LEAD LIKE A ROCKSTAR
9TH ANNUAL CALTECH SUPERVISORS’ CONFERENCE
February 25, 2015
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**Special thanks to all our presenters and conference volunteers!**
LEAD LIKE A Rockstar
9TH ANNUAL CALTECH SUPERVISORS' CONFERENCE

February 25, 2015
Class & Room Schedule
7:30am – 8am
Check – In/Registration
Avery Courtyard

7:30am – 8:30am
Breakfast
Avery Dining Room

8:10am – 8:30am
Special Opening Presentation Joel Burdick, Ph.D.,
Richard L. and Dorothy M. Hayman Professor of Mechanical Engineering and
Bioengineering; Jet Propulsion Laboratory Research Scientist

Five-minute chair massages, donated by Anthem Blue Cross,
available in the courtyard starting at 9am.
| Session A1 | Is UP the Only Way? Career Coaching Options for your Team  
(Rob Roberts from Lee Hecht Harrison)  
AM & PM Sessions Available | Avery Library |
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| Session A2 | Reality Based Leadership – Ditch the Drama & Turn Excuses into Results  
(Nicole Price of Cy Wakeman, Inc.)  
AM & PM Sessions Available | Avery Conference Room |
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| Session A3 | Making the Band: Building Talent Pipelines  
(Tara Kruckeberg & Stephanie Hancock) | Annenberg Room 107 |
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<td>Who is Pete Best? Pete Best was an the original drummer for the Beatles. While Pete Best may have made a perfectly fine Beatle, we can all agree he’s no Ringo Star. As managers, we can post our jobs and wait for people to apply, choose a Pete Best or, we can do a little outreach and find a Ringo Star. Build a talent pool and perhaps find your Ringo Star. This session will explore how to build a pool of talent that can help you sign your own exceptional rockstars.</td>
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| Session A4 | Getting the Band to the Show When the Bus Breaks Down: A Problem Solving Model for Managers  
(April White Castañeda, Laura Schofield, & Alisa Watjara) | Avery Dining Room |
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<td>At one time or another every mega-group has suffered from setbacks and failures. The truly great bands re-group, figure out what went wrong, and re-invent themselves. This session will provide you with the tools to catalyze your group to make changes, be creative, and find real solutions to problems.</td>
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<td>Time</td>
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| 10:15am    | **Is UP the Only Way? Career Coaching Options for your Team**  
            | (Rob Roberts from Lee Hecht Harrison)  
            | **Reality Based Leadership – Ditch the Drama & Turn Excuses into Results**  
            | (Nicole Price of Cy Wakeman, Inc.)  
            | **How to Manage Rockstars**  
            | (April White Castañeda & Dee Dee Roulhac)  
            | **The Good, Bad, & Ugly: Giving and Receiving Feedback at Work**  
            | (Jennifer Lee of JB Training Solutions)  |
| Block B    | **AM & PM Sessions Available**  
            | **AM & PM Sessions Available**  
            | **Avery Dining Room**  
            | **Annenberg Room 107**  |
|            | Do some of your employees feel “stuck” in their careers? Do they feel they lack options at Caltech? Do they believe that UP is the only way to develop their career? As managers, we can help open up their options and help provide career coaching that further engages your talent. This session will provide you some tools for exploring the multiple options available and how those can translate into action for your team.  
            | We need leaders who are willing and able to recreate mindsets-their own and the mindsets of others - in order to change circumstances and lead in a new and revolutionary way. The revolution begins with a few good leaders practicing Reality-Based Leadership™. A Reality-Based Leader is one who is able to quickly see and radically accept the reality of the situation, conserve precious team energy, and use that energy instead to impact reality. Better yet, a great Reality-Based Leader anticipates the upcoming changes and capitalizes on the opportunity inherent in the situation without drama or defense.  
            | Rockstar employees demonstrate an ability to learn quickly, are self-motivated, and are high performers. High performers significantly impact the success of your organization. Every group needs a lead singer with exceptional talent to excel. It is imperative that managers continue to cultivate and support strong performers. Learn techniques to engage, retain, and develop star performers that can help your group climb the charts and achieve extraordinary results.  
            | Kaboom! You put off “the talk,” and things just went nuclear. You went from checking in, to micromanaging—one iffy e-mail became a war, and that bad apple is spoiling the bunch. What now? Many people don’t deal with sticky situations or uncomfortable conversations until they become ugly emergencies. On the other hand, healthy groups prevent messes with regular doses of honest feedback. In a way, feedback is like physical exercise: good for everyone, hard to get started, but easier to maintain. All it takes is a few minutes each week to keep the entire team up-to-speed and fully on board.  
            | 11:45am–12:45pm Lunch  
            | **Avery Library**  
            | **Avery Conference Room**  
            | **Avery Dining Room**  
            | **Avery Dining Hall**  |
| Session C1 | **Is UP the Only Way? Career Coaching Options for your Team**  
(Rob Roberts from Lee Hecht Harrison)  
**AM & PM Sessions Available** | Avery Library |
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| Session C3 | **How to Keep You and Your Rockstars out of Court, out of Jail, and in the Country**  
(Ann Martin, Tina Tran, Hima Vatti, & Ilana Smith) | Avery Dining Room |
|  | Federal and State legal compliance is a dynamic and challenging landscape. Caltech’s Office of General Counsel will help you navigate legal landmines by reviewing key compliance issues, providing legal updates, and presenting pertinent cases. There will also be a discussion regarding managerial and organizational liability. Ilana Smith from Caltech’s International Offices will address key issues regarding the impact of any employment changes on the immigration status of your employees. |  |
| Session C4 | **The Good, Bad, & Ugly: Giving and Receiving Feedback at Work**  
(Jennifer Lee of JB Training Solutions)  
**AM & PM Sessions Available** | Annenberg Room 107 |
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| Session D1 | Effectively Using Office 365 to Lead Your Teams  
(Bradley Cain) | Annenberg Room 107 |
| --- | --- | --- |
| 2:30pm – 3:45pm  
2:30pm – 3:45pm  
Block D  
Please Choose from one of the following Sessions | This session will highlight ways to capitalize and effectively use Office 365 to lead your teams. | |
| Session D2 | Reality Based Leadership – Ditch the Drama & Turn Excuses into Results  
(Nicole Price of Cy Wakeman, Inc.)  
AM & PM Sessions Available | Avery Conference Room |
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| Session D3 | Creating the Perfect Mix Tape: Assigning the Correct Person Types  
(Angelica Santana & Vicki Pratt) | Annenberg Conference Room 121 |
| Do you know the difference between a visitor, a guest, or an external affiliate? When new people join your team, do you know what type of paperwork they need to complete? Choosing the correct person type can be tricky. Person types are used by the Institute’s Oracle based information system to correctly identify an employee’s status. It can be used to determine access, some benefits such as worker’s compensation, and how the person will be paid. This session will provide information and definitions for Caltech person types that will help you choose the correct employee designation for your employees. | |
| Session D4 | Behind the Music: Compensation Secrets Revealed  
(Ofelia Velazquez-Perez & Daniel Espinosa) | Annenberg Room 106 |
| Ever wondered what goes through the mind of a compensation specialist? Why he or she suggests the salaries they suggest? Why he or she asks you so many questions? How does he or she choose a classification? This session is your opportunity to have all these questions answered and more. Learn to think like a compensation specialist and gain tools that help you create competitive and equitable compensation packages. | |
| 4pm-4:30pm  
Closing Address by President Thomas F. Rosenbaum  
Sonja and William Davidow Presidential Professor; Professor of Physics | Avery Dining Hall |
Education and Faculty Appointments

B.S., Duke University, 1981; M.S., Stanford University, 1982; Ph.D., 1988. Assistant Professor, Caltech, 1988-94; Associate Professor, 1994-2000; Professor of Mechanical Engineering, 2000-02; Professor of Mechanical Engineering and Bioengineering, 2002-12; Executive Officer for Bioengineering, 2006-07; Hayman Professor, 2012-; Jet Propulsion Laboratory Research Scientist, 2014-.

Artificial Systems, Robotics

Our research group covers both Robotics and BioEngineering. Current topics of interest include: Neural Prosthetics and Brain-Machine Interfaces. A neural prosthesis as a "direct brain interface" that enables a human, via the use of surgically implanted electrode arrays and associated computer decoding algorithms, to control external electromechanical devices by pure thought alone.

Research Interests

Professor Burdick’s current research is divided between traditional robotics research, and collaborations with neuroscientists to develop technology for paralyzed nervous systems. Current work includes robot motion planning in dynamic, cluttered environment; grasping and mobile manipulation; and neural prosthetics.
On July 1, 2014, Thomas F. Rosenbaum took office as Caltech's ninth president.

Dr. Rosenbaum was formerly the John T. Wilson Distinguished Service Professor of Physics at the University of Chicago, where he served as the University's provost for seven years. As Chicago's provost, he had responsibility for a broad range of institutions and intellectual endeavors across the sciences, arts, and professional schools. He has been deeply engaged with Argonne National Laboratory as the University's vice president for research and for Argonne National Laboratory from 2002 to 2006 and as a member of its Board of Governors.

Dr. Rosenbaum is an expert on the quantum mechanical nature of materials—the physics of electronic, magnetic, and optical materials at the atomic level—that are best observed at temperatures near absolute zero. He conducted research at Bell Laboratories and at IBM Watson Research Center before he joined the University of Chicago faculty. Dr. Rosenbaum is an elected fellow of the American Physical Society, the American Association for the Advancement of Science, and the American Academy of Arts and Sciences.
Is UP the Only Way?
Coaching Career Options for your Team at Caltech

Rob Roberts – SVP, Talent Development
February 25, 2015

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Why We Are Here

• Do some of your employees feel stuck?
• Do some feel like they lack options here?
• Do they (you?!) believe up is the only way to develop their career?
Objectives

• Explore the six various options for career movement
• Investigate actions employees can take to further activate these options for themselves
• Consider how to better partner to help them achieve their goals

Roles of Key Stakeholders

Employees
Managers
Organization
Career Development Roadmap for Success

The CAREERFIT™ Model

Section I - PERSON
POSSIBILITIES – What are My Aspirations?

Six Career Options

enrichment  lateral  vertical  exploration  realignment  relocation
Lateral – broaden your professional mastery

- Investigate different positions in same profession in your organization that require new skills or interests.
- Research another area of organization that interests you and broadens your skills.
- Find mentor in your profession who can coach you in upgrading your level of mastery or technical competencies.
- Expand your network to learn more about lateral opportunities.
- Seek rotational opportunities within your department.
- Pursue projects that give you exposure to new areas and build your skills.
- Interview two or three people in lateral positions to learn critical skills for success.
- Review position profiles of lateral opportunities and improve skill gaps you may have.

Enrichment – deepen your professional mastery

- Negotiate ways to bring more of your natural talents into your work setting — organization skills, technical ability, creativity, etc.
- Take on new responsibilities, projects and tasks that use more of your competencies and skills.
- Gain broader visibility through project outside your functional area.
- Broaden your network of support in any sector, industry, organization or profession.
- Develop your team mastery skills — ask two or three colleagues how you could contribute more to team.
- Consider ways to negotiate your current work to include more of your natural interests — people, ideas, data or things.
- Enhance your ability to use technology and communication tools.
- Align your work with business or organization strategies or unit objectives.
- Ask your manager for feedback on one or two actions you could take to contribute more to team.
Vertical – advance your professional mastery

- Develop higher level of mastery in your current profession or trade. (e.g. move from apprentice to technical contributor or technical contributor to mentor/coach in sales, engineering, IT, website design, finance, etc.).
- Enhance your level of mastery in key practice in your profession or trade to ready yourself for promotion.
- Identify and prepare yourself for promotional opportunities by studying job postings and position profiles.
- Find mentor to help prepare you for future opportunities.
- Seek out assignments that prepare you for future needs of organization.
- Expand your network in strategic way — add more contacts in your industry or in specific product or customer service area.
- Study leaders in organization and ask what accomplishments or positions helped bring them there.
- Review mission and strategic initiatives of organization and be sure you make visible contributions in those directions.
- Get feedback from your manager or mentor on what will make you more promotable.

Exploration – learn more about your professional possibilities

- Explore other projects/positions in departments that give broader visibility or exposure to leadership.
- Test pros and cons of getting another degree and/or take course to explore specific topic.
- Investigate professional associations to join.
- Research conferences to attend.
- Clarify basic practices and technical competency requirements of your profession by interviewing five to six people in profession.
- Research ways to get more coaching and mentoring in your profession.
- Research other working arrangements — part-time, job-sharing, telecommuting, project work — that might fit better with your values or long-term needs.
- Evaluate competitors to learn best practices.
- Investigate other positions that better fit your values or interests.
- Find other departments where your profession is needed.
- Seek out opportunities to participate on task force or on temporary assignment.
- Conduct informational interviews with people in positions of interest.
- Explore alternative ways of working that fit better with your long-term goals.
# Realignment — many experienced workers return to previous positions

- Spend more time and energy mentoring and developing others.
- Negotiate new work arrangements — telecommuting, job-sharing, temporary work…
- Redesign work to fit changing family needs.
- Research conferences to attend.
- Scope telecommuting project to test viability of working that way.
- Decrease work responsibilities to reduce stress or free-up time to learn new skills for future.
- Take part-time position in order to achieve long-term aspirations.
- Move from managerial role to individual contributor position.
- Find other departments where your profession is needed.
- Talk to several people who have realigned their careers and learn pros and cons.
- Search for two or three less stressful positions in job postings and talk with incumbents.

# Relocation — move on to other opportunities

- Develop new business idea into entrepreneurial venture.
- Move from management into consulting work.
- Work for several companies as contractor doing what interests you most.
- Seek opportunities where your career goals can be realized.
- Move to another part of country that fits your long-term goals.
- Discover other industries that are in growth mode and look for opportunities there.
- Find two or three other organizations with more opportunities in your areas of interest.
- Determine pros and cons of small versus large organizations.
Alignment - Self & Organization

Self
1. Does this action fit your values?
2. Is this action aligned with your long-term aspirations and purpose?
3. Does this action make you more marketable for the future?

Organization
4. Can you make a business case for this goal with your manager or team leader?
5. Is this goal going to make you more valuable to your organization?
6. Does this goal fit with the strategies and business needs of your organization?

SMART Goals

Specific
Measurable
Attainable
Relevant
Time Bound
A+ Actions for Managers

1. Know the kind of work employees are seeking and work diligently to find opportunities, either inside or outside of your immediate area.

2. Help employees develop multiple career goals - lateral, enrichment, exploratory, vertical, etc.

3. Help individuals link their career goals fit the organization’s needs & strategic aims.

4. Help employees think of ways to make their current job more in sync with their values and aspirations.

5. Inform employees of potential organizational changes that may impact their career goals.

6. Discuss long-term aspirations as well as short-term goals with employees.

Thank You!

Rob Roberts – SVP, Talent Development
REALITY-BASED LEADERSHIP

DITCH THE DRAMA & TURN EXCUSES INTO RESULTS

Nicole Price
@nicoleatcwi
#RBL
What keeps you from being the most effective leader?

1. The way we **think** in these circumstances
2. The way we **lead** people
RIGHT NOW IN LEADERSHIP people are focusing on two areas:

- EFFICIENCY
- LOYALTY

Management holds teams accountable to their processes.

Designed by Teams

Created by Process

Measured by Outcomes
People who are **loyal** to you ask for two things

Empathy - Responsiveness

Teamwork
RIGHT NOW IN LEADERSHIP people are focusing on two areas:

- **LOYALTY**

  When you have a good working team, **resources** are abundant.

  Individual coaching & development
RIGHT NOW IN LEADERSHIP people are focusing on two areas:

Management creates: EFFICIENCY  Leadership builds: LOYALTY
"IN CHANGING TIMES, LEAD FIRST MANAGE SECOND"
TROUBLESOME TRENDS

- Change Mindsets
- Change Reality
- Quit
- BMW Drive
Learned Helplessness
EMPLOYEE VALUE EQUATION

\[ \text{Current Performance} + \text{Future Potential} - 3x \text{ Emotional Expense} \]
EMOTIONALLY INEXPENSIVE

Reality-Based Thinking

Personal Accountability

Driving for Results

Organizational Alignment

Capitalizing on Change
#1 Personal Accountability
The mindset that results happen because of one’s actions, not in spite of them.

Accountable people believe that they choose their own destiny.
Why doesn’t anyone tell me anything?

Why do they keep changing?

When will they get it?

Adapted from John Miller’s QBQ by John Miller
#2

REALITY-BASED THINKING
THOUGHT CYCLE

Event

○ THINKING ○

Feeling

Action

Results
"REFUSE TO ARGUE WITH REALITY"
RIGHT OR HAPPY?
"The minute you start judging you…

- Stop helping
- Stop leading
- Stop adding value"
#3 ORGANIZATIONAL ALIGNMENT
Does my opinion count?

**ROLE:**
- Decision
- Consultant
- Informed

**ROLE:**
Do whatever it takes to get the job done
“There is NO third option”
CAPITALIZING ON CHANGE
RESISTANCE
Threat
Belief
Reaction
Past

MAINTENANCE
Play it Safe
Lacks Meaning
Don’t Care
Past/Future

VISION
Opportunity
Creativity
Resource
Present

ISSUE or EVENT
“WORK WITH THE WILLING”
Whether you believe something to be possible or impossible, either way you will be right.
RESULTS CIRCLE

Yes or No
Accountability
Responsibility
Teamwork

Positive Results
Continuously Learn

Blaming
Right over Happy
Colluding
Victims

Reasons
Stories
Excuses

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DRIVE FOR RESULTS

Ask your team…

- What can you do to help?
- What do you know for sure?
- What can you do to add value?
WANT MORE?

www.realitybasedleadership.com
www.realitybasedvt.com

VISIT: www.fastcompany.com or www.forbes.com

@cywakeman
/cywakeman
Making the Band

Building Talent Pipelines
We’re off and running!
Agenda

• Why Talent Pipelines ("what’s wrong with Pete Best, anyway")?

• Why Do You Have To Help ("is it really my job")?

• How Do You Do It ("does it take a lot of my time")?

• Resources (HELP!?)
Why Pete Wasn’t the Best

Benefits of Talent Pipelines

• Access to a wider pool of candidates
• Critical Positions- impact to research
• Potentially shorter time to fill
• Active pool of candidates before you need them
• Better Branding and awareness of Caltech as an employer
Statistics...

71% of the U.S. labor force is on the job market.*

Workers are more willing to wander—even if they’re currently employed.

- 35% change jobs at least every 5 years
- 18% change jobs every 6-10 years
- 47% stay for more than 10 years

* Unemployed and actively seeking work, employed and actively seeking work, or employed and open to a new job
51% of employed workers are either actively seeking or open to a new job.
4 in 10 job seekers have found their “favorite or best” job through personal connections.

Other Top Sources:

- Online Social Network: 21%
- Online Job Board: 20%
- Classified Ad: 19%
- Recruiter: 10%
- Career Fair: 7%
- College or University Connections: 7%

This is in line with recruiter preferences: recruiters rate referrals as the highest-quality source of hires.

Percentage of recruiters who rate candidates from the following sources as “highest quality”:

- Referrals: 64%
- Social networks: 59%
- Corporate career site: 59%

* Category includes Facebook (10%), LinkedIn (6%) and Twitter (5%). Respondents were allowed to select multiple responses.
Even more statistics...

• Survey: Managers Spend Nearly One Day a Week Managing Poor Performers

• Ninety-five percent of respondents said a poor hiring decision at least somewhat impacts the morale of the team, with more than one-third (35 percent) saying morale is greatly affected.

• Bad personnel decisions rarely happen by chance. In retrospect, managers usually discover they failed to give proper attention to the hiring process.

• Robert Half identified five don'ts and do's when hiring:

Source: Bloomberg.com/Robert Half International
Dos and Don’ts

Go it alone

Think the internet has all the answers

Take too long

Offer a low salary

Fail to differentiate between must-have and nice-to-have candidate attributes

Work with professional recruiters to find the best candidates

*Cultivate a talent pipeline through your personal networks.*

Extend an offer once you identify your top candidate. Move quickly or risk losing your good people.

Offer a compensation package that, at minimum, meets the market standard

Identify what they must have walking in the door vs. what can be developed. The goal is to hire the best candidate for the job and your work environment

Source: Bloomberg.com/Robert Half International
How do we find RINGO?

We know he’s out there and, of course, we want him.
Where Do You Start?

• Be Strategic
  – Not every position is a good target for pipelining
  – Consider thinking long term about organizational needs
  – Utilize resources in HR to help look at structure
  – Well designed job descriptions can help drive pipelining efforts
  – Make it a team effort
  – Look internally
Now, how do you move forward to building your pipeline?
Building your Pipeline

• We start with our personal networks.
• Why you? You know your groups, you have contacts, you work with your faculty who have contacts, we don’t have resources to do all of it.
• Groups
  – Alumni Associations
  – Professional organization
  – Twitter, Facebook
  – LinkedIn

FYI: ERS advertises Caltech jobs on LinkedIn!

NOW YOU NEED TO GET ON LINKEDIN! But how?
Linkedin
LinkedIn Tips

Build a professional profile

• Make it detailed
• Include current position and employer
• Proofread your entire profile
• Choose the right profile picture
• Be active on LinkedIn Groups
• Join groups associated with your organization/jobs
• Make Connections regularly
• Weekly updates
Examples of LinkedIn Profiles

- Um, no.
- YES!
Jury is still out...
Tara Grimes Kruckeberg

http://www.linkedin.com/pub/tara-grimes-kruckeberg-sphr/0/586/83a

Stephanie Hancock

https://www.linkedin.com/in/shancock2
Outreach

• Track candidates from previous searches
• Work with Faculty to gather names
  – Speaking engagements
  – Networking events
  – Conferences
• ERS will partner with you
  – Join groups
  – Connect with Caltech followers
  – Track previous candidates
Connections

Track Candidates

- Connect on LinkedIn
- Send regular emails
- Update on organization
- Notify of new openings

Faculty or Manager Contacts

- Gather names
- Connect on LinkedIn
- Create Distribution List
- Notify of new openings
ERS Partnership

Advertise Jobs on LinkedIn

Connect with Caltech followers

Track candidates from other positions
Help!

• HR people and resources….

• Employee and Organization Development (EOD) x6382
  – Help you look at your organization and structure

• Employment and Recruiting Services (ERS) x6565
  – Recruitment, talent pipelining, strategy

• Compensation (Benefits and Compensation) x6443
  – Market guidelines, classifications and job descriptions
Problem Solving
Problem Solving Steps

1. Identify the Problem
2. Brainstorm
3. Identify values and style
4. Analyze and Select Options
5. Create an Action Plan
6. Evaluate

Adapted from Hegel & Arean, 2002
1. Identify the Problem
What is a Problem?

prob-lem [prob-luh m] noun

1. any question or matter involving doubt, uncertainty, or difficulty.

2. a question proposed for solution or discussion.
What are organizational problems?

Organizations should be looking for problems before they are problems

We should seek to fix processes, services, products or systems that are broken by seeking to make them:

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<tr>
<td>Faster</td>
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<td>More Convenient</td>
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<tr>
<td>More Efficient</td>
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What types of problems are you trying to fix in your organization?

Where do you need help?

Worksheet 1
2. Brainstorm
Brainstorm Ground Rules

1. No Dumb Ideas
   • There are no dumb ideas. Period. It is a brainstorming session, not a serious matter that requires only serious solutions.

2. Not a Debate
   • Don’t criticize other people’s ideas. This is not a debate, discussion or forum for one person to display superiority over another.

3. Build on Ideas
   • Build on other people’s ideas. Often an idea suggested by one person can trigger a bigger and/or better idea by another person. It is this building of ideas that leads to out of the box thinking and fantastic ideas.

4. Quality vs. Quantity
   • Reverse the thought of “quality over quantity.” Here we want quantity; the more creative ideas the better.

Taken from Six Sigma Brainstorming Rules
Brainstorm Scenario

The students purchase live goats to use in a stack during ditch day.

The students lose track of the goats.

The goats get free and run down Del Mar Blvd.

What should we do to recapture the goats?
3. Identify Values and Style

What is your organization’s approach to solving problems?
Values Defined

Values are traits or qualities that are considered worthwhile; they represent an individual’s highest priorities and deeply held driving forces.

Core values define what your organization believes and how you want your organization resonating with and appealing to employees and the external world.

Core values are also called guiding principles because they form a solid core of who you are, what you believe, and who you are and want to be going forward.
Value statements are grounded in values and define how you as a manager want people to behave with each other in the organization.

They are statements about how the organization will interact with customers, suppliers, and the internal community.

Value statements describe actions that are the living enactment of the fundamental values held by the organization/Institute.
What are our Core Values?

What do we believe is important and critical to the success of your organization as a whole?

Identify broad enough values that each employee/group can develop values statements specific to their own areas of expertise.

Core Values

Worksheet 2
Example of Values & Style

Our values are:
- Integrity
- Collaboration
- Excellence

We always start at “yes”:
- We work with customers to help them achieve their goals
- We work toward effective and compliant business solutions
Quick Gap Analysis

Where are you now?

What does the problem look like now?

Where do you want to be?

If the problem was fixed tomorrow what would it look like?

How do we get there?

What steps do we need to take to get to the solution?

Worksheet 4
Real Life Example

Where are you now?
- In 2006, Caltech was using paper timesheets, HR implemented a web based timekeeping application called Kronos. After implementing Kronos, several departments were not able to use the system because it required a JAVA plugin.

Where do you want to be?
- We want to have a system which all departments can use regardless of hardware or plugin.

How do you want to get there?
- Brainstorm and develop viable options that align with our values and style.
4. Analyze & Select Options
Tools to Analyze Options

- Detail benefits vs. risks of each option
- Identify which options are feasible. Which options can you actually make happen?
- Determine which options align with the organizational values
- Consider expense, people, power, capability, and time

Worksheet
Tools for Selecting Best Options

1. Eliminate options where the benefit does not outweigh the risk.
2. Eliminate options that don’t align with the organization values.
3. Eliminate options that are not feasible (i.e. too expensive, require too many people resources, too much time, etc.).
Real Life Example

Continue to do paper timesheets (risk)

Tell the users to buy new PCs and change their JAVA plugin (not value aligned)

Buy a new timekeeping system (not feasible)

Provide a secondary online system called Kronos Limited which uses html and works with Mac and does not require JAVA.
5. Implement an Action Plan
Steps to Implement an Action Plan

1. Create a project plan that outlines critical stages, key actions, and important milestones.
2. Identify who will be involved in the process, including outside groups, organizations, or peers.
3. Project a timeline.
4. Determine resources needed to support the project.
5. Implement.
6. Evaluate
Critical Questions

Sample Evaluation Questions

- Re-examine your original goal. Did you get to where you wanted to be?
- Are you getting the desired results?
- How are your employees, customers, or vendors responding to the change?
- Did you fix the problem?
HOW TO MANAGE ROCKSTARS

Dee Dee Roulhac
April Castañeda
WHO?
WHO ARE ROCKSTAR EMPLOYEES?

Rockstar employees are **HIGH POTENTIALS**.

They are not just high achievers. They are **DRIVEN TO SUCCEED**.

They have the **CAPACITY** to scan for new ideas, the **COGNITIVE CAPABILITY** to absorb them, and the **COMMON SENSE** to translate that new learning into productive action.

They are **EXPLORERS** and, as such, **TAKE ON THE CHALLENGES** of leaving their career comfort zones periodically in order to advance.

They have a feel for timing, an ability to quickly read situations, and a **NOSE FOR OPPORTUNITY**.

WHAT IS A HIGH POTENTIAL EMPLOYEE?

1. A high potential employee is a talented, promising and high performing individual who could be considered as a future candidate for a specific Institute leadership role.

2. A high potential employee will have demonstrated at least emerging skills in the identified core competency set for a leadership role.

3. A high potential employee is someone believed to have the ability to fill the position within 3-5 years (or other specified amount of time).
What comes to mind when you think of a someone who might be a high potential in your group?

- Ability to learn quickly?
- Self motivated?
- High performer?
According to a survey done by Robert Half in 2012, managers spend almost one day a week managing poor performers.

In the same survey, managers reported that poor performers affects the team morale:

- **GREATLY**: 35%
- **SOMewhat**: 60%
- **NOT AT ALL**: 5%
“Underperforming employees also require significant attention from employers, distracting managers from business-critical initiatives and causing other team members to pick up the slack.”

- Max Messmer, Robert Half CEO
IF 2 PEOPLE WERE TO LEAVE YOUR ORGANIZATION TOMORROW, WHO WOULD YOU WANT IT TO BE?

WHY?
IF 2 PEOPLE WERE TO LEAVE TOMORROW, WHO WOULD IT MOST LIKELY BE? Why?
CHANGE YOUR PARADIGM
WHAT FIVE ACTIONS CAN YOU TAKE TO SHIFT YOUR ORGANIZATION FROM MEDIocre TO EXCELLENT?
FIVE ACTIONS YOU CAN TAKE TO SHIFT YOUR ORGANIZATION FROM MEDIocre TO EXCELLENT

1. DISCRIMINATE
   • Identify top performers and high potentials
   • Select people based on work-related performance
   • Do not discriminate based on protected classes

2. PLAY FAVORITES
   • Give high performers challenging assignments
   • Expose high performers to better leadership opportunities

3. REWARD SOME AND NOT OTHERS
   • High performers should get higher merit increases
   • High performers should get recognition

4. SPEND MORE TIME WITH HIGH PERFORMERS
   • Have more 1:1 time
   • Invite to shadow you more

5. LESS TIME FOR POOR PERFORMERS
   • Continue to provide feedback and document performance
   • Have standard meetings to discuss performance
   • Minimize unproductive meetings
HOW
en-gage [en-geyj]
to occupy the attention or efforts of a person or persons: “He engaged her in conversation.”

- Dictionary.com

- Managers need to actively interact with high performing employees.
- Create discussions, listen to ideas, provide opportunities.
- Seek their advice and input.
EXPRESS AND COMMUNICATE INTEREST in the high potential’s career.

What do they see as their ULTIMATE CAREER GOAL?

Ask what they get EXCITED about? What parts of their work causes them to lose time? What are they professionally PASSIONATE about?

MAKE SUGGESTIONS for career development opportunities. SHARE your own path.

Have REGULAR DISCUSSIONS regarding career.
As managers you have a lot of **POWER AND CONTROL** over your employees’ professional lives.

It is important to cede small amounts of power to high performers, this allows them to **GROW, LEARN, AND DEVELOP**.

Allow high performers to **TAKE THE LEAD, MAKE DECISIONS**, or **PROVIDE SIGNIFICANT INPUT** into projects that matter.
THE DECISION TREE

4 CATEGORIES OF DECISIONS:

LEAF DECISIONS: Make the decision. Act on it. Not necessary to share/report on it.

BRANCH DECISIONS: Make the decision. Act on it. Report the action you took daily, weekly or monthly.

TRUNK DECISIONS: Make the decision. Report your decision before you take action.

ROOT DECISIONS: Make the decision jointly, with input from many people. These are the decisions that, if poorly made and implemented, could cause major harm to the organization.

Based on Fierce Conversations – Susan Scott
Allow the employee to present **NEW OR RISKY IDEAS**

**SEEK THEIR ADVICE** on projects and sometimes take it

Let the employee **TAKE RESPONSIBILITY** for implementing innovative ideas

Let the employee **BE ACCOUNTABLE** for wins and losses
Go **BEYOND** day-to-day tasks

Assign projects that will have **IMPACT** on the organization and allow them to **GROW**

Explain why you think it is important for the employee to participate or lead this particular project. **WHAT WILL THEY LEARN?**

Give **STRETCH ASSIGNMENTS** in which they may not have all the skills to manage the project, but will grow. (The employee should have at least 75% of the skills needed, otherwise they may fail or become frustrated)
Acknowledges and **GIVE CREDIT** – this may include praise in front of co-workers or professional/technical awards

Show them that **THEY MATTER** – this could be a one-on-one conversation where you tell him or her quietly but vividly why they are such a valuable member of the team

Provide **VISIBILITY AND ACCESS** to people in the hierarchy that they respect

**SUPPORT** them for formal training programs.
Provide ongoing feedback
Set goals
Give educational opportunities
Create personalized development plans (growth plans)
SOME EXAMPLES OF TOOLS FOR DEVELOPING HIGH POTENTIALS

- Conduct High Potential Assessments
- Identify Organizational Competencies
- Research Leadership Development Programs
- Hire a Coach
- Identify Important Opportunities
- Human Resources Consulting Group
- Create Opportunities for Exposure
- Create Stretch Goals
- Provide Mentorship/Sponsorship
CREATING A GROWTH PLAN

1. Identify Department/Division critical positions
2. Review standard leadership competencies
3. Identify organization specific competencies
4. Select participants based on their ability to be high potentials
5. Assess high potentials development needs
6. Partner with Human Resources to create a customized growth plan for identified high potentials based on development needs
7. Monitor and review individual progress
You have identified Joan as a high potential. Joan is currently a lead and has not had any specific supervisory experience. Joan has 5 years of general HR experience.

<table>
<thead>
<tr>
<th>Send to leadership courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Give an opportunity to manage a work study student or temp (have Joan do a performance review for the employee)</td>
</tr>
<tr>
<td>Make the high potential a project, implementation, or task force lead</td>
</tr>
<tr>
<td>Create specific opportunities to meet, network or interact with senior leadership such as shadow you</td>
</tr>
<tr>
<td>Set aside some of your 1:1 time for strategy (take time to specifically discuss organization politics, challenges, or issues)</td>
</tr>
</tbody>
</table>
## JOAN’S SPECIFIC GROWTH PLAN

<table>
<thead>
<tr>
<th><strong>Send to leadership courses</strong></th>
<th>Joan has been scheduled to attend the Center for Creative Leadership’s course titled Leadership for HR Professionals.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Give an opportunity to manage a work study student or temp (have them do a performance review for the employee)</strong></td>
<td>Joan will become the supervisor for our work study student. Joan will provide daily oversight and a quarterly performance review for the student.</td>
</tr>
<tr>
<td><strong>Make the high potential a project lead</strong></td>
<td>Joan will be responsible for the redesign of the Family Resources &amp; International Scholars Services Orientation.</td>
</tr>
<tr>
<td><strong>Create specific opportunities to meet, network or interact with senior leadership such as shadow you</strong></td>
<td>Joan will start to attend the Benefits Committee meetings with her supervisor.</td>
</tr>
<tr>
<td><strong>Set aside some of your 1:1 time for strategy (take time to specifically discuss Institute politics, challenges or organizational issues)</strong></td>
<td>The last 1:1 of each month will be set aside as a strategy focused meeting where Joan and supervisor will discuss organizational critical or department critical issues.</td>
</tr>
</tbody>
</table>
LUCY

You have identified Lucy as a senior high potential. Lucy is currently a Director and is supervising a team of 12 employees. Lucy has 10 years of HR experience and 5 years of management experience.

Send to executive education course or engage a coach

Give opportunities to meet and work with VPs, potentially do projects that involve the Board of Trustees

Make the high potential a project, implementation, or task force lead

Create specific opportunities to meet, network, shadow or interact with senior leadership

Set aside some of your 1:1 time for strategy (take time to specifically discuss organization politics, challenges, or issues)
<table>
<thead>
<tr>
<th>Send to executive education course or engage a coach</th>
<th>Lucy is scheduled to attend 1-2 week Harvard Business School Executive Education program. After completion of the program executive coach will be retained to work with Lucy for 3 months.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Give opportunities to meet and work with VPs, potentially do projects that involve the Board of Trustees</td>
<td>Lucy will lead the executive compensation task force that reports to the Board of Trustees.</td>
</tr>
<tr>
<td>Make the high potential a project, implementation, or task force lead</td>
<td>Lucy will be responsible for the RFP and bid process for a new HRIS system.</td>
</tr>
<tr>
<td>Create specific opportunities to meet, network, shadow or interact with senior leadership</td>
<td>Lucy will shadow the Vice President for Business and Finance for 1 week. Lucy will represent Human Resources at the President’s Luncheon.</td>
</tr>
<tr>
<td>Set aside some of your 1:1 time for strategy (take time to specifically discuss organization politics, challenges, or issues)</td>
<td>The last 1:1 of each month will be set aside as a strategy focused meeting where Lucy and supervisor will discuss organizational critical issues.</td>
</tr>
</tbody>
</table>
THE DECISION TREE

LEAF DECISIONS

BRANCH DECISIONS

TRUNK DECISIONS

ROOT DECISIONS
THE GOOD, BAD, & UGLY

GIVING & RECEIVING FEEDBACK AT WORK
THE IMPORTANCE OF FEEDBACK

★ WHY IS IT SO IMPORTANT?

- Increases productivity
- Reduces personal stress
- Builds relationships
- Boosts morale

★ WHEN ISSUES ARISE...

- The worst… don’t talk about it
- Average… tell someone else
- Best… talk openly and honestly

★ WHY IS IT SO DIFFICULT?

- Time pressure: hard to listen
- Annoyance: hard to accept
- Sensitivity: hard to say

“Rare is the sudden and unexpected explosion that wasn’t preceded by a lengthy period of tortured silence.”
WHAT’S THE PROBLEM?

★ THE GOOD

- People *think* about **500** words per minute
- Average person *speaks 125-150* words per minute

★ THE BAD

- People can give their *full attention* for approximately **20** seconds
- Typically, people listen to about **25%** of their potential

★ THE UGLY

- That means they ignore, distort, or misunderstand **75%** of what they hear
EXERCISE: GOOD, BAD, & UGLY STATEMENTS

Directions: Read the below feedback statements and decide if they are good, bad, or ugly. For those bad and ugly statements, try rewriting them to make them good or even great. Discuss with your group and write any additional bad or ugly statements that you think aren’t as effective as they can be. Try reworking those to make them more direct and powerful.

1. You rock! Good/Bad/Ugly

2. I wonder if we can’t think bigger. It’s just not “wow.” Good/Bad/Ugly

3. You need to manage details more precisely. For example… Good/Bad/Ugly

4. I can send that information to you again. Good/Bad/Ugly

5. That would never work here. Good/Bad/Ugly

6. It’s a very busy time, but you’ve seemed a little out of it recently. Good/Bad/Ugly
PLANNING & PREPARATION

1 PICK YOUR BATTLES

- Do you try to win every dispute?
- Are you always right?
- What if you were?
- When do you say something? – Catastrophic or Chronic
  - Coworker
    - Clarity
    - Accuracy
    - Timeliness
    - Completeness
    - Attitude
  - Manager:
    - Availability
    - Instruction
    - Opportunities
    - Responsiveness
    - Micromanaging
  - Likely response? Defensiveness
- Why do people get defensive?
  - Feel disrespected
  - Feel insecure or threatened
  - Feel disliked
  - Feel ignored

2 PROCEED WITH CAUTION

- During a dispute, if it can be taken wrong, if it can be misinterpreted, or if it can be used against… it will be.

It’s not what you said; it’s what they thought you said.

It’s not what you said; it’s how they felt about it.
CRITICAL CONVERSATIONS

1 PREPARE YOUR CASE
   • Consider patterns, facts, & opinions
   • What is a likely reaction and how can you respond?
   • Plan your opening statement
   • Think about a realistic outcome

2 HAVE A CONVERSATION
   • Sharing ideas vs. lecturing
   • Lead with questions
   • Keep them talking

★ MAGIC TRICK #1: “TELL ME MORE”
   • To clarify positions
     o Can you help me understand?
     o What am I missing?
     o How do you see it?
     o What do you think?
   • To explore reactions
     o Something’s still bothering you…
     o What can we agree on?
     o How do you feel?

3 DEFUSE DEFENSIVENESS
   • Identify with their situation
   • Embrace objections
   • Own what you say

★ MAGIC TRICK #2: “THAT MAKES SENSE”
   • Endorse the person
     o That’s very interesting…
     o I would do the same thing…
     o I see your point…
     o You’re right…
CRITICAL CONVERSATIONS

4 STICK TO THE PLAN
- Get straight to the point
- Table other issues
- Keep it short & sweet

5 GET A COMMITMENT
- Recap without rehashing
- Discuss next steps & timing
- Thank them for meeting with you

★ MAGIC TRICK #3: “WHAT CAN WE DO?”
- Work it out together
  o So how would you fix it?
  o What else can we try?
  o Could this work?
  o What if…?

6 KEYS TO SUCCESS: THE 6 S’s
- Small buffer
- State issue
- Show proof
- Signal importance
- Set expectation
- Secure acceptance

7 NEVER
- Go around someone to get what you want
- Tell other people
- Openly challenge
- Paint into a corner
EXERCISE: HANDLING HOT ISSUES

Directions: Take turns role playing through each of the following situations with your partner. Consider the situations to be peer-to-peer examples. Give your peer feedback on his or her performance, attitude, and expectations using the principles learned today. To practice receiving feedback, the other person can role play their response as well.

SITUATION #1
You are working on a major project with your colleague, Nate, who is a determined worker. Nate is a creative, “big thinker.” He loves to think outside of the box and come up with new ideas and processes. He offers a great perspective to your team, but he often forgets to follow up on certain key administrative tasks. He offers big ideas but doesn’t seem to think through the details of putting it into action.

SITUATION #2
Deidra is a member of the team who you feel is bringing down the morale of the group. Whenever anyone asks her to help out with logistical and administrative tasks, she is very negative. She handles big projects and large responsibilities with ease and a positive attitude, but you would like her help carrying out some “less glamorous” duties. She doesn’t complain out loud, but her distaste for these assignments is clear by her nonverbal communication during meetings. You do not want this to affect the group dynamic.

SITUATION #3
Jared works in another department but you have to work together often. You are essentially peers, and your departments have a history of mild friction between them. The problem is that he is obnoxious, just about the most arrogant, insensitive person you’ve ever met. He is very demanding of your performance and timeliness but doesn’t seem to follow the same rules. You also feel he talks down to you. Unfortunately, they think he’s a star in his world and that makes matters worse. Now you are about to begin another big project together that will last for months. If it goes like the last one, you might end up quitting. You know it’s time to talk.

SITUATION #4
Natalie is a senior manager in another department. She’s a hard charging, fast talking, and incredibly competent performer. She’s also seven years your junior. You don’t have a problem with it, but she might. She just seems a little, okay a lot uncomfortable, around you. She’s stiff and all business, and that’s not at all how she is with the younger team members. Maybe it’s your ages, maybe different styles or backgrounds, but what if it’s your work?
CRITICAL CONVERSATIONS

RECEIVING FEEDBACK

- Receive feedback the same way you offer it
  - Ignore personal styles
  - Appreciate the input
  - Take it in stride

- When you disagree…
  - If the feedback is factually untrue, refute immediately
  - If the feedback is an opinion, think on it
  - Remember: perception is reality

- If you are not getting enough feedback, ask for it
  - Ask your boss, colleagues, & peers
  - Ask what they truly expect
  - Work and interpersonal relationship
STICKY SITUATIONS

PREVENTATIVE MEDICINE

• Schedule regular time with boss, colleagues, and clients
  o Monthly one-on-one’s
  o This is not the time to discuss projects, deadlines, budgets
  o Focus on working better together
• Some issues are tougher to address…
  o Addressing a bad attitude
  o Getting slackers to pitch in
  o Dealing with a difficult boss
  o Disagreeing with a decision
  o Being bearer of bad news

ADDRESSING THE STICKY SITUATIONS

1 PROBLEM CHILD

• Attitude is hard to prove
• You might make it worse
• People tend to deny and blame
• Feedback Flow
  o Offer some friendly advice
  o Describe behaviors & their effect
  o Give multiple examples

2 SUPER SLACKER

• Unaware or doesn’t care
• May not be managed by you
• Low motivation
• Feedback Flow
  o Outline roles & responsibilities
  o Set expectations
  o Explain the consequences
STICKY SITUATIONS

3 BULLY BOSS

- Uses pressure & conflict
- Fear of retaliation
- Has a short fuse
- Feedback Flow
  - Actions & interpretations
  - Ask about performance
  - Bring solutions

4 CONTRARY POINT-OF-VIEW

- Not always appropriate
- Not always welcome
- Not always possible
- Feedback Flow
  - Right time & place
  - Ask if interested
  - Another option

5 BAD NEWS

- Shoot the messenger
- Hyper sensitive
- Demotivating
- Feedback Flow
  - Avoid sugar coating
  - Don’t blame others
  - Define clear next steps
PHRASES TO REMEMBER

- Can you help me understand?
- What am I missing?
- How do you see it?
- What do you think?
- Something’s still bothering you…
- What can we agree on?
- How do you feel?
- That’s very interesting…
- I’d do the same thing…
- I see your point…
- You’re right…
- So how would you fix it?
- What else can we try?
- Could this work?
- What if…?
ACTION PLAN

Three things I’m going to start doing tomorrow:

1.

2.

3.
COURSE EVALUATION

1. What were the three most important things you learned?
   1. ________________________________________________________________
   2. ________________________________________________________________
   3. ________________________________________________________________

2. What was your overall impression of today’s workshop?
   ___________________________________________________________________

3. What was your favorite part? What worked well?
   ___________________________________________________________________

4. What improvements would you suggest?
   ___________________________________________________________________

5. Describe your overall experience in one word: _________________________

6. May we use your quote in marketing materials? □ Yes □ No

7. Would you recommend this program to a colleague? □ Yes □ No

8. Did you learn specific ideas you can apply right away? □ Yes □ No

9. What other topics would you like to learn more about?
   ___________________________________________________________________

PLEASE RATE EACH OF THE FOLLOWING:

<table>
<thead>
<tr>
<th></th>
<th>POOR</th>
<th>FAIR</th>
<th>AVERAGE</th>
<th>GOOD</th>
<th>OUTSTANDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter’s delivery and style</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Presenter’s subject knowledge</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Importance for organization</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Relevance to your own job</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Overall workshop quality</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>

(optional)
Name: ___________________________________ Title: ___________________________________
Keep Your Rock Stars Out of Court and Jail!

Ann Martin
Office of the General Counsel
What You Need to Know

- Title IX
- Minors on Campus
  - New policy
  - Mandatory Reporter
- New Sick Leave Law
- New Federal Regulations
  - Executive, Professional and Administrative Exemptions
Title IX

• Rapidly evolving area
• Focus is on sexual misconduct
  - OCR
  - President
  - Senate
  - States
Responsible Employees

• Supervisors are **Responsible Employees** under Title IX and must
  – Know Caltech’s unlawful harassment and sexual violence policies and procedures
  – Recognize behavior or other warning signs of sexual misconduct
  – Respond appropriately to reports of sexual misconduct to avoid secondary trauma
  – Assist students who may have experienced sexual misconduct
  – Report sexual misconduct to Title IX Coordinator

STOP
Violence Against Women
Your Responsibilities

• Provide students with information about
  – available confidential resources for victim advocacy, counseling, and other support services
  – right to file a Title IX complaint, and
  – option of reporting to campus or local police

• Protect students’ confidentiality to the extent permissible
  – Student has a right to have name withheld in investigation

• Confidential resources include
  – Caltech Center for Diversity
  – Caltech Counseling Center
  – Staff and Faculty Consultation Center
Mandatory Reporters Law Expanded

- Sandusky and Penn State
The Sandusky Case
Mandatory Reporters Law Expanded

• Anyone who reasonably suspects child abuse, is expected to report to Caltech Security

• Mandatory Reporter’s have additional responsibilities under California law

• Mandatory Reporters are
  – Employees whose duties bring them into contact with children under the age of 18 on a regular basis, or
  – Employees who supervise employees whose duties bring them into contact with children on a regular basis
What This Means

• Criminal penalties apply for failure to report known or suspected child abuse or neglect

• If Mandatory Reporter has “reasonable suspicion” that child abuse or neglect may have occurred, required to
  – Make official report by phone IMMEDIATELY to county child welfare department or to local law enforcement
  – Follow up with on-line report at https://mandreptla.org
  – You are not on your own! Gregg Henderson or Bill Heim from Security can help you fill it out.

• Additional information for Mandatory Reporters can be found in the Violence Prevention Policy https://www.hr.caltech.edu/documents/186-pm34.pdf
What This Means

• Identify Mandatory Reporters in your organization
• Notify HR
• Caltech offers training to Mandatory Reporters
• Acknowledgment Form for new employees
Healthy Workplaces/ Healthy Family Act

- Effective July 2015 employees working 30 or more days will accrue paid sick leave
- May cap at 48 hours
- May impose 90 day waiting period
- Entitled to use 3 days/year
- Will apply to temporary and on-call employees
- Sick leave can be used for
  - employee’s or family member’s health condition
  - if they are a victim of domestic assault, sexual violence, or stalking
- Retaliation is prohibited
New Federal Overtime Regulations
New Federal Regulations

- February 2015 Deadline for New FLSA "White Collar" Overtime Exemption Regulations
- DOL will issue proposed rule to modernize and streamline FLSA regulations for executive, administrative, and professional employees
- President Obama wants to narrow the scope of the exemptions, making more workers eligible for overtime pay
- HR is working to proactively address these expected regulatory changes
Questions???
Keeping your Rockstar in the Country

Ilana Smith, International Offices
Supervisor’s Conference
February 25, 2015
Ch...Ch...Changes

(apologies to David Bowie)

- J Subpart A Regulations
  - English Proficiency
  - Pre-selection and pre-arrival information
  - Reporting
- Executive Action – on hold
  - Better options for permanent residence for researchers/entrepreneurs
  - Expansion of OPT
  - Work authorization for some dependents
I’m with the Band
(Resources for your Rockstar’s Spouse/Partner)

• Caltech International Spouses Club
• International Dual Career Network
  – U.S. citizen and foreign national
  – http://www.idcn.info/
ILLEGAL DOWNLOADING OF COPYRIGHTED MATERIAL BY STAFF/STUDENTS

THE DMCA REQUIRES CALTECH TO BLOCK INTERNET ACCESS WHEN SOMEONE DOWNLOADS COPYRIGHT PROTECTED MATERIAL. THERE IS NO OTHER PENALTY TO THAT PERSON, OR CALTECH, UNDER THE DMCA AS LONG AS WE COMPLY.

HOWEVER, SOME COPYRIGHT OWNERS ARE NOW SENDING EARLY SETTLEMENT NOTICES THAT ASK THE PERSON TO PAY A SETTLEMENT TO AVOID BEING SUED FOR COPYRIGHT INFRINGEMENT.

THIS IS ESPECIALLY IMPORTANT FOR STUDENTS AND STAFF WHO HAVE COME FROM OTHER COUNTRIES WHERE COPYRIGHT LAW PERMITS DOWNLOADING – AND ARE SURPRISED BY THIS DEMAND. THE AMOUNT IS USUALLY ABOUT $250, AND PERSONS USING FILE SHARING SOFTWARE SHOULD BE AWARE OF THIS UNEXPECTED COST. IT IS THEIR DECISION WHETHER THEY SHOULD PAY.

USE OF DOWNLOADED SAFETY MANUALS - A PROBLEM COMBINING THE END USER LICENSE AGREEMENT (EULA) AND THE GOOGLE SEARCH FUNCTION

A SAFETY MANUAL FOR A LAB INSTRUMENT WAS DOWNLOADED TO A CALTECH SERVER. THE EULA STATED THAT IT WAS FOR A SINGLE USE ONLY AND NOT FOR DISTRIBUTION.

THE CALTECH SERVER THAT CONTAINED THE MANUAL WAS PASSWORD PROTECTED, BUT NOT COMPLETELY ISOLATED.

A GOOGLE SEARCH FOR THE MANUAL IDENTIFIED ITS LOCATION AND OVER 100 COPIES WERE DOWNLOADED EXTERNALLY UNTIL WE WERE CONTACTED BY THE OWNER OF THE MANUAL.

THE LESSON HERE IS TO BE CAREFUL TO READ EULAs AND DO NOT ASSUME INTERNAL SITES ARE PROTECTED UNTIL THIS IS VERIFIED BY IMSS.

FAIR USE

THIS DOCTRINE PERMITS LIMITED DOWNLOADING, USE AND DISTRIBUTION OF SOME COPYRIGHTED MATERIAL, BUT DETERMINING WHAT IS PERMISSIBLE REQUIRES CLEARANCE BY OGC (AND WE ARE HAPPY TO ASSIST IF YOU HAVE QUESTIONS).

Caltech Office of the General Counsel 395-3241
As the leader of the band, you’re responsible for getting the members to play in time so you can sound your best. During this session, we’ll explore the use of Office 365 to improve communications and collaboration with your team and others so you can all hit the right notes together. Together, we’ll review and discuss the following topics in an interactive format:

- An updated overview of Office 365 services, their features and benefits, and Caltech’s ongoing deployment plan
- Understanding how Office 365 fits into the evolutionary scheme of administrative applications and services in Higher Education
- Strategies for motivating your team to adopt Office 365…and other new technologies
- Approaches and resources for overcoming initial challenges (general concerns about cloud, keeping up with the pace of change, etc.)

Whether you’re simply curious about these topics or you’re leading a team or project that could take advantage of Office 365’s benefits, we encourage you to attend this informative session.
Creating the Perfect Mix Tape: Assigning the Correct Person Types

Angelica Santana, Director
HR Systems & Services

Vicki Pratt, Lead
Scholar & Staff Services
What is a Person Type?

A designation in our Oracle system that helps us identify a person’s relationship to the Institute

Person types were initially created to identify how much data to enter into the system including how to pay a person

Person types now include many different ranks/jobs within each designation
Person Types Today

The use of person types has been expanded

Person types designate a person’s level of access to Institute:
- Systems
- Programs
- Services

A person type is used to start every Oracle record

The person type indicates which type of ID card will be assigned
Person Types with Formal Appointments
Academic Non-Faculty

Visitors

- A visitor has an established position or relationship with another academic or research institution and have received a formal appointment from the Institute to conduct research that is mutually beneficial to Caltech and the visitor. Must be nominated and participate in the lab of an active Caltech professor.

Post Doctoral Scholars

Senior Post Doctoral Scholars
Academic Faculty (Non-Professorial)

- Instructors
- Lectures
- Visiting Professors
- Visiting Associates
- Senior Research Fellows
- Senior Research Associates
- Research Assistant Professors
- Research Professors
- Faculty Associates
Person Types without Formal Appointments
External Affiliate

Caltech partners with many educational, research, and business-related organizations and institutions. These partnerships are typically defined by a contract, MOU, or agreement. In some cases, the employees of these external organizations work on campus alongside Caltech employees. In other situations, Caltech has an agreement with the organization to process their medical and dental benefits. Individuals who work for these organizations are identified for campus purposes as External Affiliates.
A guest is an individual who has no formal appointment or contract, is not on the Institute payroll and is not volunteering or providing services to the Institute, and is hosted by a faculty member, administration, division, or department for a predetermined length of time. This designation primarily identifies *individuals who are conducting short-term projects or collaborating with Institute employees on research.*
Caltech volunteers are uncompensated individuals who perform services directly related to the business of the Institute in order to support the Institute’s activities or gain experience in specific endeavors. To qualify as a volunteer, the individual must be willing to provide services according to these guidelines.
### External Affiliate vs. Guest vs. Volunteer

<table>
<thead>
<tr>
<th>External Affiliates</th>
<th>Guests</th>
<th>Volunteer</th>
</tr>
</thead>
<tbody>
<tr>
<td>• HHMI or TMT staff</td>
<td>• Collaborators short period of time to conduct research</td>
<td></td>
</tr>
<tr>
<td>• Caltech Credit Union staff</td>
<td>• Caltech Women’s Club</td>
<td>• Individuals who provides community service for the Institute</td>
</tr>
<tr>
<td>• Child Care Center staff</td>
<td>• JPL employees</td>
<td>• Assist in divisions, departments, or laboratories</td>
</tr>
<tr>
<td>• Caltech Y staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• USGS staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Non-CIT Work-study Student (i.e., Glendale CC)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Temp Agency Employee</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Additional Oracle Designations
Additional Oracle Designations

- Pending Arrival
- Student Employees
- Planned Giving Donor
- Former Employee
- Student (undergrad)
Benefit Billing

Benefit billing designation refers to employees who are on leaves of absence, scholars without paid appointments, and some affiliates.

An employee will go on benefit billing whenever he or she goes to unpaid status.
Retirees have been termed from the Oracle database.

Retirees now only show up in the BenefitFocus system.

You will no longer see retirees in our system.
Membership has its Privileges
Privileges

- Access.caltech credentials
- UID number
- ID card
- Caltech Email address
- Library access
- Gym access
- Campus-wide email notifications
- Worker’s Compensation Insurance (except external affiliates)
Why is it important to identify the correct person type?
Why Identify?

We want to be able to identify everyone who is on campus.

We want to have contact information in the event of an emergency.

We want to make sure everyone who should be covered by worker’s compensation is covered.
Resources

http://hr.caltech.edu

hrrecords@Caltech.edu

626-395-3300
Behind the Music: Compensation Secrets Revealed

A Total Rewards Presentation by Ofelia Velazquez-Perez & Daniel Espinosa
February 25, 2015
Compensation
Pay Approach

To attract, motivate, and retain talented employees

How is this accomplished?

Compensation Structure
Compensation Structure

- Pay Philosophy
- Job Classifications
- External Equity (aka Market Data)
- Internal Equity
Pay Philosophy

- Target pay between the 25th and 75th percentile of the market data
- Ensure internal incumbents are paid equitably amongst themselves
- Pay for performance
Compensation Structure

- Pay Philosophy
- Job Classifications
- External Equity (aka Market Data)
- Internal Equity
A job family is a broad grouping of jobs where the type of work performed and the knowledge, skills, and experience are related.

There are 15 Job Families at Caltech:

- Alumni Affairs and Development
- Athletics
- Communications
- Dining and Hospitality Services
- Facilities and Trades
- Faculty and Student Services
- Finance
- General Administration
- Health and Consultation Services
- Human Resources
- Information Technology
- Legal
- Library
- Research
- Technical
Within each Job Family, there are multiple Job Disciplines, which are more narrow groupings of jobs with similar characteristics.

There 118 Job Disciplines such as:

| Accounting Services | Business Systems Consulting | Research Technician | Scientific Research | General Administration Management |
There are 3-6 Career Levels associated with each Job Discipline:

<table>
<thead>
<tr>
<th>Assistant</th>
<th>Associate</th>
<th>Senior</th>
<th>Lead</th>
<th>Management A-F</th>
</tr>
</thead>
</table>
Job Classification

- Job Discipline
- Career Level

Job Classification
### Sample Job Family Grid

**Job Family:** Technical  
**Discipline:** Engineering  
**Career Band:** Individual Contributor

Responsible for developing technical solutions for Institute, Division, and/or Department projects requiring knowledge in one or more engineering disciplines (i.e., mechanical, electrical, civil, etc.). Works with and/or develops drawings, schematics, specifications, blueprints, etc. for renovation, rehabilitation, and new projects for the Institute. Evaluates plan designs and recommends modifications and approaches to achieve technical, functional, and environmental objectives. Applies engineering theories and practices to develop engineering guidelines and standards for project development – advises customers, prepares cost estimates, conducts feasibility studies, etc.

Ensures engineering practices comply with Institute protocols, government regulations, and professional standards.

#### Career Level

<table>
<thead>
<tr>
<th>Level</th>
<th>Assistant</th>
<th>Associate</th>
<th>Senior</th>
<th>Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Scope</strong></td>
<td>Competent to work at a high level in most functions of engineering</td>
<td>Competent to work at a very high level in all functions of engineering</td>
<td>Top-level technical contributor in one or more highly specialized functions of engineering</td>
<td>Top-level contributor in multiple highly specialized functions of engineering</td>
</tr>
</tbody>
</table>
| **Major Job Accountabilities** | - Under minimal supervision, evaluates Institute projects and develops complex engineering solutions to meet project requirements  
- Develops designs and specifications to achieve project goals for systems or structures; ensures that environmentally sound engineering principles are used (i.e., energy conservation technology, building materials, etc.)  
- Prepares equipment material specifications and cost estimates for Institute projects; collaborates with other personnel to resolve various technical problems affecting project timeline, budget, and quality.  
- Participates in field inspections to monitor and modify plant designs to incorporate all requirements of project objectives; evaluates on-site problem resolution.  
- Reviews engineering designs developed by project staff, external engineering consultants, and on construction sites to ensure regulatory compliance and Institute standards are met; identifies and/or advises customers on engineering challenges.  
- Assists with equipment, system, and/or structural upgrades and modifications to improve Institute facilities.  
- Selects and bids equipment, materials, etc. to support engineering efforts. | - Under minimal direction, reviews and prioritizes Institute engineering projects, and provides comprehensive engineering services to deliver highly complex engineering solutions  
- Produces sophisticated engineering plans and designs that satisfy project requirements for systems and structures; exercises thorough knowledge of engineering concepts and principles to achieve functional, technical, and environmental objectives (i.e., energy conservation, systems layout, building materials, and methodology, etc.)  
- Coordinates external customers regarding the cost-effectiveness and feasibility of engineering projects, networks with internal and external resources to secure optimal results for engineering projects; performs problem resolution on projects.  
- Works with blueprints, schematics, drawings, etc. to develop engineering options for customer; outlines engineering approaches to project and develops specifications and estimates (i.e. cost, timeline, etc.).  
- Conducts field inspections, on-site problem resolution and project modifications, ensures engineering is to plan and conforms to code.  
- Guides the development of new-enhanced engineering approaches and/or application of advanced engineering concepts to improve service delivery and quality of engineering products and design.  
- Oversees computer tools and database for engineering project delivery and is available, when necessary, to access models and simulations to improve services and streamline projects; identifies and recommends new engineering tools.  
- Participates in strategic planning, acquisition, and development of new projects and equipment to support future direction and needs of the Institute; may serve as liaison to internal and external organizations.  
- Participates in recruiting and strategizing personnel and mentors for engineering engineering deadlines and objectives. | - Under minimal direction, develops highly complex engineering solutions using diverse knowledge of one or more engineering disciplines; ensures all engineering projects satisfy Institute requirements and government regulations; may evaluate prime contractors in relation to the Institute mission.  
- Oversees the development of specifications, design plans, cost estimates, and balance customer needs with engineering code and environmental considerations (i.e., energy conservation, materials, current technology, design concepts, etc.); modifies Institute standards as necessary.  
- Consults management and Institute committees on project feasibility in relation to other projects and Institute missions; advises on alternatives and contingency plans; may lead collaborative efforts on extremely complex sensitive projects (e.g., JPL) to eliminate schedule delays and avoid cost overruns.  
- Provides engineering expertise to project team and management in the development, planning, and implementation of engineering projects; evaluates inspection reports to ensure conformance to code and customer criteria; uses advanced methods and techniques to enhance project outcomes and achieve objectives; conducts site visits and performs on-site problem resolution.  
- Participates in strategic planning of resources and personnel, acquisition and development of new projects, and management of external contractors and vendors to achieve Institute objectives; serves as Institute engineering liaison to internal and external organizations; may manage budget.  
- Develops new-enhanced engineering approaches and/or application of advanced engineering concepts to improve service delivery and quality of engineering products and design.  
- Oversees computer tools and database for engineering project delivery and is available, when necessary, to access models and simulations to improve services and streamline projects; identifies and recommends new engineering tools.  
- Participates in strategic planning, acquisition, and development of new projects and equipment to support future direction and needs of the Institute; may serve as liaison to internal and external organizations.  
- Participates in recruiting and strategizing personnel and mentors for engineering engineering deadlines and objectives. |
## Sample Job Family Grid

### Engineering

<table>
<thead>
<tr>
<th>Assistant</th>
<th>Associate</th>
<th>Senior</th>
<th>Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implements designs in accordance with project requirements</td>
<td>Develops moderately complex designs to achieve project requirements</td>
<td>Develops complex designs to achieve project requirements</td>
<td>Oversees the development of project requirements to balance customer needs with engineering code</td>
</tr>
<tr>
<td>Bachelor’s degree with 3 years of experience</td>
<td>Bachelor’s degree with 6 years of experience</td>
<td>Bachelor’s degree with 9 years of experience</td>
<td>Master’s degree with 12 years of experience</td>
</tr>
</tbody>
</table>
Job Review

Typical Questions from Compensation

- Who does the job report to?
- Does this job have any direct reports?
- Does the job implement strategies or develop strategies?
- Does the job only identify problems or do they also work to resolve those problems?
- Does the job generate reports or develop new reports?
- Does the job recommend changes to policies?
Compensation Structure

- Pay Philosophy
- Job Classifications
- External Equity (aka Market Data)
- Internal Equity
Why is External Equity Important?

- Provides a competitive advantage
- Allows us to recruit top talent
- Helps us retain high performing employees
1. Survey company publishes survey job descriptions

2. Caltech & other organizations identify matches to survey job descriptions and submit salary data to survey company

3. Survey company publishes summary salary data for each survey job for organizations to use
External Equity / Market Data

Salary Survey Data Results

1st percentile
70,000
70,500
71,000
71,000
71,500
74,000
79,000
80,000
80,500
81,000
85,000
95,000
96,000
98,000
100,000
100th percentile
## External Equity / Market Data

### Salary Survey Data Results

<table>
<thead>
<tr>
<th>Survey</th>
<th>Survey Job Number</th>
<th>Survey Job Title</th>
<th>Aged Data</th>
<th>Raw Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Radford</td>
<td>6462</td>
<td>Business Systems Analyst 2</td>
<td>62,118</td>
<td>54,870</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>71,209</td>
<td>62,900</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>81,398</td>
<td>71,900</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Analyzes complex business problems to be solved with automated systems. Provides technical expertise in...</td>
<td></td>
<td>10/11/2013</td>
</tr>
<tr>
<td>Culpepper</td>
<td>TE10-30-151</td>
<td>Intermediate Internal Business Systems</td>
<td>75,943</td>
<td>67,524</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>84,213</td>
<td>74,877</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>95,345</td>
<td>85,064</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Perform both programming and analysis tasks on internal business systems. Evaluate the internal technical needs of...</td>
<td></td>
<td>1/1/2014</td>
</tr>
<tr>
<td>Towers Watson</td>
<td>A10020-P2</td>
<td>Business Systems Analysis</td>
<td>61,093</td>
<td>52,900</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>68,408</td>
<td>60,100</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>73,681</td>
<td>63,800</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Acts as a liaison between the IT development group and business units for the development and implementation...</td>
<td></td>
<td>2/1/2013</td>
</tr>
<tr>
<td>Mercer Benchmark</td>
<td>320.392.330</td>
<td>Business Systems Analyst - Intermediate</td>
<td>65,154</td>
<td>55,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>74,914</td>
<td>63,200</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>85,454</td>
<td>72,100</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Under general supervision, formulates and defines systems scope and objectives through research and fact...</td>
<td></td>
<td>3/1/2012</td>
</tr>
<tr>
<td>Mercer SIRS</td>
<td>A301-2</td>
<td>Business Process Analysis</td>
<td>70,834</td>
<td>59,900</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>80,511</td>
<td>68,100</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>94,131</td>
<td>79,600</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Analyzes business and technical processes to formulate and develop new and modified business information...</td>
<td></td>
<td>4/1/2012</td>
</tr>
<tr>
<td>Average</td>
<td></td>
<td></td>
<td>67,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>76,100</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>86,200</td>
<td></td>
</tr>
</tbody>
</table>
Making Survey Data Relevant

Localizing Market Data
- We make survey data relevant to our specific market (Southern California) by multiplying raw survey data by 10%.

Making Market Data Current
- We make survey data current by multiplying raw survey data by 3% annually.
- This is called aging the data.

Finalizing Market Data
- Once we localize and age the data from each survey, we average the surveys together to create the finalized market data.
Compensation Structure

- Pay Philosophy
- Job Classifications
- External Equity (aka Market Data)
- Internal Equity
Why is Internal Equity Important?

- Establishes a set of fair pay standards
- Can affect employee morale
- Provides pay that aligns with performance
- Minimizes employee relations risks
Internal Equity

Salaries of other incumbents in the same job classification

78,000 80,000 81,000 88,000 88,000 95,000 95,000 99,000
Salary Range Recommendation

Salaries of other incumbents in the same job classification

Salary Range Recommendation = $75K - $95K per year
Compensation Structure

- Pay Philosophy
- Job Classifications
- External Equity (aka Market Data)
- Internal Equity
Questions?
Additional Compensation Topics

- Annual Salary Increase (ASI)
- Merit Increase
- Market Adjustments
- Performance Bonuses
- Special Allowances
- Grades/Salary Ranges