TECHNICAL/PROCESS COMPETENCE

1. **ANALYSIS SKILL:** Obtaining, synthesizing, and reporting data (both narrative and quantitative).
2. **BUSINESS KNOWLEDGE:** Knowledge of how businesses function and achieve success; knowledge of these factors for the organization(s) specifically being supported.
3. **CHANGE MANAGEMENT SKILL:** Guiding others to identify and take required actions in support of a performance change initiative.
4. **FACILITATION SKILL:** Managing meetings and group processes to ensure that the objectives of the group are achieved.
5. **HR SYSTEMS AND PROCESS KNOWLEDGE:** Knowledge of multiple HR interventions and systems that can be utilized as solutions when addressing human performance needs relative to business goals.
6. **HUMAN PERFORMANCE TECHNOLOGY (HPT) UNDERSTANDING:** Knowledge of HPT as a discipline, as well as knowledge of the work of those who are its primary leaders and thinkers.
7. **INFLUENCING SKILL:** Gaining acceptance to an idea through interpersonal skills and persuasion.
8. **PROJECT MANAGEMENT SKILL:** Planning, organizing, and monitoring work done by others in support of a specific project or assignment.
9. **QUESTIONING SKILL:** Gathering information through the process of interviews and other probing methods.
10. **RELATIONSHIP-BUILDING SKILL:** Establishing and maintaining collaborative partnerships with individuals across a broad range of people and groups.
11. **STRATEGIC THINKING SKILL:** Obtaining information and identifying key issues and requirements relevant to achieving an organization's long-range goal or vision.
12. **SYSTEMIC THINKING SKILL:** Viewing the organization as a system, recognizing that the success of the whole is dependent upon the integration, understanding, and inclusion of all segments; considering the big picture.
13. **TECHNOLOGICAL SKILL:** Identifying areas in which information technology can improve employee productivity and/or customer service; selecting appropriate software solutions; utilizing HR and business software in one's own job.

ATTRIBUTES

1. **BEHAVIORAL FLEXIBILITY:** Readiness to modify approach or performance when the situation requires it.
2. **OBJECTIVITY:** Maintaining a bias-free approach to situations and people.
3. **SELF-CONFIDENCE:** Managing own performance in an effective manner when placed in new and/or challenging situations.
4. **TOLERANCE FOR AMBIGUITY:** Demonstrating comfort in situations where the goals and/or process to achieve goals are unclear and difficult to determine.