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Aligning Talent Development Performance Outcomes With Organizational Objectives

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**ALIGNING LEARNING AND TALENT DEVELOPMENT PERFORMANCE
OUTCOMES WITH ORGANIZATIONAL OBJECTIVES: A PROPOSED
MODEL**

by

IRIS WARE

DISSERTATION

Submitted to the Graduate School

of Wayne State University,

Detroit, Michigan

in partial fulfillment of the requirements

for the degree of

DOCTORATE OF PHILOSOPHY

2017

**MAJOR: LEARNING DESIGN AND
TECHNOLOGY**

Approved By:

Advisor

Date

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DEDICATION

This dissertation is dedicated to my daughters Michelle and Candice whose very existence gave me the drive and commitment to complete this work.

For with God, all things are possible.

- Matthew 19:26

To God be the Glory, Amen.

ACKNOWLEDGEMENTS

First of all, I am grateful to God Almighty for establishing a place in my life for this accomplishment.

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CHAPTER 1 INTRODUCTION

The value proposition for learning and talent development (LTD) is often challenged due to human resources' inability to demonstrate meaningful outcomes related to organizational needs and its return-on-investment (Holbeche, 2001; Ulrich, Younger, Brockbank, & Ulrich, 2012). The basic and primary role of human resources (HR) and its LTD function is to drive the utilization human capital in organizations to produce meaningful performance, which leads to positive fiscal outcomes. As human capital expenditures including the cost of hiring and maintaining employees continue to rise, HR and LTD must demonstrate its value by increasing productivity, improving processes and supporting organizational change through the selection and implementation of strategic talent development and learning interventions and solutions (Elkeles & Phillips, 2007; Phillips, 1997; Rothwell, Prescott, & Taylor, 1998; Stolovitch, 2015; Ulrich, 1997).

The value of HR and LTD is not determined by its practitioners. The value of HR is determined by the receivers of the HR and LTD work: its investors, customers, line managers and employers (Forman, 2015; Hicks, 2015; Ulrich & Brockbank, 2005). Anderson's 2008 study on executive perceptions of the value of learning examined the contrasting opinions and expectations of the value of learning of HR professionals with the opinions of CEOs. The research yielded that the alignment of HR and LTD with overall business objectives at the strategic and operational levels is essential to ensure fit, linkage and integration of strategy and actions for organizational success. The true value of LTD is not in the doing of things, but in the individual performance of employees (Hicks, 2015).

Organizational stakeholders determine the value of learning and LTD based on its effectiveness and ability to contribute to improved performance (V. Anderson, 2008; Rothwell, Lindholm, & Wallick, 2003; Spitzer, 2005; United States Office of Personnel Management, 2000, 2011; Wash, 2009). Organizational leaders expect HR and LTD to provide interventions and solutions which result in transfer of learning and demonstrated individual performance outcomes which support organizational needs (V. Anderson, 2008; Rothwell et al., 2003).

The HR and LTD functions must take a proactive approach in linking performance data, decisions and actions to align workforce skill development with organizational priorities. The expected performance outcomes and subsequent societal, organizational and individual impacts, when linked to organizational objectives supports the value proposition of HR and LTD (Guerra-López, 2013; Kaufman, 2005, 2009, 2016; Kaufman & Guerra-Lopez, 2013). Much has been written discussing and detailing the need to quantify HR work and LTD interventions and solutions. However, it remains an ongoing challenge, as unfortunately, many training and learning interventions occur without any positive impact on the organization ((V. Anderson, 2008; Foster, 2010; Meyer, 1993; Rodriguez, 2008; Spitzer, 2005).

Statement of the Problem

Human Resource and LTD's ability to successfully alignment its work to organizational business strategy has been an on-going problem and a leading priority for traditional human resource practitioners (Cappelli, 2015; Jones, 1996; Kalman, 2001, 2008; Khan & Mushtaq, 2015; Porter, 1996). Despite the billions of dollars spent annually

on training and the continuing increases in funding, there is little compelling evidence of substantial positive impact and value of LTD on organizational results (Cappelli, 2015; Ho, 2016; Spitzer, 2005). The ability to properly align LTD performance outcomes with organizational impact is imperative to:

- 1) improving employee performance and reducing time to competence (V. Anderson, 2008; Fitz-enz, 2000; Ulrich & Brockbank, 2005).
- 2) meeting the expectations of key stakeholders and to substantiate LTD leadership roles key contributors to organizational success and profitability (V. Anderson, 2008; Rothwell et al., 2003; VonBramer, 2009);
- 3) confirming LTD's value proposition (V. Anderson, 2008; Kalman, 2001; Kaufman, 2016; Ulrich & Brockbank, 2005); and
- 4) ensuring the future state validity of LTD interventions and the alignment of LTD with anticipated organizational needs (Fitz-enz, 2000; Hicks, 2015; Guy W. Wallace, 2001).

HR and LTD's human capital decisions are critical to organizational success (Kopacz, 2014). An organization's ability to succeed or fail hinges on the performance outcomes resulting from HR decisions and deliverables, including LTD (Balhareth, 2013; Kaufman, 1985, 2016; Kopacz, 2014). Human resource professionals must learn to quantify human capital decisions, including LTD interventions into actions to support business decisions (Auluck, 2011; Cappelli, 2015). Human capital decisions impact organizational performance, organizational culture, the organization's impact on society and its workers. There is limited research that directly and cohesively address this need. A

process to align HR and LTD decisions and deliverables in a descriptive and methodical way is needed.

Purpose of the Study

This study proposes an empirically-based descriptive process model to align LTD performance outcomes with organizational objectives. This study builds on the knowledge base of previous studies and seeks to enhance the application of research and theory (Balhareth, 2013; Hicks, 2015; Kalman, 2001; Tastard, 2012). This study supports multidisciplinary knowledge enhancement; integrated and collaborative approaches to human resources development; and individual performance improvement as a means of improving organizational performance and organizational impact.

This study was comprised of three parts. First, the process model was developed after thorough review of current empirical research and related literature. Second, the model was implemented within a local government agency department. Organizational leaders and employees participated in training to support the application and implementation of the model. A four-hour training program was developed and offered to participants. The program covered all informational aspects of the process as well as an overview of requirements and forms completion instructions. Upon request, one-on-one and training was provided. Third, the researcher collected data and used a quantitative comparative design to analyze the implementation and effectiveness of the model.

The rationale for the alignment of strategic organizational goals and objectives include: changing roles and responsibilities in human resources (Ulrich & Brockbank, 2005; Ulrich et al., 2012); the need to understand and determine the return-on-investment

as it relates to the cost of training (Phillips, 2003); the need for meaningful performance impact (Kaufman, 1985, 2009, 2016); and the need to establish and maintain metrics to accurately assess and determine the impact of training as LTD cost increases for the fourth straight year (Ho, 2016).

Research Questions

This study proposes and examines an empirically-supported descriptive process model that can be used to align LTD performance outcomes with organizational objectives. This study will examine how the model was used in real-world practice and examine the implications for LTD practitioners. While a qualitative action research method was used to develop the model, a quantitative comparative design was used to analyze the implementation and effectiveness of the model based on the following research questions:

- Is there a relationship between organizational alignment process training and process model implementation?
- Were organizational goals aligned between organizational levels?
- Is there a relationship between organizational alignment process training and the timely submission of forms?

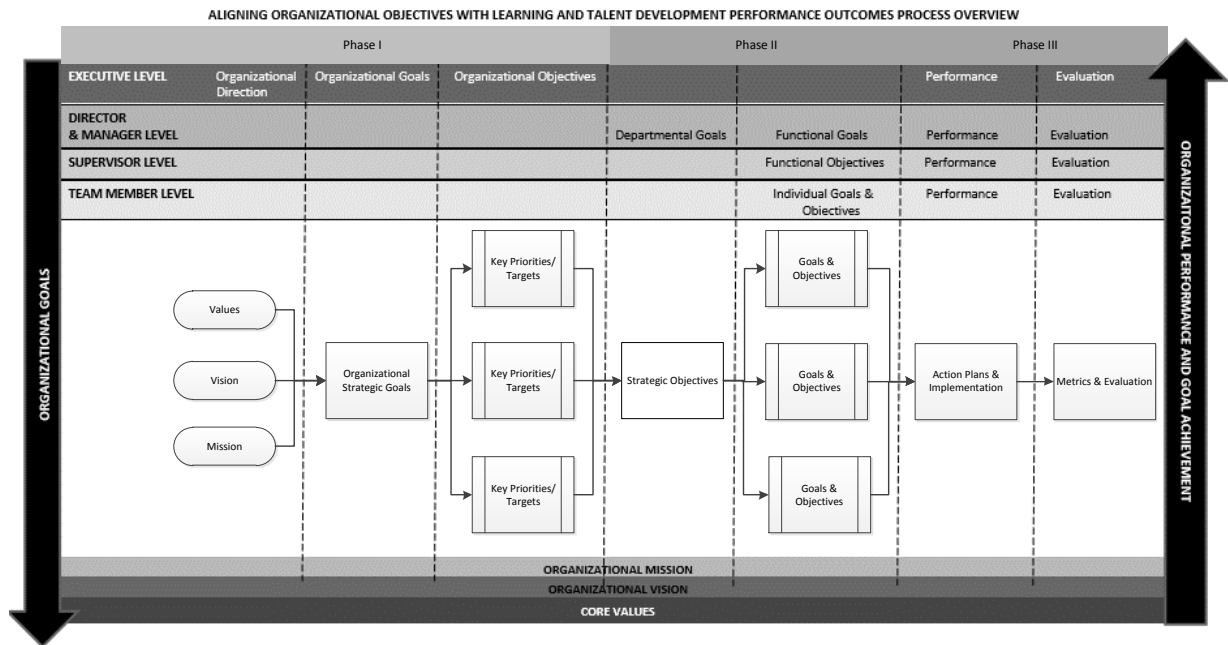
This research supports the development of fundamental practices for the development of expertise and an expansion of the knowledge-base for HR and LTD practitioners.

Conceptual Framework and Model

The conceptual framework of the model (Figure 1) is based on the theoretical links between learning and organizational success, the alignment of learning and talent development with organizational strategy, performance outcomes and performance impact,

a systemic approach to performance alignment and action research (J. E. Anderson, 2000; Kalman, 2001; Kaufman, 1985; Spitzer, 2005; Guy W. Wallace, 2001).

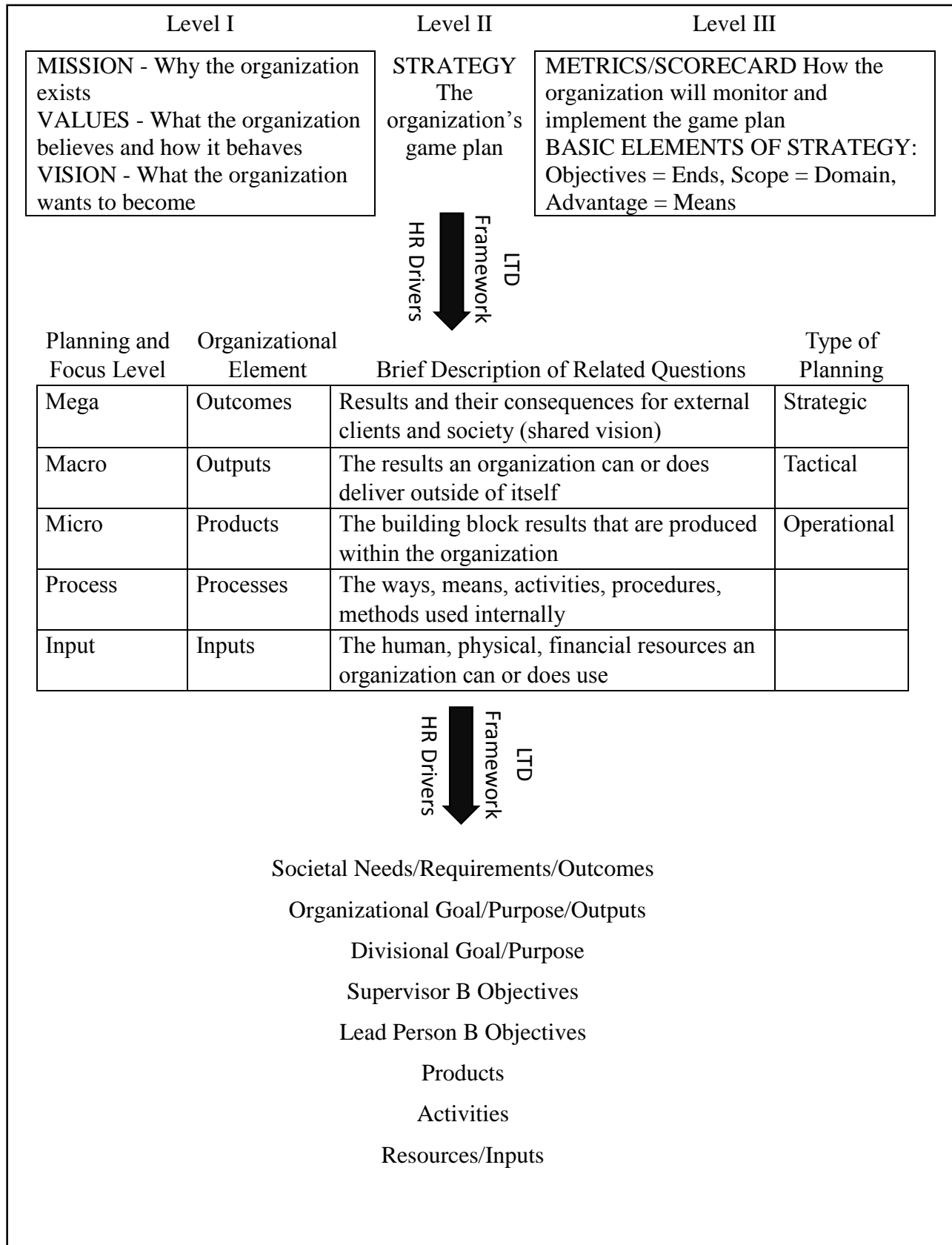
Figure 1. Conceptual Framework – Aligning LTD Performance Outcomes and Organizational Objectives



The secondary bases for the model is conceptual framework (Figure 2) which reflects a process flow which synthesizes key concepts and theories from Collis and Rukstad's (2008) Hierarchy for Organizational Direction (Figure 3); Kaufman's (2005) Organizational Element Model (Table 1); and Kaufman's (1985) diagram for ensuring integrated and related external impact (Figure 4) as well as other concepts detailed in the review of related literature.

Collis and Rukstad (2008), provides the conceptual bases for identifying the organizational direction phase of the conceptual framework. Collis and Rukstad's

Figure 2. Secondary Bases of the Conceptual Framework



Hierarchy for Establishing Organizational Direction (Figure 3) is a compiled hierarchy structure that originates at the primary level from organizational mission, values and vision statements. Organizational mission, values and vision determines and formulates the organization's strategy, its secondary level. The third and final level of the hierarchy builds continuity through the integration and translation of organizational strategy into organizational objectives, scope and means using metrics and measurement tools, identified in the model as a scorecard.

Figure 3. A Hierarchy for Organizational Direction

Level I	Level II	Level III
MISSION Why the organization exists		METRICS/SCORECARD How the organization will monitor and implement the game plan
VALUES What the organization believes and how it behaves	STRATEGY The organization's game plan	BASIC ELEMENTS OF STRATEGY Objectives = Ends Scope = Domain Advantage = Means
VISION What the organization wants to become		

Adapted from Collis and Rukstad (2008)

Kaufman's (2005) Organizational Elements Model (OEM), Table 1 provides the conceptual bases for determining the scope and deliverables of conceptual framework. It proposes the basic questions that an organization must answer to derive meaningfully aligned performance outcomes. Mega, Macro, Micro levels provide core planning mechanisms and focus for strategic, tactical and operational performance expectations and the criteria for measurement. The process and input focus levels support the means and

resource planning alignment requirements. Kaufman's model is adapted to include and identify a contribution level source for each planning and focus level of the framework.

Table 1. Adapted Organizational Elements Model

Planning and Focus Level & Contribution Source	Organizational Element	Related Questions	Type of Planning
Mega (Organizational Contribution)	Outcomes	What are the required results and deliverables for external clients and society?	Strategic
Macro (Departmental Contribution)	Outputs	What are the required organizational deliverable which extending outside of the does deliver outside of itself	Tactical
Micro (Individual Performer Contribution)	Products	The building block results that are produced within the organization	Operational
Process (Work, Worker and Workplace Contribution)	Processes	The ways, means, activities, procedures, methods used internally	Operational
Input (Work, Worker and Workplace Contribution)	Inputs	The human, physical, financial resources an organization can or does use	Operational

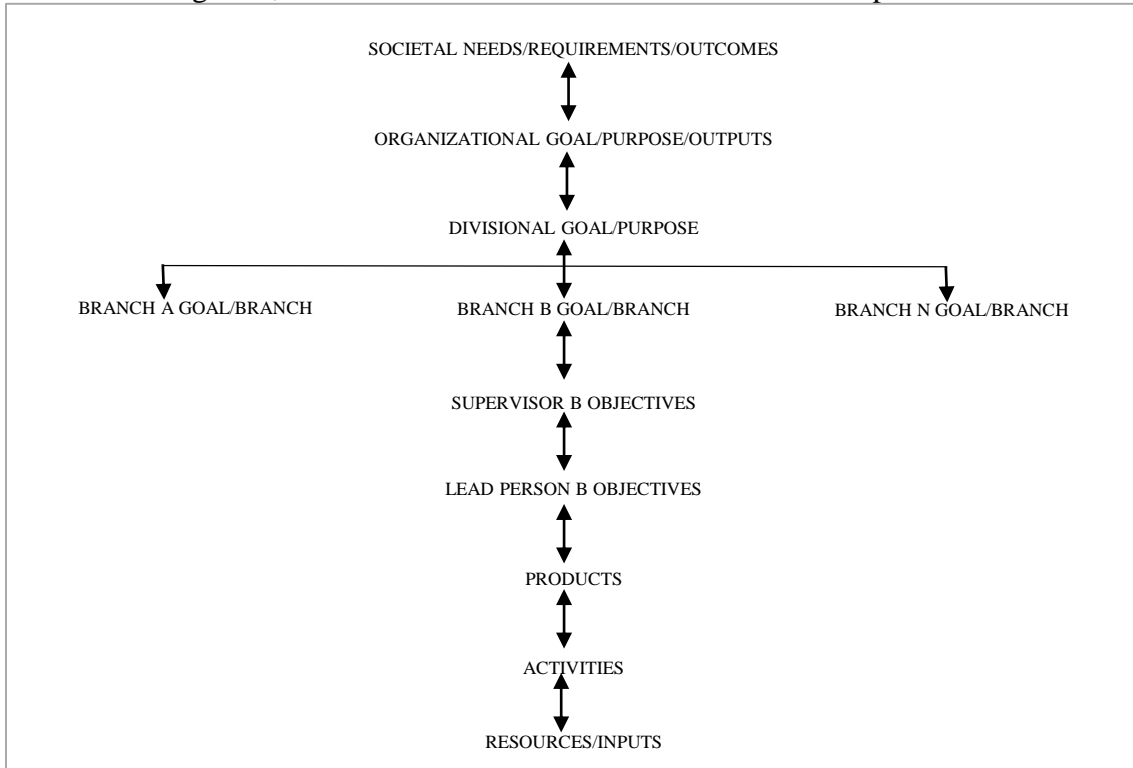
(Kaufman, 1985)

The OEM adaptation is drawn from Kaufman's subsequent work which further defines mega, macro and micro level planning (Kaufman, 2006a) and includes performance improvement concepts focusing on the work, worker and workplace to support the organizational direction needed for macro level and micro level performance requirements (Van Tiem, Moseley, & Dessinger, 2004, 2012).

Kaufman's (1985) process for ensuring organizational focus and consistency with resources, processes, targeted goals, deliverables and impact, Figure 3 uses a

cascading approach to execute the elements of OEM. The cascading approach links and aligns outcome performance requirements between levels within the organization.

Figure 4. Process for ensuring that what an organization uses, does, accomplishes and delivers is integrated, related and focused on a common external impact



(Kaufman, 1985)

Assumptions and Limitations

This study is limited to actual process development and implementation and does not include specific details related to the subsequent documented performance outcomes of the overall process. There are contributing factors which may impose risk and influence to the interpretation of the model, including the user's expertise and the user's knowledge base. The terms "business" and "organization" are used interchangeably throughout the literature and may be referenced as such throughout this study. The terms "training and

development”, “learning and development” and “talent development” are used interchangeably throughout the literature and may be referenced as such throughout this study. Additionally, there are concerns of validity and reliability as this research is qualitative and practitioner as researcher based, for model development. A quantitative approach is used to analyze the effectiveness of the model. Methods for triangulation are included in the methodology to reduce concerns of validity and reliability.

Scope of the Study

There are many factors that contribute to organizational success. This research focuses on a proposing an empirically-based process model for the alignment of LTD interventions, solutions and activities as a contributing factor organization success.

Significance of the Study

The significance of this study is related to the evolution of the training and development function as a key contributor to organizational success and the changing roles of human resources and LTD (Kaufman & Bernardez, 2012; Ulrich, 1997; Ulrich, Allen, Brockbank, Younger, & Nyman, 2009). Human resources and particularly training and learning professionals must focus on practices that respond to the organization’s immediate challenges and acquire business knowledge to support and deliver solutions which positively impact the overall performance results of the organization (V. Anderson, 2008; Cappelli, 2015; Rothwell, 2002). Training and development practitioners need tools and resources to support both systematic and systemic approaches to its solutions, deliverables and performance outcomes. The future calls for a more strategic LTD focus (Forman, 2015; Rothwell et al., 1998; Ulrich, 1997).

Definition of Terms

- Learning – means changing. It occurs when an individual acquires new information, skills, or attitudes. It is inherently an internal process, something that takes place in the brain. Its results can be seen, but the process itself cannot (Rothwell, 2002).
- Performance – An end result or consequence of any intervention or activity, including individual, team or organization (Kaufman & Guerra-Lopez, 2013).
- Performance – The outcome of learning and can be viewed at three levels including individual, group and organization (Elkeles & Phillips, 2007)
- Performance Improvement – The systematic process of linking business goals and strategies with the workforce responsible for achieving goals (Van Tiem et al., 2012).
- Process – a flow of information through interrelated stages of analysis tow the achievement of an aim (Pearce & Robinson, 2000).
- Outcomes – Results and payoffs at the external client or societal level (Kaufman & Guerra-Lopez, 2013).
- Strategic Alignment – The linking of Mega-, Macro-, and Micro-level planning and results with each other and with Processes and Inputs. By formally deriving what the organization uses, does, produces and delivers to Mega/external payoffs, strategic alignment is complete (Kaufman, 2006a).
- Strategic Development of Talent – The process of changing an organization, stakeholders outside it, groups inside it, and people employed by it through planned and unplanned learning so that they possess the competencies needed to help the

organization achieve and sustain competitive advantage at present and in the future (Rothwell & Kazanas, 2003).

- System – a group of interacting interrelated, or interdependent parts that form a complex and unified whole that has a specific purpose (Kim, 1999).
- Systematic approach – An approach that does things in an orderly, predictable and controlled manner. Doing things in systematic manner does not ensure the achievement of useful results (Kaufman, 2006a).
- Systemic approach – An approach that affects everything in the system. The definition of the system is usually left up to the practitioner (Kaufman, 2006b).
- Systems View - An approach or perspective in several disciplines that emphasizes studying the interrelations of the parts of a whole (the system) more than studying components in isolation from their position in an organized whole (Vogt, 1999).
- Systemic Structures – ways in which the parts of system are organized (Kim, 1999).
- Training – a short-term effort intended to improve individual work performance by equipping people with the knowledge, skill, and attitudes they must possess to be successful in their work (Rothwell, 2002).
- Vision – our picture of what we want for our future (Kim, 1999).

CHAPTER 2 REVIEW OF THE LITERATURE

Introduction

This review examines literature related to the strategic alignment of LTD with organizational objectives using action research as a tool to quantify and qualitatively derive patterns of association.

Learning and Organizational Success

There are three primary factors which contribute to organizational success: societal value and impact; a shared agenda and mission; and a defined process or plan for achievement which includes individual performance requirements aligned to business needs (Guerra-López, 2013; Kalman, 2001; Kaufman, 2006b, 2009; Ulrich, Huselid, & Becker, 2001; Wash, 2009). However, these factors and an aligned process for planning and execution are often overlooked when attempting to design models to support strategic alignment (Balhareth, 2013).

Performance Improvement is grounded in the premise that an improvement in individual performance, i.e. worker contributions ultimately contribute to organizational success (Gilbert, 1996). Organizational outcomes that are deemed successful are driven by the contribution of its workers (Dessinger & Moseley, 2004; Van Tiem et al., 2012). Learning effectiveness is only relevant, when it is aligned and impacts performance and increases organizational value (Spitzer, 2005).

Kaufman (2006a) proposes examining organizational success using five interrelated levels to ensure both internal and external stakeholder value: mega (societal needs), macro (organizational contribution); micro (individual contribution); processes;

and inputs. Human resource systems must deliver solutions which impact organizational performance and performance improvement on these interrelated levels.

The alignment of organizational goals with LTD outcomes is essential to organizational success as the roles and responsibilities of HR and LTD development has shifted and continues to shift and evolve within organizations (Kaufman, 2016; Rothwell et al., 1998; Ulrich et al., 2012).

Aligning Learning and Talent Development with Organizational Strategy

The literature presents several contributing factors for the alignment of organizational strategy with LTD: organizational direction; organization strategy; business acumen; creating meaningful relationships with stakeholders; and information cascading processes (Collis & Rukstad, 2008; Hicks, 2015; Justice, 2005; Kalman, 2001; Kaufman, 1985; United States Office of Personnel Management, 2011). As discussed in the conceptual framework of this study, organizational direction is a compiled hierarchy. It is by the compilation of an integrated system of organizational mission, vision, values, strategy and goals that organizational direction and strategy are derived (Collis & Rukstad, 2008). The term strategy is problematic because of its many meanings and because each organization, executive, manager or supervisor may define strategy differently and add their personal or unique understanding of strategy to the execution of organizational directives (Justice, 2005; Kalman, 2008).

Justice's 2005 study, *Auditing and Alignment Training Development Strategy in a Multinational Corporation*, concluded that value from alignment was derived in two different ways: human value and financial value. Human value was increased by the

formation of better internal training networks and relationships with stakeholders. Through the formation of internal networks and relationships the ability to share knowledge, information, training tools and resources throughout the organization increased, making the training organization more effective. Financially, the alignment of training strategies resulted in improved delivery, improved responses to commitments and reduced time to competence, which inherently resulted in cost savings.

Pearce and Robinson (2000), identified three levels of strategy: the corporate level, comprised of directors, executives and chief administrators; the business level, composed of business and corporate managers and the functional level, comprised of managers of products, geographical and functional areas. The process of aligning LTD to organizational strategy and goals requires an organization cascading process. This helps to ensure LTD's ability share information and organizational consistency through the alignment process (Kaufman, 1985; United States Office of Personnel Management, 2011).

Kalman's 2001 case study, *Use of a Strategy Planning Process to Reinvent Corporate Training: A Case Study in Developing Governance and Organizational Influence* concluded that 1) Planning, people and process components, 2) governance by senior management which included relationships with business unit managers; and 3) the development of an operational plan to identify priorities and facilitate alignment are critical factors that contribute to the LTD function's ability to align with organizational strategy.

Kaufman's (2005) process to strategically align LTD with organizational results included the need to examine and consider six critical success factors during the strategic planning process for mega level strategic planning and strategic thinking:

- 1) Don't assume that which worked for in the past will work in the future.
- 2) Differentiate between what (ends) and how (means).
- 3) You must use all three levels of planning and results, i.e., mega (outcomes), macro (outputs) and micro (products).
- 4) Objectives including the ideal mission and mission must be clearly articulated as well as the criteria for measuring success. This factor focuses must focus on developing "smarter" objectives.
- 5) The ideal vision, in measurable performance term has to be the underlying basis for continuous improvement.
- 6) The "need" must be defined as a gap in results, not insufficient levels of resources, means or methods.

Hick's 2005 study of *Construct Validation of a Learning and Talent Development Strategic Alignment Scale* identified business knowledge, skills and abilities and relationships with line managers as key factors which influence and improved the perceived alignment of the talent development function with organizational objectives. Secondary to those factors, were measurement and evaluation. Understanding that the alignment of LTD with organizational strategy is critical to organizational success, Holbeche's (2001) best practices included the creation of systematic links between business strategy and the LTD system and an annual review of those links to ensure that they are still on track.

Forman (2015) describes three types of alignment: workforce alignment, departmental alignment, and employee alignment. Workforce alignment is associated with

the utilization of human capital management practices to best execute strategy for organizational alignment. Departmental alignment ensures that department goal and strategy are consistent with organizational objectives and properly cascaded to departments and employees. Employee alignment refers to understanding and “line of sight” to organizational strategy, business goals and organizational values. Ultimately, what organizations use, to accomplish and to achieve organizational goals and manage the performance of employees should be integrated and related towards a common external impact (Kaufman, 1985). Developing a strategic learning plan which aligns to organizational needs on each level is key to LTD’s ability to effectively respond to organizational needs (Barksdale, 2002; Rothwell & Kazanas, 2003).

Performance Outcomes and Performance Impact

Kaufman’s (2005) Organizational Elements Model, Table 2 provides a primary framework for the basic questions that an organization must answer to derive meaningfully aligned performance outcomes. Mega, Macro, Micro levels provide core strategic, tactical and operational planning mechanisms for establishing performance expectations and critical for measurable performance outcomes. Kaufman’s model focuses on establishing vertical alignment between strategic, tactical and operational results.

Typical LTD success measures are often unreliable as indicators of organizational success and impact. LTD success may occur within an organization without any direct correlation or contribution to organizational impact (Spitzer, 2005). Variability in organizational impact is more often related to an organization’s performance system and organizational environment than with that of training design and content (Brinkerhoff &

Dressler, 2015). Drawing from Kaufman's (2005) Organizational Elements Model, Bernardez (2009) suggested that there are four impact and performance levels: external, societal, organizational and individual.

Table 2. Adapted from Kaufman's Organizational Elements Model

Planning and Focus Level	Organizational Element	Brief Description of Related Questions	Type of Planning
Mega	Outcomes	Results and their consequences for external clients and society (shared vision)	Strategic
Macro	Outputs	The results an organization can or does deliver outside of itself	Tactical
Micro	Products	The building block results that are produced within the organization	Operational
Process	Processes	The ways, means, activities, procedures, methods used internally	
Input	Inputs	The human, physical, financial resources an organization can or does use	

(Kaufman, 1985)

The use of balanced scorecards and the determination of key performance indicators support the alignment of organizational initiatives with organizational performance levels, anticipated performance impacts and provide criteria for measurement. (Collis & Rukstad, 2008; Gabcanova, 2012; Jones, 1996; Kolehmainen, 2010; Ulrich et al., 2001).

Systemic Approach to Performance Alignment

Systems are composed of interrelated, interacting and interdependent parts that form to create a single purposed, complex and unified whole (Bernardez, 2009; Kalman, 2008; Kaufman, 2006a; Guy W Wallace, 1996). Collections of information are often misperceived as a system. Kim (1999) characterizes systems as the following:

- Systems have a distinct purpose defined as its whole, not a single component or part.
- System optimization requires that all parts are present in order to operate.
- The order and arrangement of the parts are important. The arrangement and order of the parts affects the system's performance.
- Feedback mechanism within the system are designed to support system stability and sustainability.

Organizational performance problems and proposed solutions are subject to failure when they ignore the systemic connections and interactions between subsystems within the organization (Brinkerhoff & Dressler, 2015). The inability to acknowledge systemic links and interdependencies is often the cause for performance intervention implementation failure.

The lack of a systemic, comprehensive, enterprise-wide approach to determining and selecting LTD interventions often results in performance chaos (Bernardez, 2009). Bernardez (2009) suggests the use of a systemic approach for performance alignment which considers the following:

1. Performance as a function of a larger context or performance system;
2. The performance gap is defined as the difference between current and desired results, not as a lack resources or want;
3. Determine how all factors in the performance system affect the performer and performance; and

4. Consider the processes, organization and societal context, not just the individual and job-level factors.

Action Research

Action research is known by many names including: participatory research, action learning, collaborative inquiry, emancipatory research and contextual action research (O'Brien, 1998). There are many varying definitions of action research. Manfra and Bullock (2014) defines action research as a practitioner's formalized and self-reflective research. Taylor (2002) describes action research as an approach that uses a collection of action-based problem-solving phases to improve organizational performance. The rationale for the use of action research varies but primarily focuses on a hands-on approach to research. It allows and empowers practitioners to address common concerns and focuses on solving real problems (O'Brien, 1998) (Kuhne & Quigley, 1997). Action research is often preferred because of its situational, collaborative, participatory and self-evaluative nature which is often led by practitioners (Badger, 2000).

O'Brien (1998) in his *Overview of Methodological Approach for Action Research* proposed that action research should be used in real situations, since its primary focus is on solving real problems. O'Brien continues and provides the following ethical considerations for action research in real-world settings:

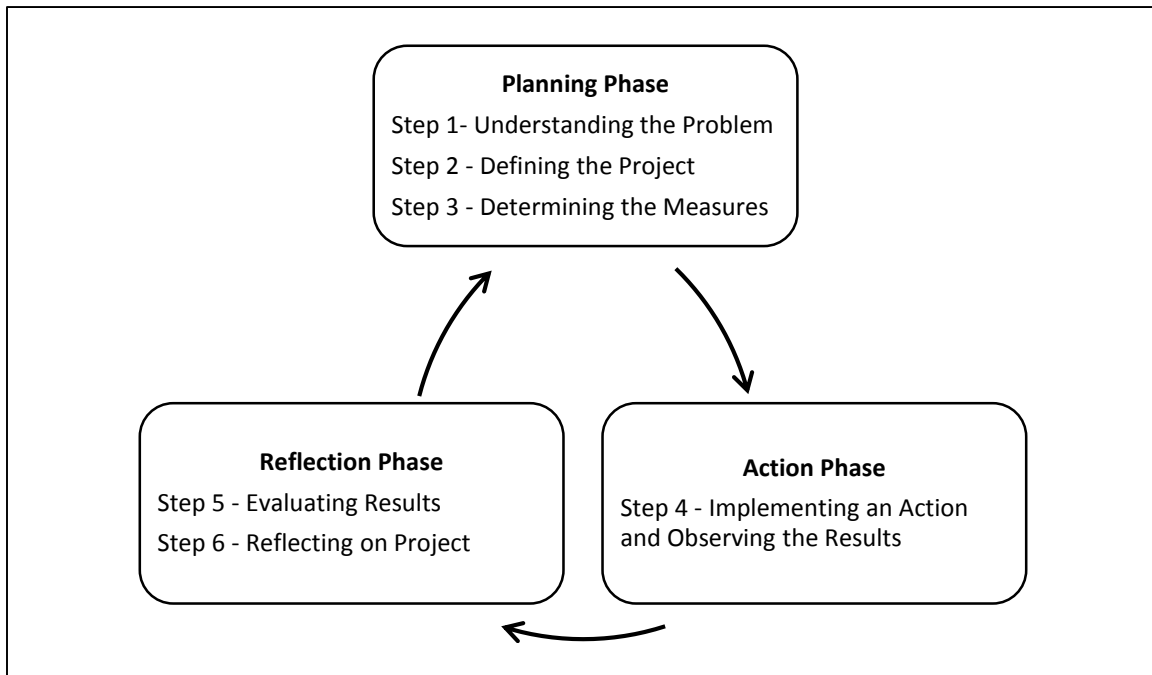
- Relationships with Stakeholders – Stakeholders are consulted, apprised and accept the guiding principles of the work.
- Input – Stakeholders are allowed to influence the work. Stakeholders who chose not participate are respected and not penalized.

- Transparency and Openness – The work is openly available visibly and constructively.
- Consent – Individuals, information, systems and document subject to observation must consent to observation prior to the observation.
- Content Negotiation - Descriptions of others work and points of view must be negotiated with those concerned, prior to publication of the work or opinion.
- Confidentially – Researcher is responsible for ensuring and maintaining confidentially.

Kuhne and Quigley's (1997) Phases and Steps of Action Research (Figure 5) suggest research triangulation to produce more meaningful outcomes and to support greater validity and practitioner relevance (Kuhne & Quigley, 1997) (Manfra & Bullock, 2014; Oliver, 2014) . The following data gathering methods were used to support triangulation and validity:

- Anecdotal records – Written descriptive accounts.
- Document analysis – Organizational records, written reports, letters, memos, published material, reports and notes.
- Logs – Records of reoccurring activities.
- Portfolios - Collections of compiled related material.

Figure 5. Phases and Steps of Action Research



Adapted from Kuhne and Quigley (1997)

CHAPTER 3 METHODOLOGY

Research design

While a qualitative action research method was used to develop the model, a quantitative comparative design as defined in Table 3 was used to analyze the implementation and effectiveness of the model based on the following research questions:

1. Is there a relationship between organizational alignment process training and model implementation?

H₀ – Individuals who do not participate in organizational alignment process training will not participate in the implementation of the model and will not submit a performance evaluation.

H₁ – Individuals who participate in organizational alignment process training will participate in the implementation of the model by submitting a performance plan evaluation.

2. Were organizational goals cascaded and aligned between organizational levels?

H₀ – Organizational level goals cascaded to the executive level goals were not cascaded to the department/employee level.

H₁ – Organizational level goals cascaded to the executive level goals were cascaded to the department/employee level.

3. Is there a relationship between organizational alignment process training and the timely submission of forms?

H₀ – Individuals who do not participate in organizational alignment training will not submit the performance evaluation within the specified timeframe.

H₁ – Individuals who participate in organizational alignment training will submit a performance evaluation within the specified timeframe.

Table 3. Research Analysis Design

Hypothesis/Research Questions	Variables	Data Source and Collection	Method	Analysis
1. There a relationship between participation in organizational alignment training and process participation - performance evaluation completion? <ul style="list-style-type: none"> • By Division • By Employee Level 	DV – Process Implementation IV – Training Participation	<ul style="list-style-type: none"> • Electronic performance plan submission • Training completion sign-in sheets 	Yes or No	Chi-square and comparative statistics
2. Were goals aligned?	DV – Goal Alignment IV – Training Participation	<ul style="list-style-type: none"> • Performance plan review 	Yes or No	Chi-square and comparative statistics
3. Were forms submitted within the specified timeframe? <ul style="list-style-type: none"> • Completed on-time • Completed after the deadline 	DV –Timely Submission IV – Training Participation	<ul style="list-style-type: none"> • Electronic form date stamp 	Yes or No Percentage	Comparative Statistics

A quantitative comparative design was used to compare differences between to determine associations between participation in training, model implementation, employee levels and time to completion. These measures were used to determine the effectiveness of the model, examine how the model was used in the real world and to determine possible implications for practitioners.

Operational Definition of Variables

- Process Implementation – The submission of required documentation document which specifies performance requirements.
- Training Participation – Participation in internal process implementation training.
- Goal Alignment – Submitted goals were cascaded and aligned between organizational and employee levels.
- Submission Date – The electronically stamped date as it appears on each process implementation document submitted electronically submitted via Wufoo, an online form builder and cloud storage database.

Sample

LocalGov is a municipal government entity with more than 9000 employees, across more than 90 departments, with more than 40 union contracts impacting its workforce. A LocalGov service delivery department with day-to-day interface with city residents was used as the sample of the study. The department is comprised of 1,254 employees working across six divisions: administration, operations, customer service, service delivery, maintenance and security. The administration division is responsible for department leadership, management, oversight and supervision of employees. The operations division supports day-to-day activities and service delivery. The customer service division responds to customer inquiries and complaints. The service delivery division is responsible for timely delivery of services. The maintenance division maintains and repairs department equipment. The security division works to ensure the safety of its employees, clients and customers. This department is a high visibility department with frequent and direct contact

with city residents. It is one of the few revenue generating city departments. The data collection and review processes do not include human subject interactions.

Setting

This local government's (LocalGov) workforce is comprised of approximately 9,000 employees. The entire LTD division and related organizational development activities were eliminated in 2011 due to economic hardship. There has been no established formal talent development, i.e. training, performance evaluation or other structured performance improvement interventions and performance management activities prior to this process. Kopacz's 2014 report of the feasibility of LocalGov's future profitability and sustainability reported that LocalGov's workforce had failed to provide services reflective of its role and the cost-benefit expectations of its residents due to inadequate investments in human capital over several years. To address the inadequacy, LocalGov's recovery plan allocated \$54.4 million dollars for training over the next 10 years and emphasized that LocalGov's success hinges on improving the skills and performance of its employees. (Kopacz, 2014).

LocalGov's recent emergence from bankruptcy, the organizational restructuring of its human resource department, information technology department and the creation of a centralized finance department as well as the implementation of a new human resources information and management system and enterprise resource planning system has resulted in significant, immediate and on-going changes within the organization. The need and ability to create and maintain organizational direction and strategies to support goal

achievement was met with opposition by some employees. Prioritizing responsibilities and day-to-day operational activities is an ongoing challenge.

In 2014, LocalGov appointed a Chief Learning Officer with the directive to establish an enterprise-wide LTD function within the human resources department. The newly created LTD division's primary duties relate to the centralization and management of employee training, career development, learning solutions, performance improvement solutions and overall performance management. The overall functional structure and strategy was approved in September of the same year (Appendix A).

Wash's 2009 study, *Advancing Human Performance Technology Through Professional Development: An Action Research Study's* implications for research and practice suggests that local government organizations seriously consider action research and action learning for its human resource professionals as the benefits derived from action research can prove to be an effective method for educating and developing employees.

An action research approach was selected for the development of the model because it allows for a methodology which enables practitioners to address questions within the context of practice (Manfra & Bullock, 2014). This study examines documentation derived from primary sources and artifacts, as well as both published and unpublished organizational documentation, information and systems to formulate and propose a process model based on the related and proposed criteria and processes reported and described in the literature review (Kuhne & Quigley, 1997; Quigley & Kuhne, 1997).

A data level qualitative approach was appropriate for the development of the model as the focus was to respond to questions which seek to explore and understand complex

and multi-layered, multi-causal perspectives and dynamics (Mardis, Hoffman, & Rich, 2014). Action research provides hands on research. It empowers practitioners to address common concerns and show improved cost-effectiveness (O'Brien, 1998). This approach is recommended as it often focuses on context, process and relationship as in cooperative inquiry (Mardis et al., 2014) . Interpretive researchers content that action research supports constructed knowledge, as it is assumed that reality is socially constructed, and not determined by one single observable event (Merriam, 2009).

Research process – Model Development

The organizational alignment process model is defined in three phases which were implemented over a 12-month period: Organizational Scan, Organizational Alignment and Process Execution and Implementation. Phase I – Organizational Scan, Table 4 explores, examines, analyzes and seeks to understand the organization as an independent entity. Phase II – Organizational Alignment, Table 5 explores, examines, analyzes and seeks to understand and align the sub-component operations and intended outcomes to the organization objectives. Phase III – Process Execution and Implementation, Table 6 responds to and closes gaps between organizational (scan) objectives and organizational alignment (operational requirements) through performance alignment at the individual performer level. Each phase is composed of seven data collection and analysis components and an expected LTD outcome deliverable component:

1. The identification of process model components;
2. A description of questions to answer and resolve;
3. The identification of resources and tools;

4. LocalGov Resources;
5. LocalGov Tools;
6. Feedback Mechanisms and Evaluation Criteria;
7. A reflection process; and
8. Corresponding LTD Aligned Deliverables.

The LTD outcomes and deliverables of each phase are used to support and drive the implementation of the next phase.

Inherent in each phase is planning, action and reflection protocols, as described in Table 7. Data from each level was used to determine gaps in strategic, tactical and operational alignment and opportunities to increase success through supportive cascading from one level to the next (Foster, 2010; Hicks, 2015; Justice, 2005; Kalman, 2001; Kaufman, 1985, 2005). The reflection phase (Table 7) allowed for the evaluation of results and the determination of proposed implications for HR and LTD practitioners. The feedback, evaluations and the review of results was used to determine opportunities for process improvement and implications for HR and LTD practitioners.

Research Process – Phase I

Phase I's organizational scan, Table 4 focused on reviewing all relevant documentation related to the organization's current state: mission, vision, values, goals and objectives, customer and client expectations as well as mega outcome and impact requirements (Collis & Rukstad, 2008).

Table 4. Research Process - Phase I – Organizational Scan (January – March 2016)

Identify Process Model Components	<ol style="list-style-type: none"> 1. Organizational Direction 2. Organizational Goals
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	<ol style="list-style-type: none"> 3. Organizational Objectives 4. Organizational Performance Measures 5. Organizational Performance Evaluation Metrics
Questions to Resolve	<ol style="list-style-type: none"> 1. What is the mission of the organization? 2. What is the vision of the organization? 3. What are the required deliverables for the organization and subsequent mega impacts? 4. What are indicators of goal achievement? 5. What is the criteria for determining success? 6. What are the mega performance outcome requirements? 7. What are the current and past learning and talent development contributions to mega performance outputs? 8. What are the strategic requirements?
Resources and Tools	<ul style="list-style-type: none"> • Historical Data • Organizational Mission • Organizational Vision • Organizational Core Values • External Client & Customer Delivery Requirements • Learning and Talent Development Resource Audit
LocalGov Resources	<ul style="list-style-type: none"> • Mayor's Mission & Vision • Organizational Goals • Annual Organizational Training Needs Assessment • Audit of all former training and performance improvement assets • LocalGov's City Charter • LocalGov's policies and procedures • Review of LocalGov's Organizational Chart and Structure • Review of related materials <ul style="list-style-type: none"> – Study of the Feasibility of the Plan of Adjustment – Review of Emergency Manager Orders • Implementation of Competency-based Talent Management Guidelines • Organizational Restructuring Guidelines for five departments: <ul style="list-style-type: none"> – Finance – Human Resources – Information Technology

	<ul style="list-style-type: none"> – Planning and Development – Housing and Revitalization – 89 HR web-based Policy and Procedure documents
LocalGov Tools	<ul style="list-style-type: none"> • Organizational Metrics & Key Performance Indicator Reporting • Meetings with department leaders • 54 inactive training manuals and program guides • Physical inventory of all former training locations • Review of LocalGov’s City Charter • Review of LocalGov’s policies and procedures
Feedback Mechanisms and Evaluation Criteria	<ul style="list-style-type: none"> • Mayoral Level Executive Approval • Formative • Summative • Confirmative • Level I • Level III • Return-on-Investment (Cost Avoidance)
Reflection Process	<ol style="list-style-type: none"> 1. Review of all Feedback and Data 2. Analysis of Data 3. Comparison to and Alignment with Organizational Objectives 4. Make necessary changes to align 5. Cascade to next Phase for implementation and alignment 6. Push forward to LTD strategy
Corresponding LTD Aligned Deliverables	<ul style="list-style-type: none"> • Mayoral & Cabinet Approval of Restructuring Strategy • Mayoral & Cabinet Approval of Process Implementation • New Employee Orientation • Department Orientation Guide for New Employees • Performance Management Strategy • Competency-based Talent Management Strategy • Competency-based LTD Strategy

Research Process – Phase II

Phase II’s organizational alignment, Table 5 focused on understanding the organization from the departmental and functional levels. The information from this phase

helped to clarify and determine phase III alignment and performance objectives for individual performance outcomes.

Table 5. Research Process - Phase II – Organizational Alignment (April – June 2016)

Identify Process Model Components	<ol style="list-style-type: none"> 1. Department/Function Goals 2. Department/Function Performance Measures 3. Department/Function Specific Performance Evaluation Metrics
Questions to Resolve	<ul style="list-style-type: none"> • What are the primary duties of the department? • What are the primary responsibilities of the function/departmental unit? • What are the required deliverables for department/function? • Will the role and responsibilities of the department/function contribute to departmental/functional goal achievement? • What are indicators of goal achievement? • What is the criteria for determining success? • What are the macro performance outcome requirements? • What are the current and past learning and talent development contributions to macro performance outputs? • What are the tactical requirements?
Resources and Tools	<ul style="list-style-type: none"> • Historical Data • Department Mission • Department Vision • Department Values • Internal and External Client and Customer Delivery Requirements • Learning and Talent Development Resource Audit
LocalGov Resources	<ul style="list-style-type: none"> • Departmental Restructuring Guidelines • Departmental Function Statements • Unit Function Statements • Position Descriptions • Job Specifications • Departmental Training Needs Assessment Meetings with department leaders
LocalGov Tools	<ul style="list-style-type: none"> • Organizational Goals • Organizational Key Performance Indicator Reporting • Department Goals • Department Structure Specifications

Feedback Mechanisms and Evaluation Criteria	<ul style="list-style-type: none"> • Director Level Approval • Formative • Summative • Confirmative • Success Case Methodology • Level I • Level II • Return-on-Investment (Cost Avoidance)
Reflection Process	<ol style="list-style-type: none"> 1. Review of all Feedback and Data 2. Analysis of Data 3. Comparison to and Alignment with Organizational Objectives 4. Make necessary changes align 5. Cascade to next Phase for implementation and alignment 6. Push forward to LTD strategy
Corresponding LTD Aligned Deliverables	<ul style="list-style-type: none"> • Mayoral & Cabinet Approval of Process Continuation • Performance Management Metrics • Goal Related Team Building • Department/Function Specific LTD Solutions and Interventions • Competency-based LTD programs • Supervisor Training Program • Role-specific LTD Matrices

Research Process – Phase III

Phase III, Table 6 examined and aligned the individual performer, micro-level LTD requirements and outcomes with Phase II's departmental, macro-level expectations as cascaded from Phase I's mega-level objectives. Phase III's alignment process is anchored in the outcomes of phases I and II.

Table 6. Research Process - Phase III – Process Execution and Implementation (July – December 2016)

Identify Process Model Components	<ol style="list-style-type: none"> 1. Performer Specific Performance Objectives 2. Performer Specific Performance Measures 3. Performer Specific Performance Evaluation Metrics
Questions to Resolve	<ul style="list-style-type: none"> • What is the primary role of the performer? • What are the primary duties of the performer? • What are the required performance outcomes?

	<ul style="list-style-type: none"> • Does the role and duties of the performer contribute to departmental/functional goal achievement? • What are indicators of goal achievement? • What is the criteria for determining success? • What are the micro performance outcome requirements? • What are the current and past learning and talent development contributions to micro performance outputs? • What are the operational requirements?
Resources and Tools	<ul style="list-style-type: none"> • Historical Data • Internal and External Client and Customer Delivery Requirements • Learning and Talent Development Resource Audit
LocalGov Resources	<ul style="list-style-type: none"> • Job specifications • Position descriptions • Competencies • Values • Employee Lifecycle • LTD Strategy • Unit Goals • Employee Goals • Weekly Metrics & Reporting
LocalGov Tools	<ul style="list-style-type: none"> • Organizational Metrics & Key Performance Indicator Reporting • Organizational Goals • Organizational Key Performance Indicator Reporting • Department Goals • Performer Performance Goals and Objectives • Performer Role and Responsibility
Feedback Mechanisms and Evaluation Criteria	<ul style="list-style-type: none"> • Formative • Summative • Confirmative • Success Case Methodology • Level I • Return-on-Investment (Cost Avoidance)
Reflection Process	<ol style="list-style-type: none"> 1. Review of all Feedback and Data 2. Analysis of Data 3. Comparison to and Alignment with Organizational Objectives 4. Make necessary changes align 5. Cascade to next Phase for implementation and alignment 6. Push forward to LTD strategy

Corresponding LTD Aligned Deliverables	<ul style="list-style-type: none"> • Mayoral & Cabinet Approval of Process Continuation • Performance Evaluation Measures • Competency-based LTD solutions and interventions • Role-Specific Training • Performer Specific Individual Development Plans
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Evaluation and Reflection Process

The evaluation and reflection process (Table 7) utilized eight evaluation methods to examine feedback, analyze data, compare the data outcomes to organizational objectives, make necessary changes to support alignment, and to cascade the data, information and outcomes to the next phase. Eight methodologies and levels of evaluation

Table 7. Evaluation and Reflection Process

Phases and Processes	Evaluation Methodology and Levels									Reflection Process
	Formative	Summative	Confirmative	Success Case Methodology	Level I – Awareness	Level II – Learning	Level III – Knowledge Transfer	Level IV –Results/Impact	Level V: Return-on-Investment (Cost avoidance)	1. Review of all Feedback and Data. 2. Analysis of Data. 3. Comparison to and Alignment with Organizational Objectives. 4. Make necessary changes. 5. Cascade to next Phase for implementation and alignment. 6. Push forward to LTD strategy.
Phase I – Organizational Scan	•	•	•		•			•	•	
Phase II – Organizational Alignment	•	•	•	•	•	•	•		•	
Phase III – Process Execution and Implementation	•	•	•	•	•			•	•	

were used formative, confirmative and summative methodologies were used to evaluate the process design, usability, and effectiveness (Van Tiem et al., 2012). The Success Case methodology was used during the process to: evaluate how things were working; review the results; determine if there was value; and examine how things may be improved (Brinkerhoff, 2003). Levels I through IV evaluation focused on evaluating individual learning outcomes (Kirkpatrick, 1998). Level V evaluation examined the return-on-investment based on cost-avoidance processes and procedures (Phillips, 2003) .

The implementation of the strategic alignment model supported the integration of the LTD function and its strategy throughout the organization (See Appendix A). Phase I's exploration and examination of the organization's current state helped to align the LTD function and its strategy with stakeholders. Phase I questions, tools and resources and data collection methods were implemented as an organizational needs assessment process. All documentation from meetings and interviews previously conducted with department leaders were examined and reviewed to provide and gain an understanding of LocalGov operations, needs, objectives and desired performance outcomes. Phase I provided the necessary information and documentation to position the LTD staff as supporters of organizational mission, vision and objectives and contributors to organizational success.

Phase II's organizational alignment process required through review of all departmental meetings notes and summaries from previously conducted one-on-one interviews with department leaders, supervisors and managers and the review of historical department performance records, as outlined in Table 5. This phase was positioned as the continuation of the primary organizational needs assessment. At the department level, the

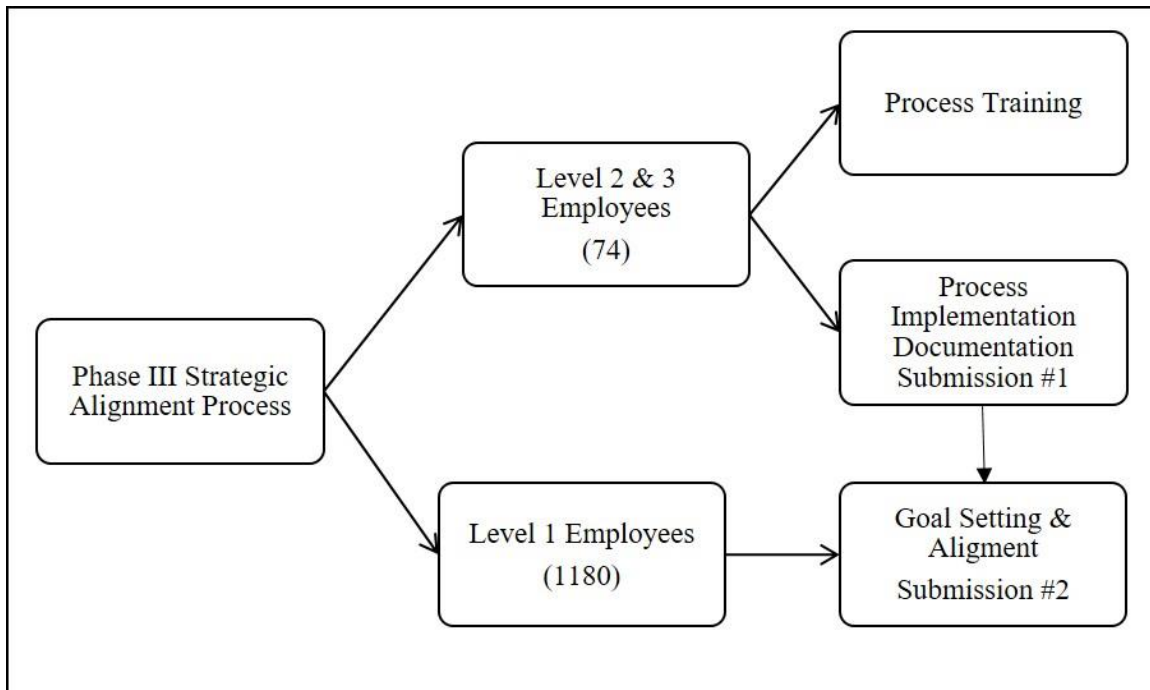
data collection process was positioned as a training needs assessment. Information from this phase resulted in the development of a 10-module competency -based skill building supervisor training program, based on the feedback from Phase II and the Evaluation and Reflection process defined in Table 7.

Phase III's process was cascaded into the organization's performance management and performance evaluation system and processes. A four-hour training program was offered to individuals who supervised other employees. The Training was optional, but targeted level 2 and level 3 employees. Organizational goals and objectives from the mayor's office were cascaded to the department level leaders, who then ensured that the department goals were formulated and cascaded to managers and supervisors who then developed goals to support organizational goal achievement. Department goals and objectives were cascaded to individual performers using goal setting and individual development planning documents as tools to ensure alignment.

The goal alignment process was completed during one-to-one face-to-face feedback and discussion sessions. Level 2 and level 3 employees led the meetings. The session provided an opportunity to review the employee's work and performance, which was supervised by the level 2 or level 3 employee; discuss and explain the alignment process and the required documentation; and to determine and obtain mutual agreement and goal consensus. Once determined, goals were documented in writing, entered into the electronic form database, printed, acknowledged by the signatures of both the supervisor and employee, and then submitted to LTD. All process alignment, cascading, goal setting and goal agreement documents were submitted to LTD for review. After thorough review

and analysis, LTD determined and selected the appropriate LTD interventions and offered the solutions to meet the learning and development requirements of the individual development plans, as described in Figure 6.

Figure 6. Overview of Phase III's Integration with Performance Management



As practitioner researcher, the following describes my role in this study. The practitioner researcher has direct, first-hand knowledge of the research setting. The practitioner researcher has had an extended period, July 2014 to present, of observation, data collection and complete commitment to the implementation and execution of the fundamental LTD strategies for the organization. This study is an outgrowth of an organizational project.

CHAPTER 4 FINDINGS AND RESULTS

Introduction

The purpose of this study was to propose an empirically-based descriptive process model to align LTD performance outcomes with organizational objectives. While a qualitative action research method was used to develop the model, a quantitative comparative design was used to analyze the implementation and effectiveness of the model. The sample of the study was composed of a LocalGov department.

To answer the research questions, initially, a Chi-square analysis was performed to test the association between participation in training and process implementation by division; and participation in training and process implementation by employee type. It was later determined that a basic statistical comparison was equally effective and preferred for some of the data analysis. The association between participation in process training and the alignment of goals between organizational levels; and the association between participation in process training and timely process implementation was examined by comparing the frequency of the occurrences. This chapter provides information about the findings, descriptive and inferential analyses and an evaluation of the study findings. The following research questions were addressed:

- Is there a relationship between organizational alignment process training and model implementation?
- Were organizational goals aligned between organizational levels?
- Is there a relationship between organizational alignment process training and the timely submission of forms?

Demographic characteristics of the sample

A LocalGov department comprised of 1,254 employees working across six departmental divisions, on all employee levels was used for the study. Of the 1,254 employees, 1,180 (94.1%) were professional and para-professional employees, 63 (5%) were managers and supervisors and 11 (.9%) were executive level employees (see Table 8).

Table 8

Table Descriptive Statistics of Employee Levels and Department Divisions

Variable		Frequency	%
Employee Level	Professional and Para-Professional	1180	94.1
	Managers and Supervisors	63	5.0
	Executives and Directors	11	0.9
	Total	1254	100
Divisions	1	18	1.4
	2	257	20.5
	3	940	75.0
	4	20	1.6
	5	6	0.5
	6	13	1.0
	Total	1254	100.0

The work and performance requirements of employees are based on a standard reporting hierarchy and cascaded throughout the organization. The work and performance of level one employees is supervised and managed by level 2 employees. The work and performance of level 2 employees is supervised by level 3 employees. The work and performance of level 3 employees is supervised and managed by the Mayor. The strategic alignment model impacts all employees. Its purpose is to align the performance outcomes of all employees with the organization's objectives as described in Phase III, Table 6 and

Table 7. All employees were subject to the process with the expectation that documentation for process implementation and goal alignments would be submitted electronically to LTD.

Descriptive Statistics for study variables

In total, 729 (58.1%) LocalGov department completed process implementation forms were submitted. Form design and submission configuration prohibited the ability to submit incomplete process implementation forms. There was an expectation that a form would be completed and submitted for each employee.

A total of 338 goal setting forms were submitted electronically. Each completed goal setting forms was physically examined by LTD to determine cascading effectiveness. Employee goal setting forms required a minimum of three goals. Goal alignment was considered acceptable if at least one of the three goals aligned directly to the next appropriate level of the organizational hierarchy. This was deemed acceptable as other goals, i.e. technical or skill building goals may be required to improve an individual employee's overall performance, but may not necessarily link directly to the specifically stated department or functional goal, which aligned to the organization's strategic goals. There was an expectation that a goal alignment form would be completed and submitted for each employee.

Independent variable of organizational alignment training participation toward process implementation

For the independent variable of organizational alignment training participation toward process implementation, process implementation participation was indicated by the electronic submission of an employee evaluation form via Wufoo, an electronic form

builder and database. Training was voluntary and optional. Training was open to all employee levels, but directly targeted towards individuals who supervised the work of other employees, level 2 and level 3 employees. Of the 74 employees directly targeted, level 2 and level 3 employees, twenty-eight (37.8%) of the level 2 and level 3 employees participated in the voluntary and optional training (See Table 9).

Table 9

Cross tabulation of Process Implementation and Training Participation

	Process Implementation Training		
	No	Yes	
Process Implementation			
Level 2	40	23	63
Level 3	6	5	11
Totals	46	28	74

Independent variable of employee types towards process implementation

For the independent variable training participation by employee type toward process implementation, employee type was identified using one of three levels on the process implementation form, submitted via Wufoo, an electronic form builder and database. Executives and directors were identified as level three employees; managers and supervisors were identified as level two employees; and professional and para-professional employees were identified as level one employees.

Eight process implementation forms were submitted for level three employees, which equates to 72.7% of executive and director level department employees. Fifty-four level two employees, supervisors and managers' process implementation forms which equates to 85.7% were submitted. Six-Hundred sixty-seven process implementation form

were submitted, which equates to submissions for 56.5% of the department's level one employees. (See Table 10).

Table 10

Cross tabulation of Process Implementation and Employee Type

Process Implementation Participation	Employee Type						Total
	1	%	2	%	3	%	
No	513	43.4	9	14.3	3	27.3	525
Yes	667	56.6	54	85.7	8	72.7	729
Total	1180	100	63	100	11	100	1254

Independent variable of training participation by department division toward process implementation

For the independent variable department division toward process implementation department division, division was identified, by participants and submitted using the process implementation form via Wufoo an electronic form builder and database. Of the department's six divisions, employee participation in training and process implementation by division was reported as follows: division one, four (22.2%) employees participated in process implementation; division two 163 (63.4%) employees in participated in process implementation; division three, 526 (56%) employees in participated in process implementation; division four 19 (95%) employees participated in process implementation; division five, five employees (83.3%) participated in process implementation; and division six, 12 (92.3%) employees participated in process implementation (see Table 11).

Table 11

Cross tabulation of Process Implementation for the Dependent Variable of Department Division

Process Implementation	Division						Total
	1	2	3	4	5	6	
No	14	94	414	1	1	1	525
Yes	4	163	526	19	5	12	729
Total	18	257	940	20	6	13	1254

Dependent variable of goal alignment toward training participation

For the dependent variable goal alignment toward training participation, goal alignment was determined by the review goal alignment documentation. In total, 338 goal alignment documents were submitted electronically. Goal alignment documents were reviewed manually for alignment. Of the goal alignment documents submitted, 100% of the documents contained aligned goals (See Table 12).

Table 12

Calculation of Training Participation and Goal Alignment

Training Participation	Goal Alignment		Total
	No	Yes	
No	0	320	320
Yes	0	18	18
Total	0	338	338

Dependent variable of timely submission toward training participation

For the dependent variable, timely submission toward training participation, timely submission was determined by the electronic date stamp of submissions and the LocalGov's established timeline. In total, 729 implementation documents were submitted

electronically. Of the documents submitted, 25 (3.4%) were submitted on time by employees who participated in training. Another, 85.2% of documents were submitted on time by employees who did not participate in training (See Table 13).

Table 13

Cross tabulation for Training Participation and Timely Submission

Training Participation	Submitted on Time				Total	
	No		Yes			
No	83	11.8%	621	88.2%	704	96.6%
Yes	0		25	100%	25	3.4%
Total	83	11.4%	646	88.6%	729	100%

Assumption Testing

Prior to conducting the hypothesis testing, an analysis to ensure Chi-square goodness of fit was performed. The following assumptions for Chi-square were applied: values for the variable are categorical and cannot be ranked; the sample was randomly drawn from the population; the values for the variables are mutually exclusive; and there is a minimum expectation of five occurrences in each category. However, after testing basic comparative statistics were deemed appropriate and acceptable for some data comparison as detailed in the results.

Research question one

Research question one was, is there a relationship between process training and model implementation? A 2 x 2 Pearson Chi-square test was used to evaluate if there was a significant association between process training and process model implementation for the entire department, by employee type and by department division.

For the department, we sampled 1,254 employee records and evaluated whether there was a significant difference in model implementation outcomes among employees who participated in training and those who did not participate in training. The Chi-square was significant. The null hypothesis was rejected, $X^2(1) = 4/3$, $p \leq .05$ (see Table 14).

Table 14

Results for Chi-Square Tests for the Dependent Variable Process Implementation

	Value	df	Asymptotic Significance (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1- sided)
Pearson Chi-Square	4.337 ^a	1	.037		
Continuity Correction ^b	3.592	1	.058		
Likelihood Ratio	4.648	1	.031		
Fisher's Exact Test				.040	.026
Linear-by-Linear Association	4.334	1	.037		
N of Valid Cases	1254				

a. 0 cells (0.0%) have expected count less than 5. The minimum expected count is 12.56.

b. Computed only for a 2x2 table

For employee type, we sampled 1,254 employee records and evaluated whether there was a significant difference in model implementation outcomes among employee types. Three employee types were identified: professional and para-professional ($f = 1,180$); managers and supervisors ($f = 63$); and executives and directors ($f = 11$). The Chi-square was significant. The null hypothesis was rejected, $X^2(2) = 21.9$, $p \leq .05$ (see Table 15).

Table 15

Results for Chi-Square Tests for Dependent Variable Process Implementation by Employee Type

	Value	df	Asymptotic Significance (2-sided)
Pearson Chi-Square	21.907 ^a	2	.000
Likelihood Ratio	24.841	2	.000
Linear-by-Linear Association	17.186	1	.000
N of Valid Cases	1254		

a. 1 cells (16.7%) have expected count less than 5. The minimum expected count is 4.61.

For department division, we sampled 1,254 employee records and evaluated whether there was a significant difference in model implementation outcomes among department divisions. Six department divisions were identified: division one ($f = 4$), division two ($f = 163$), division three ($f = 526$), division four ($f = 19$), division five ($f = 5$), division six ($f = 12$). The Chi-square was significant. The null hypothesis was rejected, $X^2(5) = 33.3, p \leq .05$ (see Table 16).

Table 16

Results for Chi-Square Tests for the Dependent Variable Process Implementation by Department Division

	Value	df	Asymptotic Significance (2-sided)
Pearson Chi-Square	33.294 ^a	5	.000
Likelihood Ratio	38.347	5	.000
Linear-by-Linear Association	4.843	1	.028
N of Valid Cases	1254		

a. 2 cells (16.7%) have expected count less than 5. The minimum expected count is 2.51.

Research question two

Research question two was, is there a relationship between process training and goal cascading and alignment between organizational levels? A 2 x 2 Pearson Chi-square

test was used to evaluate whether there was a significant association between training and goal cascading and alignment.

For goal cascading and alignment, we sampled all 338 goal setting documents and evaluated whether there was a significant association between employees who participated in training and those who did not participate in training. No statistics were computed because goal quality alignment was 100%. More specifically, all goals documents were aligned. Consequently, there was no significance association between process training and goal cascading and alignment. Goals were cascaded and aligned 100% (see Table 17).

Table 17

Results for calculation of Goal Alignment

	Goal Alignment	
Yes	338	100%
No	0	0%
Total	338	100%

a. No other statistics are computed because Goal Alignment is a constant.

Research question three

Research question three was, is there a relationship between process training and timely submission? For timely submission, we reviewed 731 employee records and evaluated whether there was a significant difference in timely submission among employees who participated in training and those who did not participate in training. One cell had expected count less than five. The minimum expected count was 2.84. The Chi-square assumption was violated, and Fisher's Exact Test significance for two-sided was used to determine significance. Fisher's Exact Test two-sided significance was used as

there was not specification for the direction of the difference. The Chi-square was not significant. The null hypothesis was accepted. $X^2(1) = 3.3, p \geq .05$ (see Table 18).

Table 18

Results for Chi-Square Tests the Dependent Variable Timely Submission

	Value	df	Asymptotic Significance (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	3.316 ^a	1	.069		
Continuity Correction ^b	2.250	1	.134		
Likelihood Ratio	6.138	1	.013		
Fisher's Exact Test				.100	.047
Linear-by-Linear Association	3.311	1	.069		
N of Valid Cases	731				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.84.

b. Computed only for a 2x2 table

Conclusion

The purpose of this study was to propose an empirically-based descriptive process model to align LTD performance outcomes with organizational objectives. While a qualitative action research method was used to develop the model, a quantitative comparative design was used to analyze the implementation and effectiveness of the model. Process implementation documentation for a LocalGov department comprised of 1,254 employees, across six department divisions and three employee hierarchical groups were sampled. Documentation was collected and evaluated electronically. To answer the three research questions, a 2 x 2 Chi-square test and comparative analysis was performed. The findings of the current study indicated that process model implementation by the department, employee level and by division, and goal cascading and alignment was

significantly higher for employees who participated training than with employees who did not participate in training. There was no significant difference in timely submission of process implementation documentation and process training.

CHAPTER 5 CONCLUSIONS AND RECOMMENDATIONS

Introduction

Human Resource and LTD's ability to successfully alignment its work with organizational strategy has been an on-going problem and a leading priority for traditional human resource practitioners (Cappelli, 2015; Jones, 1996; Kalman, 2001, 2008; Khan & Mushtaq, 2015; Porter, 1996). This study proposes and examines an empirically-supported descriptive process model that can be used to align LTD performance outcomes with organizational objectives. This study examines how the model was used in real-world practice and examines the implications for LTD practitioners. An action-research methodology was used to develop the strategic alignment model, which was implemented in a local government agency and a quantitative comparative design and analysis was conducted to determine the model's effectiveness.

A sample department comprised on 1,254 employee records were used for this study. The sample group consisted of employees on all employee levels within the organization. Over the course of one year, the process model was introduced, voluntary employee training was offered and employees were required to participate in the process to align individual performance outcomes with the organizations objectives. All data collection was managed electronically using Wufoo, a form building application and other internal fillable forms.

Four key variables were identified and analyzed to propose possible associations between implementation of the model and the alignment of organizational objectives by department, divisions within the department and my employee types or levels. The

variables further examined associations between process implementation training and the cascading and alignment of goals throughout the department. Finally, the variables were used to determine if associations exist between process implementation training, participation in the process, the timely submission of the required documentation and goal alignment.

In general, the findings indicated that the implementation of the proposed model supports the alignment of LTD performance outcomes with organizational objectives. There were significant associations between model implementation for the department, by division and by employee levels within the sample. There was no significant association between process implementation training and timeliness. A significantly high number of employees submitted timely documentation even though they did not participate in training. Goal alignment exceeded expectations. All employees submitted aligned goals which were cascaded from the departmental and executive levels.

The findings indicated that the implementation of the process model supports the alignment of LTD performance outcomes with organizational objectives. As a framework, it provided a three-phased approach to first, understand organizational structure, i.e. mission, vision, strategy, goals and objectives; secondly, align organization requirements to departmental and functional performance requirements and deliverables; and finally, it operationalized the individual performance requirements to produce aligned deliverables and outputs. This model is an effective basic framework to help HR and LTD practitioners align performance outcomes with organizational objectives.

The findings indicated that there was no association between timely submission and participation in training. This outcome may have been influenced by other factors. Extensions for document submission were granted upon request; the system did not allow incomplete submissions; and employees were encouraged to submit complete and accurate documents, even if it resulted in a delayed or late submission. The number of required submissions may have influenced the timely submission of forms. The number of required submission varied for level 2 and 3 employees. The number or required submission for level 2 and 3 employees ranged from one to as many as 15, based on the number of employees supervised and managed by the level 2 or 3 employee. This would result in a greater time commitment and a more time consuming process for some level 2 and 3 employees based on the number of submissions required. Eliminating submission extensions and ensuring workload equity among level 2 and 3 employees may improve timely submission.

The findings indicate that goal alignment exceeded expectations, even though the percentage of employees who participated in the voluntary training was lower than expected. Level 2 and 3 employees were the only employees responsible for and held accountable for goal alignment. The motivation to align goals may have been influenced by the monthly public reporting of metrics to the mayor. Direct mayoral accountability and public reporting may be two extrinsic factors that may have influenced the outcome.

Limitations

Sampling bias was a study limitation as all documentation was collected via electronic means. Although employees typically have access to computers during their

work, there is a possibility that some level 2 and level 3 employees maybe low technical skill levels and limited access to computers during their day-to-day operations may have influenced level 2 and level 3 employee participation. On-going one-on-one support for documentation completion and process implantation was available and provided by LTD function, upon request.

Research question one was, is there a relationship between organizational alignment process training and model implementation? Organizational alignment process implementation training was a study limitation, as participation in training was optional and may not have been available to employees who work during non-traditional work hours. Although training was open to all 1,254 employees, only level 2 and level 3, 74 employees had access to the system and responsibility for process participation and implementation. All other 1,180 level 1 employees, were included in the process, but could not participate in the process or submit documentation independent of a level 2 or level 3 employee. In the absence of level 2 or 3 employee support, level 1 employees could request and gain support from HR and LTD for the participation and implementation in the process, but limited to information sharing only. Level 1 employee could not independently execute or lead the process. Although employees who worked non-traditional hours many not have had access to the training as offered, LTD staff members offered and provided one-on-one training and assistance upon request.

Research question two was, were organizational goals aligned between organizational levels? Direct access to higher-level goals and information was a limitation for this question. Some employees had limited or no direct access to organizational goals.

Organizational goals were cascaded from executives and directors to managers and supervisors, who then in turn cascaded and directed the establishment of goals for individual performers. Although there is possibility that not all organizational goal information was shared with every employee, employee participation in mandatory weekly department meetings and the public reporting of metrics throughout the organization supports a reduction in the possibility that the information cascading and the alignment of goals may have been inhibited.

Research question three was, is there a relationship between process training and the timely submission of forms? Information access and process implementation training were study limitations. Access to the document submission process, guidelines for submission, and the timeline were initially provided to level 2 and 3 employees upon completion of the optional training, in an effort to encourage training participation. After the completion of optional training period, notices of deadlines and requirements were sent to all employees in all departments via the organization's all employee email system. All employees were notified of all training, alternative options and opportunities for one-on-one LTD support to complete the process if necessary. The data suggests that goal quality and goal quality was not impacted by training or the lack thereof.

A contributing limitation to the overall implementation of model was organizational and contextual constraints. Ongoing changes in leadership, supervisory and managerial roles throughout the organization may resulted in changes in organizational direction and objectives. Undefined roles and responsibilities, as a result of organizational changes may result in and contribute to an inability to anchor and stabilize the model.

Implications

The findings suggest that the strategic alignment process model, as a descriptive model may provide guidance in support of the alignment of LTD performance outcomes with organizational objectives at the organizational, departmental and individual performer level. The findings contribute to the body of knowledge by utilizing current models and methodologies in a systematic way to produce systemic results (Collis and Rukstad, 2008; Kaufman 1985, 2005). This approach requires the integration of a multidisciplinary approach across organizational departments and employee levels and organizational training for all employees. The level of training may vary based on employee role, function, and level but is necessary to ensure proper alignment and implementation. Process implementation training is necessary to implement each phase and component and to ensure understanding for process execution across the workforce.

As HR and LTD implement tools, resources, processes and procedures to align with and to support the strategic objectives of the organizations which results in meaningful and measurable outcomes, its capability to reinforce and validate its value and core purpose of:

- 1) improving employee performance and reducing time to competence (V. Anderson, 2008; Fitz-enz, 2000; Ulrich & Brockbank, 2005).
- 2) meeting the expectations of key stakeholders and to substantiate LTD leadership roles key contributors to organizational success and profitability (V. Anderson, 2008; Rothwell et al., 2003; VonBramer, 2009);
- 3) confirming LTD's value proposition (V. Anderson, 2008; Kalman, 2001; Kaufman, 2016; Ulrich & Brockbank, 2005); and

- 4) ensuring the future state validity of LTD interventions and the alignment of LTD with anticipated organizational needs (Fitz-enz, 2000; Hicks, 2015; Guy W. Wallace, 2001).

The findings suggest that HR and LTD must know the business of the organization as well as it knows HR and LTD. Strategic HR and LTD meaningful human capital decisions are required to successfully align performance outcomes with organizational objectives and (Anderson, 2008). The success of LocalGov hinges on its HR and LTD functions' human capital decisions and on the performance outcomes and deliverables (Kopacz, 2014).

Recommendations for Practice and Future Research

Based on the results of the study, several recommendations for practice and future research are offered. Recommendations for practice include:

- 1) HR and LTD practitioners must improve their knowledge of organizational needs as they relate to the mega, macro and micro level outputs, rather than focusing on training as an output (Kaufman, 1985, 2009; Kalman, 2008);
- 2) HR and LTD practitioner must focus on solutions and intervention decisions based on the business needs rather than individual performance gaps (Guerra-López, 2013);
- 3) HR and LTD practitioners must incorporate and include effective cascading strategies and solutions, instead of providing broadly-based learning roll-out implementation and execution plans (Holbeche, 2001); and

- 4) HR and LTD practitioners utilize methodologies to address, integrate, align and intertwine organizational and individual performance gaps (Bernardez, 2009; Kalman, 2008; Kaufman, 2006a; Guy W Wallace, 1996).
- 5) HR and LTD practitioners must incorporate action research processes in the overall HR and LTD strategy to support further development and improvements in HR and LTD strategy and processes.

Based on the results of the study, recommendations for future research include:

- 1) An exploration of performance accountability towards performance outcomes may be an area of interest for future research. The data indicated that there was a significance between employee levels accountable for process implementation and goal alignment. Understanding performance accountability towards performance outcomes may provide guidance for improved performance outcome and consistency.
- 2) An exploration of motivational factors towards leader accountability and employee accountability across employee levels might be an area for future research. The responsibility for macro and micro level outputs were operationalized by level 2 and 3 employees. The data indicated significance for level 2 and level 3 employees, those held publicly, personally and directly accountable for outcomes. This accountability may have contributed to increased implementation and process execution. Identifying and utilizing motivational factors for level 1 and clarifying motivating factors for level 2 and 3 employees may provide guidance for increased model implementation,

improved organizational alignment of performance outcomes, as well as overall improved individual performance.

HR and LTD practitioners can increase their organizational knowledge base and response to organizational needs by fully investigating and understanding the organization that they serve and engaging in the strategic planning process. The use of Phase I and II components, questions and tool examination can help increase HR and LTD knowledge.

HR and LTD engagement in the strategic planning process requires working knowledge of the organization and active participation in the department and functional strategic planning process. HR and LTD can insert and assert themselves as strategically engaged contributors to organizational success by utilizing organization scan criteria as described in the research process section.

It is recommended that additional research and application of the model through all phases and steps through final execution and measurement of actual performance outcomes be conducted to improve and further investigate the findings.

Conclusion

The findings of the study led the researcher into further exploration of additional research for HR and LTD strategic alignment models and the desired to conduct focus groups to solicit feedback from the level 2 and level 3 employees whose documentation was included in the study. Several strategic alignment models were reviewed. Feedback was solicited from study participants.

The research suggests that HR and LTD must focus on integrating decisions about individual performance, a cascading process, clear organizational goals and objectives and

a defined systematic process (United States Office of Personnel Management, 1999). Strategic alignment models improve organizational objectives and outcomes by supporting the inclusion of multi-perspective indicators and cause-effect linkages. These indicators and links aid in the effectiveness of strategic alignment (Gimbert, Bisbe, & Mendoza, 2010). The use of strategic alignment models support multidisciplinary knowledge enhancement; integrated and collaborative approaches to human resources development; and individual performance improvement as a means of improving organizational performance and impact (Smith, 2013). Organizational alignment may support employee empowerment and innovation and must be carefully implemented to avoid organizational paralysis caused by rigid implementation and over-engineering (Micheli & Manzoni, 2010).

Attempts to conduct post-study focus groups and feedback sessions with randomly selected LocalGov sample department level 2 and level 3 employees to gain further insight into the motivational factors impacting training participation and process implementation were met with resistance. Level 2 and level 3 employees declined to participate in the sessions. Level 2 and 3 employees solicited for feedback declined due to concerns related to confidentiality, the use of the resulting comments and documentation, and possible reprimand for participating without upper management consent.

The implementation and application of a strategic alignment model supports HR and LTD's effort to improve the strategic role of HR and LTD (Khan & Mushtaq, 2015). This study provides a descriptive model, framework, processes and procedures to support the alignment of HR and LTD performance outcomes with organizational objectives.

APPENDIX A

LocalGov LTD Strategic Overview Summary September 24, 2014

GENERAL INFORMATION	<p>LTD replaces the former LTD. LTD focuses on human capital transformation by:</p> <ul style="list-style-type: none"> • Using a systemic, not systematic approach; • Aligning initiatives to support organizational goal achievement; • Using needs assessment, benchmarking and industry best practices; • drives measurable change and performance improvement; and • Sustainability.
OUR PHILOSOPHY	We (Human Resources) are the heartbeat of the city.
OUR MISSION	Our mission is to equip all employees with the tools and resources to improve service delivery resulting in an improvement in the quality of life for city residents
OUR VISION	<p>Our vision is to become:</p> <ol style="list-style-type: none"> 1) a world-class service provider for the residents of the city of Detroit; 2) an employer of choice within the city of Detroit and beyond; and 3) a strategic partner for the successful governance of the municipality.
OUR ROLE	<p>Our role within the enterprise is to:</p> <ul style="list-style-type: none"> • Lead the human capital strategy formulation; • Direct all aspect of organizational human capital policies, objectives and initiatives; and • Champion: <ol style="list-style-type: none"> 1. Talent development; 2. Performance Management; 3. Organizational development; 4. Leadership development; 5. Capability and continuous improvement; and 6. Evaluation and measurement.
OUR ROLE WITHIN THE HUMAN RESOURCES FUNCTION	<ol style="list-style-type: none"> 1) Training and Development/Employee Development <ul style="list-style-type: none"> • Talent development, including leadership development; • Performance management; and • Capability and continuous improvement. 2) Organizational Development <ul style="list-style-type: none"> • cultural transformation; • employee engagement; • organizational change/learning 3) Corporate/Organizational Governance <ul style="list-style-type: none"> • Compliance • Diversity and Inclusion

LocalGov
LTD Strategic Overview Summary
September 24, 2014

GOALS	STRATEGY	TACTICS	DELIVERABLES
LTD Mission Equip all employees with the tools and resources to improve service delivery resulting in an improvement in the quality of life for city residents.	→ Assess and analyze organizational needs. → Provide strategically aligned training and performance interventions. → Measure and evaluate our performance and customer satisfaction, externally and internally.	→ Conduct face-to-face and electronic assessments. → Develop enterprise-wide cross-functional interventions and solutions.	→ Training Needs Assessment → Individual Training Plans → Center for Workforce Development → Online Academy
Our Vision: to become a/an 1) world-class service provider for the residents of the city of Detroit.	→ Benchmark, develop and implement best practices. → Exceed our customer's expectations. → Streamline processes and procedures to best in class levels.	→ Develop internal subject matter experts. → Embrace generalist mentality/methodology	→ Center for Workforce Development → Learning Communities → CoD Scholars Program → Job Specific Certification
2) employer of choice within the city of Detroit and beyond.	→ Improve the employment experience for all employees. → Improve the organizational brand for the City of Detroit.	→ Develop operational leaders → Provide role-based training and development. → Create & implement micro, macro and mega level touch points with the CoD municipal building.	→ Municipal Leadership Academy Training Forum → Performance Evaluation Process → CoD Scholars Program → Micro, Macro and Mega touch points
3) strategic partner for the successful governance of the municipality.	→ Increase business acumen to working knowledge level. → Become proactive change agents across all departments and functions.	→ Increase the HR strategic interface. → Build and nurture strategic relationships between HR and operational leaders and functions.	→ Transition to Standard Industry Terminology → Job Specific Certifications → Develop and Deliver on (HR) KPIs → TD & PM Budget → Develop Measure Strategy → Identify Core Competencies

APPENDIX B

Table 19. Data Summary for Research Question 1

ID	PE Participation Y/N?	Training Y/N?	Emp Type	Division
1	0	0	1	2
2	0	0	1	3
3	0	0	1	3
4	1	0	1	3
5	0	0	1	3
6	0	0	1	3
7	1	0	1	2
8	1	0	1	3
9	1	0	3	3
10	1	0	1	3
11	1	0	1	3
12	1	0	1	3
13	0	0	1	3
14	1	0	3	3
15	0	0	1	2
16	0	0	1	3
17	0	0	1	3
18	1	0	3	3
19	1	0	1	3
20	0	0	1	3
21	0	0	1	2
22	0	0	1	3
23	0	0	1	3
24	0	0	1	3
25	0	0	1	3
26	0	0	1	3
27	1	0	1	3
28	1	0	1	3
29	1	0	1	3
30	0	0	1	3
31	0	0	1	2
32	1	0	1	3
33	1	0	1	2

34	0	0	1	3
35	1	0	1	3
36	1	0	1	2
37	0	0	1	3
38	0	0	1	3
39	0	0	1	2
40	0	0	1	1
41	0	0	1	3
42	1	0	1	2
43	0	0	1	3
44	1	0	1	3
45	1	0	1	3
46	1	0	1	3
47	1	0	1	3
48	1	0	1	3
49	1	0	1	2
50	1	0	1	3
51	0	0	1	3
52	0	0	1	2
53	0	0	1	3
54	1	0	1	3
55	0	0	1	3
56	1	1	3	2
57	0	0	1	3
58	0	0	1	2
59	0	0	1	2
60	1	0	1	3
61	0	0	1	2
62	1	1	3	2
63	1	0	1	3
64	0	0	1	3
65	1	0	1	3
66	1	0	1	3
67	0	0	1	3
68	1	0	1	3
69	1	0	1	2
70	1	0	1	3
71	0	0	1	3
72	1	0	1	2
73	0	0	1	2
74	1	0	1	2

75	1	0	1	3
76	0	0	1	3
77	1	0	1	3
78	1	0	1	3
79	0	0	1	3
80	0	0	1	3
81	0	0	1	2
82	1	0	1	2
83	1	0	1	3
84	1	0	1	3
85	1	0	1	3
86	0	0	1	3
87	0	0	1	2
88	1	0	1	3
89	0	0	1	1
90	1	0	1	3
91	1	0	1	4
92	1	0	1	2
93	0	0	1	3
94	0	0	1	3
95	1	0	1	3
96	1	0	1	5
97	1	0	1	3
98	0	0	1	3
99	1	0	1	3
100	1	0	1	3
101	1	0	1	3
102	1	0	1	2
103	1	0	1	2
104	0	0	1	3
105	1	0	1	3
106	1	0	1	4
107	0	0	1	3
108	0	0	1	3
109	1	0	1	3
110	1	0	1	3
111	1	0	1	3
112	0	0	1	3
113	1	0	1	3
114	1	0	1	2
115	1	0	1	3

116	1	0	1	3
117	0	0	1	3
118	1	0	1	2
119	1	0	1	3
120	0	0	1	3
121	1	0	1	2
122	0	0	1	3
123	1	0	1	3
124	0	0	1	2
125	0	0	1	3
126	0	0	1	3
127	1	0	1	3
128	1	0	1	3
129	1	0	1	3
130	0	0	1	3
131	1	0	1	3
132	0	0	1	2
133	0	0	1	2
134	1	0	1	3
135	1	0	1	3
136	1	0	1	3
137	1	0	1	3
138	0	0	1	3
139	1	0	1	2
140	1	0	1	3
141	1	0	1	2
142	1	0	1	2
143	1	0	1	6
144	1	0	1	3
145	0	0	1	3
146	1	0	1	2
147	1	0	1	3
148	0	0	1	3
149	1	0	1	3
150	1	0	1	3
151	1	0	1	3
152	1	0	2	3
153	1	0	1	3
154	1	0	1	3
155	1	0	1	3
156	0	0	1	3

157	0	0	1	2
158	0	0	1	2
159	0	0	1	3
160	1	0	1	3
161	1	0	1	3
162	0	0	1	3
163	1	0	1	3
164	0	0	1	3
165	1	0	1	2
166	1	0	1	2
167	0	0	1	3
168	1	0	1	3
169	1	0	1	4
170	1	0	1	3
171	0	0	1	2
172	1	0	1	3
173	1	0	1	3
174	0	0	1	3
175	1	0	1	3
176	0	0	1	3
177	0	0	1	3
178	1	1	2	3
179	0	0	1	3
180	0	0	1	3
181	1	0	1	3
182	0	0	1	3
183	1	0	1	2
184	1	0	1	3
185	0	0	1	3
186	0	0	1	3
187	1	0	1	3
188	0	0	1	3
189	1	0	1	3
190	1	0	1	3
191	0	0	1	3
192	0	0	2	2
193	0	0	1	3
194	1	0	1	3
195	0	0	1	3
196	1	0	1	3
197	0	0	1	3

198	0	0	1	3
199	0	0	1	3
200	0	0	1	2
201	0	0	1	3
202	1	0	1	3
203	1	0	1	3
204	1	0	1	4
205	1	0	1	3
206	1	0	1	3
207	1	0	1	3
208	1	0	1	3
209	0	0	1	3
210	1	0	1	3
211	1	0	1	2
212	1	0	1	3
213	1	0	1	3
214	1	0	1	3
215	1	0	1	3
216	1	0	1	3
217	0	0	1	3
218	1	0	1	3
219	0	0	1	3
220	1	0	1	3
221	1	0	1	3
222	0	0	1	2
223	0	0	1	3
224	1	0	1	3
225	0	0	1	2
226	1	0	1	3
227	0	0	1	3
228	0	0	1	3
229	1	0	1	3
230	1	1	2	4
231	1	0	1	3
232	0	0	1	3
233	1	0	1	3
234	0	0	1	3
235	0	0	1	3
236	1	0	1	3
237	0	0	1	2
238	0	0	1	2

239	0	0	1	3
240	0	0	1	3
241	1	0	1	3
242	0	0	1	3
243	1	0	1	3
244	1	0	1	2
245	0	0	1	1
246	1	0	1	3
247	0	0	1	3
248	1	0	1	3
249	1	0	1	3
250	1	0	1	3
251	0	0	1	3
252	1	0	1	2
253	0	0	1	3
254	1	0	1	2
255	1	0	1	3
256	0	0	1	3
257	1	0	1	3
258	0	0	1	3
259	0	0	1	3
260	1	0	1	3
261	1	0	1	3
262	1	0	1	2
263	1	0	1	3
264	1	0	1	5
265	1	1	2	3
266	0	0	1	3
267	1	0	1	3
268	0	0	1	3
269	1	1	2	2
270	1	0	1	3
271	1	0	1	2
272	0	0	1	3
273	1	0	1	3
274	0	0	1	3
275	1	0	1	3
276	1	0	1	3
277	1	0	1	3
278	0	1	3	1
279	1	0	1	3

280	1	0	1	2
281	1	0	1	3
282	1	0	1	3
283	1	0	1	3
284	1	0	1	3
285	1	0	1	3
286	1	0	2	3
287	1	0	1	2
288	1	0	1	3
289	0	0	1	3
290	0	0	1	3
291	0	0	1	2
292	1	0	1	3
293	1	0	1	3
294	1	0	1	3
295	1	0	1	3
296	0	1	2	3
297	1	0	1	3
298	1	0	1	3
299	0	0	1	3
300	1	0	1	3
301	1	0	1	2
302	1	0	1	3
303	0	0	1	3
304	0	0	1	3
305	1	0	1	3
306	1	0	1	3
307	1	1	2	2
308	1	0	1	3
309	0	0	1	3
310	1	0	1	3
311	1	0	1	2
312	0	0	1	3
313	1	0	1	2
314	0	0	1	2
315	1	0	1	3
316	1	0	1	3
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1047	0	0	1	3
1048	1	0	1	2
1049	0	0	1	3
1050	0	0	1	3
1051	1	0	1	3
1052	1	0	1	2
1053	1	0	1	3
1054	0	0	1	3
1055	1	0	1	3
1056	1	0	1	3
1057	1	0	1	3
1058	0	0	1	3
1059	1	0	1	3
1060	1	0	2	4
1061	1	0	1	3
1062	1	0	1	2
1063	0	0	1	3
1064	1	0	1	3

1065	0	0	1	3
1066	1	0	1	3
1067	0	0	1	3
1068	1	0	1	3
1069	1	0	1	6
1070	1	0	1	3
1071	0	0	1	3
1072	0	0	1	2
1073	1	0	1	2
1074	1	0	1	3
1075	0	0	1	3
1076	1	0	1	3
1077	1	0	1	2
1078	0	0	1	3
1079	1	0	1	2
1080	0	0	1	2
1081	0	0	1	2
1082	1	0	1	4
1083	0	0	1	3
1084	1	0	1	3
1085	0	0	1	1
1086	1	0	1	3
1087	1	0	1	2
1088	0	0	1	3
1089	1	0	1	2
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1091	1	0	1	3
1092	1	0	1	2
1093	1	1	2	3
1094	1	0	1	2
1095	1	1	2	1
1096	0	0	2	4
1097	0	0	1	3
1098	1	0	1	3
1099	1	0	1	3
1100	1	0	2	3
1101	1	0	1	3
1102	1	0	1	4
1103	1	0	1	3
1104	1	0	1	2
1105	1	0	1	3
1106	0	0	1	1

1107	1	0	1	2
1108	1	0	1	3
1109	0	0	1	3
1110	1	0	1	2
1111	0	0	1	3
1112	1	0	1	3
1113	1	0	1	2
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1117	1	0	1	1
1118	0	0	1	3
1119	0	0	1	3
1120	1	0	1	3
1121	0	0	1	3
1122	1	0	1	3
1123	0	0	1	3
1124	1	0	2	3
1125	1	0	1	3
1126	1	0	1	2
1127	1	0	1	2
1128	1	0	1	3
1129	1	0	1	3
1130	0	0	1	3
1131	0	0	1	3
1132	1	0	1	3
1133	1	0	2	3
1134	1	0	1	3
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1139	1	0	1	2
1140	0	0	1	3
1141	1	0	1	3
1142	1	0	1	3
1143	0	0	1	1
1144	1	0	1	3
1145	1	0	1	3
1146	1	0	1	3
1147	1	0	1	2
1148	0	0	1	3

1149	0	0	1	3
1150	0	0	1	3
1151	0	0	1	3
1152	0	0	1	3
1153	1	0	1	3
1154	0	0	1	3
1155	1	0	1	3
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1187	1	0	1	3
1188	1	0	1	3
1189	1	0	1	2
1190	1	0	1	2

1191	1	0	1	2
1192	1	0	1	3
1193	1	0	1	3
1194	1	0	1	6
1195	1	0	1	3
1196	1	0	1	3
1197	1	1	2	3
1198	1	0	1	3
1199	1	0	1	2
1200	1	0	1	3
1201	0	0	1	3
1202	1	0	1	2
1203	1	0	1	4
1204	0	0	1	3
1205	1	0	1	3
1206	1	0	1	4
1207	1	0	1	3
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1227	1	0	1	3
1228	0	0	1	2
1229	1	0	1	3
1230	0	0	1	3
1231	1	0	1	3
1232	1	0	1	3

1233	0	0	1	3
1234	0	0	1	1
1235	1	0	1	3
1236	1	0	1	3
1237	1	0	1	2
1238	1	0	1	2
1239	1	0	1	3
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1247	1	0	1	6
1248	0	0	1	3
1249	1	0	1	3
1250	1	0	1	3
1251	1	0	1	3
1252	0	1	3	1
1253	1	0	1	3
1254	0	0	1	2

APPENDIX C

Table 20. Data Summary for Research Question 2

ID	Training Y/N?	Goal Quality - Aligned Y/N?
56	1	1
62	1	1
178	1	1
230	1	1
265	1	1
269	1	1
324	1	1
381	1	1
399	1	1
664	1	1
739	1	1
787	1	1
815	1	1
937	1	1
1033	1	1
1095	1	1
4	0	1
7	0	1
9	0	1
10	0	1
11	0	1
18	0	1
19	0	1
27	0	1
28	0	1
29	0	1
35	0	1
40	0	1
45	0	1
46	0	1
49	0	1
65	0	1
66	0	1
69	0	1
72	0	1
74	0	1

75	0	1
82	0	1
85	0	1
90	0	1
91	0	1
92	0	1
96	0	1
97	0	1
101	0	1
102	0	1
103	0	1
106	0	1
114	0	1
118	0	1
121	0	1
123	0	1
128	0	1
134	0	1
137	0	1
139	0	1
140	0	1
141	0	1
142	0	1
151	0	1
153	0	1
160	0	1
168	0	1
169	0	1
173	0	1
181	0	1
187	0	1
189	0	1
194	0	1
202	0	1
203	0	1
211	0	1
214	0	1
220	0	1
231	0	1
233	0	1
241	0	1
252	0	1
254	0	1
255	0	1
262	0	1

264	0	1
267	0	1
271	0	1
280	0	1
281	0	1
282	0	1
288	0	1
297	0	1
306	0	1
313	0	1
318	0	1
320	0	1
321	0	1
322	0	1
327	0	1
336	0	1
342	0	1
358	0	1
359	0	1
360	0	1
373	0	1
375	0	1
394	0	1
405	0	1
410	0	1
413	0	1
420	0	1
421	0	1
424	0	1
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444	0	1
446	0	1
451	0	1
452	0	1
453	0	1
461	0	1
463	0	1
465	0	1
466	0	1
469	0	1
473	0	1

475	0	1
476	0	1
478	0	1
481	0	1
482	0	1
485	0	1
490	0	1
493	0	1
499	0	1
504	0	1
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514	0	1
515	0	1
517	0	1
519	0	1
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523	0	1
525	0	1
528	0	1
530	0	1
533	0	1
536	0	1
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543	0	1
551	0	1
556	0	1
562	0	1
568	0	1
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572	0	1
574	0	1
575	0	1
578	0	1
581	0	1
585	0	1
590	0	1
595	0	1
597	0	1
604	0	1

608	0	1
613	0	1
614	0	1
615	0	1
617	0	1
618	0	1
630	0	1
632	0	1
635	0	1
637	0	1
638	0	1
642	0	1
644	0	1
647	0	1
648	0	1
651	0	1
655	0	1
659	0	1
661	0	1
662	0	1
667	0	1
670	0	1
672	0	1
674	0	1
675	0	1
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677	0	1
679	0	1
680	0	1
698	0	1
702	0	1
704	0	1
708	0	1
716	0	1
729	0	1
733	0	1
741	0	1
742	0	1
749	0	1
759	0	1
760	0	1
761	0	1

766	0	1
779	0	1
783	0	1
800	0	1
801	0	1
807	0	1
812	0	1
814	0	1
816	0	1
821	0	1
830	0	1
834	0	1
836	0	1
848	0	1
849	0	1
855	0	1
857	0	1
859	0	1
865	0	1
870	0	1
876	0	1
879	0	1
884	0	1
886	0	1
889	0	1
892	0	1
893	0	1
894	0	1
909	0	1
910	0	1
919	0	1
935	0	1
938	0	1
944	0	1
968	0	1
970	0	1
986	0	1
987	0	1
988	0	1
989	0	1
990	0	1
991	0	1

992	0	1
998	0	1
1001	0	1
1002	0	1
1003	0	1
1007	0	1
1013	0	1
1016	0	1
1019	0	1
1024	0	1
1028	0	1
1035	0	1
1037	0	1
1038	0	1
1040	0	1
1041	0	1
1045	0	1
1051	0	1
1052	0	1
1053	0	1
1055	0	1
1057	0	1
1060	0	1
1061	0	1
1062	0	1
1069	0	1
1070	0	1
1082	0	1
1084	0	1
1089	0	1
1090	0	1
1092	0	1
1098	0	1
1099	0	1
1100	0	1
1101	0	1
1102	0	1
1112	0	1
1117	0	1
1120	0	1
1133	0	1
1134	0	1

1136	0	1
1141	0	1
1142	0	1
1144	0	1
1153	0	1
1155	0	1
1160	0	1
1162	0	1
1164	0	1
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1229	0	1
1231	0	1
1236	0	1
1237	0	1
1239	0	1
1242	0	1
1243	0	1
1247	0	1
1250	0	1
1251	0	1
1253	0	1

APPENDIX D

Table 21. Data for Research Question 3

ID	Training Y/N?	On time?
4	0	1
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8	0	1
9	0	1
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12	0	1
14	0	1
18	0	1
19	0	1
27	0	1
28	0	1
29	0	1
32	0	1
33	0	1
35	0	1
36	0	0
42	0	0
44	0	1
45	0	1
46	0	1
47	0	0
48	0	1
49	0	1
50	0	1
54	0	1
56	1	1
60	0	1
62	1	1
63	0	1
65	0	1
66	0	1
68	0	1
69	0	1
70	0	1

72	0	1
74	0	1
75	0	1
77	0	1
78	0	0
82	0	1
83	0	1
84	0	1
85	0	1
88	0	1
90	0	1
91	0	1
92	0	1
95	0	1
96	0	1
97	0	1
99	0	1
100	0	1
101	0	1
102	0	1
103	0	1
105	0	1
106	0	1
109	0	1
110	0	1
111	0	1
113	0	1
114	0	1
115	0	1
116	0	1
118	0	1
119	0	1
121	0	1
123	0	1
127	0	1
128	0	1
129	0	1
131	0	1
134	0	1
135	0	1

136	0	0
140	0	1
141	0	1
142	0	1
143	0	0
144	0	1
146	0	1
147	0	1
149	0	0
150	0	1
151	0	1
152	0	1
153	0	1
154	0	0
155	0	1
160	0	1
161	0	1
163	0	0
165	0	1
166	0	1
168	0	1
169	0	1
170	0	0
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175	0	1
178	1	1
181	0	1
183	0	1
184	0	1
187	0	1
189	0	1
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196	0	1
202	0	1
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206	0	0
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221	0	1
224	0	1
226	0	1
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233	0	1
236	0	1
241	0	1
243	0	0
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255	0	1
257	0	1
260	0	1
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265	1	1
267	0	1
269	1	1
270	0	1
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275	0	1
276	0	1

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292	0	1
293	0	1
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302	0	1
305	0	1
306	0	1
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308	0	1
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316	0	0
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376	0	1
379	0	1
380	0	1
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393	0	1
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411	0	1
412	0	0
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421	0	1
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441	0	1
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444	0	1
446	0	1
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452	0	1
453	0	1
454	0	1
455	0	0
461	0	1
462	0	1
463	0	1
464	0	1
465	0	1
466	0	1
468	0	1
469	0	1
470	0	1
471	0	1
473	0	1
475	0	1
476	0	1
478	0	1
479	0	1
481	0	1
482	0	1
485	0	1
486	0	0

490	0	1
493	0	1
499	0	1
504	0	1
507	0	1
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510	0	1
511	0	1
512	0	1
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539	0	1
540	0	1
541	0	1
543	0	1
547	0	0
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562	0	1
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568	0	1
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574	0	1
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587	0	1
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616	0	1
617	0	1
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624	0	0
625	0	1
629	0	1
630	0	1
632	0	1
633	0	1
635	0	1
637	0	1
638	0	1
640	0	0
641	0	0
642	0	1
643	0	1

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659	0	1
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664	1	1
667	0	1
670	0	1
672	0	1
673	0	0
674	0	1
675	0	1
676	0	1
677	0	1
678	0	1
679	0	1
680	0	1
681	0	1
683	0	1
685	0	0
686	0	1
689	0	1
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691	0	1
695	0	1
698	0	1
701	0	1
702	0	1
703	0	1
704	0	1
705	0	1
706	0	1
708	0	1
709	0	1
711	0	1
712	0	1

714	0	1
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718	0	1
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726	0	1
729	0	1
730	0	1
732	0	1
733	0	1
735	0	0
736	0	1
739	1	1
740	0	1
741	0	1
742	0	1
743	0	1
744	0	0
746	0	1
747	0	1
749	0	1
751	0	1
757	0	1
759	0	1
760	0	1
761	0	1
762	0	1
763	0	1
766	0	1
767	0	1
768	0	0
771	0	1
772	0	1
777	0	1
779	0	1
781	0	0
783	0	1
786	0	0
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ABSTRACT

**ALIGNING LEARNING AND TALENT DEVELOPMENT PERFORMANCE
OUTCOMES WITH ORGANIZATIONAL OBJECTIVES: A PROPOSED
MODEL**

by

IRIS WARE

August 2017

Advisor: Dr. Ingrid Guerra-López

Major: Learning Design and Technology

Degree: Doctor of Philosophy

The value proposition for learning and talent development (LTD) is often challenged due to human resources' inability to demonstrate meaningful outcomes in relation to organizational needs and return-on-investment. The primary role of human resources (HR) and the learning and talent development (LTD) function is to produce meaningful outcomes to support organizational change, performance improvement and organizational impact.

This study proposes an empirically-based descriptive process model to align LTD performance outcomes with organizational objectives. This study builds on the knowledge base of previous studies and seeks to enhance the application of research and theory. This study supports multidisciplinary knowledge enhancement and supports integrated and

collaborative approaches to human resources development and its subsequent individual performance improvement thereby improving organizational performance and impact.

While a qualitative action research method was used to develop the model, a quantitative comparative design was used to analyze the implementation and effectiveness of the model. A department comprised of 1,254 employees, across six department divisions and three employee hierarchical groups were sampled. Documentation was collected and evaluated electronically. To answer the three research questions, a 2 x 2 Chi-square test and analysis was performed. The findings of the current study indicated that process model implementation by the department, employee level and by division, and goal cascading and alignment was significantly higher for employees who participated in process implementation training than with employees who did not participate in process implementation training. There was no significant difference in timely submission of process implementation documentation and process training.

AUTOBIOGRAPHICAL STATEMENT

Iris Ware is a human capital strategist and organizational transformation change agent with more than 25 years of experience and expertise in senior-level leadership, managerial and consultant roles in domestic and international organizations, as well as the public, private and non-profit sectors. Ms. Ware's life's mission is to help individuals and organizations clarify their vision and build the necessary skills to reach their goals.